

FWC BENEFICIARIES 2013 EuropeAid/132633/C/SER/multi

LOT 2: Transport & Infrastructures

**EVALUATION AND FORMULATION OF THE
AVIATION SECTOR SUPPORT
PROGRAMME PHASE II IN ZAMBIA**

Contract No. 2015/369511/1

Final Evaluation Report

April 2016

Project financed by:



Project implemented by:



Disclaimer

This publication has been produced with the assistance of the European Union. The content of this publication is the sole responsibility of the Consultant and can in no way be taken to reflect the views of the European Union.

Project Title: EVALUATION AND FORMULATION OF THE AVIATION SECTOR SUPPORT PROGRAMME PHASE II IN ZAMBIA

Project Number: Framework Contract Beneficiaries 2013, EuropeAid/132633/C/SER/multi
Lot N°2: Transport and Infrastructures,
Specific Contract Nr. 2015/369511

Country: Zambia

Name: Contracting Authority:
The Delegation of the
European Union to the
Republic of Zambia and
COMESA

Address: Plot 4899, Los Angeles
Boulevard, Longacres
Lusaka

Tel. number: +260 211 250711

Fax number:

E-mail: Stephen.MCCLUSKEY@
eeas.europa.eu

Contact person: Mr Stephen McCluskey

Contractor:

Planet S.A.

64, Louise Riencourt
GR-11523 Athens, Greece
+30 210 6905000
+30 210 6981885

ppan@planet.gr
Panagiotis Panotopoulos

Signatures:

Date of Report

Planning Period

April 2016

Report Authors: Peter Forbes, Nicolas Zvegintzoff and Jack Ramphul

Contents

Executive Summary

1. Introduction

2. The aviation sector in Zambia

- 2.1. The Zambian economy
- 2.2. Overview of the aviation sector
- 2.3. Legislative framework
- 2.4. Ministry of Transport and Communications
- 2.5. Civil Aviation Authority
- 2.6. Airlines
- 2.7. Airports
- 2.8. Air Navigation Services
- 2.9. Aviation training
- 2.10. USOAP audit
- 2.11. EU airline ban

3. Policy context

- 3.1. EU-Zambia policy
- 3.2. Zambian Government policy

4. Aviation Sector Support Programme (ASSP1)

- 4.1. Background
- 4.2. Initial Terms of Reference
- 4.3. Key components of project undertaken
- 4.4. Chronology of project activities and milestones
- 4.5. Allocation of resources
- 4.6. Final project budget and expenditure
- 4.7. Monitoring and evaluation

5. Project evaluation

- 5.1. Evaluation methodology
- 5.2. Project relevance
- 5.3. Effectiveness
- 5.4. Efficiency
- 5.5. Visibility
- 5.6. Sustainability
- 5.7. Cross-cutting issues

6. Conclusions

Appendices

Appendix A: List of interviewees

Appendix B: Key components of ASSP1 project

Appendix C: ICAO USOAP EI by AFI state

Appendix D: List of CAA staff

Appendix E: Indicative Project logframe

Appendix F: Terms of Reference for the assignment

Abbreviations

AAI	Air Accident Investigation
ADS-B	Automated Dependent Surveillance - Broadcast
AFI	African-Indian Ocean (ICAO Plan)
AGA	Aerodrome Certification
AIR	Airworthiness
ANS	Air Navigation Services
ANSP	Air Navigation Service Provider
AOC	Air Operator Certificate
ASSP1	Aviation Sector Support Programme - 1
ASSP2	Aviation Sector Support Programme - 2
ATCO	Air Traffic Control Officer
BAR	Board of Airline Representatives
BASA	Bilateral Air Services Agreement
CAA	Civil Aviation Authority
CMA	Continuous Monitoring Approach
COMESA	Common Market for Eastern and Southern Africa
COSCAP	Cooperative Dev of Operational Safety & Airworthiness Programme (OECD) Development Assistance Committee
DAC	
EASA	European Aviation Safety Agency
EDF	European Development Fund
EI	Effective Implementation
EU	European Union
EUD	European Union Delegation
IATA	International Air Transport Association
ICAO	International Civil Aviation Organisation
LEG	Legislation
LLC	Low Cost Carrier
MTE	Mid-term Evaluation
MTWSC	Ministry of Transport, Works, Supply and Communication
NACL	National Airports Corporation Limited
NAO	National Accounting Office
OECD	Organisation for Economic Cooperation and Development
OPS	Flight Operations
ORG	Organisation
OTJ	On-the-job Training
OVI	Objectively Verifiable Indicators
PEL	Personnel Licencing
SAR	Search and Rescue
SARPS	(ICAO) Standards and Recommended Practices
SSC	Significant Safety Concern
TAT	(CAA) Transition Action Team
TNA	Training Needs Assessment
USAP	(ICAO) Universal Security Audit Programme
USOAP	(ICAO) Universal Safety Oversight Programme
ZASTI	Zambian Air Services Training Institute
ZCAR	Zambian Civil Aviation Requirement

Executive Summary

- This final report has been prepared by Planet SA in relation to a European Commission Framework Assignment (Project Reference No: EUROPEAID / 132633 / C / SER / multi) for a final evaluation of the Aviation Sector Support Programme (ASSP1), a project funded under the 10th European Development Fund (EDF) and the formulation of a follow-on project, Aviation Sector Support Programme (ASSP2), to be financed under the 11th EDF.
- The ASSP1 project, which had a total budget of €3.0m, was carried out on behalf of the Department of Civil Aviation (DCA) of the Zambian Ministry of Transport, Works, Supplies and Communications (MTWSC) and was contracted to a consortium led by a consulting firm, NTU of Denmark. The beneficiaries also included Zambia Airports Corporation Limited and Zambia Air Services Training Institute. The project commenced with mobilisation of the NTU team in January 2012 and concluded in October 2015.
- The project primarily focussed on the key components:
 - The establishment of a fully autonomous Civil Aviation Authority (CAA) to replace the DCA,
 - The improvement of aviation safety oversight through the implementation of a Corrective Action Plan following the USOAP mission in 2009
 - The update and harmonisation of primary legislation, including the draft of the new Aviation Act.

Although some staff training was planned for CAA and ZACL (Zambia Airports Corporation Limited) staff, only a limited number of courses were organised locally. Four staff also received financial assistance for training overseas.

- The evaluation was based on the OECD criteria of project relevance, effectiveness, efficiency, sustainability and visibility. Cross-cutting issues were also taken into account
- The ASSP I project can certainly be regarded as relevant to the needs of the beneficiary and the future development of Zambia's air transport sector. It is clearly essential that the aviation safety oversight meets minimum ICAO standards and is supported by an appropriate structural and legislative framework. This will enable the aviation sector to grow and support the Zambia's economy, particularly its tourism industry.
- The project has been partially effective in that progress has been achieved in establishing an independent CAA and in improving aviation safety oversight capacity. In particular, the Significant Safety Concern (SSC) identified in ICAO's USOAP audit in 2009 has now been lifted and the Effective Implementation (EI) rate of Protocol Questions (PQs) has increased from 35.2% to 46.9%. However, the progress made since the ICVM mission in December 2012 is difficult to fully assess as the relevant documentation as only limited information has been inputted into ICAO's USOAP Online Framework (OLF) system. A further review by the Air Safety Committee established by the European Commission is still to take place, although a dialogue has commenced between Zambia and DG MOVE. As a result, the EU ban on Zambian airlines from entering EU airspace remains in place.
- A new Aviation Bill has been drafted during the project although this still needs to be enacted by Parliament. This Bill has provisions for the Minister to make regulations that incorporate ICAO Standards and Recommended Practices.

- Due to the demand-driven approach in which the project resources largely focussed on the USOAP Corrective Action Plan and on the drafting of the Aviation Act, limited staff training was provided and other components of the project identified in the Terms of Reference, such as technical assistance to improve air navigation services (ANS), security at airports and economic regulation were curtailed
- The initial project design and allocation of mandays between key and short-term experts could have been better planned and monitored. In their initial proposal, the contractor, NTU, allocated insufficient mandays for a full-time Team Leader for the full duration of the project. The majority (78%) of the short-term expert mandays were utilised during the first 12 months of the project to support the ICAO Corrective Action Plan prior to the ICVM mission in December.
- There were a number of delays during the project which could have been avoided with better planning. In particular, the Programme Estimate was not agreed until mid-2013, over 15 months after commencement of the project. This delayed the implementation of the training programme and limited what could be achieved. Similarly, we feel that that a more realistic view should have been taken as to what training equipment was appropriate for ZASTI which would have enabled the D+3 timescale for procurement to be met.
- The in-house monitoring of the project either by the contractor or by the beneficiary was inadequate. The project outcome could have been improved if specific target deliverables and manday allocations had been set for each short-term expert mission. Similar targets could have been set for the Team Leader.
- Although a mid-term evaluation was undertaken, many of its recommendations were not taken into account during the remainder of the project. In particular, there was no concerted effort to effectively plan the future workload of the Team Leader or the short-term experts nor to identify what additional training could be carried out. As such there was a tendency for the project to drift during its latter stages. In view of this, it has been necessary to implement the ASSP I Bridging Project to assist with the uploading of documentation into the ICAO OLF system prior to the next ICVM mission in March 2016. The ASSP I Bridging Project also includes further technical assistance to update the Training Needs Assessment and to incorporate secondary legislation (ZCARs) into the Aviation Bill.
- Whilst some progress has been made during the ASSP I project, the Zambian aviation sector, like that of many other countries in sub-Saharan Africa, still has some way to go, not only to meet ICAO targets and requirements but also to build a financially self-sustaining industry to support its growing economy and tourism sector. With the support of EASA and ICAO and appropriate planning and monitoring, the new ASSP II project can make a strong contribution towards these goals, subject to the timely approval of the relevant authorities.

1 Introduction

This final report has been prepared by Planet SA in relation to a European Commission Framework Assignment (Project Reference No: EUROPEAID / 132633 / C / SER / multi) for a final evaluation of the Aviation Sector Support Programme (ASSP1), a project funded under the 10th European Development Fund (EDF) and the formulation of a follow-on project, Aviation Sector Support Programme (ASSP2), to be financed under the 11th EDF. The evaluation was undertaken by three consultants from Planet SA, Mr Peter Forbes (Team Leader), Mr Nicolas Zveguintzoff and Mr Jack Ramphul during a mission to Zambia between 18th January – 25th February 2016.

The ASSP1 project, which had a total budget of €3.0m, was carried out on behalf of the Department of Civil Aviation (DCA) of the Zambian Ministry of Transport, Works, Supplies and Communications (MTWSC) and was contracted to a consortium led by a consulting firm, NTU of Denmark. The project commenced with mobilisation of the NTU team in January 2012 and concluded in October 2015.

The various sections of the Final Evaluation Report cover an overview of air transport in Zambia, the policy context, the key project objectives, an analysis of the key components, an evaluation of the project in line with OECD criteria and our conclusions.

The Final Evaluation Report provides an update to the findings of the mid-term evaluation (MTE) of the ASSP1 project carried out in July 2014, with which we concur. In particular, we have assessed the extent to which the recommendations of the MTE were put into practice during the remainder of the ASSP1 project.

2. The aviation sector in Zambia

2.1 Zambian economy

The Republic of Zambia is a landlocked country in Southern Africa, neighbouring the Democratic Republic of the Congo to the north, Tanzania to the north-east, Malawi to the east, Mozambique, Zimbabwe, Botswana and Namibia to the south, and Angola to the west. The capital city is Lusaka, in the south-central part of Zambia. With an overall land mass of some 753,000 s km (291,000 sq m), it is approximately the same size as France, Belgium and the Netherlands on a combined basis. The population of some 14.5 million¹ is concentrated mainly around Lusaka in the south and the Copperbelt Province to the northwest.

Zambia is Africa's second biggest copper producer, which accounts for more than two thirds of the country's exports. It also has a number of major tourist attractions including the Victoria Falls, the North Luangwa, South Luangwa and Kafue National Parks and other falls and wildlife reserves.

Over the last 10 years, Zambia's economic growth has largely been underpinned by its mining sector, although real GDP per capita² has declined from 6.7% pa in 2013 to a projected 3.9% pa

¹ UN Development Programme (2013 data)

² IMF World Economic Outlook Database

in 2016 largely due to a fall in the copper price. The decline in the copper price has resulted in high level of unemployment, particularly in the Copperbelt, but also elsewhere in the country. As a result, the Zambian Government, which is currently ruled by the Patriotic Front (PF) party has focussed particularly on investment in new infrastructure projects such as roads, railways and electricity production and on the development of the agriculture and tourism industries.

The tourism market in Central and Southern Africa, been affected by a number of terrorist attacks over the past three years, which has impacted on the number of inbound tourists to all destinations, including Zambia. Nevertheless, Zambia benefits from huge tourism potential in the medium to long term. The Zambia Government is working with its partners, including the EU to support the growth of the tourism industry through private sector development and the development of sustainable wildlife management. To support this, a safe and reliable airline network is essential.

Zambia faces a number of key challenges in the short-term. The decline in the global copper price has resulted in a high fiscal deficit, representing some 7.6% of Zambia's real GDP in 2015. The Government is still dealing with economic reform issues such as the size of the public sector, and improving social sector delivery systems. It is however committed to a pro-business approach which it is hoped will revitalise the economy in the longer term.

2.2 Overview of the aviation sector

Whilst it provides key support to the country's economy and particularly its tourism industry, Zambia's aviation sector is still relatively underdeveloped. It has many financial and institutional challenges, particularly in meeting the necessary requirements of ICAO (International Civil Aviation Organisation) under the Annexes to the Chicago Convention of 1944 and its standards and recommended practices (SARPS). In addition, staff across all sectors of the aviation industry lack appropriate training and expertise to develop the air transport sector in line with best international practices.

Despite this, air traffic in Zambia has grown strongly over the past ten years, albeit from a low base. Statistics provided by ZACL (the Zambian Airports Corporation Ltd) show that, traffic at the country's four largest airports³ rose from 1.1 million passengers per annum in 2010 to some 1.6 million passengers per annum in 2015, representing an annual average growth rate of 7.9% pa – equivalent to about 1.75 times GDP growth. International traffic, grew by some 7.6% pa over this period. Most of this traffic is carried by overseas-based carriers, largely as a result of Zambia's 'open skies' policy in line with the Yamoussoukro Decision (YD). Domestic traffic, which represented some 0.3 million passengers in 2015, grew by a higher rate of 9.0% pa over the last five years, although there was a fall of 6.1% between 2014 and 2015 due to the economic crisis. Aircraft movements at the four largest airports increased from 57,083 in 2010 to 66,393 in 2015 equating to an average increase of 3.1% pa. Of the 16,700 commercial or business jet flights in the country⁴, around one half are by non-Zambian registered airlines or operators. The volume of traffic (eg flights) and the proportion flown by Zambian registered carriers or operators is a parameter in determining the extent of the aviation oversight required.

³ Lusaka, Livingstone, Ndola and Mwube airports. These account for over 98% of all passenger traffic in Zambia

⁴ 2014 data

Based on current traffic and GDP projections, the Zambian aviation sector is set to expand significantly over the next 10-15 years, although the growth rate may depend on the future penetration of the low cost market within Zambia. The low cost carrier, Fastjet has introduced services between Dar es Salaam and Lusaka and there are plans to establish a new Fastjet hub in Lusaka itself.

Sections 2.3 – 2.9 below provide outline details of the main functional components of the Zambian air transport sector

2.3 Legislative framework

Historically the legislative framework for the aviation sector has been established by a number of separate Acts, including the Aviation Act, the Air Services Act, the Safety of Civil Aviation Act, the Air Passenger Service Charges and other related Acts.

As a signatory to the Chicago Convention, Zambia is required to fully adopt ICAO Standards and Recommended Practices (SARPs) within its own national legislative framework. On 8th August 2012, the Civil Aviation Authority Act was introduced in order to establish a fully independent new Civil Aviation Authority. The Bill that brought about this Act was drafted with assistance from the EU. The new Civil Aviation Authority Act 2012 contains provisions for the responsibilities of the CAA in accordance with the Annexes to the Chicago Convention, although it does not specifically provide for ICAO mandatory requirements as defined in by the SARPS.

In order to update the existing legislation, technical assistance has been provided through the ASSP1 project to harmonise the existing legislation by drafting a new Aviation Bill. This is currently in the process of parliamentary enactment and expected to be passed in early 2016. Further assistance to draft the necessary additional provisions for the ICAO SARPS within the Aviation Act is currently being provided through bridging support from the EU.

2.4 Ministry of Transport and Communications

The Zambia Ministry of Transport and Communications (MTC) is responsible for the country's civil aviation policy. The Minister, through Part 2 of the Aviation Act of 1989 (CAP 444) designated the then National Airports Corporation Limited (NACL) now ZACL to be responsible for the management and operation of the country's four largest airports at Lusaka, Livingstone, Ndola and Mfuwe and for the provision of the country's air navigation services (ANS) through a specialist division within the Ministry, the Zambian Airports Corporation Limited (ZACL). Until February 2015, the MTC was also responsible for aviation safety and security oversight through its Department of Civil Aviation (DCA), although this is now provided by the new autonomous Civil Aviation Authority.

The Ministry is responsible for maintaining all bilateral service agreements (BASAs) with other African and third countries, including fifth freedom rights. It also issues Air Service and Foreign Carrier Permits, subject to certain financial and insurance requirements.

MTC is also technically responsible for civil aviation Search and Rescue (SAR) operations and for air accident investigation. In practice, SAR would be undertaken by a Disaster Management and Mitigation Unit coordinated by the President's office. Provision for air accident investigation is currently limited although the Ministry has an MOU with South Africa and other neighbouring states to provide the necessary support and assistance. MTC is also responsible for the management of the Zambian Air Services Training Institute (ZASTI), which was formally under

the control of the Ministry of Education. In addition, through its Department of Transport, the MTC has established an Aviation Unit that is responsible for the management of Provisional and District Aerodromes that were formally operated by the Department of Civil Aviation.

2.5 Civil Aviation Authority

Zambia has recognised for some time that a fully independent Civil Aviation Authority would be needed to meet ICAO requirements. This was endorsed by ICAO in its Universal Safety Oversight Audit Programme (USOAP) Comprehensive Systems Approach (CSA) Audit carried out in 2009 as part of the organisation's aviation safety and security audit procedures for Member States. Following the ICAO audit, a Corrective Action Plan (CAP) was put in place to correct the deficiencies identified. An ICAO Coordinated Validation Mission (ICVM) was undertaken in December 2012 and an updated CAP was put in place.

As indicated in Section 2.4 above, a new Civil Aviation Authority Act was enacted to create the new autonomous body, which received parliamentary approval early during the ASSP1 project on 8th August 2012. To establish the new CAA, a Transition Action Team (TAT) was formed by the Secretary to the Cabinet, which worked in collaboration with the ASSP1 project eg through the drafting of the proposed organisation structure and other input given by the ASSP1 Team Leader during the monthly TAT progress meetings. The Board of Directors for the CAA was appointed on 19th November 2013 and, on 1st April 2014, a Director-General was appointed. In February 2015, the Civil Aviation Authority formally started work as an autonomous organisation, based at the former Zambia Airways Maintenance base at Kenneth Kaunda International Airport in Lusaka.

Whilst most of the former DCA aviation safety and security inspectorate and some administrative staff transferred to the new organisation, a number of new staff needed to be recruited. This contributed to the delay in fully establishing the CAA. In terms of its structure, the CAA has four divisions covering:

- Flight Safety Standards (airworthiness, flight operations, personnel licencing)
- Air Navigation Standards (ANS)
- Aerodromes and Security (certification and aviation security oversight)
- Corporate affairs (finance, legal, quality control etc)

As at February 2016, the CAA has some 71 staff⁵ including 40 inspectors, although a number of posts, including some Inspectorate staff remain unfilled. The lack of qualified and trained Inspectorate staff was a key concern of the ICAO ICVM mission in December 2012 which the new CAA is keen to address through Government assistance complemented by ASSP II support..

There are currently 10 airlines and other air operators holding Zambian AOCs (Air Operator Certificates) and some 33 larger commercial and business type aircraft with Certificates of Airworthiness (CoAs) on the Zambian register. ICAO estimates that the average age of this fleet is 23.9 years, with 51.5% of aircraft older than 20 years. The age of this fleet places substantial responsibility on the CAA to ensure that appropriate aviation safety oversight is carried out. The CAA also issues licences for some 200 active operational personnel (eg commercial and private pilot licences, aircraft maintenance engineers, air traffic controllers, flight instructors etc).

⁵ A list of CAA staff is attached as Appendix D

Whilst the initial ICAO ICVM indicated that the CAA had not at that point met the standards for aviation safety oversight required by ICAO, some progress has subsequently been made, as described in Section 2.10. This progress is due to be assessed in a second ICVM to be undertaken in March 2016. It is possible, therefore, that ICAO's global minimum target of Effective Implementation (EI) of ICAO SARPS, which is set at 60%, will be attained by this date.

2.6 Airlines

The majority of Zambia's international traffic is carried by non-Zambian airlines. Airlines currently operating at Zambia four international airports include Kenya Airways, Ethiopian Airways, Rwanda Air, Emirates, South African Airlines and SA Airlink, Proflight, a privately owned Zambian-registered airline, provides international services to Lilongwe and Durban, with domestic services between Lusaka and Livingstone, Ndola, Mfuwe, Kasama and Solwezi. For many years, British Airways and KLM operated direct services to Europe (Lusaka-London and Lusaka-Amsterdam). However, these became increasingly unprofitable and British Airways pulled out in 2012 and KLM in 2014.

The country has had no flag carrier airline since the demise of Zambia Airways in 1994. Several airlines including Aero Zambia, Zambia Express Airways and Zambian Airways were established between 1995 and 2009, but they all went under due to one reason or other., The latest addition was Zambezi Airlines which flew regional services within Central and Southern Africa before its licence was suspended by the DCA in 2011 due to safety concerns. The airline was finally dismantled in 2012.

Proflight is Zambia's main regional and domestic airline. Formed in 1991 as an air taxi operator, it commenced scheduled services in 2005. It currently has a fleet of eight aircraft including two Jetstream 32s, three Jetstream 41s and a Bombardier CRJ-100. Proflight has a total of some 187 staff, including 28 flight crew, 18 cabin staff and 40 engineering staff. The airline undertakes line maintenance and 'A' checks at its base at Lusaka airport, although heavier maintenance is subcontracted to SA Airlink. As at February 2016, Proflight is currently undergoing an IOSA (International Operator Safety Audit) with the assistance of IATA. Successful completion of an IOSA audit is a key target for all regional airlines in Africa as required by the Yamoussoukro Decision. It will also assist the Zambian CAA in the process of meeting ICAO standards as defined by the USOAP audit. Other Zambian AOC holders include Staravia, Stabobair, Mahogany Air, Big Dog Aviation and a number of small specialist air charter companies, mainly providing tourist flights to wildlife parks and lodges.

As a result of the rapid growth in air traffic, the Zambian Government had plans to resurrect its national airline, although these were shelved in December 2015. In 2014, the African low cost carrier (LCC), Fastjet, announced that it wished to established a base at Lusaka, which would require the establishment of a predominantly Zambian-owned airline company operating under a Zambian AOC and Air Transport Licence. We understand that the MTWC issued a one year Air Transport Permit in March 2014, although this has now expired. Fastjet has also applied for an Airline Operator's Certificate and this has been evaluated by the CAA at a demonstration level. If Fastjet goes ahead with its plans, it will create a significant increase in workload for the CAA. In any event, the overall expected increase in air traffic demonstrates the need for additional capacity and expertise within the CAA and confirms the relevance of and the justification for the ASSP1 project.

2.7 Airports

Zambia has four international airports under the control of the Zambian Airports Corporation Limited (ZACL), which was formally known as the National Airports Corporation Limited (NACL). These are Lusaka Kenneth Kaunda International Airport (LUN), Livingstone Harry Mwanga Nkumbula International Airport (LVI), Ndola Simon Mwanga Kapwepwe International Airport (NLA) and Mfuwe Airport (MFU). There are a further seven domestic airports currently under provincial control and 43 airfields although there are proposals that these should be incorporated within ZACL.

Lusaka's Kenneth Kaunda International airport is situated some 19 km north east of the capital city. In the year ending 31st December 2015, it handled some 1.1 million passengers and 39,000 aircraft movements. A new international passenger terminal with a capacity of four million passengers pa is currently under construction and is due to open in 2017. The new international passenger terminal, together with a separate VIP terminal and a new cargo facility is funded by a US\$385m loan from the EXIM Bank of China. Once the new international terminal is open, the existing terminal will be used for domestic flights only.

There are also plans to build a new greenfield airport in the Copperbelt to replace the existing Ndola airport. This would be funded by a US\$397m loan from the Chinese Commercial Bank. A further US\$122m upgrade is also planned at Mfuwe Airport. A new international terminal at Livingstone opened in 2014 as part of a US\$60m upgrade programme funded in part by the European Investment Bank (EIB).

ZACL, which controls the country's four main international airports is also responsible for the provision of air traffic services and for ground handling. There are three other private ground handling companies at Lusaka airport - Zega, NAC 2000 and Hill Delmain. Competition in this sector is, however, limited as the independent ground handlers pay a ramp access fee to ZACL and cannot undertake certain functions such as load control and flight despatch.

ZACL currently has a total of some 804 staff. Our discussions suggest that only limited staff training is provided and that ZACL lacks the expertise to improve its financial and operating performance. Although some technical and training support to ZACL was originally planned under the ASSP1 project, this was ultimately shelved (see Section 3.4).

In addition to its four main international airports, Zambia also has a number of provincial and district airports which are under the control of MTC. Some Government funding has been provided for the development and operation of these airports.

2.8 Air Navigation Services (ANS)

As indicated above, the Zambian Airports Corporation Limited is currently also responsible for the management of Upper and Lower Airspace, as well as Approach Control at the main airports.

At present, air traffic service provision is essentially procedural as there is currently no radar coverage in the region. The Government has, however, funded the US\$20m purchase of primary and secondary surveillance radar (SSR) from Thales which will cover about three quarters of Zambian airspace. This equipment is now installed but it is not expected to come into use until later in 2016. Some 20 air traffic controllers have been trained in the use of the new equipment by the South African training provider, ATNS.

En-route airspace is treated as a single sector and is controlled from the ATCC (Air Traffic Control Centre) at Lusaka airport. Approach and Aerodrome Control operations are established at Lusaka, Livingstone, Ndola and Mbuwe airports. The majority of ANS revenue is obtained from overflights through Zambian Upper Airspace, although Southern African Airways divert some traffic due to poor VHF/HF air-ground communications links in the Western Region Sector. We understand that the communication provider, ZAMTEL, will shortly install new fibre-optic cables to alleviate this problem.

ANS charges are collected through the IATA system. The schedule of charges has not been updated for over 20 years and urgently needs to be reviewed in view of increased ANS investment and operational costs.

ZACL recognise that the airport and the ANS functions need to be separated, although currently no firm plans exist to do this. To assist in this, ZACL wish to prepare a master plan for ANS based on the expected traffic growth. This would show the future airspace design, surveillance coverage and future investment requirements including ADS-B (Automated Dependent Surveillance-Broadcast) and WAM (Wide Area Multilateralisation). The master plan would form the basis for a business and financial plan for an independent and financially self-sustaining ANS organisation.

2.9 Aviation training

Local aviation training is provided through the country's main training facility, ZASTI (Zambian Air Services Training Institute) based at Lusaka airport, although the Copperbelt University in Kitwe also offers courses in aeronautical engineering. ZASTI mainly offers initial training in aircraft maintenance and ground services (ANS, meteorology, fire and rescue and aviation security) for students wishing to enter the aviation industry. There is also a small flying school for PPL (Private Pilot Licence) training. Whilst ZASTI's budget allows for up to 15 students at any one time, on average between five and seven students achieve their PPL each year.

We were advised by ZASTI that they provide initial training for some 500-600 students per year. These were almost all from Zambia although in the past, students also came from Malawi, Rwanda and Mozambique. The figure of 500-600 students per year seems quite high to us and suggests that not all will get employment in the Zambian aviation industry once they have completed their course. Whilst ZASTI has provided the facilities for recurrent or refresher training for those already working in the industry (eg by specialist courses led by external instructors from ICAO, IATA etc), this has been relatively limited. Many of ZASTI's instructors have not received any training themselves for many years and lack knowledge of the latest industry requirements. There were plans under the ASSP1 project to develop ZASTI's training capability through linkages with ICAO's Trainair Programme although this did not proceed.

ZASTI operates as a separate division within the MTWSC. Although course fees are charged, it is mainly Government funded. Whilst ZASTI has quite extensive classroom and residential facilities, its equipment (eg. flight simulators, aviation security training equipment, etc.) is largely out-dated. PPL training is provided using a Cessna 152 aircraft. An Aztec Piper aircraft, which was formerly used for commercial pilot training is still owned by ZASTI but is currently unserviceable. The budget for the ASSP1 project included a €600,000 provision for communications equipment for Search and Rescue (SAR) and air navigation services (ANS), training equipment for ZASTI and a technical library for the CAA although in the event none of this equipment was procured (see Section 3.4).

2.10 USOAP audit

All ICAO states are required to participate in its Universal Safety Oversight Audit Programme (USOAP)⁶ and its Universal Security Audit Programme (USAP). An USOAP audit carried out on the then-DCA in January/February 2009 identified some 98 corrective findings including one Significant Safety Concern (SSC) relating to air operator certification and the lack of implementation of a further 511 Protocol Questions (PQs).

Whilst Zambia is not the only Africa country with deficiencies in its aviation safety oversight⁷, this clearly represents a major obstacle not only to the future growth of its air transport sector but also that of its economy as a whole. Furthermore, as a result of the USOAP audit, the EU placed a ban on all Zambian airlines from entering EU airspace.

Following the USOAP audit in 2009, the DCA was required to prepare a Corrective Action Plan (CAP). Assistance with the CAP was provided by through the ASSP I project, with a considerable input between March–December 2012 from short-term experts to help to prepare the relevant revised manuals, check-lists, updated secondary legislation etc. This largely focussed on the key aviation safety oversight areas of Organisation (ORG), Legislation (LEG), Airworthiness (AIR), Flight Operations (OPS) and Personnel Licencing (PEL) as these were the main concern of the European Commission (DG MOVE) in continuing to impose a ban on all Zambian airlines from entering the EU. A ‘dummy’ AOC audit of the Zambian airline, Proflight, using the revised documentation and procedures was also undertaken by the CAA Inspectors to validate the new documentation and procedures.

Progress in meeting the necessary standards was assessed through a ICVM (ICAO Coordinated Validation Mission) carried out in December 2012. This identified that the SSC had been resolved and that the Effective Implementation (EI) rate⁸ on the eight Critical Elements (CEs) in the DCA’s and subsequently the CAA’s Safety Oversight System had increased from 35.2% in 2009 to 46.9%.

Since December 2012, a new Aviation Bill has been drafted which is expected to be enacted by Parliament in March 2016. There is further subsidiary legislation based on the new Act which requires to be made by Minister. CAA Inspectorate staff, with some limited support from the ASSP I project, have updated some of the ZCARS based on model legislation provided by the ICAO COSCAP-SADC⁹ office and some new audit procedures, check-lists etc have been promulgated. However, this documentation has not been submitted to ICAO through the USOAP OLF system and is not validated. As such there is no change in the reported EI rate. The breakdown of the current EI is shown in Figures 2.1 and 2.2 below.

⁶ This is more fully described in ICAO Doc 9735 ‘Universal Safety Oversight Audit Programme’

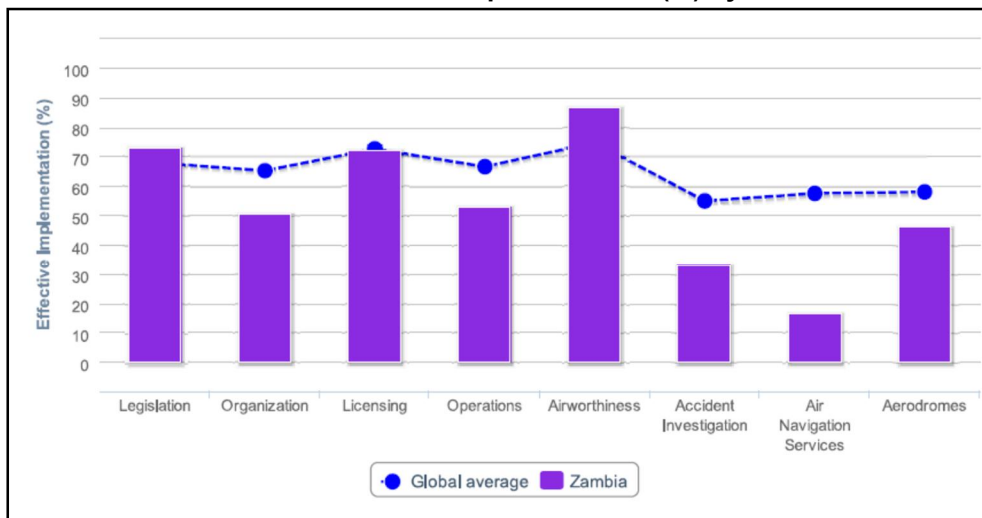
⁷ Zambia currently ranks 23rd out of 46 RASG AFI (African/and Indian Ocean) in terms of Effective Implementation as measured by the ICAO USOAP audit

⁸ The Effective Implementation refers to the percentage of Protocol Questions (PQ) or specific ICAO documentation or procedural requirement fully implemented.

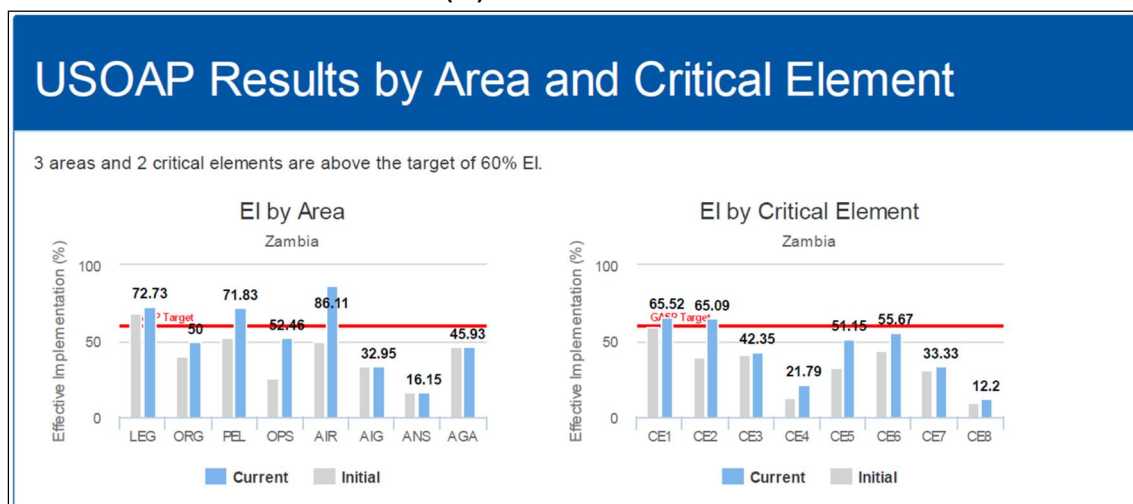
⁹ COSCAP-SADC – (ICAO) Cooperative Development of Operational Safety and Continuous Airworthiness Programme – Southern Africa Development Community

**Figure 2.1 Zambia Aviation Safety Oversight
USOAP – Effective Implementation (%) by Area**

ICAO



**Figure 2.2 Zambia Aviation Safety Oversight
ICAO USOAP – EI (%) – Feb 2009 v Dec 2012**



As is indicated in Figures 2.1 and 2.2, the safety oversight improved in several areas between 2009 and 2012, particularly in Airworthiness (AIR) and Flight Operations (OPS). Some of this improvement was undoubtedly due to the additional assistance provided by the ASSP 1 short-term experts in the six months prior to the ICVM mission in December 2012 (eg through the updating of manuals, check-lists etc). The EI results and the number of ‘open’ Protocol Question indicate that there are a number of weak areas, notably the oversight of Air Navigation Services (ANS), Aerodrome Certification (AGA) and Air Accident Investigation (AAI). The ICVM also identified a number of short and medium/long-term priorities including the implementation of new harmonised primary legislation for the aviation sector, the need for the recruitment of additional qualified and experienced Inspectors, the provision of OJT (on-the-job training) and the transition of the DCA to a fully autonomous Civil Aviation Authority. A breakdown of the open or uncompleted Protocol Questions by Safety Oversight Area and Critical Element is shown in Table 2.3.

**Table 2.1 Breakdown of Open PQ by Area
As at December 2012**

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	2	1		1		3	2	1
CE-2	3		1	2	2	6	11	12
CE-3		3	2	3	2	4	33	2
CE-4		1	5	3	1	4	42	5
CE-5	1		1	4	3	34	9	12
CE-6			3	30			36	21
CE-7			4	10	3		21	12
CE-8			4	5	4	8	7	8

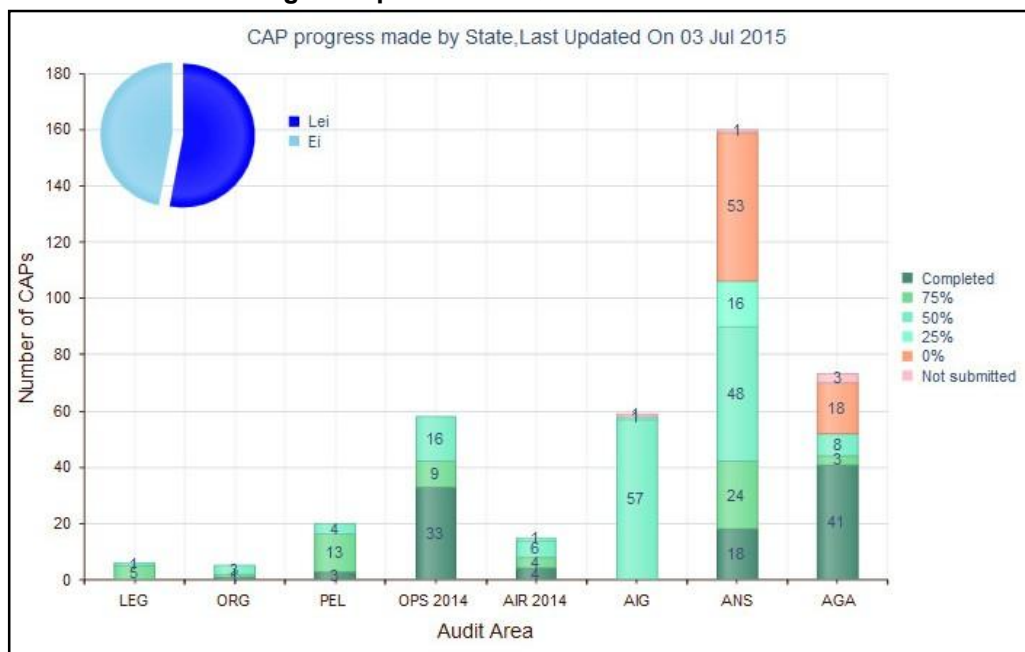
Protocol findings by Area and Critical Element intersection

Once the ICVM mission had been completed, the focus of the ASSP1 project largely changed. Although a new Civil Aviation Authority Act had been passed during 2012, the new organisation had not been established and a number of key positions needed to be filled. During 2013, a Transition Action Team was established, which was assisted by the ASSP1 Team Leader. The DG of the DCA was replaced by a new DG-designate for the new CAA. A substantial level of input was provided by ASSP1 short-term legal experts in identifying the requirements for harmonising the existing primary legislation for the aviation sector and in drafting the new Aviation Act. Furthermore, ICAO introduced a new CMA (Continuous Monitoring Approach) for uploading documents online to correct the remaining deficiencies (CMA OLF – Online Framework).

Although some CAA Inspectors were trained in the use of the new OLF system, we understand that no further documents have been added to the system or open Protocol Questions responded to since the ICVM mission in December 2012. At the time of writing, this documentation is being finalised in preparation for upload prior to the ICVM mission in March 2016. Continued support in this process is being provided through the ASSP Bridging Project.

Based on their own self-assessment, the CAA believe that a high proportion of the 'open' PQs have been completed or are 75% completed in many areas. The CAA's assessment of the extent of to which the 'open' PQs have been completed as at March 2015 (ie the effective end of the ASSP1 project) is shown below.

Figure 2.3 USOP audit – Corrective Action Plan Progress – as at 3rd July 2015
Percentage completion of PQs



It is difficult for us to fully validate the CAA’s self-assessment. On balance, however, we believe that, following the ICVM mission in March 2016, some improvement in Effective Implementation will be achieved in certain key areas, although perhaps not to the extent of the increase in 2012. We are however, concerned that there will continue to be deficiencies, particularly in ANS and in LEG if the new Aviation Act is not passed by Parliament by the end of the mission.

The fact that the necessary documentation was not uploaded into the ICAO OLF system after December 2012 is disappointing. We see no reason why at least some of the documentation should not have been upload on a continuous basis – particularly as the ASSP I Team Leader was available to support this. If so, the ICVM mission could have been brought forward to an earlier date.

The Effective Implementation rate of ICAO USOAP PQs and the overall results of the ICVM mission represent a key objectively verifiable indicator (OVI) in assessing the performance of the ASSP I project. As such, we believe it would be appropriate to update this Evaluation Report once the ICVM mission is completed and the new EI rate is validated.

2.11 EU airline ban

Following the ICAO USOAP audit, in July 2009 the EU placed all Zambian registered airlines on its list of airlines banned from operating in the EU¹⁰. This list is maintained by the European Commission through DG MOVE. DG MOVE have held a watching brief on Zambia and the DCA since 2009. However, a result of the improvement identified following the ICAO’s ICVM mission and with the transition to a fully autonomous CAA, it is hoped that the EU ban will be lifted. DG MOVE’s Air Safety Committee for Third Countries meets twice a year in March and November.

¹⁰ http://ec.europa.eu/transport/modes/air/safety/air-ban/index_en.htm

This Committee is formed of representatives from DG MOVE, EU Member States and EASA and is responsible for overseeing the EU airline ban list¹¹.

At a meeting in May 2014 in Dakar between the Zambia DCA and DG MOVE, it was indicated that substantial progress had been made, although evidence of further progress would be required before the ban could be lifted. We understand that the DCA submitted a Safety Plan in Summer 2014 to DG MOVE based upon the revised operating procedures identified in the USOAP audits and that DG MOVE has requested further information on this.

Whilst the initial ICAO ICVM indicated that the CAA had not at that point met the standards for aviation safety oversight required by ICAO, some progress has subsequently been made, as described in Section 2.10. This progress is due to be assessed in a second ICVM to be undertaken in March 2016. It is possible, therefore, that ICAO's global minimum target of Effective Implementation (EI) of ICAO SARPS, which is set at 60%, will be attained by this date. It is understood that representatives from DG MOVE will travel to Zambia to reassess the situation in April 2016.

2.12 Other donor activities

There are a number of other donor activities covering the aviation sector in Zambia. These include a transport policy study on behalf of the MCT financed by the World Bank which includes a component for air transport. The International Air Transport Association (IATA) is also providing technical support to Proflight to assist with the International Air Operator Safety Audit (IOSA). ICAO provide continued assistance to the CAA at a regional level through COSCAP-SADC, which organises training workshops and maintains a pool of regional aviation safety inspectors.

The European Union, through the European Civil Aviation Conference (ECAC) has recently launched a EUR 7.0m technical assistance project to improve aviation security in Africa and the Arabian peninsula, but it is not yet known whether this will include Zambia.

3. Policy context

3.1 EU-Zambia policy

The priorities in EU-Zambia bilateral support are given in the Zambia-EU Country Strategy Paper (CSP) and National Indicative Programme (NIP) for the period 2008-2013. Financial aid is provided through the country's allocated budget under 10th EDF, which amounted to €519 million over the five year period.

In the CSP and NIP, it was proposed that EU support to the aviation sector would be implemented through a project approach focusing on soft components such as technical assistance rather than physical infrastructure¹². This would cover specific areas such as aviation safety, ATM (air traffic management), regulatory studies etc.

¹¹ The Committee is also responsible for overseeing the SAFA (Safety Assessment of Foreign Aircraft) audit programme and for the licensing of third country airline operators

¹² Earlier EU funding under the 9th EDF had focussed on airport infrastructure including a 700m runway extension at Lusaka airport.

Other EU-Zambian issues are covered at the African level through its bilateral relations with AFCAC (African Civil Aviation Commission). In addition, as described in Section 1.2.9 above, the European Commission is responsible for ensuring the safety of air carriers operating in the EU and has currently placed a ban on all Zambian-registered airlines from entering European airspace.

3.2 Zambian Government policy

Support for the air transport sector as a prerequisite for economic growth was recognised in Zambian Sixth National Development Plan for the period 2011-2015¹³. Improvement in air safety was indicated as a key objective and capital budgets were allocated accordingly. This was endorsed in Zambia's Transport (Aviation Sector) Policy of 2002. The Aviation Sector Policy was being updated during the MTE carried out in July 2014 and we have been advised that this is still the current position. In the interim, the President's Office has prepared a list of short-term policy objective for the aviation industry in Zambia, including the development of its airport sector and improved training across the sector as a whole.

4. Aviation Sector Support Programme-1

4.1 Background

The Aviation Sector Support Programme was a €3.0m technical assistance and training project to improve air safety in Zambia in compliance with international standards. The project was funded under the 10th EDF as part of Zambia's €489.8m budget allocation over the period 2008-2013. The contracting authority was the European Union (EU) Delegation for Zambia and COMESA on behalf of the National Authorising Officer (NAO) under the Zambian Ministry of Finance and National Planning. The project beneficiary was the Department of Civil Aviation (DCA) within the Ministry of Transport, Works, Supplies and Communication, although the DCA was replaced by the Civil Aviation Authority during the course of the project. The delivery approach was through partially decentralised management between the EU Delegation and the NAO. The overall management of the project was under the guidance of a Steering Committee (PSC) comprising representatives of all industry stakeholders.

The Financing Agreement for the project was signed on 8th June 2011. The project had an operational phase of 42 months (due to expire on 8th June 2015) and a closure period of a further 24 months – although this was extended under an Addendum (No III) to 8th December 2015. In practice, all work on the project was completed by the end of October 2015.

The project was awarded to a consortium comprising NTU of Denmark (the lead contractor) and GOPA of Germany following an open tender. The project itself started on 16th January 2012.

The budget for the technical assistance component of the project was initially €1,850,000, although following several redistributions of the overall budget under Addendums No I, II and III in order to provide additional mandays for the Team Leader and Senior Short-term Experts, this increased to €2,096,667.

¹³ This was subsequently updated as the Revised Sixth National Plan – 2011-2016

4.2 Initial Terms of Reference

The initial Terms of Reference for the project identified a number of key areas to be addressed through technical assistance, although it stressed that it should ultimately be 'demand-driven' by the needs of the beneficiary. The key results expected were:

- DCA transformation and reorganisation supported
- Enhanced safety and security oversight capability
- Implementation of the EASA Safety Roadmap¹⁴ and ICAO Corrective Action Plan
- Improved implementation of air navigation services (ANS) and security at airports
- Improved Zambian aviation search and rescue (SAR) capability
- Improved economic regulation of the civil aviation industry in Zambia

A total of €1,700,000 was shown for technical assistance and, based on this, an overall allocation of 600 mandays for the Team Leader was shown – with a further 1,000 mandays by short-term experts. In addition to technical support, the budget included an allocation of €600,000 for communications equipment for ANS and specialist training equipment for baggage security staff.

In their tender, NTU proposed a total of 390 mandays for the Team Leader and 60 mandays for the Project Director. A total of 700 mandays for Senior Short-term Experts and 300 mandays for Junior Short-term Experts was proposed.

In practice, the technical support given during the project almost exclusively focused on assistance in the establishment of the CAA, the improvement of aviation safety oversight and the drafting of new or harmonised aviation legislation. The technical support provided in other areas defined in the Terms of Reference was very limited.

It was recognised early on in the project that staff training would be required, particularly for those working in the new CAA. However, whilst a Training Needs Assessment was carried out, relatively little training itself was undertaken during the ASSP1 project itself. In addition, whilst a specification for some training equipment was prepared and submitted to the EUD, this could not be procured under the project due to the EDF's D+3 regulation (see Section 3.4).

4.3 Key components of project undertaken

The key components of the ASSP I project which were actually carried out are shown in Table 4.1 below

¹⁴ The EASA Safety Roadmap was prepared following two missions by EASA experts in 2009 and 2011.

Table 4.1 Key components of ASSP I project

Component	Input	Mandays
Technical assistance to CAA Inspectors to implement the ICAO ISOAP Corrective Plan and resolve the SSC primarily in relation to airworthiness (AIR), flight operations (OPS) and personnel licencing (PEL)	7 SSTEs	560
Technical assistance for the restructuring of the CAA	2 SSTEs	87
Assistance in reviewing existing legislation for aviation sector and redrafting the new Aviation Act	2 SSTEs	207
Economic assistance to the CAA	2 SSTEs	25
Technical advice and training on ANS (Air Navigation Services) operations and oversight	1 SSTE	10
Preparation of a training needs assessment (TNA) for CAA, ZACL and ZASTI staff	1 SSTE	28
Provision and funding of training courses for CAA and ZACL staff	-	-
Assistance in the compilation of the Programme Estimate budget	1 JSTE	40
Total	-	957

All short-term experts were managed and supported by the Team Leader (572 mandays) and the Project Director (39 mandays) to give an overall input of 1,568 mandays.

We have reviewed the Project Progress Reports and Expert Reports provided to us although the nature of much of the work, particularly the assistance to the CAA Inspectors for the ICAO USOAP Correction Plan, was multifarious. As a result, it was difficult to ascertain the precise contribution provided by many of the ASSP I short-term experts.

In the case of the assistance for the ICAO USOAP Correction Plan, the overall level of ASSP I short-term expert input was high (560 mandays). Nevertheless, the achieved results after the ICAO can be regarded as satisfactory – particularly the lifting of the SSC and the increase in the Zambian CAA's overall EI.

Similarly, the level of input required to draft the new Aviation Act (207 mandays) was also high. This was partially due to the fact that the short-expert expert involved with this, although highly qualified, had relatively little experience in the aviation sector. Whilst we recognise that the primary legislation for aviation needed to be updated, we question whether it was strictly necessary to combine the existing legislation into a single Act. In other many countries, the primary legislation is spread across several Acts. That said, the new Aviation Act will now provide a more harmonised legislative framework once it fully incorporates the necessary secondary legislation required by the ICAO SARPS.

The training needs assessment seems to us to have been quite comprehensive. Nevertheless, the training organised under the project was limited to a legal workshop and a four day Flight Operations Inspector course in Lusaka attended by some 28 Inspectors from the region, including seven from the Zambian CAA. Four CAA staff also attended courses in Safety Management Systems (SMS), State Safety Plans (SSPs), Air Operator Certification and Integrated Aviation Management Systems (IAMS) in Singapore and South Africa, funded under the Programme Estimate. Despite the delay in agreeing the Programme Estimate, we believe that more staff training could have been organised during the project.

4.4 Chronology of project activities and milestones

As indicated in Section 4.1, the Project Team mobilised in early January 2012, commencing with a kick-off meeting with the Project Steering Committee (PSC). It was clear early on in the project

that the key focus of the project would be largely on providing technical assistance to implement the Corrective Action Plan for the ICAO USOAP, including resolution of the SSC, and several short-term experts were quickly recruited.

The overall management and control of the project was undoubtedly affected by the fact that there were four Team Leaders in the first year of the project. The first Team Leader (Ross) worked for just 11 days on the project but left due to illness. The Project Director (Baldwin) then took over as Acting Team Leader on a part-time basis between March-May 2012. Later in May 2012, a Senior Short-term Expert (Billiaz) was appointed as Acting Team Leader – before a fourth Team Leader (Kochoveski) took over in October 2012. Mr Kochoveski remained as the Team Leader on a full-time basis until March 2015.

A key milestone during the project was the ICAO ICVM mission in November 2012 and from January 2013 onwards there was relatively little input from short-term experts. The Team Leader's role was largely to assist in the development of the new CAA. There was no external staff training funded under the project until xxx, due to delays in approving the Programme Estimate.

There were a number of delays in the specification of the equipment to be procured under the project. Initially it was proposed that this should involve a new flight training aircraft for ZASTI suitable for CPL (Commercial Pilot Licence) training. It is however clear to us that the demand for CPL training in Zambia is very limited and, as such, this proposal was inappropriate. The specification was subsequently changed to provision of training software for airport security personnel and ATC staff. In addition, the initial budget of €600,000 was reduced to €450,000 to provide more expert mandays. However, due to delays in submitting the revised specifications to the EUD and changes in the application process to EUD, it was not possible to procure the equipment within EDF's D+3¹⁵ timeframe. Whilst we regard this as an inefficiency within the ASSP I project, in retrospect we believe that this may be the best outcome as it is proposed that a more detailed equipment needs assessment will be carried out for ZASTI under the ASSP II project.

4.5 Allocation of resources

Whilst we acknowledge that the project was 'demand-driven' by the requirements of the beneficiary, we believe that the allocation of resources over the full 42 months of the project could have been better managed.

In the first instance, we question as to why NTU only allocated 390 mandays for the Team Leader in their proposal despite the recommendation of 600 mandays shown in the Terms of Reference. We assume that this may have been due to difficulties in finding a suitable full-time Team Leader for their tender proposal. This led to a shortage of allocated key expert mandays for the Team Leader in the latter part of the project – although this was partially alleviated by the transfer of the €150,000 contingency budget and €150,000 from the equipment budget to provide additional key and short-term expert mandays. In addition, the Team Leader worked for 50 days as short-term rather than a key expert.

¹⁵ This Regulation states that all equipment must be procured within 36 months of the signing of the Finance Agreement.

Due to the imminent ICVM mission, some 714 short-term mandays were allocated to the project in 2012 – representing some 78% of all short-term expert input available within the project budget. This left little further input available for ongoing work in the following 27 months of the project. Of the remaining 203 short-term expert days available after December 2012, some 104 days were utilised to draft the new Aviation Act and 50 days were allocated to the Team Leader (see above).

The shortage of short-term expert mandays effectively meant that from January 2013 onwards the Team Leader lacked a team to pursue the other objectives of the project as defined in the Terms of Reference. We recognise however the Team Leader did play a key role within the Transition Action Team for the creation of the new CAA and in supporting the legal expert drafting the new Aviation Act, who was unfamiliar with some of the specific issues involved.

4.6 Final project budget and expenditure

As indicated in Section 4.1 above, the project budget as defined in the initial Terms of Reference was amended through three Addendums (I, II and III) approved by the EUD during the course of the budget. Provisional figures for the final project budget expenditure are shown in Table 4.2 below.

Table 4.2 ASSP I – Initial budget and final expenditure (provisional)

	Initial budget	Final expenditure (Provisional)
Technical assistance	€1,700,000	€1,964,650
Programme estimates	€200,000	€164,722
Supplies	€600,000	-
Contingencies	€150,000	-
EASA monitoring	€200,000	€180,000
Evaluation and audit	€150,000	€150,000
Total	€3,000,000	€2,459,372

As is indicated by the table, the overall shortfall between the initial project budget and the final expenditure is essentially accounted for by the non-procurement of the proposed equipment for the ZASTI training school.

We have reviewed that manday rates charged by NTU. The fee rates for specialist aviation consultants for this type of international assignment are often rather higher than those in other sectors and we feel that the average cost per manday (including travel and per diems) of €1,568 per manday was reasonable.

4.7 Monitoring and evaluation

The project was monitored by EASA experts who attended several of the Project Steering Committee meetings. This provided an external view of the progress of the project although no specific technical assistance was provided. In the final year of the project, an EASA expert did provide some advice and assistance to the CAA to assess the State Safety Programme (SSP) Gap Analysis performed by the CAA, to identify the building blocks for the SSP and to support its implementation, including timeframes. The CAA acknowledge that this assistance was most useful.

The project was also assessed through a mid-term evaluation carried out in July 2014. The MTE report made a number of conclusions, including that a more detailed work plan should be drawn

up for the remaining key and short-term experts and agreed with the DCA/CAA. It was also recommended that the training needs assessment should be revisited and training courses should be provided either internally or externally to meet these requirements. We do not feel that either of these was adequately addressed and, were it have done so, the overall outcome of the project would have been enhanced.

We believe that the internal monitoring of the project, including the achievement of defined outcomes and deliverables for each component within a specified number of mandays could have been improved. We note, in particular, that the Project Director appears to have made no contribution to the project after February 2013. As such, the project seems to have rather drifted after this date despite the additional mandays made available under Addendum No 3. We do accept, however, that some of the initial project objectives, such as the establishment of the new CAA and an overall improvement in the USOAP EI rate were achieved.

5. Project evaluation

5.1 Evaluation methodology

To evaluate this project, we have reviewed all available documentation and we have interviewed most of the relevant staff at the CAA and other stakeholders. From this, we have prepared a synopsis of the background, the progress and the outcome of the project which is described in Sections 2 and 3 above. Based on this, we now prepare a formal evaluation of the project in line with the standard OECD evaluation criteria of relevance, effectiveness, efficiency, visibility, sustainability and cross-cutting issues. To assist with this, we have prepared a number of evaluation questions which are responded to in Sections 5.2 – 5.7 below.

5.2 Relevance

This relates to whether the project can be considered as relevant to the policies and objectives of the beneficiary and the EU and whether the project design and implementation mode was appropriate.

Was the project relevant to the policies and objectives of the beneficiary and the EU ?

As indicated in Section 2 above, support for the air transport sector as a prerequisite for economic growth was recognised in the Zambian Sixth National Development Plan for the period 2011-2015. The importance of the air transport sector, particularly to Zambia's tourism industry, is clear – and, as such a safe and reliable system with appropriate safety oversight in line with ICAO requirements. The importance of appropriate safety oversight is reflected in the EU's ban on all Zambian airlines from entering EU airspace.

To what extent was the project design (including the strength of the logframe and the underlying rationale for selection of indicators) valid and responsive to external factors ?

As discussed in Section 3, the initial project design and logframe envisaged a much wider project scope. Nevertheless, it was envisaged that the project would be demand driven which narrowed its focus to supporting the development of the CAA, implementation of the ICAO USOAP Corrective Plan and to updating the legislative framework for the aviation sector. As such, the project can be considered as responsive to external factors, such as ongoing ICAO requirements and the EU ban. The key indicators used in the logframe to assess the project (ie the ICAO

USOAP EI rate and other assessment reports) were certainly valid – although, in practice, these were not fully updated during the course of the project. As such, it may be necessary to update this Evaluation Report once the ICAO ICVM mission report is available.

To what extent did the choice of implementing options/modalities have on the overall success of ASSP I ? Would alternative implementing options/modalities have made a significant difference to achievement of results ?

We generally believe that the implementing option selected (ie the use of a private contractor) was probably appropriate – at least in the context of the initial Terms of Reference. However, in view of the change in focus to the implementation of the ICAO USOAP Corrective Plan, the increased involvement of an international organisation such as EASA could have been equally as effective.

5.3 Effectiveness

This criterion considers whether the project achieved its expected outcome(s) and has led to the development of the Zambian aviation sector as a whole.

To what extent did the 10th EDF project achieve its intended results ?

There is little doubt that one key target for the project, namely the removal of the ICAO USOAP SSC and an improvement in the overall EI rate, was achieved in the first 12 months of the project. Thereafter, its impact is more difficult to gauge. Support was provided to establish the new CAA. However, a number of intended project components were very limited in scope or were not undertaken at all. Certainly we would have expected more training to have been accomplished and support in other areas, such as economic advice on airport and ANS charging systems and assistance in the development of a Search and Rescue capability might have been undertaken with a more judicious allocation of the short-term expert resources – although these were exhausted due to the focus on the improvement of aviation safety oversight and legislative reform..

What effect has technical training under ASSP I had on the beneficiary's capacities and knowledge and has this led to improvements in performance ?

As indicated in Section 3.3, only two formal training courses were organised for CAA staff during the course of the project, although some on-the-job training (OJT) was provided to CAA Inspector staff and funding was provided to attend external courses in Singapore and South Africa. As such, this training must be regarded as only making a limited impact on the CAA 's performance.

5.4 Efficiency

The criterion considers whether the allocation of project resources were appropriate, whether it could have been better managed and monitored and whether it represented good value for money.

Were the resources allocated between the various project components appropriate including the mandays allocated between the key and the non-key experts ?

As indicated in Section 3.5, the majority (78%) of the short-term expert mandays available within the project budget were allocated in the first 12 months of the project, which restricted the capacity for further activities after this date. In general, we feel that the project benefited by the presence

of a full rather than a part-time Team Leader and that the balance of mandays between the key and the short-term experts (after adjustments through the three Addendums) was appropriate.

What delays were experienced during the project and how did they impact on the project outcome ?

As outlined in Section 3.4, delays in agreeing the Programme Estimate until mid-2013 reduced the time available for training within the project timeframe, although we still maintain the more training could have been achieved. Similarly the delay in agreeing the procurement specification for the training equipment could have been avoided if a more considered approach had been taken. Delays in inputting the relevant documents into the OLF (online framework) system are likely to have hindered the progress made in implementing ICAO's USOAP's Corrective Plan following the ICVM mission in December 2012.

To what extent did ASSP I procurement outcomes and financial management represent good value for money ?

As indicated in Section 3.6, we believe that the average cost per manday worked on the project can generally be regarded as reasonable although the number of mandays worked on each project component could probably have been reduced with improved planning and more specific targets.

To what extent does ASSP I contain within it adequate provision for monitoring and evaluation (including the quality of baseline information gathered, the regular use of monitoring data for decision-making and in-house capacity to do M&E work) ?

The provision for both an external mid-term and final evaluation was appropriate although arguably the mid-term evaluation was undertaken rather late (some 30 months after the commencement of the project). We believe that better in-house monitoring of the project could have been achieved if specific target deliverables and manday allocations had been set for each short-term expert mission. Similar targets could have been set for the Team Leader.

To what extent have lessons from the mid-term evaluation been put into practice and internalised by decision-makers ?

As discussed in Section 3.7, we were disappointed that many of the recommendations made in the MTE were not put into practice. In particular, we can find little evidence of a detailed work plan for the remaining mandays available within the project budget and little progress was made on the training programme. In addition, neither the consultant nor the beneficiary established an ASSP I project website either as part of the CAA website or on a stand-alone basis to increase the project visibility. Indeed, at the time of writing, the CAA has not yet set up its own website to supercede that of the now-defunct DCA.

5.5 Visibility

A Visibility and Communications Plan was prepared as part of the initial Terms of Reference which proposed that the visibility of the project should be enhanced through regular press conferences, press releases etc. We can find no evidence that these took place. The Plan did not suggest that a special website should be set up – although this would seem appropriate in view of other

websites for similar EU technical assistance projects to improve aviation safety oversight in Africa eg the IASOM¹⁶ project in Malawi.

5.6 Sustainability

In view of the improvement in Zambia's aviation safety oversight capability, the ASSP I project can generally be regarded as sustainable although this would have been enhanced if further training had been provided. The work undertaken to draft the new Aviation Act can also be seen as sustainable, although this would be limited if any significant further redrafting of the legislation were necessary eg to combine the Aviation Act and the Civil Aviation Authority Act. In our view, this is unlikely to be necessary, although further legal advice should be taken to confirm this.

5.7 Cross-cutting issues

There are limited cross-cutting issues arising from the ASSP I project. In terms of gender, we noted that the balance of male and female employment in the CAA and in ZACL would appear to be similar to that in equivalent organisations in other countries. It was not part of the ASSP I project brief to examine this – although we do feel that it would be appropriate to consider this in an overall training needs assessment for the aviation sector as a whole – particularly for those wishing to enter the industry. Similarly the project did not address any environmental or climate change issues in the Zambian aviation sector or more widely across the aviation sector on a global basis. We will however recommend that training in aviation environmental awareness and best practices, should be provided as part of the forthcoming ASSP II project.

6. Conclusions

Our overall findings in our evaluation are rather mixed and can be summarised as follows:

- The ASSP I project can certainly be regarded as relevant to the needs of the beneficiary and the future development of Zambia's air transport sector. It is clearly essential that the aviation safety oversight meets minimum ICAO standards and is supported by an appropriate structural and legislative framework. This will enable the aviation sector to grow and support the Zambia's economy, particularly its tourism industry.
- The project has been partially effective in that progress has been achieved in establishing an independent CAA and in improving aviation safety oversight capacity. In particular, the Significant Safety Concern (SSC) identified in ICAO's USOAP audit in 2009 has now been lifted and the Effective Implementation (EI) rate of Protocol Questions (PQs) has increased from 35.2% to 46.9%. However, the progress made since the ICVM mission in December 2012 is difficult to fully assess as the relevant documentation has not been inputted into ICAO's USOAP Online Framework (OLF) system. Consequently the EU ban on Zambian airlines from entering EU airspace remains in place.
- A new Aviation Bill has been drafted during the project although this still needs to be enacted by Parliament and revised to incorporate secondary legislation as defined by the ZCARs (Zambian Civil Aviation Requirements)

¹⁶ IASOM – Improvement in Aviation Safety Oversight in Malawi

- Due to the demand-driven approach in which the project resources largely focussed on the ICAO Corrective Action Plan and on the drafting of the Aviation Act, limited staff training was provided and other components of the project identified in the Terms of Reference, such as technical assistance to improve air navigation services (ANS), security at airports and economic regulation were curtailed
- The initial project design and allocation of mandays between key and short-term experts could have been better planned and monitored. In their initial proposal, the contractor, NTU, allocated insufficient mandays for a full-time Team Leader for the full duration of the project. The majority (78%) of the short-term expert mandays were utilised during the first 12 months of the project to support the ICAO Corrective Action Plan prior to the ICVM mission in December.
- There were a number of delays during the project which could have been avoided with better planning. In particular, the Programme Estimate was not agreed until mid-2013, over 15 months after commencement of the project. This delayed the implementation of the training programme and limited what could be achieved. Similarly, we feel that that a more realistic view should have been taken as to what training equipment was appropriate for ZASTI which would have enabled the D+3 timescale for procurement to be met.
- The in-house monitoring of the project either by the contractor or by the beneficiary was inadequate. The project outcome could have been improved if specific target deliverables and manday allocations had been set for each short-term expert mission. Similar targets could have been set for the Team Leader.
- Although a mid-term evaluation was undertaken, many of its recommendations were not taken into account during the remainder of the project. In particular, there was no concerted effort to effectively plan the future workload of the Team Leader or the short-term experts nor to identify what additional training could be carried out. As such there was a tendency for the project to drift during its latter stages. In view of this, it has been necessary to implement the ASSP I Bridging Project to assist with the uploading of documentation into the ICAO OLF system prior to the next ICVM mission in March 2016. The ASSP I Bridging Project also includes further technical assistance to update the Training Needs Assessment and to incorporate secondary legislation (ZCARs) into the Aviation Act.
- Whilst some progress has been made during the ASSP I project, the Zambian aviation sector, like that of many other countries in sub-Saharan Africa, still has some way to go, not only to meet ICAO targets and requirements but also to build a financially self-sustaining industry to support its growing economy and tourism sector. With the support of EASA and ICAO and appropriate planning and monitoring, the new ASSP II project can make a strong contribution towards these goals.

Appendix A:

List of Interviewees

FINAL EVALUATION OF THE AVIATION SECTOR SUPPORT PROGRAMME
PHASE I IN ZAMBIA

18th January – 25th February 2016

List of Interviewees

1)	Stephen McCluskey	EUD	stephen.mcluskey@eeas.europa.eu
2)	Adam Grodzicki	EUD	adam.grodzicki@eeas.europa.eu
3)	James McNulty	EUD	james-francis.mcnulty@eeas.europa.eu
4)	Gabriel Lesa	CAA DG	gablesa@yahoo.com
5)	Samson Kabaso	CAA	kabasosm@gmail.com
6)	Capt Phil Lemba	Proflight	industryaffairs@proflight-zambia.com
7)	Danny Kafuli	MTC	kafulidanny10@gmail.com
8)	Billeard C Shingalili	ZASTI	bshingalili@gmail.com
9)	Robinson Misitala	NACL	robinson.misitala@lun.aero
10)	Nicholas Chikwenja	Dir, Transport	chikwenyan@gmail.com
11)	Alex Nondo Chikwese	NAO (EDF)	achikwese@nao.gov.zm
12)	Edwin Luwaya	CBU	eluwaya@gmail.com
13)	Lt Col Lillian Muwina	CBU	muwina@yahoo.co.uk
14)	Jonathan Lewis	NPC2000	md@nac2000.com.zm
15)	Temwani Chihana	NAO	tchihana@nao.gov.zm
16)	Branko Kochovski	-	bkockovski@gmail.com
17)	Tony Irwin	Proflight	tony@proflight-zambia.com
18)	Chileshe Mwiko	CAA	cmwiko@gmail.com
19)	Mwinda Mulonda	CAA	mmulonda@yahoo.com
20)	Stanley Nkandu	CAA	snkandu@yahoo.com
21)	Desmond Jere	CAA	desmond.jere@gmail.com
22)	Sepiso Zimba	CAA	sepisomzimba@gmail.com
23)	G.Malenji	ZACL	-

24)	A.Chaila	ZACL	-
25)	M Chatora	ZACL	-
26)	Friday Mulenga	ZACL	-
27)	Stanley Sitali	ZACL	stanley.sitali@lun.aero

Key components of ASSP1 and Objectives for ASSP II

Subject	Description of activity	Remarks	Future objectives In ASSP II
Key components of project ASSP I			
<p>Component 1: Upgrade of the Legal, Institutional and Organisational Framework</p>	<p>1 CAA Structure CAA created under the CAA Act no 7 of 9 Aug 2012.and new staff recruitment.</p> <p>2 Legislation Draft Aviation Bill submitted to Parliament for enactment. Awaiting so around March 2016.</p>	<p>CAA structure and Job descriptions developed.</p> <p>Civil Aviation Bill as a primary Act was drafted, and is now awaiting enactment by Parliament in coming months.</p> <p>Select Subsidiary Legislation (Regulations) to be drafted under Bridging Support in 2016. TOR for bridging support to Zambia Civil Aviation Sector in progress since Jan 2016 is working on drafting 3 regulations namely: AOC, provision of air navigation services and Aerodromes and ground aids.</p> <p>Note: Titles of these regulations are inappropriate and must be properly named. Could be Aerodrome regulations, Operations regulations and Air Navigation services regulations.</p> <p>Experts reviewed and amended certain Civil Aviation Regulations in respect of airworthiness (ZCAR part 4, 5, 6, 7), personnel licensing (ZCAR part 2). These so-called</p>	<p><i>1 Need for a documented and approved Organizational and Procedures Manual for the CAA describing functions and responsibilities of CAA, its directorates and its staff including Inspectors.</i></p> <p><i>1a A Regulatory Audit Manual shall need to be developed, and implemented.</i></p> <p><i>1b A surveillance manual shall be developed detailing inspections and audits and follow up programme for all areas of oversight of the CAA.</i></p> <p><i>2 Job descriptions to be formalised by CAA.</i></p> <p><i>3 Civil Aviation Regulations need to be developed to support the relevant Acts and the proposed bill before Parliament in Feb-March 2016.</i></p> <p><i>4 Other regulations as required by the Acts shall need to be developed in the ASSP II project, mainly specific safety and security regulations, and economic regulations for airports, and for air carriers. Enforcement regulations and penalties against civil aviation regulations shall be developed.</i></p>

			<p>regulations are really Requirements as per the format and content of the COSCAP model requirements.</p>	<p><i>4a Regulations covering areas of aerodrome design and certification, Air Navigation Services, Aircraft Accident Investigation, Aviation Security and Dangerous Goods will need to be developed.</i></p> <p><i>4b A Mandatory Occurrence Reporting System regulation shall be developed.</i></p> <p><i>5 CAA shall need to set copies of all documentation including manuals, guidance materials, forms , checklists, and CD copies for safe keeping. It shall also keep Master copy of same.</i></p> <p><i>6 CAA and Ministry of Transport to initiate actions for enabling Ratification of Article 3bis of the Chicago Convention related to interception of and other enforcement measures with respect to a civil aircraft in flight.</i></p> <p><i>7 CAA to ensure proper terminology and consistency for Regulations vis a vis the Requirements and that effective dates are obvious to the users of the laws, the Civil Aviation Regulations and of the Requirements.</i></p> <p><i>8 CAA shall ensure that a Quality Management System for Documentation and Records is adopted such that</i></p> <p><i>i)a documented procedure is established for production, management and control of all documents, forms, check lists and guidance materials and Circulars in accordance with</i></p>
--	--	--	--	--

				<p>ISO 9001 standards (see ISO 9001 section 4.2.3 on Control of Documents).</p> <p>ii)a control method in accordance with ISO 9001 4.2.4(Control of Records) for keeping Identification, storage, protection, and retrieval of transactional records for approvals, certification, renewals, and audit surveillance of operators, and other working files of the CAA.</p> <p>9 CAA shall need to develop and implement enforcement procedures based on regulations on offences and penalties against civil aviation.</p> <p>10 A Mandatory Occurrence Reporting (MOR) system shall be put in place and appropriate regulations and procedures developed for the implementation of the MOR system.</p> <p>10a An appropriate platform for data management and control of occurrences based on the MOR such as the European ECAAIRS shall be developed and utilised for control of occurrences and investigations.</p> <p>11 A Safety Management System (SMS) regulations and relevant SMS guidance materials shall be developed, and aviation operators required to implement them.</p> <p>12 An Aircraft Accident and Incident Investigation Board shall be constituted under the regulations.</p> <p>12a ASSPII shall provide assistance with set up of the Boardwith delegated Accident</p>
--	--	--	--	---

				<p><i>Investigation Inspectors appointed by the Government Minister and reporting to the Minister. Initial guidance shall be provided for enabling the Board to be set up and get the necessary grounding for eventual investigation tasks and with adequate arrangements for collaborations and assistance from foreign Accident Investigation Boards.</i></p> <p><i>12b Training of investigation inspectors, and administrative and procedures manuals for investigation will be required, and the Project can assist in necessary preparation of these requirements.</i></p>
	<p><u>Component 2:</u> Training Programme, Visibility and Communication Activities</p>	<p>Programme Estimate approved on 01st October 2013 and covers the period from 01st October 2013 to 30 September 2015.</p> <p>CAA does project monitoring.</p> <p>A training need analysis for CAA was carried out but was considered not appropriate.</p>	<p>Some Inspectors received training in Singapore in subject discipline while training was dispensed for On line Framework and Protocol Questions uploads.</p> <p>Bridging Support Project is presently working on Training Needs.</p> <p>Staff Training will be reinforced in ASSP II</p>	<p><i>1 The new Training Needs shall be reviewed and approved for implementation by the CAA. Such training shall be sustained for future years on an on-going annual basis referred to an annual training programme.</i></p> <p><i>2 CAA website to be overhauled and updated and be more proactive, with guidance materials , forms , checklists and regulations available on site and maintained up to date for the industry and for the public.</i></p> <p><i>2a CAA may have an intranet for sole use by CAA staff giving controlled access to documents and procedures , and manuals, forms and checklists.</i></p>
	<p><u>Component 3:</u> Safety and security oversight capacity of Zambia CAA enhanced</p>	<p>Project focussed on enhancement of safety oversight, staff training and CAA organizational set up.</p>	<p>Security oversight received no consideration in the project.</p> <p>Project focussed on areas of aviation law, CAA creation and improvement of specific safety areas such as AIR, OPS and PEL with direct</p>	<p><i>Next project to continue focus on all areas including ANS, AGA and AIG.</i></p> <p><i>Need for future ICVM to cater for all areas including ANS, AGA, and AIG to enable a comprehensive assessment of the</i></p>

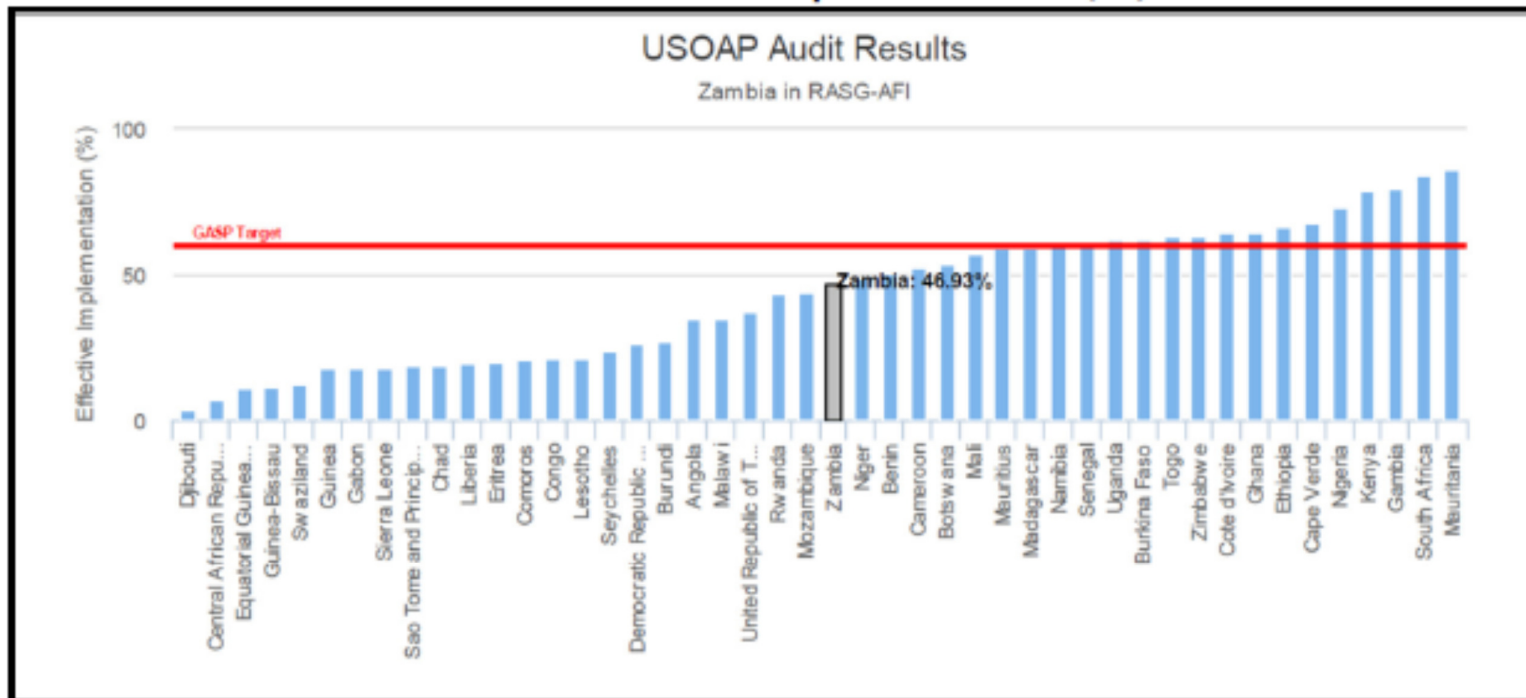
		<p>OPS, AIR, PEL Experts reviewed regulations and amended them and guidance materials and inspector manuals were developed. Advisory Circulars were drafted</p> <p>Workshops and OJT on safety delivered during the duration of the project.</p>	<p>impact on SSC and the EU ban of Zambian airlines to EC airspace.</p> <p>Issues: USOAP of 2009 registered EI of 33.5%. World average is 60%.</p> <p>ICVM of Dec 2012 raised EI to 47% pursuant to Experts' outputs on regulations and guidance materials and on the job training and re-certification of operators.</p> <p>ICVM audit focussed on AIR, OPS, PEL, LEG and ORG.</p> <p>The ICVM revealed following LEI in the critical areas after the audit: CE 4(Technical Personnel and Qualifications/Training) at 77.5%, CE7 (Surveillance Obligations) at 60.3%, and CE8 (resolution of safety concerns) at 87.5%.</p> <p>Significant Safety Concern (SSC) resolved by 10 Jan 2013.</p> <p>Experts developed Inspector manuals, Guidance materials, Checklists and Advisory Circulars. They need to be formalised and approved and shall be controlled documents for use by the CAA and for the industry.</p>	<p><i>sustainability and progress of the Zambia CAA oversight of aviation safety and security.</i></p> <p><i>Zambia CAA shall need more attention to develop CAA structure and its procedures to deal with its responsibilities, and appropriate guidance for its staff and inspectors with thorough controlled documents, forms, checklists and auditing and inspection procedures.</i></p> <p><i>On the job training and workshops needed for enhancing inspectors capacity for carrying out licensing and certifications obligations, surveillance audits and for safety resolution in aviation.</i></p> <p><i>Besides , the critical areas showing high level will need attention.</i></p>
	<p>Component 4: Support to Contracting Authority for equipment purchase for main</p>	<p>Request for purchase of aircraft for ZASTI unsuccessful because of D+3 rules. Request was not properly formulated by ZASTI .see EASA Report.</p>	<p>ZASTI runs courses on flight training, aircraft maintenance, aviation security, Air traffic control, Rescue, and Fire Services. Flight training is limited to PPL but ZASTI has only one serviceable aircraft and no other flight training aids like simulators. It has facilities for</p>	<p><i>ZASTI need an overhaul of the whole school with solid mission objectives of providing training in specific areas for Zambians and for regional candidates while fully aware competition from regional training establishments and courses obtaining.</i></p>

	<p>sector stakeholders</p>		<p>Aerodrome, Approach and Area control training but it needs new training aids and has not recently run a course in ATM. AVSEC training aids are inexistent.</p> <p>Visit of facilities and discussions leaves impression that the management are not reacting to the needs for new courses, new educational training technology and new training aids. ZASTI need to develop new courses, which the market needs like Airport operations, air transport courses, specific courses on speciality maintenance and repair like welding, sheet metal work and structures, etc.</p> <p>ZASTI is not an accredited school. Zambia CAA has not certified ZASTI as an Approved Training Organization. Nor does ZASTI have other accreditation like ICAO Trainair.</p>	<p><i>Review of the schools business objectives will need to be reviewed by the government with contribution from aviation partners and educational institutes such that ZASTI will be premier school for training in aviation subjects.</i></p> <p><i>ZASTI need to inject new instructors and trainers and ensure systems in place for the continued recurrent training of these instructors for continuity of the relevance of the establishment.</i></p> <p><i>ZASTI needs assistance for certification of the school.</i></p>
--	-----------------------------------	--	---	--

Appendix C:

ICAO USOAP Effective Implementation (EI)
by AFI State

RASG-AFI states – USOAP Effective Implementation (EI)



Appendix D:

List of CAA staff

A C U L	NO.	JOB TITLE	S E X	NAME OF HOLDER	STAFF No.	SALARY SCALE	GRADE
	1	OFFICE OF THE DIRECTOR GENERAL					
1		Director General	M	Gabriel Lesa		CAA01	A1
		Quality Safety					
1		Manager Quality Safety	F	Lillian Brenda Mataka Lungu		CAA03	A3
		Internal Audit					
1		Manager Audit	F	Belinda Daka Chilufya		CAA03	A3
		Public Relations					
1		Public Relations Manager	F	Sepiso Mukubesa Zimba		CAA03	A3
		TOTAL					4
	6	AERODROMES AND SECURITY DEPARTMENT					
	a	General Administration					
1		Director AS	M	Adam Daka		CAA02	A2
		Aerodromes Management					
	b.	Aerodromes Standards					
1		Senior Inspector Aerodromes Standards	M	Joseph Phalka		CAA04	B1
1		Aerodromes Inspector - Standards	M	Mwenya Nathan Kaluba		CAA05	B2
1		Aerodromes Inspector	M	Kalaluka Nangunyi		CAA05	B2
1		Aerodromes Inspector - Design	M	Cuthbert Lungu		CAA05	B2
		Aerodrome Safety					
	d.	Aerodrome Safety					
1		Senior Rescue Fire Services Inspector	M	Nelson Mwankabala		CAA05	B3

1	Rescue and Fire Services Inspector	M	Jimmy Sikwibele		CAA07	B3
d.	Aerodrome Certification, Licensing, Compliance & Enforcement					
c.	Aviation Security					
1	Principal Inspector Aviation Security	M	Brighton Wina Mayamba		CAA03	A3
1	Senior Inspector Aviation Security	M	David Kalindi		CAA04	B1
1	Inspector Security	M	Brassio Kawangu		CAA05	B2
1	Inspector Security	F	Adesi Phiri Willombe		CAA05	B2
1	Inspector Aviation Security	M	Nicholas Chinoi		CAA05	B2
	TOTAL					12
4	FLIGHT SAFETY STANDARDS DEPARTMENT					
a	General Administration					
1	Director Flight Safety Standards	M	Mulonda Mulonda		CAA02	A2
1	Aviation Medical Assessor (<i>Part-time</i>)	M	Dr. Floyd Malasha		CAA03	A3
c	Flight Operations Unit					
	Cabin Safety					
1	Cabin Safety Inspector	F	Christine Chibwe		CAA05	
	General Aviation					
1	Senior Inspector Flight Operations	M	Stewart Mbanga Yeta		CAA04	B1
1	Senior Inspector Flight Operations	M	Captain Maurice Chimbelu		CAA04	B1
1	Inspector Flight Operations	M	Capt. Maxwell Nkandu Chama		CAA05	B2
1	Inspector Flight Operations	M	Major Richard W Kandanga		CAA05	B2
1	Inspector Flight Operations	M	Yichidi Ndhlovu		CAA05	B2
1	Inspector Flight Operations	M	James Zulu		CAA05	B2
1	Operations Inspector	M	Mwenya Chikolwa		CAA05	B2
b	Airworthiness Unit					

1	Principal Inspector - Airworthiness	M	John Brian Mandona		CAA03	A3
	Avionics					
1	Senior Inspector - Airworthiness	M	Patrick Mulimbika	CAA0004	CAA04	B1
1	Airworthiness Inspector	M	Francis Ntukumina		CAA05	B2
1	Airworthiness Engineer	F	Chipo Simuusa		CAA07	B2
1	Inspector Airworthiness Avionics	M	Lumbwe Chiwele		CAA05	B2
	Air-frames and Engines					
1	Inspector Airworthiness Airframes and Engines	M	Lato Chilala		CAA05	B2
1	Inspector Airworthiness Airframes and Engines	F	Rita Mutinta Shamambo		CAA05	B2
	Personnel Licensing					
1	Licensing Officer	F	Caroline Munsaka		CAA07	B3
1	Licensing Officer (Air)	F	Tiyenku Zimba		CAA07	B3
1	Licensing Assistant (Ops)	F	Martha Nguni		CAA09	C1
	TOTAL					21
	5 AIR NAVIGATION SURVEILLANCE DEPARTMENT					
	b. Communications Navigation Surveillance Unit					
1	Senior Inspector Communications, Navigation &	M	Harrison J Banda		CAA04	B1
1	Inspector Communications, Navigation & Surveillance	F	Namwai Nachalwe		CAA05	B2
1	Inspector Telecommunications Operations	F	Enia Kakombu		CAA05	B2
1	Inspector Telecommunications Operations	F	Audrey Chilabi		CAA05	B2
	Air Traffic Management Unit					
	c. Aeronautical Information Services (AIS)					
1	Aeronautical Information Services (AIS) Inspector	F	Doreen Mwaanga Silavwe		CAA05	B2
1	Aeronautical Information Services (AIS) Inspector	M	Allen Chiinga		CAA05	B2
	Air Traffic Management (ATM)					
1	Senior Inspector ATM Services	M	Alex Sinyangwe		CAA04	B1

1	Senior Inspector ATM Services	M	Samson Kabaso	CAA04	B1
1	Inspector ATM	F	Ireen Monde	CAA05	B2
1	Inspector ATM	F	Lizzy Mundanya	CAA05	B2
1	Inspector ATM	F	Saboi Mubiana	CAA05	B2
TOTAL					
11					
CORPORATE AFFAIRS DIRECTORATE					
2					
a	General Administration				
1	Director Corporate Affairs	M	Desmond Jere	CAA02	A2
3	Legal Services				
1	Legal Counsel	M	Stanley Nkandu Kaluba	CAA03	A2
1	Legal Officer	F	Muleya Mudenda	CAA04	B3
e	Finance				
1	Manager Finance	M	Kelly Chuunga	CAA03	A3
1	Management Accountant (<i>On Secondment</i>)	M	Bonaventure Chembe		
1	Accounts Assistant	M	Joseph Mulilo Banda	CAA07	C1
1	Financial Accountant (<i>On Secondment</i>)	M	Kachela Mulenga		
1	Cashier	M	Clifford Lukwele	CAA07	C1
b	Human Resources & Administration				
1	Manager Human Resource & Administration	F	Chlieshe Mwiko	CAA03	A3
	Human Resources				
1	Human Resources Officer	F	Nancy Nyambose	CAA06	B3
c	Administration				
1	Administrative Officer	M	Trust Haatimba	CAA07	B3
	Registry				
1	Records Officer	F	Charity Kafusha Katongo	CAA07	B3
1	Telephonist/Receptionist	F	Marjorie Kunda	CAA05	C2
d	Secretarial Services				

1	Executive Secretary	F	Merina Kafaniye Zulu	CAA05	B3
	Drivers				
1	Driver	M	Christopher Chlieshe	CAA09	C2
	Office Assistant				
1	Office Assistant	M	Frank Daka	CAA10	C3
1	Office Assistant	M	Christopher Tembo	CAA05	C3
1	Office Assistant	F	Florence Mwale	CAA10	C3
	Procurements				
1	Procurement Officer	M	Patience Haggai Silume	CAA05	B2
1	Procurement Officer	F	Emily Zulu	CAA05	B2
1	Assistant Procurement and Stores Officer	F	Shelly Nyambe	CAA07	C1
	Information Technology Communications				
1	Information and Communications Officer	M	Peter Nyirongo	CAA05	B2
1	Assistant Information Technology Officer	M	Felix Mantini	CAA07	B2
	Library Services				
1	Librarian	M	Solomon Mwete Phiri	CAA05	B3
	TOTAL				24
71	TOTAL				

Appendix E:

Indicative logframe

Appendix I - Logical Framework

Project Description	Indicators	Sources of Verification	Assumptions
<p>1. Overall Objective</p> <p>To promote regional integration and equitable economic growth in Zambia through the development of the aviation sector</p>	<p>Zambia GDP growth and other key-socio economic indicators Volume of passengers, import/exports of goods and products transiting by air to and from Zambia</p>	<p>Zambia Census of Population, National Household and Poverty incidence survey data National socio-economic surveys & Health data Public air transport statistics Customs records from the four international airports of Zambia</p>	
<p>2. Purpose</p> <p>To improve Zambia's compliance capability with international aviation standard in aviation safety, economic and security oversight</p>	<p>By the end of the project Compliance rate with ICAO safety and security standards increased from 48% to 75% Economic regulation unit within DCA/new CAA is operational</p>	<p>Internal and external technical audits including ICAO USOAP audits EASA final monitoring mission report Project evaluations reports</p>	<p>Commitment and willingness of GRZ to implement a sector reform process New Civil Aviation Act establishing and regulating an autonomous Civil Aviation Authority (CAA) for Zambia is enacted and implemented GRZ repeals or replaces laws for Airport, Anti-terrorism, Meteorology and Consumer Protection</p>
<p>3. Results</p> <ol style="list-style-type: none"> 1) DCA transformation and reorganisation supported; 2) Implementation of EASA Safety Roadmap and ICAO corrective action plan supported; 3) Enhanced safety and security oversight capacity of DCA. 4) Improved implementation of Air Navigation Services (ANS) and Security at airports 5) Improved Zambia's aviation SAR system, in conjunction with the Defence bodies 6) Improved economic regulation of the civil aviation industry in Zambia 	<p>By the end of the project DCA organigramma revised/new CAA organigramma established and operational in accordance with international standards Organizational compliance with ICAO doc 9734-1AN/959 increased from 30% to 100% Compliance rate with CE 1&2 on primary legislation and regulations increased from 40% to 90% 100% of DCA/new CAA technical personnel involved with licensing are compliant with ICAO required standards 100% of registered air operators have valid Air operate certificate in accordance with Zambia Civil Aviation regulation 100% of clearance and over flight demand is handled by DCA/new CAA 95% of flight clearance request processed on time by DCA/news CAA</p>	<p>Project TC Interim and final reports Regulations existing Supplies Final acceptance certificates Internal and external technical audits including ICAO USOAP audits EASA & ROM Monitoring reports Project evaluations reports</p>	<p>GRZ finds resources to finance necessary accompanying measures to the project Coordination ensured between ICAO, DG MOVE-EASA and the EU Delegation in monitoring project activities GRZ allocates enough budget to DCA to meet its safety and security obligation or new CAA allocates enough resources in its budget to meet its safety and security obligations GRZ allocates enough budget to DCA to ensure proper functioning of its SAR system</p>

	<p>100% of Air Traffic Controller are on-the-job-training in heavy traffic environment within last two years</p> <p>75% of Air Traffic Control equipment are compliant with minimum ICAO standards</p> <p>80% of DCA's/new CAA ICAO certified security inspectors are trained during the last two years with at least one inspector in charge of security equipment calibration</p> <p>70% of SAR system is compliant with ICAO SAR requirement with at least one exercise carried out in the last 2 years</p> <p>Number of MoU directly signed between the DCA/new CAA with SAR partners</p> <p>% of DCA's economist operator inspectors trained during the last two years increased from 0 to 80%</p> <p>Necessary new sector economic regulations drafted</p>		
<p>4. Activities</p> <p>1) Provision of technical cooperation for long and short TA, studies, trainings</p> <p>2) Supply of dedicated equipment</p> <p>3) EASA Monitoring</p> <p>4) Evaluations and audits</p>	<p>MEANS</p> <p>1) Services contracts and Programme estimates</p> <p>2) Supplies contracts</p> <p>3) Services contracts</p> <p>4) Services contracts</p> <p>5) Contingencies</p>	<p>COSTS, EUR</p> <p>1,900,000</p> <p>600,000</p> <p>200,000</p> <p>150,000</p> <p>150,000</p> <p>TOTAL : 3,000,000</p>	<p>Successful tendering and efficient execution of services and supplies contracts</p>

Appendix F:

Terms of Reference for assignment

SPECIFIC TERMS OF REFERENCE
EVALUATION AND FORMULATION OF THE AVIATION SECTOR
SUPPORT PROGRAMME PHASE II IN ZAMBIA
FWC BENEFICIARIES 2013 – LOT 2: TRANSPORT AND INFRASTRUCTURES
EUROPEAID / 132633 / C / SER / multi

1 BACKGROUND

1.1 Background

Zambia is a land-locked country located in Sub-Saharan Africa. It is bordered by Angola, Botswana, Tanzania, Zimbabwe, the Democratic Republic of Congo, Malawi, Mozambique and Namibia. The territory of Zambia covers an area of 752,614 square kilometres which is divided into ten provinces. The estimated population is of the order of 14 million people and the average population growth rate for the period 2010 – 2015 was 3.2% (with the urban population areas having an average 4.2% growth rate per annum). The average population density is 18.7 per square kilometre. The country is classified as a lower medium income country with the largest population concentrated along the line of rail (north to south).

After independence, and increasingly in more recent years, the Government of the Republic of Zambia (GRZ) has acknowledged the importance of air transport for the economic and social development of the country. As a land-locked country subject to time consuming and unreliable surface links with its neighbours and regional markets, a safe and reliable civil aviation industry is indispensable. This also applies to access to global markets for the purpose of tourism and the import and export of goods and services.

The key socioeconomic role and the capacity to contribute to regional development and integration of the civil aviation sector are well recognised. Legal and institutional reforms are needed to revamp the industry to meet the challenges of an increasingly liberalised global and regional environment. The GRZ needs to better meet its international aviation safety obligations and to provide a conducive regulatory and operational environment that can accommodate the demands of growth and changes in an aviation industry that is catering for growing tourism, industry and business demands.

The 10th European Development Fund National Indicative Programme (NIP) signed by the Government of Zambia and the European Commission (EC) in 2007 reflected the willingness of the EC to support the aviation sector in Zambia. Within the framework of this NIP, it was foreseen to allocate € 3M for the support to the Zambia Aviation sector. Consequently, the Aviation Sector Support Programme (ASSP I) commenced in 2012 and came to an end in 2015.

1.2 Zambia's context for the sector

Under the 11th European Development Fund NIP, the European Union (EU) will continue to provide capacity development in areas linked to compliance with international norms and standards (such as, for example, EU rules and regulations). One such area of intervention is the civil aviation sector.

The Revised Sixth National Development Plan (2014) recognises the transport sector and its sub-sectors such as aviation as key drivers for the socio-economic development of the country. In terms of aviation policy, the existence of a complete and up-to-date legal and regulatory framework constitutes one of the cornerstones of an effective civil aviation system which is safe, secure,

sustainable and efficient. In Zambia the Civil Aviation Authority Act No 7 (2012) paved the way for the transformation of the Department of Civil Aviation into an autonomous Civil Aviation Authority. The Civil Aviation Authority Bill was drafted with the support of the European Union under a framework contract which commenced in 2010. A further Aviation Bill is currently under review with the aim of consolidating all aviation legislation into single primary aviation legislation in order to remove various ambiguities and contradictions among the various acts and regulations.

The identification exercise for the 11th European Development Fund (EDF) support to the aviation sector has been completed successfully and resulted in the recently approved (October 2015) project concept which is attached as Annex 1.

2 DESCRIPTION OF THE ASSIGNMENT

The **Contracting Authority** for this contract is the European Union Delegation to the Republic of Zambia and COMESA (EUD) on behalf of the National Authorising Officer (NAO) of the European Development Fund in the Ministry of Finance.

The **Beneficiary** of this project is the Government of the Republic of Zambia through the Ministry of Transport and Communication (MTC) and its relevant subsidiaries (the Civil Aviation Authority, the Department of Transport etc.).

The **NAO** and the **Beneficiary** will identify one officer each who will be the day-to-day contact person for that institution. These contact persons will be introduced to the Consultant during the inception meeting.

The Beneficiary will facilitate access to Ministries, public organisations, authorities and agencies etc. whose activities and role are deemed to be relevant to the current assignment on behalf of the experts. The Beneficiary will also arrange for an inception meeting and ad-hoc progress meetings with the presence of representatives of all relevant core stakeholders.

2.1 Global Objective

The overall objective of the assignment is to support Government efforts – consistent with the provisions of the NIP for Zambia for governance and inclusive economic growth under the 11th EDF – in developing a reliable and safe aviation sector. This formulation will consider the strategic objectives of the proposed beneficiaries and identify the extent to which these coincide with the objectives foreseen in the 11th EDF NIP.

2.2 Specific Objectives

The specific objectives are as follows:

To provide a clear, actionable, costed, evidence-based proposal for a project design for an Aviation Sector Support Programme II (ASSP II) for Zambia which can build on the achievements and lessons of the first phase of the ASSP (2012-2015), as well as the findings of the 11th EDF identification Action Document prepared recently .

2.3 Requested Services

To that end, the assignment will provide:

- a) An analytical review of the performance of the 10th EDF ASSP I (final evaluation);
- b) A thorough capacity development needs assessment of all potential project beneficiaries, including their equipment needs as specified in the Action Document;
- c) A detailed report containing all relevant information necessary to submit the 11th EDF Action Document for EU support to the Civil Aviation Sector;
- d) An assessment of any additional preparatory work deemed necessary to be undertaken in the short term before commencement of the 11th EDF project;

The consultant will also participate, together with a representative of the European Aviation Safety Agency (EASA), in a stakeholder's workshop in which the proposed project activities and responsibilities will be discussed among all parties concerned. This workshop will be organised by the beneficiary country.

2.4 Required outputs

I. Analytical review of the performance of the 10th EDF ASSP I.

This report is intended to ensure that the project design of ASSP II is informed by an impartial evaluation of the previous phase in a number of key areas. This report has the same scope and audience as does the main component of the assignment.

The consultant is expected to propose an appropriate methodology for this short report, and to allocate an appropriate number of days, for the review of relevant project documents (including previous progress reports, the mid-term evaluation etc.), the limited selection and interview of appropriate project, GRZ and EU staff, and the analysis of these in answering a limited number of review questions.

These questions revolve around questions of design, management and performance – not long-term impact or sustainability. Therefore, the relevant DAC evaluation criteria which apply are relevance, effectiveness and efficiency. The evaluation questions will be finalised during the inception phase for the whole assignment, after which point the questions will feed into formulation analysis.

1. To what extent did the 10th EDF project achieve its intended results? (DAC criterion: Effectiveness)
2. To what extent was the project design (including strength of the log frame and underlying rationale for selection of indicators) valid and responsive to external factors? (DAC criterion: Relevance)
3. To what extent did the choice of implementing options/modalities have an effect on the overall success of ASSP I? Would alternative implementing options/modalities have made a significant difference to achievement of results? (DAC criterion: Relevance)
4. What effect has technical training under ASSP I had on beneficiary capacities and knowledge and has this led to improvements in performance? (DAC criterion: Effectiveness)
5. To what extent does ASSP I contain within it adequate provision for monitoring and evaluation (including the quality of baseline information gathered, the regular use of monitoring data for decision-making, and in-house capacity to do M&E work)? To what extent have lessons from the mid-term evaluation been put into practice and internalised by decision-makers? (DAC criterion: Efficiency)

6. To what extent did ASSP I procurement outcomes and financial management represent good value for money? (DAC criterion: Efficiency)

II. A detailed project design for ASSP II, complete with theory of change, logical framework, and recommendations for proposed activities and management arrangements. These should explicitly refer to findings and conclusions of the aforementioned analytical review where appropriate, as well as capacity needs assessment, in addition to referencing other literature or evidence from similar contexts. The consultant should be aware of the possible implementation modalities to be considered – this will be discussed at the inception meeting.

The expected result of this part of the assignment shall be a report including the following:

- a) Detailed programme for implementing the EU support to the Civil Aviation Sector under the 11th EDF. The programme shall include:
 - Detailed schedule of clearly defined activities and resource identification for each activity,
 - Proposed project management modalities with clear division of roles and responsibilities between the long term service provider and EASA,
 - Verified set of project implementation indicators and related targets (Logical Framework Matrix) to allow for effective monitoring and evaluation.
- b) Terms of Reference (ToR) for long term consultants to undertake the Capacity Building / Training Activities foreseen which are not covered by the EASA managed component;

2.5 Language of the Specific Contract

The language of the specific contract to be concluded shall be English.

2.6 Subcontracting

Subcontracting of specific section of the assignment is not foreseen.

3 EXPERTS' PROFILES

3.1 Number of requested experts per category and number of man-days per expert or per category

The number of requested experts per category and number of man-days per expert or per category are three (3), all of Category I, as follows:

Expert 1 (Team Leader): 35 working days indicatively split up as 3 working days for draft methodology at home base, 27 working days in Zambia and 5 working days in home office after the mission to Zambia to complete the final report.

Expert 2 (Aviation Expert - Evaluation): 16 working days indicatively split up as 2 working days for draft methodology at home base, 12 working days in Zambia and 2 working days in home office after the mission to Zambia to complete the final report.

Expert 3 (Aviation Expert - Formulation): 32 working days indicatively split up as 2 working days for draft methodology at home base, 27 working days in Zambia and 3 working days in home office after the mission to Zambia to complete the final report.

Note that civil servants and other staff of the public administration, of the partner country or of international/regional organisations based in the country, shall only be approved to work as experts if well justified. The justification should be submitted with the tender and shall include information on the added value the expert will bring, as well as, proof that the expert is seconded or on personal leave.

3.2 Profile per expert or expertise required

The consultant team assigned to the job must have demonstrated knowledge of current project formulation techniques and practices as well as knowledge and experience of current evaluation theory and practice and several years of experience in both formulating and evaluating development projects, preferably those that are related to the field of civil aviation. The consultant/team must all be fluent in written and spoken English.

The evaluation and formulation of the project shall be carried out by a team composed of three (3) senior experts with the following competencies and experience:

Expert 1: Team leader

An expert with a university degree relevant to the sector (civil aviation, business management, etc.), specialised in development programmes with a wide experience (minimum 15 years) and knowledge in planning, implementation, follow up, monitoring and evaluation of civil aviation projects or other transport related projects.

The team leader shall have a broad experience of the procedures for the implementation of projects financed by the European Commission – experience on at least 3 EU funded projects must be demonstrated. The candidate shall be experienced in terms of Project Cycle Management and Logical Framework.

Expert 2: Aviation Expert - Evaluation

An expert with a university degree in the area of civil aviation or equivalent professional experience of minimum 10 years in the aviation sector and evaluation of projects. The candidate will support the team leader in the different technical aspects of the evaluation exercise, and shall be focused particularly on the evaluation of the performance of the ASSP I project.

The candidate shall have an experience of at least five (5) years in planning, implementation, follow up, supervision and evaluation of transport related projects.

Expert 3: Aviation Expert - Formulation

An expert with a university degree in the area of civil aviation or equivalent professional experience of minimum 10 years in the aviation sector and formulation of projects. The candidate will support the team leader in the different technical aspects of the formulation, and shall be focused particularly on the formulation of the capacity building aspects of the ASSP II project.

The candidate shall have an experience of at least five (5) years in planning, implementation, follow up, supervision and evaluation of transport sector projects as well as proven experience of designing capacity building measures (at least 2 assignments).

3.3 Management team member presence required or not for briefing and / or debriefing

Management team member presence is not required for briefing or debriefing.

4 LOCATION AND DURATION

4.1 Starting period

The tentative start date for this assignment is 5 January 2016.

4.2. Foreseen finishing period or duration:

The overall duration of this specific assignment is **35 working days**.

This includes the working days the team is entitled to use prior to departing, to prepare the draft methodology etc., so as to be immediately operational upon arrival.

The statutory working days for Zambia for such similar assignments is five (5) working days per week or forty (40) hours per week. In the event that the consultant shall require to work during weekends and public holidays, prior authorisation shall be required by the Contracting Authority. This must be done within reasonable time to allow the Contracting Authority sufficient time to approve the request.

The date on which the Contracting Authority formally approves or rejects the Final Report will be considered as the end date of the assignment for the purpose of this contract. This approval / rejection shall be communicated to the framework contractor in writing and shall occur within 21 calendar days from the receipt of the consolidated final report.

4.3 Planning including the period for notification for placement of the staff as per art 16.4 a)

The indicative work schedule (in Working Days) of this assignment is as follows:

- Preparatory desk review– 2-3 working days – see 3.2 above.
- International travel to and from Zambia – 2 days
- Mission to Zambia, ending with a de-briefing meeting – as described in 3.2 above.
- Desk work (incl. final report and draft identification fiches) – 2-5 working days – see 3.2 above.

4.4 Location of assignment

The location of the assignment is **Lusaka, Zambia**. The preparatory work and finalisation of the Final Report will be home based. The rest of the assignment will be carried out in Lusaka, Zambia. One field trip should be foreseen to aviation facilities for stakeholder consultations - to be determined during inception phase (e.g. Livingstone, Ndola and/or Mfuwe).

5 REPORTING

5.1 Content

The Team Leader (Expert 1) will be responsible for timely submission of the reports. They will have to be submitted to the EUD Project Manager identified in the contract. The EUD Project Manager will be responsible for approving them.

The table below summarises the reports that will be expected from the consultant.

Name of report	Content	Time of submission and Feedback
<p>Inception Report (max. 10 pages exc. annexes)</p>	<p>To include a schedule of activities for the assignment</p>	<p>Short Inception report will be delivered after the first week (5 working days) of the mission. The comments regarding this stage may be provided in written or oral form during a specific meeting to be held with all project stakeholders.</p>
<p>Evaluation report</p>	<p>Analytical review of the performance of ASSP I. This report should be of 25 pages max., including a two-page executive summary. It should include sections on methodology, overall assessment, findings and conclusions. The sections for findings should include answers for each of the evaluation questions. Proposals made in the separate project design report should reference these findings and conclusions.</p>	<p>This draft report should be presented to the key stakeholders at the end of the performance review period (i.e. 10 working days after the delivery of the inception report) to allow inputs to be adequately reflected in the formulation component of the exercise.</p>
<p>Draft Formulation Report</p>	<p>A detailed project design including logical framework, and recommendations for proposed activities and management modalities.</p> <p>Detailed programme for implementation which shall include both a detailed schedule of activities and resource identification for each activity and a verified set of project implementation indicators and related targets</p> <p>Terms of Reference for long term consultants to undertake the non-EASA Capacity Building / Training Activities</p>	<p>To be submitted <i>no less</i> than 5 working days before the de-briefing meeting where it will be presented. After submission of the draft report, the Stakeholders will have 5 working days for providing their comments to the Contracting Authority. The Contracting Authority will then have 5 working days to send the consolidated comments to the Consultant.</p>

<p>Final Formulation Report</p>	<p>Final Formulation Report.</p>	<p>Within 10 calendar days of the deadline for receiving consolidated comments from the Contracting Authority and should give account on how comments have been reflected in the report. The Contracting Authority will inform the contractor whether the final report has been accepted within twenty-one (21) calendar days from its receipt.</p>
--	----------------------------------	---

5.2 Language

The reporting language will be English.

5.3 Submission/comments timing

The following reports shall be produced and submitted as follows:

Inception Report will be submitted electronically only to (i) Contracting Authority who will be the EUD, (ii) Supervisor/MTC, (iii) Project Manager/CAA and (iv) the NAO.

Draft Final Report will be submitted in electronic version only to: (i) Contracting Authority/EUD, (ii) Supervisor/MTWSC, (iii) Programme Manager/CAA and (iv) the NAO.

Final Report will be submitted electronically to the (i) Contracting Authority/EUD, (ii) Supervisor / MTWSC, (iii) Programme Manager/CAA and (iv) the NAO.

Once approved, this Final report will be circulated in four hard copies to the same recipients.

The reports must be written in English. The EUD will be responsible for approving the reports after receiving feedback from all stakeholders.

5.4 Number of report(s) copies

All reports shall be submitted to the Contracting Authority in electronic version. In addition, one original and three (3) paper copies of the final report will have to be submitted.

6 INCIDENTAL EXPENDITURE

This assignment is a global price one.

Items to foresee under "Reimbursables":

- Per diems in Zambia;
- International travels to/from Zambia;
- Local travels within Zambia

7 MONITORING AND EVALUATION

7.1 Definition of indicators

N/A

Annex 1. Action Document: Aviation Sector Support Programme II



“The content of this publication is the sole responsibility of the Consultant and can in no way be taken to reflect the views of the European Union”