



**Submission Form**

**To**

**UN Management Committee for the Central Fund for Influenza Action**

<b>To be completed by the Secretariat of the Management Committee</b>	
Meeting No: 3	Date of Meeting: 12 July 2007
Item No: 200703 <i>CFIA/A-5</i>	<b>Cooperative Arrangement for the Prevention of Spread of Communicable Disease by Air Transport (CAPSCA)</b>

*(To be completed by the Participating Un or eligible Partner Organisation )*

To: UN Management Committee for the CFIA	Date of Submission: 22 June 2007
From: International Civil Aviation Organization	Contact: Dr Anthony Evans ✓ +1 514 954 8150 aevans@icao.int
National Authority <input type="checkbox"/> Endorsement <input type="checkbox"/> Comments	Contact: Telephone number, email
Proposed submission, if approved would result in: <input type="checkbox"/> Continuation of existing programme/project X New programme/project <input type="checkbox"/> Other (explain)	Proposed submission resulted from: <input type="checkbox"/> National Authorities request X UN Agency/eligible Partner initiative within UN Consolidated Action Plan <input type="checkbox"/> NGO or other agency Request <input type="checkbox"/> Other (explain)
Programme/project Title: <b>Cooperative Arrangement for the Prevention of Spread of Communicable Disease by Air Transport (CAPSCA)</b>	
Category of project: <u>Country with restricted implementation capacity</u>	
Amount of CFIA funds requested for Proposed Programme/project: US \$351,800	
Amount of indirect costs requested: 10%	

## 1. Background

A meeting in Geneva on avian and human pandemic influenza was held at the World Health Organisation (WHO) headquarters, Geneva, from 7 – 9<sup>th</sup> November. Co-sponsors of the meeting with the WHO were the Food and Agriculture Organization, the World Bank and the World Organization for Animal Health. At this meeting it was clear that the focus of public health efforts were directed at surveillance, detection, isolation and treatment/prophylaxis and guidance with respect to actions in aviation sector were not of high priority. The WHO had produced a “global influenza preparedness plan” which set out specific objectives and actions for each of the six phases in the development of an influenza pandemic, but, although this did address the aviation sector, ICAO felt that it did not do so in sufficient detail to answer some of the questions that were being received from States, airport and airline operators.

ICAO determined to take a proactive approach to address the impact of a possible pandemic on the aviation sector and to develop an aviation related preparedness plan. Two consecutive meetings on the subject were held in Singapore between 7 and 10 February 2006. The first meeting on 7 and 8 February was for a 15 member Working Group which agreed pandemic planning guidelines for States, airports and airlines. Participants and experts, from 10 states, 42 participants in all, attended the second meeting on 9 and 10 February 2006 and recommended some modifications that were incorporated into the guidelines.

### CAPSCA

The next step was implementation of the guidelines and to carry this work forward a project entitled “Cooperative Arrangement for the Prevention of Spread of Communicable Disease by Air Transport” (CAPSCA) was commenced. The aim was to reduce “the risk of spreading avian influenza and similar communicable diseases by air travellers through cooperative arrangements between the participating States/administrations and airports.” A secondary aim was to reduce the financial impact from an outbreak, by having an efficient management plan in place,. These aims would be achieved by the application and implementation of ICAO Guidelines. An ICAO Expert provided through the project would visit participating airports to ensure the guidelines are adhered to, and fully implemented, and to train personnel from the participating civil aviation and airport authorities, as well as airlines to ensure the continued implementation of these guidelines and to assist other states in the region that may join the program. The Asia region was chosen as the first region to be targeted as the risk of an outbreak was considered greatest in this region. Africa was considered as the next region to be encouraged to apply the planning guidelines in the aviation sector, depending on the success of the project in Asia.

The project document (see attached) outlining the first phase was sent to contracting States in July 2006, inviting States in the Asia Pacific region to participate in the project. By August 2006 a number of States had joined the project and an Aviation Medicine Expert/Project Coordinator had been selected. ICAO accordingly informed States that the project was scheduled to commence in September 2006. The project was formally launched by means of a seminar/workshop/table-top exercise held on 25<sup>th</sup> and 26<sup>th</sup> September 2006 at the Singapore Aviation Academy and four States/Special Administrative Regions have been evaluated against the guidelines so far.

To date, four international airports have been evaluated by the Aviation Medicine Expert/Project Coordinator. These are: Singapore Changi Airport; Macao International Airport; Hong Kong International Airport, and Thailand's Suvarnabhumi Airport in Bangkok. During the evaluations it was evident that some States require assistance in implementing the ICAO Guidelines for Pandemic Preparedness Planning. This was particularly in relation to having an aviation preparedness plan that was included in the overall national plan. The evaluation visit itself was an impetus for some States to develop their preparedness plan. The CAPSCA project was viewed by all contributing States as an essential aspect of developing a globally harmonised approach to pandemic preparedness planning for the aviation sector. The

continuation of the project with its training, evaluation and communication components will facilitate this goal.

Participants:

The following States/Special Administrative Regions/International Organizations have been involved in developing the guidelines:

ICAO  
 WHO  
 US CDC  
 European Civil Aviation Conference  
 International Air Transport Association  
 Airports Council International  
 US Federal Aviation Administration  
 Hong Kong  
 Macao  
 Thailand  
 Malaysia  
 Philippines  
 S. Korea  
 New Zealand  
 Singapore

It can be noted that (despite repeated invitations) several Asian States of potential importance in any response to an outbreak of influenza with pandemic potential, the primary disease of current concern, did not attend the workshop. It is assumed that they were unable to fund participation at the workshop or would not be able to fund participation in CAPSCA, estimated at US \$14,300 per airport evaluation, and therefore did not see the relevance of attending the workshop.

At the present time (end March 2007), five States or Special Administrative Regions of China have participated in the CAPSCA project, and four have been evaluated. However, lack of funding is holding back the project and more States would participate if funding was available. Apart from its limited scope, the project thus far has been successful. If funding becomes available, the project will be developed in Asia, and Africa will be involved next, in parallel with ongoing work in Asia.

## **2. Purpose of Proposed Programme/Project**

*Detail key objectives, output, activities and indicator of success from programme/project cover sheet and attach detailed programme/project document in standard format.*

- What problem(s) does the programme/project address? What specific assessments have been made and by whom?

The primary aim of CAPSCA is to ensure that in the event of an outbreak of a communicable disease of international public health concern, such as pandemic influenza, the aviation sector is in a position to respond in a proportionate and efficient manner. It is clear, from the seminars and workshops that ICAO has undertaken in the Asia Pacific Region and from meetings by ICAO staff with health officials, that the response to the threat is piecemeal. Some airports and airlines within certain States are well prepared, whereas others are not. The key performance indicator is the number of airports that have established a preparedness plan in compliance with the ICAO guidelines, and have had at least one international airport successfully evaluated. A further key performance indicator is the establishment of a network of experts that will be able to provide ongoing advice on the subject.

- How do the proposed outputs and activities help solve these problems? How does the programme/project fit in with the national AI Plan?

CAPSCA encourages airports and airlines to develop an aviation preparedness plan, that is in line with the ICAO guidelines. To have a successful evaluation, lines of communication must be established with all relevant stakeholders, at varying levels. At a local level, communication must be established between the airport operator, public health authority, customs and immigration and security and other organizations. At a national level communication is required between the ministry of transport and the ministry of health. Internationally, bilateral links are needed to ensure regional harmonization of response. The aviation preparedness plan must fit in with the national plan.

- What are the essential features of the programme/project's operating environment?

The aviation operating environment is highly dynamic and cost intensive. Decisions that affect passenger traffic can have an immediate, detrimental and serious financial effect.

- How does the programme/project fit into the UN Consolidated Action Plan on AHI?

The programme has been developed in line with the proposal that has been included in the Consolidated Action Plan.

- What are the expected benefits and who are the main targeted beneficiaries

The expected benefits are that should there be an outbreak and a scaling up of the Phase level, the aviation sector will be able to respond promptly and appropriately to any call for health protection measures from the WHO. This might entail providing accurate, consistent and timely information about the operating status of an airport or airline to passengers and crew, having the ability to screen passengers on departure and being able to deal with a suspected case on an inbound aircraft. In fact, a wide range of responses will be called for, ranging from segregation of potentially infectious travellers to effective cleaning of aircraft after a suspect case has been transported.

- Are the needs of particularly vulnerable or marginalised groups and issues of gender addressed? How?

The project is not designed to address the *needs* of vulnerable or marginalised groups.

- How does the programme/project relate to existing national structures and how will it contribute to national capacity building

It is clear that national preparedness planning should include provisions for the aviation sector. Establishing reliable lines of communication to develop preparedness plans across different departments in an organization and across disparate organizations is a key objective. At a government level the ministry of health is responsible for controlling the national plan but collaboration with the ministry of transport is essential if transport issues are to be adequately addressed.

### 3. Evaluation of Proposals

Provide concise summary evaluation of proposal against:

	<i>General principles and selection criteria</i>	
(a)	Must be explicitly based on UN Consolidated Action Plan (UNCAP),	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(b)	Must support national strategies,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(c)	Must promote and ensure national ownership,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(d)	Must demonstrate UN's comparative advantage for specific intervention ,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(e)	The organization must have the appropriate system to deliver the intervention,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(f)	The UN response must be effective, coherent, context-sensitive, cost-efficient and the outcomes, sustainable,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(g)	Must avoid duplication of and significant overlap with the activities of other actors,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(h)	Must use strategic entry points that respond to immediate needs and yet facilitate longer-term improvements,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(i)	Must build on existing capacities, strengths and experience,	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(j)	Must promote consultation, participation and partnerships.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

*Project Implementability*

	<i>2007</i>	<i>2008</i>
<i>Estimated commitments (\$mill)</i>	<i>0.1821</i>	<i>0.1697</i>
<i>Estimated disbursements (\$mill)</i>	—	—

### 4. Review by Secretariat

*Check on Programme/Project Proposal Format Contents*

- |   |   |
|---|---|
| <input type="checkbox"/> Cover sheet (first page)                                   | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                         |
| <input type="checkbox"/> Logical Framework with indicators of success and timelines | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> (not required <500.000) |
| <input type="checkbox"/> Programme/Project Justification                            | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                         |
| <input type="checkbox"/> Programme/Project Management Arrangements                  | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/>                         |
| <input type="checkbox"/> Risks and Assumptions                                      | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                         |
| <input type="checkbox"/> Budget   | Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>                         |
| <input type="checkbox"/> Progress Report (for supplementary funding only)           | Yes <input type="checkbox"/> No <input checked="" type="checkbox"/> (not required)          |

*Provide concise summary assessment against:*

*Implementability*

According to the secretariat the project is technically implementable.  
 There is a clear measurable deliverable: a scenario based model to address expected impact on tourism and economy.

<i>General criteria for prioritisation</i>		
(a)	Must be in line with UN Consolidated Action Plan	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(b)	Recipient Organization is unable to meet high or urgent priority needs with existing level of funding.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(c)	Need to address high priority activities that have significant impact, and by nature must address seasonal or timing imperatives and considerations.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(d)	Supports activities that are likely to improve the overall situation at national and local levels.	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>
(f)	Does not overlap with other ongoing programmes	Yes <input checked="" type="checkbox"/> No <input type="checkbox"/>

□ *Overall review of programme submission*

This proposal covers the outputs 6.1.9, 6.1.10, 6.1.11 and 6.1.12 in the UN Consolidated Action Plan for which ICAO has been unable to find funding.

**5. Decision of the UN CFIA Management Committee 12 July 2007**

- Approved content and budget as submitted
- Approved for a total budget of \$.....351,000
- Approved with modification/condition on content
- Deferred
- Rejected



**Reason/Comments**

**6. Action taken by the Executive Coordinator, MDTF Office, UNDP**

- Project consistent with provisions of the UNDP Administrative Agent-Participating UN Organizations Memorandum of Understanding and Letter of Agreement with donors (if applicable)





## CFIA PROJECT DOCUMENT COVER SHEET



<b>Participating UN or Eligible Partner Organisation:</b> <b>INTERNATIONAL CIVIL AVIATION ORGANIZATION</b>	<b>UN CAP objective:</b> <b>6.1 Contingency planning for operational continuity during a pandemic</b>
<b>Programme/Project Manager</b>  <b>Name:</b> Dr Anthony Evans <b>Address:</b> Medical Section, International Civil Aviation Organization, 999 University Street, Montreal, Québec, CANADA, H3C 5H7  <b>Telephone:</b> +1 514 954 8150 <b>E-mail:</b> aevans@icao.int	<b>UN or Eligible Partner Organization that has lead responsibilities for the objective of the UN CAP</b> <b>Name:</b> OCHA, WHO
<b>Programme/Project Title:</b> Cooperative Arrangement for the Prevention of Spread of Communicable Disease by Air Transport (CAPSCA) <b>Programme/Project Number:</b> 200703 <span style="color: red; font-family: cursive;">CFIA/A-C</span>	<b>Programme/Project Country and Location:</b> <b>This is a regional project, initially involving Asia and extending to Africa</b>
<b>Programme/Project Description:</b> Sentence identifying issue/problem tackled and people affected  Identifying issue/problem: Lack of adequate pandemic planning in the aviation sector  People affected: Population affected by disease; population that relies on aviation for livelihood; international travellers	<b>Total Programme/Project Cost:</b> <b>CFIA:</b> US \$351,800 <b>Government Input (if relevant):</b> <b>Other:</b> <b>Total:</b> US \$351,800 <b>Programme/Project Duration: 18 months</b>
<b>UN CAP Objective (one or more of the seven objectives) and Key Immediate Objectives:</b>  <b>CAP Objective:</b> Adequate Contingency planning for operational continuity during a pandemic.  <b>Key immediate objectives</b> 1. States established a preparedness plan in compliance with the ICAO guidelines 2. International airports successfully evaluated. 3. Network of experts established to provide ongoing advice on the subject.	



**Outputs and Key Activities:**

Paragraph outlining essential details of the programme/project

In the event of an outbreak the aviation sector will be implicated in two ways. Firstly, air transport is likely to be the main method by which the pathogen is widely, and quickly, disseminated and secondly, a rapid reduction in demand for air travel will have major financial implications for airlines and supporting industry, as well as the States they service. This project is designed to:

- 1) increase the level of preparedness of States and regions by assisting them to develop contingency plans, and to test such plans.
- 2) ensure that aviation related plans are incorporated into the State's national general preparedness plan
- 3) coordinate a global effort to ensure that national plans are harmonised with each other, within regions, and globally.
- 4) develop a global network of experts to provide ongoing advice on preparedness planning to the aviation sector
- 5) minimise the economic fallout from an outbreak

**Recommendations UN organization that has lead responsibilities for the objective of the UN CAP:**

OCHA: RECOMMEND. In Consolidated Action Plan. Would like a little more information on sustainability and whether the project will be expanded to other priority airports.

WHO: no response



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## Appendix C<sup>1</sup>

### THE PROGRAMME/PROJECT BUDGET

The budget would utilise the Standard Format\* agreed by UNDG Financial Policies Working Group with necessary modifications to suit the expected CFIA project activities.

Budgets could be presented in the following Atlas (UNDP financial system) compatible format;

#### ICAO BUDGET

CATEGORY	ITEM	UNIT COST	NUMBER OF UNITS	TOTAL COST
<b>1. Personnel</b>	11-51	126,000	1	126,000
• including staff and consultants	11-52	90,000	1	90,000
<b>2. Contracts</b>				
• including companies, professional services, grants	-	-	-	-
<b>3. Training</b>	33-01	10,000		10,000
<b>4. Transport</b>	-	-	-	-
<b>5. Supplies and commodities</b>	-	-	-	-
<b>6. Equipment</b>	-	-	-	-
<b>7. Travel</b>	15-01	50,000		50,000
	16-01	30,000		30,000
<b>8. Miscellaneous</b>	52-01	6,000		6,000
	53-01	7,800		7,800
<b>9. Management Support**</b>	55-01	32,000		32,000
<b>TOTAL</b>				<b>351,800</b>

\* The Standard Financial Report that has been reviewed with the UNDG Financial Policies Working Group.

\*\* The Management Committee encourages keeping management support costs as low as possible. The average of management support costs is anticipated to be 7%.

