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REGIONAL SAFETY OVERSIGHT ORGANIZATIONS
AVIATION SAFETY CAMPAIGN



Regional Cooperation Workshop

Aviation Safety Campaign
Miami, Florida
12 July 2019



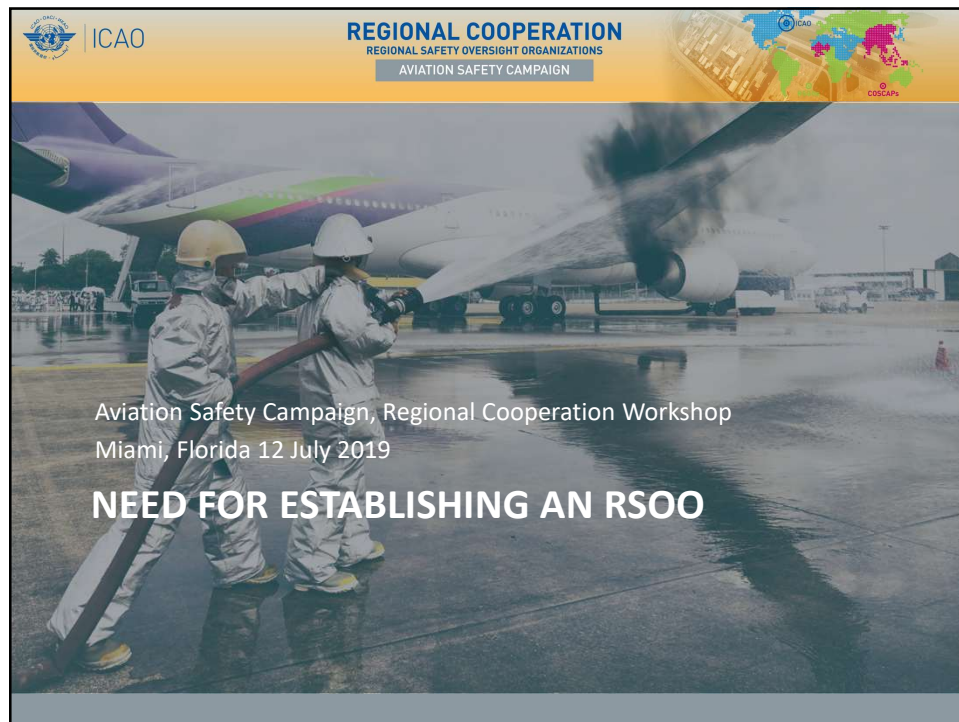
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Outline

- Need for establishing an RSOO
- Strategy for establishing an RSOO
- Legal and Regulatory Frameworks
- Organizational structure
- Financing
- RSOO operational plan
- Regional Safety Programme
- Training Programme



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Challenges for States

- Difficulty complying with ICAO SARPs
- Lack of technically qualified staff
- Insufficient funding
- Political instability or lack of political support
- Insufficient foundation: (i.e. organization, legislation and/or regulations)
- Differences in aviation activities
- Growth of air traffic and technological advances



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Benefits of Regional Cooperation

- Shared objectives, strategies and activities
- Pooling of technical resources
- Regional collaboration promotes uniformity
- Strengthening of safety oversight capabilities
- Harmonization of laws, regulations and procedures
- Promote harmonization of training
- Economies of scale



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STRATEGY FOR ESTABLISHING AN RSOO

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Strategy

- Strategy adopted for establishing an RSOO should aim to:
 - Prioritize effective and efficient implementation of safety oversight;
 - Pool human and financial resources;
 - Address regional and external factors and constraints collectively;
 - Strengthen cooperation and collaboration amongst member States;
 - Provide assistance for any deficiencies;
 - Support industry to comply with regulatory requirements;
 - Establish best practices;
 - Ensure objectivity and independence of inspectors; and
 - Develop capacity to develop legislation and regulations to support the region.


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Development Process

- Firm commitment at the highest levels of government
- Active involvement of aviation safety stakeholders, including industry
- Clear purpose and objectives for the organization
 - Goals incorporate State safety priorities
 - Plan steps and processes for development of RSOO
 - Mission statement



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Guiding Principles

- The following guiding principles should be considered:
 - State requirements as a result of analysis and audits;
 - Political, legal, economic and social factors;
 - Complying with ICAO SARPs;
 - Legal basis for RSOO;
 - Adequate funding to support sustainability of RSOO operations; and
 - Ensure separation of safety oversight and accident investigation functions, as well as service provision and safety oversight functions.



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LEGAL AND REGULATORY FRAMEWORKS



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Relevant Factors for a Legal Framework

- Main factors for establishing a regional RSOO legal framework:
 - Adequate legal framework to meet common operational needs;
 - Advisory technical services for safety oversight activities;
 - Provision of technical assistance; and
 - Provision of functions and activities on behalf of member States.
- Additional provisions should include:
 - Long term commitment from member States
 - Financial support



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Options for Development of a Legal Framework

- Several factors impact the legal form of a RSOO
 - Political and economic factors
 - Constitutional foundations of member States
- Informal arrangements (i.e. COSCAP projects)
- Full – fledged regional intergovernmental organizations (i.e. COCESNA/ACSA)



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Regional Agreements

- Must take under consideration characteristics of the region
 - Full fledged regional intergovernmental organizations (multilateral treaties/agreements):
 - In association with ICAO (MOC): COSCAPs Eg. RASOS
 - Existing regional treaty/agreement: Eg. COCESNA ACSA
- Main difference and advantage between COSCAPs and RSOOs: legal personality



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Legal Conditions and Requirements

- Legal Agreements should include the following conditions and requirements:
 - Provisions regarding the level of responsibility and function for each member State
 - Legal provisions that enables the RSOO to perform its duties and responsibilities
 - Mechanism for how differences, deviations and exemptions will be handled
 - Determination on the type of oversight to be implemented in order to comply with ICAO SARPs
 - Provisions for how member States will monitor the RSOO



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Actions Required from Member States

- Support the elaboration of common regulations and procedures
- Participate in activities that will assist other member States
- Define and develop a regional training programme to ensure application and implementation of common regulations and procedures
- Contribute to maintain a safe and economic air transport system that will promote regional development
- Develop an efficient regional programme that will facilitate industry activities
- Promote a systemic regional approach to comply with ICAO SARPs
- Modernize and strengthen CAAs to help them better comply with ICAO SARPs in a more efficient and effective way



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ORGANIZATIONAL STRUCTURE

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Governing Body

- All member States to be included
 - Level of Director General
- Possible observers
 - Other States
 - Industry
 - Funding agencies
 - International organizations
- Responsibilities:
 - Formulate policy
 - Appoint Executive Director/Chief Executive Officer
 - Determine and allocate budget
 - Provide guidance to ED/CEO on regional and international relationships
 - Provide guidance on RSOO work programme



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FINANCING



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Forms and Sources of Funding

- Forms
 - Common Services vs. Specific Services
 - Cost-sharing arrangements
- Sources
 - Fees (licensing, certification, authorizations)
 - Personal and organizations
- Airport and air navigation fees
- Government funds
- Foreign sources



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Funding Practices

- Mainly funded by member States
- Additional funds may be provided by the aviation community
- Fees for services
 - Audits
 - Inspections
 - Training
 - Technical assistance
 - Consultancy
- Subsidies (i.e. air navigation services charges, passenger safety fees)
- Loans/grants from States and financial institutions



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Business Plan

- Purpose is to specify actions over a period of time
 - Include short, medium and long term objectives
 - Consider impact of political, legal, economic, social and technical factors
- Identify key objectives against which performance will be monitored
- Forecasted demand for services and requirements of member states
 - Affects changes in number and type of staff
- Performance metrics



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Business Plan (cont.)

- BP should consider the following parameters:
 - Forecast air traffic and demands of RSOO's services
 - External economic assumptions (i.e. exchange rate, and inflation)
 - Staff numbers, including needs for training and technical expertise
 - Limits on expenditures and/or fees for services
 - Changing institutional arrangements
 - Changes in costs (salaries, operating costs)
 - Income and
 - Operating result (difference between forecast revenues and costs)
- Establish policies for recovering costs
- Planning is a continuous process – to be done annually



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Operational Plan

- Purpose is to provide visual roadmap of the Business and Strategic Plan
 - Normally designed to be a five year plan on objectives and goals
 - Guides the development of the annual operative plan mainly on technical factors
- Identify key stakeholders (CAA community, supporting organizations, advisory committees and RSOO staff)
- Performance will be monitored
- Develop KPI's on different areas of implementation
- Measurement and evaluation of performance of the RSOO
- Specific projects request for functions and activities from member States
 - Affects changes in number and type of staff



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Operational Plan- Examples of Activities

- Rulemaking and guidance material
- Certification
- Surveillance
- Training courses & materials
- Technology tools
- SSP / SMS
- Simulator's approvals
- SDCPS
- AVSEC
- Certification of Aerodromes
- Dangerous Goods
- Special Operations (AWO, PBN, EDTO's, etc.)
- Language proficiency
- Workshops and seminars



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REGIONAL SAFETY PROGRAMME



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Regional Safety Programme

- Safety Policy and Objectives
 - Regional safety responsibilities and accountabilities
- Regional Safety Risk Management
 - Safety data collection, analysis and exchange
- Regional Safety Assurance
 - Harmonized/common regulatory framework
- Regional Safety Promotion



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TRAINING PROGRAMME

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