



ICAO SAFETY

NO COUNTRY LEFT BEHIND



Improvement of Regional Safety Oversight Organizations (RSOOs)

Catalin Radu

*Deputy Director, Aviation Safety
ICAO Air Navigation Bureau*

RSOO Forum

22 – 24 March 2017, Swaziland





Context

- ICAO Policy and Framework for Regional Cooperation (2010)
- Outcomes of the RSOO Symposium (2011)
- Amendment ICAO RSOO Manual – Doc 9734, Part B (2013)
- Recommendation - 2nd High Level Safety Conference (2015)
- New Edition ICAO Global Aviation Safety Plan – GASP (2016)
- Assembly Resolution A39-14 (2016)



Definition of an RSOO

- **RSOO** includes a number of legal forms and institutional structures that range from highly formalized intergovernmental organizations to less institutionalized projects.
- ICAO Assembly Resolutions essentially leave it up to each group of States to determine the legal form and institutional structure that best fits the needs and characteristics of their specific region.
 - ICAO Safety Oversight Manual, Part B: The Establishment and Management of a Regional Safety Oversight Organization (Doc 9734, Part B)



Classification of RSOO Tasks and Functions

- Use of the term *RSOO* in the ICAO Annexes now requires that we classify the tasks and functions carried out by an RSOO in relation to levels of empowerment.
- The following three levels of delegation/empowerment are defined based on the complexity of tasks and functions performed:
 - Level 1** – Advisory, consultancy and coordinating tasks and functions
 - Level 2** – Operational assistance tasks and functions
 - Level 3** – Certifying agency tasks and functions



Level 1: Basic advisory and consultative assistance

- Safety oversight provider may provide consultancy and advisory assistance to a State or a group of States.
- No agreement is established directly between the provider and the State, for the delegation of tasks and functions for regulating, certifying or supervising industry entities.
- Inspectors employed by a provider (or working under a coordinated inspector sharing scheme) can carry out inspections or audits for a State's CAA in their own individual capacity.
- The State grants all required authorizations; the provider only coordinates the use of the inspector.



Level 2: Operational assistance

- The safety oversight provider can carry out all Level 1 activities.
- The provider can also provide operational assistance to a State or group of States on the basis of a formal and binding delegation agreement.
- The operational assistance may include harmonizing standards, or audits, inspections and other investigations on industry entities.
- The State issues certificates, licences and approvals on the basis of the operational assistance provided.
- These services can also include surveillance over the respective document holders.



Level 3: Certifying agency

- The safety oversight provider can carry out both Level 1 and 2 activities.
- In addition, under Level 3, both the conduct of the technical services and the issuance of certificates, licences and approvals are formally delegated to the provider in a legally binding manner.
- The State retains responsibility under the Chicago Convention for safety oversight and for any certificates, licences and approvals issued on its behalf.
- The State exercises this responsibility by monitoring provider's capabilities.



Level 3: Certifying agency (Cont'd)

- Certifying agency must be empowered to take legally binding decisions and accept legally binding delegations from States.
- Each State that has formally delegated tasks and functions to a safety oversight provider would have to provide written notification to ICAO.
- Certifying agency would be monitored by ICAO under the USOAP CMA
- The scope of the monitoring would be determined by the specific tasks and functions delegated by a State or group of States, which result in the direct oversight of industry entities.



Level 3: Certifying agency (Cont'd)

- An MOU established between ICAO and the safety oversight provider, would govern the conduct of the audit and all post-audit activities.
- The audit would evaluate effective implementation (EI) of the USOAP Critical Elements (CEs) that would be applicable to the specific delegated competencies.
- All post-audit activities (to include the subsequent monitoring of the provider) would be conducted in line with current USOAP CMA practices.

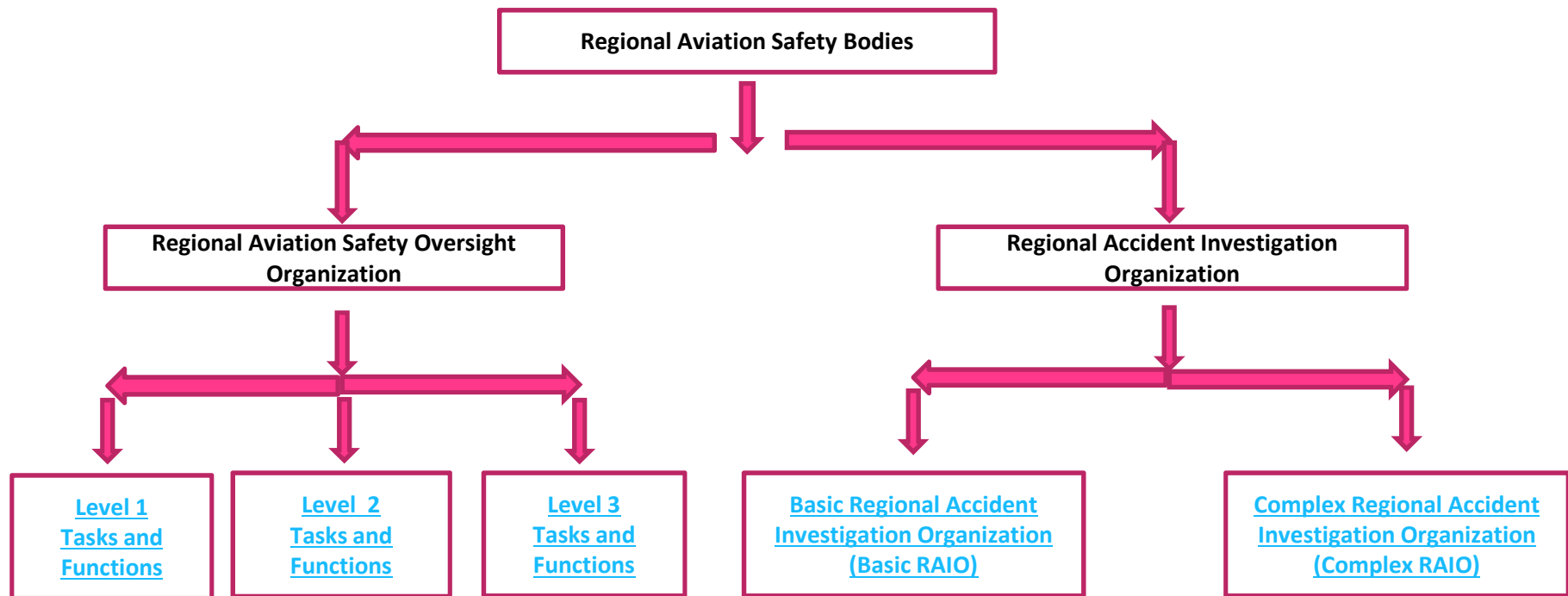


Level 3: Certifying agency (Cont'd)

- Failure of the safety oversight provider to maintain a satisfactory EI level with respect to delegated tasks and functions, could result in an overall low EI or even an SSC for the State concerned.
- Where a group of States has formally delegated tasks and functions to a provider, failure of the provider to maintain a satisfactory EI level in any of the delegated tasks and functions could result in an overall low EI or even an SSC for each of the States concerned.



Typology of Regional Safety Bodies





Regional Accident and Incident Investigation Bodies

- ICAO's *Manual on Regional Accident and Incident Investigation Organization (Doc. 9946)* distinguishes between the:

Basic RAIO – Provides consultative and advisory to Member States in the area of accident and incident investigation. The national accident and incident investigation authority retains full responsibility for investigation activities within a Member State.

Complex RAIO – A Member State of a RAIO may delegate the whole or part of their accident and incident investigation functions to the RAIO. The Member State retains responsibility for the oversight of the system in accordance with the Chicago Convention.



Strategy for Improving an RSOO

- Improving the performance of RSOOs to be measured in terms of:

Relevance: Alignment of an RSOO's mission, goals, programmes and activities with the needs of Member States, ICAO and other stakeholders.

Effectiveness: Extent to which an RSOO is able to meet its goals/objectives.

Efficiency: Comparison of the RSOO's outputs and the costs incurred.



Strategy for Improving an RSOO (Cont'd)

- Improving the performance of an RSOO should be measured in terms of:

Sustainability: long term viability of the RSOO, particularly in respect to legal authority, human resources and financial viability and sustainability.

Adaptability: Ability of the RSOO to adapt to an evolving environment, brought about by changing technologies, scope and processes; adapting the RSOO concept to new challenges.



Relevance

- Does the RSOO meet the expectations of its Member States and other stakeholders? Are the RSOO's mission, goals, programmes and activities aligned with the expectations and needs of its Member States and other stakeholders?
- Are RSOOs well integrated into the global and regional programmes of ICAO, including the USOAP and implementation of a State's Safety Programme (SSP)?
- Is the RSOO well-integrated in the strategic plans and programmes of activity of its Member States?
- Misalignment of the RSOO's mission, goals, programmes, activities will result in under-utilization of the RSOO by its Member States, lack of donor support, etc.
- Lack of clarity of the overall mission and goals RSOO can also result in strained relations between the RSOO and its Member States, and lead to duplication of programmes and activities.



Effectiveness

- How successful is the RSOO in meeting its goals and objectives?
- Has the RSOO been sufficiently empowered to carry out its mission and to meet its goals and objectives?
- Has the RSOO been given international legal personality that enables it to establish agreements and working arrangements with other international organizations (including ICAO) and third-party States?
- Have formal delegations of authority been established that will enable the RSOO to carry out safety oversight duties and functions on behalf of its Member States?
- Is the RSOO sufficiently resourced to enable it to meet its goals and objectives and to fulfil its programmed activities?



Effectiveness (Cont'd)

- Have formal agreements been established with ICAO to enable the RSOO to participate in ICAO activities and programmes on behalf of its Member States?
- Have agreements been established between RSOOs in different regions, in order that benefits are maximized and duplication of effort in achieving established safety targets avoided?
- Can a State's safety oversight requirements be more effectively met by other arrangements/mechanisms – COSCAP, regional CAA, commercial service provider, etc.?
- Have common standards and practices been established in the region?



Efficiency

- How efficiently does the RSOO use its human and financial resources?
- Is the RSOO taking advantage of an inspector sharing scheme in order to reduce the cost of human resources?
- Where multiple RSOOs exist in any one region, would merging them result in better economies?



Efficiency (Cont'd)

- Is there unnecessary overlap and duplication of programmes and activities between the RSOO and its Member States?
- Have the national civil aviation authorities of RSOO Member States realized cost efficiencies, and achieved the more efficient use of resources through delegation of functions and tasks to the RSOO?
- Can State's safety oversight requirements be more efficiently met by other arrangements/mechanisms – COSCAP, regional CAA, commercial service provider, etc.?



Sustainability

- How effective is the management of the RSOO in terms of the organization's strategic development and quality assurance?
- Has a mechanism been established for the sustainable funding of the RSOO?
- Is the RSOO funded by State contributions as provided by the civil aviation authorities of its Member States?
- Does the RSOO receive direct funding on the basis of aviation safety charges and levies?



Adaptability

- Are current State-based safety oversight systems capable of adapting to the future demands of a rapidly expanding aviation industry and the introduction of new technologies and processes?
- Inefficient overlapping auditing and re-certification programmes and requirements require a rethink of current safety oversight programmes and the role played by the RSOO.
- Alternatives to the existing model for safety oversight need to be developed in order to resolve current inefficiencies and cater for future challenges.



Action Plan for Improving RSOOs

Step 1: Evaluation and in-depth gap analysis of existing RSOOs to include development of performance criteria

Step 2: Publication of the results of the evaluation and the development of proposals for the improvement and strengthening of RSOOs.

Step 3: Review and amend guidance material (Doc 9734, Part B)

Step 4: Implement the evaluation's proposals.

Step 5: Establishment of an RSOO Cooperative Platform.

Step 6: Conduct additional evaluation and in-depth gap analyses of individual RSOOs on request and on a cost-recovery basis



APPENDIX 1

List of RSOOs that currently carry out Level 1 tasks and functions:

- Latin American Regional Safety Oversight Cooperation System (SRVSOP)
- ICAO COSCAP - South Asia (COSCAP-SA)
- ICAO COSCAP – South East Asia (COSCAP-SEA)
- ICAO COSCAP – North Asia (COSCAP-NA)
- ICAO COSCAP – UEMOA
- ICAO Regional Project for the Commonwealth of Independent States (CIS)
- AFCAC AFI Cooperative Inspector System (AFI CIS)



APPENDIX 2

List of RSOOs that currently carry out Levels 1 & 2 tasks and functions:

- Central American Agency of Aviation Safety (ACSA)
- Banjul Accord Group Aviation Safety Oversight Organization (BAGASOO)
- Civil Aviation Safety and Security Oversight Agency (CASSOA)
- Caribbean Aviation Safety and Security Oversight System (CASSOS)
- Interim Southern Aviation Safety Organization (iSASO)
- Pacific Aviation Safety Office (PASO)
- Autorités Africaines et Malagaches de l'Aviation Civile (AAMAC)
- Agence de Supervision de la Sécurité Aérienne en Afrique Centrale (ASSA-AC)
- Interstate Aviation Committee (IAC)



APPENDIX 3

List of RSOOs that currently carry out Levels 1, 2 and 3 tasks and functions

- Eastern Caribbean Civil Aviation Authority (ECCAA).
- European Aviation Safety Agency (EASA)



APPENDIX 4

List of Regional Accident and Incident Investigation Organizations (RAIOs)

- Banjul Accord Group Accident Investigation Agency (BAGAIA)
- AIG Regional Cooperation Mechanism (ARCM) of South America
- European Network of Civil Aviation Safety investigation Authorities (ENCASIA)
- Regional Group for Air Accidents Investigation (GRIAA)
- Interstate Aviation Committee (IAC)



THANK YOU!