

AFI RSOO Strategic Plan Validation Workshop (Virtual)

Thursday, 25 November 2021

Strategic Plan & Roadmap

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- AFI RSOO Study – Overview, Conclusions & Recommendations
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ANNEXES:

1. Summary evaluation of sustainable funding options for AFI RSOs
2. Summary assessment of AFI RSOO / RAIO configuration options

CONTEXT & BACKGROUND

- March 2017, ICAO / EASA Forum on RSOOs for Global Aviation Safety, Ezulwini, Eswatini (Swaziland).
 - Adoption of Global Strategy and Action Plan for the improvement of RSOOs, implementation of GASOS, and establishment of RSOO CP.
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- African Ministers responsible for Civil Aviation adopted the Ezulwini Ministerial Declaration on RSOOs in Africa.
 - Endorsed the outcome of the Global RSOO Forum and requested development of Strategic Plan and Implementation Roadmap for AFI RSOOs
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- July – October 2021, AFI Plan conducted a Study and developed Strategic Plan and Implementation Roadmap for the strengthening of RSOOs in the AFI region.

AFI RSOO ISSUES & CHALLENGES

AFI RSOO Challenges:

- Insufficient qualified personnel,
- Inadequate sustainable financial resources,
- Lack of adequate mandates and frameworks that allow full exercise of functions or the delegation of functions by States.
- Multiple memberships and duplication of functions
- Cost-effectiveness envisaged from membership of RSOOs not realized by States.
- Sustainability and effectiveness of RSOOs severely threatened.

Strategic Plan to Determine Way Forward on:

- Financial sustainability and feasibility of a joint/common funding mechanism
- Competence/capacity building requirements and sharing of human resources
- Delegation of tasks/mandate by States
- Operational effectiveness
- Harmonization of safety oversight regulatory material and documents
- The optimum number, size and configuration of RSOOs
- Coordination with other safety oversight programmes and projects in the AFI Region

AFI RSOO STUDY

Conclusions

- ❖ AFI RSOOs face challenges of insufficient funding, inadequate technical personnel, lack of commitment and delegation of functions from States, underutilization, duplication of efforts and resources, reduced sustainability, effectiveness and efficiency.
- ❖ Adoption of one or a combination of sustainable means of funding to be considered for implementation on regional or individual State basis, subject to a proper evaluation and consultations.
- ❖ Although average safety oversight EI levels have improved, development of strategic plans and inclusion of global/regional targets in strategic objectives of AFI RSOOs with clear goals, KPIs and annual targets should be encouraged for progress, effectiveness and impact,
- ❖ Because of inadequate funding, AFI RSOOs have difficulty in recruiting, training and retaining qualified technical personnel in the required numbers. Individual States and RSOOs should conduct Staff needs assessments; determine the minimum full time technical staff requirements; and encourage sharing of human resources
- ❖ All AFI RSOOs / RAIO are providing Level 1 advisory services, and in addition, some are also performing Level 2 operational assistance functions. None is empowered or mandated for the Level 3 functions of actual deliverance of certificates and licenses on behalf of States.
- ❖ Twenty-six States belong to just one RSOO, whilst 17 have dual membership. When a State decides to join an RSOO, there should be clear non-conflicting delegation of functions.
- ❖ Unless outweighed by other advantages, the multiple membership of RSOOs should be discouraged and minimized in preference for larger and fewer entities in the region for sustainability.

RSOO STUDY

Recommendations

ESTABLISHMENT

1. All RSOO legal instruments be reviewed to ascertain their adequacy as appropriate regional frameworks and that States implement accompanying national legal measures for commitment to their applicability.
2. MOUs be concluded between RSOOs and individual member States tailored to their needs, that will clarify in detail, the precise nature of services, expectations, and quality control aspects involved.

MEMBERSHIP/SIZE/CONFIGURATION

3. Encourage non-duplication of RSOO membership, where feasible, and ensure distinction of services where duplication is unavoidable or of some other advantage
4. Conduct an in depth assessment and stakeholder consultations on the proposed options for streamlining the size and number of AFI RSOOs and RAIOs.

AUTONOMY / INDEPENDENCE

5. Review and appropriately revise RSOO legal agreements to ascertain adequate autonomy, independence and strong State commitment.
6. RECs that have established RSOOs as specialized institutions be encouraged to grant such organizations greater technical, financial and administrative independence for efficiency and effectiveness

RSOO STUDY

Recommendations

STAFFING & EFFICIENCY

7. Encourage and assist all RSOOs and individual States to conduct technical safety staff needs assessments and maintain an optimum staffing level.
8. Encourage and assist States with strong safety oversight capabilities and spare resources to seek GASOS assessment and recognition.
9. Encourage the sharing of technical personnel between RSOOs and between RSOOs and non-member States.
10. AFI CIS be enhanced and strengthened for its effective operation as a region wide CIS.

SUSTAINABLE FUNDING

11. Encourage and assist partner States to develop and implement a sustainable RSOO funding mechanism based on assessment of the proposed options for application on individual RSOO or regional basis.
12. Aviation charges and fees be reviewed on a region wide basis in line with ICAO policies and principles of non-discrimination, cost-relatedness, transparency and consultations with Users and Service Providers.
13. Require all RSOOs to develop new Business Plans or review any existing ones.
14. Establishment/utilization of a *Joint collection of charges scheme* for the sustainable funding of RSOOs.

DELEGATION OF FUNCTIONS

15. States and RSOOs review their national and regional legal framework to allow them to request the provision of functions or delegate functions.
16. A region wide harmonization of regulations, procedures and documentation relating to safety oversight be conducted.
17. RSOOs/RAIOs be encouraged to undergo a GASOS assessment for those functions that they perform on behalf of States, thereby increasing their visibility and credibility.
18. All States conclude Agreements / MOUs for the delegation of Levels 1 & 2 functions to RSOOs they belong to, based on regional templates.

RSOO STUDY

Recommendations

EFFECTIVENESS

19. RSOOs be encouraged and assisted to develop Strategic Plans incorporating global and regional safety targets and benchmarks
20. Urge RSOOs to have in place appropriate Contingency / Business Continuity Plans that are regularly updated for effectiveness, resilience and sustainability.
21. Support of the RSOO CP and ICAO ROs to AFI RSOOs be continued and enhanced in all feasible areas.
22. ICAO continues to improve guidance material and AFI RSOOs and RAIOs be encouraged to use available guidance to resolve deficiencies identified from assessments.

COLLABORATION / COOPERATION

23. Encourage and assist AFI RSOOs and RAIOs to effectively participate in and benefit from ICAO initiatives such as the RSOO CP, RAIO CP, and GASOS.
24. ICAO should work with RSOOs to identify specific assistance needs and coordinate with partners and stakeholders for possible collaboration on assistance needs.
25. All AFI RSOOs conduct/complete the GASOS self-assessment to determine their overall baseline of activities and help identify gaps and necessary corrective actions and enable ICAO and partners to prioritize technical assistance.
26. Encourage States to take a more active role by in RSOOs and actively support RSOOs in order to strengthen their own safety oversight effective implementation.
27. Promote cooperation and coordination between RSOOs through bilateral contacts, exchange of experiences and mutual support through peer projects to be encouraged and supported by ICAO and partners.

CRITERIA FOR STRENGTHENING AFI RSOOs

- ✓ **Efficiency** in the use of human and financial resources and avoiding duplication and wastage through overlapping memberships etc;
- ✓ **Effectiveness** in contributing to improving the EI levels of member States based on the competences and strengths of the mandates of RSOOs and commitment of states;
- ✓ **Sustainability** and long-term viability as a result of adequate and stable funding, competent human capacity and ability to deal with emerging issues; and
- ✓ **Relevance** in terms of responsiveness and strategic orientation towards the needs and expectations of member States.

STRATEGIC OBJECTIVES

OBJECTIVE 1: Establish an adequate and sustainable RSOO funding mechanism on a regional or individual state basis.

OBJECTIVE 2: Build competence and capacity of RSOOs in line with their mandates, functions and activities based on shared human resources and complementarity on regional basis.

OBJECTIVE 3: States individually delegate through MOUs and in accordance with their own needs, and competences and mandates of the RSOOs, the required functions and activities.

OBJECTIVE 4: Increase the operational effectiveness and impact of RSOOs on the safety oversight standards of states.

OBJECTIVE 5: Harmonize safety oversight regulatory material on RSOO and region wide basis.

OBJECTIVE 6: Promote reconfiguration and optimization of the number and size of RSOOs to minimize overlapping memberships, duplication of functions, and wastage, and improve efficiency.

OBJECTIVE 7: Establish strong cooperation and collaboration amongst different parties and partners, Coordination with other safety oversight programmes and projects in the AFI Region.

IMPLEMENTATION ROADMAP

- SO
- CRITERIA
- Activity
- KPIs
- Responsibility
- Duration/Period

Note: Under responsibility, * Indicates the Principal lead entity that drives the implementation process for the task concerned in coordination and with the inputs of the rest.

STRATEGIC OBJECTIVE	CRITERIA TO BE MET	ACTIVITY	KPIs	IMPLEMENTATION RESPONSIBILITY		PERIOD
				LEAD ENTITIES	SUPPORT ENTITIES	
Objective 1: Sustainable RSOO funding mechanism	Efficiency; Sustainability	Develop and implement a sustainable RSOO funding mechanism based on proposed options for application on individual RSOO or regional basis:	% of RSOOs that reached decision on sustainable funding			Jan – June 2022

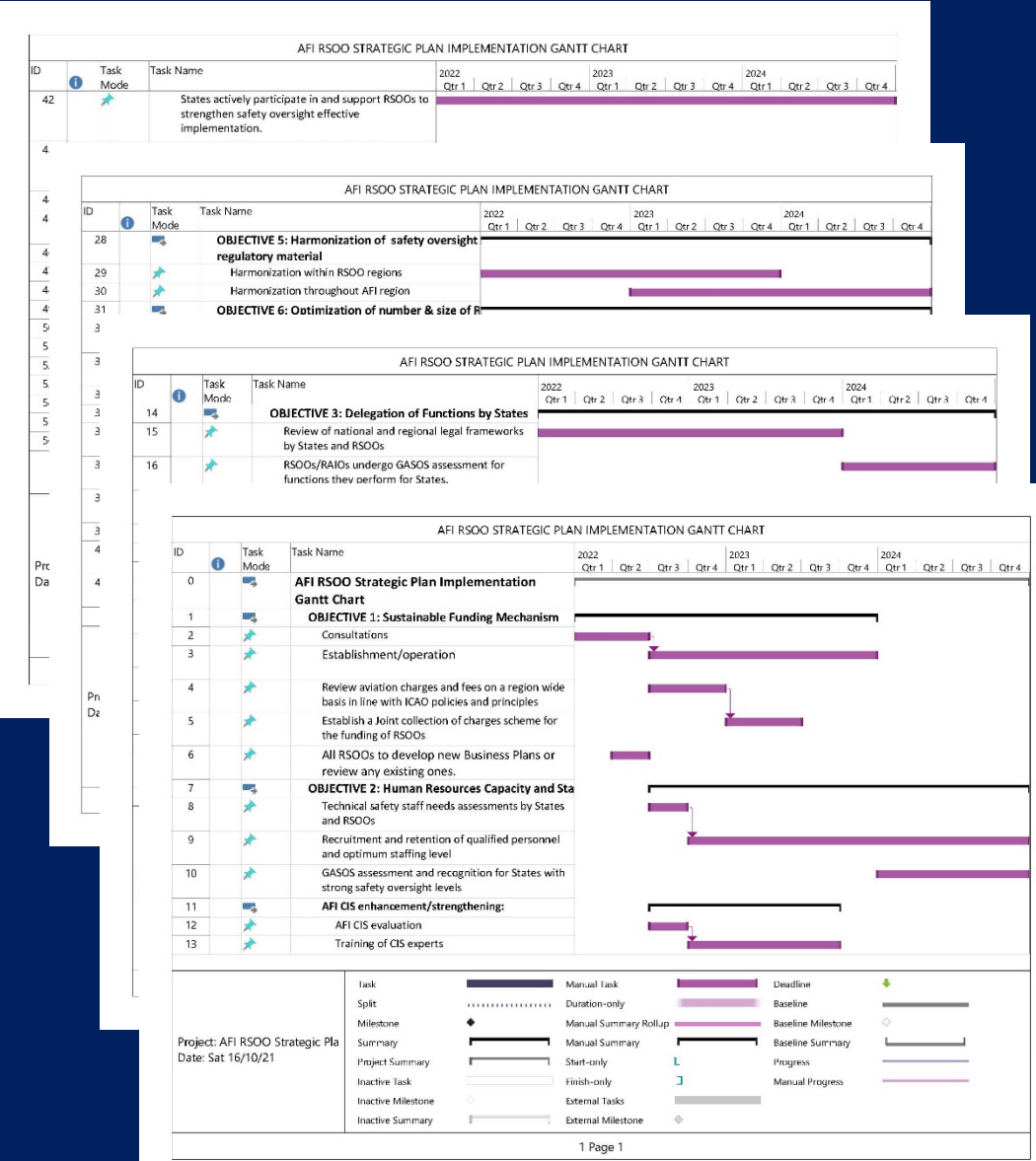
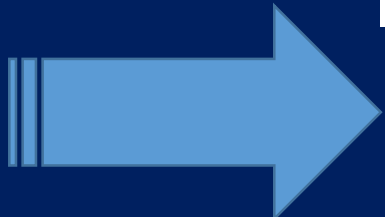
STRATEGIC OBJECTIVE	CRITERIA TO BE MET	ACTIVITY	KPIs	IMPLEMENTATION RESPONSIBILITY		PERIOD
				LEAD ENTITIES	SUPPORT ENTITIES	
		AFI CIS enhancement/strengthening: • AFI CIS evaluation	Timely completion of evaluation	*AFCAC ICAO	States, RSOOs Partners Stakeholders	Jul – Sept 2022
		• Training of CIS experts.	% of required CIS staff appropriately trained			Jan – Dec 2023

STRATEGIC OBJECTIVE	CRITERIA TO BE MET	ACTIVITY	KPIs	IMPLEMENTATION RESPONSIBILITY		PERIOD
				LEAD ENTITIES	SUPPORT ENTITIES	
		Review of national and regional level of preparedness	contingency plan / BCP			
		Continued support of RSOO CP and ICAO	N/A for RSOOs	RSOOs		

STRATEGIC OBJECTIVE	CRITERIA TO BE MET	ACTIVITY	KPIs	IMPLEMENTATION RESPONSIBILITY		PERIOD
				LEAD ENTITIES	SUPPORT ENTITIES	
Objective 7: Cooperation and collaboration	Efficiency; Effectiveness; Relevance	Encourage and assist AFI RSOOs and RAIOS to effectively participate in and benefit from ICAO initiatives such as the RSOO CP, RAIOS CP, and GASOS.	N° of RSOOs participating in relevant ICAO initiatives	RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24
		• ICAO to work with RSOOs to identify specific assistance needs, and coordinate with partners and stakeholders on TA implementation	N° of RSOOs assisted by ICAO & partners	*ICAO RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jul – Dec 2022
		All AFI RSOOs to: • complete GASOS self-assessment • identify gaps/necessary corrective actions • Prioritized assistance of ICAO/Partners	N° of RSOOs that complete GASOS self-assessment. % of corrective actions / gaps successfully closed	RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jul – Dec 2022 Jan – Mar 2023 Jul'23 – Dec'24
		States to actively participate in and support RSOOs to strengthen their own safety oversight effective implementation.	% average increase in EI of States	*States RSOOs	AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24
		Promote RSOO cooperation / coordination, exchange experiences and peer projects with ICAO/partner support.	N° of joint projects successfully implemented	RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24

REPORTING	Reporting Frequency		KPIs	IMPLEMENTATION RESPONSIBILITY	PERIOD			
	Bi-annual Reports	% of reports provided on time				*AFCAC AFI Plan	States, RSOOs, ICAO, Partners, Stakeholders	Every 6 months
	Annual Reports	% of reports provided on time						Every 12 months
Mid-Term review report	Timely reporting	Every 18 months						

Note: Under responsibility, * Indicates the Principal lead entity that drives the implementation process for the task concerned in coordination and with the inputs of the rest.



IMPLEMENTATION ROADMAP

Note: Under responsibility, * indicates the Principal lead entity that drives the implementation process for the task concerned in coordination and with the inputs of the rest.

STRATEGIC OBJECTIVE	CRITERIA TO BE MET	ACTIVITY	KPIs	IMPLEMENTATION RESPONSIBILITY		PERIOD
				LEAD ENTITIES	SUPPORT ENTITIES	
Objective 1: Sustainable RSOO funding mechanism	Efficiency; Sustainability	Develop and implement a sustainable RSOO funding mechanism based on proposed options for application on individual RSOO or regional basis:	<ul style="list-style-type: none"> % of RSOOs that reached decision on sustainable funding N° of funding mechanisms established 	*States RSOOs RECs	AFCAC ICAO Partners Stakeholders	Jan – June 2022
		<ul style="list-style-type: none"> Consultations Establishment/operation 	<ul style="list-style-type: none"> % of RSOOs that reached decision on joint collection 			July'22 – Dec'23
		<ul style="list-style-type: none"> Establish a <i>Joint collection of charges scheme</i> for the funding of RSOOs. 	Adequacy and compliance of charges with ICAO principles			Jan – June 2023
		<ul style="list-style-type: none"> Review aviation charges and fees on a region wide basis in line with ICAO policies and principles 	N° of RSOO with new or revised BPs			July – Dec 2022
		<ul style="list-style-type: none"> All RSOOs to develop new Business Plans or review any existing ones. 				Apr – June 2022
Objective 2: Human resources capacity and staffing	Efficiency; Effectiveness; Relevance	<ul style="list-style-type: none"> Technical safety staff needs assessments by States and RSOOs 	% of States and RSOOs that complete assessment	*States RSOOs	AFCAC ICAO, RECs Partners Stakeholders	Jul – Sept 2022
		<ul style="list-style-type: none"> Recruitment and retention of qualified personnel and optimum staffing level. 	% of States and RSOOs with required minimum qualified staff			Oct'22 – Dec'24
		<ul style="list-style-type: none"> GASOS assessment and recognition for States with strong safety oversight levels 	% of States that meet GASP targets and undergo assessment			Jan – Dec 2025

IMPLEMENTATION ROADMAP

STRATEGIC OBJECTIVE	CRITERIA TO BE MET	ACTIVITY	KPIs	IMPLEMENTATION RESPONSIBILITY		PERIOD
				LEAD ENTITIES	SUPPORT ENTITIES	
		AFI CIS enhancement/strengthening: <ul style="list-style-type: none"> AFI CIS evaluation Training of CIS experts. 	Timely completion of evaluation % of required CIS staff appropriately trained	*AFCAC ICAO	States, RSOOs Partners Stakeholders	Jul – Sept 2022 Jan – Dec 2023
Objective 3: Delegation of functions by States	Efficiency; Effectiveness; Relevance.	Review of national and regional legal frameworks by States and RSOOs	% of States and RSOO that reviewed legal frameworks	*RSOOs States	AFCAC ICAO, RECs Partners Stakeholders	Jan'22 – Dec'23
		RSOOs/RAIOs undergo GASOS assessment for functions they perform for States.	% of RSOOs that undergo GASOS assessment	RSOOs		Jan – Dec 2024
		All States conclude Agreements / MOUs for the delegation of Levels 1 & 2 functions <ul style="list-style-type: none"> Development of regional templates. Conclusion of MOUs 	% of states that conclude MOUs with their RSOOs	States *RSOOs		Jan 2022 Apr – Dec 2022
Objective 4: Operational effectiveness and impact.	Effectiveness; Relevance	<ul style="list-style-type: none"> RSOOs review legal instruments States implement accompanying national legal measures. 	<ul style="list-style-type: none"> % of RSOOs that reviewed legal instrument % of States that implement required national legal measures 	RSOOs States	RECs, AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'23 Jan'23 – Dec'24
		RSOOs develop Strategic Plans with global and regional safety targets/benchmarks.	% of RSOOs with new / revised strategic plans	RSOOs		States, AFCAC, ICAO Partners, Stakeholders
		Develop Contingency/Business Continuity Plans for RSOO resilience/sustainability.	% of RSOOs with appropriate	RSOOs	States, AFCAC, ICAO Partners,	Oct – Dec 2022

IMPLEMENTATION ROADMAP

STRATEGIC OBJECTIVE	CRITERIA TO BE MET	ACTIVITY	KPIs	IMPLEMENTATION RESPONSIBILITY		PERIOD
				LEAD ENTITIES	SUPPORT ENTITIES	
			contingency plan / BCP		Stakeholders	
		Continued support of RSOO CP and ICAO ROs to AFI RSOOs.	N° of RSOOs receiving ICAO/RO assistance	RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24
		<ul style="list-style-type: none"> Continuous improvement of guidance material by ICAO. AFI RSOOs/RAIOs to use available guidance to resolve identified deficiencies. 	<ul style="list-style-type: none"> At least one review / updating of RSOO material during planned period % of deficiencies identified in assessments resolved by RSOOs 	ICAO RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24 Jan'23 – Dec'24
Objective 5: Harmonization of safety oversight regulatory material	Efficiency; Effectiveness; Relevance	Harmonization of safety regulations: <ul style="list-style-type: none"> within RSOO regions Throughout the region. 	<ul style="list-style-type: none"> N° of RSOOs that have harmonized regulations Timely attainment of region wide harmonization 	States *RSOOs,	RECs, AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'23 Jan'23 – Dec'24
Objective 6: Optimization of number & size of RSOOs	Efficiency	Encourage non-duplication of RSOO membership and ensure distinction of services where duplication exists.	% of states with multiple RSOO membership that have separated functions	States *RSOOs RECs	AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24
		<ul style="list-style-type: none"> Stakeholder consultations on proposed options to streamline size/No of RSOOs. Implementation of agreements 	Timely decision on the optimum N° and size of RSOOs	States *RSOOs RECs	AFCAC, ICAO Partners, Stakeholders	July – Dec 2022 Jan'23 – Dec'24

IMPLEMENTATION ROADMAP

STRATEGIC OBJECTIVE	CRITERIA TO BE MET	ACTIVITY	KPIs	IMPLEMENTATION RESPONSIBILITY		PERIOD
				LEAD ENTITIES	SUPPORT ENTITIES	
Objective 7: Cooperation and collaboration	Efficiency; Effectiveness; Relevance	Encourage and assist AFI RSOOs and RAIOs to effectively participate in and benefit from ICAO initiatives such as the RSOO CP, RAIO CP, and GASOS.	N° of RSOOs participating in relevant ICAO initiatives	RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24
		<ul style="list-style-type: none"> ▪ ICAO to work with RSOOs to identify specific assistance needs, and ▪ coordinate with partners and stakeholders on TA implementation 	N° of RSOOs assisted by ICAO & partners	*ICAO RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jul – Dec 2022 Jan'23 – Dec'24
		All AFI RSOOs to: <ul style="list-style-type: none"> ▪ complete GASOS self-assessment ▪ identify gaps/necessary corrective actions ▪ Prioritized assistance of ICAO/Partners 	N° of RSOOs that complete GASOS self-assessment. % of corrective actions / gaps successfully closed	RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jul – Dec 2022 Jan – Mar 2023 Jul'23 – Dec'24
		States to actively participate in and support RSOOs to strengthen their own safety oversight effective implementation.	% average increase in EI of States	*States RSOOs	AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24
		Promote RSOO cooperation / coordination, exchange experiences and peer projects with ICAO/partner support.	N° of joint projects successfully implemented	RSOOs	States, AFCAC, ICAO Partners, Stakeholders	Jan'22 – Dec'24
REPORTING		Bi-annual Reports	% of reports provided on time	*AFCAC AFI Plan	States, RSOOs, ICAO, Partners, Stakeholders	Every 6 months
		Annual Reports	% of reports provided on time			Every 12 months
		Mid-Term review report	Timely reporting			Every 18 months

*Note: Under responsibility, * indicates the Principal lead entity that drives the implementation process for the task concerned in coordination and with the inputs of the rest.*

MONITORING & EVALUATION

Oversight

AUC / Ministers / AFCAC /
AFI Plan SC



Implementation



- ❖ AFCAC Sec.
- ❖ AFI Plan Sec
- ❖ RSOOs/RAIO
- ❖ RECs
- ❖ States
- ❖ Partners

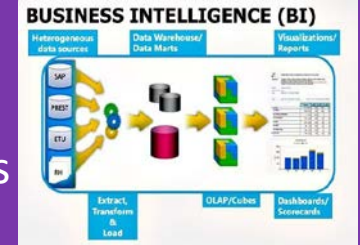
M & E Tools



❖ MS Project



❖ B I
Dashboards



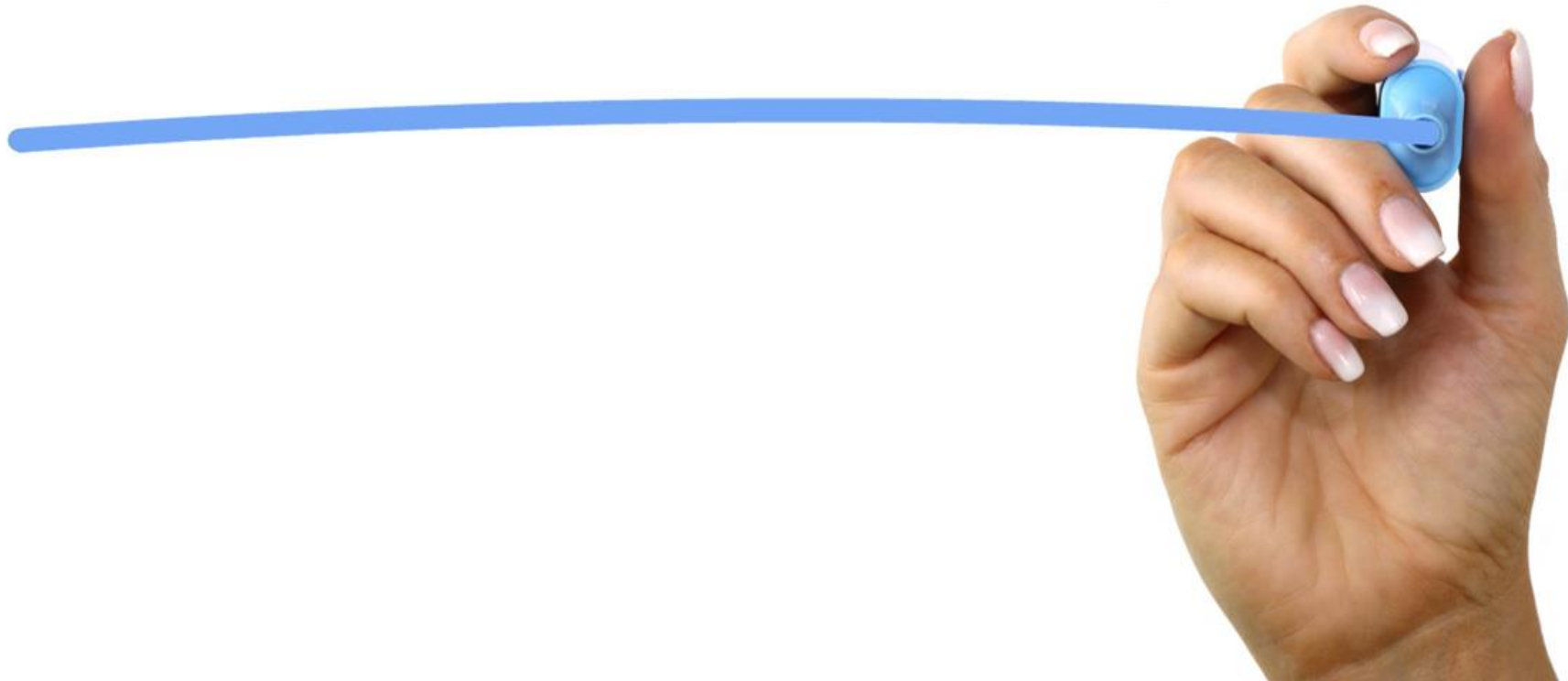
Reports



- ❖ Biannual
- ❖ Annual
- ❖ Mid-Term



QUESTIONS



DISCUSSION / DECISION POINTS

- Appropriateness of Strategic Objectives?
- Roadmap / Action Plan:
 - *Duration & Timelines (3 yrs vs 5 yrs)?*
 - *Annex to the Strategic Plan?*
 - *Alignment of Tasks with SOs?*
 - *Suitability of KPIs?*
- Implementation Responsibilities?:
 - *Principal,*
 - *Lead,*
 - *Support Entities*
- M & E:
 - *Implementation Oversight Responsibilities?*
 - *Reporting Timelines ?*