

AFI RSOO Strategic Plan Validation Workshop

(Virtual)
Thursday, 25 November 2021

Study Report

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CONTENTS

- Background, Objective & Scope
- Report Outline
- Report Summary:
 - Survey methodology
 - Safety Oversight EI Status of AFI States
 - Survey Review & Outcome
 - Conclusions
 - Recommendations
- Q & A

Background, Objective & Scope

Mar
2017

❖ ICAO/EASA RSOO Forum



❖ AFI Ministerial Meeting



Jul-Oct
2021

❖ AFI Plan RSOO Study

Objective

- Identify necessary actions for effective and sustainable operation of RSOOs in the AFI Region
- Consolidate these actions into a Strategic Plan and Roadmap for implementation

Scope

- Review status of State safety oversight EIs
- SWOT analysis of AFI RSOOs
- Review/survey of operationalization of existing RSOOs in the AFI Region.
- Review of mechanisms/options for the sustainable funding of RSOOs
- Overview of options for appropriate staffing including sharing of staff (between RSOOs, CAAs, AFI-CIS)
- Analysis of current setup mechanisms aimed at streamlining the number and size of RSOOs
- Review autonomy/independence of RSOOs, the delegation of functions

RSOO STUDY REPORT OUTLINE

CONTENTS:

1. Exec Summary
2. Introduction & Background
3. Objective & Scope
4. Methodology
5. State Safety Oversight EI Status in AFI Region
6. Brief Review of AFI RSOOs
7. Intl./Regional Initiatives & Partner programs
8. Survey Review & Outcome
9. RSOO SWOT Analysis
10. Conclusions
11. Recommendations

ANNEXES:

1. TOR
2. Work Plan
3. Questionnaires
4. Response Checklist
5. RSOO/RAIO Membership Chart
6. Safety Oversight EI Status
7. AFI CIS Signatories
8. Summary of Survey Responses
9. State Responses on Level of Safety Oversight Activities

RSOO STUDY REPORT SUMMARY

Survey methodology & outcome

SURVEY QUESTIONNAIRES

- Conducted: 1 Jul – 3 Aug 2021
- Five Questionnaires:
 - States:
 - Safety Oversight
 - AIG
 - RSOOs - Safety Oversight
 - RECs - Safety Oversight
 - RAIO - AIG

REFERENCE MATERIAL

- Ezulwini Ministerial Declaration on RSOOs in Africa
- Global Strategy and Action Plan for the improvement of RSOOs
- AFI Plan programme documents
- ICAO Evaluation of RSOOs, November 2017
- RSOO CP deliberations and activities
- ECOWAS-ECCAS 2021 AIG study for WACAF States

RSOO STUDY REPORT SUMMARY

Survey methodology & outcome

TARGET GROUPS

- 54 States
- 6 RSOOs
- 1 RAIO
- 8 RECs

RSOO STUDY REPORT SUMMARY

Survey methodology & outcome

ISSUES FOR RSOOs

- Membership and legal status;
- Establishment and hosting arrangements;
- Staffing;
- Scope, level of involvement in State safety oversight activities;
- Impact on safety oversight effective implementation;
- Autonomy and independence;
- Funding arrangements;
- Delegation of functions by States;
- Cooperation & collaboration with other RSOOs, States /organizations;
- Challenges to sustainability and existing plans .

RSOO STUDY REPORT SUMMARY

Survey methodology & outcome

RSOO ISSUES FOR STATES

- organization of civil aviation safety oversight;
- RSOO membership including any duplications;
- Autonomy and funding of civil aviation regulation;
- Safety oversight activities and level of involvement and utilization of RSOOs;
- Technical staff strengths;
- Financial obligations to RSOOs;
- Delegation of functions;
- Size and effectiveness of RSOOs;
- Collaboration and cooperation with other States and RSOOs; and
- Challenges being confronted.

RSOO STUDY REPORT SUMMARY

Survey methodology & outcome

RSOO ISSUES FOR RECs

- Establishment and hosting of RSOOs;
- Membership duplication and overlapping of functions;
- Mandates, legal and statutory instruments;
- Autonomy and independence of RSOOs;
- Funding schemes including the community levy option;
- Delegation of State safety oversight functions to RSOOs;
- Integration and enlargement of RSOOs;
- Challenges; and
- Regional strategic plans and roadmaps.

RSOO STUDY REPORT SUMMARY

Survey methodology & outcome

AIG ISSUES FOR STATES & RAIOS

- RAIO membership;
- Legal and operational status;
- Autonomy and independence of RAIOS;
- Arrangements for independent accident investigation in States;
- Delegation of functions;
- Funding;
- Scale of activities;
- Qualified staff; size and enlargement of the existing RAIO;
- Cooperation and collaboration; participation in partner programmes; and
- Challenges

RSOO STUDY REPORT SUMMARY

Survey methodology & outcome

RESPONSE RATE

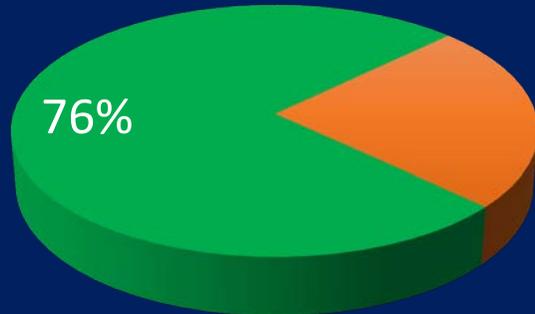
STATES

RSOOs

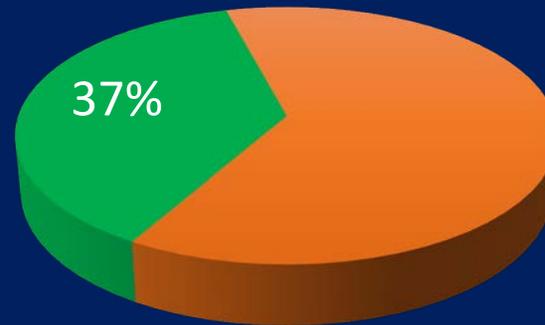
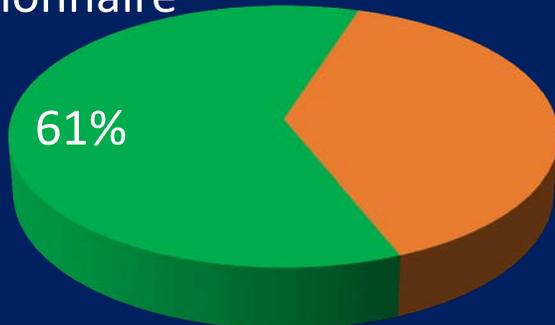
RECs

RAIOs

RSOO
Questionnaire



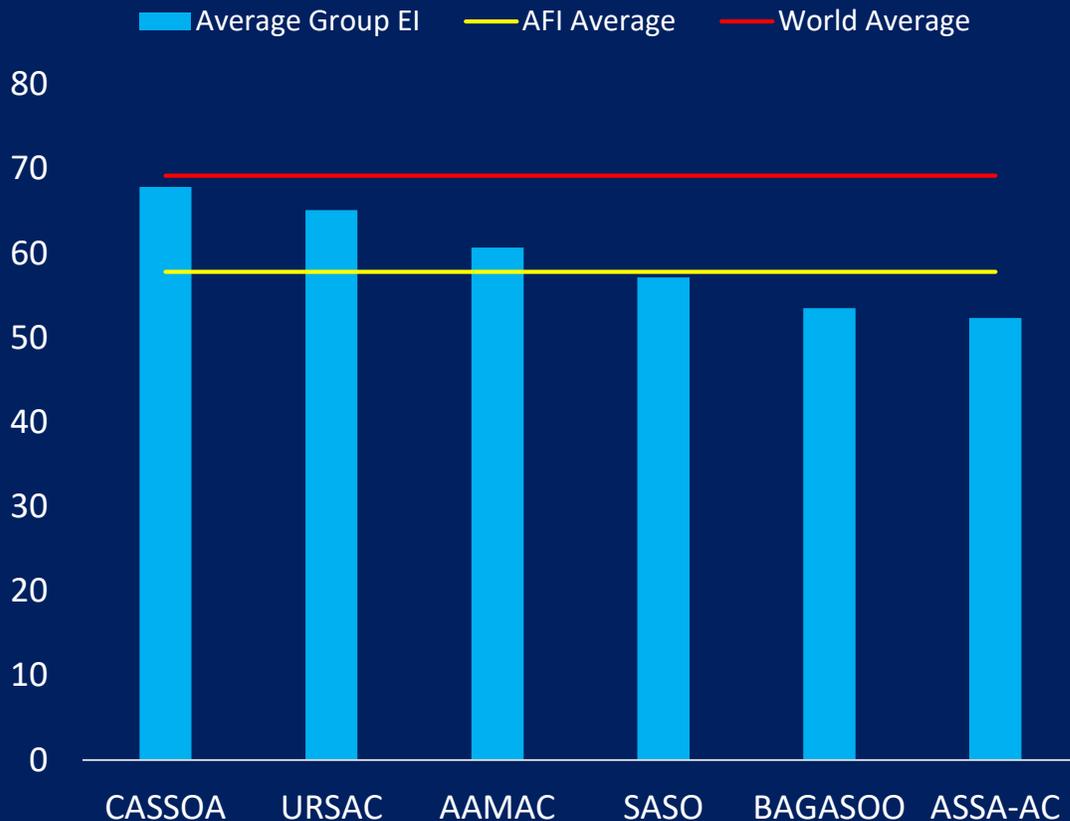
AIG
Questionnaire



RSOO STUDY REPORT SUMMARY

Safety Oversight EI Status of AFI States

Average % EI by RSOO State Grouping



1. Half of AFI RSOO State-groups have average EIs below the world average in all audit areas.
2. Common weaknesses in AIG and AGA for all groupings.
3. CEs 6 to 8 stand out as common weak areas for all AFI RSOO State groupings.
4. Five out of the six RSOOs are deficient in CE5
5. RSOOs' lack of information on safety oversight, certification & licensing activities of member States.

RSOO STUDY REPORT SUMMARY

Intl./Regional Initiatives & Partner programs

- ❖ Safety performance indicators and targets difficult to quantitatively ascribe to work of RSOOs given multiplicity of partners, stakeholders, and States involved.
 - ❖ The results do not necessarily convey capabilities and capacities of the RSOOs exclusively.
 - ❖ Nonetheless a good indication and strong reflection of impact of various safety initiatives/interventions including RSOOs.
- **AFI CIS**
 - **AFI Plan**
 - **ASIAP**
 - **APEX-SAFETY**
 - **GASOS**
 - **RSOO CP**
 - **RAIO CP**
 - **iPADIS**
 - **Etc.**

RSOO STUDY REPORT SUMMARY

Survey Review & Outcome

- ✓ Establishment and Operational Status
- ✓ Review of sustainable funding options
- ✓ Staffing
- ✓ Delegation of Safety Oversight Functions and Activities
- ✓ Autonomy & Independence
- ✓ Cooperation & Collaboration
- ✓ Size, Number and Configuration of AFI RSOOs
- ✓ Effectiveness and impact on safety oversight
- ✓ The Covid-19 Pandemic and Its Impact

RSOO STUDY REPORT SUMMARY

Survey Review & Outcome

Sustainable Funding

- AFI RSOOs rely on external sources of funding (annual contributions from States, community organizations, and grants from partners.)
- Four RSOOs/RAIO depend on direct annual State contributions, and two are attached to and funded by a REC
- States / RSOOs have identified the lack of adequate, sustainable funding as one of the top challenges
- All AFI RSOOs have a sustainable financing proposal awaiting adoption and implementation.

FUNDING OPTIONS:

- Fees for services provided by an RSOO
- Airport and air navigation services charges;
- Government funds;
- Air safety charge levied on passengers;
- Grants and loans from donor States;
- Regional financial institutions
- Debt financing.

❖ Evaluated in terms of associated PROS / CONS / RISKS

CRITERIA:

- Simple, equitable and applicable on a regional basis.
- In line with ICAO's policies on charges:
 - ✓ non-discrimination,
 - ✓ cost-relatedness,
 - ✓ transparency and
 - ✓ consultation with users

RSOO STUDY REPORT SUMMARY

Survey Review & Outcome

Size / Number of RSOOs

	AAMAC	ASSA-AC	MENA	BAGASOO	BAGAIA	CASSOA	URSAC/ ACSAC	iSASO (SADC)	7-Partner States
1	Benin	Cameroon	Egypt	Cabo Verde	Cabo Verde	Burundi	Benin	**Angola	Eritrea
2	Burkina Faso	Central African Rep.	Libya	Gambia	Gambia	Kenya	Burkina Faso	**Botswana	Ethiopia
3	Cameroon	Chad	Morocco	Ghana	Ghana	Rwanda	Cote D'Ivoire	Comoros	Somalia
4	Central African Rep.	Congo, Republic of	Mauritania	Guinea	Guinea	South Sudan	Guinea-Bissau	DRC	Sudan
5	Chad	Equatorial Guinea	Somalia	Liberia	Liberia	Tanzania	Mali	**eSwatini	Djibouti
6	Comoros	Gabon	Sudan	Nigeria	Nigeria	Uganda	Niger	**Lesotho	Egypt
7	Congo, Republic of			Sierra Leone	Sierra Leone		Senegal	Madagascar	Libya
8	Cote D'Ivoire						Togo	**Malawi	
9	Equatorial Guinea							Mauritius	
10	Gabon							**Mozambique	
11	Guinea-Bissau							**Namibia	
12	Madagascar							Seychelles	
13	Mali							South Africa	
14	Mauritania							Tanzania	
15	Niger							**Zambia	
16	Senegal							**Zimbabwe	
17	Togo								

KEY / COLOUR CODE: OVERLAPPING RSOO MEMBERSHIPS:

AAMAC – ACSAC/URSAC	AAMAC – MENA	AAMAC - ASSA AC – CASSOA - iSASO
AAMAC – ASSA-AC	MENA – 7 Partner States	** Signatories to SASO Charter

- Six AFI RSOOs and one RAIO cover 43 States
- RSOO sizes range from 6 to 17 States
- Six states do not formally belong to an RSOO
- Overlapping/duplication of membership:
 - 26 States belong to just one RSOO
 - 17 have dual membership.
- Majority of RSOOs associated with RECs and these also have significant overlaps
- Although States should have flexibility to combine services from different RSOOs, there should be non-conflicting delegation
- Financial implications of multiple RSOO membership on ability to meet State dues
- Relatively low level of aviation activity supports the idea of larger and fewer entities.

RSOO STUDY REPORT SUMMARY

Survey Review & Outcome

Size / Number of RSOOs

❖ **RSOO OPTION 1:**

Increasing the number of RSOOs from six (6) to seven (7) by maintaining the existing six (6) RSOOs as constituted and establishing a new one for those States that do not belong to an RSOO.

❖ **RSOO OPTION 2:**

*Maintaining the **status-quo of six (6) RSOOs** and encourage those States that do not belong to an RSOO to join one of the existing. This can be enhanced by bringing BAGASOO within the umbrella of the ECOWAS REC.*

❖ **RSOO OPTION 3:**

*Full implementation of REC based RSOOs (i.e. one each for ECOWAS, ECCAS, SADC, and EAC) to **reduce the number from six (6) to five (5)**. This will require the integration of BAGASOO and ACSAC-URSAC under ECOWAS; enlargement of ASSA-AC to cover the ECCAS region; AAMAC to retain ANS continent wide; and for States that currently do not belong to an RSOO to join one of the existing.*

❖ **RSOO OPTION 4:**

*Full implementation of REC based RSOOs to **reduce the number from six (6) to four (4)** (i.e. one each for ECOWAS, ECCAS, SADC, and EAC). This will require the integration of BAGASOO and ACSAC-URSAC under ECOWAS; enlargement of ASSA-AC to cover the ECCAS region; **AAMAC be diffused into all four**; and for States that currently do not belong to an RSOO to join one of the existing.*

RSOO STUDY REPORT SUMMARY

Survey Review & Outcome

Size / Number of RAIOS

❖ **AIG OPTION 1:**

Limit BAGAIA to BAG States, pursue creation of EAC-RAIO, and for States that do not belong to a RAIO to cooperate with individual States and RAIOS.

❖ **AIG OPTION 2:**

Expansion of BAGAIA to cover the ECOWAS-ECCAS regions, and pursue and implement the EAC- RAIO initiative to cover both EAC and SADC regions.

❖ **AIG OPTION 3:**

Expansion of BAGAIA as a continental RAIO.

Table 3:
Assessment of RSOO / RAIO Options

PROS

CONS

RISKS

RSOO STUDY REPORT SUMMARY

Survey Review & Outcome

COOPERATION & COLLABORATION

- Within an RSOO
- Between AFI RSOOs
- RSOOs with non-Member States
- With Partners and International Organizations

RSOO STUDY REPORT SUMMARY

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 REPORT SUMMARY

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 REPORT SUMMARY

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 REPORT SUMMARY

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, RAIOS 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.



QUESTIONS

