

## 26<sup>th</sup> COSCAP-SA STEERING COMMITTEE MEETING

### **Proposal for an Independent Feasibility Study Examining the Case for COSCAP-SA's Development into a Regional Safety Oversight Organisation (RSOO) Discussion Paper 12 (DP-12)**

(Presented by Sri Lanka and the European Aviation Safety Agency)

#### **SUMMARY**

The purpose of this paper is to seek the COSCAP-SA States' views on an independent Feasibility Study examining the option of evolving COSCAP-SA into an RSOO.

**Action:** The COSCAP-SA Steering Committee is invited to:

1. Consider whether an independent Feasibility Study would be of interest and value to the States.
2. Review the Terms of Reference for a Feasibility Study as outlined in the Annex.
3. Support the Feasibility Study insofar as resources permit.
4. Review the results of the proposed Feasibility Study at the next Steering Committee Meeting or on another occasion to be decided by the States.

### **1. Introduction**

Traffic forecasts for South Asia are the highest in global aviation, expected to grow at 8.6 percent per year over the next 20 years. The context of rising traffic levels and the increasing complexity of aviation in the face of limited resources implies the need for South Asia to explore new paradigms for safety oversight.

The necessity of addressing these issues, cooperatively and regionally, was recognised in 2016 during the 39<sup>th</sup> Session of the ICAO Assembly, which in its Resolution A39-14:

- "Urges Member States to develop and further strengthen regional and subregional cooperation in order to promote the highest degree of aviation safety" and
- "Encourages Member States to foster the creation of regional or subregional partnerships to collaborate in the development of solutions to common problems to build State safety oversight capability, and to participate in, or provide tangible support for, the strengthening and furtherance of subregional and regional aviation safety and safety oversight bodies, including RSOOs."

Following the 39<sup>th</sup> ICAO Assembly, ICAO and EASA jointly organised the RSOO Forum in Swaziland from 22 to 24 March 2017. This Forum endorsed the ICAO Global Strategy and Action Plan for the improvement of regional safety oversight organizations (RSOOs), including the three strategic objectives of strengthening RSOOs, establishing a Global Aviation Safety Oversight System and an RSOO Cooperative Platform. The final report of the RSOO Forum can be found [here](#).

Following the RSOO Forum, ICAO has initiated several actions, among them the evaluation of existing RSOOs and COSCAPs. This evaluation recognises COSCAP-SA as a Level 1<sup>1</sup> RSOO, namely one that offers advisory and coordinating functions.

In line with the objectives of the EU-South Asia Aviation Partnership Project<sup>2</sup>, the European Aviation Safety Agency (EASA) wishes to work closely with ICAO and the COSCAP-SA States to assist in investigating whether and how COSCAP-SA could evolve in form, type or level, as and when the States are so willing, and in line with ICAO recommendations.

## **2. Discussion**

### **2.1. COSCAP-SA Development and Evolution**

COSCAP-SA was established in 1998 and is now completing its 4<sup>th</sup> project phase. If COSCAP-SA's mandate is renewed for a 5<sup>th</sup> phase, the States may wish to consider the option of evolving from a Level 1 to a Level 2 RSOO, i.e. complementing the COSCAP's advisory and coordinating function with certain operational assistance functions. Thus, COSCAP-SA may evolve into a level 2 RSOO, a development which may occasion a review of ICAO's role and involvement.

ICAO's Safety Oversight Manual Part B (Doc 9734) stipulates that a feasibility study should be carried out prior to the establishment of an RSOO, in order to assess the nature of the aviation activity in the prospective Member States as well as their safety oversight capabilities. The information gathered through such a study normally serves as a basis for States to decide what form, type or level of RSOO would deliver the best value for the region.

In the case of South Asia, such an independent study has yet to be undertaken in order to examine the feasibility of the various options and models for enhancing regional cooperation.

### **2.2. Feasibility Study**

To examine the case for COSCAP-SA's further development in form, type or level, we seek the views of the States on the merits of commissioning an independent feasibility study. The intent would be to give the COSCAP-SA States a clear, objective and open-minded assessment of all the different options available, drawing on the successes and collective experience of RSOOs in other world regions. If commissioned, the Study would:

- Deliver results and recommendations that are considered advisory and non-binding.

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<sup>1</sup> ICAO has classified the tasks and functions carried out by an RSOO in accordance with the level of delegation granted by their Member States. The following three levels of delegation/empowerment have been defined based on the complexity of tasks and functions performed: Level 1 – Advisory and coordinating tasks and functions, Level 2 – Operational Assistance tasks and functions and Level 3 – Certifying Agency tasks and functions.

<sup>2</sup> The EU – South Asia Aviation Partnership Project is funded by the EU and implemented by EASA.

- Be conducted over an initial period of six months by an independent consultancy with relevant experience in South Asia.
- Identify needs as expressed by the States individually and collectively and on this basis outline proposals and options that would best suit the region.
- Produce a clear business case including a cost-benefit analysis surrounding each option, taking into account the experience of other RSOOs worldwide.
- Describe the impact for the individual States.
- Produce a risk analysis for each option.
- Rely upon the voluntary participation and cooperation of the States.
- Be fully funded by the EU-South Asia Aviation Partnership Project.

Proposed Terms of Reference are annexed to this paper for the meeting's review and feedback.

### **2.3. Action of the Meeting**

The Steering Committee is invited to:

1. Consider whether an independent Feasibility Study would be of interest and value to the States.
2. Review the Terms of Reference for a Feasibility Study as outlined in the Annex.
3. Support the Feasibility Study insofar as resources permit.
4. Review the results of the proposed Feasibility Study at the next Steering Committee Meeting or on another occasion to be decided by the States.

## Annex 1

### **TERMS OF REFERENCE FOR A FEASIBILITY STUDY EXAMINING THE CASE FOR COSCAP-SA'S DEVELOPMENT INTO A REGIONAL SAFETY OVERSIGHT ORGANISATION (RSOO)**

#### **1. Context**

Traffic forecasts for South Asia are the highest in global aviation, expected to grow at 8.6 percent per year over the next 20 years. Nevertheless, many of the States already find it challenging to cope with the present aviation environment and to meet ICAO requirements in full. The context of rising traffic levels and the increasing complexity of aviation in the face of limited resources implies the need for South Asia to explore new paradigms for safety oversight. The opportunity of addressing these issues cooperatively and regionally is endorsed by ICAO and generally welcomed by the South Asian States.

In its Safety Oversight Manual Part B (Doc 9734), ICAO specifies that a feasibility study should be carried out prior to the establishment of an Regional Safety Oversight Organisation (RSOO), in order to assess the nature of the aviation activity in the prospective Member States as well as their safety oversight capabilities. The information gathered through such a study normally serves as a basis for States to decide what form, type or level of RSOO (if any) would deliver the best value for the region.

COSCAP-SA was established in 1998 and has recently been classified as a Level 1 RSOO by ICAO, i.e. providing advisory and coordinating functions. COSCAP-SA is about to transition to its 5<sup>th</sup> project phase. In consenting to an independent Feasibility Study, the South Asian States wish to examine the feasibility of enhancing regional cooperation, e.g. by establishing an RSOO which could also provide operational assistance functions (level 2 RSOO).

#### **2. Tasks and Deliverables**

The study shall be conducted in two phases:

##### **2.1. Research phase**

In coordination with South Asian States as represented by the COSCAP-SA Steering Committee, the study shall initially:

1. Assess the level and type of aviation activity in each COSCAP-SA State today and the anticipated increase in aviation activity over the next 10 years;
2. Identify States' individual and collective needs with respect to aviation safety and safety oversight including the ICAO's eight critical elements;
3. Review previous COSCAP-SA Discussion Papers related to the subject matter as well as minutes of relevant discussions held in COSCAP-SA Steering Committee Meetings;
4. Examine the existing national and COSCAP-SA aviation safety oversight tasks, functions and systems in terms of ICAO compliance and effectiveness;
5. Determine the human and financial resources of the individual States and the region as a whole, both in terms of actual capacity today and the capacity required to cope with the forecast traffic increase.

The collection of the data to perform these tasks should be undertaken in cooperation with ICAO (using tools such as iStars and the recent RSOO evaluation), IATA and other publicly available sources as well as through direct contact with, and visits to, those States taking part in the study.

The research phase shall conclude with an initial feasibility study report aggregating all results, which shall be presented to all COSCAP-SA States during an interim review meeting. This meeting will serve to verify and endorse the initial report.

## **2.2. Analysis phase**

Drawing on the information gathered during the research phase, the study shall:

1. Outline scenarios for the further development of national authorities;
2. Provide recommendations for the consideration of the States how to overcome identified weaknesses, either nationally or collectively, e.g. by establishing an RSOO.
3. Develop and outline viable scenarios (if any) for the further development of COSCAP-SA into another form, type or level of RSOO, taking into account the States' collective and individual economic, political and technical environment;
4. Produce a clear business case including a cost-benefit analysis surrounding each scenario, taking into account the experience of other RSOOs worldwide;
5. Describe the impact of each scenario for the individual States, including potential cost-savings;
6. Produce a risk analysis for each scenario;
7. For each viable scenario identified (if any), include a proposal for a possible RSOO governance and management structure, objectives and tasks, delegation mechanisms by member States, funding and required resources in terms of budget and manpower, and a realistic roadmap outlining a possible transition.

The work undertaken during both phases and the resulting recommendations shall be compiled in a final feasibility study report. This will be submitted to the COSCAP-SA States for consideration at the next Steering Committee Meeting or on another occasion to be decided by the States.

Throughout the study, EASA shall ensure close coordination with ICAO including its APAC Regional Office, ICAO ANB and COSCAP-SA.