



EAST AFRICAN COMMUNITY
CIVIL AVIATION SAFETY AND SECURITY
OVERSIGHT AGENCY



REVISED CASSOA STRATEGIC PLAN 2010/11– 2014/15

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FOREWORD

The EAC Civil Aviation Safety and Security Oversight Agency (CASSOA) Strategic Plan for the period 2010/11 to 2014/15 outlined the goals/broad objectives of the Agency as well as the specific measurable strategic objectives and strategies to be implemented and achieved during that planning period. The Strategic Plan was complemented by the Organisation Development Plan which highlighted the evolution of the Agency from a basic status as a coordinating Agency to a more effective regional safety oversight organisation.

This is the first revision of the Agency's Strategic Plan following its approval in November 2009. In revising the Strategic Plan, together with the Organisation Development Plan, the Agency took into consideration the 2012 ICAO Study Report on the Legal, Institution and Financial frameworks together with the stakeholders' comments on it, and the challenges encountered during the first three years of implementation.

The revised Strategic and Organisation Development Plans define key strategic objectives and strategies to guide the Agency operations in the last two years of the first five years of operations and evolution to achieve the broad objective of developing a sustainable safe, secure and efficient civil aviation sub-sector in the region in line with the EAC and Agency objectives.

The Agency Board appreciates and applauds the efforts of the regional experts who participated in revising these Plans to suit the mandate of CASSOA. Implementation of the Plans will not only facilitate the continued development of an effective oversight system in the region but also create an environment for developing a safe and secure compliant industry which can effectively compete in both the global and regional markets and also contribute in the economic development and integration of the region. The Board in this respect is thus committed to see the implementation of these Plans.

Done at **Entebbe, Uganda** on this **21st** day, of **February** in the year Two Thousand and Thirteen

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EAC Secretary General

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ABBREVIATIONS AND ACRONYMS

ACIP	Africa-Indian Ocean Comprehensive Implementation Programme
AFI	Africa-Indian Ocean
BCAA	Burundi Civil Aviation Authority
CAA	Civil Aviation Authority
CAAU	Civil Aviation Authority (Uganda)
CAM	Centre for Aviation Medicine
CASSOA	Civil Aviation Safety and Security Oversight Agency
EAC	East African Community
FAA	Federal Aviation Administration (of USA)
GDP	Gross Domestic Product
ICAO	International Civil Aviation Organization
KCAA	Kenya Civil Aviation Authority
LoU	Letter of Understanding
RCAA	Rwanda Civil Aviation Authority
SARPs	Standards and Recommended Practices
SMART	Specific, Measurable, Achievable, Realistic and Time bound
SMS	Safety Management System
SSP	State Safety Programme
SWOT	Strengths, Weaknesses, Opportunities and Threats
TCAA	Tanzania Civil Aviation Authority
USOAP	Universal Safety Oversight Audit Programme
USAP	Universal Security Audit Programm

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1. CHAPTER ONE: INTRODUCTION

1.1 Background

The East African Community is a Regional Economic Community comprising of five Partner States of Burundi, Kenya, Rwanda, Tanzania and Uganda. Under the ICAO regional grouping the East African Community is part of the ICAO AFI region. AFI comprises of African and Indian Ocean Flight Information Region (FIR).

In 2009 the Agency finalised and adopted the first Strategic Plan for the period 2010/2011-20114/15. The Strategic Plan should be a living document and in order to maintain a responsive monitoring and evaluation framework it was recommended to review the entire strategic plan during the third year of implementation, 2012/13. Sources of primary data were the same as in the annual review but with a deeper and more elaborate stakeholder interface and consultations.

Civil aviation plays an important and crucial role in the movement of persons, goods and services both to and from the region and within the region. It is uniquely associated with facilitation of high value imports and exports, business travel and tourism. The sector in the region varies from country to country but generally, the sector contribution to GDP is about 1% of GDP in Uganda, 1.1% in Kenya and 1% in Tanzania. This is demonstrated by the volume of traffic and aircraft movements as shown in Table 1 below:

Table 1: Selected Air Traffic Statistics 2011/2012

	Year	Kenya	Tanzania	Uganda	Burundi	Rwanda
Aircraft	2007/08	307,873	178,494	23,077	5,255	9,651
Movement	2011/12	316,650	214,460	27,732	6,769	18,407
Passengers	2007/08	3,148,000	1,300,000	876,000	57,000	233,000
International	2011/12	4,489,994	1,873,476	1,178,728	221,426	379,000
Passengers	2007/08	2,125,000	1,591,000	25,000	0	4,500
Domestic	2011/12	2,844,449	2,160,676	10,143	0	28,000
Total	2007/08	5,273,000	2,891,000	901,000	57,000	237,500

	2011/12	7,329,443	4,034,152	1,188,871	221,426	407,000
Cargo	2007/08	244,786	31,196	65,943	2,305	5,041
International	2011/12	306,737	31,683	31,842	3,090	6,590
Cargo	2007/08	8,192	5,000	107	0	0
Domestic	2011/12	2,358		0		

Source: KCAA, CAA-Uganda, TCAA, RCAA and BCAA Air Transport Statistics Publications 2011/12

The Table above shows that Kenya has the largest aviation sector in the region and international gateway to the region. Jomo Kenyatta International Airport (JKIA) in Nairobi is served by Kenya Airways, which is the largest carrier in East Africa and one of the three largest carriers in Sub-Saharan Africa.

As of June 2008, KCAA had 471 aircraft with valid certificates of airworthiness on the register used by 75 air operators certificate (AOC) holders and some by private operators. By the end of June 2012, KCAA had 505 aircraft with valid certificates of airworthiness on the register used by 146 air operators certificate (AOC) holders and some by private operators.

Tanzania has a wider variety of tourist attraction within the region and boasts of some of the most spectacular attractions in Sub-Saharan Africa like Mount Kilimanjaro, Ngorongoro crater and a big population of wildlife. The main international airports are Julius Nyerere, in Dar es Salaam, Kilimanjaro and Zanzibar which are served by many international and regional carriers including Air Tanzania Corporation Ltd.

As of June 2008, TCAA had 254 aircraft with valid certificates of airworthiness on the register used by 24 air operators certificate (AOC) holders and some by private operators. By the end of June 2012, TCAA had 155 aircraft with valid certificates of airworthiness on the register used by 41 air operators certificate (AOC) holders and some by private operators.

Uganda being a landlocked country relies almost exclusively on air transport for export of the rapidly growing non traditional exports. Entebbe International Airport is the main airport served by international and regional carriers including Air Uganda. As of June 2008, CAA Uganda had 43 aircraft with valid certificates of airworthiness on the register used by 9 air operators certificate (AOC) holders and some by private operators. By the end of June 2012, CAA Uganda had 70 aircraft with valid certificates of airworthiness on the register used by 13 air operators certificate (AOC) holders and some by private operators.

Rwanda's aviation sector has grown rapidly over the past years mainly due to increased tourism and business travel. Kigali International Airport is the largest airport and is served by many international and regional carriers including Rwanda Air. As at June 2008, Rwanda CAA had 15 Aircraft with valid certificates of airworthiness on the register used by 3 air operators certificate (AOC) holders and some by private operators. By the end of June 2012, Rwanda CAA had 14 aircraft with valid certificates of airworthiness on the register used by 2 air operators certificate (AOC) holders and some by private operators

Burundi is just coming out of a protracted civil war, and hence has a limited aviation sector. There is virtually no domestic air transport though international traffic grew rapidly at an annual average growth of over 22% between 2006 and 2008.

As at June 2008, Burundi CAA had 8 Aircraft of which 3 had valid certificates of airworthiness on the register used by 1 air operator certificate (AOC) holder and some by private operators. By the end of June 2012, Burundi CAA had 1 aircraft on the register which had a valid certificate of airworthiness.

1.2 Rationale and Justification for Revising the Plan

The Aviation sector in the region has experienced average growth rates higher than average national GDP growth rates over the 2007-2012 periods. This has been accounted for mainly by high traffic growth rates albeit with low absolute numbers in

Rwanda and Burundi. This expansion in the aviation industry comes with safety concerns which if not adequately handled would negate the gains so far made and limit contribution of the sector to the economies of the region. It is no wonder therefore that Partner States of the East African Community have a common determination and will to collectively address challenges in the industry in line with the implementation of the Yamoussoukro Decision (YD).

Liberalisation of air transport is expected to result in increased levels of operations, service and variety of aircraft types. A major aspect of the process of liberalisation and the resultant increase in activities and investment from the private sector is the need to ensure that the institutional, legislative and regulatory frameworks are in place to tackle safety and security concerns. The commitment by signatory states to grant and receive unrestricted fifth freedom on sectors where, for economic reasons, there are no third and fourth freedom operators requires a substantial review and re-organisation of the control and management of the aviation sector, which Partner States CAAs individually cannot adequately deal with. With the difficulties posed by differing levels of economic development as indicated above, it is not surprising that implementation of the Yamoussoukro Decision is still an ongoing process.

One of the primary components of regional cooperation, which is supported by International Civil Aviation Organisation (ICAO), is the strengthening of the regulatory institutions (mostly civil aviation authorities in Partner States), while at the same time creating a strong regional safety oversight organisation. The East African Community (EAC) response to this was the creation of a regional Civil Aviation Safety and Security Oversight Agency (CASSOA).

Through CASSOA, the EAC is making steady progress towards meeting the basic requirements for implementation of the Yamoussoukro Decision, specifically by harmonization of legislation, and of much of the civil aviation regulations of the Partner States. However, the institutional, legal and regulatory frameworks are not yet adequate to support and provide for full liberalisation of the sector. This plan therefore is premised

on the need to provide for the systematic development of CASSOA into a strong regional institution with a mandate to champion implementation of safety and security related ICAO SARPs against the back drop of increasing regional economic integration and implementation of the YD liberalisation programmes within the region.

The Initiative for CASSOA's Strategy is now in its third year of implementation. Operational and Organisational Challenges together with feedback from stakeholders have created , the need to review the Plan to ensure that the Agency continues to serve as a key strategic framework for ensuring a safe, secure and efficient civil aviation industry in the East African Region has been identified. The aim of this Mid-Term-Review (MTR) of the Agency 2010/11- 2014/15 Strategic Plan is to evaluate the progress of the initial objectives against the actual performance, and then assess the necessary adjustments required for the remaining of the planning period of the plan. It is also intended to initiate consideration of factors that will form a platform for a longer term Strategy beyond 2015.

The mid-term review will take stock of progress in the implementation of the strategic plan, assess the Plan's potential impact in achieving the mission and progress towards the vision, assess current implementation approach and modalities as well as stakeholder involvement and coordination arrangements.

1.3 Methodology

1.3.1 Data Collection

The following methodology was used in developing the Plan:

- a) Surveys were conducted in Partner States to consult stakeholders including Partner States CAAs and service providers and collect baseline data for analysis of the business environment.
- b) Workshops were held at the EAC offices in Arusha with stakeholders to determine and achieve consensus on the role of CASSOA and charter out a Vision that reflects the expectations of the stakeholders on the role of the Agency over the planning period

and beyond. Full Reports of these workshops findings were developed and are available for review.

In undertaking the revision of the plan the following methodology was used:

- a) Surveys were conducted in Partner States by an ICAO appointed consultant to consult stakeholders including Partner States CAAs, CASSOA staff and service providers in order to collect baseline data for analysis of the business environment.
- b) CASSOA stakeholders made comments on the ICAO Study Report in order to achieve consensus on the role of CASSOA and charter out a Vision that reflects their expectations on the role of the Agency over the planning period and beyond.
- c) Meetings were conducted by CASSOA to assess the Agency's performance during the three years of implementation of the Strategy.

1.3.2 Collation and Report Preparation

The Plan is based on the approved Report of the Consultant. Though the report was written by the Consultant, a lot of consultations were made with the Agency and several drafts of the report were reviewed before the final Report was approved. During the revision, the Planning experts in Consultation with CASSOA reviewed the Plan to take into considerations changes that have taken place and emerging issues in environment.

1.4 Purpose of the Plan

The purpose of this Strategic Plan is primarily to provide guidance over the planning period to CASSOA and other stakeholders including the EAC and Partner States on;

- a) how to achieve greater harmony in tackling aviation safety and security challenges in the region;
- b) how to program and reap maximum benefits from a pool of resources that the region can marshal to tackle the aviation safety and security challenges; and

- c) develop synergies based on Partner States' individual strengths in the aviation sector.

Hence the key strategic objectives and strategies defined by the Plan are meant to progressively lead the region to achieve a safe, secure, reliable, sustainable, environment and efficient civil aviation safety and security oversight system in the region serving the interests and expectations of the civil aviation industry.

2. CHAPTER TWO: DESCRIPTION OF CASSOA

2.1 Establishment

The EAC Civil Aviation Safety and Security Oversight Agency (CASSOA) was established and started operation on 1st June 2007, as an autonomous self-accounting body of the East African Community following the signing of the establishing Protocol by the three founder Partner States on 18th April 2007 and was formally established on 18th June 2007 during the 5th Extraordinary Summit of EAC Heads of State held in Kampala Uganda.

One of the major achievements of CASSOA since its inception has been the harmonisation of regulations and development of guidance materials which have been promulgated in the Partner States. The accession of Rwanda and Burundi to the EAC however, means that their aviation legislations and regulations must be harmonised to the other States. This is an ongoing process in which the Agency is actively involved.

2.2 Mandate

Article 92 of the Treaty states that the Partner States shall among others undertake to make air transport services safe, efficient and profitable; adopt common policies for the development of civil air transport in the region; harmonise civil aviation rules and regulations and coordinate measures and co-operate in the maintenance of high security.

Pursuant to *Article 92*, the primary objectives of the Agency as stated in the Protocol are to:

- a) Promote the safe, secure and efficient use and development of civil aviation within and outside the Partner States;
- b) Assist the Partner States in meeting their safety and security oversight obligations and responsibilities under the Chicago Convention and its Annexes; and
- c) Provide the Partner States with an appropriate forum and structure to discuss plan and implement common measures required for achieving the safe and orderly development of international civil aviation through the implementation of international standards and recommended practices relating to the safety and security of civil aviation.

It had been envisaged that there was need to change the mandate of CASSOA as provided for in the Protocol. However, the ICAO study conducted to establish the adequacy of the mandate concluded that the CASSOA Protocol enables the Agency to carry out tasks and activities that add value to the current efforts of the EAC Partner States' CAAs to strengthen their safety and security oversight capabilities. In this respect, a rationalized and expanded mandate, although possibly needed in the longer term, is not an immediate requirement for the Agency to begin carrying out safety oversight tasks in support of the Partner States.

In order for the Agency to carry out its mandate in an efficient manner, the manpower requirements and associated expenditures estimated in its first Five-Year Strategic Plan would need to be drastically reduced. A significant solution to this problem would be for the Agency to implement an inspector sharing scheme, according to which, the inspectors would remain in the employment of their respective States and deployed to work on assignments for CASSOA, when and where necessary. For such a scheme to be effective, however, the number and quality of inspectors within the EAC would have to be enhanced.

2.3 Vision

Extensive review of the Mandate of CASSOA within the context of what is expected of regional oversight Agencies defined in ICAO models shows that this mandate is limited though similar components of the safety and security function are universal. It would mean that CASSOA's performance will be judged using benchmarks from similarly placed international organisations doing similar or same components of the safety and security function. In view of this, CASSOA must aspire to:

BE A MODEL REGIONAL ORGANISATION IN CIVIL AVIATION SAFETY AND SECURITY OVERSIGHT

And therein lies the Vision of CASSOA , which must be tracked using demonstrateable and measurable indicators. One such indicator is the level of the region compliance to ICAO SARPs which should be above the global average or the level of fatal accident rates in the region which should be maintained below the global average.

2.4 Mission

To achieve the requirements of Article 92 of the Treaty and Article 4 of the Protocol, in addition to addressing specific aspirations of the sector, stakeholders overwhelmingly agreed on the mission of CASSOA as:

TO ENSURE THAT CIVIL AVIATION SAFETY AND SECURITY STANDARDS ARE HARMONISED AND IMPLEMENTED CONSISTENTLY IN ALL PARTNER STATES BY DEVELOPING EFFECTIVE OVERSIGHT SYSTEMS

This underscores the need for a strong regional oversight function to purposely address national macro economic disparities and the extent of the aviation industry in the respective Partner States.

2.5 Core Values

In addition to the EAC Core Values of accountability, transparency, unity in diversity, allegiance to EAC ideals, the following core values which to a certain extent mirror the Partner States' CAAs values in their oversight functions, shall form the core values for CASSOA.

2.5.1 Integrity

The Agency deals with both civil aviation staff from Partner States and industry operators. Success of the regulatory functions will depend on the levels of openness, and moral ethics of the Agency staff. Any actions that compromise the integrity of the Agency will consequently affect the attainment of the Agency Mission and Vision. It is against this background that integrity forms one of the core values of the Agency.

2.5.2 Professionalism

The Agency staff must demonstrate professional competence and mastery of subject matter in their area of expertise. Staff must show pride in their work and achievements, be conscientious and efficient in meeting commitments, observing deadlines and achieving results. They must also be motivated by professional rather than personal concerns and show persistence when faced with difficult problems or challenges at the same time remaining calm in stressful situations. This will ensure that the industry has trust and respect for Agency staff, thus allowing for a successful conduct of oversight functions.

2.5.3 Respect

CASSOA staff and Partner States CAA personnel must show respect for each other and for the aviation industry stakeholders and the public. Discrimination based on gender, sexual orientation, age, religious beliefs, or economic/social status should be avoided.

2.5.4 Teamwork

Aviation, more than any other domain, requires cooperation between many different stakeholders. Teamwork is, and must remain, a characteristic of the relationship among members of the Agency, the aviation industry, the Partner States and other stakeholders. Staff should work collaboratively with colleagues to achieve organisational goals; be flexible in team role, rank team success higher than personal competitiveness, support and act in accordance with final group decision.

2.5.5 Regional Focus

The policies and actions of CASSOA and its staff should be seen to foster regional integration both in actions and in intra regional physical presence. This will help subdue feelings of domination by some Partner States with those with more developed aviation sectors. CASSOA Staff or any other person appointed or authorised to perform any function by the Agency should not be biased based on nationality.

3. CHAPTER THREE: PAST PERFORMANCE

3.1 Progress Made at Mid Term

Table 1 below provides a snapshot of the Agency's performance at mid-term against the Key outputs.

Objective	Key Output	Progress on Key Output
<i>To rationalise the mandate of CASSOA in line with the dynamics in the aviation industry and the enhanced economic integration in the region.</i>	The institutional framework of CASSOA reviewed and its mandate enhanced	<ul style="list-style-type: none"> • The study to rationalise the mandate of CASSOA was conducted by ICAO and is awaiting consideration by the Board • ICAO study findings and stakeholders' comments indicate that current mandate is adequate.
	Current funding mechanism for CASSOA reviewed and a sustainable funding mechanism established	<ul style="list-style-type: none"> • Funding mechanism was reviewed during the Strategic Plan review and sustainable funding options proposed.
<i>To build an effective and sustainable civil aviation oversight system in the region</i>	The development of appropriate Partner States primary aviation legislation in line with the Chicago Convention promoted	<ul style="list-style-type: none"> • All Partner States' Civil Aviation Primary Legislation Acts have been reviewed in line with the Chicago Convention.
	Civil aviation regulations and technical guidance materials within the region developed and harmonised	<ul style="list-style-type: none"> • The Agency continues to formulate and revise harmonized regulations as necessary and develop technical guidance materials for use by the Partner States
	Adequate capacity developed to carry out oversight functions	<ul style="list-style-type: none"> • Technical skills audit carried out and an inventory established • The Agency assisted the Partner States to build capacity by training inspectors on type rating for CRJ 200 aircraft • Manager Airworthiness was recruited in 2011 • A study on attraction and retention commenced in July

		<p>2012 and is expected to be completed by March 2013 for future implementation</p> <ul style="list-style-type: none"> • TGM for work tools and facilities audit was developed • Assisted Rwanda to strengthen its oversight capacity especially by supporting RCAA in implementing the corrective action plan to the USOAP findings to move out from SSC list • Established harmonised Inspector training system
	An effective system established to monitor and evaluate the status of aviation safety and security in Partner States	<ul style="list-style-type: none"> • Missions to evaluate the status of implementation of regulation in partner states were carried out. Reports and recommendations were made and are being implemented by the PS. • Stakeholders' sensitisation seminars were carried out on harmonised regulations, one each in all the PS. • Two training sessions for safety oversight personnel from PS were carried out on harmonised regulations and TGMs • Policy on management of examinations was developed, approved by the Board and is being implemented by the Agency and PS. • An IT link (SOFIA) has been developed and is operational • An online Examination system has been procured and an examination bank is being developed.
<i>To minimise aircraft incident and accident rates in the region</i>	Safety Management Systems (SMS) in the region implemented	<ul style="list-style-type: none"> • Harmonised SSP has been developed and the roadmap for its implementation is expected to be completed by

		<p>November 2013</p> <ul style="list-style-type: none"> • The Agency formulated draft SMS Regulations and transmitted them to the Partner States for comments. All comments are expected by June 2013. • Agency contracted SGI Aviation to develop software, SOFIA, for evaluating and monitoring of aviation safety & security in the region. The software has been installed in all the Partner States and is operational.
	<p>Regional integrated reporting systems to collect, collate, analyse, maintain and share safety data/information in the region established and operationalised</p>	<ul style="list-style-type: none"> • The Agency in coordination with ICAO ESAF held a training for the Partner States and installed ECCAIRS in all the Partner States' CAAs and is operational in all the NCAAs

In the overall, the Agency has been able to achieve most targets with the limited available resources. However, although the Agency has done well in most areas, the performance has not been as planned in some aspects, due to a number of challenges and obstacles as summarised below:

- (i) Inadequate funding to cover the mandate as stipulated in the Protocol
- (ii) Inability to attract and retain skilled technical personnel especially in flight operations coupled with as a result of unattractive remuneration as well as unavailability of skilled technical personnel.
- (iii) Lack of the Board representation in the Council of Ministers
- (iv) Inadequate visibility of the Agency and its role and responsibilities thereof.
- (v) Inadequate support from Partner States' governments in funding aviation programmes and activities.

- (vi) Lack of adequate technical personnel at NCAAs to implement the professional sharing scheme.
- (vii) Lack of an effective mechanism for follow-up of recommendations from incident and accident investigation bureau reports to review Regulations and Guidance Materials (procedures)
- (viii) Absence of an effective unified approach on incident and accident investigations within the region
- (ix) Lack of coordination structures for implementation of agreed on actions within the Partner States.

3.2 Lessons learnt

The following are lessons learnt during the implementation of the plan and will be taken into consideration while reviewing the strategic direction:

- (i) There is a perceived lack of a clear delineation of duties and functions between the national aviation authorities and CASSOA; consequently, the Agency delayed the implementation of some of the planned activities. Therefore there is need to strengthen the sensitization of the stakeholders on the mandate of CASSOA.
- (ii) Some of the Partner States faced capacity related constraints in carrying out their oversight functions which led to delays in implementation of safety oversight responsibilities and obligations under the Chicago Convention. Partner States with limited capacity are encouraged to use shared Inspectors under coordination of CASSOA for some of their oversight functions.

4. CHAPTER FOUR: SITUATIONAL ANALYSIS

4.1 Environmental Scan

The third EAC Development Strategy (2006 – 2010) identifies the objective of maximising the benefits of a safe, secure and efficient air transport system in the region where a number of strategic interventions have been planned to be implemented during the period, including establishment and operationalisation of the EAC civil aviation safety and security oversight organisation among other things. The fourth EAC Strategy (2011 – 2016) provides for the deepening and widening of the integration of the Community. CASSOA is expected to play a critical role of inculcating an aviation safety and security culture in the region and contribute to the development of a vibrant aviation industry in the region.

The environment scan analyses the critical issues affecting CASSOA at the present. It is based on the analysis of the factors influencing the environment within which CASSOA operates in, SWOT Analysis and the outcome of the Partner States' ICAO GASR Gap Analyses. In conducting the environmental scan due consideration was also made to the mandate of CASSOA as provided in the Protocol.

4.1.1 SWOT Analysis

	Strengths		Weaknesses
1	Available operational facilities and infrastructure	1	Inadequate staffing
2	Existence of operational systems and capabilities	2	Inability to offer competitive remuneration
3	Effective, dedicated Board of Directors and committed Staff	3	Dependency on one source of funding
4	Consistent financial and technical support by Partner States' CAA and Development Partners	4	Inadequate interaction with stakeholders
5	Influence on policy making through EAC Organs		

6	Availability of technical experts from Partner States' CAAs		
	Opportunities		Threats
1	Support by EAC	1	Global shortage of qualified safety and security inspectors
2	International recognition and support by international organizations as an effective RSOO	2	Lack of a sustainable training mechanism of aviation professionals
3	Integration process of the EAC	3	Lack of clear understanding of the role CASSOA by some stakeholders
4	Growing economies and aviation industry in the region	4	Increased activities that pose security threats
5	Growing capacity for safety and security oversight in Partner States' CAAs		

4.2 Critical Issues

4.2.1 Mandate

CASSOA was established with a mandate of promoting aviation safety and security and assisting Partner States meet their aviation safety and security obligations as required by ICAO. The study conducted by ICAO in 2012 on the Legal, organizational and financial framework concluded that the functions mandated by the CASSOA Protocol enable the Agency to carry out tasks and activities that add value to the current efforts of the EAC Partner States to strengthen their safety and security oversight capabilities. In this respect, a rationalized and expanded mandate, although possibly needed in the longer term, is not an immediate requirement for the Agency to begin carrying out safety oversight tasks in support of the Partner States.

Partner States do not seem to have the same understanding of the tasks that should be carried out by CASSOA which often results to delays in implementation of activities. There is therefore need to improve clarity between Partner States' CAA and CASSOA concerning areas of responsibility that may create safety issues.

4.2.2 Legal Framework

CASSOA coordinates the harmonisation of the legislative framework within the Partner States to ensure its consistence with ICAO requirements. During the USOAP and USAP audits, the existing primary legislations, regulations and guidance materials were found to be inadequate and in some areas inconsistent with the requirements of the Chicago Convention. It was also established that there was no system for continuous updating of legislation, regulations and guidance materials to incorporate ICAO proposals. CASSOA coordinated the review of the legal frameworks with Partner States. However, not all Partner States have facilitated the legislation of the revised laws. CASSOA should continue to urge Partner States to facilitate the legislation of the new laws. In addition, CASSOA should continue to facilitate continuous reviews to incorporate new or revised ICAO proposals.

4.2.3 Technical Capacity

The structure and establishment approved together with the Strategic Plan envisaged a review of the mandate of CASSOA with the resultant requirement of more technical staff. With the agreement that the current mandate is adequate, the structure and establishment will require to be scaled down. The staffing at CASSOA will therefore need to be matched with the strategy and be sufficient to provide the required technical expertise to implement its mandate. While CASSOA has been able to recruit a technical expert in airworthiness, recruitment of a flight operations expert has been hampered by uncompetitive remuneration.

Partner States CAAs do not have adequate number of technical personnel with the appropriate skills required to fully carry out their safety oversight responsibilities. The

retirement age of 60 years for staff in CASSOA and Partner State CAAs restricts the use of experienced technical staff who have retired from the industry. The situation is worsened by terms of service offered which are uncompetitive compared to the rest of the industry and unattractive to skilled technical staff. As a result, CASSOA is faced with the challenge of sustaining aviation safety and security oversight as well as ensuring consistent implementation of international standards among Partner States. In addition to an adequate number of skilled technical personnel an effective oversight function should have tools, equipment and facilities for use by the inspectors to efficiently carry out oversight functions. Most Partner States due to financial constraints do not have adequate tools, equipment and facilities. As a result Partner States are unable to undertake surveillance as required and to provide the quality oversight services.

The medical examinations for aviation personnel are currently conducted by contracted medical doctors in the Partner States. The medical reports are then used as the basis for giving licenses to personnel in the industry. There are no established systems for assessment of the medical reports and appeals for personnel aggrieved by the results of the examinations mainly because of lack of medical assessors within the Partner States CAAs.

4.2.4 Implementation of Regulations

The Agency is expected to assist Partner States meet their safety and security obligations and responsibilities under the Chicago Convention. There is a challenge in the consistent implementation of international standards and consistent regulatory oversight within the Partner States because of inadequate resources and to a certain extent differences in the general understanding and interpretation by Partner States and technical personnel. The safety and security database and reporting systems are inadequate for analysis and monitoring by CASSOA of the extent of implementation of regulations. They also do not provide detailed information that is required to advice on review of regulations.

In the Partner States, the assessment of proposals for amendment of ICAO Annexes is not comprehensively undertaken due to inadequate technical capacity. A coordinated

approach by CASSOA could improve the effectiveness of the assessment and ensure a common response which maintains the element of harmonisation in the region.

The ability of the Partner States to achieve objectivity that require activities to adhere to international standards designed to ensure an acceptable level of safety is limited by their lack of adequate independence from operating functions. The regulatory functions within the Partner States CAAs are part of a Common Organisation with some service providers (air navigation services and aerodromes) and in many cases dependent on revenues from the service function and therefore cannot be considered as independent and their objectivity in consistently enforcing regulations could be questioned.

Likewise, the EAC is implementing a requirement of the Treaty for the establishment of a unified Upper Flight Information Region. This will require a regional entity to manage it and will have to operate on regional safety and security standards and can only be effectively oversighted at regional level.

4.2.5 Implementation of Safety Management System (SMS)

The implementation of the Safety Management System (SMS) including mandatory reporting system for errors and incidents is inadequate. This is contributed by the absence of a Model Regional Safety Programme (RSP) and State Safety Programme (SSP) that provides the policies and procedures that encourage open reporting, development and maintenance of a “just culture” and protect data collected solely for the purpose of improving aviation safety. Establishment and protection of safety data by Partner States has not taken place. As a result learning experiences that could be accruing from analysis of such incidents are not being achieved.

The implementation of SMS by service providers is only beginning and the CASSOA is coordinating the development of a Model Regional Safety Programme to which Partner States will adapt to develop their harmonised SSP that will require operators to take a more proactive approach to managing risks. In addition, the industry lacks the quality assurance experts necessary for implementation of SSP/SMS and maintenance of SMS.

4.2.6 Minimisation of Incidents and Accidents

The Maintenance of data on incidents and accidents is inadequate in most Partner States. This does not provide adequate information for developing realistic safety targets and formulation of common appropriate measures to resolve identified constraints or deficiencies. In almost all cases, management of data and sharing of information on incidents and accidents between Partner States CAA's and with the CASSOA is currently not implemented. Though in some States, accident and incident investigation mechanisms are separated from the Partner State CAA in order to avoid potential conflict of interest, the establishment and resource allocations of these Units is inadequate in all the Partner States.

4.2.7 Financial Management

CASSOA is currently funded by Partner States CAAs although the Protocol provides for other sources of financing including mobilisation of resources by the Community; provision of grants and loans from regional and international bodies; revenues from the activities of the Agency and any other sources as may be approved by the Council.

The financial requirement of the Agency will evolve to a more complex model, with each stage having a different structure and mandate and therefore different resource requirements. Currently CASSOA is unable to mobilise adequate funds to meet its obligations and to fund all its activities. The sustainability of CASSOA as it evolves will therefore remain a big challenge that will require Partner States to solve. CASSOA will not be able to raise revenue from charges and fees for services as this will amount to double charging the services providers as CAAs are levying the same fees.

4.2.8 Economic Growth

The current and future growth of air traffic in East Africa is an important driver for enhanced safety and security oversight. The Partner States are moving towards a Common Market that is expected to provide impetus for enhanced trade and movement of people and cargo across borders. The Implementation of the Yamoussoukro Decision,

liberalisation within the EAC and with Common Market for Eastern and Southern Africa (COMESA) and Southern African Development Community (SADC) should result in increased traffic. In addition, the significant potential for tourism development is another important driver.

5. CHAPTER FIVE: STATEMENT OF THE PROBLEM

Analysis of the internal and external environment in which CASSOA operates reveals that the main challenges impeding attainment of its Mission and Vision are broadly categorised as follows;

5.1 Mandate of CASSOA

The Mandate of CASSOA is defined as to;

- a) promote the safe, secure and efficient use and development of civil aviation within and outside the Partner States;
- b) assist the Partner States in meeting their safety and security oversight obligations and responsibilities under the Chicago Convention and its Annexes;
- c) provide the Partner States with an appropriate forum and structure to discuss plan and implement common measures required for achieving the safe and orderly development of international civil aviation through the implementation of international standards and recommended practices relating to the safety and security of civil aviation.

The mandate as provided in the Protocol is adequate to enable CASSOA achieve the objectives for which it was established. However, as indicated above, there is a need for the Agency to increase stakeholder sensitization on the mandate of CASSOA. The dynamics in the aviation industry as a result of liberalisation, regionalisation, and globalization, compel the industry to constantly change its business models. ICAO therefore recommends a regional approach which ensures adequate, effective and efficient safety and security oversight services to which CASSOA would effectively implement once the envisaged stakeholder sensitization is fully carried out.

5.2 Availability of Technical Capacity

CASSOA as an institution lacks adequate technical capacity both in numbers and skills to effectively perform its functions within its mandate. CASSOA is expected to establish capacity for coordination and make use of the technical capacity in the Partner States CAAs, to deliver services but these are also inadequate. The situation is made worse by the current growth trends in the industry that have led to the expansion of the regional aviation industry, both in size and fleet types, which require enhanced capacity for oversight functions in Partner States.

5.3 Financing of CASSOA

Currently, the main source of funding is the contributions from the Partner States CAAs, which is inadequate to fund all the operations and activities of CASSOA. Further analysis and reflection reveals that all the Partner States' CAAs derive their main source of funding primarily from revenues from airports and/or air navigation fees and charges, as well as regulatory fees.

Though the Protocol identifies revenues from the activities of the Agency as another source of funding, CASSOA in its current mandate cannot charge oversight fees. In practice therefore, as a means of increasing funding for its operations, CASSOA may have to continue relying on contributions from the Partner States.

5.4 Safety Challenges

Partner States have been implementing Corrective Action Plans arising from the ICAO USOAP and Gap Analysis to address safety challenges identified in the audits. While effort has been made to implement the Corrective Action Plans, Partner States have not resolved all issues. Neither CASSOA, nor individual Partner States have adequate financial and technical capacities to address these issues sustainably individually.

5.5 Security Challenges

Partner States have been implementing the Corrective Action Plan arising from the ICAO USAP to address security challenges identified in the audits. Effort has been made by Partner States to implement the Plan to resolve the issues. However, most of the Partner States are still working towards achieving compliance and will require support from the National Civil Aviation Security Committee and CASSOA. Neither the Agency, nor individual Partner States have adequate financial and technical capacities to address these issues sustainably individually.

5.6 Economic Integration

Partner States of the EAC are moving towards a Common Market as part of the greater economic integration of the economies of the region. This is good for the industry because of consolidation of the regional market and operators in the aviation industry are bound to respond with increased operations. This is bound to affect the scope of the Agency's operations; hence there is need for the Agency to increase its technical and financial capacity to match the anticipated industry growth.

6. CHAPTER SIX: STRATEGIC ANALYSIS

The problem analysis identifies major institutional and industry specific challenges that CASSOA has to address in order for the sector to continue growing and effectively contribute to the economies of Partner States and the region as a whole. This Chapter outlines goals/broad objectives and strategic objectives necessary to address these challenges over the Plan period.

Goals are broad long run intentions, outcomes and aspirations of what an organisation aspires to contribute to during the planning period.

Strategic Objectives are SMART statements of what has to be achieved over a specific period of time within the planning period in pursuit of the long run intentions (goals).

Key Outputs are tangible (easily measurable and practical), immediate and intended results to be produced through sound management of the agreed inputs. Outputs coincide with the completion of an activity or a number of activities. Outputs can also be defined as the specific short term results or deliverable for which the project or organisation has substantial control.

Strategies are actionable statements describing "How will we go about accomplishing our objectives?" Strategies describe "the how" from which activities and work plans are derived.

Performance Indicators are quality, quantity, efficiency or process benchmarks that track the progress implementation of the entire plan through a Monitoring and Evaluation system. At the goals level the question to ask is "how far has the plan gone in attaining the stated goal". At the Strategic Objective level the question is "Is the plan achieving

what was set out to achieve during any specific period within the planning period while the strategies will be assessed in how effective they deliver the desired results.

6.1 Goals/ Broad Objectives

Contribute to the development of a sustainable, safe, secure and efficient civil aviation subsector in the region in line with the EAC objectives.

6.2 Strategic Objectives

There are three Strategic Objectives that this Plan seeks to achieve and these are;

- (a) To enhance CASSOA's corporate image and the understanding of its mandate.
- (b) To build an effective and sustainable civil aviation oversight system in the region.
- (c) To Minimise aircraft incident and accident rates in the region.

6.3 Key Outputs and Strategies to Deliver the Objectives

No.	Key Output	No.	Strategies	Timeline
Strategic Objective A: <i>To strengthen CASSOA's Institutional Capacity</i>				
A1.	The institutional mandate of CASSOA clearly understood by its key stakeholders	A101	Develop and implement a sensitisation programme on the mandate of CASSOA targeting all stakeholders	31 st December 2013
A2	Improved Corporate Image	A201	Develop and implement a visibility strategy	2013 - 2015
A3	Current funding mechanism for CASSOA reviewed and a sustainable funding mechanism	A301	Review the current funding mechanism and make proposals	31 st December 2013

No.	Key Output	No.	Strategies	Timeline
	established			
		A302	Implement sustainable funding mechanism to CASSOA by the Partner States	2013 – 2014
A4	Qualified and skilled staff retained	A401	Revise remuneration structure	30 th June 2014
A5	Improved Management systems	A501	Develop and implement a strong governance structure	2013-2015
		A502	Develop and implement efficient work systems	2013-2015
<i>Strategic Objective B: To build an effective and sustainable civil aviation oversight system in the region.</i>				
B1	Partner States primary aviation legislation aligned to the Chicago Convention implemented	B201	Ensure Partner States review and implement the reviewed primary legislation	2013-2015
B2	Civil aviation regulations and technical guidance materials within the region developed and harmonised	B301	Facilitate the continuous review, harmonisation and formulation of regulations	2013-2015
		B302	Facilitate continuous development and harmonization of TGMs	2013-2015
		B303	Develop a common position for response on proposed ICAO standards	2013-2015

No.	Key Output	No.	Strategies	Timeline
B3	Adequate capacity developed to carry out oversight functions	B401	Implement an Inspector sharing scheme	2013-2015
		B402	Update the inventory of technical skills available in the region	2013-2015
		B403	Develop and implement a plan for improving technical skills in aviation oversight functions	2013-2015
		B404	Maintain and manage an inventory of tools, equipment and facilities necessary for carrying out effective oversight functions.	2013-2015
B5	An effective system established to monitor and evaluate the status of aviation safety and security in Partner States	B501	Ensure effectiveness of the mechanism for the sharing of safety and security information within the region	2013-2015
		B502	Evaluate the status of implementation of regulations in the Partner States	2013-2015
		B503	Facilitate Partner States to ensure compliance of the operators with the regulations	2013-2015
		B504	Establish and sustain a common examination system to support personnel licensing in the region including examination bank and support capacity building for its management.	2013-2015
		B505	Establish and operationalise a Centre for Aviation Medicine in	2013-2015

No.	Key Output	No.	Strategies	Timeline
			the region to support Personnel Licensing	
Strategic Objective C: <i>To minimise aircraft incident and accident rates in the region</i>				
C1	State Safety Programme (SSP) in the region implemented	C101	Facilitate the Implementation of the roadmap for the SSP in the region	31 st December 2013
		C102	Evaluate the status of Partner States' oversight of service providers' SMS implementation	2014-2015
C2	Regional integrated reporting systems to collect, collate, analyse, maintain and share safety data/information in the region established and operationalised	C201	Maintain a regional integrated reporting system to collect, collate, analyse, manage and share safety data within the region	2013-2015
		C202	Maintain and manage data on safety and security occurrences, incidents and accidents in the region	2013-2015
		C203	Maintain and manage data on safety and security inspection work tracking	2013-2015

6.4 Implementation Plan for Strategies

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15			
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
A101	Develop and implement a sensitisation programme for stakeholders on the mandate of CASSOA	Engage an expert under ICAO-ACIP assistance to work with regional experts.																				
		Experts produce a report to the Board																				
		Conduct sensitisation seminars for stakeholders on the mandate of CASSOA																				
A201	Develop and implement a Visibility Strategy	Develop and implement communication strategy																				
		Develop and implement a Corporate Social Strategy																				
A301	Review the current funding mechanism and make proposals	Review current funding options.																				

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15			
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
A302	Implement sustainable funding mechanism to CASSOA by the Partner States	Convene TC F&A meeting to determine funding mechanisms																				
		Develop background paper on proposed changes to the funding of CASSOA to the Board and for approval.																				
A401	Attract and retain appropriate staff	Implement the attraction and retention strategy																				
A501	Develop strong governance structures	Undertake Board evaluation																				
		Strengthen link between CASSOA Board and the Council																				

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15			
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
A502	Develop and implement efficient work systems	Implement the working manuals.																				
B201	Ensure Partner States review and implement the reviewed primary legislation	Liaise with Partner States to ensure promulgation of Primary Legislation																				
		Submit approval and implementation status report to the Board																				
B301	Facilitate the continuous review, harmonisation and formulation of regulations	Convene working groups to consider, review and formulate regulations																				
		Prepare a report to the Board on status of proposed changes to the regulations																				
		Carry out missions to the Partner States																				
B302	Facilitate the continuous development and harmonization of TGMs	Convene working groups to consider, review and develop technical																				

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15			
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
		guidance materials																				
		Prepare a report to the Board on the developed and amended technical guidance materials for approval																				
B303	Develop a common position for response on proposed ICAO standards	Track changes in standards and prepare a common regional position.																				
		Convene technical working group meetings to consider the common regional position.																				
B401	Implement an Inspector sharing scheme	Partner States to avail to CASSOA Safety Oversight work plans																				
		CASSOA coordinates sharing of inspectors																				

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15				
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	
B402	Update the inventory of technical skills available in the region	Update the technical skills inventory and skills requirements with the Partner States and develop a data bank																					
B403	Develop and implement a plan for improving technical skills in aviation oversight functions	Develop training programs to address the skills gap																					
		Coordinate implementation of the training programs																					
B404	Attract and retain appropriate skills for the oversight functions	Recruitment and placement of appropriate personnel.																					
		Carry out a study to determine competitive remuneration																					
B405	Maintain and manage an inventory of tools, equipment and facilities necessary for carrying out effective oversight functions.	Develop a policy on management of tools, equipment and facilities for oversight functions with Partner States																					

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15				
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	
		Carry out an audit of tools, equipment and facilities with the Partner States and develop a data bank																					
B501	Ensure the effectiveness of a mechanism for the sharing of safety and security information within the region	Develop a policy on protection and use of shared information																					
		Implement mechanism for sharing of information																					
B502	Evaluate the status of implementation of regulations in Partner States	Carry out missions with Partner States																					
		Develop recommendations to Partner States for corrective measures																					
B503	Facilitate Partner States to ensure compliance of the operators with the regulations.	Carry out industry sensitisation on best practices with the Partner States																					

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15			
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
		Carry out training for the inspectors on regulations and technical guidance materials																				
		Co-ordinate sharing of inspectors to assist Partner States implement the regulations																				
B504	Establish and sustain a common examination system to support a personnel licensing examination system in the region including an exam bank and support capacity building for its management	Develop a policy on the management of examinations in the region.																				
		Establish an IT system that links the region																				
		Establish and manage an examination bank in all areas requiring personnel licenses and certificates.																				

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15			
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
		Monitor the implementation of the examination management policy with Partner States																				
B505	Establish and operationalise a Centre for Aviation Medicine in the region to support Personnel Licensing	Coordinate the process of establishment of the medical centre.																				
		Coordinate the process of resource mobilisation for the medical centre																				
C101	Facilitate the implementation of the roadmap for the State Safety Programs (SSP) in the region	Convene working group meetings in coordination with ICAO on model SSP																				
C102	Evaluate the status of PS oversight of service providers' SMS implementation	Monitor the implementation of SMS with Partner States																				
C201	Maintain a regional integrated reporting system to collect, collate, analyse,	Develop with the Partner States a policy on the management of safety																				

No.	Strategies	Actions	Y1 2010/11				Y2 2011/12				Y3 2012/13				Y4 2013/14				Y5 2014/15			
			Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4	Q 1	Q 2	Q 3	Q 4
	manage and share safety data within the region	and security data in the region.																				
		Implement a mechanism for sharing data in the region																				
C202	Maintain and manage data on safety and security occurrences, incidents and accidents in the region	Develop a policy on the sharing and use of data with air operators																				
		Implement a mechanism for sharing data in the region																				
		Support the establishment of a regional incident and accident investigation unit																				
C203	Maintain and manage data on safety and security inspection work tracking	Implement SOFIA IT system for management of WTS that links the region																				

7. CHAPTER SEVEN: FINANCIAL PLAN

The Financial Plan provides estimates of the resources necessary to implement the reviewed Strategic Plan in line with the proposed implementation schedule and proposes new options for funding. Effective safety and security oversight can only take place when adequate resources are available to support the Agency's objectives. The Financial plan identifies the personnel emoluments costs, administrative costs and capital costs as well as forecast revenues.

7.1 Assumptions

The following assumptions were used in the forecast of revenues and expenditures required to support the Strategic Plan. Included in the general assumptions is the understanding that office space has been provided for CASSOA staff in Entebbe by the Government of Uganda and in Nairobi, by the Republic of Kenya for the Centre for Aviation Medicine. Also considering that the systematic evolution of the Agency is ongoing, consideration has been made to provide for costs that will adequately cater for the operations of the Agency.

7.1.1 Maintaining the Current Mandate of CASSOA

The Financial Plan assumes the continued structure of CASSOA as an autonomous, self-accounting institution of the East African Community. It also assumes the continuation of the agency as a Regional Safety Oversight Organisation in the basic structure and not a fully-fledged oversight authority. Basic financial provisions of the Agency, including sources and uses of funds, financial authorities, reporting roles and responsibilities and budgeting are based on the provisions of Article 15 of the Protocol. Specific details regarding financial and resource management, shall be guided by the Agency Financial Rules and Regulations (2008) or any approved revisions thereto.

7.1.2 Funding sources

The Protocol envisages the Agency¹ being financed by:

¹ Article 15, Financial provisions

- a) Contributions from Partner States through their respective CAA;
- b) Resources mobilized by the Community;
- c) Grants and loans from regional and international bodies;
- d) Revenues from the activities of the Agency; and
- e) Any other sources as may be approved by the Council

The Agency currently relies on contributions from Partner States CAAs and resources mobilised by the community e.g. through the EAC Partnership Fund and the EU funded Regional Integrated Support Programme (RISP), to meet its financial obligations. However, due to the basic structure setup and limited mandate the Agency cannot charge any fees as it doesn't provide services to the industry but may explore ways of accessing increased contributions from Partner States.

7.1.3 Financial Year

In preparing the financial forecasts, the Plan has assumed the financial year of the Agency which runs from July 1st to June 30th of each year. It has been further assumed that contributions from Partner States will continue to be due on July 1st of the current year and are expected to be paid within the 1st quarter.

7.1.4 Employment costs

The EAC staff remuneration structure has been adopted into the CASSOA Financial Rules and Regulations (2008) has been used in estimating employment benefits and costs.

7.1.5 Inflation Rate

An average estimated rate of inflation is 10% p.a. Current costs are expressed based on current prices.

7.1.6 Insurance costs:

Insurance costs are estimated at 4% p.a. of insured values for motor vehicles and 2% p.a. on all other classes of assets.

7.1.7 Depreciation Charge

In forecasting depreciation charge on fixed assets of the Agency the following depreciation rates, as specified in the Financial Rules and Regulations (2008) have been applied.

Table 1.2.1: Depreciation rates

Asset Type	Useful Life	Annual Depreciation Rate
Freehold Land	N/A	0%
Leasehold Land	Duration of lease	Varies with lease period
Buildings	40 years	2.5%
Motor Vehicles	5 years	20%
Computer equipment	3 years	33.33%
Telecom equipment	5 years	20%
Office equipment	5 years	20%
Office fixtures and fittings	5 years	20%
Office furniture	5 years	20%

7.2 Projected Expenditure

The Financial Plan identifies the operating and capital expenditures incurred during the first two years of the plan and the projected expenditure for the remaining Strategic Plan period from 2012/13 to 2014/15. Expenses are recognised in the financing plan as they are expected to occur.

A summary of the projected expenditure for the planning period is shown in Table 7.2.1 below:

Expense	2010/11 Actual	2011/12 Actual	FY2012/13 Budget	FY2013/14 Budget	FY2014/15 Budget
Operating Expenditure	1,214,351	1,419,165	1,396,450	1,945,287	1,986,952
Capital Expenditure	38,852	318,515	119,750	21,000	6,000
Total Expenditure	1,253,203	1,737,680	1,516,200	1,966,287	1,992,952

7.2.1 Projected Operating Expenditure

These comprise of employment and administrative costs. A summary of operating expenses for the planning period is shown in Table 7.2.1 below:

Table 7.2.1: Projected Operating expenditure

	2010/11 Actual	2011/12 Actual	FY2012/13 Budget	FY2013/14 Budget	FY2014/15 Budget
Employment costs	524,891	641,746	625,419	990,461	1,080,976
Administrative Costs	689,460	777,419	771,031	954,826	905,617
Total	1,214,351	1,419,165	1,396,450	1,945,287	1,986,952

It is evident from the analysis that CASSOA being a service organisation, where human resource forms the main input into the service production and delivery process, staff costs form the bulk of its expenses schedule.

7.2.2 Employment Costs

These are computed based on the Agency Financial Rules and Regulations and progression of staffing levels as the organisation development plan is implemented. These costs are made up of staff salaries, allowances, gratuity and insurance.

7.2.3 Administrative Costs

These include the corporate governance costs, costs of holding meetings to develop require regulatory documentation and stakeholder consultations, technical training costs, costs directly associated to technical assistance to the Partner States e.g. missions carried out by the Agency either to assist states prepare for audits or to assess the extent of compliance in the states with the required regulatory requirements. Cost of running the Agency offices in Entebbe and the CAM facility in Nairobi also fall in this category.

The Board of Directors is the governing body of the Agency and is constituted of the heads of Civil Aviation Authorities in the 5 Partner States, one aviation expert from each Partner State nominated by the Minister in charge of civil aviation in the State, a representative of the East African Business Council and the Executive Director of Agency. The Agency bears all the expenses related to the Board meetings and these include sitting allowances for all Board members as well as travel and subsistence for the aviation experts and the EABC representative. The Board meets at least once every three calendar months. The Board costs

anticipate the convening of two extraordinary meetings in a year. The Technical Committees support the Board in its operations. These are two, namely, Technical Committee – Regulatory and Technical Committee – Finance and Administration. These are constituted by senior officials in the Partner States CAAs depending on their areas of expertise. The Committees meet prior to Board meetings and advise the Board on technical or administrative matters. The Committees may meet jointly when cross cutting circumstances call for such a meeting.

Meeting and workshop costs consist of costs of holding meetings within the Agency for development, harmonisation and amendment of legal and regulatory documents (civil aviation regulations and technical guidance materials) for use in the region.

Training of the technical staff comprises of training of Agency personnel as well as inspectors in the region to enable them discharge their duties effectively and be available for sharing of the expertise within the region. The training will be based on the specific training needs of the inspectors, including basic training, recurrent training, type training and regulatory training. The Agency has developed the EA-AITS to guide training in all Partner States

Cost Directly Attributed to Oversight Activity are costs that are directly related to carrying out oversight assistance in the Partner States and include missions to the Partner States and the costs for assistance to the Partner States in implementation of the Safety Management Systems (SMS) in the region. Office operating expenses are intended to support the Agency offices and include recruitment costs, staff skills enhancement costs, utilities, publicity & promotion, hospitality expenses, communication, printing, security, bank charges, audit costs, assets maintenance and insurance.

7.2.4 Capital expenditure

The Agency has since inception purchased fixed assets enabling it to operate effectively. More recently an additional building has been put up and will require furnishing for the additional staff to be recruited as per the strategic plan. The bulk of the capital expenditure in FY 2013/2014 comprises expenses for furnishing the Centre of Aviation Medicine. The table below presents an estimate of capital expenditures based on the proposed schedule of staffing. Replacement costs of the computer and office equipment that will become obsolete and will need to be replaced or upgraded during the plan period have been incorporated.

	2010/11 Actual	2011/12 Actual	FY2012/13 Budget	FY2013/14 Budget	FY2014/15 Budget
Capital expenditure costs	38852	318,515	213,800	119,750	21,000

7.3 Funding Sources

7.3.1 ICAO Recommended sources of funding

ICAO Document 9734, Safety Oversight Manual, Part B, Establishment and Management of a Regional Safety Oversight System, provides general guidance on the financing of a regional safety oversight organisation. The key objective of establishing a regional safety oversight system, according to ICAO, is to enable states to meet their international safety oversight obligations in the most effective and efficient manner. Adequate resources, according to ICAO, are essential to the successful implementation of a regional safety oversight system. When States are able to share both funding and personnel, they are able to provide the regional aviation system with the support it requires.

ICAO recommends that member States in a regional organisation “*establish a mechanism to ensure that the funds required for the establishment and management of an RSOO is sustainable*”. These mechanisms may include but not limited to:

- a) Service fees charged by the RSOO
- b) Annual contributions from the Partner States, and
- c) A passenger charge

ICAO further acknowledges that each state has its own level and complexity of aviation activities which may be recognized in the amount to be contributed by each State.

7.3.2 Contributions from Partner States

The Partner States currently finance their own regulatory activities from fees and charges, subsidized by revenues from other aviation activities, such as air navigation services and aerodrome operations, and sometimes with direct assistance from central governments. The exact costs associated with the provision of these regulatory services are not easily determined and, therefore, the proportion of costs that are financed through revenues from other aviation

activities is difficult to estimate. As the Agency's capacity increases, this is expected to assist the Partner States by the sharing of some of the oversight costs throughout the region, thereby reducing the costs of the oversight functions for the individual CAAs. It is reasonable to expect therefore that contributions from Partner States should be proportional to the size and complexity of civil aviation activities.

Partner States CAAs supplement the revenues generated from regulatory activities with subsidies from other sources. Those subsidies are in the form of safety fees and passenger service charges based on air tickets and air navigation charges, landing and parking fees. Partner States' governments also support the CAAs activities by funding some of the infrastructure development projects.

The Partner States CAAs are contributing to the Agency from the said sources of income. It is therefore proposed that the Partner States continue contributing to the Agency depending on the level and complexity of the aviation activities as stated earlier.

The current projected traffic numbers for each Partner State are as shown in the tables below:

Kenya	Projected traffic					Growth rates				
Year	2013/14	2014/15	2015/16	2016/17	2017/18	2014/15	2015/16	2016/17	2017/18	AVG
International Embarking passengers	1,899,400	2,013,363	2,134,164	2,262,213	2,397,945	6%	6%	6%	6%	6%
Domestic Embarking passengers	1,493,468	1,582,677	1,677,219	1,777,413	1,883,596	6%	6%	6%	6%	6%
Imports (Tonnes)	91,530	100,683	110,751	121,826	134,008	10%	10%	10%	10%	10%
Exports (Tonnes)	271,492	294,413	319,373	346,560	376,182	8%	8%	9%	9%	8%
Over flights	35,113	36,166	37,251	38,369	39,520	3%	3%	3%	3%	3%
Commercial Movements	276,189	284,334	292,677	301,310	310,155	3%	3%	3%	3%	3%
Uganda	Projected traffic					Growth rates				
Year	2013/14	2014/15	2015/16	2016/17	2017/18	2014/15	2015/16	2016/17	2017/18	AVG
International Embarking Passengers	671,186	721,525	775,639	833,812	896,348	7%	8%	7%	8%	8%
Domestic Embarking Passengers	5,258	5,416	5,578	5,745	5,918	3%	3%	3%	3%	3%
Imports (Tonnes)	23,602	24,782	26,022	27,323	28,689	5%	5%	5%	5%	5%
Exports (Tonnes)	35,106	36,861	38,704	40,639	42,671	5%	5%	5%	5%	5%
Overflights	14,479	14,914	15,361	15,822	16,296	3%	3%	3%	3%	3%
Commercial Movements	29,421	30,304	31,213	32,149	33,113	3%	3%	3%	3%	3%
Tanzania	Projected traffic					Growth rates				
Year	2013/14	2014/15	2015/16	2016/17	2017/18	2014/15	2015/16	2016/17	2017/18	AVG
International embarking Passengers	860,132	963,348	1,078,950	1,208,424	1,353,434	12%	12%	12%	12%	12%
Domestic Embarking Passengers	1,471,147	1,706,531	1,979,575	2,296,307	2,663,717	16%	16%	16%	16%	16%
Imports (Tonnes)	23,561	24,385	25,238	26,121	27,036	3%	4%	3%	4%	3%
Exports (Tonnes)	12,137	12,562	13,001	13,456	13,927	3%	4%	3%	4%	3%
Overflights	39,598	40,984	42,184	43,903	45,440	4%	3%	4%	4%	4%
Commercial Movements	274,429	316,142	364,196	419,554	483,326	15%	15%	15%	15%	15%

Burundi	Projected traffic					Growth rates				
Year	2013/14	2014/15	2015/16	2016/17	2017/18	2014/15	2015/16	2016/17	2017/18	AVG
International embarking Passengers	115,432	130,652	147,878	167,376	189,445	13%	13%	13%	13%	13%
Domestic embarking passengers	-	-	-	-	-					
Imports (Tonnes)	3,003	3,167	3,341	3,523	3,716	5%	5%	5%	5%	5%
Exports (Tonnes)	395	425	458	494	532	8%	8%	8%	8%	8%
Overflights	2,259	2,418	2,588	2,770	2,965	7%	7%	7%	7%	7%
Commercial Movements	9,967	12,114	14,724	17,897	21,754	22%	22%	22%	22%	22%
Rwanda	Projected traffic					Growth rates				
Year	2013/14	2014/15	2015/16	2016/17	2017/18	2014/15	2015/16	2016/17	2017/18	AVG
International embarking Passengers	219,128	251,997	289,796	333,266	440,744	15%	15%	15%	32%	19%
Domestic Embarking Passengers	12,009	13,690	15,607	17,792	20,282	14%	14%	14%	14%	14%
Imports (Tonnes)	5,618	5,758	5,902	6,050	6,201	2%	3%	3%	2%	2%
Exports (Tonnes)	395	405	415	426	436	3%	2%	3%	2%	2%
Overflights	2,549	2,587	2,626	2,665	2,705	1%	2%	1%	2%	1%
Commercial Movements	15,953	18,485	21,442	24,873	28,852	16%	16%	16%	16%	16%

7.3.3 Resources mobilized by the Community

The Agency has been relying on resources mobilised by the Community from Development Partners supplement the contributions from the Partner states to fund projects for example examination system development, CAM establishment etc. However, Development Partners are reluctant to finance the day to day running costs of an organisation and aviation is not a sector that is considered a priority by donors. It is envisaged that in the remaining plan period resources mobilised by the Community will continue to be a source of funding for the Agency to fund special projects.

7.3.4 Grants and loans from regional and international bodies

The Agency continues to receive technical assistance from International bodies such as International Civil aviation Organisation (ICAO), Federal Aviation Administration (FAA), US Department of Transportation (US-DOT) through its Safe Skies for Africa Programme and European Aviation Safety Agency (EASA) to fund specific projects. Although these bodies normally provide technical assistance, financing from them could also be explored.

7.3.5 Revenues from the activities of the Agency

The Agency may generate revenues from its activities as provided in the Protocol. The Agency is implementing the regional examination system and will manage this in Entebbe. The system will enable States to conduct uniform exams throughout the region pursuant to the Common market pillar of EAC integration. In the long term, the Agency intends to charge a fee to the Partner States for management of the examination system.

7.3.6 Any other sources as may be approved by the Council

The Agency may require the Council of Ministers to approve other sources of funding not mentioned above. These could include contribution from the Partner States Governments through the mainstream EAC budget. This would go a long way in ensuring that the organs and institutions of the Community are adequately funded. This would also ensure that when the requirements of the Agency exceed the Partner States CAA's capability the governments can

come in and supplement their CAA's contribution to ensure that the requirement of equal contribution in the Treaty are met. This funding mechanism is in place in EASA where the Agency receives funding from the European Commission's budget while at the same time generating its own funding through its activities.

7.4 Funding Options

It is recommended that the Agency adopts a variety of funding options to address its financial requirements and satisfy the criteria specified above. Other sources of funding particularly, assistance from development partners should be actively pursued as supplemental revenue. Below there are several options considered for addressing the financing of the Agency's operations. Three options have been proposed to finance the operations of the Agency to deliver on this strategic plan. It is expected that the Agency will select the option or combination of options that offer the optimal solution and recommend these to the EAC Council of Ministers for approval. The following options should be considered.

7.4.1 Option 1 - Contribution by the Partner States (Current Status)

This option proposes to maintain the current funding mechanism of the Agency where each Partner State contributes to the funding of the Agency's activity. This contribution could be equal or in a ratio based on the size of the aviation industry in each state that the Board will agree upon and recommend to the Council for approval. In the last two financial years the Board has agreed that the States of Rwanda and Burundi contribute an amount less than what the other three states of Kenya, Tanzania and Uganda contribute.

This method provides stable income to the Agency. The estimated contributions per State are shown in Table 7.4.1 below.

Table 7.4.1

Partner State	2010/11 Actual	2011/12 Actual	2012/13 Budget	2013/14 Budget	2014/15 Budget
Burundi	220,000	220,000	220,000	231,000	334,950
Kenya	220,000	270,000	270,000	297,000	430,650
Rwanda	220,000	220,000	220,000	231,000	334,950

Tanzania	220,000	270,000	270,000	297,000	430,650
Uganda	220,000	270,000	270,000	297,000	430,650
Total	1,100,000	1,250,000	1,250,000	1,353,000	1,975,825

7.4.2 Option 2 – Contribution by the Partner States based on level of aviation activities (Measured by total embarking passenger numbers)

In this option the Partner States CAAs will contribute on a *pro rata* basis based on the level of aviation activities measured by the numbers of embarking passengers in each state. The main advantage of this method is that it is a more equitable approach as it relates to the level of aviation activities being regulated. However, this approach does not take into account that Partner States' obligations to ensure meeting required minimum aviation standards do not vary with the level of aviation activities. As stated in Option 1 above the Partner States CAAs are autonomous and earn their revenues based on aviation activities in their respective states. The regulatory services are usually cross-subsidised from other aviation revenue sources and hence the contributions required under this option may be above the revenues generated without increase on the service charges. The level of aviation activity based on embarking passenger numbers based on projected figures are shown in Table 7.4.2 below.

Table 7.4.2 Projected embarking passenger numbers

Partner State	2013/14	2014/15	2015/16
Burundi	115,432	130,652	147,878
Kenya	3,392,868	3,596,040	3,811,383
Rwanda	231,137	265,687	305,403
Tanzania	2,331,279	2,669,869	3,058,525
Uganda	676,444	726,940	781,217
Total	6,747,160	7,389,198	8,104,406

The estimated contributions are shown in Table 7.4.3

Table 7.4.3 Estimated contributions by Partner States CAAs

Figures in US\$

Partner State	2013/14	2014/15	2015/16
Burundi	25,939	34,766	36,364
Kenya	762,434	956,916	937,256
Rwanda	51,940	70,700	75,101
Tanzania	523,877	710,459	752,120
Uganda	152,008	193,440	192,109
Total	1,516,200	1,966,287	1,992,952

7.4.3 Option 3 – Agency funding from a fee charged on the embarking passengers in the Partner States

In this option, it is proposed that a minimal fee is charged on all embarking passengers in the region to fund the safety and security activities of the Agency. An average projected regional growth in the passenger numbers is assumed at Burundi 4.7%, Kenya 6.1%, Rwanda 6.8%, Tanzania 7% and Uganda 7.5%. The current numbers are extrapolated to reflect this growth. Table 7.4.4 below.

Table 7.4.4 Projected regional growth in the passenger numbers

Partner State	2013/14	2014/15	2015/16
Burundi	115,432	130,652	147,878
Kenya	3,392,868	3,596,040	3,811,383
Rwanda	231,137	265,687	305,403
Tanzania	2,331,279	2,669,869	3,058,525
Uganda	676,444	726,940	781,217
Total	6,747,160	7,389,198	8,104,406

It is proposed that each embarking passenger shall be charged a minimal amount on the ticket which will be remitted to the Civil Aviation Authority for transmission to CASSOA. The projected charge per passenger ticket in each of the three years is shown in the table 7.4.5 below:

Table 7.4.5

	2013/14	2014/15	2015/16
Chargeable fee per passenger	0.22	0.26	0.25

From the above Table it is recommend that during the Plan period (2013/14 - 2015/16) an average charge of \$ 0.25 per embarking passenger for funding the Agency be adopted. Expected collections from each of the Partner states are shown in the table 7.4.6 below:

Table 7.4.6 Forecast projections of collections in each Partner State per year

Partner State	Figures in US\$		
	2013/14	2014/15	2015/16
Burundi	28,858.00	32,663.00	36,969.50
Kenya	848,217.00	899,010.00	952,845.75
Rwanda	57,784.25	66,421.75	76,350.75
Tanzania	582,819.75	667,467.25	764,631.25
Uganda	169,111.00	181,735.00	195,304.25
Total	1,686,790.00	1,847,297.00	2,026,101.50

8. CHAPTER EIGHT: MONITORING AND EVALUATION PLAN

7.5 Monitoring Indicators

Monitoring and Evaluation of the Strategic Plan will be carried out at two levels. The first level will track indicators at Goal and Strategic Objective level to establish the results (outcome of the plan and the second level will track indicators at output and activity level to establish the quantities and qualities of outputs and their respective timings of their delivery.

Data to measure to measure the high level objectives (Goal and Strategic Objectives) will be collected over the five year period and analysed every two years. However, data to measure lower level objectives (output and activities) in order to keep track of the progress of implementation of the Strategic Objectives, data based on the annual business plan will be collected and analysed quarterly.

Table 8.1.1 Monitoring Indicators for Goals and Strategic Objectives

Narrative Summary	Performance Indicators	Key Assumptions
<p>Goal/ Broad objective</p> <p>Contribute to the development of a sustainable, safe, secure and efficient civil aviation sub-sector in the region in line with the EAC objectives</p>	<p>Enhanced Safety Levels measured by decreasing accident rates</p> <p>Safety Management System implemented in all the operators of ANS, Airport Services and the majority of air operators (above 50%) in the region</p>	<p>Availability of Resources (technical and Financial) to implement the Strategic Plan</p> <p>The mandate of CASSOA is clearly understood</p>
<p>Strategic objective 1</p> <p>To strengthen CASSOA's institutional Capacity.</p>	<p>Sensitisation on the Mandate of CASSOA achieved by December 2013</p> <p>Enhanced institution with strong corporate image</p>	<p>Sensitisation of the Partner States stakeholders on the mandate of CASSOA successfully completed</p>

Narrative Summary	Performance Indicators	Key Assumptions
	An agreed funding mechanism implemented by July 2014	Consensus on funding mechanism by the Partner States reached
Strategic objective 2 To build an effective and sustainable civil aviation oversight system in the region.	Number and quality of evaluation of oversight activities conducted in partner states by 2015	Resources – Financial and Technical expertise and tools would be available to execute the oversight functions
Strategic objective 3 To Minimise aircraft incident and accident rates in the region	Percentage decrease in accident occurrences Quality of data and reporting systems in place by 2015 Developed and commencement of implementation of SSP by December 2013 Level of compliance with SMS by all Operators by 2015	Operators in all the Partner States sensitised on SMS

Table 8.1.2 Monitoring Indicators for Key Outputs

Narrative Summary	Performance Indicators	Key Assumptions
Output 1 The institutional mandate of CASSOA clearly understood by its key stakeholders	Study report on the review of the mandate of CASSOA by 2012 Consensus on the need for the new mandate of CASSOA reached by 2013	There will be general consensus on the mandate of CASSOA among the Partner States
Output 2 Improved Corporate Image	Level of acknowledgement of CASSOA's role by stakeholders	Availability of funding for outreach activities
Output 3 Current funding mechanism for CASSOA reviewed and a sustainable funding	Reviewed sustainable funding mechanism in place and implemented by March 2013	Consensus by all Partner States on mechanism of funding

Narrative Summary	Performance Indicators	Key Assumptions
<p>mechanism established Output 4</p> <p>Qualified and skilled staff retained</p> <p>Output 5</p> <p>Improved management systems</p>	<p>Number of staff recruited and retained</p> <p>Number of systems successfully implemented</p>	<p>Adoption of retention strategy by Board</p> <p>Approval and adoption of the systems</p>
<p>Output 6</p> <p>Partner States primary aviation legislation aligned to the Chicago Convention implemented</p>	<p>Number of promulgated primary legislations</p> <p>Legal and regulatory reforms effected in Partner States in collaboration with relevant institutions</p>	<p>Partner States legislative organs promulgate the Acts on time</p> <p>Implementation of Acts by Partner States</p>
<p>Output 7</p> <p>Civil aviation regulations and technical guidance materials within the region developed and harmonised</p>	<p>All regulations harmonised updated and/or developed in line with ICAO SARPs and adopted by Partner States</p> <p>All applicable technical guidance materials formulated/reviewed as programmed</p>	<p>Partner States adopt and promulgate the Regulations timely.</p> <p>There will be a strong enforcement mechanism to ensure implementation of the regulations among the CAAs</p>
<p>Output 8</p> <p>Adequate capacity developed to carry out oversight functions</p>	<p>An inventory of all technical skills available in the region is maintained, managed and updated.</p> <p>Number of technical skills audit carried out in Partner States to develop and update the skills data</p>	<p>Attractive Remunerations and Conditions of services implemented by Partner States CAAs to ensure attraction and retention of technical</p>

Narrative Summary	Performance Indicators	Key Assumptions
	<p>bank</p> <p>Number and type of appropriate skills for the oversight functions attracted, retained in the region</p> <p>Quantity and quality of office facilities provided</p>	<p>skills</p> <p>Funding available for capital expenditure</p>
<p>Output 9</p> <p>An effective system established to monitor and evaluate the status of aviation safety and security in Partner States</p>	<p>Level of implementation of harmonised Regulations in Partner States – percentage of recertified operators</p> <p>Number of evaluations carried out on the status of implementation of aviation safety and security regulations in the Partner States.</p> <p>Level of compliance of the operators with the regulations</p> <p>Number of non-compliance findings by safety inspectors in partner States.</p> <p>Number and quality of industry sensitisation seminars on Best practices</p> <p>An IT system that links the region developed by September 2010</p> <p>Developed Policy on the management of examination in the</p>	<p>Availability and release of technical resources to be coordinated to assist Partner States</p> <p>Consensus on a policy on a common licensing examination system</p>

Narrative Summary	Performance Indicators	Key Assumptions
	<p>region by December 2013</p> <p>Establishment and Operationalisation of a common personnel licensing examination system in the region by December 2013</p> <p>Quality of the licensing system in terms of examination management, integrity and efficiency by June 2014</p>	
<p>Output 10</p> <p>State Safety Programme (SSP) in the region implemented</p>	<p>Partner States develop State Safety Programmes (SSP) and Implementation Plans by September 2013</p> <p>Level of implementation of the State Safety Programs (SSP) in States by June 2014</p> <p>Number of service providers (through Partner States) complying with SMS regulations by June 2014</p>	<p>Model SSP approved by the Board</p> <p>Regional Reporting System operational and effectively in use to provide integrated data required for the SSP/SMS implementation.</p>
<p>Output 11</p> <p>Regional integrated reporting systems to collect, collate, analyse, maintain and share safety data/information in the region established and operationalised</p>	<p>Reporting systems for maintaining safety and security data/information established by December 2011.</p> <p>Data on safety and security occurrences, incidents and accidents in the region maintained and managed</p> <p>An IT system that links the region is</p>	

Narrative Summary	Performance Indicators	Key Assumptions
established by September 2011		

7.6 Monitoring and Evaluation Framework

A cardinal principle in the process will be that strategic planning is not an additional function for all performance units in the Agency. The Agency with the assistance of the Planning Experts of the Partner States will be responsible for monitoring the implementation of the Strategic Plan and Organization Development Plan.

The monitoring and evaluation framework existing in Partner states CAAs will produce information that will be useful to the Agency. Though these reports from the Partner States CAAs may not be tailored to the objectives developed under the Agency Strategic Plan, they non-the-less do serve an important information role. These will provide the necessary monitoring information for objectives shared by both the CAAs and the Agency.

The performance of the Agency will be monitored as follows:

8.2.1 Annual Performance Report/Review

Five year plans are implemented using specific one year plans. Though data collection on sector performance will be a continuous process, collation and analysis will be done annually during the last quarter of the year and should form part of the annual Business Plan review.

8.2.2 Quarterly Reviews

CASSOA will develop a system for collecting, collating and preparation of quarterly performance reports as part of the overall monitoring and evaluation reporting system. This will be part of the information flow systems to be developed under the IT strategy.

8.2.3 Development of the Second 5 year Strategic Plan

The Strategic Planning process should continuously be undertaken to ensure that a new plan is developed to replace the existing one in a timely manner so that the Agency is guided in the delivery of its mandate. There will therefore be need to initiate the process of doing the second 5 year strategic plan during the fifth year of implementation of this plan.

8.2.4 Stakeholders Surveys

To supplement information generated from operations, performance and stakeholder satisfaction surveys will be conducted at least once during the year. This should enrich information available for the Plan reviews as part of the overall monitoring framework.