
1. 机构建立历程 (Establishment)

In accordance with the Chicago Convention (the International Agreement governing international civil aviation operations), herein after referred to as the Convention; a State has complete and exclusive sovereignty over the airspace above its territory. Nevertheless, on adhering to the Convention, a State agrees to certain principles and arrangements in order that international civil aviation may be developed in a safe and orderly manner. Under Articles 12 and 37 of the Convention, States must collaborate to the highest degree to achieve standardization and harmonization in aviation safety and security regulations, rules, standards, procedures and practices.

ICAO – the International Civil Aviation Organisation, has implemented a large number of projects over several decades to improve civil aviation safety and security in many developing States. However, despite these efforts as well as numerous initiatives designed to help States meet their safety and security oversight responsibilities, in many regions a number of States have failed to develop the capability for aviation safety and security oversight. The main reason identified for this situation is lack of adequate resources, specifically in terms of qualified technical expertise. This has led ICAO to conclude that regional or sub regional safety oversight organizations may be required to overcome this problem through shared objectives, strategies and activities and, most

importantly, that they would enable Member States to pool resources and thus be able to attract, recruit and retain appropriately qualified and experienced personnel. In addition to working together, Contracting States of a region or sub region can have a more persuasive voice on the world stage and can help secure a more favourable climate aimed at a safer international air transportation system.

Effective regional cooperation requires an organizational structure for the establishment and management of a regional safety oversight system. Membership in one of these organizations provides several benefits. States can produce economies of scale leading to increased efficiency due to the possibility of sharing and pooling of human and financial resources. Regional programmes can be more effective through joint action, where they can address external factors and constraints more effectively. Participant States will also increase their capacity to develop harmonized regulations adapted to their local environment and in compliance with ICAO Standards and Recommended Practices (SARPs). In the international arena, the existence and effective operation of regional organizations is a demonstration of regional solidarity and increases the involvement of individual States in aviation activities relating to the region or sub region.

The East African Community (EAC) Partner States of Kenya, Tanzania and Uganda with the support of the US Department of Transportation

and the Federal Aviation Administration (FAA) took on this initiative and embarked on the roadmap for the establishment of a Regional Safety Oversight Organization on the ICAO proposed framework stipulated in ICAO Document 9734 Part B – *The Establishment and Management of a Safety Oversight System*, however, with the element of security added on.

On 18th April 2007, following fruitful deliberations by civil aviation and legal experts of the EAC, the EAC Council of Ministers approved the establishment of the EAC Civil Aviation Safety and Security Agency (CASSOA) as an autonomous self-accounting institution of the Community and appointed its first Executive Director – Mr. Mtesigwa Maugo (Tanzania) , the Technical Coordinator – Mr. Robert Mwesigwa Nviiri (Uganda), and the Office Management Assistant – Mrs. Lillian Mwenda (Kenya), and the first Board complement comprising the then three Heads of Civil Aviation Authorities of the Partner States. Thereafter, CASSOA commenced operations on 1st June 2007 in Arusha, Tanzania, at the seat of the East African Community Secretariat.

2. 机构任务 (Mandate)

The Agency derives its mandate from Article 92 of the EAC Treaty which in summary states that the Partner States shall 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.

(1) 愿景与使命 (Vision and Mission)

CASSOA's Vision for the planning period 2015/2020 is to focus on attaining ***“A safe, secure and efficient regional civil aviation industry”*** while the mission is ***“To develop, promote and coordinate implementation of sustainable civil aviation safety and security oversight systems in the Partner States”***

(2) 目标与职能 (Objectives and functions)

Pursuant to Article 92 of the Treaty, the primary objectives of the Agency as stated in the Protocol for the Establishment of CASSOA 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.

CASSOA is also involved in three major functions, namely:

- a) Harmonising operating regulations to ensure that they meet international standards and recommended practices;
- b) Developing standardised procedures for licensing, approving, certificating and supervising civil aviation activities; and
- c) Providing guidance and assistance to Partner States including putting in place measures for resource sharing particularly for the technical personnel.

3. 机构管理 (Governance)

The organs of the Agency are the Board, the Secretariat, and such other organs as the Board may consider necessary. The Board has so far established three Technical Committees to facilitate management and carrying out the functions and obligations of the Agency. These are: Technical Committee – Regulatory (TC-R) which is responsible for all technical and regulatory issues relating to safety and security oversight; the Technical Committee – Finance and Administration (TC – F & A) which is responsible for the administration and management of resources of the Agency; and the Technical Committee Audit and Risk which is responsible for reviewing and considering the Agency’s risk management policies and the Agency’s Financial Statements prior to submission to the Council. All the Partner States are represented in the governance of CASSOA. CASSOA is a self-accounting institution of the

EAC.

The Board of Directors is the governing body of the Agency. The Board consists of the Heads of Civil Aviation Authorities of the Partner States, one aviation expert from each Partner State nominated by the Minister responsible for civil aviation (this expert serves for a term of three years renewable only once), one representative from the East African Business Council and the Executive Director of CASSOA. The chairperson of the Board is one of the Heads of CAA for a period of one year and this position is held in rotation among the Partner States' CAAs.

The Executive Director (ED) is appointed by the Council of Ministers on recommendation by the Board, on such terms and conditions as the Council may determine. The ED is the spokesperson of the Agency and principle liaison between the Partner States and CASSOA. The position of ED CASSOA is filled for a one term of five years on a competitive basis and under the principle of rotation among the Partner States. The ED also heads the Secretariat of the Agency.

(1) 经费来源 (Funding)

The funds that run CASSOA's activities are derived from:

- a) Contributions from the Partner States through their CAAs;
- b) Resources mobilized by the EAC Secretariat;
- c) Grants from regional and international development partners;
- d) Revenue from some of the activities of the Agency; and

e) Any other sources as may be approved by the EAC Council of Ministers

(2) 组织结构 (Structure)

At the apex of the CASSOA structure is the EAC Council of Ministers, to whom the Board reports. The Board is second in hierarchy under whom is the Executive Director of the Agency. The Agency has two directorates; one for technical functions (aviation standards and regulation) and the other for administration and financial functions. Each of the directorates is headed by a deputy Executive Director under the new approved structure of 2015.

Under the technical directorate are the following sections:

- i) Airworthiness
- ii) Flight operations
- iii) Air Navigation Services
- iv) Aerodromes and Ground Aids
- v) Aviation Security
- vi) Personnel licensing
- vii) Aviation Meteorology
- viii) Centre for Aviation Medicine

Under the administration and finance directorate are the following sections:

- i) Human Resource and Administration

-
- ii) Finance
 - iii) Information Technology
 - iv) Office Management

(3) 职员 (Staffing)

Today, due to limited funding, CASSOA consists of 12 staff members as compared to the planned 20 staff members. CASSOA has an expanded Board of 10 members comprising the 5 Heads of Civil Aviation Authorities and five experts in aviation matters nominated, one each, from the Partner States as per the Protocol on the Establishment of CASSOA.

(4) 工作方式 (Modus Operandi)

CASSOA is currently designed in the basic structure of a RSOO to work with Partner States' Civil Aviation Authorities, (which currently retain the responsibility for regulating civil aviation activities in their territories covering licensing, approving, certificating) to ensure Partner States' compliance with the ICAO Annexes to the Chicago Convention.

CASSOA is expected to evolve into a more complex structure in future with the Partner States' Civil Aviation Authorities delegating part of their functions and responsibilities related to safety and security oversight (licensing, approval and certification of personnel, organisations and aeronautical products), based on common regional regulations and procedures as stated in the ICAO Doc 9734 Part B

paragraph 3.8.1.4.

The rate of evolution will depend on the success or failure of the Partner States to comply with the defined objectives of CASSOA and on their interest in meeting the demand for an effective decision-making process required for the establishment and management of an effective and robust regional safety oversight system.

(5) 工作成果 (Achievements)

In its eight years of operation, CASSOA has been able to make eight commendable achievements despite constraints in both human and financial resources at its disposal, namely:

1. Coordination of the promulgation of the harmonized Civil Aviation Safety and Security Regulations in the Partner States;
2. Development of the Technical Guidance Materials for assisting both the regulators and service providers to abide by the Regulations;
3. Assisting Partner States in preparing for ICAO Safety and Security audits and thereafter developing harmonized Corrective Action Plans to address the findings;
4. Capacity building for the Partner States' safety and security inspectors;
5. Establishment of the regional Centre for Aviation Medicine, the first of its kind in the World;

-
6. Establishment of a harmonized computerized EAC Aviation Examination System for purposes of personnel licensing;
 7. Development of a harmonized EAC Inspector Training System for Airworthiness and Flight Operations Inspectors (currently the one for Air Navigation Services (ANS) Inspectors is under development); and
 8. The development of a Safety Oversight Facilitated and Integrated Application software – SOFIA, that assists Inspectors to carry out their safety oversight obligations effectively.

Some of the key ongoing programmes are:

1. Assistance to EAC Partner States in capacity building in the area of flight operations courtesy of ICAO through their SAFE fund over a period of two years;
2. Development of an Inspector Training System for ANS;
3. Development of a harmonized EAC aviation examination syllabus;
4. Development of a computer based training programme for aviation security; and
5. Preparatory programme for a roadmap to successful ICAO aviation security audits for the Partner States of Kenya and Tanzania

(6) 与国际民航组织的关系 (Relationship with Civil Aviation Organisations)

CASSOA works closely with ICAO, the African Civil Aviation Commission (AFCAC), the European Union's European Aviation Safety Agency (EASA), and the United States of America Federal Aviation Administration (FAA) to build aviation safety oversight capacity within the East African region and beyond.

CASSOA is a member of the ICAO Africa Indian Ocean area Security and Facilitation Plan Steering Committee (AFI SECFAL SC), the first Steering Committee meeting having taken place in Maputo on 18/5/2015 upon its establishment.

CASSOA is also a member of the ICAO AFI Regional Aviation Security and Facilitation Group (RASFG-AFI), the first meeting having taken place in Dakar, Senegal from 16th to 17th September, 2015.