



**AIR SAFETY SUPPORT INTERNATIONAL**

**Strategy 2025  
and  
Business Plan  
2023/24-2025/26**

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## CHANGE HISTORY

Changes to this document will be achieved by a re-issue of the entire document rather than by the amendment of individual pages.

Issue No	Date	Description	Edited by

## CHAIRMAN'S STATEMENT

2022 saw the slow worldwide recovery from the immediate affects of the COVID pandemic. Most national restrictions have been lifted or are easing as nations gain confidence that the direct impacts of the virus are manageable. A notable exception remains China where a zero COVID policy remains in effect, with noticeable worldwide implications.

Across the world, however, the long-term impacts of the COVID survival measures are still felt, as operators, airports and industry in general struggle to rebuild operational performance and resilience decimated by pandemic lay-offs and resource reductions.

The worldwide economic environment also remains very difficult, with the consequences of the pandemic period financial measures, coupled with the impact of war in Ukraine, resulting in high costs and rising inflation.

Russian actions in Ukraine and the resulting sanctions have had a dramatic impact on the aircraft leasing business and the associated overseas register industry, which has been a feature for several UK Overseas Territories for many years.

Climate change and the energy transition away from carbon-based fuels fill both traditional and social media, fuelling vigorous debate around the world.

The UK and its Territories are exposed to all of these global challenges, and each has its own local issues, combining to give our people, our governments, our aviation industries and ASSI a dynamic and rapidly developing environment.

Set against these challenges, however, are some very positive considerations, both at a global level and at a Territory and ASSI level.

Despite economy considerations, people all over the world appear to value and prioritise travel. Worldwide demand for air travel, tourism and related aviation services are rapidly bouncing back, constrained mainly by industry's capacity.

The industry's safety and security record has remained at very high levels.

The Territories have proven to be resilient and flexible in the face of pandemic affects and changing business models. Throughout the challenges, ASSI and the Territories have found effective ways to work together to maintain aviation safety, security and operational performance.

An example of working together effectively has been the thorough, professional preparation that has been invested in the upcoming International Civil Aviation Organisation (ICAO) Universal Safety Oversight Audit Programme (USOAP). ASSI and its Territory partners have worked extremely hard to complete ICAO's Protocol Questions (PQs) and populate ICAO's web-based database with answers and evidence in preparation for the audit in November and December 2022. The thorough preparation will form the basis for ongoing ASSI assessments of those Territories with Aviation Authorities, maintaining transparency of the safety oversight system for the future.

For our 2023/2024 business plan, ASSI remains focussed on the fundamental themes of maintaining aviation safety

and security for the long term.

Despite financial and demographic challenges, we will continue to build team resilience and competence and to support the same within the Overseas Territory Aviation Authorities (OTAAAs).

We will continue to evolve our oversight system, and build on the lessons learned from the pandemic period to optimise oversight with a strong focus on cost effective delivery of our remit.

In a dynamic and rapidly evolving aviation environment, we will continue to promote best practice and effective learning across our stakeholders.

We recognise that we all operate in a very challenging global environment, and that constant hard work and vigilance are required to stay safe, secure and affordable.

We pursue our responsibilities with confidence, and without complacency, that we work with professional, competent partners, who share our aviation safety and security objectives.

As always, my heartfelt thanks to the ASSI team and its partners across the Overseas Territories and the UK government, who work tirelessly to deliver a safe, secure and effective aviation system.



**Garrett Copeland**  
ASSI Board Chairman  
November 2022

## SECTION 1: WHO WE ARE AND WHAT WE DO

### WHO WE ARE

ASSI was established in 2003 under Directions from the UK's Department for Transport (DfT). We are a not-for-profit, wholly owned, subsidiary company of the UKCAA, and our purpose is to promote aviation safety in the UK Overseas Territories through the development and upkeep of a cohesive system of safety and security civil aviation regulation. ASSI is funded by the DfT which recovers some of the costs through contributions from the Territories.

Our role is to ensure that the UK meets its international obligations regarding safety and security oversight of aviation in the Territories. Meeting these obligations is vital to protect people. Demonstrating to the international community that the required safety and security standards are being upheld helps to safeguard important airlinks which support the socioeconomic needs of the Territories.

### OUR CORE FUNCTIONS

We meet our purpose through our four core functions:

#### Rulemaking

We maintain and update secondary legislation including the Air Navigation (Overseas Territories) Order (AN(OT)O) and produce the means of compliance with the order through the Overseas Territories Aviation Requirements (OTARs). We also produce supporting information such as the Overseas Territories Aviation Circulars (OTACs), which help the aviation industry understand what is required of it.

#### Assessment

Some Territories have their own OTAA. We have a role to assess the OTAAs to ensure that they have the necessary skills, competence, tools and resources to regulate their aviation industry to internationally agreed safety standards.

#### Regulation

We are the civil aviation regulator in those Territories where there is no OTAA or where the OTAA has limited capability/capacity. We are responsible for the regulatory oversight of Aviation Security (Av Sec) in all UK Overseas Territories.

#### Training, Advice and Support

We provide training, advice and support to UK Governors to promote understanding of the aviation system, the regulatory regime and our role in supporting them. We also provide training and support to OTAA personnel to achieve economies of scale, while helping to sustain competent workforces. In addition, ASSI maintains a set of regulatory competencies which are available for the OTAAs to adapt as appropriate.

In addition to our core tasks, we undertake a co-ordination role on behalf of all Territories. This cuts down on duplication of effort creating efficiencies and saving resource. We update the continuous monitoring tools developed by the ICAO using ICAO's web-based databases. This includes the Compliance Checklists (CCs), filing of differences and responses to ICAO State Letters. We also answer the State Aviation Activity Questionnaires (SAAQs) and PQs for most Territories.

## OUR OPERATING ENVIRONMENT

There are eight UK Overseas Territories with active civil aviation industries; geographically dispersed, these span the North Atlantic, the Caribbean, and the South Atlantic and are highly diverse with unique challenges and opportunities.

The Territories' aviation industries vary considerably both in size and complexity, ranging from those with large passenger airliner operations, multiple airports, aircraft maintenance organisations, and air traffic service units to smaller operators with light aircraft serving non-complex airport locations. The Territories are at differing levels of maturity with respect to aviation regulation, with some having long-standing OTAAs competent to regulate across all safety related technical areas while others have a partial capability or no capability at all.



New Fire Truck, Anguilla

## OUR STAKEHOLDERS

It is important that we build and nurture productive working relationships with all our stakeholders in order to deliver effectively on our remit. Our principal stakeholders include:

- the DfT, which is the UK government department that holds policy lead for civil aviation
- the Foreign, Commonwealth and Development Office (FCDO), which is responsible for ensuring the security and governance of the Territories through the stewardship of the Governors

- the OTAAs, which are responsible for the regulatory safety oversight of their industries
- local industry, which is responsible for meeting international safety and security requirements and managing its safety risks.
- the UKCAA, our parent company

We have a close working relationship with DfT to ensure that we maintain knowledge of its policy position on aviation and can liaise on issues impacting the Territories, specifically those concerning offshore registers where European legislation may be of relevance to Territory-registered aircraft operating in Europe.

Routine video conferences are held with Governors to support them in their safety and security role. We liaise regularly with the UKCAA on a number of initiatives including work on safety promotion, safety management systems, the development of safety performance indicators and safety initiatives in the Caribbean region. We are also able to tap into the UKCAA's expertise in areas where we lack experience or technical competence. Likewise, when we have capacity, we share our resources with the UKCAA to support their international work. This has many benefits for both parties and provides opportunities to enhance our technical knowledge and provide continuation training for our technical experts. We work in partnership with OTAAs to promote and enhance safety, directly and through the Overseas Territories Safety Performance Council (OTSPC), which was set up to agree, *inter alia*, the focus of Overseas Territory Safety Plans, to ensure implementation and to track progress. We aim to support each Territory in the most appropriate way by adjusting our level of involvement according to the local circumstances.



## SECTION 2: CHALLENGES

### POST COVID-19 PANDEMIC

The impact of the COVID-19 pandemic on the aviation industry has been well-documented with massive declines in global passenger traffic and an estimated 46 million job losses in travel and tourism. However, with the success of the vaccination programme and the lifting of travel restrictions in most countries, the outlook for the industry is much more positive. The latest data from the International Air Transport Association (IATA) suggests that overall traveller numbers (counting multi-sector trips as one passenger) will reach 4 billion by 2024, exceeding pre-COVID levels. In 2021, overall traveller numbers were at 47% of 2019 levels and it is expected that this will improve to 83% in 2022, 94% in 2023, 103% in 2024 and 111% in 2025. For international travellers, numbers in 2021 were at 27% of 2019 levels. IATA expects improvements to 69% in 2022, 82% in 2023, 92% in 2024 and 101% in 2025.

Not all markets or sectors are recovering at the same pace, mainly due to continued COVID restrictions in some countries eg China. This has an impact of depressing global passenger numbers even though other markets are largely back to normal. The North America market, an important factor for the Caribbean area, continues to perform strongly in 2022 as its domestic market returns to pre-crisis levels. IATA predicts that passenger numbers in this region will reach 94% of 2019 levels during 2022 and that a full recovery will be seen in 2023, ahead of other regions.

The Latin America region has been relatively resilient during the pandemic and is forecast to see a strong 2022 with very few travel restrictions and good

passenger flows both within the region and to/from North America. IATA expects the 2019 passenger numbers to be surpassed in 2023 for Central America (102%), followed by South America in 2024 (103%) and the Caribbean in 2025 (101%).

While the data and predictions from IATA look positive, what is less clear is the impact of the Russia-Ukraine conflict on the industry. The increase in airline costs as a result of fluctuations in energy prices could hamper recovery.



Aircraft Leaving St Helena Airport

Our experience of the industry in the Caribbean Territories accords with the information from IATA. All Territory airports remained operational during the pandemic as did the airline operators. Historically, these small operators have been remarkably resilient considering the many natural disasters that beset them. Because they are small, with relatively few overheads, they appear to have the agility to change their business models quickly to respond to environmental changes. While aviation activity in the Territories may have reduced slightly through the pandemic, there was no wholesale grounding of aircraft as was the case in other regions. This meant that our industry did not have

the same re-start challenges faced elsewhere in terms of availability of personnel or recency/training issues.

As a team, we have transitioned to a hybrid working practice which offers a combination of home working and office working. We recognise the benefits to team members of working from home in terms of work/life balance and wellbeing and for any future recruitment campaigns where flexible working may help attract a more diverse pool of applicants. We are, however, conscious of the impact of having fewer in-person opportunities to interact and the effect of this on team cohesion, sharing of information and learning through ‘osmosis’. We are also mindful of the wellbeing implications for those colleagues who live alone. Getting the appropriate balance continues to be challenging. We will continue to fine-tune arrangements to try to balance individual needs against those of the team and our ability to deliver effectively and efficiently on our remit.



New ATC Tower, Montserrat

We have made good progress with the training of colleagues who joined us just prior to lockdown and were therefore unable to follow the usual pattern of training due to our inability to travel. At time of writing, only one has outstanding training to complete prior to being assessed as competent to be awarded an authorisation.

Our programme of travel to the Territories for regulatory oversight will shortly be at pre-COVID levels. By the end of the calendar year (2022) we will have visited all Territories, covering oversight of the

range of technical areas as well as delivering training and safety promotional activities.

Analysis of data from regulatory audits, comparing the COVID period and a pre-pandemic period in 2018, shows that a similar number of audits were conducted, with a similar number of findings raised. However, evidence gained through our recent on-site visits indicates a lower level of compliance than would have been expected based on data from our remote audits. This was a consistent picture across the majority of technical areas. We believe this illustrates the limitations of remote auditing. While it had its place during the pandemic, and will continue to be of use in particular circumstances, we do not consider it a replacement for onsite activity. We have identified many challenges with remote auditing, eg IT considerations, the candidness of the auditee, limitations of evidence gathering, lack of opportunity to observe day-to-day activity, and the experience of the auditor in the remote scenario etc. While we see value in continuing to do remote auditing as a means to supplement on-site activity, it is not a viable replacement to in-person oversight. There are many other benefits to being on-site such as relationship building, sharing of safety information, learning and safety promotion all of which underpin the principles of ICAO Annex 19, Safety Management, which makes clear the need for all parties within the aviation system to work together effectively to properly manage safety.

One of the challenges that we have faced post-pandemic is the limited availability of flights to and within the region. Some of the major airlines flying into the Caribbean have reduced or changed their schedules meaning that our choices for getting to the region are more limited. As a result of supply and demand, and rising fuel costs, we are also seeing an increase in prices. In most cases booking well in advance

reduces the prices, but this is not always possible with the nature of our work. For efficiency, we try to plan audits and other work to minimise the number of transatlantic flights, combining visits to multiple Territories. This is efficient financially and is more environmentally responsible. However, flying within the region has always been challenging with a lack of connectivity between islands. As a result, some of the transatlantic cost savings are offset by the need for additional hotel nights.

Our programme of training has continued through the provision of face-to-face courses and webinar support across the technical disciplines. In line with our 3-year rolling programme, we have delivered refresher and continuation training to the team on legislative changes and a workshop on the Governor’s Review process. Safety promotion with industry has covered risk assessment and change management.



Terrance B Lettsome Airport, BVI

Being a small team, resilience planning is an important aspect of our processes to ensure that we have fully trained and competent people. Work on resilience has continued to address risks associated with ‘single points of failure’ within the team. Phase I of this programme has been completed and we are now working on Phase 2. This work allows coverage across most tasks in the event of unexpected short/medium term deficiencies in resources.

We have also invested in a new Learning Management System (LMS) which allows industry and the OTAAAs to access information and provide feedback on our training. The LMS also supports our aims around the sustainability of training events and materials. A training package on the legislative environment within the Territories has been developed for use across the OTAAAs, industry and ASSI, attracting very positive feedback.

Having overhauled our training management system recently, work continues to enhance this to make it as comprehensive as possible. A single repository for all training information with links to our other managements systems has proven very successful.

## INNOVATION AND FUTURE TECHNOLOGY

The pace of developing technology in global aviation is rapid, making it challenging for ICAO and aviation regulators to support industry through the timely creation of regulations to enable novel aviation solutions and approaches. This challenge is even greater for small aviation regulators. We recognise that no single organisation can solve all the complex issues in this area and that working collaboratively with international regulatory authorities will be key to supporting industry in harnessing the social, economic and environmental benefits advancements in technology will bring. While we may be able to use existing regulations to support this activity where suitable, it is important that we remain informed and connected through our team’s engagement with specialists in the CAA and other regulatory bodies. We will be considering this subject in more detail as we refresh our strategic objectives in the coming months.

## EXTERNAL ISSUES

The conflict in Ukraine has had a very significant impact on Bermuda which has a large offshore aircraft register with the majority of aircraft operating in Russia. The regulatory oversight of these aircraft was carried under an Article 83bis agreement between the Bermuda CAA and the Russian regulator. Article 83bis agreements are permitted under the Chicago Convention and are lodged with ICAO. Under the Bermuda/Russia agreement, Bermuda had responsibility for the regulatory oversight of the airworthiness of the aircraft.

The effects of the sanctions placed on Russia by the EU, UK, USA, Canada and other nations led to significant doubts as to the on-going airworthiness status of the aircraft. Bermuda CAA therefore took the decision to provisionally suspend the Certificates of Airworthiness of the aircraft, effectively grounding them, in the interests of safety. The subsequent actions of Russia to unilaterally re-register the aircraft in Russia, in contravention of the provisions within the Chicago Convention, have been well-documented and in September 2021, ICAO flagged Russia with a Significant Safety Concern with respect to Russia's inability to properly oversee aircraft in accordance with international agreed standards. The workload for Bermuda CAA and ASSI has been significant to ensure that due process has been followed and that the sanctions have been complied with. Work continues to assist the aircraft owners to repatriate aircraft.

The Russia-Ukraine conflict has resulted in sharp increases in fuel and energy costs across Europe. The Caribbean region appears to be less impacted currently as it relies mainly on north American supplies of energy. However, there may be wider implications on worldwide economies arising from the

Russia sanctions regime that may over time begin to impact the Territories and their aviation industries.

## ICAO

Over the last eighteen months or so, we have been preparing to be audited by ICAO in late 2022 under its USOAP. This has been a very significant and resource hungry project which has required considerable work within our small team and also extensive coordination with the OTAAAs. The preparation has required the response, backed up with evidence, to over 700 PQs for each Territory ie 8 x 700 PQs. Responses and evidence also needed to be uploaded to the ICAO online framework (OLF), managing this amount of data has been very challenging. We have worked closely with colleagues in the OTAAAs to complete this work and to address any gaps in responses. While ICAO ultimately narrowed the scope of the audit to the UK only, ie excluding the Territories, the work completed is not wasted as ICAO requires all States to answer the PQs and to keep the information within the OLF up-to-date. We will therefore continue to work on any outstanding gaps in our answers and will be devising a system/procedure to ensure that the information remains current. This in itself could be a significant task.



Latam Brasil at Mount Pleasant, Falkland Islands  
Credit: RAF Photographer, Crown Copyright

Assessment visits to OTAAAs to test their compliance with ICAO's critical elements (CEs) of a state safety oversight system were not possible during the pandemic. However, the work to prepare for the ICAO USOAP audit has been invaluable in

giving us insights into the performance of the OTAAs. We have taken the opportunity to amend the Assessment process to include use of the vast repository of information now stored within the ICAO OLF. Our focus will be on reviewing the OTAA's responses to the priority PQs (PPQs) which ICAO defines as questions which "if found not satisfactory, may indicate a lack of capability by a State to identify and/or resolve operational safety and fundamental accident investigation deficiencies effectively". Using these and concentrating our efforts in testing the OTAA's compliance with CEs 6-8 (the implementation of the safety oversight system) will enable us not only to gain assurances of capability but also help with improving responses to the PQs and keeping the data current.



## SECTION 3: STRATEGIC APPROACH

### OUR BOARD

The ASSI Board brings together senior managers in ASSI, the UK CAA and officials from the DfT and the FCDO to set the strategic direction and take the strategic decisions needed to ensure that ASSI has the capability, resources and skills to deliver its objectives and to uphold its values and guiding principles.

The ASSI Board gives corporate and strategic leadership to ASSI by:

- supporting the organisation to deliver its Mission and objectives, by monitoring and challenging performance against the ASSI business plan;
- overseeing and embedding a process of risk identification, assessment and mitigation underpinned by clear articulation of risk appetite that assists ASSI in the delivery of its mission;
- setting and upholding ASSI's values;
- challenging financial performance to ensure efficient management of resources through active scrutiny of trends, spending data and forecasts;
- proactively promoting ASSI's mission and purpose and building the organisation's reputation for professionalism, integrity, inclusivity and delivery;
- promoting a safe working environment to protect the health, safety and well-being of our team.

### OUR STRATEGIC INTENT

ASSI's strategic intent is:

**To enhance aviation safety and security performance and greater regulatory autonomy through positive safety leadership to build competence through training, mentoring/coaching and production of supporting documentation.**

The first part of the strategic intent drives our efforts to progress towards risk and performance-based oversight, in line with ICAO Annex 19, for both our direct regulatory role and in our role as assessor of the local aviation authorities (the assessment process). The second part drives the development of our advisory/support role to build greater competence within industry (again supporting ICAO Annex 19) and to facilitate greater independence in those Territories where there is the political will, financial commitment and desire to be fully designated.

From this strategic intent we have identified three key priorities which we have reflected in our strategic objectives. These flow into our business plan objectives and actions which then inform the personal performance outcomes and development goals for our team. The strategic objectives were last updated in 2019 and will be reviewed during the first quarter of 2023.

## OUR STRATEGIC OBJECTIVES

Progress in these will strengthen our foundations and bolster our capability to meet our core purpose and deliver safety benefits across the Territories.

- **Building team resilience and optimising our governance processes**

**Success looks like:** *Being appropriately structured and resourced to support greater resilience within our team to meet our core purpose; making best use of our team by focussing on being inclusive and harnessing the benefits of our diversity; ensuring our legislation and OTARs reflect ICAO Standards & Recommended Practices (SARPs); having clear and concise processes in place to fulfil our legal obligations giving our stakeholders confidence in what we do; having effective and robust processes for business planning and risk management to ensure that we continue to offer value for money while mitigating risk to the UK; ensuring readiness for ICAO audits to maintain the UK's international reputation.*

**What we have achieved so far:**

*Continued to improve resilience by addressing vulnerabilities arising from 'single points of failure'. This also links with our diversity and inclusivity (D&I) work, supporting greater inclusivity within the team by offering opportunities to learn new skills.*

*Hybrid working charter offering greater flexibility with working arrangements to support Health & Safety (H&S) and wellbeing of team and to promote greater diversity when recruiting.*

*Improving resilience through the creation of 'resilience posts' for key roles considered at risk.*

*A standardised assessment process by senior management of initial training to support authorisation of inspectors.*

*An effective refresher programme for core competencies aligned with the Quarterly staff meetings.*

*Enhanced regular communication with our industry and other stakeholders through greater use of technology.*

*Provided support to the OTAAs in the completion of ICAO Continuous Monitoring (CMA) tools and continuing to update the ICAO OLF.*

*Published legislative amendments to enable Night Visual Flight Rules (VFR) and Commercial Air Transport, Single-Engine Turbine IMC (CAT-SET-IMC) plus enhanced requirements for Safety Data reporting.*

*A revised Statement of Responsibilities has been issued supporting designation of ASSI for Av Sec oversight in Ascension Island.*

*Continue to make improvements to our internal processes to better manage controlled documents.*

*Revised our international travel risk assessment to capture mitigation of changing risks.*

*Review and updating of the Board's Risk Appetite Statements.*

*Providing answers and supporting evidence to ICAO's PQs and ensuring all data was uploaded to ICAO's online system for all eight Territories*

- **Enhancing our oversight system to progress towards a risk and performance-based approach**

**Success looks like:** Being recognised as an efficient, effective and proportionate regulator to support greater compliance from industry; the OTAAs having enhanced their systems and performance through a meaningful and data driven risk assessment process; positive progress with our industry in moving towards a functioning Safety Management System (SMS); harnessing the safety benefits of being a risk and performance -based organisation.

**What we have achieved so far:**

The publication of our National Aviation Safety Plan for our directly regulated Overseas Territories.

More mature remote auditing techniques in place that will continue to be used to augment our on-site auditing of our industry, along with improved on-going monitoring.

Implementation of a revised OTAA Assessment process based on compliance with the ICAO USOAP PQs and CEs 6-8.

Highlighted the challenges associated with modern operating models and involvement in a working group to consider these challenges.

Utilised our revised data-driven safety risk process to inform our oversight programme.

Gathered and analysed safety risk information about all parts of each service provider's operation; to feed into our focus areas for audit and agreed safety performance indicators with all service providers.

Service providers have engaged with risk management for their operation providing

confidence that safety risk controls are in place and effective.

Our internal processes and procedures have been further enhanced and collated into a Regulatory Procedures Manual (RPM) covering all regulatory disciplines.

Quarterly training and standardisation meetings are also in place to ensure the regulatory team keeps up-to-date with processes and changes to procedures within their own disciplines as well as giving them exposure to the wider regulatory task.

All OTAAs now have an electronic management system; as with all systems, these will continuously evolve to support better visibility of process and improved internal coordination and communication. All OTAAs continue to update their individual State Safety Plans focussing on areas relevant to their industry.

- **Promoting modern aviation best practice through targeted influencing and support of stakeholders.**

**Success looks like:** Effective training events achieved via coordination with the OTAAs; tangible evidence of a more mature relationship with industry with open and honest two-way communication; collaborative approaches with other players in the region to promote safety benefits to the Territories; evidence of proactive financial planning by Territory Governments to enable routine infrastructure improvement/ refurbishments; evidence of the effectiveness of training through ownership and proactive risk management within industry; greater collaboration and coordination of aviation functions with those relating to public health, economic growth, transportation and tourism.



**What we have achieved so far:**

*We continue to see tangible progress in the development of open relationships whereby some of our stakeholders are happy to share concerns with us displaying a maturity and level of trust that was not always apparent.*

*The number of infrastructure projects, and new facilities, across our directly-regulated Territories is indicative of the success of our efforts to educate and influence Territory Governments on the need to financially plan for costly projects to ensure airports and facilities remain ICAO compliant.*

*Improved communication with other aviation authorities in the Caribbean region and beyond.*

*Our biannual meetings with the OTAAs have continued remotely whilst recovering from the Covid pandemic.*

*Sharing risk registers with the OTAAs allows us all to learn from each other, sparking ideas for improvements and risk mitigations.*

*The continued delivery of webinars and online training has meant we have been able to continue to keep in contact with OTAA colleagues and provide support where required.*

*Support from the OTAA training contacts has been very beneficial in organising events and getting full attendance.*

*Effective use of internal resources to develop eLearning packages to benefit OTAA, industry and ASSI staff.*

*Initial discussions and liaison with DfT colleagues responsible for Annex 9, Facilitation, issues.*

*Greater communication and liaison with HMG and Environment Agency to assist with environmental aspects of aviation in order to facilitate greater compliance with the UK's Carbon Offsetting and Reduction Scheme for International Aviation (CORSA) commitments.*

## SECTION 4: ASSI OBJECTIVES

The business plan objectives below have been developed to support the strategic objectives.

Below are snapshots giving some of the activities we are working on to achieve each Strategic Objective. The full suite of business actions and business risk actions are listed and monitored through our electronic management system, Centrik.

- **Building team resilience and optimising our governance processes**

**Business Plan Objective:** To ensure that we are appropriately resourced, resilient and structured and have the competence to meet our remit effectively

We will achieve this through *inter alia*:

Ensuring all new team members receive effective induction training; training needs analysis (TNA) is completed; completion of initial training programme and final assessment by a senior manager leading to an Authorisation; completion of core competency refresher training programme for all staff; regularly reviewing our team's profile and keeping our resilience plan relevant and recruiting to it as necessary; continuing to embed our revised structure; incorporating more efficient ways of working through our hybrid working charter; working with the DfT to review the current OTAA charging mechanism and ensuring our business plan properly reflects our priorities and facilitates budgetary approval.

**Business Plan Objective:** To ensure that our processes are effective in meeting legal requirements and DfT's assurance processes.

We will achieve this through *inter alia*:

Protecting our team by proactively managing H&S and well-being risks; handling personal data in line with the requirements of General Data Protection Regulation (GDPR); implementing our internal audit plan and managing the closure of both internal and external findings; updating and publishing the governance documents relating to ASSI; improving identified governance processes and, meeting the accessibility requirements.

**Business Plan Objective:** To ensure that our Business Planning and Risk processes are effective in managing risk in accordance with our Board's risk appetite

We will achieve this through *inter alia*:

Improving the functionality of Centrik through routine liaison with the provider; reflecting the Board's refreshed risk appetite; reviewing and updating our Strategic Objectives to ensure they continue to be relevant; working to further embed our risk process and equip the team to have richer discussions particularly around safety risk; and, revising our Crisis Management /Business Continuity Plan to capture lessons learned from natural disasters.

**Business Plan Objective: To ensure readiness for ICAO audits and maintain the UK's international reputation.**

We will achieve this through *inter alia*:

Proactively planning to ensure sufficient time and resource is available; actively participating in the DfT's governance processes; engaging with ICAO on a variety of fora to ensure that we represent the interests of the Territories and the UK; working with DfT to develop an acceptable process for on-going upkeep of the CMA; updating the ICAO CMA tools and working with the OTAAs to ensure that their data is relevant; ensuring that the OTs are represented in the ICAO Regional Office's Global Air Safety Plan (GASP) work; coordinating ASSI and OT responses to ICAO State Letters for inclusion in an overall UK response; testing the revised OTAA Assessment process to ensure it provides confirmation of OTAAs satisfactory compliance with the ICAO PQs and ICAOs CEs; and, formalising our relationship with the Federal Aviation Authority (FAA).

**Business Plan Objective: To produce and maintain legislation and a set of regulatory requirements and processes that meet ICAO SARPs in a timely manner while not over-regulating service providers.**

We will achieve this through *inter alia*:

Ensuring legislative instruments and OTARs are up-to-date and reflect ICAO SARPs; educating Governors, Attorney Generals and police commissioners on local aviation prosecution responsibilities; putting in place a Legislative Plan; and, producing and maintaining effective Unmanned Aircraft System (UAS) and cybersecurity regulations that are comparable to other National Aviation Authorities (NAAs), in the absence of ICAO SARPs for these areas.

- **Enhancing our oversight system to progress towards a performance and risk-based approach**

**Business Plan Objective: To maintain efficient and effective regulatory and assessment oversight systems**

We will achieve this through *inter alia*:

Continuing to conduct no notice/short notice audits and implementing processes to review documents outside the audit cycles; efficient processing of all approvals, permissions, exemptions, deviations and occurrence reports; taking fair, proportionate, timely and documented enforcement action when necessary and being clear with industry on our expectations; representing ASSI and the Territories at the State Safety Board (SSB) and at the SSB's International Sub-committee on offshore aircraft operations to provide input to the formulation of UK-wide policy/guidance including for Principal Place of Business criteria and, continuing to work with DfT, Ministry of Defence (MoD) and Ascension Islands' authorities to ensure an effective aviation security oversight process for Ascension Islands.

**Business Plan Objective: To become a performance & risk-based organisation within an ICAO Annex 19 State Safety Programme (SSP) context**

We will achieve this through *inter alia*:

Continuing to develop a risk and performance picture based on information gleaned from audits against the Centrik checklists and occurrence data augmented by other intelligence and insights from our team; migrating to oversight based on the developed risk picture; revising guidance material that is influenced by the risk and performance picture; and using the safety performance indicators and targets in our new National Aviation Safety Plan that supports the UK State's SSP.

**Business Plan Objective: To drive the development of effective ICAO Annex 19 Safety Management Systems (SMSs) within our directly regulated Service Providers**

We will achieve this through *inter alia*:

Implementing our National Aviation Safety Plan; continuing to nurture the competence and confidence of our industry to help them establish all elements of an ICAO Annex 19 SMS; working with industry to achieve a functioning ICAO Annex 19 SMS commensurate to their size and complexity of their operation; increasing one-to-one support to industry through targeted meetings on hazard logs, safety meetings and occurrence reporting; and, promoting greater awareness and understanding of just culture principles.

**Business Plan Objective: To undertake assessments of the OTAA's taking a performance & risk-based approach**

We will achieve this through *inter alia*:

Adding value to the work of the OTAA's through proportionate and meaningful assessments of the OTAA's focussing on areas of greatest risk to ensure public interests and DfT's ICAO responsibilities are met; and, in consultation with the OTAA's, implementing the revised assessment process to introduce a more structured approach including elements of the ICAO CMA, having provided training to ASSI staff to ensure effectiveness.

- **Promoting modern aviation best practice through targeted influencing and support of stakeholders.**

**Business Plan Objective: To develop an effective communication strategy**

We will achieve this through *inter alia*:

Bolstering our communication and engagement with those able to influence safety improvements relevant to the Territories; monitoring and engaging in appropriate regional fora, liaising and collaborating with ICAO, FAA, Eastern Caribbean CAA (ECCAA), and Dutch and French regulators, to benefit the UK Territories; and, in light of Covid-19 experience, working with HMG and Territory Governors and Governments to establish processes for more effective coordination and collaboration across non-aviation areas of Territory Governments.

**Business Plan Objective: To support Governors in influencing Overseas Territory governments to meet ICAO requirements.**

We will achieve this through *inter alia*:

Engaging with Territory Governors and their teams to establish good working relationships which focus on areas where Territory Government intervention and support is required, for example, enforcement; supporting Governors in their role of mitigating UK risk; working with the DfT to support their work on a gap analysis of Annex 9 compliance in the Territories; supporting DfT and the Environment Agency in their collaboration with OTs; and engaging with ICAO to ensure representation from Territories.

**Business Plan Objective: To target safety promotion according to industry risk pictures.**

We will achieve this through *inter alia*:

Enhancing safety through tailoring safety promotion activities to target areas for improvement in organisations; evaluating industry's mitigation against aviation safety risk based on data which will drive future safety promotion activity; and, providing effective and reusable training for industry, thus offering value for money.

**Business Plan Objective: To support OTAAs in meeting ICAO requirements regarding a competent workforce.**

We will achieve this through *inter alia*:

Working closely with the OTAAs to design an Overseas Territories group training plan covering common training needs which takes into account risk data; using quarterly meetings to plan and review the effectiveness of training with the OTAAs; working to ensure our training management system is efficient; developing new approaches to online training to ensure that training resources are re-useable and sustainable.

**Business Plan Objective: To support HMG's wider strategic aims and policies where they impact on the Overseas Territories**

We will achieve this through *inter alia*:

Working with the DfT on developing policy and guidance to ensure greater understanding of modern operating models and checking that these meet legal tests; enhancing the assessment process to measure against such policy and guidance; acting on any opportunities for the Territories in relation to new technology, spaceports and travel; and supporting DfT's wider safety and environmental agenda.

## SECTION 5: RESOURCES

### OUR TEAM

For Financial Year (FY) 2023/24, the number of staff has increased by one bringing the total to 22.3 fulltime equivalent (FTE) positions. This includes the part-time Chair and three ASSI-board approved resilience roles. The resilience roles are funded through the ASSI reserves as per the agreement with DfT.

### REQUIRED BUDGET

The overall budget required for 2023/24 is £3.6M reflecting an increase of £246K on the previous year. This is primarily due to CAA-wide increases in employment costs, including National Insurance and pension contributions, increased utilities and fuel costs and rises in the cost of insurance. We have tried to offset these as much as possible by finding savings in other areas.

We have very few variable costs with travel and related expenditure (TRE) and training being the main ones. We will continue to ensure prudent financial control by containing spending as much as possible, making best use of technology to connect with our stakeholders where practicable, while still delivering against our remit.

### Funding

The funding model for ASSI agreed with all the Territory Governments splits the ASSI budget into two distinct parts:

- The costs associated with the regulation of industry in those Territories which rely on ASSI's support in this area i.e. Regulatory Charges.

AND

- The Framework Charge for the bespoke regulatory system that ASSI maintains in support of all Territories.

DfT contributes 75% of the Framework Charge with the remainder apportioned to the Territories based on a formula held by the DfT. The DfT pays all of the Aviation Security budget. At the end of the FY, once actual costs are known, any over or under-spends are calculated and any required adjustments are made to the costs for the next FY.

### Financial Risks

The 2023/24 draft budget has been constructed based on the most up-to-date information available, including current trends and predicted direct regulation work. Any unpredicted work could result in increased costs and may require additional funding from the DfT and the Territories.

Due to the unprecedented demands on public spending, there is the risk that the DfT may not be able to fully fund our activities. There is also the risk that some Territories may not make their full contribution towards ASSI's funding. While this risk sits with the DfT as the Territories pay the DfT for ASSI's work, it could exacerbate the impact of any squeeze in public funding. In such circumstances, utilising reserves could mitigate the risk depending on the size of any shortfall. If reserves were insufficient, we may have to reduce activity, making clear the consequences in terms of safety/security performance and reputational risk to the UK.

With resilience posts, there is a risk of a likely retiree deciding to continue working. Resilience posts are funded through reserves.

Air Safety Support International Income Statement	2022/23 BUDGET			2023/24 BUDGET		
	AVSEC £'000	OPS £'000	TOTAL £'000	AVSEC £'000	OPS £'000	TOTAL £'000
Framework/Direct Regulation	260	2,921	3,181	339	2,996	3,335
Funding Release from Reserves		179	179	90	180	270
<b>TOTAL INCOME REQUIREMENTS</b>	<b>260</b>	<b>3,100</b>	<b>3,359</b>	<b>429</b>	<b>3,176</b>	<b>3,605</b>
<b>OPERATING COSTS</b>						
<b>Employment Costs</b>						
Basic Salaries and allowances	140	1,332	1,471	212	1,417	1,629
Employers NI contributions	16	150	166	27	175	202
Pensions costs	12	217	228	20	237	257
Other	1	16	17	1	18	19
<b>Total Employment Costs</b>	<b>168</b>	<b>1,714</b>	<b>1,882</b>	<b>260</b>	<b>1,847</b>	<b>2,107</b>
<b>Services and Materials</b>						
Telephone		10	10	1	10	11
Rent and Rates		143	143	15	134	149
Utilities & Fuel		12	12	2	18	20
Outsourced Services		3	3	0	3	4
Hire costs		20	20	2	18	20
Software Purchasing & Licensing		25	25	3	24	26
Other		7	7	1	8	9
<b>Total Services and Materials</b>	<b>0</b>	<b>221</b>	<b>221</b>	<b>24</b>	<b>215</b>	<b>239</b>
<b>Repairs and Maintenance</b>						
Building Maintenance		1	1	0	1	1
IT Hardware & Support		5	5	1	5	5
Other						
<b>Total Repairs and Maintenance</b>	<b>0</b>	<b>6</b>	<b>6</b>	<b>1</b>	<b>6</b>	<b>6</b>
<b>Total Research and Development</b>						
<b>Total Depreciation and Disposals</b>		<b>17</b>	<b>17</b>	<b>2</b>	<b>16</b>	<b>18</b>
<b>Total Irrecoverable VAT</b>	<b>1</b>	<b>45</b>	<b>46</b>	<b>5</b>	<b>43</b>	<b>48</b>
<b>Other Operating and General</b>						
Training & training related travel	35	185	220	45	155	200
Travel & Related Expenses	56	312	368	40	311	351
Professional fees		110	110		110	110
Insurance		70	70	10	92	103
Other		12	12	2	21	23
<b>Total Other Operating and General</b>	<b>91</b>	<b>689</b>	<b>780</b>	<b>98</b>	<b>689</b>	<b>787</b>
<b>Total Direct Costs</b>	<b>259</b>	<b>2,693</b>	<b>2,952</b>	<b>389</b>	<b>2,816</b>	<b>3,205</b>
<b>Intragroup Cross Charges In / (Out)</b>		<b>407</b>	<b>407</b>	<b>40</b>	<b>360</b>	<b>400</b>
<b>TOTAL OPERATING COSTS</b>	<b>259</b>	<b>3,100</b>	<b>3,359</b>	<b>429</b>	<b>3,176</b>	<b>3,605</b>
<b>PROFIT/(LOSS)</b>	<b>(0)</b>	<b>0</b>	<b>(0)</b>	<b>0</b>	<b>0</b>	<b>0</b>