CIVIL AVIATION AUTHORITY STRATEGIC PLAN

2006 - 2009
## TABLE OF CONTENTS

<table>
<thead>
<tr>
<th>Content</th>
<th>Page</th>
</tr>
</thead>
<tbody>
<tr>
<td>CONTEXTUAL BACKGROUND</td>
<td>3</td>
</tr>
<tr>
<td>BACKGROUND OF CAA</td>
<td>5</td>
</tr>
<tr>
<td>VISION STATEMENT</td>
<td>10</td>
</tr>
<tr>
<td>MISSION STATEMENT</td>
<td>11</td>
</tr>
<tr>
<td>STRATEGIC OBJECTIVES</td>
<td>13</td>
</tr>
<tr>
<td>EXECUTIVE OVERVIEW</td>
<td></td>
</tr>
</tbody>
</table>
VISION

Regulatory Excellence in Aviation Safety and Security

MISSION STATEMENT

CAA is committed to providing efficient, effective and economic aviation safety and security by

i) ensuring compliance and enforcement of regulations consistent with global best practices

ii) promoting voluntary compliance

iii) active participation and regulatory cooperation in AFI

iv) overseeing the functioning and development of the industry

v) creating a knowledge base and customer-focused organization operating a sustainable business model

STRATEGIC GOALS

1. To ensure that internationally comparable safety and security regulations and standards are in place and they are effectively enforced

2. To oversee industry functioning and Development in line with international safety standards including the enforcement of environmental protection regulations

3. To ensure the required Human, Financial and systems capacity is developed and utilized to effectively support the objectives of a customer centric organization.
1. CONTEXTUAL BACKGROUND OF THE AVIATION INDUSTRY

Transport is not only a significant sector of the South African economy but its future prosperity will continue to depend on it helping people and goods move as efficiently as possible. Rising prosperity means the demands on transport system will continue to increase year on year.

Speaking at the Sun City during the African Union transport ministers in February 2005, President Thabo Mbeki aired grave concerns about substandard airline services while addressing the meeting. He commented that "Airlines are often unreliable, with frequent cancellations that are not only inconvenient but also unproductive. Raising safety standards is a key challenge for improving the transport infrastructure of the continent. Although Africa only accounts for 3 percent of global air traffic, 27 percent of all fatal air accidents occurred on the continent last year, Mbeki said. We have committed ourselves to reduce accidents 50 percent by 2010, but this requires steadfast decisions in the areas of upper airspace management, maintenance, and operations on the ground" He added that the 2010 World Cup soccer tournament to be held in South Africa also presented an urgency on early improvement of the civil aviation service.

It is widely believed that the reform of Africa's aviation industry should be speeded up through the implementation of a 1999 agreement by African leaders in Yamoussoukro. Implementation of the treaty was planned for 2002, but has been stalled by a lack of political will. Critics have opined that chances are that it (the treaty) is not going to take off anytime soon. That is because many governments are nervous about the effect of the decision on their flag carriers, said the newspaper. The Director Of Communications at the in Department of Transport, Collen Msibi, also viewed that "another reason of this reluctance is the concern over safety, which could be compromised by unregulated competitions if high safety standards fail to catch up with the market's opening up...Finding a solution that achieves the desired end of open skies, without compromising civil aviation safety, is a challenge African countries must face The general consensus was for general cooperation, sometimes even by integration, between and within countries,"

During the International Aviation Security Screening Symposium, in Pilanesburg, from 6-18 February 2005, Mr Jeff Radebe, Minister of Transport, highlighted that security is environment is multi-layered and multi-dimensional and aviation assets, such as aircraft and airports require special attention. He asserted that "they require a range of integrated activities, procedures and responses, taking into account the fact that it is at this "first line of defence" situation, that any security system encounters numerous stresses and strains, precisely because we are dealing with large numbers of people, from sightsseers and plane spotters, to passengers, associates of passengers, people in transit, in employment and all with varying degrees of access and security clearance"
One interesting point he made was that the distinctions between safety and security can become blurred, and often are blurred in the minds of the general public. "But it is in this area where much of concern must be directed, and our investment in preventive and interdiction investments must be placed, to avoid as much as possible the aircraft and the airside areas of airports themselves to become open to attack, or indeed, instruments of attack themselves. As one report calls it, we must secure the whole environment "from curbside to cockpit… For us, the task is to achieve the means to secure our airspace, our aviation assets including aircraft and airports, and to ensure that ground-based infrastructure, communities and environment retain their integrity…Securing our airspace, for example, requires the integration of a range of government and non-government departments, agencies and actors; operating, responding and reacting within a given set of clearly understood and communicated procedures and protocols; and deploying a wide range of platforms and systems drawn from a variety of sectors, and conforming to specified rules of engagement. Above all, we need to have a responsive command and control environment based on the ability to create and distribute a real-time, identified, accurate and relevant air situation picture that incorporates an optimal physical air picture with an optimal operational air picture”.

Alluding to a Commission Of Enquiry Report on the 9/11 bombings in the New York the Minister shared that “Interestingly, the 9/11 Commission found that "the 9/11 attacks revealed four kinds of failures: in imagination, policy, capabilities, and management." If we use those categories as principles that inform the way we look at the bigger picture I am sure that we will be able to fulfill the mandate we have from those who place their lives and security in our hands on a daily basis”.

It is generally acknowledged, though, that aviation remains the safest mode of transport in the world, notwithstanding the tragic 9/11 in the USA. The aviation security measures currently in place in South Africa should provide a high level of comfort to the travelling public that considerable effort and resources are spent to ensure safety in the air. The tragic events in the USA on September 11 2001 will undoubtedly have an indelible mark on the approach which; airlines, airports, regulators and the general public adopt towards aviation security matters and have fundamentally altered public sensitivities around aviation security.

The International Civil Aviation Organization’s (ICAO) tri-annual Assembly, held in Montreal between 24 September and 5 October 2001, adopted two important resolutions on aviation security. The first resolution condemned the misuse of civil aircraft as weapons of destruction and other terrorist acts involving civil aviation. This resolution also urges States to hold accountable and severely punish those responsible. The second resolution covered such areas
as enhancement of technical security measures, full implementation of ICAO standards and enhanced cooperation and coordination between States.

In South Africa, the Civil Aviation Authority is responsible for establishing the aviation security standards and monitoring compliance by ACSA and other airports, airlines and other civil aviation bodies as part of licensing requirements.

Johan Van Rensburg, the aviation industry specialist at the US Embassy, was quoted by the Business Day Newspaper on Monday, February 7, 2005 as saying “With flight safety… a lot has to be done to increase collision avoidance in Africa. About five years ago they introduced mandatory flight avoidance, or accident avoidance equipment on all commercial aircraft - but we’re still way above the mean average… Profit margins have been squeezed in Africa. As you know, two airlines in Mozambique were recently banned from French airspace. The Italians have a different approach - they would rather profile the ones who are above the benchmark in terms of flight safety. It’s going to be a long process for some airlines to get up to scratch in terms of world standards, but we can certainly be proud of our general and commercial aviation industry in South Africa. The further south you fly in Africa the better the airports get, and certainly in South Africa it’s a world-class service that we’re offering here. Again, aviation is very safe in South Africa, and that covers business aviation, commercial aviation and utility services”.

He further stressed that “The ability of foreigners to get around, and the regulatory environment that governments provide for flight safety is seen as indicative of that government’s capacity to actually govern, and create an environment for businesses to do business. This, therefore, means that the South Africa Civil Aviation Authority (CAA) has monumental role to play if the aviation industry in South Africa is to be safe and secure”

2. BACKGROUND OF CAA

2.1 Mandate

The South African Civil Aviation Authority (CAA) was established on 1 October 1998 following the enactment of the South African Civil Aviation Authority Act, No.40, in September of the same year. The Act provided for the establishment of a stand-alone authority charged with promoting, regulating and enforcing civil aviation safety and security. The objects of the Authority, as enunciated in the Act are

i) to control and regulate civil aviation in the Republic and

ii) to oversee the functioning and development of the civil aviation industry,
and, in particular, to control, regulate and promote civil aviation safety and security.

The creation of the CAA reflected the Government's then priorities of policy development, economic restructuring, addressing social inequalities and reducing the burden on the general taxpayer by expanding the application of the "user-pays" system. A further motivation in setting up a stand alone civil aviation regulatory authority was done in line with international trends in the aviation world where more and more states implemented this option.

2.2 Corporate Governance
The Authority is governed by a Board of Directors appointed by the Minister of Transport and is representative of aviation industry, management and business expertise. Through a Performance Agreement with the Minister, the Board is accountable for the performance of the Authority in carrying out its statutory functions and achieving objectives. The National Department Of Transport will monitor the activities of the Authority.

2.3 Management

The management of the CAA has been structured along three core responsibility levels. The Strategic Management level which constitutes the Executive Management, Project Management level which together with the Executive Management constitutes Senior Management and the Operational level which is organized according to technical departments.

The key role for the Executive is the strategic leadership of the organization and the co-ordination of policy formulation. The Executive’s function is to develop and maintain positive links with the industry and to co-ordinate the CAA’s international relations with organizations such as SADC, ICAO, AFCAC, and other CAAs.

The Project Management level co-ordinates the technical activities of the key areas of oversight – Aircraft, Airports, Airspace and Personnel. Oversight of Operations is co-ordinated by Personnel and Aircraft respectively.

Technical departments report to the areas of oversight relevant to their specific activities. This means that depending on the activity a technical department may report to a different oversight area. Within each area of oversight, the key responsibilities are to set, monitor and enforce standards, as well as to promote safety.
2.4 Areas of Oversight

The roles and responsibilities of the CAA revolve around the following nine areas of oversight:

i) **Airport** oversight involves the certification of airports and heli-ports and monitoring civil and electrical engineering matters in relation to infrastructure on and around airports such as, lighting, navigational aids, their repair and maintenance.

ii) **Airworthiness** oversight is concerned with ensuring that all aircraft that fly in our airspace are airworthy to conduct such flights (fit for flight).

iii) **Certification** oversight deals with all certification activities in relation to aircraft products and parts. This includes the granting permission for new aviation products to be imported into the country.

iv) **Personnel** oversight involves examining, licensing and training of aviation personnel. All relevant organizations and services are monitored to ensure that personnel and standards meet international standards.

Oversight of **Operations** is carried out in terms of monitoring information contained in the operations manuals of every operator to ensure compliance with relevant legislation.

v) **Airspace** oversight ensures the effective management and provision of air traffic services through the allocation of airspace by the statutory consultative body, the National Airspace Committee (NASCOM).

vi) **Accidents and incidents investigation**, while technically not an area of oversight, is a key activity of the CAA carried out on behalf of Government. Investigations are conducted to determine the cause of aircraft accidents, and to recommend measures to prevent recurrence. Other key functions also include monitoring of trends regarding aircraft accidents and incidents, identification of potential problem areas, possible safety deficiencies and proposing safety recommendations to the CAA.
The *Flight Inspection* division does not fall under a specific area of oversight. The function of this division is to calibrate the radio navigational aids used by aircrafts to ensure accuracy and reliability. Many of these tests are performed on the ground, but to ensure that the radio signals are interpreted accurately by aircraft receivers, it is also necessary to perform airborne tests on the ground equipment.

The Information Services division provides aeronautical information to the industry and also meets the information needs of the organization.

The establishment of a stand alone authority has resulted in the CAA widening its oversight functions and becoming more visible in the industry. Entering the corporate sphere accelerated the introduction of professionalism, accountability and integrity in the inspectorate and indeed the whole organization.

CAA has rightfully claimed its position as a regional leader in the aviation regulatory sector in our region, the Southern African Development Community (SADC). The CAA has hosted dozens of regional meetings and conferences since 1994 and is in the driving seat of regional efforts to harmonize aviation regulations in the region, and improving the level of aviation surveillance in member states.

Also, in 2003, South Africa was elected to be a member of the International Civil Aviation Organisation (ICAO) council, a move that sees the country participating at the highest forum with regards to aviation matters.

### 2.5 Funding and Cost-recovery

The CAA is funded by a combination of direct and indirect fees and Government funding for the investigation of aircraft accidents. User fees are based on the recovery of the costs to the Agency of providing the relevant direct services. This approach will create a more efficient and cost-effective regulatory regime and a safer civil aviation system.

### 2.6 International Conventions
South Africa is a signatory to

i) the Chicago Convention on International Civil Aviation 1944 and associated annexes, hereafter called the Convention,

ii) Tokyo Convention on Offences and Certain Other Acts Committed on Board Aircraft, 1963,

iii) The Hague Convention for the Suppression of Unlawful Seizure of Aircraft, 1970, and


South Africa has also ratified

i) the Protocol for the Suppression of Unlawful Acts of Violence at Airports Serving International Civil Aviation, 1988, supplementary to the Montreal Convention and


2.7 Legislative Instruments Governing the CAA

- Air Services Licensing Act, No.115 of 1990
- Air Services Licensing Amendment Act, No.15 of 1992
- Air Services Licensing Amendment Act, No.83 of 1995
- Air Traffic and Navigation Services Company Act, No.45 of 1993
- Airports Company Act, No.44 of 1993
- Airports Company Amendment Act, No. 2 of 1998
- Aviation Act, No.74 of 1962
- Aviation Amendment Act, No.12 of 1965
- Aviation Amendment Act, No.83 of 1969
- Aviation Amendment Act, No.64 of 1980
- Aviation Amendment Act, No.63 of 1981
- Aviation Amendment Act, No.4 of 1982
- Aviation Amendment Act, No.1 of 1984
- Aviation Amendment Act, No.16 of 1992
- Aviation Laws Amendment Act, No.98 of 1996
- Aviation Laws Amendment Act, Act 82 of 1997
• Carriage by Air Act, No.17 of 1946
• Carriage by Air Amendment Act, No.5 of 1964
• Carriage by Air Amendment Act, No.81 of 1979
• Civil Aviation Offences Act, No.10 of 1972
• Civil Aviation Offences Amendment Act, No.63 of 1978
• Civil Aviation Offences Amendment Act, No.4 of 1981
• Convention on the International Recognition of Rights in Aircraft Act, No.59 of 1993
• International Air Services Act, No.60 of 1993
• International Air Services Amendment Act, No.10 of 1996
• South African Civil Aviation Authority Act, No.40 of 1998
• South African Civil Aviation Authority Levies Act, No.41 of 1998

3. VISION

The "vision" declares the CAA’s aspirations, and identifies what it is striving to become in the years ahead.

CAA therefore envisions, within South Africa,

VISION STATEMENT

REGULATORY EXCELLENCE IN AVIATION SAFETY AND SECURITY

The critical success factors for this excellence will be an environment where there is effective partnerships with our customers and stakeholders, being innovative, accountable and responsive, valuing our employees and being proactive to ever evolving change within the aviation industry.

3. MISSION
A mission statement translates the vision into the direction and purpose of the CAA with the following fundamentals

a) help CAA to focus its strategy by defining some boundaries within which to operate.

b) define the dimensions along which CAA’s performance is to be measured and judged.

c) suggest standards for individual operational behavior i.e efficiency and effectiveness.

### MISSION STATEMENT

CAA is committed to providing efficient, effective and economic aviation safety and security by

vi) ensuring compliance and enforcement of regulations consistent with global best practices

vii) promoting voluntary compliance

viii) active participation and regulatory cooperation in AFI

ix) overseeing the functioning and development of the industry

x) creating a knowledge base and customer-focused organization

xi) operating a sustainable business model