

ESTABLISHED STRONG AND MORE EFFICIENT CAA

3rd AFI CIVIL AVIATION SAFETY AND SECURITY

(Malabo - EQUATORIAL GUINEA, from 27th JUNE to 01st JULY 2016)

Presented by:

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ANAC-TOGO Director General

CHALLENGES IN ESTABLISHING STRONGER AND BETTER ESTABLISHED CAAs



Plan

- 1. Introduction**
- 2. Primary Legislation and Specific Operating Regulations**
- 3. State system & functions and Qualified technical personnel**
- 4. Technical guidance, tools and provision of safety-critical information**
- 5. Licensing, certification, authorization and/or approval obligations/Surveillance obligations/Resolution of safety issues**
- 6. Establishing State Safety Programme and Quality Management System,**
- 7. Preparation and Follow-up of ICAO USOAP CMA audit activities**
- 8. Conclusion**

1. Introduction

ANAC TOGO AT GLANCE

ANAC TOGO Was Created by Act No. 2007-007 of 22nd January 2007 relating to aviation law. A new law No. 2016-011 was adopted the 05.25.2016 and promulgated by the President of the Republic on 06/07/2016. ANAC - TOGO is a public administration with autonomous financial and management. ANAC TOGO performs safety and security oversight and participates to the air transport development. The current organization is present as follows:

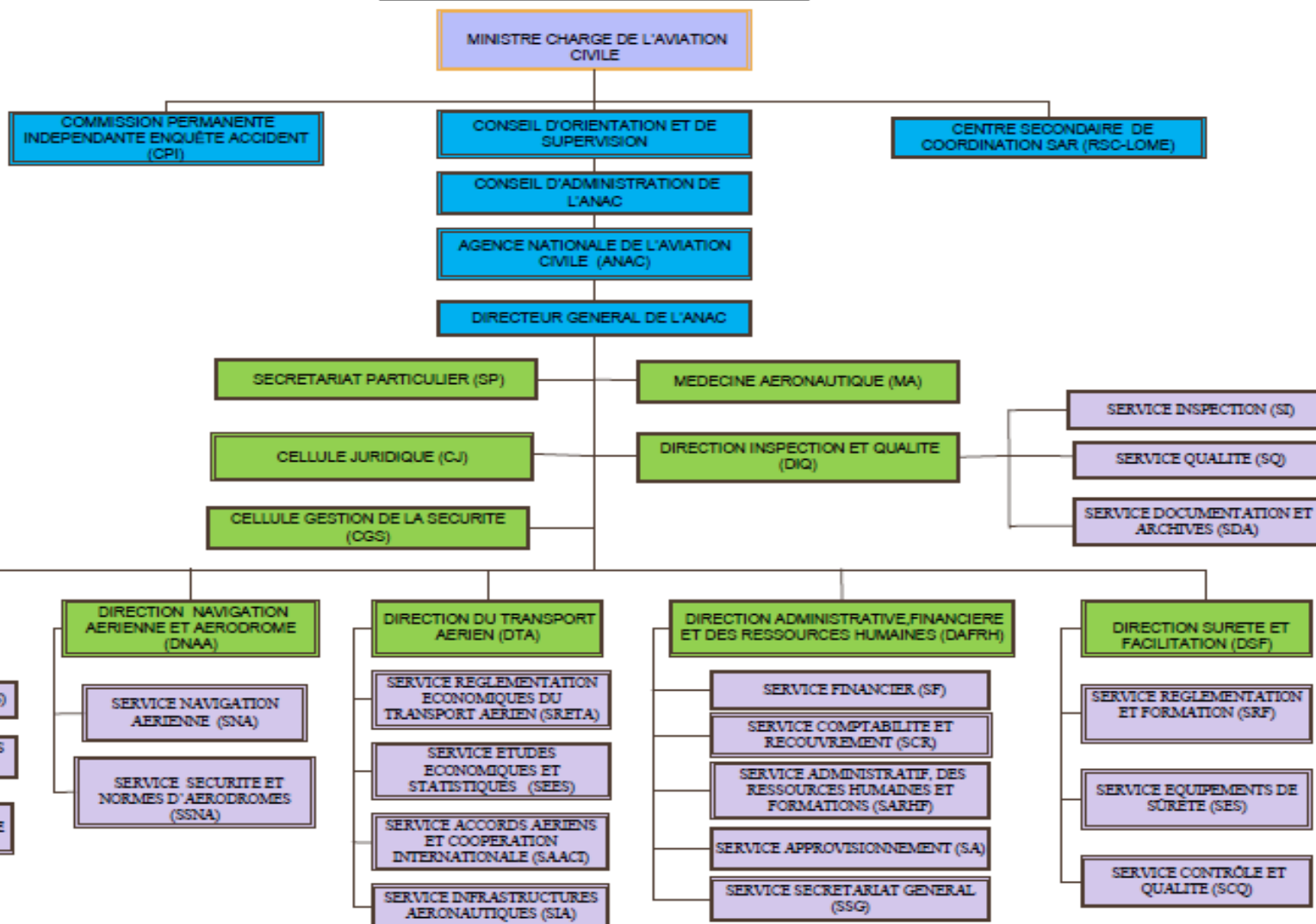
- 1 Director General, 6 Directors (DIQ, DCSV, DNAA, DTA, DAFRH et DSF) et 2 Units (Juridical and Safety Management)**
- 49 employees with 33 cadres (Senior and Juniors)**
- 34 Safety & Security Inspectors (internal and External)**
- Effective application of law and regulation thanks to highly qualified personnel**

1. Introduction

ANAC TOGO ORGANIZATION CHART



ORGANIGRAMME DE L'ANAC



1. Introduction

SAFETY OVERSIGHT ABILITY

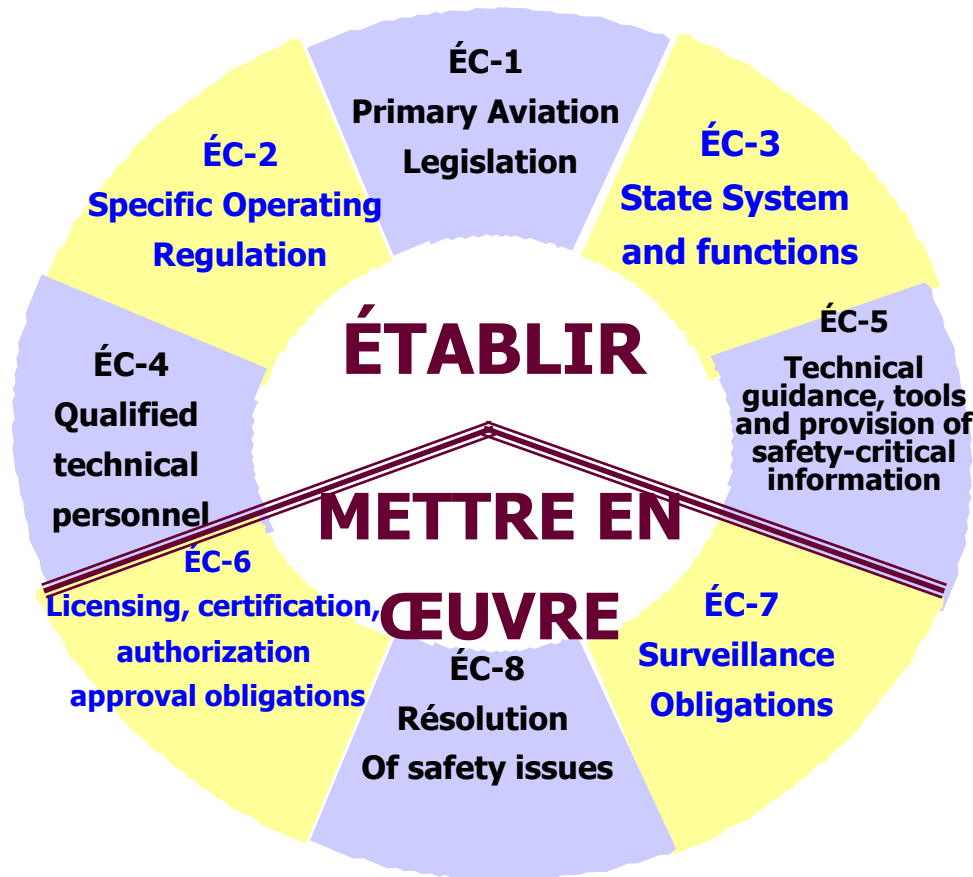
ANAC - TOGO was the subject of four (04) ICAO Safety Oversight Audit:

- ✚ **From 8th to 10th April 1997 : A safety audit on ICAO Annexes 1 , 6, 8 and 13.**
- ✚ **From 25th to 31th January 2000 : A safety audit (follow up) based on previous audit.**
- ✚ **From 19th to 26th February 2007: a complete safety oversight USOAP audit (CSA) based on full safety annexes (1, 2, 3, 4, 5, 6, 7, 8,10,11, 12, 13, 14, 15, 16, 18) with an Effective Implementation (EI) of 62,85%**
- ✚ **From 18th to 24th May 2016: an USOAP CMA ICVM audit covering 7 areas LEG, ORG, PEL, OPS, AIR, ANS et AGA with an Effective Implementation (EI) of 86,55%**

1. Introduction

CONSTRAINT FOR ESTABLISHING BETTER AND STRONGER CAA

The challenges for establishing better and stronger CAA are mainly linked to effective establishment and operational safety defences which are the eight (08) critical elements of safety and security 5 oversight system :



1. Introduction

CRITICAL ELEMENTS AS FONDAMENTAL OF CIVIL AVIATION SYSTEM

Civil Aviation Authority



CE-1/CE-2
Law and Regulation

CE-3/CE-4
Organisation, Res-
Sources and Qualifications

CE-5
Procedures, Guidances
Check-list, tools

CE-6/CE-7/CE-8
Certification/Surveillance and
resolution of safety issues

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2. Primary Legislation and Operating Regulations

CIVIL AVIATION PRIMARY LEGISLATION

The fundamental civil aviation law must be adapted and take into account the size and complexity of aeronautical activities. Its must allow to:

- ❏ Create an autonomous civil aviation authority with all safety and security oversight functions
- ❏ Définir all necessary ressources for autonomous civil aviation administration (Budget, finances, fees....)
- ❏ Take into account all provisions of Chicago convention and all CE-1 USOAP CMA audit protocoles questions (PQs)
- ❏ Définir provisions in law for enforcement measures;
- ❏ Définir Inspectors and qualifications criteria;
- ❏ Take into account SSP/SMS and accients/incidents investigation authority.

2. Primary Legislation and Operating Regulations

SPÉCIFIC OPERATING REGULATIONS

The CAA must establish and adopt specific operating regulation pursuant to his primary aviation legislation. These operating regulation must:

- ☒ Implement ICAO SARPs provisions.
- ☒ Take into account all USOAP CMA CE-2 protocols questions (PQs).
- ☒ Take into account new technologies (example: Remotly-Piloted Aircraft) and emerging safety and security issues.
- ☒ CAA must put in place mechanism to regularly update his regulation according to ICAO SARPs amendments.
- ☒ CAA must identify and notify to ICAO pursuant to Chicago convention article 38, all différences between his regulation and ICAO SARPs via CC/EFOD tool of OLF USOAP CMA. Significant différences must be published in AIP.
- ☒ CAA must also put in place mechanism for issuance of exemptions according to applicable requirements.

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3. System & Functions and Qualified technical personnel

NATIONAL CIVIL AVIATION ORGANIZATION SYSTEM

The civil aviation authority shall have goals and set deadlines, means and resources (human , financial and material) needed to achieve them. The objectives should take into account of regional targets (eg Objective Abuja) and ICAO targets.



The authority must recruit in quantity (sufficient number) and quality (highly qualified and experienced staff).

To have sufficient and appropriate staff , there must be an effective procedure / mechanism for determining effective to cover all safety and security oversight areas . This mechanism shall take into account the size and complexity of the civil aviation system in the State,

To have a qualified personnel, the authority shall have a program and individual training plan for safety and security technical staff. The program and training plan shall include initial training, specialized training , on the job (OJT) and continuous training (periodic and recycling).

Training records and training evaluations shall be documented and archived properly

CAA must retain qualified staff recruited and trained.

3. System & Functions and Qualified technical personnel

NATIONAL CIVIL AVIATION ORGANIZATION SYSTEM

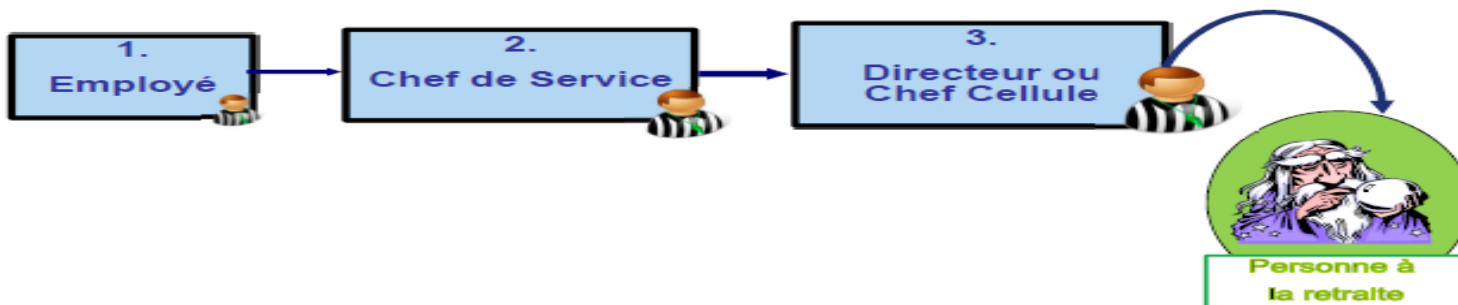
To retain staff, you need a consistent salary, social conditions and attractive promotions :



Plan de Carrière adéquat pour le Management

PLAN DE CARRIERE POUR LES DIRIGEANTS

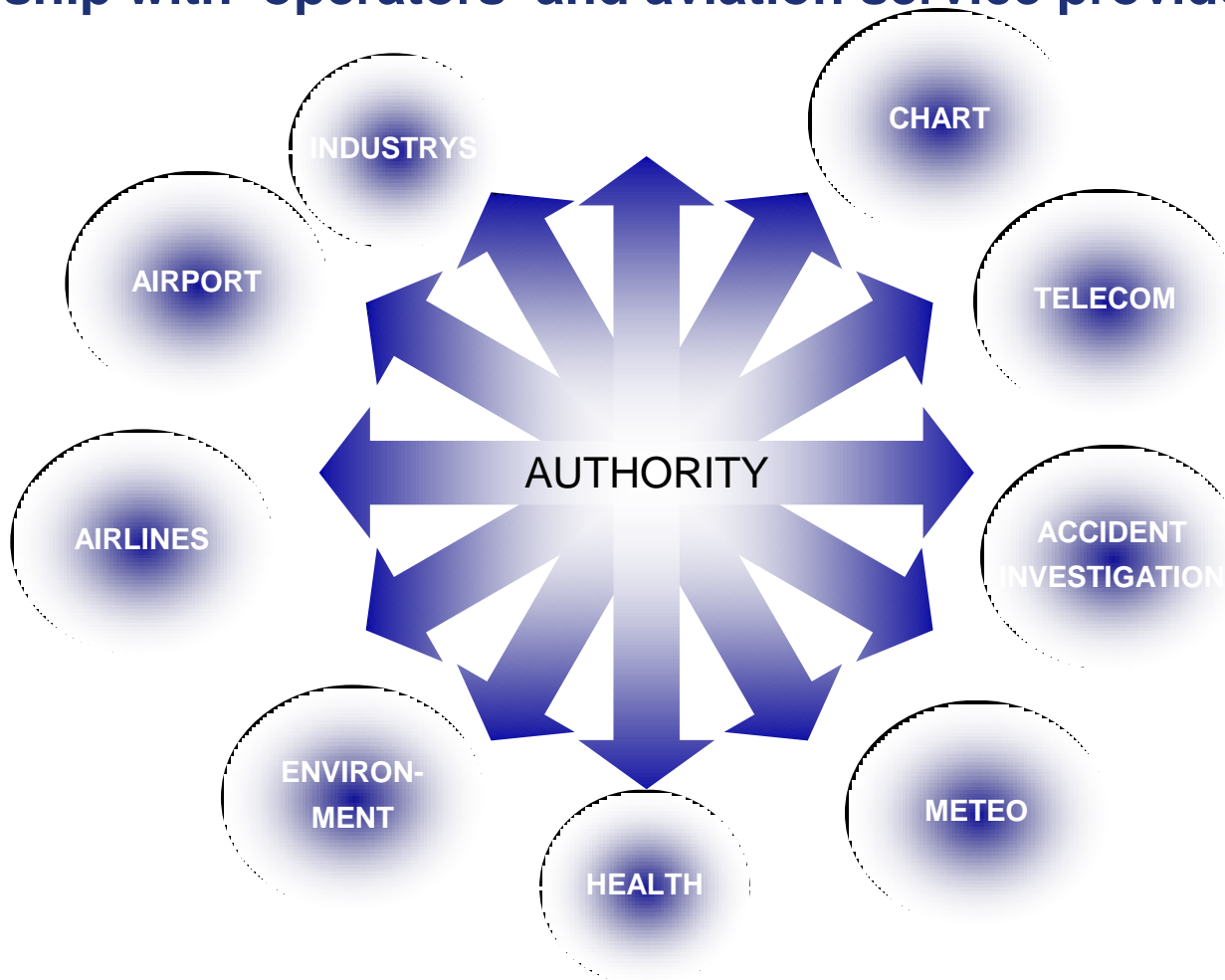
PROCESSUS D E PLAN DE CARRIERE POUR DIRIGEANT



3. System & Functions and Qualified technical personnel

NATIONAL CIVIL AVIATION ORGANIZATION SYSTEM

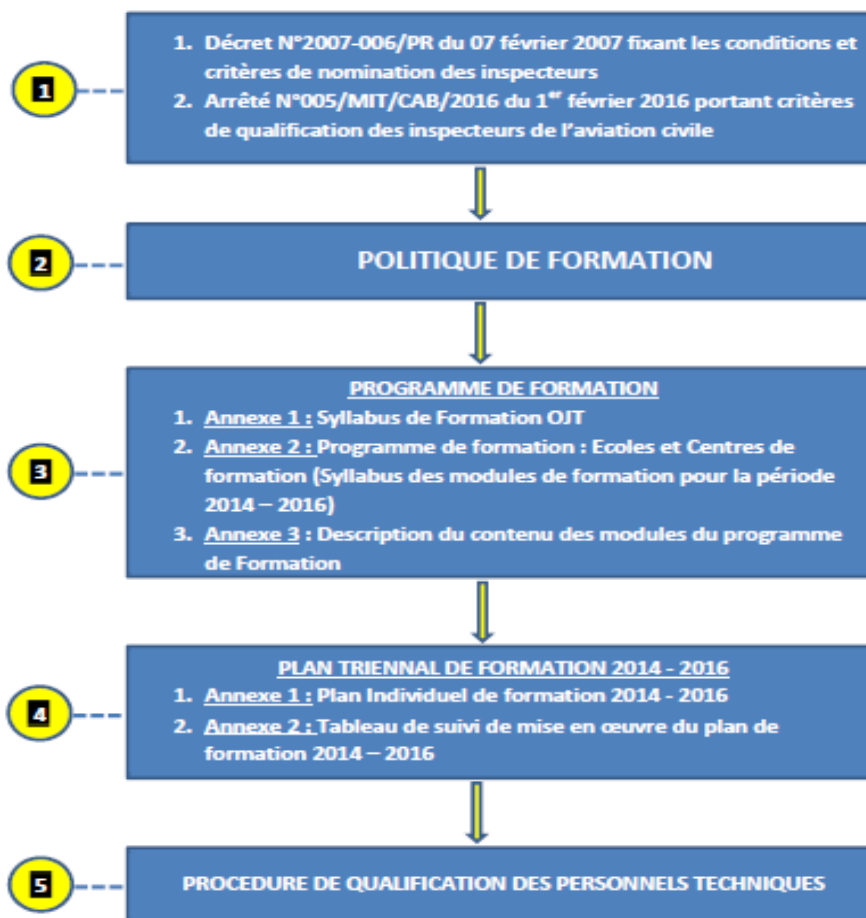
The civil aviation authority shall work closely with the government and the various entities of the State concerned in part by some civil aviation functions and services. It must have a harmonious and stable relationship with operators and aviation service providers.



3. System & Functions and Qualified technical personnel

TECHNICAL STAFF TRAINING (EXAMPLE OF ANAC-TOGO)

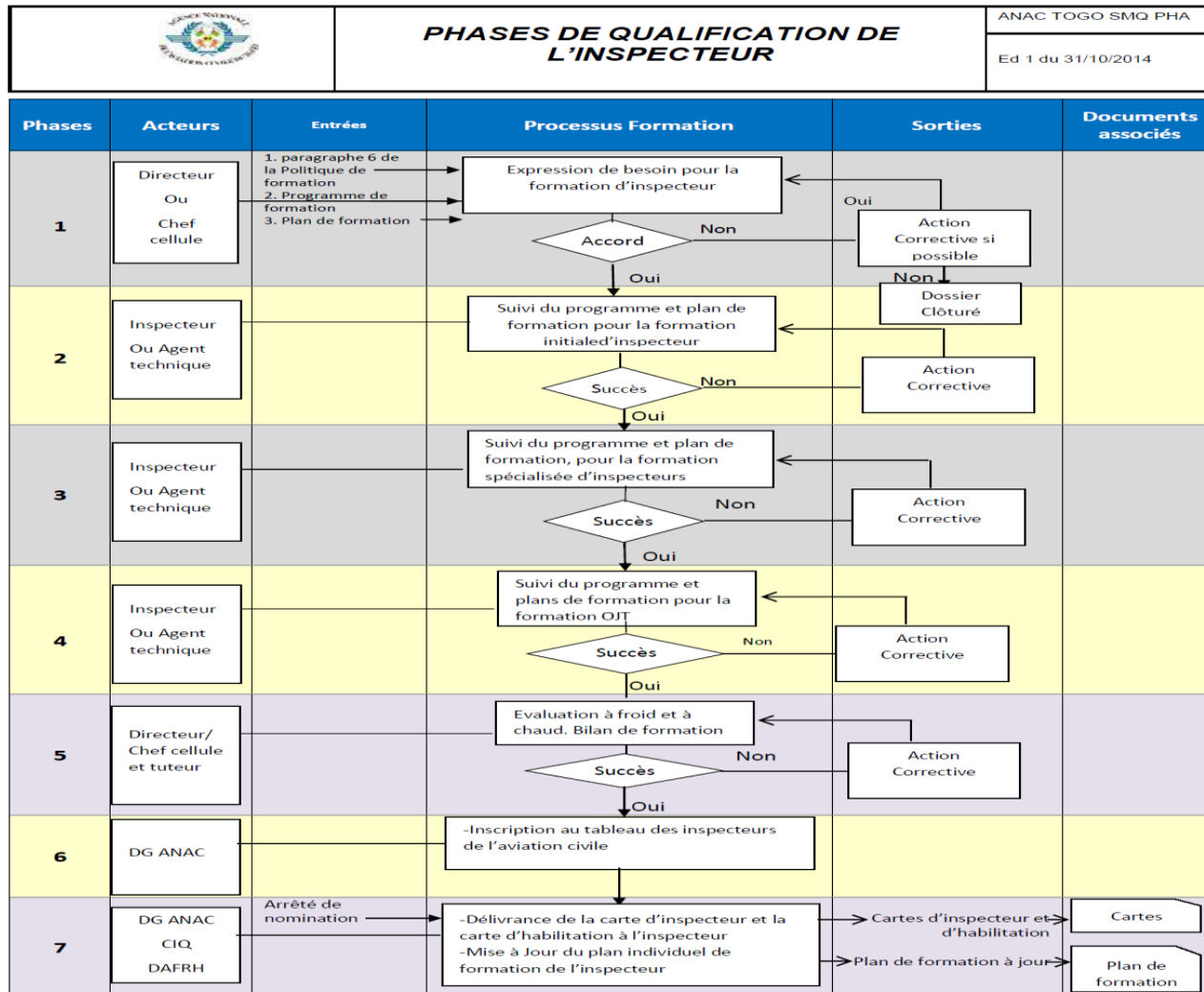
The DG has set up a policy and training commitment. This commitment offers basic training , initial, specialized , OJT and continuing training (regular and recycling). All the documents related to training is as follows:



3. System & Functions and Qualified technical personnel

TECHNICAL STAFF TRAINING (EXAMPLE OF ANAC-TOGO)

Trained staff (initial training, specialized and OJT) is qualified sworn inspector following the process below:



3. System & Functions and Qualified technical personnel

TECHNICAL STAFF TRAINING (EXAMPLE OF ANAC-TOGO)

Qualified inspectors progress in their respective categories (student, senior, master, chief) as follow:

Plan de Carrière Inspecteur

EVOLUTION DES INSPECTEURS



Critères utilisés pour la gestion du plan de carrière de l'inspecteur:

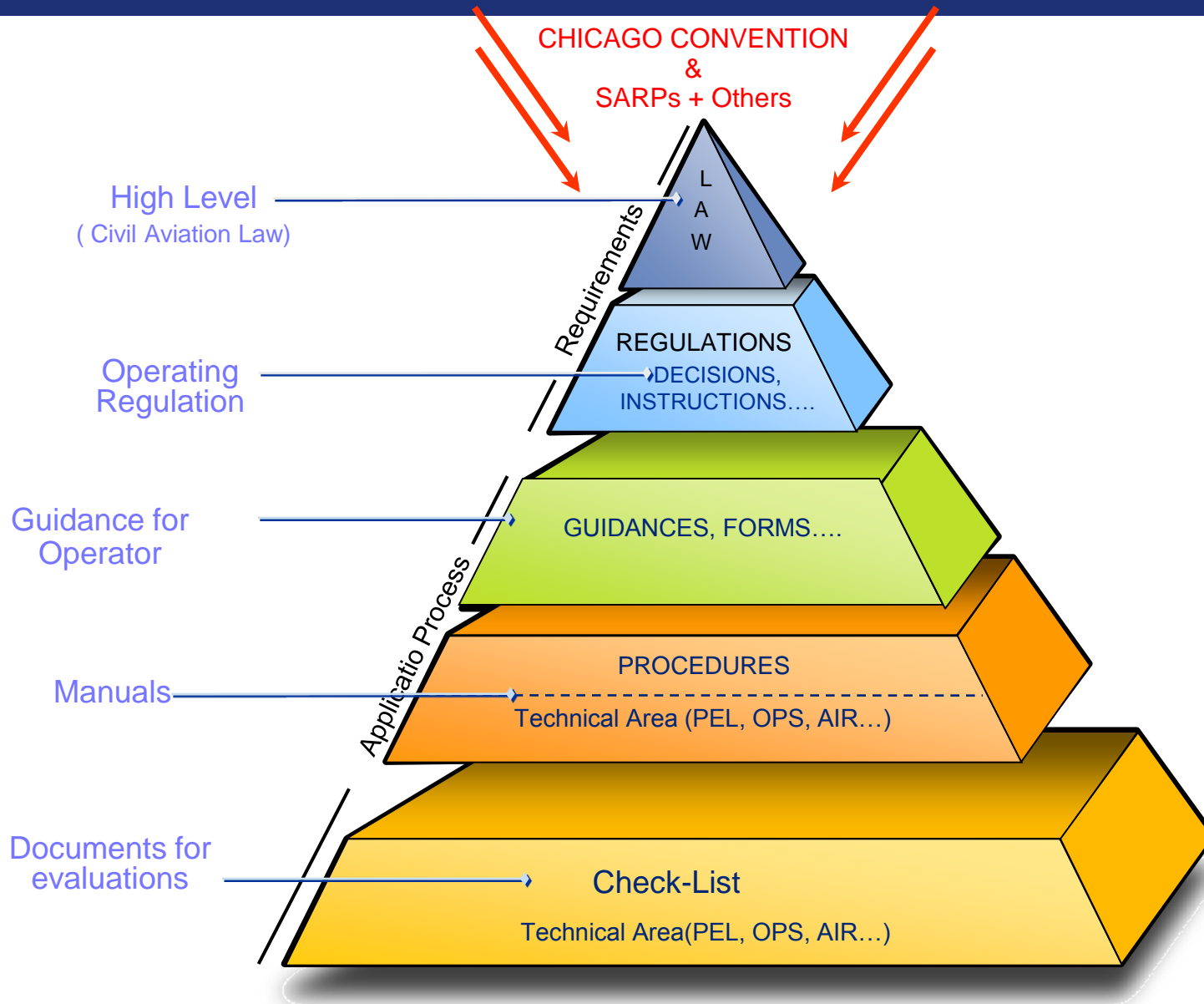
- ☑ **Qualifications et expériences**
- ☑ **Demande provenant de la supervision de la sécurité et de la sûreté**
- ☑ **Comportement Individuel/déontologie**
- ☑ **...**

The inspectors have inspectors cards and empowerment cards (which define the scope of intervention).

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4. Technical guidance, tools and provision of safety-critical information



4. Technical guidance, tools and provision of safety-critical information

The authority must have the relevant ICAO documents (Annexes , Docs and Flyers) accessible electronically via portal ICAO (<http://portal.icao.int/>). All these documents should be accessible to technical staff from all areas related to safety and security .

Technical staff must also have procedures , manuals, checklists , forms and essential guides to the performance of its duties and responsibilities. These documents will be available as appropriate in paper or electronic format via an electronic library.

As for supplies, offices must be adequately equipped with telephones, computers, printers and fast internet connection. And in addition , technical personnel must have tools for inspections : Tablet (iPad, Surface ...), digital cameras , torches , Binoculars ...

The authority must publish its regulations , forms and guides via its website in a dedicated section.

The publication of safety information relating to aeronautical information services , aeronautical charts and NOTAMs must be ensured.

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5.Licensing, certification, authorization and/or approval obligations/Surveillance obligations/Resolution of safety issues

CERTIFICATION AND ISSUANCE OF LICENCES AND AUTHORIZATIONS

CAA must:

1-issue and/or valid and/or convert, following established procedures pilot, controller and engineer licenses...

2-Issue AOC and specific Authorizations (Dangerous Good, RVSM, PBN...) following established procedures. Take steps to IOSA certification after the issuance of the AOC

3-Also certify international aerodromes and air navigation service providers (ANSP) under its rules and procedures .

4-Accept operators and services providers SMS during the certification process

5-Properly register the aircraft, issuing CDN and maintenance organization approvals

All phases of the process of certification and licensing and permissions must be properly documented and archived (checklists , reports, Manuals ...)

At the end of the certification, a monitoring program is established to ensure compliance at all times with the requirements which have allowed for issuing permits , licenses, certificates and approvals.



5. Licensing, certification, authorization and/or approval obligations/Surveillance obligations/Resolution of safety issues

CONTINUED SURVEILLANCE (EXAMPLE OF PROGRAMME)

Programme de surveillance continue
ASKY

MAI 31/03/2016

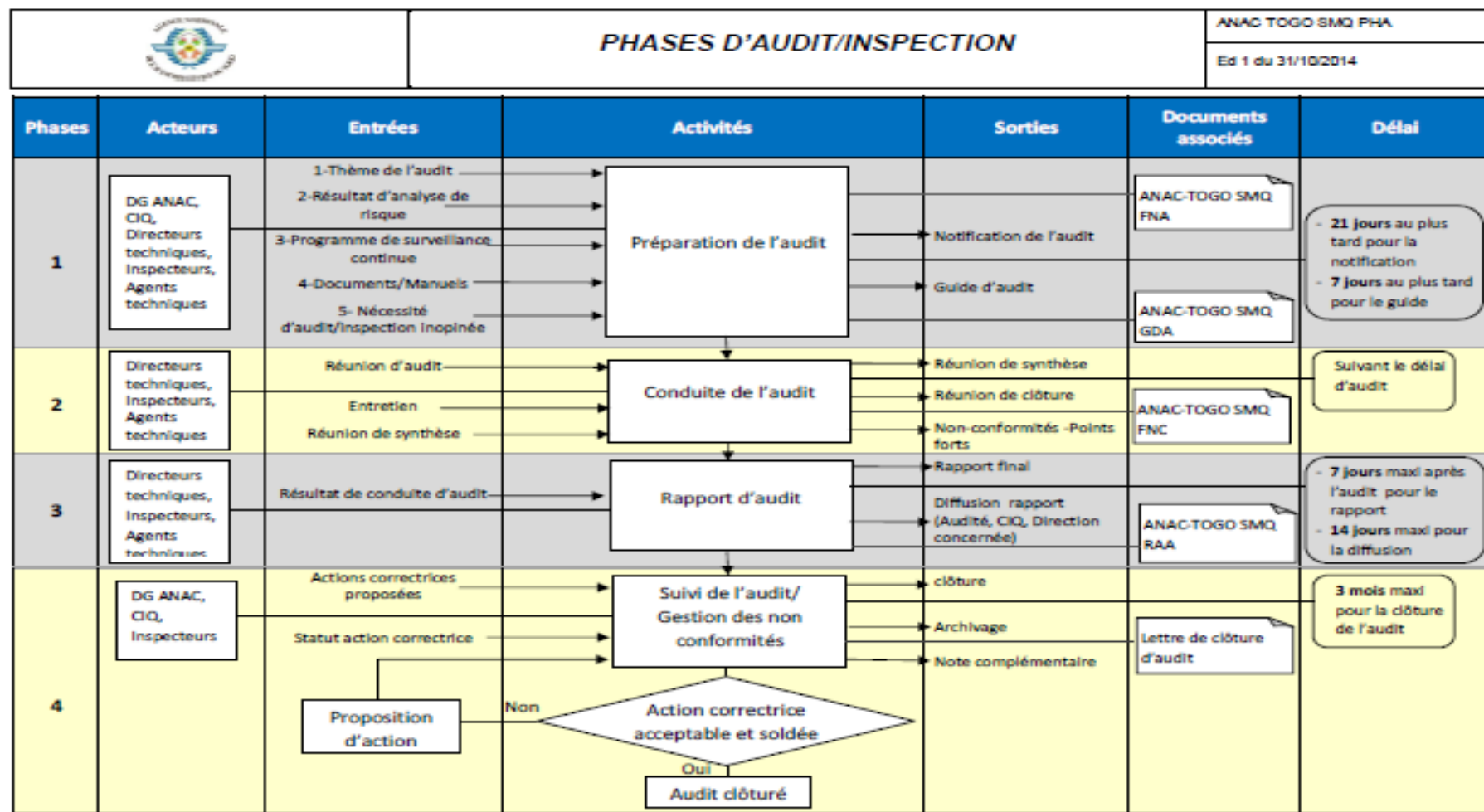
DOMAINE DE SURVEILLANCE		2016															
		AVRIL	MAI	JUIN	JUILLET	AOUT	SEPTEMBRE	OCTOBRE	NOVEMBRE	DECEMBRE	JANVIER	FEVRIER	MARS				
ORGANISATION GENERALE	Locaux et installation																
	Personnel																
GESTION DU MAINTIEN DE LA NAVIGABILITE	Notification à l'ANAC des évolutions des activités, agréments, implantations et personnel de l'organisme																
	Utilisation du C.R.M et application de la LME/MEL																
	Programme d'Entretien aéronef																
	Planification et enregistrement des travaux d'entretien et de leur date d'exécution, responsabilités, archivage, accès																
	Exécution et contrôle des consignes de navigabilité																
	Analyse de l'efficacité du programme d'entretien																
	Mise en œuvre des modifications optionnelles																
	Traitement des modifications/réparations																
	Notification des défauts																
	Activités d'ingénierie																
Programmes de fiabilité																	
Visite prévol																	
Pesée de l'avion																	
Procédures de vol de contrôle																	
SYSTEME QUALITE	Politique qualité du suivi de la gestion de navigabilité, programme d'assurance qualité et procédures d'audit qualité																
	Surveillance de l'activité de gestion de la navigabilité																
	Surveillance de l'efficacité du programme d'entretien																
	Surveillance que tout l'entretien est effectué par un organisme de maintenance																
Système de Gestion de la Sécurité (SMS)	Surveillance que tout l'entretien sous-traité est effectué en accord avec le contrat de sous-traitance comprenant la surveillance des autres sous-traitants retenus par le sous-traitant lui-même.																
	Personnel de l'audit qualité																
	Politique et objectifs de sécurité																
CONTRATS DE MAINTENANCE ET DE LOCATION D'AERONEF	Gestion du risque de sécurité																
	Garantie de la sécurité																
	Promotion de la sécurité																
	Sélection d'un sous-traitant ou organisme de maintenance.																
	Audit aéronef																
	Contrat de Location																

Handwritten signature

5. Licensing, certification, authorization and/or approval obligations/Surveillance obligations/Resolution of safety issues

CONTINUED SURVEILLANCE (EXAMPLE OF AUDIT PROCESS)

Scheduled and unscheduled inspections are carried out under monitoring programme. The preparation and execution of audits and inspections are carried out following the process below:



5. Licensing, certification, authorization and/or approval obligations/Surveillance obligations/Resolution of safety issues

RESOLUTION OF SAFETY ISSUES

CAA Inspectors shall have the power to find infringements of regulations:

Depending on level of offenses, CAA can:

- 1-Require a corrective action plan. Follow-ups are made on the status of implementation of corrective actions to ensure that the proposed actions are implemented and closed.**
- 2-Ground the aircraft or require limitations on or suspension of specific activities**
- 3-Implement appropriate administrative and disciplinary sanctions: privilege restrictions or operating area , suspension or withdrawal of authorization , certificate or license**

Authority must have for this purpose, procedures for:

- Audit and nonconformities management;**
- A policy and an enforcement procedure (Detection of offenses and breaches).**

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6. Establishing State Safety Programme and Quality Management System

ESTABLISHMENT OF STATE SSP

CAA must be able to establish an SSP in accordance with Annex 19 and ICAO DOC 9859 . The SSP must include the 4 components and 11 key elements

The SSP should be implemented in phases. The Civil Aviation Authority shall inform the online framework (dedicated application on iSTARS) on the state of implementation of the SSP

The civil aviation authority may have in this context, an agreement with the authority in charge of accident / incident investigation , for the safety information sharing and events analysis.

Safety analyses and safety studies should be performed by the State according to the level and profile safety risk



6. Establishing State Safety Programme and Quality Management System

ESTABLISHMENT OF QUALITY MANAGEMENT SYSTEM

Pour le maintien du niveau de performance de son organisation, l'Autorité de l'Aviation Civile peut mettre en place un système de gestion de la qualité (SMQ). Le SMQ doit permettre de:

To maintain the performance level of its organization, the CAA may implement a quality management system (QMS). The QMS should help to :

- 1-Define relevant , realistic and attainable goals with associated performance indicators;
- 2-Conduct internal audits in the areas of safety and security;
- 3-Establish action plans to correct non-conformities and monitor the overall health of the system;
- 4-Make management reviews to monitor the area by performance indicators and make important decisions to maintain and improve the defined CAP;
- 5-Optimize the quality of service and meet the expectations of appropriate service providers in accordance with the regulatory framework set;

The Authority may be certified ISO 9001 to prove its ability to provide a service / product (licenses , certificates ...) comply with the



Plan

- 1. Introduction**
- 2. Législation Primaire et Règlements Opérationnelles**
- 3. Organisation du système, Qualification et formation permanente du personnel technique**
- 4. Indications techniques, outillage et fournitures de renseignements critiques sur la sécurité**
- 5. Délivrance de licences, de certification, d'autorisation et d'application/ Obligation en matière de surveillance/ Résolution des problèmes de sécurité**
- 6. Etablissement d'un Système de Gestion de la Sécurité de l'Etat (SSP) et d'un Système de Gestion de la Qualité (SMQ)**
- 7. Préparation et Suivi d'un audit USOAP CMA de l'OACI**
- 8. conclusion**

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3.Preparation and Follow-up of ICAO USOAP CMA audit activities

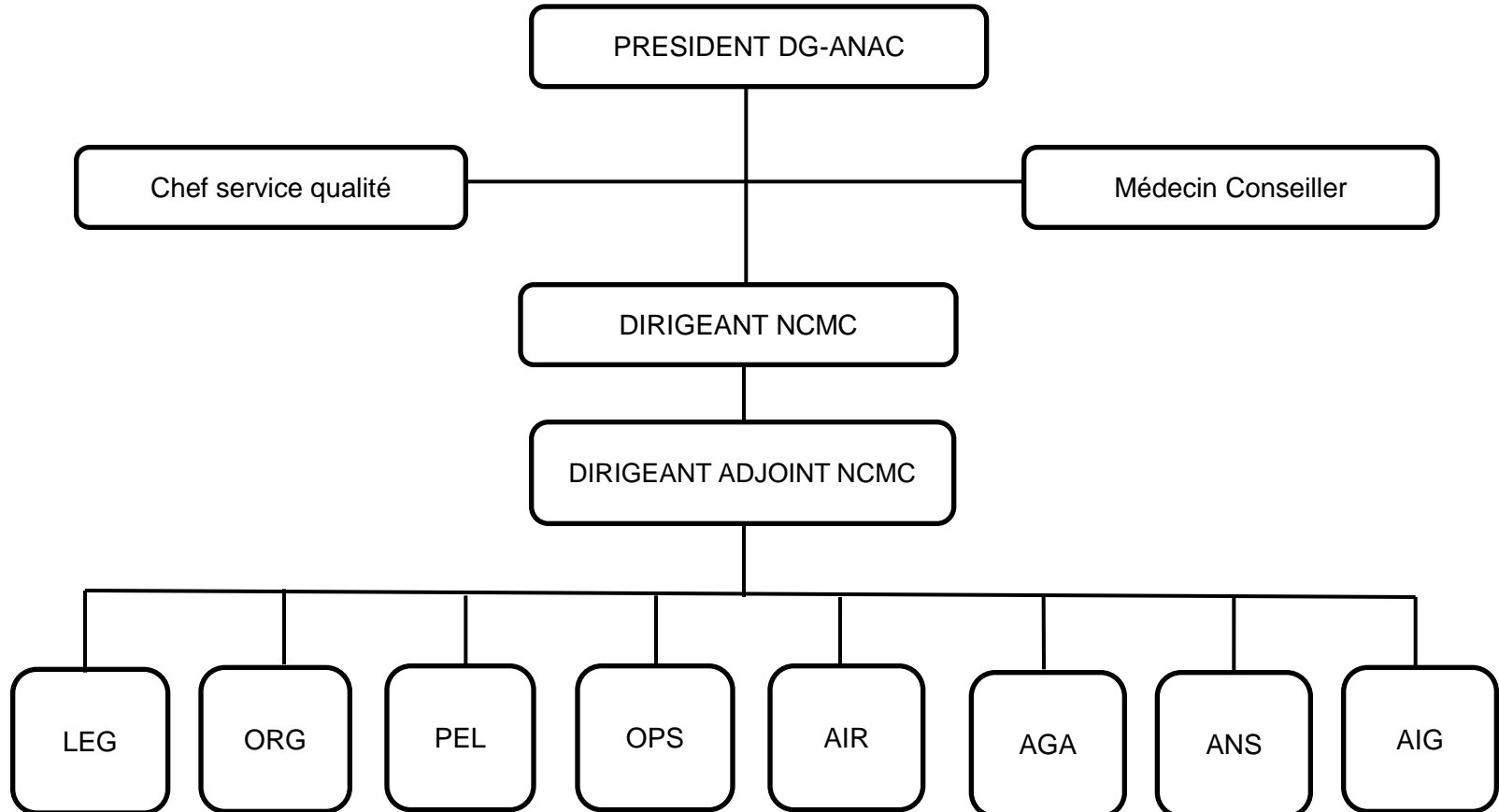
PREPARATORY PHASE

The civil aviation authority should make an inventory of the necessary means and resources . It must take the following actions:

- Set a goal for EI;
- Appointment of NCMC and Assistant NCMC by decision of DG ANAC and notify ICAO;
- Establishment of working groups in the eight areas of work (LEG, ORG, PEL, OPS, AIR, AIG, ANS, AGA) by decision of DG ANAC;
- Evaluation of human and material resources ;
- Evaluation of the financial envelope of the preparation of the audit;
- Establishment of a rigorous timetable of work at the DG and NCMC level ;
- Personal involvement of the DG , presiding and defining the main lines of work

3. Preparation and Follow-up of ICAO USOAP CMA audit activities

PREPARATORY PHASE



3. Preparation and Follow-up of ICAO USOAP CMA audit activities

OPERATIONAL PHASE

During this phase , the following actions are necessary:

- Identify a room for the plenary of all groups ;
- Display of the working program of each group and working meeting
- Request assistance of ROST tasks of ICAO;
- Make call if applicable to external assistance (condition and time) ;
- Appointment a doctor for medical monitoring of personnel;
- Set motivating staff ;
- Set an excellence award to be given to the most deserving ;
- Make controls (internal and external audit) and monitor the performance indicators of the audit with the graphs.

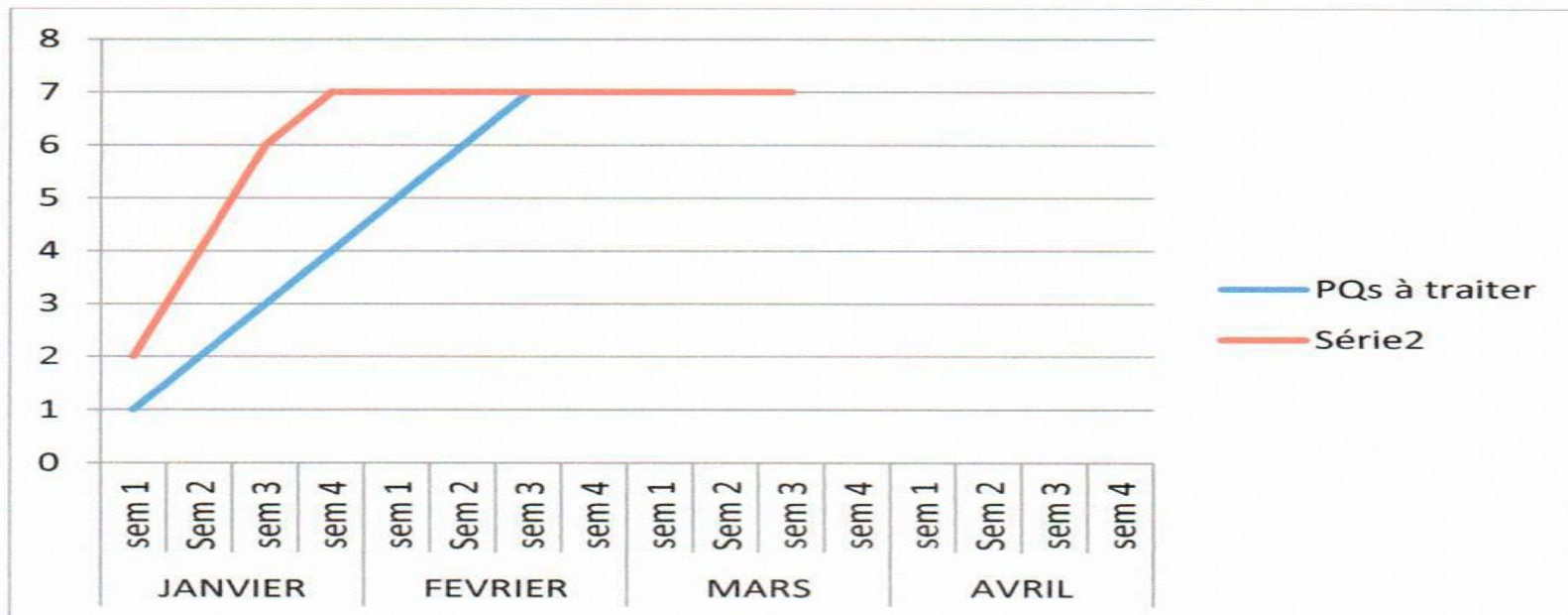
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OPERATIONAL PHASE



EVOLUTION DES PQ LEG

7 PQ LEG



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8. Conclusion

Our goal in the AFI region must be zero aircraft accident as we must take strong measures to eliminate all contributing factors to keep CAP OF ZERO ACCIDENT. We also know that any system of safety and security needs improving according to the development of the civil aviation system. This is why we believe that the contributions of each other will improve and make more effective the system of safety and security oversight of our region,

I take this opportunity to thank you and also thank the PCA of ICAO, the SG of ICAO and ICAO Regional Directors .

GOD bless our work.

Thank you.



ESTABLISHED STRONG AND MORE EFFICIENT CAA

3rd AFI CIVIL AVIATION SAFETY AND SECURITY

(Malabo - EQUATORIAL GUINEA, from 27th JUNE to 01st JULY 2016)

**IN ESTABLISHING STRONGER AND BETTER
ESTABLISHED CAAs**

THANKS

