



CIVIL AVIATION AUTHORITY
OF THE CAYMAN ISLANDS

VISION 2025

EXCELLENCE & INNOVATION IN AVIATION REGULATION

STRATEGIC PLAN
2021 – 2025





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ACRONYM

DESCRIPTION

AN(OT)O	Air Navigation (Overseas Territories) Order
CAA	Civil Aviation Authority
CI	Cayman Islands
ICAO	International Civil Aviation Organisation
OT(s)	Overseas Territory(Territories)
PBO	Performance-based Oversight
UK	United Kingdom
CAACI	Civil Aviation Authority of the Cayman Islands
NAAs	National Aviation Authorities
QMS	Quality Management System
ASSI	Air Safety Support International
CIG	Cayman Islands Government
OTAR	Overseas Territories Aviation Requirements
UKCAA	United Kingdom Civil Aviation Authority
SMS	Safety Management Systems



FOREWORD

I am pleased to present this strategic plan for the Cayman Islands Civil Aviation Authority (CAACI) for the period 2021 to 2025.

The plan's title, "Vision 2025: Excellence & Innovation in Aviation Regulation", reflects the sense of common purpose that our organisation's Board, the management team and our staff share with respect to this strategy.

Safe and reliable air transport is a cornerstone for the development and sustainability of the Cayman Islands economy, given that our major industries are tourism and international finance. This puts the local aviation industries at the forefront of ensuring that the necessary infrastructure and services are provided to facilitate safe, efficient and reliable air transport to, from and within the islands. This mandate also requires a competent regulatory oversight authority to ensure safety is maintained through implementation of internationally mandated standards and recommended practices.

While preparing this plan, we have witnessed unprecedented times due to the global COVID-19 pandemic, and our commitment to 'excellence and innovation' has been instrumental in navigating the resulting challenges. Now, we forge ahead with resilience and focus on a strategy that builds upon these same foundational principles.

The strategy presented in this plan was developed through a process that engaged our Board of Directors, managers and staff to arrive at a consensus on the CAACI vision, mission, values, strategic approach and strategic priorities. Our organisation's delivery model, as well as a set of key performance indicators, will be used to execute and assess performance in relation to our ongoing activities and the strategic agenda presented in this plan.

The strategic agenda that this plan presents has three broad strategic priorities:

- Lead through a modernised, comprehensive and risk-based approach to regulatory oversight
- Continuously improve service delivery and innovative solution options for our stakeholders
- Develop and sustain a high-performing, complimentary and cohesive professional team committed to organisational excellence

I look forward to embracing the opportunities and tackling the challenges that we will face in meeting our regulatory obligations over the next five years with the support of a strong Board of Directors, competent management team and dedicated staff. Together, we will strive to deliver on our strategic objectives and report our achievements through the Cayman Islands Government Annual Report process.

A handwritten signature in black ink, appearing to read "P.H. Smith".

P.H. Richard Smith, MBE FRAeS
Director-General of Civil Aviation

November 21, 2021

WHO WE ARE

The Cayman Islands (CI) is an overseas territory of the United Kingdom (UK) and is committed to the obligations of the Chicago Convention to which the UK is a signatory. The UK Secretary of State delegates authority for regulation of aviation to the Governors of Overseas Territories (OTs). In the case of the CI, the delegation is then made for the Civil Aviation Authority (CAA) to carry out all aviation regulatory functions. Air Safety Support International (ASSI), a subsidiary of the UK's CAA, was established to oversee the regulatory compliance of OTs, which includes the CI.

The Civil Aviation Authority of the Cayman Islands (CAACI) has full authority for the safety and economic regulation of the CI aviation industry including aircraft registered in the CI wherever they are based and operated. The statutory instrument for legislation is the Air Navigation (Overseas Territories) Order (AN(OT)O), as amended, along with unique enabling compliance requirements developed for the UK OTs in the form of the Overseas Territories Aviation Requirements (OTAR). This legislative structure ensures the UK obligations to the International Civil Aviation Organisation (ICAO) are met.

The functions of the CAACI are established in the Civil Aviation Authority Act (2015 Revision). These functions are carried out through the Director-General of Civil Aviation.

The CAACI is structured into **four divisions** that satisfies its obligations in respect of general administration and economic regulation, financial management and compliance, aerodrome and air navigation services regulation, and flight operations and airworthiness oversight, as described below.

The **Air Safety Regulation** division oversees the technical and safety regulation of all aircraft on the CI Aircraft Registry that operate locally and globally and all CI approved organisations globally.

The **Air Navigation Services Regulation** division is responsible for the certification and licensing of aerodromes, air traffic control and air navigation services provided within the territory.

The **Economic Regulatory and Administration** division provides economic regulatory oversight for commercial air transport operations to/from the territory, including scheduled and non-scheduled operations, and oversees that airport operations are conducted within economic guidelines of the ICAO.

The **Finance and Compliance** division manages the CAACI's finances in accordance with local legislative requirements and international accounting standards, and ensures relevant due diligence is carried out on beneficial owners of aircraft applying for registration to the CI Aircraft Register.

The primary activities of the CAACI can be grouped into three broad categories as follows:

SAFETY REGULATORY OVERSIGHT

- Certification of aerodromes;
- Certification of aeronautical tele-communications services;
- Certification of air traffic control services;
- Oversight of Meteorological Services to Aviation;
- Oversight of the Cayman Islands Search & Rescue Plan;
- Oversight of Aeronautical Information Services;
- Issuance of air operator certificates;
- Personnel licensing (air traffic control, flight crew and maintenance engineers);
- Approval of maintenance organisations;
- Certification of aircraft airworthiness; and
- Issuance, renewal, variation and revocation of certificates of approval for aircraft.



ORGANIZATIONAL OVERVIEW

ECONOMIC REGULATION

- Granting of air transport permits and operating licenses for scheduled and non-scheduled foreign carriers;
- Regulation of charges levied by airport operators with a view to creating equality and not exploiting a monopoly position;
- Provide advice to the Cayman Islands Government (CIG) as it pertains to bilateral negotiations with other countries, liaise with the UK Department for Transport, and participate in the negotiation of air service agreements with other countries;
- Provide advice and administrative assistance to the Air Transport Licensing Authority (ATLA) as it pertains to licensing of local carriers;
- Provide advice for effective implementation of regulatory policy that is in the best interests of the travelling public/end user;
- Act as liaison with ICAO or other relevant organisations to submit data/information as required.

REGISTRATION OF AIRCRAFT

- Determine qualification and eligibility of owners in accordance with applicable legislation;
- Conduct due diligence on registrants in accordance with CI Anti-money laundering Regulations and Guidelines and CAACI policies;
- Registration of aircraft on the CI Registry;
- Maintain the aircraft register ensuring an accurate and up-to-date Aircraft Registry and associated data;
- Analyse changes to aircraft ownership and the resulting effect on registration; and
- Maintain the register of aircraft mortgages under the applicable provisions of the CI Mortgaging of Aircraft Regulations and in accordance with the provisions contained in The International Interests in Mobile Equipment (Cape Town Convention) Act enacted in the Cayman Islands.

STAKEHOLDERS

Our key stakeholders are diverse and include:

- The UK Government
- The CIG
- The CAACI Board of Directors
- Employees

- ASSI
- Local industry – airlines, air transport operators, aerodrome operators
- CI Aircraft Registry clientele
- Local and international business partners
- Foreign carriers
- Other national aviation authorities (NAAs)
- The general public



OUR MISSION, VISION AND VALUES

In developing this strategic plan, we have revised our mission, the values statements that represent how to conduct ourselves in delivering on our mission, and developed a clear vision for the future.

OUR MISSION

“To enhance aviation industry performance through effective safety & economic regulatory oversight.”

OUR VISION

“A safe and highly credible aviation industry for the Cayman Islands.”

OUR VALUES

SAFETY FIRST: We never forget our organisation’s primary reason for being

PEOPLE AT THE CENTRE: We develop our people to the highest standards and level of expertise in technical and non-technical areas

LEADERSHIP: We build and promote a shared commitment to regulatory and aviation excellence regionally and globally

REGULATORY OBJECTIVITY: We conduct our regulatory responsibility with impartiality

INTEGRITY: We ensure that the highest moral and ethical standards are maintained in the discharge of our responsibilities

ACTIVE COLLABORATION: We work with others to engage their knowledge and expertise and to generate effective solutions where we are jointly accountable for the end results

ACCOUNTABILITY: We account for our actions, accept individual and team responsibilities and transparently disclose results

INNOVATION: We continuously pursue new and creative methods to advance our effectiveness

OUR STRATEGIC APPROACH

Our **Mission** defines the purpose for which we exist; our **Vision** describes the ultimate impact we seek to provide; and, our **Values** provide a framework that shapes our actions.

Built on this foundation, we have given significant consideration to the approach we will take to accomplish our ultimate objectives. In doing so, we have established a tactical roadmap that considers those factors which must be integrated within the pursuit of all outcomes we seek to achieve:



STRONG GOVERNANCE: We recognise the critical importance of sound organisational structure, transparency, and fairness within all policies and best practices.



ENVIRONMENTAL VIGILANCE: We remain vigilant of efforts to reduce the environmental impact of the aviation industry on the environment.



RESILIENCE: In order to remain financially solvent without compromising standards, we seek innovative opportunities to enhance operational sustainability, keeping prepared for even the most difficult times.



FORWARD THINKING: We embrace the importance of looking forward to both understand and implement change in accordance with trends in the industry, society, and within our own organisation.



STANDARDS OF EXCELLENCE: As a continuously growing and changing industry, we embrace the need to exceed basic expectations and take pride in adapting and performing to the highest possible standards.

CAACI DELIVERY MODEL

The “delivery model” presented in this section of the strategic plan represents the activities and outputs that we deliver to fulfill the regulatory oversight role tied to our civil aviation mandate, the inputs that we use to produce these outputs and the contribution that we make with these outputs.

This delivery model is comprised of the following elements:

- **INPUTS** represent the various resources (financial, human, information, physical infrastructure and outputs from other parties) that are consumed by our activities.
- **ACTIVITIES** describe collections of tasks that identify the primary focus of our program delivery and how the work of our programming is carried out.
- **OUTPUTS** are the products or services generated by the activities that we deliver.
- **DIRECT OUTCOMES** are the first level of outcomes – those over which our organisation has the most immediate or direct influence with our outputs.
- **INTERMEDIATE OUTCOMES** are the second level of outcomes – those that we can merely influence through our programming and where other intermediaries (those that we regulate, our partners and other stakeholders) are usually involved.
- **ULTIMATE OUTCOME(S)** reference(s) the higher-level enduring benefit(s) for Caymanians and others that can be attributed to our programming. This is the outcome level that is subject to many influences beyond the program itself, and is also more strategic in nature. The ultimate outcome is our organisation’s vision as stated in this plan.

The CAACI delivery model is supported by **two core principles** associated with our organisation’s ultimate goal of a safe and highly credible aviation industry for the Cayman Islands.

The first principle requires that our regulatory direction, information and guidance are sound and easily understood. This provides the aviation industry the opportunity to clearly appreciate their responsibilities and be equipped to comply with the applicable legislation and standards.

The second principle requires that our safety oversight activities are conducted diligently, supported by CAACI Policy, technical data and risk indicators. Where non-compliance is detected, it is addressed and corrected.

Managing our program based on these underlying principles, we contribute to the following goals:

1. Regulatory non-compliance is detected and addressed;
2. The CI aviation industry understands its regulated obligations and is equipped to meet them;
3. The CI civil aviation industry will meet or exceed internationally accepted standards of aviation safety;
4. Our regulatory regime will be credible and sustainable; and
5. CI registered aircraft operating globally and foreign aircraft operating in the CI, will do so safely.





OUR STRATEGIC PRIORITIES

The change agenda that we are presenting through this plan has three broad strategic priorities:

- I. Lead through a modernised, comprehensive and risk-based approach to regulatory oversight**
- II. Continuously improve service delivery and innovative solution options for our stakeholders**
- III. Develop and sustain a high-performing, complimentary and cohesive professional team committed to organisational excellence**

In the next section of this plan, we describe each of these Strategic Priorities further, as well as how we will address them over the period of this plan. Obviously, the priorities are only achieved through the continuation of ongoing activities and the execution of key supporting initiatives.

For each of the Strategic Priorities, we report annually on progress through a performance framework that is supported by specific milestones and key performance indicators. In this way, our Annual Report outlines the achievements made throughout the year.

As the Strategic Plan establishes our priorities and approach, it also provides the necessary direction to create a host of operational objectives carried out by the professional staff team. Operational objectives coincide with Strategic Priorities and are written, executed, and routinely measured to hone our specific focus and improve our ability to achieve the desired outcomes.



A MODERNISED APPROACH TO REGULATORY OVERSIGHT

Strategic Priority I
**Lead through a modernised,
comprehensive and risk-based
approach to regulatory oversight.**

The worldwide implementation of safety management systems (SMS) by civil aviation service providers signals a shift from traditional reactive and compliance-based oversight to a new model that includes proactive and performance-based tools and methods. Such a shift, therefore, introduces the need for NAAs such as CAACI to perform safety oversight functions in a similar way through a modernised approach to regulatory oversight.

HOW WE WILL ADDRESS THIS PRIORITY

In order to make progress towards our goal of a modernised approach to regulatory oversight, we will need to pursue implementation of performance-based oversight (PBO) while continuing to maintain existing compliance and regulatory approaches where appropriate.

During the life of this strategic plan, we will continue to:

- Ensure economic regulatory oversight for the local air transport industry
- Ensure compliance with the AN(OT)O

Over the next five years we will also undertake the following initiatives:

- Assess industry capacity, collect data and identify risk areas
- Train key individuals in PBO
- Develop and publish bulletins for PBO to increase the knowledge base of industry
- Develop and roll-out appropriate electronic work-flow management platform in support of PBO

In order to make progress, we will need to pursue implementation of performance-based oversight (PBO) while continuing to maintain existing compliance and regulatory approaches where appropriate.

HOW WE WILL KNOW WE ARE MAKING PROGRESS

We will know we are making progress if the knowledge base of industry has increased, the percentage of audits with minimal deficiencies is at an acceptable level, and the industry is exhibiting high levels of self-sufficiency.



CONTINUOUS IMPROVEMENT OF SERVICE DELIVERY

Strategic Priority II

Continuously improve service delivery and innovative solution options for our stakeholders.

Continuous improvement of our processes and tools to enhance the service experience of our clients has always been an overarching objective for the CAACI and will remain so for this strategic planning horizon. An example of success in this area has been the development of VP-C Online, the secure electronic data management system that provides CAACI clients with the means to apply online for the various approvals that are required for both initial aircraft registration and for continuing airworthiness. This includes registry applications, certificates and authorisations, as well as the transitional registry.

HOW WE WILL ADDRESS THIS PRIORITY

During the life of this strategic plan, we will continue to:

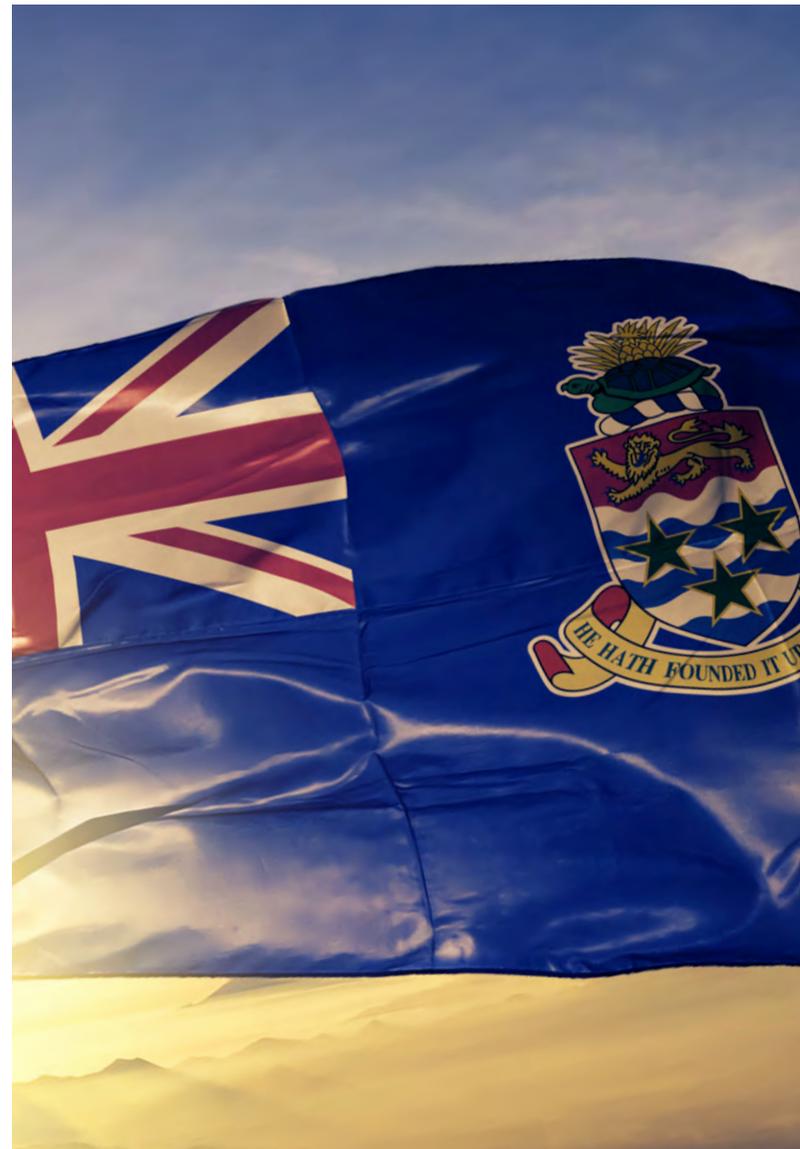
- Annually update our client database to confirm the validity of registrations and the accuracy of aircraft owner information
- Maintain our information technology hardware, software and network infrastructure
- Improve management of our information technology and services
- Obtain feedback from end users and clients and implement appropriate and approved changes based on this feedback
- Generate and maintain appropriate integrated communications initiatives to support consistent messaging for the regulatory role of the CAACI and the CI Aircraft Registry
- Act as liaison for ICAO or other organisations in order to submit or receive data and information for dissemination to industry and stakeholders

Over the next five years we will also undertake the following initiative:

- Introduce an appropriate quality management system (QMS)

HOW WE WILL KNOW WE ARE MAKING PROGRESS

We will know we are making progress if applications processing times and responses to requests for information, guidance and advice are within the CAACI service standards and we have increased client commendations and shared recommendations, as well as seeing low levels of industry complaints.



A HIGH-PERFORMING, COMPLIMENTARY AND COHESIVE TEAM

Strategic Priority III

Develop and sustain a high-performing, complimentary and cohesive professional team committed to organisational excellence.

Our organisation has worked hard to put in place the financial and human resources, physical infrastructure, processes and work environment necessary to adapt and be capable of performing at a high level. The strategic directions, initiatives and activities linked to this strategic priority position us well to build upon the progress we have already made.

HOW WE WILL ADDRESS THIS PRIORITY

An adaptable, capable, high performing organisation needs a motivated and highly skilled workforce supported by an enabling work environment that equips its people with the knowledge, tools and leadership necessary to successfully perform their duties.

During the life of this strategic plan, we will continue to:

- Develop divisional training plans to ensure qualified staff are recruited and competencies maintained
- Provide training opportunities for technical and administrative staff to cover gaps in knowledge and skills and to ensure that our staff receive refresher training to maintain their competence in all functional regulatory areas
- Implement a variety of efforts to maintain a highly motivated staff, including training opportunities as intrinsic incentive
- Foster team building, an environment of continuous learning and a spirit of cooperative collaboration
- Provide adequate physical facilities and equipment to enable our management and staff to work in the best possible working conditions

Over the next five years we will also undertake the following initiative:

- Strengthen the CI regulatory resource by employing and developing local personnel resources

HOW WE WILL KNOW WE ARE MAKING PROGRESS

We will know we are making progress if levels of employee satisfaction with their work environment are high, we have been able to retain qualified and experienced managers and staff and if, over the longer term, the CAACI has been able to attract appropriately qualified Caymanians to competitions for highly technical positions, thus continuing our progress towards our goal of a workforce that is representative of the CI population.

