



UK
Civil Aviation
Authority
International

Organisational Competences & Resources

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CAA International, part of the UK Civil Aviation Authority

- The aim of this session is to provide guidance for the criteria and procedures for National Authorities (CAA) on the competency requirements and resources for organisations subject to NAA oversight, plus guidance of the roles and competence of NAA of inspectors

Assessing Organisational Competence



- We're looking at USOAP PQ 8.087

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	P-PQ	Area	Name	Yes/No
8.087	Does the aerodrome regulatory authority review the organizational competence and level of resources of prospective aerodrome operators or certificate holders and ensure that they employ competent personnel to perform all critical activities for aerodrome operations and maintenance?	1) Review aerodrome <u>inspectors</u> guidance material, manuals, checklists, etc. 2) Verify certification process. 3) Review qualification requirements and process for assessment of staff performing all critical activities. 4) Review evidence to confirm effective implementation.	PANS Doc 9981 (AGA) App. 1 of C2 & 3.2 c) GM Doc 9774 3D.2	Yes			Yes
CE-6							

Assessing Organisational Competence



- It's easy – just review the SMS!! Or is it....?
- Start at the beginning:
 - Aerodrome manual - organisational structure and numbers (org chart)
 - Aerodrome operator's SMS:
 - should determine the number and qualifications of staff
 - Should include information re personnel and training
 - Safety policy – should include a statement to provide appropriate resources and to monitor the workload for staff in key safety roles.

Assessing Organisational Competence



- What to look at:
 - The safety/SMS manual – should include details of all elements of the SMS
 - Aerodrome manual and supporting procedures – are they current and suitable for the operation?
- What to look for:
 - Available resources including personnel, equipment and financial
 - The numbers of personnel on shift
 - Review planned manpower vs actual manpower
 - Resourcing levels are being monitored and managed
 - Training programmes (including recurrent training) to check their competence – content and frequency
 - Management engagement (including accountable manager)

Assessing Organisational Competence



- Look at outputs:
 - Number of events and incidents
 - Management of incidents
 - Follow-up on audit findings
- Compare with your experience or similar aerodromes
 - Similar numbers and/or structure
 - Similar procedures - how are procedures delivered:
 - e.g. runway inspections, wildlife management
- What's your gut feel?
 - Talk to people – what do they say about safety/culture?

Assessing Organisational Competence



- Can you see management engagement?
 - Leading from the front
 - Sincere and ongoing commitment towards safety management
 - Rewarding the right behaviours
 - Developing a positive/just safety culture

- What's your gut feel?
 - Talk to people – what do they say about safety/culture?

Assessing Organisational Competence



- But this is general – what tools are available?
- UK CAA uses 2 SMS tools:
 - Initial gap analysis (for new certifications)
 - SMS evaluation
 - Both are holistic and require conversation
- Supported by CAPs 700 and 699
 - [gap-analysis-tool-for-complex-organisations-issue-2 \(3\)](#)
 - https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/caa-sms-evaluation-v7.pdf

Assessing Organisational Competence



- UK also uses question banks to assess EASA IRs & AMC
- These cover SMS, personnel requirements and training
- https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/Question%20Banks/QB25%20Management%20System.docx
- https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/Question%20Banks/QB06%20Personnel%20Requirements.docx
- https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/Question%20Banks/QB09%20Training%20and%20Proficiency%20Check%20Programmes.docx
- But remember that every aerodrome is different

Case Study – St Athan Aerodrome



Issues:

- Physical changes to aerodrome:
 - Delethalisation, security fence, obstacle limitation
- Airport management:
 - Timing of handover to Cardiff
 - Integration into Cardiff management team and system:
 - St Athan will have UK Certificate (Cardiff has EASA certificate)
- Operations:
 - Introduction of GNSS approaches

Case Study – St Athan Aerodrome



- Assessment of the SMS:

- Gap analysis done at pre-licensing inspection

[https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/SMS%20Phase%201%20st%20Athan%20V5%20Jan%202019%20\(002\).doc](https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/SMS%20Phase%201%20st%20Athan%20V5%20Jan%202019%20(002).doc)

- SMS evaluation completed

https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/CAA%20SMS%20Evaluation%20Tool%20Rev5-St%20Athan%202020%2027012020.doc

- SMS reviewed at post-licensing audit

https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/St%20Athan%20Post-Licensing%20Audit%20Items%202020.docx

SMS Evaluation/Assessment



- It can be a long process – can take all day
- https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/SMS%20Observation%20Screenshot.png
- Can also do focussed SMS audits
 - [20240606 Example SMS Evaluation Issue 1.0](#)

Assessing Organisational Competence



- But ICAO also requires that NAAs have organisational and individual competence
- So we also need a competency framework

Competency Framework



- A reference point which helps align the approach on how people are managed; e.g. how an organisation hires, trains, evaluates, compensates, and promotes their staff based on the same attributes.
- Why do we need a competency framework?
- CE-4
- CE-5



Figure 1. The eight critical elements of a State safety oversight system

Competency Framework



- **CE-4 Qualified technical personnel**
- 4.1 The State shall establish minimum qualification requirements for the technical personnel performing safety oversight functions and provide for appropriate initial and recurrent training to maintain and enhance their competence at the desired level.
- 4.2 The State shall implement a system for the maintenance of training records.

- **CE-5 Technical guidance, tools and provision of safety-critical information**
- 5.1 The State shall provide appropriate facilities, comprehensive and up-to-date technical guidance material and procedures, safety-critical information, tools and equipment, and transportation means, as applicable, to the technical personnel to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner.”

Competency Framework - Benefits



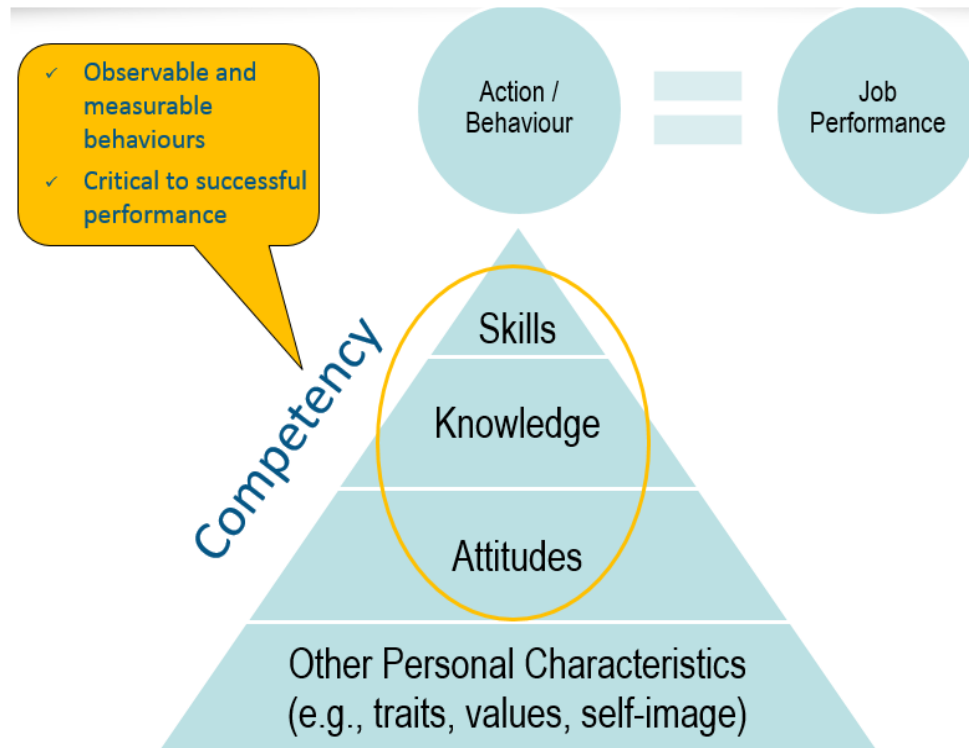
- Ensure that inspectors perform according to established standards;
- Selection of new inspectors is targeted for the expected performance and behaviours;
- Performance is evaluated effectively, comparatively and fairly;
- Skills and competencies gaps are identified with a specific measurable focus on behaviours,
- Training and professional development are tailored to the identified behaviours, and
- Succession is planned with a focus on competency gaps.

EASA Framework includes 11 competences

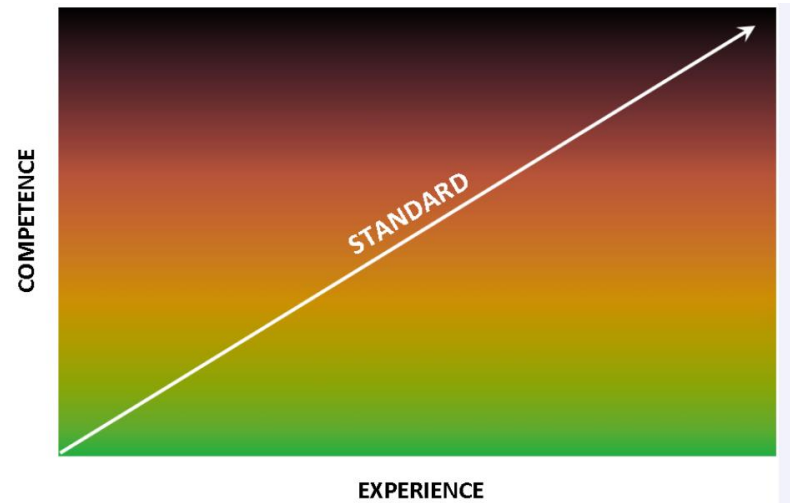
- Technical expertise
- Role awareness
- Performance-based orientation
- Dealing with complexity
- Self-development
- Interpersonal skills
- Communication
- Analytical thinking
- Oversight and project management
- Decision-making and responsibility
- Teamwork, collaboration and partnership

https://caa-my.sharepoint.com/personal/graeme_ritchie_caa_co_uk/Documents/Documents/CAAi/COSCAP/Supporting%20Documents/EASA%20Aviation%20Inspector%20Competencies%20Report.pdf

Inspector Competences



Continuing Competence



- UK CAA uses a model to develop and manage continuing competence
- **Green:** Behaviours that inspectors should be able to demonstrate at entry/recruitment level.
Amber: Behaviours that inspectors should demonstrate at the completion of initial training.
Black: Behaviours that experienced inspectors should demonstrate after a number of years in the role.

Civil Aviation Safety Inspector



- A CASI is a qualified person authorised by the State to carry out safety oversight activities. Safety oversight is a function performed by a State to ensure that individuals and organizations performing an aviation activity comply with safety related national laws and regulations.
- Guidance for the minimum qualifications of civil aviation inspectors is provided in the *Manual on the Competencies of Civil Aviation Safety Inspectors* (Doc 10070).

Aerodrome Inspector Role



■ Core Functions

- Verification of the aerodrome data in the aerodrome manual and aeronautical information publications;
- Onsite verification and audits of aerodrome operating procedures;
- Onsite checking and testing of aerodrome facilities and equipment;
- Safety assessments and aeronautical studies at aerodromes in coordination with other inspectors;
- Aerodrome development (changes) oversight;
- Assessment of aerodrome emergency plans and associated testing;
- On site checking and testing of aerodrome RFFS;
- Certification of aerodromes and heliports

Aerodrome Inspector Role



- Additional Functions
 - Participate in discussion on matters of regulatory oversight, policy and procedures aimed at achieving effective regulation in a manner that is proportionate to risk;
 - Co-operate with other functional areas of the CAA to achieve optimum safety regulation, including liaison with external bodies/regulators or government;
 - Capture and share safety-relevant intelligence, information and analysis from internal and external sources within CAA;
 - Ensure that Mandatory Occurrence Reports (MORs) are investigated, liaising as required with other agencies, ensuring effective follow-up action is taken.
 - If requested, supervise training of new Inspectors, including signing-off elements of the training syllabi.

Civil Aviation Safety Inspectors (CASI)



- UK CAA training & development programme

[\\Lgwcaafas01\srgpub\CAAi Training Material\Aerodrome Operations\Aerodrome Certification EASA Madrid Oct 2024\Course Admin\Supporting Documents\Training and Development Programme Inspector.docx](#)

- UK CAA focusses on key competences:

1. Technical expertise
2. Role awareness
3. Interpersonal skills
4. Communication
5. Decision-making and responsibility
6. Teamworking collaboration & partnership



Civil Aviation Safety Inspectors (CASI)



- UK CAA focusses on key competences:
 1. Technical expertise
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 5. Decision-making and responsibility
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- We assess competence using this form

[Inspector Competency Assessment Form](#)

Summary



- SMS assessment provides structured approach
- ICAO and EASA have competence frameworks
- Look to see what competences you need
- There is plenty of general material about how to develop, manage and assess competence available



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Thank you Any Questions?

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