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# Going further than ever before to raise aviation standards worldwide

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The CAA International Group



[www.caainternational.com](http://www.caainternational.com)  
Part of the UK CAA International Group



# Opportunities of Risk Based Surveillance

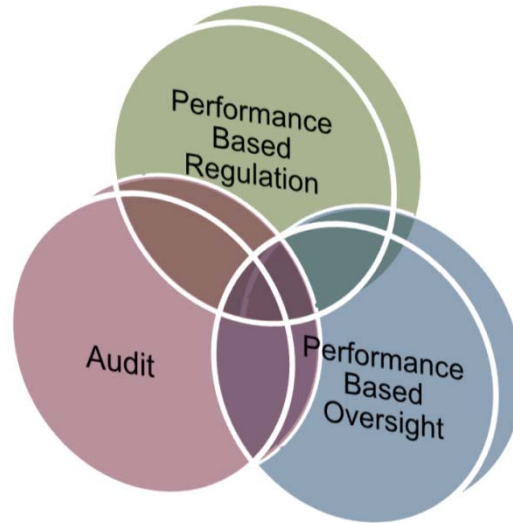
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Mark Vincent (MSc) CAA PBR Principle

# CAA Performance Based Terminology



The UK CAA uses



Performance Based Surveillance

Risk Based Surveillance

Audit and Assurance

Surveillance

Prescriptive Based Surveillance

Risk Based Oversight

# Scope

- Reviewing the expected outcomes of a performance and safety risk based approach
- Describing the key benefits
- Opportunities presented through a safety risk based approach
- Summary
- Questions



# UK CAA Key Objectives - Performance and Risk Based Approach



Gather and analyse safety risk information about all parts of an organisations operations in a joined up way – the entity approach.

Agree the actions needed to improve safety and uphold standards with each entity's 'Accountable Manager'.

Create a better understanding of the top risks facing major aviation sectors and the performance of industry to manage them.

Make informed decisions about the safety outcomes that the Regulator & Industry should focus on and steps to achieve them.

Allocate regulatory resources proportionately to the areas of activity with greatest potential to enhance aviation safety.

# Performance and Risk Surveillance - Expected Outcomes

RBS provides collated risks associated with each part of the organisation to enable them to be analysed together as a single regulated entity.

Effective safety oversight coupled with industry risk management provides confidence that safety risk controls are in place and effective.

Key aviation safety professionals and organisations reliably deliver what is expected of them.

Contribution to Better Regulation outcomes to help deliver proportionality of the oversight regime.

UK CAA achieves the best safety outcomes both current and future for the consumer with the resources available.

Robust safety decision-making to inform resource allocation.

Future oversight plans are tailored based on the latest assessment of an entity's safety risks and performance to help plans be proportionate and targeted.



# Key Benefits of Risk Based Surveillance

- Improved safety performance
- Value-added risk identification
- Proportionate levels of oversight
- Improve relationship with industry by a two way process
- Improved resource to risk
- Collaborative assessments and information sharing

# Opportunities of Risk Based Surveillance

Evidence and Data Rich System

Improved ability to identify and assess broader safety risks against a sector

Auditable and Traceable

Industry engagement

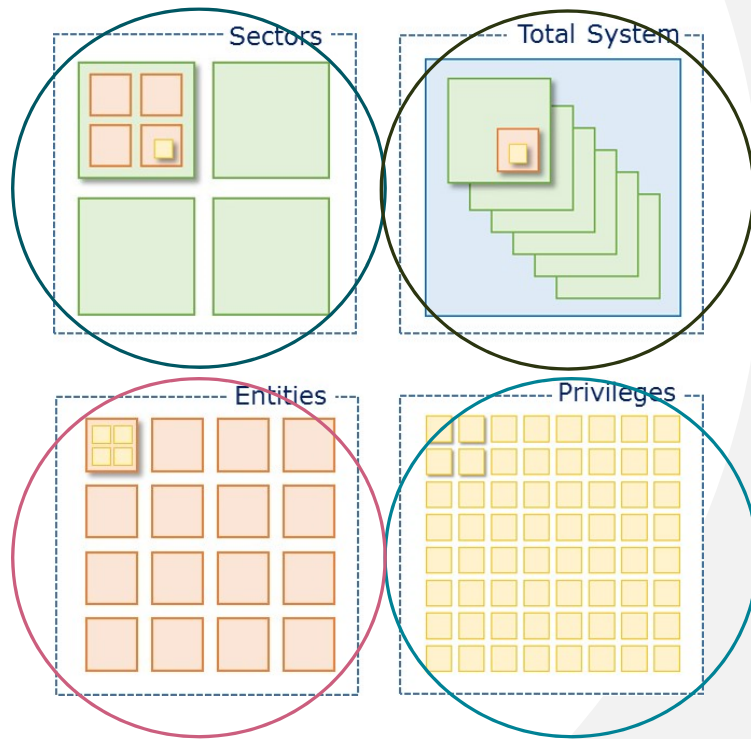
Improved experience for the consumer

Improved industry performance

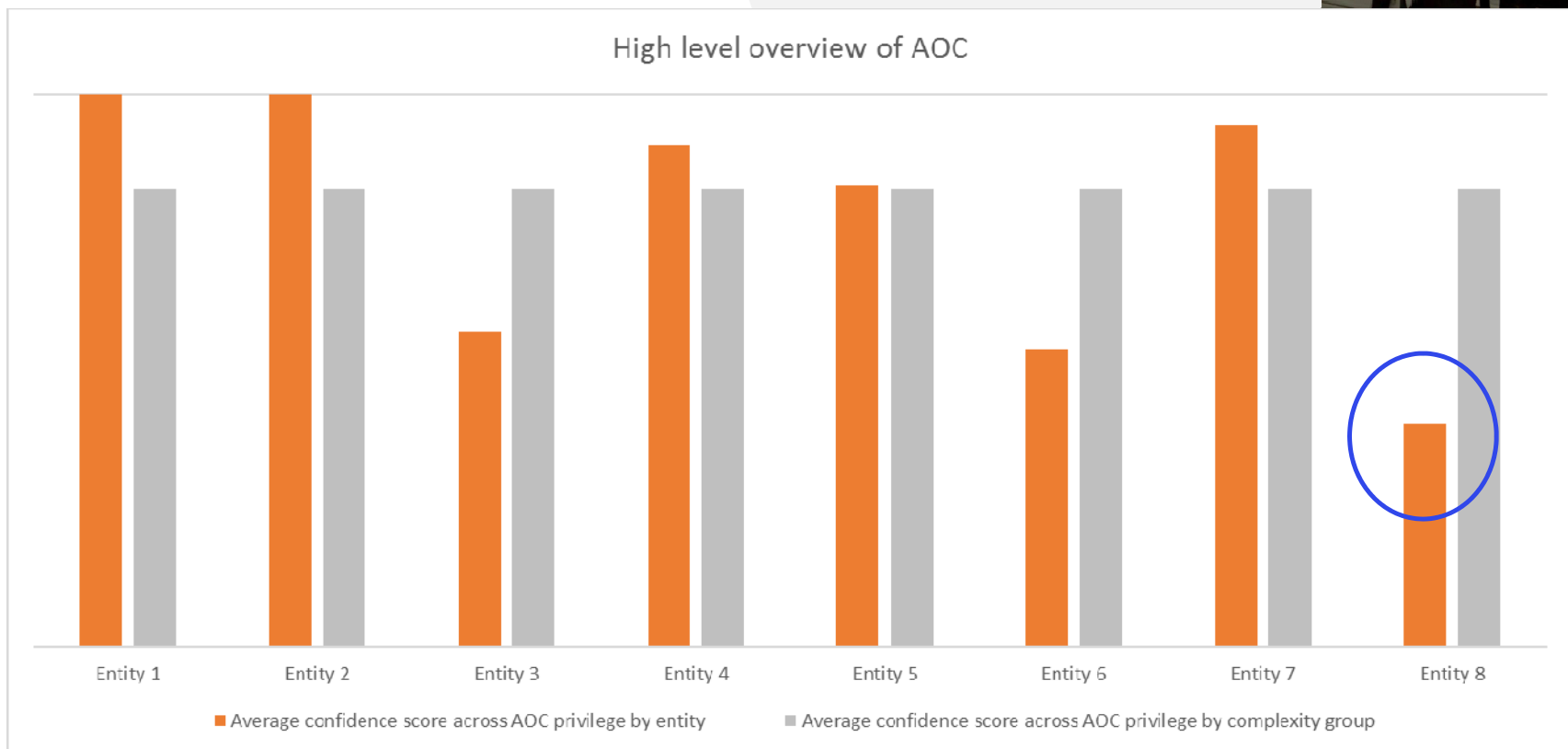
Opportunity for improved regulation



# Collaboration and Building the Risk Picture

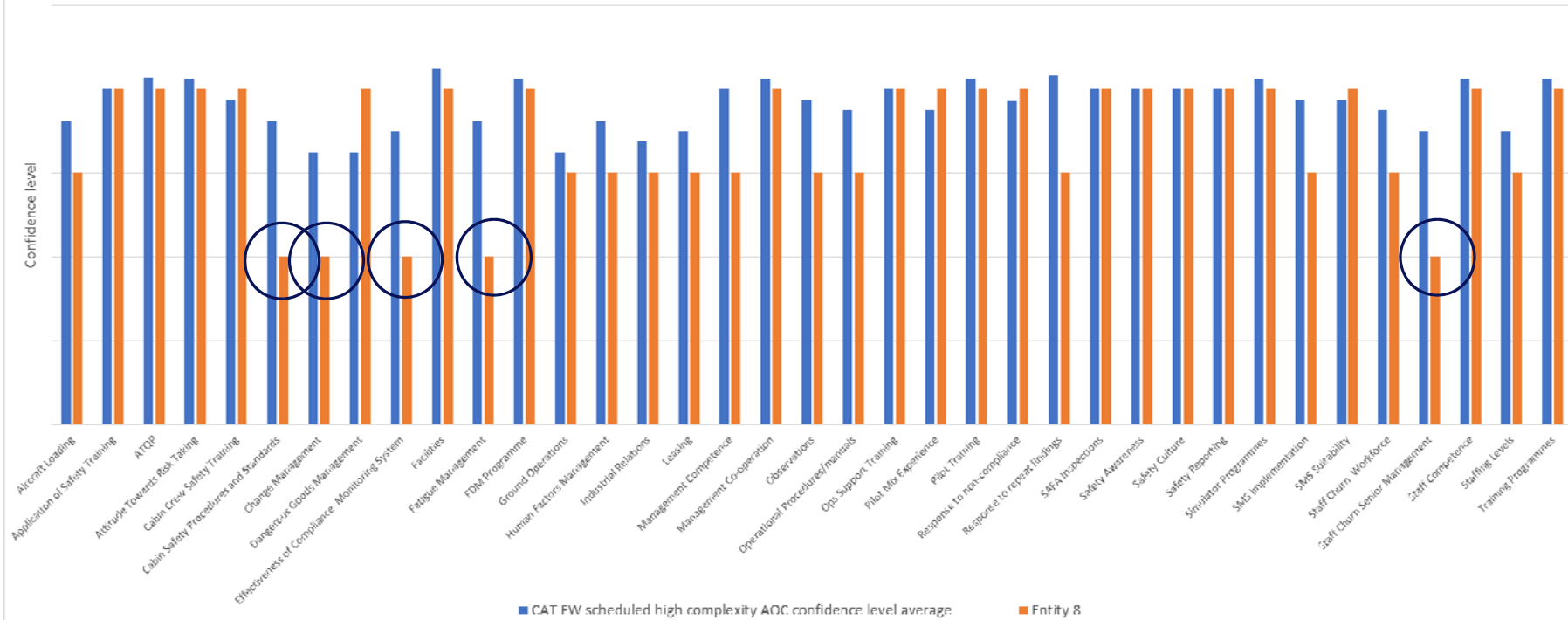


# Assessing Data



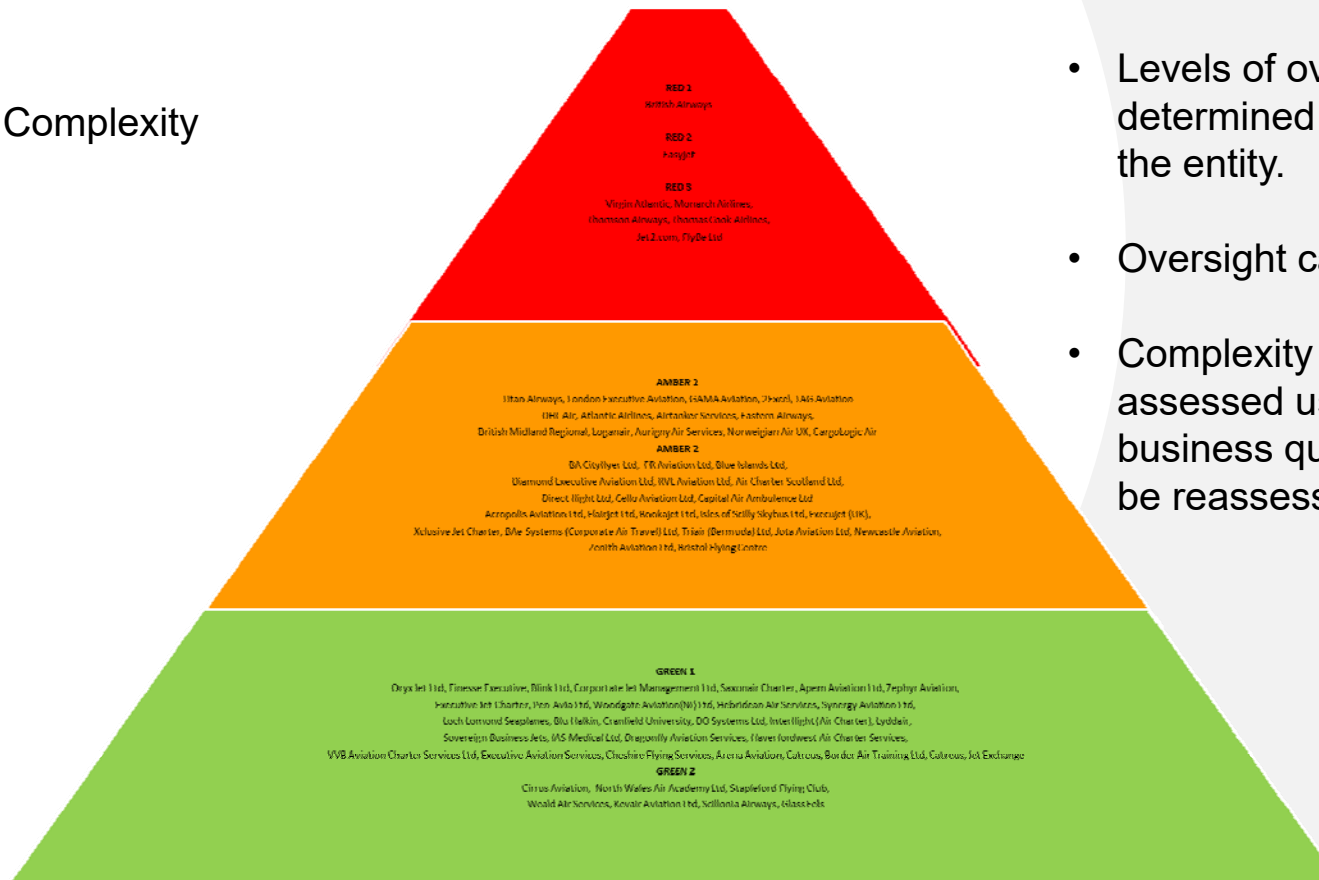
# Assessing Data

CAT FW scheduled (high complexity) AOC confidence level average vs Entity 8 confidence level



# Oversight Activity – Resource to Risk

Fixed Wing Complexity  
Triangle:



- Levels of oversight can be determined by the complexity of the entity.
- Oversight can be varied
- Complexity is developed and assessed using various business questions and should be reassessed periodically.

# Opportunities of Risk Based Surveillance - Summary

## Proportionate

- The UK CAA can provide the level of Surveillance which is required based on risk and performance.

## Targeted

- identifying the key areas for concern based on consistent risk analysis

## Efficient

- the UK CAA is able to assign resource to issues requiring the most attention

## Flexible

- UK CAA is able to respond to incidents and is able to predict where issues may arise.



# Questions?





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