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The CAA International Group



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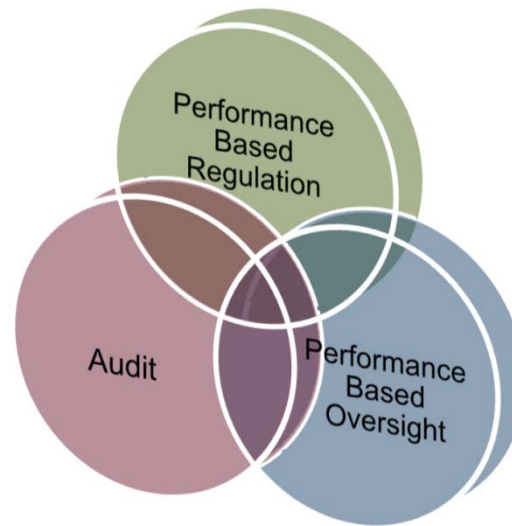
Enablers for Performance based Surveillance

Mark Vincent (MSc) PBR Principle

CAA Performance Based Terminology



The UK CAA



Performance Based Surveillance

Risk Based Surveillance

Audit and Assurance

Surveillance

Prescriptive Based Surveillance

Risk Based Oversight

Scope

- Determining the Key Enablers to Performance Based Surveillance
- Discussing the Enablers to Performance Based Surveillance and Oversight
- Summary
- Questions



Determining the Key Enablers

Data

Industry
Engagement

Staff Buy In

Defined Strategy



Data – A Key Enabler

ICAO Annex 19 requires that information is systematically collected, analysed and monitored to identify risks.

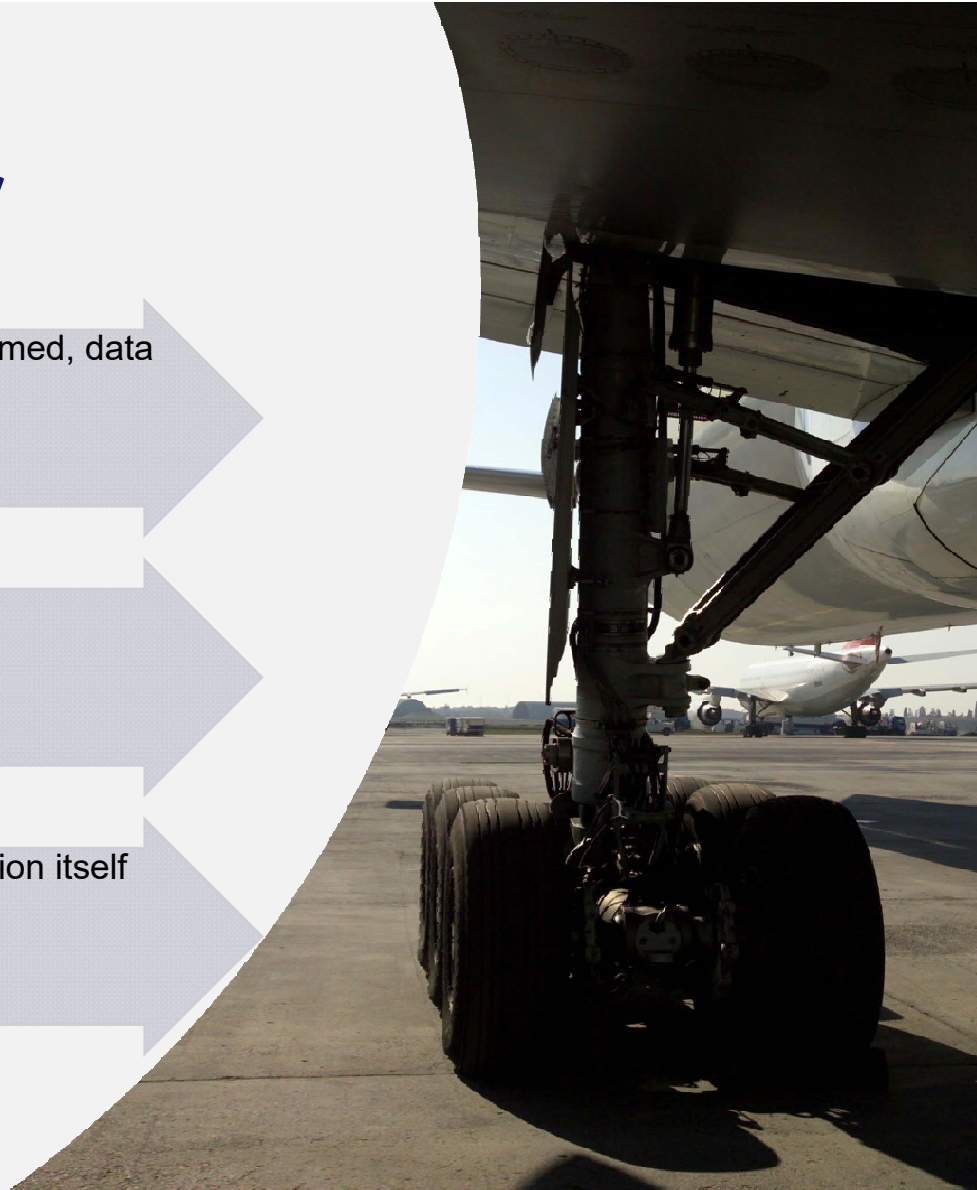
- This will lead to a more informed, data based, risk aware regulator

The Breadth of Data

- Such as accident reports
- Compliance data
- Health checks
- SMS maturity

The Recording of Data

- As important as the information itself
- Categorise
- Consolidate



Data Collection – CAA Tools

Q-Pulse (Standardising Oversight)

- Q-Pulse provides all SARG areas with a standard approach to oversight planning, scheduling, management and reporting.
- Oversight planning is based on assessments of the complexity associated with each organisations operations.
- Q-Pulse maintains all oversight data in a single application, removing the need for other systems, spreadsheets and databases.

Entity Performance Tool (Web based platform)

- Bespoke software developed by CAA allows inspectors from all capability areas to access and modify each entity's risk picture.
- The software, known as the Entity Performance Tool (EPT), creates standard reports and management information.
- The EPT captures confidence levels about specific parts of an entity's operations and measures trends over time.

CAA – Entity Performance Tool (EPT)

[+ NEW](#)
[DEACTIVATE](#)
[DELETE](#)
[ASSIGN](#)
[SHARE SECURED FIELDS](#)
[EMAIL A LINK](#)
[RUN WORKFLOW](#)
...

ASSESSMENT PRIVILEGE

Air Operator Certificate [REDACTED]

Confidence Level
Medium

Last Confid
Medium

ASSESSMENT RESPONSES


<input type="checkbox"/>	Question Title ▲	Question	Current...	Current Rationale	Last Conf. L...	Last Rationale	Prior Conf. Level
<input type="checkbox"/>	Safety Awareness & Communications:	Are safety communication method...	High	Awareness is very apparent through visibility of rep...	N/A	It is not possible to assess this attrib...	N/A
<input type="checkbox"/>	Safety Reporting:	Is there an active & Just reporting...	High	The operator has seen a 105% increase in MOR rep...	Medium	Lower rate of MORs than other oper...	N/A
<input type="checkbox"/>	Change Management:	Do you believe that the entity is m...	Low	Despite numerous significant changes in the mana...	Low	Gnd Ops - No evidence of implemen...	N/A
<input type="checkbox"/>	Human Factors:	Have Human Factors been taken i...	Medium	Although there are processes in place, these are ac...	Medium	It is not possible to assess this attrib...	N/A
<input type="checkbox"/>	Commitment, competence & involvemen...	Do the Accountable Manager & S...	Medium	Progress within Fit Ops for Compliance Monitoring...	Medium	based solely on form 4 interview with...	N/A
<input type="checkbox"/>	Staff competence:	Do the organisation's staff have th...	High	Evidence of a good level of competence.	Medium	It is not possible to assess this attrib...	N/A
<input type="checkbox"/>	Recruitment & retention of key individuals:	Do you believe that the entity can...	Very Low	There continues to be a high churn of senior mana...	Very Low	Majority of senior management chan...	Medium
<input type="checkbox"/>	Staff churn / stability:	Are you confident that the rate of...	Medium	There has been significant pilot churn, consistent w...	Medium	some difficulties filling vacant roles	Medium
<input type="checkbox"/>	<input type="text" value="Staffing levels:"/> <input type="button" value="🔍"/>	Do you consider that the manpow...	Medium	There has been some progress in this area but staff...	Low	Recent EoC identified resource conce...	N/A
<input type="checkbox"/>	Procedures/manuals:	Have sufficient & appropriate proc...	Medium	The amendment processes in place allowed manua...	Medium	Recent EoC identified amendment iss...	Very High
<input type="checkbox"/>	Compliance monitoring:	Has an effective Compliance Moni...	Medium	Observations: Response to non-compliance: Effe...	Low	Observations: Response to non-co...	High
<input type="checkbox"/>	Response to repeat findings:	What level of confidence do you h...	Medium	Progress in some areas though also some recurring...	Medium	low confidence in ops planning	High
<input type="checkbox"/>	Third Party Management:	Does the entity proactively overe...	Medium	Industrial Relations: No evidence of significant iss...	Medium	Industrial Relations: Ground Operati...	Medium

CAA – EPT Risk Capture

SAFETY RISK

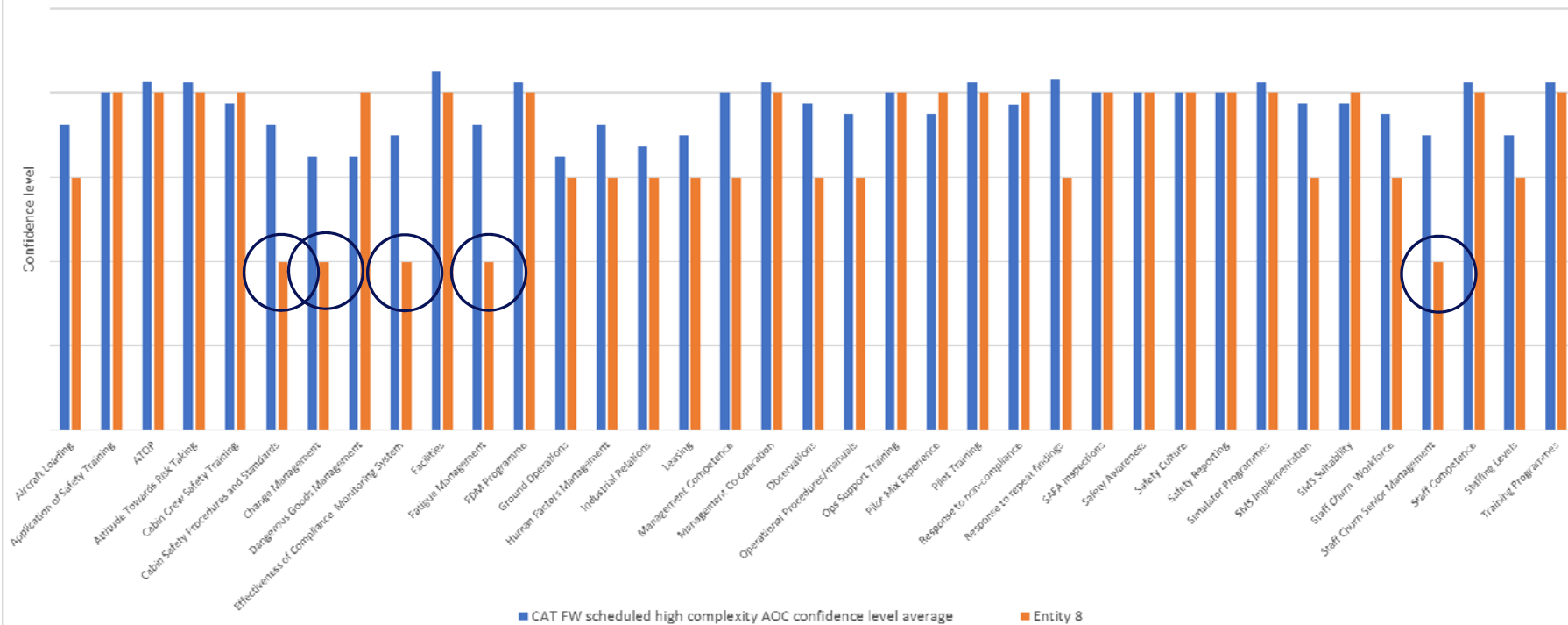
Aerodrome Operations - Wildlife management

Official Sensitive Commercial

Aviation Entity*	TEST ENTITY 1	Safety Review*	TEST ENTITY 1 Safety Review 01/05/2017 - 30/04/2018
Safety Risk Theme*	Aerodrome Operations	Safety Risk Title*	Wildlife management
Origin*	CAA		
Event*	Bird strike on approach to land		
Cause*	Wildlife measures have not been put into place as determined by the latest safety assessment		
Effect*	There has been occasions where an aircraft has been on approach and been struck by a number of birds, there have been no fatalities but there is a risk to passengers should the birdstrike be more serious, or occur earlier in the approach		
Risk Descriptor*	Bird strike on approach to land due to Wildlife measures having not been put into place as determined by the latest safety assessment there has been occasions where an aircraft has been on approach and been struck by a number of birds, there have been no fatalities but there is a risk to passengers should the birdstrike be more serious, or occur earlier in the approach. There has been evidence that has seen injury to passengers when an aircraft has had to make a heavier landing than expected.		
Likelihood	Possible		
Impact	Medium		
Rating			
Risk Type	Treat		
Desired Outcome	Improve		

Assessing EPT Data

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





Industry Engagement

Three main types of industry engagement

- Directive
- Engaged
- Collaborative

Repair existing relationships to achieve collaboration

- UK CAA ensured that the regulatory role from the Performance Based roles were clearly separate, it was important that the industry was aware of which capacity the UK CAA was engaging from

Taking your Staff with you

People will be key in populating the risk and performance based system

Understand and address the current limitations

Understand and communicate the challenges faced.

Buy-in from the start is essential

Training for success



Strategy

- Defining a strategic goal
- Transformation Plan
- A clearly defined set of benefit and outcomes
- A plan to execute the delivery
- An end product -

By being a Performance based regulator working collaboratively with industry to achieve better regulation.



Questions?





UK Civil Aviation Authority
International Group
Aviation House
Gatwick Airport South
West Sussex RH6 0YR
United Kingdom

www.caa.co.uk/ig