



# EASA

European Aviation Safety Agency

## Risk based surveillance and Safety Inspector's competency profile

*Proposal for a Competency framework for  
Authorities' Inspectors*

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EASA, Flight Standards Directorate

**Your safety is our mission.**

An agency of the European Union 

TE.GEN.00409-001



# About EASA and the EU-Latin America and Caribbean Partnership Project



# Facts and figures

Established  
**2002**

*15 years*  
*in operation*

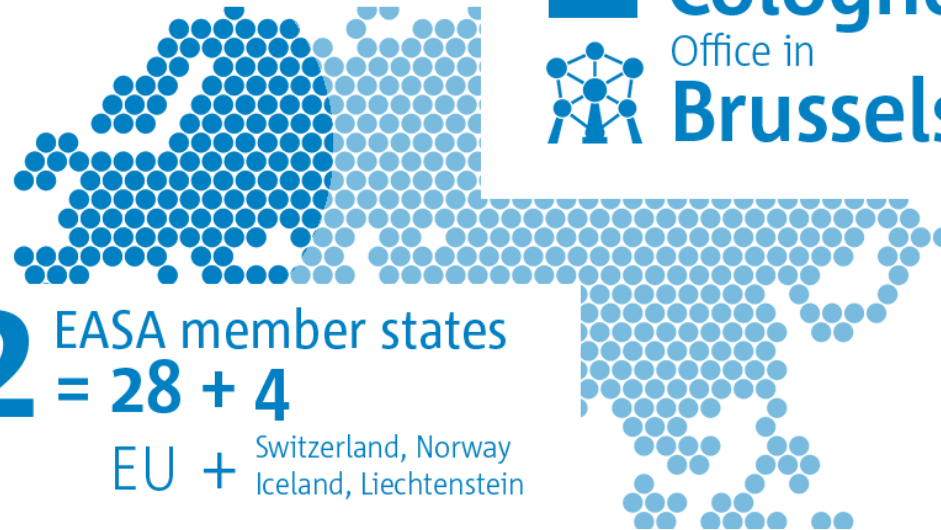
**800+**

aviation experts  
& administrators

Headquarters in  
**Cologne**  
Office in  
**Brussels**

**32** EASA member states  
**= 28 + 4**

EU + Switzerland, Norway  
Iceland, Liechtenstein





# The EU aviation safety system



**Proposes rules / issues guidance material**

**European Aviation Safety Agency**

**European Commission**

**Adopts rules**

**Launches infringement procedure**

**Manages Safety List**

**Issues certificates and approvals where centralisation is more efficient**

**Audits Authorities**

**Manages European Aviation Safety Plan**

**Coordinates SAFA programme**

**National Aviation Authorities**

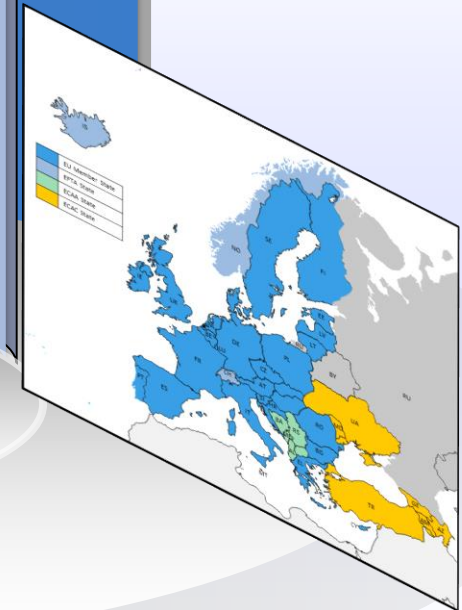
Issue licences, certificates and approvals where centralisation is not more efficient

Oversee organisations

Implement EU law

Conduct ramp inspections

**Industry**





# Objective of EU – LAC APP

Enhance political,  
economic and  
environmental  
partnership between  
the EU, Latin America  
and Caribbean in the  
domain of **civil**  
**aviation**

LATAM APP



EUROPEAN UNION  
DELEGATION AGREEMENT

EU/2017/392-253  
(the "Agreement")

The European Union, represented by the European Commission (the "Contracting Authority") of the one part,  
and

European Aviation Safety Agency (EASA)  
Community Agency established by Regulation (EC) 216/2008  
Konrad-Adenauer-Ufer 3, D-50668 Cologne, Germany  
hereinafter the "Organisation"

of the other part, (individually a "Party" and collectively the "Parties") have agreed as follows:

**SPECIAL CONDITIONS**

**Article 1 - Purpose**

1.1 This Agreement defines the activities entrusted to the Organisation for the implementation of the Action EU-Latin America cooperation on Civil Aviation as described in Annex I (the "Action"). This Agreement lays down the rules for implementation, for the payment of the EU contribution, and defines the relations between the Organisation and the Contracting Authority.

1.2 The Action is fully financed by the EU contribution.

1.3 In the performance of the activities, the Organisation shall perform the activities to be implemented under



# Specific Objectives

Promote EU Standards



Facilitate market access



Strengthen regulatory cooperation



Improve the environmental performance





# The EASA Proposal for a Competency Framework for Authorities' Inspectors

**IN THE PAST IT WAS EASY :  
COMPETENCY = EXPERIENCE**





# On inspectors' competencies

## RECOMMENDATION #9

Initial and continuous training should be given to inspectors implementing RBO, to cover:

- development of proper culture when interacting with industry
- use of expert judgment, specially when safety performance and “gut feeling” are blended
- use of RBO-specific tools available at the competent authority.

Support and coaching should be available during the initial phase of RBO deployment.

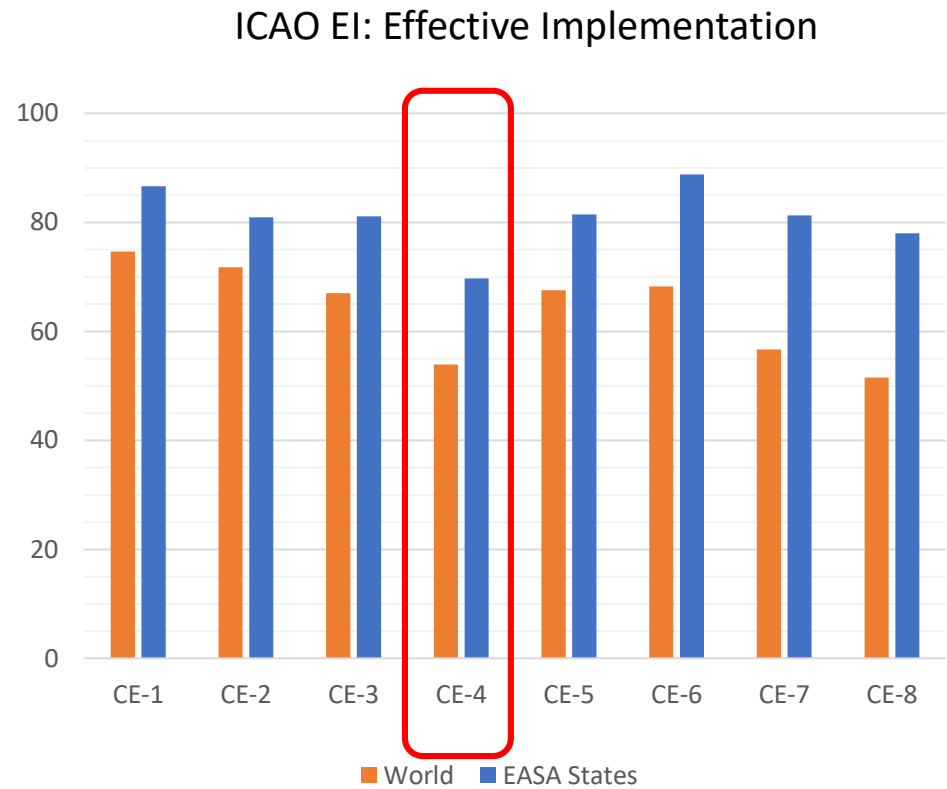
- Keep in mind the big picture and overall strategy
- Flexibility

- Negotiating
- Analysis and judgment
- Combine information from multiple sources



# Another good reason

- Shortage of qualified, experienced technical staff is the main root cause for the weaknesses detected by EASA Standardisation in Europe.
- For successful RBO, staff competency will be even more critical.
- Current Regulations are insisting on knowledge, not on competency



CE-4: Technical personnel qualification and training



# Mandate from EASA Management Board and timing

**‘Define a concept on the competencies expected to be held by Civil Aviation Inspectors to deal with upcoming challenges’**



	AIR	OPS	ACW	ATM	ADR
<b>K</b>	Domain specific	Domain specific <small>NPA 2015-18</small>	Domain specific	Domain specific	Domain specific
<b>S</b>	<i>Listening, Discussing, Negotiating, Analysis and Judgment, Combine information from multiple sources</i>				
<b>A</b>	<i>Openness, Curiosity, Flexibility, Systemic orientation,</i>				

Nominations received

9 March 2016

Competencies Workshop

25/26 April 2016

Roadmap announced

TECHNICAL EXPERTISE	
ROLE AWARENESS	ANALYTICAL THINKING
PERFORMANCE-BASED VIGILANCE	DECISION-MAKING
OVERSIGHT AND PROJECT MANAGEMENT	COMMUNICATION
DEALING WITH COMPLEXITY	TEAMWORK
INTERPERSONAL SKILLS	SELF-DEVELOPMENT

Consolidation Meeting

22 June 2016

Drafting and comments

Deliverable



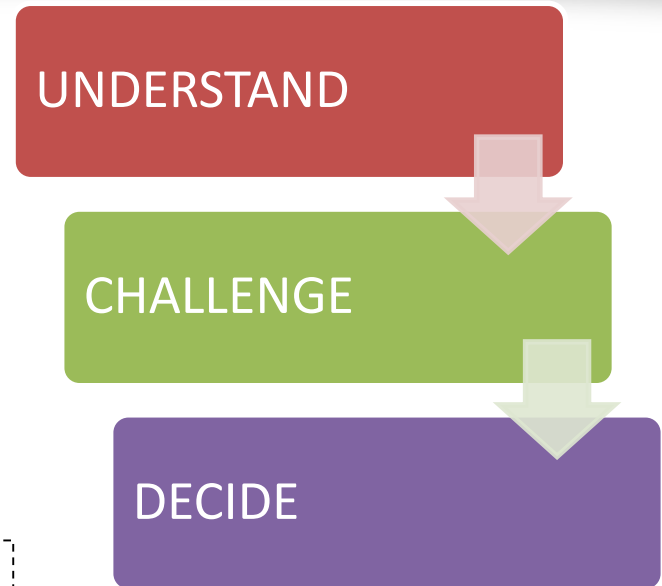
# The challenge for 21<sup>st</sup> century inspector

- Knowledge is important, but is not enough
- **Application of knowledge** is more important
- Focus is therefore on behaviour

Doc 10070: **Competency**. A dimension of human performance that is used to reliably predict successful performance on the job

**Competency**. A dimension of human performance that is used to reliably predict successful performance on the job. A competency is manifested and observed through behaviours that mobilize the relevant knowledge, skills and attitudes to carry out activities or tasks under specified conditions.

Doc 9995, EBT Manual





# How we derived competencies

## Imagine:

### Challenges

Safety  
Management

Risk Based Oversight

New business models

Evolving technologies

...

### Possible scenarios

Performance-based  
requirements

Discussion on risks

Influence vs.  
enforcement

Multi- or supranational  
activities

...

### Desired outcomes

Effective compliance

Positive influence

Partnering relationship

...



# ... and we listened to industry



## What we need from future Inspectors

- Adequate numbers
- Competence
- Understanding of new technologies and operational environment
- Understanding of SMS
- Use of data
- Best use of resources

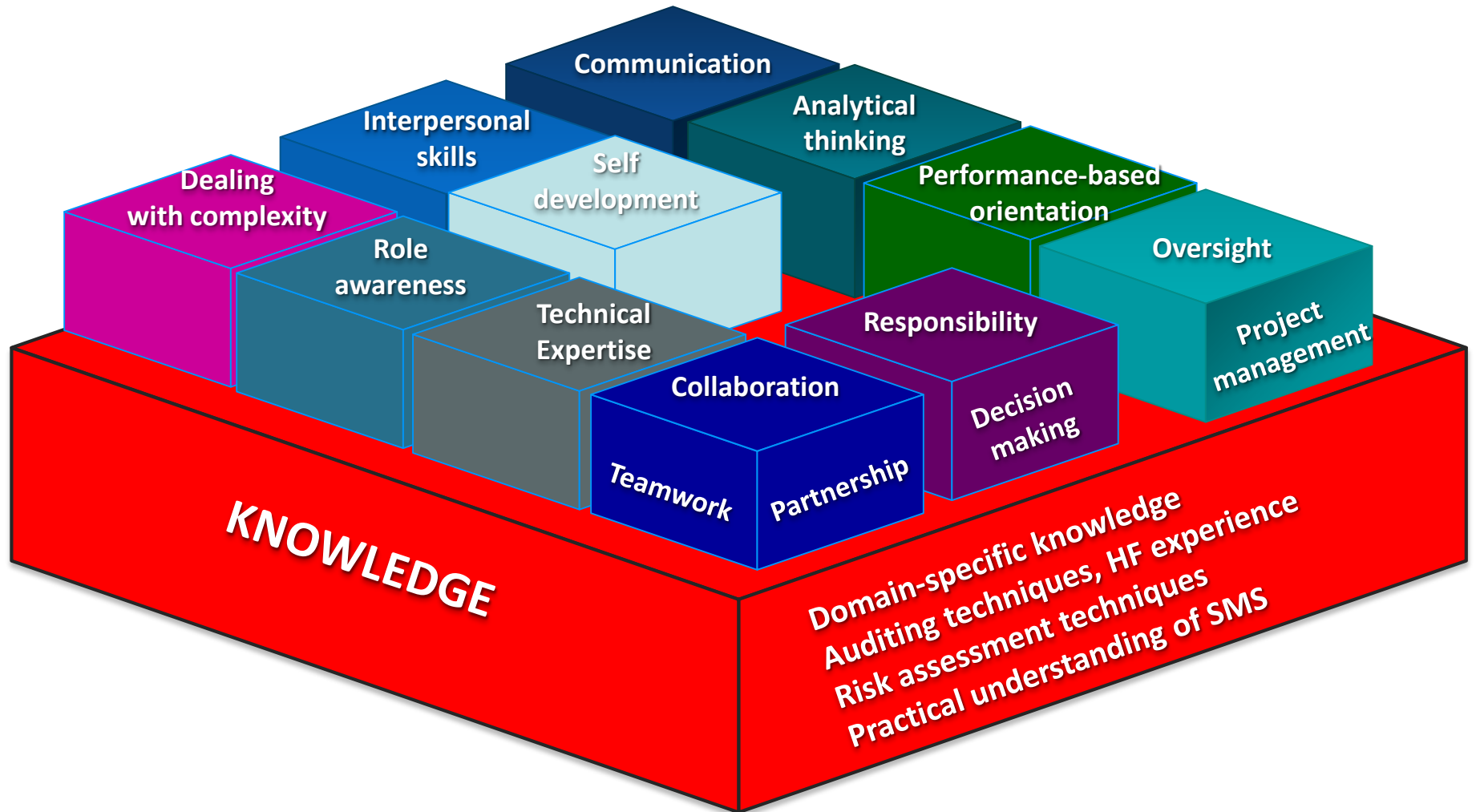
## What we do not need ...



- "Dinosaurs"
- "Lawyers"
- No practical HF experience
- No practical SMS implementation experience



# Knowledge and competencies





# List of knowledge

## Knowledge

Auditing techniques

Practical HF experience  
(training and exposure)

Risk assessment  
techniques

Domain-specific knowledge:

- Typical technical issues
- Regulatory framework
- Operational experience related to the specific duties (e.g. FOI, GOI)

Practical understanding of  
SMS and its implementation:

- SMS assessment tools and techniques
- Definition and use of safety performance indicators

COMPETENCY	DESCRIPTION	COMPETENCY	DESCRIPTION
<b>TECHNICAL EXPERTISE</b>	Demonstrates knowledge appropriate to the allocated tasks.	<b>COMMUNICATION</b>	Effective in expressing information both verbally and in writing.
<b>ROLE AWARENESS</b>	Understands the implications of the inspector role.	<b>ANALYTICAL THINKING</b>	The process of gathering relevant information and identifying key issues related to this information.
<b>PERFORMANCE-BASED ORIENTATION</b>	Demonstrates an effective approach to oversight considering the stakeholder's business model, risk profile and organisational setup.	<b>OVERSIGHT AND PROJECT MANAGEMENT</b>	Makes the best use of available resources to ensure effective oversight and project management.
<b>DEALING WITH COMPLEXITY</b>	Able to navigate complex organisations and systems which operate in a global, interdependent and fast-evolving environment.	<b>DECISION-MAKING AND RESPONSIBILITY</b>	Makes sound decisions based on relevant facts, evidence and safety information as well as using common sense, expert judgement and sometimes "gut feeling".
<b>SELF-DEVELOPMENT</b>	Engaged in a life-long learning process and able to operate effectively and flexibly within a change environment.	<b>TEAMWORK, COLLABORATION AND PARTNERSHIP</b>	Partnering internally and externally to achieve safety objectives.
<b>INTERPERSONAL SKILLS</b>	Able to develop and maintain a suitable relationship in order to achieve objectives.		



Flight Standards Directorate

## REPORT

### Proposal for a Competency Framework for the Competent Authorities' Inspectors

*Working Group established following WPO6 of EASA MB 03-2015*

## Available on EASA website

<http://www.easa.europa.eu/document-library/general-publications/easa-aviation-inspector-competencies-report>

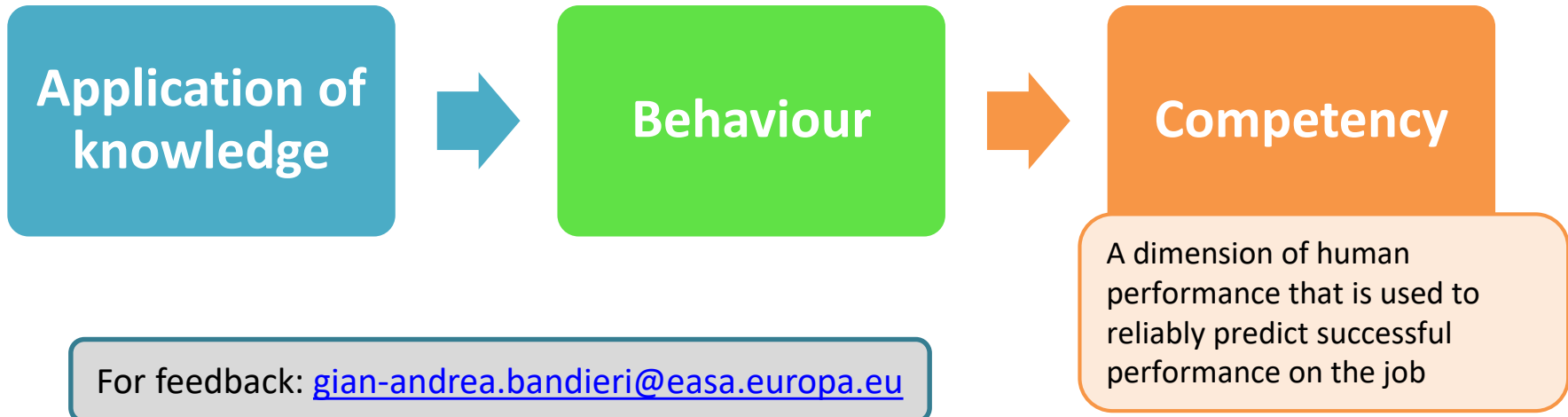
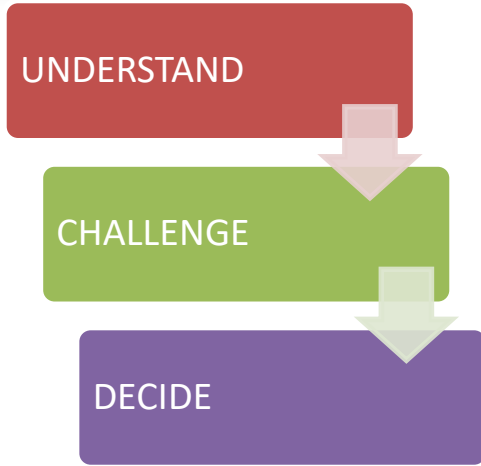


## Practical use

- This framework is a common reference for Competent Authorities
  
- It has to be adapted to the local organisation, needs and culture
  - Complement the existing competency model/framework
  - Used as basis for developing own competency model/framework
  
- Practical use
  - Basis for specific inspector qualifications
  - Considered in the [Practical guide - Assigning pilots to oversight tasks](#)
  - Further use in training



# To take home





# BACKUP SLIDES

COMPETENCY	DESCRIPTION	BEHAVIOURAL ANCHORS
<b>TECHNICAL EXPERTISE</b>	Demonstrates knowledge appropriate to the allocated tasks.	<ul style="list-style-type: none"> <li>• Possesses an in-depth knowledge in the specific area of expertise;</li> <li>• Has a broad understanding of related technical fields in order to do the job at a high level of accomplishment;</li> <li>• Utilises skilfully the sets of knowledge defined as an integral part of this competency;</li> <li>• Is able to have a meaningful technical conversation with the key personnel of the overseen organisations;</li> <li>• Picks up new knowledge quickly;</li> <li>• Is committed to continuously improve and proactively update required knowledge.</li> </ul>
<b>ROLE AWARENESS</b>	Understands the implications of the inspector role.	<ul style="list-style-type: none"> <li>• Is able to advise and challenge taking relevant responsibility;</li> <li>• Understands and acts in compliance with the rules for conflict of interest;</li> <li>• Is prepared to apply enforcement measures when necessary;</li> <li>• Recognises the limit of his/her own authority when taking decisions and when to escalate to a higher level;</li> <li>• Is open-minded, diplomatic, observant and decisive;</li> <li>• Demonstrates a strong sense of integrity and is ethical;</li> <li>• Is self-driven and able to work independently.</li> </ul>
<b>PERFORMANCE-BASED ORIENTATION</b>	Demonstrates an effective approach to oversight considering the stakeholder's business model, risk profile and organisational setup.	<ul style="list-style-type: none"> <li>• Accurately determines and prioritises key points of risk management in different business models;</li> <li>• Is capable of assessing objectively different approaches to manage business risks and demonstrate compliance, without unnecessary preconception;</li> <li>• Applies appropriate assessment techniques to drive effective compliance of the overseen organisations;</li> <li>• Is open to innovation and new ways of working, and is able to meet emerging challenges;</li> <li>• Recognises emerging trends in technical practice and is able to consider new solutions;</li> <li>• Is forward-thinking and cognizant of new upcoming regulatory business models/environments.</li> </ul>

COMPETENCY	DESCRIPTION	BEHAVIOURAL ANCHORS
<b>DEALING WITH COMPLEXITY</b>	Able to navigate complex organisations and systems which operate in a global, interdependent and fast-evolving environment.	<ul style="list-style-type: none"> <li>• Deals insightfully with complex technical concepts that are beyond accumulated knowledge;</li> <li>• Pays attention and observes in depth, breadth and detail situations of high complexity, novelty, or chaos;</li> <li>• Exercises judgement when experience is not helping to bring forth the solution, and is able to identify risks or opportunities through intuition and foresight;</li> <li>• Demonstrates a pragmatic approach in unpredictable situations and remains trustworthy;</li> <li>• Recognises new forms of interdependence and acts considering economic influences, conflicting interests and environmental consequences;</li> <li>• Able to think interdisciplinary and involve other disciplines when necessary; can see opportunities for synergy and integration.</li> </ul>
<b>SELF-DEVELOPMENT</b>	Engaged in a life-long learning process and able to operate effectively and flexibly within a change environment.	<ul style="list-style-type: none"> <li>• Regularly seeks feedback, uses reflection and analyses both successes and setbacks for continuous self-improvement;</li> <li>• Shows interest and pursues appropriate learning activities that meet self-development/learning needs;</li> <li>• Is aware that different situations need different skills and approaches (e.g. shift from compliance-based to performance-based);</li> <li>• Has an open approach and perceives change as a personal challenge and opportunity to grow;</li> <li>• Is able to think ahead and obtain technical and professional knowledge accordingly.</li> </ul>
<b>INTERPERSONAL SKILLS</b>	Able to develop and maintain a suitable relationship in order to achieve objectives.	<ul style="list-style-type: none"> <li>• Is able to lead open and tactful discussions where all parties can state their case; Is diplomatic and settles misunderstandings skilfully;</li> <li>• Is able to understand cultural differences and adapt behaviour to culture-specific expectations;</li> <li>• Can sense the emotional standing of a counterpart in a conversation and is able to react with respect and appreciation;</li> <li>• Is able to build constructive relationships - up, down, and sideways, inside and outside the organisation; Easily finds common ground;</li> <li>• Is able to compromise and accept different views;</li> <li>• Acknowledges the opinions of others even when he/she disagrees.</li> </ul>



# The proposed competency framework

COMPETENCY	DESCRIPTION	BEHAVIOURAL ANCHORS
<b>COMMUNICATION</b>	Effective in expressing information both verbally and in writing.	<ul style="list-style-type: none"><li>• Demonstrates openness and honesty while communicating and sharing information;</li><li>• Adapts communication style to the audience - language, tone, style, content, format, non-verbal elements etc. - and is able to get messages across that have the desired effect;</li><li>• Is able to summarise complex technical information;</li><li>• Listens attentively, asks clarifying questions and is able to identify common ground.</li></ul>
<b>ANALYTICAL THINKING</b>	The process of gathering relevant information and identifying key issues related to this information.	<ul style="list-style-type: none"><li>• Can think holistically and is able to read/interpret data and to draw viable conclusions;</li><li>• Is able to identify causes and consequences and to anticipate impacts and outcomes;</li><li>• Can discuss multiple aspects and impacts of issues and project them into the future;</li><li>• Is comfortable to simplify complex processes;</li><li>• Can think coherently and follow a reasonable line of thought;</li><li>• Can identify alternative ways and differentiate acceptable from unacceptable possibilities.</li></ul>



# The proposed competency framework

COMPETENCY	DESCRIPTION	BEHAVIOURAL ANCHORS
OVERSIGHT AND PROJECT MANAGEMENT	Makes the best use of available resources to ensure effective oversight and project management.	<ul style="list-style-type: none"><li>• Is aware of own strengths and limitations and those of the team, and is able to prioritise and assign tasks to team members accordingly;</li><li>• Manages issues by drawing on own experience and knowledge, and plans, organises and calls on other resources as necessary;</li><li>• Takes personal responsibility for the quality and timeliness of work, and achieves results in good cooperation with others;</li><li>• Highlights issues and concerns that might lead to enforcement activity; Understands the escalation paths and the full range of available enforcement actions to reach the desired safety outcomes;</li><li>• In seeking efficient use of resources, shares responsibility with others, sometimes managing tasks from a distance (remotely);</li><li>• Follows procedures and standards, and follows up issues accordingly;</li><li>• Reflects on own performance within the team, observes and monitors team members, seeks and gives constructive feedback to others to ensure a standardised oversight approach.</li></ul>



# The proposed competency framework

COMPETENCY	DESCRIPTION	BEHAVIOURAL ANCHORS
DECISION-MAKING AND RESPONSIBILITY	Makes sound decisions based on relevant facts, evidence and safety information as well as using common sense, expert judgement and sometimes "gut feeling".	<ul style="list-style-type: none"> <li>• Draws on analysis, experience and consultation to take informed decisions that are perceived as fair, objective and reasonable;</li> <li>• Remains factual, considers options and priorities, as well as any potential consequences and resulting liability, before concluding on a case;</li> <li>• Is able to make decisions under pressure;</li> <li>• Is able to conclude timely on findings;</li> <li>• Takes decisions on regulatory action (enforcement) appropriate to own level of responsibility;</li> <li>• Is able to take on additional responsibility when necessary or deemed appropriate.</li> </ul>
TEAMWORK, COLLABORATION AND PARTNERSHIP	Partnering internally and externally to achieve safety objectives.	<ul style="list-style-type: none"> <li>• Collaborates within the team and other domains , as well as with external stakeholders, for gathering information needed to regulate the overseen organisations;</li> <li>• Sustains constructive working relationships both internally and externally characterised by acceptance, cooperation and mutual respect;</li> <li>• Recognises conflict and manages it constructively;</li> <li>• Supports and acts in accordance with final team decisions, even when such decisions may not entirely reflect own position;</li> <li>• Proactively engages others in joint working;</li> <li>• Expresses views in a positive, persuasive manner whilst remaining receptive to the views of others;</li> <li>• Openly shares own experience and knowledge to benefit others and encourages others to do the same.</li> </ul>