



www.caa.co.uk/international



Going further than ever before to raise aviation standards worldwide

The CAA International Group



www.caainternational.com
Part of the UK CAA International Group



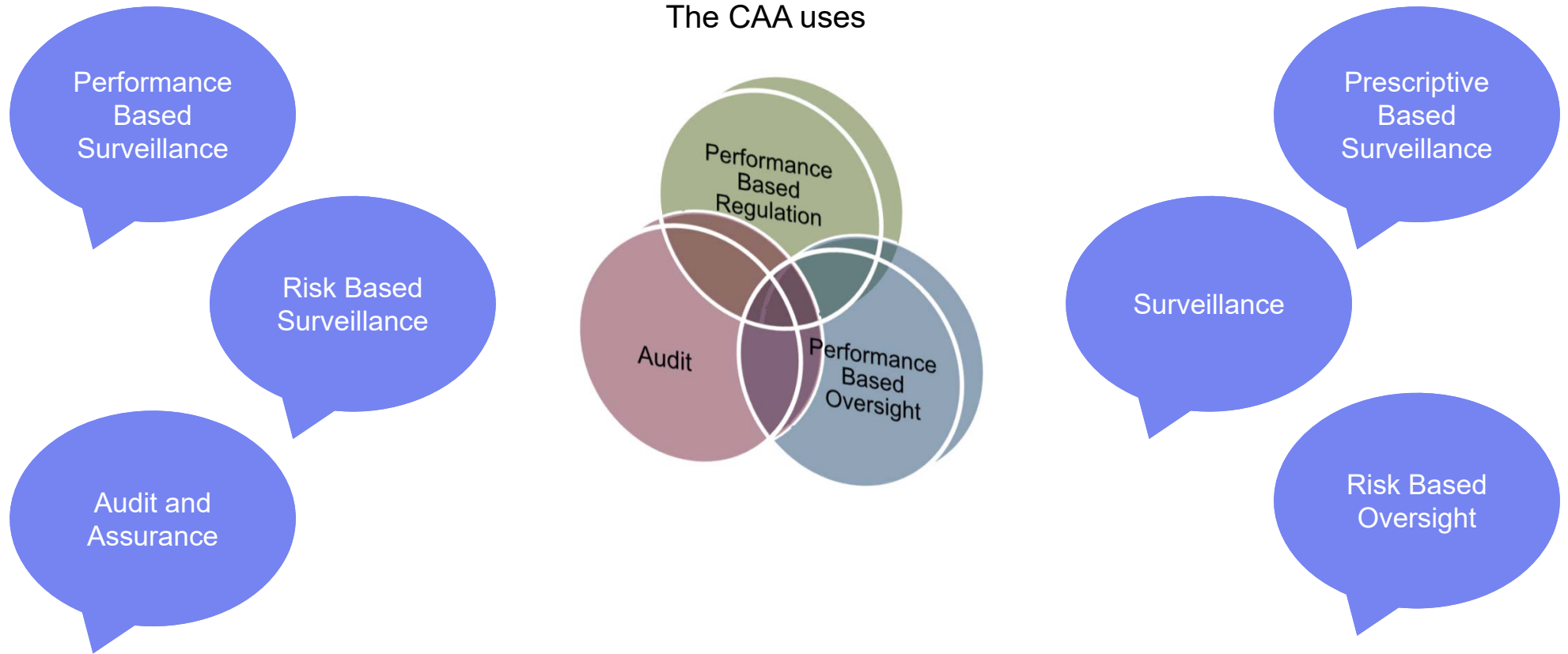
Risk based Surveillance

Mark Vincent (MSc) PBR Principle

CAA Performance Based Terminology



The CAA uses





Scope

- Introduction to Performance and Risk Based Surveillance
- An overview of the CAA's Performance and Risk Based Surveillance Process
- Link to the Regulatory Safety Management System
- Summary
- Questions

Introduction

PBR uses the information gained from performance based oversight (PBO) activity and the intelligence and data gathered from using our own internal SMS (the Regulatory SMS).

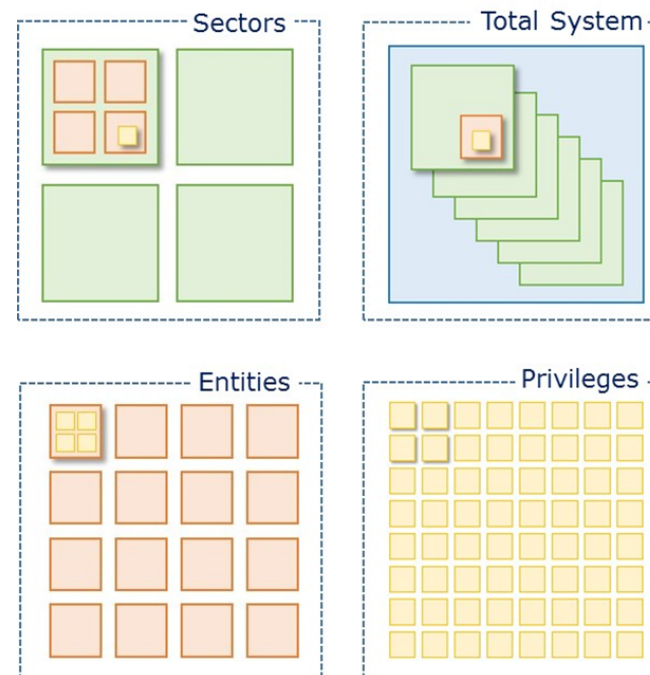
The data and intelligence is structured around four levels.

Privileges are approvals, certificates and licences issued and overseen by the CAA (and EASA) for organisations to provide aviation products and services.

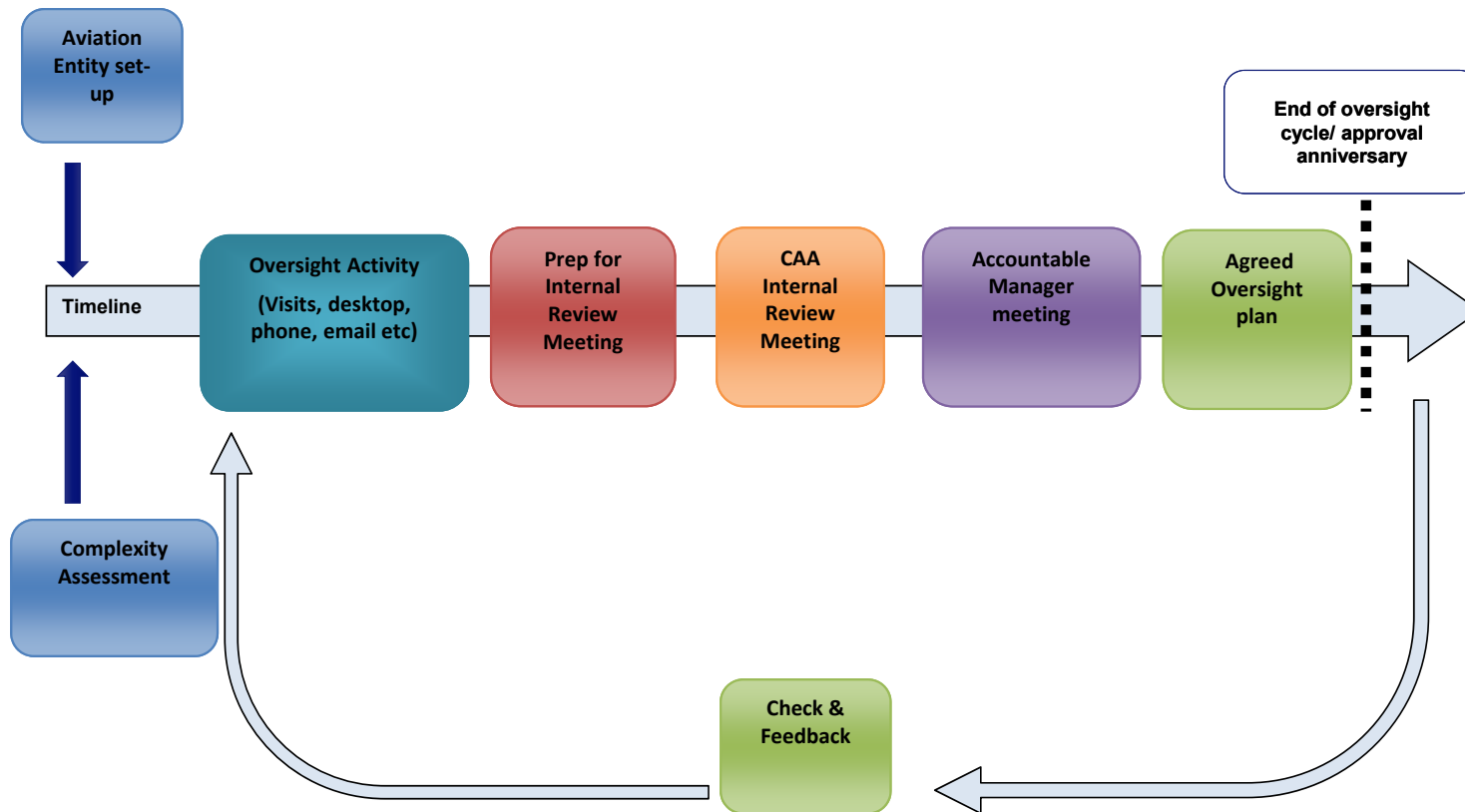
Entities are a collections of related privileges, typically held by the same organisation, that are reviewed together to provide a joined assessment of safety performance.

Sectors are collections of entities providing the same types of products and services that are reviewed together to identify the top safety risks and best/worst performers.

Total System Combining information from multiple sectors provides CAA with a total system view of the top safety risks and safety performance issues.

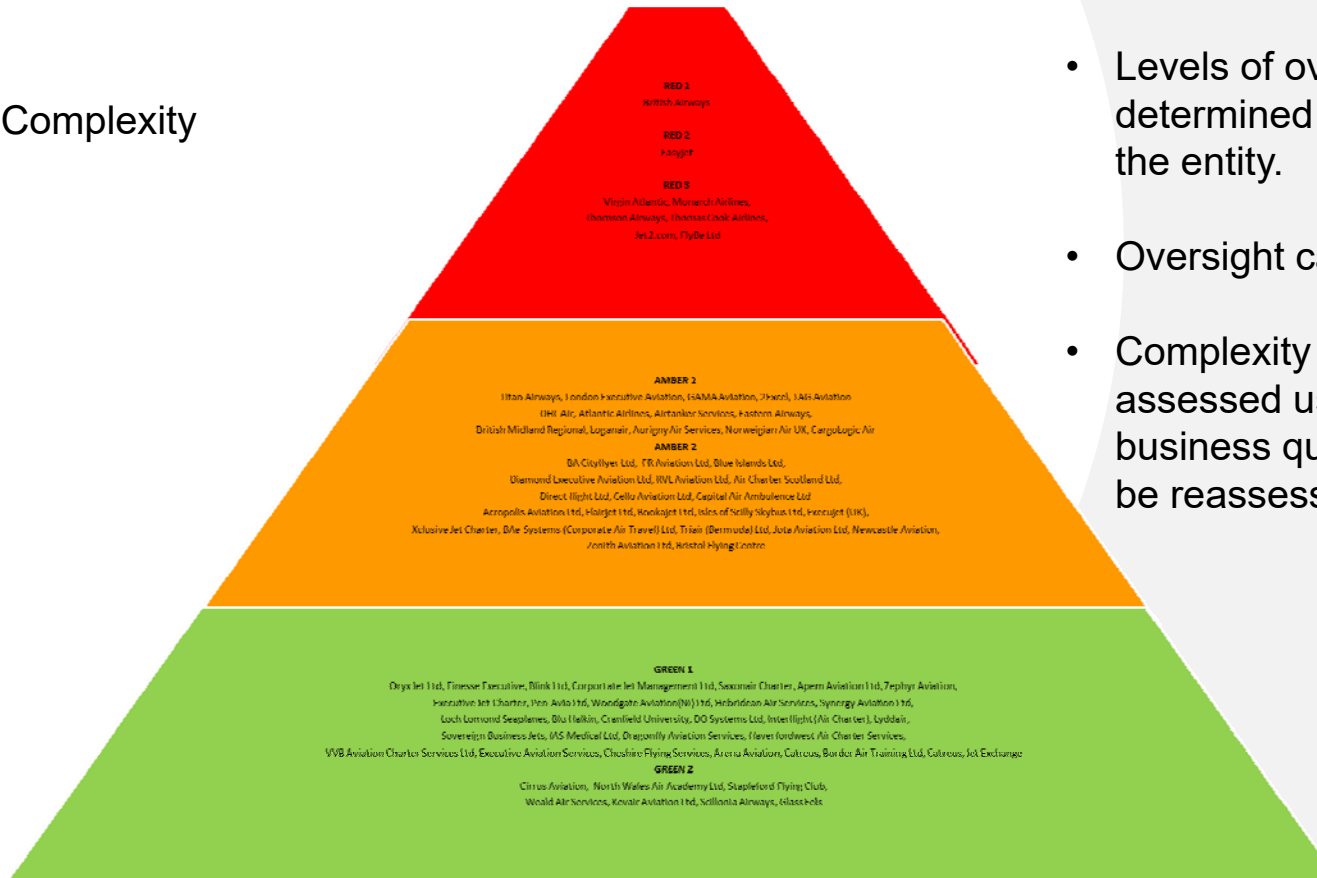


Risk Based Surveillance – Oversight Process



Oversight Activity

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.

Data Capture – Confidence and Risk



ASSESSMENT PRIVILEGE

Air Operator Certificate GB2299 - Fixed Wing

Confidence Level
High

Safety Review* TEST ENTITY 1 Safety Review 01/05/2017 - 30/04/2018
 Privilege Type* Air Operator Certificate
 Privilege Type Descri *****

Is Lead Privilege* No

Oversight Team Mgr* Mark Vincent
 Sector Manager* Mark Vincent

Progress Incomplete

ASSESSMENT RESPONSES

<input type="checkbox"/>	Question Title * ▲	Question	Current Conf. Le...	Current Rationale
<input type="checkbox"/>	Safety Awareness & Communications:	Are safety communication methods used to ensure that r...		
<input type="checkbox"/>	Safety Reporting:	Is there an active & Just reporting culture? Are you confid...		
<input type="checkbox"/>	Change Management:	Do you believe that the entity is managing changes & the...		
<input type="checkbox"/>	Human Factors:	Have Human Factors been taken into consideration acros...		
<input type="checkbox"/>	Commitment, competence & involvement of Senior Mana...	Do the Accountable Manager & Senior Management hav...		
<input type="checkbox"/>	Staff competence:	Do the organisation's staff have the competence to supp...		
<input type="checkbox"/>	Recruitment & retention of key individuals:	Do you believe that the entity can recruit & retain high qu...		
<input type="checkbox"/>	Staff churn / stability:	Are you confident that the rate of staff turnover does not...		
<input type="checkbox"/>	Staffing levels:	Do you consider that the manpower in place is sufficient t...		

Active

Risk Capture – Entity Level



Aviation Entity*	TEST ENTITY 1	Safety Review ⁺	TEST ENTITY 1 Safety Review 01/05/2017 - 30/04/2018
Safety Risk Theme*	Aerodrome Operation	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	A horizontal bar with a gradient from light to dark orange, containing the number 9.		
Risk Type	Treat		
Desired Outcome	Improve		
Confirmed*	Yes		
Confirmed On	02/03/2018		

RSMS



RSMS - Function

Safety risk management & decision making

- The end to end safety risk management process by which we create risk pictures for entities (via PBO), sectors and the total aviation system and how this analysis is used to inform safety decision making.

Safety governance forums

- Groups established to oversee safety risk analysis and decision making for regulated entities (IRMs), sectors (Safety Risk Panels / Safety Review Committee) and the total aviation system (the Safety Leadership Group).

Safety role and responsibilities

- Formal agreement on the accountabilities, tasks and expectations of the key individuals across the UK CAA (not just in SARG) who contribute to the day to day operation and effectiveness of the RSMS.

Safety assurance, review & improvement

- Our approach to assuring the RSMS is operating effectively, consistently and to the required levels of quality as the industry and regulator continue to evolve.

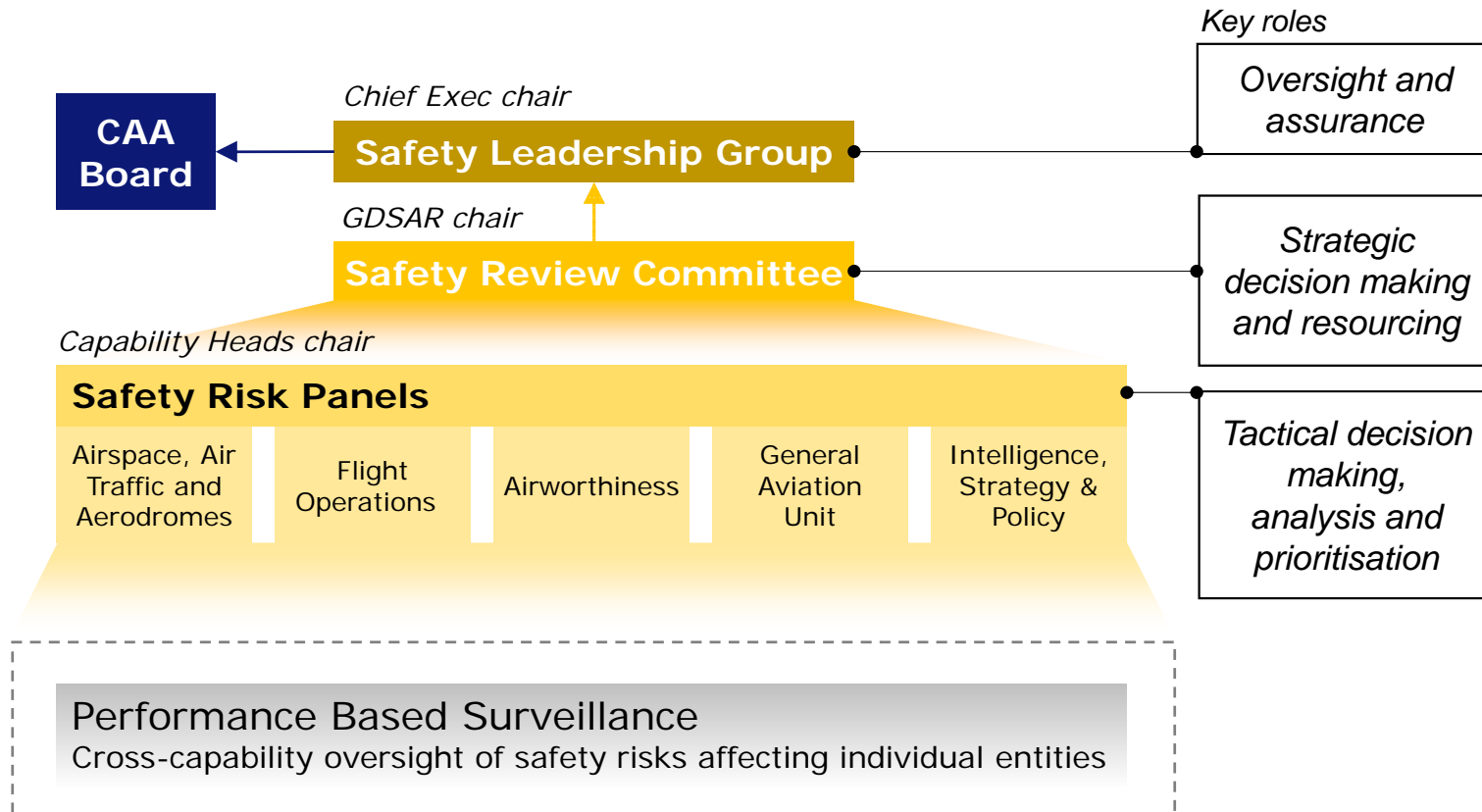
Safety awareness & training

- Making sure all UK CAA colleagues understand the RSMS processes and decision making mechanisms and how to make best use of them.

Safety Communications & Engagement

- Ensuring that UK CAA colleagues, the industry and European / Global safety regulators are kept up to date on UK safety priorities and how they are being managed.

Regulatory Safety Management System (RSMS) - Overview



Summary

Performance and Risk Based
Surveillance allows a regulator to:

*“Do the right thing, the right way at the
right time whilst encouraging an
organisation of experts to become an
expert organisation.”*





UK Civil Aviation Authority
International

Aviation House
Gatwick Airport South
West Sussex RH6 0YR
United Kingdom

www.caainternational.com