



# Organisational Safety Culture – Regulatory workforce capabilities to meet new challenges

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Focus is on a sub-set – capabilities of its people

Structure

- Assumptions
- Shared beliefs
- Role of aviation regulator – NZ context
- The Art of Regulation
- Drivers for change
- People - capability requirements
- Regulator as a profession
- Behaviours, behaviours, behaviours.....
- Discussion

- Organisational ‘success’ is delivered by shared beliefs and associated behaviours = culture
- Safety-culture needs to be understood by all
- Safety-culture needs to be actively managed
- That different levels of an organisational have different influences on the safety-culture
- Senior managers are the organisation’s safety-culture custodians and shapers
- Shared beliefs mould staff behaviours
- Culture can only be assessed through observing human behaviour.



Beliefs are emotions and assumptions that something is true. Beliefs are not inherent in people; they are learnt and arise from a common experience. When beliefs are shared a sense of community and group cohesion – or culture, occurs.

Shared Beliefs = Culture

- Beliefs and hence culture can only be assessed and interpreted indirectly through observing human behaviours.
- Describe the requisite behaviours clearly
- Be clear on expectations with staff
- Show staff the link between behaviours and the organisational shared belief (culture forms)
- Actively assess those behaviours
- Reward appropriate behaviours

# Safety!



- SMS - performance (PBO) v compliance (CBO);
- increased complexity of regulatory decision making;
- increased tolerance of less failures from the public and central government
- rapidly changing and evolving technologies such as Performance Based Navigation (PBN) and Remotely Piloted Aerial Systems (RPAS).



“Acknowledge the constant need to make choices. Make them rationally, analytically, democratically. Take responsibility for the choices you make. Organise yourselves to deliver important results. Choose specific goals of public value and focus on them. Devise methods that are economical with respect to the use of state authority, the resources of the regulatory community and the resources of the agency. And as you carefully pick and choose what to do and how to do it, reconcile your pursuit of effectiveness with the values of justice and enquiry.”

The Regulatory Craft, Malcolm K. Sparrow, 2000

# Identify the big problems and fix them

The Regulatory Craft, Malcolm K. Sparrow, 2000

Move from

- transactions to problem solving (focus on aviation risk)
- activities to strategies
- reactive to proactive
- prescription to performance or outcome based

The CAA must be an ***adaptive organisation with the intellect and capability to rise to the challenge of understanding the risks and implications and act accordingly – a developing and growing organisation that can THINK its way through the problems it is confronting as BAU*** – this is nothing to do with OD structure – CAA **must not become a character of its structure**

- A sense of belonging
- Share a core set of theoretical, practical and contextual knowledge
- Recognised and respected
- Guided by a common code of professional conduct and **beliefs**
- Share a common language

Fusing aviation knowledge and skills with regulator craft, three layers of triangle

- Good judgement and decision-making: what we want to achieve
- The behaviours: the way we do things
- Foundational skills and knowledge

# The Regulator as a Professional

## New capabilities for new challenges

### A competency is:

"A capability that allows a person to perform various processes or tasks and achieve outcomes. It is a combination of relevant knowledge, skills, and attitudes. It is the demonstrated ability to apply knowledge and skills."

### Core Behaviours

Exercising good judgment

Modelling professional behaviour

Focused on results

Adaptable to change, flexible & open minded

Courage & responsibility

Continuous personal improvement

### Regulatory decision-making

#### Thinking in context

Understand regulatory framework its intent & legal & aviation context

#### Innovative thinking and open-mindedness

Acceptance of new ideas or different viewpoints, and to be adaptable to change

#### Intelligence led

Exercise good judgement based on all available information

### Behaviours

**Systems thinking:** ability to recognise components of a system & how they interact & interface

**Problem solving, teamwork & focus on results:** fostering a collaborative approach with internal and external stakeholders to identify, understand, and fix the important problems that negatively impact the aviation system

**Critical thinking:** ability to objectively and rationally analyse and evaluate an issue in order to form a judgement

**Communication and engagement:** ability to interface effectively between industry, internal, & external stakeholders. Ability to communicate our position and desire to achieve outcomes. Ability to listen and advise

**Assertiveness, persuasion & determination:** being able to confidently influence stakeholders and defend the CAA's position

What we want to achieve

The way we do things

Thinking

Doing

Influencing

### Functional Operational Skills

**Certification:** entry & exit control

**Surveillance** and monitoring

**Interviewing:** manage conversations to elicit pertinent information

**Applied risk management** (e.g. ORM for surveillance)

**Management systems:** ability to evaluate on-going compliance with regulatory requirements (current internal quality assurance)

**Investigation:** formal or systematic examination of the facts to inform further regulatory action

### Safety Management Systems

**SMS Principles and oversight techniques**

**Hazards and risk:** ability to evaluate issues or proposed changes, their controls & the impact on organisations and the aviation system

**Organisational safety performance frameworks & indicators:** understand how they are developed and used in a management system, and how these help measure effectiveness

**Organisational Culture:** understand the different types of culture and how they affect system performance

**Human and organisational factors:** understand human performance and limitations and the organisational factors that may influence these

Our foundational skills and knowledge

- Common beliefs can be learnt and lead to organisational culture
- Capabilities of a regulator is fusing aviation and regulatory craft – treat as a profession
- Culture measured by behaviours of its people
- Clearer set expectations for behaviours
- Constantly and consistently assess behaviours
- Reward good behaviours



## Questions?