

# Raising Safety Standards & Transforming to Performance Based Regulation

**Presented by**  
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# Supporting the world of aviation

Safety Compliance | Security | Economic Regulation | Environment

- CAAi is a leading globally recognised aviation consultancy
- Wholly owned by the UK Civil Aviation Authority (CAA)
- Expert advice in aviation from a technical, legal and regulatory perspective
- Offices in the UK, Malaysia and Singapore
- Committed to raising global aviation standards

**CAAi**  
Above and beyond





# Our journey so far

**2007**

- CAAi is established to influence international aviation standards and reduce risks to UK citizens travelling abroad
- **CAA Singapore**  
Implemented Part 66, FCL and Dangerous Goods exams for delivery and administered by CAAS

**2011**

- **EASA** 4 year contract to deliver high-quality training courses on behalf of the Agency

**2012**

- **DCA Malaysia** CAAi e-Exams go-live in Malaysia
- **EASA** 5 year contract to inspect, evaluate and approve organisations on behalf of EASA

**2013**

- **DCA Malaysia** Review and development of Malaysia's airworthiness regulations to support the growth of MRO industry
- **CAA Botswana**  
2 year project assisting CAAB in preparing for an ICAO USOAP/ICVM Safety Audit and post-audit capacity building

**2014**

- **Kuwait DGCA**  
Strengthening of safety oversight system in compliance with ICAO and harmonised with EASA

# CAAi Technical Support

## Preparation for Audits

- Pre/post ICAO USOAP Audit, ICVMs and the move to CMA,
- Audits from other States and Regional bodies

## Transition to SSP/SMS

- Transition from compliance to Competence + Performance
- Adoption of Performance Based Regulation

## Revised Legislation & Regulations

- ICAO calls for separation of Service Provider from Regulator
- Results in changes to Legislation

## Training for Aviation Professionals

- Demand for wide range of training
- Move into Security and Environment

## Capacity Building



# Pressure on States

- World commercial fleet expected to double
- Shortage of next generation of aviation professionals
- More Regulations need to be implemented
- Too many Audits
- More diverse operating environment
- No increase in Regulatory staff

## Pressure on States

With air traffic projected to double in the next 15 years, current and emerging safety risks must be addressed proactively to ensure that this significant capacity expansion is carefully managed and supported through strategic regulatory and infrastructure developments.

*Ref: ICAO Global Aviation Safety Plan  
2014-2016, Executive Summary., 2013*



# Responding to Change

- ICAO and State Regulators must adapt
- Greater pressure of resources
- SSP/SMS require different approach & resources
- Shared responsibility for safety
- Still major focus on Compliance Monitoring

*We need some Innovation...*

# Innovation: Performance Based Regulation (PBR)

Compliance is a great starting point...

*But it's not enough!*



## Performance Based Regulation (PBR)

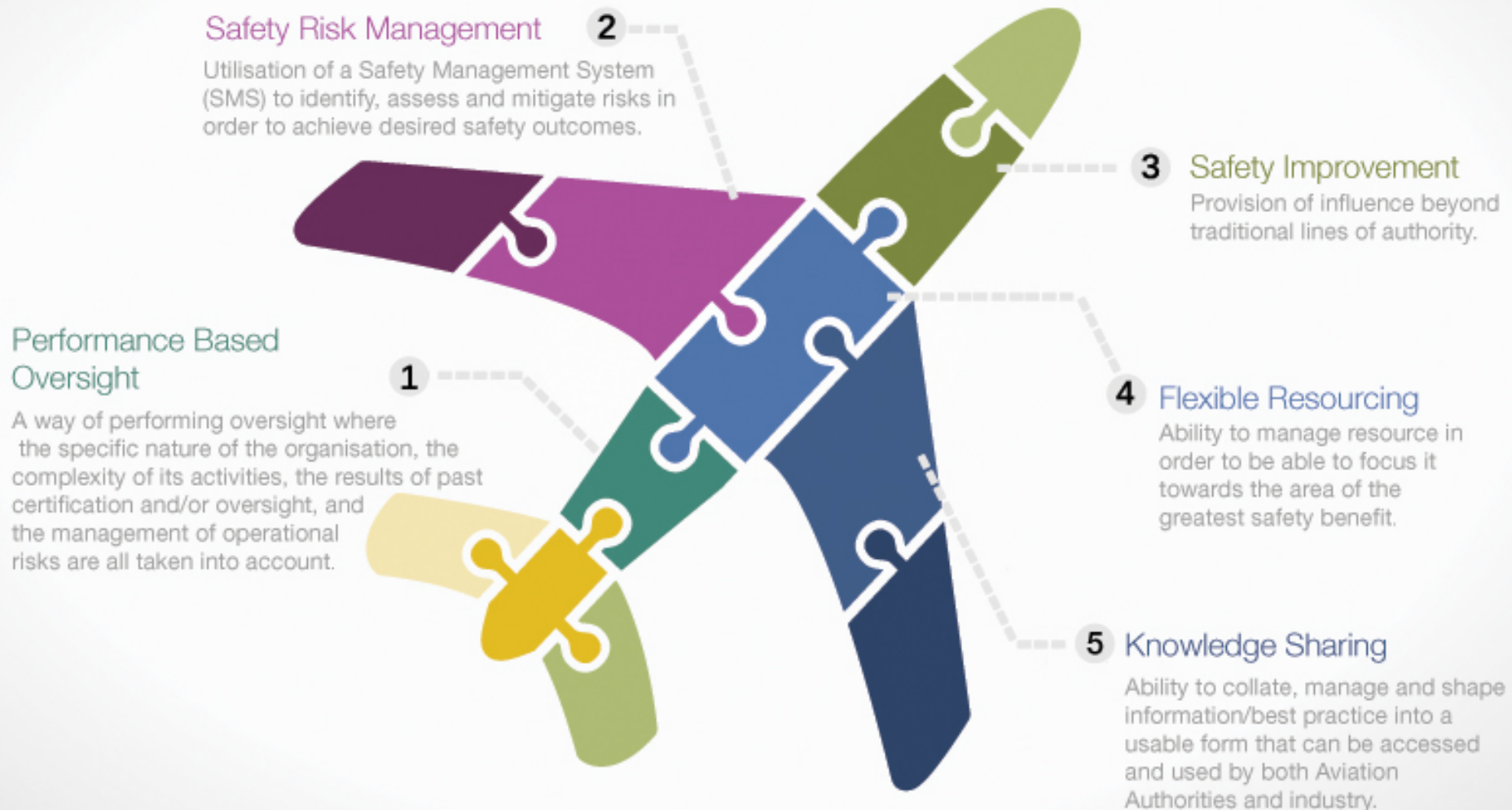
is a response to the challenge of delivering continuous improvement in aviation safety in the contents of increased aviation activity and future safety trend.



## Innovation: Performance Based Regulation (PBR)

- Important for Regulators large and small.
- Builds on SSP/SMS concepts
- Works by breaking down internal barriers
- Will be compliant with ICAO GASp
- Focus on achieving desired performance
- Improved understanding of risks  
identification of mitigations
- Better targeting of resources
- Flexibility

# Components of PBR





# UK PBR – Transformation Process

## **The move to PBR requires a Transition Plan**

- Just as the transition by industry to an effective SMS can take 3 to 5 years, so will the transition by a regulator to PBR.

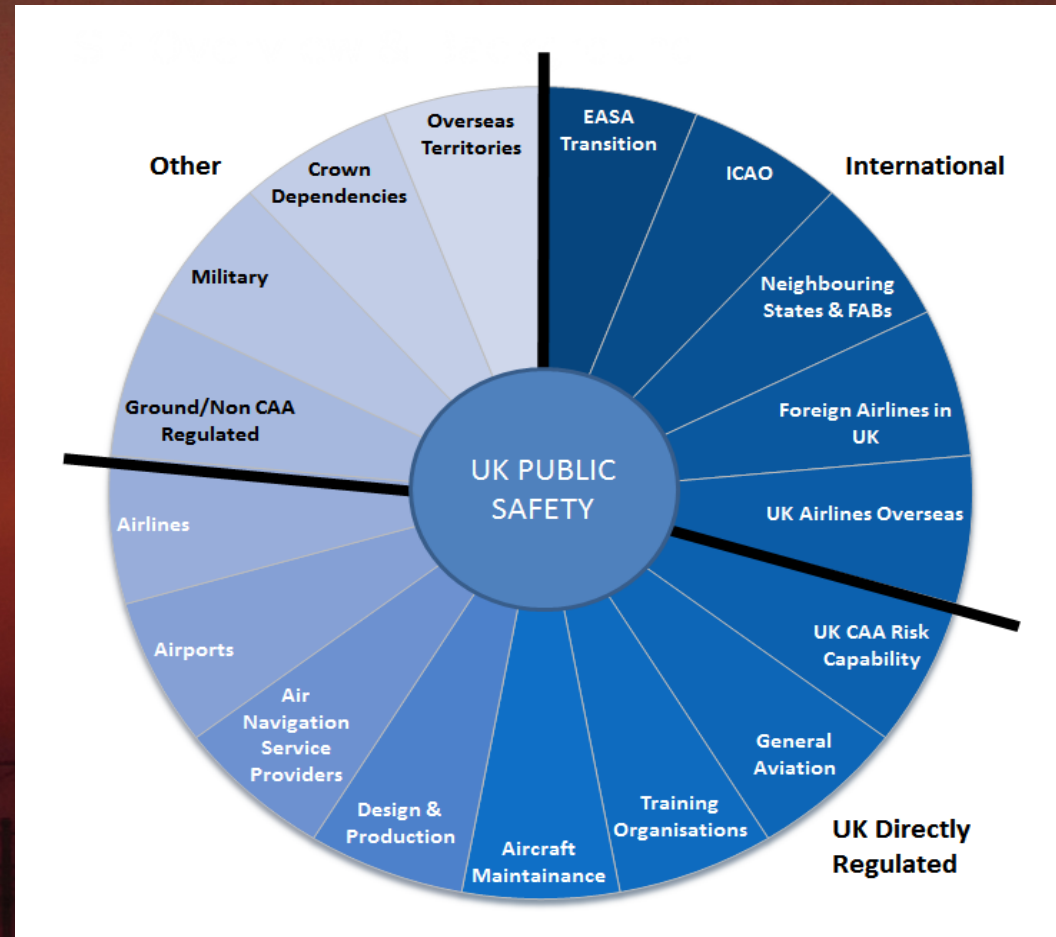
## **A Transition Plan requires organisational changes to**

- Enhance intelligence management & analysis capability (exchange of data)
- Resource scheduling and control
- Enforcement – determine type to achieve desired safety outcome
- Focus on safety performance – based on data and analysis
- Better manage stakeholder engagement.



# UK Experience – Public-centred SSP

- UK State Safety Programme (SSP)
- Greater focus on the safety risk to passengers and the UK Public.
- This goes beyond the elements regulated by the CAA.







## Summary

- The demand for Technical Cooperation remains high
- Air Transport activity is set to double
- Urgent requirement for new aviation professionals
- Regulator staff unlikely to increase
- Desirable for Regulators to adopt PBR that:-
  - ✓ Focuses on Continuous Improvement
  - ✓ Applies to all Regulators
  - ✓ Improves internal communication
- A State Safety Programme should be 'public-centred'

# Thank you for your attention

Please join us for refreshments  
at the Welcome Reception  
sponsored by CAAi, where  
I and other CAAi members  
will be happy to answer any  
of your questions

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