



**- using Risk Based
Surveillance to engage
with UK industry, and
- international engagement**

The UK CAA

As the UK's aviation regulator we work so that:

- The aviation industry meets the highest safety standards,
- Consumers have choice, value for money, are protected and treated fairly when they fly,
- Through efficient use of airspace, the environmental impact of aviation on local communities is effectively managed and CO2 emissions are reduced,
- The aviation industry manages security risks effectively,
- Supports the growth of the aviation industry and contributes to the wider UK economy.



Adopting a Risk Based Approach



- Until 2015, the UK CAA used **Compliance Based Regulation**.
Audits were of similar scope and frequency independent of complexity of organisation and risk picture and based on prescriptive regulation.
- The UK CAA moved to **Risk and Performance Based Surveillance**
- Risk Based Surveillance means developing a comprehensive risk picture with the organisations we regulate.
- Building our knowledge and data to ensure we target our regulation in the areas where it will make the biggest difference.

Key Objectives for a Risk Based Approach



- **Gather and analyse** safety risk information about all parts of an organisations operations in a joined up way – the entity approach.
- **Agree the actions** needed to improve safety and uphold standards with each entity’s ‘Accountable Manager’.
- Create **a better understanding** of the top risks facing major aviation sectors and the performance of industry to manage them.
- **Make informed decisions** about the safety outcomes that the Regulator & Industry should focus on and steps to achieve them.
- **Allocate regulatory resources** proportionately to the areas of activity with greatest potential to enhance aviation safety.

Determining the Key Enablers





Risk Based Industry Engagement



Three main types
of industry
engagement

- Directive
- Engaged
- Collaborative

Adapt existing
relationships to
achieve
collaboration

- UK CAA ensured that the regulatory and industry roles were clear.
- It was important that the industry was aware of which capacity the UK CAA was engaging from.



Key Benefits of Risk Based Surveillance



- **Total system picture**
- **Proportionate** levels of oversight
- Improved **resource to risk**
- **Improve relationship** with industry by a two-way process
- **Collaborative** assessments and information sharing
- **Improved safety performance**

UK CAA's international engagement



Our partners:

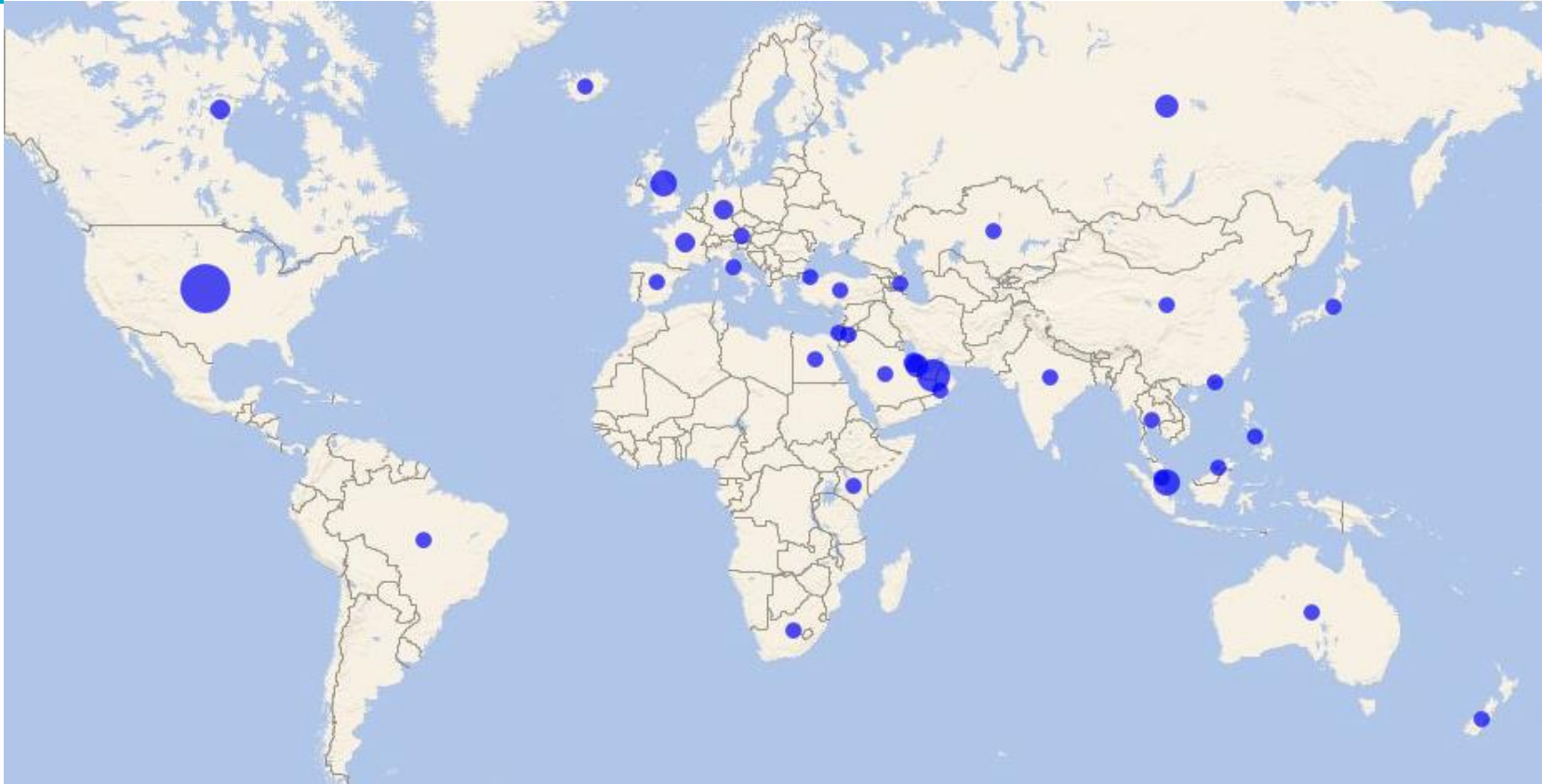
EASA

ICAO

National Aviation Authorities

Industry

Engagement through EASA



Support to EASA's oversight/approval programme

Around 80 colleagues involved | 35 states | 300 activities

Engagement on a state level - rectifying a specific concern



Recent example Thailand.

ICAO raised a 'significant safety concern' in 2015.

CAA International was engaged by CAA Thailand for Flight Operation certification of around 20 international AOCs.

5 Certification Phases approach.

1.5 year of working together with CAAT's experts and AOCs.

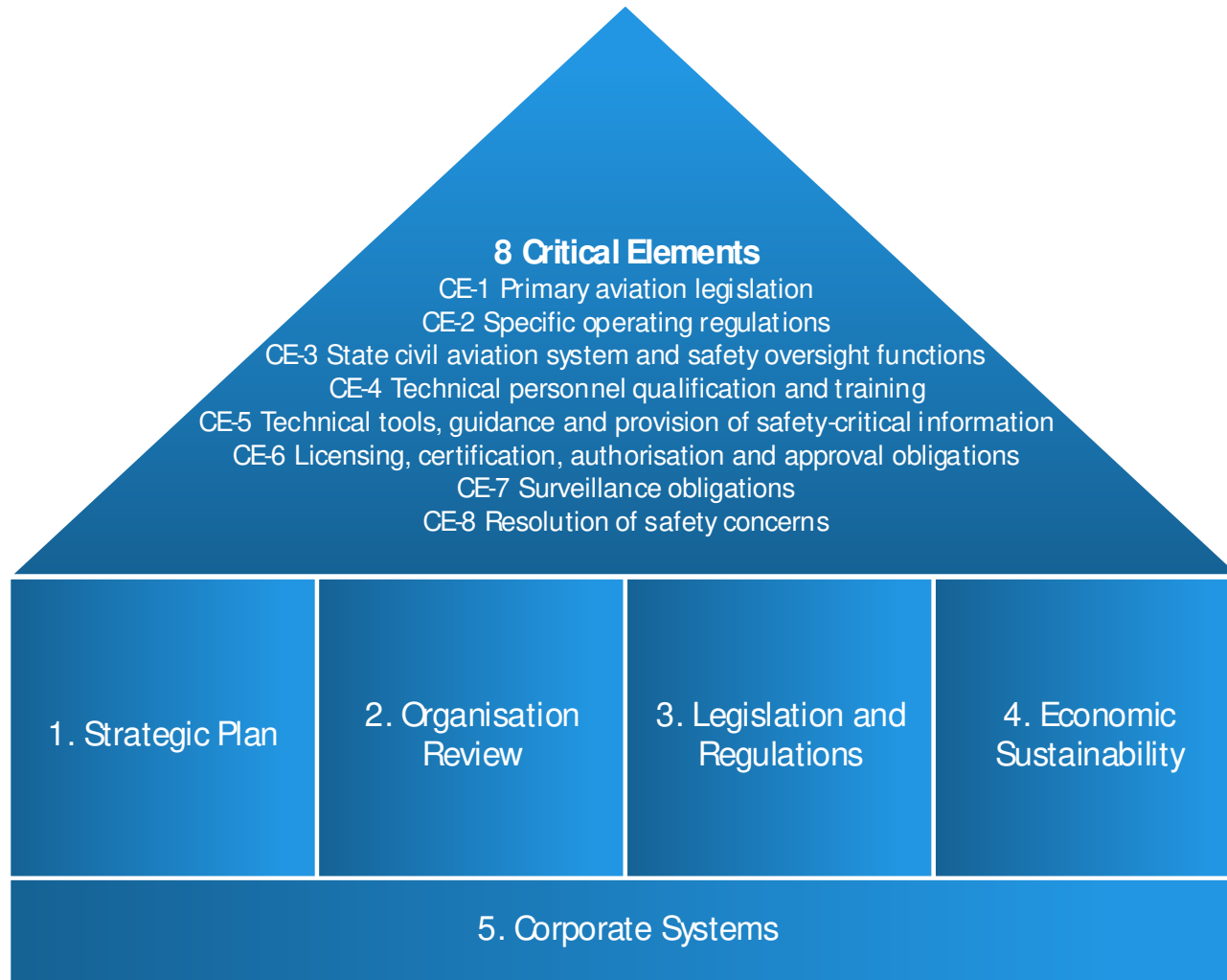
In 2017, ICAO removed the SSC.

Wider capacity building exercise ongoing (EASA, DGAC).

Key Achievements

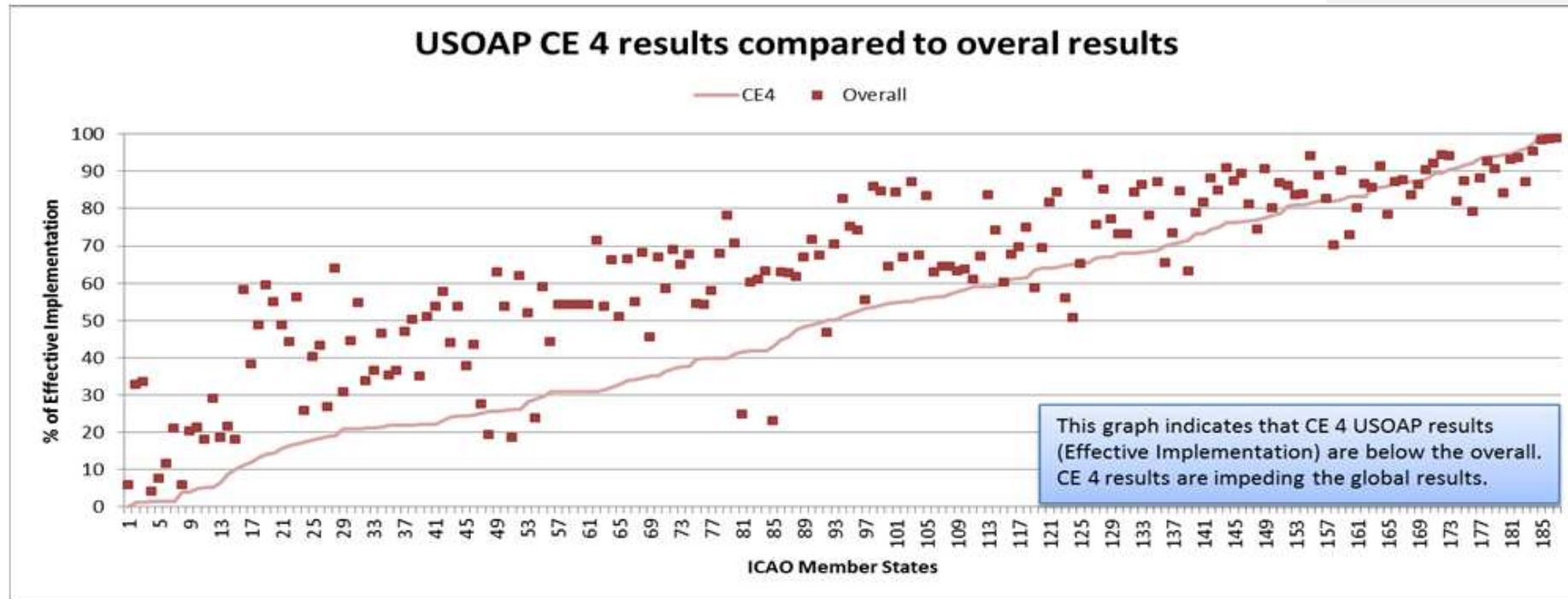
- **Increased effective implementation** for "Operations" from 10.22% to 38.69%
- **Raised "Airworthiness" effective implementation** from 61.98% to 76.03%
- **ICAO removed the Significant Safety Concern** (also known as "Red Flag")
- **Recertified eleven international carriers** to ICAO standards, including; MJets, K-Mile, Thai Smile, Thai Lion Air, Nok Air, Bangkok Airways, Air Asia, Thai Airways, AirAsia X, New Gen Airways and Thai AirAsia.

Engagement on a state level - wider capacity building programmes



- Approach tried and implemented
- Complements projects and initiatives of EASA and ICAO in the region to support wider capacity building

Training on the agenda



Source: ICAO (2017) Aviation Training and Capacity-Building Roadmap for States

This figure shows the results of CE4 (continuous line) and the overall EI for each of the ICAO states. Improving staff qualification and training would contribute to better state and global average results.

A large white commercial airplane tail and wing are shown against a clear blue sky. In the foreground, two yellow baggage carts are visible on a tarmac, one of which is loaded with luggage. The image is partially obscured by a white circular graphic element on the right side.

Thank you.

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International

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