

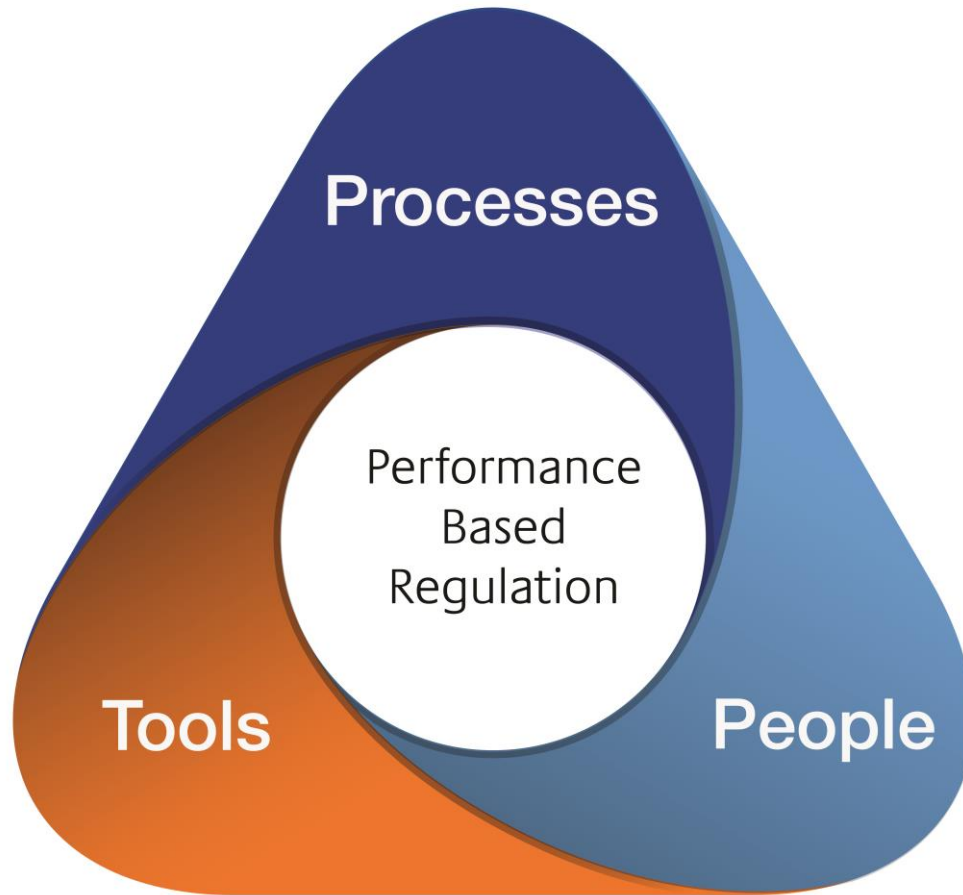
UK CAA's Transformation to be a 'Performance Based' Regulator

Our Vision:

To transform the CAA into a Performance Based Regulator, working with industry to demonstrably reduce safety risk across the total aviation system and develop the capabilities required for future regulators

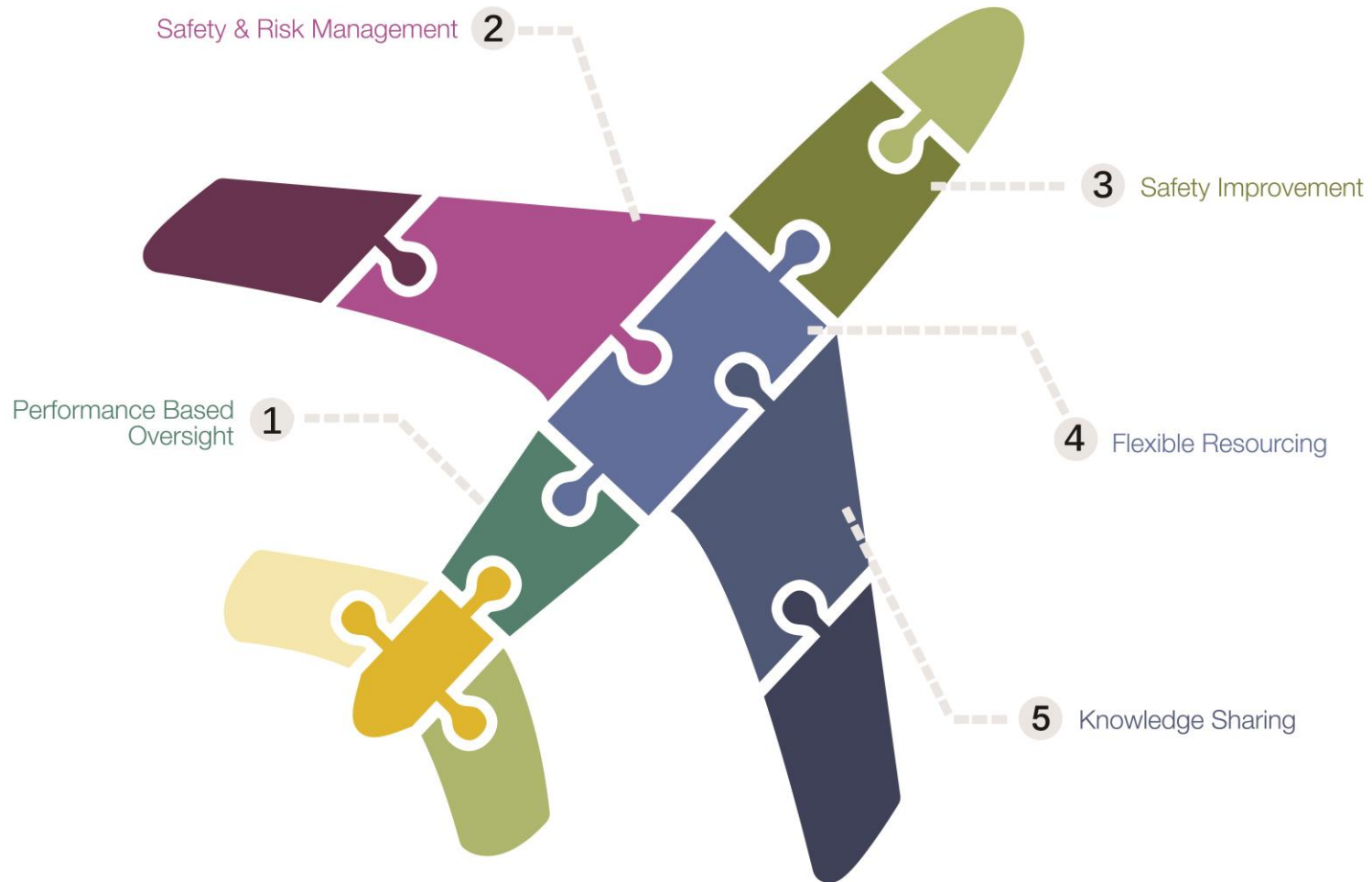
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54th CONFERENCE OF DIRECTORS GENERAL OF CIVIL AVIATION
ASIA AND PACIFIC REGIONS
Ulaanbaatar, Mongolia. August 2017

Achieving this is a major change programme requiring top down commitment to succeed...



...And change is never easy

To deliver PBR, an NAA needs to develop a number of key capabilities



Since we started we have delivered significant change...



- Process:
 - Performance Based Oversight (PBO) processes have been designed and tested and launched: Over 200 entities have made the transition to the PBO way of working; in 2016 we conducted **175** Internal Review Meetings and met with **124** Accountable Managers to discuss safety performance
 - CAA Regulatory SMS processes have been launched to improve safety risk management and governance
- Tools:
 - New **IT tools** for PBO have been designed, configured, delivered and are in use to support knowledge sharing, flexible resourcing and risk management
- People
 - Over **200** current field force staff have been trained in the processes, tools and in the skills required to make PBR work – a significant investment
 - New competencies now part of UK CAA recruitment processes

And we've overcome many challenges, and learned a lot along the way...



- Key challenges
 - Everyone's starting point is different (individually, but also across technical domains)
 - The previous method of working was not 'broken', so there was no burning platform – but a strong desire to be better.
 - Significant misunderstanding of what PBR is, or more importantly what PBR isn't:
 - many believe PBR is a head count reduction exercise: This is not the case!
 - Some believe that PBR *replaces* compliance finding: It doesn't, it complements it!
- We've learned
 - To really listen to our staff to help us improve the processes and the training
 - That it all takes longer than you think; we've achieved a lot, and we're still learning
 - To keep our industry close to what we're doing through 1:1 meetings, conferences, seminars, etc.

Placeholder for video clip



We are now starting to realise the benefits of the change

Performance Based Oversight

- CAA staff tell us that the entity team approach adds significant value
- Simplified common tools and processes improve efficiency
- 'Better Regulation' principles embedded by design
- Industry benefits from a more collaborative approach and Accountable Manager meetings deliver higher value than previously
- EASA support for approach

Regulatory Safety Management System

- Assurance and ability to act based on the right safety information being presented at all levels, from the CAA Board to the 'front line' inspector
- UK aviation system level risks
- New conversations on risk and performance in the CAA that did not exist previously

...We know there is more to do – we continue to develop and embed the approach to get more benefit:

- Over time, our tools will allow us to track improvements in safety performance and spot potential issues; we expect to be able to drive risk down sustainably in the long term

In conclusion.....

- Don't underestimate the size or complexity of the change
 - You'll need a really good plan
 - You'll need experience of organisational change
 - You'll need resources *dedicated* to making the change

- It is a *major* change programme covering
 - Processes
 - Tools
 - PEOPLE

- It's a change for your industry too: Keep them involved

- Keep focused on the primary goal of **Improved Safety**
- But don't overlook the benefits of **Improved Efficiency**
- **AND** there are parts of the PBR journey that *any* NAA can embark on - today

Thank you for your attention!

“...There is one thing that I saw UK CAA light-years ahead many other CAAs: Performance Based Oversight...The simple act of joining in the same room people from different domains (aerodromes, flight ops and ATC) to discuss safety performance of an aerodrome, following a robust methodology, seemed to be an achievement. I could imagine how challenging it must have been to break the bubbles and work together, in a culture change effort, to allow inspectors from each capability area to use the information gleaned from oversight and other safety intelligence sources to build a single cross-capability risk picture, covering all operational aspects of each regulated entity. That was my feeling...and is my inspiration to move forward with PBR/PBO”

Airport Certification and Safety Manager from another NAA,
recently on secondment in UK