

UK CAA risk-based approach to oversight considers both safety risk and safety performance as part of our regulatory approach.

Risk Based Oversight is a way of performing oversight, where planning is driven by the risk profile of the organisation. Besides ensuring compliance, the approach focuses on the industry management of operational safety risks.

Prescriptive rules and the associated regulatory oversight have achieved tremendous results in the past. However, **safety risks** still exist even in the most compliant systems. Moreover, in reality, it is impossible to develop rules for every possible scenario. Simple compliance with prescriptive regulations does not guarantee safety alone. Risk Based Oversight offers improvements by targeting safety objectives and efficiently mitigating safety risks through a better focus on the outcome. It provides flexibility in the implementation rather than just trying to develop prescriptive rules for every eventuality.

The UK CAA risk-based approach to oversight looks to **identify the areas** of safety related risk that the aviation industry should be most concerned with.

We use **safety risk and safety performance data** to direct our regulatory activity towards the areas of industry which require the most attention. Data driven decisions assist the UK CAA in understanding what is affecting each sector of the aviation industry and how they interlink.



RISK BASED OVERSIGHT

The whole point is the whole picture





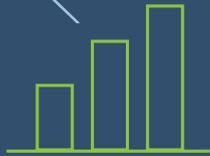
The principles of the risk-based approach to oversight include consistently **gathering and analysing safety risk information** about all parts of an organisation's operations.

The UK CAA assesses the performance of each organisation to proactively manage their safety risks and collaboratively agree with Industry the safety actions that are needed to uphold standards and further enhance safety.

In addition, the **UK CAA groups safety risk and safety performance information** about organisations into sectors of the industry, to create a better understanding of the most significant safety risks that exist within the total Aviation System.

Regulatory Oversight

Risk Based regulatory oversight enables the use of intelligence, safety insights and data to make safety risk and performance-based decisions. The content and types of oversight will vary from business areas and will be based on the regulatory requirement expertise and the judgement of the business area oversight teams. Besides ensuring compliance the inspectors are asked to consider various aspects of the organisation and rate the confidence that they have in that particular area's effectiveness (e.g., Safety Awareness, Staff Churn, staff competence, evidence of continuous improvement, lessons learnt, management of change, human factors) as well as assessing safety risk and organisation's performance.



How do we assess Industry safety performance?

Safety performance and risk conversations are generated during the internal safety meetings. Oversight team members collectively discuss the organisation's performance, their ability to manage operational safety risks and agree a way forward on the future oversight plan.

How do we engage with the Industry in Risk Based Oversight?

This is a significant and fundamental evolution in the relationship between the regulator and industry. The key is to have a constructive, two-way dialogue about the business context, safety risks and desired outcomes. A two-way dialogue encourages trust between the regulator and Industry. The point of having that open relationship is to proactively share any safety concerns early in a transparent way prior to them emerging.



How do we reach safety decisions with the Industry?

Safety actions are collaboratively agreed between the regulator and industry, they are tracked throughout the cycle to ensure they have achieved the desired outcome.

The tailored future oversight is planned in line with observed safety performance and risk. This allows the regulatory focus to be directed towards the areas of industry which require the most attention.



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