



Performance Based Oversight

Panel 7

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Panellists:

- Franz Graser, Director Licensing, Austrocontrol
- Pekka Henttu, Director General, Compliance, Finland NAA
- Jacqueline Booth, Chief Technical Program Evaluation & Coordination, TCCA
- Tony Fazio, Director, Office of Accident Investigation and Prevention, FAA

Major Discussion Points

- There is a need to find more effective methods for NAAs to discharge their oversight responsibilities and PBO seems to be the right concept, however do we have sufficient common understanding?
 - We are today in hybrid Regulatory system, combining compliance and performance based oversight. To face resources' challenges TraFi has set up a risk profiling system for organisations that is similar to the ATQP (Alternative Training Qualification Programme) for pilots as they are both data driven. To succeed in this endeavor, cooperation is essential, as well as proper staff qualification
 - FAA prefer the term Risk Based Oversight as data are a prerequisite to assess performance.
 - Clear definition of PBO is not possible. In Austria many elements are already in place since we have experienced inspectors; they know where is possible to reduce the amount and the scope of surveillance. We aim at a progressive introduction of PBO not resulting in additional burden for organisations and Authorities. Future challenges: training and standardisation of inspectors + adaptaion to local situation.
 - PBO and RBO are complementary Through flexible and knowledgeable inspectors in Canada we have a mechanism to identify performance and to do a risk based performance planning. Performance is looked at to understand how successfully an organisation manages its risks. Resources are allocated on the basis of risk.
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- In a continuous improvement logic, involvement of senior management is essential to have effective risk management and make an organisation benefit of focused surveillance.
- We have to work together between NAAs and with industry to implement PBO.
- Communication is very important

Questions and Comments from the Floor

- Partnership with industry is important to achieve common safety goals, maturity of aviation must be recognized, however Authorities are obliged to perform surveillance
- Scarcity of resources should not be the driver to introduce PBO.
- PBO can only be introduced in a mature aviation system.
- Uniform application of PBO is a constant challenge requiring sound change management.
- Prediction of performance can't only be based on past performance (see financial sector)

Outcomes/Additional Ideas

- Need to define terminology
 - Global harmonization and collaboration (e.g. SM-ICG).
 - Dialog among regulators and with industry
 - Manage the change.
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