CIVIL AVIATION AUTHORITY OF NEW ZEALAND
Te Mana Rererangi Tūmatanui o Aotearoa

Aviation Security Service
Kaiwhakamaru Rererangi

Risk-Based Regulation

David Oliver – Manager, Monitoring and Inspection

Prompts

What are risk-based renewals all about?

How would this work for a 146 organisation, in practice?

How does CAA decide the type and frequency of monitoring activities for 146 organisations?

Key Terms

- ‘Modern Regulator’
  - We evolve and adapt
- ‘Intelligence-Led…
  - We use information from a number of sources
- …Risk-Based’
  - We apply our resources and attention consciously
- ‘Earned Autonomy’
  - Strong performance over time is rewarded

Risk Based Renewal

We start from a position of trust

- We operate in a closed system – you have already met a standard
  - What makes us think that you no longer meet it?
- Shared responsibility, but… there is always a burden on the operator (146.101)
  - For compliance and safety performance
- We gain a reasonable level of assurance and draw inference
  - What do we already know Vs what more do we need
- Assurance is gained by every interaction
  - Amendment, Investigation, Engagement

Our System


Applicant
ENTRY CONTROL
Certification, licensing, and approvals
Monitoring
Information and education
SAFETY AND SECURITY OUTCOMES
Engagement
Investigation
Ex-document holder
EXIT CONTROL
Administrative and judicial action

A Monitoring Programme

- Part 121 – 4 operators
- Part 141 Programme
- Part 102 focus
- Part 115 – Safety Reporting
- Helicopter Safety Performance
- Role Equipment Lost in Flight
- Part 125 - SPIFR Fatigue Management
- Airworthiness returns and reports
- Aeromedical and Air Rescue
- Post Initial Certification
- Intel Products
- ?????

Key takeaways

Earned Autonomy	• Operators benefit by demonstarting consistently strong safety and compliance performance
Shared Responsibility	• The regulator and the participant share some responsibility, but...
Closed System	• Standards have been met, what indicators re-enforce or challenge the trust we have
Distribution of Effort	• Resources are allocated based on the overall risk picture
Monitoring Programme	• Multiple Sources – Safety Data, Investigations, Sector Wide Interventions etc
Regulatory assurance Picture	• All activities contribute to a broader understanding