



# EASA

European Aviation Safety Agency

“MAWA Forum 2017”

# A Performance-based Safety Regulatory & Oversight

**MGen (Rtd) Denis Koehl**

Senior Military Advisor

**Your safety is our mission.**

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# European Aviation Safety Agency

Established  
**2002**

**15 years**  
*in operation*

**800+**

aviation experts  
& administrators



Headquarters in  
**Cologne**  
Office in  
**Brussels**

**32** EASA member states  
**= 28 + 4**

EU + Switzerland, Norway  
Iceland, Liechtenstein



# Terminology

- **Prescriptive rule (PR):** a rule which specifies what needs to be done and how
- **Performance-Based Environment (PBE):** an environment based on safety performance indicators (SPIs) on which safety assurance and promotion as well as performance-based regulation and performance-based oversight can be built
- **Safety Performance Indicator (SPI):** A data-based parameter used for monitoring and assessing safety performance *(ICAO)*
- **Performance-Based Regulation (PBR):** A rule which specifies what the outcome of the KPIs should be, instead of how to achieve the outcome
- **Risk-based Oversight (RBO):** a way of performing oversight, where planning is driven by the risk profile and execution, besides ensuring compliance, focuses on the management of operational risks



# Why we need to change to PBE?

## The complexity of the aviation system

### New demand on regulators:

- “value for money”
- de-regulation
- new public management

## International aviation safety standards

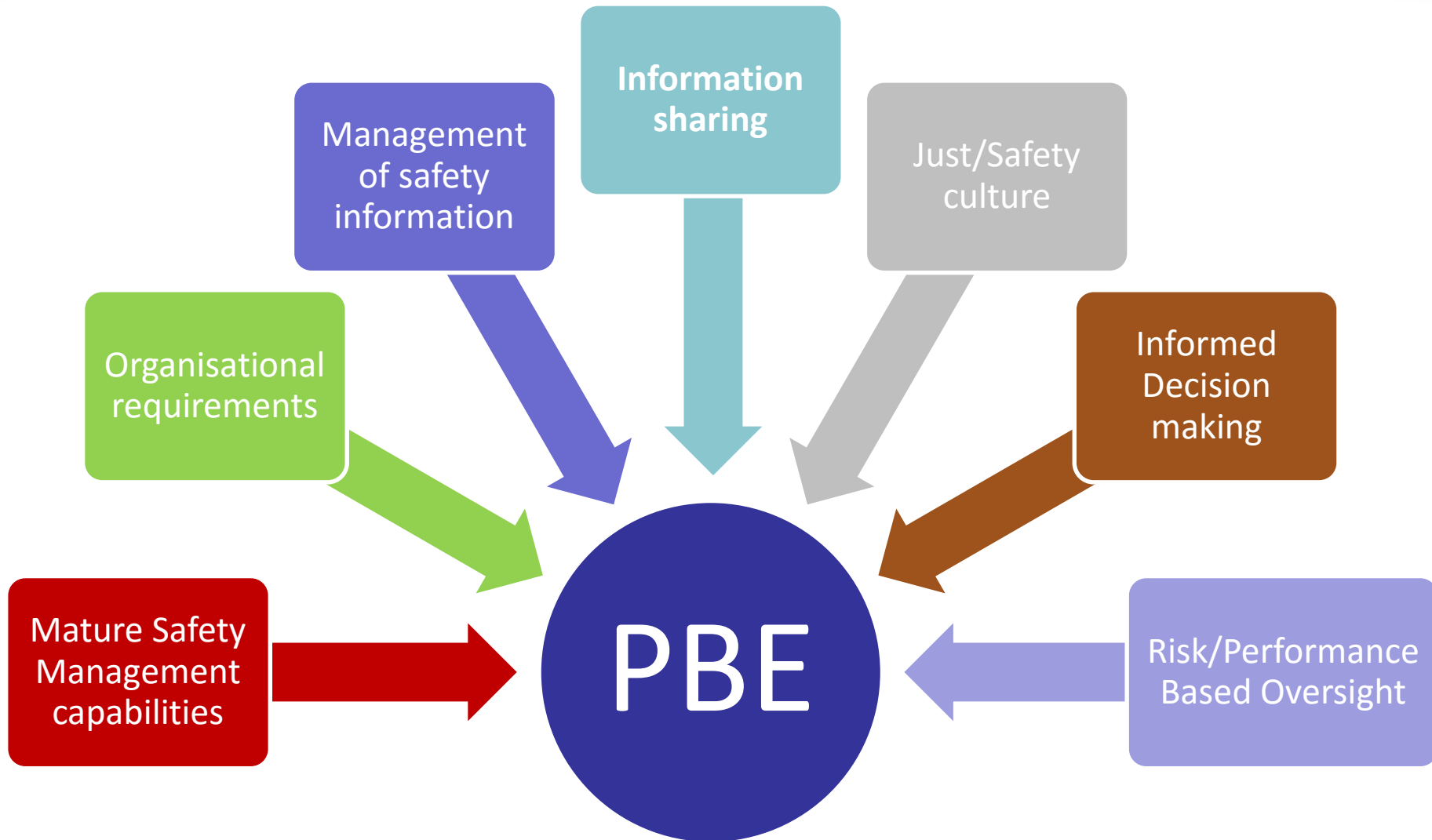
ICAO Annex 19 (2013) sets new standards for managing aviation safety:

- promotes performance based regulations and calls for the use of safety performance indicators and safety performance targets
- provides a structure for meeting State and service provider responsibilities using a systematic, risk- and performance based approach
- stresses performance of safety critical processes in service provider activities and in State oversight functions



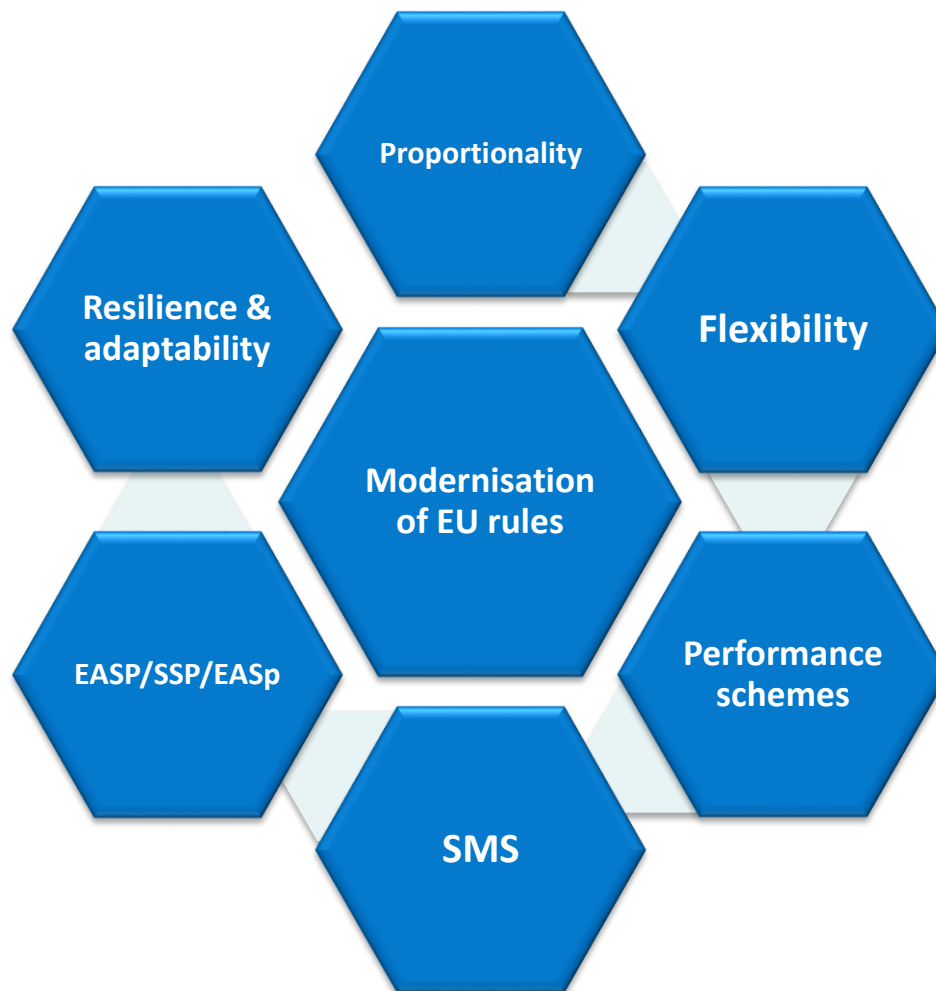
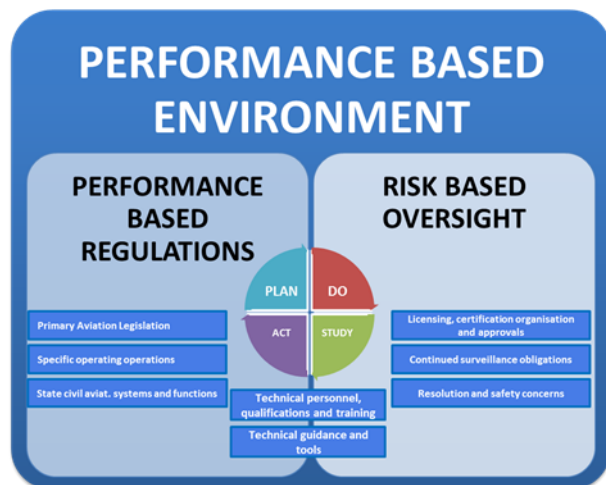


# Enablers and challenges





# Performance-based Regulations





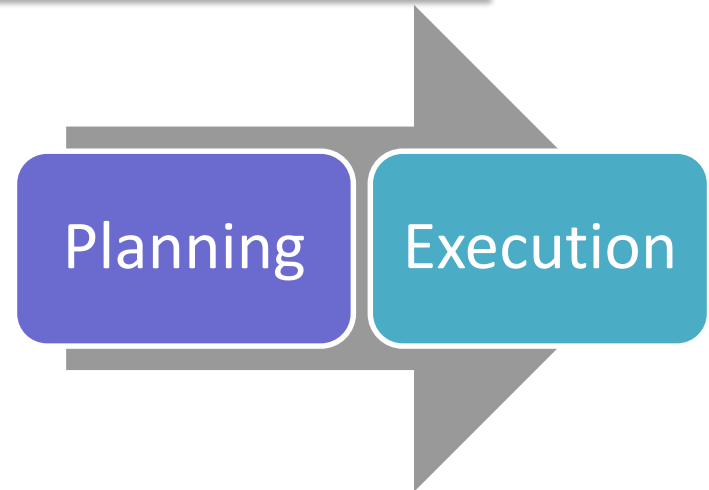
# What is Risk-based Oversight?

**Oversight:** the function by means of which a competent authority **ensures that the applicable requirements are met** by regulated entities

**Surveillance:** The State activities through which the State proactively ensures through inspections and audits that aviation licence, certificate, authorization and/or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State.

## **Risk Based Oversight:**

A way of performing oversight, where **planning** is driven by the **risk profile** and **execution**, besides **ensuring compliance**, focuses on the management of **operational risks**





# All part of the multi-annual programme

## Agency's safety risk management process



**European Plan for  
Aviation Safety  
(EPAS)**

**European Aviation  
Safety Programme  
(EASP) 2017-2021**





# Prescriptive versus performance-based regulatory

Prescriptive	Performance-based
Obsolescence	Resilience
Common cause risks	Multiple, random risk causes
Compliance	Performance
Audits & inspections	Assessment, insight



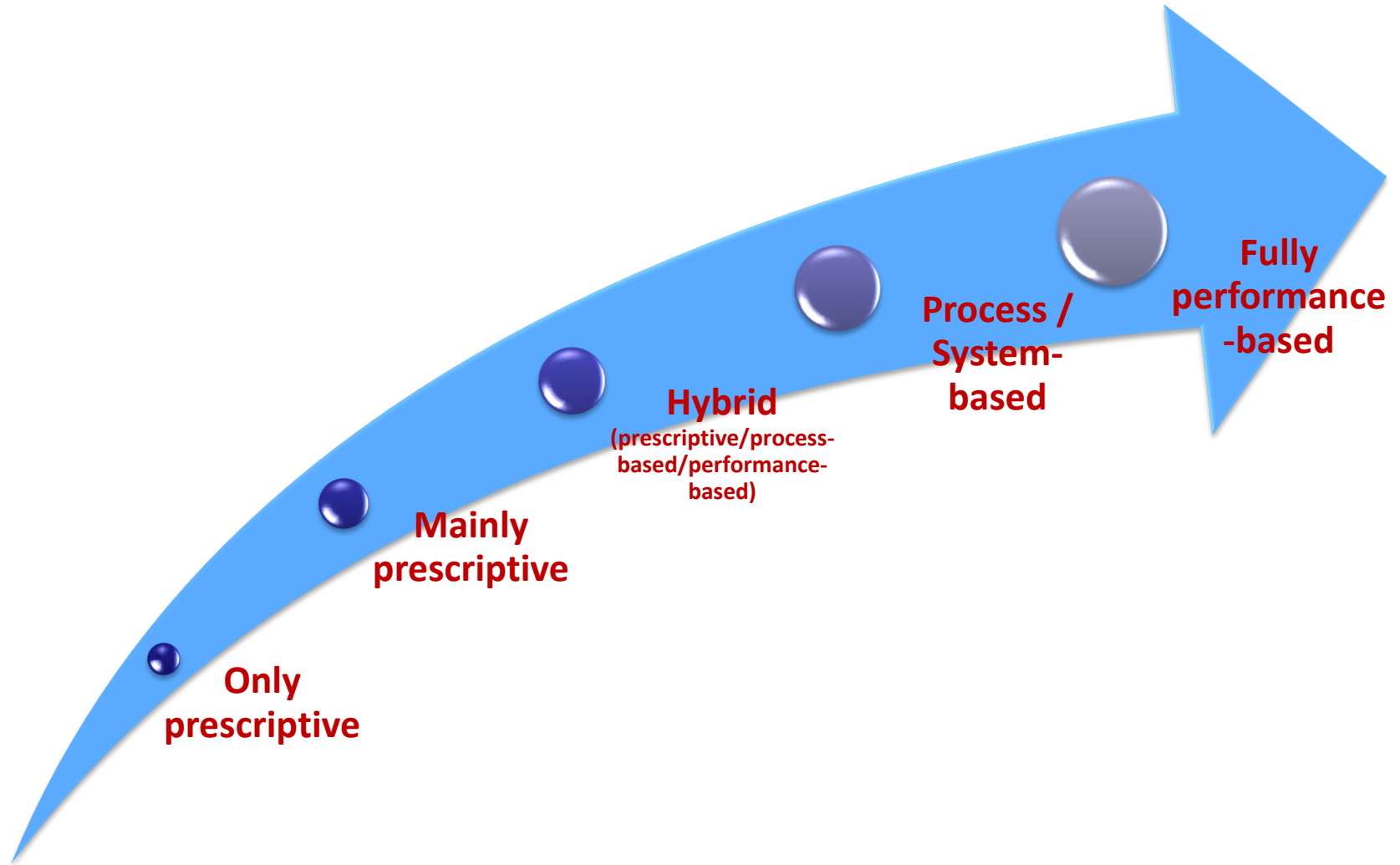
*In practice*, a combination of prescriptive and performance-based regulatory elements are present at different degrees in almost all EASA rules

The challenge is to determine the right mix of prescriptive and performance-based elements for a given objective

This determination also needs to consider that not all safety actions of the regulator need to take the form of regulations



# The Regulatory Spectrum





# Thank you

**MGen (Rtd) Denis Koehl**

Senior Military Advisor

+49 221 89990-22 28

[denis.koehl@easa.europa.eu](mailto:denis.koehl@easa.europa.eu)