

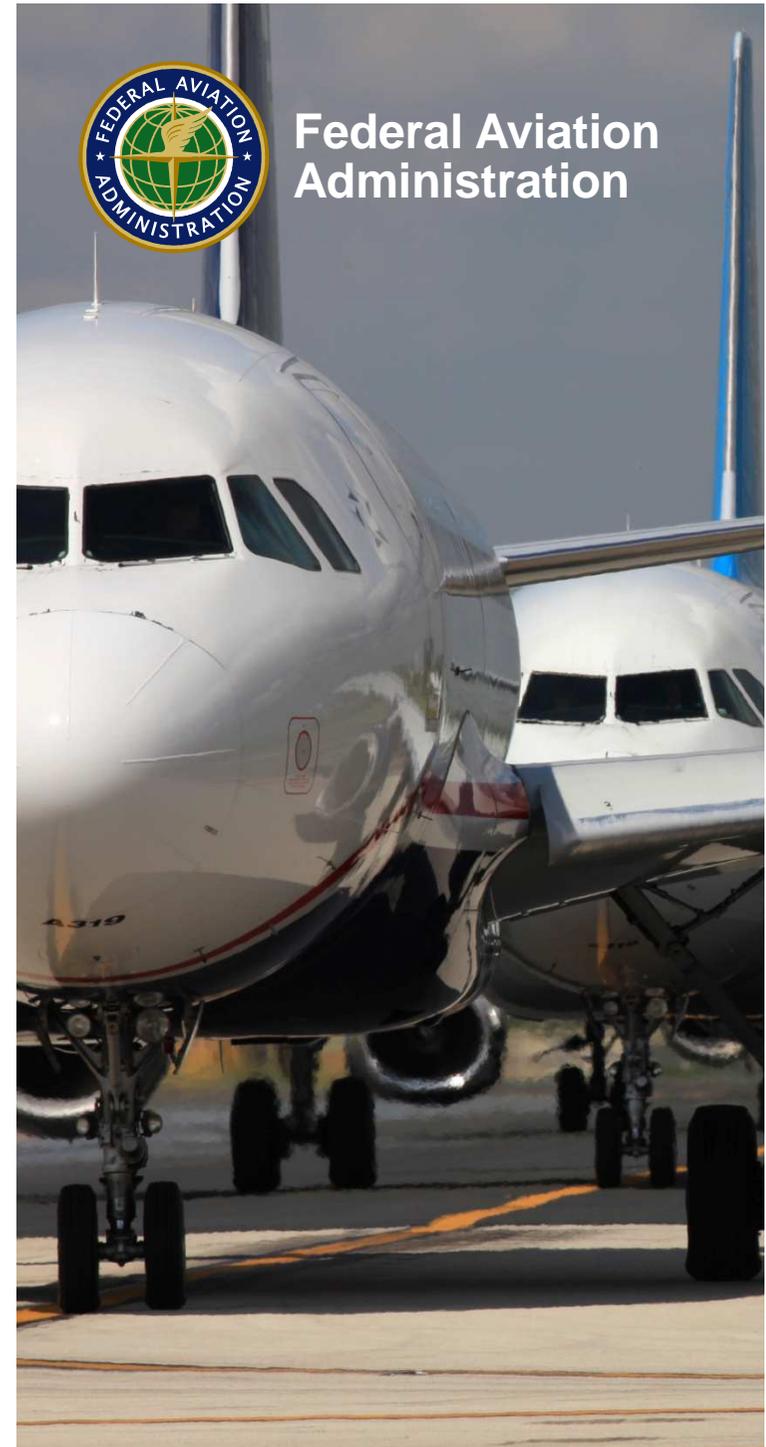
# Compliance Assurance

## Panel 12

**Presented to: EASA / FAA International  
Aviation Safety Conference**

**By: John M. Allen, Director FAA Flight  
Standards Service**

**Date: 13 June 2013**



# Compliance Assurance

## Panel Moderator:

- **John M. Allen**

- Director, Flight Standards Service, FAA

## Panel Members:

- **Chris Baum**

- Manager, Engineering and Operations, ALPA

- **Michaela Verissimo**

- Acting Manager, Technical & Legal Advice Section, EASA

- **Terry Farquharson**

- Deputy Director of Aviation Safety, CASA Australia

- **Aaron McCrorie**

- Director, Standards, TCCA

- **Vincent de Vroey**

- General Manager, Technical Operations, AEA



# Today's Aviation Regulatory Environment: “ABC” Challenges

- **Accountability is increasing**
  - Congress, other government agencies
  - Media and the public
- **Budgets are shrinking**
  - Focus on areas of real risk
  - Work smarter – make appropriate use of resources
- **Change is accelerating**
  - Recognize shifts in airman experience, aircraft, avionics, airspace
  - Hire ASIs with the right skills, experience; train in accordance with evolving regulatory posture



# Government's Evolving Role: Safety Management Systems

- More efficient
  - Requires more transparency of data and information to denote risk and hazards by all stakeholders
- More effective
  - Refocused enforcement program can enhance SMS effectiveness
- More capable
  - SMS plus greater use of designees is a force multiplier



# Traditional Role of the Aviation Regulator



- To “inspect safety into the system” by:
  - Inspecting airmen, aircraft, operators, etc.
  - Enforcing the regulations
  - Pursuing enforcement action for any transgression



# Government's Evolving Role: Enforcement Posture



- Now refocusing ASI (and manager) approach to enforcement
- There is an important distinction between an *unintentional infraction* and a *non-compliant attitude*.
- The key question is what best serves and achieves our safety assurance mission.



# Questions To Ponder:



- Do you see the government safety regulator as an agency oriented to regulatory enforcement or safety improvement?
- Is our current enforcement posture really working to improve safety?
- Does our current enforcement ideology create issues for successful SMS implementation, especially in the area of data transparency?
- When is enforcement most appropriate?
- Are there other tools at the regulator's disposal to use for behavior modification?
- How do budget challenges impact this issue?
- Will changing our enforcement posture mean the regulator is more of a “friend” to industry?



Federal Aviation  
Administration