



Australian Government
Civil Aviation Safety Authority



CORPORATE PLAN
2016-17 to 2020-21

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ABOUT THIS PLAN

The Corporate Plan (the Plan) presents the Civil Aviation Safety Authority's (CASA's) direction for the period 2016–17 to 2020–21. It is designed as the principal planning and operational document outlining the purposes of CASA and the strategies to be implemented to achieve our objectives. The Plan details how CASA will meet the Government's and the Australian public's aviation safety expectations. The Plan positions CASA to contribute to the effective and efficient management of aviation safety risks and to improve appropriate relationships with the wider aviation community within a strong governance framework.

Key terms used in this Plan

Term	Meaning
Goals	CASA's broader aims
Key performance areas (KPAs)	Specific areas CASA will report against using the performance measures
Key performance indicators (KPIs)	Indicators applied to CASA's performance which will be measured against the KPAs to determine success in terms of meeting CASA's goals
Initiatives	Specific activities, including projects to support strategies
Performance measures	Clear, unambiguous measures, including both qualitative and quantitative measures, against which the progress of each initiative will be tracked and reported
Wider aviation community	Government, commercial, industrial, consumer and other relevant bodies and organisations, including the International Civil Aviation Organization (ICAO) and bodies representing the aviation industry

LETTER TO THE MINISTER

CHAIR – CASA BOARD

Trim Ref: EF09/23970

21 July 2016

The Hon Darren Chester MP
Minister for Infrastructure and Transport
Parliament House
CANBERRA ACT 2600

Dear Minister

Civil Aviation Safety Authority's Corporate Plan

On behalf of the Board, I am pleased to provide the Civil Aviation Safety Authority's Corporate Plan for the period 2016–17 to 2020–21 for your approval.

The Plan incorporates the Government's Direction Under 12A of the *Civil Aviation Act 1988*; and has been prepared under the requirements of Subsection 35(1) of the *Public Governance, Performance and Accountability (PGPA) Act 2013* and in accordance with the statutory provisions of Section 44 of the *Civil Aviation Act 1988*.

Yours sincerely



Jeff Boyd

Chair
CASA Board

cc Mr Mike Mrdak, Secretary, Department of Infrastructure and Regional Development

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INTRODUCTION

I, as the Chair of the Board of the Civil Aviation Safety Authority (CASA) present the 2016–17 to 2020–21 CASA Corporate Plan for the reporting period 2016–17, as required under subsection 35(1) of the *Public Governance, Performance and Accountability (PGPA) Act 2013* and in accordance with the statutory provisions of section 44 of the *Civil Aviation Act 1988*. The Plan incorporates the Government's Direction issued under section 12A of the *Civil Aviation Act 1988* and in accordance with section 34 of the PGPA Act 2013. The Plan is also prepared in accordance with the *Public Governance, Performance and Accountability Rule 2014*.

CHAIR'S FOREWORD

I am pleased to present CASA's Corporate Plan and five-year strategy for the period 2016–17 to 2020–21. This Corporate Plan details how we will address our goals of:

- > Maintaining and enhancing a fair, effective and efficient aviation safety regulation system
- > Collaborative engagement with the wider aviation community to promote and support a positive safety culture, and
- > Continuous improvement of organisational performance.

This Plan sets out how we intend to maintain our high level of output in the coming years while concurrently driving further operational efficiencies and innovation. It outlines how CASA will meet and deliver on the obligations and accountabilities of the Minister's Statement of Expectations. It includes the emerging challenges, risks and external pressures CASA faces in the coming years including proposing options to establish a sustainable long term funding model. The Plan complements CASA's new regulatory philosophy that sets out the principles that guide and direct our approach to the performance of our functions and the exercise of our powers.

This Plan emphasises our ongoing commitment to the public, to the wider aviation community and to the Government. CASA has embarked on an organisational renewal process which is driving changes in culture and performance with the Flight Plan 2030 consultative forums helping shape the future of aviation safety and helping us meet the challenges facing the industry over the next five, 10 and 15 years.

We will measure our performance under the Regulator Performance Framework which will require CASA to have its performance assessed and certified by the Board and externally validated through a stakeholder consultation forum. We have focused on the implementation of the Government's response to the Aviation Safety Regulation Review and have made steady progress to implement changes that will benefit all industry participants. We will continue to forge relationships across all sectors of the aviation industry to enhance the way we do business.

CASA's renewed organisational structure revolves around three pillars: collaboration, engagement and sustainability. The new structure is designed to streamline processes, reduce duplication and

improve the experience of working for and with CASA. We can never be complacent about safety and we can always improve safety outcomes. One of the fundamental beliefs that unites us is keeping people safe and this plan ensures we are focused to deliver our responsibilities under the *Civil Aviation Act 1988* and the *Airspace Act 2007*.

We are laying the building blocks for our future, yet remain mindful of the external pressures and challenges facing CASA. This Plan identifies the broad challenges and emerging risks that we face, however I remain confident that CASA's skilled and professional workforce will continue to meet and deliver safety outcomes that meet the Australian public's expectations.

I look forward to working with everyone in the wider aviation community to help create an environment to enhance and support a dynamic aviation industry.



Jeff Boyd

Chair, CASA Board



DIRECTOR'S PREFACE

The 2016–17 to 2020–21 CASA corporate plan provides a detailed outline of the organisation's key priorities for the period ahead.

In recognition of the broad range of variables which will impact on the operating and regulatory environment of CASA over the coming years, I have looked to extend the planning framework beyond CASA's conventional four to five year planning cycle through the development of *Flight Plan 2030*. This will be a statement of CASA's longer term strategic intent over the next 15 years and is expected to be finalised later this year by the end of 2016.

Work will continue on completing CASA's implementation of the Government's response to the Aviation Safety Regulation Review (ASRR) in 2016. A number of initiatives were completed through 2015, while others are ongoing or are now a part of CASA's day-to-day activities.

A comprehensive program of change, known as *Renewing CASA*, is well advanced. This program is expected to deliver structural adjustments to simplify governance, strengthen decision making and improve the delivery of functions and services. Along with removing a 'silo' approach to business, *Renewing CASA* will focus on building a new and stronger culture within CASA to support consultation, communication and collaboration with the aviation community.

Performance measurement is ongoing and will be an area of particular focus in the coming 12 months and will be a key pillar in my drive for continuous improvement across the organisation.

In addition to putting more work into the refinement of key performance indicators, CASA will also establish an external performance validation panel as part of the requirements under the Government's *Regulator Performance Framework*.

This panel will be drawn from the Department of Infrastructure and Regional Development, a comparable regulatory agency, and representatives from the aviation industry. The panel will provide their assessment as to whether or not CASA has met its performance targets as outlined in the corporate plan.

The results of CASA's aviation community survey conducted in late 2015, has confirmed the need for all of us to put some additional work into the way we engage with industry.

Improving our stakeholder engagement will be a key organisational focus over the period of this corporate plan and is reflected in a range of initiatives and performance measures.

A great deal of my first year as CASA's Chief Executive Officer and Director of Aviation Safety has been spent meeting people in the wider aviation industry and listening to their issues and concerns.

It has been rewarding to see for myself the areas where we can make a difference as well as being able to reinforce CASA's purpose as a regulator to those in industry as well as explaining what our binding responsibilities are under the *Civil Aviation Act 1988* and other applicable legislation.

As Australia's aviation safety regulator, my team and I are committed to an appropriate 'safety partnership' with everyone in the aviation community.

Achieving change does not happen in isolation and I recognise the role we all have to play in ensuring our relationships are respectful and based on a shared commitment to ensuring Australia's enviable aviation safety record is maintained.



Mark Skidmore AM

Chief Executive Officer and
Director of Aviation Safety



PURPOSE

CASA is Australia's aviation safety regulator, is a corporate Commonwealth entity under the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and was established on 6 July 1995 under the *Civil Aviation Act 1988* (the Act). The main object of the Act is to establish a regulatory framework for maintaining, enhancing and promoting the safety of civil aviation, with particular emphasis on preventing aviation accidents and incidents.

Our key role

CASA's key role is to conduct the safety regulation of civil air operations in Australian territory and the operation of Australian aircraft outside Australian territory. CASA is also responsible for ensuring that Australian-administered airspace is administered and used safely.

CASA, the Australian Transport Safety Bureau, the Department of Infrastructure and Regional Development, Airservices Australia and the Department of Defence constitute Australia's aviation safety framework, each with separate and distinct functions, but working together as an integrated system.

In keeping with CASA's fundamental obligations, efforts are maintained and promoted at all times to ensure our decision-making and actions are lawful, fair, reasonable and consistent, and in all cases contribute to optimal safety outcomes, while not unnecessarily impeding the efficient operation of entities that we regulate.

Vision:

Safe skies for all

Mission:

To promote a positive and collaborative safety culture through a fair, effective and efficient aviation safety regulatory system, supporting our aviation community.

Values:

To maintain a highly skilled and motivated workforce who embrace these values:

Excellence: to strive to excel in all we do.

Courage: to act with strength of character and conviction while being accountable for our actions.

Teamwork: to work together to promote a strong, cohesive and highly effective workforce.

Fairness: to ensure our actions and decisions are informed, consistent, risk-based, evidence driven and without bias.

Integrity: our actions and behaviour are open, transparent and ethical.

Respect: to engage with our peers, colleagues and the wider aviation community in a clear, concise and respectful manner at all times.

Innovation: to challenge existing practices and look for opportunities to support effective continuous improvement.

CASA'S STRATEGIC APPROACH

Key strategic input to this plan

Consistent with CASA's statutory obligations, the corporate plan is informed through direction from the CASA Board and applicable legislation including the *Civil Aviation Act 1988*, *Airspace Act 2007*, *Public Governance, Performance and Accountability (PGPA) Act 2013*, and the *Regulator Performance Framework*.

This plan also continues on the work commenced in 2015 on the implementation of the CASA related recommendations from the Government's response to the 2014 Aviation Safety Regulation Review (ASRR). It also outlines how CASA intends to meet the Minister's Statement of Expectations (SOE) which was provided to the CASA Board in April 2015 and covers the period until 30 June 2017.

Key elements from the SOE include to:

- > continue to focus on aviation safety as the highest priority
- > operate as a world leading aviation safety regulator, backed by a workforce with requisite skills and capabilities
- > maintain high standards of professionalism, service, probity, reporting, accountability and transparency
- > create an effective, collaborative relationship between CASA and industry based on a foundation of mutual understanding and respect
- > consider the economic and cost impact on individuals, businesses and the community in the development and finalisation of new or amended regulatory changes.

In delivering this Corporate Plan, CASA maintains its commitment to the key principles outlined by the then Deputy Prime Minister, the Hon Warren Truss MP, in his ministerial tabling statement to the Aviation Safety Regulation Review in December 2014 which include that:

- > safety should be the primary consideration of CASA in the performance of its functions
- > the highest safety priority should be afforded to passenger transport operations
- > Australia's regulatory approach and responses should be based on a sound assessment of the high level of risk associated with particular aviation operations
- > CASA and industry should work closely together to identify aviation safety risks and ensure that the most appropriate methods, practices and technologies are adopted to address and reduce these risks
- > a strong 'just culture' approach must underpin better information sharing between industry and CASA as information sharing assists in preventing future safety events and reflects international best practice
- > recognition that Australia's safety regulatory system plays an important role in ensuring that Australia has a safe, efficient and competitive aviation industry
- > Australia's aviation regulatory procedures, processes and approach to regulation should be fair, transparent and promote nationally consistent operations
- > active and ongoing engagement by industry and CASA will help inform future regulatory priorities and the development of simpler regulations, standards and orders.

CASA has three key goals to deliver against these principles and meet its commitments over the life of this plan.

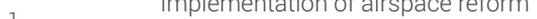
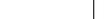
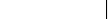
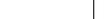
Goal 1 – Maintain and enhance a fair, effective and efficient aviation safety regulation system

Goal 2 – Collaborative engagement with the wider aviation community to promote and support a positive safety culture

Goal 3 – Continuous improvement of organisational performance

Strategic priorities

CASA has identified six key strategic areas of priority that will drive the organisation towards its goals with each area supported by a series of initiatives (outlined in section 8). As each initiative is delivered it will be incorporated into standard business as usual processes and practices and continuous improvement applied through a formal quality management approach.

CASA Goal/s	Strategic area/activity	2016–17	2017–18	2018–19	2019–20	2020–21
1, 2, 3	Renewing CASA					
1	Regulatory development and implementation					
1	Implementation of airspace reform and airspace management					
1	Identification of, and response to, new technologies, systems and materials					
2	Collaborative stakeholder engagement					
3	Enhancing CASA's capability/capacity and service delivery					

 Development and implementation

 Continuous improvement

Monitoring and reporting

This corporate plan articulates how CASA will apply these principles to deliver its three key goals and outlines the formal process to measure success through a series of key performance indicators. CASA's approach to performance management is detailed on pages 21 to 25.

Section 8 provides the specific initiatives to be undertaken by CASA to meet the Minister's SOE and each CASA-related ASRR recommendation with a link included to the relevant recommendation/s to be addressed by each initiative. In accordance with previous reporting

practice, the Board will provide the Minister with detailed quarterly performance reports throughout 2016–17 against the initiatives listed in section 8.

The 'Plan on a Page' (page 25) provides the linkages from both the SOE and the ongoing ASRR recommendations to the relevant CASA goals and performance indicators. In accordance with the *Public Governance, Performance and Accountability Rule 2014* and the *Regulator Performance Framework*, CASA's overall performance in delivering against these goals and indicators will be fully detailed in the annual performance statements in CASA's 2015–16 annual report.

Key challenges and trends

The key challenges and trends in the table below all have factors which, to varying levels, are partially within CASA's control.

Key challenges/ trends	CASA's response	Success measures
Change in CASA and the aviation community associated with the implementation of new regulations	<p>Engaging the aviation community in establishing dates and implementation methodologies for the introduction of new regulations that can be effectively managed.</p> <p>Providing accessible, comprehensive, usable and accurate guidance material.</p> <p>Delivering effective training, seminars and education tools.</p> <p>Minimising or reducing the cost or burdens from any new regulations, while still maintaining appropriate safety levels.</p>	<ul style="list-style-type: none"> > transition completed for all relevant operators/individuals successfully by the respective transition dates > cooperative participation from industry in regulatory development forums > positive feedback from the majority of industry on the implementation and transition process
Growth and evolution of remotely piloted aircraft sector	Introduce a modernised regulation and continue to refine policy to effectively manage safety.	<ul style="list-style-type: none"> > revised CASR Part 101 commences in September 2016. > consultation draft of Part 101 Manual of Standards completed by December 2016. > initiate the development of Part 102 and continue developing certification standards in CASR Part 21 for large unmanned aircraft > oversight approach adjusted as required
Impact of international carriers	Continued oversight of international carriers through existing regulatory framework and focused stakeholder engagement.	<ul style="list-style-type: none"> > using a risk-based approach, policy and procedures reviewed and amended as required > commence transition of CASR Part 129 for foreign air operators from April 2016 > identifying sector exposure and development of enhanced surveillance program

Key challenges/ trends	CASA's response	Success measures
Oversight of off-shore helicopter operations in the resource sector	Assess recommendations from the review of current oversight of off-shore helicopter operations and implement appropriate oversight strategy.	<ul style="list-style-type: none"> > oversight approach adjusted, as required, in line with review recommendations > finalise drafting of CASR Parts 42 and 145 for transport category certificated helicopters for making by November 2016
Increased participation in sport and recreational aviation	<p>Introduce a modernised regulation and continue to refine policy to effectively manage safety. Ensure a CASA presence at Sport and Recreational events and Air-shows. Support RAAOs through enforcement action on non-compliant operators both within an RAAO or operating outside of an RAAO.</p> <p>Provide appropriate staffing levels to undertake adequate oversight.</p>	<ul style="list-style-type: none"> > introduction of Approved Organisations Model when Part 149 is made by November 2016 > commence transition of RAAOs to Part 149 by April 2017 > standardised reporting measures for all RAAOs > CASA audit of at least five RAAOs per year
Ageing aircraft	Continuing to develop regulatory options to address ageing aircraft issues	<ul style="list-style-type: none"> > ongoing education relating to ageing aircraft issues of the aviation community via participation in industry forums
Retention of specialist personnel	<p>Review options for international recruitment of specialist categories.</p> <p>Revised communication strategy for difficult to fill roles by effectively utilising industry publications and forums.</p>	<ul style="list-style-type: none"> > increased numbers of applicants in the difficult to fill category of roles by 10 per cent > improve CASA's positioning in critical capability markets through more proactive marketing and recruitment actions > mitigate risks associated with the attraction and retention of highly specialised safety critical personnel
Issues associated with the introduction of Project OneSKY (advanced air traffic management system)	<p>CASA will regulate the implementation of Project OneSKY, a joint Airservices/Defence project to acquire a new air traffic management surveillance data processing and display system.</p> <p>CASA has little control over the timing of the delivery of, or the quantity of, safety assurance documentation by the proponent. CASA has recruited a Project Manager OneSKY to begin the oversight process. Airservices and Defence have agreed to fund four CASA staff for four years for this purpose.</p>	<ul style="list-style-type: none"> > No delays due to CASA during the implementation process > Dealing with safety assurance documentation within reasonable timeframes when complete documentation is delivered to CASA with appropriate notice

Key challenges/ trends	CASA's response	Success measures
Introduction and application of new technologies and materials	Manage applications from industry that include the use of new technologies and/or materials	<ul style="list-style-type: none"> <li data-bbox="821 373 1185 605">> Build capability in new technologies and/or materials through a variety of methods (for example establishing relationships with agencies such as Defence Science and Technology Organisation and CSIRO) <li data-bbox="821 605 1185 700">> Implement innovative solutions to assess applications with new technologies and/or materials
Oversight major infrastructure developments at aerodromes over the coming decade	Although the timing of specific aerodrome developments is uncertain, preparatory work may commence as soon as 2017. CASA will monitor these developments which are likely to require increased resources as they approach operation in the late 2010s to early 2020s. These projects would be handled as business-as-usual apart from the unusually large scale and possibly concurrent timing. Significant changes to airspace may be required to accommodate new traffic flows.	<ul style="list-style-type: none"> <li data-bbox="821 700 1185 801">> No delays due to CASA during the construction and introduction to operation process <li data-bbox="821 801 1185 972">> Dealing with safety assurance documentation within reasonable timeframes when complete documentation is delivered to CASA with appropriate notice <li data-bbox="821 972 1185 1195">> Airspace changes made in accordance with Office of Airspace Regulation business performance standards and subject to Airspace Change Proposals from Airservices/industry being received with adequate notice

OPERATING ENVIRONMENT

CASA is connected through a wide range of activities with more than 100,000 people who are involved in the Australian aviation industry, and with the many millions of passengers whose safety is CASA's primary concern. The constantly changing environment requires close monitoring to ensure the appropriate strategies are implemented to take into account the impact of each of these activities.

Table 1 Summary of areas of change in CASA's operating environment

Number of:	Actual			
	2011-12	2012-13	2013-14	2014-15
Registered aircraft (VH registered)	14,750	15,100	15,260	15,287
Domestic passengers ¹	54,980,000	57,380,000	57,570,000	57,220,000
International passengers ²	28,882,000	30,309,000	31,345,000	34,442,000
Unmanned Operators Certificates	n/a	~45	139	256
Domestic commercial flights ¹	615,100	644,600	642,600	635,700
International commercial flights ²	156,100	161,019	167,723	175,249
Flight Crew Licences (excl. students)*	30,489	29,834	29,658	31,587
Licensed Aviation Maintenance Engineers	7,470	7,700	8,000	8,462
Sport and recreational pilots ⁴	15,939 ³	16,001	16,110	15,459
Sport and recreational aircraft ⁴	6,602	6,864	7,433	8,215

The general trends indicated in Table 1 are expected to continue through the life of this plan. Ongoing monitoring of the trends will continue and any variations will be specifically addressed through future Corporate Plans. Any emerging trends which arise during the reporting period will be addressed and actioned through CASA's Divisional Business and Risk Management Planning process.

¹ Bureau of Infrastructure, Transport and Regional Economics domestic airline activity 2011-12, 2012-13, 2013-14.

² Bureau of Infrastructure, Transport and Regional Economics international airline activity 2011-12, 2012-13, 2013-14.

³ Data collection for 2011-12 included all Recreational Aviation Australia members, whereas figures for 2012-14 only include flying members.

⁴ This includes pilots and aircraft from Recreational Aviation Australia, Australia Ballooning Federation, Australian Sports Rotorcraft Association, Australian Warbirds Association, Gliding Federation of Australia, and Hang Gliding Federation of Australia.

* Figures are consistent with CASA's annual reports for period 2011-15.

Financial environment

Table 2 2016–17 Portfolio Budget Statements – income statement for the period ended 30 June

	2015–16 Estimated actual \$'000	2016–17 Budget \$'000	2017–18 Forward estimate \$'000	2018–19 Forward estimate \$'000	2019–20 Forward estimate \$'000
EXPENSES					
Employee benefits	119,803	119,978	123,145	125,589	128,081
Suppliers	54,777	49,922	50,653	50,185	51,803
Depreciation and amortisation	12,587	13,328	13,196	15,224	15,103
Total expenses	187,167	183,228	186,994	190,998	194,987
LESS:					
OWN-SOURCE INCOME					
Own-source revenue					
Sale of goods and rendering of services	15,647	16,500	16,500	16,500	16,500
Interest	1,582	1,600	1,600	1,700	1,750
Other	1,464	1,000	1,000	1,000	1,000
Total own-source revenue	18,693	19,100	19,100	19,200	19,250
Total own-source income	18,693	19,100	19,100	19,200	19,250
Net (cost of) / contribution by services	(168,474)	(164,128)	(167,894)	(171,798)	(175,737)
Revenue from Government	159,661	164,150	167,911	171,811	175,747
Surplus / (Deficit) attributable to the Australian Government	(8,813)	22	17	13	10
Total comprehensive income / (loss) attributable to the Australian Government	(8,813)	22	17	13	10

Prepared on Australian Accounting Standards basis.

2015–16

CASA is budgeting for an operating deficit in 2015–16 of \$8.8m, which is less than the approved operating deficit of \$10.0m. The smaller than anticipated deficit is mainly due to a decrease in employee expenses resulting from a lower than forecast average staffing level.

2016–17

CASA is planning a small operating surplus in 2016–17. The 2016–17 budget staffing level is forecast to be 805 and there will be some targeted reductions in supplier expenses.

Forward years

CASA is budgeting for small operating surpluses in the forward years with the Special Appropriation for aviation fuel excise forecast to grow at around 3.1 per cent per annum.

Depreciation expenditure will steadily increase in line with CASA's capital program and employee expenses will continue to increase as a result of anticipated pay rises under the next enterprise agreement.

A review of the funding arrangements for CASA is being undertaken to identify a model that will deliver greater financial stability for the organisation into the future.

Revenue from special appropriations will increase by 3.9 per cent in the budget year and 3.1 per cent in the forward years.

Total expenses in 2016–17 are estimated to be \$183.2m, a decrease of \$3.9m when compared to the anticipated outcome for 2015–16. The main movements in the major expense categories are:

- > employee expenses are remaining stable at \$120.0m;
- > depreciation expenses increasing by \$0.7m, reflecting an increase in capital expenditure in 2015–16; and
- > supplier expenses decreasing by \$4.9m as a result of ongoing targeted savings measures.

Budgeted departmental balance sheet

CASA's net asset (or equity) position for 2016–17 is forecast to be largely unchanged with a small increase compared to 2015–16, consistent with the anticipated small operating surplus and projected capital investment.

Capital investment strategy

During 2016–17 CASA will be investing \$9.1m in capital expenditure. The 2016–17 investments will centre on a planned refresh of CASA's IT infrastructure and desktop appliances, business process improvements stemming from enhancements and further integration within CASA's major enterprise system, AiMS, and a planned office fit-out for the Adelaide office.

CASA's investment profile for the period of the corporate plan is:

- > 2017–18 - **\$14.4m** – investments include the replacement of key information technology infrastructure, as well as the replacement of the SharePoint platform and the surveillance capability and a refresh of unified communications
- > 2018–19 - **\$14.0m** – main investment for this period includes planned fit-outs for the Sydney and Brisbane offices, major upgrades to a number of corporate systems such as AiMS, the human resource management system, enterprise project management toolset, and learning management system
- > 2019–20 - **\$18.1m** – investments include completing the planned fit-out of the Brisbane office, major upgrades to a number of corporate systems such as AiMS (continuing from the previous year), Financial Management Information System, case management, and internet management systems
- > 2020–21 - **\$12.2m** – investments include fit-outs of various offices as well as a planned refresh of key information technology infrastructure and desktop applications.

CAPABILITY

Workforce planning

CASA's next version of its Strategic Workforce Plan 2016–19 will commence in this financial year, which will position CASA's workforce to meet current and future demands and align the workforce with the strategic directions and organisational goals outlined in the Corporate Plan. The new workforce plan will continue to align CASA with whole of government workforce planning strategies.

Current workforce capability requirements and gaps

CASA requires a workforce with significant aviation industry experience and a strong knowledge of safety regulations to successfully administer the *Civil Aviation Act 1988*, the objective of which is to establish a regulatory framework for maintaining, enhancing and promoting the safety of civil aviation and preventing aviation accidents and incidents. Specific capability gaps which need to be addressed include:

- > Implementing a regulatory framework and safety management systems to support a rapidly expanding Remotely Piloted Aircraft Systems (RPAS) sector
- > Recruiting appropriately skilled personnel in the key sectors of the general aviation and air transport sectors
- > Developing and enhancing leadership and management skills with the focus of delivering capability and performance improvements
- > Developing the Regulatory and Technical Training Framework in an evolving technological environment to ensure that training benefits fully support enhanced regulatory performance, client-service orientated outcomes and achieve higher levels of workforce performance and productivity.

Future workforce capability requirements

To meet the future requirements of the aviation community, CASA is planning to strengthen its workforce capability in:

- > stakeholder engagement and collaboration to support enhanced regulation development and implementation outcomes
- > shifting to a client-service orientated model
- > making effective, risk and evidence based decisions in line with undertaking activities associated with the *Civil Aviation Act 1988* in a changing environment
- > continuing to meet increasing surveillance requirements across different aviation sectors

Strategies and initiatives to address key workforce gaps

The following strategies have been identified to address current and future capability requirements:

- > Revising CASA's 'critical roles' and developing appropriate succession plans and talent management strategies to mitigate any loss of critical capabilities through retirement or separation.
- > Enhancing CASA's recruitment capabilities to provide a more flexible and responsive recruitment model that addresses resourcing gaps in key capabilities, including developing strategies to broaden CASA's appeal to a wider employment market by increasing CASA representation of identified groups including women working in the aviation industry, and Indigenous and mature age workers.
- > Implementing the CASA Capability Framework and associated support tools across all levels of CASA, which will provide a system for CASA to: build capability within the available staffing resources; build regulatory knowledge and experience of our people; improve consistency and deliver efficiency and productivity gains.

- > Continuing to strengthen CASA's leadership and management by implementing the revised Senior Management Group performance framework to enhance the alignment of performance outcomes across all levels in CASA.
- > Establishing more flexible working practices, to improve the ability for staff in community and industry facing roles in CASA to become more actively engaged with the aviation industry in their working environment.

ICT capability

Technology strategy

CASA continues to transform and simplify its Information Communication and Telecommunication (ICT) environment to provide new and improved capabilities which build on existing services to support CASA's transformation to a digitally enabled organisation.

ICT leverages a wide range of Australian Government and industry Better Practice principles, strategies and guidelines to provide effective ICT services. This approach enables well informed decisions to be taken that will best serve the interests of the flying public and the aviation community.

CASA's ICT strategy can be broken down into six key areas:

- > to simplify CASA's ICT landscape
- > be digital services enabled
- > make CASA information available from 'any device, anywhere, anytime'
- > enable collaboration within CASA
- > improve ICT capability
- > assure appropriate governance and management

Consistent with CASA's strategic priorities a four year program of work to digitally transform CASA services will be delivered via six capability domains:

- > Digital access channels – enhancing existing channels with efficient and effective digital channel enhancement
- > Services – Establish a catalogue of digital services to simplify access to CASA services
- > Information – Establish improved business intelligence across activities
- > Enterprise applications – Simplify, rationalise and integrate CASA business systems
- > Technology – maintain and leverage developments in technology
- > ICT business capability – ensure ICT has established the appropriate capabilities to support these new systems.

RISK OVERSIGHT AND MANAGEMENT

CASA applies an enterprise-wide risk management approach across its extensive range of activities to identify, analyse and manage risks, ensuring that all decisions are well informed and evidence based and contribute effectively to its vision of *Safe skies for all*.

All aviation activity involves a degree of risk, and it is a key element of CASA's role to understand the nature and full dimensions of the risks it oversees. In undertaking its regulatory function, CASA faces a variety of potential risks, such as failure to detect breaches of safety and maintenance standards, incorrect or inconsistent application of regulatory standards, ineffective stakeholder engagement, and failure to properly carry out statutory responsibilities. The identification, analysis, treatment, monitoring and review of risk are embedded into all CASA functions and contribute directly to the effective and efficient achievement of CASA's corporate goals.

CASA's risk appetite is directly linked to the achievement of its three key goals and success in its key performance areas.

CASA's enterprise wide Risk Management Policy and Framework underpins our approach which promotes risk based decision making to minimise exposure to risk and maximise the achievement of CASA goals and its performance in the most efficient and effective manner.

CASA has a low risk appetite relating to aviation safety and employee health and safety, with a marginally higher risk appetite regarding stakeholder engagement and organisational performance.

This is met through the application of a risk tolerance matrix contained within the Risk Management Framework which incorporates the 'As Low As Reasonably Practicable' (ALARP) principle to the context in which any decision is being made or activity undertaken.

Reducing aviation safety risks to reasonably practicable levels will take priority over other business objectives, however CASA actively seeks opportunities for improvement across all aspects of its business to achieve its goals and vision. We are open to new ideas and encourage and support innovation to identify new solutions. The Board encourages all staff to actively look for innovative ways to improve the efficiency and effectiveness of CASA functions and service delivery in accordance with the Risk Management Framework.

CASA reviews and updates its risk management policy and practices annually to ensure that they remain aligned with current best practice and accord with the principles outlined in the Australian and New Zealand International Standards Organisation Risk Management – Principles and Guidelines (AS/NZS ISO31000:2009). CASA utilises the annual

Comcover risk management benchmarking survey as an independent performance measure of its risk management practices and maturity levels with a target of maintaining its position in the top quartile of all Commonwealth entities.

CASA has an overarching Strategic Risk Management and Audit Plan (SRMAP), which is a four year planning document, reviewed and updated annually and approved by the Board in June each year. The SRMAP is a consolidation of the Business and Risk Management Plans (BRMP) for each Group/Branch. The BRMPs ensure all activities conducted within each division are clearly aligned to the corporate goals and key performance areas. It also ensures that all key risks are identified and transparently documented including strategies to address, manage and mitigate the high risk elements. This is particularly relevant to enable the planning and allocation of resources in the most efficient and effective manner.

CASA has embedded specific risk management practices in all key processes including:

- > Business planning
- > Entry control
- > Surveillance
- > Enforcement procedures
- > Standards development
- > Financial management
- > Project management
- > Procurement
- > Work Health and Safety
- > Human factors
- > Airspace administration
- > Protective security
- > Internal audit
- > Quality assurance.
- > Business continuity management

PERFORMANCE MEASUREMENT

CASA will be reporting against five Key Performance Areas (KPA) in this plan using performance indicators and measures in accordance with the requirements detailed in the *Regulator Performance Framework* and the *PGPA Rule*. These KPAs are:

1. Aviation safety regulation and service delivery
2. Industry oversight
3. Stakeholder engagement
4. Governance and organisational effectiveness
5. CASA's capability and capacity

CASA will measure its success against these KPAs utilising the following ten Key Performance Indicators (KPIs):

1. CASA is an effective aviation safety regulator by international standards
2. CASA does not unnecessarily impede the efficient operation of regulated entities *
3. CASA actively contributes to the continuous improvement of the aviation safety regulatory framework *
4. Actions undertaken by CASA are proportionate to the risk being managed *
5. Compliance and monitoring approaches are streamlined and coordinated *
6. CASA is open and transparent in its dealings with regulated entities and all of its stakeholders *
7. Communication with regulated entities and all of CASA's stakeholders is clear, targeted and effective*

8. Education and promotion deliverables are relevant, timely, effective and appropriately targeted
9. CASA's governance structures, finance and risk management align with Commonwealth better practice
10. CASA maintains the capability and capacity to effectively deliver aviation safety regulation.

Table 3 outlines some of the high level performance measures and associated evidence which will be relied upon to assess CASA's success in achieving its goals and meeting its KPIs.

Specific initiatives to deliver the government's strategic aviation direction and meet the wider aviation community safety expectations are outlined in Section 8 of this Plan and provide detailed descriptions of the activities to be undertaken by CASA. Associated with each of these initiatives are performance measures which will be used to inform the KPIs and CASA's overall performance for the reporting period.

CASA is establishing an external performance validation panel to ensure that CASA's performance indicators and the evidence relied upon to measure CASA's performance is aligned with its key stakeholder expectations. The establishment of comprehensive performance measures will be finalised progressively over the period of this plan. The Plan on a Page (page 25) outlines the proposed timeframes to develop and set targets against each of CASA's KPIs.

* KPIs required under the *Regulator Performance Framework*.

Table 3: Key Performance Areas, Indicators and Measures

KPAs	Key Performance Indicator	Performance measures (examples of measures to be considered/applied)	Examples of evidence
Aviation Safety Regulations and service delivery	CASA is an effective aviation safety regulator by international standards	CASA is in the top quartile of aviation safety regulators based on: Number of accidents per hours flown Number of incidents per hours flown CASA standards meet or exceed ICAO minimum standards	Annual accident rates for air transport from Canada, New Zealand, United Kingdom and United States of America Annual online status of differences filed Data from ICAO continuous monitoring approach
	CASA does not unnecessarily impede the efficient operation of regulated entities *	New regulations are developed using an agreed stakeholder engagement process and supported by a Regulation Impact Statement, as appropriate, to demonstrate the net benefits of the new regulations	Existence of stakeholder engagement processes Evaluation of relevant survey feedback Record of matters taken to Administrative Appeals Tribunal (AAT) Comparison of service delivery activities against targets
	CASA actively contributes to the continuous improvement of the aviation safety regulatory framework *	A program of initiatives are in place to improve the aviation safety regulatory framework Stakeholder feedback mechanisms maintained through the use of industry forums, formal public consultation processes and clear complaints processes CASA actively engages within government and with international counterparts	Initiatives detailed in the corporate plan/annual report Existence of feedback mechanisms including evidence of industry forums and other consultation processes Records of participation in ICAO and international meetings and working groups/panels
Industry oversight	Actions undertaken by CASA are proportionate to the risk being managed *	Actions are aligned with the Minister's Statement of Expectations (SOE)	Records show that planning is mapped to the SOE
		Surveillance and subsequent action is taken in a graduated and proportionate manner in accordance with the CASA Surveillance Manual (CSM) and CASA Enforcement Manual (CEM) CASA has a risk management framework in place	Ongoing internal audit schedule against the surveillance manual and enforcement manual
	Compliance and monitoring approaches are streamlined and coordinated *	Oversight of regulated entities must be undertaken in accordance with the CSM Enforcement action must be undertaken in accordance with the CEM	Ongoing internal audit schedule against the surveillance manual and enforcement manual Quality management oversight data

KPAs	Key Performance Indicator	Performance measures (examples of measures to be considered/applied)	Examples of evidence
Stakeholder engagement	CASA is open and transparent in its dealings with regulated entities and all of its stakeholders *	<p>All relevant policy manuals, processes and guidance material available on CASA website</p> <p>Stakeholder feedback mechanisms maintained through the use of industry forums, public consultation processes and clear complaints processes</p> <p>Decisions are published and accompanied by a statement of reasons and advice about relevant review or appeal mechanisms, where appropriate</p>	<p>Existence of material on CASA website</p> <p>Performance results published in annual report</p> <p>Record of consultation processes</p> <p>Existence of publicly available feedback mechanisms</p>
	Communication with regulated entities and all of CASA's stakeholders is clear, targeted and effective*	<p>Decisions are published and accompanied by a statement of reasons and advice about relevant review or appeal mechanisms, where appropriate</p> <p>Stakeholder feedback mechanisms maintained through the use of industry forums, public consultation processes, formal market research and clear complaints processes</p> <p>Education and promotion activities are informed by an evidence-based process</p>	<p>Existence of material on CASA website</p> <p>Performance results published in annual report</p> <p>Record of all consultation processes</p> <p>Evaluation of relevant research and survey data</p> <p>Existence of evidence-based process informing education and promotional activities</p>
	Safety education, communication and promotion activities are relevant, timely, effective and appropriately targeted	<p>Education, communication and promotion activities are informed by an evidence-based process and meet the needs of the regulated entities</p> <p>Post activity evaluation indicate increased levels of awareness, knowledge and appropriate behaviour change</p>	<p>Existence of evidence-based process informing the content and targeting of education and promotional activities</p> <p>Web services download data and social media metrics</p> <p>Feedback collected from post activity surveys</p>

* denotes KPIs required under the Regulator Performance Framework

KPAs	Key Performance Indicator	Performance measures (examples of measures to be considered/applied)	Examples of evidence
Governance and organisational effectiveness	CASA's governance structures, finance and risk management align with Commonwealth better practice	<p>CASA places in the top quartile of agencies in the Comcover annual risk management benchmarking survey</p> <p>Governance framework and subordinates policies align with the ANAO better practice guidance</p>	<p>Comcover annual risk management benchmarking survey results</p> <p>ANAO financial statement report with no Category A findings</p> <p>Existence of self-assessment documentation and associated reports</p>
CASA's capability and capacity	CASA maintains the capability and capacity to effectively deliver aviation safety regulation	<p>Maintain the current high level of employee engagement (75 per cent or above) as reported every two years</p> <p>Maintain an Average Staffing Level (ASL) within 5 per cent of approved budget levels</p> <p>Staff trained in accordance with the Regulatory and Technical Training Framework</p>	<p>People and performance data</p> <p>Records of the Performance and Communication Scheme</p> <p>Safety Education and Promotion training data</p> <p>ICT performance data</p>

PLAN ON A PAGE

Goals	Key Performance Areas	Key Performance Indicators	SOE	Government's response to ASRR recommendations	Performance dates and targets	
					Assess data/set benchmark	Set target
Goal 1: Maintain and enhance a fair, effective and efficient aviation safety regulatory system	Aviation safety regulations and service delivery	CASA is an effective aviation safety regulator by international standards	4, 5, 6, 8, 9, 11, 12, 13	1* ,8(a),8(c), 14 ,21,22,23,24,35	2016-17	2017-18
		CASA does not unnecessarily impede the efficient operation of regulated entities	6, 9, 10, 15	15,29,35, 37(c),	2016-17	2017-18
		CASA actively contributes to the continuous improvement of the aviation safety regulatory framework	6, 8, 9, 11, 12, 14	1,4 ,8(a),8(c), 10,12,13,14,19 ,21,22,23,29, 30,31,33	2016-17	2017-18
	Industry oversight	Actions undertaken by CASA are proportionate to the risk being managed	4, 5, 6, 9	18,28,29, 37(d)	2016-17	2017-18
		Compliance and monitoring approaches are streamlined and coordinated	6, 9, 10	15,24,25, 26, 27 ,28,32	2016-17	2016-17
Goal 2: Engage effectively with the wider aviation community to promote and support a positive safety culture	Stakeholder engagement	CASA is open and transparent in its dealings with regulated entities and all of its stakeholders	6, 8, 11, 12, 14	8(a),8(b), 11,12,13 ,17, 18, 19 ,23,32,33,34, 37	2016-17	2017-18
		Communication with regulated entities and all of CASA's stakeholders is clear, targeted and effective	6, 8, 11, 12, 14	1,4 ,8(b),8(c), 12,14 ,15,17,18, 19 , 32,33,34	2016-17	2017-18
		Education and promotion deliverables are relevant, timely, effective and appropriately targeted	6, 12, 14	9,16,17, 19	2016-17	2016-17
Goal 3: Continuous improvement of organisational performance	Governance and organisational effectiveness	CASA's governance structures, finance and risk management align with Commonwealth better practice	6, 9, 10, 11, 13	6 ,8(a),8(c), 14 ,17,21,22,24,25,26, 27 ,37(a),37(b)	✓	2016-17
	CASA's capability and capacity	CASA maintains the capability and capacity to effectively deliver aviation safety regulation	5, 6, 7, 13	8(d) ,9,16, 17, 19 ,37(b)	✓	2016-17

* Bold numbers denote ASRR recommendations which have been completed as at May 2016.

CASA GOALS, KPAS, INITIATIVES AND PERFORMANCE MEASURES 2016–17 TO 2020–21

Goal 1: Maintain and enhance a fair, effective and efficient aviation safety regulation system

CASA will focus its efforts on maintaining, enhancing and promoting aviation safety, as set out in the *Civil Aviation Act 1988* and in accordance with all Government directions. CASA's work will centre on enhancing oversight and surveillance, continuing the Regulatory Implementation Program, continuing to reform the Australian administered airspace and continuing effective enforcement to secure compliance with safety standards.

1.1 AVIATION SAFETY REGULATIONS AND SERVICE DELIVERY			
	Initiative	KPI	Performance measure
1.1.1	continuing to implement airspace reform initiatives as identified in the Australian Airspace Policy Statement SOE 9	1,3	<ul style="list-style-type: none"> > execute the Office of Airspace Regulation work program in accordance with the Australian Airspace Policy Statement > report key achievements quarterly > Airspace Risk and Safety Management Program (ARSMP) to be completed by September 2016 > appropriate OAR staff to be trained in ARSMP by end December 2016
1.1.2	implement the recommendations arising from the review of the operations and functions of the Office of Airspace Regulation SOE 9	1,3	<ul style="list-style-type: none"> > consideration of the recommendations of the review of the OAR to be completed within two months following publication of the report by the Minister > recommended actions from the review of OAR to be achieved in accordance with the agreed plan
1.1.3	oversight major infrastructure developments at aerodromes over the coming decade such as new runways at Brisbane, Melbourne and Perth Airports and the new Western Sydney Airport KC 10	1,3	<ul style="list-style-type: none"> > no delays due to CASA during the construction and introduction to operation process > dealing with safety assurance documentation within reasonable timeframes when complete documentation is delivered to CASA with appropriate notice > airspace changes made in accordance with OAR business performance standards and subject to Airspace Change Proposals from Airservices/ industry being received with adequate notice

SOE Statement of Expectations, **ASRR** Aviation Safety Regulation Review, **KC** Key challenges

1.1 AVIATION SAFETY REGULATIONS AND SERVICE DELIVERY		
Initiative	KPI	Performance measure
<p>1.1.4 contributing to the achievement of aviation safety objectives through active membership, and rational management of participation in the work, of the International Civil Aviation Organization (ICAO)</p> <p>SOE 12</p>	1,3,6,7,10	<ul style="list-style-type: none"> > maintaining appropriate levels of participation in relevant ICAO panels and working groups and participate on an appropriate basis in meetings and other events > continuing to work with ICAO and other bodies with a view to contributing to, and realising benefits from, such strategic engagements > maintaining a regional focus in the conduct of CASA's international relations, including appropriate contact and relations with international aviation specialist organisations and regulators on an appropriate strategic basis
<p>1.1.5 contributing to the establishment of bilateral aviation safety arrangements with other countries and national aviation authorities</p> <p>SOE 12</p>	1,3,6,7,	<ul style="list-style-type: none"> > consistent with an informed, strategic approach reflecting important stakeholder interests, demonstrating efforts to progress the establishment of appropriate mutual recognition arrangements, including bilateral aviation safety arrangements with key international partners
<p>1.1.6 continuing to provide support to the DIRD and APG, as required, for the further development of the Aviation State Safety Program</p> <p>ASRR 1</p>	1,3,6,7	<ul style="list-style-type: none"> > contribute, as requested, to the DIRD for the implementation and continuous improvement of the Aviation State Safety Program > continued development and implementation of CASA's Regulatory Safety Management Program in support of the Aviation State Safety Program > develop education and promotional products that underpin knowledge of the Aviation State Safety Program within CASA
<p>1.1.7 CASA will provide staff to participate in ATSB investigations and other technical support, as requested, and will monitor and review interaction with the ATSB in accordance with the MOU</p> <p>ASRR 4, 11</p>	3,6,10	<ul style="list-style-type: none"> > in accordance with the ATSB/CASA MOU respond to ATSB requests for CASA staff to participate in investigations and to provide technical support > conduct ongoing periodic reviews in accordance with the MOU and as scheduled accordingly > jointly report to the DAS and the Board

1.1 AVIATION SAFETY REGULATIONS AND SERVICE DELIVERY

Initiative	KPI	Performance measure
<p>1.1.8 CASA will provide advice to the DIRD and respond to all recommendations from the Minister in a considered and timely manner, including but not limited to:</p> <p>Advice, when requested</p> <p>SOE 9, ASRR 12</p> <p>Advice, when requested, on improving safety oversight of services provided by the military to civil aviation at military air bases and in airspace controlled by the Department of Defence</p> <p>ASRR 13</p> <p>Review of the flight priorities contained in the Aeronautical Information Publication ENR 1.4 Section 10</p> <p>ASRR 10</p>	3,4,6,7	<ul style="list-style-type: none"> > as required, participate in and support the APG review of the day-to-day operational management of airspace > develop an implementation plan for any recommendations from the APG review of the day-to-day operational management of airspace endorsed by the Minister > participate in any APG led review of safety oversight of services provided by the military to civil aviation at military air bases and in airspace controlled by the Department of Defence > develop plans for the implementation of any recommendations endorsed by the Minister that follow from a review of safety oversight of services provided by the military to civil aviation at military air bases and in airspace controlled by the Department of Defence > contribute to the DIRD led review of flight priorities
<p>1.1.9 assess the impact/effectiveness of the regulatory philosophy and associated regulatory policies</p> <p>ASRR 14</p>	1,3,6	<ul style="list-style-type: none"> > appropriate measures to assess impact and effectiveness of philosophy and policies are identified, along with a plan to conduct such assessments
<p>1.1.10 publish, and update as necessary, a Question and Answer (Q&A) document to accompany the Safety Information Policy Statement</p> <p>ASRR 19</p>	6,7,8,9	<ul style="list-style-type: none"> > in conjunction with ATSB, a Q&A document consistent with current obligations and expectations is developed and published on the CASA website > arrangements are in place with the ATSB for an appropriately periodic review of the content of the Q&A document
<p>1.1.11 make and commence implementation of the remaining CASR Parts</p> <p>SOE 14, 15</p> <p>ASRR 28, 29, 30, 31</p>	1,2,3,6,7	<ul style="list-style-type: none"> > complete drafting, consultation and making of the remaining CASR Parts in accordance with the schedule developed in consultation with industry > reflect alignment of CASA's classification of operations with the ICAO model > use a three tier structure comprising: the Act; Regulations; and Manuals of Standards

1.1 AVIATION SAFETY REGULATIONS AND SERVICE DELIVERY		
Initiative	KPI	Performance measure
1.1.12 undertake a post implementation review, once the current reform schedule has delivered the outstanding CASR Parts, and update the current practices to establish the most effective means by which the development of future regulatory development priorities can best be informed. Including development of a review schedule. SOE 15, ASRR 33	3	<ul style="list-style-type: none"> > continue to meet deregulation/regulatory reform targets (overarching regulator framework goal) > appropriate revisions are incorporated into relevant CASA policies, procedures and manuals
1.1.13 address the increased participation in sport and recreational aviation KC 5	1,3,4,5, 6,7,8	<ul style="list-style-type: none"> > conducting surveillance events of RAAOs (ASAOs) based on risks to aviation safety > conducting surveillance on Light Sport Aircraft manufacturers and importers to ascertain levels of compliance with applicable standards > conducting assessment and oversight of sport aviation delegates and providing appropriate training > implementing communication campaigns to support safe practice in the sports sector > finalise and implement CASR Part 149
1.1.14 continuing to focus on the safety of ageing aircraft in Australia KC 6	1,2,3,4, 5,6,7	<ul style="list-style-type: none"> > continuing to develop regulatory options to address ageing aircraft issues > Ongoing education relating to ageing aircraft issues of the aviation community via participation in industry forums
1.1.15 performance indicators for CASA's service delivery functions will be monitored and updated as part of the continuous improvement process to support the corporate KPIs ASRR 8 (a)	1,3,6,9	<ul style="list-style-type: none"> > regulatory services that relate to personnel licensing (Pilots and Engineers) are published and updated monthly on CASA's website > performance measures for Aviation Group, Sustainability Group and Stakeholder Engagement Group to be developed and published

1.1 AVIATION SAFETY REGULATIONS AND SERVICE DELIVERY

Initiative	KPI	Performance measure
<p>1.1.16 publishing a draft policy paper on the indemnity of industry delegates and authorised persons, having regard to advice from affected members of the industry, availability and cost of appropriate insurance coverage, rules promulgated under the PGPA Act and the views of the Ministers and Departments of Infrastructure and Regional Development and Finance on extending indemnities to persons other than Commonwealth officials</p> <p>SOE 14, ASRR 15</p>	5,6,7	<ul style="list-style-type: none"> > develop options for providing appropriate indemnities for delegates and authorised persons, as well as persons engaged in activities formerly performed as delegates or authorised persons > consider necessary and appropriate legislative adjustments to enable existing indemnities to continue pending identification and implementation of long-term arrangements > updated draft policy and options paper accordingly
<p>1.1.17 implement recommendations arising from the review of CASA's aviation medicine function including obtaining timely expert advice on complex matters</p> <p>ASRR 35</p>	1,2,3,10	<ul style="list-style-type: none"> > undertake regular market assessment and review of service delivery models for aeromedical specialists to ensure that the service model is achieving agreed service levels and adequate medical staffing > undertake a regulatory development review project for <i>CASR Part 67 Medicine</i>, introduced in 2003, to develop an amendment package addressing identified areas for improvement in the current regulation for the mutual benefit of CASA and regulated entities > undertake an evaluation of the DAME Class 2 Medicals initiative to assess whether the new MRS system could be further enhanced while maintaining a nationally consistent approach to the effective administration of this function > establish formally recognised agreements for the mutually beneficial relationships between CASA's AvMed function and other entities such as NZCAA and Defence AvMed > undertake additional business process improvement activities for AvMed services that will further improve the workflow, experience and client relations > establish an expert panel for obtaining advice on complex matters > complete an internal review of CASA's approach to developing Aviation Medicine Regulatory Standards, Policy and Guidelines, identifying recommendations for improvement

1.2 INDUSTRY OVERSIGHT			
	Initiative	KPI	Performance measure
1.2.1	oversight of the acquisition and implementation of the Airservices Australia OneSKY project ASRR 13 KC 8	1,3,5,7	<ul style="list-style-type: none"> > no delays due to CASA during the certification process > dealing with safety assurance documentation within a reasonable timeframe when complete documentation is delivered to CASA with appropriate notice
1.2.2	review the auditing standards currently applied in the CASA Surveillance Manual and ensure alignment with international auditing standards. The review will consider the grading scales applied to NCNs alternatives to the NCN process to be considered in light of the review of the review provide additional training and accompanying communication strategy as required to ensure appropriate skills for staff. ASRR 24, 25	3,4,5, 8,10	<ul style="list-style-type: none"> > alternative methods for communicating about instances of apparent regulatory non-compliance and other safety-related shortcomings and deficiencies to be developed and implemented in accordance with relevant regulatory policy by September 2016 > as part of the current continuous improvement cycle: > continue twice yearly updates of the CASA Surveillance Manual (CSM) > ensure training delivered and communications strategies reflecting changes to the CSM are developed and implemented > continually monitor international better practice auditing standards and include them in reviews of the surveillance framework (CSM) and training requirements for staff
1.2.3	develop performance measures and implement a quality assurance process to monitor surveillance/audit practices ASRR 18, 26	1,3,5,9	<ul style="list-style-type: none"> > CASA will continue to monitor surveillance and audit practices in accordance with the annual work program against CASA Surveillance Manual standards and submit reports to the CASA Executive Management Meeting
1.2.4	complete industry risk profiling in accordance with schedule and use the data to inform and update CASA's surveillance activities ASRR 28	1,3,4,5,9	<ul style="list-style-type: none"> > continue developing sector risk profiles in accordance with the prioritised approved schedule > use the outcomes of sector risk profiling to enhance CASA's surveillance activities
1.2.5	develop a revised discussion paper on a review of the penalties for offences in the <i>Civil Aviation Act 1988</i> and the CASR for public consultation and comment SOE 14 ASRR 32	2,4,5, 6,7	<ul style="list-style-type: none"> > revised discussion paper presented to Board by 31 December 2016 > pending Board concurrence, discussion paper circulated for public consultation by 31 March 2017 > after consultation process, CASA will then consider whether it is necessary to seek amendment to the penalty amount in offence provisions in the Act and aviation regulations

1.2 INDUSTRY OVERSIGHT			
	Initiative	KPI	Performance measure
1.2.6	improving CASA's specialist surveillance capability to oversee the remotely piloted aircraft systems (RPAS) industry		<ul style="list-style-type: none"> > revised CASR Part 101 to commence in September 2016 > consultation draft of Part 101 Manual of Standards completed by December 2016 > subject to ICAO material, initiate the development of Part 102 and continue developing certification standards in CASR Part 21 for large unmanned aircraft > develop a RPAS roadmap to guide the continuing modification of policy and regulations > consider development of an approach to devolving aspects of the oversight of RPAS to Approved Self-administering Aviation Organisations under CASR Part 149
1.2.7	<p>improving CASA's specialist surveillance capability to oversee:</p> <p>overseas based maintenance providers servicing Australian registered aircraft</p> <p>off shore helicopter operations</p> <p>oversight of foreign air operator's certificates (AOC)</p> <p>KC 2, 3, 4</p>	1,2,3, 4,5, 6, 7,10	<ul style="list-style-type: none"> > using a risk-based approach, policy and procedures reviewed and amended as required > commence transition of CASR Part 129 for foreign operators from April 2016 > identifying sector exposure and development of enhanced surveillance program > oversight approach adjusted, as required, in line with review recommendations > conduct a review of policies relating to the oversight of overseas based maintenance providers servicing Australian registered aircraft by December 2016

Goal 2: Collaborative engagement with the wider aviation community to promote and support a positive safety culture

CASA maintains a constructive working relationship with other Australian Government agencies and promotes effective collaboration through consultation and communication with the wider aviation community. Through its consultative forums, feedback channels, educational efforts and promotional campaigns, CASA engages in a clear, open and transparent manner with the aviation industry to continuously improve the regulatory framework and be a partner in supporting and promoting a positive aviation safety culture.

2.1 STAKEHOLDER ENGAGEMENT			
	Initiative	KPI	Performance measure
2.1.1	maintaining sound working relationships with the office of the Minister for Infrastructure and Transport	6,7	<ul style="list-style-type: none"> > providing timely and accurate information and advice on key aviation safety and related regulatory issues, in accordance with agreed timeframes
	SOE 3		
2.1.2	maintaining sound working relationships with the Department of Infrastructure and Regional Development	6,7	<ul style="list-style-type: none"> > continuing to liaise with DIRD and work collaboratively on matters of mutual interest > providing timely and accurate responses to requests for advice from DIRD > conducting regular executive and officer-level briefings between CASA and DIRD on current and emerging issues
	SOE 11		
2.1.3	maintaining sound working relationships with other Australian Government agencies	6,7	<ul style="list-style-type: none"> > conducting regular executive meetings between CASA and the Australian Transport Safety Bureau to achieve the objectives stated in the memorandum of understanding > conducting regular safety meetings with Airservices Australia > engaging with key Government agencies through the Aviation Policy Group and Aviation Implementation Group > providing accurate and timely advice to other Government agencies as required such as the Department of Finance, Bureau of Meteorology, Australian Maritime Safety Authority, Department of Defence and the Australian Public Service Commission and working collaboratively as required > developing appropriate relationships with other Commonwealth, State and Territorial government agencies with interests and involvements in aviation safety matters
	SOE 8, 11		

2.1 STAKEHOLDER ENGAGEMENT			
	Initiative	KPI	Performance measure
2.1.4	continue to strengthen international and Asia-Pacific regional aviation safety engagement SOE 12	1,6,7, 8	<ul style="list-style-type: none"> > finalise updated CASA international engagement strategy by the second quarter of 2016–17 > undertaking agreed and appropriate activities with Indonesian counterparts to enhance Indonesia's aviation safety oversight capacity > maintaining active and appropriate engagement with Asia Pacific regulatory counterparts, including through CASA's role as technical adviser to the Departmental Australian Council Representative to the Pacific Aviation Safety Office (PASO) > providing capacity-building assistance to Papua New Guinea, in line with the PNG-Australia memorandum of understanding on cooperation in the transport sector > continuing to participate on an informed and rational basis in ICAO regional safety and technical groups as appropriate > offering and coordinating appropriate regulatory education, training assistance, and advice, in support of Australia's engagement in the region, and beyond where practicable > proactively engaging with other key national and regional aviation authorities and demonstrating how best practices elsewhere can inform CASA policy development
2.1.5	industry stakeholder surveys implemented as a tool to assist in measuring the health of CASA's relationship with industry. SOE 14, ASRR 8 (b)	1,6,7, 9	<ul style="list-style-type: none"> > Develop and implement a plan to respond to the findings of the first <i>Measuring Our Performance</i> survey on the health of CASA's relationship with industry undertaken in November/December 2015 > conduct the second industry stakeholder survey in 2017

2.1 STAKEHOLDER ENGAGEMENT			
	Initiative	KPI	Performance measure
2.1.6	providing comprehensive safety education, promotion and training programs to the wider aviation community SOE 14 ASRR 9, 17	4,6,7, 8	<ul style="list-style-type: none"> > extending the use of blended learning solutions where appropriate and aligned to the needs of industry and target audience > continuing to promote educational materials to industry > providing education through the Delegate and Flight Examiner Professional Development Program as required > implementing evaluative and continuous improvement processes for all education and training programs > ongoing education relating to ageing aircraft issues of the aviation community via participation in industry forums
2.1.7	develop and implement a Stakeholder Engagement Action Plan SOE 14 ASRR 14	1,6,7, 8,9	<ul style="list-style-type: none"> > developing and implementing a CASA-wide communication strategy > identify pathways towards the continuous improvement in stakeholder engagement > continuing to provide accurate and timely information to the wider aviation community on aviation safety issues through comprehensive communication strategies and campaigns and in accordance with approved procedures and processes > engaging with industry when developing new processes for regulatory services under new rules > participating in key aviation events and conferences and delivering a sponsorship program to assist industry undertake safety promotion activities
2.1.8	ensure greater message consistency through CASA's external communication channels		<ul style="list-style-type: none"> > strengthen channel governance through CEO instructions on the use of social media, bulk email, website content, external publications and media > Establish a mechanism to coordinate and improve organisation-wide engagement with industry peak bodies and associations > Improve internal communication to increase staff awareness of CASA's position on key issues

2.1 STAKEHOLDER ENGAGEMENT			
	Initiative	KPI	Performance measure
2.1.9	<p>continuing to further develop and implement a multi-phased internal and external communication plan to raise awareness and understanding of CASA's regulatory philosophy, including 'just culture', and how the philosophy is applied in practice</p> <p>SOE 14</p> <p>ASRR 17</p>	1,3,6,7	<ul style="list-style-type: none"> > Phase 1 – to raise awareness and understanding of CASA's approach to the regulatory philosophy through internal and external communications strategies in conjunction with training activities (June 2017) > Phase 2 – develop and implement a communication strategy to provide information to audiences and engender trust and confidence in CASA (June 2018) > Phase 3 – evaluate progress of strategy and revise accordingly. Develop and implement a communication strategy to drive behaviour change (June 2019)
2.1.10	<p>develop and implement training to all relevant staff on managing aviation safety information in a manner consistent with applicable requirements and policies</p> <p>SOE 8</p> <p>ASRR 17, 19, 23</p>	8,10	<ul style="list-style-type: none"> > Develop and deliver training in accordance with outcomes determined from the training needs analysis
2.1.11	<p>develop in consultation with industry, a mechanism to enable sharing of appropriate safety sensitive information with the aviation industry in a manner consistent with applicable requirements and policies</p> <p>SOE 14, ASRR 23</p>	1,3,6,7,9	<ul style="list-style-type: none"> > working with consultative groups that appropriately represent the wider aviation community, including the Sports Aviation Safety Forum, Airspace and Aerodrome Consultative Forum, Standards Consultative Committee, the Australian Strategic Air Traffic Management Group and Regional Airspace and Procedures Advisory Committees > resolving in a timely and effective manner action items arising from the above forums, including taking appropriate action on feedback from participants > reviewing and providing recommendations on regulatory issues affecting activities and participants within the general aviation sector through the newly established General Aviation liaison officer > establishing and facilitating appropriate industry focus groups to address identified safety issues > establishing an advisory group on runway safety

2.1 STAKEHOLDER ENGAGEMENT		
Initiative	KPI	Performance measure
2.1.12 review whether an overarching steering committee or additional high-level consultative forum would enhance consultation with industry on regulatory reform matters SOE 14, ASRR 33	6,7,9	<ul style="list-style-type: none"> > Complete the review taking into account the results of the Director of Aviation Safety's meetings with sector leaders
2.1.13 continued consultation by the Director of Aviation Safety with industry sector leaders to optimise the role of the Standards Consultative Committee (SCC) SOE 14, ASRR 34	2, 6,7, 9	<ul style="list-style-type: none"> > stakeholder feedback mechanisms maintained through the use of SCC forums and formal public consultation processes > SCC sub-committees and CASA/Industry working groups are active in order to facilitate development/ amendment of the regulations > develop formal feedback mechanisms from CASA operational areas to the Regulation Development and Implementation branch to inform regulatory amendment proposals. Publish these new mechanisms in the Standards Development Procedures Manual
2.1.14 establish appropriate arrangements to improve consultation with stakeholders		<ul style="list-style-type: none"> > following recommendations from a working group of the SCC, develop terms of reference to establish a Directors Advisory Panel > conduct a meeting of the Director's Advisory Panel in 2016
2.1.15 Resolve industry complaints efficiently, identifying any systemic concerns with respect to CASA's processes and adherence to the Regulatory Philosophy ASRR 37	6,7	<ul style="list-style-type: none"> > resolve 90 per cent of complaints with agreed timeliness standards – 5 working days for simple complaints, 30 working days for standard complaints, and 90 working days for complex complaints > consider complaints not just to establish if CASA acted fairly and lawfully, but whether the principles of the Regulatory Philosophy had been applied, reporting the outcome to the Board > report any systemic issues identified as a result of complaints considered, as well as proposed solutions
2.1.16 Improve handling of psychological concerns in pilots and air traffic controllers		<ul style="list-style-type: none"> > publication of DAME guidelines for detection of psychological illness /publication of articles in medical and aviation press to raise medical and peer awareness > CASR Part 67 review and update where required > review reporting and collation of events to identify event rates in all sectors of aviation > psychology workshop to be held with relevant stakeholders to develop new assessment protocol

Goal 3: Continuous improvement of organisational performance

CASA closely monitors its organisational performance and seeks to continually improve its operational activities, regulatory services and other support functions. CASA is adopting a comprehensive quality management systems approach to drive continuous improvement across all facets of the organisation.

3.1 GOVERNANCE AND ORGANISATIONAL EFFECTIVENESS			
	Initiative	KPI	Performance measure
3.1.1	development of a long term funding strategy for CASA SOE 9	7	<ul style="list-style-type: none"> > advice submitted to the Minister by end of 2016 > include agreed outcomes in the 2017–18 Portfolio Budget Statements
3.1.2	Implementing mature risk management practices via enterprise-wide communication, promotion and education programs PGPA Act		<ul style="list-style-type: none"> > maintaining CASA's high-level rating in the annual Comcover risk management benchmarking survey > delivering in-house risk management training on all relevant training programs and/or incorporating risk management principles in all relevant CASA training programs
3.1.3	CASA's corporate key performance indicators and associated performance measures will be evaluated annually for further development, refinement, removal or replacement as necessary ASRR 8 (a)	6,7	<ul style="list-style-type: none"> > KPIs under the <i>Regulator Performance Framework</i> and the associated performance measure outcomes are endorsed through the agreed external review process
3.1.4	enhancing a knowledge and information management system that allows CASA to further refine its evidence-based, decision-making capability SOE 5, 13		<ul style="list-style-type: none"> > continue to modify and develop Business Intelligence content, utilising new and existing data sources and delivery methods to meet business needs in 2017
3.1.5	develop and implement a reporting mechanism to ensure the Board are fully informed on the adoption and effectiveness of the Regulatory Philosophy, including a 'just culture' approach ASRR 17	7	<ul style="list-style-type: none"> > attendant on the implementation of the Regulatory Philosophy, regular reports are to be provided to the Board on the effectiveness of this effort (frequency to be determined by the Board)
3.1.6	realignment of CASA's organisational structure to a client-oriented output model ASRR 21, 22	1,7	<ul style="list-style-type: none"> > implement renewed CASA organisational structure > develop a leadership development plan and leadership performance measures, and conduct staff surveys to quantify culture and leadership development

SOE Statement of Expectations, **ASRR** Aviation Safety Regulation Review, **KC** Key challenges

3.1 GOVERNANCE AND ORGANISATIONAL EFFECTIVENESS		
Initiative	KPI	Performance measure
3.1.7 enhance reporting of regulatory service performance and corporate KPI's ASRR 8 (a)	9	> develop a framework and approach; to progressively expand; the number of service performance and corporate KPI's with defined measurement definitions, benchmarks, and automated-capable data sources
3.1.8 implementation of CASA's digital services strategy ASRR 8 (c)	9	> develop digital services strategic plan and road-map, including cost-benefit analyses, for end-to-end delivery of client services to build on the organisational realignment to a client-oriented output model
3.1.9 complete the redevelopment of CASA's website ASRR 8 (c)	1,6,9	> implement a project (or projects) to continue remediating CASA's website and build a new intranet
3.2 CASA'S CAPABILITY AND CAPACITY		
Initiative	KPI	Performance measure
3.2.1 the CASA workforce plan will be reviewed and will include, in consultation with industry, an examination of the feasibility of a staff exchange program ASRR 9 SOE 5, 7	8,10	> CASA will develop and implement the approved actions from the updated workforce plan by 30 June 2017 > following consideration by the DAS/CEO and CASA Board, an action plan will be developed and implemented to progress the approved recommendations of the completed feasibility study
3.2.2 implement and integrate CASA's capability framework into all CASA's key employment documents including role profiles, position descriptions, performance agreements, and CASA's workforce planning processes ASRR 16	10	> following Stakeholder discussions in July 2016, CASA will progress with the implementation of a capability framework into key employment documents in conjunction with expected capability and performance outcomes of the 'Renewing CASA' program > CASA will review and revise management capabilities and performance expectations to be incorporated into a realigned senior management employment framework by October 2016 > reduce the recruitment cycle time for safety critical roles by 10 per cent > achieve the same or lower staff turnover statistics as the Commonwealth average > maintain an ASL within 5 per cent of approved budget levels

3.2 CASA'S CAPABILITY AND CAPACITY

3.2.3	Initiative	KPI	Performance measure
	<p>develop and implement education and training programs to enhance and develop our people (eg. skills, knowledge, communication, regulatory philosophy principles) and to address any shortfalls, identified in the capability framework</p> <p>ASRR 16, 17</p>	8,10	<ul style="list-style-type: none"> > review recruitment processes to identify options for improving the application of psychometric assessments for inspectorate roles including in pre-interviews and reference checking > implement new psychometric preferred supplier list to support CASA refining the recruitment assessment process by September 2016 > As part of the current continuous improvement program > Principles set out in the regulatory philosophy will be incorporated into existing training programs > As other shortfalls are identified, training programs will be updated > CASA's education and training schedule will be reviewed to update their respective curricular by 30 June 2017 > maintain the current high level of employee engagement (75 per cent or above) as reported every two years > maintain full participation in the professional development component of the Performance and Communication Scheme (PACS). Full participation is assessed as 90 per cent or higher of the total target group > Inspectorate staff trained in accordance with the Regulatory and Technical Training Framework

COMPLIANCE TABLE

The Corporate Plan has been prepared in accordance with the statutory provisions of:

- > Section 44 of *the Civil Aviation Act 1988*
- > Section 35(1) of the *Public Governance, Performance and Accountability Act 2013*
- > *Public Governance, Performance and Accountability Rule 2014*

CASA has an obligation to provide details of the following matters:

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Workforce capability	18
ICT capability	19
Risk oversight and management	19

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