



Australian Government
Civil Aviation Safety Authority



2018–19 ANNUAL REPORT

About this report

This report provides a concise overview of the operations of the Civil Aviation Safety Authority (CASA) and reviews our performance against the corporate goals identified in the *CASA Corporate Plan 2018–19 to 2021–22*.

This report aims to provide readers with a detailed account of CASA's performance for the 2018–19 reporting period.

As well as providing a detailed description of what CASA has done during the year, the report contains financial statements for 2018–19 and identifies CASA's plans to meet expected challenges in the year ahead.

CASA is accountable to the Minister for Infrastructure, Transport, Cities and Regional Development and to the Parliament of Australia. The publication of an annual report also fulfils an important element of CASA's reporting responsibilities to the wider aviation community.

This report was prepared in accordance with the *Civil Aviation Act 1988*, the *Public Governance, Performance and Accountability Act 2013*, the Public Governance, Performance and Accountability Rule 2014 and other relevant legislation.

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LETTER TO THE MINISTER

CHAIR – CASA BOARD

Trim Ref: EF09/23970

23 September 2019

The Hon Michael McCormack MP
Deputy Prime Minister
Minister for Infrastructure, Transport and Regional Development

Dear Minister

On behalf of the Civil Aviation Safety Authority (CASA), I present to you the Annual Report for the reporting year 1 July 2018 to 30 June 2019. The report has been prepared in accordance with the *Civil Aviation Act 1988*; the *Public Governance, Performance and Accountability Act 2013* (PGPA Act); the Public Governance, Performance and Accountability Rule 2014; and other relevant legislation.

The report is made in accordance with a resolution of the Board of CASA, which is responsible under section 46 of the PGPA Act for presenting an annual report to you, for presentation to the Parliament, on CASA's activities during the period.

Yours sincerely



Anthony Mathews

Chair
CASA Board

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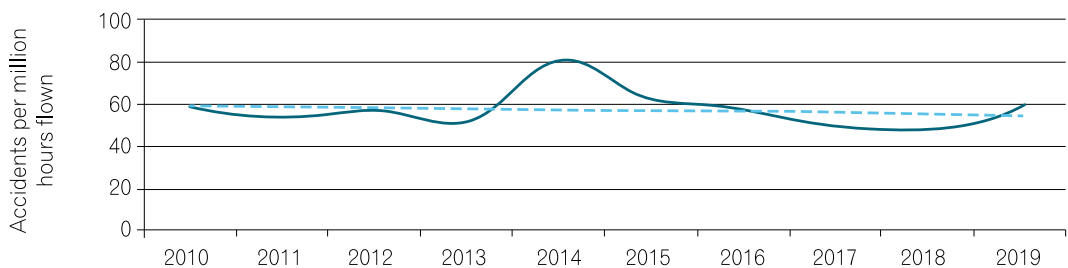


SNAPSHOT OF RESULTS—PORTFOLIO OUTCOME

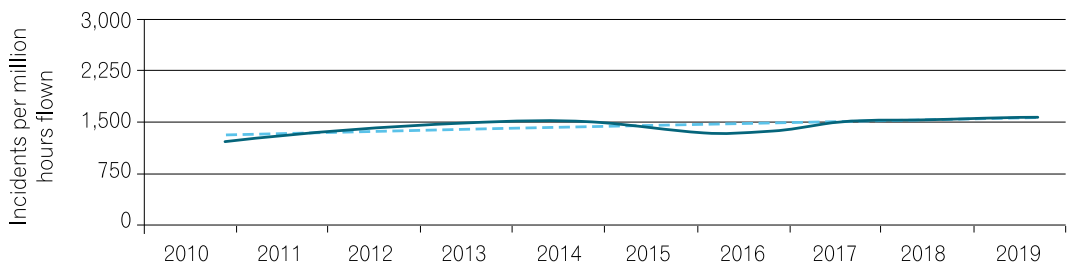
See the annual performance statement (pages 30 to 33) for full results against CASA's Portfolio Budget Statements key performance indicators for its portfolio outcome.

Aviation accident and incident rates

Overall industry accident trend



Overall industry incident trend



Sources: Australian Transport Safety Bureau Air Safety Incident Reports and Bureau of Infrastructure, Transport and Regional Economics published flying hours.

The data suggest a slightly decreasing trend for accidents, which is a favourable outcome. The slightly increasing trend for incidents is also a positive result given that it may reflect an improving reporting culture. See pages 30 to 32 for full results by aviation sector.

Engagement with industry

Overall satisfaction with CASA's performance, as reported in CASA's stakeholder engagement survey, increased from 4.2 out of 10 in 2015 to 6.2 in 2018. All key ratings improved in the 2018 survey: see page 33 for details.

The Aviation Safety Advisory Panel is operating effectively as CASA's primary, high-level mechanism for engagement with industry.

SNAPSHOT OF RESULTS—CORPORATE GOALS

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

Goal 1 key performance indicators: **82%** of measures completed or on track.

Key achievements in 2018–19 included:

- The flight operations regulations – Civil Aviation Safety Regulations Parts 91, 119, 121, 133, 135 and 138 – were made on 6 December 2018.
- CASA exceeded its surveillance goals under the National Surveillance Selection Process, achieving 98 per cent of scheduled surveillance against a target of 90 per cent.
- The Aviation Safety Advisory Panel met four times and oversaw 19 technical working groups.

See the annual performance statement (pages 34 to 37) for full results against CASA's corporate plan key performance indicators for Goal 1.

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

Goal 2 key performance indicators: **100%** of measures completed or on track.

Key achievements in 2018–19 included:

- CASA conducted 37 public consultations via the web-based CASA Consultation Hub, on a range of policy proposals and initiatives.
- New publications – including the *Safety Behaviours: Human Factors for Pilots* kit (second edition), the *Radio Procedures in Non-Controlled Airspace* booklet, and a careers guide for aircraft maintenance engineers – were released, along with plain English information to support new rules for community service flights and other regulatory changes.

See the annual performance statement (pages 38 to 40) for full results against CASA's corporate plan key performance indicators for Goal 2.

Goal 3: Continuous improvement of organisational performance

Goal 3 key performance indicators: **100%** of measures completed or on track.

Key achievements in 2018–19 included:

- The myCASA portal was developed – streamlining processing and payment for applications for aviation reference numbers, remote pilot licences, and renewal of remotely piloted aircraft operator certificates – and significantly reduced wait times for clients.
- Eighty-nine per cent of CASA staff participated in the 2019 Australian Public Service employee census.

See the annual performance statement (pages 41 to 44) for full results against CASA's corporate plan key performance indicators for Goal 3.

CASA ENHANCES AVIATION SAFETY BY:

- Conducting entry control assessments and regulatory surveillance and oversight, providing regulatory services, and taking appropriate enforcement actions when necessary.
- Developing aviation safety standards and guidance material and implementing regulatory changes.
- Developing effective enforcement strategies to secure compliance with aviation safety standards.
- Regulating Australian-administered airspace, registered and certified aerodromes, aerodrome rescue and firefighting services and civilian air traffic control services, and overseeing designers of instrument approach procedures.
- Issuing licences, certificates, authorisations, approvals and other permissions required by persons undertaking aviation-related activities in Australia.
- Encouraging a greater acceptance by the aviation industry of its obligation to maintain high standards of aviation safety.
- Conducting regulatory oversight of operators' drug and alcohol management plans, conducting drug and alcohol testing, and carrying out certain aviation security assessment functions.
- Analysing data, providing advice and making the appropriate interventions to maintain and improve Australian aviation safety performance.
- Providing a rapid response service for authorities requiring protected airspace at short notice.
- Providing advice and support to delegates and authorised persons in the aviation industry and administering medical standards applicable to licence holders.
- Providing regulatory and other appropriate training for CASA staff and industry.
- Carrying out oversight of aircraft, maintenance and flying operations through surveillance of passenger-carrying, charter and freight operations and maintenance organisations.
- Conducting oversight of foreign aircraft operations within Australian territory.
- Developing, establishing, and monitoring the instructional standards for the flying training industry and the flying standards and competency of CASA flying operations inspectors.

THE CIVIL AVIATION SAFETY AUTHORITY

CASA, Australia's civil aviation safety regulator, was established on 6 July 1995 as an independent statutory authority under the *Civil Aviation Act 1988*.

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. While safety of air navigation is the most important consideration, CASA is also responsible for fostering the efficient use of, and equitable access to, Australian-administered airspace.

CASA, the Australian Transport Safety Bureau, the Department of Infrastructure, Transport, Cities 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 parts of 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 efficiency of the operations we regulate.

Portfolio outcome

CASA has a single portfolio outcome, which is set by the Australian Government and outlined in the Portfolio Budget Statements:

Maximise aviation safety through a regulatory regime, detailed technical material on safety standards, comprehensive aviation industry oversight, risk analysis, industry consultation, education and training.

People

At 30 June 2019, CASA employed 859 ongoing and non-ongoing employees in offices around Australia.

Operating environment

CASA has a direct regulatory relationship with approximately:

- **31,750** pilots
- **15,620** registered aircraft
- **785** air operator certificate holders
- **1,630** remotely piloted aircraft operator certificate holders
- **9,030** licensed aircraft maintenance engineers
- **1,160** air traffic controllers
- **320** operators of certified and registered aerodromes
- **610** maintenance organisations.

CASA is also indirectly connected 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.

Corporate objectives

CASA's objectives for 2018–19 were identified in the *CASA Corporate Plan 2018–19 to 2021–22*.

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

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

Excellence – to strive to excel in all we do

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

Integrity – our actions and behaviour are open, transparent and ethical

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

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

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

Goals

1. Maintain and enhance a fair, effective and efficient aviation safety regulation system
2. Collaborative engagement with the wider aviation community to promote and support a positive safety culture
3. Continuous improvement of organisational performance

Results

As demonstrated by trends in aviation accidents or incidents, CASA delivered its portfolio outcome effectively. Feedback from the 2018 stakeholder survey showed a strong improvement across all aspects of CASA's relationship with industry.

Against CASA's three corporate goals:

- **26 of 28** measures of success against key performance indicators were completed or on track, while two were possibly delayed
- **25 of 30** intended outcomes in key performance areas were completed or on track, while four were possibly delayed and one was delayed.

Financial results

CASA recorded an operating deficit of \$3.5 million in 2018–19, compared to a \$0.5 million surplus in 2017–18 (see page 20 for a full financial summary).

Key indicator	2017–18 (\$m)	2018–19 (\$m)	Change (%)
Operating revenue	180.4	183.5	1.7 ▲
Operating expenses	179.9	187.0	3.9 ▲
Operating surplus (deficit)	0.5	(3.5)	(800.0) ▼

INTERESTING FACTS IN 2018–19

402 additional aircraft were registered, bringing the total to **15,617**

43,969 flight crew licensing applications and notifications were processed

1,628 remotely piloted aircraft operator certificates and **12,845** remote pilot licences were current

2,936 complaints related to remotely piloted aircraft systems and **741** regulatory services tasks were processed

58 infringement notices, together with **59** counselling notices, were issued for remotely piloted aircraft systems matters

6,002 people were issued one of three classes of medical certificate for the first time – of those, **2,624** received their first Class 1 medical certificate

3,957 new flight crew licences were issued, bringing the total to **31,750**

1,524 Australian-registered aircraft were built before 1963, compared to **275** aircraft that were less than two years old

88 Airservices Australia surveillance events and **97** aerodrome surveillance events were conducted

11 temporary restricted areas for airspace were declared to assist the operations of police and other emergency services

9 airspace reviews were published and **24** airport master plans were reviewed

403 obstacle assessments were completed on infrastructure such as mobile cranes, tower cranes, solar farms and other property developments

136 out of **376** restricted areas and **81** out of **175** danger areas were reviewed

7 airspace change proposals were completed

917 events were conducted under the National Surveillance Selection Process, achieving **98** per cent of the scheduled surveillance

55 flight simulator training device certificates were issued, covering **32** different aircraft types

221 aviation safety seminars, engineering safety seminars and flight instructor safety workshops were conducted around Australia, reaching more than **8,500** industry members

7,718,083 people visited CASA's website, resulting in **9,979,865** page views – **5** out of the top 10 pages related to drones, accounting for **863,941** page views

107,041 people visited droneflyer.gov.au representing **128,779** page views over the reporting period or **352** views per day

1 CASA employee was honoured for **35** years of service, **4** employees were honoured for **30** years of service, **5** employees were honoured for **25** years of service, and **22** employees were honoured for **20** years of service

5,346 orders came through CASA's online store and **74,835** items were dispatched

23 Regulatory Reset workshops were presented for CASA managers and staff around Australia, providing practical guidance on fair and rational decision-making consistent with CASA's regulatory philosophy



INTERESTING ACTIVITIES IN 2018–19

- Engaged with the retail and manufacturing sectors to ensure that their drone customers are aware of the drone safety rules, and translated the rules into 20 languages to support people from culturally and linguistically diverse backgrounds
- Provided airspace protection for major events such as Australia Day events in Sydney, the World Parachuting Championships, Avalon Airshow, Invictus Games, Australian Motorcycle Grand Prix, Bathurst 1000 Supercars, Gold Coast 600 Supercars, Newcastle 500 Supercars, and Australian Formula 1 Grand Prix
- Facilitated discussions to build Uber's knowledge of Australia's aviation regulatory requirements around urban air mobility, contributing to Uber Air's announcement in June 2019 that Melbourne would be the only city outside the United States to participate in trials of Uber Air's future air transport technology
- Issued Australia's first approvals for high-altitude pseudo-satellite operations, several beyond visual line of sight operations, and drone delivery services in urban environments – the first drone delivery service, based in Canberra, is likely to be the first ongoing commercial drone delivery service operation in the world
- Developed a virtual assistant to manage enquiries related to remotely piloted aircraft systems on CASA's external website and the www.droneflyer.gov.au website – the new tool will be deployed in July 2019
- Assisted Airservices Australia with planning for a five-year airspace modernisation program and provided support with regulatory and certification aspects of delivering the new national system for civil–military air traffic management
- Commenced research and development on a future airspace model for Australia that will safely accommodate future aviation technology and aircraft types
- Supported Canberra Airport with the delivery of low-visibility operations certification and assisted Brisbane Airport with certification activity for a new parallel runway
- Assisted Geoscience Australia and Airservices Australia with regulatory aspects of the future satellite-based augmentation system
- Completed new guidelines related to hazard identification and wind farm lighting
- Completed sector risk profiles for the large aeroplane transport, helicopter charter and remotely piloted aircraft systems sectors, bringing the number of profiles to 10 – other profiles cover aerial mustering, aerial application, aerodromes, small aeroplane transport, commercial balloon, aeroplane medical transport, and helicopter medical transport
- Received a positive assessment of CASA's regulatory philosophy, which was commended as a model for fair, effective and responsive regulatory governance by the House of Representatives Standing Committee on Tax and Revenue in the course of its review of the 2017 annual report of the Australian Taxation Office

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This part of the report provides an overview of the people, projects and resources involved in regulating aviation safety in Australia and progressing CASA's vision of *Safe skies for all*.

CASA's key achievements in 2018–19 are identified, along with some of the initiatives and challenges that lie ahead.

In this part:

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PART

01

OVERVIEW

MESSAGE FROM THE CHAIR OF THE BOARD

After many years as an industry participant, I have great pleasure in providing my first foreword to an annual report for CASA. It is an honour to be entrusted as Chair of the Board to help steer our future direction in a challenging era of change, where the growth in technology around remotely piloted aircraft systems may be comparable to the transition from horse and cart to automobile.

This is my first year in the role of Chair and it has been a privilege to get such a significant insight into the breadth and depth of work that CASA undertakes to regulate the industry that we are all so passionate about. I have a new appreciation for the commitment CASA has to supporting industry. The regulator is beholden to government but is seeking to develop a customer-centric approach to the work it undertakes.

Developments and challenges

The reporting period has seen a range of developments of which CASA is rightly proud. The new suite of flight operations regulations has been made, the aviation medical system has been reformed, new training regulations are in place and the policy on radio frequency use in low-level airspace has been settled. We have a new and improved approach to safety surveillance, and the transition to the new self-administering organisations regulations is in progress. Following the making of the six new operational regulatory Civil Aviation Safety Regulations (CASR) Parts and the Parts 141 and 142 transition, our next regulatory development goal is to complete the remaining three Parts before the end of this year, with work well underway to achieve that.

Remotely piloted aircraft systems are front of mind; the significant number of drones in Australian skies indicates the level of risk that CASA is assessing. We have been in discussions with government on how this additional workload impacts on the other important aviation safety work that CASA undertakes. Balancing government's expectations regarding recovery of CASA's costs against a backdrop of reducing the cost of regulatory services to industry is a challenging conundrum that we continue to juggle.

We have a renewed focus on stakeholder engagement. The success of the Aviation Safety Advisory Panel and the associated technical working groups has been testament to the growing voice of an industry ready to discuss the merits of proposed regulation to achieve successful outcomes for everybody. The CASA Board is playing its part and has held industry engagement events to coincide with Board meetings in Darwin, Adelaide and Cairns. We intend to continue these events around the country to enable industry members to meet the Board in a relaxed environment to discuss any matters they consider relevant.

Achieving results

The Minister's Statement of Expectations expired at the end of June 2019. The statement had been in place since 27 March 2017, and required CASA to, among other things:

- continue to focus on aviation safety as the highest priority
- consider the economic and cost impacts on individuals, businesses and the community in the development and finalisation of new or amended regulatory changes

- take a pragmatic, practical and proportionate approach to regulation as it applies to different industry sectors, having regard to risk
- implement its regulatory philosophy, with the philosophy being reflected in relevant policies, procedures and manuals, and when CASA personnel are carrying out their day-to-day operations.

I am very satisfied that CASA has achieved what it has been asked to do. Being a regulator will not win any popularity contests. I have heard the criticism, some of which is warranted; the rest is well wide of the mark. I can assure you, however, that CASA is working hard to be the best possible aviation safety regulator for all sectors of the aviation community and the broader Australian public.

This annual report is a thorough reflection of a busy and productive year. Under the strong leadership of the Director of Aviation Safety and his senior team, CASA has made significant progress in many areas, some of which are highlighted above.

I consider it a huge honour to be performing this role. With my colleagues on the Board, I will be doing everything I can to make sure that CASA is as good as it can be, for all of us.



Anthony Mathews

Chair of the CASA Board



REVIEW BY THE DIRECTOR OF AVIATION SAFETY

During the 2018–19 reporting period CASA achieved three significant results, namely the achievement of key regulatory milestones, precautionary decision-making on key aviation issues, and the simplification and streamlining of some of our services.

The following is a summary of CASA's noteworthy achievements for 2018–19.

Making regulations

A major achievement for 2018–19 was the making of the six operational Parts of the CASR. This work commenced in 1999 and has been subject to numerous changes in priority, direction and policy over many years.

A great deal of hard work and perseverance by our people, the aviation community and the Aviation Safety Advisory Panel went into achieving this important milestone. The new consultative processes that we implemented last year provided us with feedback from subject matter experts and people across all areas of aviation, which we were able to consider and incorporate as required.

The new rules will not only consolidate the existing flight operations rules but also deliver safety improvements and align with international best practice. Making the rules is the first step. There is considerable work to be done between now and commencement in March 2021 to support the regulation implementation of detailed explanatory and guidance material.

These new rules will have an impact on the majority of pilots and operators in Australia.

A precautionary approach to safe skies

As Director of Aviation Safety, I am responsible for doing everything in my power to prevent aviation accidents. Taking a precautionary approach in decision-making is a key obligation of my role and, in doing so, I need to ensure that CASA's assessments are rational, evidence based and proportionate to risk. During the reporting period, two key decisions were made in the interests of safety.

Following two fatal accidents overseas involving the Boeing 737-8 MAX aircraft, over a six-month period, a number of issues came to light which made it clear to me that CASA needed to take decisive action. After the second fatal crash, in March 2019, regulators around the world were faced with serious and difficult questions. On 12 March 2019, after consideration of the available information and in consultation with some international regulatory colleagues, CASA temporarily suspended 737-8 MAX operations to or from Australia.

At approximately the same time or following our actions, other countries and authorities, including the United Kingdom, the European Aviation Safety Agency, Canada, the United States Federal Aviation Administration and New Zealand, also suspended or prohibited operations of the aircraft in their airspace. Similar actions by other National Aviation Authorities with the same information reinforced the appropriateness of our decision in the days following the tragic events. Given these actions, it was evident to me that the right decision was made at the right time to ensure the safety of the travelling public.

Another key decision for CASA was the introduction from March 2019 of minimum standards for pilots conducting community service flights. These flights are private flights conducted by volunteer pilots free of charge and coordinated by charitable or community service organisations. The changes include new minimum requirements for hours, recent landing requirements, minimum time on the aircraft type, limitations on the number of passengers that can be carried, limitations on night flying, logbook and identification requirements and certain maintenance-related obligations.

I made the decision to introduce these new standards based on two fatal accidents which resulted in six deaths (in 2011 and 2017) as well as analysis of data that indicated a much higher accident and incident rate for community service flights. It is a challenge to reduce the likelihood of future accidents, but it is irresponsible to not take action to protect those who make use of these important services and the Australian community more generally.

These decisions are difficult and sometimes deeply unpopular with some sections of our community, but they are at the heart of CASA being a responsible aviation regulator.

Simplifying services for industry

Much progress is being made to support those who undertake transactions with CASA. A key development has been the creation of the online myCASA portal, which allows people to create a portal account, enter identification details, and apply for an aviation reference number as a fully automated online process.

In the last quarter of 2018–19, the myCASA portal added remotely piloted aircraft systems functionality which allows specific flying schools to apply for remote pilot licences and allows applicants to apply and pay for their licence and have it issued on the spot. Remotely piloted aircraft operator certificate holders can now renew their certificates online, provided that there is no change from their previous application.

Numerous other services are being developed as part of CASA's multi-phased Service Delivery Transformation project. This is important work for CASA which will make a real difference to how people interact with us.

Remotely piloted aircraft systems

The Government recognised the enormous growth in the number of drones being operated recreationally and commercially by providing CASA with additional funding of \$2.9 million for financial year 2018–19. As a result, a number of drone-specific activities were undertaken during the reporting period.

Several new and innovative technologies were approved by CASA to operate in Australia, including the first commercial drone delivery service in the world, operated by Wing Aviation Pty Ltd, and the very-high-altitude, long-endurance operations by Airbus Defence and Space using the Zephyr platform. I am pleased that CASA continues to be considered a world leader in its assessment and proactive oversight of complex technologies. Also, on 12 June 2019, Uber Air announced that Australia has been selected as the only country other than the United States for the launch of the company's urban air mobility platform.

In the first half of 2019, CASA conducted a trial of passive drone detection technology at several primary airports across Australia and in Sydney Harbour restricted airspace. The data gathered has given us a better understanding of how drones are being used near airports, as well as enabling us to see where drone activity is concentrated and observe trends in unlawful drone activity.

A registration system for drones is expected to be introduced in two phases, starting with commercial drones, in 2019–20. It is proposed that eventually all drone operators, with some exceptions, will be required to register their drones.

Financial results

CASA recorded an operating deficit of \$3.5 million in 2018–19, compared to a \$0.5 million surplus in 2017–18. The difference of \$4.0 million reflects the overall result of an increase in income of \$3.1 million and an increase in expenses of \$7.1 million.

Further information on CASA's financial results is on pages 20 to 24.

Outcomes not achieved

Although our overall service delivery standards fell short of targets for the reporting period, a range of remedial actions were undertaken in an effort to improve service delivery throughout the year. The most effective was a licensing taskforce which led to a reduction of open jobs from over 13,000 to around 5,200. We will continue to strive to reach our targets and seek improvements where possible.

The remotely piloted aircraft systems roadmap was expected to be released in 2018–19; however, this was delayed due to a whole-of-government policy review being led by the Department of Infrastructure, Transport, Cities and Regional Development. CASA expects to consider the review's findings in early 2019–20 and will use them to help inform a more comprehensive roadmap during next year.

One activity in CASA's capacity-building efforts with Indonesia, to deliver leadership training, was delayed in 2018–19 due to a lack of available support and the unavailability of expertise. CASA continues to make progress on activities in our international programs and remains committed to strengthening the regulatory and organisational capacity of our regional partners.

The year ahead

The year ahead will see CASA increasing its focus on cross-entity collaboration in some large whole-of-government initiatives.

Two significant projects in which CASA is involved are the OneSKY Australia program and the development of the new Western Sydney Airport.

We will also continue to work on government initiatives with other government entities, including the Australian Space Agency and Geoscience Australia, while continuing our work on drones and drone registration.

Other key areas of focus for 2019–20, across all divisions of CASA, include:

- implementation of the flight operations regulations and finalisation of the last three CASR Parts, which cover sport and recreational aviation and manned free balloons
- improvements to CASA's aviation medicine
- improvements to aircraft registration
- a review of penalties
- continuation of our Service Delivery Transformation program
- simplification of our cost recovery arrangements.

Appreciation

I thank all of my colleagues for their commitment to aviation safety as we work through the many and varied challenges we face in the regulation of civil aviation. Achieving CASA's vision of *Safe skies for all* is what drives every one of us through our daily decision-making, surveillance activities and engagement with industry.



Shane Carmody

Chief Executive Officer and
Director of Aviation Safety



KEY MOMENTS OF AUSTRALIAN AVIATION SAFETY HISTORY

MARCH 1910

The first flight of a powered aircraft in Australia took place.

OCTOBER 1919

The International Convention Relating to Air Navigation (Paris Convention) was signed. The convention entered into force in Australia on 1 June 1922.

MARCH 1921

The Civil Aviation Branch of the Department of Defence, Australia's first Commonwealth agency with responsibility for civil aviation, was established.

NOVEMBER 1938

The Department of Civil Aviation, Australia's first Commonwealth department dedicated to civil aviation, was established.

DECEMBER 1944

The Convention on International Civil Aviation (Chicago Convention) was signed. The convention entered into force in Australia on 4 April 1947.

JULY 1988

The Civil Aviation Authority, Australia's first statutory authority with responsibility for civil aviation, was established under the *Civil Aviation Act 1988*.

EARLY 1990s

The Future Air Navigation System, developed by the International Civil Aviation Organization in partnership with key air transport and industry stakeholders, was introduced. It has made airline operations significantly more efficient and improved safety through the use of required navigation performance for instrument approach procedures.

JULY 1995

The *Civil Aviation Legislation Amendment Act 1995* and the *Air Services Act 1995* replaced the Civil Aviation Authority with two separate organisations: the Civil Aviation Safety Authority (CASA) and Airservices Australia.

JULY 1998

The Civil Aviation Amendment Bill 1998 was introduced, providing a basis for, among other things, implementation of the Regulatory Framework Reform Program.

JUNE 1999

CASA announced a suite of reforms, including rewriting of the aviation regulations.

OCTOBER 2003

The Civil Aviation Amendment Bill 2003 was introduced to implement, among other things, governance reforms, including the abolition of the CASA Board.

**NOVEMBER 2004**

CASA promulgated a new policy placing its greatest safety focus on high-capacity regular public transport flights.

JULY 2007

The *Airspace Act 2007*, Airspace Regulations 2007 and *Australian Airspace Policy Statement 2007* were introduced, giving CASA sole carriage of the regulation of all Australian-administered airspace.

SEPTEMBER 2008

Provisions came into effect, under Part 99 of the Civil Aviation Safety Regulations 1998 (CASR), requiring air operators to establish drug and alcohol management plans and empowering CASA to test personnel who undertake safety-sensitive aviation activities for alcohol and other drugs.

MARCH 2009

The *Civil Aviation Amendment Act 2009* made significant governance and enforcement-related changes to CASA, including re-establishing the Board (from July 2009). The *Transport Safety Investigation Amendment Act 2009* established the Australian Transport Safety Bureau as an independent agency (from July 2009).

JUNE 2011

The new suite of regulations for maintenance for regular public transport operations and engineer licensing (CASR Parts 42, 66, 145 and 147) was made.

FEBRUARY 2013

The new suite of regulations for flight crew licensing and training (CASR Parts 61, 64, 141 and 142) was made.

JULY 2014

The *Commonwealth Authorities and Companies Act 1997* was repealed and replaced by the *Public Governance, Performance and Accountability Act 2013*. Amendments were consequently made to governance provisions in the Civil Aviation Act.

FEBRUARY 2017

The final fitment mandate for Automatic Dependent Surveillance Broadcast (ADS-B) technology came into effect for all instrument flight rules aircraft operating in Australia, heralding a new era in air traffic surveillance that keeps Australian aviation at the forefront of safety.

DECEMBER 2018

The new suite of regulations for flight operations (CASR Parts 91, 119, 121, 133, 135 and 138) was made.

FINANCIAL SUMMARY

CASA recorded an operating deficit of \$3.5 million in 2018–19, compared to a \$0.5 million surplus in 2017–18. The difference of \$4.0 million reflects the overall result of an increase in income of \$3.1 million and an increase in expenses of \$7.1 million.

The increase in income was due to one year of additional funding from government appropriations in relation to the management of drones.

The increase in expenses was the net result of increases related to employee expenses – an increase in average staffing level (to 806 in 2018–19 from 799 in 2017–18), an increase in salaries under the CASA Enterprise Agreement 2016–19, and increased expenses in consultancies and service contracts, offset by decreases in training and travel expenses.

In 2018–19, CASA's operating result was \$3.5 million less favourable than the revised estimate published in the 2019–20 Portfolio Budget Statements. The actual result was a deficit of \$3.5 million, compared to an estimated surplus of \$0.014 million.

The variance from the estimate was primarily due to lower than expected aviation fuel excise income of \$1.9 million, together with lower than expected regulatory services and other own source income of \$2.0 million. Table 1 provides further details.

Table 1 Comparison of actual results for 2018–19 with 2017–18 actual results and 2018–19 budgeted results

	Actual 2018–19	Actual 2017–18	Variance	Actual 2018–19	Estimated actual 2018–19 ^a	Variance
	\$m	\$m	\$m	\$m	\$m	\$m
Income	183.5	180.4	3.1 ▲	183.5	187.2	(3.7) ▼
Expenses	187.0	179.9	7.1 ▲	187.0	187.2	(0.2) ▼
Surplus/(Deficit)	(3.5)	0.5	(4.0) ▼	(3.5)	0.0	(3.5) ▼

^a Budget figures are 2018–19 estimated actuals based on the figures published in the 2019–20 Portfolio Budget Statements.

Net result

Income

The increase in income in 2018–19 was primarily associated with New Policy Proposal funding from government appropriations in relation to the management of drones.

Figure 1 shows the change in income from 2017–18 to 2018–19 and compares actual results to revised budget estimates for 2018–19.

In 2018–19, approximately 67 per cent of CASA's income was from aviation fuel excise (68 per cent in 2017–18) and 24 per cent was from government appropriations (23 per cent in 2017–18).

The remainder was derived from the sale of goods and rendering of services, interest and minor sundry revenue (see Figure 2).

Figure 1 Actual revenue for 2017–18 and actual and budgeted results for 2018–19

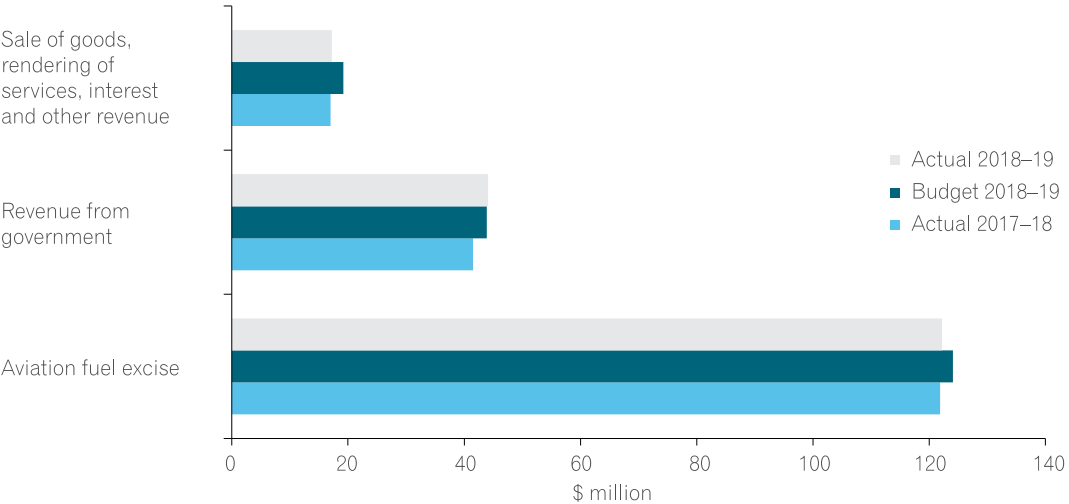
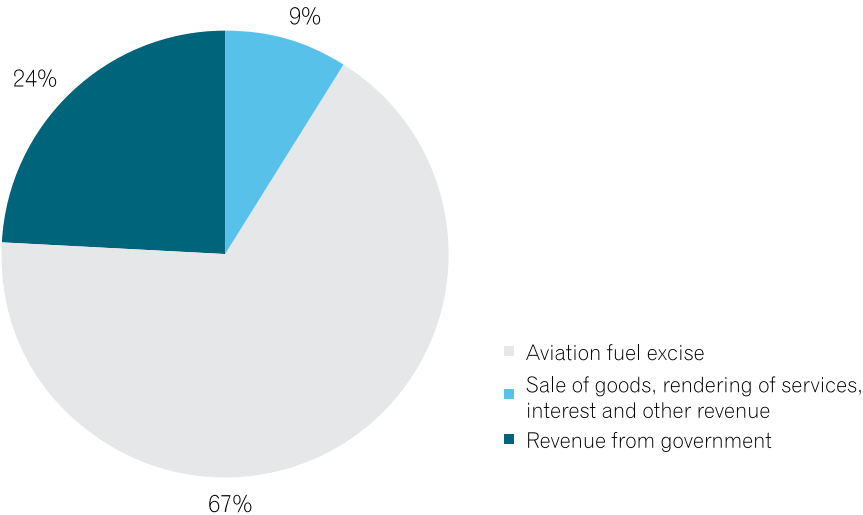


Figure 2 Sources of revenue, 2018–19



Expenses

Total expenses increased by \$7.1 million in 2018–19 compared to 2017–18. This was primarily attributable to an increase in consultants and services contracts, mostly for CASA's Service Delivery Transformation project, and an increase in employee expenses.

Figure 3 shows the change in expenses from 2017–18 to 2018–19 and compares actual results to revised budget estimates.

In 2018–19, CASA spent approximately 67 per cent of total expenditure on employee costs (68 per cent in 2017–18) and approximately 28 per cent on suppliers (26 per cent in 2017–18). The remainder comprised depreciation and amortisation expenses (see Figure 4).

Figure 3 Actual expenses for 2017–18 and actual and budgeted results for 2018–19

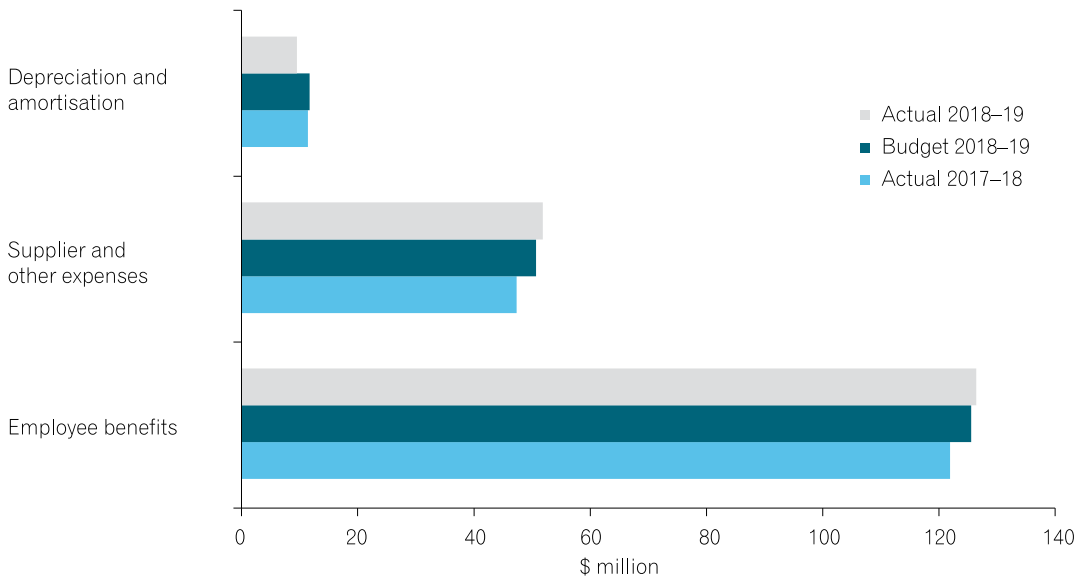
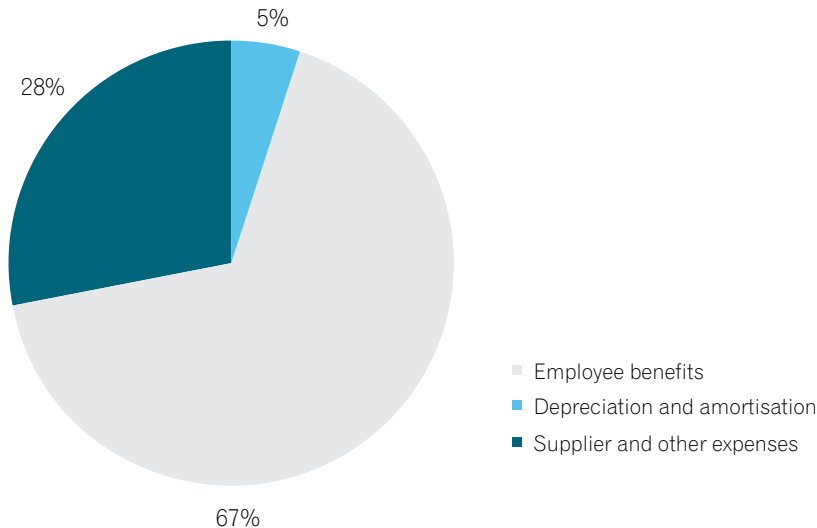


Figure 4 Expenditure, 2018–19



Cash flow

CASA's cash balance (including short-term investments) at 30 June 2019 was \$64.2 million (\$69.2 million in 2017–18). The decrease in the cash balance was represented by net cash received from operating activities of \$12.3 million (\$7.8 million in 2017–18) offset by an increase of \$9.4 million in net cash used by investing activities to \$17.3 million (\$7.9 million in 2017–18), attributable to increases in purchases of property, plant and equipment and intangibles.

The cash balance provides funding for CASA's capital replacement and investment program, in line with its capital management plan. The cash balance also provides for the estimated future payments to be made in respect of services provided by employees (that is, employee provisions for leave entitlements).

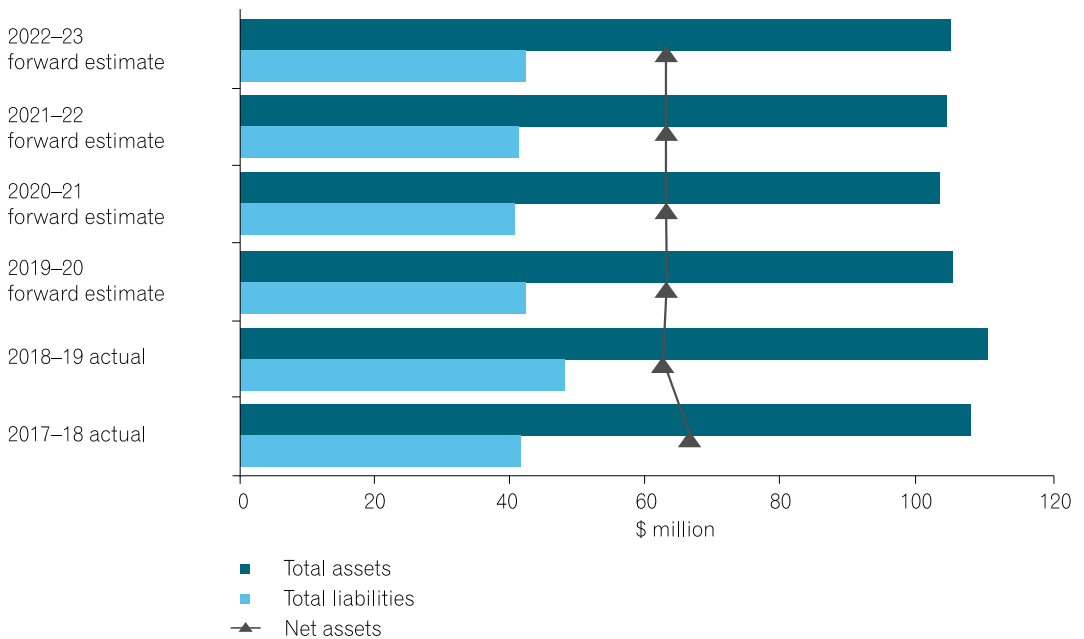
Financial position

Key indicators of the health of CASA's financial position are its ability to sustain its asset base, pay debts as they fall due in the short term, and maintain prudent levels of long-term liabilities.

The ability of CASA to sustain its asset base is indicated by changes in net assets. The net asset position decreased by \$4.0 million in 2018–19.

Figure 5 shows that CASA maintains a sustainable net assets level in relation to 2018–19 and forward estimates.

Figure 5 Financial position, 2017–18 to 2022–23



Financial outlook

CASA is budgeting for a one-off operating deficit position for 2019–20 of \$3.4 million, turning back to small operating surpluses in the forward years 2020–21, 2021–22 and 2022–23.

CASA's total forecast income for 2019–20 is \$202.4 million, derived as follows:

- \$46.2 million from government appropriations
- \$130.5 million from the aviation industry through the collection of excise revenue on aviation fuel sold for domestic air travel
- \$23.1 million from regulatory service fees plus the issue of aviation security identification cards
- \$1.0 million from the sale of goods and services and other sundry income
- \$1.6 million from interest from investments and cash deposits.

CASA's balance sheet projection shows a decrease in net assets for 2019–20 due to the deficit position, then turns back to modest increases in the forward years. The organisation's financial position indicates its capacity to deal with financial pressures.

CASA's cash and cash equivalents balance, including investments, is budgeted to remain above \$53 million in the next four years. As published in the 2019–20 Portfolio Budget Statements, aviation fuel excise revenue is expected to increase by 4.1 per cent over the forward years.

The retained surplus is budgeted to decrease in 2019–20 and remain stable in the following years as a result of modest operating surpluses.



CASA contributes to Boeing 737-8 MAX review

In May 2019, CASA representatives joined their international counterparts in the United States as part of the team reviewing the certification of the Boeing 737-8 MAX flight control system.

Richard Stocker, Manager Aircraft Certification, and Hamish Fraser, Flying Operations Inspector, took part in the Joint Authorities Technical Review, which reviewed the design and certification of the MAX Manoeuvring Characteristics Augmentation System and, specifically, the modifications proposed by Boeing after the Lion Air and Ethiopian Airlines accidents.

CASA's technical experts were invited by the United States Federal Aviation Administration to participate in this unique opportunity along with technical experts from around the world. The other review participants were from Europe, the Asia-Pacific region, the Middle East and South America.

Although CASA's technical experts are not making decisions on the MAX aircraft's return to service in Australian airspace at this stage, the review process will provide more certainty when it comes time to certify the MAX for Australian operations, along with a greater understanding of the MAX Manoeuvring Characteristics Augmentation System.

The review will also help CASA to understand the failures that took place through the review and certification processes to ensure that they are not repeated in the aircraft certification and acceptance work that CASA performs.

The Joint Authorities Technical Review is expected to complete its work in early 2019–20.



New approach to scheduled surveillance commences

CASA's National Surveillance Selection Process (NSSP) came into effect on 1 July 2018.

A key element of the National Oversight Plan, the NSSP is a CASA-wide, annual schedule based on a standardised approach to prioritising, classifying and scheduling authorisation holders for surveillance.

The NSSP incorporates a systematic approach to classifying and ranking authorisation holders based on a combination of centralised data and local knowledge.

The NSSP allows CASA to apply a significant national focus to surveillance. It also provides some operational flexibility to accommodate changing priorities or safety concerns, or to gain efficiencies by combining like activities for multiple operators in a single location.

Similarly, if an authorisation holder is scheduled for three surveillance events in a year it might make sense to do them all at once. Alternatively, if there is an operational rationale, surveillance might be spread out so that more regular contact can be maintained over each 12-month period. The NSSP has the flexibility to allow either approach.

The NSSP schedule will help CASA to maintain a more integrated oversight picture, and to better monitor where effort is focused and ensure that resources are directed to where they are needed most. This will become a cyclic process whereby what is observed each year will inform and continuously improve how surveillance is approached in the following year.

Scheduled surveillance is just one of the ways CASA interacts with authorisation holders and gains a holistic picture of their operations. In changing the way in which CASA approaches oversight, we are also looking at the history and data obtained when providing regulatory services.

The CASA Aviation Safety Committee meets monthly and reviews information from sources such as scheduled surveillance, sector risk profiles, regulatory services information, accident/incident trend data and reports on significant accidents, in order to build an aviation safety view of a given aviation sector, sub-sector or specific organisation.

The committee analyses the information to identify any emerging safety risks and subsequently determines whether there is a need to conduct a national, sector-focused campaign of surveillance activity or an organisation-specific surveillance activity in addition to the ongoing NSSP scheduled surveillance.

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This part of the report provides a detailed assessment of CASA's performance during the year and how it contributed to achieving the authority's portfolio outcome and corporate goals.

CASA's assessment of its progress against other performance objectives is provided in Part 3: Key focus areas, and detailed information on aspects of CASA's operations is provided in Appendix A in Part 7: Appendices and references.

In this part:

- Statement of preparation 28
- Performance framework 28
- Portfolio outcome 30
- Corporate goals 34
- Analysis 44

PART 02

ANNUAL PERFORMANCE STATEMENT

STATEMENT OF PREPARATION

I, on behalf of the Board of the Civil Aviation Safety Authority, present the 2018–19 annual performance statement of the Civil Aviation Safety Authority, as required under paragraph 39(1)(a) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and the *Civil Aviation Act 1988* and other applicable legislation.

In our opinion, at the date of this statement, based on the material provided to the Board, this annual performance statement accurately reflects the performance of the entity, and complies with subsection 39(2) of the PGPA Act.



Anthony Mathews

Chair of the CASA Board

PERFORMANCE FRAMEWORK

CASA measures its performance in achieving its purpose of 'Maintaining, enhancing and promoting the safety of civil aviation, with particular emphasis on preventing aviation accidents and incidents' through its portfolio outcome and the strategic direction and objectives articulated in its corporate plan.

In accordance with section 16F of the Public Governance, Performance and Accountability Rule 2014, this annual performance statement provides details of CASA's results against the criteria set out for CASA on:

- pages 134 to 135 of the 2018–19 Infrastructure, Regional Development and Cities Portfolio Budget Statements
- pages 20 to 22 of the *CASA Corporate Plan 2018–19 to 2021–22*.

No additional performance measures were identified in Portfolio Additional Estimates Statements or other portfolio statements.

Figure 6 provides an overview of CASA's outcome, goals and performance measures for 2018–19.

Figure 6 Alignment of CASA's portfolio and corporate objectives and performance measures in 2018–19

Portfolio Budget Statements	Outcome 1 Maximise aviation safety through a regulatory regime, detailed technical material on safety standards, comprehensive aviation industry oversight, risk analysis, industry consultation, education and training Program 1.1: Civil Aviation Safety Authority Key performance indicators <ul style="list-style-type: none"> Number of accidents per hours flown is reduced, by industry sector Number of incidents per hours flown is reduced, by industry sector Clear, open and transparent engagement with the industry to support the continuous improvement of an efficient and effective aviation safety regulatory framework 		
	Portfolio and corporate goals <ol style="list-style-type: none"> Maintain and enhance a fair, effective and efficient aviation safety regulation system Collaborative engagement with the wider aviation community to promote and support a positive safety culture Continuous improvement of organisational performance 		
Corporate plan	Key performance areas and indicators		
	Develop regulatory framework <ul style="list-style-type: none"> CASA is recognised as demonstrating excellence in development of the aviation safety regulatory framework CASA provides appropriate support for transition to new or revised rules Entry control <ul style="list-style-type: none"> CASA processes applications for authorisations in accordance with documented procedures and within nominated timeframes Compliance assurance <ul style="list-style-type: none"> CASA's compliance and monitoring approaches are risk based Address non-compliance <ul style="list-style-type: none"> Actions undertaken are consistent with CASA's regulatory philosophy 	Effective engagement <ul style="list-style-type: none"> CASA maintains productive working relationships with key stakeholders CASA is transparent in its decision making Promote safety and education <ul style="list-style-type: none"> CASA supports industry compliance (and/or understanding of the consequences of non-compliance) CASA's education and promotion deliverables are relevant, timely, effective and appropriately targeted 	Robust structures, systems and processes supporting good governance <ul style="list-style-type: none"> Governance structures are effective CASA has the information and communication technology platform and enabling support to achieve business improvement and transformation CASA continually develops its capability and capacity <ul style="list-style-type: none"> The proposed benefits of CASA's business transformation programs are realised CASA maintains the capability and capacity to effectively deliver aviation safety regulation CASA maintains staff engagement and builds a culture that enables the achievement of CASA's mission

PORTFOLIO OUTCOME

In 2018–19, CASA was responsible for a single portfolio outcome:

Maximise aviation safety through a regulatory regime, detailed technical material on safety standards, comprehensive aviation industry oversight, risk analysis, industry consultation, education and training.

The outcome was set out in the 2018–19 Infrastructure, Regional Development and Cities Portfolio Budget Statements.

CASA's results in achieving its outcome are measured through three performance indicators:

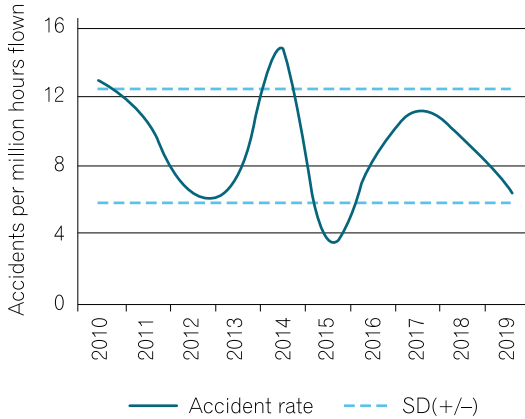
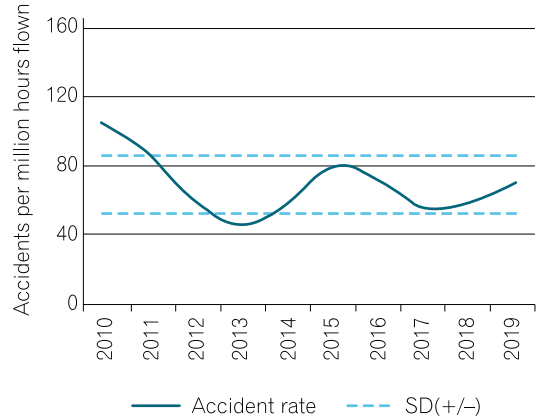
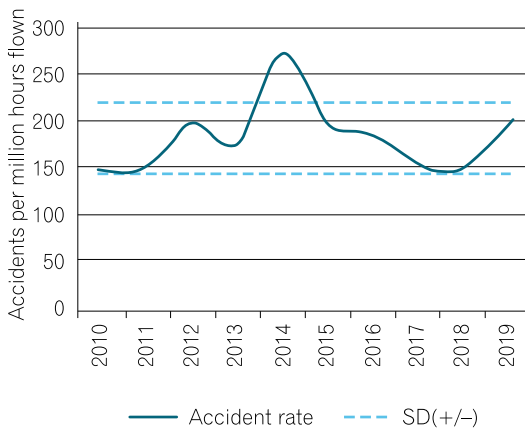
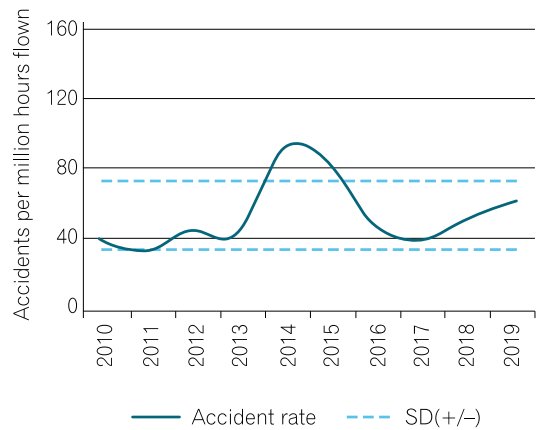
- Number of accidents per hours flown is reduced, by industry sector
- Number of incidents per hours flown is reduced, by industry sector
- Clear, open and transparent engagement with the industry to support the continuous improvement of an efficient and effective aviation safety regulatory framework.

Reduced accidents and incidents

Figures 7 and 8 illustrate trends in accidents and incidents per hours flown, by industry sector. Care should be taken in interpreting the sector trends, given the necessary assumptions made in calculating the results.

Over the timeframe analysed (2010 to 2019):

- The accident rates suggest a decreasing trend for the air transport and aerial work sectors. The general aviation and flying training sectors appear to have a relatively stabilised trend.
- The incident rate trend for the aerial work sector appears to be relatively stable. The trends across the air transport and general aviation sectors appear to be slightly increasing, but this could be a consequence of a better reporting culture, which is a positive result. Incident rates for the flying training sector indicated an increasing trend overall; however, this appears to have stabilised since 2015.

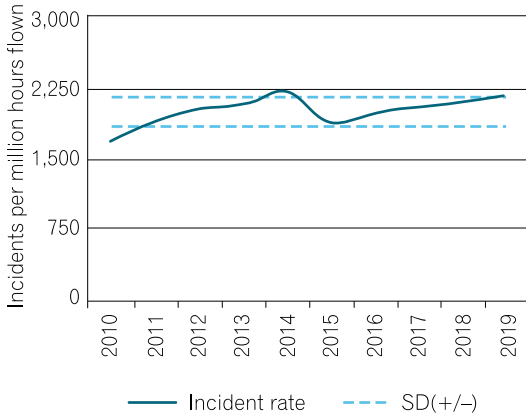
Figure 7 Industry sector – accident rate trends**Air transport****Aerial work****General aviation****Flying training**

Note: The accident rate information was formulated on a calendar year basis. This is due to flying hours being collected by the Bureau of Infrastructure, Transport and Regional Economics (BITRE) on a calendar year basis through an annual survey. An estimate and pro-rata on flying hours from historical years was applied to the 2019 calendar year given the financial year reporting requirements.

The quality assured occurrence information used in the accident rate calculations was extracted on 2 August 2019, at which date all accidents had been processed up to the required 30 June 2019 timeframe.

One standard deviation movement from the average (+/-) has been illustrated on each of the sector trends. This has been applied as a guide to check for any statistically significant movements.

Sources: Australian Transport Safety Bureau Air Safety Incident Reports and BITRE published flying hours.

Figure 8 Industry sector – incident rate trends**Air transport****Aerial work****General aviation****Flying training**

Note: The incident rate information was formulated on a calendar year basis. This is due to flying hours being collected by the Bureau of Infrastructure, Transport and Regional Economics (BITRE) on a calendar year basis through an annual survey. An estimate and pro-rata on flying hours from historical years was applied to the 2019 calendar year given the financial year reporting requirements.

The quality assured occurrence information used in the incident rate calculations was extracted on 2 August 2019. At that date, 50 incidents were still required to go through the quality assurance process. Those incidents were determined to not make a material difference to the illustrated trends.

One standard deviation movement from the average (+/-) has been illustrated on each of the sector trends. This has been applied as a guide to check for any statistically significant movements.

Sources: Australian Transport Safety Bureau Air Safety Incident Reports and BITRE published flying hours.

Effective engagement with industry

The Aviation Safety Advisory Panel (ASAP), which was established in 2017 by the Director of Aviation Safety, has continued to mature into CASA's primary, high-level engagement mechanism. During 2018–19, the ASAP established 19 technical working groups to provide expert technical advice on a range of matters, including fatigue rules, dangerous goods, remotely piloted aircraft systems, airworthiness, and the flight operations suite of regulations. This has allowed CASA to establish regulations which are fit for purpose and supported by industry. The ASAP has predominantly industry membership and Honorary Professor Patrick Murray, University of Southern Queensland, is the ASAP's independent Chair.

CASA continued to develop its capability and capacity to consult with industry through the CASA Consultation Hub. This web-based platform, accessed via the CASA home page, provided an accessible means for industry and the general public to formally respond to 37 external consultations conducted during the year. Encouragingly, almost 8,000 responses to the consultations were submitted.

The Government's response to the 2014 Aviation Safety Regulation Review identified a need for CASA to improve its service delivery and relationship with industry, including by conducting regular surveys to measure the health of its relationship with stakeholders.

CASA released the results from its 2018 Stakeholder Satisfaction Survey in October 2018. The survey was conducted by research organisation Colmar Brunton between April and May 2018 and examined attitudes towards CASA and aviation safety regulation. A random selection of 11,000 stakeholders across all major stakeholder groups were invited to participate.

The results demonstrated a steady improvement in the overall level of satisfaction with CASA's performance, increasing from 4.2 out of 10 in the 2015 survey to 6.2 in 2018.

Those stakeholders who were 'satisfied or very satisfied' with the relationship with CASA increased from 25 per cent in 2015 to 53 per cent in 2018. Additionally, those who were 'dissatisfied or very dissatisfied' decreased from 46 per cent in 2015 to 20 per cent in 2018.

Satisfaction with our service delivery rose to a rating of 6.2 compared to 3.8 in the previous survey; satisfaction with audits and compliance rose to 6.3 from 4.8; and satisfaction with development of regulations rose to 5.5 from 3.0.

All key ratings rose in the 2018 survey, including ease of complying with regulations, which is now rated at 5.9, and CASA seeking to promote safety best practice, which is rated at 6.7.

Responses from more than 1,100 aviation industry participants gave the highest ratings to CASA for respecting confidentiality, having safety as its primary focus and sharing information and knowledge willingly. High ratings were also given for having competent and capable staff and being efficient in dealings with the people who were surveyed.

The survey findings show a clear pattern of improvement across all aspects of CASA's relationship with industry since 2015.

The organisation-wide Service Delivery Transformation program is well underway in its work to transform several services and to deliver services that are client centred.

CORPORATE GOALS

In 2018–19, the *CASA Corporate Plan 2018–19 to 2021–22* set out three goals through which CASA would achieve its purpose:

- **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.

CASA's results in achieving those goals are measured through 14 key performance indicators, across eight key areas of performance, as detailed in the corporate plan.

This section provides the results for the measures of success that CASA has defined for each indicator, including a snapshot assessment using the following symbols.



Completed or on track/no further action required



Possible delays/impact on deliverables



Delayed/unable to achieve deliverable

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

CASA measures its success in achieving Goal 1 in four key performance areas: 'Develop regulatory framework', 'Entry control', 'Compliance assurance', and 'Address non-compliance'.

Key performance area – Develop regulatory framework

Key performance indicator	CASA is recognised as demonstrating excellence in development of the aviation safety regulatory framework
Measure of success	Regulatory program is achieved within agreed timeframes and in accordance with reasonable assumptions

Result







The flight operations regulations – Civil Aviation Safety Regulations Parts 91, 119, 121, 133, 135 and 138 – were made on 6 December 2018. Drafting instructions for the savings, transitional and consequential amendments for those Parts are with the Office of Parliamentary Counsel.

Three of the five Manuals of Standards for the flight operations regulations were reviewed by industry technical working groups and consultation is planned for the remaining two. All are expected to be made by 31 March 2020.

A technical working group workshop was conducted regarding the terms of reference for an independent review into the seat break for Part 135.

The planning for Parts 103, 105 and 131 has been approved and instructions for all three Parts are with the Office of Parliamentary Counsel. These Parts represent the final three Parts of the regulation reform program and are expected to be made by 31 December 2019.

Part 149 and the related Manual of Standards were made during the reporting period and will commence in July 2019.

Key performance indicator	CASA is recognised as demonstrating excellence in development of the aviation safety regulatory framework
Measure of success	CASA has initiatives in place to improve the aviation safety regulatory framework
Result 	CASA's scheduled sector risk profile program for 2018–19 was completed. Safety sector risk profiles were completed for the large aeroplanes, helicopter charter and remotely piloted aircraft systems sectors. The sector risk profiles for aerial mustering and aerodromes were reviewed.
Measure of success	New regulations are developed using a stakeholder engagement process
Result 	During 2018–19, the Aviation Safety Advisory Panel (ASAP) met four times and oversaw 19 technical working group meetings, with a focus on flight operations regulations, continuing airworthiness, and the fatigue rules. The minutes of the technical working groups, which involved 140 industry participants, are published on CASA's website.
Measure of success	Collect, analyse and report on trends and issues identified in aviation safety data
Result 	CASA's Aviation Safety Committee (ASC) continually reviews data from a number of sources to inform its decision-making and approach to surveillance and proposed policy development. CASA is actively collaborating with the Australian Transport Safety Bureau, the Bureau of Infrastructure, Transport and Regional Economics and Airservices Australia to develop a cross-agency identification and categorisation of datasets and their associated use. Aviation safety data and trends are presented and discussed at the ASC and CASA Board meetings.
Key performance indicator	CASA provides appropriate support for transition to new or revised rules
Measure of success	Industry and CASA assessed as ready for transition during the pre-commencement gate review
Result 	Gate reviews were completed in line with the regulatory development program.

Key performance area – Entry control

Key performance indicator	CASA processes applications for authorisations in accordance with documented procedures and within nominated timeframes
Measure of success	Applications for authorisations submitted to the Client Services Centre (CSC) meet service delivery standards

Result



Service delivery standards continued to fall short of targets. In April, CSC established a 15-person licensing taskforce to focus on clearing the backlog until July 2019. This had a dramatic effect: the taskforce achieved a 52 per cent reduction in open jobs at 30 June 2019 (noting that most jobs were closed outside the service delivery standard). This will have positive impact on service delivery rates moving forward.

There was an improvement in Maintenance Personnel Licensing and Permissions Issue. Service delivery was reduced for Flight Crew Licensing and for Aircraft Registration, due to public holidays and leave, staff availability, and the continued influx of new work. CSC has established working agreements with project teams which need CSC support, to ensure that capacity problems are managed more effectively.

The following table summarises the achieved service delivery standards for CSC in 2018–19. The service delivery target timeframes for 40 services are available on CASA's website.

Proportion of authorisations processed by the Client Services Centre within service standards, 2018–19 (%)

	July–September	October–December	January–March	April–June
Overall	55.10	57.20	54.41	50.23
Flight Crew Licensing	35.57	38.00	31.80	33.30
Permissions Issue	86.00	90.00	87.03	88.56
Aviation Medicine	75.71	75.40	81.46	81.35
Maintenance Personnel Licensing	90.24	87.40	85.49	88.42
Aircraft Registration	63.87	71.00	43.81	44.31

Measure of success	Regulatory service decisions are made in a lawful and timely way
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Result



All regulatory service decisions were made in accordance with the relevant legislation, rules and policies, and 90 per cent were made within published service delivery timeframes. Service delivery timeframes were impacted by delays in CSC receiving necessary information from applicants. Where a specific request was made to prioritise a decision, due to commercial or legal reasons, the request was acted on immediately.

Measure of success	CSC has processes in place and followed to identify approvals which may have been issued in error
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Result





CSC has an established quality system to ensure that approvals are not issued in error. Mechanisms are in place to capture authorisations and permissions that have been issued in error; however, error rates are not tracked.

Key performance area – Compliance assurance

Key performance indicator	CASA's compliance and monitoring approaches are risk based
Measure of success	Annual national oversight program is completed as planned
Result 	<p>The goals of CASA's National Surveillance Selection Process continued to be exceeded. CASA achieved 98 per cent of its scheduled surveillance by June 2019, exceeding the initial goal of 90 per cent.</p> <p>Development of the National Oversight Plan continued throughout the year. A pilot of the program will be launched during 2019–20.</p>

Key performance area – Address non-compliance


Key performance indicator	Actions undertaken are consistent with CASA's regulatory philosophy
Measure of success	Proportionate enforcement action is taken
Result 	<p>Results against this measure remain on track. All enforcement matters are proceeding in accordance with CASA's published enforcement procedures.</p> <p>CASA's enforcement-related decisions have largely been upheld where matters have proceeded to hearing in external forums, including the Federal Court and the Administrative Appeals Tribunal. CASA's approach to compliance is to consider a range of options such as counselling, infringement notices or safety observations where applicable.</p> <p>In April 2019, CASA made one application to the Federal Court for a prohibition order pursuant to section 30DE of the <i>Civil Aviation Act 1988</i> (serious and imminent risk). The Federal Court granted the order.</p>
Measure of success	Serious breaches of the legislation are referred to the Director of Public Prosecutions (DPP)
Result 	<p>In accordance with CASA's enforcement procedures and the applicable guidelines of the Commonwealth Director of Public Prosecutions, CASA consistently referred briefs of evidence to the Director of Public Prosecutions in relation to matters which were assessed as involving deliberate and serious contravention of the aviation legislation.</p> <p>During 2018–19, 13 briefs were referred and nine prosecutions were concluded, each of which resulted in a conviction.</p>

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


CASA measures its success in achieving Goal 2 in two key performance areas: 'Effective engagement' and 'Promote safety and education'.

Key performance area – Effective engagement

Key performance indicator	CASA maintains productive working relationships with key stakeholders
Measure of success	Stakeholder satisfaction with CASA's performance in key areas including satisfaction with the Aviation Safety Advisory Panel and its technical working groups and aviation safety seminars
Result	Having implemented the 2017–18 stakeholder engagement strategy, the 2018–19 stakeholder engagement strategy was considered by the Board in February 2019 and is now being implemented. It focuses on areas of opportunity identified as part of the Stakeholder Satisfaction Survey conducted in 2018.
Key performance indicator	CASA is transparent in its decision making
Measure of success	Processes, guidance and applicable policy manuals (standards, enforcement and surveillance) are available on the website
Result	The appropriate guidance information is available on CASA's website. Web content is being reviewed to ensure that it is updated where required. More than 700 documents from internal and external websites were archived during 2018–19, as part of ongoing efforts to remove legacy or dated content.
Measure of success	All regulatory decisions are accompanied by a statement of reasons where required and where otherwise practicable
Result	All regulatory decisions to refuse an authorisation were accompanied by a statement of reasons and followed the formal enforcement process administered by CASA's Legal and Regulatory Affairs Division.
Measure of success	Decisions to cancel certain civil aviation authorisations are published on the CASA website.
Result	Where permissible under privacy legislation, decisions to cancel certain civil aviation authorisations are published on CASA's website. In 2018–19, two decisions were published: one involving the cancellation of an authorisation, and the other the suspension of an air operator certificate/flight crew licence under the serious and imminent risk provisions in Part III of the <i>Civil Aviation Act 1988</i> .

Key performance indicator	CASA is transparent in its decision making
Measure of success	Number of complaints about CASA not being open and transparent
Result 	<p>The Industry Complaints Commissioner found that CASA failed to act openly and transparently in the handling of four of the 123 complaints resolved during 2018–19. The findings can be summarised as:</p> <ul style="list-style-type: none"> • A chief pilot nomination assessment interview was completed as a de facto enforcement activity. • CASA misrepresented the consequences of failing to cooperate to a remotely piloted aircraft systems operator under investigation, in order to obtain an address for service of an infringement notice. • CASA's processes in assessing an instrument of delegation were deficient. • Contrary to a specific undertaking of confidentiality, CASA disclosed to the subject of a safety report the identity of the person who had anonymously made that report.

Key performance area – Promote safety and education

Key performance indicator	CASA supports industry compliance (and/or understanding of the consequences of non-compliance)
Measure of success	Effective communication to key audience using appropriate channels such as guidance materials, media, and internal communication
Result 	<p>A range of internal and external communication activities were implemented, and communication plans were developed for each activity. The communication plans identified affected stakeholders and the best channels and methods of reaching them.</p> <p>The activities included communication strategies for:</p> <ul style="list-style-type: none"> • regulatory change projects in areas such as fatigue, maintenance regulations, flight operations regulations, dangerous goods and Civil Aviation Safety Regulations Parts 139 and 149 • the retirement of the 'Can I fly there?' drone safety app, and drone registration and accreditation • the launch of online services for remote pilot licence applications and straightforward remotely piloted aircraft operator certificate renewals. <p>Internal initiatives included the Regulatory Services and Surveillance Transformation Program, proposed changes to CASA's alcohol and other drugs program, finalisation of the shared services structure, the Australian Public Service census, Brisbane office relocation, diversity events and staff awards. A new fortnightly tool for staff was launched, comprising talking points on hot topics designed to support staff in communicating with industry.</p> <p>During 2018–19, 25 public consultations and 12 targeted consultations were conducted via the CASA Consultation Hub, on a range of policy proposals and initiatives.</p>



Key performance indicator	CASA supports industry compliance (and/or understanding of the consequences of non-compliance)
Measure of success	Industry forums conducted openly and transparently
Result	All minutes and meeting notes of technical working groups, the Aviation Safety Advisory Panel and regional airspace and procedures advisory committees were published on CASA's website, enabling the activities of the groups to be transparent and open to the broader industry.
Key performance indicator	CASA's education and promotion deliverables are relevant, timely, effective and appropriately targeted
Measure of success	Education and promotion activities meet the needs of aviation community and CASA staff
Result	<p>Key education and safety promotion initiatives in 2018–19 included new publications – such as the second edition of the <i>Safety Behaviours: Human Factors for Pilots</i> kit, the <i>Radio Procedures in Non-Controlled Airspace</i> booklet, and a careers guide for aircraft maintenance engineers – and plain English information to support new rules for community service flights and other regulatory changes.</p> <p>CASA is working with the Australian Transport Safety Bureau to develop a joint safety campaign, driven by trends evident in investigation findings, to promote the use of checklists.</p> <p>A feedback survey on <i>Flight Safety Australia</i>, CASA's flagship aviation safety magazine, received 1,299 responses and confirmed that the publication is highly regarded as a credible and informative source of aviation safety information, is well loved by industry, and has a positive influence on aviation safety. A large majority of the readers surveyed (95 per cent) said that <i>Flight Safety Australia</i> increased their knowledge and awareness of aviation safety issues, and 85 per cent said that it influenced them to become safer in their aviation role. Almost 90 per cent of current readers surveyed said that they would recommend it to other people in the industry. Information from the survey is being used to shape the future direction of the magazine.</p> <p>A feedback survey confirmed that CASA's <i>Flight Planning</i> kit, including the new <i>Radio Procedures in Non-Controlled Airspace</i> booklet, is useful. The kit has been enhanced in response to feedback to ensure that it continues to meet audience needs.</p> <p>An average of 450 orders of safety awareness and educational materials were dispatched each month from CASA's online store, representing an average of 6,000 individual items per month.</p>
Measure of success	Increased and expanded digital interactions
Result	<p>Social media activities continued to show strong results, with significant interactions and engagement across channels. Between 30 June 2018 and 30 June 2019:</p> <ul style="list-style-type: none"> Facebook users increased from 38,858 to 45,382 LinkedIn users increased from 8,974 to 17,163 Twitter followers increased from 9,748 to 11,604 YouTube followers increased from 3,574 to 4,581. <p>The 'Can I pack that?' app was downloaded 227,412 times in 2018–19.</p>

Goal 3: Continuous improvement of organisational performance

CASA measures its success in achieving Goal 3 in two key performance areas: 'Robust structures, systems and processes supporting good governance' and 'CASA continually develops its capability and capacity'.

Key performance area – Robust structures, systems and processes supporting good governance

Key performance indicator	Governance structures are effective
Measure of success	CASA's governance structures align with Commonwealth better practice
Result	<p>A review of CASA's governance committees was undertaken in 2018–19 and the draft report is currently under consideration.</p> <p>CASA received an 'advanced' rating against the nine elements of the Commonwealth Risk Management Policy in Comcover's annual risk benchmarking survey. CASA has a strong understanding of managing shared risks, risk responsibilities and risk functions within its business processes. There are opportunities for improvement in CASA's communication about risk and maintenance of risk management capability.</p> <p>CASA's risk-reporting process is improving, and further opportunities for improvement have been identified in the nature of risk information being reported to senior management. Management's focus on risks is increasing: the Board and senior executives have increased their involvement in risk oversight, including by implementing detailed assessments of two key risks at each Board meeting.</p> <p>The Board Audit and Risk Committee and the Risk and Investment Committee provided positive feedback on the iteration of risk reporting for the year.</p>
Measure of success	Continuous improvement towards best practice portfolio, program and project management
Result	<p>CASA has made significant improvements in the design and accuracy of reporting. When producing reports, CASA's Enterprise Portfolio Management Office (EPMO) regularly engages with project managers to ensure that reports are as accurate as possible.</p> <p>CASA established a Business Improvement Oversight Program Board, which has improved oversight of all programs, projects and change impacts in CASA. The board is chaired by the CEO and has executive manager membership.</p> <p>Development of training on project management in CASA commenced in April 2019. The training focuses on applying project management discipline and navigating through governance and escalation and decision points specific to CASA.</p> <p>CASA provides change management services to support projects (excluding Service Delivery Transformation) and business activities. Fourteen activities were supported in 2018–19. Two business areas engaged the EPMO to conduct post-implementation reviews, which were ongoing at 30 June 2019.</p>

Key performance indicator	Governance structures are effective
Measure of success	Unqualified audit of financial statements
Result 	The interim audit of CASA's financial statements was conducted in the fourth quarter of 2018–19. No issues of concern were identified in the interim audit, and there are no issues raised to date that would cause anything other than unqualified financial statements.
Key performance indicator	CASA has the information and communication technology platform and enabling support to achieve business improvement and transformation
Measure of success	Delivery and management of a transparent ICT work program
Result 	<p>CASA maintained a strong focus on ICT security, progressing towards compliance with the Australian Signals Directorate's Essential Eight mitigation strategies, delivering multifactor authentication for administrators, and disabling untrusted macros. A gap analysis was undertaken on CASA's compliance with the Protective Security Policy Framework and the findings were provided to the Executive Committee.</p> <p>Contract negotiations for an upgrade of CASA's wide area network were concluded in June 2019.</p> <p>CASA's records management system was upgraded, delivering the capacity to:</p> <ul style="list-style-type: none"> • index the text content of scanned documents • apply geographic information system data to locations and records • preconfigure a record review and authorisation process • configure the system for aggregated disposal of records. <p>Several of the recommendations of a review of CASA's ICT capability were implemented in 2018–19; the remainder will be implemented in early 2019–20.</p> <p>Broader and earlier engagement between CASA's ICT and business areas has improved the quality of internal proposals for new initiatives with a significant ICT component.</p>

Key performance area – CASA continually develops its capability and capacity

Key performance indicator	The proposed benefits of CASA's business transformation programs are realised
Measure of success	The schedule of proposed benefits for each service capability are realised

Result



CASA delivered several capabilities to improve the experience of clients and enable them to conduct digital transactions with CASA.

The myCASA portal was developed, allowing clients to create a portal account, enter identification details to be validated through the Department of Home Affairs Document Verification Service, and apply for an aviation reference number, without any involvement from CASA.

Remotely piloted aircraft systems (RPAS) functionality was deployed into the myCASA portal, enabling flying schools to apply for remote pilot licences for applicants who have successfully passed the theory and practical requirements. Clients can apply, pay for and receive their licences through the portal. Remotely piloted aircraft operator certificate holders can also renew their certificates online if there is no variation required.

CASA is working closely with industry clients to continue to improve the uptake of RPAS digital functionality via the myCASA portal. Functionality for RPAS registration (commercial) is currently in the testing phase and is expected to be released in November 2019, subject to finalisation of legislation and charges.

Key performance indicator	CASA maintains the capability and capacity to effectively deliver aviation safety regulation
Measure of success	Maintain four-year Strategic Workforce Plan which is revised annually in response to changes impacting the workforce and business

Result



The CASA Workforce Strategy 2019–2023 and its supporting workforce plan will commence on 1 July 2019. The strategy articulates CASA's workforce priorities within the overarching categories of capability, culture and composition. The plan reflects the activities that will be undertaken in 2019–20 and outlines expected activities in the subsequent years of the strategy.

The activities identified in the plan will be reviewed annually and adjusted as required to reflect changes in CASA's political and legislative work environment, with progress reported quarterly to the People Committee and every six months to the Executive Committee.

Key performance indicator	CASA maintains the capability and capacity to effectively deliver aviation safety regulation
Measure of success	Training opportunities are provided to all staff each year in accordance with their personal training plan

Result



A three-day professional development roadshow was undertaken in each CASA office in 2018–19. The training covered key topics derived from analysis of approved professional development requests within CASA's Performance and Communication Scheme data.

The following courses were conducted in 2018–19:

- five sessions of Manager Orientation
- four sessions of General Orientation
- three sessions of Foundation Training
- two sessions of Advanced Training.

A program of training covering regulatory knowledge specifically targeted at the Aviation Group was completed. In total, 23 training sessions were conducted, with 444 staff attending. Developmental work to scope the integration of a formal qualification into the training framework commenced, with the mapping of existing training against the proposed qualification.

CASA reviewed and updated the studies assistance policy, which continues to provide the opportunity for staff to pursue academic development to enhance their career. A trial course in business writing was conducted in June 2019 to address an identified development need within the organisation.

Key performance indicator	CASA maintains staff engagement and builds a culture that enables the achievement of CASA's mission
Measure of success	Biennial staff engagement survey

Result



Approximately 89 per cent of CASA's employees participated in the 2019 Australian Public Service employee census. The Australian Public Service Commission's report on the census will be available in early 2019–20, and senior managers will be provided with assistance to understand the findings so that each branch can develop a plan to address employee feedback.

A report outlining the progress of initiatives to address findings from the 2017 CASA Employee Engagement Survey was published on CASA's intranet on 4 April 2019. Activities focused on the four priority areas identified in 2017–18: facilitating change, recognition in the workplace, development opportunities, and leadership.

Analysis

In accordance with section 16F(2) of the Public Governance, Performance and Accountability Rule 2014, the annual performance statement must include an analysis of factors affecting an entity's performance in achieving its purpose in the reporting period.

During 2018–19, CASA performed at a high level, supported by a stable structure, and did not experience significant disruptions to the delivery of its programs.



CASA is on hand for Avalon Airshow

The Avalon Airshow, held every two years, is now the fourth largest airshow in the world.

The 2019 Avalon Airshow took place between 28 February and 3 March and comprised trade days and public days. Once again, CASA played a role in making the event a success.

John Costa, CASA Certificate Team Manager, Southern Region, says that the 2019 show was used as a dress rehearsal for the 2021 show, which will mark the 100th anniversary of the Royal Australian Air Force. Therefore, a large number of state and military aircraft were in attendance, along with dignitaries.

The increased presence of military aircraft and dignitaries saw added security measures, such as a bomb squad, dog squads, special forces teams, facial recognition software and undercover operatives.

Increased security was also required in response to the ongoing focus on drones at the airshow, which included specialised drone activities, drone sales, and drone-racing displays. The 2019 airshow incorporated drone detection measures (software) which spanned a 50-kilometre radius around the airport. Two reports of illegal drone releases during the practice days were followed up by Victoria Police.

Those lucky enough to attend the airshow witnessed a world first when the Northrop Grumman Global Hawk (unmanned surveillance

aircraft) landed, during daylight hours, after a 13-hour trip from the United States.

CASA used its recently updated Air Display Procedures Manual to formally assess and approve the Avalon Airshow's assessment procedures. Eleven instruments and approvals of various kinds were issued to support the show, along with several permissions and approvals from Airservices Australia and CASA's Air Navigation, Airspace and Aerodromes Branch and Remotely Piloted Aircraft Systems Branch.

CASA's team conducted a range of surveillance activities across the entire show, and interacted with private and commercial pilots to discuss issues such as fuel management, fatigue and aircraft maintenance.

Visitors to the CASA stand kept staff busy with questions on topics ranging from drones, fatigue and the *Visual Flight Rules Guide*, to the carriage of firearms and ways of securing animals.

Staff from CASA's Remotely Piloted Aircraft Systems Branch teamed up with aviation community members to deliver information on the latest in drone technology and safety. CASA's team used the opportunity to help educate interested attendees about the recreational rules and to answer any technical questions from industry members, including queries around the battery provisions and safety aspects of owning a drone.



Seminars focus on certification flight testing

CASA hosted two flight test seminars, on 18–19 July 2018 in Sydney and 6–7 February 2019 in Adelaide, to provide information to aviation community members on flight and safety requirements associated with the aircraft type certification process.

The seminars, part of a series which has been running for over 10 years, were conducted by Nick Coulson, Flight Test Pilot, and Mark Bathie, Principal Engineer Certification, from CASA's Airworthiness and Engineering Branch.

When an aircraft is built, or a modification is made to an existing aircraft, the aircraft is required by the regulations to meet airworthiness standards. Part of that process is undertaking flight tests. Performance, take-off, landing, stall speeds and handling are all crucial parts of a flight test.

Depending on whether it is a modification or a new aircraft, flight testing times can vary between 50 hours and 500 hours, including both developmental and certification testing.

As part of the final phase of validation, a flight type inspection is conducted with CASA staff. The inspection can involve up to 20 hours of flight testing.

The flight test seminars target CASA airworthiness engineers, flying operations inspectors and aviation community members, including engineers and pilots involved in test flying.

Each seminar provides a general review of the certification process and a description of the flight test techniques and procedures pertinent to an applicable airworthiness standard.

The safety aspects of the flight test are emphasised throughout the seminar, along with the certification regulations and process, airworthiness standards, and flight test specialisation and procedures.

The 2018–19 seminars were well attended by aviation community members and CASA staff.

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This part of the report provides a detailed assessment of CASA's progress in the key focus areas outlined in the *CASA Corporate Plan 2018–19 to 2021–22*.

CASA's report against key performance indicators is in Part 2: Annual performance statement, and detailed information on aspects of CASA's operations is provided in Appendix A in Part 7: Appendices and references.

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- CASA's key focus areas 48
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PART 03

KEY FOCUS AREAS

CASA'S KEY FOCUS AREAS

As set out in the *CASA Corporate Plan 2018–19 to 2021–22*, CASA tracks its performance in achieving its three goals across eight key areas of performance. The key performance indicators for each performance area are shown in Figure 6 and addressed in CASA's annual performance statement.

In addition to the indicators, the corporate plan identifies key focus areas for each performance area, as set out in Figure 9.

Figure 9 CASA's goals, key performance areas and key focus areas in 2018–19

Goal	Key performance area	Key focus area
1 Maintain and enhance a fair, effective and efficient aviation safety regulation system	Develop regulatory framework	1.1 Promote and improve CASA's regulatory philosophy 1.2 Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance, taking a pragmatic, practical and proportionate approach to regulation as it applies to risk in different industry sectors 1.3 Provide lead regulator role for the OneSKY project
	Entry control	1.4 Improve the client experience through the provision of regulatory and licensing services 1.7 Provide airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally
	Compliance assurance	1.5 Conduct regulatory services and surveillance of the aviation industry to assure aviation safety performance
	Address non-compliance	1.6 Develop modern enforcement strategies, policies and practices

Goal	Key performance area	Key focus area
2 Collaborative engagement with the wider aviation community to promote and support a positive safety culture	Effective engagement	2.1 Develop stakeholder relationships 2.2 Work with Australian partner organisations 2.3 Work with other overseas regulators 2.4 Contribute to the strengthening of aviation safety in the Asia Pacific
	Promote safety and education	2.5 Provide comprehensive safety promotion programs to the aviation industry and stakeholders
3 Continuous improvement of organisational performance	Robust structures, systems and processes supporting good governance	3.1 Continue to improve CASA's governance arrangements and quality of our activities 3.2 Continue to maintain sound financial management 3.3 Adopt, develop and drive a digital service delivery environment incorporating contemporary technology environments
	CASA continually develops its capability and capacity	3.4 Develop CASA's capability and capacity and implement the capability development framework incorporating structured management and leadership pathways

The intended outcomes of the key focus areas cover CASA's short-term and medium-term priorities for the period of the *CASA Corporate Plan 2018–19 to 2021–22*. This section sets out a detailed report on performance for each intended outcome, including a snapshot assessment using the following symbols.



Completed or on track/no further action required



Possible delays/impact on deliverables



Delayed/unable to achieve deliverable

GOAL 1 OUTCOMES

To achieve Goal 1, CASA focuses 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 centres on enhancing oversight and surveillance, continuing the regulatory implementation program, continuing to reform Australian-administered airspace and continuing effective enforcement to secure compliance with safety standards.

Status of intended outcomes

At 30 June 2019, of the 17 intended outcomes in place against this goal, **76** per cent were assessed as being completed or on track, **18** per cent had possible delays and **6** per cent were delayed.




Key achievements

- The flight operations regulations – Civil Aviation Safety Regulations (CASR) Parts 91, 119, 121, 133, 135 and 138 – were made on 6 December 2018 and commence in March 2021. CASA revised the flight crew fatigue rules following an independent review of those rules; the new rules are expected to be made in July 2019.
- Transition arrangements for CASR Parts 141 and 142 ceased on 1 September 2018. A total of 203 existing operators and 39 new operators were assessed against the revised requirements.
- CASA exceeded its surveillance goals under the National Surveillance Selection Process, achieving 98 per cent of scheduled surveillance against a target of 90 per cent.

Progress in key focus areas

CASA tracks its progress in achieving Goal 1 in seven key focus areas across four key performance areas: 'Develop regulatory framework' (focus areas 1.1, 1.2, and 1.3); 'Entry control' (1.4 and 1.7); 'Compliance assurance' (1.5); and 'Address non-compliance' (1.6).

Key performance area – Develop regulatory framework

Focus area 1.1	Promote and improve CASA's regulatory philosophy
Intended outcome	Implement and monitor compliance with the principles of CASA's regulatory philosophy
Progress 	Actual or apparent departures from the principles of the regulatory philosophy are assessed and addressed appropriately.
Intended outcome	Refine and extend presentation of regulatory philosophy workshops to include industry and community participants
Progress 	The refinement and extension of the regulatory philosophy implementation workshops was affected by a decision to give priority to the final series of Regulatory Reset training sessions. Some minor adjustments have been made to the material presented, with a view to resuming the workshop program with full industry and community involvement. The next session is planned for early 2019–20.
Focus area 1.2	Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance, taking a pragmatic, practical and proportionate approach to regulation as it applies to risk in different industry sectors
Intended outcome	Finalise the last tranche of the regulatory program
Progress 	<p>The planning for Parts 103, 105 and 131 has been approved and instructions for all three Parts are with the Office of Parliamentary Counsel. These Parts relate to sport and recreational aviation, sport parachuting and manned free balloons. The Manual of Standards for Part 105 is on track to be made in 2019 and the Manuals of Standards for the other Parts will be made in early 2020.</p> <p>The draft advisory circular for Part 149 (Approved Self-administering Aviation Organisations) was finalised for public consultation in June. Implementation of Part 149 is progressing, with the regulations to commence in July 2019.</p> <p>The post-implementation review regulation package for Part 139 (Aerodromes) was made in February 2019 and the Manual of Standards was settled in June.</p> <p>The Civil Aviation Order 48.1 Instrument 2019 (fatigue rules for flight crew and operators) was finalised and will be registered in August 2019.</p> <p>Drafting of the Manual of Standards for the rewritten Subpart 139.H (Aerodrome Rescue and Fire Fighting Services) is underway, with the Department of Infrastructure, Transport, Cities and Regional Development leading the rewrite of the regulation.</p> <p>The Manuals of Standards for Parts 91, 121, 133, 135 and 138 are to be made by the end of 2019.</p>
Intended outcome	Complete transition to the flight crew licensing suite of regulations
Progress 	The transition for CASR Parts 141 and 142 has been completed. However, additional CASA staff training is proposed for 2019–20.

Focus area 1.2	Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance, taking a pragmatic, practical and proportionate approach to regulation as it applies to risk in different industry sectors
Intended outcome	Complete the remotely piloted aircraft systems regulatory roadmap, commence consultation and consider appropriate implementation strategies of the roadmap

Progress



A draft roadmap was completed in December 2018.

Intended outcome	Implement agreed safety performance indicators
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Progress



Accident and fatal accident analysis reports were considered at all 11 meetings of the Aviation Safety Committee during the period. The findings from a quarterly trend monitoring report were also considered at the meetings, with data from the Australian Transport Safety Bureau.

Intended outcome	Maintain CASA's obligations under ICAO and other international agreements
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Progress



CASA's development of a business-as-usual continuous monitoring program for the regular review, management and update of Australia's compliance with the 1,015 protocol questions of the International Civil Aviation Organization (ICAO) Universal Safety Oversight Audit Programme is underway and will be enhanced with the completion of an automated solution in late 2019.

Australia has 39 Corrective Action Plans to address, 35 of which CASA is responsible or jointly responsible for. Of the 39 plans, 13 have been completed; the remaining 26 have various completion dates, ranging from 2019 to 2023, and are on track for completion.



CASA's senior leadership team position descriptions have been updated to reflect ICAO accountabilities and responsibilities.


CASA participates in the cross-agency team which has contributed to the development of a multi-agency memorandum of understanding that includes ICAO engagement, with the Department of Infrastructure, Transport, Cities and Regional Development as the central coordinator, to support and coordinate Australia's State Safety Program and flow of safety information. The parties to the memorandum are:

- Airservices Australia
- Australian Bureau of Meteorology
- Australian Maritime Safety Authority
- Australian Transport Safety Bureau
- CASA
- Department of Defence
- Department of Foreign Affairs and Trade
- Department of Home Affairs
- Department of Infrastructure, Transport, Cities and Regional Development.



Focus area 1.3	Provide lead regulator role for the OneSKY project* *OneSKY is a joint Defence/Airservices Australia project to acquire a new air traffic management surveillance data processing and display system.
Intended outcome	Oversight the safety aspects of the OneSKY project following contract signature in February 2018
Progress 	CASA has participated in all aspects of planning, training and safety documentation review for the OneSKY project. The resulting collaboration between CASA, Thales and Airservices Australia will ensure that any risks associated with commissioning the new air traffic control system are addressed prior to the final certification process.



Key performance area – Entry control

Focus area 1.4	Improve the client experience through the provision of regulatory and licensing services
Intended outcome	Implement digitally-enabled client service tools as part of CASA Service Delivery Transformation
Progress 	By the end of 2018–19, 82 per cent of online aviation reference number applications were being processed automatically. This has increased from 56 per cent since the introduction of the online application process. The remote pilot licence application and remotely piloted aircraft operator certificate renewal components were fully deployed and are performing to expectations: 100 per cent of the transactions are being completed through the system well within service delivery timeframes. Work continues on the aircraft registration phase of the Service Delivery Transformation program.
Intended outcome	Develop designated aviation medical examiner (DAME) liaison, support and surveillance tools to increase confidence and capacity in the medical certification framework
Progress 	The internal audit of aviation medicine was submitted for management comment in June 2019. Management comments were provided, and the recommendations gave clear direction on how DAME liaison, support and surveillance tools can be configured to increase confidence and capacity in the medical certification framework. These actions will form part of a review of aviation medicine and CASR Part 67 during 2019–20.


Focus area 1.7	Provide airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally
Intended outcome	Adopt an international airworthiness strategy in order to identify opportunities for recognition with other National Aviation Authorities (NAAs) across the airworthiness spectrum
Progress 	<p>Following the establishment of a memorandum of understanding between CASA and the Civil Aviation Authority of New Zealand (CAA NZ), CASA and CAA NZ are working to finalise arrangements on an airworthiness certification arrangement and mutual recognition of approved maintenance organisations. The arrangements are expected to provide mutual benefits to both authorities and to industry. The aim is to finalise the arrangements before the end of 2019.</p> <p>CASA also continued to work with the European Aviation Safety Agency to establish a certification arrangement. The timeframe for its completion is uncertain due to circumstances beyond CASA's control.</p>

Key performance area – Compliance assurance

Focus area 1.5	Conduct regulatory services and surveillance of the aviation industry to assure aviation safety performance
Intended outcome	Complete implementation of the National Surveillance Selection Process, a nationally coordinated systematic approach to prioritisation of scheduled surveillance activity across CASA
Progress 	Phase 3 of the National Surveillance Selection Process was completed as defined in the endorsed Phase 3 Project Management Plan, and reported on monthly to CASA's Business Improvement Oversight Program Board and Oversight Executive Group.
Intended outcome	Continuously improve audit methodology to ensure CASA conducts effective, efficient and proportionate oversight of all industry sectors.
Progress 	<p>The National Surveillance Selection Process Manual (version 1) and CASA Surveillance Manual (version 4), which were published in May 2019, incorporate various continuous improvement activities.</p> <p>Phase 1 of CASA's Regulatory Services and Surveillance Transformation Program was completed with the design of a new operating model for Regulatory Services and Surveillance, and was endorsed by the CASA Board on 19 June 2019. The design is the first of three phases in a broad transformation program.</p>

Focus area 1.5	Conduct regulatory services and surveillance of the aviation industry to assure aviation safety performance
Intended outcome	Foster greater consistency in decision making and regulatory interpretation across CASA offices
Progress 	<p>The Regulatory Reset training is complete. Twenty-three sessions were conducted for more than 400 attendees.</p> <p>Regulatory Services and Surveillance Transformation Program work regarding consistency in decision-making is ongoing and includes reviews of selected business processes to ensure that first-principle reviews are complete and associated policies and procedures are effective and efficient.</p> <p>CASA's Oversight Executive Group provides a forum where complex decisions and regulatory matters are considered from a national perspective.</p>
Intended outcome	Regularly review Australian airspace and implement initiatives identified in the Australian Airspace Policy Statement
Progress 	<p>The Office of Airspace Regulation (OAR) conducted all necessary airspace reviews based on commitments outlined in the OAR annual workplan and additional reviews triggered by an assessment of risks or incidents. The OAR completed all requests for temporary airspace and continues to progress airspace change proposals submitted by Airservices Australia to support its five-year airspace modernisation program. The OAR also processed a number of other airspace change requests from external organisations, such as those required for Australian Defence Force exercises.</p>

Key performance area – Address non-compliance

Focus area 1.6	Develop modern enforcement strategies, policies and practices
Intended outcome	Publish a proposed revised enforcement framework for CASR Part 13 for public consultation and comment
Progress 	<p>Draft Civil Aviation Safety Regulations (CASR) Part 13 remains under review to ensure that current and anticipated legislative and policy changes are incorporated. Other regulatory development tasks, including now critical work on consequential, transitional and savings provisions for the operational suite of new regulations, took priority during 2018–19. Once this work is complete, arrangements will be made to advance Part 13.</p>
Intended outcome	Publish a discussion paper on the nature and level of penalties in the civil aviation legislation for public comment
Progress 	<p>This work remains suspended pending completion of the CASR Part 135 review and the possible introduction of a new CASR Part 43. Given the central status of those Parts, it would be premature to initiate a review of the kind contemplated at this time.</p>

Looking ahead

- CASA will establish an arrangement with the Civil Aviation Authority of New Zealand to provide for a certain level of reciprocal recognition of design and certification approvals, which will reduce the burden of regulatory duplication on CASA and the aviation industry. In addition, CASA aims to establish a technical support network of external individuals and organisations to provide CASA with specialised technical and engineering knowledge.
- CASA will establish sub-agreements under the memorandum of understanding between CASA and the Defence Aviation Safety Authority. The aim is to work towards more streamlined acceptance of CASA approvals in the Defence system without releasing unknown safety risks, and to utilise each other's technical expertise where practicable.
- CASA will continue work with Airservices Australia and the Department of Defence to improve drone surveillance capabilities, including at major airports and in Sydney Harbour restricted airspace.
- CASA will continue to develop a new national operating model. The Regulatory Services and Surveillance Transformation Program will support the aviation community while meeting CASA's oversight obligations in accordance with regulatory requirements. The new model will combine the roles, skills, structures, processes and technologies to enhance CASA's ability to deliver regulatory services and surveillance activities more effectively and efficiently.

GOAL 2 OUTCOMES

To achieve Goal 2, 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.

Status of intended outcomes

At 30 June 2019, of the eight intended outcomes in place against this goal, **all** were assessed as being completed or on track.



Key achievements

- In its second year of operation, the Aviation Safety Advisory Panel (ASAP) met four times and focused on ensuring that the CASA regulatory program was effectively informed and supported by industry. Having established and consulted technical working groups composed of industry experts, the ASAP provided advice to the Director of Aviation Safety on matters including the flight operations regulations, proposed fatigue rules and remotely piloted aircraft systems registration and accreditation.
- CASA's international stakeholder relationships were enhanced. A new memorandum of understanding on aviation safety was signed with the Civil Aviation Authority of New Zealand; CASA's Chief Executive Officer and Director of Aviation Safety was elected to chair the Regional Aviation Safety Group – Asia and Pacific Regions for three years; and CASA and the Pacific Aviation Safety Office signed a working arrangement for provision of technical assistance or advice on matters relating to civil aviation safety.
- CASA conducted 221 aviation safety seminars, engineering safety seminars and flight instructor safety workshops around Australia, reaching more than 8,500 industry members. The primary objective of the seminars and workshops is to educate pilots and engineers in areas including human factors, decision-making, threat and error management, regulatory changes and licensing privileges.
- The Aeromedical Training Program completed its first rotation. The program is a collaborative effort between Virgin Australia, Qantas and CASA to support the professional development of aviation medicine doctors through a rotational exchange program.

Progress in key focus areas

CASA tracks its progress in achieving Goal 2 in five key focus areas across two key performance areas: 'Effective engagement' (focus areas 2.1, 2.2, 2.3 and 2.4); and 'Promote safety and education' (2.5).

Key performance area – Effective engagement

Focus area 2.1	Develop stakeholder relationships
Intended outcome	Further develop the Aviation Safety Advisory Panel and associated technical working groups to allow for agile, strategic and constructive engagement
Progress 	<p>The Aviation Safety Advisory Panel (ASAP) considered a number of significant matters, including regulations for flight operations, dangerous goods, continuing airworthiness for general aviation and aerial work aircraft, and fatigue. To enable this to occur, the ASAP established technical working groups that met 19 times to review draft regulations and provide feedback so that industry's position could be provided by the ASAP to the Director of Aviation Safety.</p> <p>The ASAP secretariat met key timeframes for the dissemination of information to technical working groups and ASAP members.</p>
Focus area 2.2	Work with Australian partner organisations
Intended outcome	Collaborate with Federal, State and local government organisations on local and national safety issues such as remotely piloted aircraft systems and airport-related issues
Progress 	<p>CASA attended four Aviation Implementation Group and five Aviation Policy Group meetings and the inaugural meeting of the portfolio Civil and Defence Aviation Coordination Group.</p> <p>CASA continued to facilitate timely and accurate responses to correspondence from all levels of government, with reference to supporting requests for advice. The most common topics of correspondence were remotely piloted aircraft systems, airports, infrastructure matters relating to planning approvals, licensing, and aviation medicine.</p> <p>During 2018–19, CASA provided 312 responses to correspondence from federal, state or local government bodies, 115 ministerial responses and nine ministerial submissions. Active monitoring of correspondence timelines is continuing.</p>

Focus area 2.3	Work with other overseas regulators
Intended outcome	Focus on building strong relationships with the Civil Aviation Authority of New Zealand to support Trans-Tasman policy outcomes, including collaboration on medical certification and flight crew authorisations

Progress



CASA worked closely with New Zealand on preparations for the 13th International Civil Aviation Organization (ICAO) Air Navigation Conference, including by sharing positions and developing joint approaches where appropriate on the Global Aviation Safety Plan, Global Air Navigation Plan, and Global Aviation Safety Oversight System. New Zealand co-sponsored a number of papers for the conference, on topics including a target risk assessment approach for the development of standards and recommended practices; increased priority for ICAO resourcing in the Asia-Pacific region; and harmonising system-wide information management. Collaborating formally in putting regional positions to global forums was discussed during a meeting with the Civil Aviation Authority of New Zealand (CAA NZ) in December 2018.

CASA reached a milestone in the relationship with the CAA NZ with the signing of a memorandum of understanding on aviation safety on 26 March 2019 by CASA's CEO and the CAA NZ's Director of Civil Aviation. The memorandum formalises cooperation on technical assistance, exchange programs, training, sharing of safety information and confidence-building exercises for developing technical arrangements.

The memorandum enhanced the existing relationship, which was well formed through the application and oversight of the Australia New Zealand Aviation Mutual Recognition Principle and the *Trans-Tasman Mutual Recognition Act 1997*, both of which were the subject of operational liaison visits and ongoing policy review in 2018–19.

CASA and CAA NZ board members met in March 2019. They noted the achievements in the areas of recognition and cooperation and the ongoing work to ensure that existing arrangements meet the needs of CASA and the CAA NZ; the joint efforts for the 13th ICAO Air Navigation Conference and ongoing policy work between CASA, CAA NZ and Transport Canada Civil Aviation to take forward priorities to the 40th ICAO Assembly; and the momentum of work in the Pacific and strategic opportunities for coordinated engagement.

CASA and CAA NZ representatives met in the margins of the United States Federal Aviation Administration Asia-Pacific Bilateral Partners Dialogue Meeting in Queenstown, New Zealand, on 16–18 April 2019, to discuss airworthiness approvals.

Intended outcome	Expand formal international, regional and multi-lateral arrangements with counterpart like-minded agencies that recognise mutual safety outcomes to reduce regulatory duplication and costs to Australian industry.
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Progress



Collaboration between CASA, the CAA NZ and Transport Canada Civil Aviation is on track under the trilateral arrangement signed in June 2018.

CASA undertook surveillance of flight crew licensing examinations being conducted in Fiji, under an arrangement with the Civil Aviation Authority of Fiji.

CASA representatives attended the European Aviation Safety Agency – United States Federal Aviation Administration International Aviation Safety Conference in Cologne, Germany, in June 2019. CASA discussed next steps to progress the development of certification arrangements on airworthiness with the European Aviation Safety Agency and recognition of maintenance approvals with Canada and New Zealand.

The CEO also hosted a meeting with the Civil Aviation Administration of China to discuss safety priorities and the active bilateral arrangement between agencies.

Intended outcome	Respond to aviation risks from emerging technologies including through participation in relevant International Civil Aviation Organization (ICAO) forums
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Progress



CASA representation on ICAO panels and working groups remains in line with priorities agreed by the portfolio tripartite management meeting on ICAO engagement. Commitments under the multi-agency memorandum of understanding for ICAO engagement are being met.

CASA contributed to the development of the ICAO Civil Aviation Legal Advisers Forum and participated in the forum's inaugural meeting, hosted by the Civil Aviation Authority of Singapore on 16–17 May 2019.

Significant work is being undertaken by transport agencies in preparation for the 40th ICAO Assembly, to be held in September and October 2019. Australia will push to have outcomes from the 13th ICAO Air Navigation Conference carried forward at the assembly and reflected in ICAO's triennial budget.

CASA is working with other agencies to prepare papers for the assembly on topics such as: development of effective and appropriate State Safety Programs; implementation of the Global Aeronautical Distress and Safety System standards; implementation of priority recommendations from the Group of Experts for a Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach Structured Review; resourcing of the ICAO Asia and Pacific Office; implementation of ICAO Annex 12 (Search and Rescue); environmental issues around remotely piloted aircraft systems; and the importance of the Global Air Navigation Plan executive summary.

Australia's candidacy for membership of Part I of the ICAO Council (States of chief importance in air transport) continues to be supported through key engagements, including the CEO's attendance at the seventh World Civil Aviation Chief Executives Forum, held in Singapore on 8–10 April 2019.

Focus area 2.4	Contribute to the strengthening of aviation safety in the Asia Pacific
Intended outcome	Partner with regulatory counterparts in Indonesia, Papua New Guinea and the Pacific to deliver projects to improve aviation safety oversight capacity in the region

Progress



Regional partnerships continue to strengthen through the Indonesia Transport Safety Assistance Package and the memorandum of understanding on aviation safety between Australia and Papua New Guinea (PNG), with funding from the Department of Foreign Affairs and Trade.

CASA hosted delegations from Indonesia and PNG at the 38th Annual Conference of the Aviation Law Association of Australia and New Zealand, held in Melbourne on 1–3 May 2019, and coordinated discussions on State Safety Programs with Indonesian delegates. CASA also implemented the second phase of training plan development with the Civil Aviation Safety Authority of Papua New Guinea (CASA PNG) in June 2019. This activity included the development of a training matrix for CASA PNG inspectorate staff.



CASA's Indonesia focus is shifting to wildlife hazard management, flight training schools, surveillance report writing, aviation medical assessments, remotely piloted aircraft systems and organisational performance under program proposals developed in May 2019 for 2019–20.

In cooperation with the Department of Foreign Affairs and Trade and Airservices Australia, CASA is also considering its response to a request from the Air Navigation Administration of Timor-Leste for aviation safety assistance, including resourcing, scope and financial support. CASA met with Australia's Head of Mission to Dili to discuss possible assistance. This matter has also been raised in the context of a proposed program of assistance for the Pacific region which is being coordinated by the Department of Infrastructure, Transport, Cities and Regional Development.

As part of ICAO's Pacific Small Islands Developing States – Aviation Needs Analysis, CASA met with the ICAO team on 31 May 2019 to put forward agency positions on aviation safety needs in the Pacific.

CASA participated in a Pacific Aviation Safety Office Council meeting in Niue on 2–4 April 2019.

Key performance area – Promote safety and education

Focus area 2.5	Provide comprehensive safety promotion programs to the aviation industry and stakeholders
Intended outcome	Continue to develop and implement safety communication strategies in response to identified priority areas
Progress 	<p>Developmental market research was completed and creative concepts for a future advertising campaign for drone accreditation and registration were developed, along with a communication strategy and a retail engagement strategy. Work is underway to progress several supporting products and initiatives. Benchmark research was completed to provide an understanding of the level of awareness among the target audience.</p> <p>During 2018–19, the aviation safety seminar program held 221 seminars, reaching over 8,500 members of the aviation community. The seminars and industry visits covered safety workshops for pilots, engineers and flight instructors and included topics such as organisational safety culture and human factors.</p>
Intended outcome	Maintain a strong focus on developing plain-English regulatory guidance material
Progress 	<p>A further 5,000 copies of the <i>Visual Flight Rules Guide</i> were printed following high sales of the product through the online store. This included an update for version 6.1 and an amendment pack sent to people who had purchased version 6 in November and December 2018.</p> <p>The plain English guide to the new general operating and flight rules (Civil Aviation Safety Regulations Part 91) was progressed and the initial draft is intended to be published in the first quarter of 2019–20.</p>

Looking ahead

- CASA will maintain appropriate levels of participation in relevant International Civil Aviation Organization (ICAO) panels and working groups and will participate in the 40th ICAO Assembly. Progress is expected to be made on the establishment of appropriate mutual recognition arrangements, including bilateral aviation safety arrangements with key international partners, and continued assistance to regional aid programs.
- In September 2019, CASA will launch a print subscription model for its flagship magazine, *Flight Safety Australia*. The quarterly print magazine is being introduced in response to industry feedback and will be available via the CASA online store. A subscription fee will be charged to cover the cost of printing, postage and handling. The magazine's content will continue to be available for free at www.flightsafetyaustralia.com.au, along with exclusive 'digital only' content including regular news, safety videos and audio close calls.
- CASA will continue to evolve its approach to the regulation of aviation medicine. This will include a review of the implementation of the Basic Class 2 medical certificate and a comprehensive review of CASR Part 67.
- CASA will finalise its work with ICAO and other Member States on drafting an electronic personnel licensing standard and guidance material. It is expected that, by the end of 2020, the international regulatory context will enable the utilisation of electronic personnel licences, facilitating the deployment of such licences in an Australian context as part of CASA's Service Delivery Transformation program.

GOAL 3 OUTCOMES

To achieve Goal 3, 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 systems approach to quality management to drive continuous improvement across all facets of the organisation.

Status of intended outcomes

At 30 June 2019, of the five intended outcomes in place against this goal, **80** per cent were assessed as being completed or on track and **20** per cent had possible delays.

Key achievements




- To ensure alignment with the CASA ICT strategic plan, the National Archives of Australia's Digital Continuity 2020 policy and the Digital Transformation Agency's cloud-first approach, the CASA Cloud Strategy and Implementation Plan was finalised in November 2018. Cloud computing provides computing services (servers, storage, databases, networking, software, analytics, intelligence and more) over the internet, to offer faster innovation, flexible resources and economies of scale.


- An independent review of CASA's ICT operations was conducted in early 2019 and made 14 recommendations. Key outcomes of those recommendations will see improved internal product development and planning procedures, greater transparency about the value and impact of the ICT strategy, and several structural initiatives to ensure greater collaboration across all teams that deliver ICT components of CASA's Service Delivery Transformation program.
- In addition to work undertaken on the myCASA portal, reducing average processing times from 24 days to approximately five minutes and enabling simultaneous processing of multiple applications, further improvements were made to CASA's client-facing forms requesting proof of identification. The instances of needing to provide identification have been significantly reduced and streamlined as a result of clients providing their information as part of the online aviation reference number application process.

Progress in key focus areas

CASA tracks its progress in achieving Goal 3 in four key focus areas across two key performance areas: 'Robust structures, systems and processes supporting good governance' (focus areas 3.1, 3.2 and 3.3); and 'CASA continually develops its capability and capacity' (3.4).

Key performance area – Robust structures, systems and processes supporting good governance

Focus area 3.1	Continue to improve CASA's governance arrangements and quality of our activities
Intended outcome	Continue to implement a quality framework with a particular focus on supporting continuous improvement and improved quality measurement and reporting
Progress 	<p>Seventeen continuous improvement workshops were held in 2018–19, of which 12 were identified by business areas and five supported major projects. Topics covered included consistency in issuing authorisations for low flying and flying over crowds, Aircraft Register digitisation, records management post-audit improvements, and flight crew licensing workflows.</p> <p>CASA's Quality Network met five times and assisted with the development of assurance maps, processes for assurance reviews and training in assurance audits.</p> <p>Over 100 staff attended continuous improvement training, workshops or post-workshop improvement activities in 2018–19.</p>
Focus area 3.2	Continue to maintain sound financial management
Intended outcome	Contribute to the Government's consideration of funding arrangements for CASA
Progress 	<p>CASA met with the Department of Infrastructure, Transport, Cities and Regional Development, Department of Finance and Department of the Prime Minister and Cabinet to approve the terms of reference of a detailed review of CASA's regulatory activities and funding arrangements and determine the way the review is to be validated. An approach to market was conducted for the engagement of a contracted service provider to assist with development of the review. Delivery of the detailed review by November 2019 is still achievable.</p>
Intended outcome	Progress development of simplified cost recovery arrangements
Progress 	<p>The development of simplified cost recovery arrangements is underway but the finalisation of the arrangements is dependent on government consideration of the detailed review, which is expected to be part of the 2019–20 Mid-Year Economic and Fiscal Outlook update.</p>

Focus area 3.3	Adopt, develop and drive a digital service delivery environment incorporating contemporary technology environments
Intended outcome	Deliver enhanced digital capability in accordance with CASA's Service Delivery Transformation
Progress 	<p>CASA completed the first phase of the Service Delivery Transformation program (technical delivery) and made progress on projects funded through the Capital Management Plan along with ongoing operational ICT activities.</p> <p>Development of the client records management portal is well underway and the new portal will be put into production in early 2019–20. It will deliver enhanced dashboard reporting using data-rich content. As well as simplifying the technical environment, the new portal has delivered significant savings in development time and costs.</p> <p>CASA has engaged with the Department of Health to learn from its experience in automating the deployment of a cloud solution.</p>

Key performance area – CASA continually develops its capability and capacity

Focus area 3.4	Develop CASA's capability and capacity and implement the capability development framework incorporating structured management and leadership pathways
Intended outcome	Continue to implement CASA's workforce plan
<p>Progress</p> 	<p>CASA has delivered the majority of initiatives (31 of 41, or 76 per cent) identified in the CASA Strategic Workforce Plan 2017–2021. In particular, CASA has:</p> <ul style="list-style-type: none"> • expanded analysis and embedded use of workforce data to inform evidence-based decision-making through the development and maturation of the people dashboard • reconsidered the regulatory approach to low-risk sectors through the National Surveillance Selection Process • enhanced environmental scanning and planning capabilities through the formation of the Aviation Safety Committee • renewed its involvement in the International Civil Aviation Organization State Safety Program and secured funding through a new policy proposal • streamlined its recruitment processes and enhanced its bulk recruitment practices and onboarding and training of regulatory staff • released the Capability Development Framework tool to prioritise the development of core capabilities in support of CASA's regulatory philosophy • introduced the Manager Orientation Program training course as mandatory training for all managers, to build capability across a range of responsibilities including financial and people management • contracted overseas training providers to facilitate the delivery of specialist training in Australia, which has resulted in significant cost savings in relation to travel expenditure • embedded a new shared services structure within the Aviation Group to standardise and streamline processes and services.

Looking ahead

- CASA will continue to deliver systems and solutions to support the Service Delivery Transformation program, with a key focus on drone registration, and to create a better user experience through digital enablement for aircraft registration and pilot and flight crew licensing. This will enable clients to use self-service options, significantly reducing processing times and providing the ability to view application status in real time.
- Management of cyber security risks and compliance with the Australian Cyber Security Centre's Essential Eight mitigation strategies will continue to be a key focus. An upgrade to the wide area network will deliver a more robust network to CASA offices. CASA will implement the ICAO protocol question management system, to simplify ICAO compliance reporting, and make further improvements to CASA's permissions and licensing management system.
- CASA will implement a workforce plan designed to support the CASA Workforce Strategy 2019–2023. Activities will focus on the identified people priorities of capability, culture and composition. The plan will be reviewed annually and adjusted as required to reflect changes in CASA's work environment.



Rosedale firefighting is helped by night aerial operations

Recently approved night aerial firefighting operations helped to fight a bushfire 190 kilometres east of Melbourne in early January 2019.

The Rosedale blaze in East Gippsland burnt through 12,000 hectares in less than four days in a fast-moving fire front. The fire threatened multiple communities and trapped firefighters during a sudden wind change, turning the fire towards them.

On the first evening, aerial crews were able to complete 60 water drops, at night, complementing the efforts of firefighting crews on the ground. They also used night vision goggles to map out the fire, helping to provide detailed information to the ground crews.

The firefighting efforts would have been even more effective if crews had been able to conduct daytime survey flights to check for hazards near the most intense part of the fire. Unfortunately, this was hampered by smoke which limited daytime visibility.

The night operations were greatly appreciated by the ground crews, who were better able to fight the fire the next day thanks to the efforts of the water bombers and the mapping that the aerial crews had conducted overnight.

The use of night aerial firefighting operations was trialled in late 2017 by Emergency Management Victoria with approvals from CASA. The approvals, which took two years to develop, allow aircraft to fight blazes for up to four hours after dark if they have been fighting the same fire during daylight hours.

Two operators were certified for the trial: Kestrel Aviation in Mangalore and Coulson Aviation in Ballarat. For the trial exercise the Coulson Aviation Sikorsky S-76 acted as a spotter while a Sikorsky S-61, also operated by Coulson Aviation, and a Bell 412, used by Kestrel Aviation, tackled the fire below.

These night operations were the first of their kind in Australia. The CASA team who worked with operators to obtain the approvals were flying operations inspectors Chris Jameson, Joe Lim and Niels Bunte and Airworthiness Inspector Tom Forrest.



Ground operations take centre stage

Ground handling took centre stage at the Ground Operations Safety Advisory Forum (GO-SAFE) held at CASA's Melbourne office on 10–11 July 2018.

The event, convened by CASA Ground Operations Inspector Tim Meagher, brought together ground handling managers from airlines, service providers, airports and CASA. They found there was no shortage of issues to be tackled or ways in which the industry could become more efficient, and potentially safer.

The Chief Operating Officer of ground handling agent Swissport (formerly Aerocare), Rob D'Alessio, told the forum of a survey that had discovered 45 chocking and coning methods being used to cover just three common aircraft types.

Wheel chocks are used to secure the aircraft while parked, and cones denote areas that service vehicles must not enter, to prevent ground damage.

The International Air Transport Association has one recommended coning and chocking configuration for all twin-engine aircraft.

Multiple variations, while not necessarily unsafe in themselves, cause mental load and possibly confusion among ground handling staff, who often have to remember different protocols for different customers.

The forum held a standardisation workshop which identified three areas where greater coordination could easily be achieved and established working groups to follow those up.

Other topics explored at the forum included human factors training in ground operations and loading, other human factors, drug and alcohol management plans, and freight loading.

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CASA has a range of measures in place to ensure that it meets its commitment to be publicly accountable for its actions and provides a safe and rewarding work environment for its staff.

This part of the report details CASA's corporate governance, organisational structure and people, and describes how CASA engages effectively with the wider aviation community.

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- External engagement 102

PART
04
**CORPORATE
GOVERNANCE AND
MANAGEMENT**

CORPORATE GOVERNANCE

CASA's governance framework provides the context within which the organisation operates to achieve its objectives, ensuring transparent, ethical and accountable evidence-based decision-making, and effectively managing risk and key stakeholder relationships.

CASA's governance system is firmly aligned with the *Civil Aviation Act 1988* and fully reflects all Commonwealth legislation and policies directly affecting CASA. The system incorporates governance and management arrangements; policy settings; internal and external communication; risk management and auditing arrangements; quality assurance; and the appointment and management of delegates and authorised persons.

Enabling legislation

CASA was established on 6 July 1995 as an independent statutory authority by an amendment to the Civil Aviation Act.

Under section 9 of the Civil Aviation Act, CASA's primary function is to regulate the safety of civil air operations in Australia and the operation of Australian aircraft overseas.

CASA's other safety-related functions include encouraging a greater acceptance by the aviation industry of its obligation to maintain high standards of aviation safety by providing comprehensive safety education and training and accurate and timely advice, and by fostering awareness of the importance of aviation safety and compliance with relevant legislation.

CASA also has the functions of cooperating with the Australian Transport Safety Bureau (ATSB), implementing aspects of the Australia–New Zealand mutual recognition agreements, and administering elements of the insurance and financial arrangements required under the *Civil Aviation (Carriers' Liability) Act 1959*.

CASA exercises its powers under the Civil Aviation Act and through the Civil Aviation Regulations 1988, Civil Aviation Safety Regulations 1998, Civil Aviation Orders, Manuals of Standards and other legislative instruments. CASA also publishes advisory and guidance materials related to air safety.

CASA has specified obligations under the *Airspace Act 2007*, the *Transport Safety Investigation Act 2003* and the *Aviation Transport Security Act 2004*.

CASA is accountable as a corporate Commonwealth entity under the *Public Governance, Performance and Accountability Act 2013* (PGPA Act).

CASA has annual reporting responsibilities under section 46 of the PGPA Act and sections 44 and 49 of the Civil Aviation Act. CASA also has a range of reporting and other responsibilities under legislation generally applicable to Commonwealth authorities.

Portfolio structure and responsible minister

CASA is a statutory authority within the Infrastructure, Transport, Cities and Regional Development portfolio.

During the reporting period, the Hon Michael McCormack MP was the minister responsible for CASA, in his capacities as Minister for Infrastructure and Transport (from 1 July 2018 to 28 August 2018) and Minister for Infrastructure, Transport and Regional Development (from 28 August 2018 to 30 June 2019).

Ministerial directions

On 21 March 2017, the Minister for Infrastructure and Transport issued a notice of strategic direction under section 12A of the Civil Aviation Act, in the form of a Statement of Expectations for the Board of CASA. The Statement of Expectations is the formal and public written expression of the Minister's expectations concerning the operations and performance of CASA for the period from 27 March 2017 to 30 June 2019.

The Minister's expectations are reflected in the corporate plan for 2018–19, which was endorsed by the Board in line with its functions under section 53 of the Civil Aviation Act.

Under section 19 of the PGPA Act, CASA is required to give reports, documents and information on its activities to the minister responsible for CASA or the Finance Minister. In 2018–19, this included a report on CASA's compliance with the requirements of the public governance, performance and accountability framework and regular reports on CASA's performance.

CASA Board

The CASA Board was established under Part VII of the Civil Aviation Act. The functions of the Board are to:

- decide CASA's objectives, strategies and policies
- ensure that CASA performs its functions in a proper, efficient and effective manner
- ensure that CASA complies with specified ministerial directions.

The Board puts in place strategies, policies and directions to guide the Chief Executive Officer/ Director of Aviation Safety (CEO/DAS) and staff in their conduct of CASA's day-to-day business.

The Board is the accountable authority of CASA under section 12 of the PGPA Act, with duties as described in Part 2-2 of that Act.

Board members

The Board comprises a Chair; a Deputy Chair; the Director of Aviation Safety, as an executive member; and up to four other members.

The Director of Aviation Safety is appointed under Part VIIA of the Civil Aviation Act, to manage CASA subject to the directions of, and in accordance with policies determined by, the Board. After consulting the Minister, the Board appoints the Director on a full-time basis for a term of up to five years, subject to possible reappointment. Mr Shane Carmody occupied the role of Director of Aviation Safety throughout 2018–19.

All other Board members are appointed on a part-time basis by the Minister for terms of up to three years, subject to possible reappointment. In appointing Board members, the Minister must ensure that there is an appropriate balance of professional expertise and experience but need not ensure that particular sectors of the aviation industry are represented.

At 30 June 2019, the Board comprised the maximum seven members, although no Deputy Chair was appointed during the reporting period.

Following the departure of Mr Jeff Boyd on 30 June 2018, on the expiry of his term as Chair of the Board, CASA welcomed Mr Anthony Mathews to the role of Chair from 20 August 2018.

On 30 September 2018, Ms Philippa Stone departed on the expiry of her three-year term as a Board member. Mr Michael Bridge joined the Board on 1 October 2018.

Table 2 summarises the qualifications and experience of the members of the Board.

Table 2 **CASA Board members in 2018–19****Members at 30 June 2019**

MR ANTHONY MATHEWS	Mr Anthony Mathews has more than 45 years experience in the aviation industry.
Chair	Mr Mathews holds an air transport pilot licence. He worked as General Manager Aviation for the Royal Flying Doctor Service of Australia and as General Manager and Chief Pilot for Qantas regional subsidiary Southern Australia Airlines. His extensive work in regional aviation also included chairing the board of the Regional Aviation Association of Australia.
First appointed: 20 August 2018	Beyond aviation, Mr Mathews has worked with a number of companies and community organisations in the Mildura region of Victoria, including as a board member of the Mildura Co-operative Fruit Company. He is a director and Deputy Chair of Mildura Health Fund, a Paul Harris Fellow of the Rotary Foundation and a Fellow of the Australian Institute of Company Directors.
Non-executive member	Mr Mathews also served on the Board of Airservices Australia, the national civil provider of air traffic control and aviation rescue firefighting services at Australia's major airports. He was a member of the board between June 2012 and September 2017, served as deputy chairman from July 2014, and led the board's safety committee.
MS ANITA TAYLOR	Ms Anita Taylor is a chartered accountant with mediation, psychology and governance qualifications. She has a Bachelor of Science (Psychology) and a Bachelor of Commerce (Accounting). Ms Taylor is also a glider pilot.
First appointed: 3 December 2014	Ms Taylor is an experienced company director and chairperson, having previously served on financial, education, sports administration, agricultural and development boards. She has also served on committees of community and not-for-profit organisations, and public and listed companies.
Reappointed: 18 December 2017	Ms Taylor and her husband run a superfine merino and Angus cattle property in regional New South Wales.
Non-executive member	

Members at 30 June 2019**MS CHERYL CARTWRIGHT**

First appointed:
17 April 2017

Non-executive member

Ms Cheryl Cartwright has more than three decades experience in media, politics and industry associations, including senior management roles. She has a Bachelor of Arts and is a graduate member of the Australian Institute of Company Directors. She has a strong focus on strategy and governance, including not-for-profit boards, and has held multiple non-executive director roles.

Ms Cartwright's media experience covers print, radio and television. She has been a political and media advisor and was chief of staff to a senior cabinet minister.

From 2005 to 2017, Ms Cartwright was Chief Executive of the Australian Pipelines and Gas Association. She worked closely with the board to redefine and energise the association, dramatically increasing its size and influence and raising its profile.

Ms Cartwright brings comprehensive experience in communications, messaging, strategic planning and corporate governance to the CASA Board.

MS JANE MCALOON

First appointed:
2 January 2018

Non-executive member

Ms Jane McAloon has a Bachelor of Laws and a Bachelor of Economics (Hons) from Monash University, and a Graduate Diploma in Corporate Governance. She is a fellow of the Australian Institute of Company Directors and of the Governance Institute of Australia.

Ms McAloon is a non-executive director of EnergyAustralia, Viva Energy and Port of Melbourne.

Ms McAloon has been in the natural resources, energy, infrastructure and utility industries for over 25 years. She was an executive at BHP Billiton for nine years, working on key strategic issues, corporate transactions, and market, regulatory and reputational matters. Before joining BHP Billiton she was an executive at AGL, held leadership roles in the New South Wales Government Cabinet Office and various departments, was in private legal practice and worked in the Economics Department at Monash University.

Ms McAloon has been a safety regulator in the energy sector and worked with safety management systems as a fundamental principle in successful business. Ms McAloon is Chair of the CASA Board Audit and Risk Committee.

Members at 30 June 2019**MR MARK RINDFLEISH**

First appointed:
16 April 2018

Non-executive member

Mr Mark Rindfleish has over 45 years experience as an airline pilot and senior operations manager with airlines in Australia and overseas. Mr Rindfleish has been Director Flight Operations Ansett Australia, Vice President Flight Operations Air New Zealand, Executive General Manager Operations Ansett, General Manager Safety Jetstar Airways and Head of Flying Operations and Chief Pilot Jetstar Australia and New Zealand. He holds an air transport pilot licence.

In addition, Mr Rindfleish has served in a number of advisory roles, including as safety advisor to Jetstar Airways boards, Chairman Flight Operations and Safety Working Group of Asia Pacific Airlines and Chairman Flight Operations Committee of Star Alliance.

Mr Rindfleish has maintained a keen interest in sport and general aviation throughout his career, and regularly flies light aircraft. He is a fellow of the Royal Aeronautical Society, a Master Air Pilot and a member of the Australian Institute of Company Directors.

MR MICHAEL BRIDGE

First appointed:
1 October 2018

Non-executive member

Mr Michael Bridge holds an air transport pilot licence. He was Regular Public Transport (Airline) Manager and later Group Operations Manager for Skyport Group. Mr Bridge became a member of the Board of Airnorth when Skyport Group and Airnorth merged operations, forming Capiteq Limited, and was CEO of Capiteq Limited for 17 years.

Mr Bridge recently stepped down from the Board of the Regional Aviation Association of Australia, which he joined in 1998 and chaired for seven years. He has held numerous board positions, including on the Board of Trustees of The Aviation Industry Superannuation Trust and the AustralianSuper – Aviation Division Advisory Board, and has been Chair of the Board of Commissioners of Tourism NT since 2012. Mr Bridge is a director and former chair of the Northern Territory Major Events Company and is currently Chairman of CGH Group, an international specialist labour hire and recruitment company.

Mr Bridge has sat on Embraer advisory boards and is an ambassador for the Australian Aviation Hall of Fame, Business Events Northern Territory and the Museum and Art Gallery of the Northern Territory. He was awarded the National Australia Bank's Medal for Management Innovation in 2004, and named the Australian Aviation Personality of the Year in 2008 for his work on creating The Australian Aviation Associations Forum, Australian aviation's premier consulting body.

Members at 30 June 2019**MR SHANE CARMODY****Director of Aviation Safety**

First appointed:

10 October 2016

Executive member

Mr Shane Carmody commenced as Chief Executive Officer and Director of Aviation Safety on 7 June 2017, having acted in the position since 10 October 2016.

Mr Carmody has a Bachelor of Arts and a Masters of Business Administration, is a graduate member of the Australian Institute of Company Directors, and is a fellow of the Royal Aeronautical Society.

Mr Carmody's previous appointment was as Deputy Secretary, Department of Infrastructure and Regional Development, where his areas of responsibility included local government and territories, the Office of Transport Security and aviation and airports.

A former Deputy Chief Executive of CASA, Mr Carmody has extensive experience at senior levels in the Australian Public Service. His roles have included Deputy Secretary/Chief Operating Officer at the Department of Veterans' Affairs, Deputy President of the Repatriation Commission, and Deputy Secretary Intelligence and Security and Deputy Secretary Strategy in the Department of Defence. He has significant policy, regulatory and business management experience.

Mr Carmody joined the Australian Public Service in 1989, after a 15-year career as an Army officer serving in Australia and overseas.

Member departed before 30 June 2019**MS PHILIPPA STONE**

First appointed:

1 October 2015

Departed:

30 September 2018

Non-executive member

Ms Philippa Stone has honours degrees in Arts and Law from the University of Sydney. She is a partner of Herbert Smith Freehills, a major international law firm, and is Joint Global Head of the firm's Capital Markets group, where she specialises in equity raisings and mergers and acquisitions, including a number of major transactions in the aviation sector.

Ms Stone has been a guest lecturer at the University of New South Wales on corporate control transactions and at Sydney University on capital markets transactions. She is on the Law Council of Australia's Corporations Law Committee. Ms Stone was a member of the Commonwealth Government's Business Regulation Advisory Group on the CLERP 9 reforms and other Corporations Law simplification changes, and a member of the Australian Securities Exchange's Appeals Tribunal.

Ms Stone has been a member of the International Air Services Commission, and prior to that was a non-executive director of Airservices Australia.



CASA Board | Back row L to R: Michael Bridge, Mark Rindfleish, Shane Carmody, Cheryl Cartwright.
Front row L to R: Anita Taylor, Anthony Mathews, Jane McAloon

Board meetings

Six scheduled Board meetings were held during 2018–19, on 24 August, 19 October, 14 December, 27 February, 30 April and 19 June. A special meeting was held with the Civil Aviation Authority of New Zealand on 26 March 2019. All Board members attended the meetings that they were eligible to attend.

In December 2018, the CASA Board undertook a joint strategic planning day with the CASA executive management team.

Board Audit and Risk Committee

The Board appoints an audit committee in accordance with section 45 of the PGPA Act. The committee's role is to provide independent assurance and assist the Board to discharge its responsibilities under the Civil Aviation Act and the PGPA Act in respect of financial reporting, performance reporting, the system of risk oversight and management, the system of internal controls, and compliance with relevant laws and policies.

In August 2018, the Board agreed to change the name of the committee to Board Audit

and Risk Committee to reflect the committee's oversight responsibility toward CASA's risk management framework. The responsibilities of the committee are detailed in the Board Audit and Risk Committee Charter and Governance Arrangements.

The Board Audit and Risk Committee normally consists of four members appointed by the Board, including a Board member as Chair. The Board appointed Ms Jane McAloon as Chair of the committee from 18 March 2019, replacing Ms Anita Taylor, who remained as Deputy Chair. Ms Taylor had served as Chair since December 2014.

Mr Michael Roche was reappointed in December 2018 for an additional term of one year, and Ms Donna Hardman joined the committee on 1 April 2019 for a two-year term.

The Board Audit and Risk Committee held six meetings during 2018–19, on 22 August, 14 September, 9 November, 7 February, 20 May and 17 June.

Table 3 summarises the relevant experience of the Board Audit and Risk Committee members at 30 June 2019.

Table 3 Board Audit and Risk Committee members at 30 June 2019

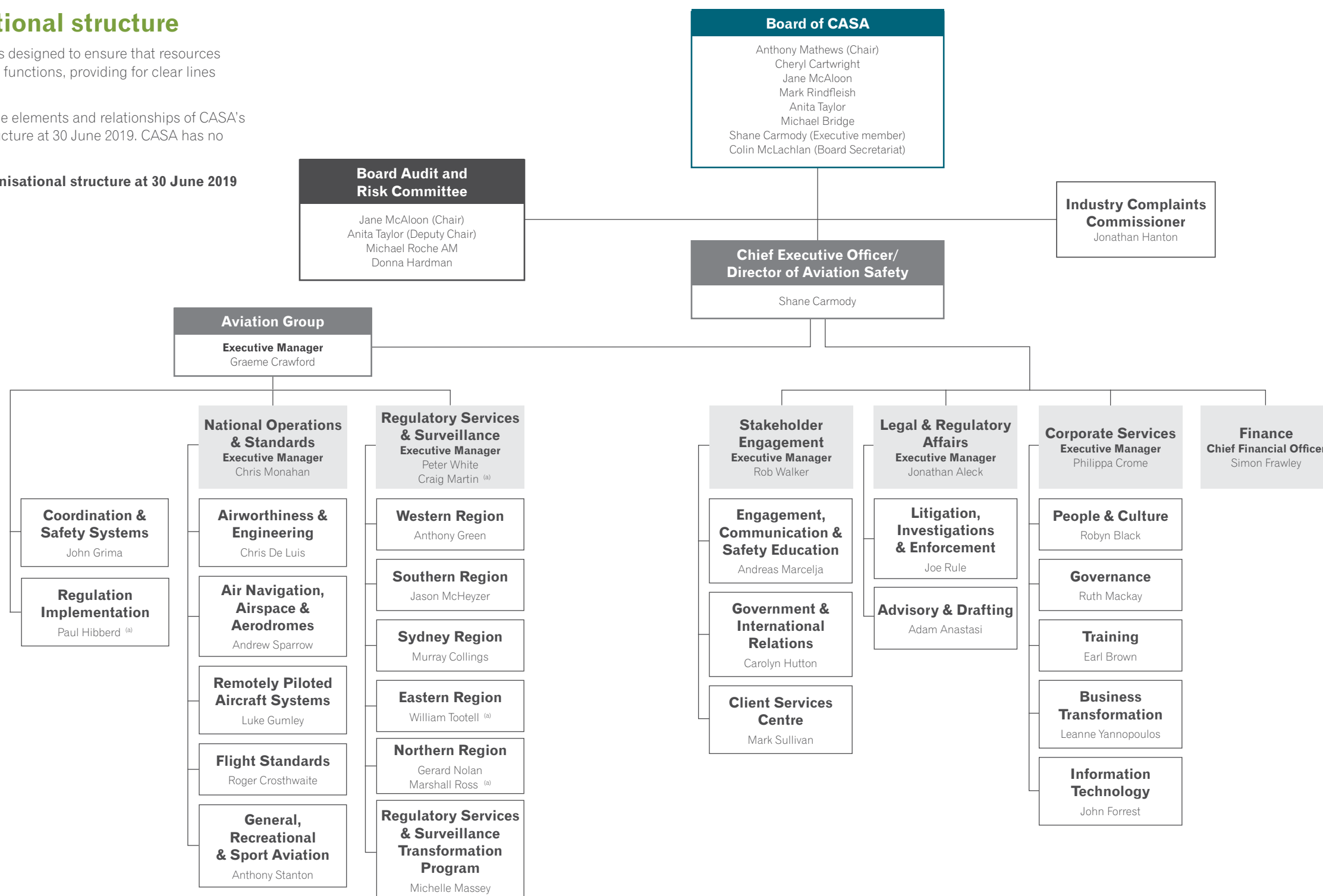
MS JANE MCALOON	<p>Ms Jane McAloon has been in the natural resources, energy, infrastructure and utility industries for over 25 years. She was recently an executive at BHP Billiton for nine years, was an executive at AGL and spent 10 years in leadership roles with the New South Wales Government in the Cabinet Office and various departments.</p> <p>Ms McAloon serves on multiple boards and councils. She has been a safety regulator in the energy sector and worked with safety management systems as a fundamental principle in successful business.</p> <p>Ms McAloon holds a Bachelor of Laws and Bachelor of Economics (Hons) from Monash University and a Graduate Diploma in Corporate Governance. She is a fellow of the Australian Institute of Company Directors and of the Governance Institute of Australia.</p>
<p>Chair</p> <p>First appointed: 18 March 2019</p>	<p>MS ANITA TAYLOR</p> <p>Ms Anita Taylor is a chartered accountant with mediation, psychology and governance qualifications. She has a Bachelor of Science (Psychology) and a Bachelor of Commerce (Accounting). Ms Taylor is also a glider pilot.</p> <p>She is an experienced company director and chairperson, having previously served on financial, education, sports administration, agricultural and development boards. She has also served on committees of community and not-for-profit organisations, and on public and listed companies.</p> <p>Ms Taylor and her husband run a superfine merino and Angus cattle property in regional New South Wales.</p>
<p>Deputy Chair</p> <p>First appointed: 12 December 2014</p> <p>Reappointed: 18 December 2017</p>	<p>MR MICHAEL ROCHE AM</p> <p>Mr Michael Roche has qualifications in accounting and information technology systems. He is a fellow of the Australian Society of Certified Practising Accountants and a member of the Australian Computer Society.</p> <p>Mr Roche has extensive experience at senior levels in the Australian Government in corporate and financial management and policy development. He is the director of two not-for-profit companies as well as a member of a number of audit committees and governance boards.</p>
<p>MS DONNA HARDMAN</p> <p>First appointed: 1 April 2019</p>	<p>Ms Donna Hardman had a successful 15-year executive career in the financial services sector where she designed, built, managed and transformed business operations in Australia, New Zealand, Singapore and the United Kingdom. She also spent 12 years delivering large, complex projects with Accenture in Asia and through her own start-up consultancy.</p> <p>Ms Hardman brings a wealth of experience as a non-executive director on boards and committees and provides strong professional, government and community links and well-established networks in relevant sectors and industry groups.</p> <p>She holds a Bachelor of Commerce and a Master of Business Administration and is a graduate member of the Australian Institute of Company Directors.</p>

Organisational structure

CASA's structure is designed to ensure that resources are aligned to core functions, providing for clear lines of reporting.

Figure 10 shows the elements and relationships of CASA's organisational structure at 30 June 2019. CASA has no subsidiaries.

Figure 10 Organisational structure at 30 June 2019



(a) acting

Organisational changes

CASA's structure remained largely unchanged in 2018–19.

To support its national focus on effectiveness, efficiency, standardisation and consistency, the Aviation Group implemented shared services and established the Regulatory Services and Surveillance Transformation team.

Shared services provide the Aviation Group with the flexibility to share and redistribute tasks during times when demand is high, staff availability is low, or priorities change significantly. The Aviation Group consolidated its business administration and technical administration staff into a national team and provided extensive training to facilitate increased flexibility, capacity and job enrichment. The shared services function resides in the Coordination and Safety Systems Branch.

The Regulatory Services and Surveillance Transformation team was established to lead and coordinate the transformation to a new operating model for the regulatory services and surveillance activities currently conducted by the regional offices and sector branches within the Aviation Group. This initiative will allow CASA to leverage its national resources in a more effective and efficient way while utilising standardised processes to deliver consistent outcomes.

Senior management

Six changes in senior management occurred during the year:

- Ms Philippa Crome was appointed as Executive Manager, Corporate Services Division, following the departure of Ms Tracey Frey
- Mr Roger Crosthwaite was promoted to Branch Manager, Flight Standards
- Ms Michelle Massey was transferred from Regional Manager, Southern, to Senior Manager, Regulatory Services and Surveillance Transformation
- Mr Jason McHeyzer was transferred from Branch Manager, Regulation Implementation, to Regional Manager, Southern
- Mr Chris Monahan was promoted to Executive Manager, National Operations and Standards.

The following sections summarise the qualifications, experience and responsibilities of CASA's senior executives.



Aviation Group Graeme Crawford

Group Executive Manager

Phone: 02 6217 1330

Email: graeme.crawford@casa.gov.au

PROFILE

Mr Graeme Crawford obtained his production and mechanical engineering and industrial management qualifications from Glasgow Caledonian University and is a former member of the Institution of Industrial Managers.

Mr Crawford began his aviation career in 1979 as a technical apprentice at Rolls-Royce in Scotland. He held a variety of engineering roles at Rolls-Royce and GE Caledonian, conducting defect investigations and test cell reject investigations and providing technical support to engine maintenance operations, as well as designing engine maintenance programs and providing technical advice and on-wing support to customer airlines and engine-leasing companies.

Mr Crawford joined CASA in May 2016. Prior to this appointment, he had over 20 years experience in senior executive roles at organisations such as Qantas, Pratt & Whitney, Goodrich Aerospace, Air Canada and General Electric. In those roles, he was responsible for maintenance businesses and led major business transformation programs delivering increased efficiencies and improved customer service. He has demonstrated the ability to motivate and mobilise people from different cultures while running aviation engineering and maintenance operations in Australia, Canada, Norway, Scotland and the United States. Mr Crawford is Chair of CASA's Aviation Safety Committee.

ROLE

The Aviation Group is CASA's front line in maintaining aviation safety. The group uses aircraft incident and accident data to identify and proactively mitigate emerging safety issues, sets aviation standards through the development and implementation of regulations and supporting material, and performs entry control and surveillance of aviation organisations. Collaboration between branches in the Aviation Group, across CASA and with industry is essential to maintaining and improving Australia's aviation safety record.



Stakeholder Engagement Division Rob Walker

Executive Manager

Phone: 02 6217 1167

Email: rob.walker@casa.gov.au

PROFILE

Mr Rob Walker has over 30 years experience in stakeholder engagement and public affairs.

Mr Walker has led stakeholder engagement at CASA since April 2016. Prior to joining CASA, he worked at Airservices Australia in a similar senior management role.

Mr Walker is passionate about the aviation industry, is well known to many in the industry, and has significant experience in strategic stakeholder engagement, issues management and corporate communications.

Mr Walker is a management representative on the CASA Board Audit and Risk Committee, Chair of the Executive Sub-committee for Risk and Investment and a member of the Executive Sub-committee for Aviation Safety. He is a Fellow of the Royal Aeronautical Society and a private pilot.

ROLE

The Stakeholder Engagement Division develops and delivers CASA's safety promotion and education campaigns for the Australian aviation industry and is responsible for all corporate communication. The division manages CASA's relationships with industry and other stakeholders, including by coordinating the Aviation Safety Advisory Panel and technical working groups; CASA's relationships with government agencies, including the Minister's office; and CASA's strategic international engagement in policy, programs and International Civil Aviation Organization matters. The division also provides a range of regulatory service approvals and permissions to the aviation community, in close partnership with other parts of CASA.



Legal and Regulatory Affairs Division

Jonathan Aleck

Executive Manager

Phone: 02 6217 1600

Email: jonathan.aleck@casa.gov.au

PROFILE

Dr Jonathan Aleck holds a Juris Doctor, a Bachelor of Arts in psychology, a Master of Arts in political science and a Doctor of Philosophy in law. He is a fellow of the Royal Aeronautical Society and the Australian Institute of Management. He is a member of the National Executive of the Australian Institute of Administrative Law, of which he served as President for two terms.

Dr Aleck joined what was then the Civil Aviation Authority as a legal officer in 1993, and subsequently served for several years as CASA's Chief Legal Officer.

Dr Aleck has taught in the faculties of law, politics and public policy at universities in Australia, Canada, the United States and Papua New Guinea. He also worked as an independent consultant and specialist advisor in the United States. He continues to lecture regularly on contemporary international and regulatory issues relevant to the Australian aviation community, at the Australian National University, the University of New South Wales and the Australian Defence Force Academy.

Between 1998 and 2003, Dr Aleck served as Australia's representative on the Council of the International Civil Aviation Organization (ICAO). He currently chairs ICAO's Safety Information Protection Implementation Group and is Vice-chair of the Flight Safety Foundation's Legal Advisory Committee. He has represented Australia at many international aviation meetings and conferences.

ROLE

The Legal and Regulatory Affairs Division is responsible for CASA's legal services functions, including providing advice on regulatory and corporate matters; representing CASA in courts, tribunals and coronial proceedings; drafting legislative and legal instruments; administering aspects of CASA's enforcement processes; conducting investigations of potential offences under the civil aviation legislation; and managing CASA's alcohol and other drugs testing program.

The division also manages CASA's obligations under freedom of information, privacy and public interest disclosure legislation and aspects of the *Civil Aviation (Carriers' Liability) Act 1959*, and administers CASA's conflict of interest scheme.

The regulatory affairs function includes developing and applying regulatory policy and practice, implementing CASA's regulatory philosophy, managing the policy of industry self-administration, facilitating the establishment of safety partnership arrangements for research and development, and overseeing other high-level strategic and policy-orientated matters.



Corporate Services Division Philippa Crome

Executive Manager

Phone: 02 6217 1058

Email: philippa.crome@casa.gov.au

PROFILE

Ms Philippa Crome has a Master of Strategic Human Resource Management, a Master of International Relations and a Bachelor of Arts (Hons). She joined CASA in January 2019.

Prior to joining CASA, Ms Crome acquired over 20 years experience working in roles in human resources, communications and governance in the public and private sectors. Ms Crome has also worked as a parliamentary advisor, at state and Commonwealth levels, and been responsible for developing and implementing whole-of-government policy and managing government service delivery panels.

Ms Crome worked with the Australian Federal Police before joining CASA. She has also worked for the Department of Defence, Department of the Prime Minister and Cabinet, Department of Infrastructure, Transport, Regional Development and Local Government and Department of Finance. Ms Crome is Chair of CASA's People Committee and Deputy Chair of the Business Improvement Oversight Program Board.

ROLE

The Corporate Services Division contributes to aviation safety by enhancing capability, capacity and service delivery across the organisation, through the development and continuous improvement of people, processes, technology and service offerings. The division's responsibilities include people and culture, training, governance, business transformation and IT.



Finance Branch Simon Frawley

Chief Financial Officer

Phone: 02 6217 1190

Email: simon.frawley@casa.gov.au

PROFILE

Mr Simon Frawley has a Bachelor of Arts in accounting and is a member of Chartered Accountants Australia and New Zealand. Mr Frawley joined CASA in October 2010, as Manager Financial Services and Reporting, and was Acting Chief Financial Officer from April 2015 until his permanent appointment to the position on 1 July 2016.

Mr Frawley started his career as a graduate with the Australian National Audit Office. After almost 10 years with that organisation he moved to the United States, where he worked for a general insurance company as an internal auditor.

On returning to Australia, Mr Frawley worked as Business Analysis Manager for the Health Services Australia Group (HSA), a government business enterprise. When HSA was acquired by Medibank Private and became Medibank Health Solutions, Mr Frawley was appointed Finance Manager. In this executive role he had overall management responsibility for corporate finance functions.

ROLE

The Finance Branch is responsible for financial accounting and financial transactional services, including accounts payable, accounts receivable and travel; management accounting; internal and external budgets; cost recovery; and financial performance reporting within CASA. It is also responsible for managing CASA's office accommodation portfolio and physical security as well as maintaining CASA's contracts and procurement policies and compliance.

Risk management

CASA applies an enterprise-wide approach to risk management that provides the framework to enable CASA to achieve its vision of *Safe skies for all* and is consistent with the Commonwealth Risk Management Policy 2014 and the requirements outlined in the PGPA Act.

CASA undertook a full review of its risk management framework and policy in 2018–19 to ensure strong alignment with the Commonwealth legislative framework and international standards.

In fulfilling its regulatory obligations, 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 achievement of CASA's corporate goals.

The CASA Board participates in an annual risk workshop to determine CASA's strategic risk profile and risk appetite. In late 2018, the CASA Board determined six key risks for 2019–20, replacing the 10 strategic risks identified for 2018–19.

The six key risks are regulatory failure, inadequate capability, cyber security, funding shortfalls, technological change and industry capture.

The Board reaffirmed its acceptable tolerance of key organisational risk areas as a guide for all CASA staff.

Key achievements

In 2018–19, CASA continued to shape the risk narrative across the leadership cohort by including a module on risk and governance in the Manager Orientation Program. This is a principles-based module that discusses the need for positive risk engagement and good governance while reinforcing the behaviours expected of CASA's management group.

The module has been well received, and forms part of the broader strategy for raising the profile of risk and governance across CASA.

The CASA Board participated in a strategic planning and risk workshop in December 2018.

CASA has continued to incrementally improve its risk reporting. The governance committee structure has been used more effectively to bring to light the risk profile of CASA's operational-level risks. Utilising risk intelligence from operational plans has led to an increased risk dialogue at all levels across CASA.

CASA participated in the annual Comcover Risk Management Benchmarking survey, achieving a maturity assessment rating of 'Advanced'.

Looking ahead

In 2019–20, CASA will:

- continue to improve its enterprise-wide approach to risk management and reporting
- facilitate a business continuity plan scenario test
- improve the quality of its enterprise risk intelligence
- conduct periodic reviews in relation to emergent and future risks.

Internal audit arrangements

CASA uses the services of external audit providers to complement CASA's internal audit section.

CASA's risk-based strategic audit plan and rolling three-year internal audit program provide a mix of performance, financial, IT and compliance audits across the organisation. The program is designed to align with CASA's corporate plan, operating model, strategic goals and risks.

Audit activities are conducted in accordance with relevant professional standards including but not limited to:

- the International Standards for the Professional Practice of Internal Auditing issued by the Institute of Internal Auditors
- the Information Systems Audit and Assurance Standards issued by ISACA
- standards issued by Standards Australia and the International Organization for Standardization.

Key achievements

As part of the 2018–19 internal audit program, 11 audits were completed and a three-year audit program was approved.

Looking ahead

Internal audit will continue to focus on improving and streamlining audit processes, driving quality improvements in audit reports and facilitating stronger engagement with managers to improve the timing and scoping of audits and thus the usefulness of audit findings.

RECOGNITION OF CASA REPORTING

CASA's *Annual Report 2017–18* was recognised with a prestigious Gold award in the 2019 Australasian Reporting Awards, making 2019 the seventh consecutive year in which CASA has received gold in recognition of the quality of its reporting.

Governance committees

CASA's governance committee structure comprises the Executive Committee and four supporting committees: Aviation Safety Committee, Risk and Investment Committee, People Committee and Business Improvement Oversight Program Board.

The committee structure provides assurance and transparency for critical decision-making.

A number of sub-committees and working groups have been established to oversee critical decision-making, project management and the management of key strategic risks. During 2018–19, CASA assessed the effectiveness of the committee structure to identify aspects with potential for improvement.

Executive Committee

The Executive Committee assists the CEO/DAS and the executive leadership team to drive the implementation of strategies as decided by the Board and the CEO/DAS, and to manage the operations of CASA.

The Executive Committee meets every eight weeks to discuss strategic issues and weekly to discuss operational matters.

Aviation Safety Committee

The Aviation Safety Committee is an advisory and monitoring committee which supports the CEO/DAS and the Executive Committee on matters related to regulatory and safety compliance, safety strategies, safety performance, international safety developments and emerging aviation safety risks.

The Aviation Safety Committee meets monthly.

Risk and Investment Committee

The Risk and Investment Committee provides impartial advice and makes recommendations to the Executive Committee and the CEO/DAS on risk, finance (including budget), investment management, implementation of investments, and project and program performance issues.

The committee also provides assurance on the implementation of risk management in accordance with direction and guidance from the Board and the Board Audit and Risk Committee, and complements the role of the Board and the Board Audit and Risk Committee by considering risk at the operational and tactical levels.

The Risk and Investment Committee meets monthly.

People Committee

The People Committee oversees all strategic workforce-related matters that require collaboration across CASA functions. Key responsibilities include providing oversight of leadership, performance, recruitment, retention and staff training; and monitoring organisational health levels through unscheduled absence and staff turnover metrics.

The People Committee meets quarterly.

Business Improvement Oversight Program Board

The Business Improvement Oversight Program Board has overall oversight of CASA programs and projects. It provides strategic advice and direction across all business improvement projects, improves the alignment between CASA objectives and priorities, and provides a forum for the escalation of project and program risks for resolution.

The Business Improvement Oversight Program Board meets every two months.

Public interest disclosure policy

CASA's policy and procedures on public interest disclosure are consistent with the requirements of the *Public Interest Disclosure Act 2013*. They enable confidential disclosure of matters and protect disclosers from fear or threats of reprisal for making a disclosure. CASA provides an annual report of the number and types of disclosures to the Commonwealth Ombudsman.

Code of Conduct

As a condition of employment, all employees must comply with CASA's Code of Conduct. The Code of Conduct is aligned with the Australian Public Service (APS) Code of Conduct and reflects the values and behaviours expected of all CASA employees in the course of conducting their duties or otherwise representing CASA.

CASA promotes the code to all new employees during their orientation. This affirms CASA's expectations and approach regarding policy, regulatory philosophy and values. Online training for all employees covers content such as working with respect and applying equity and diversity principles.

During 2018–19, there were nine allegations of potential misconduct. Of those allegations, six were referred for further investigation and three were managed through informal mechanisms. In addition, one investigation was carried over from 2017–18.

Of the seven matters that were investigated in 2018–19, six were finalised, involving five employees. All employees involved were found to have breached the Code of Conduct. This resulted in one employee being terminated, two employees receiving employment-related sanctions and two employees receiving formal reprimands. One investigation remains current and will be carried over into 2019–20.

The average time taken to investigate allegations of a contravention of the Code of Conduct during 2018–19 was 82 days, compared to 20 days taken in 2017–18. This is attributed to two claims processes that spanned the Christmas – New Year period and were affected by staff absences. Throughout 2018–19, CASA continued to focus on streamlining processes and making greater use of internal investigators.

Lower level workplace issues that were referred to managers are not captured in the statistics above. Managers resolved these matters at the local level through the Performance and Communication Scheme, alternative dispute resolution methods, or communication to raise staff awareness of appropriate behaviour in the workplace. Managers also used the Performance and Communication Scheme to raise staff awareness and, where required, establish performance and behaviour indicators in line with CASA's values.

Table 4 provides details of investigations in the past five financial years.

Table 4 Code of Conduct investigations, 2014–15 to 2018–19

Detail	2014–15	2015–16	2016–17	2017–18	2018–19
Investigations commenced	3	9	5	6	7
Investigations finalised	3	8	3	7	6
Investigations ongoing at 30 June	0	1	3	0	1
Employees who breached the Code of Conduct	2	3	0	6	5
Non-financial sanctions	1	3	0	1	2
Terminations	0	0	0	4	1
Financial sanctions	0	0	0	1	2

Note: One investigation was carried over from the 2015–16 reporting period into 2016–17, one from the 2016–17 reporting period into 2017–18, and one from the 2017–18 reporting period into 2018–19.

Conflict of interest

Board members

Section 58 of the Civil Aviation Act provides that a Board member must not engage in any paid employment that, in the opinion of the Minister, conflicts with the proper performance of their duties as a member of CASA's Board. Similarly, section 78 provides that the Director of Aviation Safety must not engage in any paid employment outside the duties of their office except with the Board's approval.

The PGPA Act and the Public Governance, Performance and Accountability Rule 2014 provide that a Board member who has a material personal interest in a matter that relates to the affairs of CASA must disclose details of the interest to each of the other Board members. The notice must include details of the nature and extent of the Board member's interest and how the interest relates to CASA's affairs.

Disclosures must be made at a Board meeting, as soon as practicable after the Board member becomes aware of the interest or, if there is a change in the nature or extent of the interest, as soon as practicable after the Board member becomes aware of that change. The details of the notice given are recorded in the minutes of the next Board meeting.

Disclosures of airline lounge memberships are included in a Board member's Standing Notice of Material Personal Interest, and the Board Secretary maintains a register of all information (records) concerning conflict of interest, hospitality and gifts.

Employees

CASA's conflict of interest policy and procedures ensure that the knowledge and experience of the aviation industry brought to CASA by an employee do not improperly influence the employee's performance of their duties and responsibilities. All employees complete a brief online training package which reminds them of key elements of CASA's conflict of interest policy.

Every employee must complete conflict of interest declaration forms at various times during the course of their employment, including on commencement, following a change of circumstance (such as change of position) and during CASA's annual conflict of interest survey.

These declarations require disclosure of a range of matters that could potentially give rise to a conflict of interest. Disclosures are assessed in terms of actual, potential and perceived risk of conflict. A mitigation strategy is established for any conflicts identified and reviewed and endorsed by the employee's manager.

All conflict of interest management plans and associated declarations are reviewed by the Litigation, Investigations and Enforcement Branch to ensure that the proposed strategies adequately address the risks and CASA maintains a consistent approach to the management of conflicts of interest.

Fraud control

All CASA employees have completed online training on fraud, and new employees must complete the training within three months of commencing their employment.

CASA's *Fraud Control and Integrity Plan 2018–2020* was endorsed by the Board Audit and Risk Committee, expanding the focus of the program to cover issues including corruption and industry capture. The program remains aligned with the Commonwealth Fraud Control Framework.

CASA did not investigate any matters of alleged internal fraud in 2018–19. A small number of minor irregularities, primarily involving the use of CASA corporate travel cards, were identified and reviewed, and staff members were reminded

of their obligations in relation to the use of the cards they hold. No fraud-related matters were referred to the Commonwealth Director of Public Prosecutions.

PEOPLE MANAGEMENT

CASA undertakes a wide range of activities to support and develop its workforce and workplace culture to assist CASA to achieve its corporate goals.

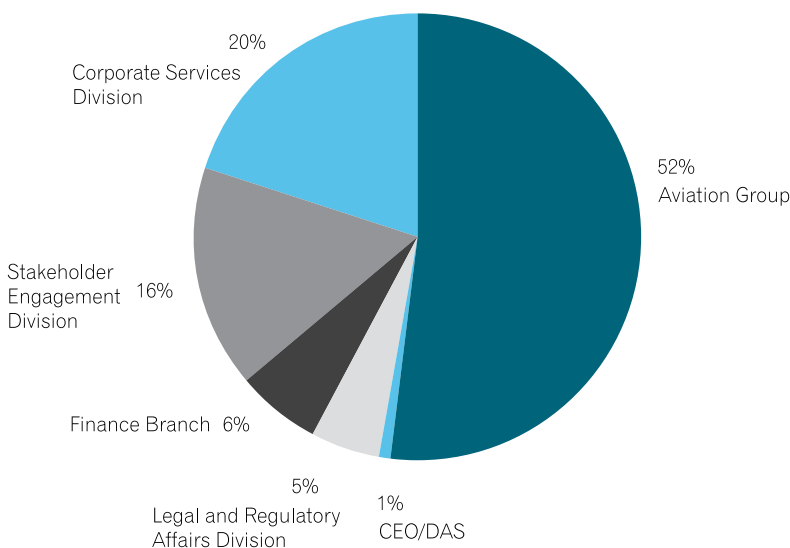
Staffing

On 30 June 2018, CASA had 859 employees, including 69 temporary and casual staff and 13 inoperative staff – that is, staff on long-term leave for maternity or paternity reasons or staff on unpaid leave.

Tables B.1 to B.3 on pages 171 to 173 show details of employee numbers by classification and location, gender and age group.

Figure 11 shows the breakdown of employees into CASA's main work areas.

Figure 11 Proportion of employees across CASA's organisational structure at 30 June 2019



Unplanned absences

CASA uses the Australian Public Service Commission definition to calculate unscheduled absences. This rate includes sick leave, carers leave, compassionate leave and unplanned emergency leave. This method allows us to benchmark our performance against the wider APS.

In 2018–19, CASA employees used an average of 10.8 days of unscheduled leave per full-time employee. Most absences were taken as sick leave (75 per cent) or carers leave (23 per cent). This is below the APS average, as shown in Table 5.

Table 5 Unplanned absence rates, 2014–15 to 2018–19 (days per FTE)

Financial year	CASA	Australian Public Service
2014–15	10.7	11.6
2015–16	11.4	11.5
2016–17	11.5	11.4
2017–18	11.3	11.4
2018–19	10.8	Not available ^a

FTE = full-time equivalent staff member

^a The Australian Public Service average for 2018–19 will be published in late 2019.

Staff turnover

In 2018–19, CASA's ongoing employee separation rate was 6.9 per cent, as shown in Table 6. This is lower than the 2017–18 rate of 10.5 per cent. The change was driven by an overall decrease in the number of ongoing employees leaving CASA, and an increase in the total number of employees.

Table 6 Staff turnover, 2014–15 to 2018–19 (%)

Financial year	CASA	Australian Public Service
2014–15	11.2	9.2
2015–16	13.8	9.6
2016–17	11.6	9.1
2017–18	10.5	7.3
2018–19	6.9	Not available ^a

^a The Australian Public Service average for 2018–19 will be published in late 2019.

Workplace diversity and inclusion

CASA is proud of the progress it has made in laying the foundations for a diverse and inclusive workplace. CASA encourages and celebrates diversity in the workplace and promotes a safe, supportive and inclusive working environment.

Achievements

CASA undertook a range of activities to support a diverse and inclusive workplace in 2018–19, including:

- appointing three executive managers as Executive Diversity Champions – an Indigenous Champion, a Disability Champion and a Gender Champion – to further CASA's efforts across all areas of diversity and increase the involvement of members of the executive leadership team in initiatives to support diversity and inclusion
- offering Cultural Appreciation Training, delivered by National Indigenous Employment Solutions, to provide a greater appreciation of Aboriginal and Torres Strait Islander culture, customs and traditions as well as tools and techniques to help CASA staff to communicate and engage effectively with Aboriginal and Torres Strait Islander people
- engaging an employee (under a three-month supported work contract on a part-time basis) through Koomari, an Australian Capital Territory organisation that supports people with disability to achieve their life goals, dreams and aspirations. This engagement was successful for both the employee and CASA and raised awareness of working with people with Asperger syndrome.

Key activities

NAIDOC Week was celebrated across CASA offices on 9 July 2018, providing an opportunity for CASA employees to celebrate the history, culture and achievements of Aboriginal and Torres Strait Islander peoples. Tori Nikoloau, who aspires to become Australia's first female Indigenous commercial pilot, talked about the challenges she has faced in pursuit of her dreams. Tori's experiences were particularly relevant given the theme of NAIDOC Week, 'Because of her, we can', which celebrated the essential role that women play as role models at the community, local, state and national levels.

INCLUSION IN THE WORKPLACE

Members of CASA's Aboriginal and Torres Strait Islander Network were recognised in December 2018 with CASA's first Diversity Champion's Award. The Aboriginal and Torres Strait Islander Network has increased the profile of CASA's Aboriginal and Torres Strait Islander employees by sharing their inspiring personal stories and promoting diversity and inclusion within CASA. The network members are Nelson Stacey, Haydn Busch, Renae Isaacs, Jay Costello, Keeshia Coulthard, Adrian Tusek, Korin Tricot and Toni McPhail.



CASA celebrated the International Day of People with Disability on 3 December 2018, with staff from all CASA locations treated to a motivational speech from the chair of Wheelies with Wings, a non-profit organisation that gives people with disability the opportunity to fly, offering a sense of freedom and achievement.

In March 2019, CASA staff from across the regions attended the third in CASA's series of Women in Leadership Panel events, held annually as part of International Women's Day. The event included a panel discussion facilitated by the Gender Champion.

The panel members were Nikki Gotovac, a Larrakia woman from Darwin with experience in domestic and international aviation, maritime transport safety, security and infrastructure; and Kate Munari, Australia's only female Navy helicopter pilot to fly in Afghanistan, who served in the Commando Helicopter Force and now works as an air accident investigator with the Australian Transport Safety Bureau, having recently retired from the Royal Australian Navy after 17 years of service.

To reflect the diversity of sexuality and gender among its workforce, CASA celebrated IDAHOBIT – the International Day Against Homophobia, Biphobia, Intersexism and Transphobia – on 17 May 2019. CASA employees supported IDAHOBIT at a special afternoon tea hosted by the Gender Champion.

To help gain a better understanding of the LGBTIQ+ community and the challenges faced by LGBTIQ people, CASA's Brisbane office celebrated an event modelled on the ABC TV series *You Can't Ask That*. The special guests were Hannah Mouncey, a transgender female who in September 2018 was named Victoria's LGBT Athlete of the Year, and Alex David, an intersex human rights activist and educator, a director of Intersex Human Rights Australia, a member of the National LGBTI Health Alliance, and a Queensland Government LGBTI Roundtable representative.

National Reconciliation Week was celebrated on 29 May 2019, with staff from around Australia coming together to listen and learn about reconciliation. The event was hosted by CASA's Aboriginal and Torres Strait Islander Network, with support from CASA's Indigenous Champion.

The special guest and keynote speaker was Clifford Coulthard, an Adnyamathanha Elder and senior cultural interpreter from the Flinders Ranges, South Australia.

A participant in the Indigenous Australian Government Development Program was placed in CASA's Brisbane office, and CASA continued to maintain its mentoring program for Aboriginal and Torres Strait Islander employees.

CASA's annual Taste of Harmony event was held on 21 March 2019. Each year staff are invited to bring a plate of food that reflects their culture and background to share, and to learn about the cultural backgrounds of their colleagues.

Diversity profile

Figure 12 provides an overview of diversity in CASA's workforce.

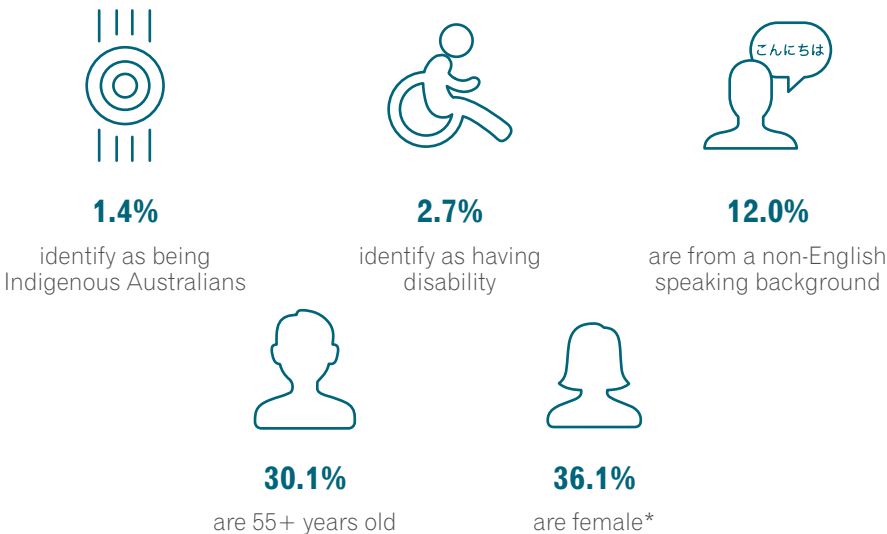
Diversity data on CASA employees, by classification, are provided in Table B.4 in Appendix B.

Staff training and development

The highlights of CASA staff training and development activities in 2018–19 included:

- introduction of the Manager Orientation Program for all managers who have employees reporting directly to them
- delivery of a Regulatory Reset workshop to 426 staff
- procurement of five specialist courses from international providers for delivery to CASA staff and participants from other agencies
- development of a seven-module online professional development program designed to build capability within the industry flight examiner cohort.

Figure 12 Representation of diversity groups in CASA's permanent workforce at 30 June 2019



* Females are reported as a proportion of all employees (permanent and temporary).

New content

During 2018–19, CASA implemented the Manager Orientation Program, which aims to equip CASA managers with an understanding of the regulatory and administrative environment in which CASA operates. The program increases management effectiveness through exposure to the day-to-day functional aspects of leading people within the CASA context.

Five programs were delivered to 91 CASA managers. CASA has committed to ensuring that all managers who have employees reporting directly to them will have completed this face-to-face course by the end of 2019.

CASA developed and delivered a Regulatory Reset workshop to refresh and update the regulatory capability of inspectorate staff, shared services staff and operational managers. The workshop was delivered on 23 occasions to 426 staff in total during the year.

CASA procured five specialist courses covering topics such as aircraft fatigue and damage tolerance, helicopter maintenance and performance-based navigation. These specialist courses enabled 61 CASA staff as well as staff from other government agencies, including Airservices Australia and the Department of Defence, to gain valuable skills and knowledge, and provided opportunities for CASA to strengthen links with industry and government.

CASA produced a new professional development program for industry flight examiners. The program uses a combination of delivery methods, including video, audio and interactivity, to educate industry and improve the standardisation of industry flight testing.

Delivery

During 2018–19, CASA delivered four three-day orientation programs, four four-week foundation training programs, and two advanced training programs for each of the key inspectorate roles.

Classroom-based training in 2018–19 comprised:

- 31 regulatory and technical training courses, attended by a total of 1,062 participants
- 14 professional development courses, attended by a total of 822 participants.

CASA staff completed 4,975 training sessions through CASA e-learning, across 47 courses; and completed 132 courses and accessed 8,648 training videos online through Lynda.com.

CASA provided external e-learning opportunities to the aviation industry. For example, 945 flight examiner sessions were completed and 9,246 training sessions were completed through the AviationWorx portal.

Table 7 shows staff training and professional development activities for CASA employees from 2014–15 to 2018–19.

Table 7 Staff training and professional development per employee, 2014–15 to 2018–19

Financial year	Classroom-based courses				e-learning ^a	
	Regulatory and technical training		Professional development		Courses	Participants
	Courses	Participants	Courses	Participants		
2014–15	45	2,085	17	358	40	2,278
2015–16	24	971	15	232	33	1,022
2016–17	23	1,108	10	290	56	1,928
2017–18	37	760	32	1,068	26	3,312
2018–19	31	1,062	14	822	47	4,975

^a e-learning does not include Lynda.com

Management

In 2018–19, CASA increased the focus on regulatory skill sets and corporate capabilities. Using an agile development process, CASA developed 26 face-to-face, 13 e-learning and 17 blended courses in response to organisational training requests.

During the year, CASA commenced a project to transition to a new learning management system with a planned launch in 2019–20. The new system will deliver improved functionality and reporting capability to ensure the visibility of data on training availability and completion.

Workplace agreements

CASA employees are employed under the powers vested in the Director of Aviation Safety by the Civil Aviation Act.

The terms and conditions of most CASA employees are provided under the CASA Enterprise Agreement 2016–19, which nominally expires on 16 November 2019. At 30 June 2019, 96.3 per cent of CASA employees were employed under the enterprise agreement and 3.7 per cent were employed under individual contracts.

CASA also had several service contractors and individuals temporarily engaged through contracted employment agencies. This included some short-term project employees.

Recognition of high performance and commitment to service

CASA's recognition and reward framework supports managers and staff to provide authentic and timely recognition, at the local level, for valued contributions and staff achievement.

The CASA Award Scheme recognises outstanding staff contribution and achievement within five categories:

- CEO/DAS Achievement Award
- Diversity Champion's Award
- Above and Beyond Award
- Innovation and Continuous Improvement Award
- Australia Day Achievement Award.

The Australia Day Achievement Award, the CEO/DAS Achievement Award and the Diversity Champion's Award are presented annually, while the Above and Beyond Award and the Innovation and Continuous Improvement Award are awarded biannually.

Table 8 lists the 2018–19 award recipients as determined by the Executive Committee.

Table 8 Employees recognised under the CASA Award Scheme, 2018–19

Award	Recipient(s)	Group/Division
CEO/DAS Achievement	Scott Watson	Aviation Group
Diversity Champion's	Haydn Busch, Jay Costello, Keeshia Coulthard, Renae Isaacs, Toni McPhail, Nelson Stacey, Korin Tricot and Adrian Tusek	Corporate Services Division, Aviation Group, Stakeholder Engagement Division and Finance Branch
	Angeline Kalina	Corporate Services Division
Above and Beyond	Fiona Beirne, Ricky Cochrane, Roger Crosthwaite, Alison Gosper, Jason McHeyzer and Rhonda Richings	Aviation Group and Stakeholder Engagement Division
Innovation and Continuous Improvement	Miles Gore-Brown, Grant Hamilton, Allison Ingham, Liz Lake, Werner Lushington and Jeff Playford	Aviation Group
	Matthew Bouttell, Paul Hibberd, Peter O'Keeffe and Scott Watson	Aviation Group and Legal and Regulatory Affairs Division
Australia Day Achievement	Judith Keogh	Corporate Services Division
	Nicole Fahey	Finance Branch
	Robert Mallouk, Nick Singh and Mark Soden	Aviation Group

CASA also recognises the achievements and commitment of employees who have reached their five, 10, 15, 20, 25, 30, 35 or 40-year milestones of service with CASA. In 2018–19, 32 employees achieved 20 years service or longer, as shown in Table 9.

Table 9 Recipients of CASA milestone awards for service of 20 years or more, 2018–19

Length of service	Employees
20 years	Karen Day, Carolyn Dempster, Tracy Deren, Ollie Ernst, Adrian Fechner, Nancy Fiumara, Peter Goodwin, Ollie Grandjean, Larry Hall, Trudy Holmes, Arnold Long, Patricia McLeod, Gregory Parnell, Chris Rapp, Noel Saffery, Steve Saillard, Paul Simpson, Lance Thorogood, Michael Vytlingam, Brad Wells, Jorge Woods, Leonard Yates
25 years	Ben Firkins, Toni Guenther, Mark Haslam, Joe Silvestro, Nadia Spesyvy
30 years	Jacintha Corteling, Peter Dall, Robyn Maleki, Carolyn Mosslar
35 years	Russell Dwyer

WORK HEALTH AND SAFETY

CASA's Work Health and Safety Strategy 2017–19 underpins the ongoing development, review and implementation of key work health and safety (WHS) objectives to ensure the health, safety and welfare of CASA's workers. The strategy aims to:

- foster a positive and compliant WHS culture
- encourage proactive prevention and active early intervention
- promote a healthy, productive and supportive work environment.

Key areas of focus

In 2018–19, CASA strongly focused on improvements to the WHS safety management system; consultation and communication; and training.

National hazard profile and WHS risk register

A major program of work was undertaken to finalise the national hazard profile, based on the outcomes of significant consultation with staff in 2017–18. The national hazard profile and WHS risk register identified more than 40 risks across 21 hazard categories. The revised WHS risk register was approved by the CASA Executive Committee and released to staff in March 2019.

A key aim of the project was to build a sustainable whole-of-organisation model for hazard identification and risk management in future. Through revised governance arrangements, the Aviation Safety Committee and the People Committee work in partnership to regularly identify and review operational and technical hazards and capture WHS risks in the enterprise risk management framework.

The ongoing collaboration between CASA's corporate and operational business areas has built a strong foundation for continued improvement of the WHS management system, to the benefit of CASA employees.

First aid needs assessment

A first aid needs assessment undertaken in 2017–18 identified that operational staff working in remote and rural locations or working away from the office needed improved access to first aid equipment and training. During 2018–19, targeted training was deemed mandatory for these staff members.

Significant progress has been made, with 87 per cent of identified staff completing this training in 2018–19.

Hearing conservation program

A review of the hearing conservation program was undertaken in 2018–19. The review identified, validated and developed a register of all positions that required employees to operate in hazardous noise environments on a regular basis. The second phase of the review aimed to capture and record data for baseline audiometric tests and monitoring every two years.

Work was undertaken to improve the data visibility and monitoring of all audiometric testing and ensure that the reporting system enabled the organisation to respond to non-compliance.

Significant progress has been made, with 90 per cent of identified staff completing baseline audiometric tests in 2018–19.

Communication and consultation mechanisms

CASA utilises a work group structure to facilitate effective communication and consultation across regions. Following an organisational restructure in early 2018, consultation and negotiations were undertaken on a new work group structure that was agreed on 31 October 2018.

In developing the new structure, the matters considered were:

- location and grouping of workers
- nature of work
- number of workers
- pattern of work and nature of engagement
- nature of hazards and risks.

CASA now has six work groups, based on geographic location. The number of Health and Safety Representative positions available has risen from 13 to 23. Twenty-one positions were filled in 2018–19 and all work groups are represented by elected representatives.

National Health and Safety Committee

The National Health and Safety Committee is the primary advisory body for WHS matters in CASA and provides a key communication and consultation mechanism. The committee is chaired by the Branch Manager, People and Culture, and comprises equal representation of employees and management.

The committee met quarterly, in August and November 2018 and March and June 2019.

Local consultative forums

In 2018–19, CASA reinvigorated its local consultative forums across all work groups. The forums provide an opportunity for staff to be consulted about WHS matters and to share ideas and positively influence activity that supports good WHS in their work group. The local consultative forum structure also provides an avenue for communication and consultation between the regional work groups and the National Health and Safety Committee.

Since the new work group structure was implemented, the terms of reference for the forums have been reviewed and corporate support has been provided to ensure that all local consultative forums meet quarterly to resolve potential issues locally or, where required, escalate matters to the National Health and Safety Committee.

Training and activities

CASA has a strong commitment to WHS training. In 2018–19, mandatory training modules were promoted and monitored to ensure that they were completed by the target staff, in the following areas:

- due diligence training for senior leaders and members of the Board
- Beyond Blue training for managers and supervisors
- WHS training for new starters
- duty of officers training for delegated officers
- duty of employees training for all employees.

During 2018–19, the following WHS topics were actively promoted and included in news articles, posters and screen savers:

- mental health in the workplace – R U OK?
- CASA's hearing conservation program – National Safety Work Month
- summer hazards – working outdoors in the heat
- summer hazards – snake bite
- hygiene in the cold and influenza season.

Table 10 provides results of other key activities that contributed to CASA's WHS performance.

Table 10 Results of work health and safety activities, 2018–19

Activity	2018–19
Employees who participated in the seasonal influenza vaccination program	463
Employees who had an individual workstation assessment	92 ^a
Employees who were provided with case management support to stay at work or return to work safely while addressing significant personal or health issues	20
Employees who accessed early intervention assistance for work-related illness or injury	3
Incidents notified by employees	49
Hazards notified by employees	22
Employees and family members who accessed the employee assistance program	70
Operational employees who attended a hearing assessment	179
Operational employees working in remote areas who completed first aid training	147

^a Thirteen workstation assessments were home-based assessments.

Actions and investigations

The final five corrective actions identified in the 2016 Comcare audit were completed.

During 2018–19, CASA had no notifiable incidents.

Workers compensation

CASA's 2018–19 workers compensation premium rate was 0.52 per cent of the 2018–19 payroll. This was a significant decrease from 0.60 per cent in 2017–18 and lower than the average premium rate of 1.06 per cent for all agencies.

Early intervention

In January 2019, CASA implemented a 12-month trial of early intervention assistance designed to remove potential impediments to early support and treatment and minimise the onset and impact of compensable work-related illness and injury.

CASA continues to monitor early indicators of factors that potentially influence high-cost claims. This includes monitoring extended unplanned leave, reported health issues, and patterns of poor attendance, performance or conduct.

Claims

Eight claims for workers compensation were lodged in 2018–19. This was a decrease compared to the nine claims lodged in 2017–18.

Of the eight claims lodged, six related to physical injuries and two related to psychological injuries. Three physical injury claims were accepted by Comcare prior to 30 June 2019 and three claims are yet to be determined. One physical injury claim was rejected by Comcare on the grounds that there was no evidence that it was a work-related incident and one psychological injury claim was withdrawn by the employee.

CASA CEO SLEEPS OUT FOR CHARITY

CASA's CEO, Shane Carmody, raised over \$13,000 by participating in the Canberra Vinnies CEO Sleepout at Canberra Airport in June 2019. Many of CASA's staff contributed to the worthwhile cause by attending a fundraising BBQ breakfast, raising money through a bake sale, and making individual donations.

'My accommodation (along with many others') was the concrete between two hangars on the RAAF side of the airport during what was to become a minus 5 degree Canberra night. At least we were able to bring our own sleeping bags. Vinnies provided three pieces of cardboard, a cup of soup and a bread roll for dinner and then breakfast on Friday at 0500 – no sleep-ins allowed.

'It certainly gave me an appreciation for some of what homeless people have to endure, particularly in Canberra, and reminded me of the great work that organisations like Vinnies do to support them.'



EXTERNAL ENGAGEMENT

Effectively consulting and communicating with the aviation industry and the wider aviation community, in Australia and overseas, is a key element of CASA's corporate goals and an obligation under the Civil Aviation Act.

Community engagement

Under section 9 of the Civil Aviation Act, CASA is required to promote 'full and effective consultation and communication with all interested parties on aviation safety issues'. CASA achieves this through information provision and a range of forums and day-to-day dealings with people and organisations in the wider aviation community, including formal meetings, working groups and consultation committees.

Online feedback and consultation

CASA engages with the aviation community online through Facebook, LinkedIn, YouTube and Twitter. Facebook continues to be the dominant social media channel in terms of audience size and engagement.

During 2018–19, CASA's Facebook following increased by 6,524 followers to reach 45,382 followers on 30 June 2019. However, LinkedIn experienced the highest growth, with the number of followers increasing from 8,974 to 17,163. Twitter followers increased to 11,604.

In total, the CASA social media channels experienced a combined audience growth of 27 per cent. The top posts during 2018–19 related to the Bean Safe cabin safety campaign and not flying drones in or around emergency services.

CASA expanded the use of a web-based facility, the CASA Consultation Hub, established in 2017–18. CASA held 37 industry consultations, generating 7,728 responses, in 2018–19. The drone registration proposal received the highest number of responses, 4,187, followed by the *Flight Safety Australia* readership survey with 1,299.

E-newsletter

Each month, CASA produces an e-newsletter, *The CASA Briefing*, which is distributed to more than 10,000 subscribers. Most subscribers are people working in the aviation industry, while others have a general interest in aviation.

Subjects covered in 2018–19 included CASA's regulatory program, initiatives to work collaboratively with the aviation community, new regulations, airworthiness advice, information on drone regulation, and safety workshops and seminars.

We also communicated widely with the aviation community and general public through 292 targeted bulk emails during the year.

Webinars and seminars

CASA continued to look for different ways to communicate and engage with the aviation community, conducting webinars for the first time during 2018–19.

On 2 August and 15 August 2018, we conducted two live, public webinars to explain the flight operations regulations and what the proposed smaller aeroplane air transport operations and helicopter air transport rules would mean for industry. Approximately 100 participants logged in during the webinars and more than 900 people have subsequently viewed video recordings made available on CASA's website.

A third live webinar was conducted on 4 December 2018 to explain how we intended to modernise the fatigue rules and provide participants with an opportunity to ask questions about what the changes to the CAO 48.1 Instrument would mean for industry. Approximately 50 participants logged in during the 60-minute webinar and 200 people viewed the recording on CASA's website.

In October 2018 in Darwin, CASA held an aviation safety seminar on flying in the wet season, attended by more than 110 pilots and operators.

The presenters included subject matter experts from CASA, the Bureau of Meteorology, the Royal Australian Air Force and the Northern Territory Police Air Wing. They spoke about case studies and their own experiences, to help attendees gain a greater understanding of the unique hazards and risks that need to be managed by pilots flying in northern Australia during the wet season.

A condensed version of the seminar was broadcast on YouTube and uploaded to Facebook to extend its audience reach. The recording of the broadcast has been watched more than 1,200 times on YouTube and viewed more by more than 3,000 Facebook followers.

Flight Safety Australia magazine

Flight Safety Australia, CASA's flagship publication, is a highly regarded source of credible and informative coverage of aviation safety. CASA's Facebook page continued to be highly effective in promoting the magazine's comprehensive aviation safety coverage.

In 2018–19, *Flight Safety Australia* feature stories covered wide-ranging 'big picture' safety topics:

- 'Fire and fury: the destruction of Piper Alpha' examined and analysed safety lessons from an oil platform disaster in 1988 and their parallels for aviation safety.
- 'Precisely to the point; the promise of satellite-based augmentation' explained the potential pitfalls of this new technology in a clear and concise summary.
- 'Blocks and a chain in the sky' evaluated blockchain technology and separated real-world applications from hype.
- 'One thing at a time: a brief history of the checklist' took a historical perspective on a foundation of flight safety.
- 'Weather to fly: the Top End' discussed the hazards that await low hours commercial pilots who gravitate to northern Australia to build hours and broaden their experience.

Other articles covered an eclectic mix of issues, including drone safety, cabin safety, ground handling, maintenance, runway incursions, helicopter safety, and the potential ambiguities of aviation English.

Through the *Flight Safety Australia* website, rich multimedia continued to be offered in the form of video, audio and interactive infographics, and aviation safety news updates were published daily. The audio versions of the popular stories about 'close calls' continued to grow in popularity as users discovered the benefit of audio in bringing the close calls to life.

In December 2018, CASA published the fourth annual collector's edition of *Flight Safety Australia*, showcasing the year's best articles, in hard copy.

Roadshow

CASA hosted a national roadshow on general aviation maintenance on 10–14 December 2018 as a key communication tactic to support the proposed new general aviation maintenance regulations.

Seven two-hour, face-to-face information sessions were delivered to a total of 321 industry members who represented Civil Aviation Regulation 30 organisations, Civil Aviation Safety Regulations (CASR) Part 145 organisations and registered operators.

The workshops were held in Moorabbin (Victoria), Bankstown (New South Wales), Archerfield and Cairns (Queensland), Parafield (South Australia), Jandakot (Western Australia) and Darwin (Northern Territory).

Industry engagement

CASA's ability to develop and enforce appropriate safety standards relies on effective engagement with the aviation industry. CASA participates in consultative forums and supports specialist expert panels to facilitate industry engagement.

All proposed regulatory changes and related consultation documents for 2018–19 are published on CASA's website and can be accessed at www.casa.gov.au/newrules.

Aviation Safety Advisory Panel

The Aviation Safety Advisory Panel (ASAP) provides CASA with objective, high-level advice from the aviation community on issues with significant implications for aviation safety and the way CASA performs its functions.

The ASAP is the primary advisory body through which CASA directs its engagement with industry and seeks input on current and future regulatory and associated policy approaches. Its work is supported by technical advisory committees and technical working groups. The panel met four times during 2018–19.

In June 2019, changes were made to the composition of the panel to refresh the expertise of the membership, align it with current areas of focus and stagger the engagement dates of members to ensure continuity of membership.

Three people attended their final meeting on 20 June 2019: Mr Greg Russell, formerly of The Australian Aviation Associations Forum; Mr Rob Sharp, formerly of Virgin Australia; and Ms Caroline Wilkie of the Australian Airports Association. All three were integral to the success of the ASAP by providing high-level and objective advice drawing on their many years of valuable experience in the aviation industry.

Three new members joined the panel, bringing a wealth of experience in flight training, helicopter operations and unmanned aircraft. The new members are Ms Adrienne Fleming OAM, a founder of Tristar Aviation, which provides

flight training and charter services; Captain Ray Cronin, founder and Managing Director of Kestrel Aviation and President of the Australian Helicopter Industry Association; and Dr Reece Clothier, President of the Australian Association for Unmanned Systems and Global Airspace Integration Senior Manager at Boeing NeXt.

The independent Chair, Honorary Professor Patrick Murray, industry members Mr John Gissing, Mr Jim Davis and Mr Michael Monck, and CASA representatives Mr Graeme Crawford and Mr Rob Walker continue to serve on the panel.

Regional airspace and procedures advisory committees

Regional airspace and procedures advisory committees are primarily state-based forums for the discussion of matters relating to airspace and related procedures in Australia.

Membership is open to all significant airspace users, either independently or through their major industry associations and organisations.

In 2018–19, 23 committee meetings were held in 10 locations around Australia: Adelaide, Brisbane, Canberra, Darwin, Hobart, Kununurra (Western Australia), Melbourne, Perth, Rockhampton (Queensland) and Sydney.

Sport Aviation Safety Forum

The Sport Aviation Safety Forum was an annual conference of self-administering organisations from the sport and recreational aviation sector. CASA closed the forum in 2019, replacing it with an annual professional development program for approved self-administering aviation organisations (ASAOs).

The new program is expected to start in late 2019 and will focus on the safety-related education of ASAOs in relation to the high-level organisational capabilities of a self-administrator under CASR Part 149.

Australian Strategic Air Traffic Management Group

The Australian Strategic Air Traffic Management Group (ASTRA) is a key industry advisory body on strategic airspace and air traffic management issues for Australia. As such, it is an important source of industry advice to government on air traffic management issues.

ASTRA brings together industry stakeholders, including aircraft operators, airports and service providers, to provide an industry-wide representative forum that:

- develops the industry position on air traffic management matters, including communications, navigation and surveillance, as the basis for strategic advice to government
- coordinates agreed integrated air traffic management planning, development and implementation efforts by all relevant stakeholders.

CASA has a standing invitation to attend meetings of the ASTRA Council, as a permanent observer, and was represented at three meetings in 2018–19.

Flight Examiner Core Group

CASA is trialling a new forum, the Flight Examiner Core Group, to undertake work previously done by the Flying Training Panel, which was disbanded in March 2018.

The Flight Examiner Core Group is focused on continuous improvement of the flight-testing scheme and associated safety-related outcomes. Its membership includes a small number of highly experienced industry flight examiners who provide feedback to CASA in relation to operational aspects of the flight-testing scheme.

The topics of discussion within the group include CASA's *Flight Examiner Handbook* and flight examiner rating course, flight examiner entry control requirements, and the design and review of CASA's professional development programs for industry flight examiners.

Intragovernmental engagement

Cooperation between Australian Government agencies that have an interest in the aviation sector helps to reduce the duplication and fragmentation of government policies, regulations and services.

Aviation Policy Group

The Aviation Policy Group is a high-level interagency group that consists of CASA's Director of Aviation Safety, the Chief Executive Officer of Airservices Australia, the Chief of Air Force and the Secretary of the Department of Infrastructure, Transport, Cities and Regional Development.

Although the group is not a decision-making body, it provides a forum for effective interagency policy coordination and for working through air traffic management and other aviation issues at a strategic level. The Aviation Policy Group met five times during 2018–19.

Aviation Implementation Group

The Aviation Implementation Group is an interagency forum chaired by the Department of Infrastructure, Transport, Cities and Regional Development that involves representation from CASA, Airservices Australia and the Royal Australian Air Force.

The Aviation Implementation Group is an important forum for identifying cross-agency aviation issues and maintaining regular communication between the four agencies, and supports the Aviation Policy Group in implementing cross-agency strategies. The group met four times during 2018–19.

Australian Transport Safety Bureau

The relationship between CASA and the ATSB is governed, in part, by a memorandum of understanding that was first signed in February 2010 and subsequently updated and re-signed on 30 March 2015.

The agreement focuses on making the most effective and appropriate use of the findings of accident investigations and clarifying the different but complementary roles of CASA and the ATSB in maintaining and improving air safety. It also provides a framework for cooperation between CASA and the ATSB on aviation safety education, research and data analysis.

The agreement covers issues such as the roles of CASA and the ATSB in accident investigations, assistance during investigations, Australia's State Safety Program and the exchange of safety information and safety education. CASA's Director of Aviation Safety and the ATSB's Chief Commissioner also participate in formal dialogue on a regular basis.

CASA's ATSB Liaison Office ensures that ATSB reports and requests for information are responded to effectively and efficiently. CASA formally responds to ATSB safety recommendations, and subsequent safety actions are tracked to implementation.

In accordance with the requirements of the memorandum, CASA and the ATSB formally meet twice each calendar year to exchange views and liaise about safety issues of mutual interest at the operational level. Due to operational issues, the meeting planned for December 2018 did not take place, and the two agencies met only once during 2018–19 (in March 2019). The schedule of two meetings per calendar year will resume with a meeting planned for October 2019.

The agencies also cooperate on important research projects that improve the understanding of and response to issues that affect flight safety in Australia.

International engagement

CASA is a well-respected civil aviation safety regulator, regionally and globally. CASA's engagement with the global aviation community, including with foreign regulatory counterparts, is an important part of CASA's role and responsibilities under the Civil Aviation Act to influence aviation safety standards, advocate for rules that benefit Australian travellers and Australian industry, and respond in a timely manner to emerging opportunities and trends.

Bilateral relationships and multilateral forums allow collaboration with aviation safety partners to be strengthened, as well as showcasing Australia's civil aviation safety capabilities.

CASA's international commitments are threefold:

- engaging with the International Civil Aviation Organization (ICAO), primarily through a tripartite policy approach in partnership with Airservices Australia and the Department of Infrastructure, Transport, Cities and Regional Development
- establishing, reviewing and improving on bilateral and multilateral arrangements with counterpart regulatory agencies and countries to streamline industry standards and requirements, and engaging in informal dialogue with counterpart regulators to discuss emerging issues
- strengthening aviation safety in the Asia-Pacific region through targeted and effective assistance activities funded by Australian Aid.

International Civil Aviation Organization

Australia is one of 193 signatory States to the 1944 Convention on International Civil Aviation (the Chicago Convention), which provides for the safe and orderly development of international civil aviation. The Chicago Convention established ICAO, which is a specialised agency of the United Nations with responsibility for creating Standards and Recommended Practices for civil aviation.

ICAO operates through the ICAO Council, the Air Navigation Commission and various technical working groups and panels implemented by ICAO Member States.

Australia sits on the governing ICAO Council and is one of 11 elected States of chief importance in air transport, alongside the United States, the United Kingdom, China, France, Germany, Canada, Italy, Japan, Brazil and the Russian Federation.

Australian participation

Responsibility for Australia's participation in ICAO is shared among CASA, Airservices Australia and the Department of Infrastructure, Transport, Cities and Regional Development under a tripartite arrangement to ensure a coordinated and consistent policy approach. The three agencies jointly sponsor the Australian office in Montreal, Canada, that is responsible for direct liaison and coordination of ICAO activities. The memorandum of understanding in relation to the tripartite arrangement was renewed in 2018–19.

CASA makes a significant technical and leadership contribution to all major ICAO work. CASA is involved in more than a dozen ICAO forums on emerging global issues, such as fatigue risk management, remotely piloted aircraft systems, communication and navigation systems, and matters affecting the Asia-Pacific region, and facilitates and coordinates responses to ICAO State Letters which propose changes to Standards and Recommended Practices. CASA's level of ICAO engagement is reviewed annually as part of the tripartite arrangement.

In 2018–19, nine Australian Government agencies, including CASA, signed a memorandum of understanding to record our respective interests in ICAO and other aviation matters and meet the ICAO requirement to identify the bodies with lead responsibilities in relation to each Annex to the Chicago Convention.

Air Navigation Conference

In October 2018, ICAO held the 13th Air Navigation Conference in Montreal, Canada.

Held at intervals of approximately five years, the Air Navigation Conference plays a key role in formulating policy and technical recommendations on international air navigation and safety priorities for ICAO and States. Recommendations are submitted for endorsement at the ICAO Assembly, which meets at least once every three years; the next assembly will be held in late 2019.

The 13th Air Navigation Conference was attended by more than 1,000 delegates from 116 States and 37 international industry organisations.

The conference considered 300 working papers on a diverse range of topics, including the Global Air Navigation Plan and Global Aviation Safety Plan, the Global Aviation Safety Oversight System, remotely piloted aircraft systems, air traffic management, aerodrome operations, space flights, aviation meteorology and cyber resilience.

Australia presented five papers at the conference, covering harmonising system-wide information management; issues that needed to be addressed in progressing the Global Aviation Safety Oversight System concept; ICAO resourcing in the Asia-Pacific region; support and implementation of the recommendations of the Universal Safety Oversight Audit Programme; and a targeted risk assessment approach for the development of Standards and Recommended Practices.

In preparation for the conference, CASA worked closely with its New Zealand and Canadian counterparts under a trilateral arrangement signed in June 2018.

Pacific Small Islands Developing States – Aviation Needs Analysis

ICAO is conducting a study, Pacific Small Islands Developing States – Aviation Needs Analysis, which is due to report by September 2019. The wide-ranging study is considering air transport, aerodrome, aviation safety and security issues. The ICAO assessment team visited Australia to seek feedback from transport agencies in May 2019.

Directors General of Civil Aviation Conference

The Directors General of Civil Aviation (DGCA) Conference is an annual multilateral meeting that allows the heads of civil aviation regulatory agencies in the Asia-Pacific region to collaborate on improving aviation safety in a coordinated manner. The conference is supported by the ICAO Secretariat and is a valuable forum for workshopping policy proposals and gauging stakeholder support in the lead-up to other ICAO meetings. CASA leads the Australian delegation to the conference.

The 55th DGCA Conference was held in Nadi, Fiji, on 22–26 October 2018, with the theme of 'Collaboration and Harmonisation for a Safe, Secure and Sustainable Aviation in the Asia Pacific Region'.

The 235 delegates from 39 countries and administrations discussed the regional commitment to the declaration that was made by transport ministers at ICAO's Asia and Pacific Ministerial Conference in Beijing, China, in February 2018. The discussion focused on the commitments related to aerodrome certification, air traffic flow management and State Safety Programs.

Delegates also workshoped challenges in transition from aeronautical information services to aeronautical information management and other key issues. Australia presented a discussion paper on progressing the Global Aviation Safety Oversight System.

Regional Aviation Safety Group – Asia and Pacific Regions

The Regional Aviation Safety Group – Asia and Pacific Regions (RASG–APAC) is tasked with developing and implementing a work program that supports a regional performance framework for the management of safety on the basis of ICAO's Global Aviation Safety Plan and Global Aviation Safety Roadmap.

The reports of RASG–APAC meetings are reviewed regularly by the Air Navigation Commission and by the ICAO Council as necessary.

During the group's eighth meeting, held in Bangkok, Thailand, in September 2018, CASA's CEO/DAS was elected to chair the RASG–APAC for the next three years.

The Asia Pacific Regional Aviation Safety Team (APRAST) is a subgroup of the RASG–APAC. The objective of APRAST is to recommend to the RASG–APAC interventions that will reduce aviation risks in the Asia-Pacific region. APRAST includes representatives of overseas regulatory agencies in the Asia-Pacific region, as well as industry and other organisations.

CASA delegates attended APRAST meetings in Bangkok, Thailand, on 3–7 December 2018 and 27–31 May 2019.

Cooperative arrangements and agreements

Bilateral arrangements and agreements enable CASA and other Australian Government agencies to formalise regulatory relationships with foreign counterparts and streamline regulatory processes, which benefits the aviation

industry by improving the consistency of safety considerations, supporting a coordinated approach to regulation and reducing regulatory costs.

CASA is a participant in arrangements or agreements on matters ranging from airworthiness and aeronautical product certification to information sharing and mutual recognition of operators. These arrangements underpin and institutionalise working relationships between civil aviation safety agencies and enable better regulatory oversight of operators and companies that conduct business in Australia and overseas.

Technical arrangements

In October 2018, CASA signed a working arrangement with the Pacific Aviation Safety Office (PASO) to provide services on a cost recovery basis for five years (with an extension option for three years) and to establish a longer-term institutional partnership. The arrangement allows PASO to request technical assistance or advice from CASA, subject to CASA's available resourcing. It will support PASO to address regulatory gaps, particularly in respect of aerodrome inspection and audits.

CASA successfully transitioned to full membership of the European Union Safety Assessment of Foreign Aircraft program in late 2018. The program includes a centralised system of ramp inspection outcomes from participating regulators, housed in one database that is maintained and analysed by the European Aviation Safety Agency (EASA).

In March 2019, CASA and the Civil Aviation Authority of New Zealand signed a memorandum of understanding on aviation safety, to enhance the relationship and formalise cooperation on technical assistance, exchange programs, training, sharing of safety information and confidence-building exercises for developing technical arrangements.

Cooperative arrangements

The Australian Government's bilateral arrangements with Indonesia and Papua New Guinea (PNG) on aviation matters form part of a whole-of-portfolio approach to capacity building which includes the Department of Infrastructure, Transport, Cities and Regional Development, Airservices Australia, the ATSB and the Australian Maritime Safety Authority. CASA's activities with Indonesia and PNG under Australian Aid have been ongoing since 2007 and 2010, respectively.

Through Australian Aid programs, CASA implements activities to strengthen regulatory and organisational capacity while improving technical capabilities. In 2018–19, this included activities related to foreign operator entry control and surveillance, the development of currency training plans for safety inspectors, aviation legal practice and legal drafting, wildlife hazard management, aviation medicine oversight, dangerous goods management and airport emergency management.

Regional partnerships were strengthened through CASA's participation in the 18th Steering Committee Meeting of the Cooperative Development of Operational Safety and Continuing Airworthiness Programme, South East Asia; the ICAO–EASA Forum on Civil Aviation in South East Asia; and continued engagement with Australian officials in Indonesia and Timor-Leste.

Stakeholder forums

CASA engages with the international community to address evolving international aviation safety requirements and regulate and promote aviation safety, in Australia's best interests.

In 2018–19, CASA:

- hosted operational liaison and policy visits from the Civil Aviation Authority of New Zealand, including discussions on drones
- established a portal for information sharing between Australia, New Zealand and Canada
- met with regional representatives at the United States Federal Aviation Administration (FAA) Asia-Pacific Bilateral Partners meeting
- hosted a delegation from the South African Civil Aviation Authority with an interest in benchmarking client services
- met with the Director-General for Mobility and Transport from the European Commission
- attended the annual EASA–FAA International Aviation Safety Conference
- participated in the seventh World Civil Aviation Chief Executives Forum
- hosted a meeting with the Civil Aviation Administration of China to discuss safety priorities.

These forums were particularly useful for discussions on the assessment and return to service of the Boeing 737-8 MAX aircraft. CASA has been at the forefront of this work, having been invited to take part because of CASA's strong safety reputation, built on our international cooperation efforts.



Specialist training is delivered to CASA and industry

The Fatigue and Damage Tolerance course was held in Canberra on 20–24 May 2019.

The aim of the course was to develop and update Australian industry and CASA specialists on the current fatigue and damage tolerance philosophies and practices of the major airframe manufacturers and National Aviation Authorities.

The course involved lectures on the history of fatigue and damage tolerance and current practices and methodologies, with worked examples and homework to be completed after the lectures most evenings.

World-renowned specialist Dr Patrick Safarian, employed by the United States Federal Aviation Administration, was the guest lecturer for the course. Dr Safarian lectures at the University of Washington and Central Washington University.

The 20 course participants came from the aviation industry, the military, the Australian Transport Safety Bureau and CASA.

The course provided an opportunity to access specialist training which is otherwise not available in Australia and allowed aviation community members and CASA staff to receive the same information on current philosophies and practices. Industry participants appreciated the rare opportunity to access this type of specialised training.

Having attended the course, industry participants will be better equipped to prepare fatigue and damage tolerance submissions that will be equivalent to those required by other recognised National Aviation Authorities, and CASA staff who assess the industry submissions will be able to provide more informed review responses and approvals.

CASA's Training Branch acknowledged the collaboration between different areas of CASA required to set up the training event. Bringing in specialist expertise to train industry participants is seen by CASA as a cost-effective way to build both organisational and industry capability.



CASA chairs ICAO regional safety group

The Council of the International Civil Aviation Organization (ICAO) established the Regional Aviation Safety Group – Asia and Pacific Regions (RASG-APAC) to develop and implement a work program that supports a regional performance framework for the management of safety on the basis of the ICAO Global Aviation Safety Plan and Global Aviation Safety Roadmap.

The RASG-APAC supports the establishment and operation of a performance-based safety system for the Asia-Pacific region and enhanced regional reporting and risk identification.

During the group's eighth meeting, held in Bangkok, Thailand, in September 2018, CASA's Director of Aviation Safety, Shane Carmody, was elected to chair the RASG-APAC for the next three years.

CASA is chairing the group at a critical time, following the signing of the Beijing Declaration in February 2018. The declaration is a ministerial commitment to safety targets to enable all states in the Asia-Pacific region to achieve an increased level of effective implementation of ICAO standards. This is the first step towards the Asia-Pacific region meeting its obligations and having sound governance around the way in which ICAO regional groups work together.

With Graeme Harris, Director of the Civil Aviation Authority of New Zealand, currently chairing the ICAO Asia/Pacific Air Navigation Planning and Implementation Regional Work Group, it is an opportune time for CASA to bring trans-Tasman expertise to the Asia-Pacific region.

Forums discuss Asia-Pacific assistance

CASA was represented at the ICAO–European Aviation Safety Agency Forum on Civil Aviation in South East Asia and the 18th Steering Committee Meeting of the Cooperative Development of Operational Safety and Continuing Airworthiness Programme, South East Asia.

These forums focused on assistance requirements for a range of Asia-Pacific states and brought together donor regulators including the European Aviation Safety Agency, the United States Federal Aviation Administration and the United Kingdom Civil Aviation Authority.

CASA used the opportunity to discuss work carried out by multiple authorities providing assistance to the region, with a view to avoiding duplication and spreading the allocation of resources to meet the targets of the Beijing Declaration.

These initiatives are part of CASA's contribution to Australian efforts to examine the priority given to ICAO resourcing in the Asia-Pacific region in light of the growth of the aviation sector.

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As a corporate Commonwealth entity, CASA is accountable to the Minister, the Parliament of Australia and the Australian people.

This part of the report describes the outcomes of external scrutiny of CASA's activities and provides information to satisfy the reporting requirements of Commonwealth legislation and Australian Government policies that relate to CASA's performance.

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PART 05

OTHER ACCOUNTABILITY REPORTING

EXTERNAL SCRUTINY

As a Commonwealth statutory authority, CASA is subject to scrutiny by the Australian Parliament. CASA's activities may be subject to investigation or consideration by administrative agencies or the courts. In addition, CASA receives informal feedback on its performance through media coverage and complaints from industry or members of the public.

CASA welcomes external scrutiny as a means to confirm what it is doing well, and to identify ways to better meet its obligations and achieve its vision of *Safe skies for all*.

Parliamentary accountability

On 22 February 2019 and 4 April 2019, CASA appeared at the Senate Rural and Regional Affairs and Transport Legislation Committee Budget Estimates hearings. Issues raised at the hearings included:

- in February – regulations, changes to safety standards for community service flights, and remotely piloted aircraft systems
- in April – the decision by the Federal Court to not grant Angel Flight's application for a stay of the CASA legislative instrument for community service flights.

On 19 November 2018, CASA appeared before the Senate Rural and Regional Affairs and Transport Legislation Committee and discussed matters relating to aviation medical standards, CASR Part 149 and Recreational Aviation Australia, and CASA's stakeholder engagement survey.

On 13 March 2019, CASA appeared before the Australian Capital Territory Legislative Assembly Standing Committee on Economic Development and Tourism inquiry into drone delivery systems in the Australian Capital Territory and provided evidence regarding CASR Part 101 and CASA's approval process for Wing Aviation Pty Ltd's 'Project Wing' to conduct drone delivery trials.

On 14 March 2019, CASA provided evidence to the Senate Rural and Regional Affairs and Transport Legislation Committee inquiry into the provision of rescue, firefighting and emergency response at Australian airports.

On 1 April 2019, CASA appeared before the Joint Standing Committee on Treaties inquiries relating to the air services agreements between the Australian Government and the governments of Thailand, Timor-Leste and Papua New Guinea.

During the reporting period, CASA responded to five questions on notice and provided input on a question on notice addressed to the portfolio.

Regulator Performance Framework

Consistent with the requirements of the Government's Regulator Performance Framework, CASA established an external performance validation panel in June 2016. The panel provides CASA with advice on its performance targets as outlined in CASA's corporate plan.

The panel comprises a representative from the Department of Infrastructure, Transport, Cities and Regional Development, a representative from a comparable regulator (the Australian Maritime Safety Authority), a CASA representative and four industry representatives.

In support of the CASA Board, the role of the panel is to:

- assess the appropriateness of, and monitor, key performance measures for CASA
- review the relevance of the evidence used to support the performance measures
- monitor the appropriateness of the regulatory service standards and the measurement of performance against those standards.

The external performance validation panel met on 13 November 2018 and 19 March 2019 in addition to providing written advice and comments.

In accordance with the Regulator Performance Framework, CASA prepared a self-assessment report on its performance for 2017–18 in December 2018. The report was provided to the panel for review before it was submitted to the Minister in early 2019. The report is available on CASA's website.

CASA will provide its 2018–19 self-assessment report to the Minister separately from this annual report.

The prohibition period of 15 days was granted to allow CASA a further period of time in which to complete its investigation into the circumstances of that flight.

In the wake of the Federal Court judgement, Skymuster and its Chief Pilot agreed to a number of remedial actions to address CASA's safety concerns.

CASA's legal costs for 2018–19 are outlined in Table B.17 in Appendix B.

Judicial decisions

CASA was a party to one finalised matter before the Federal Court of Australia in 2018–19.

On 23 April 2019, CASA applied to the Federal Court pursuant to section 30DE of the *Civil Aviation Act 1988* for prohibition orders affecting the aviation activities of Skymuster Helicopters Pty Ltd (Skymuster) and the individual who was the operator's Chief Pilot and Managing Director.

In a judgement handed down on 2 May 2019 in the matter of *Civil Aviation Safety Authority v Skymuster Helicopters Pty Ltd* [2019] FCA 615, Justice Griffiths granted CASA's application by consent, prohibiting Skymuster and the Chief Pilot from doing anything that was otherwise authorised by their various aviation authorisations for a period of 15 days.

Although both respondents consented to the orders, the Federal Court was only able to grant CASA's application upon being satisfied that both respondents had engaged in, were engaging in, or were likely to engage in conduct that constitutes, contributes to or results in a serious and imminent risk to air safety.

Justice Griffiths set out his reasons for being so satisfied based upon evidence gathered by CASA depicting operations conducted by the Chief Pilot and Skymuster in a Robinson R44 helicopter at the Haggerstone Island Resort in North Queensland on 10 April 2019.

Coronial inquiries

Coroners investigate deaths, identify other injuries and make recommendations that may prevent deaths and non-fatal injuries.

Coroners' findings vary from brief descriptions about the place of death, the identity of the deceased and the cause of death through to detailed descriptions of the circumstances leading to the death and detailed recommendations about what might be done to prevent similar deaths and injuries in the future. Recommendations of this kind may deal with CASA's regulatory administration of aviation safety.

CASA participated in three coronial inquests in 2018–19. Coronial findings have been handed down in only one of those matters. In that matter, the coroner made a number of recommendations to CASA concerning aviation medical certification of pilots. Table 11 provides details of CASA's response to the coronial recommendations.

Table B.11 in Appendix B shows the numbers of coronial inquiries that involved CASA in each year from 2014–15 to 2018–19.

Table 11 CASA's response to coronial recommendations, 2018–19

Inquest	Paul Whyte – Crash of Cessna 172 (pilot suicide)
State	NSW
Date of findings	30 November 2018
Recommendations for CASA	<p>(1) That CASA give consideration to seeking an amendment of the indemnity currently provided in regulation 67.140 of the Civil Aviation Safety Regulations 1998 (CASR) to provide indemnification for a wider range of good faith reporting in relation to medical fitness by a broader range of persons.</p> <p>(2) That CASA undertake to liaise with the Commonwealth Minister for Human Services to determine whether there is a basis upon which it can appropriately share Pharmaceutical Benefits Scheme (PBS) prescribing information and Medical Benefits Scheme (MBS) information relating to persons who apply for the issue of a medical certificate under Part 67 of the CASR.</p>
CASA response	<p>(1) CASA accepts this recommendation. At the next opportunity where amendments are planned to Part 67 of the CASR, consideration will be given to public consultation on appropriate amendments to broaden the reach of the current indemnity contained in regulation 67.140.</p> <p>(2) After further reflection upon this recommendation, CASA does not propose to undertake the suggested liaison with the Minister for Human Services. In coming to this decision, CASA has been provided with a copy of the correspondence which passed between the Department of Human Services and the Coroner's Court in October 2018 in relation to this proposal. That letter identifies the secrecy provisions contained in the <i>National Health Act 1953</i> and the <i>Health Insurance Act 1973</i> pertaining to the release of PBS and MBS information. CASA has also reviewed the terms of those relevant provisions.</p> <p>Having regard to the sensitive personal nature of PBS and MBS information, and the extensive scope of the applicable secrecy provisions, CASA considers that it is unlikely that broad-based sharing of such information with CASA could be easily facilitated without legislative amendment.</p> <p>On that basis, and taking into account the small number of matters in which CASA routinely determines that access to PBS or MBS information would assist in its medical certification decision-making, CASA considers that its present protocols for requiring medical certificate applicants to authorise CASA to have access to their PBS and MBS information in appropriate cases provides the most efficient means of managing any risks associated with non-reporting of prescription medication use.</p> <p>CASA notes in this regard that recent technological advances, including the development of the myGov account and associated mobile device application, have further enhanced the ease and timeliness with which such information can be supplied in identified cases.</p>

Administrative scrutiny

Reports

During 2018–19, CASA was not the subject of any reports by the Australian Information Commissioner or the Auditor-General (other than the audit of CASA's financial statements).

Investigations

One investigation involving CASA was initiated by the Commonwealth Ombudsman in 2018–19. It involved CASA's review of a medical certificate application. In May 2019, the Ombudsman's Office advised that further investigation was not warranted and that it had closed the complaint file.

Reviews of regulatory decisions

Certain types of regulatory decisions made by CASA are subject to merits review by the Administrative Appeals Tribunal (AAT). Merits review involves the reconsideration of an administrative decision. On the facts before it, the tribunal decides whether the correct decision (or, where an exercise of discretion was involved, the preferable decision) has been made in accordance with the applicable law.

A person who is the subject of a CASA decision may apply directly to the Federal Court for a review of the decision under the *Administrative Decisions (Judicial Review) Act 1977*. In some cases, a decision of the AAT may be reviewed in the Federal Court.

Tables B.8 to B.10 in Appendix B provide details of AAT merits reviews of CASA regulatory decisions, the categories of CASA decisions appealed in the AAT, and applications to the Federal Court for judicial review of regulatory decisions.

Complaints

Complaints-handling mechanisms

The Industry Complaints Commissioner (ICC) provides an accessible and transparent mechanism for receiving and reviewing complaints about the actions, decisions and services provided by CASA staff, delegates and authorised persons.

Reporting to CASA's Board, the ICC considers complaints to establish whether CASA's administrative actions were wrong, unjust, unlawful, discriminatory or unfair.

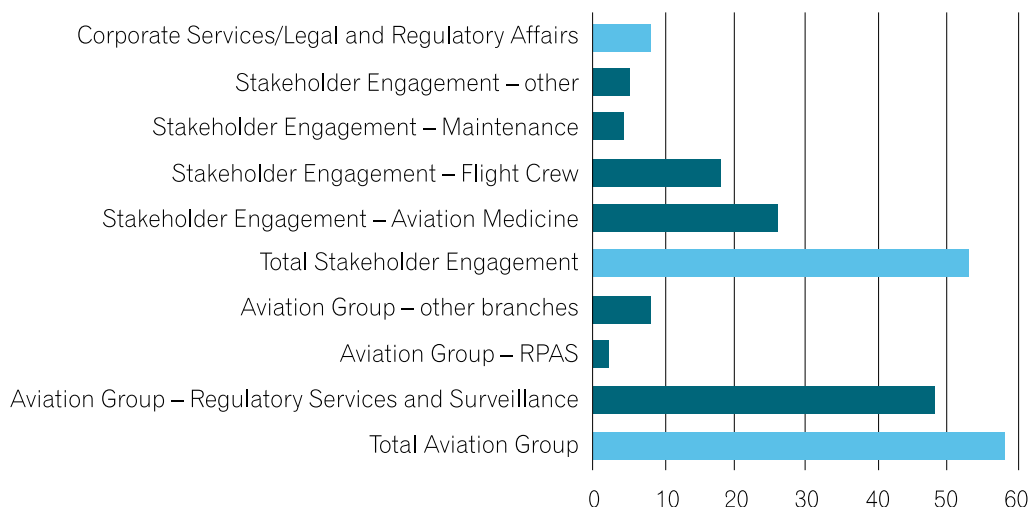
Governance arrangements support the ICC complaints-handling process and set out how identified deficiencies in CASA's processes and procedures are identified and resolved. The governance arrangements are periodically reviewed and were last updated in April 2019.

Complaints in 2018–19

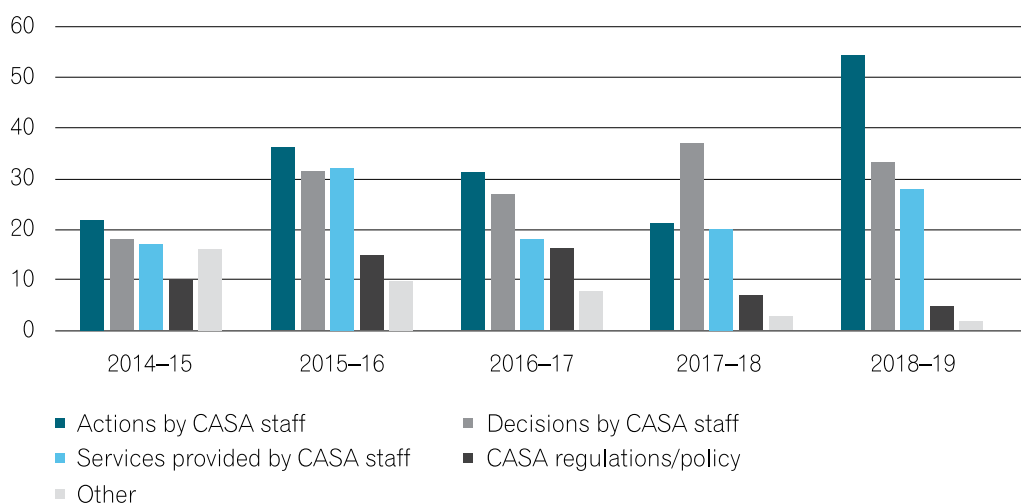
In 2018–19, the ICC resolved 148 complaints (including cases on hand at 1 July 2018), 120 of which were classified as either 'standard' or 'complex'.

Figure 13 shows the business groups within CASA about which complaints were made in 2018–19.

Figure 14 shows the categories into which complaints fell, for each year from 2014–15 to 2018–19. Multiple complaints made by two individuals about actions by CASA staff led to a significant increase in that category in 2018–19.

Figure 13 Standard and complex complaints resolved, by business group, 2018–19

RPAS = Remotely Piloted Aircraft Systems

Figure 14 Resolved complaints, by category, 2014–15 to 2018–19

Processing of complaints

The ICC aims to finalise 100 per cent of 'simple' complaints – complaints that are clearly outside the ICC's jurisdiction, or not related to CASA – within five business days.

For 'standard' cases, which represent the majority of cases received, the ICC aims to finalise 90 per cent of complaints within 30 business days. For 'complex' cases, which require expert advice, relate to novel issues or present a wide range of questions, the ICC aims to finalise 90 per cent of complaints within 90 business days.

In 2018–19, the ICC resolved:

- 100 per cent of the 28 simple cases within five days (average 1.1 days)
- 93 per cent of the 94 standard cases within 30 days (average 14.4 days)
- 65 per cent of the 26 complex cases within 90 days (average 71.0 days).

Complaint prevention strategies

The ICC has the power to make recommendations to CASA about individual cases and systemic issues. In 2018–19, the ICC made 14 recommendations, of which 13 were accepted by CASA and one is still under consideration. Recommendations are made with the aim of reducing future complaints and ensuring best practice.

The ICC recommendations made in 2018–19 included providing record-keeping training; resuming an application that had been suspended and was ultimately declined; apologising for breaching privacy and for providing inaccurate information; providing partial refunds for regulatory service tasks; and documenting work processes to ensure consistency.

Other strategies in 2018–19 included the internal publication of anonymised outcomes to highlight the ICC's work and common complaint pitfalls to be avoided.

COMPLIANCE WITH FINANCE LAW

Section 17BE(h) of the Public Governance, Performance and Accountability Rule 2014 requires corporate Commonwealth entities to report on any instances of significant non-compliance with finance law during the financial year.

CASA had no significant issues to report to the Minister in relation to noncompliance with finance law in 2018–19.

SIGNIFICANT ACTIVITIES AND CHANGES

Section 17BE(p) of the Public Governance, Performance and Accountability Rule 2014 requires corporate Commonwealth entities to report on significant activities and changes that affected their operations or structure during the financial year.

Reportable events include significant changes to the operational and financial results of the authority; the authority's state of affairs or principal activities; or the authority's enabling legislation or any other directly relevant legislation.

CASA had no significant activities or changes to report for 2018–19.

FREEDOM OF INFORMATION

The *Freedom of Information Act 1982* requires CASA to publish information as part of the Information Publication Scheme.

An agency plan showing what information is published in accordance with the Information Publication Scheme requirements is accessible from CASA's website.

ENFORCEMENT ACTIONS

Our coordinated enforcement process provides CASA's decision-makers with the benefit of legal, regulatory and technical and/or operational input when considering action that might be taken as a result of a breach of the civil aviation legislation. Results of this process may include compliance-related action, enforcement action, or both.

This may involve administrative action, which could result in a suspension, variation or cancellation of a civil aviation authorisation. It may also include a suspension under section 30DC of the Civil Aviation Act where there is a serious and imminent risk to safety.

Alternatively, or in combination with such action, CASA may issue aviation infringement notices attracting a small pecuniary fine or refer matters to the Commonwealth Director of Public Prosecutions.

CASA may also accept enforceable voluntary undertakings from individuals and companies, or may counsel them, depending on the circumstances of the breach and the appropriateness of doing so. In many cases, however, the coordinated enforcement process may result in a recommendation that no enforcement action be taken.

Table 12 shows compliance-related actions over the past five financial years. Tables B.12 to B.15 in Appendix B show details of medical certificate actions; licence and certificate actions; serious and imminent risk suspensions; and infringement notices and matters referred for prosecution.

Table 12 Compliance-related actions, 2014–15 to 2018–19

Action	2014–15	2015–16	2016–17	2017–18	2018–19
Enforceable voluntary undertakings	–	1	–	1	–
Counselling	17	39	68	106	105

ENVIRONMENTAL SUSTAINABILITY

The *Environment Protection and Biodiversity Conservation Act 1999* requires CASA to report on how its outcome and activities accord with the principles of ecologically sustainable development.

Environmental management system

CASA's environmental management system is designed to improve our environmental performance and reduce the environmental impact of our operations.

Our environmental sustainability policy is a key element of the environmental management system. The policy formalises CASA's commitment to environmental protection and provides a framework for achieving continuous improvement in environmental performance.

Measures taken to minimise the impact of activities on the environment

Strategies are in place to reduce the environmental impact of our operations. Objectives, targets and action plans are set out clearly, and responsibilities and timeframes have been established.

Environmental initiatives undertaken during the year included:

- conducting waste audits at CASA's Brisbane and Canberra offices, where there have been noticeable improvements in the rates of diversion from landfill
- maintaining accreditation in the Australian Capital Territory Government's business waste recycling program
- reducing tenant light and power energy consumption for Aviation House, Canberra, by 8 per cent, through the reprogramming of the light controls and the ongoing education of staff
- ordering hybrid vehicles in the CASA fleet as replacements for regular petrol-powered vehicles
- promoting the use of video conferencing as an alternative to air travel, and increasing video conferencing facilities through a built workplace review
- achieving 4.5 star or better base building National Australian Built Environment Rating System (NABERS) ratings for the leased office accommodation that we occupy in Brisbane, Canberra, Melbourne and Sydney
- activating soft plastics recycling in the Canberra office.

CASA achieved a number of improvements in relation to environmental performance indicators during 2018–19 (see Table 13).

CASA was not involved in any actions likely to have a significant impact on matters of national environmental significance on Commonwealth land.

Table 13 Environmental performance summary, 2017–18 to 2018–19

Indicator	2017–18	2018–19
Office energy usage		
Total tenant light and power energy consumption, including Aviation House server room (kWh)	1,966,978	1,845,397
Total tenant light and power energy consumption, excluding Aviation House server room (MJ)	5,108,978	4,705,971
Aviation House server room, Canberra (MJ)	1,972,206	1,937,457
Total tenant energy consumption per person, excluding Aviation House server room (MJ/head)	5,773	5,252 ^a
Total tenant energy consumption per square metre, excluding Aviation House server room (MJ/m ²)	267	253 ^b
Total greenhouse gas emissions attributed to tenant energy consumption, including Aviation House server room (tonnes CO ₂ -e)	1,544	1,447
Green power purchased (kWh)	55,444	43,886
Vehicle fleet		
Number of vehicles	35	34
Number of vehicles under 1,800 cc or hybrid	11	10
Total fuel used (litres)	28,861	27,472
Total distance travelled (km)	380,134	358,266
Average fuel consumption of fleet vehicles per 100 kilometres (litres)	7.6	7.7
Total greenhouse gas emissions attributed to motor vehicle fleet usage (tonnes CO ₂ -e)	74.5	66.4
Air travel		
Number of flights	10,691	11,160
Number of kilometres flown	15,675,996	14,705,924
Number of kilometres flown per head	17,713	16,125
Total greenhouse gas emissions attributed to air travel (CO ₂ -e kg)	1,505,311	1,377,910
Resource efficiency and waste		
Total office paper purchased (reams A4 per head)	6.0	6.1
Proportion of total office paper using more than 50% recycled content and/or certified carbon neutral	98%	98% ^c
Office paper recycled (tonnes)	37.4	28.2
Total waste produced (tonnes)	63.3	50.9
Total waste produced (kilograms per head)	71.6	55.8
Waste diverted from landfill	79% (50 tonnes)	86% (44 tonnes)

CO₂-e = carbon dioxide equivalent, kWh = kilowatt hour, MJ = megajoule, m² = square metre

a Head count includes staff (859) and contractors (53).

b Total office space was 18,598 m².

c Of the total 5,426 reams of paper, 5,326 reams were more than 50 per cent recycled and/or certified carbon neutral under the National Carbon Offset Standard.

Office energy use

CASA has in place an energy management plan aimed at minimising its use of energy in office buildings. When choosing and fitting out new office accommodation, we attempt to minimise our environmental footprint by including energy-efficient features and specifying energy-efficient lighting systems and fittings.

Motor vehicle fleet

CASA has a policy of selecting motor vehicles that are fit for purpose and provide the best value for money. Where operationally practical, CASA leases small, fuel-efficient vehicles.

During 2018–19, we operated a vehicle fleet consisting of 34 vehicles, of which 29 per cent had engine capacities under 1,800 cubic centimetres or were hybrid vehicles. Since 2010, the CASA fleet has reduced in size by 16 vehicles.

During 2019–20, CASA will take delivery of five new hybrid vehicles (replacing petrol-powered vehicles) and four new 4-cylinder vehicles (replacing 6-cylinder vehicles), which will increase the percentage of vehicles that are hybrid vehicles or have an engine capacity under 1800 cubic centimetres to 56 per cent of the 34-car fleet.

Waste management and resource efficiency

All of CASA's offices provide a range of recycling opportunities. Through improved recycling signage and awareness campaigns, CASA is increasing the amount of waste diverted from landfill to recycling.

Large stationery recycling stores operate in Brisbane and Canberra, while stationery recycling is encouraged in all other offices, allowing staff to place surplus stationery in a central location for use by other teams. In Canberra, CASA has been accredited under the Australian Capital Territory Government recycling program since the program's inception 10 years ago.

Of paper used by CASA, 98.16 per cent has a recycled content of more than 50 per cent or is 20 per cent recycled and certified carbon neutral under the National Carbon Offset Standard.

PROCUREMENT

CASA's procurement framework is consistent with the Commonwealth Procurement Rules and reflects value for money – the core principle governing Australian Government procurement. CASA applies the rules to its activities through a CEO Instruction and supporting operational procedures.

The organisation's procurement framework helps to ensure that it undertakes competitive, non-discriminatory procurement processes; uses its resources efficiently, effectively and ethically; and makes decisions in an accountable and transparent manner.

CASA has standard tendering and contracting documentation to ensure that consistent procurement practices are employed across the organisation.

Information on the value of contracts and consultancies is available on CASA's website. The total cost of consultancies to CASA in 2018–19 was \$4,296,861.

ADVERTISING

Section 311A of the *Commonwealth Electoral Act 1918* requires Australian Government departments and agencies to set out in their annual reports details of amounts greater than \$13,800 (inclusive of GST) paid by or on behalf of them during the year to advertising agencies, market research organisations, polling organisations, direct mail organisations and media advertising organisations.

During 2018–19, CASA contracted market research and advertising agency services for a proposed drone registration and accreditation scheme and placed outdoor and cinema

advertising to promote drone safety. Some of these activities were delivered using appropriated funds from a New Policy Proposal in relation to management of drones.

The amounts that CASA paid to media, advertising and direct mail organisations in 2018–19 are detailed in Table B.16 in Appendix B.

SPONSORSHIPS AND GRANTS

CASA provides sponsorship support to aviation-related organisations and events to help improve and promote aviation safety.

Clear sponsorship guidelines, along with our current safety promotion priorities, are available on CASA's website.

Table 14 shows the value of CASA's sponsorships and grants and the numbers of organisations or events assisted in recent years.

Table 14 Sponsorships and grants, 2014–15 to 2018–19

Financial year	Total funds	No. of organisations/ events
2014–15	\$205,349	18
2015–16	\$194,584	34
2016–17	\$205,546	31
2017–18	\$117,652	21
2018–19	\$204,112	24

RELATED ENTITY TRANSACTIONS

In 2018–19, there were no transactions for goods and services or provisions of grants to any entity in which a director of CASA was also a director.

INSURANCE AND INDEMNITIES

The Commonwealth indemnified CASA in relation to liabilities associated with acts or omissions that occurred before the expiry of two deeds of indemnity in July and August 1998. Since then, CASA has arranged its own insurance for these risks through a Comcover policy.

In 2018–19, CASA held aviation and general liability, professional indemnity, directors' and officers' liability, and a range of other corporate insurance.

Aviation and general liability

Aviation and general liability insurance provides coverage for injuries caused to third parties or to the property of third parties as a result of negligence arising out of the performance of CASA's functions under the Civil Aviation Act, the *Civil Aviation (Carriers' Liability) Act 1959* and other applicable legislation.

Professional indemnity

CASA's Comcover insurance policy covers liability arising from breaches of duty or negligence by a CASA officer. Further, the aviation liability component of the policy covers liability in respect of the indemnity given to industry delegates and authorised persons. The policy is subject to exclusions.

Directors' and officers' liability

In 2018–19, CASA held insurance protecting directors and officers from liability for the consequences of wrongful acts, as defined in CASA's Comcover policy.



Human factors resource kit reinforces safety culture

A major update of CASA's *Safety Behaviours: Human Factors for Pilots* resource kit was published in February 2019. The kit offers practical and insightful information for pilots of all levels and experience, as well as air operators.

The kit includes 10 booklets covering a range of topics – safety culture, human performance, communication, teamwork, decision-making and more – and a workbook with practical exercises, discussion areas and reference material. This edition covers new topics such as the rapid growth of automation and satellite-based navigation.

The science and theory of human factors is brought to life through the stories and practical advice of over 40 aviation industry professionals who feature in a suite of new videos included in the kit.

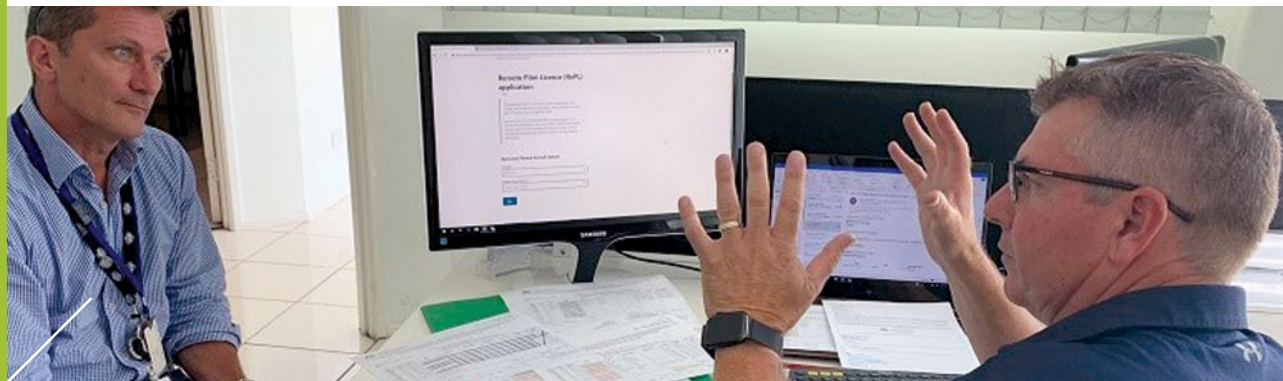
Aviation industry specialists such as Richard de Crespigny (best known as the pilot who safely landed Qantas Flight 32 after an engine explosion), Matt Hall (former Royal Australian Air Force pilot and current Red Bull racing pilot), Louise Kirkwood (Manager Human Factors, Qantas) and Sidney Dekker (safety culture specialist) all talk about their own human factors learnings.

The fully revised second edition has a special focus on the unique charter environment and is designed to help charter operators and pilots meet the human factors requirements of Parts 119 and 135 of the Civil Aviation Safety Regulations.

Part 119 deals with the certification and management of air transport operators and Part 135 covers smaller aeroplane air transport operators. CASA expects the kit to also be an excellent safety tool for other air operators, such as regular public transport and air ambulance operators.

Individual pilots can use the booklets in the kit to improve their knowledge of human factors at their own pace, and the workbook exercises can be used as a guide to reinforce understanding of the key points for each topic.

The updated *Safety Behaviours: Human Factors for Pilots* kit is available for free on CASA's website or can be ordered in hard copy from the CASA online store.



Remote pilot licence application goes online

Wicked Copters and Air Support Queensland were given a sneak peek of CASA's new online remote pilot licence application process when they participated in the 'beta' release of the system in late March 2019.

The two remotely piloted aircraft operator certificate training organisations, based in Brisbane, were asked to help with final testing of the system before it was released to all such training organisations on 1 April 2019.

Both schools were able to create an account, submit licence applications for multiple students and make their payments online. The new process allowed these actions to take only minutes, whereas the previous, manual process could take up to 20 days.

The new system allows training schools to process the remote pilot licence application while the student is with them so that the student leaves with their licence rather than having to wait for it to arrive by post.

Both schools commented that this was a great step forward for CASA and that the new process not only was much simpler, but also had been built with the users of the system in mind.

The testing by the two schools over two days also enabled CASA to pick up issues that had not been identified during user acceptance testing and address them before going live to a broader audience.

This was a significant milestone for CASA's Service Delivery Transformation program, which will contribute to CASA becoming a more efficient and effective organisation.

The process started in 2018 with the Service Delivery Transformation design team identifying the existing manual process and developing a design for the new process. Involving the people who will be using the system and collaborating across CASA were integral factors in the success of the refined application process.

image: © Unsplash | David Henrichs



This part of the report provides the entirety of CASA's financial statements, audit opinion and explanatory notes for 2018–19. The Australian National Audit Office has performed an independent audit of, and expressed an unqualified opinion on, the financial statements.

In this part:

- Independent auditor's report 128
- Statement by the Chair of the Board, Chief Executive Officer and Director of Aviation Safety and Chief Financial Officer 130
- Statement of comprehensive income 131
- Statement of financial position 132
- Statement of changes in equity 133
- Cash flow statement 134
- Notes to and forming part of the financial statements 135

PART 06

FINANCIAL STATEMENTS



INDEPENDENT AUDITOR'S REPORT

To the Minister for Infrastructure, Transport and Regional Development

Opinion

In my opinion, the financial statements of the Civil Aviation Safety Authority ('the Entity') for the year ended 30 June 2019:

- (a) comply with Australian Accounting Standards – Reduced Disclosure Requirements and the *Public Governance, Performance and Accountability (Financial Reporting) Rule 2015*; and
- (b) present fairly the financial position of the Entity as at 30 June 2019 and its financial performance and cash flows for the year then ended.

The financial statements of the Entity, which I have audited, comprise the following statements as at 30 June 2019 and for the year then ended:

- Statement by the Chair of the Board, Chief Executive Officer and Director of Aviation Safety and Chief Financial Officer;
- Statement of Comprehensive Income;
- Statement of Financial Position;
- Statement of Changes in Equity;
- Cash Flow Statement; and
- Notes to and forming part of the financial statements.

Basis for opinion

I conducted my audit in accordance with the Australian National Audit Office Auditing Standards, which incorporate the Australian Auditing Standards. My responsibilities under those standards are further described in the *Auditor's Responsibilities for the Audit of the Financial Statements* section of my report. I am independent of the Entity in accordance with the relevant ethical requirements for financial statement audits conducted by the Auditor-General and his delegates. These include the relevant independence requirements of the Accounting Professional and Ethical Standards Board's APES 110 *Code of Ethics for Professional Accountants* (the Code) to the extent that they are not in conflict with the *Auditor-General Act 1997*. I have also fulfilled my other responsibilities in accordance with the Code. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

Accountable Authority's responsibility for the financial statements

As the Accountable Authority of the Entity the Chair of the Board is responsible under the *Public Governance, Performance and Accountability Act 2013* (the Act) for the preparation and fair presentation of annual financial statements that comply with *Australian Accounting Standards – Reduced Disclosure Requirements* and the rules made under the Act. The Chair of the Board is also responsible for such internal control as the Chair of the Board determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Chair of the Board is responsible for assessing the ability of the Entity to continue as a going concern, taking into account whether the Entity's operations will cease as a result of an administrative restructure or for any other reason. The Chair of the Board is also responsible for disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the assessment indicates that it is not appropriate.

Auditor's responsibilities for the audit of the financial statements

My objective is to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with the Australian National Audit Office Auditing Standards will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements.

As part of an audit in accordance with the Australian National Audit Office Auditing Standards, I exercise professional judgement and maintain professional scepticism throughout the audit. I also:

- identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for my opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control;
- obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Entity's internal control;
- evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the Accountable Authority;
- conclude on the appropriateness of the Accountable Authority's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Entity's ability to continue as a going concern. If I conclude that a material uncertainty exists, I am required to draw attention in my auditor's report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify my opinion. My conclusions are based on the audit evidence obtained up to the date of my auditor's report. However, future events or conditions may cause the Entity to cease to continue as a going concern; and
- evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

I communicate with the Accountable Authority regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.

Australian National Audit Office



Rahul Tejani

Audit Principal

Delegate of the Auditor-General

Canberra

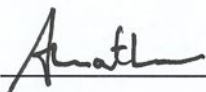
19 August 2019

**STATEMENT BY THE CHAIR OF THE BOARD, CHIEF EXECUTIVE OFFICER AND
DIRECTOR OF AVIATION SAFETY AND CHIEF FINANCIAL OFFICER**

In our opinion, the attached financial statements for the year ended 30 June 2019 comply with subsection 42(2) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), and are based on properly maintained financial records as per subsection 41(2) of the PGPA Act.

In our opinion, at the date of this statement, there are reasonable grounds to believe that the Civil Aviation Safety Authority will be able to pay its debts as and when they fall due.

This statement is made in accordance with a resolution of the directors.



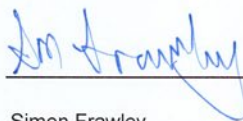
Anthony Mathews
Chair of the Board

16 August 2019



Shane Carmody
*Chief Executive Officer and
Director of Aviation Safety*

16 August 2019



Simon Frawley
Chief Financial Officer

16 August 2019

CIVIL AVIATION SAFETY AUTHORITY
STATEMENT OF COMPREHENSIVE INCOME

For the period ended 30 June 2019

	Notes	2019 \$'000	2018 \$'000	2019 original budget \$'000
NET COST OF SERVICES				
EXPENSES				
Employee benefits	1.1A	125,655	121,333	126,102
Suppliers	1.1B	51,440	47,040	50,058
Depreciation and amortisation	2.2A	9,731	11,421	12,362
Finance costs		14	7	-
Write-down and impairment of assets	2.2A	180	35	-
Losses from asset sales		-	24	-
TOTAL EXPENSES		187,020	179,860	188,522
OWN-SOURCE INCOME				
Own-source revenue				
Fees	1.2A	14,052	13,998	16,500
Interest	1.2B	1,834	1,747	1,400
Other revenue	1.2C	938	686	1,000
Total own-source revenue		16,824	16,431	18,900
Gains				
Other gains		377	509	-
Total gains		377	509	-
TOTAL OWN-SOURCE INCOME		17,201	16,940	18,900
NET COST OF SERVICES		(169,819)	(162,920)	(169,622)
Revenue from government	1.3A	44,136	41,535	43,936
Aviation fuel excise	1.3A	122,209	121,895	125,700
SURPLUS / (DEFICIT) ON CONTINUING OPERATIONS		(3,474)	510	14
OTHER COMPREHENSIVE INCOME				
Items not subject to subsequent reclassification to net cost of services				
Asset revaluation decrement		(538)	(562)	-
TOTAL OTHER COMPREHENSIVE INCOME		(538)	(562)	-
TOTAL COMPREHENSIVE INCOME / (LOSS)		(4,012)	(52)	14

The above statement should be read in conjunction with the accompanying notes, including explanation of major variances from budget at note 7.

Other gains consist of the reversal of make-good provisions and resources received free of charge.

Original budget figures are those published in CASA's 2018–19 Portfolio Budget Statements.

CIVIL AVIATION SAFETY AUTHORITY STATEMENT OF FINANCIAL POSITION

as at 30 June 2019

	Notes	2019 \$'000	2018 \$'000	2019 original budget \$'000
ASSETS				
Financial assets				
Cash, cash equivalents and investments	2.1A,B	64,235	69,185	66,620
Trade and other receivables	2.1C	1,307	1,045	3,268
Accrued revenue	2.1D	2,706	2,629	-
Total financial assets		68,248	72,859	69,888
Non-financial assets				
Property, plant and equipment	2.2A	11,461	15,387	14,027
Intangibles	2.2A	27,324	16,589	23,715
Prepayments	2.2B	3,437	2,967	2,502
Total non-financial assets		42,222	34,943	40,244
TOTAL ASSETS		110,470	107,802	110,132
LIABILITIES				
Payables				
Suppliers	2.3A	7,730	3,257	6,257
Other payables	2.3B	4,950	6,668	7,000
Total payables		12,680	9,925	13,257
Provisions				
Employee provisions	2.4A	34,511	30,338	29,330
Other provisions	2.4B	828	1,076	1,000
Total provisions		35,339	31,414	30,330
TOTAL LIABILITIES		48,019	41,339	43,587
NET ASSETS		62,451	66,463	66,545
EQUITY				
Contributed equity		3,295	3,295	3,295
Asset revaluation reserves		7,994	8,532	9,094
Retained surplus		51,162	54,636	54,156
TOTAL EQUITY		62,451	66,463	66,545

The above statement should be read in conjunction with the accompanying notes, including explanation of major variances from budget at note 7.

The original budget balances have been adjusted so as to be consistent with the financial statement classifications.

Original budget figures are those published in CASA's 2018–19 Portfolio Budget Statements.

CIVIL AVIATION SAFETY AUTHORITY
STATEMENT OF CHANGES IN EQUITY

For the period ended 30 June 2019

	Retained earnings		Asset revaluation surplus		Contributed equity / capital		Total equity	
	2019 \$'000	2018 \$'000	2019 \$'000	2018 \$'000	2019 \$'000	2018 \$'000	2019 \$'000	2018 \$'000
Opening balance	54,636	54,126	8,532	9,094	3,295	3,295	66,463	66,515
Comprehensive income								
Other comprehensive income	-	-	(538)	(562)	-	-	(538)	(562)
Surplus / (Deficit) for the period	(3,474)	510	-	-	-	-	(3,474)	510
Total comprehensive income	(3,474)	510	(538)	(562)	-	-	(4,012)	(52)
Closing balance as at 30 June 2019	51,162	54,636	7,994	8,532	3,295	3,295	62,451	66,463
Original budget	54,156		9,094		3,295		66,545	

The above statement should be read in conjunction with the accompanying notes, including explanation of major variances from budget at note 7.

Original budget figures are those published in CASA's 2018–19 Portfolio Budget Statements.

CIVIL AVIATION SAFETY AUTHORITY

CASH FLOW STATEMENT

For the period ended 30 June 2019

	Notes	2019 \$'000	2018 \$'000	2019 original budget \$'000
OPERATING ACTIVITIES				
Cash received				
Receipts from government		44,136	41,535	43,936
Aviation fuel excise		122,149	121,513	125,700
Sale of goods and rendering of services		14,677	15,123	17,582
Interest		1,875	1,626	1,425
Net GST received		5,686	5,059	-
Total cash received		188,523	184,856	188,643
Cash used				
Employees		(121,444)	(119,438)	(126,185)
Suppliers		(54,813)	(57,667)	(51,174)
Total cash used		(176,257)	(177,105)	(177,359)
Net cash from operating activities	6	12,266	7,751	11,284
INVESTING ACTIVITIES				
Cash received				
Proceeds from sale of property, plant and equipment		41	2	-
Total cash received		41	2	-
Cash used				
Purchase of property, plant and equipment and intangibles		(17,257)	(7,903)	(17,550)
Total cash used		(17,257)	(7,903)	(17,550)
Net cash used by investing activities		(17,216)	(7,901)	(17,550)
<i>Net decrease in cash held</i>		(4,950)	(150)	(6,266)
Cash and cash equivalents at the beginning of the reporting period		69,185	69,335	72,592
Cash and cash equivalents at the end of the reporting period		64,235	69,185	66,326

The above statement should be read in conjunction with the accompanying notes, including explanation of major variances from budget at note 7.

Original budget figures are those published in CASA's 2018–19 Portfolio Budget Statements.

CIVIL AVIATION SAFETY AUTHORITY

NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2019

Overview

Note 1:	Financial performance
Note 2:	Financial position
Note 3:	People and relationships
Note 4:	Managing uncertainties
Note 5:	Regulatory charging summary
Note 6:	Cash flow reconciliation
Note 7:	Explanations of major budgetary variances

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Overview**Objective of the Civil Aviation Safety Authority (CASA)**

The Civil Aviation Safety Authority (CASA) is an Australian government controlled, not-for-profit entity. The objective of CASA 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.

CASA is structured to meet a sole outcome, 'Maximise aviation safety through a regulatory regime, detailed technical material on safety standards, comprehensive aviation industry oversight, risk analysis, industry consultation, education and training'.

The continued existence of CASA, in its present form and with its present programs, is dependent on government policy and on continuing appropriations by Parliament for CASA's administration and programs.

Basis of preparation of the financial statements

The financial statements are required by section 42 of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and are general purpose financial statements.

The financial statements have been prepared in accordance with:

- Public Governance, Performance and Accountability (Financial Reporting) Rule 2015 (FRR); and
- Australian Accounting Standards and Interpretations—Reduced Disclosure Requirements issued by the Australian Accounting Standards Board (AASB) that apply for the reporting period.

The financial statements have been prepared on an accrual basis and in accordance with historical cost convention, except for certain assets at fair value. Except where stated, no allowance is made for the effect of changing prices on the results or the financial position.

The financial statements have been presented in Australian dollars and values are rounded to the nearest thousand dollars unless otherwise specified.

Unless an alternative treatment is specifically required by an accounting standard or the FRR, assets and liabilities are recognised in the statement of financial position when and only when it is probable that future economic benefits will flow to the entity or a future sacrifice of economic benefits will be required and the amounts of the assets or liabilities can be reliably measured. However, assets and liabilities arising under executory contracts are not recognised unless required by an accounting standard. Liabilities and assets that are unrecognised are reported as a commitment or a contingency.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Unless alternative treatment is specifically required by an accounting standard, income and expenses are recognised in the statement of comprehensive income when and only when the flow, consumption or loss of economic benefits has occurred and can be reliably measured.

New accounting standards

All new/revised/amended standards and/or interpretations that were issued prior to the sign-off date and are applicable to the current reporting period did not have a material effect on the entity's financial statements.

Significant accounting judgements and estimates

In the process of applying the accounting policies listed in this note, CASA has made the following judgements that have the most significant impact on the amounts recorded in the financial statements:

- the value of the long service leave component of the leave provision is an estimate based on expert actuarial assumptions on the likely tenure of existing staff, patterns of leave claims and payouts, future salary movements and discount rates (ten year government bond rate).

No other accounting assumptions or estimates have been identified that have a significant risk of causing a material adjustment to carrying amounts of assets and liabilities within the next accounting period.

Taxation

CASA is exempt from all forms of taxation except Fringe Benefits Tax (FBT) and the Goods and Services Tax (GST).

Revenues, expenses and assets are recognised net of GST, except:

- where the amount of GST incurred is not recoverable from the Australian Taxation Office; and
- for receivables and payables.

Insurance

CASA has insured for risks through the Australian Government's insurable risk managed fund, called 'Comcover'. Workers' compensation is insured through Comcare.

Events after the reporting period

There was no subsequent event that had the potential to significantly affect the ongoing structure and financial activities of CASA.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Note 1: Financial performance

	2019	2018
	\$'000	\$'000
Note 1.1: Expenses		
Note 1.1A: Employee benefits		
Wages and salaries	94,050	92,459
Superannuation:		
Defined contribution plans	10,572	10,143
Defined benefit plans	6,745	6,952
Leave and other entitlements	12,480	9,738
Separation and redundancies	609	1,019
Other employee benefits	1,199	1,022
Total employee benefits	125,655	121,333

Accounting policy**Superannuation**

The Public Sector Superannuation Accumulation Plan (PSSap) is the CASA nominated employee default fund for persons employed under the Civil Aviation Act 1988. Some CASA staff remain eligible to be members of closed Commonwealth defined benefits schemes. The schemes are the Commonwealth Superannuation Scheme (CSS), the Public Sector Superannuation Scheme (PSS) and the AvSuper defined benefits scheme.

The CSS and PSS are defined benefit schemes for the Australian Government. The PSSap is a defined contribution scheme. AvSuper provides for both defined benefits and defined contributions.

The liability for the CSS, PSS and AvSuper defined benefits portion is recognised in the financial statements of the Australian Government and are settled by the Australian Government in due course. This liability is reported in the Department of Finance's administered schedules and notes.

CASA makes employer contributions to the employees' superannuation scheme at rates determined by an actuary to be sufficient to meet the current cost to the government. CASA accounts for the contributions as if they were contributions to defined contribution plans.

Leave and other entitlements

Accounting policies for leave and other entitlements is contained at Note 2.4 – Provisions.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

	2019	2018
	\$'000	\$'000
Note 1.1B: Suppliers		
Goods and services		
Consultancies and service contracts	15,315	9,933
Information technology and telephone charges	8,194	7,937
Insurance	827	801
Media, publications and subscriptions	939	875
Office supplies, photocopying and printing	757	579
Postage, freight and storage	456	452
Property operating costs	1,628	1,615
Recruitment	140	273
Travel and transport	8,138	8,818
Training costs	2,675	3,641
Other goods and services	2,288	1,916
Total goods and services	41,357	36,840
Other suppliers		
Operating lease rentals	9,379	9,799
Workers compensation expenses	704	401
Total other suppliers	10,083	10,200
Total suppliers	51,440	47,040

Accounting policy

Operating lease payments are expensed on a straight line basis which is representative of the pattern of benefits derived from the leased assets.

Leasing commitments

CASA, in its capacity as lessee, has leasing agreements for accommodation and motor vehicles. The agreements are effectively non-cancellable and some have options for extension but no options for purchase.

Commitments for minimum lease payments in relation to non-cancellable operating leases are payable as follows:

Within 1 year	8,993	9,451
Between 1 to 5 years	22,819	23,377
More than 5 years	12,849	1,973
Total operating lease commitments	44,661	34,801

Amounts for leasing commitments are GST inclusive.

The increase in leasing commitments payable in more than five years time is due to a new lease agreement for CASA's Brisbane office commencing December 2019.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

	2019	2018
	\$'000	\$'000

Note 1.2: Own-source income**Own-source revenue****Note 1.2A: Fees***Civil Aviation (Fees) Regulations Act 1995*

Total fees	14,052	13,998
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Note 1.2B: Interest

Cash at bank and deposits at call

Held to maturity investments – term deposits

Total interest	1,834	1,747
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Note 1.2C: Other revenue

Sales of forms and documents

Administrative fines

Proceeds from sales of assets

Other sundry revenue

Total other revenue	938	686
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Other sundry revenue consists primarily of recovery of flight validation costs and revenue from conference fees and courses held by CASA.

Cost recovery of travel hours have been reclassified from Other Revenue to Fees (2019: \$139,157 and 2018: \$131,935).

Accounting policy**Revenue from the sale of goods and rendering of services**

Revenue from the sale of goods is recognised when:

- the risks and rewards of ownership have been transferred to the buyer;
- CASA retains no managerial involvement or effective control over the goods;
- the revenue and transaction costs incurred can be reliably measured; and
- it is probable that the economic benefits associated with the transaction will flow to CASA.

Revenue from rendering of services is recognised by reference to the stage of completion of contracts at the reporting date. The revenue is recognised when:

- the amount of revenue, stage of completion and transaction costs incurred can be reliably measured; and
- the probable economic benefits associated with the transaction will flow to CASA.

The stage of completion of contracts at the reporting date is determined by reference to the proportion that costs incurred to date bear to the estimated total costs of the transaction.

Resources received free of charge

Resources received free of charge are recorded as either revenue or gains depending on their nature.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

	2019 \$'000	2018 \$'000
Note 1.3: Revenue from Government		
Note 1.3A: Revenue from Government		
Department of Infrastructure, Transport, Cities and Regional Development:		
PGPA Act body payment item	43,936	41,313
Indonesia Transport Safety Assistance Package	200	222
Revenue from Government	44,136	41,535
Aviation fuel excise		
<i>Aviation Fuel Revenues (Special Appropriation) Act 1988</i>	122,209	121,895
Total revenue from Government	166,345	163,430

Accounting policy**Revenue from Government**

Funding received or receivable from the Department of Infrastructure, Transport, Cities and Regional Development, including aviation fuel excise, (appropriated to the Department of Infrastructure, Transport, Cities and Regional Development as a PGPA Act body payment item for payment to CASA) is recognised as revenue from government unless the funding is in the nature of an equity injection or a loan.

Indonesia Transport Safety Assistance Package is funded by the Australian Government to assist Indonesia to regulate and promote transport safety in accordance with applicable international standards and contemporary safety management practices.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Note 2: Financial position

	2019	2018
	\$'000	\$'000

Note 2.1: Financial assets**Note 2.1A: Cash and cash equivalents**

Cash at bank and deposits at call	4,235	4,185
Total cash and cash equivalents	4,235	4,185

Note 2.1B: Investments held to maturity

Held to maturity investments	60,000	65,000
Total held to maturity investments	60,000	65,000

Total cash and investments	64,235	69,185
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Accounting policy**Cash**

Cash is recognised at nominal amounts. Cash and cash equivalents includes cash at bank and at-demand bank deposits. Temporary surplus funds, mainly from draw downs of appropriation and weekly aviation fuel excise claims, are placed on deposit at call with CASA's banker. Interest is earned on the daily balance at the prevailing rate for money on call and is paid at the beginning of the following month.

Investments

Investments are recognised at nominal amounts. Investments include deposits with original maturity of 6 months or more. Interest is credited to revenue as it accrues. Interest is earned on the daily balance at the prevailing rate for investments and is paid at maturity.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

	2019	2018
	\$'000	\$'000
Note 2.1C: Trade and other receivables		
Goods and services receivables:		
Goods and services receivables	403	341
Total goods and services receivables	403	341
Other receivables:		
Net GST receivable	904	704
Total other receivables	904	704
Total trade and other receivables	1,307	1,045

All receivables are expected to be recovered in no more than 12 months.

Accounting policy

Receivables for goods and services, which have 30 day terms, are recognised at the nominal amounts due less any impairment allowance account. Collectability of debts is continually reviewed. Allowances are made on an expected loss basis.

Trade receivables and other receivables are recorded at face value less any impairment.

Trade receivables are recognised where CASA becomes party to a contract and has a legal right to receive cash. Loans and receivables are assessed for impairment on initial recognition. Impairment allowances are made on a lifetime expected loss basis. Trade receivables are derecognised on payment.

The fair values of CASA's financial assets and liabilities approximate their carrying amounts.

CASA has policies and procedures that guide employees' debt recovery. CASA does not require collateral in respect of trade and other receivables. Impairment of \$240 of trade receivables was recognised in 2019 (2018: nil).

Note 2.1D: Accrued revenue

Accrued aviation fuel excise revenue	2,052	1,992
Accrued interest	446	486
Other income	208	151
Total accrued revenue	2,706	2,629

CIVIL AVIATION SAFETY AUTHORITY

NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2019

Note 2.2: Non-financial assets**Note 2.2A: Reconciliation of the opening and closing balances of property, plant and equipment and intangibles**

	Property, plant and equipment		Computer software				Total \$'000
	In use \$'000	Work in progress \$'000	Internally developed in use \$'000	Purchased in use \$'000	Internally developed work in progress \$'000	Purchased work in progress \$'000	
As at 1 July 2018							
Gross book value	16,642	902	30,997	12,192	2,937	520	64,190
Accumulated depreciation / amortisation	(2,157)	-	(19,211)	(10,826)	-	-	(32,194)
Accumulated impairment	-	-	-	(20)	-	-	(20)
Total as at 1 July 2018	14,485	902	11,786	1,346	2,937	520	31,976
Total of class including work in progress as at 1 July 2018	15,387			16,589			31,976
Additions:							
By purchase	-	1,781	-	-	-	7,725	9,506
Internally developed	-	-	-	-	7,751	-	7,751
Reclassification	-	(620)	-	-	(1,457)	2,077	-
Transfers	1,061	(1,061)	5,749	5,647	(5,749)	(5,647)	-
Revaluations and impairments recognised in other comprehensive income:							
Gross Value	(5,964)	-	-	-	-	-	(5,964)
Accumulated depreciation	5,433	-	-	-	-	-	5,433
Disposals:							
Gross value of disposals	(82)	-	(818)	(75)	-	-	(975)
Accumulated depreciation on disposals	76	-	818	75	-	-	969
Write-down of assets:							
Gross value	-	(19)	-	-	(155)	(6)	(180)
Depreciation / amortisation expense	(4,531)	-	(3,900)	(1,300)	-	-	(9,731)
Total as at 30 June 2019	10,478	983	13,635	5,693	3,327	4,669	38,785
Total as at 30 June 2019 represented by:							
Gross book value	11,657	983	35,928	17,764	3,327	4,669	74,328
Accumulated depreciation / amortisation	(1,179)	-	(22,293)	(12,051)	-	-	(35,523)
Accumulated impairment	-	-	-	(20)	-	-	(20)
Total as at 30 June 2019 represented by:	10,478	983	13,635	5,693	3,327	4,669	38,785
Total of class including work in progress as at 30 June 2019	11,461			27,324			38,785

Revaluations of non-financial assets

All revaluations are conducted in accordance with the revaluation policy stated later in this note and were conducted by independent valuers as at 30 June 2019.

Revaluation decrement of \$521,532 for office fitout (2018: increment of \$118,930), a revaluation increment of \$57,870 for office furniture and equipment (2018: increment of \$16,257), and a revaluation decrement of \$67,988 for technical equipment (2018: decrement of \$691,593) were credited to the asset revaluation reserve by asset class. These movements in reserves were also included in the equity section of the statement of financial position.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Accounting policy**Acquisition of assets**

Assets are recorded at cost on acquisition except as stated below. The cost of acquisition includes the fair value of assets transferred in exchange and liabilities undertaken. Financial assets are initially measured at their fair value plus transaction costs where appropriate.

Assets acquired at no cost, or for nominal consideration, are initially recognised as assets and income at their fair value at the date of acquisition, unless acquired as a consequence of restructuring of administrative arrangements.

Property, plant and equipment**Asset recognition threshold**

Purchases of property, plant and equipment are recognised initially at cost in the statement of financial position, except for purchases costing less than \$5,000, which are expensed in the year of acquisition (other than where they form part of a group of similar items which are significant in total).

The initial cost of an asset includes an estimate of the cost of dismantling and removing the item and restoring the site on which it is located. This is particularly relevant to makegood provisions in property leases taken up by CASA where there exists an obligation to restore the property to its original condition. These costs are included in the value of CASA's leasehold improvements with a corresponding provision for the makegood recognised.

Revaluations

Fair values for each class of asset of the property, plant and equipment category are determined as shown below:

Asset class	Fair value measured at:
Office fitout	Depreciated replacement cost
Technical equipment	Market selling price or depreciated replacement cost
Office furniture and equipment	Market selling price or depreciated replacement cost

Following initial recognition at cost, property, plant and equipment are carried at fair value less subsequent accumulated depreciation and accumulated impairment loss. The fair value of property, plant and equipment is reviewed annually and external valuations performed with sufficient frequency to ensure that the carrying amounts of assets do not differ materially from the assets' fair values as at the reporting date.

Revaluation adjustments are made on a class basis. Any revaluation increment is credited to equity under the heading of asset revaluation reserve except to the extent that it reverses a previous revaluation decrement of the same asset class that was previously recognised in the surplus/deficit. Revaluation decrements for a class of assets are recognised directly in the surplus/deficit except to the extent that they reverse a previous revaluation increment for that class.

Any accumulated depreciation as at the revaluation date is eliminated against the gross carrying amount of the asset and the asset restated to the revalued amount.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Depreciation

Depreciable property, plant and equipment assets are written-off to their estimated residual values over their estimated useful lives to CASA, using, in all cases, the straight-line method of depreciation.

Depreciation rates (useful lives), residual values and methods are reviewed at each reporting date and necessary adjustments are recognised in the current, or current and future reporting periods, as appropriate.

Depreciation rates applying to each class of depreciable asset of the property, plant and equipment category are based on the following useful lives:

Asset Class	2019	2018
Office fitout	Lower of lease term or useful life up to 16 years	Lower of lease term or useful life up to 16 years
Technical equipment	1 to 10 years	1 to 10 years
Office furniture and equipment	1 to 16 years	1 to 16 years

Impairment

All assets were assessed for impairment as at 30 June 2019. Where indications of impairment exist, the asset's recoverable amount is estimated and an impairment adjustment is made if the asset's recoverable amount is less than its carrying amount.

The recoverable amount of an asset is the higher of its fair value less costs to sell and its value in use. Value in use is the present value of the future cash flows expected to be derived from the asset. Where the future economic benefit of an asset is not primarily dependent on the asset's ability to generate future cash flows, and the asset would be replaced if CASA were deprived of the asset, its value in use is taken to be its depreciated replacement cost.

Derecognition

An item of property, plant and equipment is derecognised upon disposal or when no further future economic benefits are expected from its use or disposal.

Intangibles

CASA's intangibles comprise internally developed software and externally acquired software for internal use. These assets are carried at cost less accumulated amortisation and accumulated impairment losses.

Software is amortised on a straight-line basis over its anticipated useful life. The useful lives of CASA's software are 3 to 10 years (2017-18: 3 to 10 years).

All software assets were assessed for indications of impairment as at 30 June 2019.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

	2019 \$'000	2018 \$'000
Contractual commitments for the acquisition of plant, equipment and intangible assets		
Commitments are payable as follows:		
Within 1 year	3,168	272
Total contractual commitments for the acquisition of plant, equipment and intangible assets	3,168	272

The nature of capital commitments is primarily for the acquisition of intangible assets. Amounts for capital commitments are GST inclusive.

Note 2.2B: Prepayments

Prepayments	3,437	2,967
Total other non-financial assets	3,437	2,967

Note 2.3: Liabilities**Note 2.3A: Suppliers**

Trade creditors and accruals	7,730	3,257
Total suppliers	7,730	3,257

Accounting policy

Supplier and other payables are recognised at amortised cost. Liabilities are recognised to the extent that the goods or services have been received (and irrespective of having been invoiced). Supplier and other payables are derecognised on payment. Supplier payables are settled within 30 days.

Note 2.3B: Other payables

Wages and salaries	739	710
Superannuation	133	129
Prepayments received / unearned income	744	1,010
Lease incentives	3,262	4,808
Other payables	72	11
Total other payables	4,950	6,668

Accounting policy**Lease Incentives**

CASA has received lease incentives in the forms of rent-free periods and up-front cash payments. The minimum lease payments are calculated including the lease incentives and allocated over the entire lease term using a straight-line method. The difference between minimum lease payments and actual cash payments are recognised as lease incentive liabilities.

Superannuation

The liability for superannuation recognised as at 30 June 2019 represents outstanding contributions for the final pay days remaining in 2018–19.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

	2019	2018
	\$'000	\$'000

Note 2.4: Provisions**Note 2.4A: Employee provisions**

Separations and redundancies	483	366
Leave	30,066	26,400
Ancillary costs on leave provisions	3,962	3,572
Total employee provisions	34,511	30,338

Note 2.4B: Other provisions

Provision for makegood	828	1,076
Total other provisions	828	1,076

As at 1 July 2018

	Provision for makegood \$'000
Amounts reversed	1,076
Revaluations	(269)
Unwinding of discounted amount	7
Total as at 30 June 2019	828

CASA currently has five (2018: five) agreements for the leasing of premises which have provisions requiring CASA to restore the premises to their original condition at the conclusion of the lease. CASA has made a provision to reflect the present value of these obligations.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Accounting policy**Other provisions**

CASA recognises a provision where there is a present obligation as a result of a past event, it is probable that an outflow of resources embodying economic benefits will be required to settle the obligation and a reliable estimate can be made of the amount of the obligation.

Employee benefits

Liabilities for 'short-term employee benefits' (as defined in AASB 119 Employee Benefits) and termination benefits expected within twelve months of the end of the reporting period are measured at their nominal amounts.

The nominal amount is calculated with regard to the rates expected to be paid on settlement of the liability.

Leave

The liability for employee benefits includes provision for annual leave and long service leave. No provision has been made for sick leave as all sick leave is non-vesting and the average sick leave taken in future years by employees of CASA is estimated to be less than the annual entitlement for sick leave.

The leave liabilities are calculated on the basis of employees' remuneration at the estimated salary rates that will be applied at the time the leave is taken, including CASA's employer superannuation contribution rates to the extent that the leave is likely to be taken during service rather than paid out on termination. An ancillary on-cost liability, based on actuarial assessment, has been recognised in the statement of financial position for employer superannuation contributions payable on accrued annual leave and long service leave as at the end of the financial year.

The liability for long service leave as at 30 June 2019 has been determined by reference to the work of an actuary. The estimate of the present value of the liability takes into account attrition rates and pay increases through promotion and inflation.

Separation and redundancy

Provision is made for separation and redundancy benefit payments. CASA recognises a provision for termination when it has developed a detailed formal plan for the terminations and has informed those employees affected that it will carry out the terminations.

CIVIL AVIATION SAFETY AUTHORITY NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2019

Note 3: People and relationships

Note 3.1: Key management personnel remuneration

Key management personnel are those persons having authority and responsibility for planning, directing and controlling the activities of CASA, directly or indirectly, including Board Directors. CASA has determined the key management personnel to be the Portfolio Minister, the Board Directors, the Director of Aviation Safety and his/her direct reports. Key management personnel remuneration is reported in the table below:

	2019 \$'000	2018 \$'000
Short-term employee benefits:		
Salary	2,384	2,533
Annual leave accrued	152	168
Allowances	110	29
Total short-term employee benefits	2,646	2,730
Post-employment benefits:		
Superannuation	340	461
Total post-employment benefits	340	461
Other long-term employee benefits:		
Long-service leave accrued	49	55
Total other long-term employee benefits	49	55
Total key management personnel remuneration	3,035	3,246

The total number of key management personnel that are included in the above table are 14 (2018: 15) individuals.

The above key management personnel remuneration excludes the remuneration and other benefits of the Portfolio Minister. The Portfolio Minister's remuneration and other benefits are set by the Remuneration Tribunal and are not paid by CASA.

Note 3.2: Related party disclosures

Related party relationships

CASA is an Australian government controlled entity. Related parties to CASA are Key Management Personnel including the Portfolio Minister, the CASA Board Directors, the Director of Aviation Safety and his/her direct reports, as well as other Australian government entities.

Transactions with related parties

Given the breadth of government activities, related parties may transact with the government sector in the same capacity as ordinary citizens. Such transactions include the payment or refund of taxes, receipt of a Medicare rebate or higher education loans. These transactions have not been separately disclosed in this note.

Significant transactions with related parties can include:

- CASA transacts with other Australian government controlled entities consistent with normal day-to-day business operations provided under normal terms and conditions, including the payment of workers compensation, insurance premiums, and some services charges. There are no other significant transactions with related parties that require disclosure.
- CASA makes employer contributions to Australian government superannuation plans and schemes as disclosed in note 1.1A Employee Benefits.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Note 4: Managing uncertainties**Note 4.1: Contingent assets and liabilities**

	Claims for damages or costs	
	2019	2018
	\$'000	\$'000
Contingent assets		
Balance from previous period	3,344	2,541
New contingent assets recognised	750	803
Total contingent assets	4,094	3,344
Contingent liabilities		
Balance from previous period	3,384	2,601
New contingent liabilities recognised	889	869
Liabilities realised	(66)	(60)
Obligations expired	(58)	(26)
Total contingent liabilities	4,149	3,384
Net contingent liabilities	(55)	(40)

Quantifiable contingencies

CASA has been named as a defendant in five actions for damages relating to personal injury and destruction of property resulting from accidents involving a helicopter, other aircraft and pilot training costs of \$4,093,953 (2018: \$3,343,953). CASA is defending all five actions, however, if unsuccessful, CASA reasonably expects the full amount would be covered by CASA's insurance provider.

The schedule of contingencies also contains 'other' liabilities of \$54,570 (2018: \$39,961). This amount represents an estimate of CASA's liability in respect of studies assistance.

Unquantifiable and remote contingencies

As at 30 June 2019, CASA is named as a defendant in two actions for damages relating to personal injury resulting from loss of life (2018: 2). It is deemed not possible to estimate the amount of any eventual payment that may be required in relation to these actions. CASA has denied liability and is defending the actions, however, if unsuccessful, CASA reasonably expects the full amount would be covered by CASA's insurance provider.

Accounting policy**Contingent liabilities and contingent assets**

Contingent liabilities and contingent assets are not recognised in the statement of financial position but are reported in the notes. They may arise from uncertainty as to the existence of a liability or asset or represent an asset or liability in respect of which the amount cannot be reliably measured. Contingent assets are disclosed when settlement is probable but not virtually certain and contingent liabilities are disclosed when settlement is greater than remote.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

	2019 \$'000	2018 \$'000
Note 4.2: Fair value measurements		
ASSETS		
Assets at fair value		
Non-financial assets		
Property, plant and equipment	11,461	15,387
Total non-financial assets at fair value	11,461	15,387
Total assets at fair value	11,461	15,387
Assets where carrying amount approximates fair value		
Financial assets		
Cash, cash equivalents and investments	64,235	69,185
Trade and other receivables	1,307	1,045
Accrued revenue	2,706	2,629
Total financial assets where carrying value approximates fair value	68,248	72,859
Non-financial assets		
Intangibles	27,324	16,589
Prepayments	3,437	2,967
Total non-financial assets carried at cost	30,761	19,556
Total assets in the statement of financial position	110,470	107,802
Assets expected to be recovered in:		
No more than 12 months	71,107	75,544
More than 12 months	39,363	32,258
Total assets	110,470	107,802
LIABILITIES		
Liabilities where carrying value approximates fair value		
Payables		
Suppliers	7,730	3,257
Other payables	4,950	6,668
Total payables	12,680	9,925
Provisions		
Employee provisions	34,511	30,338
Other provisions	828	1,076
Total provisions	35,339	31,414
Total liabilities where carrying value approximates fair value	48,019	41,339
Total liabilities in the statement of financial position	48,019	41,339
Liabilities expected to be settled in:		
No more than 12 months	21,607	16,123
More than 12 months	26,412	25,216
Total liabilities	48,019	41,339

CIVIL AVIATION SAFETY AUTHORITY

NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2019

	2019	2018
	\$'000	\$'000

Note 4.3: Financial instruments**Note 4.3A: Categories of financial instruments****Financial assets under AASB 139****Loans and receivables**

Cash at bank and deposits at call		4,185
Trade and other receivables		341
Accrued interest		486
Total loans and receivables		5,012

Held to maturity investments

Held to maturity investments		65,000
Total held to maturity investments		65,000

Financial assets under AASB 9**Financial assets at amortised cost**

Cash at bank and deposits at call	4,235	
Trade and other receivables	403	
Accrued interest	446	
Held-to-maturity investments	60,000	
Total financial assets at amortised cost	65,084	

Total financial instruments classified as financial assets

CASA's only financial liabilities are supplier payables, which are measured at amortised cost.

Note 4.3B: Net gains or losses on financial assets**Financial assets at amortised cost**

Interest revenue	125	129
Investments held-to-maturity	1,709	1,618
Net gains on financial assets at amortised cost	1,834	1,747
Net gains on financial assets	1,834	1,747

There was no change to the carrying value of financial assets as a result of the initial application of AASB 9.

Financial assets previously classified as loans and receivables under AASB 139 are classified as financial assets at amortised cost under AASB 9.

Financial assets previously classified as investments held-to-maturity under AASB 139 are classified as financial assets at amortised cost under AASB 9.

No reclassification of financial assets occurred as a result of the initial application of AASB 9.

No remeasurement of financial assets occurred as a result of the initial application of AASB 9.

No impairment of financial assets was identified at initial application of AASB 9.

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Accounting policy**Financial assets**

With the implementation of AASB 9 Financial Instruments for the first time in 2019, CASA classifies its financial assets into the following categories:

- financial assets at fair value through profit or loss;
- financial assets at fair value through other comprehensive income; and
- financial assets measured at amortised cost.

The classification depends on both the business model for managing the financial assets and contractual cash flow characteristics at the time of initial recognition. Financial assets are recognised when CASA becomes a party to the contract and, as a consequence, has a legal right to receive or a legal obligation to pay cash and derecognised when the contractual rights to the cash flows from the financial asset expire or are transferred upon trade date.

Comparatives have not been restated on initial application.

Financial assets at amortised cost

Financial assets included in this category need to meet two criteria:

- the financial asset is held in order to collect the contractual cash flows; and
- the cash flows are solely payments of principal and interest (SPPI) on the principal outstanding amount.

Amortised cost is determined using the effective interest method.

Effective interest method

Income is recognised on an effective interest rate basis for financial assets that are recognised at amortised cost.

Impairment of financial assets

Financial assets are assessed for impairment at the end of each reporting period based on Expected Credit Losses, using the general approach which measures the loss allowance based on an amount equal to lifetime expected credit losses where risk has significantly increased, or an amount equal to 12-month expected credit losses if risk has not increased.

The simplified approach for trade, contract and lease receivables is used. This approach always measures the loss allowance as the amount equal to the lifetime expected credit losses.

A write-off constitutes a derecognition event where the write-off directly reduces the gross carrying amount of the financial asset.

Financial liabilities

Financial liabilities are classified as either financial liabilities 'at fair value through profit or loss' or other financial liabilities. Financial liabilities are recognised and derecognised upon 'trade date'.

Financial liabilities at amortised cost

Financial liabilities, including borrowings, are initially measured at fair value, net of transaction costs. These liabilities are subsequently measured at amortised cost using the effective interest method, with interest expense recognised on an effective interest basis.

Supplier and other payables are recognised at amortised cost. Liabilities are recognised to the extent that the goods or services have been received (and irrespective of having been invoiced).

CIVIL AVIATION SAFETY AUTHORITY

NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2019

Note 5: Regulatory charging summary

	2019 \$'000	2018 \$'000
Expenses		
Departmental	187,020	179,860
Total expenses	187,020	179,860
Revenue		
Departmental	17,201	16,940
Total revenue	17,201	16,940

Cost recovered activities:

Charging for regulatory services as per the *Civil Aviation (Fees) Regulations Act 1995*.

Cost recovery implementation statement for the above activity is available at
http://www.casa.gov.au/wcmswr/_assets/main/corporat/fees/cris.pdf

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Note 6: Cash flow reconciliation

	2019	2018
	\$'000	\$'000
Reconciliation of cash and cash equivalents as per the statement of financial position to the cash flow statement		
Reconciliation of net cost of services to net cash from operating activities:		
Net cost of services	(169,819)	(162,920)
Add: Revenue from government	44,136	41,535
Add: Aviation fuel excise	122,209	121,895
<i>Adjustments for non-cash items:</i>		
Depreciation and amortisation	9,731	11,421
Non-cash supplier and other expenses	(21)	203
Finance costs	14	7
Net write down of non-financial assets	180	35
(Gains) / losses on disposal of assets	(35)	24
<i>Changes in assets / liabilities</i>		
(Increase) / Decrease in net receivables	(262)	380
(Increase) / Decrease in accrued revenue	(77)	(475)
(Increase) / Decrease in prepayments	(470)	(448)
Increase / (Decrease) in employee provisions	4,173	1,954
Increase / (Decrease) in supplier payables	4,473	(3,611)
Increase / (Decrease) in other provisions	(248)	(288)
Increase / (Decrease) in other payables	(1,718)	(1,961)
Net cash from operating activities	12,266	7,751

CIVIL AVIATION SAFETY AUTHORITY**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2019

Note 7: Explanation of major budgetary variances

Explanations of major variances	Variance to budget (\$'000)	Affected statements and line items
The original budget for aviation fuel excise is generated by forecasts from the Department of Treasury. Actual sales of aviation fuel during the year led to a lower figure than budgeted	(3,491)	Statement of comprehensive income: <ul style="list-style-type: none"> Aviation fuel excise
	(3,551)	Statement of cash flow – operating activities: <ul style="list-style-type: none"> Cash received – aviation fuel excise
Revenue generated from fees was lower due to lower than anticipated demand for regulatory services	(2,448)	Statement of comprehensive income: <ul style="list-style-type: none"> Own-source income – fees
	(2,905)	Statement of cash flow – operating activities: <ul style="list-style-type: none"> Cash received – sale of goods and services
A review of asset useful lives, along with lower than anticipated balances for property, plant and equipment resulted in lower depreciation expenses for the year compared to original budget	2,631	Statement of comprehensive income: <ul style="list-style-type: none"> Expenses – depreciation and amortisation
New fitouts for two offices were included in the original budget but did not eventuate in 2018–19	2,566	Statement of financial position: <ul style="list-style-type: none"> Non-financial assets – property, plant and equipment
Realignment of priorities for a major digital platform resulted in higher expenditure against intangibles than was anticipated when the original budget was set	(3,609)	Statement of financial position: <ul style="list-style-type: none"> Non-financial assets – intangibles
Timing differences at year end resulted in variances against payable balances compared to original budget	2,050	Statement of financial position: <ul style="list-style-type: none"> Payables – other payables
	(1,473)	Statement of financial position: <ul style="list-style-type: none"> Payables – suppliers
Movement in discount factors used to calculate employee leave balances and an increase in staff numbers led to higher employee leave provisions at year end compared to original budget	(5,181)	Statement of financial position: <ul style="list-style-type: none"> Provisions – employee provisions
	4,741	Statement of cash flow – operating activities: <ul style="list-style-type: none"> Cash used – employees
Different cash flow methodologies for the treatment of GST (net or gross) between budget and financial statements has resulted in variances against some line items	(5,686)	Cash flow statement: <ul style="list-style-type: none"> Cash received – net GST received
	(3,639)	Statement of cash flow – operating activities: <ul style="list-style-type: none"> Cash used – suppliers
Different classification for contractor costs between budget (employee expense) and financial statements (supplier expense) resulted in variances against some line items.	4,741	Statement of cash flow – operating activities: <ul style="list-style-type: none"> Cash used – employees
	(3,639)	Statement of cash flow – operating activities: <ul style="list-style-type: none"> Cash used – suppliers

image: © iStockphoto.com | Alexey Sokolov

This section contains appendices that provide details of CASA's operations and address particular reporting requirements under the *Public Governance, Performance and Accountability Act 2013* and other legislation.

The appendices are followed by reference tools to help the reader to find and use information in the annual report.

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- Appendix B: Management and accountability statistics 171
- Abbreviations list 184
- Compliance index 185
- Alphabetical index 187

PART 07

APPENDICES AND REFERENCES

APPENDIX A: OPERATING STATISTICS

Flight operations

Table A.1 Air operator certificates, 2014–15 to 2018–19

Type of application	2014–15	2015–16	2016–17	2017–18	2018–19
Initial issue	39	41	44	55	44
Subsequent issue	355	267	198	276	225
Variation	274	237	212	214	258
Total	668	545	454	545	527
Current certificates at 30 June ^a	824	908	864	793	785

Note: Includes operators involved in one or more of aerial work, charter, charter (cargo), flying training, foreign aircraft (passengers and cargo), foreign aircraft (cargo), scheduled cargo services, and scheduled passenger services.

From 2015–16, current certificates at 30 June include foreign certificates, in addition to Australian and discrete certificates. The data for applications are for Australian and discrete certificates only.

a From 2016–17, cancelled and suspended certificates are not included in current certificates.

Table A.2 Remotely piloted aircraft operator certificates, 2014–15 to 2018–19

Type of application	2014–15	2015–16	2016–17	2017–18	2018–19
Initial issue	154	419	474 ^a	332 ^a	380 ^a
Subsequent issue	n/a	136	392	444	381
Variation	n/a	62	74	62	66
Total	n/a	617	940	838	827
Current certificates at 30 June	256	688	1,070 ^a	1,357 ^a	1,628 ^a

n/a = not available

Note: Prior to 2016–17, these certificates were known as unmanned aerial vehicle operator certificates. The name was changed in September 2016, when changes to Civil Aviation Safety Regulations Part 101 were implemented, in line with International Civil Aviation Organization terminology.

a Includes certificates issued by external delegates.

Table A.3 Remote pilot licences, 2014–15 to 2018–19

Type of application	2014–15	2015–16	2016–17	2017–18	2018–19
Initial issue	n/a	1,996	2,381	3,034 ^a	4,149
Issued certificates at 30 June	n/a	3,282	5,664	8,698	12,845

n/a = not available

a This total was reported as 3,020 on page 8 of the 2017–18 Annual Report. The data in this table are based on a revised definition.

Flight personnel

Table A.4 Flight crew licences, 2014–15 to 2018–19

Licence type		2014–15		2015–16		2016–17		2017–18		2018–19	
		Issued	Current	Issued	Current	Issued	Current	Issued	Current	Issued	Current
Pilots											
Aeroplane	Air transport	245	7,278	162	7,203	190	7,240	240	7,304	188	7,280
	Commercial	980	4,539	1,048	4,780	967	4,943	883	5,091	1,142	5,312
	Commercial (CASA EX25/18) ^a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	4,303	0	4,415
	Private	1,101	14,258	1,071	13,704	1,093	13,728	1,057	9,004	1,035	9,019
	Recreational ^b	841	2,443	1,220	2,539	1,252	2,802	1,190	3,000	1,265	3,206
	Student (GFPT) ^c	169	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
	Total aeroplane pilots	3,336	28,518	3,501	28,226	3,502	28,713	3,370	28,702	3,630	29,232
Helicopter	Air transport	44	818	23	811	23	811	20	782	16	763
	Commercial	201	1,884	185	1,915	201	2,033	202	2,030	173	1,977
	Commercial (CASA EX25/18) ^a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	741	0	807
	Private	115	1,585	99	1,561	115	1,510	103	806	120	877
	Recreational ^b	7	16	7	16	7	21	10	28	5	27
	Student (GFPT) ^c	0	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
	Total helicopter pilots	367	4,303	314	4,303	346	4,375	335	4,387	314	4,451
Other	Commercial – Other ^d	7	102	2	100	7	106	7	105	8	114
	Commercial (CASA EX25/18) ^a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	3	0	3
	Private – gyroplane	0	4	1	3	0	3	0	1	0	2
	Recreational ^b	0	0	0	0	0	0	1	2	0	1
	Student (GFPT) – Other ^c	0	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
	Student (no GFPT) ^c	352	0	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
	Total other pilots	359	106	3	103	7	109	8	111	8	120
Total glider pilots^b		22	22	18	38	11	43	7	48	5	49
Total initial issues and current pilots^a		4,085	30,830	3,836	30,562	3,866	31,111	3,720	31,145	3,957	31,750
Flight engineers											
All	Flight engineer	1	88	1	82	0	75	0	70	0	68
	Restricted flight engineer	0	0	0	0	0	0	0	0	0	0
	Student flight engineer	0	0	0	0	0	0	0	0	0	0
Total initial issues and current flight engineers		1	88	1	82	0	75	0	70	0	68

n/a = not applicable

Note: Civil Aviation Safety Regulations (CASR) Part 61 was implemented on 1 September 2014, replacing Civil Aviation Regulation (CAR) 5 regulations. The calculation rules have changed for annual reports since the implementation of CASR Part 61 in 2014, to ensure consistency of figures across all years and to better reflect the numbers of each type of licence.

For current pilots, pilots are counted only once in each licence category (aeroplane, helicopter and other), against the highest licence level of privileges their medical certificate permits them to use.

As a result of changes to the medical records system in 2016–17, CASA has improved the accuracy of reporting on current pilot licence levels. A pilot is only counted as an air transport pilot if their Class 1 medical permits them to utilise the privileges of the air transport pilot licence; otherwise they will be counted as a commercial pilot. Pilots who hold an air transport or commercial licence but only have a Class 2 medical or a recreational aviation medical practitioner's certificate will be counted as a private or recreational pilot. This new method of calculation has been applied retrospectively to results from 2014–15 and 2015–16, making them different from the results published for those years in previous annual reports.

The 'Total initial issues and current pilots' row includes all pilots who held a minimum of a Class 2 medical each financial year. This reflects the number of pilots who were active, but not necessarily exercising the full privileges of their licence. In this row a pilot is counted only once regardless of the number of categories of licences held; therefore, the total does not equal the sum of the licence categories above it.

a CASA EX25/18 is effective 1 March 2018 to 29 February 2020. It enables a pilot holding a licence at the commercial pilot licence (CPL) level or air transport pilots licence level and a current class 2 medical to exercise reduced CPL privileges.

b Recreational and glider pilot licences did not exist under the CAR 5 regulations.

c These licences ceased to be valid when CASR Part 61 was implemented. Pilots holding a general flying progress test (GFPT) licence were transitioned to a recreational pilot licence on 1 September 2014.

d Includes balloons and airships.

e Totals do not equal the sums of the numbers above – see the general note to the table.

Table A.5 Flight crew licensing examinations, 2014–15 to 2018–19

Type of licence	2014–15		2015–16		2016–17		2017–18		2018–19	
	Exams sat	% passed	Exams sat	% passed	Exams sat	% passed	Exams sat	% passed	Exams sat	% passed
Air transport pilot	3,539	70.2	3,781	71.7	3,956	70.6	5,016	73.1	5,889	73.1
Commercial pilot	10,893	73.7	10,985	73.6	12,775	74.2	13,113	70.5	15,629	72.8
Private pilot	1,937	62.0	1,543	68.1	1,784	66.0	1,793	65.0	1,862	67.3
Recreational pilot ^a	17	47.1	279	49.8	324	59.0	376	58.5	1,143	57.8
Total	16,386	71.5	16,588	72.3	18,839	72.4	20,298	70.4	24,523	70.7

a Recreational pilot licence exams were introduced under Civil Aviation Safety Regulations Part 61, which replaced Civil Aviation Regulation 5 regulations on 1 September 2014. Three exams for recreational pilot licences were introduced, for aeroplanes, helicopters and navigation, in March 2015.

Table A.6 Medical certificates, 2014–15 to 2018–19

Type of certificate	2014–15			2015–16			2016–17		
	Initial	Renewal	Refusal	Initial	Renewal	Refusal	Initial	Renewal	Refusal
Class 1	1,646	15,317	44	1,768	14,055	34	2,083	17,191	32
Class 2	3,445	20,777	78	3,640	19,183	29	4,252	23,216	50
Basic Class 2 ^a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a
Class 3	134	732	3	92	631	3	106	804	2
Total	4,029	21,535	125	4,229	19,901	66	4,718	23,928	84

Type of certificate	2017–18			2018–19		
	Initial	Renewal	Refusal	Initial	Renewal	Refusal
Class 1	2,137	15,992	26	2,624	16,847	51
Class 2	3,727	21,253	24	4,483	21,967	49
Basic Class 2 ^a	n/a	n/a	n/a	978	4	0
Class 3	70	684	2	126	670	5
Total	4,146	21,835	52	6,002	22,549	105

n/a = not applicable

Note: The certificate classes are 1 Professional pilots and flight engineers, 2 Student and private pilots (Basic Class 2 is an alternative to a full Class 2 certificate for private operations), and 3 Air traffic control and flight service providers. A certificate issued may have more than one class of medical: for example, all Class 1 medicals are automatically issued a Class 2 medical. The total shown is the total number of certificates issued, not the sum of the three licence classes for initial issues or renewals.

a The Basic Class 2 medical certificate was introduced as part of changes made to the aviation medical certification system on 2 July 2018. The Basic Class 2 certificate allows designated aviation medical examiners and general practitioners to assess applicants against the Austroads commercial driving standards for some simple types of private flying.

Maintenance organisations

Table A.7 Certificates of approval, 2014–15 to 2018–19

Type of application	2014–15	2015–16	2016–17	2017–18	2018–19
Initial issue	19	17	13	12	14
Subsequent issue	32	21	18	13	14
Variation	86	95	75	63	66
Total	137	133	106	88	94
Current certificates at 30 June	665	653	619 ^a	629	608

Note: Includes operators involved in one or more of aircraft and component maintenance, design (aircraft, components and materials), distribution (components and materials), aircraft maintenance engineer training and examinations.

a In 2016–17, the cancelled and suspended certificates were subtracted from the total for current certificates.

Table A.8 Civil Aviation Safety Regulations Part 145 approval certificates, 2014–15 to 2018–19

Type of application	2014–15	2015–16	2016–17	2017–18	2018–19
Initial issue	16	10	13	3	9
Subsequent issue	17	29	21	49	67
Variation	119	157	125	30	37
Total	152	196	159	82	113
Current certificates at 30 June	159	158	117	154	156

Maintenance personnel

Table A.9 Aircraft maintenance engineer examinations, 2014–15 to 2018–19

Type of examination	2014–15	2015–16	2016–17	2017–18	2018–19
Scheduled examination sitting ^a	3,569	842	908	905	840
Special examination sitting ^b	157	n/a	n/a	n/a	n/a
Category technical competency examination ^c	53	n/a	n/a	n/a	n/a
Weight control authority examination	93	27	18	30	31
Total	3,872	869	926	935	871

n/a = not applicable

a Scheduled examination sittings (including weight control authority examination sittings) are conducted by a CASA-approved examination provider.

b Before 2016–17, individuals who had a particular reason to seek an aircraft maintenance engineer licence but were unable to attend scheduled examination sittings could seek a special sitting. Training organisations were also able to seek special sittings, to coincide with completion of their courses. Special examination sittings were conducted by CASA until 1 July 2015 and by a CASA-approved examination provider in 2015–16. Special sittings ceased in 2016–17.

c These examinations are for Australian Defence Force and overseas licence holders only. CASA stopped carrying out category technical competency examinations in July 2015; they are now managed by CASA-approved Civil Aviation Safety Regulations Part 147 maintenance training organisations.

Table A.10 Aircraft maintenance engineer licences, 2014–15 to 2018–19

Detail	2014–15	2015–16	2016–17	2017–18	2018–19
Category Technical Competency Assessments and Licence Technical Assessments (combined) conducted					
• Australian military ^a	114	8	0	1	2
• Foreign civil ^a	72	2	14	23	22
Total	186	10	14	24	24
<i>Trans-Tasman Mutual Recognition Act 1997</i> assessments conducted	51	34	12	8	9
Licences issued	417	236	90	135	116
Current licences at 30 June ^b	8,458	8,695	8,784	8,913	9,028
Average age of licence holder	49.1	49.7	50.5	51.2	52.0

a In 2015–16, CASA ceased conducting Australian military and foreign civil licensing assessments; they are now conducted by the CASA-approved Civil Aviation Safety Regulations (CASR) Part 147 maintenance training organisations.

b CASR Part 66 licences.

Table A.11 Airworthiness authorities, 2014–15 to 2018–19

Type of authority	2014–15	2015–16	2016–17	2017–18	2018–19
Maintenance	35	28	18	10	19
Non-destructive testing	6	9	5	8	11
Weight control	15	9	5	4	20
Welding	2	7	5	6	8

Airworthiness

Table A.12 Airworthiness certificates, authorisations and approvals issued, 2014–15 to 2018–19

Type of permission	2014–15	2015–16	2016–17	2017–18	2018–19
Type certificate^a					
Aeroplanes	0	4	3	5	5
Lighter than air	0	1	1	2	1
Rotorcraft	0	0	1	0	0
Engine	0	0	0	0	0
Propeller	0	0	0	0	0
Total	0	5	5	7	6
Type acceptance certificate^a					
Aeroplanes	15	12	33	13	15
Lighter than air	2	0	1	2	2
Rotorcraft	17	7	7	3	2
Total	34	19	41	18	19
Other authorisations, certificates and approvals					
Supplemental type certificate ^a	24	24	13	15	28
Certificate of airworthiness	443	162	343	491	488
Special flight authorisation	25	17	14	16	16
Special flight permit ^b	288	314	429	443	296
Experimental certificate ^c	157	24	133	159	157
Simulator certification (flight simulator training devices)	48	48 ^c	57 ^c	54	55
Design advice	66	82	80	74	75
Flight manual supplement	5	3	2	3	0

a Includes amendments to supplemental data including type certificate data sheets and type certificate holder details.

b Figures include all permits issued by CASA and industry delegates.

c Includes certificates issued for devices located overseas.

Table A.13 Aircraft registrations, 2014–15 to 2018–19

Type of registration	2014–15	2015–16	2016–17	2017–18	2018–19
Initial registration	349	343	352	422	402
Change of registration holder	1,213	1,526	1,491	1,313	1,263
Cancellation of registration	321	283	286	306	313
Change of registration mark	56	50	56	51	52
Reservation of registration mark	964	774	870	913	870
Reissue of certificate of registration ^a	81	39	52	64	54
Aircraft registered as at 30 June	15,287	15,347	15,413	15,529	15,617
Marks reserved as at 30 June	685	510	559	577	546

a Due to changes of address or loss, for example.

Table A.14 Average age of the Australian fleet of civil aircraft at 30 June 2019

Aircraft group by airframe and propulsion characteristics					>56 years	56–47 years	46–37 years	36–27 years	26–17 years	16–7 years	6–2 years	<2 years	Total by group	% of total fleet
Gliders					67	188	436	135	88	57	21	5	997	6.38
Powered gliders					0	24	35	55	59	67	41	4	285	1.82
Balloons					0	0	15	52	101	141	102	27	438	2.80
Airships					0	0	0	0	1	0	0	0	1	0.01
RPAS					0	0	0	0	0	0	1	0	1	0.01
Amateur-built aircraft	Aeroplane	Single-engine	Diesel	0	0	0	0	1	0	0	0	0	1	0.01
			Piston	1	14	80	142	369	553	199	42	1,400	8.96	
			Turboprop	0	0	0	0	4	0	1	0	5	0.03	
			Jet	0	0	1	0	0	1	0	2	4	0.03	
			Rotary	0	0	0	0	0	1	0	0	1	0.01	
		Multi-engine	Piston	0	0	0	2	3	3	2	1	11	0.07	
	Jet		0	0	0	0	0	1	0	0	1	0.01		
	Helicopter	Diesel			0	0	0	0	0	1	0	0	1	0.01
		Piston			2	0	0	2	32	42	9	1	88	0.56
		Turboshaft			0	0	0	0	0	6	7	2	15	0.10
Production aircraft	Helicopter	Single-engine	Piston	9	63	37	147	179	696	131	54	1,316	8.43	
			Turboshaft	3	67	195	122	69	108	35	14	613	3.92	
		Multi-engine	Up to 5,700 Kg MTOW	Turboshaft	0	0	33	47	39	43	11	5	178	1.14
			Over 5,700 Kg MTOW	Turboshaft	0	0	2	4	0	29	52	4	91	0.58
	Aeroplane	Single-engine	Up to 5,700 Kg MTOW	Diesel	0	0	0	0	0	6	0	0	6	0.04
				Piston	1,335	1,403	2,867	341	451	681	135	73	7,286	46.65
				Turboprop	1	2	28	60	126	113	49	9	388	2.48
				Jet	9	9	17	12	0	0	0	0	47	0.30
			Over 5,700 Kg MTOW	Piston	4	0	0	0	0	0	0	0	4	0.03
				Turboprop	0	0	0	1	25	38	19	3	86	0.55
				Jet	5	0	0	0	0	0	0	0	5	0.03
		Multi-engine	Up to 5,700 Kg MTOW	Diesel	0	0	0	0	0	5	1	0	6	0.04
				Piston	51	249	733	42	25	50	24	9	1,183	7.57
				Turboprop	0	7	103	24	22	38	8	0	202	1.29
				Jet	0	6	6	0	9	14	3	1	39	0.25
			5,701 to 20,000 Kg MTOW	Piston	23	3	0	0	0	0	0	0	26	0.17
				Turboprop	3	0	6	71	100	29	6	5	220	1.41
				Jet	1	0	32	17	31	25	0	6	112	0.72
			20,001 to 50,000 Kg MTOW	Piston	6	0	0	0	0	0	0	0	6	0.04
				Turboprop	2	0	1	3	4	37	8	0	55	0.35
				Jet	1	1	0	45	61	23	7	1	139	0.89
			50,001 to 100,000 Kg MTOW	Piston	1	0	0	0	0	0	0	0	1	0.01
				Turboprop	0	0	1	0	0	0	0	0	1	0.01
				Jet	0	1	0	6	35	185	48	1	276	1.77
	Over 100,000 Kg MTOW	Jet	0	0	0	1	6	51	17	5	80	0.51		
Total by age bracket					1,524	2,037	4,628	1,331	1,840	3,044	938	275	15,617	100.00
% of total fleet					9.76	13.04	29.64	8.52	11.78	19.49	6.01	1.76	100.00	

MTOW = maximum take-off weight, RPAS = remotely piloted aircraft systems

Table A.15 Appointments of airworthiness delegates and authorised persons, 2014–15 to 2018–19

Type of appointment	2014–15	2015–16	2016–17	2017–18	2018–19
Appointments excluding Civil Aviation Safety Regulations subpart 21.M					
Initial issue	10	9	23	21	8
Subsequent issue	39	46	37	52	44
Variation	8	6	8	9	4
Appointments active at 30 June	111	97	162	133	173
Appointments under Civil Aviation Safety Regulations subpart 21.M					
Initial issue and variation	34	26	25	18	26
Appointments active at 30 June	42	39	36	35	37
Total appointments active at 30 June	153	136	198	168	210

Table A.16 Production authorisations, 2014–15 to 2018–19

Type of authorisation	2014–15	2015–16	2016–17	2017–18	2018–19
Production certificates					
Initial issue	0	0	0	0	0
Variation	0	1	2	3	1
Under voluntary suspension at 30 June	3	3	4	4	4
Active at 30 June	9	5	7	7	8
One-off production certificates					
Initial issue	5	5	4	2	1
Variation	2	8	8	0	10
Under voluntary suspension at 30 June	2	3	4	3	2
Active at 30 June	29	33	33	35	36
Australian parts manufacturing approval					
Initial issue	1	1	2	1	0
Variation	7	8	8	9	5
Under voluntary suspension at 30 June	11	11	11	12	2
Active at 30 June	38	39	35	35	36
Australian Technical Standard Order authorisation					
Initial issue or variation	4	2	0	0	4
Under voluntary suspension at 30 June	3	3	4	3	3
Active at 30 June	10	11	9	9	8
Parts approval under Civil Aviation Safety Regulations Regulation 21.305A					
Initial issue or variation	1	0	1	1	2
Under voluntary suspension at 30 June	3	3	3	3	3
Active at 30 June	9	9	9	9	9
Total production authorisation holders at 30 June	117	120	119	120	111

Table A.17 Airworthiness directives and bulletins, 2014–15 to 2018–19

Type of directive/bulletin	2014–15	2015–16	2016–17	2017–18	2018–19
Australian Airworthiness Directive					
Issued	6	3	1	30	40
Cancelled	60	45	33	41	33
Amended	21	17	34	33	29
Current	8,191	8,014	7,996	7,962	7,886
State of design airworthiness directive	649	618	641	635	642
Exclusion from airworthiness directive	67	35	40	72	72
Review of airworthiness directive	6	6	0	8	12
Airworthiness Bulletin					
Issued or amended	67	33	14	22	22
Current	349	374	384	376	384

Table A.18 Aircraft defect reports, 2014–15 to 2018–19

Report status	2014–15	2015–16	2016–17	2017–18	2018–19
Received during the year	2,829	1,984	2,182	1,734	1,814
Closed during the year	2,092	2,950	2,084	875	1,201
Open as at 30 June	1,646	680	693	1,495	2,108

Aerodromes

Table A.19 Aerodromes at 30 June, 2014–15 to 2018–19

Aerodrome status	2014–15	2015–16	2016–17	2017–18	2018–19
Certified	192	189	188	194	197
Registered	135	133	133	130	126
Total	327	322	321	324	323

Training

Table A.20 Civil Aviation Safety Regulations Part 141 flight training certificates, 2015–16 to 2018–19

Type of application	2015–16	2016–17	2017–18	2018–19
Initial issue ^a	2	16	17	17
Subsequent issue	4	4	16	31
Variation	27	47	53	47
Total	33	67	86	95
Current certificates at 30 June ^b	n/a	n/a	n/a	237

n/a = not applicable

a The figures for initial issue do not include interim certificates and transitions.

b The four-year transition period to the new licensing and training regulations was completed on 31 August 2018, making the previously unreportable figure for current certificates available.

Table A.21 Civil Aviation Safety Regulations Part 142 flight training certificates, 2015–16 to 2018–19

Type of application	2015–16	2016–17	2017–18	2018–19
Initial issue ^a	3	8	0	1
Subsequent issue	2	3	3	5
Variation	3	13	5	4
Total	8	24	8	10
Current certificates at 30 June ^b	n/a	n/a	n/a	62

n/a = not applicable

a The figures for initial issue do not include interim certificates and transitions.

b The four-year transition period to the new licensing and training regulations was completed on 31 August 2018, making the previously unreportable figure for current certificates available.

Table A.22 Civil Aviation Safety Regulations Part 147 maintenance training organisation certificates, 2014–15 to 2018–19

Type of application	2014–15	2015–16	2016–17	2017–18	2018–19
Initial issue ^a	2	1	2	1	2
Variation	34	40	42	40	56
Total	36	41	44	41	58
Suspended certificates	0	2	2	0	0
Surrendered certificates	1	2	2	1	2

a The figures for initial issue do not include interim certificates and transitions.

APPENDIX B: MANAGEMENT AND ACCOUNTABILITY STATISTICS

Staffing

Table B.1 Employees by classification and location at 30 June 2019

Classification	Adelaide	Brisbane	Cairns	Canberra	Darwin	Melbourne	Perth	Sydney	Tamworth	Total
Aviation Safety Regulator – Aerodrome Inspector	1	3	0	0	0	2	1	2	0	9
Aviation Safety Regulator – Airworthiness Inspector	2	11	6	0	4	13	7	14	2	59
Aviation Safety Regulator – Aviation Safety Advisor	1	2	0	1	1	2	1	0	0	8
Aviation Safety Regulator – Other	3	40	1	52	1	12	5	10	0	124
Aviation Safety Regulator – Safety Systems Inspector	1	2	1	0	0	4	3	4	0	15
Certificate Management Team Leader	3	10	2	11	1	6	4	5	0	42
Flight Training Examiner	0	4	0	0	0	2	0	3	1	10
Flying Operations Inspector	5	20	7	5	1	12	6	13	2	71
National Office Manager	0	1	0	16	0	2	0	0	0	19
Other classifications	3	80	6	329	2	14	5	14	2	455
Professional Services	1	1	0	10	0	0	1	0	0	13
Senior Management	0	3	2	25	0	2	1	1	0	34
Total	20	177	25	449	10	71	34	66	7	859

Table B.2 Permanent and temporary employees by classification and gender at 30 June 2019

Classification	Female			Male			Total
	Casual	Permanent	Temporary	Casual	Permanent	Temporary	
Aviation Safety Regulator – Aerodrome Inspector	0	2	0	0	7	0	9
Aviation Safety Regulator – Airworthiness Inspector	0	0	0	0	59	0	59
Aviation Safety Regulator – Aviation Safety Advisor	0	2	0	0	6	0	8
Aviation Safety Regulator – Other	0	11	1	1	104	7	124
Aviation Safety Regulator – Safety Systems Inspector	0	5	0	0	10	0	15
Certificate Management Team Leader	0	4	0	0	38	0	42
Flight Training Examiner	0	1	0	0	9	0	10
Flying Operations Inspector	0	4	0	0	66	1	71
National Office Manager	0	2	0	0	17	0	19
Other classifications	7	237	25	1	166	19	455
Professional Services	2	0	0	0	10	1	13
Senior Management	0	5	2	0	25	2	34
Total	9	273	28	2	517	30	859

Table B.3 Employees by classification and age grouping at 30 June 2019

Classification	Age grouping						Total
	<25	25–34	35–44	45–54	55–64	> 64	
Aviation Safety Regulator – Aerodrome Inspector	0	0	0	7	2	0	9
Aviation Safety Regulator – Airworthiness Inspector	0	0	3	22	26	8	59
Aviation Safety Regulator – Aviation Safety Advisor	0	0	1	5	2	0	8
Aviation Safety Regulator – Other	0	9	27	42	33	13	124
Aviation Safety Regulator – Safety Systems Inspector	0	0	3	4	8	0	15
Certificate Management Team Leader	0	0	4	15	22	1	42
Flight Training Examiner	0	0	0	5	4	1	10
Flying Operations Inspector	0	3	5	16	31	16	71
National Office Manager	0	0	5	8	6	0	19
Other classifications	11	90	146	141	60	7	455
Professional Services	0	0	2	6	3	2	13
Senior Management	0	0	6	16	11	1	34
Total	11	102	202	287	208	49	859

Table B.4 Workplace diversity data for employees by classification at 30 June 2019

Classification	NESB ^a	Indigenous	Disability
Aviation Safety Regulator – Aerodrome Inspector	1	1	0
Aviation Safety Regulator – Airworthiness Inspector	3	0	2
Aviation Safety Regulator – Aviation Safety Advisor	0	0	1
Aviation Safety Regulator – Other	9	1	3
Aviation Safety Regulator – Safety Systems Inspector	0	0	0
Certificate Management Team Leader	3	2	2
Flight Training Examiner	1	0	0
Flying Operations Inspector	7	0	2
National Office Manager	0	0	0
Professional Services	2	0	2
Senior Management	0	0	1
Other classifications	77	8	10
Total	103	12	23

Note: Includes permanent and temporary workforce.

^a NESB describes employees who, in addition to coming from a culturally diverse background, do not speak English as a first language. This matches the definition of NESB used by the Australian Public Service Commission.

Executive remuneration

Table B.5 Remuneration paid to key management personnel, 2018–19

Name	Position title	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits (\$)	Total remuneration (\$)
		Base salary (\$) ^a	Bonuses (\$)	Other benefits and allowances (\$) ^b	Superannuation contributions (\$)	Long service leave accrued (\$)	Other long-term benefits (\$)		
Carmody, Shane	Chief Executive Officer & Director of Aviation Safety	533,990	0	41,086	80,168	13,396	0	0	668,640
Aleck, Jonathan	Executive Manager Legal & Regulatory Affairs	321,760	0	24,753	11,812	8,070	0	0	366,395
Crawford, Graeme	Group Executive Manager Aviation	402,613	0	30,411	60,846	9,915	0	0	503,785
Crome, Philippa	Executive Manager Corporate Services ^c	127,630	0	9,984	23,523	2,939	0	0	164,076
Frawley, Simon	Chief Financial Officer	229,713	0	17,681	41,304	5,765	0	0	294,462
Frey, Tracey	Executive Manager Corporate Services ^d	83,895	0	82,446	14,504	1,904	0	0	182,749
Walker, Robert	Executive Manager Stakeholder Engagement	281,135	0	21,632	42,030	7,053	0	0	351,850
Bridge, Michael	CASA Board member	43,227	0	1,796	6,678	0	0	0	51,701
Cartwright, Cheryl	CASA Board member	59,332	0	987	9,137	0	0	0	69,456
Mathews, Anthony	CASA Board member (Chair)	99,893	0	3,158	15,383	0	0	0	118,434
McAloon, Jane	CASA Board member	58,770	0	11,754	10,788	0	0	0	81,313
Rindfleish, Mark	CASA Board member	58,452	0	1,288	9,002	0	0	0	68,742
Stone, Philippa	CASA Board member	16,105	0	132	2,480	0	0	0	18,718
Taylor, Anita	CASA Board member	67,171	0	15,047	12,125	0	0	0	94,343
Total		2,383,687	0	262,154	339,781	49,042	0	0	3,034,664

Note: CASA's key management personnel are those persons having authority and responsibility for planning, directing and controlling the activities of CASA, either directly or indirectly. Each dollar amount is based on an individual's remuneration. Figures have been rounded to the nearest dollar.

a Base salary includes gross payments (less any bonuses paid).

b Other benefits and allowances includes annual leave accrued during the reporting period and any allowances that are reportable on individual payment summaries.

c Ms Philippa Crome commenced employment with CASA as the Executive Manager Corporate Services on 14 January 2019.

d Ms Tracey Frey ceased employment as the Executive Manager Corporate Services on 5 October 2018.

Table B.6 Remuneration paid to senior managers, 2018–19

Total remuneration bands (\$)	No. of employees	Short-term benefits		Post-employment benefits	Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration
		Average base salary (\$) ^a	Average bonuses (\$)	Average other benefits and allowances (\$) ^b	Average superannuation contributions (\$)	Average long service leave accrued (\$)	Average other long-term benefits (\$)	Average termination benefits (\$)	Average total remuneration (\$)
0–220,000	6	77,077	0	12,396	12,912	3,989	0	0	106,374
220,001–245,000	1	193,922	0	14,918	29,864	4,864	0	0	243,568
245,001–270,000	7	207,440	0	16,028	32,490	5,226	0	0	261,184
270,001–295,000	10	226,985	0	17,362	37,058	5,661	0	0	287,065
295,001–320,000	5	233,867	0	17,929	42,183	5,846	0	0	299,825
320,001–345,000	0	0	0	0	0	0	0	0	0
345,001–370,000	1	284,402	0	21,632	49,154	7,053	0	0	362,241
Average based on no. of staff	30	194,402	0	16,213	32,181	5,275	0	0	248,071

Note: CASA's senior managers are those employees who are substantively appointed to a senior management position or those employees who have acted as a senior manager for a total of three months or more during the reporting period. Senior managers who are also key management personnel are excluded. Each dollar amount is an averaged figure based on headcount for individuals within the remuneration range.

a Base salary includes gross payments (less any bonuses paid).

b Other benefits and allowances include annual leave accrued during the reporting period and any allowances that are reportable on individual payment summaries.

Table B.7 Remuneration paid to other highly paid employees, 2018–19

Total remuneration bands (\$)	No. of employees	Short-term benefits	Post-employment benefits	Post-employment benefits	Other long-term benefits	Termination benefits	Total remuneration		
		Average base salary (\$) ^a	Average bonuses (\$)	Average other benefits and allowances (\$) ^b	Average superannuation contributions (\$)	Average long service leave accrued (\$)	Average other long-term benefits (\$)	Average termination benefits (\$)	Average total remuneration (\$)
220,001–245,000	27	165,774	0	27,153	30,916	4,150	0	0	227,992
245,001–270,000	33	166,202	0	52,079	33,375	4,389	0	0	256,045
270,001–295,000	6	175,915	0	65,185	35,699	4,399	0	0	281,198
295,001–320,000	1	175,924	0	85,410	38,220	4,429	0	0	303,984
Average based on no. of staff	67	166,294	0	36,976	31,955	4,305	0	0	239,530

Note: CASA's other highly paid employees are employees whose reportable remuneration was \$220,000 or more for the reporting period, who are not appointed as senior managers. Remuneration for highly paid employees may include remuneration for periods of acting as a senior manager that total less than three months during the reporting period. Each dollar amount is an averaged figure based on headcount for individuals within the remuneration range. Figures have been rounded to the nearest dollar.

a Base salary includes gross payments (less any bonuses paid).

b Other benefits and allowances includes annual Leave accrued during the reporting period and any allowances that are reportable on individual payment summaries.

External scrutiny

Table B.8 Administrative Appeals Tribunal merits reviews of CASA regulatory decisions, 2014–15 to 2018–19

Matters	2014–15	2015–16	2016–17	2017–18	2018–19
With the tribunal					
Applications on hand from the previous year	19	12	15	14	15
Applications lodged during the year	30	19	14	20	16
Total	49	31	29	34	31
Dealt with					
Decisions affirmed	5	8	5	3	2
Decisions varied	7	1	2	2	7
Decisions set aside	3	8	1	0	2
Matters dismissed	3	1	1	3	2
Total	18	18	9	8	13
Other					
Applications withdrawn by the applicant	23	8	8	11	8
Applications remaining on hand at 30 June	13	15	15	15	10
Total	36	23	23	26	18

Note: A single application to the Administrative Appeals Tribunal often involves more than one reviewable decision. In such cases, a decision by the tribunal on a particular application may be composed of multiple decisions to affirm, set aside or vary decisions made by CASA. For that reason, some of the figures shown for matters dealt with reflect multiple outcomes arising out of a single application, and the figures shown for total applications dealt with do not reflect the total numbers of decisions affirmed, varied or set aside or matters dismissed.

Table B.9 Categories of CASA decisions appealed to the Administrative Appeals Tribunal, 2018–19

Subject of decision	Refusal to issue	Issue subject to conditions not sought by applicant for the authorisation	Cancellation/suspension	Variation/imposition of conditions not sought by holder	Total
Flight crew licence (including ratings and endorsements)	1	0	0	0	1
Aviation maintenance licence or authority (including ratings)	1	0	0	0	1
Medical certificate	6	5	1	0	12
Air operator certificate	0	0	0	0	0
Certificate of approval	0	0	0	0	0
Certificate of registration or airworthiness	0	0	0	0	0
Chief pilot approval	0	0	0	0	0
Maintenance controller approval	0	0	0	0	0
Exemption	0	0	0	0	0
Freedom of information	0	0	0	0	0
Remote pilot licence	1	0	0	0	1
Other matters	1	0	0	0	1
Total	10	5	1	0	16

Table B.10 Applications to the Federal Court for judicial review of CASA regulatory decisions, 2014–15 to 2018–19

Matters	2014–15		2015–16		2016–17		2017–18		2018–19	
	Filed by subject person	Filed by CASA	Filed by subject person	Filed by CASA	Filed by subject person	Filed by CASA	Filed by subject person	Filed by CASA	Filed by subject person	Filed by CASA
With the court										
Applications on hand from the previous year	3	0	0	0	0	0	0	1	0	0
Applications filed during the year	1	1	1	0	1	3	0	0	1	1
Total	4	1	1	0	1	3	0	1	1	1
Dealt with										
Applications granted	2	1	0	0	0	1	0	1	0	1
Matters dismissed	1	0	0	0	0	0	0	0	0	0
Total	3	1	0	0	0	1	0	1	0	1
Other										
Proceedings discontinued	1	0	1	0	1	1	0	0	0	0
Applications on hand at 30 June	0	0	0	0	0	1	0	0	1	0
Total	1	0	1	0	1	2	0	0	1	0
Decisions arising from Administrative Appeals Tribunal decision	4	1	0	0	0	1	0	1	0	0

Table B.11 Coronial inquiries, 2014–15 to 2018–19

	2014–15	2015–16	2016–17	2017–18	2018–19
Inquiries on hand from previous year	2	1	2	1	1
New inquiries	0	1	3	1	2
Total	2	2	5	2	3
Conclusions handed down	1	0	3	1	1
Inquiries remaining in progress at 30 June	1	2	2	1	2

Enforcement

Table B.12 Medical certificate cancellations and suspensions, 2014–15 to 2018–19

Certificate	2014–15		2015–16		2016–17		2017–18		2018–19	
	C	S	C	S	C	S	C	S	C	S
Class 1	0	1	15	33	12	41	37	33	19	42
Class 2	12	45	9	21	23	60	42	28	11	37
Basic Class 2 ^a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	n/a	4	0
Class 3	2	10	2	3	5	7	3	4	9	5
Total	14	56	26	57	40	108	82	65	43	84

C = cancelled, n/a = not applicable, S = suspended

Note: The certificate classes are 1 Professional pilots and flight engineers, 2 Student and private pilots (Basic Class 2 is an alternative to a full Class 2 certificate for private operations), and 3 Air traffic control and flight service providers. A certificate issued may have more than one class of medical: for example, all Class 1 medicals are automatically issued a Class 2 medical. The total shown is the total number of certificates issued, not the sum of the three licence classes for initial issues or renewals.

^a The Basic Class 2 medical certificate was introduced as part of changes made to the aviation medical certification system on 2 July 2018. The Basic Class 2 certificate allows designated aviation medical examiners and general practitioners to assess applicants against the Austroads commercial driving standards for some simple types of private flying.

Table B.13 Licence and certificate actions, 2014–15 to 2018–19

Action	2014–15	2015–16	2016–17	2017–18	2018–19
Show cause notices issued	19	27	35	42	28
Variations	2	4	5	1	0
Suspensions ^a	10	9	10	16	5
Cancellations	6	7	8	9	4

Note: These figures do not include action taken in relation to Civil Aviation Safety Regulations Part 99 offences in relation to medical certificates (see Table B.12) or variations processed by the CASA Service Centre.

^a These include suspensions under regulations 265 and 269 of the Civil Aviation Regulations 1988.

Table B.14 Serious and imminent risk suspensions under section 30DC of the *Civil Aviation Act 1988*, 2014–15 to 2018–19

Action	2014–15	2015–16	2016–17	2017–18	2018–19
Suspensions	1	1	2	0	1

Table B.15 Infringement notices and prosecutions, 2014–15 to 2018–19

Action	2014–15	2015–16	2016–17	2017–18	2018–19
Infringement notices issued	155	132	135	149	129
Matters referred to the Director of Public Prosecutions	12	7	10	5	13
Prosecutions finalised	9 ^a	10	6	6	7 ^b
Acquittals	0	1	0	0	0
Convictions	8	8	6	6	5

a One matter was withdrawn.

b Two matters resulted in findings of guilt with no conviction recorded.

Media, advertising and direct mail costs

Table B.16 Payments to media, advertising and direct mail organisations, 2018–19

Vendor	Amount (\$)
Media organisations	
Australian Associated Press	16,160
Kreisha Ballantyne	16,273
iSentia Pty Ltd	53,839
VMP Pty Ltd	17,965
The Promo Station	47,000
Subtotal	151,237
Market research organisations	
Carbon Media Pty Ltd	47,000
Colmar Brunton	37,900
Hall & Partners	88,900
You1 Group Pty Ltd	39,004
Subtotal	212,804
Advertising agencies	
Val Morgan & Co (Aus) Pty Ltd	75,295
TorchMedia Pty Ltd	20,007
Subtotal	95,302
Direct mail organisations	
Australia Post	161,391
Toll Transport	66,652
Converga Pty Ltd	25,447
Subtotal	253,490
Total	712,833

Note: In accordance with indexation as prescribed in the *Commonwealth Electoral Act 1918*, only payments over \$13,800 (inclusive of GST) are reported. Amounts exclude GST and are rounded to whole dollars.

Legal costs

Table B.17 Legal costs, 2018–19

Vendor	Amount (\$)
Australian Government Solicitor	55,848
MinterEllison	47,801
Ron Ashton	47,725
Peter Ward	13,913
HWL Ebsworth	70,150
Total	235,437

Note: Relates to amounts over \$13,800. Amounts exclude GST and are rounded to whole dollars.

Abbreviations list

AAT	Administrative Appeals Tribunal
APRAST	Asia Pacific Regional Aviation Safety Team
APS	Australian Public Service
ASAOs	approved self-administering aviation organisations
ASAP	Aviation Safety Advisory Panel
ASC	Aviation Safety Committee
ASTRA	Australian Strategic Air Traffic Management Group
ATSB	Australian Transport Safety Bureau
CAA NZ	Civil Aviation Authority of New Zealand
CASA	Civil Aviation Safety Authority
CASA PNG	Civil Aviation Safety Authority of Papua New Guinea
CASR	Civil Aviation Safety Regulations
CEO/DAS	Chief Executive Officer and Director of Aviation Safety
Chicago Convention	1944 Convention on International Civil Aviation
Civil Aviation Act	<i>Civil Aviation Act 1988</i>
CSC	Client Services Centre
DAME	designated aviation medical examiner
DGCA	Directors General of Civil Aviation
EASA	European Aviation Safety Agency
FAA	United States Federal Aviation Administration
EPMO	Enterprise Portfolio Management Office
GST	goods and services tax
ICAO	International Civil Aviation Organization
ICC	Industry Complaints Commissioner
LGBTI	lesbian, gay, bisexual, transgender, intersex
LGBTIQ+	lesbian, gay, bisexual, transgender, intersex, queer plus
OAR	Office of Airspace Regulation
PASO	Pacific Aviation Safety Office
PGPA Act	<i>Public Governance, Performance and Accountability Act 2013</i>
PNG	Papua New Guinea
RASG-APAC	Regional Aviation Safety Group – Asia and Pacific Regions
RPAS	remotely piloted aircraft systems
Skymuster	Skymuster Helicopters Pty Ltd
WHS	work health and safety

COMPLIANCE INDEX

PGPA Rule reference	Part of report	Description	Requirement
17BE	Contents of annual report		
17BE(a)	Part 4	Details of the legislation establishing the body	Mandatory
17BE(b)(i)	Part 4	A summary of the objects and functions of the entity as set out in legislation	Mandatory
17BE(b)(ii)	Part 2	The purposes of the entity as included in the entity's corporate plan for the reporting period	Mandatory
17BE(c)	Part 4	The names of the persons holding the position of responsible Minister or responsible Ministers during the reporting period, and the titles of those responsible Ministers	Mandatory
17BE(d)	Part 4	Directions given to the entity by the Minister under an Act or instrument during the reporting period	If applicable, mandatory
17BE(e)	Part 4	Any government policy order that applied in relation to the entity during the reporting period under section 22 of the Act	If applicable, mandatory
17BE(f)	Part 4	Particulars of non compliance with: <ul style="list-style-type: none"> a. a direction given to the entity by the Minister under an Act or instrument during the reporting period; or b. a government policy order that applied in relation to the entity during the reporting period under section 22 of the Act 	If applicable, mandatory
17BE(g)	Part 2	Annual performance statements in accordance with paragraph 39(1)(b) of the Act and section 16F of the rule	Mandatory
17BE(h), 17BE(i)	Part 5	A statement of significant issues reported to the Minister under paragraph 19(1)(e) of the Act that relates to non compliance with finance law and action taken to remedy non compliance	If applicable, mandatory
17BE(j)	Part 4	Information on the accountable authority, or each member of the accountable authority, of the entity during the reporting period	Mandatory
17BE(k)	Part 4	Outline of the organisational structure of the entity (including any subsidiaries of the entity)	Mandatory
17BE(ka)	Part 7	Statistics on the entity's employees on an ongoing and non ongoing basis, including the following: <ul style="list-style-type: none"> a. statistics on full time employees; b. statistics on part time employees; c. statistics on gender; d. statistics on staff location 	Mandatory

PGPA Rule reference	Part of report	Description	Requirement
17BE(l)	Part 7	Outline of the location (whether or not in Australia) of major activities or facilities of the entity	Mandatory
17BE(m)	Part 4	Information relating to the main corporate governance practices used by the entity during the reporting period	Mandatory
17BE(n), 17BE(o)	Part 5	For transactions with a related Commonwealth entity or related company where the value of the transaction, or if there is more than one transaction, the aggregate of those transactions, is more than \$10,000 (inclusive of GST): a. the decision making process undertaken by the accountable authority to approve the entity paying for a good or service from, or providing a grant to, the related Commonwealth entity or related company; and b. the value of the transaction, or if there is more than one transaction, the number of transactions and the aggregate of value of the transactions	If applicable, mandatory
17BE(p)	Part 4	Any significant activities and changes that affected the operation or structure of the entity during the reporting period	If applicable, mandatory
17BE(q)	Part 4	Particulars of judicial decisions or decisions of administrative tribunals that may have a significant effect on the operations of the entity	If applicable, mandatory
17BE(r)	Part 4	Particulars of any reports on the entity given by: a. the Auditor General (other than a report under section 43 of the Act); or b. a Parliamentary Committee; or c. the Commonwealth Ombudsman; or d. the Office of the Australian Information Commissioner	If applicable, mandatory
17BE(s)	Not applicable	An explanation of information not obtained from a subsidiary of the entity and the effect of not having the information on the annual report	If applicable, mandatory
17BE(t)	Part 5	Details of any indemnity that applied during the reporting period to the accountable authority, any member of the accountable authority or officer of the entity against a liability (including premiums paid, or agreed to be paid, for insurance against the authority, member or officer's liability for legal costs)	If applicable, mandatory
17BE(ta)	Part 7	Information about executive remuneration	Mandatory

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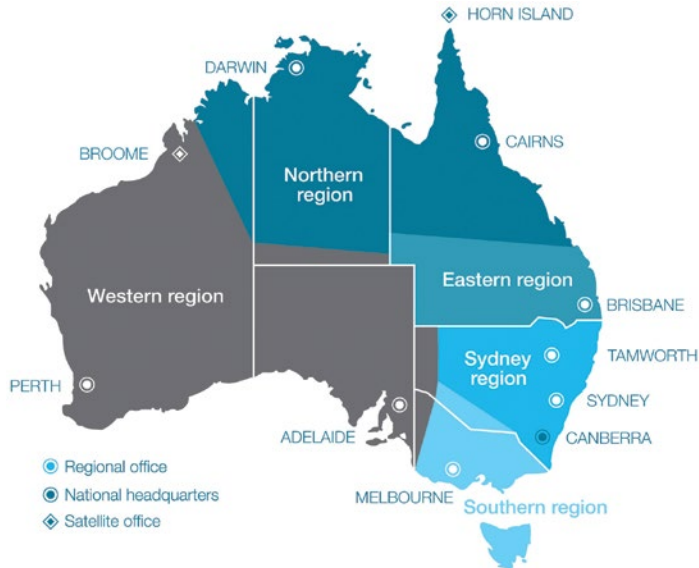
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