



**Australian Government**  
**Civil Aviation Safety Authority**



CIVIL AVIATION SAFETY AUTHORITY

# ANNUAL REPORT

# 2019-20

SEARCH  
year

## 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 2019–20*.

This report aims to provide readers with a detailed account of CASA's performance for the 2019–20 reporting period.

As well as providing a detailed description of what CASA has done during the year, the report contains financial statements for 2019–20 and identifies CASA's plans to meet expected challenges in the year ahead.

CASA is accountable to the Minister for Infrastructure, Transport 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



**Australian Government**  
**Civil Aviation Safety Authority**

CHAIR – CASA BOARD  
Ref: MS20-001502  
14 September 2020

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 2019 to 30 June 2020.

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. The annual report was reviewed by the Board and approved on 11 September 2020.

Yours sincerely

A handwritten signature in black ink that reads 'A Mathews'.

**Anthony Mathews**  
Chair  
CASA Board

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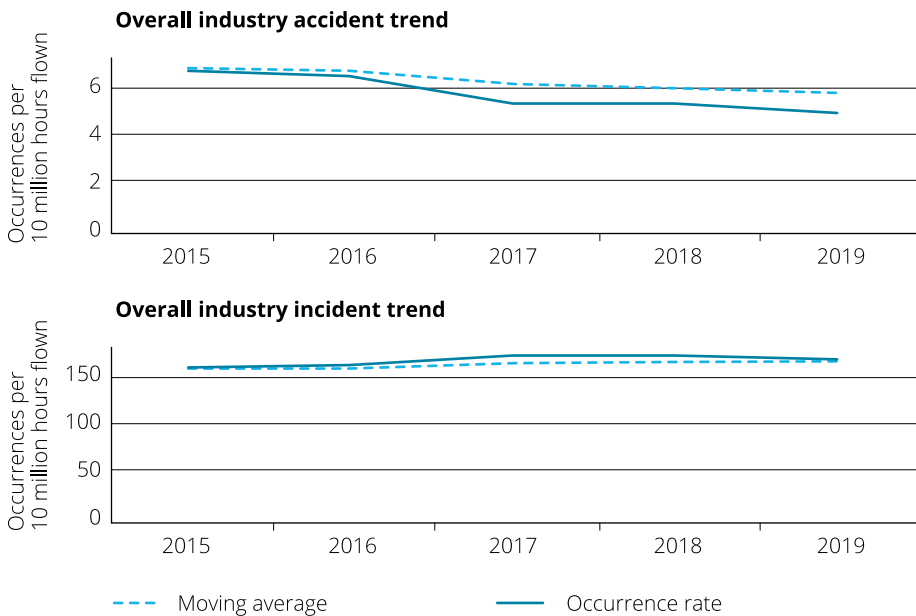
# SNAPSHOT OF RESULTS—PORTFOLIO OUTCOME

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

Against the nine performance criteria in CASA’s Portfolio Budget Statements, seven of 11 targets were achieved, while four were partly achieved.

Data suggest a decreasing trend in the aviation industry accident rate over the past five years, with the incident rate remaining virtually stable since 2015.

See the annual performance statement (pages 28–33) for full results against CASA’s Portfolio Budget Statements performance criteria.



**Note:** The accident and incident rate information was calculated 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.

Both fatal and non-fatal accidents are included in the accident rate calculation, and similarly, both serious and non-serious incidents are included in the incident rate calculation.

A moving average rate has been plotted to help display any underlying trends.

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

# SNAPSHOT OF RESULTS—CORPORATE GOALS

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

### Key performance indicators

89% of measures completed or on track

11% of measures delayed

Key achievements in 2019–20 included:

- The final tranche of the flight operations regulations was made in December 2019, comprising Civil Aviation Safety Regulations (CASR) Part 103 (sport and recreation aircraft), Part 105 (parachuting from aircraft) and Part 131 (balloons and hot air airships), and bringing the long-running regulatory reform program to a close.
- CASA continued to engage with the Department of Infrastructure, Transport, Regional Development and Communications and other agencies in the review of Australia's State Safety Program and the development of the associated national aviation safety plan. The draft national aviation safety plan and revised State Safety Program are awaiting ministerial approval prior to proceeding to public consultation, which was placed on hold due to COVID-19.
- New flight crew fatigue rules were made in Civil Aviation Order 48.1 Instrument 2019 in September 2019. Critical guidance material and training was completed for the June 2020 transition date prior to CASA proactively deferring transition to accommodate COVID-19 disruption to industry.
- The first Part 149 certificate for an approved self-administering aviation organisation was issued, to the Australian Parachute Federation, on 25 April 2020.
- CASA introduced an acceptable means of compliance with the CASR Part 67 colour vision standard through the recognition of the New Zealand operational colour vision assessment (OCVA). Development of an Australian OCVA was delayed by COVID-19.
- Legislation was made in July 2019 to support remotely piloted aircraft registration and operator accreditation, to commence for commercial operators on 30 September 2020.
- A range of regulatory activities was completed to enable the commissioning of new runways at Sunshine Coast Airport and Brisbane Airport.
- Publication of the new Part 139 Manual of Standards for aerodromes was completed, with a commencement date of 13 August 2020.
- CASA provided support during bushfire events through airspace solutions and post-event forums to enhance the safety of airspace users in future bushfire events.

### Progress against CASA's strategies and plans:

Of the 24 intended outcomes against Goal 1, 83 per cent were completed, 13 per cent were delayed and 4 per cent were not achieved.

See the annual performance statement (pages 35–38) for full results against CASA's corporate plan key performance indicators for Goal 1.

## Goal 2: Collaborative engagement with the aviation industry and wider community to promote and support aviation safety

### Key performance indicators

100% of measures completed or on track

Key achievements in 2019–20 included:

- CASA conducted 48 public consultations and feedback surveys via the web-based CASA Consultation Hub, on a range of policy proposals and initiatives.
- CASA relaunched a print edition of *Flight Safety Australia*, available via subscription.
- In March 2020, CASA relinquished its status as an Aviation Security Identification Card issuing body. This ended 15 years of responsibility for issuing the cards.
- During the reporting period, CASA reduced the backlog of open applications relating to flight crew licensing and aviation medicine by 66.7 per cent. The proportion of applications for flight crew licensing and aviation medicine processed outside service delivery targets decreased from 60.7 per cent to 29.5 per cent. At 30 June 2020, the proportion of flight crew licences processed within service standards was 92.1 per cent, compared to 33.3 per cent at 30 June 2019.

- The Flight Test Management system was reviewed and enhanced to enable the automation of proficiency checks and real-time updates to client licences through the CASA Self Service portal. We also introduced an enhanced CASA telephony system capability to enable client aviation reference number entry identification to better support external client systems contact.

### Progress against CASA's strategies and plans:

Of the 13 intended outcomes against Goal 2, 92 per cent were completed or on track. Development of an engagement program with state and local government was delayed due to travel and social distancing restrictions associated with the COVID-19 pandemic.

See the annual performance statement (pages 39–41) for full results against CASA's corporate plan key performance indicators for Goal 2.



Aeroprakt A-22 Foxbat ultralight aircraft. Ramp check by CASA inspectors at Sydney Recreational Flying Club, The Oaks airfield, NSW. © Civil Aviation Safety Authority



### Goal 3: Continuous improvement of organisational performance

#### Key performance indicators

89% of measures completed or on track

11% of measures delayed

Key achievements in 2019–20 included:

- Our online services platform continued to grow. Aviation reference numbers for individuals and organisations are online along with remote pilot licences and remotely piloted aircraft operator certificates.
  - CASA's inclusion strategy and action plans for 2019–20 to 2022–23 were released on 2 March 2020 with a four-year rolling plan.
  - CASA implemented several initiatives to improve staff awareness of risk management. An e-learning risk module was developed and made available to all staff as part of the CASA learning portfolio. Risk is addressed as a key component of CASA's orientation program and the manager orientation training program. Three successful program risk assessment workshops were conducted for key programs of work that CASA is undertaking.
  - In late 2019, CASA reviewed its business continuity plans to consolidate them and ensure that they were fit for purpose and aligned with best practice and standards.
- Key achievements that shaped and supported CASA's diverse and inclusive workplace included:
    - » implementing cultural appreciation training as an ongoing business-as-usual training program
    - » building workforce preparedness for people with disability by collaborating with the Australian Network on Disability to educate and support our workforce to understand and positively engage with people with disability
    - » fulfilling CASA's ongoing commitment to affirmative recruitment measures through entry-level programs that work towards our diversity targets
    - » engaging and working with our Aboriginal and Torres Strait Islander employees to provide opportunities to influence and participate in CASA's policies and programs, through the Reconciliation Action Plan Working Group and the CASA Aboriginal and Torres Strait Islander Employee Network.

#### Progress against CASA's strategies and plans:

Of the 12 intended outcomes against Goal 3, 83 per cent were assessed as completed or on track, while 17 per cent were not achieved.

See the annual performance statement (pages 42–45) for full results against CASA's corporate plan key performance indicators for Goal 3.



# 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. CASA also has responsibility for classifying Australian-administered airspace and determining the services and facilities provided by approved air navigation service providers, having regard to the efficient use of, and equitable access to, Australian-administered airspace. In performing its functions and exercising its powers, CASA must take into account the economic and cost impact of the standards it sets, the differing risks associated with different industry sectors and, to the extent practicable, the environmental effects of the operation and use of aircraft on the environment. In all cases, the safety of air navigation must be CASA's most important consideration.

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

In keeping with CASA's fundamental obligations, we strive at all times to ensure our decision-making and actions are lawful, fair, reasonable and consistent, and contribute to optimal safety outcomes, while not unnecessarily impeding the efficiency of the operations we regulate.

## People

At 30 June 2020, CASA employed 857 ongoing and non-ongoing employees in offices around Australia.

## 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.*

## Corporate objectives

CASA's objectives for 2019–20 were identified in the *CASA Corporate Plan 2019–20*.

## 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

- **Excellence** – to strive to excel in all we do
- **Courage** – to act with strength of character and conviction while being accountable for our actions
- **Integrity** – our actions and behaviour are open, transparent and ethical
- **Teamwork** – to work together to promote a strong, cohesive and highly effective workforce
- **Innovation** – to challenge existing practices and look for opportunities to support effective continuous improvement
- **Fairness** – to ensure our actions and decisions are informed, consistent, risk-based, evidence-driven and without bias
- **Respect** – to engage with our peers, colleagues and the wider aviation community in a clear, concise and respectful manner at all times

## Goals

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

## Financial results

CASA recorded an operating deficit of \$12.4 million in 2019–20, compared to a \$3.5 million operating deficit in 2018–19 (see page 19–23 for a full financial summary).

Key indicator	2018-19 (\$m)	2019-20 (\$m)	Change (%)
Operating revenue	183.5	188.3	2.6 $\Delta$
Operating expenses	187.0	200.7	7.3 $\Delta$
Operating surplus (deficit)	(3.5)	(12.4)	254 $\nabla$

## Operating environment

CASA has a direct regulatory relationship with approximately:

- **31,203** pilots
- **15,721** registered aircraft
- **791** air operator certificate holders
- **1,952** remotely piloted aircraft operator certificate holders
- **16,482** remote pilot licence holders
- **9,218** licensed aircraft maintenance engineers
- **1,012** air traffic controllers
- **320** operators of certified and registered aerodromes
- **665** 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.

## Results

Against the nine performance criteria in CASA's Portfolio Budget Statements, seven of 11 targets were achieved, while four were partly achieved.

Against CASA's three corporate goals:

- **24 of 26** measures of success against key performance indicators were completed or on track, while two were delayed
- **42 of 49** intended outcomes in key performance areas were completed or on track, while four were delayed and three were not achieved.

## 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.
- Providing safety education seminars, programs and resources for industry and the public.
- 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.
- Conducting regulatory oversight of operators' drug and alcohol management plans, conducting drug and alcohol testing, and carrying out certain aviation security assessment functions.
- Encouraging a greater acceptance by the aviation industry of its obligation to maintain high standards of aviation safety.
- 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.

## INTERESTING FACTS IN 2019-20



336

additional aircraft were registered, bringing the total to **15,721**



4,330

new flight crew licences were issued, bringing the total to **31,203**



35,880

flight crew licensing applications and notifications were processed



1,651

Australian-registered aircraft were built before 1965, compared to **220** aircraft that were less than two years old



52

infringement notices and **67** counselling notices were issued for remotely piloted aircraft systems matters



1,200

development applications were assessed and approximately **90** airspace change requests were considered



833

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



28

Airservices Australia surveillance events and **81** aerodrome surveillance events were conducted



72 per cent

of the scheduled surveillance audits were completed, against a target of **80 per cent**, despite disruptions caused by the COVID-19 pandemic



5,403

people were issued one of three classes of medical certificate for the first time – of those, **2,427** received their first Class 1 medical certificate



3,368

orders came through CASA's online store and **57,323** items were dispatched



163

aviation safety seminars and **546** on-site visits were conducted around Australia, reaching more than **5,134** industry members



16,482

remote pilot licence holders and **1,952** remotely piloted aircraft operator certificate holders were current



29

drone detection units were installed across civil-controlled aerodromes in partnership between CASA, Airservices Australia and the Department of Defence



448

new remotely piloted aircraft operator certificates were issued



Know Your Drone safety education campaign advertising reached more than **12.4 million** people



The virtual assistant on the Know Your Drone website had **9,117** conversations with clients and resolved **82 per cent** of questions on first contact



Over **8.1 million** people visited CASA's website, resulting in **10.3 million** page views – five out of the top 10 pages related to drones, accounting for **1.3 million** page views



**2** CASA employees were honoured for 30 years of service, **6** employees were honoured for 25 years of service and **8** employees were honoured for 20 years of service



Our digital transformation project reduced standard processing times for:

- aviation reference number applications, from **3.5 days** to less than **2 minutes**
- remotely piloted aircraft operator certificates, from **60 days** to **3 days**
- remote pilot licences, from **8-10 days** to **12 minutes**



Aviation industry personnel completed **13,089** e-learning training sessions through the AviationWorx portal

## INTERESTING ACTIVITIES IN 2019-20

CASA's *Flight Safety Australia* magazine returned to print, with more than 2,500 readers subscribing in the first year.

Measures that CASA introduced to support the industry during the COVID-19 pandemic included six-month extensions of 800 air operator certificates and more than 300 flight training certificates, 30,000 medical certificates for pilots and 14,000 aircraft maintenance engineer certificates.

A virtual assistant was deployed on a dedicated website, [casa.gov.au/knowyourdrone](https://casa.gov.au/knowyourdrone), to manage enquiries related to remotely piloted aircraft systems. Some of the popular topics of enquiry were:

- What are the rules for flying drones?
- Drone registration
- Do I need a drone licence?
- How do I apply for a drone licence?
- Remote pilot licences, remotely piloted aircraft operator certificates and commercial use.

The new Aviation State Engagement Forum (AvSEF) was initiated to provide opportunities for direct communication with regional aviation communities.

CASA transitioned to a new learning management system – providing greater functionality, including capabilities for new delivery methods and improved reporting and an intuitive user interface – for delivering training to CASA staff and industry.

CASA engaged with the Digital Transformation Agency Digital Graduate Program, and CASA's Information Technology Branch commenced working with the Australian National University to provide real-world experience for Master of Innovation and Professional Practice students.

The AvSafety seminar series introduced a new engineering seminar program, *The human component*. The program focuses on engineering errors and the lessons learnt, the human component of engineering, and proposed regulations for general aviation maintenance and continuing airworthiness regulations.

As a part of CASA's COVID-19 response, 92 per cent of CASA staff commenced working remotely from home.





# PART

## OVERVIEW

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 2019–20 are identified, along with some of the initiatives and challenges that lie ahead.

### In this part:

- Message from the Chair of the Board **14**
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Director of Aviation Safety **16**
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## MESSAGE FROM THE CHAIR OF THE BOARD

2019–20 was a year that most of us will want to forget in a hurry. Significant developments for the aviation industry in the last six months of 2019 were quickly overshadowed by Australia’s devastating bushfire crisis, closely followed by the catastrophic impact of the COVID-19 pandemic. Domestic and international travel as we knew it will never be the same. The consequences of coronavirus have crippled the regular public transport sector and a commitment to ensure the long-term recovery of this sector, and others, will require patience and resolve.

The regulation of so many industry participants across a multitude of sectors is a large and important task. We are facing considerable uncertainty for the future and have had to take difficult but necessary measures to respond to the situation and prepare the industry for an extended period of doing business differently. I am pleased that CASA implemented significant relief measures for industry during the pandemic.

The organisation was increasingly busy during this time, working on approvals for repatriation and cargo flights and remotely piloted aircraft systems approvals for enforcement agencies in the event of high-level state-imposed lockdowns.

A number of alleviations and exemptions were introduced, and I was gratified by the strong support received from industry. Some of the measures included the automatic extension of air operator certificates, remotely piloted aircraft operator certificates and medicals; continuation of licence privileges after expiration for flight review proficiency checks; extension of the transition to the new fatigue rules; and extensions to statutory time periods for commercial pilot licence and air transport pilot licence students and aircraft maintenance engineer licence students.

Significant progress was being made on the implementation of promised regulatory reforms before other priorities took over. The flight operations suite of regulations, covering the general operating and flight rules, air transport certification and governance, air transport operations for aeroplanes and rotorcraft and aerial work, remains on track for commencement in late 2021. CASA has been cognisant of the changes made to section 9A of the *Civil Aviation Act 1988* last year and has actively considered the economic and cost impact of each new measure. A range of matters remain to be resolved but I am grateful that progress continued during a very difficult period.

I am convinced there will still be a vibrant and dynamic aviation industry when these unprecedented circumstances have passed. By working together with industry, CASA will continue to strive for pragmatic and proportionate regulation to reflect the current operating environment. Our efforts, alongside industry, will be essential to drive the recovery of different sectors and sustain Australian aviation as a viable and profitable commodity.

On behalf of the Board, I would like to thank industry members for their ongoing support. I also extend my appreciation to CASA's management and staff, and my fellow Board members, for their continued dedication to the organisation and its important mission.



**Anthony Mathews**  
Chair of the CASA Board



# REVIEW BY THE CHIEF EXECUTIVE OFFICER/DIRECTOR OF AVIATION SAFETY

CASA achieved significant results during the 2019–20 reporting period. Important amongst these was the conclusion of a key regulatory milestone through the completion of the regulatory development program. At the same time, we were able to provide regulatory support and safety oversight amid a devastating bushfire season as well as through the COVID-19 pandemic, whilst continuing programs to simplify and streamline many of our services.

Being a safety regulator is challenging, but I am confident that CASA and its people continue to achieve quality outcomes for the Australian aviation sector. Australia has a safe and highly respected aviation safety system which remains one of the best in the world.

The following is a summary of CASA's noteworthy achievements for 2019–20.

## Finalising the Civil Aviation Safety Regulations

At the beginning of the 2019–20 reporting period we had three remaining flight operations regulations to complete. I am pleased that we were able to have them signed by the Governor-General in late 2019, finalising the long-standing regulatory development program that I undertook to finish when I was appointed as Chief Executive Officer/Director of Aviation Safety. Over the past two years there has been an enormous amount of effort expended by CASA staff, the Aviation Safety Advisory Panel and the associated technical working groups, and the broader aviation industry to achieve this goal. I extend my sincere gratitude to you all. This is certainly a milestone in aviation safety.

Not only do the new rules consolidate the existing flight operations rules, they also deliver safety improvements and align with international best practice. These new rules will have an impact on the majority of pilots and operators in Australia. However, making the rules is only the first step. There is considerable remaining work to do between now and their commencement in December 2021 to support the implementation and development of detailed explanatory and guidance material to ensure a successful transition to the new rules.

## Transforming our services digitally

We continue to enhance our digital services platform for industry to provide simple and efficient processing of applications for basic services such as aviation reference numbers for individuals and organisations. The processing of applications for remote pilot licences is fully available online through the myCASA portal, as are renewals of remotely piloted aircraft operator certificates. We will be introducing an electronic pilot licensing system in the next six months and online aircraft registrations in the future.

## Consulting on change

In response to the independent review and extensive industry consultation, we finalised the fatigue rules under Civil Aviation Order 48.1 Instrument 2019. The instrument commenced and provided a staged commencement over 2019 and 2020. Alert to the effects of COVID-19 on the aviation industry, we have agreed to extend transition dates by a full 12 months.

We continued to consult on proposed changes via the CASA Consultation Hub, with 48 consultations conducted during the reporting period, and I thank those who contributed to the consultations. The feedback and advice received is critical to ensure that we draft regulations that are modern, relevant and simple to understand and consider the cost impact for operators.

The Aviation Safety Advisory Panel has been instrumental in our regulatory progress during the period, as well as the hub that is used to manage all our consultation material.

## Regulatory relief

CASA has provided significant relief to industry in relation to the COVID-19 pandemic. The pandemic continues to disrupt business and flying operations and significantly reduce the overall level of aviation activity. We are actively managing our response to the COVID-19 situation to ensure the ongoing safety of aviation, while taking a flexible regulatory approach to help alleviate the pressure on Australian operators.

We have also adjusted our approach to surveillance to account for reduced levels of activity and new and emerging sector risks.

## Financial results

CASA recorded an operating deficit of \$12.4 million in 2019–20, compared to a \$3.5 million deficit in 2018–19.

The difference of \$8.9 million reflects the overall result of an increase in income of \$4.8 million and an increase in expenses of \$13.7 million.

Further information on CASA's financial results is on pages 19–23.

## Outcomes not achieved

Although we achieved the majority of what we had set out to do this year, our progress in some areas was hindered by the pandemic.

COVID-19 has clearly had an impact on planned surveillance and has resulted in the number of planned surveillance events being under target. At the same time, the reduction in on-site surveillance has resulted in a significant increase in desktop surveillance.

Several high-profile engagement opportunities were cancelled or postponed. These included senior-level engagement with overseas authorities and engagement with the International Civil Aviation Organization and many other forums to which CASA regularly contributes. Many of the engagements have since been facilitated utilising online methods.

A number of airworthiness strategy recognition agreements did not progress as planned, due to requests for deferral from the respective national aviation authority or cancellation of international meetings due to COVID-19. CASA remains committed to finalising these agreements in the coming year.

CASA is continuing discussions with the Civil Aviation Authority of New Zealand on remote training mechanisms, in an effort to establish the Australian operational colour vision assessment (OCVA). The OCVA was expected to be in place in early 2020 but was delayed due to COVID-19 travel restrictions.

## The year ahead

The year ahead will see CASA support the aviation industry's steady return to operations after the pandemic.

As we move into the recovery journey it is important to stop and think carefully about the safety implications of a return to our 'new normal' aviation operations.

We will continue to focus on cross-entity collaboration in some large whole-of-government initiatives, including the Australian Space Agency and Geoscience Australia.

We will aim to finalise the new continuing airworthiness regulations, known as Civil Aviation Safety Regulations (CASR) Part 43, for general aviation and aerial work (incorporating future CASR Parts 91, 137 and 138 operations). The aim is to develop a more efficient regulatory environment to provide for reduction of maintenance costs while maintaining appropriate level of safety.

Other key areas of focus for 2020–21, across all divisions of CASA, include:

- finalising the Regulatory Services and Surveillance Transformation Program
- introducing case management functionality within our European Aviation Processing (EAP) regulatory service management system
- implementing an enhanced regulatory oversight operating model
- driving an effective aviation safety regulatory framework that enables remotely piloted aircraft systems to operate safely within an integrated Australian aviation system
- preparing for the flight operations regulations to commence in December 2021
- developing guidance materials to support industry to transition to new flight crew fatigue rules under Civil Aviation Order 48.1
- further amending the CASR Part 61 flight crew licensing scheme
- managing the return to service of the Boeing 737 MAX aircraft.

## Appreciation

This is my last annual report as Chief Executive Officer/Director of Aviation Safety. I owe a sincere debt of gratitude to all of my colleagues and the industry for their ongoing commitment to aviation safety. During the last four years we have faced many challenges in the regulation of aviation safety that we have worked through pragmatically. I am proud to have led an organisation committed to achieving broad safety outcomes for all Australians, be they participants in our fantastic aviation industry or beneficiaries of our aviation safety approach and culture, thereby achieving CASA's vision of *Safe skies for all*. I wish you all the best for the future.



A handwritten signature in black ink, appearing to read 'Shane Carmody', written in a cursive style.

**Shane Carmody**  
Chief Executive Officer/  
Director of Aviation Safety

## FINANCIAL SUMMARY

CASA recorded an operating deficit of \$12.4 million in 2019-20, compared to a \$3.5 million deficit in 2018-19.

The difference of \$8.9 million reflects an increase of \$13.7 million in expenses, offset by a \$4.8 million increase in income.

The increase in income was due to additional funding from government appropriations for the registration of drones and a supplementation due to a fall in fuel excise collected as a result of the impacts of COVID-19.

The increase in expenses was the net result of increases related to employee expenses – an increase in average staffing level (to 825 in 2019-20 from 806 in 2018-19), an increase in salaries under the CASA Enterprise Agreement 2016-19 (CASA placed a six-month pause on the 2020 remuneration increase in

line with the Australian Public Service in April 2020), and increased expenses in consultancies and service contracts, offset by decreases in training and travel expenses.

In 2019-20, CASA's operating result was \$9.0 million less favourable than the revised estimate published in the 2019-20 Portfolio Budget Statements. The actual result was a deficit of \$12.4 million, compared to an estimated deficit of \$3.4 million.

The variance from the estimate was primarily due to lower than expected aviation fuel excise income of \$27.5 million and regulatory fees of \$11.8 million, amplified by the impacts of COVID-19, offset by additional appropriations of \$15.0 million received for drone registration and COVID-19 relief. Table 1 provides further details.

**Table 1 Comparison of actual results for 2019-20 with 2018-19 actual results and 2019-20 budgeted results**

	Actual 2019-20 \$m	Actual 2018-19 \$m	Variance \$m	Actual 2019-20 \$m	Estimated actual 2019-20 <sup>a</sup> \$m	Variance \$m
Income	188.3	183.5	4.8 Δ	188.3	212.5	(24.2) ▽
Expenses	200.7	187.0	13.7 Δ	200.7	215.9	(15.2) ▽
Surplus/ (Deficit)	(12.4)	(3.5)	(8.9) ▽	(12.4)	(3.4)	(9.0) ▽

<sup>a</sup> Budget figures are 2019-20 estimated actuals based on the figures published in the 2019-20 Portfolio Additional Estimates Statements.

## Net result

### Income

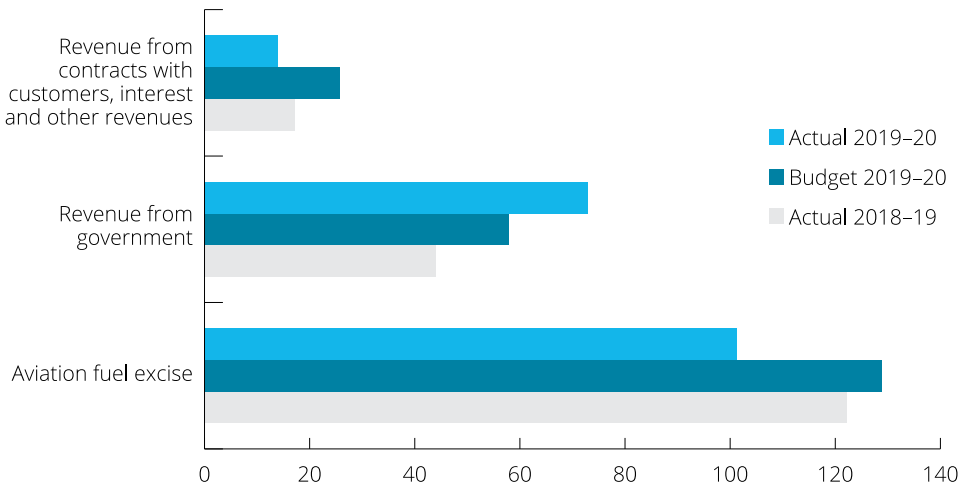
The increased income reflects additional funding from the Government for the management of drones and COVID-19 support, offset by the loss in own-source revenue due to the COVID-19 impact.

Figure 1 shows the change in income from 2018-19 to 2019-20 and compares actual results to budget estimates for 2019-20.

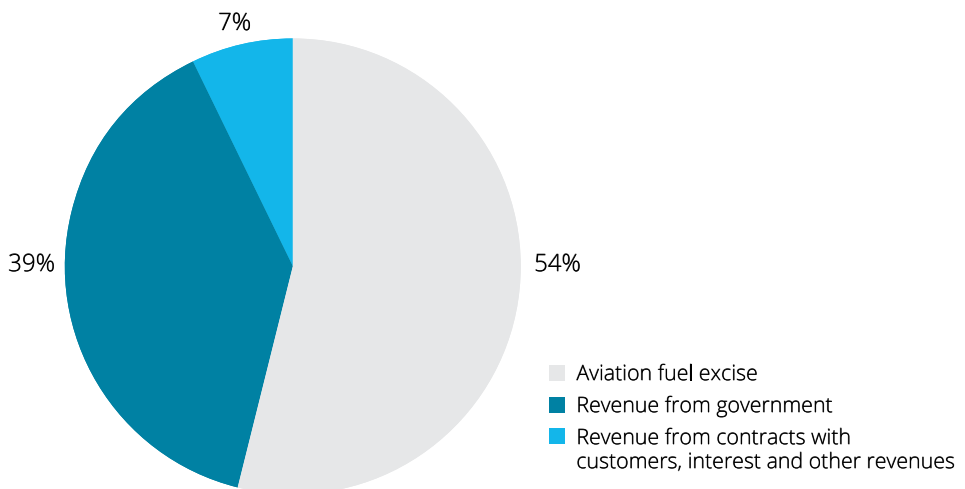
In 2019-20, approximately 54 per cent of CASA's income was from aviation fuel excise (67 per cent in 2018-19) and 39 per cent was from government appropriations (24 per cent in 2018-19).

The remainder was derived from the revenue from contracts with customers, interest and minor sundry revenue (see Figure 2).

**Figure 1 Actual revenue for 2018-19 and actual and budgeted results for 2019-20**



**Figure 2 Sources of revenue, 2019-20**





## Expenses

Total expenses increased by \$13.7 million in 2019-20 compared to 2018-19. This was primarily attributable to increased employee expenses and increased expenses in consultancies and service contracts, offset by decreases in training and travel expenses.

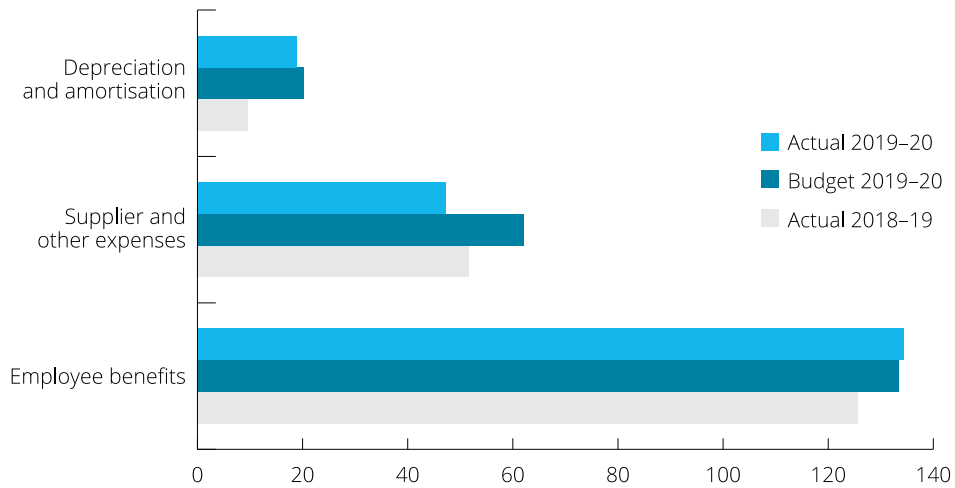
The leased buildings and equipment that were reported as supplier expenses in prior years must be recognised as right-of-use assets in 2019-20, following the adoption of a new accounting standard, AASB 16 *Leases*.

This resulted in a reduction in supplier expenses and an increase in depreciation and amortisation.

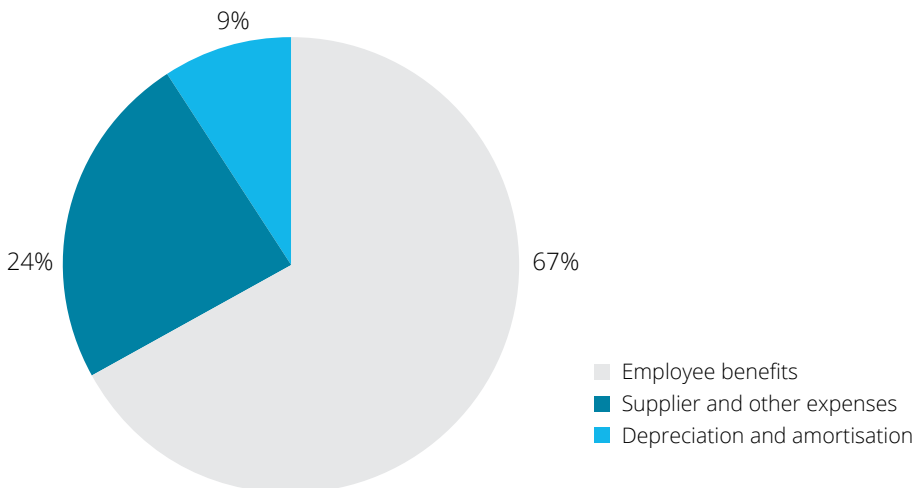
Figure 3 shows the change in expenses from 2018-19 to 2019-20 and compares actual results to budget estimates.

In 2019-20, CASA spent approximately 67 per cent of total expenditure on employee costs (67 per cent in 2018-19) and approximately 24 per cent on suppliers (28 per cent in 2018-19). The remainder comprised depreciation and amortisation expenses (see Figure 4).

**Figure 3 Actual expenses for 2018-19 and actual and budgeted results for 2019-20**



**Figure 4 Expenditure, 2019-20**



## Cash flow

CASA's cash balance (including short-term investments) at 30 June 2020 was \$49.8 million (\$64.2 million in 2018-19). The decrease in the cash balance was represented by net cash received from operating activities of \$12.5 million (\$12.3 million in 2018-19) offset by an increase of \$1.3 million in net cash used by investing activities (property, plant and equipment and intangibles) to \$18.6 million (\$17.3 million in 2018-19), as well as \$8.3 million cash used in financing activities (leased buildings and equipment). The change of cash flow presentation is required by the new accounting standard AASB 16 *Leases* in 2019-20. The leasing expenditure was reported in operating activities in 2018-19.

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).

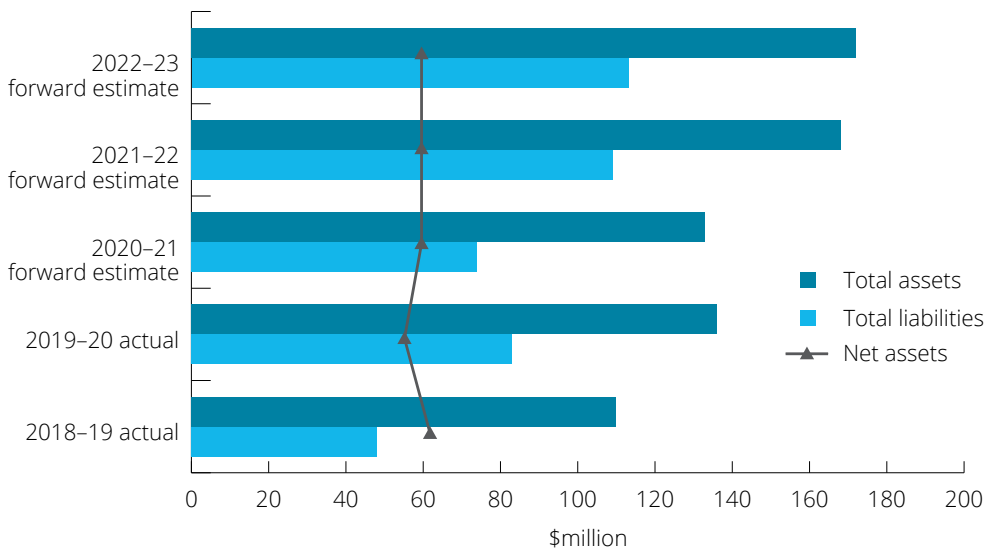
## Financial position

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 \$9.3 million in 2019-20.

Figure 5 shows that CASA maintains a sustainable net assets level in relation to 2019-20 and forward estimates.

**Figure 5 Financial position, 2018-19 to 2022-23**



## Financial outlook

The 2020–21 budget will be handed down on 6 October 2020. The details below are taken from the 2019–20 Infrastructure, Transport, Regional Development and Communications Portfolio Additional Estimates Statements and are subject to change pending government consideration.

CASA is budgeting for a small operating surplus for financial years 2020–21, 2021–22 and 2022–23.

CASA's total forecast income for 2020–21 is \$189.5 million, derived as follows:

- \$40.5 million from government appropriations
- \$129.8 million from the aviation industry through the collection of excise revenue on aviation fuel sold for domestic air travel
- \$17.5 million from regulatory service fees plus other revenue from industry
- \$1.7 million from interest from investments and cash deposits.

CASA's balance sheet projection shows a modest increase in net assets 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 \$52 million in the next three years. As published in the Portfolio Additional Estimates Statements, aviation fuel excise revenue is expected to increase by 6.2 per cent over the three forward years.

The retained surplus is budgeted to remain stable in the following years because of small operating surpluses.



Rebecca Tomkinson receiving the approval from Shane Carmody | © Civil Aviation Safety Authority

## First full approval of a fatigue risk management system

The first full fatigue risk management system approval under Civil Aviation Order 48.1 was issued by CASA in September 2019.

Shane Carmody, CASA Chief Executive Officer/Director of Aviation Safety, presented the approval to Rebecca Tomkinson, Chief Executive Officer of Royal Flying Doctor Service of Australia Western Operations (RFDS WO).

RFDS WO had been working through a trial fatigue risk management system for the previous two years. The organisation's trial instrument was due to expire on 30 September 2019, so CASA conducted an audit to decide whether the trial period should be extended or a full approval could be issued.

A fatigue risk management system is designed to be scalable and flexible for individual operators. RFDS WO had expended significant effort and resources, working with external consultants, to shape and develop its system, monitor flight crews and their fatigue, and engage with pilot groups and CASA during the process.

The CASA team overseeing the trial was particularly impressed to see a pilot-initiated proposal considered, and subsequently implemented, with a positive benefit to flight crews and the company.

The work of managing, coordinating, peer reviewing and signing off on the exercise involved staff across the whole of CASA.



PART

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 performance areas, and detailed information on aspects of CASA's operations is provided in the appendices.

**In this part:**

• Statement of preparation	26
• Performance framework	26
• Portfolio outcome	28
• Corporate goals	34
• Analysis	45

## STATEMENT OF PREPARATION

I, on behalf of the Board of the Civil Aviation Safety Authority, present the 2019–20 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:

- page 127 of the 2019–20 Infrastructure, Regional Development and Cities Portfolio Budget Statements
- pages 24 to 29 of the *CASA Corporate Plan 2019–20*.

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 2019–20.

**Figure 6 Alignment of CASA's portfolio and corporate objectives and performance measures in 2019-20**

<b>Portfolio Budget Statements</b>	<p><b>Outcome 1</b> Maximise aviation safety through a regulatory regime, detailed technical material on safety standards, comprehensive aviation industry oversight, risk analysis, industry consultation, education and training</p>		
	<p><b>Program 1.1: Civil Aviation Safety Authority performance criteria</b></p> <ul style="list-style-type: none"> <li>• Number of accidents per hours flown by industry sector</li> <li>• Number of incidents per hours flown by industry sector</li> <li>• CASA maintains the Effective Implementation (EI) Score determined by ICAO Universal Safety Oversight Audit Program (USOAP)</li> <li>• Regulatory implementation delivered in accordance with planned and reviewed targets</li> <li>• Surveillance determined through a national surveillance selection process and conducted to plan</li> <li>• Deliver a program of aviation safety education seminars to industry participants</li> <li>• Clear, open and transparent engagement with the industry to support the continuous improvement of an efficient and effective aviation safety regulatory framework</li> <li>• Regulatory service applications are decided within published service delivery timeframes</li> <li>• Regulatory service activities not currently subject to a published service delivery timeframe</li> </ul>		
	<p><b>Portfolio objectives/corporate goals</b></p>		
	<p><b>1</b> Maintain and enhance a fair, effective and efficient aviation safety regulation system</p>	<p><b>2</b> Collaborative engagement with the aviation industry and wider community to promote and support aviation safety</p>	<p><b>3</b> Continuous improvement of organisational performance</p>
<b>Corporate plan</b>	<p><b>Key performance areas and indicators</b></p>		
	<p><b>Develop regulatory framework</b></p> <ul style="list-style-type: none"> <li>• CASA demonstrates excellence in development of the aviation safety regulatory framework</li> </ul> <p><b>Entry control</b></p> <ul style="list-style-type: none"> <li>• CASA processes applications for authorisations in accordance with documented procedures and within nominated timeframes</li> </ul> <p><b>Compliance assurance</b></p> <ul style="list-style-type: none"> <li>• CASA's compliance monitoring approaches are standardised and coordinated relative to the risk being managed</li> </ul> <p><b>Address non-compliance</b></p> <ul style="list-style-type: none"> <li>• Actions undertaken are consistent with CASA's regulatory philosophy</li> </ul>	<p><b>Effective engagement</b></p> <ul style="list-style-type: none"> <li>• CASA maintains productive working relationships with key stakeholders</li> <li>• CASA is transparent in its decision making</li> </ul> <p><b>Promote safety and education</b></p> <ul style="list-style-type: none"> <li>• CASA supports industry compliance (and/or understanding of the consequences of non-compliance)</li> <li>• CASA's education and promotion deliverables are relevant, timely, effective and appropriately targeted</li> </ul>	<p><b>Robust structures, systems and processes supporting good governance</b></p> <ul style="list-style-type: none"> <li>• Governance structures are effective</li> <li>• CASA has the information and communication technology platform and enabling support to achieve business improvement and transformation</li> </ul> <p><b>CASA continually develops its capability and capacity</b></p> <ul style="list-style-type: none"> <li>• CASA maintains and grows capability to effectively deliver aviation safety regulation</li> <li>• CASA maintains staff engagement and builds a culture that enables the achievement of CASA's mission</li> </ul>



## PORTFOLIO OUTCOME

In 2019–20, 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 2019–20 Infrastructure, Regional Development and Cities Portfolio Budget Statements.

The nine performance criteria set out in the Portfolio Budget Statements comprise high-level measures across CASA performance – reduced accidents, reduced incidents and clear, open and transparent engagement with industry – as well as targets for performance against detailed operational objectives.

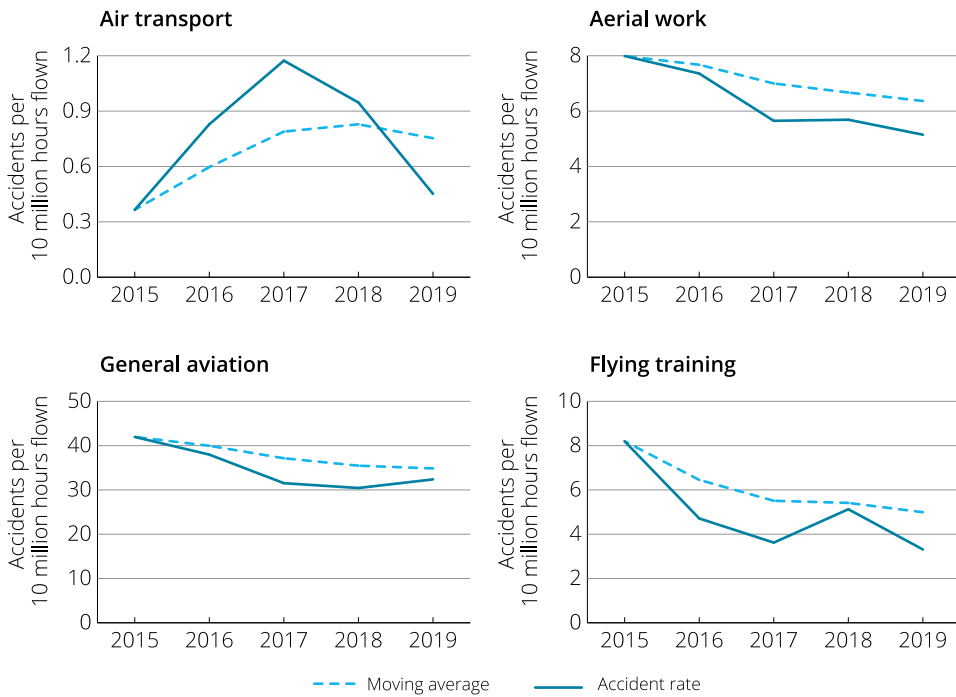
## Reduced accidents and incidents

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 (2015 to 2019):

- The low number of accidents experienced in the air transport sector contributes to inherent volatility, as evident in Figure 7. Since 2015, accident rates for the aerial work and flying training sectors show a decreasing trend. The general aviation sector also displays a declining trend, with decreases in all years except 2019.
- The incident rate trends for aerial work and flying training have trended down since 2015. Air transport incident rates have remained virtually stable over the past five years, easing in 2019.

**Figure 7 Industry sector – accident rate trends**



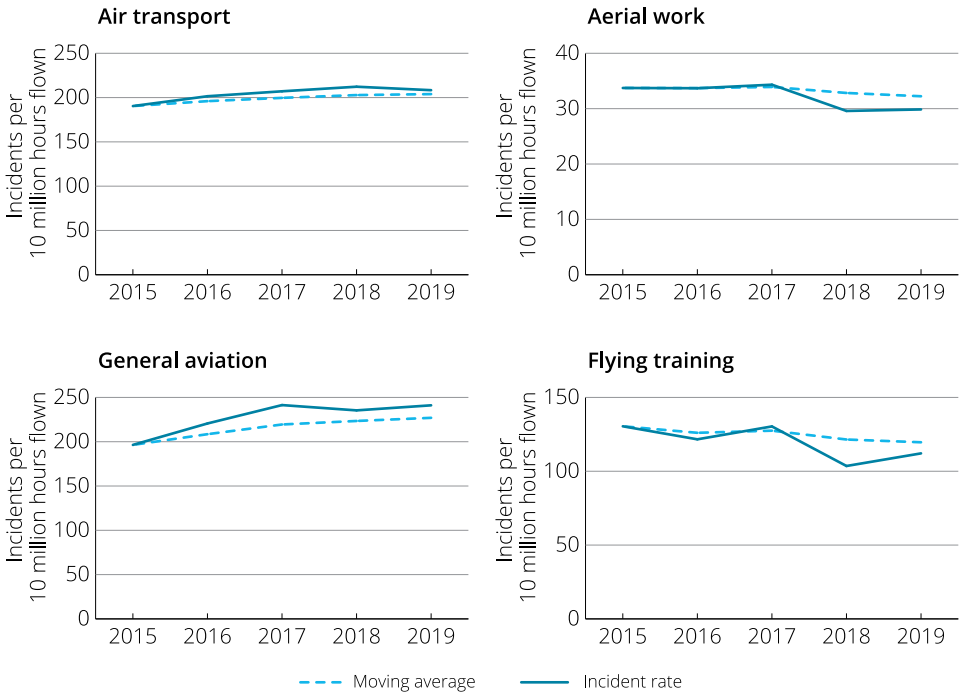
**Note:** The accident rate information was formulated on a calendar year basis. This is due to flying hours being collected by the Bureau of Infrastructure, Transport and Regional Economics (BITRE) on a calendar year basis through an annual survey.

The quality assured occurrence information used in the accident rate calculations was extracted on 14 July 2020, at which date all accidents had been processed up to the required 31 December 2019 timeframe. Fatal and non-fatal accidents are included in the accident rate calculation.

A moving average rate has been plotted to help display any underlying trends.

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

**Figure 8 Industry sector - incident rate trends**



**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.

The quality assured occurrence information used in the incident rate calculations was extracted on 14 July 2020, at which date all incidents had been processed up to the required 31 December 2019 timeframe.

Serious and non-serious incidents are included in the incident rate calculation.

A moving average rate has been plotted to help display any underlying trends.

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

## Effective engagement with industry

The Aviation Safety Advisory Panel assists CASA to direct its engagement with the aviation community and seeks input on current and future regulatory and associated policy approaches.

The panel is chaired by Honorary Professor Patrick Murray of the University of Southern Queensland. The panel's membership is routinely refreshed to align with current areas of focus and members' engagement dates are staggered to ensure continuity of representation. In 2019-20, the members included representatives from a broad spectrum of the air transport and general aviation sectors, including the helicopter industry, recreational aviation, aerial work, regional operations, flight training and remotely piloted aircraft. The Aviation Safety Advisory Panel met four times during the year.

The Aviation Safety Advisory Panel is supported by discrete technical working groups, established as required so that industry members and relevant technical experts can provide input to the Aviation Safety Advisory Panel on specific technical issues and proposals. Almost 800 industry members have expressed interest in taking part in technical working groups since the Aviation Safety Advisory Panel was established in 2017.

In total, 165 individual members of industry have participated in at least one of the 20 technical working groups established under the Aviation Safety Advisory Panel. Nineteen technical working group meetings of various kinds, including face-to-face gatherings, teleconferences and videoconferences, were conducted in 2019-20.

CASA's AvSafety program is aimed at pilots of smaller aircraft and is conducted by CASA's Aviation Safety Advisors. During 2019-20, CASA's seven Aviation Safety Advisors reached more than 5,134 industry members through activities including 163 seminars and 546 onsite visits. Around 70 per cent of those activities were in regional Australia. More than 95 per cent of pilots who took part in an AvSafety seminar said that it made them a safer pilot or changed their safety behaviour, and 98 per cent said that they would recommend a seminar to other pilots.

CASA consults on regulatory change proposals and seeks feedback on other initiatives via the CASA Consultation Hub ([consultation.casa.gov.au](https://consultation.casa.gov.au)). During 2019-20, 48 consultations and feedback surveys were conducted, with a total of 4,776 responses. In the interests of transparency, responses were published on the portal (where appropriate and with consent), as were results and information on next steps. Feedback was sought on a range of regulatory change proposals and airspace reviews, CASA's bulk recruitment process, sector risks, the myCASA portal, and various safety promotion products, events and campaigns.

## Portfolio performance targets

CASA's results against the targets set by the portfolio-level performance criteria are outlined in Table 2.

Table 2 Results against Portfolio Budget Statements targets

Performance criterion	Target	Result
Number of accidents per hours flown by industry sector	Reducing trend	<b>Achieved</b>
Number of incidents per hours flown by industry sector	Reducing trend	<b>Achieved</b>
CASA maintains the Effective Implementation (EI) Score determined by ICAO Universal Safety Oversight Audit Program (USOAP)	Maintain or improve EI score	<b>Achieved</b>  Following the 2017 ICAO Coordinated Validation Mission, CASA contributed to increasing Australia's compliance with ICAO's USOAP to 95.02%.  CASA has implemented an online system, the Protocol Questions Management System, to facilitate the management of ICAO Protocol Questions and Corrective Action Plans, associated evidence and electronic approval and reporting processes.
Regulatory implementation delivered in accordance with planned and reviewed targets	Regulatory development 80% achieved against planned targets	<b>Achieved</b>  CASA's work on its regulatory program continued during the COVID-19 disruption and remains focused on meeting requirements for the flight operations suite of regulations to commence on 2 December 2021.  CASA has improved the implementation of end-to-end project management of regulatory change projects to ensure that projects are properly planned, scheduled and resourced for all project stages before commencement.
Surveillance determined through a national surveillance selection process and conducted to plan	80% surveillance achieved against planned targets for the period	<b>Partly achieved</b>  72% of scheduled surveillance audits were conducted. Prior to the significant disruption to the aviation industry resulting from the COVID-19 pandemic, CASA was on track to exceed the 80% annual target for the completion of surveillance events.
Deliver a program of aviation safety education seminars to industry participants	95% of seminars delivered against annual plan with satisfaction rate for effectiveness of 80%	<b>Partly achieved</b>  76% of planned seminars were conducted with the remainder deferred or cancelled due to COVID-19.  CASA reached more than 5,134 industry members through activities including 163 seminars and 546 onsite visits; 98% of seminar participants said that they would recommend a seminar to other pilots.

Performance criterion	Target	Result
<b>Clear, open and transparent engagement with the industry to support the continuous improvement of an efficient and effective aviation safety regulation framework</b>	100% of significant regulatory changes publicly consulted and outcomes informed by industry feedback	<b>Achieved</b>  CASA continued to consult on regulatory change proposals and seek feedback on other initiatives via the CASA Consultation Hub (consultation.casa.gov.au). A total of 48 consultations and feedback surveys were conducted, with a total of 4,776 responses.
	Improved stakeholder satisfaction survey scores (6.2 in 2018)	<b>Partly achieved</b>  CASA approached the market to conduct the 2019–20 Stakeholder Engagement survey; however, the survey release was placed on hold due to COVID-19.
	Improved engagement and participation in CASA's online, social media and traditional media channels (increased reach, website page-views, follows and subscribers)	<b>Achieved</b>  Social media activities continued to show strong results, with significant interactions and engagement across channels. <ul style="list-style-type: none"> <li>• Facebook maintained the largest following, with the number of followers increasing by 3,385 to reach 48,767.</li> <li>• LinkedIn experienced the highest growth, with the number of users increasing by 15,976 to reach 33,139.</li> <li>• Twitter followers increased by 1,517 to reach 13,121.</li> <li>• YouTube followers increased by 1,346 to reach 5,927.</li> </ul>
<b>Regulatory service applications are decided within published service delivery timeframes</b>	80% processed within published timeframes	<b>Achieved</b>  81.29% of applications for authorisations were decided within the published service delivery timeframe.
<b>Regulatory service activities not currently subject to a published service delivery timeframe</b>	Catalogue of service delivery timeframes completed in 2019–20	<b>Partly achieved</b>  The Regulatory Services and Surveillance Transformation Program is reviewing all regulatory oversight activities, existing and transitioning, to establish a revised list of regulatory assessment and surveillance activities. This will involve reviewing underlying business processes and implementing new work management processes in CASA's European Aviation Processing (EAP) regulatory service management system to enable the development of service delivery timeframes for all regulatory activities. This work will progress during 2020–21 with a planned completion date of 30 June 2021.

## CORPORATE GOALS

The *CASA Corporate Plan 2019–20* set out three goals through which CASA would achieve its purpose for the period 2019–20 to 2022–23:

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

CASA's results in achieving those goals are measured through 12 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 colours.

	Completed or on track/no further action required
	Possible delays/impact on deliverable
	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 demonstrates excellence in development of the aviation safety regulatory framework
Measure of success	Regulatory development is achieved within agreed timeframes and in accordance with reasonable assumptions
On track	<p>CASA's work on its regulatory program continued during the reporting period and remained focused on meeting requirements for the flight operations suite of regulations to commence on 2 December 2021.</p> <p>CASA extended the transition date for the new fatigue rules in Civil Aviation Order 48.1 Instrument 2019 by 12 months. Most operators will now need to comply with the new rules from 1 July 2021.</p> <p>The commencement date for remotely piloted aircraft and model aircraft registration and accreditation was deferred to 30 September 2020. Public consultation on the Civil Aviation Safety Regulations (CASR) Part 138 Manual of Standards closed during the final quarter of the year with 117 responses received. The Part 138 Manual of Standards technical working group is expected to meet during the first quarter of 2020-21.</p> <p>Drafting instructions for the Part 103 (sport and recreation aircraft) and Part 139 (aerodromes) consequential, application, transitional and savings provisions regulations are progressing, with completion expected in the second half of 2020.</p> <p>The first Part 149 (approved self-administering aviation organisations) certificate was issued to the Australian Parachute Federation. It is expected all applications will be assessed by the transition date of 13 July 2022.</p> <p>An independent risk management organisation was engaged to undertake a risk analysis of whether the seat limit for air transport operations conducted under Part 135 should be increased from nine to 13 passengers – effectively, where the break point was between Part 135 aircraft and Part 121 aircraft. The final report was delivered to the Chief Executive Officer/Director of Aviation Safety for consideration in June 2020.</p>

<b>Key performance indicator</b>	<b>CASA demonstrates excellence in development of the aviation safety regulatory framework</b>
<b>Measure of success</b>	Stakeholder engagement in the development of new regulations
<b>On track</b>	<p>In 2019–20, CASA consulted on 17 regulatory, six advisory and seven airspace change proposals and sought feedback on other initiatives via the CASA Consultation Hub (<a href="https://consultation.casa.gov.au">consultation.casa.gov.au</a>).</p> <p>Forty-eight public consultations and feedback surveys were conducted through the CASA Consultation Hub, with a total of 4,776 responses. The Aviation Safety Advisory Panel met four times and oversaw 19 technical working group meetings, with a focus on a broad spectrum of air transport, general aviation, including the helicopter industry, recreational aviation and aerial work, regional operations, flight training and remotely piloted aircraft. The minutes of the Aviation Safety Advisory Panel and technical working group meetings are published on CASA's website.</p>
<b>Measure of success</b>	CASA has effective systems in place to respond to emerging trends in aviation safety risk
<b>On track</b>	<p>CASA's Aviation Safety Committee (ASC) continually reviewed data from a variety of sources to inform its decision-making and approach to surveillance and proposed policy development. Aviation safety data and trends were presented and discussed at ASC and CASA Board meetings.</p> <p>The ASC produced 11 sector safety risk profiles, which are in various stages of completion in accordance with the Sector Safety Risk Profile Program. The program further informs surveillance planning through the National Surveillance Selection Plan. The governance of aviation regulatory and safety risk is managed by the ASC. The ASC met 11 times during the reporting period. The ASC reviews civil aviation safety incidents and accidents and surveillance findings which can lead to the revision of the sector safety risk profiles and/or the launch of sector-specific education activities.</p>

Key performance area – Entry control

<b>Key performance indicator</b>	<b>CASA processes applications for authorisations in accordance with documented procedures and within nominated timeframes</b>				
<b>Measure of success</b>	CASA has established a catalogue of service level timeframes				
<b>On track</b>	CASA has an established catalogue of service level timeframes for our client services. CASA is developing a revised set of statistics to be used when a new mechanism for reporting is finalised. As new digital processes come online the corresponding service delivery timeframes will also be developed and published once system stability is established.				
<b>Measure of success</b>	Applications are decided within published service level timeframes				
<b>On track</b>	CASA's performance for processing applications within published service level timeframes improved over the reporting period. Overall, the target of processing 80 per cent of applications within published timelines was achieved except for aircraft registration.				
	The continued deployment of the service delivery transformation program into business-as-usual activity is expected to continue to yield an improved client experience and enhanced service delivery performance. This will consist of enhancements to maintenance personnel licensing and aircraft registration in the third quarter of 2020-21.				
	The following table summarises the achieved service delivery standards for CASA in 2019-20.				
	<b>Proportion of authorisations processed within service delivery standards, 2019-20 (%)</b>				
		July-September 2019	October-December 2019	January-March 2020	April-June 2020
	<b>Overall</b>	<b>70.19</b>	<b>82.60</b>	<b>88.55</b>	<b>87.43</b>
	Aviation medicine	78.52	86.28	89.19	86.95
Flight crew licensing	64.64	82.88	92.76	92.08	
Permissions issue	82.73	85.31	87.58	90.66	
Aircraft registration	45.65	50.29	47.20	73.82	
Maintenance personnel licensing	73.11	85.50	87.23	73.82	

**Key performance area – Compliance assurance**

<b>Key performance indicator</b>	<b>CASA’s compliance monitoring approaches are standardised and coordinated relative to the risk being managed</b>
<b>Measure of success</b>	Annual national oversight program is completed within planned timeframe
<b>Impact on deliverable</b>	<p>CASA took a flexible approach to alleviate the pressure of the impacts of the COVID-19 pandemic on the Australian aviation industry. On 30 June 2020, 72 per cent of surveillance planned for 2019–20 under the National Surveillance Selection Process had been achieved. Prior to the significant disruption to the aviation industry resulting from the pandemic, CASA was on track to exceed the 80 per cent annual target for the completion of planned surveillance events.</p> <p>CASA adjusted the approach to surveillance to account for changing patterns of activity and the changing nature of operational risks faced by regulated entities. Planned surveillance activities were deferred or completed via alternative processes such as desktop review. A total of 71 onsite audits were completed between March and June 2020, with CASA officers and personnel from regulated entities following COVID-19 safety protocols consistent with CASA workplace safety requirements.</p> <p>A high level of regulatory service activity was driven by regulated entities looking to vary the scope of their authorisations to meet the increasing demand in some sectors caused by the significant reduction in airline activity.</p>
<b>Measure of success</b>	Compliance monitoring is determined through a national surveillance selection process and conducted to plan
<b>On track</b>	<p>CASA responded quickly to the COVID-19 crisis, introducing a safety risk mitigation plan process and related instrument of approval to enable regulated entities to continue operating in a safe, compliant and efficient manner while dealing with restrictions related to the pandemic.</p> <p>CASA has adapted a specific risk-based methodology for the post-acute phase of the pandemic to prioritise surveillance events that were planned for 2019–20 but were not completed due to COVID-19 restrictions. Those audits will be completed between August and October 2020.</p>

**Key performance area – Address non-compliance**

<b>Key performance indicator</b>	<b>Actions undertaken are consistent with CASA’s regulatory philosophy</b>
<b>Measure of success</b>	Proportionate enforcement action is taken
<b>On track</b>	In 2019–20, 97 counselling notices and 132 aviation infringement notices were issued. One licence cancellation decision was issued. Four decisions of the Administrative Appeals Tribunal were handed down; three affirmed CASA’s decisions and one was set aside.
<b>Measure of success</b>	Serious breaches of the legislation are referred to the Director of Public Prosecutions (DPP)
<b>On track</b>	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 Commonwealth Director of Public Prosecutions in relation to matters assessed as involving deliberate and serious contravention of the aviation legislation. During 2019–20, 12 briefs were referred and 13 prosecutions were concluded, 12 of which resulted in a conviction and one of which was withdrawn on public interest grounds.

## Goal 2 – Collaborative engagement with the aviation industry and wider community to promote and support aviation safety

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

<b>Key performance indicator</b>	<b>CASA maintains productive working relationships with key stakeholders</b>
<b>Measure of success</b>	Stakeholder satisfaction with CASA's performance in key areas
<b>On track</b>	<p>CASA continued to consult on regulatory change proposals and sought feedback on other initiatives through the CASA Consultation Hub (<a href="https://consultation.casa.gov.au">consultation.casa.gov.au</a>).</p> <p>Feedback was sought on a range of regulatory change proposals and airspace reviews, the bulk recruitment process, sector risks, the myCASA portal, and various safety promotion products, events and campaigns.</p> <p>CASA approached the market for tenders to conduct the 2019–20 stakeholder engagement survey and received three responses. The procurement activity was finalised in April 2020, but due to COVID-19 restrictions the survey is yet to be distributed.</p>
<b>Key performance indicator</b>	<b>CASA is transparent in its decision making</b>
<b>Measure of success</b>	Processes, guidance and applicable policy manuals (standards, enforcement and surveillance) are available on the CASA website
<b>On track</b>	<p>Appropriate guidance information is available on CASA's website. Web content is regularly reviewed to ensure that it is updated.</p> <p>In 2019–20, CASA engaged an external company to conduct research on its corporate website. The user research involved several phases to help improve and enhance activities on the website and develop future website activities. A CASA website project will commence in 2020–21, to improve CASA's information architecture, review content, archive old pages, and consolidate and rewrite information available. This approach will help improve the overall user experience and aligns with the Digital Transformation Agency's ‘Content Strategy Guide’.</p>
<b>Measure of success</b>	Unfavourable decisions are accompanied by a statement of reasons where required under legislation or other authority and are published on the CASA website
<b>On track</b>	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, International and Regulatory Affairs Division.
<b>Measure of success</b>	Number of complaints about CASA not being open and transparent
<b>On track</b>	The Industry Complaints Commissioner received three complaints in 2019–20 alleging CASA had not been open and transparent. None were upheld.

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
On track	<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 for reaching them. The activities included:</p> <ul style="list-style-type: none"> <li>publishing all proposed regulatory changes and related consultation documents from 2019-20 on CASA's website at <a href="http://casa.gov.au/newrules">casa.gov.au/newrules</a></li> <li>conducting the Know Your Drone safety education campaign for people who fly drones for fun</li> <li>distributing CASA's e-newsletter, <i>The CASA Briefing</i>, to more than 11,000 subscribers.</li> </ul> <p>Internal initiatives included communication campaigns for the Regulatory Services and Surveillance Transformation Program, Canberra office location options, diversity events and staff awards. Staff received fortnightly talking points on hot topics designed to support staff in communicating with industry.</p> <p>During 2019-20, 48 public consultations and feedback surveys were conducted via the CASA Consultation Hub, on a range of policy proposals and initiatives, with a total of 4,776 responses. The portal also functioned as a key communication channel, with 247,675 unique visitors during the year.</p> <p>Subjects covered in CASA's <i>The CASA Briefing</i> newsletter and feedback surveys included CASA support in the COVID-19 crisis, the completion of the operational regulations package, consultation on key initiatives such as the weight increase for recreational aviation, improvements in online services and finalisation of the new fatigue rules.</p>
Measure of success	Industry forums conducted openly and transparently
On track	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 groups' activities to be transparent and open to the broader industry.

<b>Key performance indicator</b>	<b>CASA's education and promotion deliverables are relevant, timely, effective and appropriately targeted</b>
<b>Measure of success</b>	Education and promotion activities meet the needs of the aviation community and CASA staff
<b>On track</b>	<p>The Know Your Drone safety education campaign was conducted for people who fly drones for fun. The campaign aimed to raise broad awareness, understanding and acceptance of the recreational drone safety rules, challenge overconfidence and perceived knowledge of the rules, and increase awareness that CASA regulates aviation safety in Australia.</p> <p>More than eight in 10 people who said that they intended to purchase a drone in the next 12 months reported that they felt they had learnt something new, thought the campaign was believable and knew where to look for further information.</p> <p>The campaign achieved a cumulative reach of more than 12.4 million people. The interactive quiz for recreational drone operators on CASA's website was taken more than 113,000 times. A feedback survey on CASA's flagship aviation safety magazine, <i>Flight Safety Australia</i>, opened on 24 June 2020 and had attracted 783 responses by 30 June 2020. The survey will close on 12 July 2020. The myCASA portal feedback survey received the second highest number of responses, with 490 responses; followed by the survey on the maximum take-off weight increase for aeroplanes managed by an approved self-administering aviation organisation, with 408 responses. In total, 3,368 orders were received through CASA's online store and 57,323 items were dispatched.</p> <p>CASA launched a new version of the external online learning management system, AviationWorx, on 31 August 2019. The system is used by a wide range of external clients to undertake mandatory and voluntary training. This includes flight examiners, pilots, engineers, designated aviation medical examiners, ground handlers, refuellers and more.</p> <p>CASA staff were provided with access to training modules for the release of new systems, initiatives and regulations. On 25 May 2020, CASA released a new version of CLASS, a learning management system, for internal use. Staff were equipped with the knowledge and understanding required to perform their roles satisfactorily.</p>
<b>Measure of success</b>	Increased and expanded digital interactions
<b>On track</b>	<p>Social media activities continued to show strong results, with significant interactions and engagement across channels. Between 1 July 2019 and 30 June 2020:</p> <ul style="list-style-type: none"> <li>• Facebook maintained the largest following, with the number of followers increasing by 3,385 to reach 48,767</li> <li>• LinkedIn experienced the highest growth, with the number of users increasing by 15,976 to reach 33,139</li> <li>• Twitter followers increased by 1,517 to reach 13,121</li> <li>• YouTube followers increased by 1,346 to reach 5,927.</li> </ul> <p>The top post during 2019-20 related to the request that drone operators not fly their drones in or near bushfires. The post reached 642,895 people on Facebook, with 51,610 engagements and 9,617 reactions, comments and shares. It was also the top Twitter tweet, with 45,422 impressions and 1,187 total engagements.</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 better practice
On track	<p>A review of CASA’s governance committees undertaken in 2018–19 resulted in 15 of the 16 agreed recommendations being implemented in 2019–20. The final recommendation will be finalised in the first quarter of 2020–21.</p> <p>As a result of a review of CASA’s business planning and risk reporting process, the reporting process was elevated from branch level to divisional level, with a more strategic focus linking to organisational objectives and priorities.</p> <p>Throughout the year, several initiatives were implemented to improve staff awareness of risk management. These include introducing an e-learning risk module, introducing risk as a key component of staff and manager orientation programs, and completing three risk assessment workshops for key CASA work programs.</p> <p>In late 2019, ahead of the COVID-19 pandemic being declared, CASA initiated a review of its business continuity plans to ensure that they were fit for purpose and aligned with best practice and standards.</p>
Measure of success	Unqualified audit of financial statements
On track	The interim audit of CASA’s financial statements was conducted in the fourth quarter of 2019–20. No issues of concern were identified in the interim audit, and there have been no issues raised that would cause anything other than unqualified financial statements.
Measure of success	Continuous improvement towards better practice portfolio, program and project management
On track	<p>CASA introduced a new tool to support improved management and reporting for CASA’s enterprise portfolio of programs and projects. The new application streamlines the process for the collation of project- and program-related information, provides an enhanced reporting capability, and supports improved dependency management between initiatives.</p> <p>A forms improvement project was launched in early 2019. More than 200 forms and supporting business processes were reviewed and redesigned to be clear, consistent, and easier for clients to use. Client feedback has been consistently positive and some of the forms now have online functionality with pre-populated information.</p>



Key performance indicator	CASA has the information and communication technology platform and enabling support to achieve business improvement and transformation
<b>Measure of success</b>	Delivery and management of an agreed, transparent ICT work program
<b>On track</b>	<p>CASA delivered 16 development projects and four procurement projects included in the Capital Management Plan. The four projects covered:</p> <ul style="list-style-type: none"> <li>• business intelligence and analytics – The initial phase of a new data platform that enables users to access datasets in a self-service approach to dashboarding and reporting was developed.</li> <li>• end user computing – The rollout of the new desktop standard operating environment commenced, enabling faster deployment of applications and more efficient support and maintenance of the desktop fleet. All sites will be upgraded in 2020–21.</li> <li>• a wireless access network upgrade – The upgrade provides greater utilisation of CASA's telephone services. The upgrades for Darwin, Sydney and Melbourne offices were completed and the rollout to other offices remains on schedule, for completion by 31 July 2020.</li> <li>• IT security – In addition to constant threat monitoring, staff education and alert updates, CASA remained focused on increasing CASA's maturity level against the Australian Cyber Security Centre Essential Eight and reducing the severity of the high-risk items identified in the service delivery transformation program's security risk management plan.</li> </ul>
<b>Measure of success</b>	The increase in the total number of interactions completed by clients through digital channels
<b>On track</b>	<p>The volume of applications passing through the myCASA portal continued to increase as new digitised processes came online. During 2019–20, CASA issued:</p> <ul style="list-style-type: none"> <li>• 23,566 individual aviation reference numbers</li> <li>• 674 organisation aviation reference numbers</li> <li>• 3,494 remote pilot licences</li> <li>• 244 remotely piloted aircraft operator certificates.</li> </ul> <p>CASA also received 4,060 applications to link aviation reference numbers to myCASA accounts.</p>
<b>Measure of success</b>	Availability of ICT services (excluding scheduled maintenance) to support 24/7 anywhere, any device client access
<b>On track</b>	<p>CASA implemented significant changes to its ICT environment in response to the COVID-19 pandemic, enabling 92 per cent of staff to work from home within two weeks. The high demand to support staff through the transition was effectively managed throughout the April–June 2020 quarter. The increased workload for open service desk request tickets peaked at more than 600 at the end of March 2020 before returning to a low of less than 350 by mid-May 2020.</p> <p>During March–May 2020, CASA completed the implementation of video and voice functionality for all CASA remote users and assisted in extending the use of a new communication and collaboration platform for planning, communications, document collaboration/sharing and reporting.</p>

**Key performance area – CASA continually develops its capability and capacity**

<b>Key performance indicator</b>	<b>CASA maintains and grows capability to effectively deliver aviation safety regulation</b>
<b>Measure of success</b>	Initiatives within the rolling four-year workforce plan are focused on deploying capability and capacity in line with current and future business models
<b>Impact on deliverable</b>	<p>CASA reviewed how to deliver a diverse and inclusive workplace reflecting the outcomes in an employee value proposition, policy directives and work-based tools that influence and shape culture, conduct and work-based interactions with each other and our stakeholders.</p> <p>The <i>CASA Inclusion Strategy 2019–2023</i> was released on 2 March 2020 with a rolling four-year plan. The strategy set employment targets to create a focus and commitment to achieve tangible outcomes, particularly for Aboriginal and Torres Strait Islander peoples, women and people with disability.</p> <p>CASA staff were provided with cultural appreciation training to enable a greater appreciation of Aboriginal and Torres Strait Islander culture, customs and traditions. The training provides tools and techniques to help CASA staff to communicate and engage effectively with Aboriginal and Torres Strait Islander peoples and communities. The program was completed by 100 staff nationally.</p> <p>CASA developed a work health and safety strategy that came into effect in 2020, focusing on enhancing staff wellbeing, advancing collaboration and consultation, and continuously improving the work health and safety management system.</p> <p>The Early Intervention Assistance Program became an ongoing program, in recognition of the benefit of providing timely support to staff who suffer minor work-related injury or illness.</p> <p>Initiatives such as the Psychosocial Safety Climate Program and diversity events were unable to be delivered, due to the impact of social distancing and business disruption resulting from the COVID-19 pandemic, and have been held over to the next financial year.</p>
<b>Measure of success</b>	Training opportunities are provided to all staff each year in accordance with their personal training plan
<b>On track</b>	<p>Staff completed 1,325 classroom training sessions and 9,337 e-learning sessions delivered by CASA. Additionally, staff completed 454 courses and accessed 17,509 training videos online through LinkedIn Learning.</p> <p>CASA transitioned to a new learning management system, providing greater functionality and capabilities for delivering training for CASA staff and industry. The new system introduced capability for new delivery methods, improved reporting, and a more intuitive user interface.</p> <p>CASA implemented virtual classroom training in response to COVID-19 restrictions. This enabled a mix of training solutions to be used, improved efficiency and increased flexibility in training delivery.</p>

<b>Key performance indicator</b>	<b>CASA maintains staff engagement and builds a culture that enables the achievement of CASA's mission</b>
<b>Measure of success</b>	Staff engagement
<b>On track</b>	<p>CASA effectively managed the ongoing health and wellbeing of CASA staff during the national bushfire crisis and the global COVID-19 pandemic, including through the release of three all-staff surveys.</p> <p>CASA recognised the outstanding contributions of 46 staff members through the CASA Award Scheme and delivered targeted training, education and development opportunities for our senior and emerging leaders through the CASA Leadership Program.</p> <p>In response to staff feedback, CASA committed to implement strategies and workplace practices to improve CASA's approach to risk management, change management and senior leadership teamwork.</p>

## 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 purposes in the reporting period.

Several changes were made to CASA's structures in 2019-20 to enable more effective and efficient operations.

In addition, a parliamentary inquiry into the current state of Australia's general aviation industry, with particular reference to aviation in rural, regional and remote Australia, was announced on 6 December 2019.

Overall, CASA performed at a high level during the reporting period despite challenges associated with significant disruptions resulting from the COVID-19 pandemic.



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## Urgent approvals for firefighting aircraft

On 4 January 2020, as Australia grappled with a devastating bushfire season, the Prime Minister announced that the Government was preparing to lease additional waterbombing aircraft for the states and territories to deploy in firefighting efforts.

The additional units would comprise two long-range fixed-wing aircraft (DC-10s) with 36,000 litres capacity, and two medium-range fixed-wing large air tankers with 11,000 litres capacity.

From 5 January, under the coordination of the Southern Region office, CASA teams across the country worked together to provide urgent approvals for the firefighting aircraft.

Once the operators of the aircraft had been confirmed, CASA commenced preparations for the entry control process. This involved providing an air operator certificate variation for AGAIR Pty Ltd, to add two DC-10s, and an air operator certificate renewal for Erickson

Aero Tankers Australia LLC, to include up to five DC-9-87 aircraft. CASA concurrently processed applications for the addition of a C525 Citation and a B200 King Air aircraft to be flown by specialist pilots from the United States.

*Civil Aviation Act 1988* section 28A agreements with the United States Federal Aviation Administration (FAA) were completed within 48 hours. These agreements are formalised jurisdictional arrangements for maintenance and flying operations.

Other authorisations issued or continued included air operator certificates for two operators, Civil Aviation Safety Regulations (CASR) Part 137 exemptions



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for the use of transport category aircraft in aerial application operations, exemptions from licensing requirements of CASR Part 61 for FAA pilots, chief pilot approvals, and flight check system approvals for the DC-9 and DC-10 aircraft.

CASA also processed training and checking approvals, for three type specialists for the DC-10 to support the AGAIR chief pilot responsibilities, and certificates of validation for FAA-licensed pilots to operate the Australian (lead plane) aircraft.

The last permissions were issued as the aircraft began their transit from the United States on 16 January.

CASA had handled a similar high-priority task in November 2019, when the first DC-10 air tanker was requested by the New South Wales Rural Fire Service. The aircraft authorisations, including the FAA agreement, were in place within five working days.

CASA actively supported aerial firefighting efforts across the country in the summer of 2019-20. It assessed and approved 19 operators to use 58 foreign aircraft in Australia including two DC-9s and two DC-10s, two B737 air tankers, a Black Hawk and a Russian Kazan MIL-8 helicopter.

The ability to work directly across the various divisions within CASA resulted in huge efficiencies in communication and workflow, despite the active workload demands each day.



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## Milestone in aviation safety reform

A significant milestone in Australia's aviation safety regulation development program was reached on 12 December 2019, with the Governor-General's signing of the final three flight operations Parts of the Civil Aviation Safety Regulations 1998 (CASR).

The new CASR Parts streamline and modernise the rules for sport and recreational aviation, ballooning and parachuting activities in Australia.

This substantially completes a program that began 25 years ago, migrating the aviation safety rules to the CASR from the Civil Aviation Regulations 1988 and numerous other instruments. Australia has one of the safest aviation industries in the world and reaching this milestone was no small feat.

Two years earlier, when CASA had 10 regulations to finalise to complete the CASR suite, Chief Executive Officer/ Director of Aviation Safety Shane Carmody made a commitment to industry that we would 'get them done'. In December 2019, he was pleased to mark our success.

Mr Carmody extended his gratitude to everyone who had contributed to the regulation development program, particularly the industry-chaired Aviation Safety Advisory Panel and associated technical working groups that contributed in the last couple of years. He described their role as a testament to the willingness of the aviation industry to get behind CASA's commitment to streamline the aviation safety regulations.

CASA is continuing to consult on the detail of some of the supporting standards and transition arrangements and preparing guidance material to ensure that the aviation community has the support it needs.

The regulations are part of a suite of nine flight operations regulations that will commence on 25 March 2021, affecting every pilot and air operator in Australia.





## KEY PERFORMANCE AREAS

# CIVIL AVIATION SAFETY AUTHORITY PART 3

This part of the report provides a detailed assessment of CASA's progress in the key performance areas outlined in the *CASA Corporate Plan 2019–20*.

CASA's report against the performance measures defined in the 2019–20 Portfolio Budget Statements and the corporate plan 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 PERFORMANCE AREAS

As set out in the *CASA Corporate Plan 2019-20*, CASA tracks its performance in achieving its three goals across eight key areas of performance.

The key performance indicators for each key area of performance capture CASA's long-term objectives in key operating areas. The key performance indicators for 2019-20 are shown in Figure 6 in Part 2, and addressed in CASA's annual performance statement.

In addition to the indicators, the corporate plan identifies strategies and

plans for each performance area, as set out in Figure 9. The intended outcomes of the strategies and plans cover CASA's short-term and medium-term priorities for the period of the corporate plan.

This section sets out a detailed report on performance for each intended outcome, including a snapshot assessment using the following colours.

	Completed or on track
	Possible delays/impact on deliverable
	Delayed/unable to achieve deliverable

**Figure 9 CASA's goals, key performance areas and key focus areas in 2019-20**

Goal	Key performance area	Strategies and plans
<b>1 Maintain and enhance a fair, effective and efficient aviation safety regulation system</b>	Develop regulatory framework	<b>1.1</b> Promote and improve CASA's regulatory philosophy <b>1.2</b> Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance <b>1.3</b> Improve risk based regulatory management
	Entry control	<b>1.4</b> Improve the client experience through the provision of regulatory and licensing services <b>1.7</b> Provide airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally
	Compliance assurance	<b>1.5</b> Conduct regulatory services and compliance monitoring of the aviation industry to assure aviation safety performance
	Address non-compliance	<b>1.6</b> Develop modern enforcement strategies, policies and practices
<b>2 Collaborative engagement with the aviation industry and wider community to promote and support aviation safety</b>	Effective engagement	<b>2.1</b> Develop stakeholder relationships <b>2.2</b> Contribute to government confidence in CASA as a fair and effective aviation safety regulator <b>2.3</b> Work with other overseas regulators and relevant international bodies <b>2.4</b> Contribute to the strengthening of aviation safety in the Asia Pacific
	Promote safety and education	<b>2.5</b> Provide comprehensive safety promotion programs to the aviation industry and stakeholders
<b>3 Continuous improvement of organisational performance</b>	Robust structures, systems and processes supporting good governance	<b>3.1</b> Continue to improve CASA's governance arrangements and quality of our activities <b>3.2</b> Continue to maintain sound financial management <b>3.3</b> Adopt, develop and drive a digital service delivery environment incorporating contemporary technology environments
	CASA continually develops its capability and capacity	<b>3.4</b> Develop CASA's capability and capacity



# 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.

## Progress in key performance areas

CASA tracks its progress in the four key performance areas of Goal 1 against seven strategies and plans.

### Key performance area – Develop regulatory framework

Strategy/plan 1.1	Promote and enhance the application of CASA's regulatory philosophy
<b>Intended outcome</b>	Review the extent to which the principles of the regulatory philosophy are reflected in CASA practices
<b>On track</b>	Actual or apparent departures from the principles of the regulatory philosophy are assessed and addressed appropriately through the surveillance and enforcement activities we conduct, the regulatory services we deliver, consultation we have with the aviation community, and the way we make and implement regulations, develop safety education and communicate.
<b>Intended outcome</b>	Review and refine elements of CASA's regulatory philosophy to ensure its continuing relevance
<b>Impact on deliverable</b>	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 were made to the presentation material, with a view to resuming the workshop program with full industry and community involvement. Further sessions were presented in 2019-20, with the last of these conducted in February 2020. Planning for additional sessions has been suspended on account of the COVID-19 pandemic.
<b>Intended outcome</b>	Implement a plan to rationalise legislative action and regulatory processes to enable effective and timely responses to an anticipated increase in requests for advice and guidance
<b>On track</b>	CASA provides dedicated policy advice and coordination to ensure that drafting instructions reflect intended outcomes. Corresponding approaches are reflected in the approach that CASA's drafters take in preparing instruments. CASA continues to provide clear, correct and concise responses in line with the Minister's expectations.

<b>Strategy/plan 1.2</b>	<b>Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance</b>
<b>Intended outcome</b>	Embed the regulatory project management approach and integrate change management
<b>On track</b>	<p>CASA implemented project management across all key regulatory change projects. This has seen an improvement in the implementation of end-to-end project management of regulatory change projects to ensure that projects are properly planned, scheduled and resourced for all project stages before substantive project commencement.</p> <p>CASA promulgated a project management service offering to CASA business areas to improve governance, project efficiency and organisational readiness for regulatory change.</p> <p>These changes enable CASA to run regulatory change projects to completion more efficiently.</p>
<b>Intended outcome</b>	Finalise and implement the last tranche of the regulatory program
<b>On track</b>	The final tranche of the flight operations regulations was made in December 2019, comprising CASR Parts 103 (sport and recreation aircraft), 105 (parachuting from aircraft) and 131 (balloons and hot air airships), and bringing the long-running regulatory reform program to a close.
<b>Intended outcome</b>	Finalise the standards for upset prevention and recovery training (UPRT)
<b>On track</b>	An amendment was made to the Manual of Standards for CASR Part 60 (synthetic training devices), which harmonised and modernised the qualification standards for flight simulators and other devices. The amendment enabled the introduction of upset prevention and recovery training, which is a global safety initiative especially targeted at the operation of larger aeroplanes.
<b>Intended outcome</b>	Implement the self-administration funding model
<b>On track</b>	<p>A revised self-administration funding contribution model was implemented after consultation with self-administering organisations.</p> <p>The 2019-20 self-administering organisations deeds of agreement aligned with the revised funding contribution model and were distributed to the organisations.</p>
<b>Intended outcome</b>	Establish a RPAS registration and operator accreditation system
<b>On track</b>	<p>Legislation enabling remotely piloted aircraft registration and operator accreditation was made as planned in July 2019 to come into effect in November 2019.</p> <p>The commencement date for remotely piloted aircraft and model aircraft registration and accreditation has been deferred to 30 September 2020.</p>

<b>Strategy/plan 1.2</b>	<b>Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance</b>
<b>Intended outcome</b>	Make regulations in alignment with international and foreign standards as far as reasonably practicable considering the needs of individual sectors
<b>On track</b>	<p>CASA progressed CASR Part 43 (maintenance of aircraft in private and aerial work sectors) through industry consultation, with the technical working group report completed. The report to the Aviation Safety Advisory Panel provided general agreement with the final Part 43 policy position. A strategic communications plan from policy finalisation to legislation consultation is under development.</p> <p>CASA amended the Manual of Standards for Part 60 (synthetic training devices), which harmonised and modernised the qualification standards for flight simulators and other devices. The amendment enabled the introduction of upset prevention and recovery training, which is a global safety initiative especially targeted at the operation of larger aeroplanes.</p> <p>The development of a new continuing airworthiness regulation for current charter operators progressed during the year. A technical working group meeting was held to discuss the regulation, with agreement reached on factors for aircraft maintenance policies covering maintenance organisations, independent licensed aircraft maintenance engineer maintenance, pilot maintenance, defect reporting, certification of maintenance and release to service. A third technical working group meeting was held on 24 October 2019 and covered continuing airworthiness management and maintenance programs.</p> <p>Amendments to Part 66 (maintenance personnel licensing) also progressed, aiming to align more closely with the European Aviation Safety Agency (EASA) Part 66. The self-study option closed for public consultation on 13 May 2020, with feedback yet to be analysed.</p>
<b>Strategy/plan 1.3</b>	<b>Improve risk based regulatory management</b>
<b>Intended outcome</b>	Ongoing improvement and implementation of a regulatory management system
<b>On track</b>	<p>The Regulatory Management System (RMS) progressed in line with the project management plan. The development of key areas scoping policy/accountability risk management, change management, and manual development was completed. The Aviation Safety Committee ratified rebranding from RMS to Civil Aviation Safety System (CASS). The IT tool within CASS, the Safety Data Collection and Processing System, was delivered at the end of 2019–20. Plans for 2020–21 will work through the CASS implementation phase.</p>
<b>Intended outcome</b>	Continue to enhance data quality to better inform safety decision makers
<b>Impact on deliverable</b>	<p>The Safety Sector Risk Profile Program has progressed 11 safety sector risk profiles, which are in various stages of completion, including documentation, consultation, content drafting and the printing phase. The program allows for shifts in timelines as the safety sector risk profiles progress to final publication. Regulatory implementation and COVID-19 priorities have impacted the program. A review of the program's effectiveness is expected to be completed early in 2020–21.</p>

## Key performance area – Entry control

Strategy/plan 1.4	Improve the client experience through the provision of regulatory and licensing services
<b>Intended outcome</b>	Enhance the delivery and management of client services through the service delivery transformation program
<b>On track</b>	<p>CASA's Client Services Centre contribution to the service delivery transformation (SDT) program deliverables is on track, including in the aircraft registration and flight crew licensing service categories.</p> <p>The program is on track for an aircraft registration renewal service to be delivered into the myCASA portal for release in 2020–21. The solution incorporates the proposed maximum take-off weight definitions and pricing models based on current registration requirements.</p> <p>SDT focused on the flight crew licensing area of CASA's business and developed a range of digital application solutions for high-volume services. The digital solutions involve a range of validation checks that were not available previously. While providing a faster service, they also provide a higher level of integrity and, ultimately, safety.</p> <p>SDT delivered a myCASA industry exemptions lodgement capability in late May 2020, following executive endorsement to move quickly to provide this capability in response to industry impacts of COVID-19. CASA remains on track to deliver the flight crew licensing elements of the program, including a beta digital remote pilot licence.</p>
<b>Intended outcome</b>	Continue to modernise and refine CASA's approach to medical certification
<b>On track</b>	<p>The review of aviation medicine, including CASR Part 67, client communications and designated aviation medical examiner assessing guidelines (clinical practice guidelines) is on track. The terms of reference, comparison between New Zealand and Australian regulation, and initial plain English version for Part 67 have been completed.</p> <p>An acceptable means of compliance with the Part 67 colour vision standard has been introduced through the recognition of the New Zealand operational colour vision assessment (OCVA). Development of an Australian OCVA has been delayed by the impacts of COVID-19.</p>

<b>Strategy/plan 1.7</b>	<b>Provide airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally</b>
<b>Intended outcome</b>	Implement the international airworthiness strategy recognition agreements with other NAAs, maximising benefit for Australian aviation
<b>Delayed</b>	<p>A certification arrangement with EASA has been deferred by EASA. A completion date has not been agreed.</p> <p>There has been no progress made on a proposed maintenance agreement with the Civil Aviation Authority of New Zealand due to a request from the New Zealand authority to defer required activities until a later date.</p> <p>Preliminary discussions with the Japan Civil Aviation Bureau to establish a mutual recognition arrangement for the acceptance of maintenance of parts and components were scheduled to take place at the 2020 Asia-Pacific Bilateral Partners Dialogue Meeting in Singapore. This meeting was deferred by the organisers due to COVID-19 and no further progress has been made to date.</p>

### Key performance area – Compliance assurance

<b>Strategy/plan 1.5</b>	<b>Conduct regulatory services and compliance monitoring of the aviation industry to assure aviation safety performance</b>
<b>Intended outcome</b>	Further refine the National Surveillance Selection Process
<b>On track</b>	CASA developed a proposed new model for the way we deliver our regulatory services and surveillance functions and laid the groundwork for implementation in 2020-21. These changes are part of a multi-year transformation that CASA is undertaking to provide more effective, efficient and consistent services to the aviation community.
<b>Intended outcome</b>	Continued improvement of compliance with prescribed audit methodology
<b>On track</b>	The <i>CASA Surveillance Manual</i> continued to be reviewed, updated, maintained and distributed to staff to support continued compliance with CASA's prescribed audit methodology. The recurrent program of surveillance training was completed in February 2020 and all staff conducting surveillance activities have completed this course.

<b>Strategy/plan 1.5</b>	<b>Conduct regulatory services and compliance monitoring of the aviation industry to assure aviation safety performance</b>
<b>Intended outcome</b>	Finalise and implement National Oversight model which sets out CASA's annual risk-based activities across regulated industry sectors.
<b>On track</b>	<p>CASA's national oversight model continued to progress during 2019-20 and key focus areas were developed for specific sectors. Scoping of surveillance events using those key focus areas was to commence in April 2020; however, this did not occur, due to the disruption caused by COVID-19.</p> <p>As a result of COVID-19, CASA adjusted its approach to surveillance to account for changing patterns of activity and the changing nature of operational risks faced by regulated entities. Planned surveillance activities were deferred or completed via alternative processes such as desktop review.</p> <p>Several onsite response audits were completed during the period, with CASA officers and personnel from regulated entities following COVID-safe protocols consistent with CASA workplace safety requirements. Key focus areas will be used throughout 2020-21 as a key element of the annual program of risk-based activities across aviation sectors.</p>
<b>Intended outcome</b>	Drive greater consistency in decision-making and regulatory interpretation across CASA offices
<b>On track</b>	<p>Enforcement matters continue to be reviewed nationally to ensure consistency and appropriateness of referrals. This has continued to improve the quality and consistency of referrals.</p> <p>The Regulatory Services and Surveillance Transformation Program commenced first-principle reviews of operational procedures to ensure that they align with CASA's regulatory requirements and that there is no risk of regulatory overreach. Regulatory services and surveillance staff have completed outcomes-based legislation training to enable them to interpret the regulations and make better regulatory decisions. The program will continue into 2020-21 and is aligned to the deliverables of the European Aviation Processing (EAP) project which will replace existing work management systems, thus driving consistency of process and outcomes.</p> <p>CASA published 50 per cent of a new set of airworthiness protocols – the decision-making framework for airworthiness decisions made by CASA airworthiness engineers and inspectors. Benefits include improved consistency in decision-making.</p>
<b>Intended outcome</b>	Continue to leverage the use of voluntary third-party information to enhance risk-based decision making
<b>On track</b>	<p>CASA continued to invite operators to share any third-party audit reports at the audit notification stage of an upcoming surveillance, or at any other time, to better inform decisions about the scope or priority of future surveillance.</p> <p>This step has been included in the <i>CASA Surveillance Manual</i>.</p>

<b>Strategy/plan 1.5</b>	<b>Conduct regulatory services and compliance monitoring of the aviation industry to assure aviation safety performance</b>
<b>Intended outcome</b>	Baseline industry compliance with their regulatory obligations
<b>On track</b>	CASA continued to assess the audit scope coverage to ensure that all audit elements were assessed during the lifecycle of an authorisation.
<b>Intended outcome</b>	Provide regulatory services to support major developments such as new runways and other major air navigation initiatives
<b>On track</b>	Airspace reviews and development applications continued to be reviewed in line with planned activity, including the commissioning of new runways at Sunshine Coast Airport and Brisbane Airport. Regulatory services also provided support during bushfire events, through airspace solutions and post-event forums to enhance safety of airspace users in a bushfire event, and provided support and relief to aerodromes and service providers impacted by a significant downturn in aviation activity related to COVID-19.
<b>Intended outcome</b>	Alignment with the international and foreign risk assessment methodology to the greatest degree for Manned and Unmanned Systems for the Australian context
<b>Impact on deliverable</b>	<p>CASA's Future Aviation Research and Development Program focuses on collision risk modelling, future technology, and delivering safe outcomes for all future airspace users. CASA contracted Royal Melbourne Institute of Technology (RMIT) University to progress the development of an airspace risk model to inform the development of a draft future airspace concept for Australia. The draft report by RMIT University was submitted to CASA for review on 30 June 2020 and completes stage one of the university's commitment to CASA.</p> <p>The Future Aviation Research and Development Program includes collaboration with other Australian agencies such as the Department of Defence and Airservices Australia. CASA is also collaborating and benchmarking with international counterparts to deliver the most current and appropriate airspace assessment methodology for manned and unmanned aviation activity.</p> <p>CASA continues to support the Joint Authorities for Rulemaking on Unmanned Systems (JARUS) working groups on risk and certification and has taken an active lead in deploying JARUS risk assessment methodologies to support the introduction of drone delivery services in Australia.</p>

Key performance area – Address non-compliance

Strategy/plan 1.6	Develop modern enforcement strategies, policies and practices
<b>Intended outcome</b>	Consistent with the objectives of the State Safety Program for Australia, continued to refine CASA's regulatory policies and practices with a view to the promotion of an open and effective safety reporting culture
<b>On track</b>	CASA developed proposed amendments to Civil Aviation Orders 82.3 and 82.5 to ensure Australia's compliance with Amendment 1 to Annex 19 of the Convention on International Civil Aviation, focusing on the protection of safety information. These changes will be incorporated into CASR Part 119 before it comes into force in 2021, and ultimately into CASR Part 5.
<b>Intended outcome</b>	Amend CASR Part 13 to implement a revised enforcement framework
<b>On track</b>	Revised drafting instructions for proposed Part 13 of the CASR are being finalised for referral to the Office of Parliamentary Counsel subject to the current drafting priorities of CASA and the Office of Parliamentary Counsel.

Looking ahead

- In 2020–21, CASA will develop and begin implementation of a future air navigation and airspace strategy, including the development of a national air navigation plan.
- CASA will finalise:
  - » CASR Part 43, the new continuing airworthiness regulations for general aviation and aerial work (incorporating operations under revised Part 91, Part 137 and Part 138), to develop a more efficient regulatory environment and reduce maintenance costs while maintaining an appropriate level of safety
  - » new continuing airworthiness regulations for charter operations (incorporating operations under revised Part 135 and certain operations under Part 121 and Part 133), to develop appropriate and proportionate airworthiness regulations for air transport operations.
- CASA will realign Part 21 (certification and airworthiness for aircraft and parts) with the United States' equivalent, Federal Aviation Regulations Part 21. This will produce more internationally compatible regulation, update the design and manufacturing approvals, and incorporate improvements to more adequately cover the areas of commercial parts and medical and rescue equipment.
- The development and implementation of the Regulatory Services and Surveillance Transformation Program will be completed.
- CASA will continue to deploy components of its service delivery transformation to business-as-usual activity to yield an improved client experience and enhanced service delivery performance. This will consist of enhancements to maintenance personnel licensing as well as aircraft registration. The latter will also benefit from a planned review of Part 47 aimed at modernising Australia's regulation of aircraft registration.
- The review of aviation medicine will continue, including a review of medical certification standards and the administration of aviation medical certificate applications. A key component of this work is a review of Part 67 and designated aviation medical examiner assessment guidelines.



## 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.

### Progress in key performance areas

CASA tracks its progress in the five key performance areas of Goal 2 against five strategies and plans.

#### Key performance area – Effective engagement

Strategy/plan 2.1	Develop stakeholder relationships
<b>Intended outcome</b>	Further develop the Aviation Safety Advisory Panel and associated technical working groups
<b>On track</b>	<p>The Aviation Safety Advisory Panel considered a number of significant matters, including regulations for flight operations, aerial work, balloons and continuing airworthiness. The Aviation Safety Advisory Panel is supported by technical working groups through which industry members and relevant technical experts can provide their input to the Aviation Safety Advisory Panel on specific technical issues and proposals.</p> <p>The technical working groups met 19 times in 2019–20 to review draft regulations and provide feedback so that industry's position could be provided by the Aviation Safety Advisory Panel to the Chief Executive Officer/Director of Aviation Safety. These meetings were conducted via various methods, such as face-to-face gatherings, teleconferences and videoconferences.</p> <p>The Aviation Safety Advisory Panel secretariat met key timeframes for the dissemination of information to technical working groups and Aviation Safety Advisory Panel members.</p> <p>In total, 165 individual members of industry have participated in at least one of the 20 discrete technical working groups established under the Aviation Safety Advisory Panel.</p>
<b>Intended outcome</b>	Encourage greater industry engagement and participation in consultative activities
<b>On track</b>	<p>There has been greater promotion of the CASA Consultation Hub as a central place for people to find and participate in consultations, including through the <i>Flight Safety Australia</i> magazine, CASA's website and AvSafety seminars.</p> <p>During 2019–20, there were 48 consultations and feedback surveys conducted with a total of 4,776 responses. In the interest of transparency, responses were published on the web portal (where appropriate and with consent), along with results and information on next steps.</p> <p>Feedback was sought on a range of regulatory change proposals and airspace reviews, the bulk recruitment process, sector risks, the myCASA portal, and various safety promotion products, events and campaigns.</p>

<b>Strategy/plan 2.1</b>	<b>Develop stakeholder relationships</b>
<b>Intended outcome</b>	Implement an effective Customer Relationship Management system to better capture, record and track all client and stakeholder interactions
<b>On track</b>	<p>CASA's Customer Relationship Management platform has been implemented and is being used to manage:</p> <ul style="list-style-type: none"> <li>• aviation reference number issue to individuals and organisations (since October 2019)</li> <li>• remote pilot licence issue to drone pilots</li> <li>• remotely piloted aircraft operator certificate renewal for certificate holders.</li> </ul> <p>The platform is also being used to manage aviation complaints and remotely piloted aircraft enquiries.</p>
<b>Strategy/plan 2.2</b>	<b>Contribute to government confidence in CASA as a fair and effective aviation safety regulator</b>
<b>Intended outcome</b>	Establish effective working relationships with relevant Members of Parliament and Senators that have an interest in CASA and aviation safety
<b>On track</b>	<p>CASA continued to facilitate timely and accurate responses to correspondence from all levels of government to support 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. During 2019-20, CASA provided 295 responses to correspondence from federal, state or local government bodies, 144 ministerial responses and 13 ministerial submissions. Active monitoring of correspondence timelines continues.</p>
<b>Intended outcome</b>	Develop an engagement program with State and Local government and continue liaison with other Federal government agencies
<b>Impact on deliverable</b>	Efforts to develop an engagement program with state and local governments were delayed due to COVID-19. CASA continued to liaise with portfolio agencies to extend the implementation of drone registration and maintenance exams to 2020-21 and provide industry stakeholders impacted by COVID-19 with regulatory relief.
<b>Strategy/plan 2.3</b>	<b>Work with overseas regulators and relevant international bodies</b>
<b>Intended outcome</b>	Enhance focus on bilateral and multilateral arrangements to ensure reduced costs and duplication of processes for industry and CASA, a harmonised approach with other ICAO States and a consistent, CASA-wide approach
<b>On track</b>	<p>CASA has shifted its international focus to operational issues concerning regulators and service providers during and after the COVID-19 pandemic. CASA continues to advocate for enhanced coordination in contingency planning among International Civil Aviation Organization (ICAO) States and endeavours to support the harmonisation of approaches where appropriate.</p> <p>Given the focus on COVID-19 response and recovery, work on bilateral and multilateral arrangements has been limited in scope. CASA's domestic exemptions ensured reduced costs for industry while CASA's international efforts focused on ensuring that those exemptions were acknowledged and accepted by other States, to maintain critical infrastructure and support the viability and integrity of supply chains globally.</p>

Strategy/plan 2.3	Work with overseas regulators and relevant international bodies
	<p>CASA continues its desktop assessments for mutual recognition and other international cooperation. This included liaising with the Pacific Aviation Safety Office regarding potential future support for a peer review of aircraft in Vanuatu; and ongoing liaison with the Japan Aerospace Exploration Agency and the United States National Aeronautics and Space Administration regarding the Hayabusa2 spacecraft project.</p>
<b>Intended outcome</b>	<p>Ensure effective and targeted participation in ICAO fora to assist in positioning Australia as a Category 1 State of Chief Importance (noting ICAO Assemblies in 2019 and 2022)</p>
<b>On track</b>	<p>CASA continued to participate in ICAO panels and working groups in a meaningful and practical manner and engaged with Airservices Australia and the Department of Infrastructure, Transport, Regional Development and Communications to ensure a holistic approach to the portfolio's contribution to international aviation.</p> <p>CASA contributed to Australian positions at the 40th ICAO Assembly, held from 24 September to 4 October 2019 in Montreal, Canada. The Chief Executive Officer/Director of Aviation Safety attended as head of the CASA delegation, supported by CASA representatives, along with other officials from the Department of Infrastructure, Transport, Regional Development and Communications, the Department of Home Affairs and Airservices Australia.</p> <p>CASA contributed to election campaign material and promoted consistent messages in relation to Australian international aviation activities in the lead-up to ICAO Council elections that took place in September 2019, during the ICAO Assembly, at which Australia was successfully selected as a Category 1 State. CASA's relationship with like-minded States was crucial during this reporting period, to allow for negotiation of co-sponsorship of ICAO Assembly papers, and coordination of regional positions.</p> <p>CASA continues to assist in the Transport portfolio's work to develop the next edition of Australia's State Safety Program, to be implemented in late 2020. CASA has also undertaken significant work on developing a national aviation safety plan. This assisted CASA's preparation for the Regional Aviation Safety Group – Asia and Pacific Regions (RASG-APAC) meeting held in November 2019 in Bangkok, Thailand, chaired by the Chief Executive Officer/Director of Aviation Safety.</p> <p>Following the outbreak of COVID-19, significant attention shifted to contingency measures to ensure business continuity, especially among safety regulators, airports, airlines and air traffic control units globally. This included CASA engagement in special ICAO taskforces for COVID-19 response and recovery.</p> <p>All global and regional panels, working groups and study groups were progressively postponed by the ICAO Secretariat and host States and moved to online engagement in late 2019-20. This successful pivot enabled CASA to continue to engage in consultations in priority areas, including regional safety oversight and COVID-19 response and recovery discussions.</p>

<b>Strategy/plan 2.4</b>	<b>Contribute to the strengthening of aviation safety in the Asia Pacific</b>
<b>Intended outcome</b>	Enhance Pacific Aviation Safety Office engagement
<b>On track</b>	<p>During the 40th ICAO Assembly, Australia called for further support for States to implement Standards and Recommended Practices in the areas of safety, air navigation capacity and efficiency, especially given the challenging demographic and operational conditions of small island States in the Asia-Pacific region. Australia’s position, endorsed by New Zealand, the Pacific Aviation Safety Office, Samoa, Singapore and Tonga, focused on progressing the Pacific Small Island Developing States – Aviation Needs Analysis (PSIDS Study), in line with commitments made by transport ministers at ICAO’s Asia and Pacific Ministerial Conference in Beijing, China, in February 2018 (the Beijing Declaration).</p> <p>The PSIDS Study was delivered by ICAO in late 2019. CASA participated in consultation meetings held in Nadi, Fiji, in September 2019. The study resulted in recommendations for the Pacific Islands Forum, Pacific Islands States and ICAO. Among the accepted recommendations were that ICAO will establish a liaison officer position to be based in the Pacific and an assistance coordination platform will be established for Pacific Islands States.</p>
<b>Intended outcome</b>	Manage existing programs of assistance to other ICAO States in the Asia Pacific and contribute to portfolio-wide approaches to consider establishing other programs
<b>On track</b>	<p>CASA chaired and moderated discussions during the RASG-APAC meeting in November 2019. Key discussions focused on ICAO’s Global Aviation Safety Oversight System, innovation, the identification and reporting of common challenges, and the Safety Information Monitoring System Ramp Inspections Data Sharing Project. National aviation safety plans are the next step linked to State, regional and global aviation safety plans. RASG-APAC adopted the Asia-Pacific Regional Aviation Safety Plan, which will assist States in the region with alignment to common goals and strategies.</p>

**Key performance area – Promote safety and education**

<b>Strategy/plan 2.5</b>	<b>Provide comprehensive safety promotion programs to the aviation industry and stakeholders</b>
<b>Intended outcome</b>	Continue to develop and implement safety communication strategies in response to identified priority areas
<b>On track</b>	<p>CASA continued to look for different ways to communicate and engage with the aviation community. CASA’s seven Aviation Safety Advisors reached more than 5,134 industry members through 163 seminars and 546 onsite visits. Around 70 per cent of those activities took place in regional Australia. More than 95 per cent of pilots who took part in an AvSafety seminar said that it made them a safer pilot or changed their safety behaviour, and 98 per cent of participants said that they would recommend a seminar to other pilots. CASA hosted two national roadshows as a key communication tactic to support the proposed policy for continuing airworthiness management and maintenance for future air transport operations, and the transition to the new fatigue rules.</p> <p>CASA has supported industry stakeholders impacted by COVID-19 through regulatory relief and maintained a flexible regulatory approach during the pandemic.</p>

<b>Strategy/plan 2.5</b>	<b>Provide comprehensive safety promotion programs to the aviation industry and stakeholders</b>
<b>Intended outcome</b>	Assess the impact of safety promotion programs and strategies and adapt to changes in communications channels and technologies
<b>On track</b>	<p>The Know Your Drone safety education campaign was conducted for people who fly drones for fun. It was launched in a summer promotion on television and in the print media in December 2019 and a second launch across digital platforms in March 2020, and ran until 14 June 2020.</p> <p>The campaign was based on comprehensive market research which identified low awareness of drone rules among users in the growing recreational drone sector. The campaign aimed to raise broad awareness, understanding and acceptance of the recreational drone safety rules, challenge users' overconfidence and perceived knowledge of the rules, and increase awareness that CASA regulates aviation safety in Australia.</p> <p>Advertising reached more than 4.9 million people and the campaign achieved a total cumulative reach of 12.4 million.</p> <p>The Know Your Drone educational video was viewed more than 11,300 times, with an average watch-time of 2 minutes 10 seconds (video length 2 minutes 42 seconds).</p> <p>As part of an ongoing communication and education campaign to assist industry transition to the new fatigue rules, information sessions were held at key locations across Australia in March 2020. CASA hosted events in Brisbane, Cairns, Sydney, Adelaide, Perth and Darwin.</p> <p>Feedback from roadshow participants was analysed and found that almost all respondents (96 per cent) indicated that if CASA planned additional information sessions with industry, their organisation would attend.</p> <p>A majority (73 per cent) found out about the information sessions via email invitation, with the CASA website (11 per cent) and word of mouth (6 per cent) being the other most popular channels.</p> <p>A feedback survey on CASA's flagship aviation safety magazine, <i>Flight Safety Australia</i>, opened on 24 June 2020 and had attracted 783 responses by 30 June 2020. The survey, which closes on 12 July 2020, invited feedback on the online and print editions. It asked whether readers found the information useful, engaging and relevant, and whether the information helped them to become safer in their aviation role. It also asked about what they liked most, and sought feedback on areas for improvement, writing, editorial approach, design and layout.</p>

<b>Strategy/plan 2.5</b>	<b>Provide comprehensive safety promotion programs to the aviation industry and stakeholders</b>
<b>Intended outcome</b>	Develop comprehensive plain English guidance material for key new regulations that come into effect
<b>On track</b>	<p>In September 2019, an advanced concept draft of the CASR Part 91 Plain English Guide was developed to combine the foundational aviation regulations and standards in one publication. This followed the earlier release of an extract for industry consideration and feedback. The guide provides complex regulatory information in simple, easy-to-read and understandable language using a logical document structure, and is increasingly embracing digital interactive elements to enhance the user experience.</p> <p>Based on the success of the Part 91 Plain English Guide, CASA is developing similar guides to explain the regulations and standards that require widespread understanding by large audiences and have an impact on multiple sectors of the aviation industry.</p> <p>The development of the guides is largely dependent on the completion of regulations (including miscellaneous amendments) and Manuals of Standards.</p>
<b>Intended outcome</b>	Relaunch the <i>Flight Safety Australia</i> publication to extend reach of safety messages
<b>Completed</b>	<p>CASA's <i>Flight Safety Australia</i> magazine returned to print, with more than 2,500 readers subscribing in the first year. The magazine is packed with features, news, in-depth analysis and photography, on a wide range of topics, by expert contributors from the aviation community.</p> <p>CASA's Facebook and LinkedIn pages continued to be highly effective in promoting the magazine's comprehensive aviation safety coverage.</p>

### Looking ahead

- In the context of the increased automation of client applications, increased effort will be directed toward enhancing CASA's audit and oversight capability and capacity, a part of a longer-term strategy to introduce risk-informed oversight of individual authorisations and medical certificates.
- CASA will continue to provide critical advice, assistance and support to CASA's efforts to respond to a range of aviation-related challenges arising from the COVID-19 pandemic.

## 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.

### Progress in key performance areas

CASA tracks its progress in the two key performance areas of Goal 3 against four strategies and plans.

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

Strategy/plan 3.1	Continue to improve CASA's governance arrangements and quality of our activities
<b>Intended outcome</b>	Refine and develop our approach to continuous improvement, quality assurance and management
<b>Completed</b>	<p>CASA has continued to evolve and improve its approach to continuous improvement. The continuous improvement program was incorporated into CASA's Business Transformation Branch to provide improved management of interdependencies with continuous activities and assist with CASA's projects and programs. Activities which provided significant value to business included the following:</p> <ul style="list-style-type: none"> <li>• A new process for improving capture and management of myCASA client issues was implemented, rationalising multiple channels for incident management and providing a single-entry point and method for managing and monitoring client issues.</li> <li>• Business process reengineering activities in the flight crew licensing area identified opportunities to significantly reduce processing times for licence conversion for Australian Defence Force and New Zealand pilots by removing unnecessary and time-consuming validation steps.</li> <li>• A new digital process was introduced for onboarding staff. The process captures all new starter information in a single place, and automatically enacts the required onboarding steps, such as travel, property, security and IT. This has delivered significant internal value in terms of manager and staff time, as well as ensuring that new starters have everything they need from day one.</li> </ul>
<b>Intended outcome</b>	Implement identified improvements to governance arrangements
<b>On track</b>	A review of the effectiveness of CASA's governance committees was completed in 2019, and 15 out of 16 agreed recommendations were implemented. The final recommendation will be implemented in early 2020-21.

<b>Strategy/plan 3.1</b>	<b>Continue to improve CASA's governance arrangements and quality of our activities</b>
<b>Intended outcome</b>	Refine CASA's business and risk management planning processes
<b>On track</b>	CASA lifted its business and risk management planning function from branch level to divisional level, with a more strategic focus linking it to organisational objectives and priorities. CASA introduced an e-learning risk module to raise staff awareness of risk management.
<b>Intended outcome</b>	Implement improved information management governance arrangements including whole-of-government reforms
<b>On track</b>	CASA reviewed its information management governance arrangements and implemented a new information management strategy, information management directive and information security directive to improve the governance arrangements. CASA has strengthened the document control process by implementing a new document management and control directive, updating the information management manual and deploying a new document catalogue system. CASA introduced new compulsory training modules to staff on information management, records management, and the records management system. CASA continues to support the whole-of-government Digital Continuity 2020 Policy. CASA has commenced all activities under the policy; however, there have been some delays with completion. CASA intends to complete the remaining items in 2020-21 in consultation with other portfolio government agencies that are in a similar position.
<b>Strategy/plan 3.2</b>	<b>Continue to maintain sound financial management</b>
<b>Intended outcome</b>	Implement the simplified cost recovery arrangements
<b>Delayed</b>	CASA completed a detailed activity review during 2019-20 as directed by the Australian Government. The outcome of that review was used as a base for a proposed new sustainable funding strategy for CASA, which included a recommendation for simplified cost recovery arrangements. The Government was expected to consider the proposal as part of the 2019-20 Mid-Year Economic and Fiscal Outlook update. The Government did not consider it at that milestone and CASA has been asked to come back to the Government as part of the 2021-22 budget process.
<b>Intended outcome</b>	Maintain a sustainable funding profile to fulfil our obligations and meet stakeholder expectations
<b>Delayed</b>	CASA completed a detailed activity review during 2019-20 as directed by the Australian Government. The outcome of that review was used as a base for a proposed new sustainable funding strategy for CASA. The Government was expected to consider the proposal as part of the 2019-20 Mid-Year Economic and Fiscal Outlook update. The Government did not consider it at that milestone and CASA has been asked to come back to the Government as part of the 2021-22 budget process.



<b>Strategy/plan 3.3</b>	<b>Adopt, develop and drive a digital service delivery environment incorporating contemporary technology environments</b>
<b>Intended outcome</b>	Transform our digital services client offering to align clients' needs, services, and priorities across contemporary client service channels
<b>On track</b>	<p>The uptake of online services continues to grow, with the average number of customers using CASA's new digital services increasing each month. For 2019–20, online services processed:</p> <ul style="list-style-type: none"> <li>• 23,566 aviation reference number applications</li> <li>• 674 organisational aviation reference number applications</li> <li>• 3,494 remote pilot licence applications</li> <li>• 244 remotely piloted aircraft operator certificate applications.</li> </ul>
<b>Intended outcome</b>	Continue to rationalise and harmonise CASA's ICT operating environment
<b>On track</b>	<p>The high demand to support all staff through the transition to working from home during the COVID-19 pandemic was effectively managed throughout April–June 2020, with a return to normal demand being evident in the uptake of online meetings and open service desk calls, which reduced from a peak of more than 600 at the end of March 2020 to a low of less than 350 by mid-May 2020.</p> <p>In response to COVID-19 restrictions, CASA completed the implementation of video and voice functionality for all CASA remote users and assisted in extending the use of a new communication and collaboration platform for planning, communications, document collaboration/sharing and reporting.</p> <p>Delivery of the Capital Management Plan remained on course. At 30 June 2020, 16 development and four procurement projects had been completed, including the following:</p> <ul style="list-style-type: none"> <li>• The business intelligence and analytics project built the initial phase of a new data platform, enabling users to access datasets from a range of CASA's IT systems through a self-service approach to dashboarding and reporting.</li> <li>• Rollout of the new desktop standard operating environment commenced, enabling faster deployment of applications and more efficient support and maintenance of the desktop fleet. All sites will be upgraded in 2020–21.</li> <li>• The wireless access network upgrade for the Darwin, Sydney and Melbourne offices was completed, finalising the transition of these large regional offices to CASA's new aggregated telephony services. All lines are now routed through Canberra, allowing the capacity of dedicated lines for regional offices to be used during peak demand. Rollout to other offices remains on schedule for completion by 31 July 2020.</li> <li>• IT security projects achieved ongoing improvement in CASA's maturity level against the Australian Cyber Security Centre Essential Eight and reduced the severity of the high-risk items identified in the service delivery transformation program's security risk management plan.</li> </ul>

Key performance area – CASA continually develops its capability and capacity

Strategy/plan 3.4	Develop CASA's capability and capacity
<b>Intended outcome</b>	Implement initiatives to support the CASA Workforce Strategy 2019-23
<b>On track</b>	<p>All initiatives identified through the <i>CASA Workforce Plan 2019-20</i> to support the workforce strategy were progressed throughout the year were completed or on track at 30 June 2020. Key achievements in 2019-20 included:</p> <ul style="list-style-type: none"> <li>• development and implementation of the <i>CASA Work Health and Safety Strategy 2019-2022</i></li> <li>• development and implementation of the <i>CASA Inclusion Strategy 2019-2023</i></li> <li>• refreshment of the CASA Award Scheme to recognise and celebrate achievements and continue to promote a high performance culture</li> <li>• development and integration of an employee value proposition</li> <li>• delivery of a new workforce establishment model to support resource allocation in line with organisational priorities</li> <li>• implementation of job design across CASA to ensure that position classifications and roles align with our work level standards.</li> </ul>
<b>Intended outcome</b>	Develop and implement the CASA Inclusion Strategy 2019-23 and diversity action plans to enable more deliberate planning, decisions and actions towards a diverse and inclusive workplace
<b>On track</b>	<p>The CASA inclusion strategy and action plans for 2019-20 to 2022-23 were released on 2 March 2020 with a rolling four-year plan. The strategy sets employment targets to create a focus and commitment to achieve tangible outcomes, particularly for Aboriginal and Torres Strait Islander peoples, women and people with disability. Highlights for the first year were:</p> <ul style="list-style-type: none"> <li>• CASA senior leaders' personal pledges to foster and support an inclusive work environment, and their contribution to a Diversity Think Tank</li> <li>• the strengthening of the CASA Aboriginal and Torres Strait Islander Engagement Network as the leading consultation forum for workplace policies and practices that impact Aboriginal and Torres Strait Islander employees and interaction with communities and Elders</li> <li>• the formation of the Reconciliation Action Plan Working Group to design and draft CASA's third plan and frame our areas of focus</li> <li>• the release of CASA's foundation diversity and inclusion training program, including online training for all staff to highlight the importance of creating an inclusive workplace and environment to attract and retain a diverse workforce</li> <li>• delivery of training, educational and development programs to foster understanding, commitment and meaningful engagement with CASA's diverse workforce and CASA communities</li> <li>• changes in award title and criteria to convert the CASA Diversity Champion's Award to the CASA Inclusion Award, to promote, more broadly recognise and celebrate inclusive workplace behaviours.</li> </ul>

Strategy/plan 3.4	Develop CASA's capability and capacity
<b>Intended outcome</b>	Develop and embed management tools and resources to support recruitment, employee development, workforce management and career progression
<b>On track</b>	<p>CASA delivered the recruitment redesign project, reviewing and streamlining our policy and approach to recruitment to increase flexibility, improve efficiency and reduce time to fill vacancies. The CASA bulk recruitment campaign resulted in over 100 positions being filled across six employment categories.</p> <p>CASA also revised the capability framework articulating CASA's capability needs, priorities and support for the organisation.</p>
<b>Intended outcome</b>	Implement CASA's employee value proposition to attract and retain people with the right attributes, knowledge, skills and experience
<b>On track</b>	CASA delivered targeted training, education and development opportunities for senior and emerging leaders through the CASA Leadership Program. CASA recognised outstanding contributions of 47 staff through the CASA Award Scheme, which recognises outstanding staff contribution and achievement. The number of award categories was expanded to six, with the addition of an annual Leadership Award.

## Looking ahead

- In 2020-21, CASA will implement the information management strategy and associated work plan, focusing on:
  - » completing the sentencing program to capture all of CASA's physical holdings
  - » completing the centralisation of controlled documents from across all areas of CASA into the document catalogue
  - » implementing reporting to provide visibility of use and compliance with CASA's information management requirements
  - » implementing the outstanding recommendations from an internal audit of records management.
- The service delivery transformation program is entering its third and final year. Digital licences for remote pilot licences will be made available as part of a major digital release in August 2020 and digital flight crew licences will become available in December 2020. Additionally, aviation organisations will be able to manage critical roles and functions within myCASA, reducing significant time and paper burdens on industry.
- Migrating CASA systems to secure cloud environments will remain a high priority as the requirement for staff to work at home during the COVID-19 response period has highlighted the value of having a mobile desktop fleet that can access core applications through the public internet network.



On-site validation at Yulara, Northern Territory | © Civil Aviation Safety Authority

## Validation of enhanced approach procedures

In January 2020, CASA finalised a significant three-year program to implement instrument approach procedures throughout Australia, to enhance aviation safety.

The International Civil Aviation Organization (ICAO) has identified the introduction of approach to landing procedures with vertical guidance as an internationally significant measure to reduce accidents involving controlled flight into terrain.

### Baro-VNAV

Barometric Vertical Navigation (Baro-VNAV) is one means of achieving approach procedures with vertical guidance. A Baro-VNAV approach provides lateral and vertical guidance to assist pilots during the final approach to an airport or aerodrome.

Australia's Baro-VNAV implementation program commenced in 2016 as a result of ICAO Resolution A37-11, which called for implementation of approach procedures with vertical guidance for

all instrument runway ends, either as the primary approach or as a back-up for precision approach procedures.

Flight validation of procedures by CASA is required by Civil Aviation Safety Regulations (CASR) Part 173 and ICAO Doc 9906; it is one of the final quality assurance steps in the instrument approach design process prior to the approach's publication and use.

From the commencement of the Baro-VNAV validation program through to June 2020, CASA validated approximately 270 procedures at around 150 aerodromes. CASA will continue to validate new Baro-VNAV procedures as part of normal business, recovering the costs from the procedure design organisation.

## Other procedures

In addition to Baro-VNAV, CASA validated an additional 50 procedures, including the required navigation performance-authorisation approaches and the new approach and departure procedures for new runways at Brisbane Airport and Sunshine Coast Airport. The next flight validation program will involve validation of new procedures making use of Australia's satellite-based augmentation system, which is planned to be commissioned in 2024.

## Validation method

Although ICAO published guidelines for validation of approach procedures with vertical guidance, there was very little practical guidance on how to manage the validation efficiently, safely and cost-effectively.

In 2016, CASA developed a paper, *CASA's Methodology for Validation of Baro-VNAV Instrument Approaches*, which was endorsed by ICAO's Asia and Pacific Regions Flight Procedures Programme Steering Committee.

Procedures were validated in an aircraft simulator, using a B737 simulator and a custom-coded navigation database. The simulator validation component focuses on the navigation data and flyability of the procedures.

Different procedure coding methods were trialled to test different aircraft and flight management systems.

To implement the initial high-priority procedures in major regional areas, onsite validations were completed during standalone trips. The other onsite validations were included in CASA's revalidation schedule. The onsite validation component focuses on ensuring a safe physical environment.

## Added value

The simulator validation exercises add value for industry by providing excellent learning opportunities for CASA's flight validation team, flying operations inspectors and procedure designers.

The flying operations inspectors were able to gain valuable experience flying new procedure types and to pass their experiences on to colleagues and industry. Procedure designers were able to increase their practical understanding by experiencing the procedures being flown in realistic simulations.



© Civil Aviation Safety Authority



© Brisbane Airport Corporation

## CASA's approach to the COVID-19 pandemic

Recognising that the aviation sector would be greatly impacted by the COVID-19 pandemic, CASA adopted a flexible approach to assist participants to maintain their businesses and credentials through these unprecedented times.

### Business continuity

To maintain business continuity during physical distancing, CASA implemented its Pandemic Action Plan and equipped staff to conduct their roles remotely.

CASA's Information Technology Branch was responsible for helping people set up their laptops, logins, multi-factor authentication, mobile devices and accessories, and ensuring that there was enough bandwidth to allow people to communicate and work effectively across the CASA network.

The branch promptly updated more than 300 laptops/tablets, upgraded CASA's remote server, improved remote videoconference capabilities and increased CASA's network capacity from 100 connections to more than 1,000 connections.

At the height of the pandemic, CASA had 92 per cent of staff working remotely. CASA staff continued to be available to provide regulatory support to industry and service was not compromised. Our organisation's preparedness to respond to change of such magnitude demonstrates the strength of our systems and our teams.



## Regulatory relief

In the early stages of the pandemic, with an upswing in demand for regulatory services from operators adapting and availing themselves of exemptions to keep their businesses going, CASA put in place various general exemptions for authorisations or permissions. They were designed to proportionally manage safety risks while providing regulatory relief.

For example:

- air operator certificates or Civil Aviation Safety Regulations Part 141/Part142 certificates were automatically extended for six months through an administrative process
- pilots and air traffic controllers were enabled to exercise the privileges of their licences for six months after the expiration of their medical certificates
- flight review or proficiency checks remained current for three months following 1 March 2020
- general exemptions were applied to dangerous goods, drug and alcohol management procedures and emergency procedures
- the statutory time period was extended by six months for commercial pilot and air transport pilot licence exams and by 12 months for aircraft maintenance engineer exams.

CASA also facilitated a flexible regulatory approach to aerodrome management, in cooperation with the major airports, to help address the problem of finding parking space for thousands of aircraft that were grounded due to travel restrictions.

## Operational readiness

As COVID-19 restrictions began to wind down, CASA's presence at the coalface ramped up.

Activity on the tarmac increased with aircraft coming out of storage and flights resuming. The presence of CASA inspectors, liaising with industry and conducting ramp visits, was well received by industry as we worked together to establish 'the new normal'.

Aviation safety advisors slowly resumed their industry visits as flying activity began to recover, consistently reminding pilots to take their time and be more deliberate and careful with their pre-flight planning. CASA's aviation safety seminars also resumed, taking a conservative approach to venues and numbers to comply with government restrictions.



**Engine cover at Avalon Airport**  
© Civil Aviation Safety Authority



Parachuting at the Avalon Airshow | © Civil Aviation Safety Authority

## First certificate issued under Part 149

A milestone in Australian aviation was achieved on 25 April 2020, when the first regulatory certificate was issued to a self-administering sport and recreational aviation organisation under Part 149 of the Civil Aviation Safety Regulations.

Part 149 (approved self-administering aviation organisations) specifies the requirements for aviation administration organisations involved in sport and recreational aircraft activities.

The regulation commenced in July 2019, bringing a new approach to the safety regulation of sport and recreational aviation, with benefits for approved self-administering organisations and their members.

The first certificate was issued to the Australian Parachute Federation, a not-for-profit organisation that administers civilian parachuting and has responsibility for nearly 400,000 parachute descents a year.

The implementation of the regulation was made possible by the hard work of members of CASA's General, Recreational and Sport Aviation section, who worked collaboratively with members of the self-administering sport and recreational aviation organisation sector.

This was a significant achievement for CASA and industry members of the sector. It is an example of the strong consultative process we have in place when developing and implementing regulations.





# PART

# 4

## CORPORATE GOVERNANCE AND MANAGEMENT

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.

### In this part:

- Corporate governance **76**
- People management **98**
- Work health and safety **105**
- External engagement **108**

## CORPORATE GOVERNANCE

CASA's corporate governance provides the framework 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 consistent with other 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 managed appointment and oversight of industry delegates and authorised persons.

### Enabling legislation

CASA was established on 6 July 1995 as an independent statutory authority by the *Civil Aviation Legislation Amendment Act 1995* amending the *Civil Aviation Act 1988* accordingly.

Under section 9 of the *Civil Aviation Act 1988*, CASA's primary function is to regulate the safety of civil air operations in Australia and the operation of Australian aircraft overseas. Under section 11 of the *Airspace Act 2007*, CASA is responsible for the administration of Australian-administered airspace under regulations providing for the classification of volumes of airspace, determining the services and facilities provided by approved air navigation service providers, and designating equitable access to, and giving directions in relation to the efficient use of, Australian-administered airspace.

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, administering elements of the *Civil Aviation (Carriers' Liability) Act 1959* and the *International Interests in Mobile Equipment (Cape Town Convention) Act 2013*, and performing functions conferred on CASA under the *Transport Safety Investigation Act 2003* and the *Aviation Transport Security Act 2004*.

CASA exercises its powers under the *Civil Aviation Act 1988* 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 is 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 1988*. CASA also has a range of reporting and other responsibilities under legislation generally applicable to Commonwealth entities.

### Portfolio structure and responsible minister

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

The Hon Michael McCormack MP was the Minister responsible for CASA throughout 2019–20, in his capacity as Minister for Infrastructure, Transport and Regional Development.

## Ministerial direction

On 4 July 2019, the Minister for Infrastructure, Transport and Regional Development issued a notice of strategic direction under section 12A of the *Civil Aviation Act 1988*, 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 15 July 2019 to 30 June 2021.

The Minister's expectations are reflected in the *CASA Corporate Plan 2019–20*, which was approved by the Board in line with its functions under section 53 of the *Civil Aviation Act 1988*.

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 2019–20, 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 1988*. 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 is the accountable authority of CASA under section 12 of the PGPA Act, with duties as described in Part 2-2 of that Act. The Board puts in place broad strategies, policies and appropriate directions to guide CASA in the conduct of its day-to-day business.

## Board members

The Board comprises a Chair; a Deputy Chair; the Chief Executive Officer/Director of Aviation Safety, as an executive member; and up to four other members. The Deputy Chair position was not occupied in 2019–20.

The Director of Aviation Safety is appointed under Part VIIA of the *Civil Aviation Act 1988*, 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 2019–20.

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 2020, the Board comprised Mr Anthony Mathews as Chair of the Board; Mr Shane Carmody, in his role as the Chief Executive Officer/Director of Aviation Safety; and Ms Donna Hardman, Mr Michael Bridge and Mr Mark Rindfleish as members, as shown in Table 3.

During the year:

- Ms Jane McAloon resigned her appointment on 31 December 2019
- Ms Donna Hardman was appointed for three-year term effective from 1 January 2020
- Ms Anita Taylor completed her extended term on 2 March 2020
- Ms Cheryl Cartwright completed her three-year term on 16 April 2020.

Two Board positions were vacant at 30 June 2020.

Table 3 CASA Board members

Members at 30 June 2020	
<p><b>Mr Anthony Mathews</b> Chair First appointed: 20 August 2018 Non-executive member</p> 	<p>Mr Anthony Mathews has more than 45 years' experience in the aviation industry.</p> <p>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.</p> <p>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 and Lower Murray Water. 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.</p> <p>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 chaired the board's safety committee.</p>
<p><b>Mr Mark Rindfleish</b> First appointed: 16 April 2018 Non-executive member</p> 	<p>Mr Mark Rindfleish has more than 45 years' experience as an airline pilot and senior operations manager with airlines in Australia and overseas.</p> <p>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.</p> <p>In addition, Mr Rindfleish has served in a number of advisory roles, including as safety advisor to Jetstar Airways boards, Chairman of the Flight Operations and Safety Working Group of Asia Pacific Airlines, and Chairman of the Flight Operations Committee of Star Alliance.</p> <p>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.</p>

**Members at 30 June 2020****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 joined the Board of the Regional Aviation Association of Australia in 1998 and chaired that board for seven years. He has held numerous board positions, including on the Board of Trustees of The Aviation Industry Superannuation Trust and the Australian Super – 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. He 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.

Mr Bridge 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.

**Ms Donna Hardman**

First appointed:

1 January 2020

Non-executive member




Ms Donna Hardman has been a member of the CASA Board since 1 January 2020, a member of the Board Audit and Risk Committee since April 2019 and Chair of the Board Audit and Risk Committee since 1 January 2020.

Ms Hardman has more than 30 years' experience in the financial services industry, including over 20 years' executive experience in senior strategy, general management and transformational change leadership roles in global financial services organisations. She is a professional company director with experience in business and IT transformation, change leadership and governance.

Ms Hardman is currently an independent director on one public sector board and one audit and risk committee, in addition to her CASA appointments. She is also a consultant to several private sector clients, providing advice about improving board performance and future-readiness.

Ms Hardman holds a Bachelor of Commerce from the University of New South Wales and a Master of Business Administration from Macquarie Graduate School of Management. She is a Graduate Member of the Australian Institute of Company Directors and a Fellow of the Governance Institute of Australia.

Members at 30 June 2020	
<p><b>Mr Shane Carmody</b>                      Chief Executive Officer/                      Director of Aviation Safety</p> <p>First appointed:                      10 October 2016                      Executive member</p> 	<p>Mr Shane Carmody commenced as Chief Executive Officer/Director of Aviation Safety on 7 June 2017, having acted in the position since 10 October 2016.</p> <p>Mr Carmody has a Bachelor of Arts and a Master of Business Administration, is a Graduate Member of the Australian Institute of Company Directors and is a Fellow of the Royal Aeronautical Society.</p> <p>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.</p> <p>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.</p> <p>Mr Carmody joined the Australian Public Service in 1989, after a 15-year career as an Army officer serving in Australia and overseas.</p>
Members departed before 30 June 2020	
<p><b>Ms Anita Taylor</b></p> <p>First appointed:                      3 December 2014                      Reappointed:                      18 December 2017                      Non-executive member</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>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.</p> <p>Ms Taylor and her husband run a superfine merino and Angus cattle property in regional New South Wales.</p>



Members departed before 30 June 2020	
<p><b>Ms Cheryl Cartwright</b> First appointed: 17 April 2017 Non-executive member</p>	<p>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.</p> <p>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.</p> <p>Ms Cartwright brings comprehensive experience in communications, messaging, strategic planning and corporate governance to the CASA Board.</p>
<p><b>Ms Jane McAloon</b> First appointed: 16 April 2018 Non-executive member</p>	<p>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.</p> <p>Ms McAloon is a non-executive director of EnergyAustralia, Viva Energy and Port of Melbourne.</p> <p>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.</p> <p>Ms McAloon has been a safety regulator in the energy sector and worked with safety management systems as a fundamental principle in successful business.</p>

## Board meetings

Six scheduled Board meetings were held during 2019-20, on 16 August, 15 October and 10 December 2019 and 13 February, 21 April and 18 June 2020.

All Board members attended the meetings that they were eligible to attend, with two exceptions: Mr Bridge was unable to attend on 16 August 2019 and Ms Cartwright was unable to attend on 13 February 2020.

## Board Audit and Risk Committee

The Board appoints an audit committee, known as the Board Audit and Risk 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 1988* 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. The committee's charter is available at [casa.gov.au/about-us/who-we-are/casa-board](https://casa.gov.au/about-us/who-we-are/casa-board)

CASA's Board Audit and Risk Committee consists of four members: a Board member in the role of Chair; a second Board member; and two members who are independent and external to CASA.

Following the departure of the former Board Audit and Risk Committee Chair, Ms Jane McAloon, on 31 December 2019, the Board appointed Ms Donna Hardman as Chair on 1 January 2020.

Ms Anita Taylor departed on 2 March 2020, vacating a Board member position. The position remained vacant to 30 June 2020.

Ms Amanda Phillips was appointed to the Board Audit and Risk Committee on 25 March 2020, filling a long-term vacancy in an independent member position. Mr Michael Roche continued to occupy an independent member position throughout the year.

The Board Audit and Risk Committee held five meetings during 2019–20, on 14 August and 7 November 2019 and 11 March, 5 May and 23 June 2020.

Table 4 summarises the relevant experience of the Board Audit and Risk Committee members at 30 June 2020.

**Table 4 Board Audit and Risk Committee members in 2019–20**

Name	Qualifications, knowledge, skills or experience	Total annual remuneration
<b>Members at 30 June 2020</b>		
<b>Ms Donna Hardman</b> Chair First appointed: 1 April 2019  No. of meetings attended: 5	Ms Hardman holds a Bachelor of Commerce from the University of New South Wales and a Master of Business Administration from Macquarie Graduate School of Management. She is a Graduate Member of the Australian Institute of Company Directors and a Fellow of the Governance Institute of Australia.  Ms Hardman has more than 30 years' experience in the financial services industry, including over 20 years' executive experience in senior strategy, general management and transformational change leadership roles in global financial services organisations. She is a professional company director with experience in business and IT transformation, change leadership and governance. Ms Hardman has been a member of the CASA Board since 1 January 2020.	\$42,645



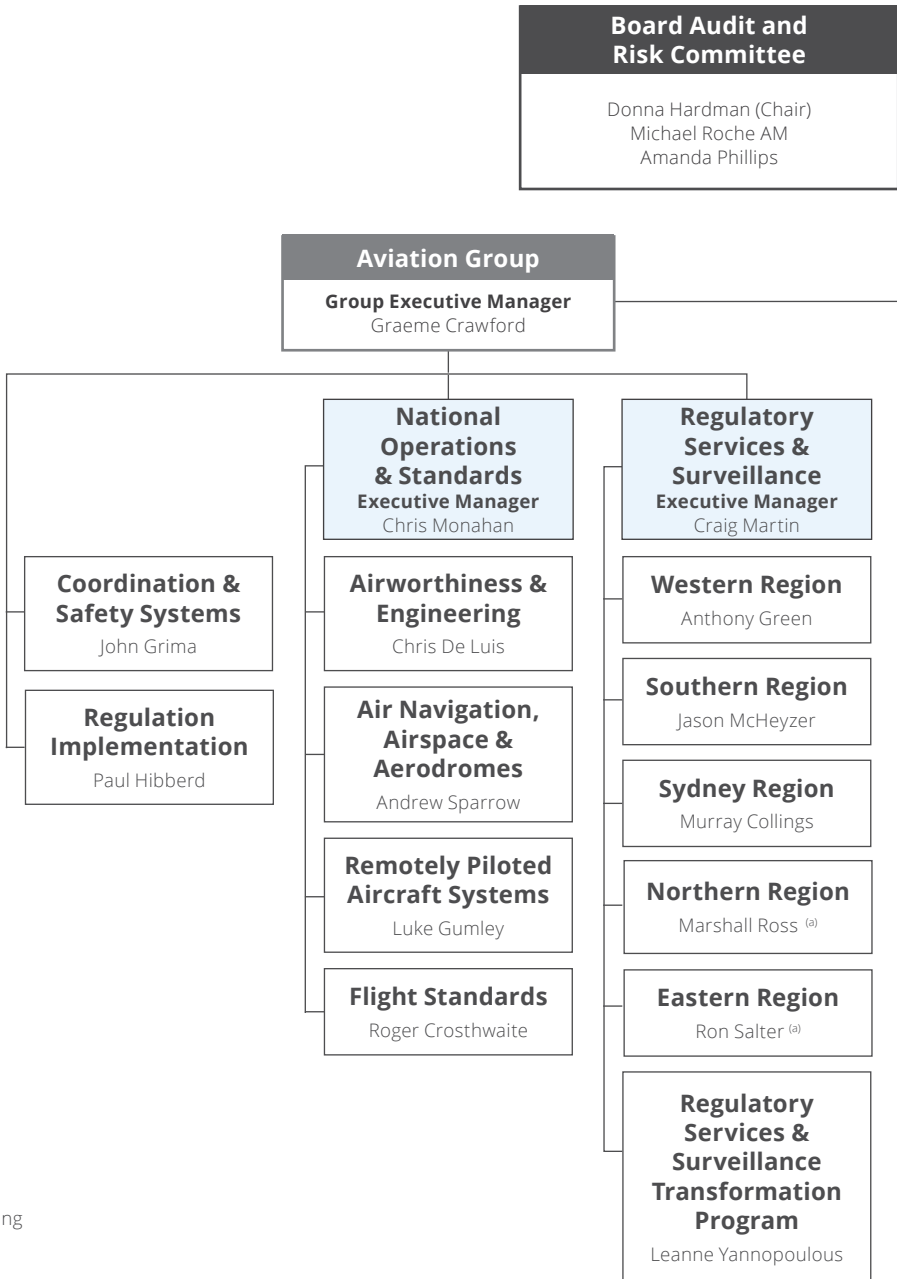
Name	Qualifications, knowledge, skills or experience	Total annual remuneration
<b>Members at 30 June 2020</b>		
<p><b>Mr Michael Roche AM</b> Independent member First appointed: 20 February 2010</p> <p>No. of meetings attended: 5</p>	<p>Mr Roche has a Bachelor of Accounting and Information Technology systems. He is a Fellow of the Australian Society of Certified Practising Accountants and a member of the Australian Computer Society. 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>	\$12,925
<p><b>Ms Amanda Phillips</b> Independent member First appointed: 25 March 2020</p> <p>No. of meetings attended: 3</p>	<p>Ms Phillips is a Member of the Institute of Chartered Accountants of Australia and New Zealand, Bachelor of Business, Postgraduate in Applied Finance and Investments and Graduate Member of the Australian Institute of Company Directors.</p> <p>Ms Phillips has over 25 years' of business, finance, audit and management experience. She is the Principal Consultant for her business specialising in process improvement, corporate governance, transformational change and innovative business practices.</p> <p>Ms Phillips is currently a non-executive director at Mildura Health, Mildura Private Hospital, Sunraysia Institute of TAFE and Riverbend Sanctuary Limited. She is also the Chair of the Audit Committee at Mildura Health and Sunraysia Institute of TAFE.</p>	\$8,910
<b>Members departed before 30 June 2020</b>		
<p><b>Ms Anita Taylor</b> First appointed: 12 December 2014</p> <p>No. of meetings attended: 2</p>	<p>Ms 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>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.</p>	\$54,826
<p><b>Ms Jane McAloon</b> First appointed: 18 March 2019</p> <p>No. of meetings attended: 2</p>	<p>Ms 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.</p> <p>Ms McAloon is a non-executive director of EnergyAustralia, Viva Energy and Port of Melbourne.</p>	\$45,463

## Organisational structure

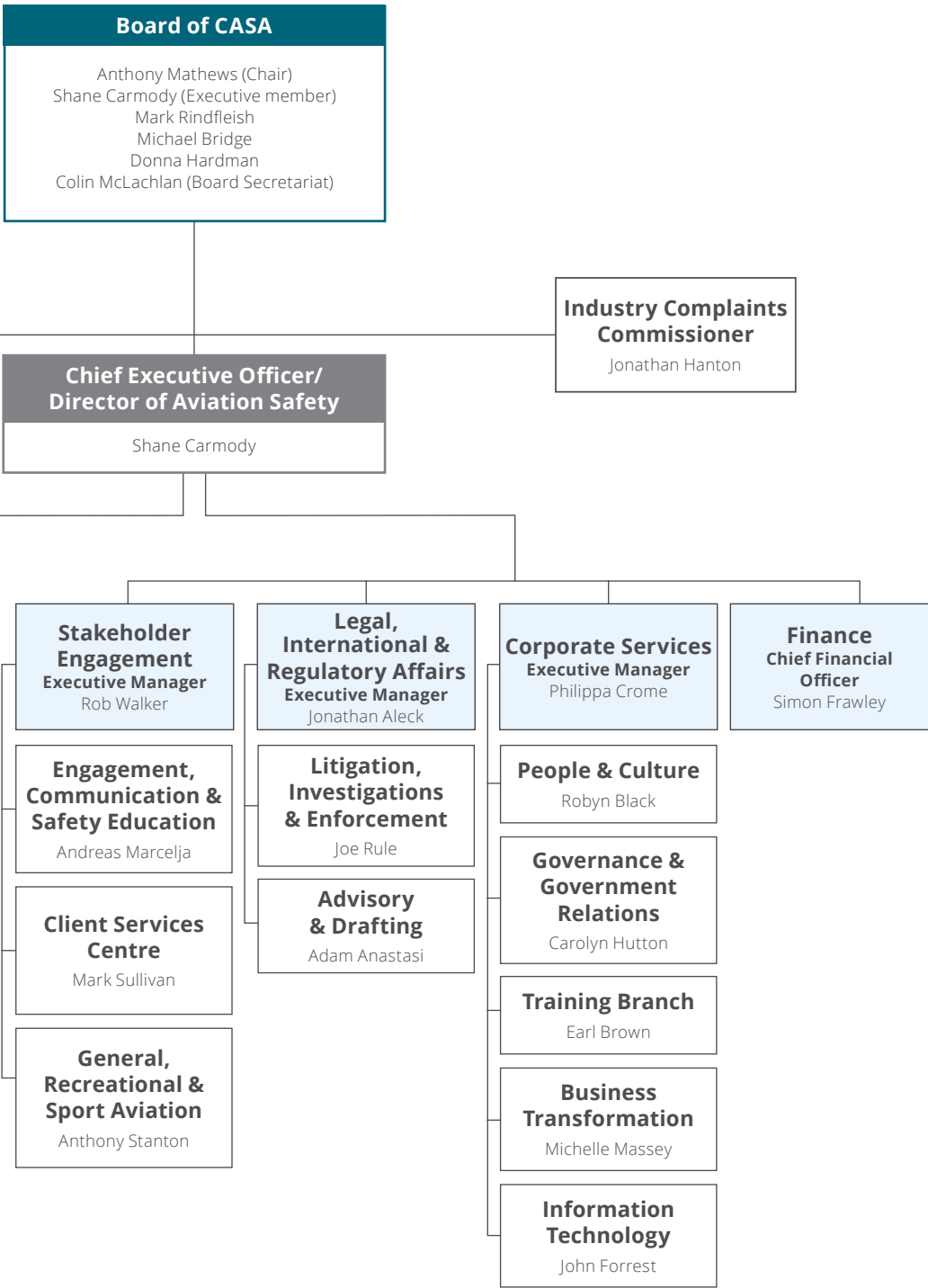
CASA's structure is designed to ensure that resources are aligned to core functions, providing for clear lines of reporting.

Figure 10 shows the elements and relationships of CASA's organisational structure at 30 June 2020. CASA has no subsidiaries.

**Figure 10 Organisational structure at 30 June 2020**



(a) acting



## Organisational changes

Several changes were made to CASA's structures in 2019-20, to enable more effective and efficient operations.

In December 2019, the General, Recreational and Sport Aviation Branch was transferred from the National Operations and Standards Division to the Stakeholder Engagement Division, and the Permissions Issues team and the Maintenance Personnel Licensing team were transferred from the Stakeholder Engagement Division to the Regulatory Services and Surveillance Division.

In July 2019, the Government and International Relations Branch in the Stakeholder Engagement Division was abolished. The information management and government relations areas were merged into the Governance Branch in the Corporate Services Division, which was renamed the Governance and Government Relations Branch. The international relations function was transferred to the Legal, International and Regulatory Affairs Division.

In January 2020, CASA created the Human Performance team in the Regulation Implementation Branch in the Aviation Group.

## Senior management

There were 10 changes in senior management during 2019-20:

- Mr Peter White departed as Executive Manager, Regulatory Services and Surveillance.
- Ms Ruth Mackay departed as Branch Manager, Governance.
- Mr Gerard Nolan departed as Regional Manager, Northern.
- Mr Craig Martin was promoted to Executive Manager, Regulatory Services and Surveillance.
- Mr Paul Hibberd was promoted to Branch Manager, Regulation Implementation.
- Ms Michelle Massey was transferred from Senior Manager, Regulatory Services and Surveillance Transformation Program, to Branch Manager, Business Transformation.
- Ms Leanne Yannopoulos was transferred from Branch Manager, Business Transformation, to Senior Manager, Regulatory Services and Surveillance Transformation Program.
- Ms Carolyn Hutton was transferred from Branch Manager, Government and International Relations, to the new role of Branch Manager, Governance and Government Relations.
- Mr Ron Salter was appointed to act as Regional Manager, Eastern.
- Mr Marshall Ross was appointed to act as Regional Manager, Northern.

The following sections summarise the qualifications, experience and responsibilities of CASA's senior executives. Information on executive remuneration is provided in tables B.7 to B.9 in Appendix B.



## Aviation Group

### Graeme Crawford

Group Executive Manager  
Disability Champion

#### 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.

Mr Crawford 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. He 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.



## Aviation Group – National Operations and Standards Division

### Chris Monahan

Executive Manager  
Gender Champion

#### PROFILE

Mr Chris Monahan obtained his technical education with undergraduate qualifications from the University of California, Davis, and his Master of Aviation Science and Master of Business Administration from Embry-Riddle Aeronautical University.

Mr Monahan began his aviation career in 1986 as student pilot in the United States Air Force. His flight experience includes over 40 domestic and international aircraft and multiple deployments to North Atlantic Treaty Organization locations, Iraq and Afghanistan. His flying roles included forward air controller, fighter pilot, operational test and evaluation pilot, and chief pilot for remote operations. Other aviation roles Mr Monahan has held include instructor pilot, flight examiner, functional check flight pilot, and maintenance quality assurance officer for multiple small and wide body aircraft. During his career he was also a trained safety officer and accident investigator at multiple organisational and national levels.

Mr Monahan has led a variety of organisations focused on the delivery of new aircraft, the upgrading of legacy aircraft, unmanned aircraft design and operations, airworthiness, flight testing, simulator design, inspections and surveillance. Prior to arriving at CASA in 2016, he served as a senior diplomatic representative to Kenya, Ethiopia, Uganda and Azerbaijan and provided support to host and allied nations on aviation issues.

#### ROLE

The National Operations and Standards Division is responsible for policy and legislation for all aviation safety standards, including standards for licensing, flight operations, airworthiness, air navigation, airspace, aerodromes and remotely piloted aircraft systems.

The division is also responsible for nationally administered regulatory services and surveillance, including aircraft certification and production, air navigation services, airspace, aerodromes and remotely piloted aircraft systems.



## Aviation Group – Regulatory Services and Surveillance Division

### Craig Martin

Executive Manager

#### PROFILE

Mr Craig Martin has over 30 years' experience in commercial aviation. During this time, he has held several operational and management roles at Australian and overseas airlines.

Craig has formal qualifications in airline training and checking, accident investigation, risk management and safety management.

#### ROLE

The Regulatory Services and Surveillance Division is responsible for meeting CASA's functional obligations in relation to entry control and ongoing compliance monitoring of regulated aviation industry participants. This accountability exists across all sectors of the aviation industry, from single-aircraft mustering operations through to large maintenance organisations and major group airlines. The Regulatory Services and Surveillance Division provides access to approvals to conduct aviation activities for industry participants, and monitors industry compliance to ensure the safety of the travelling public.



## Stakeholder Engagement Division

### Rob Walker

Executive Manager

#### 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 for the CASA Board Audit and Risk Committee, Chair of the Executive Sub-committee for 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, International and Regulatory Affairs Division

### Jonathan Aleck

Executive Manager  
Indigenous Champion

#### 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, having served as President for two terms.

Dr Aleck joined the then Civil Aviation Authority as a legal officer in 1993, and subsequently served 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 legal consultant and specialist advisor in the United States. He continues to lecture on contemporary aviation issues 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, International and Regulatory Affairs Division performs 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 and conflict of interest scheme.

The division is responsible for managing CASA's strategic international engagement on matters related to Australia's involvement with ICAO; assistance to regulators in the Asia-Pacific region, and Australian Aid programs with Indonesia and Papua New Guinea; and relationships with counterpart regulators around the world.

The regulatory affairs function includes developing and applying innovative regulatory policy and practice initiatives, implementing CASA's regulatory philosophy, managing the policy of industry self-administration and advising on the development and implementation of other high-level strategic and policy-orientated programs.



## Corporate Services Division

### Philippa Crome

Executive Manager

#### 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 has been responsible for developing and implementing whole-of-government policy and managing government service delivery panels.

Ms Crome has previously worked for the Australian Federal Police, the Department of Defence, the Department of the Prime Minister and Cabinet, the Department of Infrastructure, Transport, Regional Development and Local Government, and the Department of Finance. Ms Crome is Chair of CASA's People Committee and Deputy Chair of the Major Programs 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 and government relations, business transformation and IT.



## Finance Branch

### Simon Frawley

Chief Financial Officer

#### 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 there, 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 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 for 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.

As part of the approach, CASA gathers enterprise risk intelligence, conducts periodic reviews in relation to emergent and future risks and regularly reviews the business continuity plan.

### Strategic risks

In fulfilling its regulatory obligations, CASA faces a variety of potential risks, such as failure to detect breaches of aircraft 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 CASA's functions and contribute directly to the achievement of CASA's corporate goals.

The CASA Board undertook its annual risk workshop in December 2019 to determine CASA's strategic risk profile and risk appetite. In March 2020, the CASA Board agreed to the following four strategic risks for 2020–21: regulatory failure, operating environment, cyber security and industry capture. In April 2020, the Board agreed to the addition of a COVID-19 related risk, taking the total strategic risks to five. The Board reaffirmed its acceptable tolerance of key organisational risk areas as a guide for all CASA staff.

### Key achievements

In 2019–20, CASA implemented several initiatives to improve staff awareness of risk management. An e-learning risk module was developed and made available to all staff as part of the CASA learning portfolio. Risk is addressed as a key component of CASA's orientation program and as

part of the manager orientation training program. Three successful program risk assessment workshops were conducted for key programs of work that CASA is undertaking.

In late 2019, CASA reviewed its business continuity plans to consolidate them and ensure that they were fit for purpose and aligned with best practice and standards. The review was timely, given the 2019–20 bushfires and the COVID-19 pandemic that followed in March 2020.

## Internal audit arrangements

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

CASA's risk-based strategic annual audit plan and three-year internal audit strategic plan provide a mix of performance, financial, IT and compliance audits across the organisation. The internal audit 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.

CASA continually seeks to improve and streamline audit processes, improve the quality of audit reports and engage with managers to improve the timing and scope of audits.

As part of the 2019–20 internal audit program, seven audits were completed, comprising a mixture of compliance and performance audits in areas including access control, stakeholder engagement

and surveillance. The audits provided an evidence-based perspective on the effectiveness of internal controls, the efficiency of CASA's resource use and whether CASA is achieving objectives.

## Recognition of CASA reporting

CASA's *Annual Report 2018–19* was recognised with a prestigious Gold award in the 2020 Australasian Reporting Awards, making 2020 the eighth consecutive year in which CASA has received gold in recognition of the quality of its reporting.

## Governance committees

In 2019, CASA undertook an effectiveness review of its existing governance committees. The review made 18 recommendations, of which 16 were accepted by the Chief Executive Officer/Director of Aviation Safety.

The review led to an adjustment of the committee structure, including eliminating one committee. The revised committee structure provides assurance and transparency for critical decision-making.

The first tier of the committee structure comprises the Board, Board Audit and Risk Committee and Executive Committee. The second tier consists of the Aviation Safety Committee, Investment Committee, People Committee and Major Programs Board. Several sub-committees and working groups have been established to oversee critical decision-making and project management and manage key strategic risks.

## Executive Committee

The Executive Committee assists the Chief Executive Officer/Director of Aviation Safety and the executive leadership team to drive the implementation of strategies as decided by the Board and the Chief Executive Officer/Director of Aviation Safety, and to manage the operations of CASA.

The Executive Committee usually meets every eight weeks to discuss strategic issues and weekly to discuss operational matters. Between March and June 2020, the Executive Committee met daily to oversight and guide CASA's response to the COVID-19 pandemic.

## Aviation Safety Committee

The Aviation Safety Committee is an advisory and monitoring committee which supports the Chief Executive Officer/Director of Aviation Safety 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.

## Investment Committee

The Investment Committee (formerly the Risk and Investment Committee) reports to the Executive Committee and provides impartial advice and assurance on investment risk, financial matters (including budget), investment management and implementation of investments. This committee's business is closely integrated with the enterprise priorities of CASA.

The Investment Committee meets up to eight times per year.

## 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 work health and safety; and monitoring organisational health levels through unscheduled absence and staff turnover metrics.

The People Committee meets up to eight times per year.

## Major Programs Board

The Major Programs Board (formerly the Business Improvement Oversight Program Board) reports to the Executive Committee to provide whole-of-portfolio oversight of programs and projects, and strategic advice and direction within organisational priorities for business improvement projects and enabling activities.

The Major Programs Board provides strategic oversight of all projects and programs of work, as well as interdependent and enabling activities.

The Major Programs Board meets up to eight times per year.

## 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 reports the number and types of disclosures to the Commonwealth Ombudsman annually.

## Code of Conduct

During 2019–20, CASA revised its Values and Code of Conduct and associated procedures, in consultation with staff.

The Code of Conduct outlines the standard of behaviour expected of CASA employees. It is promoted to new employees during their orientation and is covered in online training for all staff.

During 2019–20, two Code of Conduct allegations were referred for further investigation. Both matters were finalised, resulting in five employees being found in breach of the Code of Conduct and three employees receiving formal reprimands.

Managers continue to resolve lower level workplace issues through the Performance and Communication Scheme, alternative dispute resolution methods or communication to raise awareness of appropriate behaviour in the workplace.

Table 5 provides details of investigations in the past three financial years.

**Table 5 Code of Conduct investigations, 2017–18 to 2019–20**

Detail	2017-18	2018-19	2019-20
Investigations commenced	6	7	2
Investigations finalised	7	6	2
Investigations ongoing at 30 June	0	1	0
Employees who breached the Code of Conduct	6	5	5
Non-financial sanctions	1	2	3
Terminations	4	1	0
Financial sanctions	1	2	0

**Note:** One investigation was carried over 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 1988* 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, along with its fraud control and integrity plan, 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 their employment, including on commencement, following a change of circumstance (such as a 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 identified conflicts 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 must complete online fraud awareness training within three months of commencing their employment and at regular intervals thereafter.

*CASA's Fraud Control and Integrity Plan 2019–2021* has been endorsed by the Board Audit and Risk Committee. The plan is aligned with the Commonwealth Fraud Control Framework.

CASA did not investigate any matters of alleged internal fraud in 2019–20. A number of minor irregularities, primarily involving the inadvertent misuse of CASA corporate credit 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 Australian Federal Police or 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 the organisation to achieve its corporate goals.

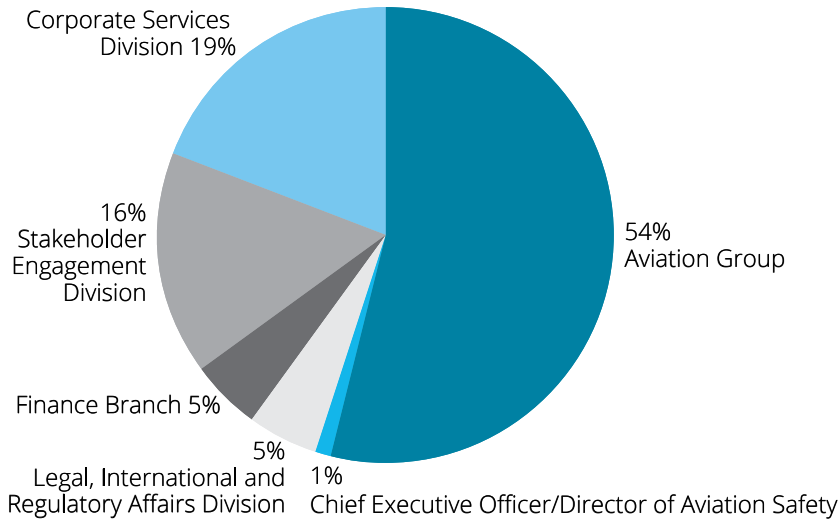
## Staffing

At 30 June 2020, CASA had 857 employees, including 59 non-ongoing employees (including casuals) and 14 inoperative staff – that is, staff on long-term leave for maternity or paternity reasons or staff on unpaid leave.

Tables B.1 to B.6 in Appendix B show details of employee numbers by classification and location, gender, and full-time/part-time.

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 2020**





## Unplanned absences

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

In 2019-20, CASA employees used an average of 10.9 days of unscheduled leave per full-time employee. This is slightly below the APS average, as shown in Table 6. Most absences were taken as sick leave (76 per cent) or carers leave (21 per cent).

**Table 6 Unplanned absence rates, 2017-18 to 2019-20 (days per FTE)**

Financial year	CASA	Australian Public Service
2017-18	11.3	11.4
2018-19	10.8	11.4
2019-20	10.9	Not available <sup>a</sup>

FTE = full-time equivalent staff member

<sup>a</sup> The Australian Public Service average for 2019-20 will be published in late 2020.

## Staff turnover

In 2019-20, 73 ongoing employees separated from CASA. The ongoing employee separation rate was 7.2 per cent. As shown in Table 7, this is slightly higher than the 2018-19 rate of 6.9 per cent.

The primary reasons for separation in 2019-20 were resignation (34 per cent), resignation and transfer to an APS agency (27 per cent) and termination of excess employees (21 per cent).

**Table 7 Staff turnover, 2017-18 to 2019-20 (%)**

Financial year	CASA	Australian Public Service
2017-18	10.5	7.3
2018-19	6.9	9.0
2019-20	7.2	Not available <sup>a</sup>

<sup>a</sup> The Australian Public Service average for 2019-20 will be published in late 2020.

## 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

Key achievements that shaped and supported our diverse and inclusive workplace in 2019-20 included:

- reviewing our statements of commitment to a diverse and inclusive workplace through our employee value proposition, policy directives and work-based tools that influence and shape our culture, conduct and work-based interactions with each other and our stakeholders
- providing cultural appreciation training, to enable 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 peoples and communities. The program was completed by 100 staff nationally
- implementing cultural appreciation training as an ongoing, business-as-usual training program
- building workforce preparedness for people with disability by collaborating with the Australian Network on Disability to educate and support our workforce to understand and positively engage with people with disability
- building diversity and inclusion principles into our development programs for CASA's leaders and emerging leaders
- fulfilling CASA's ongoing commitment to affirmative recruitment measures through entry-level programs that work towards our diversity targets

- continuing to develop our employees' awareness and understanding of the benefits of a diverse workforce and inclusion, through renewed training programs and a calendar of events designed to highlight topical issues from a personal perspective to meaningfully engage and inform our staff
- engaging and working with our Aboriginal and Torres Strait Islander employees to provide opportunities to influence and participate in CASA's policies and programs, through the Reconciliation Action Plan Working Group and the CASA Aboriginal and Torres Strait Islander Employee Network.

Through their support of the inclusion strategy and contribution to events held during the year, CASA's Executive Diversity Champions – Indigenous Champion Jonathan Aleck, Disability Champion Graeme Crawford and Gender Champion Chris Monahan – continued 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.

While the COVID-19 pandemic impacted CASA's ability to deliver the flagship diversity and inclusion awareness campaigns scheduled for early 2020 through face-to-face delivery methods, it did not prevent the campaigns from going ahead and engaging staff in creative ways.

### Key activities

On 11 July 2019, the CASA Aboriginal and Torres Strait Islander Employee Network hosted NAIDOC celebrations in Brisbane. The event acknowledged the 2019 theme, 'Voice. Treaty. Truth. Let's work together for a shared future.' The celebrations included dance performances from the Tribal Aboriginal Experiences dance troupe and Torres Strait Islander dance

group Malu Kiai Mura Bau, along with a keynote speech from Shannon Ruska, a descendant of the well-known figure King Sandy of Brisbane. All staff were invited to participate via videoconference.

On 16 October 2019, CASA staff from across Australia attended the 15th Annual Women in Aviation/Aerospace Australia Melbourne Summit. The summit focused on how both men and women can encourage more women to study and consider careers in science, technology, engineering and mathematics.

On 19 November 2019, CASA celebrated International Men's Day for the first time, with a special event featuring Lieutenant General (Retired) David Morrison AO, Chair of Diversity Council Australia, who spoke on the theme of 'Men leading by example'.

On 3 December 2019, CASA celebrated International Day of People with Disability, with a panel discussion and question and answer session featuring three disability advocates: Major Glenn Todhunter, Scott Grimley and Julie Robertson. The panel members shared their views on creating inclusive workplaces for people of all abilities and the role that CASA can play in promoting an inclusive environment.

On 5 March 2020, CASA held its International Women's Day event with Trish Bergin, Co-Director of the 50/50 by 2030 Foundation, speaking to staff about flexible working practices for both men and women, why workplace diversity targets are important, and the need for gender equality in leadership. CASA staff from across the regions also attended the annual International Women's Day Leadership Panel.

On 20 March 2020, CASA celebrated Australia's multiculturalism and reflected on our nation's various cultures and backgrounds, on Harmony Day. Instead of gathering and sharing food as in previous years, staff were encouraged to take a picture while wearing something orange

and holding a Harmony Day poster with their own completed version of the sentence 'Our Diversity makes this a great place to work, because ...'.

On 6 May 2020, the Australian Network on Disability delivered a lunch-and-learn webinar to provide practical advice and guidance to enable managers and staff to feel prepared to attract, select and retain employees with disability, through mutual respect, understanding and commitment to reasonable adjustment. The webinar was recorded and made available on the intranet to enable staff to access it as an ongoing resource.

On 18 May 2020, to reflect the diversity of sexuality and gender among our workforce, CASA celebrated IDAHOBIT, the International Day Against Homophobia, Biphobia, Intersexism and Transphobia. CASA employees were invited to access a range of short video clips to build a greater understanding of what it means to be transgender and ways to support trans people. Staff also showed their support by displaying rainbow-themed decorations at home or in the office. National Reconciliation Week

is celebrated nationally each year from 27 May to 3 June. The theme for National Reconciliation Week 2020 was 'In this together'. To mark the occasion, CASA encouraged staff to take the opportunity to experience or revisit inspiring and influential stories through Aboriginal and Torres Strait Islander films and literature, and to share their personal stories of engaging with Aboriginal and Torres Strait Islander stories and culture with their colleagues.



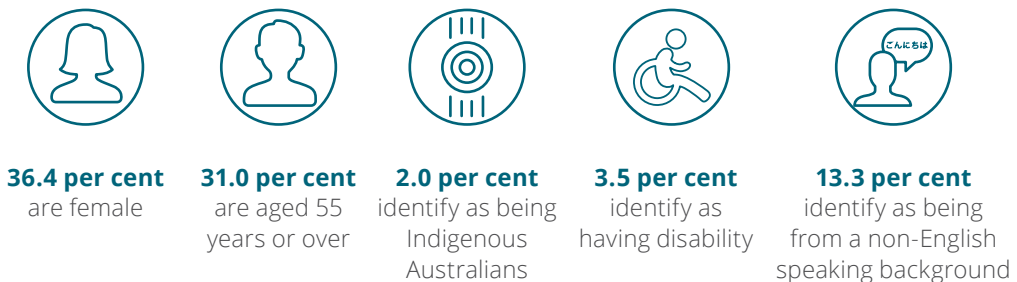
L to R: Major Glenn Todhunter, Shane Carmody, Julie Robertson, Graeme Crawford and Scott Grimley at the International Day of People with Disability celebration. © Civil Aviation Safety Authority

## Diversity profile

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

Table 8 shows that the diversity of CASA's workforce improved in 2019-20.

**Figure 12 Diversity groups in CASA's workforce at 30 June 2020**



**Note:** Percentages are proportions of CASA's ongoing workforce, except for females, who are reported as a proportion of all employees (ongoing and non-ongoing).

**Table 8 Diversity groups in CASA's workforce at 30 June, 2018-19 and 2019-20 (%)**

Diversity groups	2018-19	2019-20
Female	36.1	36.4
Aged 55 years or over	30.1	31.0
Indigenous Australian	1.4	2.0
Identify as having disability	2.7	3.5
Non-English speaking background	12.0	13.3

## Staff training and development

The highlights of CASA staff training and development activities in 2019-20 included:

- transitioning to a new learning management system
- implementing virtual classroom training
- commencing the redevelopment of foundation training for new regulatory staff
- developing training to support remotely piloted aircraft systems accreditation.

## Management

During 2019-20, CASA transitioned to a new learning management system, providing greater functionality and capabilities for delivering training to CASA staff and industry. The new system introduces capability for new delivery methods, improved reporting and a more intuitive user interface.

CASA also implemented virtual classroom training in response to COVID-19 physical distancing requirements. This has enabled a mix of training solutions to be used, improved efficiency and increased flexibility in the delivery of training.

CASA also changed its online learning contract from Lynda.com to LinkedIn Learning, as part of an upgrade of the existing online courses available to assist CASA staff to improve their business, creative and technology skills.

## New content

Using an agile development process, CASA developed 11 face-to-face, 28 e-learning and six blended courses in response to organisational training requests.

CASA commenced a redevelopment of the Foundation Training Program to increase the focus on regulatory skillsets for inspectorate staff. CASA is also working with other government agencies to initiate the development of a new national regulatory qualification, which could be awarded to staff who complete CASA internal training.

CASA developed training on assessing outcome-based legislation and began to deliver it to all regulatory staff within CASA, in preparation for the implementation of the new flight operations regulations which commence during 2021-22.

CASA also developed remotely piloted aircraft systems accreditation training, in preparation for accreditation to commence in September 2020.

The Flight Examiner Rating Course for industry personnel was redeveloped to update content and enable a better learning experience for participants.

## Delivery

During 2019-20, CASA staff:

- completed 1,325 classroom training sessions and 9,337 e-learning sessions delivered by CASA
- completed 454 courses and accessed 17,509 training videos online through LinkedIn Learning.

Aviation industry personnel completed 13,089 e-learning training sessions delivered through CASA's AviationWorx portal.

Table 9 shows staff training and professional development activities for CASA employees from 2017–18 to 2019–20 and highlights the shift away from the classroom-centric approach to training.

**Table 9 Staff training and professional development per employee, 2017–18 to 2019–20**

Financial year	Classroom-based courses				E-learning <sup>a</sup>	
	Regulatory and technical training		Professional development		Courses	Participants
	Courses	Participants	Courses	Participants		
2017–18	37	760	32	1,068	26	3,312
2018–19	31	1,062	14	822	47	4,975
2019–20	20	835	10	490	62	9,337

<sup>a</sup> E-learning data do not include Lynda.com or LinkedIn Learning.

## Workplace agreements

CASA employees are employed under the powers vested in the Director of Aviation Safety by the *Civil Aviation Act 1988*.

The terms and conditions of most CASA employees continue to be provided under the CASA Enterprise Agreement 2016–19, which nominally expired on 16 November 2019. As an alternative to bargaining a new enterprise agreement, with support from staff, the Chief Executive Officer/Director of Aviation Safety issued a Determination to provide for remuneration increases over three years, effective from 17 November 2019.

The Australian Government decided that APS departments and agencies would place a six-month pause on remuneration increases. On 15 April 2020, the Chief Executive Officer/Director of Aviation Safety issued a replacement Determination deferring remuneration increases due on 17 November 2020 until 17 May 2021, recognising the impact of COVID-19 on Australians.

There were no remuneration increases in 2019–20 for CASA employees employed under individual contracts.

At 30 June 2020, 96 per cent of CASA employees were employed under the enterprise agreement and four 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 was expanded in 2019–20 to include an annual Leadership Award. In November 2019, CASA changed the title and criteria for the Diversity Champion's Award to create the Inclusion Award, to promote, more broadly recognise and celebrate inclusive workplace behaviours.

The scheme now recognises outstanding staff contribution and achievement in six categories:

- annual awards – Australia Day Achievement Award, Director of Aviation Safety Achievement Award, Inclusion Award, and Leadership Award
- biannual awards – Above and Beyond Award and Innovation and Continuous Improvement Award.

Table 10 lists the 2019–20 award recipients as determined by the Executive Committee.

**Table 10 Employees recognised under the CASA Award Scheme, 2019–20**

<b>Award</b>	<b>Recipient(s)</b>	<b>Group/Division/Branch</b>
<b>Director of Aviation Safety Achievement</b>	Christopher De Luis Peter Marsh Richard Stocker	Aviation Group
<b>Above and Beyond</b>	Libby Corby Quyên Vo	Corporate Services Division
	Kylie Ceely	Finance Branch
	Michelle Harris Skye Harris Andrew Scargill	Stakeholder Engagement Division
	Peter O’Keeffe	Legal, International and Regulatory Affairs Division
	Mike Juelg David Punshon Rob Wight Ludo Dierickx Jaclyn Smith Andrew Ward Craig Brown David Cussons Ashley McAlpine Des McCarthy	Aviation Group
<b>Innovation and Continuous Improvement</b>	Sharon Marshall-Keefe Jaclyn Smith	Aviation Group
	Isobel Kimball	Finance Branch
	Thilini Hewawasam Gemma Cajina James Offer James Taylor Emma Annan Simon Gojkovic Carly Monahan Noni Murphy Joshua Ryan	Corporate Services Division
	Bella Jackson Simon Rutledge Andrew Sillis	Stakeholder Engagement Division

Award	Recipient(s)	Group/Division/Branch
Australia Day Achievement	Mike Cristiano Lauren Grant Owen Lange	Corporate Services Division
	Stephen Fickling Melissa Hamilton	Stakeholder Engagement Division
	Ming Li	Legal, International and Regulatory Affairs Division
	Simon Adamson Graham Levitt Lynda O'Reilly Alan Shore Scott Watson	Aviation Group

CASA also recognises the achievements and commitment of employees when they reach five-yearly milestones of service

with CASA. In 2019–20, 16 employees achieved 20 years' service or longer, as shown in Table 11.

**Table 11 Recipients of CASA milestone awards for service of 20 years or more, 2019–20**

Length of service	Employees
20 years	Ekrem Aceruzumoglu, Adam Anastasi, John Flannery, Natalie Johnson, Kelvin Morton, Julie Parkinson, Andrew Ward, Benjamin Wilson
25 years	Carolyn Dempster, Peter Goodwin, Trudy Holmes, Noel Saffery, Lance Thorogood, Michael Vytilingham
30 years	Toni Guenther, Giuseppe Silvestro

## WORK HEALTH AND SAFETY

The *CASA Work Health and Safety Strategy 2019–2022* sets out the strategic direction to achieve our commitment to work health and safety (WHS) as outlined in CASA's WHS policy and as required under the *Work Health and Safety Act 2011*.

The strategy sets out the following vision and mission, developed in consultation with CASA's WHS representatives:

- Vision: a safe workplace for all.
- Mission: together, we provide a workplace for all workers that ensures their physical and emotional wellbeing.

## Key areas of focus

The CASA implementation plan for the *CASA Work Health and Safety Strategy 2019–2022* underpins the ongoing development, review and implementation of key activities to safeguard the health, safety and welfare of CASA's workers.

During 2019–20, CASA's strategic priorities focused on enhanced staff wellbeing; collaboration and consultation; and continuous improvement of the WHS management system.

## Consultation

CASA continues to use a work group structure to facilitate effective communication and consultation across regions. CASA achieved its goal to run quarterly consultative forums in all work groups, as well as quarterly National Health and Safety Committee meetings,



ensuring a robust feedback mechanism for workers at the local and national levels.

WHS representatives' forums were also held to ensure that worker representatives had additional opportunities to discuss the concerns of their work group members in relation to bushfire smoke in late 2019 – early 2020 and the COVID-19 pandemic in mid-2020.

Extensive resources, information, communications and physical control measures were implemented to support and protect CASA staff during the bushfires and the onset of the COVID-19 pandemic. Dedicated planning and implementation teams were assigned to manage the work required to provide this support to all CASA staff.

### Alcohol and Other Drugs Program

CASA's Alcohol and Other Drugs program provides and maintains a safe and healthy workplace for all workers, free from the effects of alcohol and drug misuse.

During 2019–20, random testing was conducted across CASA's safety sensitive positions, including staff performing aviation activities such as flight training or flight examinations. Tests were conducted at sites in Adelaide, Brisbane and Perth (one testing session each) and Canberra (two testing sessions). Testing was suspended on 20 March 2020 due to risks associated with COVID-19 and will recommence in 2020–21.

### Psychosocial Safety Climate Program

To support psychosocial wellbeing, CASA has partnered with the University of South Australia to implement the Psychosocial Safety Climate Program in CASA.

Psychosocial safety climate is a concept developed by the university's Centre for Workplace Excellence. It refers to an organisation's climate for psychological health, and concerns the priorities,

policies, practices and procedures an organisation has to prevent stress and psychological harm.

The program consists of a survey to evaluate factors such as job demands, job resources and support and health outcomes, followed by workshops to understand the survey findings and develop initiatives to address relevant issues. The intention was to provide the survey to staff in 2019–20, but the timeline was adjusted due to the impact of COVID-19. CASA expects that the survey will be undertaken in August 2020.

### Review of the work health and safety risk register

A review of the CASA WHS risk register was undertaken in 2019–20 to improve alignment of the register to the CASA risk management framework and revised CASA risk matrix. The direct translation of risk ratings from the previous to the current risk matrix reduced the risk ratings for four of the flying operations risks. The four ratings changed from high to low. All other risk ratings within the register remained the same. Consultation will confirm risk ratings.

All risk statements contained in the register were reviewed, to:

- identify the hazards and clearly differentiate them from the risk statements
- consider changes to business operations to eliminate identified risks or introduce new hazards
- identify the risk mitigation strategies that have been implemented and whether they have been effective in controlling the hazards, then change them to current controls
- review each risk rating, considering the changes to the CASA risk management framework.

Consultation on the updated register will be finalised in 2020.



## Training and activities

CASA's strong commitment to WHS training continued in 2019–20. Mandatory training modules were promoted and monitored to ensure that they were completed by the target staff, in the following areas:

- an introduction to WHS in CASA
- WHS duties of officers and workers
- Beyond Blue mental health training for supervisors and managers
- first aid training for staff working in remote locations
- airside safety awareness for staff working airside.

During 2019–20, the following WHS topics were actively promoted and included in news articles, posters and screen savers:

- respiratory health in response to the national bushfire crisis
- hygiene, health and safety in response to COVID-19
- men's health matters aligned with Men's Health Week.

Table 12 summarises the results of other key activities that contributed to WHS in CASA.

**Table 12 Results of work health and safety activities, 2019–20**

Activity	2019–20
Employees who participated in the seasonal influenza vaccination program	471
Employees who had an individual workstation assessment	96 <sup>a</sup>
Employees who were provided with case management support to stay at work or return to work safely while addressing significant personal or health issues	16
Employees who accessed early intervention assistance for work-related illness or injury	10
Incidents notified by employees	38
Hazards notified by employees	31
Employees and family members who accessed the employee assistance program	49
Operational employees who attended a hearing assessment	232
Operational employees working in remote areas who completed first aid training	177

<sup>a</sup> Thirty-four workstation assessments were home-based assessments.

## Actions and investigations

In 2019–20, CASA had one notifiable incident, related to a fall and hospitalisation which occurred as part of a work-from-home arrangement during the COVID-19 pandemic. It was reported to Comcare as a notifiable incident. The incident was finalised by Comcare and no further action was recommended.

## Workers' compensation

CASA's 2019–20 workers' compensation premium rate was 0.40 per cent of the 2019–20 payroll. This is a decrease from 0.52 per cent in 2018–19 and lower than the average premium rate of 0.85 per cent for all APS agencies.

## Early intervention

The trial of an early intervention assistance program that CASA implemented in January 2019 was extended to March 2020. Between July 2019 and March 2020, 10 applications were received and approved. In May 2020, the Early Intervention Assistance Program became an ongoing program under CASA's Rehabilitation Management Procedures and Rehabilitation Directive.

## Claims

Two claims for workers' compensation were lodged in 2019-20, one for a psychological injury and one for a physical injury. Both claims were accepted by Comcare prior to 30 June 2020. This was less than the eight claims lodged in 2018-19.

## EXTERNAL ENGAGEMENT

Effectively consulting and communicating with the aviation industry and the wider aviation community, in Australia and overseas, are key elements of CASA's corporate goals and responsibilities under the *Civil Aviation Act 1988*.

## Community engagement

Under section 9(2)(b) of the *Civil Aviation Act 1988*, 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 2019-20, CASA's Facebook following increased by 3,385 followers to reach 48,767 followers on 30 June 2020. However, LinkedIn experienced the highest growth, with the number of followers increasing by 15,976 to 33,139. Twitter followers increased to 13,121. CASA's YouTube channel experienced 29 per cent growth, with an increase of 1,346 subscribers to 5,927 subscribers. In total, the CASA social media channels experienced a combined audience growth of 31 per cent.

The top post during 2019-20 related to asking drone operators not to fly their drones in or near bushfires. The post reached 642,895 people on Facebook with 51,610 engagements and 9,617 reactions, comment and shares. It was also the top Twitter tweet, with 45,422 impressions and 1,187 total engagements.

In December 2019, CASA launched a new Facebook page: a dedicated source of information for people who fly drones for fun. It was part of the broader Know Your Drone campaign which was developed for new and emerging recreational drone flyers. The content focused on safety, with an emphasis on education and improving operators' capabilities, rather than enforcement and penalties. Since it launched, the page has garnered more than 5,160 followers and 4,765 likes. Paid and organic content achieved more than 694,362 engagements, 33.5 million impressions (33.0 million paid and 468,932 organic) and 4.6 million video views (4.5 million paid and 53,051 organic).

Drone-related content across the CASA website allows users to rate the helpfulness of the information provided, using a 'yes' or 'no' rating. Throughout 2019–20, 796 ratings were received and 79 per cent of respondents said the information was helpful.

The CASA Consultation Hub, established in 2017, supported 48 consultations and feedback surveys during 2019–20, with a total of 4,776 responses. The hub also functioned as a key communication channel, attracting 247,675 unique visitors during the year.

A feedback survey on CASA's flagship aviation safety magazine, *Flight Safety Australia*, opened on 24 June 2020 and attracted 783 responses by 30 June 2020. The survey invited feedback on the online and print editions of the magazine. Results will be analysed after the survey closes on 12 July 2020.

A feedback survey on the myCASA portal received 490 responses, the second-highest number of responses of all surveys conducted through the hub in 2019–20, followed by consultation on the maximum take-off weight increase for aeroplanes managed by an approved self-administering aviation organisation, which received 408 responses.

## Magazine

*Flight Safety Australia*, CASA's flagship publication, is a highly regarded source of credible and informative coverage of aviation safety.

The print edition of *Flight Safety Australia* was discontinued in 2013–14 when the magazine was relaunched online. In 2019–20, *Flight Safety Australia* returned to print, with more than 2,500 readers subscribing in the first year. The move came after respondents to a 2018 feedback survey said they really wanted the print edition to return and were prepared to pay a subscription fee to have it delivered.

The print magazine has 64 pages inclusive of features, news, in-depth analysis and photography, on a wide range of topics by expert contributors from the aviation community.

Feature stories in 2019–20 were a mix of wide-ranging 'big picture' safety topics, practical guidance for general aviation and recreational pilots, reviews of technological developments, and re-examinations of historic accidents through the lens of modern safety thinking.

A new 'crash comic' segment told the popular close call stories submitted by readers in a new way – as a comic book style picture narrative.

Other articles covered issues such as drone safety, cabin safety, ground handling, maintenance, runway incursions, animal strike management, use of virtual reality in training, and helicopter flight dynamics.

The online edition also includes topical news and unique digital-only content, including safety videos and audio recordings of 'close calls'. Readers can engage with peers from the aviation community by liking, sharing or commenting on the articles at [flightsafetyaustralia.com](https://flightsafetyaustralia.com).

During 2019–20, the online edition experienced 247,675 unique visitors and 439,546 unique page views, with 3,143 readers subscribing to receive alerts each time new content is published.

CASA's Facebook and LinkedIn pages continued to be highly effective in promoting the magazine's comprehensive aviation safety coverage.

## E-newsletter

Each month, CASA produces an e-newsletter, *The CASA Briefing*, which is distributed to more than 11,000 subscribers. Most subscribers are people working in the aviation industry, while others have a general interest in aviation.

Subjects covered in 2019–20 included CASA's response to the COVID-19 pandemic, the completion of the flight operations regulations, consultation on key initiatives such as the weight increase for recreational aviation, improvements in online services, and finalisation of the new fatigue rules.

In addition, a monthly Know Your Drone e-newsletter was distributed to more than 25,000 recipients, including more than 15,000 drone operators. It is estimated that the e-newsletter has generated more than 50,000 visits to drone-related content on the CASA website since it commenced in December 2019.

CASA also communicated widely with the aviation community and general public through 351 targeted bulk emails during the year.

## Webinars and seminars

Our team of Aviation Safety Advisors delivered 163 face-to-face aviation safety seminars and 546 on-site visits around Australia, reaching more than 5,134 industry members. Unfortunately, a further 49 seminars were deferred or cancelled due to the COVID-19 pandemic.

The 2019–20 seminars explored the theme of *Enhancing pilot skills – Expect the unexpected*, covering three key safety topics: pre-flight planning; aeronautical decision-making; and use of checklists. Its content tied in with an ATSB campaign to promote the use of checklists.

Following the release of an ATSB investigation report into the in-flight breakup of a Cessna 210 in Darwin in 2017, CASA held two *Flying in the wet season* aviation safety seminars in Darwin and Cairns.

The seminars were delivered jointly by CASA presenters and the ATSB investigator in charge of the investigation. They covered many of the unique hazards and risks that need to be managed by pilots flying in northern Australia during

the wet season. The seminars attracted significant interest, with 135 pilots and operators attending in Darwin and 35 in Cairns.

A condensed version of the *Enhancing pilot skills in a dynamic environment* seminar was broadcast on YouTube and uploaded to LinkedIn to extend its audience reach. The recording of the broadcast has been watched more than 1,053 times on YouTube and achieved 2,456 impressions on LinkedIn.

In December 2019, CASA hosted a live, interactive webinar for industry and software developers interested in applying to connect to the remotely piloted aircraft systems digital platform, which was developed and introduced by CASA. Software developers can use data provided by the digital platform to create third-party mobile and web-based apps, to help show drone operators where it is safe and legal to fly a drone in Australia. The webinar had 89 registered participants from Australia and overseas, with 40 attending the live 60-minute broadcast and question and answer session, where 39 questions were answered by the host. A further 30 participants viewed the recorded session on demand following the live broadcast. As a result, three new drone safety apps were released in March 2020.

## Roadshows

During 2019–20, CASA hosted two national roadshows as a key communication tactic, to support:

- the proposed policy for continuing airworthiness management and maintenance for future air transport operations
- the aviation community's transition to the new fatigue rules.

On 2–17 December 2019, seven two-hour information sessions were delivered to 240 individuals representing Civil Aviation Regulations Regulation 30 organisations, Civil Aviation Safety Regulations (CASR) Part 145 approved maintenance

organisations, and charter operators. It was an opportunity for air operators and maintenance organisations to hear firsthand the details of the proposed policy changes prior to the opening of the public consultation.

The information sessions were held in Darwin, Brisbane, Cairns, Melbourne, Adelaide, Perth and Sydney.

On 10–19 March 2020, six two-hour information sessions were delivered to support the aviation community's transition to the new fatigue rules.

Approximately 220 industry members registered for the six information sessions, with 168 individuals attending, representing a mix of sectors including regular public transport, charter, flight training, aerial work, mustering, medical air transport, hot air balloons, defence support, parks and wildlife services, scenic tours and freight operations.

The information sessions were held in Brisbane, Cairns, Sydney, Adelaide, Perth and Darwin. Travel restrictions related to COVID-19 prevented the final two information sessions, planned for Melbourne and Hobart, from taking place. To ensure that registered participants from the cancelled sessions were not disadvantaged, a summary of the information session was developed and made available on the CASA website.

## 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 2019–20 were published on CASA's website and can be accessed at [casa.gov.au/newrules](https://casa.gov.au/newrules).

## Aviation Safety Advisory Panel

The Aviation Safety Advisory Panel 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 working groups.

In February 2020, two new members, Mr Mark Thompson, Technical Training Manager at Aviation Australia, and Mr Stuart Aggs, Chief Operations Officer at Virgin Australia, joined the panel, bringing a wealth of experience in high-capacity air transport operations, and maintenance and engineering.

Two people attended their final meeting on 11 June 2020: Mr Jim Davis, Chair of the Regional Aviation Association of Australia, and Mr Michael Monck, Chair of Recreational Aviation Australia. As inaugural members of the Aviation Safety Advisory Panel, they were integral to the success of the panel by providing high-level and objective advice drawing on their many years of valuable experience in the aviation industry.

The independent Chair, Honorary Professor Patrick Murray, industry members Mr John Gissing, Dr Reece Clothier, Ms Adrienne Fleming OAM and Captain Ray Cronin, 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. They are coordinated and facilitated by CASA.

In February 2020, these state-based forums transitioned to an online platform via new consultative website, [avsef.gov.au](https://avsef.gov.au).

The website meets the previous objectives of these meetings, supporting the communication and publication of information and proposals relating to airspace, procedures and other regional and national matters, while creating an automated, cost-effective repository for papers and consultations.

The website was initially intended to be trialled as part of an evolution of the forums. As a result of restrictions arising from the COVID-19 pandemic, the website is now being used to support all regional consultation matters.

### **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 attended two meetings in 2019–20 (some scheduled meetings were cancelled due to the COVID-19 pandemic).

## **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. CASA works with other government agencies to facilitate cooperation.

### **Aviation Policy Group**

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

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 three times during 2019–20, including one meeting held via teleconference as a result of COVID-19 restrictions. A fourth meeting was cancelled.

### **Aviation Implementation Group**

The Aviation Implementation Group is an interagency forum chaired by the Department of Infrastructure, Transport, Regional Development and Communications 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. It supports the Aviation Policy Group in implementing cross-agency strategies.

The group met four times during 2019–20, including one meeting held via teleconference as a result of COVID-19 restrictions.

## Australian Transport Safety Bureau

The relationship between CASA and the ATSB is governed, in part, by a memorandum of understanding (MOU) that was first signed in February 2010 and 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 ATSB Liaison Office acts as a conduit between CASA and the ATSB to ensure that accident and incident report findings, safety issues and recommendations are appropriately considered and responded to by CASA in accordance with agreed working arrangements, the ATSB–CASA MOU and the *Transport Safety Investigation Act 2003*.

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. 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. 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 1988* 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.

CASA's international commitments are threefold:

- engaging with ICAO, primarily through a tripartite policy approach in partnership with Airservices Australia and the Department of Infrastructure, Transport, Regional Development and Communications
- establishing, reviewing and improving on bilateral and multilateral arrangements with counterpart regulatory agencies and countries to streamline industry standards and requirements
- strengthening aviation safety in the Asia-Pacific region.

## International Civil Aviation Organization

Australia is one of 193 signatory States to the 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 established in accordance with arrangements endorsed by all ICAO Member States.



Australia sits on the governing ICAO Council and is one of 11 elected States of chief importance in air transport.

### Australian participation

Responsibility for Australia's participation in ICAO is shared under a tripartite arrangement with Airservices Australia and the Department of Infrastructure, Transport, Regional Development and Communications, to ensure an informed, coordinated and consistent policy approach. The three parties sponsor the Australian Permanent Mission to the ICAO office in Montreal, Canada, through which Australia's liaison with ICAO and the coordination of our contribution to ICAO's activities are directed.

### 40th ICAO Assembly

The 40th ICAO Assembly was held in Montreal, Canada, from 24 September to 4 October 2019.

Attended by 184 ICAO Member States and 56 international organisations involved in civil aviation, the assembly considered 640 working papers across 52 agenda items. Australia was re-elected to the ICAO Council as a State of chief importance in air transport.

Australia's key objectives at the ICAO Assembly were achieved. For CASA in particular, this included:

- considering new competencies for safety inspectors
- encouraging compliance with ICAO Annex 19: Safety Management, including through regional cooperation and targeted guidance for the development of relevant and effective State safety programs, especially for States with small aviation systems
- strengthening the focus on the Pacific, consistent with the Beijing Declaration, and taking forward ICAO's Pacific Small Island Developing States – Aviation Needs Analysis (PSIDS Study)

- recognising the outcomes of the inaugural Civil Aviation Legal Advisers Forum
- continuing the work of the Group of Experts for a Universal Safety Oversight Audit Programme Structured Review
- improving key policies identified in an executive summary of the Global Air Navigation Plan, with the most recent version being adopted by the assembly
- improving implementation of the Global Aeronautical Distress and Safety System
- encouraging new technology and innovation
- advancing initiatives that support women's participation in aviation.

CASA's Chief Executive Officer/Director of Aviation Safety hosted a number of meetings with counterparts, including leaders from Canada, Indonesia, New Zealand, the Pacific Islands, Singapore, Sweden and the United Kingdom. Along with CASA's Executive Manager Legal, International and Regulatory Affairs, the Chief Executive Officer/Director of Aviation Safety also participated in discussions hosted by the International Air Transport Association on the return to service and certification of the Boeing 737 MAX aircraft.

### Pacific Small Island Developing States – Aviation Needs Analysis

During the 40th ICAO Assembly, Australia called for further support for States to implement Standards and Recommended Practices in the areas of safety, air navigation capacity and efficiency, especially given the challenging demographic and operational conditions of small island States in the Asia-Pacific region.

The PSIDS Study was delivered by ICAO in late 2019. CASA participated in consultation meetings in Nadi, Fiji, in September 2019.



The study resulted in recommendations for the Pacific Islands Forum, Pacific Islands States and ICAO. Among the key recommendations accepted by the ICAO Council, ICAO will establish a liaison officer position to be based in the Pacific and an assistance coordination platform will be established for Pacific Islands States.

### ICAO global response to COVID-19

The ICAO Council adopted a declaration in March 2020 relating to the outbreak of COVID-19. The declaration affirmed the urgent need to reduce the public health risk of the spread of COVID-19 by air transport and protect the health of air travellers and aviation personnel.

The Council Aviation Recovery Taskforce (CART) – a high-level group involving a mix of industry leaders and State representatives aimed at restarting the international air transport system and aligning its global recovery – delivered recommendations and ‘Take-Off’ guidance. Australia’s representative on the ICAO Council was a member of the CART.

CASA is also represented on the ICAO APAC COVID-19 Contingency and Recovery Planning Group. This group focuses on the recovery of the Asia-Pacific aviation sector in terms of financial, facilitation and health-strengthening mechanisms.

### 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 56th DGCA Conference was held in Kathmandu, Nepal, on 19–23 August 2019, with the theme of ‘Harmonising efforts to meet capacity constraints’. CASA’s Chief Executive Officer/Director of Aviation Safety led the Australian delegation to the conference.

Delegates discussed the regional commitment to the Beijing Declaration, which sets aviation safety targets for the region, and considered the next steps for transport ministers to discuss at a meeting in New Delhi, India, planned for late 2020.

CASA’s Chief Executive Officer/Director of Aviation Safety moderated discussions on the aviation safety agenda item. Australia presented a discussion paper outlining the concept for regulatory approval of a commercial drone delivery service and co-authored a paper with New Zealand on a proportionate and risk-based universal safety oversight audit program continuous monitoring approach.

### 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.

As Chair of the RASG-APAC, CASA’s Chief Executive Officer/Director of Aviation Safety moderated discussions during the group’s ninth meeting, held in Bangkok, Thailand, in November 2019. Key discussions focused on ICAO’s Global Aviation Safety Oversight System, innovation, the identification and reporting of common challenges, and the Safety Information Monitoring System Ramp Inspections Data Sharing Project.

A workshop on developing national aviation safety plans was held at the same time and reported to the RASG-APAC. The RASG-APAC has adopted the Asia-Pacific Regional Aviation Safety Plan, which will assist States in the region with alignment to common goals and strategies.

## 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, supports a coordinated approach to regulation and reduces regulatory costs.

CASA participates 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.

### COVID-19 exemptions

CASA's existing relationships with counterparts continued to provide benefits during the significant challenges arising from the COVID-19 pandemic and supported open dialogue on regulatory exemptions and alleviations for industry.

At the core of CASA's domestic exemptions was the motivation to ensure reduced costs for industry during this time. CASA's international efforts focused on ensuring that the exemptions were acknowledged and accepted by other States, to maintain critical infrastructure and support the viability and integrity of supply chains globally.

Australia's stance on trade can be supported by CASA proportionally managing safety risks and encouraging aviation activity in the region. This may alleviate broader concerns within the United Nations system that border closures are shutting down the global air cargo supply chain, which could potentially hamper the distribution of emergency equipment globally.

## Engagement with aviation authorities

CASA participated in airworthiness and engineering training delivered by the United States Federal Aviation Administration (FAA). This opportunity built on the significant engagement with the FAA and others to consider the return to service of the Boeing 737 MAX.

CASA also continued to proactively engage and maintain positive working relationships with other key aviation authorities, including the European Union Aviation Safety Agency, Transport Canada, the Civil Aviation Authority of New Zealand, the Civil Aviation Authority of Singapore and others.

### Regional cooperation

The Australian Government's bilateral arrangements with Indonesia and Papua New Guinea on aviation matters form part of a whole-of-portfolio approach to capacity building which includes the Department of Infrastructure, Transport, Regional Development and Communications, Airservices Australia, the ATSB, the Australian Maritime Safety Authority and the Bureau of Meteorology.

In 2019-20, regional cooperation included activities focused on women in aviation and leadership skills, aviation medicine, and engagement at international forums such as the 56th DGCA Conference, the 40th ICAO Assembly and Safeskies.

Other capacity-building activities due to be delivered by CASA in Indonesia and Papua New Guinea under Australian Aid programs in 2019-20 ceased when COVID-19 impacted in-person delivery.



## PART

# 5

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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## 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

CASA prepared to appear at the Senate Rural and Regional Affairs and Transport Legislation Committee supplementary Budget estimates hearing on 21 October 2019 but was not required to appear.

CASA also prepared to appear before the Senate Rural and Regional Affairs and Transport Legislation Committee additional estimates hearing on 2 March 2020. CASA was not listed to appear when the final program was released.

Due to the impact of COVID-19, the planned Budget estimates call-back day in April 2020 did not occur.

CASA contributed briefing material for the Department of Infrastructure, Transport, Regional Development and Communications attendance at a Budget estimates spillover hearing on 9 June 2020.

During the reporting period, CASA responded to more than 50 parliamentary questions on notice.

## Regulator Performance Framework

The Regulator Performance Framework is an initiative of the Australian Government, setting a common set of performance measures for all Commonwealth regulators to allow for a high-level assessment of performance as a regulator and engagement with stakeholders.

The framework asks regulators to self-assess against six key performance indicators, and to seek external validation of the self-assessment as an avenue for stakeholders to provide feedback on whether the self-assessment results accord with their views of the regulator's performance. In 2020, CASA agreed to use the Aviation Safety Advisory Panel to provide the external validation, given the breadth of industry representation on the panel.

Due to the impact of COVID-19, CASA's Regulator Performance Framework report for 2018-19 was completed without external validation and published on the external website on 8 April 2020, within the deadline set by the Department of the Prime Minister and Cabinet. The Department of the Prime Minister and Cabinet was notified that CASA's report had not been externally validated.

## Judicial and administrative decisions

No judicial decisions or decisions of administrative tribunals in 2019-20 affected or may have a significant effect on CASA's future operations.

### Merits reviews and judicial reviews

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.10 to B.12 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.

CASA's legal costs for 2019-20 are outlined in Table B.21 in Appendix B.

## Investigations

During 2019-20, the Office of the Australian Information Commissioner conducted an investigation relating to a complaint that CASA had breached the *Privacy Act 1988* in disclosing information to the complainant's prospective employer. The matter was settled between CASA and the complainant on 2 April 2020, without the Office having to conclude its investigation.

In relation to a different person and matter, an investigation was initiated by the Commonwealth Ombudsman in relation to the role that the complainant in that matter alleged CASA had played in the termination of their employment. The investigation remained ongoing at 30 June 2020.

## 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 two coronial inquests in 2019-20. Coronial findings have been handed down in those matters and, in each case, the coroner made a number of recommendations to CASA concerning the conduct and regulation of skydiving activities.

Table B.13 in Appendix B provides details of coronial inquiries that involved CASA in each year from 2017-18 to 2019-20. Table B.14 refers to CASA's disposition of coronial findings related to CASA in 2019-20.

## Industry Complaints Commissioner

The Industry Complaints Commissioner (ICC) provides an accessible and transparent mechanism for 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 received

The ICC received a total of 86 complaints in 2019-20, including:

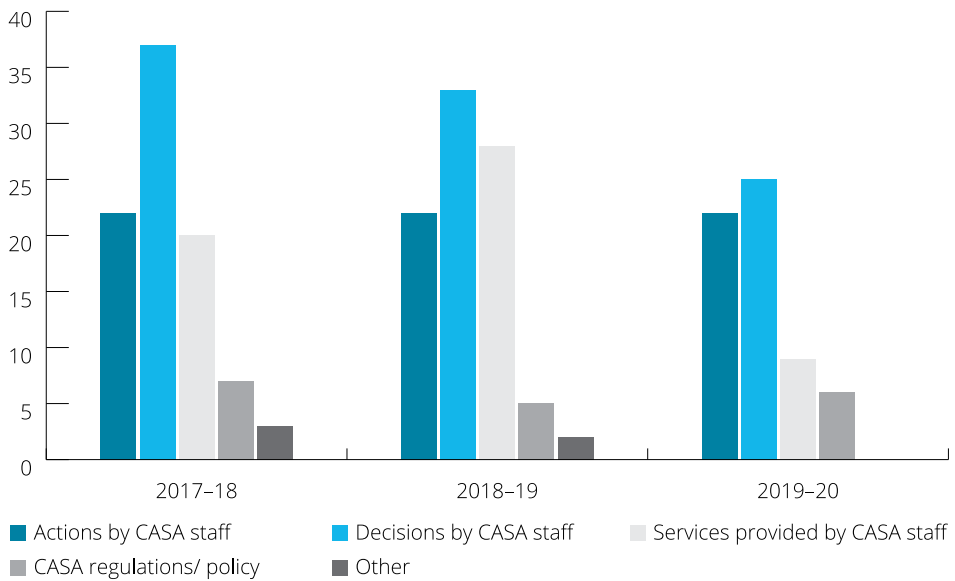
- 27 simple complaints, which were clearly outside the ICC's jurisdiction or not related to CASA

- 42 standard complaints, which represented the majority of cases received
- 17 complex complaints, which required expert advice, related to novel issues or presented a wide range of questions.

The volume of complaints was lower than the 2018-19 total of 148; however, the 2018-19 statistics were inflated by multiple complaints made by two individuals.

Figure 13 shows complaints received each year from 2017-18 to 2019-20 by the subject matter of the complaint.

**Figure 13 Complaints by subject matter, 2017-18 to 2019-20**

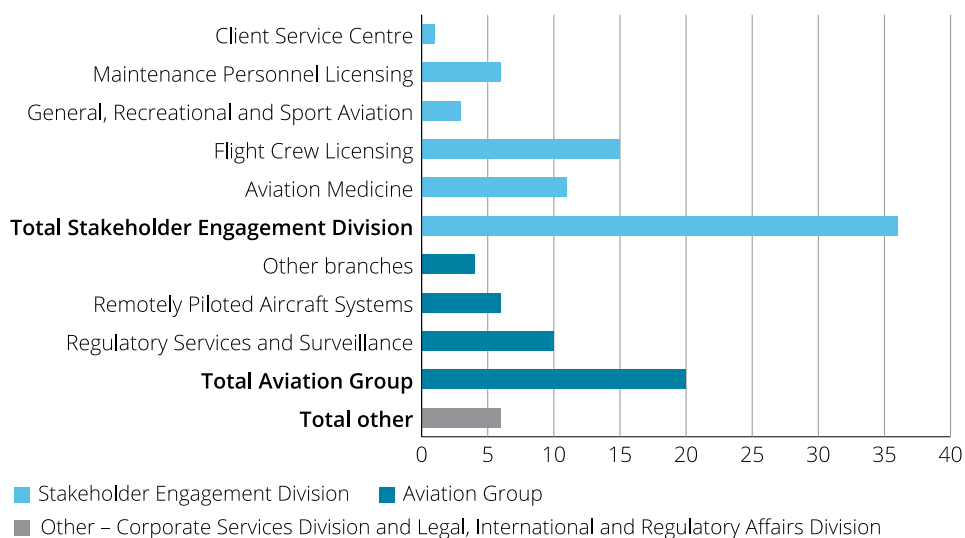


**Note:** Figures do not include simple complaints that are outside the ICC's jurisdiction or not related to CASA.

### Resolved complaints

In 2019-20, the ICC resolved 90 complaints (including cases on hand at 1 July 2019), 62 of which were classified as either standard or complex.

Figure 14 shows the breakdown of complaints resolved in 2019-20 by the business group about which the complaint was made.

**Figure 14 Complex and standard complaints resolved, by division, 2019–20**

### Timeliness of processing

Of the 86 complaints received in 2019–20, the ICC processed:

- 100 per cent of the simple cases within the target of five days (average 1.1 days)
- 90 per cent of the standard cases within the target of 30 days (average 11.4 days)

- 100 per cent of the complex cases within the target of 90 days (average 44.7 days).

Table 13 shows a comparison of timeliness in each year from 2017–18 to 2019–20.

**Table 13 Complaints processed within timeliness targets, 2017–18 to 2019–20**

Type of complaint	2017–18 %	2018–19 %	2019–20 %
Simple cases within 5 days	100	100	100
Standard cases within 30 days	74	93	90
Complex cases within 90 days	74	65	100

### Complaint prevention strategies

The ICC has the power to make recommendations to CASA about individual cases and systemic issues. Recommendations are made with the aim of reducing future complaints and ensuring best practice.

In 2019–20, the ICC made nine recommendations of which eight were accepted by CASA with one still under consideration. The recommendations included partial refunds for regulatory service tasks; changes to aviation exam conditions; the amendment of policy manuals to reflect CASA practice; and the withdrawal of conditions imposed on medical certificates.

## 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 non-compliance with finance law in 2019–20.

## 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 2019–20.

## 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 at [casa.gov.au/standard-page/agency-plan](http://casa.gov.au/standard-page/agency-plan).

## ENFORCEMENT ACTIONS

CASA's coordinated enforcement process provides CASA's decision-makers with the benefit of legal, regulatory and technical and/or operational input when considering the most appropriate 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 1988*, 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.

Tables B.15 to B.19 in Appendix B show details of medical certificate actions; licence and certificate actions; serious and imminent risk suspensions; infringement notices and matters referred for prosecution; and other compliance-related actions.

## 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 diversion of waste from landfill
- maintaining accreditation in the Australian Capital Territory Government's business waste recycling program
- increasing the number of vehicles under 1,800cc and/or hybrid from 10 to 16 vehicles
- promoting the use of video conferencing as an alternative to air travel, and increasing video conferencing facilities
- 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
- continuing to collect soft plastics for recycling in the Canberra office.

CASA achieved a number of improvements in relation to environmental performance indicators during 2019-20, as shown in Table 14.

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

Table 14 Environmental performance summary, 2018-19 to 2019-20

Indicator	2018-19	2019-20
<b>Office energy usage</b>		
Total tenant light and power energy consumption, including Aviation House server room (kWh)	1,845,397	1,559,894
Total tenant light and power energy consumption, excluding Aviation House server room (MJ)	4,705,971	3,910,232
Aviation House server room, Canberra (MJ)	1,937,457	1,705,387
Total tenant energy consumption per person, excluding Aviation House server room (MJ/head)	5,252	4,384 <sup>a</sup>
Total tenant energy consumption per square metre, excluding Aviation House server room (MJ/m <sup>2</sup> )	253	231 <sup>b</sup>
Total greenhouse gas emissions attributed to tenant energy consumption, including Aviation House server room (tonnes CO <sup>2</sup> -e)	1,447	1,189
Green power purchased (kWh)	43,886	46,738
<b>Vehicle fleet</b>		
Number of vehicles	34	34
Number of vehicles under 1,800 cc or hybrid	10	16
Total fuel used (litres)	27,472	16,953
Total distance travelled (km)	358,266	231,298
Average fuel consumption of fleet vehicles per 100 kilometres (litres)	7.7	7.3
Total greenhouse gas emissions attributed to motor vehicle fleet usage (tonnes CO <sup>2</sup> -e)	66.4	41.1
<b>Air travel</b>		
Number of flights	11,160	8,880
Number of kilometres flown	14,705,924	10,368,029
Number of kilometres flown per head	16,125	11,623
Total greenhouse gas emissions attributed to air travel (kilograms CO <sup>2</sup> -e)	1,377,910	966,375
<b>Resource efficiency and waste</b>		
Total office paper purchased (reams A4 per head)	6.1	4.3
Proportion of total office paper using more than 50% recycled content and/or certified carbon neutral	98%	100%
Office paper recycled (tonnes)	28.2	24.2
Total waste produced (tonnes)	50.9	14.9
Total waste produced (kilograms per head)	55.8	46.98
Waste diverted from landfill	86% (44 tonnes)	85% (35 tonnes)

cc = cubic centimetres, CO<sup>2</sup>-e = carbon dioxide equivalent, km = kilometres, kWh = kilowatt hour, MJ = megajoule, m<sup>2</sup> = square metre

a Head count is 892, including staff (857) and contractors (35).

b Total office space was 16,937 m<sup>2</sup>.

## 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 2019-20, we operated a vehicle fleet consisting of 34 vehicles, of which 47 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 2020-21, CASA will continue to consider hybrid vehicles that meet its operational requirements.

## 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.

Specific stationery recycling stores operate in Brisbane and Canberra, allowing staff to place surplus stationery in a central location for use by others. The re-use of stationery is encouraged at all CASA sites.

In Canberra, CASA has remained accredited under the Australian Capital Territory Government's recycling program (Actsmart) since the program's inception 11 years ago.

All of CASA's office paper contains more than 50 per cent recycled content or is certified as carbon neutral.

## 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 Chief Executive Officer Instruction and supporting operational procedures.

CASA's procurement framework helps to ensure that it undertakes competitive and 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 in 2019-20 was \$4,657,898.

## 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 \$14,000 (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 2019-20, 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 2019-20 are detailed in Table B.20 in Appendix B.

## SPONSORSHIPS AND GRANTS

CASA provides sponsorship support to aviation-related organisations and events to help improve and promote aviation safety.

CASA initiated two additional sponsorship programs during 2019–20: the Drone Sponsorship Program, to support the drone safety campaign, and the Community Sponsorship Program, to support aero clubs and flying schools during the COVID-19 pandemic. The General Safety Promotion Sponsorship Program and the Stephen Guerin Scholarship were also open for submissions during the year.

The Drone Sponsorship Program, launched in January 2020 as part of the Know Your Drone safety promotion campaign, received 49 submissions with a total value of \$875,472. Submissions were assessed against the guidelines and \$50,000 was committed to successful applicants active in promoting drone safety in their communities. In addition to sponsorship funds, drone safety information and promotional products were provided to applicants in support of drone events, outreach, training and education.

Table 15 shows the value of CASA's sponsorships and grants and the numbers of organisations or events assisted in recent years.

## RELATED ENTITY TRANSACTIONS

In 2019–20, 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

In 2019–20, CASA did not provide an indemnity to the CASA Board or a CASA Board member or CASA officer.

### 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 1988*, the *Civil Aviation (Carriers' Liability) Act 1959* and other applicable legislation.

### Professional indemnity

CASA's Comcover 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

CASA's Comcover policy also indemnifies directors and officers from liability for the consequences of wrongful acts, as defined in the policy.

**Table 15 Sponsorships and grants, 2017-18 to 2019-20**

Result	2017-18	2018-19	2019-20
Total funds	\$117,652	\$204,112	\$178,882
No. of organisations/events	21	24	21



## PART

# 6

## FINANCIAL STATEMENTS

This part of the report provides the entirety of CASA's financial statements, audit opinion and explanatory notes for 2019–20. 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/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**



## INDEPENDENT AUDITOR'S REPORT

### To the Minister for Infrastructure and 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 2020:

- (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 2020 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 as at 30 June 2020 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 the financial statements, comprising a summary of significant accounting policies and other explanatory information.

#### 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 (including Independence Standards)* (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 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 Board is also responsible for such internal control as 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 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 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.

GPO Box 707 CANBERRA ACT 2601  
38 Sydney Avenue FORREST ACT 2603  
Phone (02) 6203 7300 Fax (02) 6203 7777

**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



Mark Vial  
Senior Director  
Delegate of the Auditor-General

Canberra  
21 August 2020

**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 2020 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.



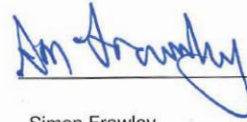
Anthony Mathews  
*Chair of the Board*

21 August 2020



Shane Carmody  
*Chief Executive Officer  
and Director of Aviation  
Safety*

21 August 2020



Simon Frawley  
*Chief Financial Officer*

21 August 2020



CIVIL AVIATION SAFETY AUTHORITY  
STATEMENT OF COMPREHENSIVE INCOME

For the period ended 30 June 2020

	Notes	2020 \$'000	2019 \$'000	2020 Original Budget \$'000
<b>NET COST OF SERVICES</b>				
<b>EXPENSES</b>				
Employee benefits	1.1A	134,533	125,655	133,496
Suppliers	1.1B	46,730	51,440	58,825
Depreciation and amortisation	2.2A	18,929	9,731	13,549
Finance costs	1.1C	275	14	-
Write-down and impairment of assets	2.2A	103	180	-
Losses from asset sales		135	-	-
<b>TOTAL EXPENSES</b>		<b>200,705</b>	<b>187,020</b>	<b>205,870</b>
<b>LESS:</b>				
<b>OWN-SOURCE INCOME</b>				
<b>Own-source revenue</b>				
Revenue from contracts with customers	1.2A	12,847	14,052	23,166
Interest	1.2B	994	1,834	1,600
Other income	1.2C	172	938	1,000
<b>Total own-source revenue</b>		<b>14,013</b>	<b>16,824</b>	<b>25,766</b>
<b>Gains</b>				
Other gains		39	377	-
<b>Total gains</b>		<b>39</b>	<b>377</b>	<b>-</b>
<b>TOTAL OWN-SOURCE INCOME</b>		<b>14,052</b>	<b>17,201</b>	<b>25,766</b>
<b>NET COST OF SERVICES</b>		<b>(186,653)</b>	<b>(169,819)</b>	<b>(180,104)</b>
Revenue from government	1.3A	72,974	44,136	46,172
Aviation fuel excise	1.3A	101,280	122,209	130,500
<b>SURPLUS/(DEFICIT) ON CONTINUING OPERATIONS</b>		<b>(12,399)</b>	<b>(3,474)</b>	<b>(3,432)</b>
<b>OTHER COMPREHENSIVE INCOME</b>				
Items not subject to subsequent reclassification to net cost of services				
Asset revaluation decrement	2.2A&2.5B	(104)	(538)	-
<b>TOTAL OTHER COMPREHENSIVE INCOME</b>		<b>(104)</b>	<b>(538)</b>	<b>-</b>
<b>TOTAL COMPREHENSIVE INCOME/ (LOSS)</b>		<b>(12,503)</b>	<b>(4,012)</b>	<b>(3,432)</b>

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 2019-20 Portfolio Budget Statements.

CIVIL AVIATION SAFETY AUTHORITY  
STATEMENT OF FINANCIAL POSITION

as at 30 June 2020

	Notes	2020 \$'000	2019 \$'000	2020 Original Budget \$'000
<b>ASSETS</b>				
<b>Financial Assets</b>				
Cash, cash equivalents and investments	2.1A,B	49,785	64,235	56,182
Trade and other receivables	2.1C	2,978	1,307	4,419
Accrued revenue	2.1D	506	2,706	-
<b>Total financial assets</b>		<b>53,269</b>	<b>68,248</b>	<b>60,601</b>
<b>Non-Financial Assets<sup>1</sup></b>				
Buildings	2.2A	33,339	-	-
Property, plant and equipment	2.2A	9,930	11,461	14,160
Intangibles	2.2A	36,876	27,324	26,904
Prepayments	2.3A	2,511	3,437	3,471
<b>Total non-financial assets</b>		<b>82,656</b>	<b>42,222</b>	<b>44,535</b>
<b>TOTAL ASSETS</b>		<b>135,925</b>	<b>110,470</b>	<b>105,136</b>
<b>LIABILITIES</b>				
<b>Payables</b>				
Suppliers	2.3A	5,089	7,730	3,824
Other payables	2.3B	2,831	4,950	6,137
<b>Total payables</b>		<b>7,920</b>	<b>12,680</b>	<b>9,961</b>
<b>Interest bearing liabilities</b>				
Lease Liabilities	2.4A	33,669	-	-
<b>Total leases</b>		<b>33,669</b>	<b>-</b>	<b>-</b>
<b>Provisions</b>				
Employee provisions	2.5A	40,875	34,511	31,130
Other provisions	2.5B	290	828	1,000
<b>Total provisions</b>		<b>41,165</b>	<b>35,339</b>	<b>32,130</b>
<b>TOTAL LIABILITIES</b>		<b>82,754</b>	<b>48,019</b>	<b>42,091</b>
<b>NET ASSETS</b>		<b>53,171</b>	<b>62,451</b>	<b>63,045</b>
<b>EQUITY</b>				
Contributed equity		3,295	3,295	3,295
Asset revaluation reserve		7,890	7,994	8,532
Retained surplus		41,986	51,162	51,218
<b>TOTAL EQUITY</b>		<b>53,171</b>	<b>62,451</b>	<b>63,045</b>

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 2019-20 Portfolio Budget Statements.

<sup>1</sup> Right-of-use assets are included in the following line items: Buildings and Property, Plant and Equipment.

CIVIL AVIATION SAFETY AUTHORITY  
STATEMENT OF CHANGES IN EQUITY

For the period ended 30 June 2020

	Retained earnings		Asset revaluation reserve		Contributed equity / capital		Total equity	
	2020	2019	2020	2019	2020	2019	2020	2019
	\$'000	\$'000	\$'000	\$'000	\$'000	\$'000	\$'000	\$'000
Balance carried forward from previous period	<b>51,162</b>	54,636	<b>7,994</b>	8,532	<b>3,295</b>	3,295	<b>62,451</b>	66,463
Adjustment on initial application of AASB 15/AASB 1058	<b>(87)</b>	-	-	-	-	-	<b>(87)</b>	-
Adjustment on initial application of AASB 16	<b>3,310</b>	-	-	-	-	-	<b>3,310</b>	-
<b>Adjusted opening balance</b>	<b>54,385</b>	54,636	<b>7,994</b>	8,532	<b>3,295</b>	3,295	<b>65,674</b>	66,463
<b>Comprehensive income</b>								
Other comprehensive income	-	-	<b>(104)</b>	(538)	-	-	<b>(104)</b>	(538)
Surplus /(Deficit) for the period	<b>(12,399)</b>	(3,474)	-	-	-	-	<b>(12,399)</b>	(3,474)
<b>Total comprehensive income</b>	<b>(12,399)</b>	(3,474)	<b>(104)</b>	(538)	-	-	<b>(12,503)</b>	(4,012)
<b>Closing balance as at 30 June 2020</b>	<b>41,986</b>	<b>51,162</b>	<b>7,890</b>	<b>7,994</b>	<b>3,295</b>	<b>3,295</b>	<b>53,171</b>	<b>62,451</b>
<b>Original budget</b>	<b>51,218</b>		<b>8,532</b>		<b>3,295</b>		<b>63,045</b>	

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 2019-20 Portfolio Budget Statements.

## CIVIL AVIATION SAFETY AUTHORITY CASH FLOW STATEMENT

For the period ended 30 June 2020

	Notes	2020 \$'000	2019 \$'000	2020 Original Budget \$'000
<b>OPERATING ACTIVITIES</b>				
<b>Cash received</b>				
Receipts from government		72,974	44,136	46,172
Aviation fuel excise		103,131	122,149	130,500
Sale of goods and rendering of services		11,276	14,677	23,534
Interest		1,327	1,875	1,595
Net GST received		6,989	5,686	6,218
<b>Total cash received</b>		<b>195,697</b>	<b>188,523</b>	<b>208,019</b>
<b>Cash used</b>				
Employees		(127,235)	(121,444)	(132,134)
Suppliers		(55,692)	(54,813)	(66,281)
Interest payments on lease liabilities		(275)	-	-
<b>Total cash used</b>		<b>(183,202)</b>	<b>(176,257)</b>	<b>(198,415)</b>
<b>Net cash from operating activities</b>	6	<b>12,495</b>	<b>12,266</b>	<b>9,604</b>
<b>INVESTING ACTIVITIES</b>				
<b>Cash received</b>				
Proceeds from sale of property, plant and equipment		-	41	-
<b>Total cash received</b>		<b>-</b>	<b>41</b>	<b>-</b>
<b>Cash used</b>				
Purchase of property, plant and equipment and intangibles		(18,609)	(17,257)	(16,799)
<b>Total cash used</b>		<b>(18,609)</b>	<b>(17,257)</b>	<b>(16,799)</b>
<b>Net cash used by investing activities</b>		<b>(18,609)</b>	<b>(17,216)</b>	<b>(16,799)</b>
<b>FINANCING ACTIVITIES</b>				
<b>Cash used</b>				
Principal payments of lease liabilities		(8,336)	-	-
<b>Total cash used</b>		<b>(8,336)</b>	<b>-</b>	<b>-</b>
<b>Net cash from /(used by) financing activities</b>		<b>(8,336)</b>	<b>-</b>	<b>-</b>
<b>Net increase / (decrease) in cash held</b>		<b>(14,450)</b>	<b>(4,950)</b>	<b>(7,195)</b>
Cash and cash equivalents at the beginning of the reporting period		64,235	69,185	63,377
<b>Cash and cash equivalents at the end of the reporting period</b>		<b>49,785</b>	<b>64,235</b>	<b>56,182</b>

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 2019-20 Portfolio Budget Statements.

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

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**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:** Explanation of major budgetary variances

## CIVIL AVIATION SAFETY AUTHORITY NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2020

### 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 Act 2013 (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 and liabilities 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.

#### New Accounting Standards

Except for AASB 16, 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 CASA's financial statements. The impact of AASB 16 has been separately described opposite.

AASB 15, AASB 2016-8 and AASB 1058 became effective 1 July 2019.

AASB 15 *Revenue from Contracts with Customers / AASB 2016-8 Amendments to Australian Accounting Standards – Australian Implementation Guidance for Not-for-Profit Entities* and AASB 1058 *Income of Not-For-Profit Entities*

AASB 15 establishes a comprehensive framework for determining whether, how much and when revenue is recognised. It replaces existing revenue recognition guidance, including AASB 118 *Revenue*, AASB 111 *Construction Contracts* and Interpretation 13 *Customer Loyalty Programmes*. The core principle of AASB 15 is that an entity recognises revenue to depict the transfer of promised goods or services to customers in an amount that reflects the consideration to which the entity expects to be entitled in exchange for those goods or services.

AASB 1058 is relevant in circumstances where AASB 15 does not apply.

AASB 1058 replaces most of the not-for-profit (NFP) provisions of AASB 1004 *Contributions* and applies to transactions where the consideration to acquire an asset is significantly less than fair value principally to enable the entity to further its objectives, and where volunteer services are received.

The details of the changes in accounting policies, transitional provisions and adjustments are disclosed below and in the relevant notes to the financial statements.

AASB 16 *Leases*

AASB 16 became effective on 1 July 2019. This new standard has replaced AASB 117 *Leases*, Interpretation 4 *Determining whether an Arrangement contains a Lease*, Interpretation 115 *Operating Leases—Incentives* and Interpretation 127 *Evaluating the Substance of Transactions Involving the Legal Form of a Lease*.

AASB 16 provides a single lessee accounting model, requiring the recognition of assets and liabilities for all leases, together with options to exclude leases where the lease term is 12 months or less, or where the underlying asset is of low value.

AASB 16 substantially carries forward the lessor accounting in AASB 117, with the distinction between operating leases and finance leases being retained. The details of the changes in accounting policies, transitional provisions and adjustments are disclosed below and in the relevant notes to the financial statements.

### **Application of AASB 15 Revenue from Contracts with Customers / AASB 1058 Income of Not-For-Profit Entities**

CASA provides regulatory services to the aviation industry. Aviation operators apply to CASA for licenses and permissions, CASA then assesses the applications and either approves or rejects them. *Civil Aviation (Fees) Regulations 1995* enables fees to be prescribed in regulation. CASA charges customers at either a fixed fee or an hourly rate, that is the actual time spent by a proficient officer to complete the job. CASA must create an

estimate for applications charged at hourly rates and send an estimate letter to the customer. The customer accepts the estimate and makes an up-front payment to CASA prior to the commencement of work. An enforceable contract is now in place between CASA and the customer. Although there may be no formal written agreement, the rights and obligations for both CASA and the customers are stipulated by legislation. CASA's revenue from regulatory services fall within the scope of AASB 15 *Revenue from Contracts with Customers*. CASA applied AASB 15 from 1 July 2019.

Although CASA charges an upfront fee there is no transfer of a promised good or service to the customer at that time.

The upfront fee is considered an advance payment for future goods or services and revenue should only be recognised when future goods or services are provided. The customer would only gain control of the asset once CASA has completed its assessment of the application and informed the customer of the outcome. CASA's performance obligation is satisfied when the asset is transferred to the customer. CASA has identified that the performance obligations for the majority of regulatory fees are satisfied when the assessment is completed, and the customer is informed of the outcome.

CASA has in place systems and processes to track the progress of customer assessments, from initial application to finalisation. These systems and processes will be used to confirm the finalisation of an assessment or application thus passing of control to the customer. This allows CASA the right to recognise the revenue for that job. Further detail of revenue recognition policy and disaggregation of revenue from contracts with customers are disclosed in Note 1.2.

CASA adopted AASB 15 and AASB 1058 using the modified retrospective approach, under which the cumulative effect of initial application is recognised in retained earnings at 1 July 2019. Accordingly, the comparative information presented for 2019 is not restated, that is, it is presented as previously reported under the various applicable AASBs and related interpretations.

### Impact on transition

In relation to AASB 15, CASA elected to apply the new standard to all new and uncompleted contracts from the date of initial application. The impact on 1 July 2019 is summarised below.

Departmental	1 July 2019 \$'000
<b>Liabilities</b>	
Unearned revenue	87
<b>Total liabilities</b>	<b>87</b>
<b>Total adjustment recognised in retained earnings</b>	<b>(87)</b>

For the year ended 30 June 2020, CASA's revenue from regulatory fees was \$12,847,206 with the adoption of AASB 15 and AASB 1058. This figure would have been \$12,916,473 under the previous accounting standard. The impact on CASA's revenue was a decrease of \$69,266.

### Application of AASB 16 Leases

CASA adopted AASB 16 using the modified retrospective approach, under which the cumulative effect of initial application is recognised in retained earnings at 1 July 2019. Accordingly, the comparative information presented for 2019 is not restated, that is, it is presented as previously reported under AASB 117 and related interpretations.

CASA elected to apply the practical expedient to not reassess whether a contract is or contains a lease at the date of initial application. Contracts entered into before the transition date that were not identified as leases under AASB 117 were not reassessed. The definition of a lease under AASB 16 was applied only to contracts entered into or changed on or after 1 July 2019.

AASB 16 provides for certain optional practical expedients, including those related to the initial adoption of the standard. CASA applied the following practical expedients when applying AASB 16 to leases previously classified as operating leases under AASB 117:

- exclude initial direct costs from the measurement of right-of-use assets at the date of initial application for leases where the right-of-use asset was determined as if AASB 16 had been applied since the commencement date; and
- applied the exemption not to recognise right-of-use assets and liabilities for leases with less than 12 months of lease term remaining as of the date of initial application.

As a lessee, CASA previously classified leases as operating or finance leases based on its assessment of whether the lease transferred substantially all of the risks and rewards of ownership. Under AASB 16, CASA recognises right-of-use assets and lease liabilities for most leases. However, CASA has elected not to recognise right-of-use assets and lease liabilities for some leases of low value assets



based on the value of the underlying asset when new short-term leases with a lease term of 12 months or less or when the remaining lease term was less than 12 months upon application.

On adoption of AASB 16, CASA recognised right-of-use assets and lease liabilities in relation to leases of office space and motor vehicles, which had previously been classified as operating leases.

The lease liabilities were measured at the present value of the remaining lease payments, discounted using CASA's incremental borrowing rate as at 1 July 2019. As a government agency, CASA has adopted the zero-coupon yields for Australian Government bonds as its incremental borrowing rate. The average rate applied was 1%.

CASA generally would not include optional periods in the lease liability calculation model at initial measurement. A process must be undertaken prior to the lease expiry to assess the costs and benefits of exercising the

optional periods. The lease liability calculation will be modified once the proposed extension or variation has been approved by CASA executives.

The right-of-use assets were measured as follows:

- office space: measured at an amount equal to the lease liability, adjusted by the amount of any prepaid or accrued lease payments; and
- all other leases: the carrying value that would have resulted from AASB 16 being applied from the commencement date of the leases, subject to the practical expedients noted above.

### Impact on transition

On transition to AASB 16, CASA recognised additional right-of-use assets and \$21,134,719 additional lease liabilities. The balance of lease incentives and straight-lining provisions totalling \$3,310,197 has been written off against retained earnings.

### The following table reconciles the Departmental minimum lease commitments disclosed in the entity's 30 June 2019 annual financial statements to the amount of lease liabilities recognised on 1 July 2019:

	\$'000
Minimum operating lease commitment at 30 June 2019	44,661
Less: GST	(4,060)
Less: lease contract committed but not commenced	(18,631)
	<u>21,970</u>
Less: short-term leases not recognised under AASB 16	(986)
Less adjustments for monthly rent amounts	(17)
Plus: prepayments 30 June 2019	540
Less: effect of extension options reasonably certain to be exercised	(8)
<b>Undiscounted lease payments</b>	<u>21,499</u>
Less: effect of discounting using the incremental borrowing rate as at the date of initial application	(364)
Lease liabilities recognised at 1 July 2019	<u><b>21,135</b></u>

## 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.

## 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 2020

## Note 1: Financial Performance

	2020 \$'000	2019 \$'000
<b>Note 1.1: Expenses</b>		
<b>Note 1.1A: Employee benefits</b>		
Wages and salaries	100,050	94,050
Superannuation:		
Defined contribution plans	12,466	10,572
Defined benefit plans	6,593	6,745
Leave and other entitlements	13,323	12,480
Separation and redundancies	1,283	609
Other employee benefits	818	1,199
<b>Total employee benefits</b>	<b>134,533</b>	<b>125,655</b>

### 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 are contained at Note 2.5 - Provisions.

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

	2020 \$'000	2019 \$'000
<b>Note 1.1B: Suppliers</b>		
<b>Goods and services</b>		
Consultancies and service contracts	18,315	15,315
Information technology and telephone charges	9,936	8,194
Insurance	816	827
Media, publications and subscriptions	2,039	939
Office supplies, photocopying and printing	480	757
Postage, freight and storage	516	456
Property operating costs	1,740	1,628
Recruitment	38	140
Travel and transport	6,479	8,138
Training costs	1,851	2,675
Other goods and services	1,706	2,288
<b>Total goods and services</b>	<b>43,916</b>	<b>41,357</b>
<b>Other suppliers</b>		
Operating lease rentals <sup>1</sup>	-	9,379
Short-term leases	1,033	-
Lease outgoings	1,186	-
Workers compensation expenses	595	704
<b>Total other suppliers</b>	<b>2,814</b>	<b>10,083</b>
<b>Total Suppliers</b>	<b>46,730</b>	<b>51,440</b>
<b>Note 1.1C: Finance Costs</b>		
Interest on lease liabilities	274	-
Unwinding of discount	1	14
	<b>275</b>	<b>14</b>

<sup>1</sup> CASA has applied AASB 16 using the modified retrospective approach and therefore the comparative information has not been restated and continues to be reported under AASB 117.

**Accounting Policy**

***Short-term leases and leases of low-value assets***

CASA has elected not to recognise right-of-use assets and lease liabilities for short-term leases of assets that have a lease term of 12 months or less or leases of low-value assets (less than \$10,000). The entity recognises the lease payments associated with these leases as an expense on a straight-line basis over the lease term.

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

	2020 \$'000	2019 \$'000
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**Note 1.2: Own-Source Income**

**Own-source revenue**

**Note 1.2A: Revenue from contracts with customers**

<i>Civil Aviation (Fees) Regulations Act 1995</i>	12,270	14,052
Sales of forms and documents	347	-
Other revenue with customers	230	-
<b>Total revenue from contracts with customers</b>	<b>12,847</b>	<b>14,052</b>

**Disaggregation of revenue from contracts with customers**

**Revenue by timing of revenue recognition**

Revenue recognised immediately	10,790
Revenue recognised at time of completion	2,057
Revenue recognised over time	-
	<b>12,847</b>

**Accounting Policy**

**Revenue from contracts with customers**

CASA's revenue from contracts with customers is recognised when CASA's identified performance obligation is fulfilled. CASA has identified that the single performance obligation for the majority of regulatory services is to process an application and provide outcome or feedback. Revenue will be recognised when the assessment is completed, and the outcome informed to the customer. CASA's regulatory fees are being paid upfront and chargeable regardless of the application outcome. Fees are still payable even if an applicant withdraws their application after work has commenced and not completed. CASA staff effort until the withdrawal is still charged.

CASA charges customers at either a fixed fee or an hourly rate, that is the actual time spent by a proficient officer to complete the job. CASA applies the input method to recognise revenue on the basis of efforts or inputs to the satisfaction of a performance obligation. This would almost always be labour hours expended.

Following a detailed analysis of the nature, performance obligations, timing of completion and job tracking systems of CASA's regulatory fees, CASA adopted a threshold-based approach to recognising revenue from regulatory service fees which balances cost, accuracy and materiality. The new revenue recognition policy can be summarised as follows:

- apply low-value exemption for licensing and aircraft registration and recognise revenue upfront for items with a value below \$8,000
- recognise revenue at time of completion for more complex jobs that require assessment over an extended period of time which have a single performance obligation satisfied at completion
- recognise revenue over time for significant jobs that are major regulatory services as defined by CASA's Cost Recovery Instructions, which may have single or multiple performance obligations completed over time. Multiple performance obligations will be identified and assessed for revenue recognition on a case by case basis.

## CIVIL AVIATION SAFETY AUTHORITY NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2020

	2020 \$'000	2019 \$'000
<b>Note 1.2B: Interest</b>		
Cash at bank and deposits at call	109	125
Investments - term deposits	885	1,709
<b>Total interest</b>	<b>994</b>	<b>1,834</b>
<b>Note 1.2C: Other income</b>		
Sales of forms and documents	-	277
Administrative fines	86	94
Proceeds from sales of assets	-	35
Other sundry revenue	86	532
<b>Total other income</b>	<b>172</b>	<b>938</b>

Sales of forms and documents have been categorised as revenue from contracts with customers under AASB 15 and included in 1.2A. Flight validations previously included in other sundry revenue have also been categorised as other revenue from customers and reported in 1.2A.

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

	2020 \$'000	2019 \$'000
<b>Note 1.3: Revenue from Government</b>		
<b>Note 1.3A: Revenue from Government</b>		
Department of Infrastructure, Transport, Regional Development and Communications:		
Administered payment to CASA as a PGPA Act corporate Commonwealth entity	72,938	43,936
Indonesia Transport Safety Assistance Package	36	200
	<b>72,974</b>	<b>44,136</b>
<i>Aviation Fuel Revenues (Special Appropriation) Act 1988</i>	<b>101,280</b>	122,209
<b>Total revenue from Government</b>	<b>174,254</b>	<b>166,345</b>

**Accounting Policy**

**Revenue from Government**

Funding received or receivable from the Department of Infrastructure, Transport, Regional Development and Communications, including aviation fuel excise, (appropriated to the Department of Infrastructure, Transport, Regional Development and Communications for payment to CASA as a corporate Commonwealth entity under the *PGPA Act 2013*) 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.

There is no change of accounting policy for revenue from Government.

**COVID-19 impact on CASA's revenue**

CASA suffered loss of revenue from aviation fuel excise following the COVID-19 shut down, however the Government has granted CASA additional appropriation to compensate part of the loss.

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

## Note 2: Financial Position

	2020 \$'000	2019 \$'000
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### Note 2.1: Financial Assets

#### Note 2.1A: Cash and cash equivalents

Cash at bank and deposits at call	4,785	4,235
<b>Total cash and cash equivalents</b>	<b>4,785</b>	<b>4,235</b>

#### Note 2.1B: Investments

Investments	45,000	60,000
<b>Total investments</b>	<b>45,000</b>	<b>60,000</b>
<b>Total cash and investments</b>	<b>49,785</b>	<b>64,235</b>

#### 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 drawdowns of appropriation, weekly aviation fuel excise claims and any recouped maturities to aid cash flow, 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 fair value. Investments include deposits with original maturity up to six months or over. Interest is earned on the daily balance at the prevailing rate for investments and is paid at maturity.

#### Note 2.1C: Trade and other receivables

##### Goods and services receivables:

Goods and services receivables	2,354	403
<b>Total goods and services receivables</b>	<b>2,354</b>	<b>403</b>

##### Other receivables:

Net GST receivable	624	904
<b>Total other receivables</b>	<b>624</b>	<b>904</b>

#### **Total trade and other receivables**

	<b>2,978</b>	<b>1,307</b>
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All receivables are expected to be recovered in no more than 12 months



CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

**Accounting Policy**

Trade receivables and other receivables are recorded at face value less any impairment. 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 a lifetime expected loss basis.

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.

**COVID-19 temporary revision to the Cost Recovery Policies**

The COVID-19 shut down impacted on the aviation industry. As the regulator, CASA issued a temporary revision to the cost recovery policies to support the aviation operators. Australian operators undertaking activities in support of efforts to address the impact of the COVID-19 pandemic are being offered with payment deferral for six months post the date of application. Repayment plans may be established to receive payment in instalments over a negotiated period. These policies are temporary and subject to ongoing monitoring and review. These policies will be in place until 30 September 2020 as a minimum. No operator has applied for this payment deferral as at 30 June 2020.

	<b>2020</b>	<b>2019</b>
	<b>\$'000</b>	<b>\$'000</b>
<b>Note 2.1D: Accrued revenue</b>		
Accrued aviation fuel excise revenue	<b>200</b>	2,052
Accrued interest	<b>113</b>	446
Other income	<b>193</b>	208
<b>Total accrued revenue</b>	<b>506</b>	<b>2,706</b>

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

**Note 2.2: Non-financial assets**

**Note 2.2A: Reconciliation of the opening and closing balances of property, plant and equipment and intangibles**

	Buildings	Property, Plant
	In Use \$'000	In Use \$'000
<b>As at 1 July 2019</b>		
Gross book value	-	11,657
Accumulated depreciation/amortisation	-	(1,179)
Accumulated impairment	-	-
<b>Total as at 1 July 2019</b>	<b>-</b>	<b>10,478</b>
Recognition of right of use asset on initial application of AASB 16	20,953	181
<b>Adjusted Total of class including work in progress as at 1 July 2019</b>	<b>20,953</b>	<b>11,642</b>
<b>Additions:</b>		
By purchase	-	6
Internally developed	-	-
Reclassification	-	-
Transfers	-	2,321
Right-of-use assets	20,312	559
<b>Revaluations and impairments recognised in other comprehensive income:</b>		
Gross Value - revaluation	-	(3,921)
Accumulated depreciation	-	3,850
<b>Disposals:</b>		
Gross value of disposals	-	(1,032)
Accumulated depreciation on disposals	-	1,003
<b>Write-down of assets:</b>		
Gross Value	-	-
<b>Other movements:</b>		
Gross Value	-	-
Depreciation expense	-	(4,374)
Depreciation on right-of-use assets	(7,926)	(190)
<b>Total as at 30 June 2020</b>	<b>33,339</b>	<b>8,881</b>
<b>Total as at 30 June 2020 represented by:</b>		
Gross book value	41,265	9,771
Accumulated impairment	-	-
Accumulated depreciation/amortisation	(7,926)	(890)
<b>Total as at 30 June 2020</b>	<b>33,339</b>	<b>8,881</b>
<b>Total of class including work in progress as at 30 June 2020</b>	<b>33,339</b>	
<b>Carrying amount of right-of-use assets</b>	<b>33,339</b>	<b>550</b>

**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 2020.

Revaluation decrement of \$294,308 for leasehold improvements (2019: decrement of \$521,532),

a revaluation increment of \$222,741 for plant and equipment (2019: increment of \$57,870 for office furniture and equipment, decrement of \$67,988 for technical equipment) 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.

and Equipment	Computer Software				Total \$'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
	983	35,928	17,764	3,327	4,669	74,328
	-	(22,293)	(12,051)	-	-	(35,523)
	-	-	(20)	-	-	(20)
	<b>983</b>	<b>13,635</b>	<b>5,693</b>	<b>3,327</b>	<b>4,669</b>	<b>38,785</b>
						<b>21,134</b>
				<b>27,324</b>		<b>59,919</b>
	2,121	-	-	-	3,885	6,012
	-	-	-	12,597	-	12,597
	301	-	-	(70)	(231)	-
	(2,321)	3,044	6,323	(3,044)	(6,323)	-
	-	-	-	-	-	20,871
	-	-	-	-	-	(3,921)
	-	-	-	-	-	3,850
	-	(2,015)	(2,100)	-	-	(5,147)
	-	2,015	1,994	-	-	5,012
	(35)	-	-	(68)	-	(103)
	-	-	-	-	(16)	(16)
	-	(3,580)	(2,859)	-	-	(10,813)
						(8,116)
	<b>1,049</b>	<b>13,099</b>	<b>9,051</b>	<b>12,742</b>	<b>1,984</b>	<b>80,145</b>
	1,049	36,957	21,987	12,742	1,984	125,755
	-	-	(20)	-	-	(20)
	-	(23,858)	(12,916)	-	-	(45,590)
	<b>1,049</b>	<b>13,099</b>	<b>9,051</b>	<b>12,742</b>	<b>1,984</b>	<b>80,145</b>
	<b>9,930</b>			<b>36,876</b>		<b>80,145</b>
	-	-	-	-	-	<b>33,889</b>

No indicators of impairment were found for property, plant and equipment, or for intangibles.

# CIVIL AVIATION SAFETY AUTHORITY NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2020

## 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. In the latter case, assets are initially recognised as contributions by owners at the amounts at which they were recognised in the transferor's accounts immediately prior to the restructuring.

### 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.

### Leased Right of Use (ROU) Assets

Leased ROU assets are capitalised at the commencement date of the lease and comprise of the initial lease liability amount, initial direct costs incurred when entering into the lease less any lease incentives received. These assets are accounted for by CASA as separate asset classes to corresponding assets owned outright, but included in the same column as where the corresponding underlying assets would be presented if they were owned.

Following initial application, an impairment review is undertaken for any right of use leased asset that shows indicators of impairment and an impairment loss is recognised against any right of use leased asset that is impaired. Leased ROU assets continue to be measured at cost after initial recognition.

### Revaluations

Fair values (excluding ROU assets) 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
Plant 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. The regularity of independent valuations depends upon the volatility of movements in market values for the relevant assets.

**CIVIL AVIATION SAFETY AUTHORITY  
NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

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.

**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	2020	2019
Buildings	Lease term	Lease term
Office fitout	Lower of lease term or useful life up to 16 years	Lower of lease term or useful life up to 16 years
Plant and equipment	1 to 16 years	1 to 16 years

The depreciation rates for ROU assets are based on the commencement date to the earlier of the end of the useful life of the ROU asset or the end of the lease term.

**Impairment**

All assets were assessed for impairment as at 30 June 2020. 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 the 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 (2018-19: 3 to 10 years).

All software assets were assessed for indications of impairment as at 30 June 2020.

## CIVIL AVIATION SAFETY AUTHORITY NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2020

	2020 \$'000	2019 \$'000
<b>Contractual commitments for the acquisition of plant, equipment and intangible assets</b>		
<b>Commitments are payable as follows:</b>		
Within 1 year	904	3,168
<b>Total contractual commitments for the acquisition of plant, equipment and intangible assets</b>	<b>904</b>	<b>3,168</b>

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	2,511	3,437
<b>Total other non-financial assets</b>	<b>2,511</b>	<b>3,437</b>

### Note 2.3: Liabilities

#### Note 2.3A: Suppliers

Trade creditors and accruals	5,089	7,730
<b>Total suppliers</b>	<b>5,089</b>	<b>7,730</b>

#### 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 20 days.

#### Note 2.3B: Other payables

Wages and salaries	1,531	739
Superannuation	272	133
Unearned income	1,023	744
Lease incentives <sup>1</sup>	-	3,262
Other payables	5	72
<b>Total other payables</b>	<b>2,831</b>	<b>4,950</b>

#### Accounting Policy

##### Lease Incentives

<sup>1</sup> CASA has applied AASB 16 using the modified retrospective approach and therefore the comparative information has not been restated and continues to be reported under AASB 117.

##### Superannuation

The liability for superannuation recognised as at 30 June 2020 represents outstanding contributions for the final pay days remaining in 2019-20.

##### Unearned Income

CASA's regulatory fees are payable before the commencement of work. Based on the revenue recognition policy disclosed in Note 1.2, prepayment of fees for regulatory jobs over \$8,000 are recognised as unearned revenue if the performance obligations are not fulfilled as at 30 June 2020.

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

	2020 \$'000	2019 \$'000
<b>Note 2.4: Interest Bearing Liabilities</b>		
<b>Note 2.4A: Lease Liabilities</b>		
Lease Liabilities - Building leases	33,117	-
Lease Liabilities - Motor Vehicles	552	-
<b>Total leases</b>	<b>33,669</b>	<b>-</b>

CASA has applied AASB 16 using the modified retrospective approach and therefore the comparative information has not been restated and continues to be reported under AASB 117. Total cash outflow for leases for the year ended 30 June 2020 was \$8,611,140.

**Accounting Policy**

Refer Overview section for accounting policy on leases.

**Note 2.5: Provisions**

**Note 2.5A: Employee provisions**

Separations and redundancies	1,042	483
Leave	34,201	30,066
Ancillary costs on leave provisions	5,632	3,962
<b>Total employee provisions</b>	<b>40,875</b>	<b>34,511</b>

**Note 2.5B: Other provisions**

Provision for makegood	290	828
<b>Total other provisions</b>	<b>290</b>	<b>828</b>

**Provision  
for  
makegood  
\$'000**

**As at 1 July 2019**

Additional provisions made	-
Amounts used	(572)
Revaluations	33
Unwinding of discounted amount	1
<b>Total as at 30 June 2020</b>	<b>290</b>

CASA currently has two (2019: 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 2020

## **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 2020 has been determined by reference to the work of an actuary. The estimate of the present value of the liability considers 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 when a detailed formal plan has been offered and accepted by employees affected.



CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

## 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:

	2020 \$'000	2019 \$'000
<b>Short-term employee benefits:</b>		
Salary	2,643	2,384
Annual leave accrued	165	152
Allowances	29	110
<b>Total short-term employee benefits</b>	<b>2,837</b>	<b>2,646</b>
<b>Post-employment benefits:</b>		
Superannuation	364	340
<b>Total post-employment benefits</b>	<b>364</b>	<b>340</b>
<b>Other long-term employee benefits:</b>		
Long-service leave accrued	53	49
<b>Total other long-term employee benefits</b>	<b>53</b>	<b>49</b>
<b>Total key management personnel remuneration</b>	<b>3,254</b>	<b>3,035</b>

The total number of key management personnel that are included in the above table are 13 (2019: 14) 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 of 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 2020

## Note 4: Managing Uncertainties

### Note 4.1: Contingent Assets and Liabilities

	Claims for damages or costs	
	2020 \$'000	2019 \$'000
<b>Contingent assets</b>		
Balance from previous period	4,094	3,344
New contingent assets recognised	6	750
Obligations expired	(1,500)	-
<b>Total contingent assets</b>	<b>2,600</b>	<b>4,094</b>
<b>Contingent liabilities</b>		
Balance from previous period	4,149	3,384
New contingent liabilities recognised	245	889
Liabilities realised	(1,586)	(66)
Obligations expired	(57)	(58)
<b>Total contingent liabilities</b>	<b>2,751</b>	<b>4,149</b>
<b>Net contingent liabilities</b>	<b>(151)</b>	<b>(55)</b>

#### Quantifiable contingencies

CASA is 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 \$2,599,747 (2019: \$4,093,953). CASA is defending all five claims, 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 \$150,858 (2019: \$54,570). This amount represents an estimate of CASA's liability in respect of studies assistance.

#### Unquantifiable and remote contingencies

As at 30 June 2020, CASA is named as defendant in four actions (2019: 2) for damages relating to personal injury resulting from loss of life. It is deemed not possible to estimate the amount of any eventual payment that may be required in relation to these claims. CASA has denied liability and is defending the claims, 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 2020

**Note 4.2: Fair Value Measurements**

	<b>2020</b>	<b>2019</b>
	<b>\$'000</b>	<b>\$'000</b>
<b>ASSETS</b>		
<b>Assets at fair value</b>		
<b>Non-Financial Assets</b>		
Property, plant and equipment	<b>9,380</b>	11,461
<b>Total non-financial assets at fair value</b>	<b>9,380</b>	<b>11,461</b>
<b>Total assets at fair value</b>	<b>9,380</b>	<b>11,461</b>
<b>Assets where carrying amount approximates fair value</b>		
<b>Financial assets</b>		
Cash, cash equivalents and investments	<b>49,785</b>	64,235
Trade and other receivables	<b>2,978</b>	1,307
Accrued revenue	<b>506</b>	2,706
<b>Total financial assets where carrying value approximates fair value</b>	<b>53,269</b>	<b>68,248</b>
<b>Assets carried at cost</b>		
<b>Non-Financial Assets</b>		
Buildings - right-of-use assets	<b>33,339</b>	-
Property, plant and equipment - right-of-use assets	<b>550</b>	-
Intangibles	<b>36,876</b>	27,324
Prepayments	<b>2,511</b>	3,437
<b>Total non-financial assets carried at cost</b>	<b>73,276</b>	<b>30,761</b>
<b>Total assets in the statement of financial position</b>	<b>135,925</b>	<b>110,470</b>
<b>Assets expected to be recovered in:</b>		
No more than 12 months	<b>55,191</b>	71,107
More than 12 months	<b>80,734</b>	39,363
<b>Total assets</b>	<b>135,925</b>	<b>110,470</b>
<b>LIABILITIES</b>		
<b>Liabilities where carrying value approximates fair value</b>		
<b>Payables</b>		
Suppliers	<b>5,089</b>	7,730
Lease Liabilities	<b>33,669</b>	-
Other payables	<b>2,831</b>	4,950
<b>Total payables</b>	<b>41,589</b>	<b>12,680</b>
<b>Provisions</b>		
Employee provisions	<b>40,875</b>	34,511
Other provisions	<b>290</b>	828
<b>Total provisions</b>	<b>41,165</b>	<b>35,339</b>
<b>Total liabilities where carrying value approximates fair value</b>	<b>82,754</b>	<b>48,019</b>
<b>Total liabilities in the statement of financial position</b>	<b>82,754</b>	<b>48,019</b>
<b>Liabilities expected to be settled in:</b>		
No more than 12 months	<b>28,851</b>	21,607
More than 12 months	<b>53,903</b>	26,412
<b>Total liabilities</b>	<b>82,754</b>	<b>48,019</b>

**CIVIL AVIATION SAFETY AUTHORITY  
NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

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The highest and best use of all non-financial assets are the same as their current use.

- No change in valuation technique occurred during the period.
- Significant observable inputs only. Not applicable for assets in the Level 2 category.

**Recurring and non-recurring Level 3 fair value measurements - valuation processes**

CASA procured valuation services from Pickles Valuation Services (PVS) and relied on valuation models provided by PVS. CASA tests the procedures of the valuation model at least once every 12 months. PVS provided written assurance to CASA that the model developed is in compliance with AASB 13.

**Recurring Level 3 fair value measurements - sensitivity of inputs**

The significant unobservable inputs used in the fair value measurement of CASA's property, plant and equipment assets are the expected useful lives and any adjustment for obsolescence. Significant increases (decreases) in expected useful lives would result in significant higher (lower) fair value measurement and significant increases (decreases) in adjustments for obsolescence would result in significant higher (lower) fair value measurement.

**Accounting Policy*****Fair Value measurement***

CASA deems transfers between levels of the fair value hierarchy to have occurred at balance date.

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

## Note 4.3: Financial Instruments

	2020 \$'000	2019 \$'000
<b>Note 4.3A: Categories of financial instruments</b>		
<b>Financial assets under AASB 9</b>		
<b>Financial assets at amortised cost</b>		
Cash at bank and deposits at call	4,785	4,235
Trade and other receivables	2,354	403
Accrued interest	113	446
Investments	45,000	60,000
<b>Total financial assets at amortised cost</b>	<b>52,252</b>	<b>65,084</b>
<b>Total financial instruments classified as financial assets</b>	<b>52,252</b>	<b>65,084</b>

CASA's only financial liabilities are supplier payables. These are measured at amortised cost.

### Note 4.3B: Net gains or losses on financial assets

<b>Financial assets at amortised cost</b>		
Interest revenue	109	125
Investments	885	1,709
<b>Net gains on financial assets at amortised cost</b>	<b>994</b>	<b>1,834</b>
<b>Net gains on financial assets</b>	<b>994</b>	<b>1,834</b>

# CIVIL AVIATION SAFETY AUTHORITY NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2020

## Accounting Policy

### **Financial Assets**

Under AASB 9 Financial Instruments, 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.

### **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 2020

	<b>2020</b>	<b>2019</b>
	<b>\$'000</b>	<b>\$'000</b>
<b>Note 5: Regulatory Charging Summary</b>		
<b>Expenses</b>		
Departmental	<b>200,705</b>	187,020
<b>Total expenses</b>	<b>200,705</b>	<b>187,020</b>
<b>Revenue</b>		
Departmental	<b>14,052</b>	17,201
<b>Total revenue</b>	<b>14,052</b>	<b>17,201</b>

**Cost recovered activities:**

Charging for regulatory services as per the *Civil Aviation (Fees) Regulations Act 1995*.

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

2020	2019
\$'000	\$'000

## Note 6: Cash Flow Reconciliation

**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	<b>(186,653)</b>	(169,819)
Add: Revenue from government	<b>72,974</b>	44,136
Add: Aviation fuel excise	<b>101,280</b>	122,209

*Adjustments for non-cash items:*

Depreciation and amortisation	<b>18,929</b>	9,731
Non-cash supplier and other expenses	<b>(17)</b>	(21)
Finance costs	<b>-</b>	14
Net write down of non-financial assets	<b>103</b>	180
(Gains) / losses on disposal of assets	<b>135</b>	(35)

*Changes in assets / liabilities*

(Increase) / Decrease in net receivables	<b>(1,671)</b>	(262)
(Increase) / Decrease in accrued revenue	<b>2,200</b>	(77)
(Increase) / Decrease in prepayments	<b>926</b>	(470)
Increase / (Decrease) in employee provisions	<b>6,364</b>	4,173
Increase / (Decrease) in supplier payables	<b>(2,641)</b>	4,473
Increase / (Decrease) in other provisions	<b>(538)</b>	(248)
Increase / (Decrease) in other payables	<b>1,104</b>	(1,718)

**Net cash from operating activities**

<b>12,495</b>	<b>12,266</b>
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CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

**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 mainly due to COVID-19 restrictions.	(29,220)	Statement of Comprehensive Income: • Aviation fuel excise
	(27,369)	Statement of Cash Flow - Operating activities: • Cash received - Aviation fuel excise
Revenue generated from fees was lower than anticipated due to low demand for regulatory services, as a result of the COVID-19 restrictions and anticipated drone registration fees not implemented.	(10,319)	Statement of Comprehensive Income: • Own-source income - Revenue from contracts with customers
	(12,258)	Statement of Cash Flow - Operating activities: • Cash received - Sale of goods and services
Revenue received from government appropriation was higher than budgeted due to emergency appropriation for COVID-19 and additional appropriation for management of drones.	26,802	Statement of Comprehensive Income: • Revenue from government
		Statement of Cash Flow - Operating activities: • Cash received - Receipts from government
The treatment of leases under AASB16 was not included in the original budget. The right of use assets for buildings and motor vehicles have been included on the Statement of Financial Position as non-financial assets. The corresponding lease liabilities are included on the Statement of Financial Position as interest bearing liabilities. As a result of the adoption of AASB16, both the supplier expenses and supplier payments in the cash flow are less than budgeted due to rent payments allocated against Financing activities - Principal payment of lease liabilities.	33,339	Statement of Financial Position: • Non-Financial Assets - Buildings
	33,669	Statement of Financial Position: • Interest bearing liabilities - Lease liabilities
	(10,589)	Statement of Cash Flow - Operating Activities: • Cash used - Suppliers
	(12,095)	Statement of Comprehensive Income: • Expenses - Suppliers
	8,336	Statement of Cash Flow - Financing Activities: • Cash used - Principal payments of lease liabilities
The inclusion of right of use assets due to the adoption of AASB16 has increased depreciation expense that was not included in the original budget.	5,380	Statement of Comprehensive Income: • Expenses - Depreciation and amortisation

CIVIL AVIATION SAFETY AUTHORITY  
**NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS**

For the period ended 30 June 2020

Explanations of major variances	Variance to budget (\$'000)	Affected statements and line items
A change in the parameters used to calculate employee leave provisions and super on-costs following a recent actuarial review resulted in higher than budgeted employee provisions, combined with less leave being taken as an indirect result of the COVID-19 pandemic. In addition CASA provided \$1m for employee redundancies which had not been budgeted for.	9,745	Statement of Financial Position: • Provisions - Employee provisions
Timing differences at year end resulted in variances against receivable and payable balances compared to original budget.	1,265	Statement of Financial Position: • Payables - Suppliers
	(1,441)	Statement of Financial Position: • Financial assets - Trade and other receivables
The adoption of AASB16 required the balance for lease incentives be transferred to CASA's equity balances. This adjustment was not budgeted.	(3,306)	Statement of Financial Position: • Payables - Other payables
New fitouts for two offices were included in the original budget but did not eventuate in 2019-20 due to the lessor owning the fitout as a lease incentive.	(4,230)	Statement of Financial Position: • Non-financial assets - Property, plant and equipment
Intangible assets are higher than budget due to additional spending on a major digital platform.	3,618	Statement of Financial Position: • Non-financial assets - Intangibles

Variance explanations are included for significant variances over one million dollars and also exceeding 10% of the original budget.



# PART

## APPENDICES AND REFERENCES

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.

### In this part:

- Appendix A: Operating statistics **166**
- Appendix B: Management and accountability statistics **175**
- Abbreviations list **193**
- Compliance index **194**
- Alphabetical index **197**

# APPENDIX A: OPERATING STATISTICS

## Flight operations

**Table A.1 Air operator certificates, 2017-18 to 2019-20**

Type of application	2017-18	2018-19	2019-20
Initial issue	55	44	40
Subsequent issue	276	225	184
Variation	214	258	180
<b>Total</b>	<b>545</b>	<b>527</b>	<b>404</b>
Current certificates at 30 June	794 <sup>a</sup>	793 <sup>a</sup>	791

**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.

Figures only include Australian and discrete certificates issued and current during the period.

<sup>a</sup> Figure updated to reflect the number of current certificates as opposed to the number of certificate holders as shown in the 2018-19 annual report.

**Table A.2 Remotely piloted aircraft operator certificates, 2017-18 to 2019-20**

Type of application	2017-18	2018-19	2019-20
Initial issue	332	380	448
Subsequent issue	444	381	400
Variation	62	66	69
<b>Total</b>	<b>838</b>	<b>827</b>	<b>917</b>
Current certificates at 30 June	1,357	1,628	1,952

**Table A.3 Remote pilot licences, 2017-18 to 2019-20**

Type of application	2017-18	2018-19	2019-20
Initial issue	3,034	4,149	3,369
Current licences at 30 June	8,698	12,845	16,482

## Flight personnel

Table A.4 Flight crew licences, 2017-18 to 2019-20

Aircraft type	Licence type	2017-18		2018-19		2019-20	
		Issued	Current	Issued	Current	Issued	Current
<b>Pilots<sup>a</sup></b>							
Aeroplane	Air transport	240	7,304	188	7,280	166	6,519
	Commercial	883	5,091	1,142	5,312	1,343	4,990
	Commercial (CASA EX25/18) <sup>b</sup>	n/a	4,303	0	4,415	0	5,506
	Private	1,057	9,004	1,035	9,019	1,184	8,406
	Recreational	1,190	3,000	1,265	3,206	1,228	3,185
	<b>Total aeroplane pilots</b>	<b>3,370</b>	<b>28,702</b>	<b>3,630</b>	<b>29,232</b>	<b>3,921</b>	<b>28,606</b>
Helicopter	Air transport	20	782	16	763	14	654
	Commercial	202	2,030	173	1,977	271	1,801
	Commercial (CASA EX25/18) <sup>b</sup>	n/a	741	0	807	0	1,133
	Private	103	806	120	877	95	846
	Recreational	10	28	5	27	8	30
	<b>Total helicopter pilots</b>	<b>335</b>	<b>4,387</b>	<b>314</b>	<b>4,451</b>	<b>388</b>	<b>4,464</b>
Other	Commercial – Other <sup>c</sup>	7	105	8	114	4	110
	Commercial (CASA EX25/18) <sup>b</sup>	n/a	3	0	3	0	1
	Private – gyroplane	0	1	0	2	1	3
	Recreational	1	2	0	1	3	2
	<b>Total other pilots</b>	<b>8</b>	<b>111</b>	<b>8</b>	<b>120</b>	<b>8</b>	<b>116</b>
Glider	<b>Total glider pilots</b>	<b>7</b>	<b>48</b>	<b>5</b>	<b>49</b>	<b>13</b>	<b>50</b>
Total initial issues and current pilots <sup>d</sup>		3,720	31,145	3,957	31,750	4,330	31,203
<b>Flight engineers</b>							
All	Flight engineer	0	70	0	68	0	62
	Restricted flight engineer	0	0	0	0	0	0
	Student flight engineer	0	0	0	0	0	0
Total initial issues and current flight engineers		0	70	0	68	0	62

a 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.

b 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.

c Includes balloons and airships.

d 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.

**Table A.5 Flight crew licensing examinations, 2017-18 to 2019-20**

Type of licence	2017-18		2018-19		2019-20	
	Exams sat	% passed	Exams sat	% passed	Exams sat	% passed
Air transport pilot	5,016	73.1	5,889	73.1	5,604	75.1
Commercial pilot	13,113	70.5	15,629	72.8	17,077	73.5
Private pilot	1,793	65.0	1,862	67.3	1,813	71.4
Recreational pilot	376	58.5	1,143	57.8	1,966	58.0
<b>Total</b>	<b>20,298</b>	<b>70.4</b>	<b>24,523</b>	<b>70.7</b>	<b>26,460</b>	<b>72.6</b>

**Table A.6 Medical certificates, 2017-18 to 2019-20**

Type of certificate	2017-18			2018-19			2019-20		
	Initial	Renewal	Refusal	Initial	Renewal	Refusal	Initial	Renewal	Refusal
Class 1	2,137	15,992	26	2,624	16,847	51	2,427	15,272	47
Class 2	3,727	21,253	24	4,483	21,967	49	4,066	19,871	36
Basic Class 2 <sup>a</sup>	n/a	n/a	n/a	978	4	0	810	92	0
Class 3	70	684	2	126	670	5	117	552	2
<b>Total</b>	<b>4,146</b>	<b>21,835</b>	<b>52</b>	<b>6,002</b>	<b>22,549</b>	<b>105</b>	<b>5,403</b>	<b>20,438</b>	<b>85</b>

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.

<sup>a</sup> 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, 2017-18 to 2019-20**

Type of application	2017-18	2018-19	2019-20
Initial issue	12	14	12
Subsequent issue	13	14	10
Variation	63	66	55
<b>Total</b>	<b>88</b>	<b>94</b>	<b>77</b>
Current certificates at 30 June	629	608	577

**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.

**Table A.8 Civil Aviation Safety Regulations Part 145 approval certificates, 2017-18 to 2019-20**

Type of application	2017-18	2018-19	2019-20
Initial issue	3	9	3
Subsequent issue	49	67	30
Variation	30	37	31
<b>Total</b>	<b>82</b>	<b>113</b>	<b>64</b>
Current certificates at 30 June	154	156	161

## Maintenance personnel

**Table A.9 Aircraft maintenance engineer examinations, 2017-18 to 2019-20**

Type of examination	2017-18	2018-19	2019-20
Schedule of Experience examinations	905	840	929
Weight control authority examinations	30	31	13
<b>Total</b>	<b>935</b>	<b>871</b>	<b>942</b>

**Table A.10 Aircraft maintenance engineer licences, 2017-18 to 2019-20**

Detail	2017-18	2018-19	2019-20
<b>Licence assessments</b>			
Australian military	1	2	2
Foreign civil	23	22	30
<b>Total</b>	<b>24</b>	<b>24</b>	<b>32</b>
<i>Trans-Tasman Mutual Recognition Act 1997</i> assessments conducted	8	9	32
<b>Licences issued</b>	<b>135</b>	<b>116</b>	<b>192</b>
<b>Current licences at 30 June</b>	<b>8,913</b>	<b>9,028</b>	<b>9,218</b>
<b>Average age of licence holder</b>	<b>51.2</b>	<b>52.0</b>	<b>52.6</b>

**Table A.11 Airworthiness authorities, 2017-18 to 2019-20**

Type of authority	2017-18	2018-19	2019-20
Maintenance	10	19	4
Non-destructive testing	8	11	2
Weight control	4	20	4
Welding	6	8	4

## Airworthiness

**Table A.12 Airworthiness certificates, authorisations and approvals issued, 2017-18 to 2019-20**

Type of permission	2017-18	2018-19	2019-20
<b>Type certificate<sup>a</sup></b>			
Aeroplanes	5	5	4
Lighter than air	2	1	1
Rotorcraft	0	0	1
Engine	0	0	0
Propeller	0	0	0
<b>Total</b>	<b>7</b>	<b>6</b>	<b>6</b>
<b>Type acceptance certificate<sup>a</sup></b>			
Aeroplanes	13	15	18
Lighter than air	2	2	1
Rotorcraft	3	2	3
<b>Total</b>	<b>18</b>	<b>19</b>	<b>22</b>
<b>Other authorisations, certificates and approvals</b>			
Supplemental type certificate <sup>a</sup>	15	28	18
Certificate of airworthiness	491	488	412
Special flight authorisation	16	16	20
Special flight permit <sup>b</sup>	443	296	296
Experimental certificate <sup>c</sup>	159	157	160
Simulator certification (flight simulator training devices)	54	55	63
Design advice	74	75	77
Flight manual supplement	3	0	6

a Includes amendments to supplemental data, including type certificate data sheets and type certificate holder details.

b Includes all permits issued by CASA and industry delegates.

c Includes certificates issued for devices located overseas.

**Table A.13 Aircraft registrations, 2017-18 to 2019-20**

Type of registration	2017-18	2018-19	2019-20
Initial registration	422	402	336
Change of registration holder	1,313	1,263	1,428
Cancellation of registration	306	311	235
Change of registration mark	51	52	47
Reservation of registration mark	913	870	808
Reissue of certificate of registration <sup>a</sup>	64	54	79
Aircraft registered at 30 June	15,529	15,620 <sup>b</sup>	15,721
Marks reserved at 30 June	577	546 <sup>b</sup>	556

a Due to changes of address or loss, for example.

b The 2018-19 annual report showed the total number of registered aircraft as 15,617 and cancellations as 311. Those figures have been corrected this year.



Table A.14 Average age of the Australian fleet of civil aircraft at 30 June 2020

Aircraft group by airframe and propulsion characteristics			> 56 yrs	56-47 yrs	46-37 yrs	36-27 yrs	26-17 yrs	16-7 yrs	6-2 yrs	< 2 yrs	Total by group	% of total fleet		
Gliders			80	223	400	127	91	54	23	1	999	6.35		
Powered gliders			0	25	43	49	60	71	36	5	289	1.84		
Balloons			0	0	19	55	106	131	109	20	440	2.79		
Airships			0	0	0	0	1	0	0	0	1	0.01		
Remotely piloted aircraft systems			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	1	0.01		
			Piston	1	18	84	158	407	532	181	49	1,430	9.10	
			Turboprop	0	0	0	0	4	0	1	0	5	0.03	
			Jet	0	0	1	0	0	1	1	1	4	0.02	
			Rotary	0	0	0	0	0	1	0	0	1	0.01	
	Multi-engine	Piston	0	0	0	2	4	2	3	1	12	0.08		
		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	6	33	39	6	0	86	0.55	
			Turboshaft	0	0	0	0	0	6	8	1	15	0.10	
Electric engine	0	0	0	0	0	0	0	0	1	1	0.01			
Production aircraft	Helicopter	Single-engine	Piston	13	64	29	154	222	671	156	29	1,338	8.51	
			Turboshaft	6	77	196	119	73	121	28	8	628	3.99	
	Multi-engine	Up to 5,700 kg MTOW	Turboshaft	0	0	40	49	40	44	11	1	185	1.17	
			Over 5,700 kg MTOW	Turboshaft	0	0	2	3	0	29	42	5	81	0.52
				Diesel	0	0	0	0	1	5	0	0	6	0.04
	Aeroplane	Single-engine	Up to 5,700 kg MTOW	Piston	1,436	1,484	2,708	302	501	642	176	75	7,324	46.58
				Turboprop	1	3	26	66	122	124	36	7	385	2.45
				Jet	9	9	19	10	0	0	0	0	47	0.30
			Over 5,700 kg MTOW	Piston	3	0	0	0	0	0	0	0	3	0.02
				Turboprop	0	0	0	2	24	45	16	1	88	0.56
				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	7	1	0	8	0.05
				Piston	59	288	680	37	26	54	27	5	1,176	7.48
				Turboprop	0	7	107	24	18	38	6	0	200	1.27
			5,701 to 20,000 kg MTOW	Jet	1	5	5	1	11	11	3	0	37	0.23
Piston				22	3	0	0	0	0	0	0	25	0.16	
Turboprop				3	0	8	83	90	26	9	2	221	1.41	
20,001 to 50,000 kg MTOW	Jet	1	0	33	17	34	21	4	3	113	0.72			
	Piston	5	0	0	0	0	0	0	0	5	0.03			
	Turboprop	2	0	1	3	3	44	5	0	58	0.37			
50,001 to 100,000 kg MTOW	Jet	1	1	0	65	48	20	6	0	141	0.89			
	Piston	1	0	0	0	0	0	0	0	1	0.01			
	Turboprop	0	0	1	0	0	0	0	0	1	0.01			
Over 100,000 kg MTOW	Jet	0	1	0	7	52	192	24	2	278	1.77			
		0	0	0	1	11	48	17	3	80	0.51			
<b>Total by age bracket</b>			<b>1,651</b>	<b>2,208</b>	<b>4,402</b>	<b>1,340</b>	<b>1,983</b>	<b>2,981</b>	<b>936</b>	<b>220</b>	<b>15,721</b>	<b>100.00</b>		
<b>% of total fleet</b>			<b>10.50</b>	<b>14.05</b>	<b>28.00</b>	<b>8.52</b>	<b>12.61</b>	<b>18.96</b>	<b>5.95</b>	<b>1.41</b>	<b>100.00</b>			

MTOW = maximum take-off weight

**Table A.15 Appointments of airworthiness delegates and authorised persons, 2017-18 to 2019-20**

Type of appointment	2017-18	2018-19	2019-20
<b>Appointments excluding Civil Aviation Safety Regulations subpart 21M</b>			
Initial issue	21	8	6
Subsequent issue	52	44	5
Variation	9	4	61
Active at 30 June	133	173	132
<b>Appointments under Civil Aviation Safety Regulations subpart 21M</b>			
Initial issue and variation	18	26	23
Active at 30 June	35	37	33
<b>Total appointments active at 30 June</b>	<b>168</b>	<b>210</b>	<b>165</b>

**Table A.16 Production authorisations, 2017-18 to 2019-20**

Type of authorisation	2017-18	2018-19	2019-20
<b>Production certificate</b>			
Initial issue	0	0	0
Variation	3	1	5
Under voluntary suspension at 30 June	4	4	4
Active as 30 June	7	8	8
<b>One-off production certificate</b>			
Initial issue	2	1	1
Variation	0	10	3
Under voluntary suspension at 30 June	3	2	2
Active at 30 June	35	36	36
<b>Australian parts manufacturing approval</b>			
Initial issue	1	0	1
Variation	9	5	7
Under voluntary suspension at 30 June	12	2	5
Active at 30 June	35	36	34
<b>Australian Technical Standard Order authorisation</b>			
Initial issue or variation	0	4	4
Under voluntary suspension at 30 June	3	3	4
Active at 30 June	9	8	7
<b>Parts approval under CASR 21.305A</b>			
Initial issue or variation	1	2	3
Under voluntary suspension at 30 June	3	3	3
Active at 30 June	9	9	9

**Table A.17 Airworthiness directives and bulletins, 2017-18 to 2019-20**

Type of directive/bulletin	2017-18	2018-19	2019-20
<b>Australian Airworthiness Directive</b>			
Issued	30	40	1
Cancelled	41	33	9
Amended	33	29	14
Current	7,962	7,886	7,834
State of design airworthiness directive	635	642	478
Exclusion from airworthiness directive	72	72	99
Review of airworthiness directive	8	12	7
<b>Airworthiness Bulletin</b>			
Issued or amended	22	22	6
Current	376	384	384

**Table A.18 Aircraft defect reports, 2017-18 to 2019-20**

Report status	2017-18	2018-19	2019-20
Received during the year	1,734	1,814	1,157
Closed during the year	875	1,201	n/a <sup>a</sup>
Open as at 30 June	1,495	2,108	n/a <sup>a</sup>

n/a = not applicable

a As a result of new defect reporting procedures implemented in 2019-20, defect reports no longer have a status of open or closed.

## Aerodromes

**Table A.19 Aerodromes at 30 June, 2017-18 to 2019-20**

Aerodrome status	2017-18	2018-19	2019-20
Certified	194	197	199
Registered	130	126	129
<b>Total</b>	<b>324</b>	<b>323</b>	<b>328</b>

## Training

**Table A.20 Civil Aviation Safety Regulations Part 141 flight training certificates, 2017-18 to 2019-20**

Type of application	2017-18	2018-19	2019-20
Initial issue <sup>a</sup>	17	17	16
Subsequent issue	16	31	55
Variation	53	47	43
<b>Total</b>	<b>86</b>	<b>95</b>	<b>114</b>
Current certificates at 30 June <sup>b</sup>	n/a	237	250

n/a = not applicable

a The figures for initial issue do not include interim certificates and transitions.

b A 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 from 2018-19.

**Table A.21 Civil Aviation Safety Regulations Part 142 flight training certificates, 2017-18 to 2019-20**

Type of application	2017-18	2018-19	2019-20
Initial issue <sup>a</sup>	0	1	3
Subsequent issue	3	5	12
Variation	5	4	10
<b>Total</b>	<b>8</b>	<b>10</b>	<b>25</b>
Current certificates at 30 June <sup>b</sup>	n/a	62	65

n/a = not applicable

a The figures for initial issue do not include interim certificates and transitions.

b A 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 from 2018-19.

**Table A.22 Civil Aviation Safety Regulations Part 147 maintenance training organisation certificates, 2017-18 to 2019-20**

Type of application	2017-18	2018-19	2019-20
Initial issue <sup>a</sup>	1	2	4
Variation	40	56	57
<b>Total</b>	<b>41</b>	<b>58</b>	<b>61</b>
Suspended certificates	0	0	1
Surrendered certificates	1	2	1

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 2020

Classification	Adelaide	Brisbane	Cairns	Canberra	Darwin	Melbourne	Perth	Sydney	Tamworth	Total
Aviation Safety Regulator – Aerodrome Inspector	0	3	1	0	0	2	2	2	0	10
Aviation Safety Regulator – Airworthiness Inspector	4	10	4	0	1	13	7	9	3	51
Aviation Safety Regulator – Aviation Safety Advisor	1	1	0	1	1	2	1	0	0	7
Aviation Safety Regulator – Other	2	39	1	56	1	15	7	9	0	130
Aviation Safety Regulator – Safety Systems Inspector	1	2	0	0	0	4	2	3	0	12
Certificate Team Manager <sup>a</sup>	2	9	2	13	2	8	4	6	0	46
Flight Training Examiner	1	3	0	0	0	2		4	1	11
Flying Operations Inspector	4	20	8	4	2	9	7	12	2	68
National Office Manager	0	3	0	17	0	2	0	0	0	22
Other classifications	3	81	7	325	1	13	6	12	1	449
Professional Services	1	1	0	12	0	0	1	1	0	16
Senior Management	0	3	1	27	0	2	1	1	0	35
<b>Total</b>	<b>19</b>	<b>175</b>	<b>24</b>	<b>455</b>	<b>8</b>	<b>72</b>	<b>38</b>	<b>59</b>	<b>7</b>	<b>857</b>

<sup>a</sup> This classification replaced the Certificate Management Team Leader classification reported in 2018-19.

Table B.2 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
<b>Total</b>	<b>20</b>	<b>177</b>	<b>25</b>	<b>449</b>	<b>10</b>	<b>71</b>	<b>34</b>	<b>66</b>	<b>7</b>	<b>859</b>

**Table B.3 Ongoing and non-ongoing employees by classification and gender at 30 June 2020**

Classification	Female			Male			Total
	Casual	Ongoing	Non-ongoing	Casual	Ongoing	Non-ongoing	
Aviation Safety Regulator – Aerodrome Inspector	2	0	0	6	2	0	10
Aviation Safety Regulator – Airworthiness Inspector	0	0	0	51	0	0	51
Aviation Safety Regulator – Aviation Safety Advisor	1	0	0	6	0	0	7
Aviation Safety Regulator – Other	17	1	0	105	5	2	130
Aviation Safety Regulator – Safety Systems Inspector	3	0	0	9	0	0	12
Certificate Team Manager <sup>a</sup>	6	0	0	40	0	0	46
Flight Training Examiner	1	0	0	10	0	0	11
Flying Operations Inspector	4	0	0	62	2	0	68
National Office Manager	3	0	0	19	0	0	22
Other classifications	240	18	4	172	15	0	449
Professional Services	1	2	2	9	2	0	16
Senior Management	6	1	0	25	3	0	35
<b>Total</b>	<b>284</b>	<b>22</b>	<b>6</b>	<b>514</b>	<b>29</b>	<b>2</b>	<b>857</b>

a This classification replaced the Certificate Management Team Leader classification reported in 2018-19.

**Table B.4 Ongoing and non-ongoing employees by classification and gender at 30 June 2019**

Classification	Female			Male			Total
	Casual	Ongoing	Non-ongoing	Casual	Ongoing	Non-ongoing	
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
<b>Total</b>	<b>9</b>	<b>273</b>	<b>28</b>	<b>2</b>	<b>517</b>	<b>30</b>	<b>859</b>

Table B.5 Employees by classification and full-time/part-time at 30 June 2020

Classification	Full-time		Part-time			Total
	Ongoing	Non-ongoing	Ongoing	Non-ongoing	Casual	
Aviation Safety Regulator – Aerodrome Inspector	8	2	0	0	0	<b>10</b>
Aviation Safety Regulator – Airworthiness Inspector	51	0	0	0	0	<b>51</b>
Aviation Safety Regulator – Aviation Safety Advisor	5	0	2	0	0	<b>7</b>
Aviation Safety Regulator – Other	118	6	4	0	2	<b>130</b>
Aviation Safety Regulator – Safety Systems Inspector	12	0	0	0	0	<b>12</b>
Certificate Team Manager <sup>a</sup>	46	0	0	0	0	<b>46</b>
Flight Training Examiner	11	0	0	0	0	<b>11</b>
Flying Operations Inspector	61	0	5	2	0	<b>68</b>
National Office Manager	22	0	0	0	0	<b>22</b>
Other classifications	373	29	39	4	4	<b>449</b>
Professional Services	10	4	0	0	2	<b>16</b>
Senior Management	31	4	0	0	0	<b>35</b>
<b>Total</b>	<b>748</b>	<b>45</b>	<b>50</b>	<b>6</b>	<b>8</b>	<b>857</b>

<sup>a</sup> This classification replaced the Certificate Management Team Leader classification reported in 2018-19.



**Table B.6 Employees by classification and full-time/part-time at 30 June 2019**

Classification	Full-time		Part-time			Total
	Ongoing	Non-ongoing	Ongoing	Non-ongoing	Casual	
Aviation Safety Regulator – Aerodrome Inspector	9	0	0	0	0	<b>9</b>
Aviation Safety Regulator – Airworthiness Inspector	59	0	0	0	0	<b>59</b>
Aviation Safety Regulator – Aviation Safety Advisor	6	0	2	0	0	<b>8</b>
Aviation Safety Regulator – Other	111	6	4	2	1	<b>124</b>
Aviation Safety Regulator – Safety Systems Inspector	14	0	1	0	0	<b>15</b>
Certificate Management Team Leader	42	0	0	0	0	<b>42</b>
Flight Training Examiner	10	0	0	0	0	<b>10</b>
Flying Operations Inspector	66	0	4	1	0	<b>71</b>
National Office Manager	18	0	1	0	0	<b>19</b>
Other classifications	359	41	44	3	8	<b>455</b>
Professional Services	9	1	1	0	2	<b>13</b>
Senior Management	30	4	0	0	0	<b>34</b>
<b>Total</b>	<b>733</b>	<b>52</b>	<b>57</b>	<b>6</b>	<b>11</b>	<b>859</b>

## Executive remuneration

Table B.7 Remuneration paid to key management personnel, 2019-20

Name	Position title	Short-term benefits		
		Base salary (\$) <sup>a</sup>	Bonuses (\$) <sup>b</sup>	Other benefits and allowances (\$) <sup>c</sup>
<b>Carmody, Shane</b>	Chief Executive Officer & Director of Aviation Safety	546,391	0	42,361
<b>Crawford, Graeme</b>	Group Executive Manager Aviation Group	408,415	0	31,258
<b>Walker, Robert</b>	Executive Manager Stakeholder Engagement	307,240	0	24,009
<b>Aleck, Jonathan</b>	Executive Manager Legal, International & Regulatory Affairs	439,310 <sup>f</sup>	0	25,802
<b>Crome, Philippa</b>	Executive Manager Corporate Services	323,398	0	24,009
<b>Frawley, Simon</b>	Chief Financial Officer	232,642	0	18,173
<b>Mathews, Anthony</b>	CASA Board member (Chair)	118,781	0	2,176
<b>Bridge, Michael</b>	CASA Board member	59,391	0	670
<b>Cartwright, Cheryl</b>	CASA Board member	48,196	0	138
<b>McAloon, Jane</b>	CASA Board member	30,605	0	8,586
<b>Rindfleish, Mark</b>	CASA Board member	59,391	0	1,470
<b>Taylor, Anita</b>	CASA Board member	40,657	0	7,050
<b>Hardman, Donna</b>	CASA Board member	28,786	0	8,212
<b>Total</b>		<b>2,643,202</b>	<b>0</b>	<b>193,913</b>

**Note:** CASA's key management personnel are those persons having authority and responsibility for planning, directing and controlling the activities of CASA, directly or indirectly. Each dollar amount is based on an individual's remuneration rounded to the nearest dollar. The remuneration of this cohort is determined under CASA Directive – Senior Managers and Medical Officers Remuneration 2019 and approved by the Director of Aviation Safety. This is reviewed annually against the Australian Public Service (APS) remuneration to ensure appropriate parity against the APS is maintained. Currently, all salary points are below the median rates identified in the 2018 survey. Individual remuneration for key management personnel is determined within the salary scales dependent on their experience and may progress through the identified increment point based on their performance during the previous year. The Director of Aviation Safety and Board members remuneration are determined by the Remuneration Tribunal.

	Post-employment benefits	Other long-term benefits		Termination benefits (\$) <sup>b</sup>	Total remuneration (\$)
	Superannuation contributions (\$) <sup>d</sup>	Long service leave accrued (\$) <sup>e</sup>	Other long-term benefits (\$) <sup>b</sup>		
	82,033	13,706	0	0	684,491
	61,830	10,114	0	0	511,617
	44,124	7,768	0	0	383,140
	12,256	8,232	0	0	485,600
	57,107	7,768	0	0	412,282
	43,650	5,880	0	0	300,345
	18,292	0	0	0	139,250
	9,146	0	0	0	69,207
	7,422	0	0	0	55,756
	6,273	0	0	0	45,463
	9,146	0	0	0	70,007
	7,119	0	0	0	54,826
	5,647	0	0	0	42,645
	<b>364,046</b>	<b>53,467</b>	<b>0</b>	<b>0</b>	<b>3,254,629</b>

a Includes gross payments (less any bonuses paid).

b No payments were made in this category in 2019-20.

c Includes annual leave accrued during the reporting period and any allowances that are reportable on individual payment summaries.

d Employer superannuation contributions.

e Long service leave accrued during the reporting period.

f Base salary figure includes a lump sum payment for the cash out of 90 days of accrued excess annual leave.

Table B.8 Remuneration paid to senior managers, 2019-20

Total remuneration band (\$)	No. of staff	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration
		Average base salary (\$) <sup>a</sup>	Average bonuses (\$) <sup>b</sup>	Average other benefits and allowances (\$) <sup>c</sup>		Average long service leave accrued (\$) <sup>e</sup>	Average other long-term benefits (\$) <sup>b</sup>		
0-220,000	4	125,898	0	7,463	9,904	2,358	0	0	182,832
220,001-245,000	0	0	0	0	0	0	0	0	0
245,001-270,000	2	202,910	0	15,727	33,526	5,088	0	0	257,251
270,001-295,000	12	222,234	0	20,388	35,300	5,510	0	0	283,433
295,001-320,000	8	232,991	0	19,616	43,360	5,880	0	0	301,846
320,001-345,000	2	262,859	0	20,442	40,480	6,614	0	0	330,396
Average based on no. of staff	28	213,067	0	17,992	34,218	5,214	0	0	270,491

**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 minimum of three months during the reporting period. Managers who are also key management personnel are excluded. Figures have been rounded to the nearest dollar.

Each row is an averaged figure based on headcount for individuals within the remuneration range.

a Includes gross payments (less any bonuses paid).

b No payments were made in this category in 2019-20.

c Includes annual leave accrued during the reporting period and any allowances that are reportable on individual payment summaries.

d Employer superannuation contributions.

e Long service leave accrued during the reporting period.

Table B.9 Remuneration paid to other highly paid employees, 2019-20

Total remuneration bands (\$)	No. of staff	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration
		Average base salary (\$) <sup>a</sup>	Average Bonuses (\$) <sup>b</sup>	Average other benefits and allowances (\$) <sup>c</sup>		Average long service leave accrued (\$) <sup>e</sup>	Average other long-term benefits (\$) <sup>b</sup>		
220,001-245,000	18	171,719	0	23,888	31,242	4,341	0	0	231,191
245,001-270,000	27	166,735	0	48,749	37,358	4,239	0	0	270,797
270,001-295,000	12	173,405	0	65,236	35,585	4,375	0	0	527,672
295,001-320,000	2	207,811	0	52,559	37,145	5,199	0	0	302,714
320,001-345,000	1	147,354	0	9,562	22,363	2,921	0	145,021	327,221
520,001-545,000	1	418,352	0	33,919	64,426	10,975	0	0	527,672
Average based on no. of staff	61	174,672	0	43,896	35,396	4,416	0	145,021	260,757

**Note:** CASA's highly paid employees are employees whose reportable remuneration was \$225,000 or more for the reporting period, who are not appointed as a senior manager. 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 row is an averaged figure based on headcount for individuals within the remuneration range.

a Includes gross payments (less any bonuses paid).

b No payments were made in this category in 2019-20.

c Includes annual leave accrued during the reporting period and any allowances that are reportable on individual payment summaries.

d Employer superannuation contributions.

e Long service leave accrued during the reporting period.

f Includes voluntary redundancy payments and payments in lieu of notice.

## External scrutiny

**Table B.10 Administrative Appeals Tribunal merits reviews of CASA regulatory decisions, 2017-18 to 2019-20**

Matters	2017-18	2018-19	2019-20
<b>With the tribunal</b>			
Applications on hand from the previous year	14	15	12
Applications lodged during the year	20	16	8
<b>Total</b>	<b>34</b>	<b>31</b>	<b>20</b>
<b>Dealt with</b>			
Decisions affirmed	3	2	3
Decisions varied	2	7	0
Decisions set aside	0	2	1
Matters dismissed	3	2	2
<b>Total</b>	<b>8</b>	<b>13</b>	<b>6</b>
<b>Other</b>			
Applications withdrawn by the applicant	11	8	5
Applications remaining on hand at 30 June	15	12 <sup>a</sup>	10
<b>Total</b>	<b>26</b>	<b>20<sup>a</sup></b>	<b>15</b>

**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.

<sup>a</sup> Correction of error in the 2018-19 annual report.

**Table B.11 Categories of CASA decisions appealed to the Administrative Appeals Tribunal, 2019-20**

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)	0	0	1	0	<b>1</b>
Aviation maintenance licence or authority (including ratings)	0	0	0	0	<b>0</b>
Medical certificate	2	2	2	0	<b>6</b>
Air operator certificate	0	0	0	0	<b>0</b>
Certificate of approval	0	0	0	0	<b>0</b>
Certificate of registration or airworthiness	0	0	0	0	<b>0</b>
Chief pilot approval	0	0	0	0	<b>0</b>
Maintenance controller approval	0	0	0	0	<b>0</b>
Exemption	0	0	0	0	<b>0</b>
Freedom of information	0	0	0	0	<b>0</b>
Remote pilot licence	0	0	0	0	<b>0</b>
Other matters	1	0	0	0	<b>1</b>
<b>Total</b>	<b>3</b>	<b>2</b>	<b>3</b>	<b>0</b>	<b>8</b>

**Table B.12 Applications to the Federal Court for judicial review of CASA regulatory decisions, 2017-18 to 2019-20**

Matters	2017-18		2018-19		2019-20	
	Filed by subject person	Filed by CASA	Filed by subject person	Filed by CASA	Filed by subject person	Filed by CASA
<b>With the court</b>						
Applications on hand from the previous year	0	1	0	0	1	0
Applications filed during the year	0	0	1	1	0	0
<b>Total</b>	<b>0</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>1</b>	<b>0</b>
<b>Dealt with</b>						
Applications granted	0	1	0	1	0	0
Matters dismissed	0	0	0	0	0	0
<b>Total</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>0</b>
<b>Other</b>						
Proceedings discontinued	0	0	0	0	0	0
Applications on hand at 30 June	0	0	1	0	1	1
<b>Total</b>	<b>0</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>1</b>	<b>1</b>
Decisions arising from Administrative Appeals Tribunal decisions	0	1	0	0	0	0

**Table B.13 Coronial inquiries, 2017-18 to 2019-20**

	2017-18	2018-19	2019-20
Inquiries on hand from previous year	1	1	2
New inquiries	1	2	0
<b>Total</b>	<b>2</b>	<b>3</b>	<b>2</b>
Conclusions handed down	1	1	2
Inquiries remaining in progress at 30 June	1	2	0



**Table B.14 CASA's response to coronial recommendations, 2019–20**

<b>Inquest</b>	Inquest into the Deaths of Kerri Pike, Peter Dawson and Tobias Turner – mid-air collision between single and tandem skydivers.
<b>State</b>	QLD
<b>Date of findings</b>	30 August 2019

**Recommendations for CASA**

- (1) CASA to consider including a regulation concerning equipment compatibility, in particular main parachute and container compatibility.
- (2) CASA to consider recommending to the Australian Skydiving Association the implementation of six monthly equipment check and a day to day buddy checking system, as proposed to the APF above.

**Response from CASA****Recommendation (1)**

On 16 December 2019, the Civil Aviation Legislation Amendment (Parts 103, 105 and 131) Regulations 2019 were registered on the Federal Register of Legislation and included the provisions of Part 105 of the Civil Aviation Safety Regulations 1998 (Cth) (CASR). CASA considers that Part 105 of the CASR contains the required head of power to address recommendation a). Part 105 of CASR is due to commence in December 2021.

Regulation 105.010 of the CASR defines a major defect in a reserve parachute as something that may affect the safe operation of the parachute assembly or cause the parachute assembly to become a danger to persons or property. Regulation 105.055 of the CASR provides requirements (including offence provisions) if a person undertakes a parachute descent without a reserve parachute assembly that meets the equipment requirements specified in the Part 105 Manual of Standards, or is provided with a reserve parachute that does not meet those requirements. The Part 105 Manual of Standards is a legislative instrument that prescribes additional matters for the purposes stated in Part 105 of the CASR.

Regulation 105.060 provides that a reserve parachute is also deemed to be a defective parachute if it is subject to a report under regulations 105.045 or 105.050; it is subject to an airworthiness directive; the parachute assembly does not meet the equipment requirements of regulation 103.055 as specified in the Manual of Standards; or, the manufacturer has issued a notice stating safety action must be taken in relation to the parachute.

The definitions of reserve parachute and reserve parachute assembly will be prescribed in the Part 105 Manual of Standards.

As noted previously, regulation 105.055 requires that the reserve parachute assembly must meet and be maintained in accordance to the requirements as prescribed in the Part 105 Manual of Standards. The relevant text of the provision is as follows:

(3) *The requirements are as follows:*

(a) *the reserve parachute assembly must meet the requirements prescribed by the Part 105 Manual of Standards;*

(b) *the reserve parachute assembly must have been maintained in accordance with the requirements prescribed by the Part 105 Manual of Standards.*

The term reserve parachute assembly will also be defined in the Part 105 Manual of Standards and will prescribe all the components that make up the assembly, and likely include the container itself.

The Part 105 Manual of Standards is currently undergoing development by CASA and is expected to be completed by the end of 2020. The commencement of Part 105 (Regulation and Manual of Standards) is set for December 2021. It is CASA's intention to ensure that the Manual of Standards prescribes requirements for ensuring that the 'airworthiness' of parachute equipment is comprehensively established and maintained.

CASA considers that the equipment standard in use by the peak Australian Parachuting body, the Australian Parachuting Federation (APF) should form the basis for the parachuting standard utilised within the Part 105 Manual of Standards, although CASA will also take into account the standards prescribed by other international aviation safety regulators.

The APF reissued its equipment standard in June 2019 (copy attached) in relation to component compatibility. It is anticipated that this will be updated again following acceptance of the latest proposed update of the APF Operational Regulations received by CASA in February 2020 to take into account the changes to the compatibility check requirements.

As part of the proposed update to the APF's Operational Regulations currently under consideration, the following amended provisions (emphasis added) have been advised by the APF to CASA. It is expected that similar provisions will be adopted under the Part 105 Manual of Standards in due course:

#### **6.1.11 Individual Responsibilities**

*A parachutist must:*

- (a) not contravene any provision of these regulations;*
- (b) not refuse or neglect to comply or be reckless as to whether or not they comply with these regulations or the Constitution or any other regulations;*
- (c) not act in a manner dangerous to themselves or others during the course of parachuting activities;*
- (d) ensure their equipment complies with Part Seven of these regulations;*
- (e) ensure their equipment is checked by another APF member ("buddy check") before emplaning;*
- (f) comply with all pre-jump briefings;*
- (g) be assured of their position in relation to the target prior to exit; and*
- (h) report all incidents to the DZSO.*

#### **7.1.1 Harness and Parachutes (2020 Proposed Change to Op Reg)**

- (i) A parachutist must wear a harness and container system that complies with APF Equipment Standards and the TOM and which has at least two ram-air parachutes, one of which must be a reserve parachute.*
- (j) The main parachute must be verified as compatible with the rest of the parachute system by a Packer A or Rigger.*
- (k) The DZSO is responsible to ensure that:*
  - (i) verification of compatibility is confirmed,*
  - (ii) sport jumper equipment is inspected by an Instructor or Packer A for serviceability and compatibility every 12 months; and*
  - (iii) records of inspections kept.*
- (l) An STO may approve equipment with a round parachute(s) for use, excluding displays, by the holder of a Certificate Class D or above, subject to conditions.*

It is also noted that Part 105 of the CASR contains criminal offence provisions for the unauthorised conduct of parachuting activities and imposes additional obligations upon parachuting operators to ensure compliance with the obligations (including in relation to equipment) which are proscribed under that Part. For example, regulation 105.070 of the CASR provides as follows:

*105.070 Additional obligations applying to parachute operators*

- (1) A parachute operator must take reasonable steps to ensure that each person employed or otherwise engaged by the operator to provide services or equipment for undertaking parachute descents:
  - (a) is aware of the obligations imposed on persons under this Part; and*
  - (b) complies with any written procedures of the operator relating to the safe provision of those services or that equipment.**
- (2) A parachute operator must take reasonable steps to ensure that a person to whom the operator provides services or equipment for undertaking parachute descents:
  - (a) is aware of the obligations imposed on the person under this Part; and*
  - (b) complies with any written procedures of the operator relating to the safe conduct of parachute descents.**
- (3) A person commits an offence if the person contravenes subregulation (1) or (2)*  
*Penalty: 50 penalty units.*

## **Recommendation (2)**

As noted above, CASA has recently (February 2020) received for consideration and approval a proposed update to the APF Operational Regulations and this is presently under review.

The APF has presented CASA with the required updates, consistent with the Coroner's recommendations, to require mandatory six-monthly (Novice) and 12-monthly (B certificate and above) equipment checks to be undertaken by a Packer A. Also contained within the proposed update to the Operational Regulations is the requirement for mandatory 'buddy checks' of equipment prior to emplaning (as extracted above).

Noting the proposed updated Operational Regulations also contain additional proposed changes not associated with the Coroner's recommendations, it may be the case that the proposed Operational Regulations may not be approved in their totality, however, it is anticipated that the provisions extracted above will be accepted.

In relation to the obligation of the APF to ensure effective implementation of obligations such as the proposed six-monthly equipment check and day to day 'buddy checking' system, CASA is presently reviewing the Part 149 Manual of Standards which relates to the obligations of self-administering sport aviation bodies such as the APF. In conducting that review, CASA will be mindful of the coroner's recommendation.

In discussions between CASA and the Australian Skydiving Association (ASA) it has been confirmed that the ASA will consider the recommendations that were made relating to day-to-day buddy checks and specific six-monthly equipment checks to mirror those contained in the APF's currently proposed update. The usual practice has been for the ASA to commence updating of their Operational Regulations following CASA's approval of any significant safety-based updates of the APF Operational Regulations. A current timeline for this process has not yet been determined, however, CASA will maintain contact with ASA on this point.

<b>Inquest</b>	Inquest into the deaths arising from the March 2014 plane crash at Caboolture Airfield – death of pilot and four skydivers in crash of Cessna 206 aircraft shortly after take-off.
<b>State</b>	QLD
<b>Date of findings</b>	10 March 2020

### Recommendations for CASA

(A) I recommend a thorough review of the requirements of the CASA-approved APF Jump Pilot Manual, and its suitability for providing appropriate risk-based standards for all air operations by APF club members.

(B) I recommend that CASA and the APF review the implications for public safety of low-time or part-time jump pilots flying sorties in aircraft owned by APF club members and organisations not controlled by persons with the background and experience of an AOC operator. Issues that should receive particular attention include:

- (i) the level of training that jump pilots should be receiving and the introduction of specified and appropriately rigorous standards that would apply to jump pilots conducting flights transporting tandem parachutists to the point of departure from the aircraft;
- (ii) the need for more regular proficiency checks of jump pilots with a qualified examiner, in accordance with a checking syllabus approved by CASA where the syllabus would focus on matters germane to the airlift component of flights carrying tandem parachutists;
- (iii) the creation of a new operational rating or endorsement with special attention to moulding or expanding the application of the general competency rule contained in regulation 61.385 of the CASR to jump pilots to ensure a far higher standard of airmanship by jump pilots than is presently required; and
- (iv) surveillance of the 'airlift component' of parachuting operations by CASA flying operations inspectors on a regular or systematic basis accompanied, where resources permit, by area safety officers of the APF.

### Response from CASA

CASA is still considering its response to these recommendations.

## Enforcement

**Table B.15 Medical certificate cancellations and suspensions, 2017-18 to 2019-20**

Certificate	2017-18		2018-19		2019-20	
	C	S	C	S	C	S
Class 1	37	33	19	42	18	31
Class 2	42	28	11	37	21	39
Basic Class 2 <sup>a</sup>	n/a	n/a	4	0	15	0
Class 3	3	4	9	5	1	4
<b>Total</b>	<b>82</b>	<b>65</b>	<b>43</b>	<b>84</b>	<b>55</b>	<b>74</b>

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.

<sup>a</sup> 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.16 Licence and certificate actions, 2017-18 to 2019-20**

Action	2017-18	2018-19	2019-20
Show cause notices issued	42	28	12
Variations	1	0	1
Suspensions <sup>a</sup>	16	5	3
Cancellations	9	4	7

**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.15) or variations processed by the CASA Service Centre.

<sup>a</sup> These include suspensions under regulations 265 and 269 of the Civil Aviation Regulations 1988.

**Table B.17 Serious and imminent risk suspensions under section 30DC of the Civil Aviation Act 1988, 2017-18 to 2019-20**

Action	2017-18	2018-19	2019-20
Suspensions	0	1	0

**Table B.18 Aviation infringement notices and prosecutions, 2017-18 to 2019-20**

Action	2017-18	2018-19	2019-20
Infringement notices issued	149	129	122 <sup>a</sup>
Matters referred to the Director of Public Prosecutions	5	13	12
Prosecutions finalised	6	7 <sup>b</sup>	13
Acquittals	0	0	0 <sup>c</sup>
Convictions	6	5	12

<sup>a</sup> Three infringement notices were withdrawn.

<sup>b</sup> Two matters resulted in findings of guilt with no conviction recorded.

<sup>c</sup> One prosecution was withdrawn by the Commonwealth Director of Public Prosecutions on public interest grounds.

Table B.19 Compliance-related actions, 2017-18 to 2019-20

Action	2017-18	2018-19	2019-20
Enforceable voluntary undertakings	1	0	0
Counselling	106	105	97

## Media, advertising and direct mail costs

Table B.20 Payments to media, advertising and direct mail organisations, 2019-20

Vendor	Amount (\$)
<b>Media organisations</b>	
Australian Associated Press	14,299
iSentia Pty Ltd	51,171
<b>Subtotal</b>	<b>65,470</b>
<b>Advertising agencies</b>	
Universal McCann	1,035,000
<b>Subtotal</b>	<b>1,035,000</b>
<b>Direct mail organisations</b>	
Australia Post	140,511
Canon Business Services Australia	25,544
Toll Transport	67,998
<b>Subtotal</b>	<b>234,053</b>
<b>Total</b>	<b>1,334,523</b>

**Note:** In accordance with indexation as prescribed in the *Commonwealth Electoral Act 1918*, only payments over \$14,000 (inclusive of GST) are reported. Amounts exclude GST and are rounded to whole dollars.

## Legal costs

Table B.21 Legal costs, 2019-20

Vendor	Amount (\$)
Australian Government Solicitor	229,008
HWL Ebsworth	48,047
Ian Harvey	26,659
James Emmett	19,574
MinterEllison	136,018
Proximity	40,172
<b>Total</b>	<b>499,478</b>

**Note:** Relates to amounts over \$14,000. Amounts exclude GST and are rounded to whole dollars.

## Abbreviations list

<b>AAT</b>	Administrative Appeals Tribunal
<b>APS</b>	Australian Public Service
<b>ASC</b>	Aviation Safety Committee
<b>ASTRA</b>	Australian Strategic Air Traffic Management Group
<b>ATSB</b>	Australian Transport Safety Bureau
<b>Baro-VNAV</b>	Barometric Vertical Navigation
<b>Beijing Declaration</b>	Commitments made by transport ministers at ICAO's Asia and Pacific Ministerial Conference in Beijing, China, in February 2018
<b>CART</b>	Council Aviation Recovery Taskforce
<b>CASA</b>	Civil Aviation Safety Authority
<b>CASR</b>	Civil Aviation Safety Regulations
<b>CASS</b>	Civil Aviation Safety System
<b>DGCA</b>	Directors General of Civil Aviation
<b>EAP</b>	European Aviation Processing regulatory service management system
<b>EASA</b>	European Aviation Safety Agency
<b>FAA</b>	United States Federal Aviation Administration
<b>GST</b>	goods and services tax
<b>HSA</b>	Health Services Australia Group
<b>ICAO</b>	International Civil Aviation Organization
<b>ICC</b>	Industry Complaints Commissioner
<b>JARUS</b>	Joint Authorities for Rulemaking on Unmanned Systems
<b>MOU</b>	memorandum of understanding
<b>OCVA</b>	operational colour vision assessment
<b>PGPA Act</b>	<i>Public Governance, Performance and Accountability Act 2013</i>
<b>PSIDS Study</b>	Pacific Small Island Developing States – Aviation Needs Analysis
<b>RASG-APAC</b>	Regional Aviation Safety Group – Asia and Pacific Regions
<b>RFDS WO</b>	Royal Flying Doctor Service of Australia Western Operations
<b>RMIT University</b>	Royal Melbourne Institute of Technology University
<b>RMS</b>	Regulatory Management System
<b>RPAS</b>	remotely piloted aircraft systems
<b>SDT</b>	service delivery transformation
<b>WHS</b>	work health and safety

## Compliance index

### Public Governance, Performance and Accountability Act 2013 requirements

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: (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



PGPA Rule reference	Part of report	Description	Requirement
17BE(ka)	Part 7	Statistics on the entity's employees on an ongoing and non ongoing basis, including the following: (a) statistics on full time employees; (b) statistics on part time employees; (c) statistics on gender; (d) statistics on staff location	Mandatory
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

PGPA Rule reference	Part of report	Description	Requirement
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 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(taa)		The following information about the audit committee for the entity: (a) a direct electronic address of the charter determining the functions of the audit committee; (b) the name of each member of the audit committee; (c) the qualifications, knowledge, skills or experience of each member of the audit committee; (d) information about each member's attendance at meetings of the audit committee; (e) the remuneration of each member of the audit committee	Mandatory
17BE(ta)	Part 7	Information about executive remuneration	Mandatory

Other reporting requirements		
Source	Reference	Part of report
<i>Civil Aviation Act 1988</i>	Section 49	Part 4
<i>Commonwealth Electoral Act 1918</i>	Section 311A	Part 5
<i>Environment Protection and Biodiversity Conservation Act 1999</i>	Section 516A	Part 5
<i>Work Health and Safety Act 2011</i>	Schedule 2, Part 4	Part 4

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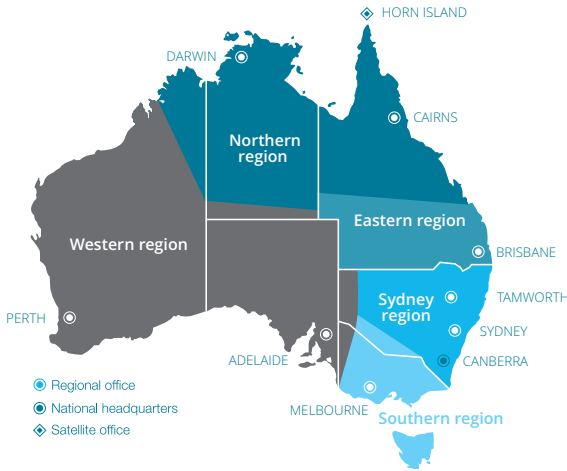
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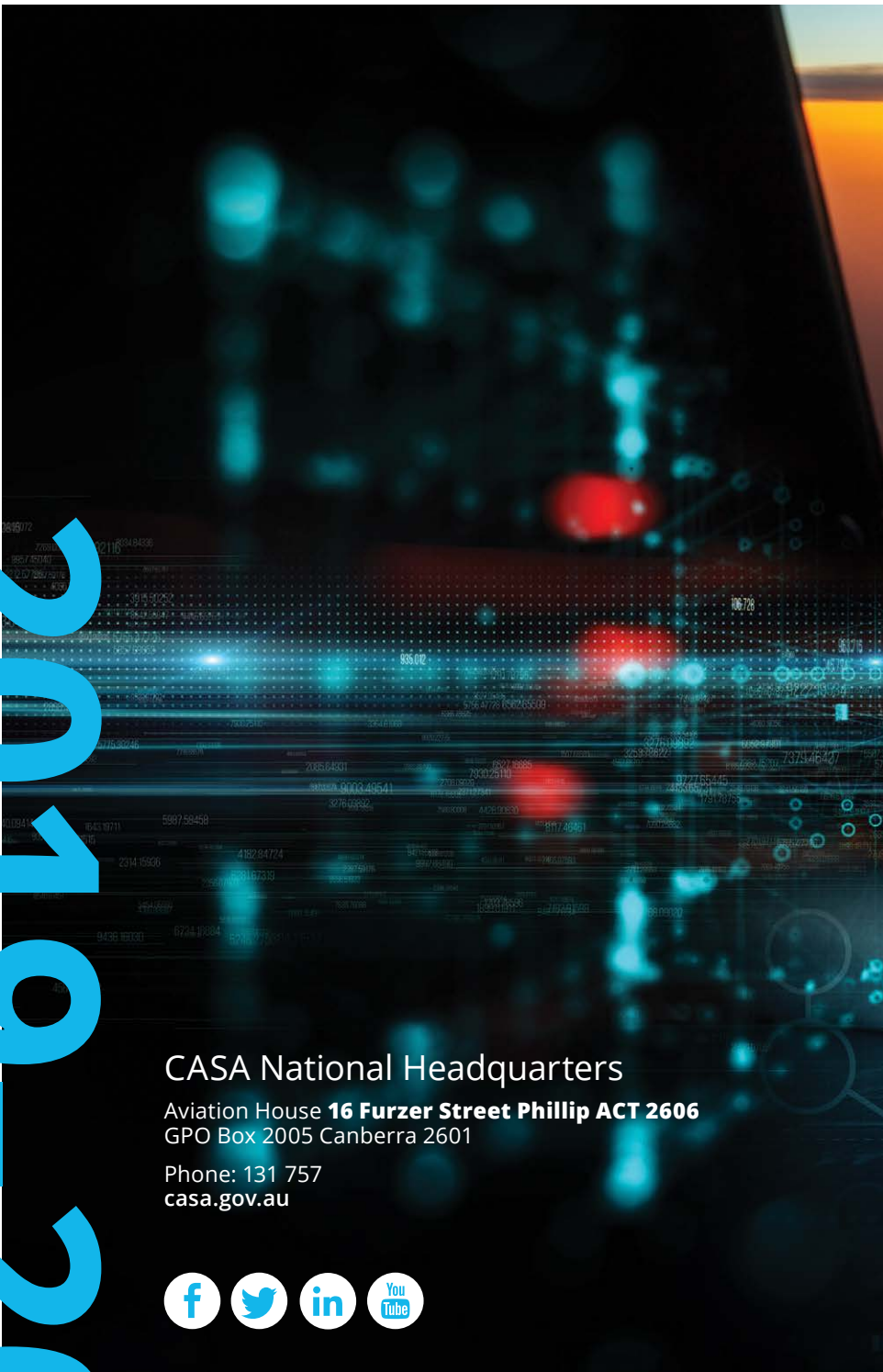
## More information

CASA regulatory instruments and publications can be accessed on CASA's website. All proposed regulatory changes and related consultation documents for 2019–20 are published on the website and can be accessed at [casa.gov.au/newrules](http://casa.gov.au/newrules)

## Australasian Reporting Awards recognition for CASA







CIVIL AVIATION SAFETY AUTHORITY

# 2019-20

# ANNUAL REPORT

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