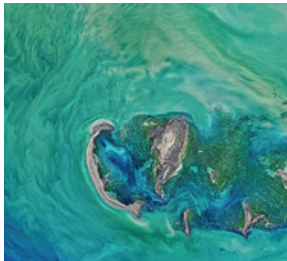
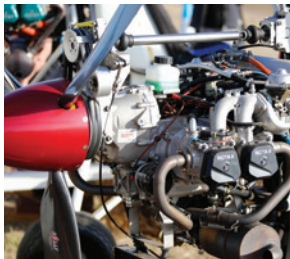




Australian Government
Civil Aviation Safety Authority



CORPORATE PLAN
2017-18





Front cover image credits:

Inspector © Civil Aviation Safety Authority | Dean Covell
 Drone app © Civil Aviation Safety Authority | Duncan Grant
 PC-12 © Pilatus Aircraft Ltd | Gian Marco Castelberg
 A350_XWB © Airbus SAS | Fabien Espinasse
 Satellite © NASA
 Rotax engine © Civil Aviation Safety Authority | Duncan Grant
 Cessna taxi © Civil Aviation Safety Authority | Dean Covell
 Greetings © Civil Aviation Safety Authority | Robin Newell
 Eurocopter EC 130 © Civil Aviation Safety Authority | Duncan Grant
 Camcopter © Schiebel Corporation
 Mustering sunset © Eye in the Sky | Jon Davison
 FalconEye © dassaultfalcon.com
 Headset © Civil Aviation Safety Authority | Duncan Grant

ISSN: 1328-5521

ISBN: 978-1-921475-47-4

© Commonwealth of Australia 2017



Ownership of intellectual property rights in this publication

Unless otherwise noted, copyright (and any other intellectual property rights, if any) in this publication is owned by the Commonwealth of Australia.

Creative Commons licence

With the exception of the Coat of Arms, CASA logo, and photos and graphics in which a third party holds copyright, this publication is licensed under a Creative Commons Attribution 3.0 Australia licence. To view a copy of this licence, visit <http://creativecommons.org/licenses/by/3.0/au/>.

The details of the relevant licence conditions are available on the Creative Commons website (accessible using the links provided), as is the <http://creativecommons.org/licenses/by/3.0/au/legalcode>

CASA's preference is that you attribute this publication (and any material sourced from it) using the following wording: Source: Civil Aviation Safety Authority Corporate Plan 2017–18 to 2020–21

Copyright in material obtained from other agencies, private individuals or organisations, belongs to those agencies, individuals or organisations. Where you want to use their material you will need to contact them directly.

Requests and enquiries should be directed to:

Manager, Strategy, Quality and Intelligence Branch
 Civil Aviation Safety Authority
 GPO Box 2005
 Canberra ACT 2601
 AUSTRALIA

ABOUT THIS PLAN

The Corporate Plan (the Plan) presents the Civil Aviation Safety Authority's (CASA's) direction for the period 2017–18 to 2020–21. It is designed as the principal planning and operational document outlining the purposes of CASA and the strategies to be implemented to achieve our objectives. The Plan details how CASA will meet the Government's and the Australian public's aviation safety expectations. The Plan positions CASA to contribute to the effective and efficient management of aviation safety risks and to improve relationships with the wider aviation community within a strong governance framework.

Key terms used in this Plan

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

LETTER TO THE MINISTER

CHAIR – CASA BOARD

Trim Ref: EF09/23970

19 June 2017

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

Dear Minister

Civil Aviation Safety Authority's Corporate Plan

On behalf of the Board, I am pleased to provide the Civil Aviation Safety Authority's Corporate Plan for the period 2017–18 to 2020–21 for your approval.

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

Yours sincerely



Jeff Boyd

Chair
CASA Board

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

CONTENTS

Introduction	4
Chair’s foreword	5
Director’s preface	6
Purpose	8
Our key role	10
CASA’s strategic approach	12
Financial environment	13
Risk oversight and management	15
Performance measurement	17
Plan on a page	18
CASA goals, operating environment, objectives, initiatives and performance measures	20
Goal 1 – maintain and enhance a fair, effective and efficient aviation safety regulation system	20
Goal 2 – collaborative engagement with the wider aviation community to promote and support a positive safety culture	29
Goal 3 – continuous improvement of organisational performance	35
Compliance table	40

INTRODUCTION

I, as the Chair of the Board of the Civil Aviation Safety Authority (CASA) present the 2017–18 to 2020–21 CASA Corporate Plan for the reporting period 2017–18, as required under subsection 35(1) of the *Public Governance, Performance and Accountability (PGPA) Act 2013* and in accordance with the statutory provisions of section 44 of the *Civil Aviation Act 1988*. The Plan incorporates the Government's Direction issued under section 12A of the *Civil Aviation Act 1988* and in accordance with section 34 of the PGPA Act 2013. The Plan is also prepared in accordance with the *Public Governance, Performance and Accountability Rule 2014*.



CHAIR'S FOREWORD

CASA plays a critical role in aviation safety whilst ensuring that aviation safety and the safety of the travelling public is always CASA's number one priority. We must manage this responsibility in a way that still provides a world leading, efficient regulatory environment for Australia's aviation industry to operate in.

In order to fulfil these responsibilities, it is vital that we have strategic direction to guide the important work that CASA undertakes. The Corporate Plan 2017–18 provides that direction. It contains strategies for the organisation that are consistent with the Minister's Statement of Expectations to the CASA Board, and provides the focus and clarity for our organisation moving forward. The Minister's direction that regulatory activity be pragmatic, practical and proportional sets a clear standard and balance to maintain Australia's enviable safety record.

As the industry regulator CASA must anticipate changes in the complex and ever-shifting aviation landscape and adapt as a consequence, but we will take into account the economic and cost impact on the aviation industry. CASA's Regulatory Philosophy was an important milestone in defining the principles that underpin the way we perform our functions, exercise our powers and engage with the aviation community, and we will continue to measure our success by how well we deliver against these principles. Significant progress has been made to implement the agreed recommendations in the Government's response to the Aviation Safety Regulation Review and we now look forward to meeting the ongoing and emerging challenges in areas such as remotely piloted aircraft systems and the regulatory reform program.

The Corporate Plan is a dynamic document. It needs to be as we are in the midst of a significant reform agenda with a new Director of Aviation Safety. The modernisation of our service delivery framework will continue over the next four years ensuring that we evolve to meet the changing needs of the general public and all sectors of the aviation industry. This Plan informs the Minister, Government, stakeholders and our staff of CASA's strategies to address our challenges and priorities, as well as the measures against which our work will be assessed.

The plan will be reviewed and updated annually to ensure that we capture changes and are able to move with the community and the dynamic aviation industry both in the international and domestic environments.

The Corporate Plan 2017–18 illustrates that the CASA Board, the Director of Aviation Safety and all of the staff within CASA are determined to continue to enhance the important service provided to the general public and the aviation industry.



Jeff Boyd
Chair, CASA Board



DIRECTOR'S PREFACE

CASA is connected through a wide range of activities with tens of thousands of people who are directly involved in the Australian aviation industry, and with the many millions of passengers whose safety is CASA's primary concern. The direction covered in this Corporate Plan 2017–18 to 2020–21 presents a pathway to successfully uphold our strong aviation safety record in performing CASA's role to assure and enhance aviation safety.

Since my appointment in October 2016 as the Acting Chief Executive Officer and Director of Aviation Safety, I have placed particular emphasis on accelerating the delivery of the remaining regulations, reviewing CASA's governance and accountability framework, performance management framework, professional development, regulatory and technical training regimes and review of our workforce to meet the demands of the environment in which we operate. The Minister's Statement of Expectations sets out the strategic direction the Government expects CASA to follow. This Plan includes the initiatives the Board and I intend to implement to meet that direction and drive the organisation to deliver the best possible safety outcomes that will benefit people and organisations across the aviation community.

The three goals presented in this Plan define the contours of the strategic direction endorsed by the Board and includes the priorities and specific initiatives we plan to deliver over the life of this Corporate Plan. In brief, CASA is focused on:

- » maintaining and enhancing a fair, effective and efficient aviation safety regulation system
- » collaboratively engaging with the wider aviation community to promote and support a positive safety culture
- » continually improving our organisational performance.

For CASA, the ongoing challenge is to strike the appropriate balance in delivering the direction set in the Plan and the achievement of optimal safety outcomes. A lot of work continues within CASA to strike this balance. I trust the initiatives included in this Plan reflect our genuine quest to strike this right *balance* and improve the aviation safety record we all enjoy today.

In managing CASA, I am supported by a team of leaders and very capable staff. Guided by the direction set in this Plan, my focus is to deliver a fair, firm and balanced aviation safety regulation system and promote a positive and collaborative safety culture throughout the aviation community. This cannot be achieved without a constant focus on safety and we all have an important role to play as we strive for *Safe skies for all*.



Shane Carmody

Chief Executive Officer
and Director of Aviation Safety



PURPOSE

CASA is Australia's aviation safety regulator and its main purpose is clear from its governing legislation –maintaining, enhancing and promoting the safety of civil aviation, with particular emphasis on preventing aviation accidents and incidents.

CASA is a corporate Commonwealth entity under the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and was established on 6 July 1995 under the *Civil Aviation Act 1988* (the Act).

Section 9 of the Act sets out CASA's functions which include the core function of conducting the safety regulation of civil air operations in Australian territory and the operation of Australian aircraft outside Australian territory. Section 9A of the Act makes the emphasis CASA places on safety clear:

In exercising its powers and performing its functions CASA must regard the safety of air navigation as the most important consideration.

Under the *Airspace Act 2007*, CASA also has responsibilities for the efficient, equitable and above all, safe administration of Australian administered airspace. The performance of CASA's functions under the *Airspace Regulations 2007* is expressly made subject to section 9A of the Civil Aviation Act.

A comprehensive legislative framework exists to manage the safety of civil aviation, structured around the *Convention on International Civil Aviation of 1944* (the Chicago Convention). Australia was an original signatory of the Chicago Convention, the provisions of which were incorporated as law in 1947 in the *Air Navigation Act 1920*.

This plan outlines how CASA intends to meet the Minister's Statement of Expectations (SOE) which was provided to the CASA Board in March 2017 and covers the period until 30 June 2019.

In addition to the CASA Board's other responsibilities, including strategic direction, risk management and corporate planning, the Minister's expectation is that the **CASA Board** will:

- » ensure that CASA makes progress on strategic priorities, in particular the categorisation of operations, emerging risks in aviation such as remotely piloted aircraft systems, and amendments to regulations and other statutory instruments
- » facilitate effective interaction between CASA and the industry

In terms of its **regulatory approach**, the Minister's expectation is that CASA will:

- » continue to focus on aviation safety as the highest priority
- » consider the economic and cost impact on individuals, businesses and the community in the development and finalisation of new or amended regulatory changes
- » take a pragmatic, practical and proportionate approach to regulation as it applies to different industry sectors having regard to risk
- » implement its regulatory philosophy, with the philosophy being reflected in relevant policies, procedures, manuals, and when CASA personnel are carrying out their day-to-day operations.

The Minister expects that, in conducting its activities as the aviation safety regulator, CASA will have regard to the following **key aviation initiatives**:

- » Changes taking place in relation to air traffic services, including Airservices Australia's new operating model and the transition to a new air traffic management system under the OneSKY project
- » Workforce planning, including ensuring CASA's training and recruitment strategies provide the organisation with the skills and expertise to meet the current and emerging challenges in aviation safety regulation
- » The appropriate sharing and use of safety information by CASA consistent with the Safety Information Policy Statement agreed with the Australian Transport Safety Bureau and informed by 'just culture' principles
- » Completing implementation of the remaining parts of the Government's response to the Aviation Safety Regulation Review, including actively progressing regulatory reform in consultation with industry and supported by appropriate safety cases
- » Implementation of the recommendations of the review and functions of the Office of Airspace Regulation
- » Working with Airservices and the Department of Infrastructure and Regional Development (the Department) on enhancing the level of controlled airspace in Australian airspace including at major regional airports
- » Strengthening international and Asia-Pacific regional aviation safety through:
 - › establishment of appropriate mutual recognition arrangements
 - › support of the Government's aviation safety initiatives in the Asia-Pacific region
 - › commitment to the Memorandum of Understanding between CASA, the Department and Airservices, regarding the management of Australia's International Civil Aviation Organization responsibilities

In performing its **stakeholder engagement** functions the Minister expects CASA will:

- » Undertake effective and ongoing engagement with the aviation industry to create a collaborative relationship between CASA and industry based on a foundation of mutual understanding and respect
- » Consider recommendations by the Industry Complaints Commissioner (ICC) about systemic issues arising from the ICC's investigations
- » Communicate regularly with relevant Government agencies, industry and other key stakeholders regarding CASA's activities and functions
- » Keep the Secretary of the Department and the Minister fully informed of CASA's actions in relation to the requirements stated in this SOE, and promptly advise about any events or issues that may impact on the operations of CASA, including through the provision of timely quarterly progress reports from the Board against the Corporate Plan
- » Work closely with the Department and other Government agencies, including the ATSB, Airservices and the Department of Defence, to deliver integrated and comprehensive safety advice to the Government, the aviation industry and the community.

The SOE is a legislative instrument and is available on the Federal Register of Legislation at:

www.legislation.gov.au

OUR KEY ROLE

CASA's key role is to conduct the safety regulation of civil air operations in Australian territory and the operation of Australian aircraft outside Australian territory. Subject to the overriding considerations of safety, CASA is also responsible for fostering the efficient use of, and equitable access to, Australian-administered airspace.

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

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

Vision:

Safe skies for all

Mission:

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

Values:

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



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



Excellence:
to strive to excel in all we do.

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



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





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



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

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



CASA'S STRATEGIC APPROACH

Key strategic input to this plan

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

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

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

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

Goal 3—Continuous improvement of organisational performance

FINANCIAL ENVIRONMENT

Table 2 2017–18 Portfolio Budget Statements
– income statement for the period ended 30 June

	2017–18 Budget \$'000	2018–19 Forward estimate \$'000	2019–20 Forward estimate \$'000	2020–21 Forward estimate \$'000
EXPENSES				
Employee benefits	122,344	125,186	128,601	132,482
Suppliers	48,901	47,951	49,008	50,171
Depreciation and amortisation	12,252	13,787	13,228	12,442
Total expenses	183,497	186,924	190,837	195,095
LESS:				
OWN-SOURCE INCOME				
Own-source revenue				
Sale of goods and rendering of services	16,500	16,500	16,500	16,500
Interest	1,600	1,700	1,900	2,100
Other	1,000	1,000	1,000	1,000
Total own-source revenue	19,100	19,200	19,400	19,600
Total own-source income	19,100	19,200	19,400	19,600
Net (cost of)/contribution by services	(164,397)	(167,724)	(171,437)	(175,495)
Revenue from Government	164,413	167,738	171,448	175,504
Surplus/(Deficit) attributable to the Australian Government	16	14	11	9
Total comprehensive income/(loss) attributable to the Australian Government	16	14	11	9

Prepared on Australian Accounting Standards basis.

2017–18

CASA is planning a small operating surplus in 2017–18 primarily as a result of returning to our funded average staffing level of 805. In addition to returning to that staffing level, the \$7.6m increase in employee benefits is also driven by pay rises in accordance with the employee enterprise agreement.

Forward years

CASA is budgeting for small operating surpluses in the forward years in the face of a 0.6 per cent reduction in Ordinary Appropriation from Government and with Special Appropriation for aviation fuel excise forecast to grow at around 3.0 per cent per annum as advised by Treasury.

Depreciation expenditure will steadily increase in line with CASA's capital program and employee benefits will continue to increase with pay rises in accordance with CASA's employee enterprise agreement.

Revenue from special appropriations will increase by 3.9 per cent in the Budget year and 3.1 per cent in the forward years as advised by Treasury.

Total expenses in 2017–18 are estimated to be \$183.5m, an increase of \$5.0m when compared to the anticipated outcome for 2016–17. The main movements in the major expense categories are:

- » employee expenses are to increase by \$7.6m as CASA recruits to its funded staff level and the pay rises in accordance with CASA's employee enterprise agreement
- » depreciation expenses increasing by \$0.1m, reflecting an increase in capital expenditure in 2016–17, and
- » supplier expenses decreasing by \$2.7m as a result of ongoing targeted savings measures.

Budgeted departmental balance sheet

CASA's net asset (or equity) position for 2017–18 is forecast to be largely unchanged with a small increase compared to 2016–17, consistent with the anticipated small operating surplus and projected capital investment.

Capital investment strategy

During 2017–18 CASA will be investing \$11.4m in capital expenditure. The 2017–18 investments will centre on a planned refresh of CASA's desktop appliances through an end user computing project, commencement of the service delivery transformation program including redevelopment and rationalisation of forms and the delivery of the information management framework.

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

- » **2018–19 - \$14.3m** – main investment for this period includes continuation of the service delivery transformation program, major upgrades to a number of corporate systems such as AiMS, the human resource management system, enterprise project management toolset, and learning management system, as well as the replacement of the SharePoint platform and the surveillance capability. It also includes planned fit-outs for the Sydney and Brisbane offices.
- » **2019–20 - \$8.7m** - investments include finalisation of the service delivery transformation program, replacement of key information technology infrastructure, the finalisation of the Brisbane office fit-out as well as a fit-out of the Perth office, and a refresh of unified communications.
- » **2020–21 - \$10.5m** – investments include major upgrades to a number of corporate systems such as AiMS, Financial Management Information System, case management, potential fit-outs of Canberra and Adelaide offices, and internet management systems.

RISK OVERSIGHT AND MANAGEMENT

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

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

Safety is CASA's highest priority in all areas of aviation activity and therefore CASA has a low aviation safety risk appetite. That said, as we move from airline passenger transport, through aircraft charter and on to private and recreational aviation our risk appetite will naturally trend upward. This approach recognises both the ALARP principle and the Statement of Expectations which requires CASA to take a pragmatic, practical and proportionate approach to regulation as it applies to different industry sectors having regard to risk.

CASA also has a low risk appetite in relation to employee health and safety.

Recognising that consequences arising from risks associated with activities in goals two and three (stakeholder engagement and organisational performance) are not life threatening, CASA has a moderate risk appetite in these areas.

Reducing aviation safety risks to reasonably practicable levels will be a primary consideration in developing business objectives, however CASA actively seeks opportunities for improvement across all aspects of its business to achieve its goals and vision. We are open to new ideas and encourage and support innovation to identify new solutions.

The Board encourages all staff to actively look for innovative ways to improve the efficiency and effectiveness of CASA functions and service delivery in accordance with the Risk Management Framework.

CASA reviews and updates its risk management policy and practices annually to ensure that they remain aligned with current best practice and accord with the principles outlined in the Australian and New Zealand International Standards Organisation Risk Management – Principles and Guidelines (AS/ NZS ISO31000:2009). CASA utilises the annual Comcover risk management benchmarking survey as an independent performance measure of its risk management practices and maturity levels. The organisation achieved a rating of 'Optimal' in 2015 and 2016, the highest level of risk maturity.

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

The identification, analysis, treatment, monitoring and review of risk are integrated in CASA functions and contribute directly to the effective and efficient achievement of CASA's corporate goals.

Key processes incorporating risk assessment include:

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

CASA has identified **eight strategic risk areas** at the current time. These are:

1. Ineffective regulation

CASA is implementing control measures to minimise the risk of ineffective regulation, including as a result of regulations being delayed; reflecting an incomplete appreciation of the environment or being overly complex and poorly understood.

2. Major aviation accident

While aviation incidents typically have complex causes CASA has controls in place to minimise the risk of its action or lack of action in a range of areas, such as surveillance and enforcement, being a contributing factor to aviation incidents.

3. People

Recognising that the capability of our people is integral to the achievement of our mission, CASA has measures in place to address the risk of staff knowledge, skills, capability and culture being deficient and impacting on our ability to deliver our functions and meet our obligations.

4. Training

CASA has identified the need for a renewed focus on the quality and coordination of internal training programs and record keeping as a strategic priority to provide assurance that staff knowledge is contemporary.

5. Systems and processes

CASA has controls in place and will implement further controls to provide assurance that governance, internal control frameworks and enabling capability support the delivery of CASA's work.

6. Financial stability

Existing and some new controls have been identified to ensure CASA meets its obligations in light of our variable funding environment.

7. Relationships and Influence

CASA has and is further developing measures to engage effectively and credibly with stakeholders.

8. International Civil Aviation Organization (ICAO) Continuous Monitoring Program

CASA has obligations in relation to the ICAO Universal Safety Oversight Program, with this identified as an area of importance and strategic risk.

PERFORMANCE MEASUREMENT

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

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

CASA will measure its success against these KPAs utilising the following 10 Key Performance Indicators (KPIs):

- 1. CASA is an effective aviation safety regulator by international standards**
- 2. CASA does not unnecessarily impede the efficient operation of regulated entities ***
- 3. CASA actively contributes to the continuous improvement of the aviation safety regulatory framework ***
- 4. Actions undertaken by CASA are proportionate to the risk being managed ***

- 5. Compliance and monitoring approaches are streamlined and coordinated ***
- 6. CASA is open and transparent in its dealings with regulated entities and all of its stakeholders ***
- 7. Communication with regulated entities and all of CASA's stakeholders is clear, targeted and effective***
- 8. Education and promotion deliverables are relevant, timely, effective and appropriately targeted**
- 9. CASA's governance structures, finance and risk management align with Commonwealth better practice**
- 10. CASA maintains the capability and capacity to effectively deliver aviation safety regulation.**

As part of the Government's Regulator Performance Framework, CASA has established an external performance validation panel to ensure that CASA's performance indicators and the evidence relied upon to measure CASA's performance are aligned with its key stakeholder expectations. The refinement of comprehensive performance measures will be a continuing focus throughout the period of this plan. The Plan on a Page (page 18–19) outlines the proposed timeframes to develop and set targets against each of CASA's KPIs.

* KPIs required under the Regulator Performance Framework.

PLAN ON A PAGE

Goals	Key performance areas	Key projects
Goal 1: Maintain and enhance a fair, effective and efficient aviation safety regulatory system	Aviation safety regulations and service delivery	<ul style="list-style-type: none"> » RPAS safety regulatory strategy developed » Safety performance indicators developed » Deliver revised enforcement framework » International airworthiness strategy implemented » Regulatory philosophy projects to include delivery of implementation and communication plans, enforcement training, and a strategy to encourage improved voluntary compliance » Deliver customer service charter
	Industry oversight	<ul style="list-style-type: none"> » National Surveillance Selection Process developed and implemented » Sector risk profiling strategy agreed and implemented
Goal 2: Collaborative engagement with the wider aviation community to promote and support a positive safety culture	Stakeholder engagement	<ul style="list-style-type: none"> » Deliver activities arising from memoranda of understanding » Establish industry advisory panel » Develop a consultation protocol » Develop and implement safety communication strategies » Implement international engagement strategy » Finalise a strategic review into Australia's participation in ICAO
Goal 3: Continuous improvement of organisational performance	Governance and organisational effectiveness	<ul style="list-style-type: none"> » Governance Review recommendations delivered » Quality framework delivered » Revised arrangements for client forms, emails and phone are in place providing enhanced client contact arrangements » Delivery of mobile desktop solution enabling CASA information for staff to be available from any device, anywhere, anytime » Replacement of major ICT infrastructure components » Simplified cost recovery regime in place » New long term funding strategy finalised
	CASA's capability and capacity	<ul style="list-style-type: none"> » Renewed performance management framework delivered » Development and implementation of the operational workplace plan » Revised training framework to be developed and implemented

*KPIs required under the Regulatory Performance Framework

Key performance indicators	Measures of success
1. CASA is an effective aviation safety regulator by international standards	» Comparative accident rates per hours flown
2. CASA does not unnecessarily impede the efficient operation of regulated entities *	» Development of regulations using a stakeholder engagement process » Applications submitted to Client Services Centre meet service delivery standards
3. CASA actively contributes to the continuous improvement of the aviation safety regulatory framework *	» Initiatives in place to improve aviation safety regulatory framework and CASA standards meet ICAO minimum standards (optional) – for Australian applicable standards
4. Actions undertaken by CASA are proportionate to the risk being managed *	» Regulatory burden is only increased with a clear safety case » Proportionate enforcement action taken » Number of complaints re disproportionate action
5. Compliance and monitoring approaches are streamlined and coordinated *	» Oversight undertaken in accordance with CASA Surveillance Manual
6. CASA is open and transparent in its dealings with regulated entities and all of its stakeholders *	» Relevant information and guidance material accessible on CASA website » Explanation provided on unfavourable decisions and published on CASA website » Industry forums conducted openly and transparently » Regulations subject to public consultation » Number of complaints re CASA not being open and transparent » Authorisations refused, amended, suspended, cancelled only when regulatory or safety imperative
7. Communication with regulated entities and all of CASA's stakeholders is clear, targeted and effective *	» Stakeholder feedback mechanisms in place and maintained
8. Education and promotion deliverables are relevant, timely, effective and appropriately targeted	» Education and promotion activities meet the needs of aviation community and CASA staff
9. CASA's governance structures, finance and risk management align with Commonwealth better practice	» Top quartile ranking in annual Comcover risk management benchmarking survey » Being mindful of CASA's statutory framework, alignment of governance framework and policies with Australian National Audit Office better practice » ICT operations benchmarked against similar agencies » Improved project monitoring and measurement
10. CASA maintains the capability and capacity to effectively deliver aviation safety regulation	» Maintain high level of staff engagement » Staff trained in accordance with Regulatory and Technical Training Framework

CASA GOALS, OPERATING ENVIRONMENT, OBJECTIVES, INITIATIVES AND PERFORMANCE MEASURES

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

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

Aviation context

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

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

Number of:	Actual			
	2012–13	2013–14	2014–15	2015–16
Registered aircraft (VH registered)	15,100	15,260	15,287	15,347
Domestic passengers ¹	57,380,000	57,570,000	57,220,000	58,400,000
International passengers ²	30,309,000	31,345,000	34,442,000	36,200,000
International low cost carriers	5	7	8	9
Remote Operators Certificates	~45	139	256	688
Domestic commercial flights ¹	644,600	642,600	635,700	637,005
International commercial flights ²	161,019	167,723	175,249	183,207
Flight Crew Licences (excl. students)	27,384	27,195	36,000	34,380
Licenced Aviation Maintenance Engineers	7,700	8,000	8,450	8,695
Sport and recreational pilots ³	16,001	16,110	27,263	30,982
Sport and recreational aircraft ³	6,864	7,433	8,380	8,479

1 and 2: Figures from the Bureau of Infrastructure, Transport and Regional Economics *Key Australian Infrastructure Statistics 2016*

3: This includes pilots and aircraft from Recreational Aviation Australia, Australian Ballooning Federation, Australian Sports Rotorcraft Association, Australian Warbirds Association, Gliding Federation of Australia, and Hang Gliding Federation of Australia. The growth trend is continuing, particularly in the ultralight sector.

A number of trends are evident in the aviation context in which CASA operates. Those that are of most significance to CASA are:

- » very significant growth in the use of remotely piloted aircraft systems (RPAS), represented here by very rapid growth in unmanned operator certificates. Since the introduction of an exemption for commercial RPAS under 2kg in September 2016, it is noteworthy that CASA has received 5,020 notifications of intent to operate in the excluded category as at 30 May 2017
- » while growth rates differ between the various areas of general aviation, strong growth is occurring in the ultralight sector. However there was a decline in VH- registered private flying.
- » strong growth in passenger volumes in international air transport operations on traditional and low cost carriers reflecting inbound passenger growth from countries across Asia.

To address the operating environment we must:

- » continue to focus on the safety of air navigation as our most important consideration
- » afford the highest safety priority to passenger transport operations
- » focus resources on RPAS and promote discussion across national aviation authorities and other stakeholders
- » develop effective communication strategies with the aviation community
- » lead discussion on the categorisation of operations and aviation sector approach to meet the Minister’s Statement of Expectations.

Regulated industry context

The regulated aviation industry comprises a number of segments, represented in the table below.

Regulated industry	Size (industry revenue 2016–17)	Average annual growth rate (2012–17)
International airlines operating in Australia ¹	\$24.6bn	5.3%
Domestic airlines ²	\$14.2bn	0.4%
Airport operations ³	\$4.8bn	4.7%
Aircraft manufacturing and repair services (including defence) ⁴	\$4.0bn	0.2%
Non-scheduled air transport ⁵	\$1.2bn	2.1%

1. IBISWorld Industry Report I4901 International Airlines in Australia, October 2016, page 4
2. IBISWorld Industry Report I4902 Domestic Airlines in Australia, November 2016, page 4
3. IBISWorld Industry Report I5220 Airport Operations in Australia, December 2016, page 4
4. IBISWorld Industry Report C2394 Aircraft Manufacturing and Repair Services in Australia, January 2017, page 4
5. IBISWorld Industry Report I4903 Non-Scheduled Air Transport in Australia, July 2016, page 4

The overseas-based international airline industry is the fastest growing industry sector. The sector is characterised by strong competition on prices amongst low-cost carriers, particularly international air transport operators.

Manufacturing and repair services are experiencing minimal growth. The approval of maintenance organisations is an important area of CASA's regulatory oversight which is impacted by the increasing trend to source maintenance of Australian aircraft internationally. The trend is seen in aircraft heavy maintenance; engine maintenance; aircraft and engine component maintenance and aircraft line maintenance.

While maintenance within Australia is desirable, operators face increased difficulty accessing skilled onshore maintenance providers.

Significant growth in capital city airport usage is anticipated over coming years, which will drive a change in focus in aerodromes and airways regulation.

The complexity of organisations over which CASA must provide regulatory oversight continues to increase as the aviation sector continues to generate new business models in response to competition.

Additionally, new companies are anticipated to continue to enter the Australian and international markets.

To address the operating environment we must:

- » improve risk profiling to allocate surveillance resources to areas of highest safety risk
- » maximise harmonisation of all aspects of the Australian airworthiness spectrum
- » ensure due focus is given to maintaining good working relationships and maintaining trust with our international counterparts.

Regulatory context

CASA is completing the aviation regulatory reform program and aligning where appropriate with International Civil Aviation Organization (ICAO) standards and recommended practices. In this context, CASA must also address the following challenges:

- » changes to overseas and international standards and their application and relevance to the Australian operating environment
- » the whole-of-government imperative to minimise regulatory burden
- » Rapid increase into Australian airspace of traditionally non-aviation participants through the use of remotely piloted aircraft systems (RPAS)
- » rapid advances in technology such as on-board digital automation and production methods are predicted to continue to challenge CASA over the next five years, with the pace of change likely to present challenges in terms of CASA's ability to respond in a timely manner.
- » increasing obligations under the Chicago Convention and bilateral safety arrangements amongst and between National Aviation Authorities
- » the impact of changing economic conditions on regional and general aviation aircraft and airport operators.

To address the operating environment we must:

- » consider the economic and cost impact on individuals, businesses and the community in the development and finalisation of new or amended regulations and decisions made under the regulations, while maintaining safety outcomes
- » use a risk-based approach to regulation, to ensure efficient and effective use of resources based on priorities and identified safety risks

- » take the appropriate regulatory stance, which ensures the outcomes CASA delivers are fair, firm and consistent, and take all relevant circumstances into consideration
- » ensure our regulations reflect best contemporary practice
- » balance resourcing impacts of ongoing activities with reform and project activity.

Our strategic objectives are to:

- » maintain and improve aviation safety performance in Australia
- » aim to ensure our regulatory actions achieve the requisite safety performance without unnecessarily impeding industry and the public
- » maintain a high-level of standing with other national aviation authorities
- » improve the client experience of our service provision of regulatory and licensing services
- » maintain a high-level of compliance with Australia's obligations under the Chicago Convention

Initiatives

To respond to these strategic objectives, CASA has identified focus initiatives and the programs of work which will be required to meet the performance measures over the period of the corporate plan.

Aviation safety regulations and service delivery

Initiative 1.1: Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance, taking into account a pragmatic, practical and proportionate approach to regulation as it applies to risk in different industry sectors

In 2017–18 we will:

- » develop and commence implementation of the final tranche of regulatory reform
- » develop safety performance indicators
- » ensure all internal process manuals are current
- » review our RPAS safety regulatory strategy to inform future regulation of RPAS in consultation with the Government, industry and the community
- » continue the implementation of the Government's response to the Aviation Safety Regulatory Review

Over the following three years we will:

- » complete the regulatory reform program

Initiative 1.2: Ensure CASA's actions achieve the requisite aviation safety performance without unnecessarily impeding industry and important public interests

In 2017–18 we will:

- » embed the principles of CASA's Regulatory Philosophy across the workforce
- » develop and measure performance against service delivery standards for all regulatory services tasks
- » implement an internationally-benchmarked process for establishing unsafe conditions in-service (airworthiness directives)

Over the following three years we will:

- » align new regulations to contemporary international standards as far as reasonably practicable, taking into account the needs of individual sectors and the potential benefits of harmonisation

Initiative 1.3: Promote, develop and improve CASA's regulatory philosophy

In 2017–18 we will:

- » implement and monitor compliance with the principles of CASA's regulatory philosophy
- » implement a multi-phased internal and external communication plan to raise awareness and understanding of CASA's regulatory philosophy
- » develop and introduce strategies and practices which foster voluntary compliance and the achievement of higher standards of safety
- » continue to develop and deliver enforcement and related training to ensure the principles of CASA's Regulatory Philosophy are applied

Over the following three years we will:

- » review the extent to which the regulatory philosophy is reflected across CASA practices
- » implement a plan to streamline legislative action and regulatory processes to respond effectively to an anticipated increase in requests for advice and guidance

Initiative 1.4: Improve the client experience through the provision of regulatory and licensing services

In 2017–18 we will:

- » develop a customer service charter that will shape the way we deliver client services
- » optimise client service channel options with an imperative to provide self-service and digital options
- » create an efficient, simple and accessible client experience
- » adopt, develop and drive a digital first approach to medical certification that supports the objectives of our service delivery

Over the following three years we will:

- » deliver client services in line with our customer services charter
- » continue to drive a digitally enabled client service experience
- » in line with the service delivery transformation program, enhance the delivery and management of client services

Industry oversight

Initiative 1.5: Conduct regulatory services and surveillance of the aviation industry to assure aviation safety performance

In 2017–18 we will:

- » develop and commence implementation of the National Surveillance Selection Process, a nationally coordinated systematic approach to prioritisation of surveillance activity across CASA
- » focus further attention on international air transport operators operating into Australia
- » finalise a strategic and integrated approach to sector risk profiling and use the data to inform and update our surveillance activities
- » improve consistency in decision making and regulatory interpretation across CASA offices
- » regularly review Australian airspace and implement initiatives identified in the Australian Airspace Policy Statement

Over the following three years we will:

- » fully implement the National Surveillance Selection Process
- » develop better safety intelligence, including use of third party information, to enhance risk-based surveillance
- » provide regulatory services as necessary to support major infrastructure developments at aerodromes such as new runways over the next four years and beyond
- » develop an airspace design manual

Initiative 1.6: Develop modern enforcement strategies, policies and practices

In 2017–18 we will:

- » publish a proposed revised enforcement framework for CASR Part 13 for public consultation and comment
- » publish a discussion paper on the nature and level of penalties in the *Civil Aviation Act 1988* and the regulations CASR for public comment

Over the following three years we will:

- » consistent with the objectives of the State Safety Program for Australia, continue to refine CASA's regulatory policies and practices with a view to the promotion of an open and effective safety reporting culture
- » amend CASR Part 13 to implement a revised enforcement framework

Initiative 1.7: Provide airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally

In 2017–18 we will:

- » Develop an international airworthiness strategy in order to identify opportunities for recognition with other NAAs across the airworthiness spectrum

Over the following three years we will:

- » Implement the international airworthiness strategy to establish recognition agreements with other NAA, maximising benefit for Australian aviation

Initiative 1.8: Provide lead regulator role for the OneSKY project*

In 2017–18 we will:

- » Oversight the acquisition and implementation of the OneSKY project after contract and start date are established
- » Conduct detailed analysis and assessment of aviation activity in Australia to justify change as required
- » Conduct entry control and surveillance of certificate holders
- » Participate on ICAO Panels and technical working groups

Over the following three years we will:

- » Continue to oversight the acquisition and implementation of the OneSKY project

** OneSKY is a joint Defence/Airservices Australia project to acquire a new air traffic management surveillance data processing and display system.*

Performance for Goal 1

CASA's performance against Goal 1 will be assessed using the following high level key performance measures and metrics:

Key projects to be delivered:

- » RPAS safety regulatory strategy developed (KPI 1)
- » Safety performance indicators developed (KPI 1, 3)
- » National Surveillance Selection Process developed and implemented (KPI 1, 2, 3, 4)
- » Sector risk profiling strategy agreed and implemented (KPI 1)
- » Deliver revised enforcement framework (KPI 1, 2)
- » International air worthiness strategy implemented (KPI 1)
- » Regulatory philosophy projects to include delivery of implementation and communication plans, enforcement training, and a strategy to encourage improved voluntary compliance (KPI 1, 2, 3)
- » Deliver customer service charter (KPI 2)
- » Continue the implementation of the Government's response to the Aviation Safety Regulatory Review

KPI	Performance measures	Metrics										
1. CASA is an effective aviation safety regulator by international standards	1a. Measurement against comparable National Aviation Authorities Number of accidents per million hours flown (Air Transport) (- current) Number of accidents per million hours flown (General Aviation) (– previous period)	1a. Measurement against comparable NAAs in Canada, New Zealand, United Kingdom, United States Accident rates (air transport) <table><tr><td>AUS</td><td>Canada</td><td>NZ</td><td>UK</td><td>USA</td></tr></table> Accident rates (general aviation) <table><tr><td>AUS</td><td>Canada</td><td>NZ</td><td>UK</td><td>USA</td></tr></table>	AUS	Canada	NZ	UK	USA	AUS	Canada	NZ	UK	USA
AUS	Canada	NZ	UK	USA								
AUS	Canada	NZ	UK	USA								
2. CASA does not unnecessarily impede the efficient operation of regulated entities *	2a. New regulations are developed using a stakeholder engagement process and supported by Regulation Impact Statements to demonstrate net benefits from new regulations 2b. Applications for authorisations submitted to the Client Services Centre meet service delivery standards	2a. Percentage of regulation changes compliant with Office of Best Practice Regulation processes (RIS or RIS exemption) 2b. Percentage of regulation changes assessed against CASA regulatory philosophy 2c. Net reduction in regulatory burden 2d. Percentage of regulation changes subject to intervention by Senate Standing Committee on Regulations and Ordinances 2e. Percentage of regulatory changes with letter of industry support prior to making 2f. Service delivery standards (Licences, Medical, AOC, COA, Part 145) are met in 90% of instances										
3. CASA actively contributes to the continuous improvement of the aviation safety regulatory framework *	3a. CASA has a program of initiatives in place to improve the aviation safety regulatory framework 3b. CASA standards meet ICAO minimum standards (optional) – for Australian applicable standards (CMA for 2015-2016)	3a. Regulatory change proposal process established to accept industry proposals. 3b. Number of industry regulatory change proposals received. 3c. Percentage of regulatory change proposals assessed within three months of receipt 3d. Satisfaction rate of Aviation Safety Advisor information sessions 3e. ICAO Universal Safety Oversight Audit Program Effective Implementation (EI) score (Legislation) <table><tr><td>AUS</td><td>Canada</td><td>NZ</td><td>UK</td><td>USA</td></tr><tr><td>81.82%</td><td>91.3%</td><td>86.36%</td><td>89.66%</td><td>82.62%</td></tr></table>	AUS	Canada	NZ	UK	USA	81.82%	91.3%	86.36%	89.66%	82.62%
AUS	Canada	NZ	UK	USA								
81.82%	91.3%	86.36%	89.66%	82.62%								

* Mandatory KPIs under the Regulator Performance Framework

KPI	Performance measures	Metrics
4. Actions undertaken by CASA are proportionate to the risk being managed *	<p>4a. Regulatory burden is only increased with a clear safety case</p> <p>4b. Enforcement action is proportionate to the infringement identified</p> <p>4c. Number of complaints where CASA has acted disproportionately to the risk being managed</p>	<p>4a. Percentage of regulatory changes supported by a clear safety case (100%)</p> <p>4b. Non Compliance Notices issued/withdrawn</p> <p>4c. The proportion (number of complaints upheld over the total number of complaints received of the same nature) of complaints about CASA not acting proportionately that are upheld</p> <p>4d. Number and type of enforcement related actions taken (including counselling, variation, suspension or cancellation of an authorisation, as well as other arrangements involving reliance on industry participants to address identified shortcomings and deficiencies) as a measure of CASA proportionate approach to enforcement-related decision making</p> <p>4e. Administrative Appeals Tribunal (AAT) and federal court data, including number of applications for appeal and review in relation to decisions made by CASA, and the outcomes of those applications.</p>
5. Compliance and monitoring approaches are streamlined and coordinated *	<p>5b. Oversight of regulated entities is undertaken in accordance with the CASA Surveillance Manual</p>	<p>5a. Percentage level of compliance with surveillance procedures from audit by Safety Systems branch or CASA internal auditor</p> <p>5b. Authorisation Holder Performance Indicators are updated in accordance with CASA Surveillance Manual and used to inform surveillance program</p> <p>5c. Number of surveillance events</p> <p>5d. Quality assurance mechanisms</p>

* Mandatory KPIs under the Regulator Performance Framework

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

CASA will continue to maintain a constructive working relationship with other Australian Government agencies and promote effective collaboration through consultation and communication with the wider aviation community. Through its consultative forums, feedback channels, educational efforts and promotional campaigns, CASA is committed to engaging 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.

Stakeholder context

The aviation community is diverse and varied. It involves billion dollar businesses that are well resourced and sophisticated as well as small family businesses run for passion rather than profit. It includes an increasing number of recreational and sport participants, and RPAS, a relatively new sector that is growing exponentially.

The expectations of the various aviation participants are as varied as their capacity to manage the requirements and standards in place, and the changes that have been imposed over recent years due to our regulatory reform efforts. This has invariably created an environment where tensions and frustrations have developed in some sectors as CASA has tried to find the right balance in its regulatory and oversight approach.

Through all of these differences, a safe and efficient aviation environment is a common goal and one that underpins community confidence. It rings true

whether you are one of almost 400,000 passengers who fly in Australia every day without giving a second thought to your safety, or if you consider aviation a sport or hobby.

CASA recognises that a constructive and collaborative relationship with the aviation community is essential if we are to maintain the health of the aviation sector while sustaining the level of aviation safety for which Australia is world renowned.

In order to find the right balance between supporting innovation, growth and personal freedom while protecting a community that takes aviation safety for granted, we must work in partnership with the stakeholders we regulate.

A key focus for the organisation in developing stronger partnerships is to put a much greater emphasis on developing a shared understanding of current risks and safety issues in each segment of the industry – being absolutely clear about the problem we are trying to fix. Too often, the driver for change or new regulation has not been well understood.

With the issues clear, agreement on, or at least understanding of, the policy approach CASA is taking is an area where we see significant opportunity for improving our engagement.

We recognise that with such a diverse set of stakeholders, we need to tailor and adapt the ways we consult and a number of initiatives will be delivered during the planning period to address this challenge.

CASA will also continue to maintain a constructive working relationship with other Australian Government agencies in order to deliver complementary and collaborative services to the aviation community and the public.

A significant refresh of our consultative forums is underway, and we are looking to enhance feedback

channels, educational efforts and promotional campaigns. This includes the establishment of the new Aviation Safety Advisory Panel that will include high-level industry representation to ensure agile, strategic and constructive engagement. Throughout these efforts, CASA is committed to engaging 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.

Effective stakeholder engagement underpinned by targeted communications plays a critical role in how we can influence the perception and behaviours of our own staff as well as external stakeholders and clients.

A change in digital platforms means we must also adapt to changing stakeholder expectations about the way in which we consult and collaborate.

To address our operating environment, we must:

- » listen, consult and communicate with all interested parties on aviation safety issues
- » ensure we are providing information to stakeholders in a way that encourages and facilitates engagement, particularly regarding regulatory and safety issues
- » ensure our international engagement efforts support Australia's international priorities and foster safe practices in the region

Our strategic objectives are to:

- » maintain a consistent approach to stakeholder and client engagement with the aviation industry and the community
- » actively engage with stakeholders and clients to understand their expectations and needs through regular contact and open and honest dialogue

- » review and assess stakeholder and client engagement against business plans and organisational strategies
- » increase stakeholder and client awareness of our strategic direction and regulatory changes
- » improve staff understanding of stakeholder and client issues and requirements
- » improve stakeholder and client service experiences both digitally and in face-to-face interactions
- » meet government and industry expectations of our consultation and engagement activities
- » continue to strengthen international and in particular Asia-Pacific regional aviation safety

Initiatives

To respond to these strategic objectives, CASA has identified focus initiatives and the programs of work which will be required to meet the performance measures over the period of the corporate plan.

Stakeholder engagement

Initiative 2.1: Work with international organisations and other nations

In 2017–18 we will:

- » maintain key regulatory relationships with organisations such as the Federal Aviation Administration, the European Aviation Safety Agency and the Civil Aviation Authority New Zealand, and others
- » promote Australian expertise
- » work with international counterparts to inform regional and global harmonisation of regulatory development
- » deliver activities with our counterparts in both Indonesia and Papua New Guinea to enhance aviation safety oversight capacity in the region, as agreed in relevant memoranda of understandings on cooperation in the transport sector

- » maintain active engagement with Asia Pacific regulatory counterparts, including through our role as technical advisor to the Departmental Australian Council Representative to the Pacific Aviation Safety Office (PASO)
- » review and establish formal bilateral arrangements with counterpart agencies that recognise mutual safety outcomes to reduce regulatory duplication and costs to Australian industry
- » contribute to International Civil Aviation Organization (ICAO) aviation safety and technical groups as appropriate to maintain Australia's standing as a state of chief importance in ICAO, shape the direction of global aviation standards, and inform CASA of best practice

Over the following three years we will:

- » continue to offer and coordinate appropriate regulatory education, training assistance, and advice in support of Australia's engagement in the Asia Pacific region
- » continue to participate on an informed and rational basis in ICAO regional aviation safety and technical groups as appropriate

Initiative 2.2: Work with partner organisations

In 2017–18 we will:

- » collaborate with local government organisations on local and national safety issues such as remotely piloted aircraft systems and airport-related issues
- » explore opportunities for us to demonstrate safety leadership by bringing industry safety partners together
- » listen and respond appropriately following industry engagement

Over the following three years we will:

- » maintain relationships with government, other agencies, media and industry groups
- » continue to review and improve sponsorship arrangements with partner organisations

Initiative 2.3: Develop stakeholder relationships

In 2017–18 we will:

- » further develop the newly established Aviation Safety Advisory Panel that covers the largest possible industry representation but with a senior membership that allows agile strategic and constructive engagement
- » develop a consultation protocol for our stakeholders and clients which sets out the basic principles that we will apply in our consultation activities
- » communicate clearly about our role by developing communication products and campaigns, including a focus on the regulatory process
- » continue to review and improve staff communication to ensure their timely access to relevant information
- » continue to provide timely, accurate advice to our government and international stakeholders and enhance working relationships with existing stakeholders as well as establish appropriate relationships with new stakeholders

Over the following three years we will:

- » develop and implement best-practice consultation
- » continue to improve the user experience of our digital services such as the website, social media and collaboration platforms
- » improve our reputation and brand through consistent and effective governance
- » implement an effective Customer Relationship Management system to allow us to better capture, record and track all client and stakeholder interactions and engagement and be better informed about our stakeholder and client needs and perceptions before, during and after specific engagement activities
- » develop a service charter and report on it through quarterly performance reports for industry

Initiative 2.4: Provide comprehensive safety promotion programs to the aviation industry and stakeholders

In 2017–18 we will:

- » continue to develop and implement safety communication strategies in response to identified priority areas, such as drones, dangerous goods, safety management systems and human factors, and sport aviation
- » review and refine existing programs/products such as *OnTrack* and Human Factors for pilots in a process of continuous improvement
- » develop a social media strategy

Over the following three years we will:

- » continue to evolve our digital services and products such as CASA's magazine *Flight Safety Australia* to ensure they meet our stakeholders' needs and adapt to technological changes
- » develop updates for human factors for pilots kit and hold national workshops
- » develop a mobile app to inform and educate drone operators
- » develop a cabin safety advertising campaign
- » support CASA presence at key aviation conferences and events
- » continue CASA Safety promotion sponsorship and research grants program

Initiative 2.5: Strengthening international and Asia Pacific regional aviation safety engagement

In 2017–18 we will:

- » finalise, publish and begin to implement CASA's International Engagement Strategy ensuring appropriate focus on:
 - › mutual recognition arrangements

- › the Government's safety initiatives in the Asia Pacific region; and
- › commitment to the Tripartite MoU between the Department, Airservices Australia and CASA regarding the management of Australia's International Civil Aviation Organization (ICAO) responsibilities.
- » develop stronger relationship with the Civil Aviation Authority New Zealand the Defence Aviation Safety Authority to exploit mutually beneficial outcomes
- » develop principles and practices to support the effective implementation of CASA's International Engagement Strategy
- » work with the Department and Airservices Australia to finalise a strategic review into Australia's participation in ICAO:
 - › within the Tripartite, work with other Government stakeholders to the Convention on International Civil Aviation 1944 (the Chicago Convention) including the Australian Transport Safety Bureau, Australian Maritime Safety Authority and Bureau of Meteorology
 - › prepare for the ICAO Coordinated Validation Mission (ICVM) reviewing Australia's effective implementation of ICAO Standards and Recommended Practices

Over the following three years we will:

- » continue to implement, refine and enhance CASA's International Engagement Strategy
- » develop and commence implementation of an international airworthiness recognition strategy
- » continue to engage with partners in the Asia Pacific region
- » refine and revise CASA's International Engagement Strategy to ensure alignment with contemporary goals and objectives
- » identify and develop appropriate areas of regional and global engagement in keeping with the objectives of CASA's International Engagement Strategy

Performance for Goal 2

CASA’s performance against Goal 2 will be assessed using the following high level key performance measures and metrics:

Key projects to be delivered:

- » Further develop newly established Aviation Safety Advisory Panel (KPI 6, 7)
- » Develop a consultation protocol (KPI 6, 7)
- » Develop and implement safety communication strategies (KPI 7)
- » Implement international engagement strategy
- » Finalise a strategic review into Australia’s participation in ICAO.

KPI	Performance measures	Metrics
6. CASA is open and transparent in its dealings with regulated entities and all of its stakeholders *	<p>6a. Processes, guidance and applicable policy manuals (standards, enforcement and surveillance) are available on the website</p> <p>6b. Unfavourable decisions are accompanied by a statement of reasons where required under legislation or other authority and are published on the CASA website</p> <p>6c. Industry forums are conducted in an open and transparent manner</p> <p>6d. Regulations are subject to public consultation</p> <p>6e. Number of complaints about CASA not being open and transparent</p> <p>6f. Authorisations are only refused, amended, suspended or cancelled by the Client Services Centre when there is a regulatory or safety imperative.</p>	<p>6a. Documents easily accessible on website (Health survey question)</p> <p>6b. Percentage of unfavourable decisions accompanied by statement of reasons (100%)</p> <p>6c. Industry forums eg: Standards Consultative Committee, Regional Airspace and Procedures Advisory Committee</p> <p>Agenda provided</p> <p>Meeting minutes taken</p> <p>Action recorded</p> <p>6d. Percentage of regulation changes subject to public consultation (100%)</p> <p>6e. The proportion of complaints about CASA failing to act openly and transparently that are upheld</p> <p>6f. Percentage of authorisations that are refused, amended, suspended or cancelled by the Client Services Centre based on sound regulatory or safety reasons (100%)</p>

KPI	Performance measures	Metrics
7. Communication with regulated entities and all of CASA's stakeholders is clear, targeted and effective *	7a. Stakeholder feedback mechanisms maintained through the use of SCC forums, formal public consultation processes and clear complaints processes	<p>7a. Relevant guidance material, forms and other documentation are prepared, published and/or distributed by CASA to support rulemaking processes</p> <p>7b. Communication strategies and plans are developed to ensure accurate and timely information is provided to internal and external audiences/ stakeholders</p> <p>7c. Communication to CASA staff is timely to ensure consistent and accurate responses to public inquiries across all CASA business areas</p> <p>7d. Feedback from external forums (SCC, RPAC) and Aviation Safety Advisors</p> <p>7e. Feedback from media communications</p>
8. Education and promotion deliverables are relevant, timely, effective and appropriately targeted	8a. Education and promotion activities meet the needs of regulated entities and CASA staff	<p>8a. Activities and campaigns are developed to meet safety requirements/priorities which are identified using existing or new research and data from internal and external sources</p> <p>8b. Positive sentiment/satisfaction rate in survey following safety promotion events/workshops</p> <p>8c. Effective take up of new products through promotion</p> <p>8d. Effective use of social media channels</p> <p>8e. Technical training fully compliant with ICAO requirements</p>

*Mandatory KPIs under the Regulator Performance Framework

Goal 3 – Continuous improvement of organisational performance

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

CASA operates in an environment of ever increasing technological change and advancement which requires the appropriate processes, technology and capability to provide contemporary service offerings to CASA staff and the aviation industry. In order to support the effective implementation of change and the realisation of investment benefits, CASA is enhancing governance arrangements and project assurance processes. CASA continues to require a workforce with significant aviation industry experience and a strong knowledge of safety regulations to successfully administer the *Civil Aviation Act 1988*.

CASA's workforce is geographically spread across Australia and provides aviation safety services to metropolitan and regional areas.

Our workforce

Historically, CASA has approached recruitment from a 'replacement' perspective, with some predictive recruitment in selected roles. Given likely future vacancies occurring through natural attrition, opportunities are available to CASA to more strategically manage its staffing numbers. The traditional profile of the aviation market from which CASA has sourced its operational employees continues to be a competitive and specialised environment with limited market supply. As a consequence, CASA must continually explore new and different ways to attract, grow and retain the

necessary expertise across our operational and enabling functions. In addition, as a contemporary and effective regulator we need to continually expand the range of skill sets in our workforce, support flexible work practices, and create a culture of excellence, integrity, accountability and professionalism. This could also include 'exchange' positions with industry.

Our information technology

The continually changing landscape of technology through increased connectivity and enhanced digitisation provides an imperative for CASA to continually improve the client experience and the way in which our workforce operates. Industry is increasingly expecting to engage digitally with CASA through the use of contemporary technologies and CASA employees expect the same capability from CASA's internal systems, and for information technology to continuously evolve to provide seamless capability and flexibility and to support increasing demands for mobility. Our key strategic outcomes are to:

- » Simplify and modernise CASA's ICT landscape
- » Deliver client permission and licencing services digitally
- » Improve client service delivery
- » Provide Internal and external collaboration capability
- » Make CASA information available from 'any device, anywhere, anytime'

To address our operating environment, we must:

- » Attract and retain the right capability at the right time
- » Provide development opportunities to enable our people to be qualified, competent and capable to provide technical expertise and deliver regulatory services to a high standard

- » Establish collaborative and consultative interactions with CASA's stakeholders, clients and safety partners
- » Continually enhance CASA's governance arrangements with the provision of appropriate structures and balanced environment to achieve organisational goals
- » Define and guide a period of consolidation, rationalisation and enhancement that delivers improved reliability and simplified useability for CASA's ICT systems

Our strategic objectives are to:

- » Ensure that our enabling services support the strategic imperatives and regulatory obligations in a reliable, consistent, practical, responsive manner to enable the optimum service and regulatory delivery
- » Ensure our governance arrangements are strengthened and our accountabilities clearly understood and adhered to
- » Expand the use of new technologies to improve client experiences through greater digitisation
- » Redevelop processes to increase efficiency, remove duplication and reduce red tape
- » Equip our people with the specialist skills and professional development opportunities to lead and deliver upon our regulatory imperatives and to create a culture of high performance, excellence and integrity

Initiatives

To respond to these strategic objectives, CASA has identified focus initiatives and the programs of work which will be required to meet the performance measures over the period of the corporate plan.

Governance and organisational effectiveness

Initiative 3.1: Identify and align our workforce capabilities to meet future challenges

In 2017–18 we will:

- » adopt an active stance on succession planning and leadership development that is founded on the outcomes of the leadership capability assessment initiative
- » redefine the performance framework and guidance material to assist managers to hold people to account for their performance through consistent feedback and stronger people management practices
- » review and implement the recommendations from the 2017 staff engagement survey and regularly measure the level of engagement of CASA staff, including effectively responding to impediments to engagement
- » implement staff exchange programs with industry

Over the following three years we will:

- » create a workforce capable of being deployed as efficiently and effectively as possible
- » source and/or develop workforce capabilities in line with CASA's business imperative
- » create a culture where staff are enabled, engaged and energised to do their job
- » actively manage our talent and leadership development, supporting a workforce culture of high performance, excellence and integrity
- » regularly measure the level of engagement of our staff and respond effectively to impediments to engagement.

Initiative 3.2: Consolidate and embed enterprise wide project management and governance

In 2017–18 we will:

- » embed a renewed project management framework
- » build project management capability
- » support the management of projects through independent assurance assessments and gateway reviews
- » embed enhanced organisational change management approaches to support the successful implementation of enterprise wide projects and initiatives

Over the following three years we will:

- » embed and enhance the capability to maintain a mature governance framework that is adaptive, purposeful and coordinated to deliver accountability, performance and priorities
- » enhance benefits management measurement, monitoring and achievement

Initiative 3.3: Review and improve governance arrangements and quality of our activities

In 2017–18 we will:

- » implement recommendations from a governance review
- » implement a quality framework with a particular focus on aligning the management system with ISO 9001:2015, supporting continuous improvement, developing a quality assurance framework and improved quality measurement and reporting
- » revisit our approach to risk to build awareness and improve our application of risk principles

Over the following three years we will:

- » refine and develop our approach to quality management

Initiative 3.4: Adopt, develop and drive client service delivery improvements incorporating a digital first and any device enabled approach that supports the objectives of our service delivery

In 2017–18 we will:

- » optimise client contact arrangements with a particular focus on forms, email and phone channels

Over the following three years we will:

- » transform our digital services client offering to align clients' needs, services and priorities across contemporary client service channels
- » strengthen our data management and analytics capability to support enhanced client information

Initiative 3.5: Leverage proven advances in technology and ICT practices to continually improve services for the benefit of CASA and its clients

In 2017–18 we will:

- » deliver new desktop capability to increase flexibility for CASA's inspectorate
- » investigate options for the replacement of aviation risk based system
- » increase the ability for our staff to access CASA information from 'any device, anywhere, anytime'

Over the following three years we will:

- » as part of service delivery transformation, implement a technology foundation that will support mobility, multi-channel access, and drive simple self-service options for our internal and external stakeholders
- » expand the ability for our clients to access CASA information from 'any device, anywhere, anytime'

CASA's capability and capacity

Initiative 3.6: Improve our training and professional development activities to enhance and develop our people

In 2017–18 we will:

- » centralise the management of training and development
- » establish a learning advisory panel comprised of stakeholders from each functional area of CASA to report to CASA's executive team

Over the following three years we will:

- » continue to focus on our core regulatory responsibilities and delivery of training to internal and external stakeholders to support this action plan
- » review and implement training of Industry Delegates required to fulfil their responsibilities on behalf of CASA to ensure they hold and maintain the necessary competencies and currency
- » explore strategic partnerships with regard to 'make vs buy' and review the existing multi-panel list to maximise our return on investment
- » conduct a review of CASA-wide training budget and expenditure and the studies assistance program to recommend an appropriate budgeting model.

Initiative 3.7: Continue to maintain sound financial management

In 2017–18 we will:

- » revise our funding profile in response to revenue and other emerging pressures
- » consult with stakeholders on simplified cost recovery arrangements

Over the following three years we will:

- » implement the simplified cost recovery arrangements
- » maintain a sustainable funding profile to fulfil our obligations and meet stakeholder expectations.

Performance for Goal 3

CASA's performance against Goal 3 will be assessed using the following high level key performance measures and metrics:

Key projects to be delivered:

- » Renewed performance management framework delivered (KPI 9)
- » Governance Review recommendations delivered (KPI 9)
- » Quality framework delivered
- » Revised arrangements for client forms, emails and phone are in place providing enhanced client contact arrangements
- » Delivery of mobile desktop solution enabling CASA information for staff to be available from any device, anywhere, anytime
- » Replacement of major ICT infrastructure components
- » Development and implementation of the operational workplace plan (KPI 10)
- » Simplified cost recovery regime in place (KPI 9)
- » New long term funding strategy finalised
- » Revised training framework to be developed and implemented (KPI 10)

KPIs	Performance measures	Metrics
9. CASA's governance structures, finance and risk management aligned with Commonwealth better practice	<p>9a. CASA placed in the top quartile of agencies in the Comcover annual risk management benchmarking survey</p> <p>9b. Being mindful of CASA's statutory framework, alignment of governance framework and policies with Australian National Audit Office better practice</p> <p>9d. CASA ICT will benchmark and review its operations</p> <p>9e. CASA ICT service performance will be defined and benchmarked against similar Government and private sector organisations</p> <p>9f. Agreed project benefits and milestones are measured, monitored and achieved</p>	<p>9a. CASA ranking in Comcover annual risk management benchmarking survey</p> <p>9b. Financial statements audit by ANAO – unqualified</p> <p>9c. All ANAO audit recommendations implemented within agreed timeframes</p> <p>9d. CASA ICT will operate within APS benchmarking tolerances</p> <p>9e. CASA ICT Service performance will operate within agreed service levels for business system availability and reliability and service management</p> <p>9f. CASA strategic investment projects achieve their stated objectives</p>
10. CASA maintains the capability and capacity to effectively deliver aviation safety regulation	<p>10a. Maintain the current high level of employee engagement (75% or above) as reported every two years</p> <p>10b. Staff trained in accordance with the Regulatory and Technical Training Framework</p>	<p>10a. Staffing supply is within 5 per cent variation of workforce demand and reduction in the capability gap for each of the five workforce capabilities</p> <p>10b. External stakeholder satisfaction has increased</p> <p>10c. Quarterly completion rates of Regulatory and Technical Training modules by aviation safety regulators post implementation reviews</p>


COMPLIANCE TABLE

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

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

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

Requirement	Page(s)
Statement of preparation	02
Purposes of the entity	08
Operating environment	20-21, 29-30, 35
CASA's performance measures	26-28, 33-34, 38-39
Risk oversight and management	15



CASA National Headquarters
Aviation House
16 Fuzer Street
Phillip ACT 2606
GPO Box 2005
Canberra ACT 2601



Back cover image credits:
SR22 Cirrus Aircraft © Civil Aviation Safety Authority | Duncan Grant
Yamaha RMAX © Civil Aviation Safety Authority | Duncan Grant
Air Tractor AT-602 © Civil Aviation Safety Authority | Dean Covell
Mustering pilot © Eye in the Sky | Jon Davison
Inspector © Civil Aviation Safety Authority | Dean Covell
Glider lineup © Civil Aviation Safety Authority | Dean Covell
Falcon 5X robotics © dassaultfalcon.com
Ground crew © Lufthansa Technik AG | Gregor Schläger
Falcon 5X System test © dassaultfalcon.com | Philippe Stroppa
Off-shore helicopter on takeoff © Airbus Helicopters | Anthony Pecchi
Lockheed EC130Q Fire bomber © Civil Aviation Safety Authority | Duncan Grant

NOTES

[illegible]



CASA National Headquarters

Aviation House
16 Furzer Street
Phillip ACT 2606
GPO Box 2005
Canberra ACT 2601

