



Australian Government
Civil Aviation Safety Authority

ANNUAL REPORT

2020-21

Acknowledgement of country

The Civil Aviation Safety Authority (CASA) respectfully acknowledges the Traditional Custodians of the lands on which our offices are located and their continuing connection to land, water and community, and pays respect to Elders past, present and emerging.



JAMES BABAN
OUR WAY, 2019

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LETTER TO THE MINISTER



Australian Government
Civil Aviation Safety Authority

CHAIR – CASA BOARD
Ref: EF09/23970
20 September 2021

The Hon Barnaby Joyce 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 CASA's annual report for the reporting year 1 July 2020 to 30 June 2021.

The report includes a correction to the *CASA Annual Report 2019–20*. In Table B.3 of that report, column headings were inserted in the wrong order, resulting in the incorrect reporting of employees by classification and gender at 30 June 2020. The table has been corrected in this report in Appendix B.

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 16 September 2021.

Yours sincerely

Air Chief Marshal Mark Binskin AC (Retired)
Chair
CASA Board

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SNAPSHOT OF 2020–21

Civil Aviation Safety Authority

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*.

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.

Under the *Airspace Act 2007*, 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 aviation safety 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.

While regulating the safety of civil aviation remains its primary role, CASA also provides safety education and training programs.

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.

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

People

At 30 June 2021, CASA employed **857** ongoing and non-ongoing employees in offices around Australia.

We also had a direct regulatory relationship with:

- **30,985** pilots
- **15,855** registered aircraft
- **793** air operator certificate holders
- **2,174** remotely piloted aircraft operator certificate holders
- **21,643** remote pilot licence holders
- **9,358** licensed aircraft maintenance engineers
- **911** air traffic controllers
- **331** operators of certified and registered aerodromes
- **577** maintenance organisations
- **27,584** registered drones
- **14,791** drone accreditation holders.

CASA was also indirectly connected with more than 100,000 people involved in the Australian aviation community, as well as many millions of passengers whose safety is CASA's primary concern.

Values

CASA respects and values its employees and recognises the importance of promoting a harmonious and productive workplace. Our values and code of conduct set out the standard of behaviour expected of CASA employees in the way we operate within our organisation and the way we interact with the aviation community.

- **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.

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 2020–21 objectives were identified in the *CASA Corporate Plan 2020–2021*.

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.

Goals

- 1** Maintain and enhance a fair, effective and efficient aviation safety regulatory system
- 2** Engage collaboratively with the wider aviation community to promote and support a positive safety culture
- 3** Continuously improve organisational performance.

Performance

Against the **8** performance criteria in CASA's Portfolio Budget Statements, **9 of 11** targets were achieved, while **2** were partially achieved.

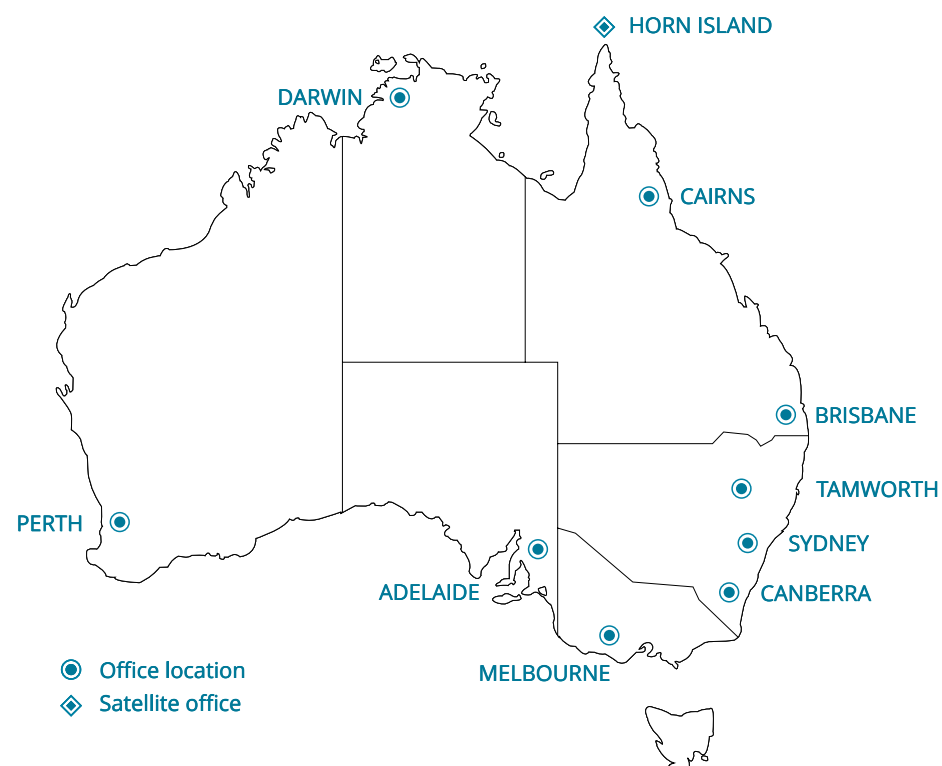
Against CASA's **3** corporate goals:

- **17 of 18** measures of success against key performance indicators were completed or on track, while **1** was delayed
- **15 of 16** strategies and plans in key performance areas were completed or on track, while **1** was delayed.

Financial results

Key indicator	2019–20 (\$m)	2020–21 (\$m)	Change (%)
Operating revenue	188.3	209.2	11.1 Δ
Operating expenses	200.7	193.0	3.8 ∇
Operating surplus (deficit)	(12.4)	16.2	230.7 Δ

Locations



CASA enhances aviation safety by:

- Conducting entry control assessments, regulatory services and regulatory surveillance of the aviation community, including passenger-carrying scheduled (regular public transport) and unscheduled (charter) air transport operations, cargo operations, aerial work operations, remotely piloted aircraft systems operations, maintenance providers, manufacturers and design organisations.
- Developing and maintaining a regulatory framework through guidance material and regulatory aids which we review and update in consultation with industry.
- Providing safety education seminars, programs and resources for industry and the public to encourage a greater acceptance by the aviation community of its obligation to maintain high standards of aviation safety.
- Regulating Australian-administered airspace (including a rapid response service for authorities requiring protected airspace at short notice), 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 under the civil aviation legislation in Australia and overseas.
- Analysing data to determine appropriate interventions to maintain and improve Australian aviation safety performance.
- Administering the medical standards applicable to the aviation community, including through providing advice and support to aviation medical delegates.
- Continually developing capability and capacity to effectively deliver aviation safety regulation through mandatory and recurrent training for CASA employees.
- Conducting the oversight of foreign and domestic aircraft operations within Australian territory, and the operation of Australian aircraft outside Australian territory.
- Taking appropriate enforcement actions when necessary.

INTERESTING FIGURES FROM 2020-21



370

additional aircraft registered, bringing the total Australian registered fleet to **15,855**



3,669

pilots issued new flight crew licences



36,726

flight crew licensing applications and notifications (not including aviation reference number applications) processed, **32%** of them were facilitated through the myCASA portal



19

new foreign aircraft models accepted into Australia for operation



26

Infringement notices and **26** counselling notices issued for remotely piloted aircraft systems matters



878

queries resolved by the Guidance Delivery Centre in its first 6 months of operation



33

Airservices Australia and **82** aerodrome surveillance events conducted



87%

of scheduled surveillance audits conducted, totalling **998**



3,798

people issued their first medical certificate, **1,574** of them receiving their first Class 1 medical certificate



3,973

orders placed and **72,574** items dispatched through our online store



82%

of CASA employees participating in the 2021 Australian Public Service Employee Census



175

face-to-face aviation safety seminars and **578** on-site visits by aviation safety advisors conducted around Australia, reaching more than **5,250** members of the aviation community



27,584

drone registrations and **14,791** drone accreditations recorded



1,936

responses submitted through the CASA Consultation Hub survey on visual flight rules communication and surveillance equipment, making it the most popular survey



49%

increase in aviation reference number service interactions, reaching over **35,000** individuals



17,771

eLearning training sessions completed by aviation industry personnel, through the AviationWorx portal



440

new remotely piloted aircraft operator certificates issued



68,882

self-tests on drone safety rules conducted at [knowyourdrone.gov.au](https://www.knowyourdrone.gov.au)



17%

increase in social media followers, to **112,890** followers across all platforms



164

appointments of airworthiness delegates and authorised persons and **89** production authorisations active at 30 June 2021



3

CASA employees honoured for 30 years of service, **2** honoured for 25 years of service and **10** honoured for 20 years of service



243%

increase in digital interactions with clients, reaching a total of over **109,000** aviation community participants

INTERESTING ACTIVITIES IN 2020–21

- CASA provided COVID-19 support in response to the pandemic's continued impact on the aviation industry, including:
 - extension of medical certification by up to 12 months for domestic operations
 - alleviation of flight review and proficiency check requirements across the aviation community for 3 months to 31 March 2021
 - simplification of aerial application rating proficiency checks to apply to aeroplane and helicopter operations and not require a safety risk mitigation plan
 - extension of examiner proficiency checks by up to 6 months to 31 March 2021, with an alternative, ground-based check made available
 - approval of 79 safety risk management plans to facilitate the extension of the initial 3-month flight review and proficiency check alleviation by a further 9 months to 31 March 2021.
- CASA introduced and awarded 6 aircraft maintenance engineer scholarships. These scholarships provide financial support to encourage and assist aspiring licensed aircraft maintenance engineers in their training and achievement of a Civil Aviation Safety Regulations (CASR) Part 66 licence.
- CASA implemented the Australian-based operational colour vision assessment in January 2021, offering an alternative third level of assessment for Class 1 and Class 2 pilots alongside the colour assessment and diagnostic test.
- CASA released a survey to pilots with recently renewed medical certificates to obtain feedback on their interaction with CASA's Aviation Medicine section. The survey is the first of its kind for the section and will help inform the review of CASR Part 67 (medical), providing insights into administrative process issues and identifying where improvements can be made.
- CASA launched the first of 7 planned eLearning modules to industry personnel in preparation for the implementation of the flight operations regulations.
- All 204 certified aerodromes successfully transitioned to CASR Part 139 (aerodromes) in May 2021.
- CASA completed its Regulatory Services and Surveillance Transformation Program, which included:
 - the completion of first-principles reviews to ensure the alignment of business processes with regulations
 - the establishment of the Guidance Delivery Centre to support the provision of clear and consistent guidance to regulated entities
 - the implementation of a national functional model, with national teams for regulatory assessment, surveillance, guidance and supporting business processes.
- CASR Part 101 (unmanned aircraft and rockets) was amended to align the CASR with the Australian Space Agency's legislative framework for high-power rockets, including the transfer of certain responsibilities for oversighting regulatory risk of high-power rockets to the agency.

- CASA worked closely with other Australian Government agencies – such as the Australian Border Force, the Department of Foreign Affairs and Trade, the Department of Infrastructure, Transport, Regional Development and Communications, the Australian Federal Police and the Department of Health – to facilitate repatriation flights and personal protective equipment cargo flights by Australian-registered and foreign-registered airlines in response to the COVID-19 pandemic.
- CASA established 3 new staff diversity and inclusion networks – the CASA Abilities Network, the Gender Network, and Rainbow Skies (for our staff in the LGBTIQ+ community) – which drive an active program of diversity and inclusion initiatives and events.

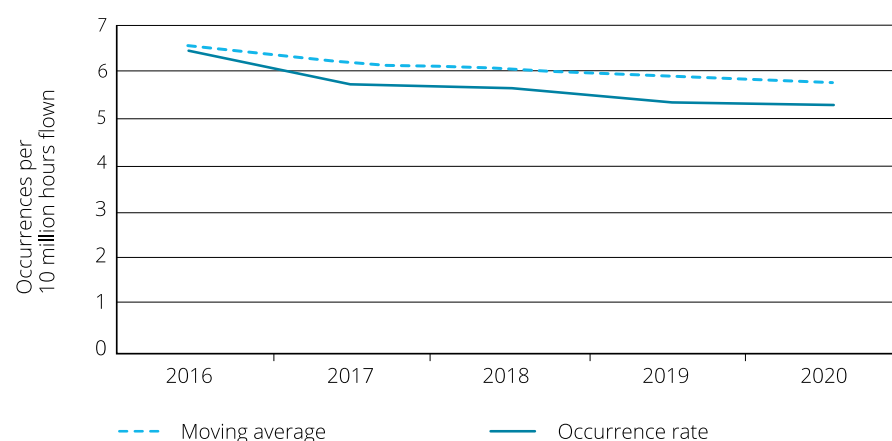


Image: Civil Aviation Safety Authority

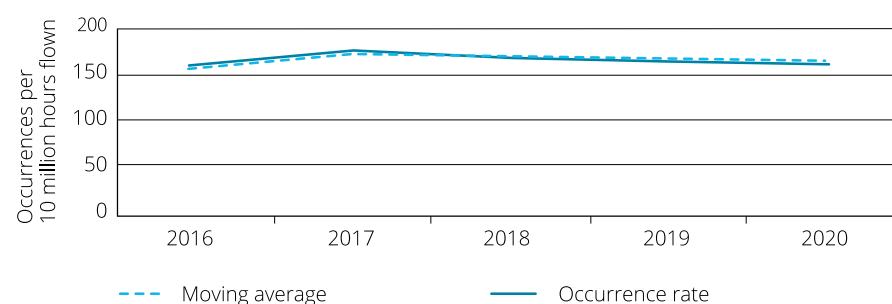
ACCIDENT AND INCIDENT TRENDS IN AVIATION

Data suggest that aviation accident rates have decreased over the past five years and that the incident rate also eased in 2020.

Overall industry accident trend



Overall industry incident trend



Note: The accident and incident rates were calculated on a calendar year basis. This is due to flying hours being collected by the Bureau of Infrastructure and Research Economics (BITRE) on a calendar year basis through an annual survey.

Data used to populate the occurrence trend charts were sourced from the BITRE on 23 July 2021. At the time, the BITRE had not received responses from some operators in relation to their flying hours undertaken in 2020.

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 calculation.

Sources: Australian Transport Safety Bureau air safety incident reports and BITRE flying hours.

PART 1: 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*.

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MESSAGE FROM THE CHAIR OF THE BOARD

Emerging from the shadow of COVID-19 has proved challenging for the aviation industry. Never has an aphorism such as 'two steps forward, one step back' been more appropriate than when watching how the pandemic has severely hit not only the way we go about our daily lives, but also the way we understand and approach the very notions of work and travel. This time last year I wrote that domestic and international travel as we know it may never be the same. Recovery has been slower than we all would have liked, but restricted access to international markets and the volatility of domestic travel is a reality we face for the foreseeable future.

Looking back, we see that 2020–21 was a period of hope and frustration in equal parts. The various pandemic relief measures provided by CASA in the previous year began to be phased out and we looked forward to the aviation industry emerging with a renewed sense of optimism. CASA pushed forward with a number of initiatives that were successfully delivered. 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, remain on track for commencement in late 2021.

At this stage I must pay tribute to Shane Carmody PSM, who retired from CASA on 31 December 2020 as Chief Executive Officer and Director of Aviation Safety. It was Shane's leadership and willingness to drive performance that led to the full regulatory suite being finalised, following delays over a number of years. I thank Shane for his contribution to CASA and the aviation industry in his role as Director since 2016.

In the last 12 months, CASA's surveillance posture was examined and renewed. The introduction of a new operating model for delivering regulatory services and surveillance will utilise systems, processes and capability on a national basis. It will allow CASA to address a number of issues associated with standardisation and consistency, and we are confident it will improve the client experience. Significant transitional work has also been undertaken to support the Civil Aviation Order 48.1 flight crew fatigue rules by 1 July 2021 and the vast majority of air operator certificate holders have submitted their applications before the 1 July 2021 commencement date.

Other initiatives gained some ground but suffered due to COVID-19 delays, not the least of which were implementing commercial drone registration, reviewing issues around the passenger seat limit for air transport in smaller aeroplanes, further transitioning to self-administering aviation organisations under Civil Aviation Safety Regulations (CASR) Part 149, and continuing our other business transformation and digitisation initiatives.

While we continue to face considerable uncertainty for the future, I am pleased that CASA has sought to improve the way we consult and interact with the aviation community, making all of our dealings more transparent and effective. Together, we will continue to support this industry and assist where we can to overcome the difficulties faced in the prevailing pandemic environment.

The CASA Board appointed Pip Spence PSM as the new Chief Executive Officer and Director of Aviation Safety. Pip brings a fresh and new perspective to the role, and her vast experience

across the Australian Government will ensure CASA's effective contribution to the Government's aviation agenda and Australia's Aviation State Safety Programme. I also thank Graeme Crawford for his contribution and maintenance of change momentum in the role of Acting Chief Executive Officer and Director of Aviation Safety up until the position was filled.

This will be my last annual report for CASA, with my term as Chair of the CASA Board expiring in August 2021. I would like to acknowledge CASA employees for their hard work and dedication, particularly over the difficult period encompassing the COVID-19 pandemic. CASA has a dedicated team committed to aviation safety who genuinely aim to achieve positive outcomes for the aviation industry.

I also sincerely thank my fellow board members for their support and counsel over the last three years.

The CASA I started with has achieved many things in my time as Chair. CASA is an organisation that continues to improve and work diligently on behalf of the aviation industry.

I have no doubt that we will overcome all of the challenges we currently face and return our industry to some degree of normalcy. I wish CASA, and the entire aviation community, every success for the future.



Anthony Mathews
Chair of the CASA Board

REVIEW BY THE CHIEF EXECUTIVE OFFICER AND DIRECTOR OF AVIATION SAFETY

Although I commenced my role at the end of the reporting period, I am very proud of CASA's achievements throughout 2020–21.

Our work as a national regulator continued to be challenged by the impact of COVID-19, particularly given the ad hoc border closures and travel restrictions. That said, CASA remains adaptive and innovative in its approach to surveillance, seminars and online training, to ensure that we are providing support to industry where it is needed most. CASA staff demonstrated their commitment throughout the year to working with industry as we make our way through the impacts of the pandemic.

The achievements of 2020–21 reflect the strong leadership of the authority and, in particular, the roles played by Shane Carmody PSM as Chief Executive Officer and Director of Aviation Safety from July to December 2020 and Graeme Crawford as acting Chief Executive Officer and Director of Aviation Safety from January to May 2021.

I also extend my gratitude to Anthony Mathews, as his term as Chair of the CASA Board concludes. CASA has been fortunate to have had his stewardship during a time of significant transformation.

I am very pleased about the work that CASA is championing through our Reconciliation Action Plan (RAP), which was launched on 5 March 2021. Under the oversight of our RAP Working Group and our Indigenous Champion, Philippa Crome, we are already making good progress and have completed 22 of the 31 deliverables set out in our RAP.

The following is a summary of CASA's significant achievements for 2020–21 and expectations for the future.



Image: *OUR WAY* - James Baban

Regulatory reform

CASA continued to work collaboratively with industry to fulfil the longstanding commitment to a regulatory reform agenda that is more risk-based and fit for purpose, without compromising safety outcomes.

CASA responded to the impacts of the COVID-19 pandemic by engaging with the aviation community to ensure the continuation of critical aviation operations and the deferral of some regulatory requirements and regulations, including the fatigue rules. This was aimed at providing sufficient breathing space for industry to transition and continue operations.

CASA maintained momentum on progressing its regulatory program, publishing critical guidance materials for the flight operations regulations, transitioning the majority of applicable authorisation holders to the new flight crew fatigue rules by 30 June 2021, transitioning former certified aerodromes successfully to

CASR Part 139, and amending CASR Part 101 (unmanned aircraft and rockets) to align the CASRs with the Australian Space Agency's legislative framework for high-power rockets. This included the transfer of certain responsibilities for overseeing regulatory risk of high-power rockets to the Australian Space Agency.

Regulatory services and surveillance

The Regulatory Services and Surveillance Transformation Program was finalised this year, delivering a nationally managed approach to our regulatory oversight activities, based on functions rather than regions. By centralising our services, we were able to harness existing resources and capabilities more effectively and efficiently in a way that delivers systemic, high-quality and consistent safety oversight and guidance. As these new arrangements are embedded, CASA remains committed to engaging openly and transparently with the aviation community.

Consultation on change

The effectiveness of CASA's engagement with the aviation community, including via public consultation, continued to improve during 2020–21.

CASA sought feedback on a range of regulatory change proposals and airspace reviews, an organisational transformation initiative, and various safety promotional products, events and campaigns. A total of 26 consultations and feedback surveys were conducted, with 2,602 responses. We are grateful to those who took the time to provide their advice and feedback on our proposals – it is a critical element in ensuring that what we are drafting meets the realities of the aviation community.

The Aviation Safety Advisory Panel (ASAP) and associated technical working groups are fundamental components of our process. A significant portion of our regulatory achievements over the past couple of years is attributable to their efforts. I would particularly like to thank Patrick Murray and the other ASAP members, as well as all the industry representatives and CASA staff who have participated in our many technical working groups, for their engagement and commitment. I am committed to continuing to strengthen our relationship with the ASAP and technical working groups into the future.



Image: Civil Aviation Safety Authority

Plain English approach

CASA delivered a valuable and important set of new resources for the aviation community. The first three plain English guides to regulations were made available, both online and in print.

These guides cover the general operating and flight rules, fatigue management, and small commercial drone operations. They were developed to make things easier for everyone who has to comply with these safety regulations. Importantly, they are a sign of CASA's commitment to finding ways to better support the aviation community so that people in the industry can get on with flying and running their businesses.

Work is underway to develop guides covering other key parts of the safety regulations so that we can build a library of plain English safety information for the aviation community.

Investment in the aviation community

CASA introduced and awarded six aircraft maintenance engineer scholarships in 2020–21. These scholarships provide financial support to encourage and assist aspiring licensed aircraft maintenance engineers in their training and achievement of a CASR Part 66 licence.

For the third year, we awarded the Stephen Guerin Scholarship, honouring our staff member Stephen Guerin, who lost his life while undertaking his role as a flight operations inspector in 2017. The scholarship opened in 2018, offering a \$15,000 award each year for three years to support an eligible South Australian pilot studying for a commercial pilot licence or higher qualification.



Image: Pip Spence (centre) with AME scholarship recipients Preelan Naidoo (left) and Madison Candy (right).

International engagement

We were actively engaged with the International Civil Aviation Organization (ICAO) and international stakeholders in COVID-19 response and recovery

planning discussions throughout the year, in addition to our regular international engagements. CASA worked in collaboration with the Department of Infrastructure, Transport, Regional Development and Communications and Airservices Australia to support ICAO's Safety Management Panel, Asia Pacific Regional Aviation Safety Team and State Safety Programme Implementation Assessment Advisory Group and various working group panels.

Digital transformation

CASA enhanced its digital service offering by introducing a number of new digital capabilities into the myCASA portal in 2020–21, the final year of the service delivery transformation program.

New services included a digital pilot licence (prototype), pilot licence photo upload, commercial drone registration and accreditation, organisational role management, simulator instructor ratings, maintenance training organisation ability to lodge notifications of training, industry notifications, and integration of the case workflow of CASA's European Aviation Processing (EAP) digital regulatory service management system, including streamlined payment for fireworks applications.

In total, 27,584 drone registrations and 14,791 drone accreditations were recorded in 2020–21. The uptake of these and other new services represented 57% of all customer interactions using digital channels.

Significant work was conducted on the development of a new CASA website, to go live later in 2021. This will deliver an improved user experience for clients, industry and stakeholders, as well as ensuring a technical platform upgrade to meet IT security requirements.

Financial results

CASA recorded an operating surplus of \$16.2 million in 2020–21, compared to a \$12.4 million deficit in 2019–20. The difference of \$28.6 million reflects the overall result of an increase in income of \$20.9 million and a decrease in expenses of \$7.7 million.

Further information on CASA's financial results is on pages 21 to 25 and in Part 6 of this report.



Image: Civil Aviation Safety Authority

Delays in delivering outcomes

We achieved much of what we had planned to achieve in 2020–21; however, there were some delays in delivering planned outcomes.

The planned workshops on CASA's regulatory philosophy for industry and members of the wider aviation community were delayed. They will proceed in the new year in a virtual and hybrid format, to ensure the delivery of this program.

Amendments to the CASR Part 61 flight crew licensing scheme to further reduce reliance on legislative exemptions, which were expected to be made and commence in 2020–21, were not progressed. CASA is now focused on responding to key concerns in relation to Part 61 in 2021–22.

To ensure a coordinated approach to supporting the take-up of new and emerging technology, CASA delayed the development of the regulatory roadmap for remotely piloted aircraft systems to align with the Australian Government's National Emerging Aviation Technologies Policy Statement, which was released on 6 May 2021. The draft roadmap is intended to be completed during 2021–22.

Timeframes for the delivery of outcomes were also not met for:

- CASR Part 21 regulations for design, certification and manufacturing, which have been delayed further to deconflict with the commencement of the flight operations regulations
- the review of CASR Part 47 to modernise the regulation of aircraft registration in Australia, which will be progressed in 2021–22.

The year ahead

Our key areas of focus for 2021–22 include:

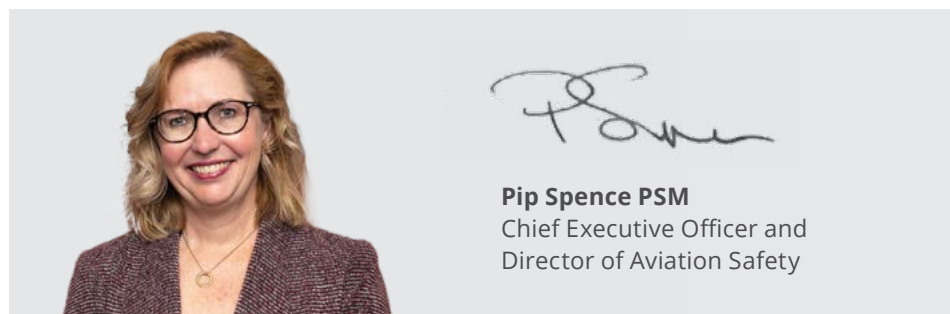
- ensuring that CASA and industry are prepared for the flight operations suite of regulations to commence on 2 December 2021
- introducing a revitalised and contemporary enterprise risk management framework to underpin all CASA risk management activity – this will complement the commencement of a revised approach to the sector safety risk profile program
- continuing our multi-year strategy to move regulatory oversight activities from existing systems into a single system, EAP – the focus for 2021–22 includes configuration to support the new flight operation regulations, integrated data and reporting structures, and surveillance

- engaging with the remotely piloted aircraft and advanced air mobility industry to develop an effective aviation safety regulatory roadmap that enables emerging technology to operate safely and with certainty within an integrated aviation system, while enabling flexibility to innovate
- continuing CASA's work, at home and in the region, to support the safe resumption of air operations as we emerge from the COVID-19 pandemic.

A great deal of effort is exerted to ensure that CASA's client-facing systems are efficient and effective. While we have seen

some improvements in this area in the past few years, I acknowledge that there is always room for further improvements. Continuing these improvements in line with my commitment for CASA to be more engaged, understanding and transparent in our decision-making, we will further increase our collaboration with the aviation community.

I look forward to working with the aviation community to focus on the things important to aviation safety. By bringing our combined strengths and skills together, we can maintain Australia's aviation environment as one of the safest in the world and support *Safe skies for all*.



FINANCIAL SUMMARY

CASA recorded an operating surplus of \$16.2 million in 2020–21, compared to a \$12.4 million deficit in 2019–20.

The difference of \$28.6 million reflects a decrease of \$7.7 million in expenses and a \$20.9 million increase in income.

The increase in income was due to additional funding from government appropriations as part of the Australian Airline Financial Relief Package, offset by a decrease in aviation fuel excise due to the impact of COVID-19.

The decrease in expenses was the net result of decreases related to employee and supplier expenses. A decrease in average staffing level from 825 in 2019–20 to 819 in 2020–21 led to reduced superannuation and reduced leave entitlements. Decreased spending on consultancies and service contracts and travel expenses also contributed to the decrease in expenditure.

In 2020–21, CASA's operating result was more favourable than the estimate published in the 2021–22 Portfolio Budget Statements. The actual result was a surplus of \$16.2 million, compared to an estimated surplus of \$0.01 million.

The variance from the estimate was primarily due to the budget being prepared with a conservative view of minimum regulatory activities for 2020–21, and the actual results showing resilience in the aviation industry, with some sectors outperforming budget expectations. The higher than anticipated levels of aviation activities resulted in a greater demand for regulatory services than was forecast. Table 1 provides further details.

Table 1 Comparison of actual results for 2020–21 with 2019–20 actual results and 2020–21 budgeted results (\$m)

Measure	Actual 2020–21	Actual 2019–20	Variance	Actual 2020–21	Estimated actual 2020–21 ^a	Variance
Income	209.2	188.3	20.9 Δ	209.2	208.3	0.9 Δ
Expenses	193.0	200.7	(7.7) ▽	193.0	208.3	(15.3) ▽
Surplus/ (Deficit)	16.2	(12.4)	28.6 Δ	16.2	(0.0)	16.2 Δ

^a Budget figures are 2020–21 estimated actuals based on the figures published in the 2021–22 Portfolio Budget Statements.

Net result

Income

The increased income reflects additional appropriation from the Government in recognition of the broader economic impact on the aviation industry, offset by a decrease in aviation fuel excise due to the impact of COVID-19.

Figure 1 shows the change in income from 2019–20 to 2020–21 and compares actual results to budget estimates for 2020–21. In 2020–21, approximately 61% of CASA's income was from government appropriations (39% in 2019–20) and 33% was from aviation fuel excise (54% in 2019–20).

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

Figure 1 Actual revenue for 2019–20 and actual and budgeted results for 2020–21

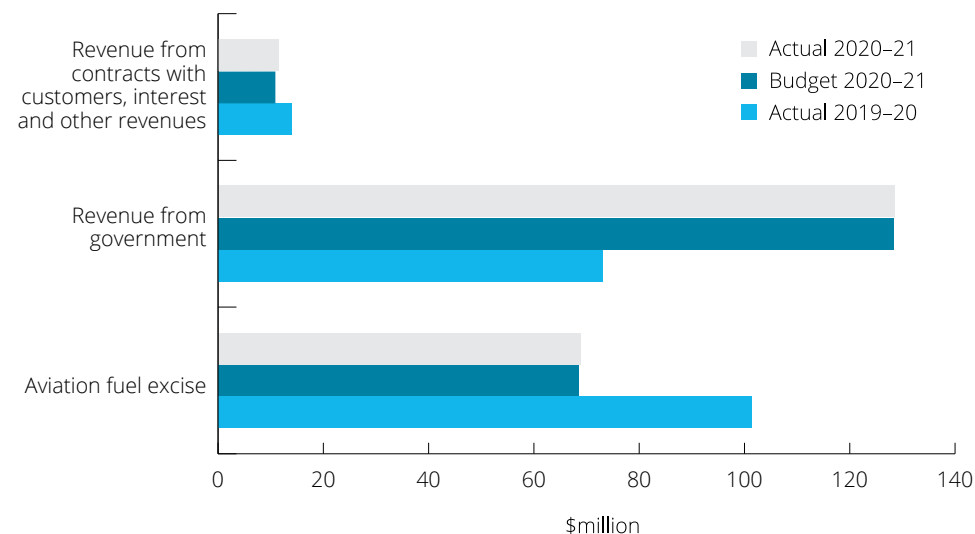
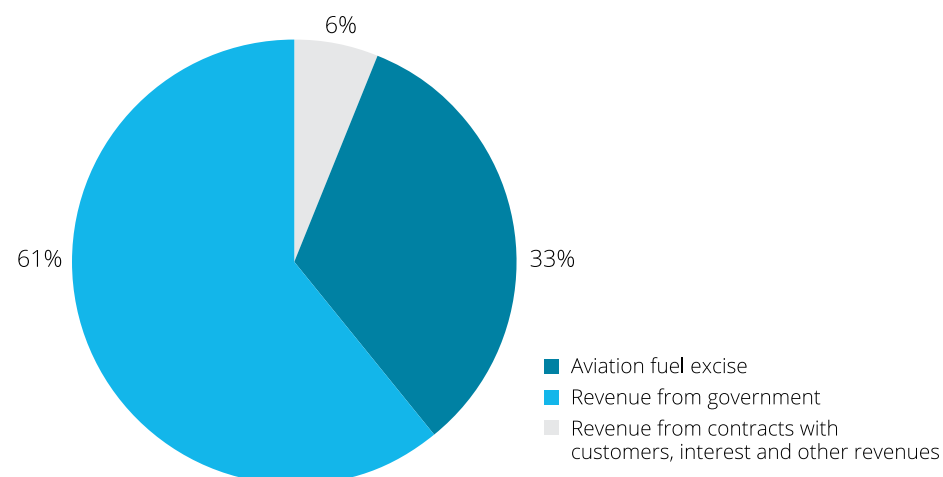


Figure 2 Sources of revenue, 2020–21



Expenses

Total expenses decreased by \$7.7 million in 2020–21 compared to 2019–20.

This was primarily attributable to decreased employee expenses and decreased expenditure on consultancies and service contracts, and travel expenses, offset by increases in depreciation and amortisation expenses.

Figure 3 shows the change in expenses from 2019–20 to 2020–21 and compares actual results to budget estimates.

In 2020–21, CASA spent approximately 67% of total expenditure on employee costs (67% in 2019–20) and approximately 21% on suppliers (24% in 2019–20). The remainder comprised depreciation and amortisation expenses (see Figure 4).

Figure 3 Actual expenses for 2019–20 and actual and budgeted results for 2020–21

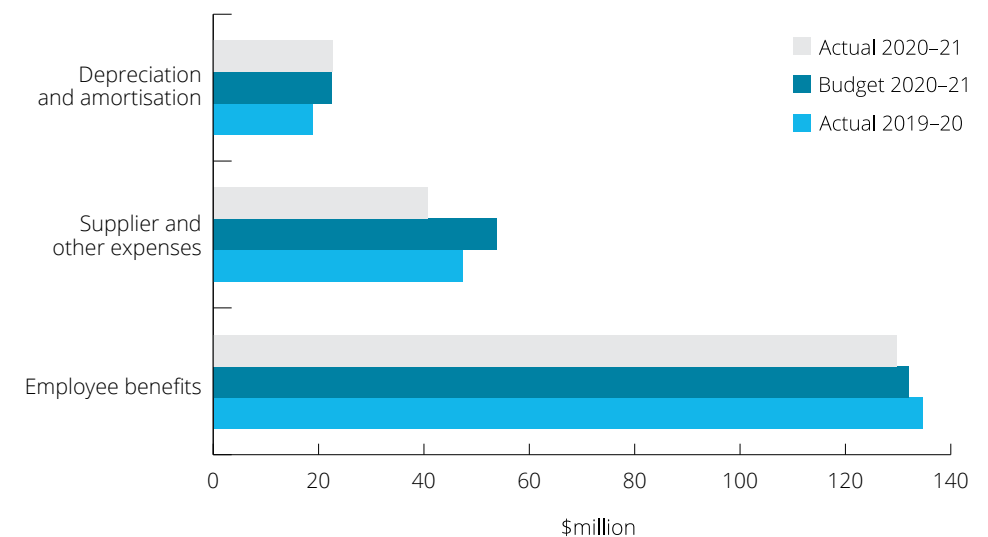
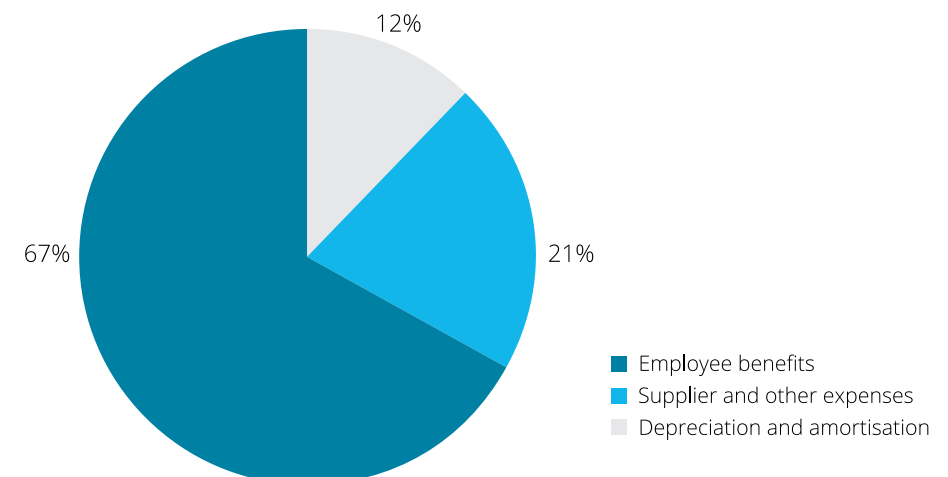


Figure 4 Expenditure, 2020–21



Cash flow

CASA's cash balance (including short-term investments) at 30 June 2021 was \$65.9 million (\$49.8 million in 2019–20). The increase in the cash balance was represented by net cash received from operating activities of \$40.9 million (\$12.5 million in 2019–20). A decrease of \$2.8 million in net cash used by investing activities (property, plant and equipment and intangibles) to \$15.8 million (\$18.6 million in 2019–20), offset by an increase of \$0.7 million to \$9.0 million cash used in financing activities (leased buildings and equipment) contributed to a net increase of \$16.1 million in cash held.

The cash balance provides funding for CASA's capital replacement and investment program, in line with the 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 increased by \$17.8 million in 2020–21.

Figure 5 shows that CASA maintains a sustainable net assets level in relation to 2020–21 and forward estimates.

Financial outlook

The details in this section are taken from the *Infrastructure, Transport, Regional Development and Communications Portfolio Budget Statements 2021–22*.

CASA is budgeting for an operating surplus for financial years 2021–22, 2022–23 and 2023–24, and projecting an operating loss in 2024–25.

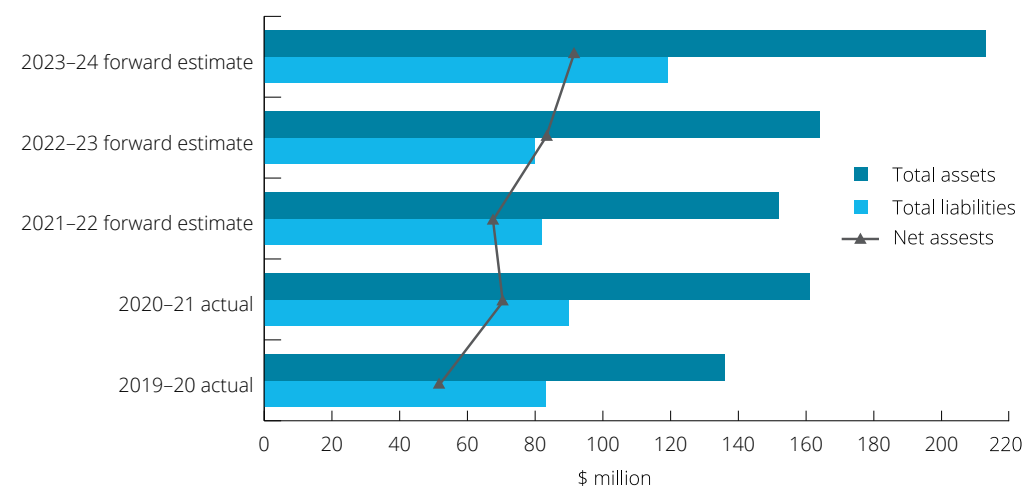
CASA's total forecast income for 2021–22 is \$229.0 million, derived as follows:

- \$102.1 million from government appropriations
- \$116.9 million from the aviation industry through the collection of excise revenue on aviation fuel sold for domestic air travel
- \$8.5 million from regulatory service fees plus other revenue from industry
- \$1.4 million from the remotely piloted aircraft systems levy
- \$0.1 million from interest from investments and cash deposits.

CASA's balance sheet projection shows an increase in net assets in the forward years, with a reduction in 2024–25. 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 be less than \$53 million in 2021–22 and above \$55 million in the remaining forward years. As published in the Portfolio Budget Statements, aviation fuel excise revenue is expected to increase by 2.5% each year to 2023–24 and remain consistent to 2024–25.

Figure 5 Financial position, 2019–20 to 2023–24





CASA inspector Ian James conducting the final inspection

World-first aircraft conversion

A team of inspectors from CASA's Sydney office was involved in the approval of a world-first aircraft conversion in 2020. The team conducted the final inspection of Express Freighters Australia (EFA) Airbus A321-P2F, the first A321 passenger-to-freighter conversion.

The multidisciplinary team consisted of flying operations inspectors, airworthiness inspectors, a cabin safety inspector, a safety system inspector, a dangerous goods inspector and a ground operations inspector. Flying operations inspector Steve Cunich managed the project, which began towards the end of 2019 with a variation to EFA's air operator certificate to add the new aircraft.

The majority of the work involved the CASA team assessing and approving numerous flight operations manuals and maintenance programs, as well as a reliability program that provides a means of measuring the performance and reliability of the aircraft and systems, which were submitted by the operator as part of its application to CASA.

Various Instruments of Approval were issued for the operator's intended operations. Regular meetings were conducted via videoconferencing to discuss project milestones, progress and timelines.

There are many operating efficiencies to be gained from the conversion of an A321 aircraft. It is a relatively modern aircraft with lower maintenance costs and

greater reliability than the older freighters that are typically used. The A321-P2F has good payload and range capability – 27 tonnes and 5,000 kilometres – and is more fuel efficient than similar-sized freighters such as the Boeing 757.

Another advantage is that the A321 has a containerised loading system in the lower cargo holds as well as the main cargo deck. The fully containerised system in the lower cargo compartments allows for much quicker unloading and loading, so the aircraft requires much less ground time. Time is money in the air freight world, so quicker transit times are all-important to maximise revenue from the overnight operations of EFA.

The conversion process was quite complex. Major changes included the removal of all passenger seats, overhead stowage bins and interior linings, and extensive wiring changes to remove all aspects of systems required for the passenger cabin.

Structural aspects of the conversion consisted of cutting out large sections of fuselage to facilitate the installation of the main deck cargo door, altering the size of a door on level 1 to maximise cargo capacity, installing a safety bulkhead to separate the flight deck from the cargo loads, and blanking several cabin doors. A container roller system was installed, and 32 smoke detectors were installed in the main deck cargo bay.

As this was the first A321 aircraft to undergo a conversion from passenger aircraft to freighter, all of the changes required approval by the European Union Aviation Safety Agency and the United States Federal Aviation Administration and the issuing of a supplemental type certificate.

EFA has plans for the new freighter to primarily service a contract with Australia Post. The aircraft delivery flight, from Singapore to Melbourne via Perth, occurred on 15 October 2020, with the first commercial flight on 26 October 2020.

PART 2: ANNUAL PERFORMANCE STATEMENT

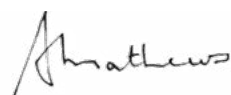
This part of the report provides a detailed assessment of how CASA's performance during the year contributed to achieving the authority's portfolio outcome and corporate goals.

Statement of preparation	28
Purposes	28
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Analysis of performance	28
Results	30

STATEMENT OF PREPARATION

I, on behalf of the Board of the Civil Aviation Safety Authority, present the 2020–21 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
18 August 2021

PURPOSES

The Civil Aviation Safety Authority (CASA) is an independent statutory authority established in 1995 under the *Civil Aviation Act 1988*. The main objective of this Act is to establish a regulatory framework for maintaining, enhancing and promoting the safety of civil aviation, with particular emphasis on preventing aviation accidents and incidents.

PERFORMANCE FRAMEWORK

CASA measures its performance in achieving its purposes 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 269 of the *Infrastructure, Transport, Regional Development and Communications Portfolio Budget Statements 2020–21*
- pages 26 to 33 of the *CASA Corporate Plan 2020–2021*.

No additional performance measures were identified in Portfolio Additional Estimates Statements or other portfolio statements in 2020–21.

Figure 6 provides an overview of CASA's outcome, goals and performance measures for 2020–21.

ANALYSIS OF PERFORMANCE

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 structure in 2020–21 to enable more effective and efficient operations.

Overall, CASA achieved 9 of 11 Portfolio Budget Statements targets (82%) and 32 of 34 corporate plan targets (94%) during the reporting period, despite challenges associated with significant disruptions from the COVID-19 pandemic.

Figure 6 Alignment of portfolio and corporate objectives and performance measures

	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		
Portfolio Budget Statements	Performance criteria		
	Number of accidents per hours flown by industry sector Number of incidents per hours flown by industry sector CASA maintains the Effective Implementation (EI) Score determined by ICAO Universal Safety Oversight Audit Program (USOAP) Regulatory implementation delivered in accordance with planned and reviewed targets Surveillance determined via a National Oversight Plan consisting of scheduled and response events informed by risk Deliver a program of aviation safety education seminars to industry participants Clear, open and transparent engagement with the industry to support the continuous improvement of an efficient and effective aviation safety regulatory framework Regulatory service applications are decided within published service delivery timeframes		
	Portfolio objectives		
	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
	Corporate goals		
	1 Maintain and enhance a fair, effective and efficient aviation safety regulation system	2 Engage collaboratively with the wider aviation community to promote and support a positive safety culture	3 Continuously improve organisational performance
Corporate plan	Key performance areas and indicators		
	Develop regulatory framework CASA demonstrates excellence in development of the aviation safety regulatory framework. Strengthen international compliance CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements. Entry control Entry control is delivered in accordance with the regulations and assessment made proportionate to the activity being undertaken. Airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally is provided. Compliance assurance – Surveillance CASA's compliance monitoring approaches are standardised and coordinated relative to the aviation sector. Address non-compliance – Enforcement Actions undertaken are consistent, fair and transparent in accordance with CASA's enforcement procedures that incorporate CASA's regulatory philosophy.	Engagement CASA maintains productive working relationships with key stakeholders. Promote safety and education CASA supports industry understanding and compliance. CASA's education and promotion is relevant, timely, effective and appropriately targeted.	Robust structures, systems and processes supporting good governance CASA operates as solvent entity. CASA has the information and communication technology platform and enabling support to achieve business improvement and transformation. CASA continually develops its capability and capacity CASA maintains and grows capability to effectively deliver aviation safety regulation. CASA embeds a high-performance culture that enables the achievement of CASA's mission.

RESULTS

This section provides details and analysis of the results for the portfolio measures, corporate key performance indicators and strategies and plans that CASA has defined for each key performance area. It includes a snapshot assessment using the following colour codes.

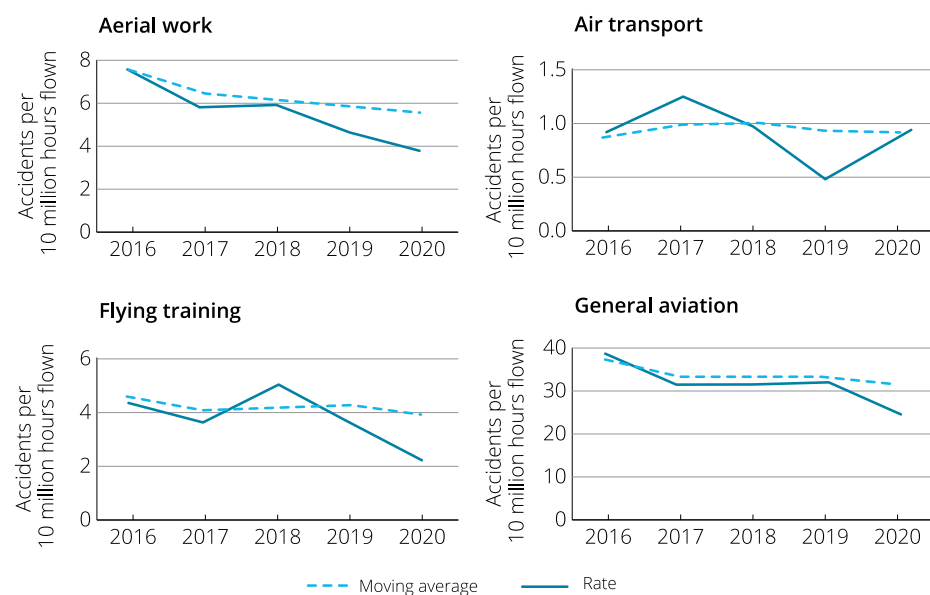
	Completed or on track/no further action required
	Possible delays/impact on deliverable

Portfolio measures

Table 2 provides details and analysis of CASA's results against the performance criteria and targets set out on page 269 of the Portfolio Budget Statements.

Table 2 Results against Portfolio Budget Statements targets

Performance criterion	Number of accidents per hours flown by industry sector
Target	Reducing trend
On track	Accident rates declined across most operational categories, with the exception of air transport. Despite accident rates increasing in air transport in 2020, the accident rate remained marginally below the five-year average.

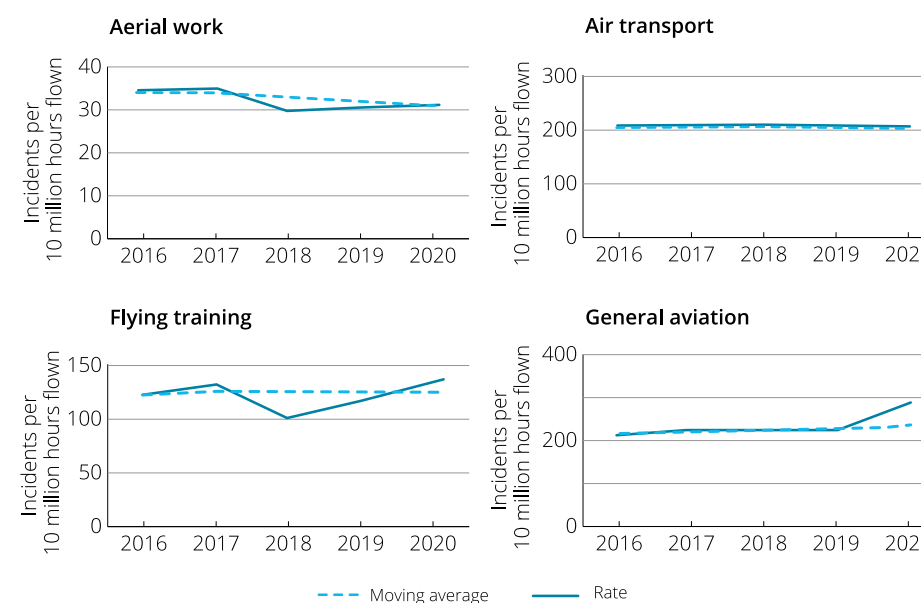


Note: The accident rate was calculated on a calendar year basis. This is due to flying hours being collected by the Bureau of Infrastructure and Research Economics (BITRE) on a calendar year basis through an annual survey.

Data used to populate the occurrence trend charts were sourced from the BITRE on 23 July 2021. At the time, the BITRE had not received responses from some operators in relation to their flying hours undertaken in 2020.

Sources: Australian Transport Safety Bureau air safety incident reports and BITRE flying hours.

Performance criterion	Number of incidents per hours flown by industry sector
Target	Reducing trend
On track	The moving average incident rate over the past five years has remained virtually stable across most operational categories, with general aviation an exception.



Note: The incident rate was calculated on a calendar year basis. This is due to flying hours being collected by the BITRE on a calendar year basis through an annual survey.

Data used to populate the occurrence trend charts were sourced from the BITRE on 23 July 2021. At the time, the BITRE had not received responses from some operators in relation to their flying hours undertaken in 2020.

Sources: Australian Transport Safety Bureau air safety incident reports and BITRE flying hours.

Performance criterion	CASA maintains the Effective Implementation (EI) score determined by ICAO Universal Safety Oversight Audit Program (USOAP)
Target	Maintain or improve EI score
On track	<p>Following the 2017 International Civil Aviation Organization (ICAO) Coordinated Validation Mission, CASA contributed to increasing Australia's compliance with ICAO's USOAP to 95.02%.</p> <p>CASA continues to contribute to Australia's responsibilities under the USOAP Continuous Monitoring Approach, including addressing the remaining corrective action plans under CASA's responsibility from the 2017 mission. The management of responses continues to be monitored and reported on through CASA's online Protocol Questions Management System.</p>
Performance criterion	Regulatory implementation delivered in accordance with planned and reviewed targets
Target	80% of regulatory development achieved against planned targets
On track	<p>CASA continued to work on its regulatory program, while providing alleviations to industry and deferring regulation commencement dates in response to COVID-19. In particular:</p> <ul style="list-style-type: none"> commencement of flight operations regulations was deferred from March 2021 to December 2021 commencement of Civil Aviation Safety Regulations (CASR) Part 139 regulations for certified aerodromes was deferred from August 2020 to May 2021, and 204 organisations successfully transitioned transition to Civil Aviation Order 48.1 new flight crew fatigue rules was extended by 12 months to 1 July 2021. <p>CASA improved the delivery of its regulatory change projects, including enhancing the scope and depth of its preparations for drafting legislation.</p>
Performance criterion	Surveillance determined via a National Oversight Plan consisting of scheduled and response events informed by risk
Target	80% of surveillance events conducted for the period
On track	<p>87% of scheduled surveillance audits were conducted by CASA. Several events were deferred due to COVID-19 restrictions; however, CASA remained flexible in its surveillance approach, taking advantage of technological alternatives, and provided relief where possible throughout the year.</p>

Performance criterion	Deliver a program of aviation safety education seminars to industry participants
Target	90% of seminars delivered against program with satisfaction rate for effectiveness of 80%
Impact on deliverable	<p>88% of planned seminars were conducted, with the remainder deferred or cancelled due to COVID-19 restrictions.</p> <p>CASA reached more than 5,256 industry members through activities including 175 seminars and 578 onsite visits.</p> <p>CASA commissioned a study, in April 2021, to explore pilots' attitudes towards and use of aviation safety information presented by CASA and other sources, with the aim of helping to refine our ongoing approach to safety education in Australia. The study found that aviation safety seminars were widely praised across the qualitative and quantitative phases of the research.</p> <p>Recreational pilots who had attended a seminar mostly agreed that they had learnt something (88% of those surveyed), that attending had been worthwhile (89%), that the seminar had been pitched at an appropriate level (81%), and that participation had made them a safer pilot (78%).</p>
Performance criterion	Clear, open and transparent engagement with the industry to support the continuous improvement of an efficient and effective aviation safety regulatory framework
Target	100% of significant regulatory changes publicly consulted and outcomes informed by industry feedback
On track	<p>During 2020–21, CASA continued to consult on regulatory change proposals and seek feedback on other initiatives via the CASA Consultation Hub (consultation.casa.gov.au).</p> <p>A total of 26 consultations and feedback surveys were conducted, with a total of 2,602 responses received.</p>
Target	Improving trend in stakeholder satisfaction from regular surveys
On track	<p>The stakeholder satisfaction survey conducted in November and December 2020 showed that respondents' level of overall satisfaction with CASA had increased from 6.2/10 to 6.3/10 since the previous survey in 2018.</p>
Target	Improving trend in audience engagement across CASA's online channels and social media
On track	<p>Social media activities continued to show strong results, with significant interactions and engagement across channels.</p> <p>CASA's total audience grew 17% to 112,890 followers across Facebook, LinkedIn, YouTube and Twitter.</p>

Performance criterion	Regulatory service applications are decided within published service delivery timeframes
Target	80% processed within published timeframes
On track	86% of applications for authorisations were decided within the published service delivery timeframe
Target	All regulatory service activities have a service delivery timeframe applied
Impact on deliverable	<p>During 2020–21, regulatory service demand remained at pre-COVID-19 levels; however, the complexity of the applications was significantly higher.</p> <p>The new operating model for regulatory oversight was designed and made ready for implementation on 12 July 2021. The model provides a national approach to deliver consistent services to the aviation community.</p> <p>CASA transitioned regulatory service applications to CASA's new single repository IT system, the European Aviation Processing (EAP) system, in line with planned activity.</p> <p>Development of service delivery timeframes was delayed due to the transition to the new system. CASA will develop new service delivery timeframes and reporting mechanisms based on the new system in late 2021.</p>

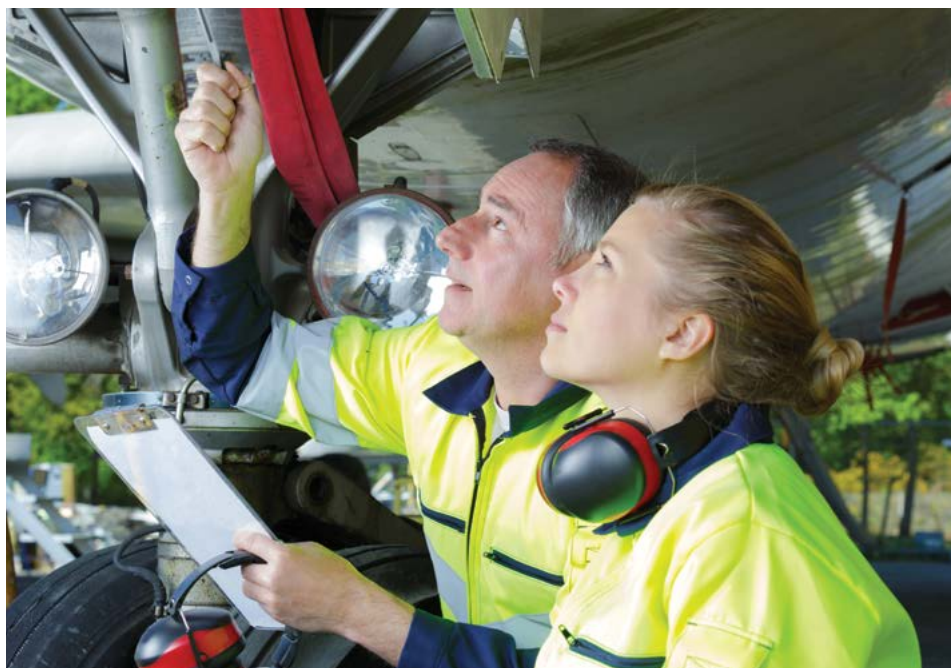


Image: Civil Aviation Safety Authority

Corporate goals

The *CASA Corporate Plan 2020–2021* set out three goals through which CASA would achieve its purpose for the period 2020–21 to 2023–24:

- **Goal 1** – Maintain and enhance a fair, effective and efficient aviation safety regulation system
- **Goal 2** – Engage collaboratively with the wider aviation community to promote and support a positive safety culture
- **Goal 3** – Continuously improve organisational performance.

CASA's performance in achieving its three corporate goals is measured across nine key areas of performance, as detailed in the corporate plan (pages 26 to 33) and summarised in Figure 7.

Tables 3 to 11 provide details and analysis of CASA's results in each key performance area.

Figure 7 Corporate goals and key performance areas

Goal	Key performance area
1 Maintain and enhance a fair, effective and efficient aviation safety regulation system	Develop regulatory framework
	Strengthen international compliance
	Entry control
	Compliance assurance – Surveillance
2 Engage collaboratively with the wider aviation community to promote and support a positive safety culture	Address non-compliance – Enforcement
	Engagement
3 Continuously improve organisational performance	Promote safety and education
	Robust structures, systems and processes supporting good governance
	CASA continually develops its capability and capacity

Table 3 Goal 1 key performance area: Develop regulatory framework

KPI	CASA demonstrates excellence in development of the aviation safety regulatory framework.
Measure of success	A pragmatic, practical and proportionate approach is applied in the development of regulations and application of safety standards as they apply to risk in different industry sectors.
On track	<p>CASA continues to adhere to Commonwealth requirements that ensure that appropriate regulations are enacted. CASA uses several internal programs and processes, such as regulatory development guidelines, critical gate reviews, legal reviews and consultation processes, to ensure that new regulations are practical, pragmatic and proportionate – that is, fit for purpose. CASA continues to consult with technical working groups established by the Aviation Safety Advisory Panel to seek industry feedback on legislative development activities.</p> <p>CASA remains focused on meeting requirements for the flight operations suite of regulations that commence on 2 December 2021. On 2 March 2021, the Civil Aviation Legislation Amendment (Flight Operations – Consequential Amendments and Transitional Provisions) Regulations 2021 were made, providing for an orderly transition to the flight operations suite of regulations for the aviation industry.</p> <p>The Civil Aviation Safety Regulations (CASR) Part 91 (General Operating and Flight Rules) Manual of Standards 2020, Part 121 (Australian Air Transport Operations – Larger Aeroplanes) Manual of Standards 2020, Part 133 (Australian Air Transport Operations – Rotorcraft) Manual of Standards 2020, Part 135 (Australian Air Transport Operations – Smaller Aeroplanes) Manual of Standards 2020, Part 119 (Australian Air Transport Operators – certification and management) Manual of Standards 2020 and Part 138 (Aerial Work Operations) Manual of Standards 2020 were made in November and December 2020. These legislative instruments express detailed safety requirements on aerial work and air transport operations from 2 December 2021.</p>

KPI	CASA demonstrates excellence in development of the aviation safety regulatory framework.
Measure of success	CASA has effective systems in place to respond to emerging trends in aviation safety risk.
On track	<p>CASA's Aviation Group draws relevant data from other Commonwealth agencies, the International Civil Aviation Organization (ICAO) and other National Aviation Authorities to have the most current and accurate safety data to support timely and informed decision-making. This includes ongoing efforts to improve the timeliness of data and share data more effectively between agencies.</p> <p>Aviation safety risk data changes and emerging risks are monitored by CASA's Aviation Safety Committee. The Aviation Safety Committee considers trends and information from multiple internal and external sources, including entry control, regulatory services and planned surveillance, to form a holistic picture of an operator, a sector and the aviation industry as a whole.</p> <p>Scheduled surveillance is managed under the National Surveillance Selection Process in line with the National Oversight Plan. Key focus areas are communicated to the aviation community to facilitate voluntary compliance. Emerging safety issues within an aviation sector or in relation to a specific operator are tactically managed by campaign and response surveillance teams respectively.</p> <p>CASA continues to leverage data insights from passive drone detection capability operated in partnership with the Department of Defence and Airservices Australia, across all civil-controlled airports. The data is used to inform policy decisions, regulatory development, targeted education campaigns and enforcement.</p> <p>CASA conducts regular airspace reviews to assess the level of risk for all operators and to ensure that any trends that may indicate an increased level of risk are mitigated to achieve an acceptable level of safety within all Australian-administered airspace.</p>

KPI	CASA demonstrates excellence in development of the aviation safety regulatory framework. (continued)
Strategy/plan	1.1 Promote and improve CASA's regulatory philosophy
Impact on deliverable	<p>Plans to conduct regulatory philosophy workshops for industry and members of the wider aviation community in 2020–21 were delayed due to COVID-19 travel constraints and related priorities. This work will proceed in 2021–22, with a view to developing virtual and hybrid presentations.</p> <p>The philosophy sets out the principles underpinning the way we perform our functions, exercise our powers and engage with the aviation community. All departures from the principles 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.</p>
Strategy/plan	1.2 Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance
On track	<p>Throughout 2020–21, CASA continued with regulatory development. Key activities included:</p> <ul style="list-style-type: none"> introducing remotely piloted aircraft and model aircraft registration and accreditation on 30 September 2020 implementing the aerodrome certification amendment regulations in CASR Part 139, which were deferred until May 2021 due to COVID-19 in consultation with industry, settling the policy for maintenance regulations (CASR Part 43) in the general aviation sector, aiming to reduce the cost of compliance while maintaining the required level of safety making six Manuals of Standards (for CASR Parts 91, 119, 121, 133, 135 and 138) in November and December 2020, providing the aviation community with 12 months to prepare and transition to the new regulations. The transition arrangements for the flight operations regulations were developed to minimise cost to industry, while ensuring the orderly introduction and implementation of the new regulations. Cost was an important factor in deferring the requirement for industry to transition to new flight crew fatigue rules from 2020 to 2021.

KPI	CASA demonstrates excellence in development of the aviation safety regulatory framework.
Strategy/plan	1.2 Ensure the Australian civil aviation safety regulatory regime is complete and optimised for aviation safety performance
On track	<ul style="list-style-type: none"> making the Civil Aviation Safety Amendment (Part 101 – High Power Rockets) Regulations 2020 in December 2020, aligning CASR Part 101 with the Australian Space Agency's legislative framework for high-power rockets, and transferring certain responsibilities for overseeing regulatory risk of high-power rockets to the Australian Space Agency issuing ad hoc legislative instruments to optimise the COVID-19 relief scheme, including as part of providing relief for COVID-19 disruptions, subject to amending regulations in due course in appropriate circumstances.
Strategy/plan	1.3 Improve risk based regulatory management
On track	<p>CASA implemented an enhanced regulatory oversight operating model to ensure the effective allocation of resources to optimise safety oversight (National Oversight model). The National Oversight model was delivered under an organisational transformation initiative and provides resource flexibility to ensure that CASA can be agile and tactically respond to emerging aviation safety risks.</p> <p>CASA further refined its risk-based audit methodology, through a development process, to expand the published key focus areas across all aviation sectors. The key focus areas will be used for surveillance planning across all sectors in the coming year.</p>

Table 4 Goal 1 key performance area: Strengthen international compliance

KPI	CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements.
Measure of success	CASA supports Australia's membership on the ICAO Council and the Air Navigation Commission, consistent with the Government's expectations and CASA's commitments under the Memorandum of Understanding for Australia's Participation in ICAO.
On track	<p>CASA actively engaged with the International Civil Aviation Organization (ICAO) and international stakeholders on COVID-19 response and recovery planning discussions, including through membership on the ICAO Asia and Pacific COVID-19 Contingency and Recovery Planning Group. CASA reported Australia's temporary differences and exemptions via the ICAO COVID-19 Contingency Related Differences portal and encouraged all States to participate, given that lodging accurate differences on the portal directly impacts the movement of international operations (such as repatriation flights).</p> <p>Several other COVID-19-related working groups and forums continued virtually and CASA took an active role in supporting those groups.</p> <p>The ICAO Council Aviation Recovery Taskforce updated recommendations aimed at restarting the international air transport system and aligning global recovery. CASA advocated for a shift to targeted exemptions which will be temporary in nature, bringing longer term alleviations to an end on 31 March 2021.</p> <p>CASA worked in collaboration with the Department of Infrastructure, Transport, Regional Development and Communications and Airservices Australia (as the other primary parties of interest) to support ICAO's:</p> <ul style="list-style-type: none"> • Safety Management Panel • Asia Pacific Regional Aviation Safety Team • Asia Pacific Regional Wildlife Hazard Management Working Group • State Safety Programme Implementation Assessment Advisory Group • ICAO Flight Operations Panel Working Group in relation to volcanic ash management.

KPI	CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements.
Measure of success	CASA has regard to the standards and practices of comparable aviation jurisdictions (Federal Aviation Administration, Transport Canada Civil Aviation, European Union Aviation Safety Agency, United Kingdom Civil Aviation Authority and New Zealand Civil Aviation Authority).
On track	<p>An arrangement on maintenance approvals is being pursued with the Japan Civil Aviation Bureau and is expected to be completed by the end of 2021. CASA is also pursuing enhanced engagement with the United Kingdom Civil Aviation Authority (UK CAA) through a mutual recognition arrangement. The United States Federal Aviation Administration (FAA) is seeking to modernise its bilateral aviation safety agreements, and CASA is participating in the process.</p> <p>CASA routinely relies on FAA and European Union Aviation Safety Agency (EASA) certification standards along with their associated Advisory Circulars when certifying Australian modifications (supplemental type certificates). The use of FAA and EASA Advisory Circulars alleviates the need for CASA to duplicate equivalent guidance material and greatly assists in the foreign validation of CASA supplemental type certificates when requested by Australian Industry. All aircraft certification approvals issued by CASA rely on FAA or EASA certification standards along with their associated guidance material. CASA also used a FAA order for remote inspections to enable remote surveillance of design and manufacturing authorised persons/organisations to meet national surveillance targets.</p> <p>A certification arrangement with EASA continues to be deferred by EASA with no agreed completion date.</p> <p>The 2020 FAA – Asia Pacific bilateral partners meeting was postponed due to COVID-19. However, CASA maintained collaborative engagement with this community through participation in working groups on airworthiness, continued operational safety, training, and remotely piloted aircraft certification. These working groups facilitate sharing of information, the seeking of regulatory efficiencies, and regulatory harmonisation where appropriate.</p> <p>CASA continues to be engaged in the Joint Authorities for Rulemaking on Unmanned Systems as part of CASA's efforts to internationally harmonise standards relating to remotely piloted aircraft.</p>

KPI	CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements. <i>(continued)</i>
Measure of success	CASA has regard to the standards and practices of comparable aviation jurisdictions (Federal Aviation Administration, Transport Canada Civil Aviation, European Union Aviation Safety Agency, United Kingdom Civil Aviation Authority and New Zealand Civil Aviation Authority). <i>(continued)</i>
On track	<p>CASA's adoption of the joint authorities' specific operation risk assessment methodology for complex remotely piloted aircraft systems has seen operators in Australia commence operations in other countries with reduced regulatory assessment burdens because the other jurisdiction has leveraged and recognised the assessment conducted in Australia.</p> <p>Australia continues to review international standards relating to remotely piloted aircraft systems to determine which standards may be readily adopted for the Australian context.</p>



Image: Civil Aviation Safety Authority

KPI	CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements.
Measure of success	International activities undertaken by CASA should involve the collection, exchange and dissemination of relevant safety-related information, consistent with agreement and protocols governing the collection of such data.
On track	<p>CASA continues to engage with other relevant National Aviation Authority counterparts to ensure harmonisation with like-minded regulators whenever possible. This includes extensive engagement with National Aviation Authorities that have dominant State of Design responsibilities, to harmonise and to make it easier for Australian operators to seamlessly use products and services from other National Aviation Authorities with minimal additional work to comply with Australian requirements.</p> <p>CASA has extensive cooperative agreements in place, predominately in relation to engineering and airworthiness as well as emerging technologies, that impact remotely piloted aircraft systems and aerodromes. CASA consistently supports ICAO and Regional Aviation Safety Group activities as well as the activities of the Pacific Aviation Safety Office and other similar efforts.</p> <p>CASA's involvement in a trilateral arrangement with New Zealand and Canada led to a forum discussing remote surveillance techniques. CASA joined leaders from the United Kingdom, Canada, New Zealand and the United States for the first meeting of the National Aviation Authority Partnership Network in June 2021.</p> <p>CASA increased engagement with the Cooperative Development of Operational Safety and Continuing Airworthiness Programme South East Asia (COSCAP SEA) through participation in webinars and workshop presentations to Member States. COSCAP SEA is an ICAO Asia and Pacific Office assistance and communication mechanism to enhance the safety and efficiency of air transport.</p>

KPI	CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements. <i>(continued)</i>
Measure of success	CASA's capacity building activities make a significant contribution to the safety-related needs and expectations of the international aviation community.
On track	<p>Capacity-building activities delivered by CASA in Indonesia and Papua New Guinea under Australian Aid programs were refocused on the response and recovery to COVID-19, with online engagement encouraged. CASA also supported Indonesian and Papua New Guinean attendance in regulatory forums held by the Australia and New Zealand School of Government.</p> <p>CASA contributed subject matter expertise within the region to deliver the ICAO Safety Management Systems Implementation Package (iPack), ICAO COVID-19 response and risk management, and bespoke workshops on State Safety Programmes; National Aviation Safety Plan experiences and lessons learnt; and the transportation of dangerous goods, including vaccines.</p> <p>CASA also supported initiatives and cooperation in the Asia-Pacific region, including preparations for the Pacific Regional Aviation Ministers' Meeting on 30 June 2021.</p> <p>On 4 December 2020, the Minister for Foreign Affairs announced the Department of Foreign Affairs and Trade (DFAT) Sustainable Pacific Air Connectivity Program. CASA is working with DFAT and other donors to support the direction of funding and program development to maintain essential services and humanitarian corridors through assistance to airlines and regulatory structures in the Pacific Islands, including investment in the Pacific Aviation Safety Office, for certification and surveillance inspectorate activity; the Pacific Flights Program; a proposed Pacific domestic aircraft support project; and associated training programs for the Pacific.</p>

KPI	CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements.
Strategy/plan	1.4 Engage with the International Civil Aviation Organization (ICAO) to enhance global and regional aviation safety approaches
On track	<p>CASA continues to review and update ICAO protocol questions to ensure that Australia's safety oversight model is accurately reflected for audit by ICAO.</p> <p>ICAO global and regional panels, working groups and study groups were progressively postponed or changed to a COVID-19 focus by the ICAO Secretariat and host States. CASA supported several COVID-19-related working groups and forums held virtually and actively engaged with ICAO on COVID-19 response and recovery planning discussions, including through membership on the ICAO Asia and Pacific COVID-19 Contingency and Recovery Planning Group.</p> <p>CASA reported Australia's temporary differences and exemptions via the ICAO COVID-19 Contingency Related Differences portal and encouraged all States to participate, given that lodging accurate differences on the portal directly impacts the movement of international operations (such as repatriation flights). The ICAO Council Aviation Recovery Taskforce updated recommendations aimed at restarting the international air transport system and aligning global recovery. CASA advocated for a shift to targeted exemptions to be temporary in nature, bringing longer term alleviations to an end on 31 March 2021.</p>
Strategy/plan	1.5 Collaborate with overseas regulators to share information, reduce duplication and encourage consistency in safety outcomes
On track	<p>CASA continues to benchmark with like-minded civil aviation safety regulators (FAA, EASA, UK CAA, Transport Canada Civil Aviation and the Civil Aviation Authority of New Zealand) when developing and/or amending regulatory policy and considering appropriate regulatory oversight.</p> <p>CASA collaborates with overseas regulators to understand operations and oversight for operators, training organisations and maintenance facilities that apply to hold an Australian authorisation or are involved in Australian operations overseas. Information sharing also relates to pilot licensing and aircraft certification.</p>

KPI	CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements. <i>(continued)</i>
Strategy/plan	1.5 Collaborate with overseas regulators to share information, reduce duplication and encourage consistency in safety outcomes <i>(continued)</i>
On track	<p>A certification arrangement with EASA continues to be deferred by EASA with no agreed completion date.</p> <p>The 2020 FAA – Asia Pacific bilateral partners meeting was postponed due to COVID-19. However, CASA maintained collaborative engagement with this community through participation in working groups on airworthiness, continued operational safety, training, and remotely piloted aircraft certification. These working groups facilitate sharing of information and seek regulatory efficiencies and harmonisation where appropriate.</p> <p>CASA continues to be engaged in the Joint Authorities for Rulemaking on Unmanned Systems as part of CASA's efforts to internationally harmonise standards relating to remotely piloted aircraft.</p> <p>CASA retains membership of the European Union Ramp Inspection Programme and executes an international audit program to share information and reduce global duplication of effort. Participation in and access to the program provides CASA with a global perspective on Australian and international certificate holders flying to Australia, which informs CASA's risk profile of an operator and sector.</p> <p>CASA's involvement in a trilateral arrangement with New Zealand and Canada informed our broader consideration of developing regulatory approaches in response to COVID-19 and led to a forum discussing remote surveillance techniques. CASA joined leaders from the United Kingdom, Canada, New Zealand and the United States for the first meeting of the National Aviation Authority Partnership Network in June 2021.</p> <p>In line with Resolution A40-28 of the 40th ICAO Assembly in 2019, CASA has regularly and actively contributed to the global work of the Civil Aviation Legal Advisers Forum.</p> <p>CASA is pursuing an arrangement on maintenance approvals with the Japan Civil Aviation Bureau, and enhanced engagement with the UK CAA. The FAA is seeking to modernise its bilateral aviation safety agreements, and CASA is participating in the process.</p>

KPI	CASA's actions in the international sphere are in accordance with its legal responsibilities and international agreements.
Strategy/plan	1.6 Support regulators in the Asia-Pacific to safely manage growth of aviation in the region
On track	<p>CASA increased engagement with COSCAP SEA, an ICAO Asia and Pacific Regional Office assistance and communication mechanism, through participation in webinars and workshop presentations to Member States.</p> <p>Capacity-building activities delivered by CASA in Indonesia and Papua New Guinea under Australian Aid programs were refocused on the response and recovery to COVID-19. CASA contributed subject matter expertise within the region to deliver the ICAO Safety Management Systems Implementation Package (iPack), ICAO COVID-19 response and risk management, and bespoke workshops on State Safety Programmes, the National Aviation Safety Plan, and the transportation of dangerous goods, including vaccines.</p> <p>CASA is working with DFAT and other donors to support the Sustainable Pacific Air Connectivity Program to maintain essential services and humanitarian corridors through assistance to airlines and regulatory structures in the Pacific Islands, including investment in the Pacific Aviation Safety Office for certification and surveillance inspectorate activity; the Pacific Flights Program; a proposed Pacific domestic aircraft support project; and associated training programs for the Pacific.</p>

Table 5 Goal 1 key performance area: Entry control

KPIs	Entry control is delivered in accordance with the regulations and assessment made proportionate to the activity being undertaken. Airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally is provided.
Measure of success	Standard practices are applied to processing regulatory services application.
On track	<p>CASA completed a review of the regulatory services process in 2020–21, with a view towards continuous improvement and further standardisation. First-principle reviews of CASA legislation were undertaken to ensure that CASA is providing industry with outcomes in accordance with the regulations. The reviews were used to ensure that business processes redesigned during CASA's organisational transformation continued to meet CASA's regulatory obligations.</p> <p>Part of the redesign of business processes led to the centralisation of applications within CASA. Business units and processes were consolidated inside the Regulatory Oversight Division, creating a centralised entry point for all applications. The allocation and estimation of regulatory services are now coordinated through a centralised panel, providing standardised estimates for non-complex applications. These actions have resulted in a reduction in service delivery timeframes for industry and provided nationally standardised practices.</p> <p>The implementation of a national workforce model within CASA has provided a holistic view of assessment outputs, allowing for identification and rectification of non-standard outputs. CASA launched digital regulatory services through the myCASA online capability and, where appropriate, automated these assessments, resulting in further standardisation of practices and reduction of processing times.</p>

KPIs	Entry control is delivered in accordance with the regulations and assessment made proportionate to the activity being undertaken. Airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally is provided.
Strategy/plan	1.7 Improve the client experience through the provision of digital regulatory and licensing services
On track	<p>CASA migrated the issuing of remotely piloted aircraft operator certificates and remote pilot licences to the myCASA portal this year. The portal allows individuals and organisations to apply for an aviation reference number and submit applications online. Development and refinement continue for a remotely piloted aircraft systems digital platform to provide easy access to rules on drone operations via approved third-party software application providers.</p> <p>In 2020–21, work began on a new CASA website that will deliver an improved experience for clients, industry and stakeholders, support and enable online service delivery, make information on the site easier to find and understand, meet government best practice standards for useability and accessibility, and meet ongoing government security requirements through a technical platform upgrade. During the financial year, work on this project included the delivery of a new look and feel, refinement of the website information architecture and content, and user testing; and site design in the centralised 'contact us' area. A beta version of the website is planned for release before the site goes live later in 2021.</p> <p>The 2020 stakeholder satisfaction survey in November and December 2020 showed that respondents' level of overall satisfaction with CASA increased from 6.2/10 to 6.3/10 since the previous survey in 2018.</p>

KPIs	<p>Entry control is delivered in accordance with the regulations and assessment made proportionate to the activity being undertaken.</p> <p>Airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally is provided. <i>(continued)</i></p>
Strategy/plan	1.8 Provide airworthiness assurance for all Australian aircraft and Australian designed and/or built aircraft operating internationally
On track	<p>CASA continues to provide airworthiness oversight and assurance activities in the areas of aircraft design, modifications, production, and continued operations. In 2020–21, those activities included approving major changes to the Australian type certified GippsAero GA8 and GA10 aircraft; issuing supplemental type certificates for Australian major changes to foreign type certified aircraft; and surveillance of approved design organisations, manufacturing organisations, and industry authorised persons. Surveillance of design and manufacturing was conducted as part of the CASA National Surveillance Selection Process.</p> <p>CASA worked with stakeholders involved in the recertification and return to service of the Boeing 737 MAX. On 26 February 2021, CASA issued Instrument 16/21 repealing the temporary prohibition of 737 MAX operations in Australian airspace. This followed a review of the Federal Aviation Administration Airworthiness Directive and directives issued by the European Union Aviation Safety Agency and Transport Canada Civil Aviation for additional return-to-service requirements.</p> <p>CASA continued to develop airworthiness protocols in line with CASA's Airworthiness Protocol Framework. The protocols are a system governing how CASA makes regulatory decisions in relation to the airworthiness of aircraft and ties together the procedures for oversight. Through the development of protocols, CASA improves consistency in regulatory decision-making.</p>

Table 6 Goal 1 key performance area: Compliance assurance – Surveillance

KPI	CASA's compliance monitoring approaches are standardised and coordinated relative to the aviation sector.
Measure of success	CASA notifies industry participants of surveillance safety findings within defined timelines – CASA requires industry participant corrective actions to return to state of compliance within defined timelines.
Impact on deliverable	<p>CASA provided the aviation industry with 901 surveillance safety findings in 2020–21, of which 899 (99.8%) were within the timeline defined in the surveillance manual.</p> <p>Of the 901 surveillance safety findings issued, 564 (62.6%) were successfully closed out within the defined time range. Analysis of this data confirmed that numerous factors adversely impacted the timely close-out of the outstanding safety findings, including:</p> <ul style="list-style-type: none"> • reduced staff and operations during COVID-19 restrictions • CASA's inability to complete onsite validation of safety findings due to state border closures • suspension of certificates with open safety findings • regulatory implementation of Civil Aviation Safety Regulations (CASR) Part 139, which required that all open safety findings for aerodromes be reissued under a new regulatory reference.
Strategy/plan	1.9 Conduct regulatory services and compliance monitoring of the aviation industry to assure aviation safety performance
On track	<p>CASA implemented the new regulatory oversight operating model to improve consistency and standardisation for the aviation industry, moving from a regional model to a national model. This ensured that CASA remained a modern and effective regulator and allowed for tailored solutions for individual operators when appropriate.</p> <p>The changes focused on our people, processes and technology, aligning business processes and representing a new way of working for both CASA and the aviation industry. The benefits involved improving staff and client experiences, standardised and efficient business processes and consistency in advice; matching people's skills with the tasks they do; and helping our staff and clients transition to and operate with outcome-based regulations.</p>

Table 7 Goal 1 key performance area: Address non-compliance – Enforcement

KPI	Actions undertaken are consistent, fair and transparent in accordance with CASA's enforcement procedures that incorporate CASA's regulatory philosophy.
Measures of success	<p>Proportionate enforcement action is taken.</p> <p>Enforcement action is taken when corrective action plans fail.</p> <p>Operators who are unable or unwilling to return to compliant operations will be dealt with in accordance with CASA's enforcement policy, remediated by the coordinated enforcement process.</p>
On track	<p>CASA's enforcement manual sets out processes and procedures to ensure that instances of regulatory non-compliance potentially requiring the exercise of CASA's enforcement powers are considered in the coordinated enforcement process. This process involves technical and regulatory specialists considering individual matters to ensure that consistent, evidence-based outcomes are reached and result in the selection of the most appropriate enforcement outcome to address the identified risks to safety.</p> <p>During the year, 124 instances of potential non-compliance were referred to the coordinated enforcement process. Significant enforcement action was considered necessary in only 16 of those matters. In particular:</p> <ul style="list-style-type: none"> one civil aviation authorisation was cancelled eight civil aviation authorisations were suspended seven individuals were referred to the Commonwealth Director of Public Prosecutions (DPP) for consideration of criminal prosecution. <p>No enforcement action was required to be taken due to the failure of an operator to comply with a corrective action plan.</p> <p>External scrutiny of CASA's enforcement decision-making resulted in:</p> <ul style="list-style-type: none"> one decision of the Administrative Appeals Tribunal in which CASA's decision to cancel a civil aviation authorisation was upheld 11 prosecutions finalised by the DPP, of which nine resulted in convictions, one matter resulted in a finding of guilt without conviction and one matter was withdrawn after the defendant agreed to pay an Aviation Infringement Notice instead.

KPI	Actions undertaken are consistent, fair and transparent in accordance with CASA's enforcement procedures that incorporate CASA's regulatory philosophy.
Measure of success	Serious breaches of the legislation are referred to the Director of Public Prosecutions (DPP).
On track	In 2020–21, seven briefs of evidence were referred to the DPP. One brief of evidence (referred in the previous financial year) was returned by the DPP, on the basis that it was not in the public interest to proceed to prosecution in the absence of reasonable prospects of a conviction.
Strategy/plan	1.10 Develop modern enforcement strategies, policies and practices
On track	CASA's enforcement strategies and practices are set out in its enforcement manual and regulatory philosophy, which are published on CASA's website and periodically reviewed and updated.

Table 8 Goal 2 key performance area: Engagement

KPI	CASA maintains productive working relationships with key stakeholders.
Measure of success	Stakeholder satisfaction with CASA's performance in key areas.
On track	<p>The stakeholder satisfaction survey conducted in November and December 2020 showed that respondents' level of overall satisfaction with CASA had increased from 6.2/10 to 6.3/10 since the previous survey in 2018.</p> <p>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 panel on specific technical issues and proposals. In total, 200 individual members of industry have participated in at least one of the 25 technical working groups established since the Aviation Safety Advisory Panel was formed in 2017. A total of 29 technical working group meetings of various kinds, including face-to-face gatherings, teleconferences and videoconferences, were conducted in 2020–21.</p> <p>CASA continued to consult on regulatory change proposals via the CASA Consultation Hub (consultation.casa.gov.au). During 2020–21, 26 consultations and feedback surveys were conducted, with a total of 2,602 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, organisation transformation initiatives, and various safety promotion products, events and campaigns.</p>

KPI	CASA maintains productive working relationships with key stakeholders. <i>(continued)</i>
Strategy/plan	2.1 Develop stakeholder relationships
On track	<p>CASA facilitated the inaugural meeting of its new industry engagement forum, FlySafe, in May 2021. Aimed at aviation organisations, clubs, schools and aviation stakeholders, the program included speakers from CASA, Airservices Australia, the Australian Transport Safety Bureau, the Bureau of Meteorology, the Department of Defence and industry representatives, and provided an opportunity for CASA, agencies and industry personnel to interact and hear key safety messages. A second forum was held in Darwin in June 2021.</p> <p>CASA undertook several engagement activities with industry – including participation in the National Runway Safety Group, sponsorship of aviation events, onsite visits through the aviation safety advisor network, and Board/executive-meet-industry events held in Sydney (April 2021) and Darwin (June 2021) – and worked toward a community of practice with other key agencies to enable effective safety promotional activities.</p> <p>CASA also continued to engage the aviation community through the Aviation Safety Advisory Panel and technical working groups as part of the regulatory change process.</p>
Strategy/plan	2.2 Contribute to government confidence in CASA as a fair and effective aviation safety regulator
On track	<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.</p> <p>During 2020–21, CASA provided 320 responses to correspondence from federal, state or local government bodies; 86 ministerial responses; and three ministerial submissions. Active monitoring of correspondence timelines continues.</p> <p>CASA appeared at Budget estimates hearings before the Senate Rural and Regional Affairs and Transport Legislation Committee in October 2020, March 2021 and May 2021.</p> <p>The Senate Rural and Regional Affairs and Transport Legislation Committee commenced an inquiry into Australia's general aviation industry in December 2019. CASA provided three separate submissions to the committee – on 17 November 2020, 14 December 2020 and 29 December 2020 – on various matters. CASA appeared before the committee on 20 November 2020.</p> <p>Numerous submissions to the general aviation inquiry made positive comments about improvements to CASA's approach to stakeholder engagement.</p>

Table 9 Goal 2 key performance area: Promote safety and education

KPI	CASA supports industry understanding and compliance.
Measure of success	Effective communication to key stakeholders using appropriate channels.
On track	<p>CASA continues to conduct ongoing communication and engagement activities regarding the regulatory change program, including promotion of guidance material, to support rule changes. In 2020–21, this included activities related to new fatigue rules, flight operations regulations, new aerodrome rules, cessation of CASA Basics examinations and introduction of a new self-study pathway to qualify for a Civil Aviation Safety Regulations (CASR) Part 66 licence, and various airspace change proposals.</p> <p>Critical guidance materials for the flight operations regulations were published by the December 2020 deadline; the publication of further or revised materials is ongoing.</p> <p>CASA launched its first plain English guide in October 2020, providing a single document to guide operations of micro and excluded category remotely piloted aircraft. CASA also consulted on the publication of draft standard scenarios for remotely piloted aircraft operations, including beyond visual line of sight operations, to reduce complexity for industry. CASA has continued to improve its digital platform for remotely piloted aircraft systems, and three application software providers have been endorsed by CASA to provide drone-related safety information to drone operators.</p> <p>In May 2021, CASA announced the release of print editions for the first three documents in its series of plain English guides to safety regulations. The guides cover fatigue management (Civil Aviation Order 48.1), micro and excluded category drone operations (CASR Part 101), and general operating and flight rules (CASR Part 91).</p>
Measure of success	Industry forums conducted openly and transparently.
On track	<p>Information on outcomes achieved and consultation activity conducted through the Aviation Safety Advisory Panel, including all technical working groups, is published on CASA's website.</p> <p>A new industry engagement forum, FlySafe, was launched in May 2021. Forum participants include all Commonwealth aviation agencies: Airservices Australia, the Australian Transport Safety Bureau, the Bureau of Meteorology, the Australian Maritime Safety Authority and the Department of Defence. The first two events, held in Adelaide in May 2021 and Darwin in June 2021, were well attended by industry.</p>

KPI	CASA's education and promotion is relevant, timely, effective and appropriately targeted.
Measure of success	Education and promotion activities meet the needs of the aviation community and CASA staff.
On track	<p>In response to sector risk profiling activities, a range of new products have been developed, including a suite of key personnel guides; products relating to stall and spin avoidance; and a pilot careers guide.</p> <p>Aviation Safety Seminars are developed based on the Australian Transport Safety Bureau's SafetyWatch, highlighting the broad safety concerns that come out of the bureau's investigation findings, occurrence data reported by industry, CASA safety trends data, and data from other key agencies, including Airservices Australia.</p>
Strategy/plan	2.3 Provide comprehensive safety promotion programs to the aviation industry and stakeholders
On track	<p>CASA continued to deliver a program of aviation safety education seminars to industry participants across Australia.</p> <p>CASA commissioned a study to explore pilots' attitudes towards and use of aviation safety information presented by CASA and other sources, with the aim of helping to refine our ongoing approach to safety education in Australia. The study found that aviation safety seminars were widely praised across the qualitative and quantitative phases of the research. Recreational pilots who had attended a seminar mostly agreed that they had learnt something (88% of those surveyed), that attending had been worthwhile (89%), that the survey had been pitched at an appropriate level (81%) and that participation had made them a safer pilot (78%).</p>

Table 10 Goal 3 key performance area: Robust structures, systems and processes supporting good governance

KPI	CASA operates as a solvent entity.
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 2020–21. 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.
Strategy/plan	3.1 Continue to maintain sound financial management
On track	<p>CASA reported an operating surplus of \$16.2 million in 2020–21, compared to a budgeted operating surplus of \$0.01 million for 2020–21 and an operating deficit of \$12.4 million in 2019–20.</p> <p>The interim audit and financial statement audit performed by RSM on behalf of the Australian National Audit Office reported no significant audit observations, and an unmodified auditor's report was issued in respect of the 2020–21 financial statements.</p> <p>Independent advisors were used during the 2020–21 financial statement process to provide assurance on April hard close financial statements; a valuation of CASA's fixed assets; and an impairment assessment of CASA's intangible assets, including work in progress.</p> <p>CASA maintained strong relationships with the departments of Infrastructure, Transport, Regional Development and Communications; Finance; the Treasury; and the Prime Minister and Cabinet, particularly in relation to the impact of COVID-19 on CASA's financial position and the development of the 2021–22 Budget, which addressed potential concerns about CASA's ongoing solvency.</p>

KPI	CASA has the information and communication technology platform and enabling support to achieve business improvement and transformation.
Measure of success	The increase in the total number of interactions completed by clients through digital channels.
On track	<p>Across CASA systems, the total number of digital interactions with customers in 2020–21 exceeded 109,000, representing an increase of 243% compared to the total number of interactions in 2019–20.</p> <p>A total of 27,584 drone registrations were received in 2020–21. The uptake of this and other new services represented 57% of all customer interactions using digital channels.</p> <p>The use by customers of existing digital services grew to 52,000 interactions, an increase of 62% compared to the total for 2019–20. The aviation reference numbers service totalled 35,000 interactions, an increase of 49%.</p>
Strategy/plan	3.2 Adopt, develop and drive a digital service delivery environment incorporating contemporary technology environments
On track	<p>CASA enhanced its digital service offering by introducing a number of new digital capabilities into the myCASA portal in 2020–21, the final year of the service delivery transformation program.</p> <p>Functions covered by the new services included: flight crew licensing, a digital pilot licence (prototype), pilot licence photo upload, commercial drone registration and accreditation, organisational role management, simulator instructor ratings, maintenance training organisation ability to lodge notifications of training, industry notifications, and integration of European Aviation Processing case workflow, including streamlined payment for fireworks applications.</p> <p>Functionality for the ability to manage the aircraft registration census was built and will be activated in early 2021–22.</p>

Table 11 Goal 3 key performance area: CASA continually develops its capability and capacity

KPI	CASA maintains and grows capability to effectively deliver aviation safety regulation.
Measure of success	The rolling four-year workforce is delivered.
On track	<p>The <i>CASA Workforce Plan 2020–23</i> was launched in August 2020 and set initiatives to create a focus on commitment to achieving tangible outcomes, to manage workforce allocations and grow capability across CASA. The workforce plan outlines 15 initiatives, grouped into three priority areas, and sets target dates for completion and indicators for success to ensure that CASA has the skills, capability and capacity to meet the current and emerging challenges in aviation safety regulation. Annual progress is reported through the People Committee to the Executive Committee.</p> <p>In 2020–21, an Organisational Design Review was completed within the Corporate Services, Finance, and Legal, International and Regulatory Affairs divisions and the Client Services Centre in the Stakeholder Engagement Division. The program commenced in the remaining two branches of the Stakeholder Engagement Division, with a view to commencing in the National Operations and Standards Division in 2021–22.</p> <p>Enhancements were made to the workforce reporting capability, allowing regular establishment reports to be produced to assist more effective workforce management practices. A proof-of-concept for an online human resources analytics tool was tested, leading to an approach to market to secure a provider for the system in 2021–22. Business cycles for budget and corporate planning were reviewed and a draft revised approach to workforce planning was developed for 2021–22.</p> <p>CASA undertook the 2021 Australian Public Service Employee Census, with a participation rate of 82%.</p> <p>CASA participated in the following entry-level and development programs in 2020–21:</p> <ul style="list-style-type: none"> the Indigenous Apprenticeships Program – two apprentices completed their programs and graduated with a Diploma in Government in December 2020, and four new apprentices commenced their programs with CASA in April 2021 the Australian Government Graduate Program – three graduates commenced with CASA, one in the human resources stream and two in the digital stream.

KPI	CASA embeds a high-performance culture that enables the achievement of CASA's mission.
Measure of success	Performance is assessed on delivery of outcomes along with the application of specific capabilities and CASA's Values.
On track	<p>CASA continues to maintain a CASA award program and participate in the Australia Day Achievement Awards.</p> <p>In 2020–21, awards were presented to a total of 87 recipients across the six categories of the CASA Award Scheme (Australia Day Achievement Award, Director of Aviation Safety Achievement Award, Above and Beyond Award, Innovation and Continuous Improvement Award, Inclusion Award and Leadership Award).</p> <p>In July 2020, CASA presented three teams and one individual with CASA COVID-19 Above and Beyond Awards and three teams with COVID-19 Innovation and Continuous Improvement Awards, in recognition of their outstanding support to CASA and/or the aviation community through trying times and under exceptional circumstances associated with COVID-19.</p> <p>At 30 June 2021, 84% of mandatory technical competencies had been achieved by 258 CASA regulatory staff across 31 technical roles.</p>
Strategy/plan	3.3 Develop CASA's capability and capacity
On track	<p>In 2020–21, CASA developed a capability framework that highlights the key capabilities, skills and attributes required to perform a role at a specific classification level. It is one of the foundational tools used for workforce planning, standardised job design, recruitment practices and career planning conversations, as well as performance development and learning activities.</p> <p>An enhanced workforce reporting capability was tested for an online human resources analytics tool. The test was followed by an approach to market to secure a provider to automate workforce reporting in 2021–22.</p> <p>In response to the COVID-19 pandemic, CASA transitioned many training products to virtual delivery. The new approach provides an efficient and flexible delivery model. CASA courses are progressively being updated for delivery online or using a hybrid methodology which includes eLearning and webinar delivery. By providing training using flexible delivery models, CASA ensured that professional development, technical and wellbeing training programs were available for staff throughout 2020–21.</p>

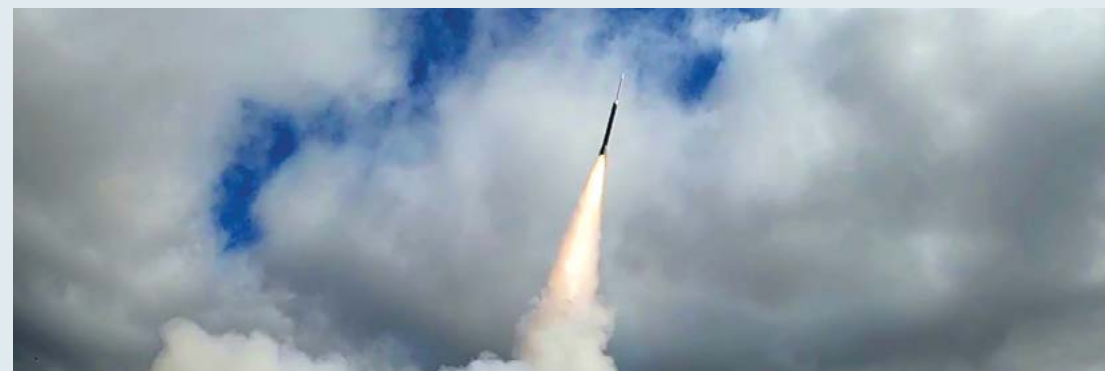


Image courtesy of Southern Launch

Space-capable rocket launch

On 19 September 2020, a space-capable rocket took off from Southern Launch's Koonibba Test Range in South Australia.

The 3.4-metre, 34-kilogram DART rocket, manufactured by T-Minus Engineering, launched to a height of 85 kilometres, carrying a payload attached by Adelaide-based company DEWC Systems.

According to the South Australian Space Industry Centre, this made DEWC Systems the first company to launch a payload aboard a suborbital rocket from the new test range. The payload was designed to collect information from its built-in sensors to help the Australian Defence Force detect potentially dangerous radar signals from an enemy's forces.

The Koonibba Test Range, north-west of Ceduna, extends over 145 kilometres of uninhabited national park, and provides companies with the ability to recover their rockets and payloads and do further testing and systems validation before launching into orbit.

Teams from across CASA were responsible for approving Southern Launch's application to host rocket launches to space.

Based on the safety case and risk assessment for the proposed activity provided by Southern Launch, employees of CASA's General, Recreational and Sport Aviation Branch completed an assessment and made a recommendation to the delegate.

Once the application had been approved by the delegate, CASA produced a legislative instrument, while the Office of Airspace Regulation declared temporary restricted airspace in the area of the test range and worked closely with Airservices Australia to advise industry.

The new facility will attract jobs and growth to the area.



CASA section manager Mick Poole with his team

RAAF centenary flypast

On 31 March 2021, the Royal Australian Air Force (RAAF) marked 100 years of service to Australia by hosting the Spectacular Centenary Flypast over Lake Burley Griffin. Canberrans were lucky enough to witness the event, which was also broadcast live around Australia by the ABC.

More than 60 historic and modern aircraft took part, including a CAC Wirraway flown by Mick Poole, CASA Section Manager General Aviation.

For several years, Mick has been flying historic aircraft that are hangared at the Temora Aviation Museum in New South Wales. He has flown the Wirraway and other historic aircraft, including a Ryan STM and a Tiger Moth, at various air displays, including events at Temora and Avalon, Victoria.

Mick became a Defence reservist in 2019, after 11 of the warbirds hangared in Temora were gifted to the RAAF. As a result of the transfer of ownership, all pilots flying those aircraft were required to be serving RAAF members or reservists.

In January 2021, the RAAF reformed the historic 100 Squadron as the Air Force Heritage Squadron. Its fleet comprises

aircraft hangared at Temora Aviation Museum and the RAAF Museum at Point Cook, Victoria.

In preparation for the centenary flypast, all 100 Squadron pilots attended a series of briefings for three days leading up to the event, and took part in a mass briefing, through videoconference, involving every RAAF base in the country. The briefing was three hours long and covered the logistics of every aircraft involved.

Coordinating and holding over 60 aircraft is a feat. To facilitate this, airspace was temporarily restricted between Young, New South Wales, and Canberra. Mick says that the best way to describe the flight path was 'a big highway', and that on the edges of the highway were 10 designated holding patterns. One of the most challenging parts of the flypast was calculating travel time in order to be over Commonwealth Avenue Bridge at 11:20 precisely – Mick's group came in two seconds early.

Mick says that, although he has taken part in many air displays over the years, the centenary flypast was an incredible experience, and he was privileged to be part of it.

3

PART 3: ORGANISATION

This part of the report describes how CASA's governance and structure underpin its performance, and how the authority engages effectively with the wider aviation community.

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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.

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.

Civil aviation

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.

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.

Airspace administration

Under section 11 of the *Airspace Act 2007*, CASA is responsible for the administration of Australian-administered airspace. This includes classifying volumes of airspace; determining the services and facilities to be provided by approved air navigation service providers; and designating equitable access to, and giving directions in relation to the efficient use of, airspace.

Governance and accountability

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

CASA's governance system is firmly aligned with the PGPA Act and 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.

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 had portfolio responsibility for CASA in his capacity as Minister for Infrastructure, Transport and Regional Development from 1 July 2020 until 21 June 2021. The Hon Barnaby Joyce MP assumed responsibility for the portfolio on 22 June 2021 and retained it to the end of the reporting period.

Ministerial direction

On 21 June 2021, 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 1 July 2021 to 30 June 2023.

The Minister's expectations are reflected in the goals and strategies of CASA's corporate plan.

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 2020–21, 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.

No government policy orders applied to CASA under section 22 of the PGPA Act.

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 is composed of a Chair; the Chief Executive Officer and Director of Aviation Safety as an executive member; and up to five other, non-executive members, one of whom the Minister appoints as Deputy Chair.

Appointments

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.

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.

Membership in 2020–21

Anthony Mathews continued as Chair of the CASA Board throughout 2020–21. The Deputy Chair position was not filled.

The role of Director of Aviation Safety was performed by:

- Shane Carmody PSM, who occupied the position from 1 July 2020 to 31 December 2020
- Graeme Crawford, who acted in the position from 1 January 2021 to 16 May 2021
- Pip Spence PSM, who occupied the position from 17 May 2021 to 30 June 2021.

Two new Board members, Marilyn Andre and Elizabeth Hallett, were appointed for three-year terms, effective from 1 July 2020.

Mark Rindfleish completed his three-year term on 15 April 2021. One Board position was vacant at 30 June 2021.

Figure 8 provides details of all Board members in 2020–21.

Figure 8 CASA Board members, 2020–21

Members at 30 June 2021

Anthony Mathews Non-executive member
Chair

First appointed: 20 August 2018

End of term: 19 August 2021



Anthony Mathews has more than 45 years' experience in the aviation industry.

Anthony 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.

Beyond aviation, Anthony 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.

Anthony 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.



Michael Bridge Non-executive member

First appointed: 1 October 2018

End of term: 30 September 2021

Michael Bridge holds an air transport pilot licence.

Michael was Regular Public Transport (Airline) Manager and later Group Operations Manager for Skyport Group. He 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.

Michael 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 AustralianSuper – Aviation Division Advisory Board, and has been Chair of the Board of Commissioners of Tourism NT since 2012.

Michael 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.

Michael 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.

Donna Hardman Non-executive member

First appointed: 1 January 2020

End of term: 31 December 2022



Donna Hardman is a governance expert, experienced non-executive director and board committee chairman with broad experience in the private and public sectors. She offers strategic thinking and a digital perspective along with corporate and project governance, regulatory compliance, risk management, financial management, technology, people and cultural change skills. Donna helps organisations to meet complex challenges – business transformation, innovation and digital disruption – through coaching on change leadership and the nature of future-ready organisations.

Donna's eight-year non-executive director career includes roles as a non-executive director, Chairman of the Remuneration and Nominations Committee and member of the Mergers and Acquisitions Committee of an ASX-listed company during its sale and ASX-delisting; a member of the Mergers and Acquisitions Committee of an Australian Prudential Regulation Authority-regulated, customer-owned bank during a merger; and a non-executive director and Chairman of the Capital Allocation Advisory Committee of a financial technology company during an ASX-listing. In the public sector, Donna holds two independent governance appointments with Australian Government departments, in addition to her appointment with CASA.

During her 20-year executive career, Donna held international and national strategy and general management positions in the financial services sector and was founder and CEO of a boutique consultancy company responsible for building start-ups and delivering business and technical transformation projects.

Donna 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 of the Australian Institute of Company Directors, an independent Member of the Institute of Public Administration Australia, and a Fellow of the Governance Institute of Australia. She recently completed a study of public/private sector innovation ecosystems, cyber security and sustainability through Tel Aviv University, Israel.

Donna was Chair of the Board Audit and Risk Committee from 1 January 2020 to 31 December 2020.

Marilyn Andre Non-executive member

First appointed: 1 July 2020

End of term: 30 June 2023



Marilyn Andre is an experienced managing director, consultant and airline pilot. Marilyn has an extensive background across the aviation industry and tertiary education, with expertise in simulation and training, regulations, and international standards. With an in-depth knowledge of regulator interpretation, liaison and implementation, Marilyn is a consultant to maritime and aerospace bodies on the development, implementation and evaluation of policies, standards and technical guidelines.

Marilyn was a director of Boeing Australia Holdings and the Managing Director of Boeing Training and Professional Services Australia. She has been Vice President of Women in Aviation Australian Chapter and a member of the Australian Air Force Cadets National Council.

Following her airline career, Marilyn founded Skyclass, a classic aircraft airline with Dakota DC-3 and Skymaster DC-4s which she restored. She is a pioneer in women's airline ownership and operation.

Marilyn lectures in the Master of Aviation Leadership Program and is on the advisory committee of the National Association of Women in Operations.

She holds a Bachelor of Commerce (Economics and Finance), a Bachelor of Commerce (Honours) (Investment Management) and a Graduate Diploma in Strategic Leadership. She is working towards a doctor of Business Leadership through Torrens University. Marilyn is rated to fly Airbus A319/A340 and Boeing 747 aircraft.

Elizabeth Hallett Non-executive member

First appointed: 1 July 2020

End of term: 30 June 2023



Elizabeth Hallett is an experienced non-executive director and chair of audit and risk committees in regulated sectors, including the infrastructure and financial services sectors. She brings legal and regulatory, corporate governance, audit and risk management and strategy development skills and experience to the Board.

Elizabeth is a non-executive director on the boards of Sunsuper, a large public offer superannuation fund; NPP Australia Limited; Lynch Group Holdings Limited (ASX:LGL); and NSW Land Registry Services. She is a reappointed member of the Australian Takeovers Panel and sits on the Advisory Committee of John Sample Group.

For 22 years, Elizabeth was a corporate partner with an international law firm, where she held global and national leadership roles.

Elizabeth holds a Bachelor of Commerce and a Bachelor of Laws from the University of Melbourne, and is a Graduate of the Australian Institute of Company Directors.

Pip Spence PSM Executive member**First appointed:** 17 May 2021**End of term:** 16 May 2026

Pip Spence PSM commenced as Chief Executive Officer and Director of Aviation Safety on 17 May 2021.

Prior to joining CASA, Pip was most recently the Chief Operating Officer and Deputy Secretary for the Arts at the Department of Infrastructure, Transport, Regional Development and Communications. Before that she was the department's Deputy Secretary for Transport, a role which included responsibility for aviation and airport policy and program matters.

Pip has previously had a number of senior leadership roles in the Australian Public Service, including in the Department of the Prime Minister and Cabinet and in the Department of Broadband, Communications and the Digital Economy, where she was closely involved in the establishment of the National Broadband Network and the associated reform of telecommunications regulations.

Pip commenced her career in the Department of Transport and Communications, where she worked in a number of aviation-related areas, including in the office of the Minister for Transport.

Pip has a Bachelor of Economics from the University of Tasmania and a Graduate Diploma in Economics from the Australian National University.

Members departed before 30 June 2021

Shane Carmody PSM Executive member**First appointed:** 10 October 2016**Ceased:** 31 December 2020

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

Shane retired on 31 December 2020.

Shane has a Bachelor of Arts and a Master of Business Administration, is a Graduate of the Australian Institute of Company Directors and is a Fellow of the Royal Aeronautical Society.

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

A former Deputy Chief Executive of CASA, Shane 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.

Shane joined the Australian Public Service in 1989, after a 15-year career as an Army officer serving in Australia and overseas. He received the Public Service Medal in June 2021, for outstanding public service to modernising air safety regulations and drone pilot licensing.

Mark Rindfleish Non-executive member**First appointed:** 16 April 2018**Ceased:** 15 April 2021

Mark Rindfleish has more than 45 years' experience as an airline pilot and senior operations manager with airlines in Australia and overseas.

Mark 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.

In addition, Mark 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.

Mark 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.

Board meetings

Six scheduled Board meetings were held during 2020–21, on 20 August, 14 October and 3 December 2020 and 23 February, 21 April and 22 June 2021. All Board members attended the meetings that they were eligible to attend.

Shane Carmody attended 2020 meetings only. Mark Rindfleish attended 2020 meetings and the February 2021 meeting. Pip Spence attended the June 2021 meeting only.

Anthony Mathews, Donna Hardman, Michael Bridge, Marilyn Andre and Elizabeth Hallett attended all six meetings.

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.

Members

CASA's Board Audit and Risk Committee consists of four members: two Board members and two members who are independent and external to CASA.

During 2020–21:

- three committee members departed – Board members Donna Hardman (31 December 2020) and Mark Rindfleisch (15 April 2021), and independent member Michael Roche (31 December 2020)
- three committee members were appointed – Board members Elizabeth Hallett (9 July 2020) and Marilyn Andre (21 April 2021), and independent member Lembit Suur (1 January 2021).

One independent member, Amanda Phillips, continued in her position throughout the year.

Donna Hardman was Chair of the committee from 1 July 2020 until 31 December 2020. Lembit Suur acted in the role of Chair from 1 January 2021 until he was appointed as Chair on 21 April 2021.

Figure 9 provides details of all Board Audit and Risk Committee members in 2020–21.

Figure 9 Board Audit and Risk Committee members, 2020–21

Members at 30 June 2021

Lembit Suur Chair (from 1 January 2021) Independent member

First appointed: 1 January 2021

Lembit Suur is a recognised leader and innovator of public sector governance design and practice, process improvement and efficiency, and performance monitoring, reporting and accountability structures.

Lembit has an extensive senior executive background in central government budgeting resourcing processes, and led the development and implementation of the *Public Governance, Performance and Accountability Act 2013*. He has recently conducted reviews for various Australian governments and the Organisation for Economic Cooperation and Development. He is Chair of the National Recovery and Resilience Agency audit and risk committee.

Lembit holds Bachelor of Law and Bachelor of Arts (Hons) degrees from the University of Sydney, as well as postgraduate qualifications from the University of Sydney and Stanford University. He is a Graduate of the Australian Institute of Company Directors.

Amanda Phillips Independent member

First appointed: 25 March 2020

Amanda 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.

Amanda 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.

Amanda 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 of the Australian Institute of Company Directors.

Elizabeth Hallett Board member**First appointed:** 9 July 2020

Elizabeth Hallett is an experienced non-executive director and chair of audit and risk committees in regulated sectors, including the infrastructure and financial services sectors. She brings legal and regulatory, corporate governance, risk management and strategy development skills and experience to the committee.

Elizabeth is a non-executive director on the boards of Sunsuper, a large public offer superannuation fund; NPP Australia Limited; Lynch Group Holdings Limited (ASX:LGL); and NSW Land Registry Services. She is a reappointed member of the Australian Takeovers Panel and sits on the Advisory Committee of John Sample Group.

For 22 years, Elizabeth was a corporate partner with an international law firm, where she held global and national leadership roles. Elizabeth holds a Bachelor of Commerce and a Bachelor of Laws from the University of Melbourne, and is a Graduate of the Australian Institute of Company Directors.

Marilyn Andre Board member**First appointed:** 21 April 2021

Marilyn Andre is an experienced managing director, consultant and airline pilot. Marilyn has an extensive background across the aviation industry and tertiary education, with expertise in simulation and training, regulations, and international standards. With an in-depth knowledge of regulator interpretation, liaison and implementation, Marilyn is a consultant to maritime and aerospace bodies on the development, implementation and evaluation of policies, standards and technical guidelines.

Marilyn was a director of Boeing Australia Holdings and the Managing Director of Boeing Training and Professional Services Australia. She has been Vice President of Women in Aviation Australian Chapter and a member of the Australian Air Force Cadets National Council.

Following her airline career, Marilyn founded Skyclass, a classic aircraft airline with Dakota DC-3 and Skymaster DC-4s which she restored. She is a pioneer in women's airline ownership and operation.

Marilyn lectures in the Master of Aviation Leadership Program and is on the advisory committee of the National Association of Women in Operations.

She holds a Bachelor of Commerce (Economics and Finance), a Bachelor of Commerce (Honours) (Investment Management) and a Graduate Diploma in Strategic Leadership. She is working towards a doctor of Business Leadership through Torrens University. Marilyn is rated to fly Airbus A319/A340 and Boeing 747 aircraft.

Members departed before 30 June 2021**Donna Hardman** Chair (to 31 December 2020) Board Member**First appointed:** 1 April 2019**Ceased:** 31 December 2020

Donna Hardman is a governance expert, experienced non-executive director and board committee chairman with broad experience in the private and public sectors. She offers strategic thinking and a digital perspective along with corporate and project governance, regulatory compliance, risk management, financial management, technology, people and cultural change skills. Donna helps organisations to meet complex challenges – business transformation, innovation and digital disruption – through coaching on change leadership and the nature of future-ready organisations.

Donna's eight-year non-executive director career includes roles as a non-executive director, Chairman of the Remuneration and Nominations Committee and member of the Mergers and Acquisitions Committee of an ASX-listed company during its sale and ASX-delisting; a member of the Mergers and Acquisitions Committee of an Australian Prudential Regulation Authority-regulated, customer-owned bank during a merger; and a non-executive director and Chairman of the Capital Allocation Advisory Committee of a financial technology company during an ASX-listing. In the public sector, Donna holds two independent governance appointments with Australian Government departments, in addition to her appointment with CASA.

During her 20-year executive career, Donna held international and national strategy and general management positions in the financial services sector and was founder and CEO of a boutique consultancy company responsible for building start-ups and delivering business and technical transformation projects.

Donna 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 of the Australian Institute of Company Directors, an independent Member of the Institute of Public Administration Australia, and a Fellow of the Governance Institute of Australia. She recently completed a study of public/private sector innovation ecosystems, cyber security and sustainability through Tel Aviv University, Israel.

Donna was Chair of the Board Audit and Risk Committee from 1 January 2020 to 31 December 2020.

Mark Rindfleish Board member

First appointed: 1 January 2020

Ceased: 15 April 2020

Mark Rindfleish has more than 45 years' experience as an airline pilot and senior operations manager with airlines in Australia and overseas.

Mark 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.

In addition, Mark 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.

Mark 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.

Michael Roche AM Independent member

First appointed: 20 February 2010

Ceased: 31 December 2020

Michael Roche is a Fellow of CPA Australia and a member of the Australian Computer Society. He 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.

Michael has a Bachelor of Accounting and Information Technology systems.

Meetings

The Board Audit and Risk Committee held five meetings during 2020–21. All committee members attended all meetings they were eligible to attend.

Table 12 shows each committee member's attendance during 2020–21, along with their total remuneration for the year.

Table 12 Board Audit and Risk Committee attendance and remuneration, 2020–21

Member	Meetings attended					Remuneration (\$) ^a
	19 Aug. 2020	6 Nov. 2020	3 Feb. 2021	31 Mar. 2021	2 June 2021	
M Andre	n/a	n/a	n/a	n/a	Y	1,595
E Hallett	Y	Y	Y	Y	Y	8,165
D Hardman	Y	Y	n/a	n/a	n/a	8,259
A Phillips	Y	Y	Y	Y	Y	14,850
M Rindfleish	n/a	n/a	Y	Y	n/a	2,346
M Roche	Y	Y	n/a	n/a	n/a	7,755
L Suur	n/a	n/a	Y	Y	Y	20,790

n/a = The meeting was outside the member's term of appointment.

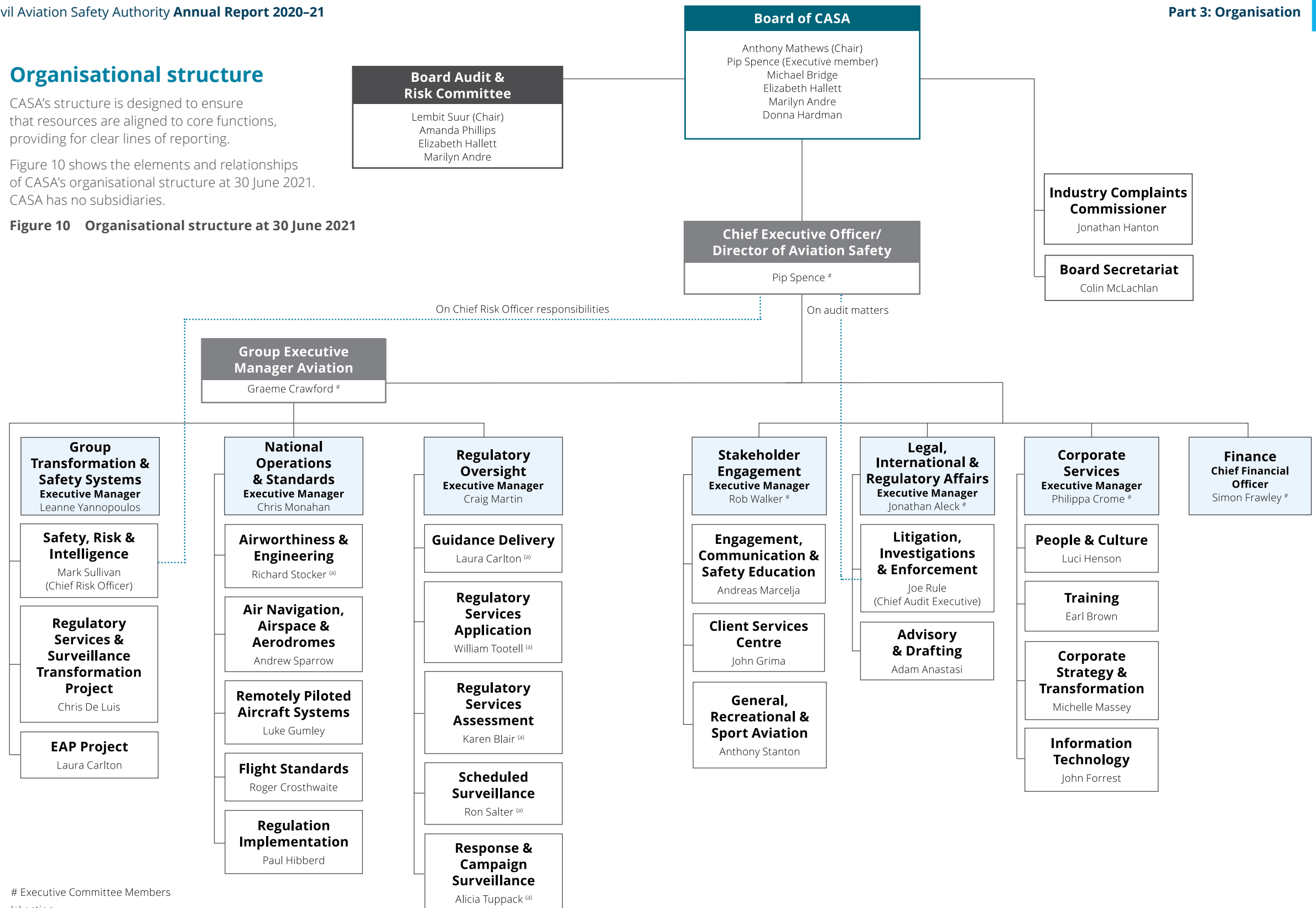
^a Total remuneration is as defined by section 4 of the Public Governance, Performance and Accountability Rule 2014 and reflects only remuneration paid for Board Audit and Risk Committee duties.

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 2021. CASA has no subsidiaries.

Figure 10 Organisational structure at 30 June 2021



Executive Committee Members

(a) acting

Organisational changes

During 2020–21, CASA transitioned to a new regulatory oversight operating model which delivers a nationally managed approach to our regulatory oversight activities while utilising the strengths of having employees physically located across the country. The model incorporates a unified national approach to regulatory oversight based on functions, rather than a model based on regions. As a result, CASA is using its resources and capabilities more effectively and efficiently in a way that delivers systemic, high-quality and consistent safety oversight.

In addition, CASA undertook 10 organisational design reviews to ensure that structures were fit for purpose to enable the delivery of key business outcomes. This involved ensuring that all positions are appropriately classified in line with the CASA work level standards and have up-to-date position descriptions. CASA also phased out the National Office Manager classification, with all positions reviewed and reclassified in line with the work level standards.

Structure

In July 2020, the Group Transformation and Safety Systems Division was established within the Aviation Group. The new division manages transformation activities, including changes to processes and systems, and oversees CASA's safety systems, risk management, International Civil Aviation Organization (ICAO) obligations and relationship with the ATSB.

In December 2020, the Regulatory Services and Surveillance Division in the Aviation Group introduced an interim structure and was renamed Regulatory Oversight Division in line with the new operating model.

The interim structure was finalised in June 2021 to commence in July 2021. The division consists of four functions: Guidance Delivery, Surveillance, Regulatory Services and Oversight Strategy. The changes included the transfer of staff from the National Operations and Standards Division who conduct regulatory services and surveillance activities.

Senior management

During 2020–21:

- Leanne Yannopoulos was promoted to Executive Manager Group Transformation and Safety Systems Division
- Luci Henson was appointed Branch Manager People and Culture
- Robyn Black departed as Branch Manager People and Culture
- Carolyn Hutton departed as Branch Manager Governance and Government Relations
- Anthony Green departed as Regional Manager Western
- Jason McHeyzer departed as Regional Manager Southern
- Chris De Luis was transferred to Branch Manager Regulatory Services and Surveillance Transformation Project
- Mark Sullivan was transferred to Branch Manager Safety, Risk and Intelligence
- John Grima was transferred to Branch Manager Client Services Centre.

Executive leadership team

CASA's senior leadership team comprises the Group Executive Manager Aviation, the Chief Finance Officer and CASA's six executive managers. Information on executive remuneration is provided in tables B.5 to B.7 in Appendix B.

Aviation Group

Graeme Crawford

Group Executive Manager



Profile

Graeme Crawford was appointed as Group Executive Manager Aviation in May 2016.

Prior to this appointment, Graeme had over 20 years' experience in senior executive roles at globally renowned aviation organisations such as Qantas Airways, Pratt & Whitney, Goodrich Aerospace, Air Canada and General Electric. He was responsible for maintenance businesses and led major business transformation programs delivering both increased efficiencies and improved customer service levels. He 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.

Graeme completed his engineering and industrial management education in Glasgow, Scotland. He is a Six Sigma Black Belt, a Graduate of the Australian Institute of Company Directors and a Fellow of the Royal Aeronautical Society.

Graeme is the chair of the Aviation Safety Committee and the Operations Continuity Group.

Role

As CASA's front line in maintaining aviation safety, the Aviation Group uses aviation safety data and intelligence to identify and proactively manage emerging safety issues. It also establishes practical, pragmatic and proportionate aviation standards through the development and implementation of regulations and supporting material, as well as meeting CASA's regulatory oversight obligations in relation to entry control, regulatory services and surveillance on aviation organisations. The group has a strong focus on strategic direction, consistency and collaboration.

Aviation Group – Group Transformation and Safety Systems Division

Leanne Yannopoulos

Executive Manager

Gender Champion



Profile

Leanne Yannopoulos holds a Bachelor of Commerce (Accounting and Law) and a Graduate Certificate of Management and is an Associate of CPA Australia.

Leanne has over 25 years' experience working in a range of roles in financial management, IT, risk, governance, internal audit, fraud and border intelligence across the public sector and private sectors, with almost 15 years at the senior executive level. She has led whole-of-government financial reporting, appropriation management and government financial systems, as well as large-scale change, transformation and IT system implementation, and has held chief audit executive roles.

Leanne has worked in a number of Australian Government entities, including Airservices Australia, Centrelink, Customs, the Department of Health, the Department of Finance, the Department of Human Services and the Department of Education. She joined CASA in 2016.

Leanne is Deputy Chair of the Aviation Safety Committee and CASA's Gender Champion, progressing diversity and inclusion through the Gender Network and the LGBTIQ+ Network (Rainbow Skies).

Role

The Group Transformation and Safety Systems Division is responsible for managing key transformation initiatives that impact the Aviation Group, including the Regulatory Services and Surveillance Transformation Program and the European Aviation Processing project. The division is also responsible for providing strategic, quality and coordination activities; regulatory services; specialist services relating to International Civil Aviation Organization technical requirements; safety management; safety intelligence and analysis; and management of the sector safety risk profile program.

Aviation Group – National Operations and Standards Division

Chris Monahan

Executive Manager



Profile

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.

Chris 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 Afghanistan, Iraq and North Atlantic Treaty Organization locations. His flying roles included forward air controller, fighter pilot, operational test and evaluation pilot, and chief pilot for remote operations.

Other aviation roles Chris has held include instructor pilot, flight examiner, functional check flight pilot, and maintenance quality assurance officer. He was a trained safety officer and accident investigator at multiple organisational and national levels.

Chris has led organisations focused on the delivery of new aircraft, the upgrading of legacy aircraft, remotely piloted 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 and aerodromes.

Aviation Group – Regulatory Oversight Division**Craig Martin****Executive Manager****Profile**

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.

Craig is a member of the Aviation Safety Committee and the Investment Committee and Deputy Chair of the Major Programs Board.

Role

The Regulatory Oversight 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, major group airlines and remotely piloted aircraft systems. The Regulatory Oversight 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**

Abilities Champion

**Profile**

Rob Walker has over 30 years' experience in stakeholder engagement and public affairs and has worked in aviation since 2000.

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

Rob 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.

Rob is Chair of the Investment Committee and a member of the Aviation Safety Committee. He is a Fellow of the Royal Aeronautical Society, a Graduate of the Australian Institute of Company Directors and a private pilot.

Rob is CASA's Abilities Champion, Chair of the Investment Committee and a member of the Major Programs Board and the Aviation Safety Committee.

Role

The Stakeholder Engagement Division manages CASA's relationships and consultation with industry and other stakeholders and coordinates the Aviation Safety Advisory Panel and technical working groups. The division also develops and delivers CASA's safety promotion and education campaigns for the Australian aviation industry and is responsible for all corporate communication. Within the division, the Client Services Centre provides a range of regulatory service approvals and permissions (including aviation medicals) to the aviation community, in close partnership with other parts of CASA. The General, Recreational & Sport Aviation Branch works with Civil Aviation Safety Regulations Part 149 and other self-administering organisations.

Legal, International and Regulatory Affairs Division

Jonathan Aleck
Executive Manager



Profile

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 Australian Institute of Administrative Law, having served as president for two terms.

Jonathan joined the then Civil Aviation Authority as a legal officer in 1993, and subsequently served as CASA's Chief Legal Officer. Jonathan 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, Jonathan served as Australia's representative on the Council of 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.

Jonathan is Deputy Chair of the People Committee.

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 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
Indigenous Champion



Profile

Philippa Crome joined CASA in January 2019. In addition to being Executive Manager Corporate Services, she is Chief Security Officer, Chair of the People Committee, Deputy Chair of the Major Programs Board, a member of the Investment Committee and CASA's Indigenous Champion.

Philippa has a Master of Strategic Human Resource Management, a Master of International Relations and a Bachelor of Arts (Hons).

Prior to joining CASA, Philippa acquired over 20 years' experience working in roles in human resources, communications and governance in the public and private sectors. She 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.

Philippa has previously worked for the Australian Federal Police, Department of Defence, Department of the Prime Minister and Cabinet, Department of Infrastructure, Transport, Regional Development and Local Government, and Department of Finance.

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 parliamentary services, business transformation and IT.

Finance Branch

Simon Frawley
Chief Financial Officer

**Profile**

Simon Frawley has a Bachelor of Arts in accounting and is a Member of Chartered Accountants Australia and New Zealand. Simon 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.

Simon 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, Simon 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, Simon 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 consistent with the Commonwealth Risk Management Policy 2014 and the requirements of the PGPA Act.

Strategic risks

In fulfilling its regulatory obligations, CASA faces a variety of risks, such as:

- failure to detect breaches of aircraft safety and maintenance standards
- incorrect or inconsistent application of regulatory standards
- ineffective stakeholder engagement
- failure to properly carry out statutory responsibilities.

In April 2021, the CASA Board agreed to five strategic risks for 2021–22: regulatory failure, operating environment, cyber security, work health and safety, and industry capture. The Board reaffirmed its appetite for and acceptable tolerance of key organisational risk areas, as a guide for all CASA employees.

Risk approach

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.

CASA gathers enterprise risk intelligence and conducts periodic reviews in relation to emergent and future risks.

To influence a positive risk culture, risk management is a key component of CASA's orientation program and part of the manager orientation training program.

Key achievements

In 2020–21, CASA consolidated the corporate (enterprise) and aviation safety risk support functions in one section, reporting to the Chief Risk Officer. The group is responsible for establishing and improving the processes for enterprise and aviation safety risk management, supported by the CASA Risk Champion network.

A review of the aviation sector safety risk profile process was completed in November 2020 and made recommendations on how to better integrate that process into CASA's aviation safety risk management processes. The recommendations have been incorporated into a revised sector safety risk profile process due to commence in late 2021.

A review of CASA's risk management process commenced in June 2021 and will continue in 2021–22. This review will further enhance the risk management process and CASA's risk management culture and systems.

Internal audit arrangements

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.

Five audits were completed as part of the 2020–21 internal audit program, comprising a mixture of performance audits in areas including program/project management, contract management and air operator certificates. 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

The *CASA Annual Report 2019–20* was recognised with a prestigious Gold award in the 2021 Australasian Reporting Awards, making 2021 the ninth consecutive year in which CASA has received gold in recognition of the quality of its reporting.

Governance committees

CASA's committee structure provides assurance and transparency for critical decision-making.

The first tier of the 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 to manage key strategic risks.

Executive Committee

The Executive Committee assists the Chief Executive Officer and 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 and Director of Aviation Safety, and to manage the operations of CASA.

The Executive Committee previously met every eight weeks to discuss strategic issues and weekly to discuss operational matters. Since February 2021, the Executive Committee has combined its strategic and operational responsibilities into a weekly meeting.

The committee's membership is the Chief Executive Officer and Director of Aviation Safety, Group Executive Manager Aviation, Executive Manager Corporate Services, Executive Manager Legal, International and Regulatory Affairs, Executive Manager Stakeholder Engagement and Chief Financial Officer.

Aviation Safety Committee

The Aviation Safety Committee is an advisory and monitoring committee which supports the Chief Executive Officer and 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 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 employee training, and work health and safety; and monitoring organisational health levels through metrics on unscheduled absence and employee turnover.

The People Committee meets up to eight times per year.

Major Programs Board

The Major Programs 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, and has two external independent members.

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

CASA's values and code of conduct outline the standard of behaviour expected of CASA employees. They are promoted to new employees during their orientation and covered in online training for all employees.

During 2020–21, one code of conduct allegation was referred for investigation. The matter was finalised with no breach of the values and code of conduct found.

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 13 provides details of investigations in the past three financial years.

Table 13 Code of Conduct investigations, 2018–19 to 2020–21

Detail	2018–19	2019–20	2020–21
Investigations commenced	7	2	1
Investigations finalised	6	2	1
Investigations ongoing at 30 June	1	0	0
Employees who breached the Code of Conduct	5	5	0
Non-financial sanctions	2	3	0
Terminations	1	0	0
Financial sanctions	2	0	0

Conflict of interest

CASA has mechanisms in place to ensure that public trust and confidence in the performance of CASA's regulatory functions is not undermined by actual or perceived conflicts 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 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* was 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 2020–21. Several minor irregularities, primarily involving the inadvertent misuse of CASA corporate credit cards, were identified and reviewed, and employees 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.

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*.

Stakeholder survey

CASA released the results of its 2020 stakeholder satisfaction survey in April 2021. The survey was conducted by an independent consultant in November and December 2020 and examined attitudes towards CASA and aviation safety regulation.

A random sample of 6,600 stakeholders across all major stakeholder groups was invited to participate and 755 completed surveys were received. The results demonstrated a small increase in the level of stakeholder satisfaction, from 6.2/10 in the previous survey (in 2018) to 6.3/10 in the latest survey. The results showed that 54% of respondents were satisfied or very satisfied with their relationship with CASA, while 17% were dissatisfied or very dissatisfied.

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.

Social media

CASA engages with the aviation community online through Facebook, LinkedIn, YouTube and Twitter. CASA's total audience, across all channels, reached 112,890 followers.

- Facebook (which includes the CASA corporate and *Know Your Drone* channels) experienced the highest growth while maintaining the largest following, with the number of users increasing from 48,767 to 54,846.
- LinkedIn followers increased from 33,139 to 37,067.
- Twitter followers increased from 13,121 to 13,617.
- YouTube followers increased from 5,927 to 7,360.

The top Facebook post during 2020–21 related to a story on Qantas's final Boeing 747 flight. The post had 6,497 engagements and 1,823 reactions, comments and shares.

The top LinkedIn post related to the launch of the new in-person forum, FlySafe. It had 1,774 engagements and 109 reactions, comments and shares.

Launched in December 2019, CASA's *Know Your Drone* Facebook page is a dedicated source of information for people who fly drones for fun. The content focuses 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 7,940 followers and 7,330 likes. In 2020–21, paid and organic content achieved more than 841,550 engagements and 37.6 million impressions, reaching over 5.5 million people.

CASA Consultation Hub

The CASA Consultation Hub, established in 2017, supported 26 consultations and feedback surveys during 2020–21, with a total of 2,602 responses. The hub also functioned as a key communication channel, attracting 111,988 unique visitors during the year.

Magazine

Flight Safety Australia, CASA's flagship publication, is a highly regarded source of credible and informative coverage of aviation safety. It is available for free online, or via a print subscription.

The 64-page print edition is circulated to almost 2,900 subscribers every three months, presenting features, news and in-depth analysis on a wide range of topics by expert contributors from the aviation community.

The online edition publishes 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.

Among the respondents to CASA's feedback survey in 2020–21, there was a very high level of agreement that *Flight Safety Australia* influences knowledge and safety behaviour:

- 94% of readers agree/strongly agree that they have learnt useful information on aviation safety
- 85% of readers agree/strongly agree that 'the information published in *Flight Safety Australia* has influenced me to become safer in my aviation role'
- 89% of readers agree/strongly agree that they would recommend the magazine to other people in the aviation industry.

E-newsletters

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.

A new monthly e-newsletter was launched in April 2021 to encourage the aviation industry to start preparing for upcoming rule changes: in particular, the commencement of new flight operations regulations. *What can I do now* uses behavioural economics principles, such as providing operators with concrete steps that they can take to get their business ready.

In addition, a monthly *Know Your Drone* e-newsletter was distributed to more than 30,000 recipients each month and a quarterly e-newsletter was sent to 38 drone safety advocates, to maintain strong relationships, communicate regular updates and encourage them to promote their status as safety advocates.

Table 14 provides statistics on CASA's e-newsletter campaigns for this reporting period. This communication channel largely outperformed international benchmarks set for 2021 by Campaign Monitors: 27% open rate, 6% click through rate and 22% click-to-open rate.

CASA also communicated widely with the aviation community and general public through 381 targeted bulk emails during the year.

Table 14 E-newsletter campaigns 2020–21

E-newsletter	Subscribers/ recipients	Open rate	Click-through rate	Click-to-open rate
<i>The CASA Briefing</i> (monthly)	>11,000	35%	6%	17%
<i>Know Your Drone</i> (monthly)	>30,000	44%	9%	21%
<i>What can I do now</i> (monthly)	12,228 ^a	36%	9%	27%
<i>Drone Safety</i> (quarterly)	38	54%	20%	35%

^a Includes 787 air operator certificate holders.

Webinars and seminars

Our team of aviation safety advisors delivered 175 face-to-face aviation safety seminars and 578 on-site visits around Australia, reaching 5,256 industry members. Unfortunately, a further 25 seminars were deferred or cancelled due to the COVID-19 pandemic.

The 2020–21 seminars explored the theme of *Whether to Fly – focusing on pilot decision-making behaviour in the face of adverse weather*.

CASA also hosted a range of webinars as a key communication tactic to support transition to new rules for aerodromes and fatigue.

In the first half of 2021, we hosted two aerodrome webinars to support the first of the certified aerodromes due to transition by 13 May 2021. More than 150 people attended each webinar.

Across 2020–21, 20 one-hour webinars were delivered on transitioning to the new fatigue rules, with a total of 300 people in attendance. The webinars were an opportunity for air operators to hear about the different routes to transition to the new rules, and understand how to comply from 1 July 2021.

Aviation Safety Advisory Panel

The Aviation Safety Advisory Panel (ASAP) is the primary advisory body through which CASA directs its engagement with industry and seeks input on current and future regulatory and associated policy approaches.

Honorary Professor Patrick Murray is the independent Chair of the ASAP. The industry members are Stuart Aggs, Mark Awad, Reece Clothier, Captain Ray Cronin, Adrienne Fleming OAM, John Gissing, Malcolm Sharp and Mark Thompson. CASA is represented on the panel by Graeme Crawford and Rob Walker.

In 2020–21, the industry 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 ASAP met four times during the year.

The ASAP is supported by discrete technical working groups, established as required so that industry members and relevant technical experts can provide input to the ASAP on specific technical issues and proposals.

Since the ASAP was established, in 2017, over 900 industry members have expressed interest in taking part in technical working groups; 200 of those have participated in at least one of the 25 groups established to date. Twenty-nine technical working group meetings of various kinds, including face-to-face gatherings, teleconferences and videoconferences, were conducted in 2020–21.

Aviation State Engagement and FlySafe forums

The Aviation State Engagement Forum (AvSEF) is a state-based consultative online platform for matters relating to airspace and related procedures in Australia. It is facilitated by CASA. The website supports 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. In 2020–21, 100 papers and consultations were published on the AvSEF website.

FlySafe forums are intended to complement AvSEF in replacing the function of the Regional Airspace and Procedures Advisory Committees. Aimed at aviation organisations, clubs, schools and aviation stakeholders, FlySafe includes speakers from CASA and other government agencies, including the ATSB, the Bureau of Meteorology, the Department of Defence and Aircservices Australia.

The forums provide a platform for industry members to engage with government organisations and strengthen interactions as part of the Australian Aviation State Safety Programme. Industry representatives are also invited to speak, providing an

opportunity for the aviation community to hear safety messaging from other sources and access wider networking opportunities.

CASA held the inaugural FlySafe forum in Adelaide in May 2021 and the second forum in Darwin in June 2021. Future FlySafe events are planned for other capital cities, including Brisbane and Melbourne, in 2021–22. All respondents rated the inaugural forum as ‘good’ or ‘excellent’, stating that they found the event useful.

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 attends meetings of the ASTRA Council as an observer. The council met on 5 November 2020; no meetings were scheduled in the first half of 2021.

Sponsorships and grants

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

In 2020–21, CASA initiated the Drone Signage Sponsorship Program, to support the rollout of standardised national drone safety signage. 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 Signage Sponsorship Program, part of the Know Your Drone safety education campaign, received 29 submissions with a total value of \$74,555. Submissions were assessed

against the guidelines and CASA approved grants for 18 local government authorities, councils and airports, valued at \$46,780. These grants secured the installation of 239 drone safety signs in priority areas across Australia.

Some recipients of grants under the Drone Sponsorship Program in 2019–20 continued the delivery of their safety education forums, events and promotions during 2020–21, due to delays and restrictions caused by COVID-19. Drone safety information and promotional products were provided to recipients in support of their sponsored 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.

Table 15 Sponsorships and grants, 2018–19 to 2020–21

Result	2018–19	2019–20	2020–21
Total funds	\$204,112	\$178,882	\$215,404
No. of organisations/events	24	21	47



Image: Civil Aviation Safety Authority

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 and 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 2020–21, including one meeting held via teleconference due to COVID-19 restrictions.

Australian Transport Safety Bureau

The relationship between CASA and the ATSB is governed, in part, by a memorandum of understanding that was established in February 2010 and renewed in 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 Aviation State Safety Programme 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 memorandum of understanding 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 international 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 Contracting 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 by CASA 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.

Global response to COVID-19

Following the ICAO Council declaration in March 2020 on the outbreak of COVID-19, which 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, CASA continued to actively engage with ICAO and international stakeholders on COVID-19 response and recovery planning.

This included CASA representation on the ICAO Asia and Pacific COVID-19 Contingency and Recovery Planning Group and advice to the Australian representative on the ICAO Council, who is a member of the Council Aviation Recovery Taskforce.

The Council Aviation Recovery Taskforce reported several times during 2020–21, and updated recommendations aimed at restarting the international air transport system and aligning global recovery. CASA supported new safety recommendations regarding avoiding prolonged regulatory alleviations wherever possible.

CASA put in place a number of alleviations to authorisations and permissions to facilitate the continuation of the aviation industry, including repatriation flights and cargo flights of essential personal protective equipment.

Since COVID-19 alleviation measures finished on 31 March 2021, CASA has supported the industry's return to more normal safety assurance activities and has adjusted its approach to surveillance to account for reduced levels of activity and new and emerging sector risks.

This approach is mirrored in special ICAO reporting mechanisms established in response to COVID-19, which have transitioned to a set of targeted exemptions to specific Standards that may be granted as a result of impacts of the pandemic.

Regional Aviation Safety Group – Asia and Pacific Regions

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

CASA participated in discussions during the group's tenth meeting, held virtually, in December 2020. Key discussions focused on COVID-19 contingency and recovery planning. The meeting elected a new Chair to replace CASA's former

Chief Executive Officer and Director of Aviation Safety, Shane Carmody PSM, who chaired the group from 2018 to 2020. A key achievement during Shane's leadership was the delivery of the Asia and Pacific Regional Aviation Safety Plan.

Cooperative arrangements and agreements

Bilateral arrangements and agreements enable CASA and other Australian Government agencies to formalise regulatory relationships and streamline regulatory processes with foreign counterparts, 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 CASA and other national aviation authorities and enable better regulatory oversight of operators and companies that conduct business in Australia and overseas. In 2020–21, CASA undertook discussions regarding new or revised arrangements with counterparts in Japan, the United Kingdom and the United States.

Engagement with aviation authorities

CASA continued to proactively engage and maintain positive working relationships with other key aviation authorities.

CASA joined leaders from the United Kingdom, Canada, New Zealand and the United States for the first meeting of the National Aviation Authority Partnership Network in June 2021.

The network aims to foster cooperation, learning and sharing of best practices by working in partnership on common challenges in aviation. It will consider topics such as safety management systems, COVID-19 recovery, drones, and coordination for ICAO forums.

CASA continued to engage with New Zealand and Canada under the auspices of a trilateral partnership, holding discussions on international aviation's response to the COVID-19 pandemic and remote surveillance methods.

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 2020–21, regional cooperation included activities focused on women in aviation and leadership skills, transportation of dangerous goods (including vaccines), continuing airworthiness and national aviation safety plans.

CASA has liaised closely with the Department of Foreign Affairs and Trade on aviation safety approaches in the Pacific to deliver economic support through the Pacific Flights Program and direct investment to support the Pacific Aviation Safety Office.

A virtual Pacific Regional Aviation Ministers' Meeting (RAMM) was held on 30 June 2021, after the planned March 2020 RAMM in Papua New Guinea was postponed due to COVID-19 disruption.

The RAMM provides an important platform for participating States to request dialogue on wide-ranging civil aviation matters, and aims to ensure that there is a sustainable and connected aviation environment for the Pacific.

A key focus of the RAMM is the development of a Pacific aviation strategy underpinned by a framework articulating regional aviation priorities. The strategy is intended to address aviation safety and security oversight, international compliance, and capacity development.

CASA has also increased its engagement in technical cooperation with the Cooperative Development of Operational Safety and Continuing Airworthiness Programme South East Asia (COSCAP SEA) through participation in webinars and workshop presentations to Member States. COSCAP SEA is an ICAO Asia and Pacific Regional Office assistance and communication mechanism to enhance the safety and efficiency of air transport.



Sandeep Adhikari and family at the scholarship presentation held at CASA's Adelaide office

Stephen Guerin Scholarship

CASA's Stephen Guerin Scholarship honours a South Australian colleague who lost his life while undertaking his role as a flight operations inspector in the pursuit of aviation safety in May 2017. The three-year program opened in 2018, offering a \$15,000 award each year to support an eligible South Australian pilot studying for a commercial pilot licence or higher qualification.

Melanie Cummins, the 2018 scholarship recipient, aimed to use the scholarship to help her achieve her goal of becoming a flight instructor. The scholarship enabled Melanie to obtain her multi-engine aeroplane (MEA) and night visual flight rules ratings. Within a few days of obtaining her MEA rating, she was offered a job on Aero Commanders for the fish-spotting season. Melanie plans to continue her career in the rural general aviation sector.

The 2019 scholarship recipient, Ashley Pullman, hoped to use the scholarship funds to complete a multi-engine class

rating and proceed to a multi-engine training approval and instrument training approval. Ashley's career goal is to fly for the Royal Flying Doctor Service.

Sandeep Adhikari was selected as the successful applicant in 2020. CASA Board Chair Anthony Mathews presented Sandeep with his scholarship at a special ceremony at CASA's Adelaide office, with employees and some of Stephen Guerin's colleagues and family members in attendance.

Sandeep is a cabin crew member for Qantas and has a private pilot licence. He completed his commercial pilot licence and multi-engine command instrument rating in 2020 and is currently studying for his air transport pilot licence theory exams. Sandeep intends to achieve a flight instructor rating, with the aim of promoting safe flying practices to the next generation of pilots as a way of honouring the memory of Stephen Guerin.



CASA's plain English guides

Plain English guides to safety regulations

CASA has released the print editions of the first three documents in its series of plain English guides to safety regulations. CASA's Chief Executive Officer and Director of Aviation Safety, Pip Spence PSM, launched the guides at the Regional Aviation Association of Australia's conference in Dubbo, New South Wales, on 28 May 2021, in her first official engagement with industry.

CASA's plain English guides use clear and concise language and a practical format to capture the content of the relevant Civil Aviation Safety Regulations and Manuals of Standards.

The first three guides cover fatigue management, micro and excluded category drone operations, and the new general operating and flight rules (Civil Aviation Safety Regulations Part 91). They can be downloaded for free at casa.gov.au, or purchased in hard copy via CASA's online store at shop.casa.gov.au.

Andreas Marcelja, Branch Manager Engagement, Communication and Safety Education, recalls that the aviation community has been telling CASA for years that its members find many of CASA's regulations difficult to read, and says that the plain English guides have been designed to make it easier and quicker for users to find, understand and follow the relevant rules.

CASA produced the guides so that people in the aviation community would not need to search through regulations and standards for the information they need. If readers follow the guides, they can be confident that they will comply with the relevant regulations.

Andreas commends the efforts of the CASA team who worked through hundreds of iterations of the new guides to get to the polished product. CASA is now working on producing more plain English guides, to cover other key parts of the safety regulations, and would welcome feedback from users of the guides.

4 PART 4: PEOPLE

This part of the report describes how CASA ensures that it provides a safe and rewarding work environment for its employees.

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PEOPLE MANAGEMENT

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

Employees

At 30 June 2021, CASA had 857 employees, comprising 86 non-ongoing employees (including casuals) and 771 ongoing employees (including 14 inoperative employees – that is, employees on long-term leave for maternity or paternity reasons or employees on unpaid leave).

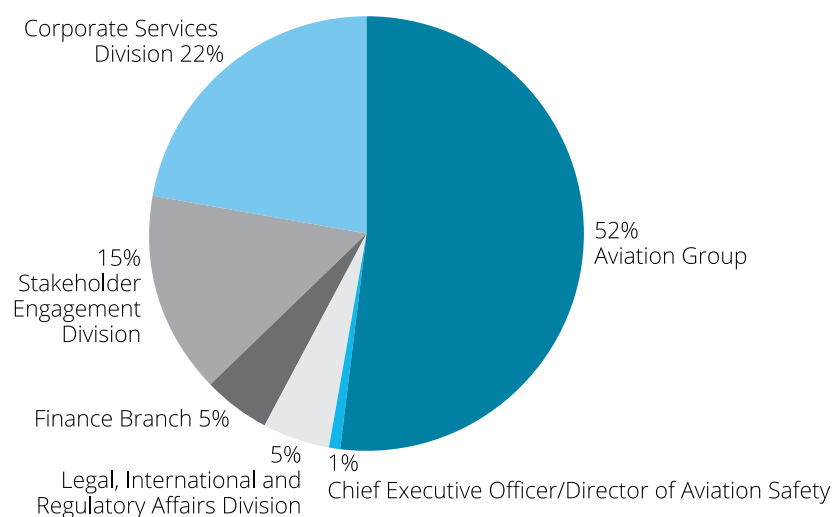
Tables B.1 to B.4 in Appendix B show details of employee numbers by location, gender and full-time/part-time work.

The tables are not directly comparable to the staffing tables in CASA's 2019–20 annual report, as this annual report adopts a new format aligned with the templates of the Australian Government Digital Annual Reporting Tool.

Appendix B includes a correction to the *CASA Annual Report 2019–20*. In Table B.3 of that report, column headings were inserted in the wrong order, resulting in the incorrect reporting of employees by classification and gender at 30 June 2020. The correct information is provided after Table B.4 in this report.

Figure 11 shows the breakdown of employees across CASA's organisational structure.

Figure 11 Employees by work area at 30 June 2021



Workplace agreements

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

At 30 June 2021, 96% of CASA employees were employed under the enterprise agreement and 4% were employed under individual contracts. Following the Australian Government's salary increase postponement announcement on 15 April 2020, the 2% salary increase due to staff employed under the enterprise agreement was deferred from November 2020 and became effective on 17 May 2021.

On 25 June 2021, CASA employees employed under individual contracts received a 2% remuneration increase that had been deferred for six months in recognition of the impact of COVID-19 on Australians.

At 30 June 2021, 65% of CASA employees had flexible work arrangements in place, including 416 working some days from

home, 76 working part time, 64 working condensed hours and one with a variation to hours.

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

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 2020–21, CASA employees used an average of 10.9 days of unscheduled leave per full-time equivalent employee. This is below the APS 2019–20 average, as shown in Table 16. Most absences were taken as sick leave (80.1%) or carers leave (16.6%).

Table 16 Unplanned absence rates, 2018–19 to 2020–21 (days per FTE)

Result	2018–19	2019–20	2020–21
CASA	10.8	10.9	10.9
Australian Public Service	11.4	11.2	Not available ^a

FTE = full-time equivalent employee

^a The Australian Public Service average for 2020–21 will be published in late 2021.

Employee turnover

In 2020–21, 63 ongoing employees separated from CASA. The ongoing employee separation rate was 8.1%. As shown in Table 17, this is higher than the 2019–20 rate of 7.2%.

The primary reasons for separation in 2020–21 were resignation (43%), termination of excess employees (25%), resignation and transfer to an APS agency (13%), and retirement at or after age 55 (11%).

Table 17 Employee turnover, 2018–19 to 2020–21 (%)

Result	2018–19	2019–20	2020–21
CASA	6.9	7.2	8.1
Australian Public Service	9.0	7.4	Not available ^a

^a The Australian Public Service average for 2020–21 will be published in late 2021.

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.

Leadership and networks

In November 2020, CASA announced new diversity champions:

- Indigenous Champion – Philippa Crome, Executive Manager Corporate Services
- Abilities Champion – Rob Walker, Executive Manager Stakeholder Engagement
- Gender Champion – Leanne Yannopoulos, Executive Manager Group Transformation and Safety Systems.

Three new CASA employee engagement networks were created during 2020–21: the CASA Abilities Network (CAN), the Gender Network and the LGBTIQ+ Network (Rainbow Skies).

Inclusion initiatives

CASA undertook a disability readiness assessment through the Australian Network on Disability Access and Inclusion Index: a suite of online tools to help Australian organisations to understand, assess, benchmark and improve their disability confidence to meet the needs of their customers and employees with disability.

In April 2021, the Australian Network on Disability assessed CASA's current practices at a level of 30/100. CASA was ranked 17 out of the 28 participating

organisations. The evaluation provided clear areas of focus and recommendations to improve CASA's engagement with external stakeholders and employees with disability, which have been accepted. Progress will be monitored by CASA's People Committee.

CASA has procured the SBS Inclusion Program, a suite of online courses designed to give all employees core skills and knowledge around inclusion and specific dimensions of diversity. The courses use online learning experiences that tell real stories, create empathy, make complex information digestible, and provide practical things people can do. The program provides approximately 10 hours of content that employees can access and revisit at any time.

In late 2020, CASA identified a unique opportunity to target our recruitment efforts to attract people with disability, as part of the Physical Material Management Project. In various onsite and offsite facilities around Australia, CASA held more than 12,000 cartons of materials requiring sentencing, digitisation and destruction. This presented both a risk and significant cost. CASA developed a plan to dispose of the materials by engaging employees through recruitment agencies specialising in securing jobs for people with disability – the first initiative under our inclusion strategy to engage employees from such agencies.

CASA built lasting positive relationships with two agencies and recruited people with disability to multiple positions and locations. Employees who identify as having disability, including some who had been long-term unemployed, comprised 35% of the project team. The project was an opportunity to showcase the capabilities of people with disability, challenge employment prejudice and build a positive foundation for future recruitment opportunities.

Personal development opportunities

CASA's two 2020 Indigenous Apprenticeships Program participants graduated in January 2021, having successfully completed a Diploma in Government. Four new participants commenced the program in May and June 2021, based in Canberra, Darwin and Brisbane.

In January and February 2021, CASA hosted three interns from Stepping Into, a program coordinated by the Australian Network on Disability. The Stepping Into internship matches university students with disability with roles in businesses and agencies. Our three interns spent six weeks at CASA in research-based roles across the National Operations and Standards Division.

Two CASA employees were selected to participate in the 2021 Jawun secondment program. Jawun partners with Indigenous communities to place skilled people from Australia's leading companies and government agencies into Indigenous organisations. The secondees share their expertise and support Indigenous leaders to achieve their own development goals, with positive outcomes for Aboriginal communities and personal and professional growth for secondees. Both employees are from the Canberra office and will be taking part in community project work, one based in Central Australia, Northern Territory, and the other in Central Coast, New South Wales. This is the first time CASA has participated in Jawun.

Key events

On 18 February 2021, over 20 employees from around the regions attended the first meeting of the CASA Gender Network. The meeting was chaired by Leanne Yannopoulos, Gender Champion,

who introduced the Gender Network leaders, Michelle Massey and Mark Sullivan, and announced that there would be a separate LGBTIQ+ network with Murray Collings and Luci Henson as the leaders. The two networks will promote gender equity and inclusion in the workplace.

On 18 March 2021, Leanne hosted an event from Canberra, with special guest speaker Liz Cosson AM CSC, Secretary of the Department of Veterans' Affairs. In her address to CASA employees, Liz provided a background to her career in the Australian Army and public service. She also discussed the 2021 International Women's Day theme, 'Choose to Challenge', sharing her thoughts on the importance of the diversity of thinking, values and having a mentor/champion.

CASA's *Reconciliation Action Plan March 2021 – March 2023* was launched on 5 March 2021 by CASA's acting Chief Executive Officer and Director of Aviation Safety, Graeme Crawford, at an event held in the Darwin office. Indigenous Champion Philippa Crome facilitated the event, which was attended by representatives of the Larrakia Nation, members of CASA's Aboriginal and Torres Strait Islander Employee Network (CATSIEN) who had contributed to the development of the plan, and employees of CASA's northern region.

On 9 April 2021, CASA's new LGBTIQ+ Network, Rainbow Skies, held its inaugural meeting. The network aims to improve CASA's LGBTIQ+ equality outcomes by providing a platform to actively encourage the full and equal participation of all employees across CASA.

On 19 May 2021, Leanne hosted an event to celebrate the International Day Against Homophobia, Biphobia, Interphobia and Transphobia (IDAHOBIT).

Ngunnawal Kamilaroi custodian Richie Allan performed a Welcome to Country, and Greg Hood, Chief Commissioner and Chief Executive Officer of the ATSB, was guest speaker.

The inaugural CATSIEN conference was held from 31 May to 2 June 2021, in the lead-up to National Reconciliation Week, in Perth. Topics discussed at the conference included 'What is CATSIEN?', CASA cultural protocols, and a number of Reconciliation Action Plan deliverables.

On 3 June 2021, the CATSIEN hosted an event in Perth's Wanju Room to celebrate National Reconciliation Week that was attended by CASA's Chief Executive Officer and Director of Aviation Safety, Pip Spence PSM, and Executive Manager Corporate Services Division, Philippa Crome. Richard Walley OAM performed a Welcome to Country, which was followed by a presentation from Robert Somerville AM about his life as an educator and an officer of the Royal Australian Air Force.



Left to right: CATSIEN conference attendees, Robbie Simms, Gabrielle Davis (Indigenous Apprentice Program (IAP) participant), James Mosby, Ivan Saltner, Anthony Warrell (IAP), Toni McPhail, Aunty Sandra Harben, Nelson Stacey, Renae Isaacs, Liam (Aunty Sandra's grandson), Jay Costello, Bejay Cook
Absent: Jade Alley, Thomas Gallagher (both IAP participants)

Diversity profile

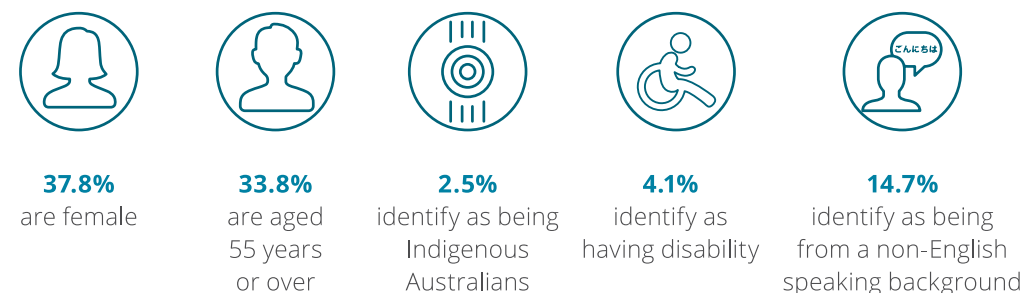
CASA's workforce became more diverse during 2020–21, as shown in Table 18. Figure 12 provides an overview of diversity in CASA's workforce.

Table 18 Diversity groups in CASA's workforce at 30 June, 2018–19 to 2020–21 (%)

Diversity groups	2018–19	2019–20	2020–21
Female	36.1	36.4	37.8
Aged 55 years or over	30.1	31.0	33.8
Indigenous Australian	1.4	2.0	2.5
With disabilities	2.7	3.5	4.1
From non-English speaking backgrounds	12.0	13.3	14.7

Note: Percentages are proportions of CASA's ongoing workforce.

Figure 12 Diversity groups in CASA's workforce at 30 June 2021



Employee training and development

The highlights of CASA's employee training and development activities in 2020–21 included:

- implementing 11 eLearning modules and delivering seven webinars to employees in preparation for the commencement of the new flight operations regulations
- redeveloping the Foundation Training Program to increase the focus on regulatory skillsets for inspectorate employees – parts one and two are complete, with the final part due to be completed by 31 July 2021
- improving the consistency and standardisation of training for Client Services Centre employees
- delivering professional development initiatives targeting corporate capabilities, including training in writing skills, project management, change management, resilience, and business models
- implementing an online training package in support of CASA's diversity and inclusion programs
- delivering the CASA Leadership Program, which was attended by all senior managers and selected middle managers
- working with other government agencies to develop a new national regulatory qualification which could be awarded to employees who complete CASA internal training.

During 2020–21, using an agile development process, CASA developed two classroom, eight webinar, 33 eLearning and one blended course in response to organisational training requests. CASA employees:

- completed 1,112 classroom/webinar training sessions and 15,704 eLearning sessions delivered by CASA
- completed 237 courses and accessed 11,703 training videos online through LinkedIn Learning.

Aviation industry personnel completed 17,771 eLearning training sessions and 14,791 remotely piloted aircraft system accreditations delivered through CASA's AviationWorx portal.

Recognition of high performance and commitment to service

CASA's recognition and reward procedures support managers and employees to provide authentic and timely recognition, at the local level, for valued contributions and employee achievement.

The CASA Award Scheme recognises outstanding employee contributions and achievements 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 19 lists the 2020–21 award recipients as determined by the Executive Committee.

Table 19 Employees recognised under the CASA Award Scheme, 2020–21

	Recipient(s)	Group/division/branch
Annual awards	Australia Day Achievement Award	
	Roger Crosthwaite	National Operations and Standards Division
	Karen Yang	Finance Branch
	Laura Carlton	Regulatory Oversight Division
	Alicia Tuppack	Regulatory Oversight Division
	Director of Aviation Safety Achievement Award	
	Peter Gibbs	National Operations and Standards Division
	Inclusion Award	
	Michelle Massey, Lauren Grant, Robin Arranz, Debra Carter, Ben Kiermaier, Jason Richardson, Katie Doherty, Dave Shelling	Corporate Services Division
Biannual awards	Leadership Award	
	Scott Culpitt	Corporate Services Division
	Above and Beyond Award	
	Greg Deal, Mark Hinchcliffe, Robert Pedri	Regulatory Oversight Division
	Brad Wells	Corporate Services Division
	David Dries, Scott Culpitt, Nathan Vogt, Dan Webster, James Kumar, Scott Elson, Deon Rollan, Elizabeth Grimley, Samuel Woods, Michael Gazzard, Darren Alexander, Barbara Phelan, Greg Bell, Wayne Kramp, Donna Hicks, Harry Korres, Rowan Powell, Erika Ceeney	Corporate Services Division
	Peter Newham	Finance Branch
	Samuel Woods	Corporate Services Division
	Clarke McNamara	Regulatory Oversight Division
	Philip Khan, Graham King, Andrew Langley, Doug Mathie, Klaus Schwerdtfeger, Glen Steemson, Richard Stocker, Sam Yameen, David Edwards, Tom Forrest, Ross Liley, Digby Richards, Ian Gregory, Michelle D'Souza	Regulatory Oversight Division

Biannual awards	Recipient(s)	Group/division/branch
	Above and Beyond Award	
	Quentin Fuller	National Operations and Standards Division
	Carmen Askew	Regulatory Oversight Division
	Innovation and Continuous Improvement Award	
	Anthony McArthur	Stakeholder Engagement Division
	Brad Sinclair, Mark Bucksey, Joe Hain, Jason Rainbird	National Operations and Standards Division
	Grant Hamilton, Allison Ingham, Miles Gore-Brown, Jeffrey Playford, Werner Lushington, Liz Lake, Christine Riley, William Tootell, Samantha Bitossi, Peter Marsh, Mark Ayrey	Regulatory Oversight Division
	Roger Crosthwaite, Chris De Luis, Andy Sparrow, Luke Gumley	National Operations and Standards Division
	Michael Burgess	Group Transformation and Safety Systems Division
	Malcolm Read, Mark Sullivan, Simon May	Stakeholder Engagement Division
	Peter O'Keeffe	Legal, International and Regulatory Affairs Division
	Michael Burgess, Charles Galea, Mark Roberts	Group Transformation and Safety Systems Division
	Matt Bolin, Ashley McAlpine	Group Transformation and Safety Systems Division
	Kristen Jennings, Lisa Miller-Bridges	Corporate Services Division

CASA also recognises the achievements and commitment of employees when they reach five-yearly milestones of service with CASA. In 2020–21, 15 employees achieved 20 years' service or longer, as shown in Table 20.

Table 20 Recipients of CASA milestone awards for service of 20 years or more, 2020–21

Length of service	Employees
20 years	Desmond Bennett, Mark Burgin, David Edwards, Michael English, Neil Forbes, Pater Harding, Grant Howard, Christopher Marriott, Owen Richard, Glen Steemson
25 years	Arnold Long, Steven Saillard
30 years	Ben Firkins, Mark Haslam, Nadia Spesyvy

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 required under the *Work Health and Safety Act 2011*. The CASA Board approved the updated WHS policy in April 2021.

Key areas of focus

During 2020–21, CASA's strategic priorities focused on collaboration and consultation, employee wellbeing and the management of COVID-19 impacts, and enhancements to CASA's WHS risk register.

Consultation

CASA uses a work group structure to facilitate effective communication and consultation across regions. CASA runs 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.

CASA is continuously evolving its extensive resources, information, communications and physical control measures to continue to support and protect employees during the COVID-19 pandemic. CASA's Pandemic Planning Team monitors emerging government advice to inform communications and information for employees.

Employee wellbeing

CASA focuses on the wellbeing of employees by assessing the needs of our people and minimising or eliminating physical and psychosocial hazards relevant to CASA employees.

During a period of substantial organisational change in 2020–21, CASA conducted extensive employee consultation and launched an interactive webinar, *Managing self through change*, to help employees identify the signs and symptoms of burnout, reduce stress, stay calm under pressure and get a better night's sleep.

To further assist employees during change management processes, CASA introduced mindfulness sessions for selected branches in June 2021. The sessions were available to employees face-to-face and virtually, and received positive feedback from participants. CASA health and safety representatives also met regularly to ensure that issues were raised early and appropriate support was provided.

To support the mental wellbeing of employees through the challenges of COVID-19, CASA:

- participated in National Safe Work Month in October 2020, with the theme 'Be kind to your mind this October'
- promoted the support available through our employee assistance program, including fact sheets, videos and counselling services
- linked employees to the range of support and other information available on COVID-19
- provided regular updates on CASA's response to the pandemic.

CASA is engaging in a whole-of-government review to establish best practice in employee assistance programs. We are also reviewing our employee assistance program, seeking feedback from employees on the performance of existing arrangements and potential future enhancements of the program.

CASA's results from the 2021 Australian Public Service Employee Census will be used to inform the ongoing development of CASA's wellbeing program.

An influenza vaccination program was provided to all employees in April 2021, either onsite in CASA offices, by pharmacy voucher, or by reimbursement. In total, 61% of CASA employees participated, through onsite vaccinations (334 employees), vouchers (180 employees) or reimbursement (six employees). This compares to 55% in 2020.

In early 2021, CASA also obtained priority access to the COVID-19 vaccine for 13 employees identified as having the potential to encounter returning international travellers, including flight crews, as part of their work. Those employees were advised that they met the requirements for category 1A under the COVID-19 vaccine rollout strategy and were encouraged to book vaccination appointments.

Review of the risk register

A review of the CASA WHS risk register was undertaken in 2020–21 to evaluate hazard and risk statements, the effectiveness of existing controls, and the accuracy of risk ratings. This is in line with CASA's risk management commitment that all reasonably practicable measures will be adopted, documented and implemented, to always protect our people.

All risk statements contained in the register were reviewed to:

- ensure that they correctly articulate the current hazards and risks
- consider changes to business operations to eliminate identified risks or identify whether any new hazards had been introduced
- identify the risk mitigation strategies that have been implemented and determine whether they have been effective in controlling the hazards
- review progress on the implementation of additional controls
- review and adjust risk ratings based on the current risk profile.

The review formed the basis of a proposal to transition the WHS risk register into a CASA enterprise-wide risk register in 2021–22. The transition will enable tailored reporting of WHS risks and support risk owners in managing their risks.

Training and activities

CASA's commitment to WHS training continued throughout 2020–21, with the following mandatory training modules promoted:

- 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 Employees Working in Remote Locations
- Airside Safety Awareness for Employees Working Airside
- Due Diligence Training for the Senior Leadership Team
- Alcohol and Other Drugs.

Compliance with training requirements was monitored to ensure that workers are informed of their obligations under the *Work Health and Safety Act 2011*.

The Introduction to WHS in CASA and WHS Duties of Officers and Workers eLearning modules were revised to improve useability and education value. An initial review of the Alcohol and Other Drugs eLearning module was undertaken, with further development scheduled for 2021–22.

In June 2021, senior managers participated in Comcare due diligence training incorporating a focus on commitment to leadership in maintaining a psychologically healthy work environment.

Table 21 summarises the results of other key activities that contributed to WHS outcomes in CASA.

Table 21 Results of work health and safety activities, 2020–21

Activity	2020–21
Employees who participated in the seasonal influenza vaccination program	520
Employees who had an individual workstation assessment	31
Employees who were provided with case management support to stay at work or return to work safely while addressing significant personal or health issues	13
Employees who accessed early intervention assistance for work-related illness or injury	2
Incidents notified by employees	51
Hazards notified by employees	16
Employees and family members who accessed the employee assistance program	50
Operational employees who attended a hearing assessment	142
Operational employees working in remote areas who completed first aid training	26

Investigations and compensation

In 2020–21, CASA had no notifiable incidents but was subject to one investigation by Comcare.

Comcare, in response to representations by Professionals Australia, undertook an investigation into CASA's compliance with its obligations under the *Work Health and Safety Act 2011* to protect the health and wellbeing of workers, with a particular focus on the psychosocial wellbeing of workers impacted in relation to the Regulatory Services and Surveillance Transformation Program. Comcare found that CASA complied with its duties under the *Work Health and Safety Act 2011* and Work Health and Safety Regulations 2011 with respect to the scope of the inspection and the investigation was closed.

Comcare premium

CASA's 2020–21 workers' compensation premium rate was 0.51% of the 2020–21 payroll. This was an increase from 0.40% in 2019–20 but was lower than the average premium rate of 0.85% for all Comcare scheme participants.

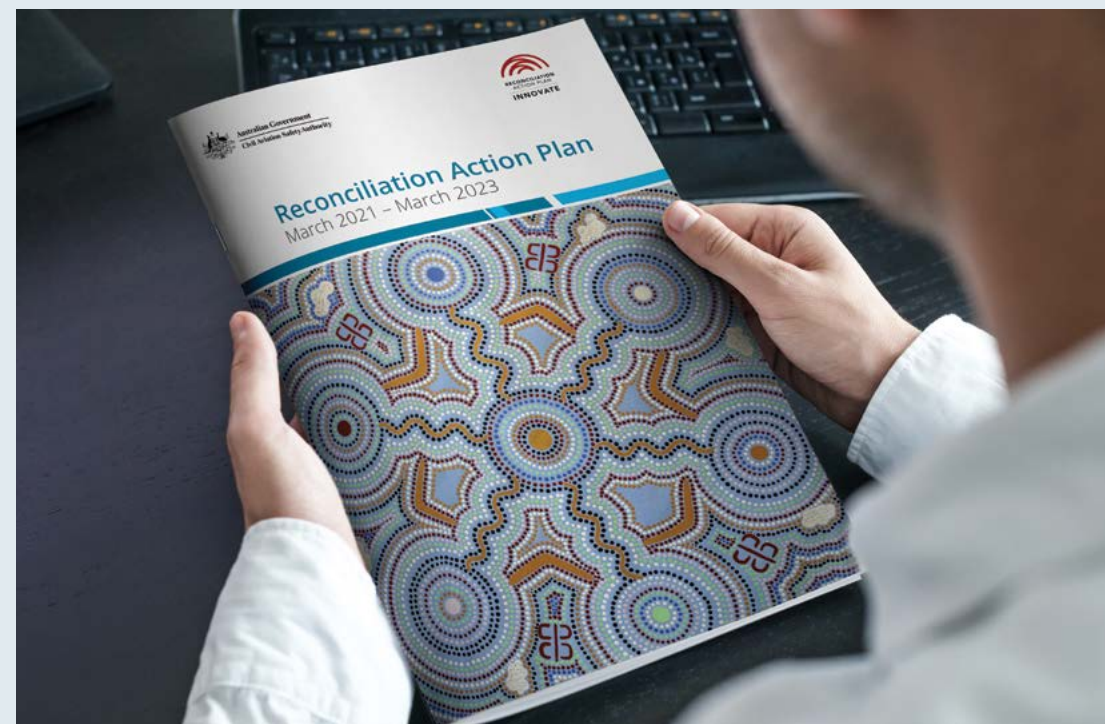
The increase can be largely attributed to two psychological injury cases that are being supported by CASA's case management team.

Early intervention

The early intervention assistance program is an ongoing program under CASA's Rehabilitation Management Procedures and Rehabilitation Directive. Two applications were received and approved during 2020–21, totalling approximately \$1,300.

Claims

Five claims for workers' compensation were lodged in 2020–21, with three claims accepted by Comcare. Of the accepted claims, two were for psychological injuries and one was for physical injury. This was an increase from the two claims lodged in 2019–20.



The cover of CASA's Reconciliation Action Plan, featuring *Our Way* by James Baban

Reconciliation action in CASA

CASA employees from around Australia dialled in to celebrate the launch of our new Reconciliation Action Plan (RAP), live from our Darwin office, on 5 March 2021.

CASA's Indigenous Champion, Philippa Crome, facilitated the event, welcoming Larrakia Nation representatives Trent Lee and Willie Hewitt and CASA's acting Chief Executive Officer and Director of Aviation Safety, Graeme Crawford.

The day began with a smoking ceremony performed by Trent, with employees from Darwin International Airport participating. Trent delivered the Welcome to Country, accompanied by Willie on the didgeridoo. On behalf of the Larrakia Nation, Trent kindly gifted a boomerang that he had made to the Darwin office.

Graeme formally launched CASA's RAP for 2021 to 2023, noting that such events are more than symbolic – they give us a chance to reflect on reconciliation, what we have achieved so far, and the practical steps we intend to take as an organisation to further reconciliation at CASA.

RAP Champion and working group member Renae Issacs thanked the inaugural Indigenous Champion, Jonathan Aleck, for championing the voice of Aboriginal and Torres Strait Islander employees, and acknowledged the RAP Working Group Chair, Adrian Tusek, and other members of the RAP Working Group for their dedication. Renae acknowledged Aboriginal artist James Baban from the Northern Territory for his time and effort in creating the artwork used in the RAP document.



Tony Lee watches Trent Lee perform the smoking ceremony, with William Hewitt on didgeridoo

Renae said that she is proud of how far CASA has come in its reconciliation journey, and noted that, while there is still a long way to go, the foundations for change are in place. She said that reconciliation is a responsibility shared between Indigenous and non-Indigenous employees, supported by executive leaders who work to ensure that we achieve what we said we would do, when we said we would do it.

Aboriginal and Torres Strait Islander peoples are an integral and important part of our business and workforce, ensuring that our workplace is culturally capable and understands, respects and celebrates the unique place that Aboriginal and Torres Strait Islander peoples hold within Australia.

As of 30 June 2021, CASA had completed 22 of the 31 deliverables of the RAP, with seven in progress and two yet to be delivered. The RAP Working Group has committed to enhancing accountability and transparency through reporting RAP achievements, challenges and learnings through quarterly updates to employees.

5 PART 5: ACCOUNTABILITY

This part of the report addresses specific reporting requirements of Commonwealth legislation and Australian Government policies that relate to CASA's accountability.

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EXTERNAL SCRUTINY

CASA is subject to scrutiny by the Australian Parliament and may be subject to investigation or consideration by administrative agencies or the courts. In addition, CASA receives 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 appeared before Senate Rural and Regional Affairs and Transport Legislation Committee Budget estimates hearings on 20 October 2020, 22 March 2021 and 25 May 2021.

On 20 November 2020, CASA appeared before the Senate Rural and Regional Affairs and Transport Legislation Committee in relation to its inquiry into the current state of Australia's general aviation industry, with particular reference to aviation in rural, regional and remote Australia. CASA also provided three written submissions to the inquiry, on 17 November, 14 December and 29 December 2020.

CASA responded to more than 65 parliamentary questions on notice during 2020–21.

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 requires 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.

CASA's Regulator Performance Framework report for 2019–20 was completed and published on CASA's website on 5 March 2021.

Judicial and administrative reviews

No decisions made by judicial or administrative tribunals in 2020–21 will have a significant effect on CASA's future operations.

Review of a legislative instrument

On 11 May 2021, in *Angel Flight Australia v Civil Aviation Safety Authority* [2021] FCA 469, an application for review of a legislative instrument made by CASA was dismissed.

The instrument, CASA 09/19 – Civil Aviation (Community Service Flights – Conditions on Flight Crew Licences) Instrument 2019, imposed conditions

on the licences of pilots operating community sector flights such as those regularly coordinated by Angel Flight Australia. Community sector flights generally involve the transportation of children requiring access to medical care, utilising pilots who donate their time and aircraft but may receive reimbursement for their fuel costs and landing fees.

Prior to the making of the instrument, community sector flights were regulated by CASA as ordinary private flights. The terms of the instrument imposed a number of additional safety requirements on pilots conducting community sector flights, which do not apply to private flights.

Reviews of regulatory decisions

Most regulatory decisions made by CASA are subject to merits review by the Administrative Appeals Tribunal (AAT).

A regulatory decision made by CASA may be reviewed by the Federal Court under the *Administrative Decisions (Judicial Review) Act 1977*. In some cases, a decision of the AAT may be reviewed in the Federal Court.

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

Legal costs

CASA's legal costs for 2020–21 are outlined in Table 22.

Table 22 Legal costs, 2020–21

Vendor	Amount (\$)
Australian Government Solicitor	96,390
Ian Harvey	50,293
MinterEllison	292,505
Mark Eade	71,732
Total	510,920

Note: Relates to amounts over \$14,300. Amounts exclude GST and are rounded to whole dollars.

Investigations by oversight bodies

During 2020–21, CASA was not the subject of any reports by the Office of the Australian Information Commissioner, the Commonwealth Ombudsman or the Auditor-General (other than the report of the audit of CASA's annual financial statements).

Coronial inquiries

Coroners investigate deaths, identify other injuries and make recommendations that may prevent deaths and non-fatal injuries. Recommendations may deal with CASA's regulatory administration of aviation safety. Table B.11 in Appendix B shows the number of coronial inquiries that involved CASA in each of the past three financial years.

In 2020–21, CASA did not participate in any coronial inquests and no coronial findings were handed down which made recommendations to CASA. CASA completed its response in relation to recommendations which had been made by a Queensland coroner in 2020. The details of those recommendations and CASA's response are set out in Table B.12 in Appendix B.

Industry Complaints Commissioner

The Industry Complaints Commissioner (ICC) provides an accessible and transparent mechanism for reviewing complaints about actions, decisions and services provided by CASA employees, delegates and authorised persons. Reporting directly 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 revised (pending approval) in June 2021.

Complaints resolved

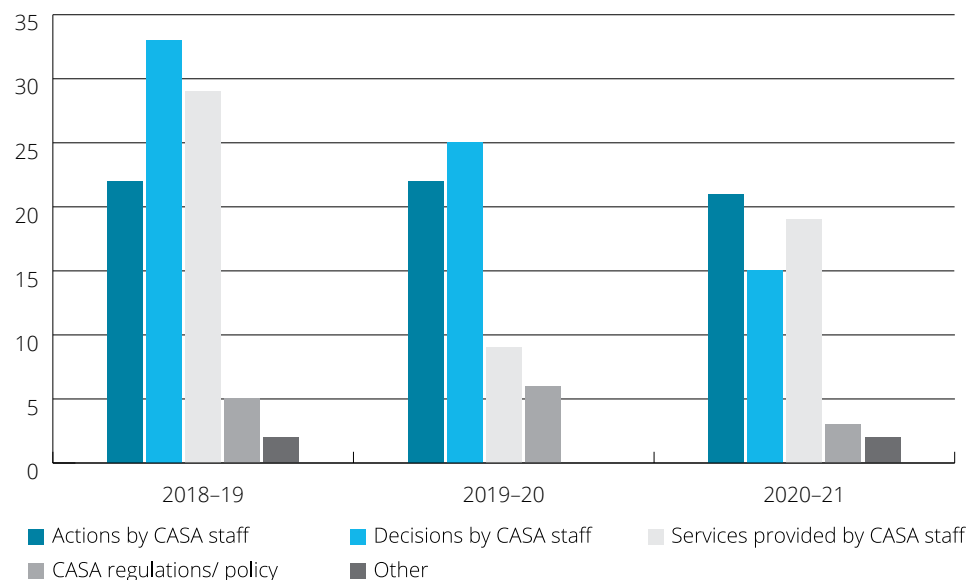
The ICC resolved a total of 103 complaints in 2020–21 (including cases on hand at 1 July 2020), composed of:

- 43 simple complaints, which were clearly outside the ICC's jurisdiction, could be answered without seeking information on CASA's position, or were not related to CASA
- 40 standard complaints
- 20 complex complaints, which required expert advice, related to novel issues or presented a wide range of questions.

Figure 13 shows complaints resolved each year from 2018–19 to 2020–21, by the subject matter of the complaint.

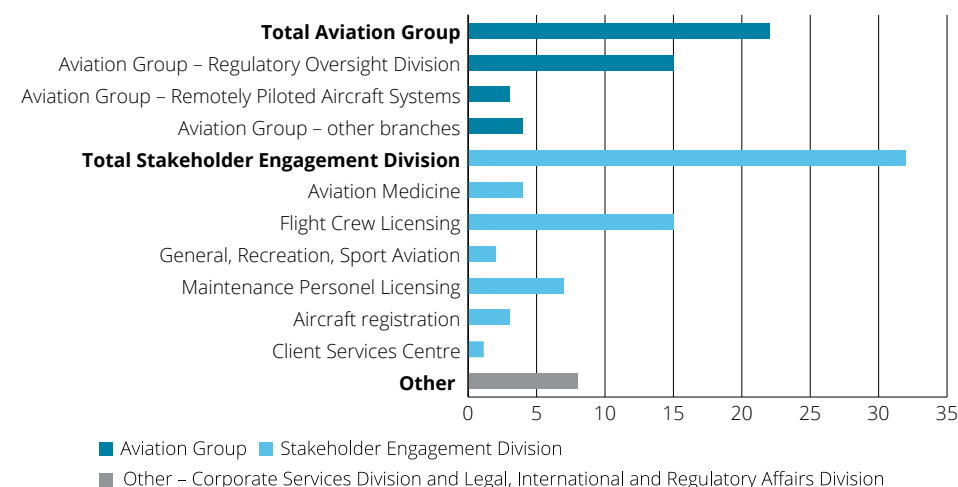
Figure 14 shows the breakdown of complaints resolved in 2020–21, by the business areas about which the complaint was made.

Figure 13 Complaints by subject matter, 2018–19 to 2020–21



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

Figure 14 Resolved complaints by business areas, 2020–21



Timeliness of processing

Of the 103 complaints resolved in 2020–21, the ICC processed:

- 100% of the simple cases within the target of five days (average 1.1 days)
- 91% of the standard cases within the target of 30 days (average 16.1 days)
- 100% of the complex cases within the target of 90 days (average 38.2 days).

Table 23 shows a comparison of timeliness in each year from 2018–19 to 2020–21.

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 addressing individual issues raised, reducing future complaints, and ensuring better practice.

In 2020–21, the ICC made nine recommendations, all of which were accepted by CASA. They included recommendations that CASA should issue endorsements on a flight crew licence, reconsider exam results, provide partial refunds for regulatory service tasks, and reconsider the results of medical tests that had been excluded by CASA in error.

Table 23 Complaints processed with timeliness targets, 2018–19 to 2020–21 (%)

Type of complaint	2018–19	2019–20	2020–21
Simple cases within 5 days	100	100	100
Standard cases within 30 days	93	90	91
Complex cases within 90 days	65	100	100

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 2020–21.

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 2020–21.

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 www.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 variation, suspension or cancellation of a civil aviation authorisation. It may also involve an immediate 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 A.23 to A.27 in Appendix A 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 directive is a key element of the environmental management system. The directive 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 2020–21 included:

- reviewing the environmental management system, including the environmental action plan and associated targets
- increasing the number of motor vehicles in CASA's fleet that are under 1801cc and/or hybrid, from 16 vehicles in 2019–20 to 18 in 2020–21 – since 2010, CASA has reduced the size of its fleet from 50 to 33 vehicles
- maintaining accreditation in the Australian Capital Territory Government's business waste recycling program – CASA has maintained accreditation since 2011.

Eight out of the 10 CASA offices are located in buildings with a National Australian Built Environment Rating System rating of 4.5 stars or better.

CASA's environmental performance against several indicators is detailed in Table 24. It is difficult to measure performance against a number of indicators due to impacts of the COVID-19 pandemic, such as reductions in the number of on-site employees (and office energy usage), air travel and motor vehicle usage.

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

Table 24 Environmental performance summary, 2018–19 to 2020–21

Indicator	2018–19	2019–20	2020–21
Office energy use			
Total tenant light and power energy consumption (kWh), including the Aviation House server room	1,845,397	1,559,894	1,337,209
Total tenant light and power energy consumption (MJ), excluding the Aviation House server room	4,705,971	3,910,232	3,473,410
Total tenant light and power energy consumption (MJ), Aviation House server room, Canberra	1,937,457	1,705,387	1,340,543
Tenant energy consumption per head (MJ/head), excluding the Aviation House server room	5,252	4,384	3,903
Tenant energy consumption per square metre (MJ/m ²), excluding the Aviation House server room	253	231	202
Total greenhouse gas emissions attributed to tenant energy consumption (tonnes CO ₂ -e), including the Aviation House server room ^a	1,447	1,189	1,051
Green power purchased (kWh)	43,886	46,738	40,153
Motor vehicle fleet			
Total number of fleet vehicles	34	34	33
Number of vehicles under 1801cc or hybrid	10	16	18
Total fuel used (litres)	27,472	16,953	14,573
Total distance travelled (kilometres)	358,266	231,298	191,832
Average fuel consumption of fleet vehicles per 100 kilometres (litres)	7.7	7.3	7.6
Total greenhouse emissions attributed to motor vehicle fleet usage (tonnes CO ₂ -e) ^a	66.4	41.1	44.0
Air travel			
Total number of flights	11,160	8,880	1,989
Total kilometres flown	14,705,924	10,368,029	2,250,111
Kilometres flown per head	16,125	11,623	2,528
Total greenhouse emissions attributed to air travel (kilograms CO ₂ -e)	1,377,910	966,375	43,512
Resource efficiency and waste			
Total office paper purchased per head (A4 reams)	6.1	4.3	2.9
Proportion of total office paper using more than 50% recycled content and/or certified carbon neutral	98%	100%	100%
Office paper recycled (tonnes)	28.2	24.2	28.5
Total waste produced (tonnes) ²	50.9	41.9 ^b	54.5
Total waste produced per head (kilograms)	55.8	46.98	61.23
Waste diverted from landfill (tonnes)	44	35	44
Proportion of total waste diverted from landfill	86%	85%	81%

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

Note: Head count is 890, including employees (857) and contractors (33). Total office space was 17,213 m².

^a Calculated using Clean Energy Regulator calculator.

^b The 2019–20 annual report incorrectly reported 14.9 tonnes of total waste produced. The correct figure was 41.9 tonnes.

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 2020–21, we operated a vehicle fleet consisting of 33 vehicles, of which 55% had engine capacities at or under 1,800 cubic centimetres or were hybrid vehicles. Since 2010, the CASA fleet has reduced in size by 17 vehicles.

During 2020–21, CASA will continue to consider hybrid vehicles that meet operational requirements. As fully electric vehicles are becoming a more cost-effective option, CASA will monitor Australian Government fleet selection policy with the objective to include at least three fully electric vehicles within its fleet by 30 June 2023.

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 employees to place surplus stationery in a central location for use by other teams. 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.

The paper waste and recycling outcomes for 2020–21 are impacted significantly by a records digitalisation program that has resulted in a considerable amount of paper files being disposed of through recycling.

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.

Information on the value of contracts and consultancies is available on CASA's website.

The total cost of consultancies in 2020–21 was \$3,037,625.

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 \$14,300 (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 2020–21, CASA contracted market research and advertising agency services for a drone safety education campaign. The campaign challenges recreational drone flyers on their perceived knowledge of the safety rules, encouraging them to take a quiz to test their knowledge and find out more. The second phase of the campaign was active from December 2020 to March 2021 and included a range of social, digital display and online video advertising.

The amounts that CASA paid to media, advertising and direct mail organisations in 2020–21 are detailed in Table 25.

Table 25 Payments to media, advertising and direct mail organisations, 2020–21

Vendor	Amount (\$)
Media organisations	
Carbon Media Pty Ltd	106,690
iSentia Pty Ltd	46,978
<i>Subtotal</i>	<i>153,668</i>
Advertising agencies	
Universal McCann	590,667
<i>Subtotal</i>	<i>590,667</i>
Direct mail organisations	
Australia Post	113,406
Canon Business Services Australia	25,544
Toll Transport	101,299
<i>Subtotal</i>	<i>240,249</i>
Total	984,584

Note: In accordance with indexation as prescribed in the *Commonwealth Electoral Act 1918*, only payments over \$14,300 (inclusive of GST) are reported. Amounts exclude GST and are rounded to whole dollars.

RELATED ENTITY TRANSACTIONS

In 2020–21, 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 2020–21, 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.

OPERATIONAL INFORMATION

CASA is responsible for issuing, overseeing and enforcing a range of authorisations for individuals and organisations in aviation, such as air operators, flight crew, maintenance organisations and personnel, and training providers.

Examples include:

- air operator certificates and remotely piloted aircraft operator certificates
- flight crew licenses, examinations and medical certificates
- certificates of approval for maintenance organisations and examinations for aircraft maintenance engineers
- airworthiness certificates, aircraft registrations, production authorisations, airworthiness directives and bulletins, and aircraft defect reports
- aerodrome certifications and registrations
- flight training certificates and maintenance training organisation certificates.

Appendix A provides detailed statistical information on CASA's operations in these areas, including results for three financial years for comparison.



View of the Aurora Australis from the air - Image courtesy of Chimu Adventures

Exemption for Antarctic light show

Australian travel companies are getting creative in catering for our taste for travel, despite the restrictions of COVID-19, and CASA is helping where it can.

Antarctic adventure company Chimu Adventures chartered Qantas to operate a series of six night-flyover flights in a Boeing 787-9, between April and June 2021, to see the Aurora Australis (Southern Lights).

In early March 2021, Qantas approached CASA to seek an exemption allowing the pilots to turn off navigation lights between the latitudes of 55 degrees and 65 degrees south during the flights, in order to give their passengers the best possible conditions for viewing the Aurora Australis. Under Civil Aviation Regulation 196, all aircraft in flight are required to display navigation lights.

In its application to CASA, Qantas provided the risk assessment measures it would take to mitigate the exemption. The flights would operate only in Class A controlled airspace. Airservices Australia would issue a Notice to Airmen for each viewing flight, and would contact the United States research station at McMurdo Sound and the United States Air Force in case they planned to operate any C-17 flights in the area at the time.

The B787 has ADS-B (automatic dependent surveillance – broadcast) functionality, in as well as out, so any other aircraft in the area would show up on the navigation display of the Qantas aircraft, providing an additional fail-safe mechanism.

CASA granted a direction stating that Qantas could turn the lights off while the flights were in the viewing area. On take-off and landing, and while operating north of 55 degrees south, the navigation lights had to be on. The B787 has a facility in its EICAS (Engine Indication and Crew Alerting System) to set a reminder.

The legislative instrument was issued on 8 April 2021 and the first flight to Antarctica departed from Sydney on 9 April 2021, with a full complement of passengers and a professional photographer and representatives of several media outlets on board to record the journey.

Also on board were guest lecturers to explain the Aurora Australis phenomenon and a little more about Antarctica, including Commonwealth Scientific and Industrial Research Organisation scientist Grahame Rosolen, University of Western Sydney astrophysicist Nicholas Tothill, and radio host Adam Spencer.

PART 6: FINANCIAL STATEMENTS

This part of the report provides the entirety of CASA's financial statements, audit opinion and explanatory notes for 2020–21.

In this part:

Independent auditor's report	135
Statement by the Chair of the Board, Chief Executive Officer and Director of Aviation Safety and Chief Financial Officer	137
Statement of comprehensive income	138
Statement of financial position	139
Statement of changes in equity	140
Cash flow statement	141
Notes to and forming part of the financial statements	142



Image: Civil Aviation Safety Authority

**INDEPENDENT AUDITOR'S REPORT****To the Minister for Infrastructure, Transport, Regional Development and Communications****Opinion**

In my opinion, the financial statements of the Civil Aviation and safety Authority (the Entity) for the year ended 30 June 2021:

- (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 2021 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 2021 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;
- Notes to and forming part of the financial statements.

Basis for opinion

I conducted my audit in accordance with the Australian National Audit Office Auditing Standards, which incorporate the Australian Auditing Standards. My responsibilities under those standards are further described in the *Auditor's Responsibilities for the Audit of the Financial Statements* section of my report. I am independent of the Entity in accordance with the relevant ethical requirements for financial statement audits conducted by the Auditor-General and his delegates. These include the relevant independence requirements of the Accounting Professional and Ethical Standards Board's APES 110 *Code of Ethics for Professional Accountants (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.

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



Garry Sutherland
Delegate of the Auditor-General

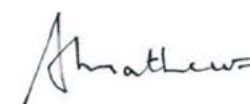
Canberra
19 August 2021

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 2021 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.



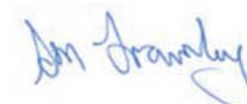
Anthony Mathews
Chair of the Board

18 August 2021



Pip Spence
Chief Executive Officer and
Director of Aviation Safety

18 August 2021



Simon Frawley
Chief Financial Officer

18 August 2021

CIVIL AVIATION SAFETY AUTHORITY STATEMENT OF COMPREHENSIVE INCOME

For the period ended 30 June 2021

	Notes	2021 \$'000	2020 \$'000	2021 Original Budget \$'000
NET COST OF SERVICES				
EXPENSES				
Employee benefits	1.1A	129,780	134,533	132,122
Suppliers	1.1B	39,899	46,730	48,550
Depreciation and amortisation	2.2A	22,646	18,929	23,859
Finance costs	1.1C	302	275	633
Write-down and impairment of assets	2.2A	168	103	-
Losses from asset sales		252	135	-
TOTAL EXPENSES		193,047	200,705	205,164
LESS:				
OWN-SOURCE INCOME				
Own-source revenue				
Revenue from contracts with customers	1.2A	11,539	12,847	2,000
Interest	1.2B	258	994	420
Other revenue	1.2C	312	172	1,000
Total own-source revenue		12,109	14,013	3,420
Gains				
Other gains		-	39	-
Total gains		-	39	-
TOTAL OWN-SOURCE INCOME		12,109	14,052	3,420
NET COST OF SERVICES		(180,938)	(186,653)	(201,744)
Revenue from government	1.3A	128,424	72,974	128,424
Aviation fuel excise	1.3A	68,720	101,280	73,332
SURPLUS/(DEFICIT) ON CONTINUING OPERATIONS		16,206	(12,399)	12
OTHER COMPREHENSIVE INCOME				
Items not subject to subsequent reclassification to net cost of services				
Changes in asset revaluation reserve	2.2A & 2.5B	1,595	(104)	-
TOTAL OTHER COMPREHENSIVE INCOME		1,595	(104)	-
TOTAL COMPREHENSIVE INCOME/ (LOSS)		17,801	(12,503)	12

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 2020–21 Portfolio Budget Statements.

CIVIL AVIATION SAFETY AUTHORITY STATEMENT OF FINANCIAL POSITION

as at 30 June 2021

	Notes	2021 \$'000	2020 \$'000	2021 Original Budget \$'000
ASSETS				
Financial assets				
Cash, cash equivalents and investments	2.1A,B	65,877	49,785	45,522
Trade and other receivables	2.1C	1,340	2,978	2,325
Accrued revenue	2.1D	898	506	275
Total financial assets		68,115	53,269	48,122
Non-financial assets¹				
Buildings	2.2A	39,768	33,339	28,641
Property, plant and equipment	2.2A	8,943	9,930	7,839
Intangibles	2.2A	41,724	36,876	45,154
Prepayments	2.2B	2,324	2,511	3,099
Total non-financial assets		92,759	82,656	84,733
TOTAL ASSETS		160,874	135,925	132,855
LIABILITIES				
Payables				
Suppliers	2.3A	5,279	5,089	6,444
Other payables	2.3B	3,103	2,831	2,660
Total payables		8,382	7,920	9,104
Interest bearing liabilities				
Lease	2.4A	40,608	33,669	29,853
Total interest bearing liabilities		40,608	33,669	29,853
Provisions				
Employee provisions	2.5A	40,620	40,875	40,425
Other provisions	2.5B	292	290	290
Total provisions		40,912	41,165	40,715
TOTAL LIABILITIES		89,902	82,754	79,672
NET ASSETS		70,972	53,171	53,183
EQUITY				
Contributed equity		3,295	3,295	3,295
Asset revaluation reserve		9,485	7,890	7,890
Retained surplus		58,192	41,986	41,998
TOTAL EQUITY		70,972	53,171	53,183

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 2020–21 Portfolio Budget Statements.

¹Right-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 2021

	Retained earnings		Asset revaluation reserve		Contribute equity / capital		Total equity	
	2021 \$'000	2020 \$'000	2021 \$'000	2020 \$'000	2021 \$'000	2020 \$'000	2021 \$'000	2020 \$'000
Balance carried forward from previous period	41,986	51,162	7,890	7,994	3,295	3,295	53,171	62,451
Adjustment on initial application of AASB 15/AASB 1058	-	(87)	-	-	-	-	-	(87)
Adjustment on initial application of AASB 16	-	3,310	-	-	-	-	-	3,310
Adjusted opening balance	41,986	54,385	7,890	7,994	3,295	3,295	53,171	65,674
Comprehensive income								
Other comprehensive income	-	-	1,595	(104)	-	-	1,595	(104)
Surplus /(Deficit) for the period	16,206	(12,399)	-	-	-	-	16,206	(12,399)
Total comprehensive income	16,206	(12,399)	1,595	(104)	-	-	17,801	(12,503)
Closing balance as at 30 June 2021	58,192	41,986	9,485	7,890	3,295	3,295	70,972	53,171
Original budget	41,998		7,890		3,295		53,183	

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 2020–21 Portfolio Budget Statements.

CIVIL AVIATION SAFETY AUTHORITY CASH FLOW STATEMENT

For the period ended 30 June 2021

		2021	2020	2021
	Notes	\$'000	\$'000	Original Budget \$'000
OPERATING ACTIVITIES				
Cash received				
Receipts from government		128,424	72,974	128,424
Aviation fuel excise		68,193	103,131	72,126
Sale of goods and rendering of services		13,596	11,276	3,375
Interest		345	1,327	451
Net GST received		5,886	6,989	5,779
Total cash received		216,444	195,697	210,155
Cash used				
Employees		(129,765)	(127,235)	(131,841)
Suppliers		(45,465)	(55,692)	(52,780)
Interest payments on lease liabilities		(301)	(275)	(633)
Total cash used		(175,531)	(183,202)	(185,254)
Net cash from operating activities	6	40,913	12,495	24,901
INVESTING ACTIVITIES				
Cash used				
Purchase of property, plant and equipment and intangibles		(15,780)	(18,609)	(19,930)
Total cash used		(15,780)	(18,609)	(19,930)
Net cash used by investing activities		(15,780)	(18,609)	(19,930)
FINANCING ACTIVITIES				
Cash used				
Principal payments of lease liabilities		(9,041)	(8,336)	(9,234)
Total cash used		(9,041)	(8,336)	(9,234)
Net cash used by financing activities		(9,041)	(8,336)	(9,234)
Net increase / (decrease) in cash held		16,092	(14,450)	(4,263)
Cash and cash equivalents at the beginning of the reporting period		49,785	64,235	49,785
Cash and cash equivalents at the end of the reporting period		65,877	49,785	45,522

The above statement should be read in conjunction with the accompanying notes, including explanation of major variances from budget at note 7.

The original budget figures are those published in CASA's 2020–21 Portfolio Budget Statements and have been adjusted so as to be consistent with the financial statement classifications.

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

For the period ended 30 June 2021

Overview

Note 1: Financial performance

Note 2: Financial position

Note 3: People and relationships

Note 4: Managing uncertainties

Note 5: Regulatory charging summary

Note 6: Cash flow reconciliation

Note 7: Explanations of major budgetary variances

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

For the period ended 30 June 2021

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 general purpose financial statements that are required by section 42 of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act).

The financial statements have been prepared in accordance with:

- a. *Public Governance, Performance and Accountability Act 2013 (Financial Reporting) Rule 2015 (FRR)*; and
- b. 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.

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

For the period ended 30 June 2021

New Accounting Standards

All new/revised/amended standards and/or interpretations that were issued prior to the sign-off date and are applicable to the current reporting period did not have a material effect on CASA's financial statements.

Significant Accounting Judgements and Estimates

In the process of applying the accounting policies listed in this note, CASA has made the following judgements that have the most significant impact on the amounts recorded in the financial statements:

- the value of the long service leave component of the leave provision is an estimate based on the shorthand method as prescribed by the Department of Finance for entities with less than or equal to 1,000 full-time equivalent employees. This is based on the likely tenure of existing staff, patterns of leave claims and payouts, future salary movements and discount rates (ten year Australian 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 2021

Note 1: Financial Performance

	2021 \$'000	2020 \$'000
Note 1.1: Expenses		
Note 1.1A: Employee benefits		
Wages and salaries	99,103	100,050
Superannuation		
Defined contribution plans	11,804	12,466
Defined benefit plans	5,942	6,593
Leave and other entitlements	9,949	13,323
Separation and redundancies	2,193	1,283
Other employee benefits	789	818
Total employee benefits	129,780	134,533

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 2021

	2021 \$'000	2020 \$'000
Note 1.1B: Suppliers		
Goods and services		
Consultancies and service contracts	13,471	18,315
Information technology and telephone charges	11,173	9,936
Insurance	866	816
Media, publications and subscriptions	1,631	2,039
Office supplies, photocopying and printing	1,865	480
Postage, freight and storage	577	516
Property operating costs	1,495	1,740
Recruitment	306	38
Travel and transport	2,605	6,479
Training costs	1,476	1,851
Legal costs	753	641
Financial assistance	816	865
Other goods and services ¹	580	200
Total goods and services	37,614	43,916
Other suppliers		
Workers compensation expenses	917	595
Short-term leases	94	1,033
Variable lease payments	18	-
Lease outgoings	1,256	1,186
Total other suppliers	2,285	2,814
Total Suppliers	39,899	46,730

¹Comparative information has been restated.

CASA has short-term lease commitment of \$6,760 as at 30 June 2021.

The above lease disclosures should be read in conjunction with the accompanying notes 1.1C and 2.4.

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 and 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.

Note 1.1C: Finance Costs

Interest on lease liabilities	300	274
Unwinding of discount	2	1
	302	275

The above lease disclosures should be read in conjunction with the accompanying notes 1.1B and 2.4.

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

For the period ended 30 June 2021

	2021 \$'000	2020 \$'000
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>	10,945	12,270
Sales of forms and documents	377	347
Other revenue with customers	217	230
Total revenue from contracts with customers	11,539	12,847
Disaggregation of revenue from contracts with customers		
Revenue by timing of revenue recognition		
Revenue recognised immediately	10,364	10,790
Revenue recognised at time of completion	1,175	2,057
	11,539	12,847

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 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 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 2021

	2021 \$'000	2020 \$'000
Note 1.2B: Interest		
Cash at bank and deposits at call	21	109
Investments - term deposits	237	885
Total interest	258	994
Note 1.2C: Other revenue		
Administrative fines	47	86
Other sundry revenue	265	86
Total other revenue	312	172

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

For the period ended 30 June 2021

	2021 \$'000	2020 \$'000
Note 1.3: Revenue from Government		
Note 1.3A: Revenue from Government		
Department of Infrastructure, Transport, Regional Development and Communications:		
Administered payment to CASA as a PGPA Act corporate Commonwealth entity	128,424	72,938
Indonesia Transport Safety Assistance Package	-	36
	128,424	72,974
<i>Aviation Fuel Revenues (Special Appropriation) Act 1988</i>	68,720	101,280
Total revenue from Government	197,144	174,254

Accounting Policy

Revenue from Government

Funding received or receivable from the Department of Infrastructure, Transport, Regional Development and Communications (Infrastructure), including aviation fuel excise, (appropriated to Infrastructure 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.

Amounts appropriated for departmental appropriations for the year are recognised as Revenue from Government when CASA gains control of the appropriation.

Aviation Fuel Revenues are received weekly after receipt of a report from the Australian Taxation Office and drawn down on CASA's behalf by Infrastructure. Accrued aviation fuel excise is recognised on a pro-rata basis until the end of the reporting period based on the previous report.

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.

Additional funding from the Government for 2020–21

In addition to CASA's appropriation for 2020–21 of \$40.5 million, the Government provided CASA with additional funding of \$15.0 million as part of the Australian Airline Financial Relief package (2020: \$15.0 million) and a further \$72.9 million in Government appropriation. This additional appropriation is to offset reductions in aviation fuel excise due to unprecedented low demand for domestic flights and reduced regulatory income as a result of the COVID-19 pandemic.

CIVIL AVIATION SAFETY AUTHORITY

NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2021

Note 2: Financial Position

	2021 \$'000	2020 \$'000
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Note 2.1: Financial Assets

Note 2.1A: Cash and cash equivalents

Cash at bank and deposits at call	13,377	4,785
Total cash and cash equivalents	13,377	4,785

Note 2.1B: Investments

Investments	52,500	45,000
Total investments	52,500	45,000
Total cash and investments	65,877	49,785

Accounting Policy

Cash

Cash is recognised at nominal amounts. Cash and cash equivalents includes cash at bank and at-demand bank deposits. Temporary surplus funds, mainly from draw downs of appropriation, 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 of 6 months or over. Interest is credited to revenue as it accrues. Interest is earned on the daily balance at the prevailing rate for investments and is paid at maturity.

CIVIL AVIATION SAFETY AUTHORITY

NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2021

	2021 \$'000	2020 \$'000
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Note 2.1C: Trade and other receivables

Goods and services receivables:

Goods and services receivables	637	2,354
Total goods and services receivables	637	2,354

Other receivables:

Net GST receivable	703	624
Total other receivables	703	624

Total trade and other receivables

	1,340	2,978
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All receivables are expected to be recovered in no more than 12 months

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.

	2021 \$'000	2020 \$'000
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Note 2.1D: Accrued revenue

Accrued aviation fuel excise revenue	727	200
Accrued interest	27	113
Other income	144	193
Total accrued revenue	898	506

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

For the period ended 30 June 2021

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	and Equipment	Computer Software				Total
	In Use \$'000	In Use \$'000	Work In Progress \$'000	Internally Developed In Use \$'000	Purchased In Use \$'000	Internally Developed Work In progress \$'000	Purchased Work In Progress \$'000	
As at 1 July 2020								
Gross book value	41,265	9,771	1,049	36,957	21,987	12,742	1,984	125,755
Accumulated depreciation/amortisation	(7,926)	(890)	-	(23,858)	(12,916)	-	-	(45,590)
Accumulated impairment	-	-	-	-	(20)	-	-	(20)
Total as at 1 July 2020	33,339	8,881	1,049	13,099	9,051	12,742	1,984	80,145
Additions:								
By purchase	-	10	412	-	-	-	4,819	5,241
Internally developed	-	-	-	-	-	10,539	-	10,539
Reclassification	-	-	1,101	-	-	(4,666)	3,565	-
Transfers	-	2,503	(2,503)	17,602	6,600	(17,602)	(6,600)	-
Right-of-use assets	15,811	170	-	-	-	-	-	15,981
Revaluations and impairments recognised in other comprehensive income:								
Gross Value - revaluation	-	(2,875)	-	-	-	-	-	(2,875)
Accumulated depreciation	-	4,470	-	-	-	-	-	4,470
Disposals:								
Gross value of disposals	(220)	(322)	-	(1,934)	(3,676)	-	-	(6,152)
Accumulated depreciation on disposals	220	270	-	1,734	3,656	-	-	5,880
Accumulated Impairment on disposal	-	-	-	-	20	-	-	20
Write-down of assets:								
Gross Value	-	-	(7)	-	-	(2)	(159)	(168)
Depreciation expense	-	(4,031)	-	(5,146)	(3,902)	-	-	(13,079)
Depreciation on right-of-use assets	(9,382)	(185)	-	-	-	-	-	(9,567)
Total as at 30 June 2021	39,768	8,891	52	25,355	11,749	1,011	3,609	90,435
Total as at 30 June 2021 represented by:								
Gross book value	56,856	9,257	52	52,625	24,911	1,011	3,609	148,321
Accumulated depreciation/amortisation	(17,088)	(366)	-	(27,270)	(13,162)	-	-	(57,886)
Total as at 30 June 2021 represented by:	39,768	8,891	52	25,355	11,749	1,011	3,609	90,435
Total of class including work in progress as at 30 June 2021	39,768		8,943			41,724		90,435
Carrying amount of right-of-use assets as at 30 June 2021	39,768	535	-	-	-	-	-	40,303

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

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 2021.

Revaluation increment of \$1,528,906 for leasehold improvements (2020: decrement of \$294,308), and a revaluation increment of \$65,936 for plant and equipment (2020: increment of \$222,741) were credited to the asset revaluation reserve by asset class. These movements in reserves were also included in the equity section of the statement of financial position.

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

For the period ended 30 June 2021

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 (excluding ROU assets) 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 2021

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	2021	2020
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 2021. Where indications of impairment exist, the asset's recoverable amount is estimated and an impairment adjustment is made if the asset's recoverable amount is less than its carrying amount.

The recoverable amount of an asset is the higher of its fair value less costs to sell and its value in use. Value in use is the present value of the future cash flows expected to be derived from the asset. Where the future economic benefit of an asset is not primarily dependent on the asset's ability to generate future cash flows, and the asset would be replaced if CASA were deprived of the asset, its value in use is taken to be its depreciated replacement cost.

Derecognition

An item of property, plant and equipment is derecognised upon disposal or when no further future economic benefits are expected from its use or disposal.

Intangibles

CASA's intangibles comprise internally developed software and externally acquired software for internal use. These assets are carried at cost less accumulated amortisation and accumulated impairment losses.

Software is amortised on a straight-line basis over its anticipated useful life. The useful lives of CASA's software are 3 to 10 years (2019–200: 3 to 10 years).

All software assets were assessed for indications of impairment as at 30 June 2021.

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

For the period ended 30 June 2021

	2021 \$'000	2020 \$'000
Contractual commitments for the acquisition of plant, equipment and intangible assets		
Commitments are payable as follows:		
Within 1 year	2,127	904
Total contractual commitments for the acquisition of plant, equipment and intangible assets	2,127	904

The nature of capital commitments is primarily for the acquisition of intangible assets.

Amounts for capital commitments are GST inclusive.

Note 2.2B: Other non-financial assets

Prepayments	2,324	2,511
Total other non-financial assets	2,324	2,511

Note 2.3: Liabilities

Note 2.3A: Suppliers

Trade creditors and accruals	5,279	5,089
Total suppliers	5,279	5,089

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	1,735	1,531
Superannuation	334	272
Unearned income	1,003	1,023
Other payables	31	5
Total other payables	3,103	2,831

Accounting Policy

Superannuation

The liability for superannuation recognised as at 30 June 2021 represents outstanding contributions for the final pay days remaining in 2020–21.

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

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

For the period ended 30 June 2021

	2021 \$'000	2020 \$'000
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Note 2.4: Interest Bearing Liabilities

Note 2.4A: Leases

Lease Liabilities - Building leases	40,098	33,117
Lease Liabilities - Motor Vehicles	510	552
Total leases	40,608	33,669

Total cash outflow for leases for the year ended 30 June 2021 was \$9,454,711.29 (2020: \$8,611,140).

Maturity analysis - contractual undiscounted cash flows

Within 1 year	9,528	8,820
Between 1 to 5 years	22,906	17,046
More than 5 years	9,765	9,459
Total leases	42,199	35,325

CASA takes open market competitive approach for all its lease tenders. Building leases generally span from 5 to 10 years whilst motor vehicle leases are at 3 to 4 year term. Fixed yearly rent increments or scheduled market rent review are usually included in the lease contracts.

The following major new leases or extension options have been added to CASA's lease liability balance during financial year 2020–21:

- new 10-year lease for Adelaide office with the present value of the non-cancellable lease payments of approximately \$5m
- 2-year extension for Canberra office with the present value of the non-cancellable lease payments of approximately \$9.5m
- reasonably certain to exercise 6-year extension option for Darwin office with the present value of the non-cancellable lease payments of approximately \$1.5m.

The above lease disclosures should be read in conjunction with the accompanying notes 1.1B and 1.1C.

Accounting Policy

For all new contracts entered into, CASA considers whether the contract is, or contains a lease. A lease is defined as 'a contract, or part of a contract, that conveys the right to use an asset (the underlying asset) for a period of time in exchange for consideration'.

Once it has been determined that a contract is, or contains a lease, the lease liability is initially measured at the present value of the lease payments unpaid at the commencement date, discounted using the interest rate implicit in the lease, if that rate is readily determinable, or the department's incremental borrowing rate.

Subsequent to initial measurement, the liability will be reduced for payments made and increased for interest. It is remeasured to reflect any reassessment or modification to the lease. When the lease liability is remeasured, the corresponding adjustment is reflected in the right-of-use asset or profit and loss depending on the nature of the reassessment or modification.

Optional periods will be included in the lease liability measurement once CASA is reasonably certain to exercise the option.

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

For the period ended 30 June 2021

	2021 \$'000	2020 \$'000
Note 2.5: Provisions		
Note 2.5A: Employee provisions		
Separations and redundancies	643	1,042
Leave	34,473	34,201
Ancillary costs on leave provisions	5,504	5,632
Total employee provisions	40,620	40,875
Note 2.5B: Other provisions		
Provision for makegood	292	290
Total other provisions	292	290
	Provision for makegood	
	\$'000	
As at 1 July 2020	290	
Unwinding of discounted amount	2	
Total as at 30 June 2021	292	

CASA currently has two (2020: two) 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. No consumption or revaluation applied to the makegood provision during the financial year 2020–21.

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

For the period ended 30 June 2021

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 2021 has been determined by reference to the Department of Finance shorthand method. The estimate of the present value of the liability takes into account attrition rates and pay increases through promotion and inflation.

Separation and Redundancy

Provision is made for separation and redundancy benefit payments. CASA recognises a provision for termination when it has developed a detailed formal plan for the terminations and has informed those employees affected that it will carry out the terminations.

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

For the period ended 30 June 2021

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 Chief Executive Officer and Director of Aviation Safety, and their direct reports. Key management personnel remuneration is reported in the table below:

	2021 \$'000	2020 \$'000
Short-term employee benefits:		
Salary	2,267	2,383
Annual leave accrued	222	220
Allowances	44	59
Total short-term employee benefits	2,533	2,662
Post-employment benefits:		
Superannuation	340	364
Total post-employment benefits	340	364
Other long-term employee benefits		
Long-service leave accrued	212	149
Total other long-term employee benefits	212	149
Total key management personnel remuneration	3,085	3,175

Key Management Personnel Remuneration for FY 2020 has been restated on an accrual basis. This includes an addition of accrued salary, exclusion of annual leave taken and payout which had already been disclosed as accrued annual leave in prior years. Superannuation oncost has also been added in the calculation of accrued annual leave. Board Audit and Risk Committee fees have been reclassified from allowances to salary. Disclosure of allowances has also been adjusted to include fringe benefits. These changes have resulted in short-term employee benefits being reduced by \$175k in FY 2020. The calculation of long service leave accrued has been adjusted to incorporate the actuarial assessment and discounted to a present value, which has resulted in long-term employee benefits being increased by \$96k in FY 2020. In FY 2021, short hand method has been adopted in long service leave calculation as prescribed by Department of Finance.

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

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

For the period ended 30 June 2021

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 Chief Executive Officer and Director of Aviation Safety, and their 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 2021

Note 4: Managing Uncertainties

Note 4.1: Contingent Assets and Liabilities

	Claims for damages or costs	
	2021 \$'000	2020 \$'000
Contingent assets		
Balance from previous period	2,600	4,094
New contingent assets recognised	5,000	6
Obligations settled	(1,206)	-
Obligations expired	(41)	(1,500)
Total contingent assets	6,353	2,600
Contingent liabilities		
Balance from previous period	2,751	4,149
New contingent liabilities recognised	5,115	245
Liabilities realised	(1,311)	(1,586)
Obligations expired	(30)	(57)
Total contingent liabilities	6,525	2,751
Net contingent liabilities	(172)	(151)

Quantifiable contingencies

CASA is a defendant in three actions for damages relating to personal injury and destruction of property resulting from accidents involving a helicopter and other aircraft and pilot training costs of \$6,352,953 (2020: \$2,599,747). CASA is defending all three 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 \$171,442 (2020: \$150,858). This amount represents an estimate of CASA's liability in respect of studies assistance.

Unquantifiable and remote contingencies

As at 30 June 2021, CASA is named as defendant in four actions for damages relating to personal injury resulting from loss of life (2020: 4). 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 2021

Note 4.2: Fair Value Measurements

	2021 \$'000	2020 \$'000
ASSETS		
Assets at fair value		
Non-Financial Assets		
Property, plant and equipment	8,408	9,380
Total non-financial assets at fair value	8,408	9,380
Total assets at fair value	8,408	9,380
Assets where carrying amount approximates fair value		
Financial assets		
Cash, cash equivalents and investments	65,877	49,785
Trade and other receivables	1,340	2,978
Accrued revenue	898	506
Total financial assets where carrying value approximates fair value	68,115	53,269
Assets carried at cost		
Non-Financial Assets		
Buildings - right-of-use assets	39,768	33,339
Property, plant and equipment - right-of-use assets	535	550
Intangibles	41,724	36,876
Prepayments	2,324	2,511
Total non-financial assets carried at cost	84,351	73,276
Total assets in the statement of financial position	160,874	135,925
LIABILITIES		
Liabilities where carrying value approximates fair value		
Payables		
Suppliers	5,279	5,089
Lease Liabilities	40,608	33,669
Other payables	3,103	2,831
Total payables	48,990	41,589
Provisions		
Employee provisions	40,620	40,875
Other provisions	292	290
Total provisions	40,912	41,165
Total liabilities where carrying value approximates fair value	89,902	82,754
Total liabilities in the statement of financial position	89,902	82,754

CIVIL AVIATION SAFETY AUTHORITY

NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2021

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

1. No change in valuation technique occurred during the period.
2. 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 2021

Note 4.3: Financial Instruments

	2021 \$'000	2020 \$'000
Note 4.3A: Categories of financial instruments		
Financial assets at amortised cost		
Cash at bank and deposits at call	13,377	4,785
Trade and other receivables	637	2,354
Accrued interest	27	113
Investments	52,500	45,000
Total financial assets at amortised cost	66,541	52,252
Total financial instruments classified as financial assets	66,541	52,252

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

Note 4.3B: Net gains or losses on financial assets

Financial assets at amortised cost		
Interest revenue	21	109
Investments	237	885
Net gains on financial assets at amortised cost	258	994
Net gains on financial assets	258	994

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

For the period ended 30 June 2021

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 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 2021

Note 4.4: Current/non-current distinction for assets and liabilities

	2021 \$'000	2020 \$'000
Assets expected to be recovered in		
No more than 12 months		
Cash and cash equivalents	13,377	4,785
Investments	52,500	45,000
Trade and other receivables	1,340	2,978
Accrued revenue	898	506
Prepayments	2,019	1,923
Total no more than 12 months	70,134	55,192
More than 12 months		
Buildings	39,768	33,339
Property, plant and equipment	8,943	9,931
Intangibles	41,724	36,875
Prepayments	305	588
Total more than 12 months	90,740	80,733
Total assets	160,874	135,925
Liabilities expected to be settled in		
No more than 12 months		
Suppliers	5,279	5,089
Other payables	3,103	2,831
Lease Liabilities	8,586	7,918
Employee provisions	12,727	13,013
Total no more than 12 months	29,695	28,851
More than 12 months		
Lease Liabilities	32,022	25,751
Employee provisions	27,893	27,862
Other provisions	292	290
Total more than 12 months	60,207	53,903
Total liabilities	89,902	82,754

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

For the period ended 30 June 2021

	2021 \$'000	2020 \$'000
Note 5: Regulatory Charging Summary		
Expenses		
Departmental	193,047	200,705
Total expenses	193,047	200,705
Revenue		
Departmental	12,109	14,052
Total revenue	12,109	14,052

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 2021

	2021 \$'000	2020 \$'000
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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	(180,938)	(186,653)
Add: Revenue from government	128,424	72,974
Add: Aviation fuel excise	68,720	101,280

Adjustments for non-cash items:

Depreciation and amortisation	22,646	18,929
Non-cash supplier and other expenses	-	(17)
Net write down of non-financial assets	168	103
(Gains) / losses on disposal of assets	252	135

Changes in assets / liabilities

(Increase) / Decrease in net receivables	1,638	(1,671)
(Increase) / Decrease in accrued revenue	(392)	2,200
(Increase) / Decrease in prepayments	186	926
Increase / (Decrease) in employee provisions	(255)	6,364
Increase / (Decrease) in supplier payables	190	(2,641)
Increase / (Decrease) in other provisions	2	(538)
Increase / (Decrease) in other payables	272	1,104

Net cash from operating activities	40,913	12,495
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CIVIL AVIATION SAFETY AUTHORITY NOTES TO AND FORMING PART OF THE FINANCIAL STATEMENTS

For the period ended 30 June 2021

Note 7: Explanation of Major Budgetary Variances

Explanations of major variances	Variance to budget (\$'000)	Affected statements and line items
Due to the impact of the COVID-19 pandemic, the budget was prepared based on a conservative view of minimum regulatory activities for the 2020–21 year. The actual results showed resilience in the aviation industry with some sectors outperforming budget expectation. The higher than anticipated aviation activities resulted in a greater demand for regulatory services than was forecast.	9,539	Statement of Comprehensive Income: • Own-source income - Revenue from contracts with customers
The Canberra office lease has been extended for two years until January 2024 owing to the delayed decision on a new office location due to the impact of the COVID-19 pandemic. This extension was not anticipated and resulted in a significant addition in ROU Buildings as well as lease liability balance.	10,221	Statement of Cash Flow - Operating activities: • Cash received - Sale of goods and services
	11,127	Statement of Financial Position: • Non-financial assets - Buildings
	10,755	Statement of Financial Position: • Interest bearing liabilities - Lease liabilities
Major underspends in supplier expenses include travel costs and consultancy and contracted services. Reduced travel was owing to the ongoing COVID-19 restrictions and border closures. The underspends in consultants and contractors are due to delays in planned consultancy work and rationalisation of assurance and contractor resources, particularly in projects.	(8,651)	Statement of Comprehensive Income: • Expenses - Suppliers
	(7,315)	Statement of Cash Flow - Operating Activities: • Cash used - Suppliers
	(1,165)	Statement of Financial Position: • Supplier payables
	1,104	Statement of Financial Position: • Non-financial assets - Property, plant and equipment
CASA's Cyber Security project was originally budgeted as intangibles but eventually reclassified as enhancement to a variety of hardware such as CASA's network and server fleet. Other IT projects such as Cloud Migration and Virtual Assistance have also been delayed and rolled over to 2021–22 budget.	(3,430)	Statement of Financial Position: • Non-financial assets - Intangibles
	(4,150)	Statement of Cash Flow - Investing Activities: • Purchase of property, plant and equipment and intangibles

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

For the period ended 30 June 2021

Note 7: Explanation of Major Budgetary Variances

Explanations of major variances	Variance to budget (\$'000)	Affected statements and line items
Better than anticipated full year surplus together with delays in capital projects contributed to the higher cash balance.	20,355	Statement of Financial Position: • Cash, cash equivalents and investments
Unexpected lease extension for Canberra office resulted in significant fitout revaluation which was not budgeted for.	1,595	Statement of Comprehensive Income: • Changes in asset revaluation reserve

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



Image: Kadmy - stock.adobe.com

Drone registration and accreditation

On 30 September 2020, CASA introduced a mandatory scheme for drone registration and drone operator accreditation, as a way of monitoring the safe and lawful operation of remotely piloted aircraft systems. Operators were provided until 28 January 2021 to register through a simple, online process.

This decision followed the Government's expression of support for the introduction of an appropriate mandatory accreditation and registration system for drones, made in response to a recommendation from a Senate Rural and Regional Affairs and Transport References Committee inquiry report in 2018.

CASA's Remotely Piloted Aircraft Systems Branch was responsible for implementing the scheme, which involved significant changes in legislation and policy, the design and build of an online capability, and a comprehensive education campaign.

The scheme, which applies to commercial and excluded category operators, requires all commercial drone flyers to gain accreditation if they do not already hold a remote pilot licence. To gain accreditation, operators watch an online video and successfully answer a short quiz to demonstrate that they understand the drone safety rules.

A simple, online process to register drones was made available online through the myCASA portal. Users have provided positive feedback, highlighting the success and ease of use of the scheme.

At 30 June 2021, 27,584 drones had been registered by commercial operators, across sectors including the media, academia, utilities, emergency services, mining and agriculture. The data provided in the registration process helps to inform how CASA engages with commercial operators and provides insight into how many drones are being used for commercial purposes.

The scheme has assisted CASA to address the safety risks posed by the use of drones in complex commercial operations, while helping operators to act safely and be aware of the drone safety rules.

CASA's website provides extensive guidance to help drone operators register and get accredited, including videos explaining the processes and a virtual assistant to help with questions. A plain English guide for micro and excluded category operations is also available online.

This program of work has been in development since 2018 and is a good example of multiple teams in CASA working collaboratively to achieve a great outcome.

PART 7: APPENDICES

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*.

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Appendix C: Annual report requirements	202

APPENDIX A: OPERATING STATISTICS

Flight operations

Table A.1 Air operator certificates, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Initial issue	44	40	61
Subsequent issue	225	184	255
Variation	258	180	145
Total	527	404	461
Current certificates at 30 June	793	791	793

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

Table A.2 Remotely piloted aircraft operator certificates, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Initial issue	380	448	440
Subsequent issue	381	400	565
Variation	66	69	108
Total	827	917	1,113
Current certificates at 30 June	1,628	1,952	2,174

Table A.3 Remote pilot licences, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Initial issue	4,149	3,369	5,127
Current licences at 30 June	12,845	16,482	21,643

Flight personnel

Table A.4 Flight crew licences, 2018–19 to 2020–21

Type of licence		2018–19		2019–20		2020–21	
		Initial issue	Current	Initial issue	Current	Initial issue	Current
Pilots^a							
Aeroplane	Air transport	188	7,280	166	6,519	101	6,533
	Commercial	1,142	5,312	1,343	4,990	1,225	5,001
	Commercial (CASA EX46/20) ^b	0	4,415	0	5,506	0	5,681
	Private	1,035	9,019	1,184	8,406	1,009	8,185
	Recreational	1,265	3,206	1,228	3,185	989	2,956
	Total aeroplane pilots	3,630	29,232	3,921	28,606	3,324	28,356
Helicopter	Air transport	16	763	14	654	10	687
	Commercial	173	1,977	271	1,801	207	1,900
	Commercial (CASA EX46/20) ^b	0	807	0	1,133	0	999
	Private	120	877	95	846	114	874
	Recreational	5	27	8	30	2	26
	Total helicopter pilots	314	4,451	388	4,464	333	4,486
Other	Commercial – Other ^c	8	114	4	110	6	100
	Commercial (CASA EX46/20) ^b	0	3	0	1	0	2
	Private – gyroplane	0	2	1	3	0	2
	Recreational	0	1	3	2	1	2
	Total other pilots	8	120	8	116	7	106
Glider	Total glider pilots	5	49	13	50	5	52
Total pilots^d		3,957	31,750	4,330	31,203	3,669	30,985
Flight engineers							
Total flight engineers		0	68	0	62	1	34

^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 EX46/20 is effective 1 March 2020 to 28 February 2023. It enables a pilot holding a licence at the commercial pilot licence (CPL) level or air transport pilot 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, 2018–19 to 2020–21

Type of licence	2018–19		2019–20		2020–21	
	Exams sat	% passed	Exams sat	% passed	Exams sat	% passed
Air transport pilot	5,889	73	5,604	75	3,649	74
Commercial pilot	15,629	73	17,077	74	13,712	74
Private pilot	1,862	67	1,813	71	1,655	64
Recreational pilot	1,143	58	1,966	58	1,544	54
Total	24,523	71	26,460	72.6	20,560	70

Table A.6 Medical certificates, 2018–19 to 2020–21

Type of certificate	2018–19			2019–20			2020–21		
	Initial	Renewal	Refusal	Initial	Renewal	Refusal	Initial	Renewal	Refusal
Class 1	2,624	16,847	51	2,427	15,272	47	1,574	15,064	28
Class 2	4,483	21,967	49	4,066	19,871	36	2,798	19,877	31
Basic Class 2	978	4	0	810	92	0	694	398	0
Class 3	126	670	5	117	552	2	36	708	3
Total	6,002	22,549	105	5,403	20,438	85	3,798	20,895	62

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.

Maintenance organisations

Table A.7 Certificates of approval, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Initial issue	14	12	12
Subsequent issue	14	10	30
Variation	66	55	56
Total	94	77	98
Current certificates at 30 June	608	577	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, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Initial issue	9	3	40
Subsequent issue	67	30	17
Variation	37	31	70
Total	113	64	127
Current certificates at 30 June	156	161	161

Maintenance personnel

Table A.9 Aircraft maintenance engineer examinations, 2018–19 to 2020–21

Type of examination	2018–19	2019–20	2020–21
Schedule of Experience examination	840	929	825
Weight Control Authority examination	31	13	0
Total	871	942	825

Table A.10 Aircraft maintenance engineer licences, 2018–19 to 2020–21

Detail	2018–19	2019–20	2020–21
Licence assessments			
Category Technical Competency Assessments and Licence Technical Assessments (combined)			
Australian military	2	2	1
Foreign civil	22	30	23
Total	24	32	24
<i>Trans-Tasman Mutual Recognition Act 1997</i> assessments	9	32	7
Licences			
Issued	116	192	143
Current at 30 June	9,028	9,218	9,358
Average age of licenceholder (years)	52	53	53

Table A.11 Airworthiness authorities, 2018–19 to 2020–21

Type of authority	2018–19	2019–20	2020–21
Maintenance	19	4	66
Non-destructive testing	11	2	66
Weight control	20	4	35
Welding	8	4	7

Note: CASA's method of counting airworthiness authorities changed in 2020–21, to include authorities initially issued and renewed for the reporting period. CASA recently identified that the previous method of reporting was not capturing all authorisations issued during the period, and included authorities completed outside the reporting period due to processing delays. The new method ensures that all authorisations issued, including renewals, are reported within the reporting period in which they are issued.

Airworthiness

Table A.12 Airworthiness certificates, authorisations and approvals issued, 2018–19 to 2020–21

Type of permission	2018–19	2019–20	2020–21
Type certificate^a			
Aeroplanes	5	4	1
Lighter than air	1	1	0
Rotorcraft	0	1	1
Engine	0	0	0
Propeller	0	0	0
Total	6	6	2
Type acceptance certificate^a			
Aeroplanes	15	18	15
Lighter than air	2	1	0
Rotorcraft	2	3	4
Total	19	22	19
Other authorisations, certificates and approvals			
Supplemental type certificate ^a	28	18	19
Certificate of airworthiness	488	412	352
Special flight authorisation	16	20	27
Special flight permit ^b	296	296	121
Experimental certificate ^c	157	160	134
Simulator certification (flight simulator training devices)	55	63	60
Design advice	75	77	46
Flight manual supplement	0	6	1

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, 2018–19 to 2020–21

Type of registration	2018–19	2019–20	2020–21
Initial registration	402	336	370
Change of registration holder	1,263	1,428	1,263
Cancellation of registration	311	235	236
Change of registration mark	52	47	67
Reservation of registration mark	870	808	1,026
Reissue of certificate of registration	54	79	46
Aircraft registered at 30 June	15,620	15,721	15,855
Marks reserved at 30 June	546	556	684

Table A.14 Average age of the Australian fleet of civil aircraft at 30 June 2021

Aircraft group by airframe and propulsion characteristics				> 56 years	56–47 years	46–37 years	36–27 years	26–17 years	16–7 years	6–2 years	< 2 years	Total by group	% of total fleet	
Gliders				91	244	389	108	91	57	14	2	996	6.28	
Powered gliders				0	28	54	40	60	80	29	0	291	1.84	
Balloons				0	0	23	45	105	139	103	11	426	2.69	
Airships				0	0	0	0	1	0	0	0	1	0.01	
Remotely piloted aircraft systems				0	0	0	0	0	0	1	1	2	0.01	
Amateur-built aircraft	Aeroplane	Single-engine	Diesel	0	0	0	0	1	0	0	0	1	0.01	
			Piston	3	22	93	168	449	493	178	46	1,452	9.16	
			Turboprop	0	0	0	0	4	0	1	0	5	0.03	
			Jet	0	0	1	0	0	1	2	1	5	0.03	
			Rotary	0	0	0	0	0	1	0	0	1	0.01	
			Electric engine	0	0	0	0	0	0	1	0	1	0.01	
	Multi-engine	Piston	0	0	0	2	4	4	2	0	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	7	35	37	6	2	89	0.56	
			Turboshaft	0	0	0	0	1	6	7	1	15	0.09	
			Electric engine	0	0	0	0	0	0	0	1	1	0.01	
Production aircraft	Helicopter	Single-engine	Piston	14	66	28	168	279	641	162	38	1,396	8.80	
			Turboshaft	9	86	202	106	79	129	30	7	648	4.09	
		Multi-engine	≤ 5,700 kg MTOW	Turboshaft	0	1	37	53	37	50	11	5	194	1.22
			> 5,700 kg MTOW	Turboshaft	0	0	5	1	1	35	47	0	89	0.56
	Aeroplane	Single-engine	Diesel	0	0	0	0	1	4	0	0	5	0.03	
			≤ 5,700 kg MTOW	Piston	1,579	1,607	2,470	295	551	586	216	36	7,340	46.29
			Turboprop	1	6	29	70	121	122	42	6	397	2.50	
			Jet	9	11	20	7	0	0	0	0	47	0.30	
			> 5,700 kg MTOW	Piston	3	0	0	0	0	0	0	0	3	0.02
			Turboprop	0	0	0	4	26	45	13	3	91	0.57	
		Multi-engine	Jet	5	0	0	0	0	0	0	0	5	0.03	
			Diesel	0	0	0	0	0	7	1	0	8	0.05	
			≤ 5,700 kg MTOW	Piston	75	341	617	24	30	53	28	2	1,170	7.38
			Turboprop	0	10	105	23	22	35	1	0	196	1.24	
			Jet	1	5	6	1	12	14	2	2	43	0.27	
			Electric engine	0	0	0	0	0	0	0	1	1	0.01	
			5,701 to 20,000 kg MTOW	Piston	23	2	0	0	0	0	0	0	25	0.16
			Turboprop	3	0	14	90	90	17	10	5	229	1.44	
			Jet	1	0	34	19	33	22	7	2	118	0.74	
			20,001 to 50,000 kg MTOW	Piston	5	0	0	0	0	0	0	0	5	0.03
			Turboprop	0	0	1	2	3	44	3	0	53	0.33	
			Jet	1	1	0	70	38	27	5	2	144	0.91	
			50,001 to 100,000 kg MTOW	Piston	1	0	0	0	0	0	0	0	1	0.01
			Turboprop	0	0	1	0	0	0	0	0	1	0.01	
	Jet	0	1	0	6	71	177	16	1	272	1.72			
> 100,000 kg MTOW	Jet	0	0	0	1	11	46	14	0	72	0.45			
Remotely piloted aircraft (rotorcraft)				0	0	0	0	0	0	2	2	0.01		
Total by age bracket				1,826	2,431	4,129	1,310	2,156	2,874	952	177	15,855	100.00	
% of total fleet				11.52	15.33	26.04	8.26	13.60	18.13	6.00	1.12	100.00		

Table A.15 Appointments of airworthiness delegates and authorised persons, 2018–19 to 2020–21

Type of appointment	2018–19	2019–20	2020–21
Appointments excluding Civil Aviation Safety Regulations subpart 21M			
Initial issue	8	6	31
Subsequent issue	44	5	12
Variation	4	61	12
Active at 30 June	173	132	128
Appointments under Civil Aviation Safety Regulations subpart 21M			
Initial issue and variation	26	23	20
Active at 30 June	37	33	36
Total appointments active at 30 June	210	165	164

Table A.16 Production authorisations, 2018–19 to 2020–21

Type of authorisation	2018–19	2019–20	2020–21
Production certificate			
Initial issue	0	0	0
Variation	1	5	0
Under voluntary suspension at 30 June	4	4	6
Active as 30 June	8	8	6
One-off production certificate			
Initial issue	1	1	2
Variation	10	3	5
Under voluntary suspension at 30 June	2	2	2
Active at 30 June	36	36	35
Australian parts manufacturing approval			
Initial issue	0	1	2
Variation	5	7	8
Under voluntary suspension at 30 June	2	5	2
Active at 30 June	36	34	32
Australian Technical Standard Order authorisation			
Initial issue or variation	4	4	1
Under voluntary suspension at 30 June	3	4	2
Active at 30 June	8	7	7
Parts approval under CASR 21.305A			
Initial issue or variation	2	3	2
Under voluntary suspension at 30 June	3	3	3
Active at 30 June	9	9	9

Table A.17 Airworthiness directives and bulletins, 2018–19 to 2020–21

Type of directive/bulletin	2018–19	2019–20	2020–21
Australian Airworthiness Directive			
Issued	40	1	7
Cancelled	33	9	5
Amended	29	14	6
Current	7,886	7,834	7,772
State of design airworthiness directive	642	478	157
Exclusion from airworthiness directive	72	99	61
Review of airworthiness directive	12	7	15
Airworthiness Bulletin			
Issued or amended	22	6	16
Current	384	384	404

Table A.18 Aircraft defect reports, 2018–19 to 2020–21

Report status	2018–19	2019–20	2020–21
Received during the year	1,814	1,157	1,095
Closed during the year ^a	1,201	n/a	n/a
Open as at 30 June ^a	2,108	n/a	n/a

n/a = not applicable

^a As a result of 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, 2018–19 to 2020–21

Aerodrome status	2018–19	2019–20	2020–21
Certified	197	199	204
Registered	126	129	127
Total	323	328	331

Training

Table A.20 Civil Aviation Safety Regulations Part 141 flight training certificates, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Initial issue ^a	17	16	12
Subsequent issue	31	55	74
Variation	47	43	49
Total	95	114	135
Current certificates at 30 June	237	250	265

^a The figures for initial issue do not include interim certificates and transitions.

Table A.21 Civil Aviation Safety Regulations Part 142 flight training certificates, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Initial issue ^a	1	3	6
Subsequent issue	5	12	21
Variation	4	10	23
Total	10	25	50
Current certificates at 30 June ^b	62	65	63

a The figures for initial issue do not include interim certificates and transitions.

Table A.22 Civil Aviation Safety Regulations Part 147 maintenance training organisation certificates, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Initial issue ^a	2	4	4
Variation	56	57	46
Total	58	61	50
Suspended certificates	0	1	0
Surrendered certificates	2	1	0
Current certificates at 30 June	28	41	33

a The figures for initial issue do not include interim certificates and transitions.

Enforcement

Table A.23 Medical certificate cancellations and suspensions, 2018–19 to 2020–21

Certificate	2018–19		2019–20		2020–21	
	Cancelled	Suspended	Cancelled	Suspended	Cancelled	Suspended
Class 1	19	42	18	31	15	39
Class 2	11	37	21	39	33	68
Basic Class 2	4	0	15	0	85	0
Class 3	9	5	1	4	2	2
Total	43	84	55	74	135	109

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.

Table A.24 Licence and certificate actions, 2018–19 to 2020–21

Action	2018–19	2019–20	2020–21
Show cause notices issued	35 ^a	16 ^a	24
Variations	0	1	1
Suspensions ^b	5	7 ^b	8
Cancellations	4	7	0

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 A.23) or variations processed by the CASA Service Centre.

a These numbers have been corrected following a review of actions conducted in previous years.

b These include suspensions under regulations 265 and 269 of the Civil Aviation Regulations 1988.

Table A.25 Serious and imminent risk suspensions under section 30DC of the Civil Aviation Act 1988, 2018–19 to 2020–21

Action	2018–19	2019–20	2020–21
Suspensions	1	0	0

Table A.26 Aviation infringement notices and prosecutions, 2018–19 to 2020–21

Action	2018–19	2019–20	2020–21
Infringement notices issued	129	122 ^a	63
Matters referred to the Director of Public Prosecutions	13	12	7
Prosecutions finalised	7 ^b	13	11
Acquittals	0	0 ^c	0 ^d
Convictions	5	12	9

a Three infringement notices were withdrawn.

b Two matters resulted in findings of guilt with no conviction recorded.

c One prosecution was withdrawn by the Commonwealth Director of Public Prosecutions on public interest grounds.

d One matter resulted in a finding of guilt with no conviction recorded and one matter was withdrawn by the Commonwealth Director of Public Prosecutions upon late payment of an infringement notice by the offender.

Table A.27 Compliance-related actions, 2018–19 to 2020–21

Type of application	2018–19	2019–20	2020–21
Enforceable voluntary undertakings	0	0	0
Counselling	105	97	56

APPENDIX B: MANAGEMENT AND ACCOUNTABILITY STATISTICS

Employees

Table B.1 All ongoing employees, 2020–21

Location	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
NSW	54	0	54	10	1	11	0	0	0	65
QLD	129	4	133	50	9	59	0	0	0	192
SA	14	0	14	1	0	1	0	0	0	15
TAS	0	0	0	0	0	0	0	0	0	0
VIC	53	0	53	10	2	12	0	0	0	65
WA	23	1	24	10	0	10	0	0	0	34
ACT	199	9	208	151	33	184	0	0	0	392
NT	5	0	5	3	0	3	0	0	0	8
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	477	14	491	235	45	280	0	0	0	771

Table B.2 All non-ongoing employees, 2020–21

Location	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
NSW	2	2	4	7	3	10	0	0	0	14
QLD	9	0	9	7	1	8	0	1	1	18
SA	1	0	1	1	2	3	0	0	0	4
TAS	0	0	0	0	0	0	0	0	0	0
VIC	3	0	3	0	0	0	0	0	0	3
WA	1	0	1	0	1	1	0	0	0	2
ACT	17	4	21	18	4	22	0	0	0	43
NT	2	0	2	0	0	0	0	0	0	2
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	35	6	41	33	11	44	0	1	1	86



Image: Civil Aviation Safety Authority

Table B.3 All ongoing employees, 2019–20

Location	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
NSW	53	0	53	10	0	10	0	0	0	63
QLD	129	4	133	53	9	62	0	0	0	195
SA	16	0	16	2	0	2	0	0	0	18
TAS	0	0	0	0	0	0	0	0	0	0
VIC	54	1	55	11	2	13	0	0	0	68
WA	24	1	25	11	0	11	0	0	0	36
ACT	222	5	227	155	29	184	0	0	0	411
NT	5	0	5	2	0	2	0	0	0	7
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	503	11	514	244	40	284	0	0	0	798

Table B.4 All non-ongoing employees, 2019–20

Location	Male			Female			Indeterminate			Total
	Full-time	Part-time	Total male	Full-time	Part-time	Total female	Full-time	Part-time	Total indeterminate	
NSW	0	2	2	1	0	1	0	0	0	3
QLD	3	1	4	2	1	3	0	0	0	7
SA	0	0	0	0	1	1	0	0	0	1
TAS	0	0	0	0	0	0	0	0	0	0
VIC	3	0	3	0	0	0	0	0	0	3
WA	1	0	1	0	1	1	0	0	0	2
ACT	18	2	20	16	6	22	0	0	0	42
NT	1	0	1	0	0	0	0	0	0	1
External territories	0	0	0	0	0	0	0	0	0	0
Overseas	0	0	0	0	0	0	0	0	0	0
Total	26	5	31	19	9	28	0	0	0	59

Correction of an error in the previous annual report

In the *CASA Annual Report 2019–20*, Table B.3 incorrectly reported employees by classification and gender at 30 June 2020. Column headings were accidentally shown in the wrong order. The following table shows the information correctly.

Ongoing and non-ongoing employees by classification and gender at 30 June 2020

Classification	Female			Male			Total
	Ongoing	Non-ongoing	Casual	Ongoing	Non-ongoing	Casual	
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	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
Total	284	22	6	514	29	2	857

Executive remuneration

Table B.5 Remuneration paid to key management personnel, 2020–21

Name	Position title	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration
		Base salary ^a	Bonuses	Other benefits and allowances ^b		Superannuation contributions	Long service leave	Other long-term benefits	
Carmody, Shane	Chief Executive Officer and Director of Aviation Safety ^c	\$299,291	\$0	\$1,200	\$41,234	\$16,011	\$0	\$0	\$357,736
Spence, Pip	Chief Executive Officer and Director of Aviation Safety ^d	\$105,246 ^e	\$0	\$303	\$8,000	\$139,540 ^f	\$0	\$0	\$253,089
Crawford, Graeme	Group Executive Manager Aviation	\$434,367	\$0	\$2,400	\$62,300	\$13,092	\$0	\$0	\$512,159
Walker, Rob	Executive Manager Stakeholder Engagement	\$314,514	\$0	\$2,400	\$47,851	\$11,456	\$0	\$0	\$376,221
Aleck, Jonathan	Executive Manager Legal, International and Regulatory Affairs	\$346,800	\$0	\$33,083	\$12,755	\$9,673	\$0	\$0	\$402,311
Crome, Philippa	Executive Manager Corporate Services	\$323,672	\$0	\$2,400	\$58,416	\$13,722	\$0	\$0	\$398,210
Frawley, Simon	Chief Financial Officer	\$240,037	\$0	\$2,400	\$44,217	\$8,395	\$0	\$0	\$295,049
Mathews, Anthony	CASA Board Chair	\$119,256	\$0	\$0	\$18,295	\$0	\$0	\$0	\$137,551
Bridge, Michael	CASA Board member	\$59,628	\$0	\$0	\$9,148	\$0	\$0	\$0	\$68,776
Hardman, Donna	CASA Board member	\$67,887	\$0	\$0	\$10,458	\$0	\$0	\$0	\$78,345
Rindfleish, Mark	CASA Board member	\$49,637	\$0	\$0	\$7,745	\$0	\$0	\$0	\$57,382
Andre, Marilyn	CASA Board member	\$61,223	\$0	\$0	\$9,228	\$0	\$0	\$0	\$70,451
Hallett, Elizabeth	CASA Board member	\$67,793	\$0	\$0	\$10,240	\$0	\$0	\$0	\$78,033
Total		\$2,489,351	\$0	\$44,186	\$339,887	\$211,889	\$0	\$0	\$3,085,313

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.

a Includes annual salary on an accrual basis, accrued annual leave including superannuation on-cost, and salary for serving on the Board Audit and Risk Committee during the reporting period (less any bonuses paid).

b Includes car parking benefit, salary sacrificed motor vehicle (including fringe benefit tax) and any allowances that are reportable on individual payment summaries.

c Shane Carmody ceased employment as Chief Executive Officer and Director of Aviation Safety on 31 December 2020.

d Pip Spence commenced employment as Chief Executive Officer and Director of Aviation Safety on 17 May 2021.

e Figure includes \$42,332 accrued annual leave reflecting the salary increase from job change.

f Figure reflects the salary increase from job change.

Table B.6 Remuneration paid to senior managers, 2020–21

Total remuneration bands	Number of senior executives	Short-term benefits							Total remuneration
		Average base salary ^a	Average bonuses ^b	Average other benefits and allowances ^c	Average superannuation contributions ^d	Average long service leave ^e	Average other long-term benefits ^b	Average termination benefits ^f	
\$0–\$220,000	6	\$117,343	\$0	\$6,142	\$17,156	\$2,761	\$0	\$1,503	\$144,905
\$220,001–\$245,000	5	\$168,843	\$0	\$11,604	\$24,955	\$3,163	\$0	\$21,967	\$230,532
\$245,001–\$270,000	2	\$208,844	\$0	\$7,638	\$34,290	\$5,222	\$0	\$0	\$255,994
\$270,001–\$295,000	8	\$228,381	\$0	\$12,334	\$38,181	\$5,464	\$0	\$0	\$284,360
\$295,001–\$320,000	6	\$238,652	\$0	\$14,356	\$44,010	\$5,860	\$0	\$0	\$302,878
\$320,001–\$345,000	2	\$259,882	\$0	\$19,058	\$38,066	\$6,190	\$0	\$0	\$323,196

Note: CASA's senior managers are those employees who are substantively appointed to a senior management position or those employees who have acted as a senior manager for a total of three months or more during the reporting period. Senior managers who are also key management personnel are excluded. Each dollar amount is an averaged figure based on headcount for the individuals within the remuneration range. Figures have been rounded to the nearest dollar.

a Base salary includes gross payments (less any bonuses).

b No payments were made in this category in 2020–21.

c Other benefits and allowances include annual leave accrued during the reporting period and any allowances that are reportable on individual payment summaries. Endorsement loadings are not payable to senior management employees.

d Employer superannuation contributions.

e Long service leave accrued during the reporting period.

f Termination benefits Include voluntary redundancy payments and payments in lieu of notice.

Table B.7 Remuneration paid to highly paid employees, 2020–21

Total remuneration bands	Number of other highly paid employees	Short-term benefits							Total remuneration
		Average base salary ^a	Average bonuses ^b	Average other benefits and allowances ^c	Average superannuation contributions ^d	Average long service leave ^e	Average other long-term benefits ^b	Average termination benefits ^f	
\$230,001–\$245,000	11	\$168,186	\$0	\$20,594	\$29,861	\$4,082	\$0	\$12,811	\$235,534
\$245,001–\$270,000	24	\$168,746	\$0	\$50,087	\$34,425	\$4,305	\$0	\$0	\$257,563
\$270,001–\$295,000	14	\$176,335	\$0	\$51,125	\$32,421	\$3,923	\$0	\$17,801	\$281,605
\$295,001–\$320,000	2	\$213,877	\$0	\$51,843	\$37,901	\$4,869	\$0	\$0	\$308,490
\$320,001–\$345,000	0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
\$345,001–\$370,000	0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
\$370,001–\$395,000	1	\$213,548	\$0	\$0	\$14,485	\$0	\$0	\$147,821	\$375,854
\$395,001–\$420,000	1	\$204,978	\$0	\$0	\$15,162	\$0	\$0	\$178,057	\$398,197
\$420,001–\$445,000	0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
\$445,001–\$470,000	1	\$362,711	\$0	\$34,465	\$55,858	\$11,194	\$0	\$0	\$464,228
\$470,001–\$495,000	0	\$0	\$0	\$0	\$0	\$0	\$0	\$0	\$0
\$495,001–...	1	\$275,807	\$0	\$1,824	\$30,281	\$0	\$0	\$234,733	\$542,645

Note: Other highly paid employees are employees whose reportable remuneration was \$230,000 or more for the reporting period, who are not appointed as senior managers. Remuneration for highly paid employees may include remuneration for periods of acting as a senior manager that total less than three months during the reporting period. Each dollar amount is an averaged figure based on the headcount for individuals within the remuneration range. Figures have been rounded to the nearest dollar.

a Base salary includes gross payments (less any bonuses).

b No payments were made in this category in 2020–21.

c Other benefits and allowances include 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 Termination benefits Include voluntary redundancy payments and payments in lieu of notice.

External scrutiny

Table B.8 Administrative Appeals Tribunal merits reviews of CASA regulatory decisions, 2018–19 to 2020–21

Matters	2018–19	2019–20	2020–21
With the tribunal			
Applications on hand from the previous year	15	12	10
Applications lodged during the year	16	8	16
Total	31	20	26
Dealt with			
Decisions affirmed	2	3	1
Decisions varied	7	0	2
Decisions set aside	2	1	1
Matters dismissed	2	2	3
Total	13	6	7
Other			
Applications withdrawn by the applicant	8	5	9
Applications remaining on hand at 30 June	12 ^a	10	11
Total	20^a	15	20

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.

^a Correction of error in the 2018–19 annual report.

Table B.9 Categories of CASA decisions appealed to the Administrative Appeals Tribunal, 2020–21

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)	3	0	2	0	5
Aviation maintenance licence or authority (including ratings)	0	0	0	0	0
Medical certificate	7	2	1	0	10
Air operator certificate	0	0	1	0	1
Certificate of approval	0	0	0	1	1
Certificate of registration or airworthiness	0	0	0	0	0
Chief pilot approval	0	0	0	0	0
Maintenance controller approval	0	0	0	0	0
Exemption	0	0	0	0	0
Freedom of information	0	0	0	0	0
Remote pilot licence	0	0	0	0	0
Other matters	0	0	0	1	1
Total	10	2	4	2	18

Table B.10 Applications to the Federal Court for judicial review of CASA regulatory decisions, 2018–19 to 2020–21

Matters	2018–19		2019–20		2020–21	
	Filed by subject person	Filed by CASA	Filed by subject person	Filed by CASA	Filed by subject person	Filed by CASA
With the court						
Applications on hand from the previous year	0	0	1	0	1	0
Applications filed during the year	1	1	0	0	1	1
Total	1	1	1	0	2	1
Dealt with						
Applications granted	0	1	0	0	0	0
Matters dismissed	0	0	0	0	2	0
Total	0	1	0	0	2	0
Other						
Proceedings discontinued	0	0	0	0	0	0
Applications on hand at 30 June	1	0	1	1	0	1
Total	1	0	1	1	0	1
Decisions arising from Administrative Appeals Tribunal decisions	0	0	0	0	0	1

Table B.11 Coronial inquiries, 2018–19 to 2020–21

Matters	2018–19	2019–20	2020–21
Inquiries on hand from previous year	1	2	0
New inquiries	2	0	1
Total	3	2	1
Conclusions handed down	1	2	0
Inquiries still in progress at 30 June	2	0	1

Table B.12 CASA's response to coronial recommendations, 2020–21

Inquest	Inquest into the multiple deaths arising from the crash of Cessna U206G aircraft registration mark VH-FRT during conduct of skydiving operations at Caboolture in Queensland on 22 March 2014.
State	QLD
Date of findings	18 March 2020

Recommendations for CASA

- (1) I recommend a thorough review of the requirements of the CASA-approved Australian Parachute Federation (APF) Jump Pilot Manual, and its suitability for providing appropriate risk-based standards for all air operations conducted by APF club members.
- (2) 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:
 - (a) 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;
 - (b) 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;
 - (c) 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;
 - (d) 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**Recommendation (1)**

CASA has reviewed the content of the Australian Parachute Federation (APF) Jump Pilot Manual (JPM) in conjunction with the APF and is satisfied that its content remains fit for purpose.

It is important to note that the APF's pilot requirements are not solely contained within the APF JPM. The APF Operational Regulations (OR) and Regulatory Schedules (RS) also contain specific experience requirements for pilots in command of aircraft operated in support of parachuting operations.

As an outcome of established APF continuous improvement processes, the OR and RS are subject to annual review and updates to facilitate required or suggested changes that have been identified through operational reviews by APF committees. Additionally, CASA has undertaken several reviews of the APF JPM at the request of the APF in the years preceding and following the Caboolture accident.

Both the OR and RS are presented to CASA for review and approval on an annual basis. The APF JPM is similarly subject to periodic reviews. It is not, however, necessarily updated on an annual basis. Rather, it is presented to CASA for approval as and when changes are made to its contents.

The most recent JPM approvals were undertaken by CASA in 2016, 2017, 2019 and 2020. On these occasions CASA conducted a full review of the Manual to ensure that updates proposed by the APF were consistent with established CASA policy on private operations and were in alignment with the requirements of the CASA Directions Instrument (currently CASA 61/19) issued for aircraft operations in support of parachute descents with student and tandem parachutists.

The most current version of each of the applicable manuals is April 2020, with the current versions of all APF manuals containing considerable changes made (since 2014) specifically relating to the oversight of Jump Pilot Authorisation (JPA) Holders. These changes include the requirement for periodic operational proficiency checks of JPA holders by APF Jump Pilot Examiners, APF accepted Senior Pilots or particular persons approved by the APF National Aviation Officer (NAO).

In addition to the updates and reviews of the OR, RS and JPM undertaken previously, the entire APF manual suite was also subject to an assessment as part of their application to be issued with a certificate as a Approved Self-Administering Aviation Organisation under Part 149 of the Civil Aviation Safety Regulations 1998 (CASR). The assessment process for the issuing of a CASA Part 149 certificate required assessment of all applicable manuals to ensure that all requirements (including those set out in the Manual of Standards for Part 149) were met.

The CASR Part 149 certificate (issued to the APF in April 2020) regularises the requirements contained within the APF's manual suite as part of a transitional step to the commencement of CASR Part 105 in December 2021.

CASR Part 105 (Parachuting from aircraft) will include:

- minimum maintenance for aircraft used for training and tandem parachute operations
- minimum standards for pilots involved in parachuting operations, in addition to the general pilot licensing requirements prescribed in CASR Part 61

The CASR Part 149 functions the APF have been approved to administer under their certificate include 'Operating an aircraft to facilitate a parachute descent'. This function required that the APF develop appropriate:

(2) The Function includes developing:

- (a) competency standards and units of competency (however described) for training (jump pilot training) that the ASAO requires must be completed by a pilot for the issue of an authorisation (a jump pilot authorisation) to operate the aircraft in a parachute training operation;
- (b) experience requirements, and any other requirements of the ASAO, for the operation of the aircraft to facilitate a parachute descent (whether or not in a parachute training operation);

so as to be able to administer the following relevant activities:

(3) A jump pilot activity includes any of the following:

- (b) conducting jump pilot training of a pilot of the aircraft during a flight conducted to facilitate a parachute descent, on matters relevant to the conduct of the flight for that purpose;
- (c) assessing pilots for the issue of a jump pilot authorisation to operate the aircraft in a parachute training operation;
- (d) assessing the competency of the holder of a jump pilot authorisation to perform an activity authorised by the authorisation.

The CASR Part 149 certificate also authorises the APF to administer the operation of an aircraft to facilitate a parachute descent, including authorising jump pilots and jump pilot trainers by the issuance of the following:

(4) Authorisations to undertake a jump pilot activity include:

- (a) a jump pilot authorisation entitling the holder (the jump pilot) to operate an aircraft to facilitate a parachute descent in a parachute training operation; and
- (b) authorising a person as a jump pilot trainer (however named) to:
 - (i) conduct jump pilot training; or
 - (ii) make recommendations to the ASAO to issue a jump pilot authorisation to a pilot; or
 - (iii) assess candidates for a jump pilot authorisation; or
 - (iv) assess the ongoing competency of the holder of a jump pilot authorisation to perform an activity authorised by the authorisation.

The CASR Part 105 regulations (made December 2019) contain general requirements for aircraft used for parachute descents, additional requirements for aircraft used for descents by trainee and tandem parachutists, minimum pilot requirements, weight and balance requirements for loading of the aircraft and provides a head of power for further requirements to be prescribed within the CASR Part 105 Manual of Standards (MOS).

The CASR Part 105 MOS is currently being developed and is scheduled to be presented for industry consultation in the first quarter of 2021 for an expected commencement date of December 2021.

On commencement of CASR Part 105 and the Part 105 MOS, the relevant operational standards and requirements relating to all Australian parachuting operations will be contained within that regulatory space.

Recommendation (2)(a)

The established CASR Part 61 flight review requirements provide for a consistent and ongoing level of assessment and oversight of all Part 61 pilot licence holders.

Additional oversight within the Air Operator's Certificate (AOC) scheme is afforded to '... low time or part-time...pilots...' by the Chief Pilot under the AOC. The Chief Pilot has the capability (and a degree of operational responsibility) for developing and implementing further controls and/or pilot requirements (as may be required) under the head of power provided for the role of the Chief Pilot under Civil Aviation Order (CAO) 82.0 (CAO 82.0 applies to AOCs authorising aerial work operations, charter operations and regular public transport operations).

CAO 82.0 contains the minimum total flight time experience requirements (for the relevant aircraft) for a Chief Pilot relevant to the complexity of the particular operations. For example, for an AOC holder operating one single-engine aircraft (noting that there are no seating number limitations), the Chief Pilot is required to have a minimum of 300 hours of total flight time on the relevant aircraft and 6 months experience in commercial operations. For operators of more than one single-engined aircraft (no maximum seating limitations), the minimum requirements are 500 hours total flight time on the relevant aircraft and a minimum of 9 months experience in commercial operations.

The pilot licencing requirements within CASR Part 61 for the issuance of a commercial pilot licence (CPL) are 200 hours total aeronautical experience time and 100 hours in command (non-integrated training) or 150 hours total aeronautical experience time and 70 hours in command (if the training was undertaken by means of an integrated course).

By means of comparison, the minimum flight time requirements for the issuance of an APF JPA are, a CPL, or 200 hours total aeronautical experience time, 100 hours in command and 10 hours on the particular aircraft type or an aircraft of similar performance, weight and operational complexity.

Whereas the internal oversight in the AOC scheme is undertaken by the Chief Pilot, pilot oversight and supervision within the APF scheme is undertaken by four separate yet conjoined APF roles. Immediate and direct supervision is conducted by both the Chief Instructor (CI) and the Senior Pilot of the individual parachuting club, and further systematic oversight is periodically provided by both the Jump Pilot Examiner and the APF National Office (represented by the NAO and Aircraft Advisory Committee).

While there is no current requirement for an APF CI to be the holder of a pilot licence, nor formalised minimum hourly requirements for the approval of a JPA holder to act as a senior pilot, the additional oversight of all pilots operating an aircraft in support of parachuting operations is undertaken by an APF JPE, the APF NAO and the APF Aircraft Advisory Committee.

The enhancements made to the APF's aircraft and pilot requirements since the introduction of the JPA system in 2011 have been marked in terms of the pilot training and checking requirements. The current APF's NAO is a former Qantaslink Captain who has 12,500 hours of total aeronautical experience and 10,300 hours as pilot in command. He also holds qualifications in training and assessment, Safety Management Systems (SMS) and auditing. His input and guidance into the APF systems have enhanced the training and systematic checking of JPA holders.

The NAO was instrumental in establishing the APF Aircraft Safety Advisory Committee, with the committee made up of several senior APF members (all CASR Part 61 licence holders) with a combined 43,000 hours of flying experience both in parachuting and Charter / Regular Public Transport operations and a total of 75,000 parachute descents. Two members of the committee are holders of a CASR Part 61 Air Transport Pilot Licence and one member is a CASR Part 66 Licenced Aircraft Mechanical Engineer. The experience and knowledge contained within this committee has been instrumental in the progress made to date, and the ongoing development of pilot requirements contained within the OR, RS and the JPM.

For these reasons, CASA considers that the aeronautical experience requirements for APF jump pilots, in combination with the supervisory support and oversight that they receive at the APF club and national level, is appropriate having regard to the nature and complexity of the operations they conduct.

Recommendation (2)(b)

While CASA possesses the capability to assess the adequacy and appropriateness of a training regime, the subject matter expertise required to develop a training regime for the initial issue and ongoing competency requirements for highly specialised operational authorisations, such as the operation of an aircraft to facilitate parachute operations, exists within the APF.

The APF have developed a flight activity-based examiner system modelled on the flight examiner regime established under CASR Part 61 which permits the testing of specific parachute activity requirements to ensure the safe operation of parachute aircraft in all phases of flight. This system is considered fit for purpose for the parachute industry.

All APF flight operations conducted when student or tandem parachutists are carried in the aircraft must be conducted by a pilot who has been issued a JPA. The operational outcome of this requirement is that almost all pilots flying in parachuting operations hold the JPA. All JPA holders are subject to the ongoing recency and currency requirements and the general competency requirements established in CASR Part 61, as well as the APF's JPA proficiency checking regime. The APF proficiency check is in addition to the CASR Part 61 flight review requirements (the flight reviews conducted by an appropriate CASA qualified rating holder).

The additional operational proficiency checks of JPA holders is conducted by the holder of an APF Jump Pilot Examiners (JPE) appointment, an APF approved senior pilot or a pilot approved by the APF NAO, these personnel being recognised as subject matter experts for this specialised flight activity. The APF's minimum flight experience requirements for a PJE are similar to those which are required to hold an examiner rating under CASR Part 61.

Proficiency checks are conducted in accordance with the evaluation checklist contained within Appendix E of the April 2020 Version of the APF JPM, which has been approved by CASA. The evaluation checklist including demonstrations of both normal and emergency procedures relevant to parachuting operations (including Engine Failure After Take Off, forced landings, engine failure at higher altitudes and safety briefings). [A copy of the evaluation checklist was enclosed for the coroner's information]

The frequency of the proficiency checks required for the conduct of JPA activities is every 12 months for JPA holders that operate non-complex aircraft with a capacity of 10 persons or less, or every six months for JPA holders that operate larger, more complex aircraft that have a capacity greater than 11 persons.

This additional proficiency testing conducted by the APF has ensured that required responses to aircraft emergency situations is 'front of mind'. The frequency of testing by the APF system may be seen to contribute to the positive outcomes in recent parachute aircraft incidents. Such incidents including an incident in January 2019 in a C-182 aircraft, registration VH-DGF at Tooradin, Victoria, and in August 2020 in a C-182 aircraft, registration VH-NQQ at Batchelor, Northern Territory, have resulted in no injuries to aircraft occupants due to sound handling by the respective pilots who were required to undertake emergency procedures in response to aircraft engine issues.

It is important to note that the systems that were in place at the time of the Caboolture accident and, more recently at the time of the coronial inquest, have been superseded. As CASA has undertaken updates to regulations (within CASR Part 149) to ensure an effective system exists, it does not have plans to issue an operational rating or endorsement under CASR Part 61 for specialist operations such as the operation of an aircraft in support of parachute descents.

A feature of the existing sport aviation self-administration scheme, and the new CASR Part 149 regime, is that they both permit the self-administering organisations to have a more streamlined change management process permitting updates to be made to operational requirements in a more timely manner. This change management process is subject to CASA's oversight, however the time taken by an ASAO to complete operational changes in response to noted or observed issues is much shorter than that required by the established change management process required by CASA for regulatory change.

CASA considers that the APF's developed system of oversight and proficiency testing is fit for purpose, particularly noting that parachute operations are conducted on the basis of informed participation requiring all participants to accept the risks involved in participating in the activity.

Recommendation (2)(c)

For the reasons explained above, CASA has no plans to create a parachute specific operational rating or endorsement under CASR Part 61. The general competency requirements contained within regulation 61.385 apply to all CASR Part 61 licence holders. All pilots engaged in parachute operations are subject to the competency requirements which are contained in the regulation, which include;

- (a) operating the aircraft's navigation and operating systems;
- (b) conducting all normal, abnormal and emergency flight procedures for the aircraft;
- (c) applying operating limitations;
- (d) weight and balance requirements;
- (e) applying aircraft performance data, including take-off and landing performance data, for the aircraft.

It is the responsibility of the pilot to ensure that they consider their own individual competency to operate a particular aircraft in a particular type of operation. However, as noted above, there is a substantial framework now in place to support the training, appointment and ongoing proficiency checking of pilots conducting parachuting operations under the auspices of the APF. CASA considers that this framework is adequate to ensure that all APF JPA holders are able to meet the competency requirements set out in regulation 61.385 as they pertain to the unique nature of parachuting operations.

Recommendation (2)(d)

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.

While (as was explained during the inquest) Australian Government policy is that parachuting operations will not be regulated in the same way or to the same extent as commercial charter or regular public transport operations, CASA has been undertaking further development of the processes required to ensure that a systematic approach is taken with regards to inspections of aircraft used in parachuting operations.

Currently aircraft used for parachute operations are subject to unscheduled, opportunity based, random, or targeted surveillance events as per the requirements of the CASA Surveillance Manual.

As part of CASA surveillance framework, CASA is required to ensure that all surveillance processes (including associated checklists and forms) are not only appropriately documented and published, but that, when deployed, they are also conducted in accordance with the documented procedures. Additionally, to maintain a meaningful surveillance history of an authorisation holder, data must be recorded and retained in a manner consistent with CASA's broader policies and requirements.

CASA has communicated with the APF and together we are working towards a collaborative approach to semi-regular inspections and surveillance of aircraft on the basis that surveillance should be conducted by appropriately qualified, trained and experienced personnel authorised and employed by both CASA and the APF who will work together to build an ongoing capability of APF employees to carry out the task being performed.

CASA is committed to supporting the development of the APF's capabilities (particularly the Safety and Training Officers – previously termed as Area Safety Officers) to further enhance the capabilities of the APF's safety team. CASA officers with relevant specialist knowledge, (parachute operations SME and Airworthiness Inspectors) will attend parachuting operations either as a planned (unannounced) surveillance activity or as an unplanned (reactively driven by incident data or other risk-based approach) surveillance event to ensure, amongst other regulatory and operational requirements, that aircraft are being maintained to the requirements specified in instrument CASA 06/16 (now CASA 61/19).

It is intended that new provisions in CASR Part 105 will "specifically prescribe the rules for sport parachuting from an aircraft", including "minimum standards for pilots involved in parachuting operations".

APPENDIX C: ANNUAL REPORT REQUIREMENTS

Public Governance, Performance and Accountability Rule 2014.

PGPA Rule reference	Part of report	Description	Requirement
17BE	<i>Contents of annual report</i>		
17BE(a)	Part 3	Details of the legislation establishing the body	Mandatory
17BE(b)(i)	Part 3	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 3	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 3	Directions given to the entity by the Minister under an Act or instrument during the reporting period	If applicable, mandatory
17BE(e)	Part 3	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 3	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

PGPA Rule reference	Part of report	Description	Requirement
17BE(j)	Part 3	Information on the accountable authority, or each member of the accountable authority, of the entity during the reporting period	Mandatory
17BE(k)	Part 3	Outline of the organisational structure of the entity (including any subsidiaries of the entity)	Mandatory
17BE(ka)	Part 7	Statistics on the entity's employees on an ongoing and non ongoing basis, including the following: (a) statistics on full time employees; (b) statistics on part time employees; (c) statistics on gender; (d) statistics on staff location	Mandatory
17BE(l)	Page 6, Part 7	Outline of the location (whether or not in Australia) of major activities or facilities of the entity	Mandatory
17BE(m)	Part 3	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 5	Any significant activities and changes that affected the operation or structure of the entity during the reporting period	If applicable, mandatory

PGPA Rule reference	Part of report	Description	Requirement
17BE(q)	Part 5	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 5	Particulars of any reports on the entity given by: (a) the Auditor General (other than a report under section 43 of the Act); or (b) a Parliamentary Committee; or (c) the Commonwealth Ombudsman; or (d) the Office of the Australian Information Commissioner	If applicable, mandatory
17BE(s)	Not applicable	An explanation of information not obtained from a subsidiary of the entity and the effect of not having the information on the annual report	If applicable, mandatory
17BE(t)	Part 5	Details of any indemnity that applied during the reporting period to the accountable authority, any member of the accountable authority or officer of the entity against a liability (including premiums paid, or agreed to be paid, for insurance against the authority, member or officer's liability for legal costs)	If applicable, mandatory
17BE(taa)	Part 3	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		
Legislative reference	Description	Part of report
<i>Civil Aviation Act 1988</i> , section 49	Ministerial directions and notices	Part 3
<i>Commonwealth Electoral Act 1918</i> , section 311A	Expenditure on advertising and market research	Part 5
<i>Environment Protection and Biodiversity Conservation Act 1999</i> , section 516A	Environmental matters	Part 5
<i>Work Health and Safety Act 2011</i> , Schedule 2, Part 4	Work health and safety matters	Part 4

ABBREVIATIONS LIST

AAT	Administrative Appeals Tribunal
APS	Australian Public Service
ASAP	Aviation Safety Advisory Panel
ASTRA	Australian Strategic Air Traffic Management Group
ATSB	Australian Transport Safety Bureau
AvSEF	Aviation State Engagement Forum
CASA	Civil Aviation Safety Authority
CATSIEN	CASA's Aboriginal and Torres Strait Islander Employee Network
COSCAP SEA	Cooperative Development of Operational Safety and Continuing Airworthiness Programme South East Asia
EAP	European Aviation Processing
EFA	Express Freighters Australia
GST	goods and services tax
ICAO	International Civil Aviation Organization
ICC	Industry Complaints Commissioner
LGBTIQA+	lesbian, gay, bisexual, transgender, gender diverse, intersex, queer, asexual and questioning
MEA	multi-engine aeroplane
PGPA Act	<i>Public Governance, Performance and Accountability Act 2013</i>
RAAF	Royal Australian Air Force
Rainbow Skies	CASA's LGBTIQA+ Network
RAMM	Regional Aviation Ministers' Meeting
RAP	Reconciliation Action Plan
WHS	work health and safety

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