



# **CASA Regulator Performance Framework**

## **Self-assessment report 2017–18**

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**Date**

November 2018

## Civil Aviation Safety Authority

The Civil Aviation Safety Authority (CASA), Australia's civil aviation safety regulator, is a corporate Commonwealth entity under the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and was established on 6 July 1995 under the *Civil Aviation Act 1988* (the Act). The main object of the Act is to establish a regulatory framework for maintaining, enhancing and promoting the safety of civil aviation, with particular emphasis on preventing aviation accidents and incidents. CASA's key role is to conduct the safety regulation of civil air operations in Australian territory and the operation of Australian aircraft outside Australian territory. CASA is also responsible for ensuring that Australian-administered airspace is administered and used safely.

### Regulator Performance Framework

The Australian Government released its Regulator Performance Framework (the Framework) as part of the 2014 Spring Repeal Day. Commonwealth regulators that administer, monitor or enforce regulation are required to implement the Framework.

The Framework articulates the Government's overarching expectations of regulator performance and comprises six outcomes based key performance indicators (KPIs) as listed below:

1. Regulators do not unnecessarily impede the efficient operation of regulated entities
2. Communication with regulated entities is clear, targeted and effective
3. Actions undertaken by regulators are proportionate to the regulatory risk being managed
4. Compliance and monitoring approaches are streamlined and coordinated
5. Regulators are open and transparent in their dealings with regulated entities
6. Regulators actively contribute to the continuous improvement of regulatory frameworks.

These KPIs are supported by measures of good regulatory performance to assist regulators in assessing their achievement of the KPIs. The Framework requires regulators to undertake a self-assessment against the KPIs. This self-assessment is then considered by CASA's external performance validation panel which comprises a representative from the Department of Infrastructure, Regional Development and Cities, a representative from a comparable regulator, a CASA representative and four industry representatives.

Further information on the regulator performance framework is available at:  
<https://www.cuttingredtape.gov.au/resources/rpf>.

A table titled 'Additional evidence of good regulatory behaviour' is shown at **Appendix A**.

## Performance assessment

CASA undertook a self-assessment of its performance against the Regulator Performance Framework in October 2018. A combination of quantitative and qualitative measures was used to assess CASA’s performance against the six mandatory KPIs.

The following sources were used in the compilation of CASA’s self-assessment report:

- completion and substantial completion of initiatives in the *CASA Corporate Plan 2017–18* which are reported in the *CASA Annual Report 2017–18*
- results summary from 2018 external *Measuring our Performance* survey
- relevant cameos sourced from *CASA Annual Report 2017–18*.

Service delivery metrics for a number of regulatory services can be accessed on the CASA website from <https://www.casa.gov.au/service-delivery-statistics>

## CASA’s self-assessment ratings against the KPIs

The self-assessed rating of overall performance against each of the KPI’s is outlined below:

Regulator Performance Framework KPIs	Rating
1. Regulators do not unnecessarily impede the efficient operation of regulated entities	Excellent Very good Good <b>Satisfactory</b> Developing Unsatisfactory
2. Communication with regulated entities is clear, targeted and effective	Excellent Very good <b>Good</b> Satisfactory Developing Unsatisfactory
3. Actions undertaken by regulators are proportionate to the regulatory risk being managed	Excellent Very good <b>Good</b> Satisfactory Developing Unsatisfactory
4. Compliance and monitoring approaches are streamlined and coordinated	Excellent Very good Good <b>Satisfactory</b> Developing Unsatisfactory
5. Regulators are open and transparent in their dealings with regulated entities	Excellent Very good <b>Good</b> Satisfactory Developing Unsatisfactory
6. Regulators actively contribute to the continuous improvement of regulatory frameworks.	Excellent Very good <b>Good</b>  Satisfactory Developing Unsatisfactory

## Self-assessment validation by external panel

In 2016, CASA established an External Performance Validation Panel to validate its Regulator Performance Framework Self-Assessment results.

The Panel's membership comprises senior representatives from the following organisations:

- Department of Infrastructure, Regional Development and Cities (Chair)
- Australian Maritime Safety Authority
- Civil Aviation Safety Authority (CASA)
- Aircraft Owners and Pilots Association of Australia
- Regional Aviation Association of Australia
- Qantas Group
- Virgin Australia.

The Panel has examined CASA's ratings against each of the six regulatory performance framework KPI's and provided the following comments.

The ratings for each of the KPI's are considered reasonable assessments (noting the dissenting opinion below), on the basis of the available quantitative and qualitative evidence provided by CASA.

The Panel is pleased to see the improved performance against the sixth KPI covering CASA's role in the continuous improvement of regulatory frameworks.

The Panel acknowledges the improved results arising out of the stakeholder survey of CASA's service provision and relationship with industry, held earlier this year, form part of the evidence used by CASA to support the 2017–18 KPI ratings. It did note that a better comparison would have been achieved by using the same respondents as in the previous survey but acknowledged the anonymous nature of the survey undertaken by the independent consultant did not enable such a comparison.

The Panel suggests the next stakeholder survey could be improved by specifically seeking stakeholder feedback on the six KPI's and in better identifying which industry sectors and associations are represented by stakeholders who completed the survey. This will enable CASA to identify any rating differences across sectors and associations, and help CASA work with industry on specific areas for future improvement.

The Panel expressed concern over the level of capacity shortfall identified in processing industry applications which appear largely related to RPAS operations and encouraged CASA to continue with steps to address this shortfall.

The Panel also encouraged CASA to continue to clearly publicise measures that had been taken to give effect to the CASA regulatory philosophy at the regional level and to improve national consistency in decision making and interpretation of regulations.

In this regard the Panel suggested case studies or annual report cameos of the regulatory philosophy being put into practice should be considered in future CASA reporting, to demonstrate that commitments by senior management are being given effect to by middle managers and operational staff, an issue also raised in the recent stakeholder survey.

The Panel noted that CASA had made good progress in completing its Sector Risk Profiles (SRP) and that this was one of the measures used in assessing KPI 1. The Panel suggested CASA formally link the SRPs to the development of new regulations and to regulatory Post Implementation Reviews (PIRs) and use this as an additional measure for assessing KPI 1.

The Panel noted that the AOPA panel member rated CASA's performance on four of the KPI's (1,2, 3 and 5) as "unsatisfactory", "satisfactory" for KPI 4 and "developing" for KPI 5. The issues raised by AOPA in reaching this opinion in relation to general aviation operations, private pilot medicals and engagement with the general aviation industry through forums such as the Aviation Safety Advisory Panel, are a matter for CASA.

## Results from 2018 *Measuring our Performance* survey

As it had been more than two years since CASA undertook an initial stakeholder survey in 2015, CASA engaged Colmar Brunton in January 2018 to conduct a second stakeholder relationship survey, *Measuring our Performance*.

The 2018 survey explored current stakeholder perceptions of CASA's service provision and relationship with industry, and measured changes in perceptions since the 2015 benchmark.

The survey involved both qualitative and quantitative research methodologies:

- In-depth interviews were conducted with industry participants, including targeted stakeholders and a broad cross-section of industry participants.
- An online survey was sent to a random sample of 11,000 industry participants representing a broad cross-section of the aviation industry.

The survey took place from 18 April to 13 June 2018. A total of 1,168 stakeholders completed the online survey and 34 in-depth interviews were conducted.

Work has commenced on drafting an action plan to respond to the survey findings.

A high-level report on the survey was presented to the CASA Board at the end of June 2018. CASA's performance overall improved from 4.2 out of 10 in 2015 to 6.2 out of 10 in 2018. Stakeholders who were 'satisfied or very satisfied' rose from 25 per cent in 2015 to 53 per cent in 2018 while the 'dissatisfied to very dissatisfied' category of respondents fell from 46 per cent in 2015 to 20 per cent in 2018.

What has been pleasing for CASA is that there were increased scores across all metrics and the responses indicated that CASA is increasingly seen as working collaboratively and transparently with industry. There was also praise for CASA's streamlined approach to consultation through the establishment of the Aviation Safety Advisory Panel (ASAP) and associated Technical Working Groups. CASA recognises that it still has work to do with 25 per cent of respondents providing a 'neutral' response.

Private flying respondents were generally less positive than other respondents but, when pressed, it appeared responses were not based on more recent interactions with CASA.

Other responses indicated that greater consistency in rule interpretation and enforcement was sought from industry along with more informal contact from CASA's staff when opportunities arose outside of the formal audit context.

### **KPI 1 CASA does not unnecessarily impede the efficient operation of regulated entities**

#### **Rationale**

This assessment includes a measure of the progress of corporate initiatives contributing to regulation development and implementation aimed at regulatory reform and service delivery initiatives which reduce the compliance costs for industry.

The conformance to regulatory reform requirements such as Preliminary Impact Assessments and Regulatory Impact Statements submitted to the Office of Best Practice Regulation and assessed as adequate, combined with consultation documents for rule-making, provide an indication that regulatory development processes do not impede the efficient operation of regulation entities.

The number of requests for regulatory services that met service delivery targets also provides an indication that regulated entities can plan the submission of their requests based on the service delivery targets.

### Summary of 2017–18 performance against KPI 1

CASA performed well in terms of the completion of activities in Goal 1 identified in the 2017 Corporate Plan (which is aligned with KPI 1) with 75 per cent of relevant activities being completed or substantially completed. CASA’s regulatory program also did not increase regulatory burden in 2017–18.

Self-assessment = **Satisfactory**

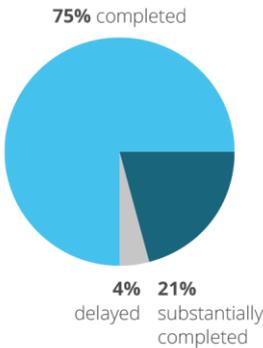
### Results from KPI specific performance measures

KPI	Performance measure	Comments
KPI 1 – Regulators do not unnecessarily impede the efficient operation of regulated entities	<p>2a. New regulations are developed using a stakeholder engagement process and supported by Regulation Impact Statements to demonstrate net benefits from new regulations</p> <p>2b. Applications for authorisations submitted to the Client Services Centre meet service delivery standards</p>	<p>In 2017–18, eight regulatory changes were made and two changes required further assessment. The remaining changes did not require further review but were consistent with CASA’s regulatory philosophy.</p> <p>CASA follows Office of Best Practice Regulation guidelines when amending regulations. Industry consultation processes improved in 2017–18, through the development of a consultation hub and adoption of the practice of seeking industry letters of support through the Aviation Safety Advisory Panel prior to making major regulatory changes. There was no net change in regulatory burden.</p> <p>Growth across all lines of service in 2017–18 indicated that there was a sustained difference between demand for client services and CASA’s capacity to deliver, resulting in a capacity shortfall of between 25% and 30%. Factors contributing to the shortfall included staff unavailability due to turnover, redirection of resources to digital upgrade projects, increases in new service types, and increased workload arising from triennial reporting of aircraft registration data.</p> <p>The total number of industry applications on hand with CASA at 30 June 2018 was over 9,000 including large increases in applications related to remotely piloted aircraft systems (RPAS). CASA is continuing to implement measures to address the capacity shortfall.</p>

### CASA Corporate Plan 2017–18

The *CASA Corporate Plan 2017–18* contains 69 performance measures against three corporate goals.

CASA’s goal 1 includes 28 performance measures and is broadly aligned to KPI 1. A key summary of CASA’s performance against Goal 1 is outlined below:

Goal 1	Measures/result	Key achievements								
<p>Maintain and enhance a fair, effective and efficient aviation safety regulation system</p>	<p>Of 28 performance measures:</p>  <table border="1"> <caption>Performance Measures Data</caption> <thead> <tr> <th>Category</th> <th>Percentage</th> </tr> </thead> <tbody> <tr> <td>Completed</td> <td>75%</td> </tr> <tr> <td>Substantially completed</td> <td>21%</td> </tr> <tr> <td>Delayed</td> <td>4%</td> </tr> </tbody> </table>	Category	Percentage	Completed	75%	Substantially completed	21%	Delayed	4%	<ul style="list-style-type: none"> <li>Significant changes to aviation medical certification were introduced, including delegation to designated aviation medical examiners (DAMEs) of the authority to issue Class 2 medical certificates; provision for pilots to conduct flying training and non-passenger carrying commercial operations under a Class 2 medical certificate instead of a Class 1 medical certificate; and a general exemption giving effect to a new Basic Class 2 medical certificate assessed to the Austroads standard for commercial driver licences.</li> <li>CASA's sector risk profiling methodology was applied to develop risk profiles for seven sectors: aerial mustering, aerodromes, small aeroplane transport, large aeroplane (exceeding 97 seats) transport, aeroplane medical transport, helicopter medical transport, and commercial balloon. The Aviation Safety Committee directed that campaign surveillance be conducted in the small aeroplane transport and commercial balloon sectors.</li> <li>Following the International Civil Aviation Organization (ICAO) coordinated validation mission, Australia's effective implementation rate increased from 85% to 95%, increasing our world standing in relation to compliance with ICAO standards and recommendations practices from 44th to sixth.</li> </ul>
Category	Percentage									
Completed	75%									
Substantially completed	21%									
Delayed	4%									

Source: *CASA Annual Report 2017–18*

## KPI 2 Communication with regulated entities is clear, targeted and effective

### Rationale

Positive feedback from the industry on CASA's interaction through forums and safety seminars is an indicator of the effectiveness of stakeholder engagement. The data includes feedback from CASA's aviation safety seminars along with media and website metrics.

Progress on corporate initiatives and related survey data are also taken into account. An article in *Australian Flying* online has also been included.

### Summary of 2017–18 performance against KPI 2

A range of communication plans were developed and implemented in support of specific business initiatives and outcomes. This included safety-focused external communication campaigns on issues such as cabin safety; drone safety awareness, including airspace restrictions during the Commonwealth Games and the ASEAN–Australia Special Summit; and changes to CASA surveillance.

Drone safety awareness activities for the Commonwealth Games included tailored maps on the CASA website highlighting the restrictions in place during the games; social media advertising and targeted advertising at the Brisbane and Gold Coast airports, hotels, registered clubs, and shopping centres; and 30,000 postcards (promoting the tagline ‘Play it safe these games, leave your drone at home’) distributed via backpacker and hotel accommodation. Targeted drone-related advertising was also undertaken in cinemas and on ferries in Sydney to support the ASEAN–Australia Special Summit drone restrictions.

Implementation of the ongoing sport aviation communication strategy included distribution of the *Close Calls Sport Aviation Special 2018* to the nine self-administering sport organisations.

CASA also supported the Australian Transport Safety Bureau and the Australian Helicopter Industry Association in delivering the ‘Don’t push it, land it’ safety initiative, encouraging helicopter pilots to conduct a precautionary landing. The initiative was launched at Rotortech in May 2018.

Communications to industry and staff were developed and implemented in support of the Service Delivery Transformation program, in readiness for the release of a new aviation reference number application portal and related forms in July 2018.

Significant industry and staff communication was also undertaken in regard to changes to aviation medicine. This included partnering with medical associations to educate the broader medical professional community about the changes.

CASA’s aviation safety seminars, held in locations around Australia, continue to receive high satisfaction rankings from attendees.

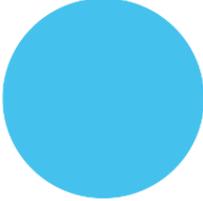
Self-assessment = **Good**

### Results from KPI specific performance measures

KPI	Performance measure	Comments
KPI 2 - Communication with regulated entities is clear, targeted and effective	2a. Stakeholder feedback mechanisms maintained through the use of SCC* forums, formal public consultation processes and clear complaints processes (*now ASAP)	<p>CASA’s feedback mechanisms include industry forums, public consultations, complaint processes, and social media.</p> <p>A range of communication plans have been developed and implemented in support of specific safety initiatives and outcomes.</p> <p>Usage statistics are reviewed regularly for <i>CASAflyer</i>, CASA’s internal electronic magazine; <i>Horace Extra</i>, CASA’s internal email newsletter; and <i>casa.gov.au</i></p> <p>Social media statistics are also reviewed regularly. A total of 3,537 stories were monitored during the reporting period. Of those, 81% were neutral in tone towards CASA, 2% were positive, 12 % were mixed and 5% were negative. Negative stories are trending below the long-term average of 6%.</p> <p>Feedback from external forums was positive. Survey results indicated that 95% of AvSafety seminar attendees understood the role of CASA’s aviation safety advisors and their positive impact on safety.</p> <p>CASA maintains constructive relationships with media representatives.</p>

### CASA Corporate Plan 2017–18

CASA’s goal 2 encompassing stakeholder engagement is broadly aligned to KPI 2. The goal includes 22 of the Corporate Plan’s 69 performance measures. A key summary of CASA’s performance against Goal 2 is outlined below:

Goal 2	Measures/result	Key achievements
<p>Collaborative engagement with the wider aviation community to promote and support a positive safety culture</p>	<p>Of 22 performance measures:</p> <div style="text-align: center;"> <p>100% completed</p>  </div>	<ul style="list-style-type: none"> <li>• The Aviation Safety Advisory Panel (ASAP) was established in July 2017 and held three meetings. Four technical working groups were convened to provide the ASAP with specialist advice from industry representatives on policy and regulations, enabling advice to be provided to CASA.</li> <li>• A major communications initiative continued to increase awareness of the safety rules for remotely piloted aircraft systems and build public confidence in CASA’s management of drones. In October 2017, CASA launched <a href="http://www.droneflyer.gov.au">www.droneflyer.gov.au</a>, a website specifically designed for recreational drone users. CASA’s tweet promoting the website reached almost 1.5 million people.</li> <li>• CASA hosted the 20th United States Federal Aviation Administration Asia-Pacific Bilateral Partners Dialogue Meeting in Canberra, with representation from more than 40 government and industry organisations. The plenary and side meetings strengthened regulatory ties and provided a valuable opportunity to share expertise on emerging aviation matters such as engineering and airworthiness certification.</li> </ul>

Source: *CASA Annual Report 2017–18*

### Qualitative evidence

#### Case study – Australian Flying online, ‘Survey boosts CASA approval rating’ – 19 October 2018

Survey results released today indicate the aviation industry is more satisfied with CASA than they were three years ago. The overall satisfaction rating for the regulator as measured by consultants Colmar Brunton has increased to 6.2 out of 10 compared to the 4.2 result in the 2015 survey.

CASA CEO and Director of Aviation Safety Shane Carmody said the results were very positive. “The survey shows CASA has come a long way in a relatively short time,” he said. “On all questions the rankings of CASA’s performance provided by people across the aviation community have improved markedly on the 2015 survey. “I would like to thank everyone in CASA for contributing to this improved performance and assure the aviation community we will continue to strive to do even better. "There is certainly no room for complacency. The survey found there is more work to be done to make regulations simpler, clearer and more practical and to deliver even more consultation.” CASA’s service delivery rating has risen to 6.2 compared to 3.8 in 2015, satisfaction with audits and compliance is up to 6.3 from 4.8 and satisfaction with development of regulations is up to 5.5 from 3.0. All key ratings rose as a result of the 2018 survey, which canvassed more than 1,100 aviation industry participants. Significantly, the industry marked CASA’s inspectors much higher than they did in 2015 when it came to understanding regulations and applying them consistently, one of the key issues that eroded the aviation communities confidence in the regulator.

### KPI 3 Actions undertaken by CASA are proportionate to the regulatory risk being managed

#### Rationale

This assessment measures compliance activities undertaken to support the safe operation of air services for the Australian public by regularly reassessing regulatory risk. Compliance and enforcement actions are amended to address new and evolving regulatory threats and a risk-based approach is adopted to detect potential non-compliance.

Regulatory reform outcomes, safety assurance (compliance) enforcement actions, applications lodged by CASA in the Administrative Appeals Tribunal, a cameo from the 2017–18 annual report, and a case study have all been taken into account in measuring KPI 3.

#### Summary of 2017–18 performance against KPI 3

While there is a degree of subjectivity in measuring performance against this KPI, as the aviation safety regulator, CASA makes tens of thousands of administrative decisions every year with only a very small percentage ever disputed and escalated through an appeals process. In the first instance, CASA is far more likely to use enforcement actions such as infringement notices or counselling rather than prosecution. Of the 80 complaints finalised in 2017-18 just two were upheld on the basis that CASA failed to act proportionately.

Industry has welcomed the development of sector risk profiles for: aerial mustering, aerodromes, small aeroplane transport, large aeroplane (exceeding 97 seats) transport, aeroplane medical transport, helicopter medical transport, and commercial balloon. The next step in measuring performance, is how the profiles are reflected in future regulatory changes.

Self-assessment = **Good**

#### Results from KPI specific performance measures

KPI	Performance measure	Comments
KPI 3 - Actions undertaken by regulators are proportionate to the regulatory risk being managed	<p>3a. Regulatory burden is only increased with a clear safety case</p> <p>3b. Enforcement action is proportionate to the infringement identified</p> <p>3c. Number of complaints where CASA has acted disproportionately to the risk being managed</p>	<p>There were no regulatory changes that increased the regulatory burden in 2017–18.</p> <p>CASA issued 45 aviation infringement notices during 2017–18. They were issued for RPAS-related offences under CASR Part 101, and the number of notices reflected the high volume of complaints CASA received in relation to RPAS.</p> <p>As in previous years, the majority of Administrative Appeals Tribunal applications arose from aviation medical certificate matters. Most of the cases were able to be settled prior to hearing. CASA has been successful in all aviation medical matters which have proceeded to hearing in recent times, including during the fourth quarter of 2017–18 when two decisions were handed down affirming CASA's decision.</p> <p>Of the 80 complaints finalised in 2017–18, two were upheld on the basis that CASA had failed to act proportionately. One related to failure to apply the regulatory philosophy when assessing the date of expiry of a medical certificate, and the other related to a statement from CASA that a site visit was required to assess a certificate of approval variation, when a desktop assessment would have been sufficient.</p>

## Explanation of CASA’s enforcement process and actions

The coordinated enforcement process provides CASA’s decision-makers with the benefit of legal, regulatory and technical and/or operational input when considering action that might be taken as a result of a breach of the civil aviation legislation.

Results of this process may include compliance-related action, enforcement action, or both. This may involve administrative action, which could result in a suspension, variation or cancellation of a civil aviation authorisation.

It may also include a suspension under section 30DC of the *Civil Aviation Act 1988* where there is a serious and imminent risk to safety. Alternatively, or in combination with such action, we may issue aviation infringement notices attracting a small pecuniary fine or refer matters to the Commonwealth Director of Public Prosecutions.

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

Table 16 shows compliance-related actions over the past five financial years.

**Table 16** Compliance-related actions, 2013–14 to 2017–18

Action	2013–14	2014–15	2015–16	2016–17	2017–18
Enforceable voluntary undertakings	0	0	1	0	1
Counselling	56	17	39	68	106

Source: *CASA Annual Report 2017–18* (page 124)

### **Enforcement decisions published**

*CASA's decisions to suspend or cancel certain authorisations are now published on the CASA website, [www.casa.gov.au](http://www.casa.gov.au).*

*The publication of this information is in line with CASA's regulatory philosophy, under which CASA is committed to communicating fully and meaningfully with its stakeholders.*

*Enforcement-related decision-making to vary, suspend or cancel an authorisation is always safety based, with a view to protecting the public and other airspace users from conduct that creates unacceptable risks to air safety.*

*Therefore, there is a legitimate public interest in CASA's enforcement-related actions. Publishing information about those actions allows the travelling public and the wider Australian community to see that we act in a timely, fair and proportionate way to deal with industry participants who are unwilling or unable to comply with the safety rules.*

*The information published includes a summary of recent enforcement decisions, the authorisations affected by the decisions, and brief summaries of the reasons for the decisions.*

*Other published information includes whether a decision is subject to an automatic stay under the Civil Aviation Act 1988, whether the authorisation holder has sought a review of the decision in an external forum, such as the Administrative Appeals Tribunal, and the status of those proceedings.*

*In keeping with CASA's obligations under the Privacy Act 1988, personal information concerning individuals is not included.*

*Because all of CASA's enforcement-related actions are subject to review, those decisions may be varied, affirmed, set aside or returned to CASA for reconsideration.*

*Recent enforcement decisions are available on the enforcement action section of the website at [www.casa.gov.au/enforcement-action/standard-page/decisions-suspensions-and-cancellations](http://www.casa.gov.au/enforcement-action/standard-page/decisions-suspensions-and-cancellations).*

*Under the Civil Aviation Act, CASA is required to publish details of any enforceable voluntary undertakings (EVUs) entered into with CASA by authorisation holders.*

*EVUs may be used where there is evidence of a breach or potential breach of the aviation law that may justify administrative or other action, but remedial action by the authorisation holder is considered to be in the best interests of aviation safety.*

*Details of EVUs can be found on the website at [www.casa.gov.au/standard-page/enforceable-voluntary-undertakings](http://www.casa.gov.au/standard-page/enforceable-voluntary-undertakings).*

Source: CASA Annual Report 2017–18 cameo (page 99)

### **Qualitative evidence**

#### **Case study – Coordinated enforcement process**

In keeping with Principle 9 of the CASA regulatory philosophy 'CASA demonstrates proportionality and discretion in regulatory decision making and exercises its powers in accordance with the principles of procedural fairness and natural justice', CASA uses the coordinated enforcement process to seek optimal safety outcomes in the exercise of its regulatory powers. Adhering to Principle 9 helps CASA to ensure that its actions and responses are proportional to the circumstances.

## KPI 4 Compliance and monitoring approaches are streamlined and coordinated

### Rationale

This assessment considers information on the progress of corporate initiatives relating to streamlined and coordinated approaches for compliance and monitoring and the stakeholder survey.

Additionally, future assessments will also take into account whether our approaches to monitoring and compliance demonstrate they are risk-based and take into account the circumstances and operational needs of regulated entities. This work is underway.

Metrics relating to the level of compliance with surveillance procedures will be used to assess whether the approach was streamlined and coordinated.

To support its assessment against this KPI, CASA has used KPI specific performance measures and case studies.

### Summary of 2017–18 performance against KPI 4

CASA's main source of data in relation to compliance with surveillance reporting procedures related to timeliness, where CASA met its target 67 per cent of the time.

However in 2017–18 only 44 per cent of authorisation holder performance indicator (AHPI) assessments had been completed within the required timeframe largely due to challenges caused by the large volume of RPAS-related applications.

Since February 2018, quality assurance reviews have been undertaken by CASA's Governance Branch on the conduct of industry surveillance, to provide assurance to management that surveillance activities are conducted consistently and comply with surveillance policies and procedures. These reviews are typically either an off-site desktop review of records, or an on-site observation review of work being conducted.

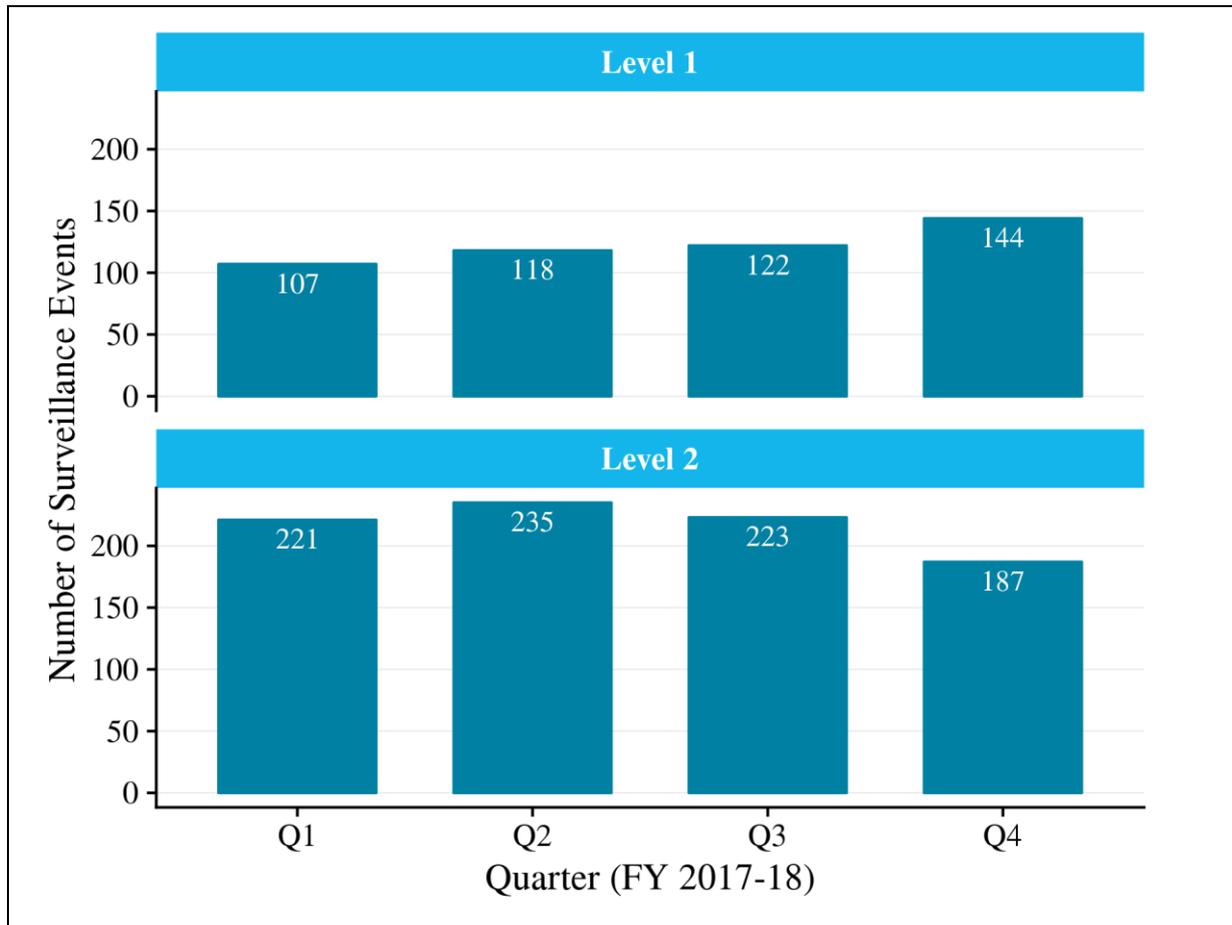
From the *Measuring our Performance* survey the category of 'Satisfaction with how CASA performs its audit and compliance function' improved from 4.8 in 2015 to 6.3 in 2018.

Self-assessment = **Satisfactory**

### Results from KPI specific performance measures

KPI	Performance measure	Comments
KPI 4 - Compliance and monitoring approaches are streamlined and coordinated	4b. Oversight of regulated entities is undertaken in accordance with the CASA Surveillance Manual	<p>In 2017–18:</p> <ul style="list-style-type: none"> <li>on average, 67% of surveillance reports were issued within the 20-day period stipulated in the manual</li> <li>44% of authorisation holder performance indicator assessments, including for RPAS operators, were completed within the past six months; the result increases to 70% if RPAS operators are excluded.</li> </ul>

## Surveillance events 2017–18



### Types of surveillance

#### **Level 1 – Surveillance event**

This level of surveillance is a structured, forward-planned, larger-type, surveillance event and covers:

- Systems audits
- Health checks
- Post-authorisation reviews.

#### **Systems audits**

A systems audit is an audit based on a defined scope developed to take into account the specific activities conducted by an authorisation holder ensuring their compliance with regulations and the authorisation holder's systems which are associated with the activities surveilled.

#### **Health checks**

This type of surveillance event is a reduced version of a systems audit and is usually of a shorter duration. The scope for a health check is based on a mandatory set of elements that over time have demonstrated significant non-compliance and/or poor safety risk mitigation across a specific aviation sector.

## Post-authorisation reviews

Once an initial authorisation has been issued, a post-authorisation review must be conducted to ensure entry control standards are being maintained. Depending on the type of authorisation issued, a post-authorisation review must be conducted within six to 15 months following the initial issue.

### **Level 2 – Surveillance event**

#### **Operational checks**

This type of surveillance event relates to less formal interactions with authorisation holders and may be in the form of checklist-based compliance and product checks of a specific section of its systems. The operational check frequently is used to verify the process in practice of the system being assessed. They are significantly shorter in duration, are generally compliance assessments and are usually, but not always, scheduled through the normal surveillance planning and approval process based on areas of concern identified by an authorisation management team.

Level 2 surveillance events include the following surveillance types:

#### **Operational checks**

- ramp check – inspection of an aircraft, including documentation, equipment and procedures associated with that operation
- site inspection – inspection of a particular site associated with an authorisation holder's operation
- en-route check – inspection where the inspector travels on the flight and observes the actions of the flight crew
- manual review – a review undertaken of an authorisation holder's operating manuals
- key personnel interview – an interview (phone or face to face) with a person with a key role in an authorisation holder's operation during which matters of significance are discussed which can be constituted as surveillance
- safety meeting – meeting with an authorisation holder involving significant safety outcomes which can be considered as surveillance.

#### **Unscheduled**

- occurrence investigation request: desktop – a review of all associated information and questionnaire results relating to the follow up of an occurrence event
- occurrence investigation request: site – an on-site inspection of any location associated with an occurrence event that may also include a review of associated information and questionnaire results
- request from Executive – an inspection that is the result of a specific direction from a member of the CASA executive group

#### **Qualitative evidence**

##### **Case study – Information available following audit exit meetings**

CASA's audit exit meeting processes allow aggregated data for the sector to be made available to operators immediately following an audit. This provides operators with access to timely and meaningful data and helps to ensure benefit is gained by the operator being able to see where they are placed in relation to the rest of the sector.

##### **Case study – Utilising IATA Operational Safety Audit reports for enhanced safety outcomes**

CASA and the International Air Transport Association (IATA) have arrangements in place for CASA to obtain IATA Operational Safety Audit (IOSA) reports on foreign air carriers operating into Australia, augmenting existing audit and surveillance mechanisms. The memorandum of understanding was signed on 24 July 2017.

## KPI 5 CASA is open and transparent in its dealings with regulated entities

### Rationale

This performance area is assessed through the completion of corporate initiatives and *Measuring our Performance* survey in addition to a number of performance metrics. The metrics identified for this KPI assess CASA's effort to maintain open and transparent dealings through publishing all relevant material on the CASA website, consulting on proposed new or amended regulations and conducting forums in accordance with agreed terms of reference.

Under the category of 'Satisfaction with CASA contact' in the stakeholder survey, there was a mean result of 7.5 for respondents who found CASA helpful and 'on Satisfaction with CASA's ongoing dialogue with industry', CASA moved from 3.7 in 2015 to 5.6 in 2018.

To support its assessment against this KPI, CASA has used KPI specific performance measures and an explanation of ongoing transparency through its annual reporting approach.

### Summary of 2017–18 performance against KPI 5

Evidence that supports transparency in dealing with regulated entities includes a range of documents on CASA processes, guidance and manuals available on CASA's website.

CASA also provides a statement of reasons when it makes unfavourable decisions and ensures that industry meetings have an agenda, minutes and actions. In 2017-18 data also indicates no complaints against CASA were upheld in relation to lack of transparency.

As the work of the Aviation Safety Advisory Panel (ASAP) and Technical Working Groups (TWGs) continues to mature, panel members can provide their representative members and bodies with additional context and background to CASA's decision making.

The ASAP and TWGs have been acknowledged by industry as being open and transparent in their operation. The TWGs are appointed by the ASAP and provide an opportunity for much broader representation in the consultative process by sectors of industry that are expert in their field. Although there have been differing views in the past between sectors, the TWGs have shown strong collaboration and a commitment to aviation safety and practical outcomes.

During the first half of 2018 the ASAP and TWGs reviewed the draft flight operations regulations and a public consultation process was also undertaken. The ASAP and a TWG also commenced work on reviewing the licensing scheme for aircraft engineers.

CASA continues to strive for transparency in its corporate reporting and has consistently included information about its key achievements and initiatives which have not been progressed and the factors behind the delay, deferral or discontinuation of these initiatives.

Self-assessment = **Good**

## Results from KPI specific measures

KPI	Performance measure	Comments
KPI 5 - Regulators are open and transparent in their dealings with regulated entities	<p>5a. Processes, guidance and applicable policy manuals (standards, enforcement and surveillance) are available on the website</p> <p>5b. Unfavourable decisions are accompanied by a statement of reasons where required under legislation or other authority and are published on the CASA website</p> <p>5c. Industry forums are conducted in an open and transparent manner</p> <p>5d. Regulations are subject to public consultation</p> <p>5e. Number of complaints about CASA not being open and transparent</p> <p>5f. Authorisations are only refused, amended, suspended or cancelled by the Client Services Centre when there is a regulatory or safety imperative</p>	<p>Processes, guidance and applicable policy manuals are available on the CASA website. CASA is undertaking a website content review to archive dated and inaccurate content, as well as content that is infrequently accessed. Another large number of pages have been reviewed as a result of the Service Delivery Transformation program and changes to aviation medicine. Processes have been put in place to ensure that all new documents meet accessibility guidelines.</p> <p>The Industry Complaints Commissioner advised that, of the 80 complaints received during 2017–18, two related to CASA's failure to act openly or transparently. The subjects of those complaints were a failure to apply the regulatory philosophy when assessing the date of expiry of a medical certificate; and a statement from CASA that a site visit was required to assess a certificate of approval variation, when a desktop assessment would have sufficed.</p> <p>Public consultation was conducted on all regulation changes that required it.</p> <p>CASA accepted the majority of applications for authorisations; 1.7% were refused due to safety and regulatory imperatives.</p>

### **CASA Corporate Plan 2017–18**

The *CASA Corporate Plan 2017–18* contains 69 performance measures against three corporate goals. Goal 2 encompassing stakeholder engagement is broadly aligned to KPI 5. A key summary of CASA's performance against goal 2 is outlined on page 9 of this report including that all 22 measures in place against this goal were assessed as on track or completed.

## **KPI 6 CASA actively contributes to the continuous improvement of the aviation safety regulatory framework**

### **Rationale**

A sound aviation safety regulatory framework underpins an acceptable level of safety performance and helps ensure that the safety system is monitored and reviewed to maintain and enhance the level of safety performance in a cost-effective way. The extent to which the safety regulatory framework is improved is based on International Civil Aviation Organization (ICAO) Standards and Recommended Practices, post-implementation reviews of regulations and regulatory development projects to address emerging risks in the aviation safety system.

To support its assessment against this KPI, CASA has used specific performance measures, ratings from aviation safety advisor seminars, performance against the *CASA Corporate Plan 2017–18*, and a cameo from the *CASA Annual Report 2017–18*.

## Summary of 2017–18 performance against KPI 6

CASA has a program of work and processes in place that support continuous improvement of the aviation safety regulatory framework. This is reflected in the completion of activities highlighted in the corporate plan; the ongoing and heightened level of activity improving compliance with international standards and processes that are in place to receive feedback from and engage with industry representatives.

A particular highlight in 2017-18 was the outcome of Australia's audit by the ICAO coordinated validation mission, which saw Australia move in the world rankings from 44th to 6<sup>th</sup> in terms of effective implementation of international aviation safety requirements.

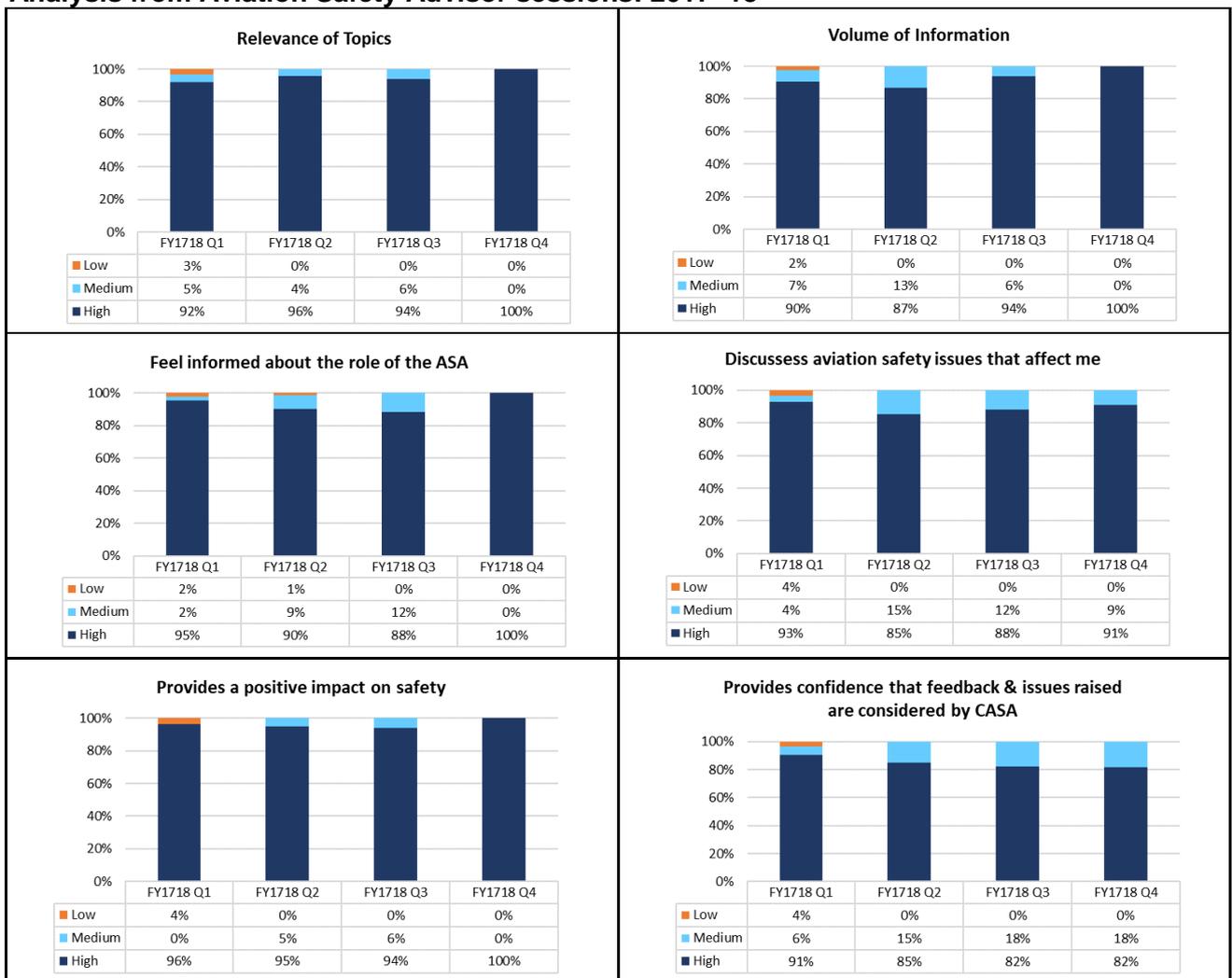
Self-assessment = **Good** ↑

## Results from KPI specific performance measures

KPI	Performance measure	Comments
KPI 6 - Regulators actively contribute to the continuous improvement of regulatory frameworks	<p>6a. CASA has a program of initiatives in place to improve the aviation safety regulatory framework</p> <p>6b. CASA standards meet ICAO minimum standards – for Australian applicable standards</p>	<p>CASA's priority for improvement of the aviation safety regulatory framework is to complete the regulation reform program.</p> <p>CASA has initiated changes to aviation medicine and flight crew licensing via exemptions ahead of legislative changes. CASA has a process in place to receive feedback from industry, CASA staff, the International Civil Aviation Organization (ICAO), the Australian Transport Safety Bureau and the public.</p> <p>CASA has made, but not yet commenced, legislative changes regarding fuel carriage and associated requirements.</p> <p>CASA has implemented a process in relation to required performance standards for communication and surveillance in foreign airspace for Australian operators.</p> <p>CASA has processes in place to record and consider industry proposals for regulatory change. The processes will improve over time to capture more of the informal feedback from industry.</p> <p>In 2017–18, CASA received 41 proposals for regulatory change, of which four were industry initiated, 19 were ICAO initiated and 18 were internally generated, and 75% were assessed on time.</p> <p>Survey data collected from participants in CASA's information sessions for aviation safety advisors indicated a high satisfaction rating. The analysis suggests that over 80% of participants provided a satisfaction rating in the 8–10 range (1 being the lowest and 10 the highest) for several categories. A small number of low satisfaction responses were recorded.</p> <p>The measure of Australia's alignment with ICAO Standards and Recommended Practices (SARPs):</p>

KPI	Performance measure	Comments
		<p>There are currently a total of 11,244 SARPs across the 19 annexes to the Chicago Convention (as at 29 June 2018). Under Article 38 of the Convention, States are obliged to adopt standards and where not adopting standards are required to lodge differences according to the appropriate category.</p> <p>Category A – Contracting State’s requirement is more exacting or exceeds a SARP</p> <p>Category B – Contracting State’s requirement is different in character or the Contracting State has established other means of compliance.</p> <p>Category C – Contracting State’s requirement is less protective, partially implemented or not implemented.</p>

### Analysis from Aviation Safety Advisor sessions: 2017–18



## CASA Corporate Plan 2017–18

The performance information for CASA's goal 1 in the corporate plan is also broadly aligned to KPI 6. Against this goal which had 28 performance measures, 75 per cent of performance measures were on track or completed, 21 per cent substantially completed and 4 per cent delayed. The key achievements are listed in the table for KPI 1 on page 7 of this report.

### **Australia moves up in world rankings**

*Safety oversight audits and follow-up coordinated validation missions are key parts of the role of the International Civil Aviation Organization (ICAO) in ensuring that its Member States are effectively carrying out their safety oversight responsibilities.*

*Results from the audits allow ICAO to assess the safety oversight capabilities of Member States, ensure the implementation of safety-related standards and recommended practices, and contribute to an ongoing analysis of aviation safety.*

*The audits also determine the status of Member States' implementation of all safety-relevant ICAO standards and recommended practices (found in 17 of the 19 ICAO annexes), and associated procedures, guidance material and best safety practices.*

*Coordinated validation missions are undertaken for ICAO to check what action has been taken or progress has been made to address safety deficiencies identified in previous audits.*

*From 9 to 13 October 2017, ICAO conducted its coordinated validation mission in Australia to evaluate the progress made by Australia in resolving findings and recommendations made by ICAO on the safety oversight audit conducted on Australia in February 2008.*

*The mission evaluated 125 outstanding technical audit questions (termed 'protocol questions'). The status of 83 questions was rated satisfactory.*

*Following the mission, CASA received a final validated effective implementation rate of 94.98 per cent, putting Australia in the top 10 world rankings of ICAO Member States.*

*The result confirms the exceptional outcomes from the audit. Australia's effective implementation rate increased by almost 10 per cent, and its world standing moved from 44th to sixth, putting Australia ahead of countries such as the United States, the United Kingdom and New Zealand.*

*Shane Carmody, Chief Executive Officer and Director of Aviation Safety, made the audit an organisational priority and ensured that a whole-of-organisation approach was in place and supported by appropriate resourcing, technical expertise and staff training.*

*CASA's work with ICAO is ongoing. This work requires continuous focus to maintain Australia's standing among the Member States.*

*There are approximately 1,000 protocol questions in the eight audit areas of ICAO's safety oversight system. They cover all areas of the organisation and require assessment and responses to ICAO on an ongoing basis.*

Source: CASA Annual Report 2017–18 cameo (page 94)

## Appendix A – Additional evidence of good regulatory behaviour

Department of Prime Minister and Cabinet guidance				CASA evidence
KPI	Rationale	Measures of good regulatory performance	Examples of output & activity based evidence	Current CASA activity
1	<b>Regulators do not unnecessarily impede efficient operations for regulated entities</b>	Regulators demonstrate an understanding of the operating environment of the industry or organisation, or the circumstances of individuals and the current and emerging issues that affect the sector.	Regular, ongoing consultations or engagement with stakeholders on policies and procedures, including independent experts and industry associations.	CASA Board; consultative forums such as Regional Airspace and Procedures Advisory Committee, Sport Aviation Safety Forum, Australian Strategic Air Traffic Management Group, Flying Training Group. CASA's Aviation Safety Advisory Panel came into effect from 1 July 2017. The Panel met four times during 2017–18 and convened a number of specialist Technical Working Groups.
		Regulators take actions to minimise the potential for unintended negative impacts of regulatory activities on regulated entities or affected supplier industries and supply chains.	Documented responsiveness to feedback from regulated entities, including feedback from existing complaint mechanisms and surveys of regulated entities.	Industry Complaints Commissioner's complaints register; biennial stakeholder engagement survey; direct feedback email to Director of Aviation Safety, Australia-wide Aviation Safety Seminars
		Regulators implement continuous improvement strategies to reduce the costs of compliance for those they regulate.	Environment scanning is undertaken regularly and at a minimum, on an annual basis.	CASA Board; CASA strategic planning and reporting processes; regular risk management workshops and planning sessions
			Demonstrated engagement with relevant international organisations to learn from peer experiences and share better practices.	Engagement with the International Civil Aviation Organization through a tripartite policy approach with the Department of Infrastructure and Regional Development and Airservices Australia; engagement with counterpart regulators
2	<b>Communication with regulated entities is clear,</b>	Regulators provide guidance and information that is up to date, clear, accessible and concise through media	Percentage of guidance materials that complies with government accessibility guidelines.	Ongoing commitment to Web Content Accessibility Guidelines; comprehensive guidance material available on CASA website; monthly CASA Briefing electronic newsletter; bi-monthly <i>Flight Safety Australia</i> magazine available as an app and an annual hard

Department of Prime Minister and Cabinet guidance				CASA evidence
KPI	Rationale	Measures of good regulatory performance	Examples of output & activity based evidence	Current CASA activity
	<b>targeted and effective</b>	appropriate to the target audience.		copy Collector's Edition showcasing best articles for the year; 24 hour media hotline CASA to publish updates on improving accessibility. For content that does not meet the requirements, CASA has committed to providing a timeframe for completion
		Regulators consider the impact on regulated entities and engage with industry groups and representatives of the affected stakeholders before changing policies, practices or service standards.	Maximum, minimum and average time for decision.	CASA Board; consultative forums such as Regional Airspace and Procedures Advisory Committee, Sport Aviation Safety Forum, Australian Strategic Air Traffic Management Group, Flying Training Group. CASA's Aviation Safety Advisory Panel aims to settle policy approach wherever possible ahead of detailed work by subject matter experts
		Regulators' decisions and advice are provided in a timely manner, clearly articulating expectations and the underlying reasons for decisions.	Published timeframes for decision making.	CASA regulatory framework and accompanying rules and regulations published on CASA website
		Regulators' advice is consistent and supports predictable outcomes.	Percentage of decisions accompanied by statement of reasons and advice about relevant review or appeal mechanisms, where appropriate.	CASA's advice is made available to industry through appropriate mechanisms either in terms of responding to individual cases or publishing broader regulatory advice on CASA's website.
			Number of policy/standards changes which are preceded by comprehensive engagement with stakeholders.	CASA regulatory framework; ongoing consultative forums; all proposed regulatory changes and related consultation are published on CASA website
			Approved procedures for communications (including issue-specific scripts if relevant) are available for staff use when interacting with regulated entities.	CASA management endorsed communication policy; media communication policy; standard operating procedures; delegated authorities

Department of Prime Minister and Cabinet guidance				CASA evidence
KPI	Rationale	Measures of good regulatory performance	Examples of output & activity based evidence	Current CASA activity
			Advice provided to regulated entities is consistent with communication policies.	CASA regulatory philosophy; guidance material on CASA website; monthly <i>CASA Briefing</i> electronic newsletter
			Demonstrated feedback is sought from stakeholders on guidance and advice provided by the regulator via a wide range of mechanisms, including stakeholder surveys.	Monthly <i>CASA Briefing</i> electronic newsletter; direct feedback email to Director of Aviation Safety; feedback surveys from Aviation Safety Seminars
			Demonstrated mechanisms for responding to stakeholder engagement/complaint.	Industry Complaints Commissioner provides an accessible and transparent mechanism for complaints (see pages 119-120 of <i>CASA Annual Report 2017–18</i> ); clear guidelines for making a complaint or reporting unsafe aviation activities are also published on CASA external website
3	<b>Actions undertaken by regulators are proportionate to the regulatory risk being managed</b>	Regulators apply a risk-based, proportionate approach to compliance obligations, engagement and regulatory enforcement actions.	Risk management policies and procedures are available to regulator staff and the public.	Overarching risk management policy; risk management training modules delivered through Core Regulatory Training Program, Safety Management Systems course, Human Factors course, CASA induction course and Sky Sentinel application modules; Comcover Risk Management Benchmarking Program's annual survey
		Regulators' preferred approach to regulatory risk is regularly reassessed. Strategies, activities and enforcement actions are amended to reflect changing priorities that result from new and evolving regulatory threats, without diminishing regulatory certainty or impact.	Compliance and enforcement strategies, consistent with agreed risk management policies are published.	Governance framework, CASA Enforcement Manual, and enforcement decisions ((see page 99 of <i>CASA Annual Report 2017–18</i> ) published on CASA's external website
		Regulators recognise the compliance record of regulated entities, including	Documented approaches in place to review risk approaches regularly.	CASA Board; organisational wide business and risk management plans; regular meetings of executive leadership team; CASA annual

Department of Prime Minister and Cabinet guidance				CASA evidence
KPI	Rationale	Measures of good regulatory performance	Examples of output & activity based evidence	Current CASA activity
		using earned autonomy where this is appropriate. All available and relevant data on compliance, including evidence of relevant external verification is considered.		report; CASA's regulatory philosophy is published on external website
			Statements of expectations and intent are published.	Statement of Expectation is included and published in CASA corporate plan
			Agreed quality assurance processes are in place for staff use.	QA processes are used in CASA regulatory activity
			Relevant staff trained in risk management policies, processes and procedures.	Risk management education and training conducted on regular basis
			Documented enforcement strategy which allows for the compliance records of regulated entities to be considered in determining regulatory actions.	CASA Enforcement Manual is published on CASA website
			Documented enforcement strategy includes options for graduated compliance actions consistent with regulators' powers.	CASA's coordinated enforcement process includes a combination of approaches including compliance action, counselling, licence suspension, variation or cancellation, and infringement notices. In many cases, the coordinated enforcement process may result in a recommendation that no enforcement action is taken; CASA Enforcement Manual and enforcement decisions are published on external website
			Demonstrated engagement with regulated entities to inform them of the regulators' expectations.	CASA Board; consultative forums such as Regional Airspace and Procedures Advisory Committee, Sport Aviation Safety Forum, Australian Strategic Air Traffic Management Group, Flying Training Group. CASA's Aviation Safety Advisory Panel came into effect on 30 June 2017 and works with representative industry groups with the aim of settling policy decisions wherever possible ahead of detailed work by subject matter experts

Department of Prime Minister and Cabinet guidance				CASA evidence
KPI	Rationale	Measures of good regulatory performance	Examples of output & activity based evidence	Current CASA activity
			Demonstrated avenues for stakeholders to provide feedback and processes or policies to incorporate/consider this when tailoring approaches to risk.	Consultative bodies (see above); Aviation Safety Seminars; Industry Complaints Commissioner
4	<b>Compliance and monitoring approaches are streamlined and coordinated</b>	Regulators' information requests are tailored and only made when necessary to secure regulatory objectives, and only then in a way that minimises impact.	Number of repeat information requests made to regulated entities annually.	
		Regulators' frequency of information collection is minimised and coordinated with similar processes including those of other regulators so that, as far as possible, information is only requested once.	Percentage of inspection visits coordinated with similar regulators.	
		Regulators utilise existing information to limit the reliance on requests from regulated entities and share the information among other regulators, where possible.	Percentage of information shared and received among regulators.	CASA has an established MoU with the Australian Transport Safety Bureau and responds to requests as required
		Regulators base monitoring and inspection approaches on risk and, where possible, take into account the circumstance and operational needs of the regulated entity.	Proportion of information obtained from other sources, with input not required from regulated entities.	
			Evidence of collected information being acted	

Department of Prime Minister and Cabinet guidance				CASA evidence
KPI	Rationale	Measures of good regulatory performance	Examples of output & activity based evidence	Current CASA activity
			upon, stored and re-used.	
			Demonstrated transparency of inspection and monitoring arrangements.	Policies and directives, surveillance and enforcement manuals, ramp check checklist and large range of other guidance material published on CASA website
			Feedback mechanisms to seek stakeholder views on inspection and monitoring regime.	Consultative bodies; CASA website
			Monitoring and enforcement strategies that allow for a range of regulatory responses.	CASA Enforcement Manual is published on CASA website
			Regular review and assessment of agreed monitoring and compliance strategies, including use of earned autonomy approaches.	
5	<b>Regulators are open and transparent in their dealings with regulated entities</b>	Regulators' risk-based frameworks are publicly available in a format which is clear, understandable and accessible.	Enforcement strategy and risk approach are published.	CASA Enforcement Manual and CASA annual report are published on CASA website
		Regulators are open and responsive to requests from regulated entities regarding the operation of the regulatory framework, and approaches implemented by regulators.	Performance measurement results are published.	A comprehensive performance section based on CASA's progress and achievement against the initiatives outlined in its corporate plan is published in the CASA annual report
		Regulators' performance measurement results are published in a timely manner	Percentage of regulated entities that receive requests for information with the reasons for these requests	CASA annual report

Department of Prime Minister and Cabinet guidance				CASA evidence
KPI	Rationale	Measures of good regulatory performance	Examples of output & activity based evidence	Current CASA activity
		to ensure accountability to the public.	communicated clearly and consistently.	
			Percentage of performance information publicly available.	CASA annual report; Service delivery statistics published on CASA external website
			Number of responses to requests from regulated entities provided within specified timeframes.	Service delivery standards; Industry Complaints Commissioner
			Advice and guidance is widely available to stakeholders, with feedback mechanisms in place to support and inform continuous improvement.	Wide range of advice and guidance material is published on CASA external website; Service delivery statistics are updated regularly and published on CASA external website; CASA annual report
6	<b>Regulators actively contribute to the continuous improvement of regulatory frameworks</b>	Regulators establish cooperative and collaborative relationships with stakeholders to promote trust and improve the efficiency and effectiveness of the regulatory framework.	Documented procedures are in place to allow active and regular engagement with stakeholders.	Ongoing stakeholder engagement forums; CASA annual report; Service delivery statistics published on CASA external website
		Regulators engage stakeholders in the development of options to reduce compliance costs. This could include industry self-regulation, changes to the overarching regulatory framework, or other strategies to streamline monitoring and compliance approaches.	Feedback mechanisms are available and made known to all stakeholders.	Ongoing stakeholder engagement forums; Aviation Safety Seminars; Industry Complaints Commissioner
		Regulators regularly share feedback from stakeholders and performance information	Number of stakeholder events held to facilitate participation in the	Aviation Safety Seminars, attendance at industry events and conferences

Department of Prime Minister and Cabinet guidance				CASA evidence
KPI	Rationale	Measures of good regulatory performance	Examples of output & activity based evidence	Current CASA activity
		(including from inspections) with policy departments to improve the operation of the regulatory framework and administrative processes.	development and/or amendment of regulatory frameworks.	
			Documented procedures are in place to facilitate the flow of information between the regulator and policy departments.	Ongoing and regular meetings are held between CASA and the Department of Infrastructure, Regional Development and Cities
			Percentage of performance data, feedback from regulated entities, and/or advice provided by the regulator to the policy departments.	CASA Annual Report; service delivery statistics are updated regularly and published on CASA external website; ongoing and regular meetings are held between CASA and the Department of Infrastructure, Regional Development and Cities