## OTS Key Performance Indicators, Measures and Evidence

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<tr>
<th>Deliverables (PBS Program 2.1)</th>
<th>Key Performance Indicator</th>
<th>Performance measures (examples of some measures to be applied)</th>
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| • Collaborating with industry to improve the efficiency and effectiveness of the transport security frameworks; | 1. Action is taken by the Government to mitigate against new or emerging risks, where they are identified. | • Conduct robust security risk assessments to inform OTS policy responses and compliance activities.  
• Monitoring compliance by industry partners with regulatory obligations and on a risk basis.  
• Strong connections with key intelligence agencies and good information sharing processes. | • OTS Risk Framework and methodology.  
• OTS Security Risk Course developed and delivered to all staff.  
• Risk assessments are conducted as part of the policy development cycle to fully understand any risks when reviewing regulations and policies.  
• Outcomes of compliance activities.  
• Products about issues and threats are issued to inform industry views and risk assessments. |
| • Working closely with industry and government partners to identify emerging and new risks and ensure that strategies are developed to mitigate them. | 2. Collaboration with industry ensures that policy and regulatory frameworks are efficient and effective. | • New, and revisions to, policies and regulations are developed in consultation with industry and government partners.  
• Regular industry forums are held and include consultation on policy and regulatory initiatives and issues.  
• Regulatory issues are systematically identified, reviewed and resolved, with timely advice provided to staff and industry.  
• Continuous improvement ensures that regulatory administration is fit-for-purpose, efficient and supports accountability.  
• Findings from QA audits, legal advice and other investigations are incorporated into operational guidance and advice to industry (consistent with the regulatory governance framework). | • Regular industry consultative forums are used to collaborate with industry on new policy and regulation.  
• Ad hoc workshops to work through specific policy and regulatory issues are held with industry.  
• Industry representatives participate in ICAO Av Sec Panel to understand international frameworks.  
• Guidance is issued to staff and industry as regulatory issues are resolved and/or clarified.  
• Implementation of 2015/16 quality assurance audit program. |
| • Targeting our capacity building activities to highest risks offshore. | 3. International and domestic engagement influences and shapes policy and future developments. | • Industry is consulted on new, and revisions to, policy on both international and domestic issues.  
• Effective coordination and participation with international partners on security issues at multilateral meetings and bilaterally.  
• Development and delivery of the annual Last Ports of Call (LPOC) Program.  
• Development and delivery of the annual Capacity Building Program, focuses on areas of higher risk to Australia. | • OTS participation in major international meetings such as IMO, ICAO AvSecPanel and working groups and QUAD. Positions and joint work agreed on key issues.  
• OTS forums AASAF, RICM, MISCF, OGSF and various working groups provide opportunity for industry to advise on policy issues and future trends of concern.  
• LPOC program effectively covers Australia’s high risk LPOCs and ensures reasonable understanding of all LPOC risks.  
• Capacity building program closely mirrors highest LPOC and other risks to Australia offshore.  
• OTS International Engagement strategy. |
| • Collaborating with international and industry partners to deliver effective programmes that sustainably strengthen security in the region. | 4. Communication with regulated entities is clear, targeted and effective.* | • Regulatory decisions are made in accordance with the principles of administrative law and consistent with the powers provided under the transport security legislation.  
• Regulatory advice is consistent, transparent and promotes accountability.  
• Decisions and associated advice are provided in a timely manner and clearly articulate reasons for decisions.  
• Industry is well informed in advance of proposed changes to transport security obligations. | • All major changes to transport security obligations are implemented in accordance with well-developed communications strategies that are clear about:  
– changes to obligations for industry participants;  
– timings of those changes; and  
– information about changes to monitoring activities.  
• The Decision Making Framework outlines the principles of decision-making founded in administrative law, clarifies roles and responsibilities for decision makers, and provides advice on }
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<td>and risk.</td>
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<td>constructing statements of reasons.</td>
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| • To partner with industry and government, in multilateral fora and bilaterally, to influence and inform the development of policy and standards.  
• Facilitating business-government partnerships through provision of secretariat support to the Maritime and Surface sub-groups of the Transport Sector Group within the Australian Government’s Trusted Information Sharing Network for Critical Infrastructure Resilience. | 5. Compliance and monitoring approaches are streamlined and co-ordinated. * | • Compliance monitoring is based on risk and takes into account the operational requirements of the regulated entities.  
• Continuous improvement ensures that regulatory administration is fit-for-purpose, efficient and supports accountability.  
• Enforcement is undertaken in conjunction with partner agencies. | • Refusals under the transport security legislation are accompanied by a statement of reasons and advice on review and appeal mechanisms.  
• Consultative forums are used to raise issues early and consult on approaches where obligations are likely to change. |

* denotes KPIs required under the Regulator Performance Framework