Australian Government

The Australian Aviation State Safety Programme

2021

ISBN 978-1-922521-06-4
March 2021 / INFRASTRUCTURE 4101

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The Australian Aviation State Safety Programme

2021

Contributing agencies

- Department of Infrastructure, Transport, Regional Development and Communications
- Civil Aviation Safety Authority
- Airservices Australia
- Australian Transport Safety Bureau
- Australian Maritime Safety Authority
- Department of Defence
- Department of Home Affairs
- Department of Foreign Affairs and Trade
- Bureau of Meteorology

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FOREWORD

Aviation is essential to Australia as an island nation. It connects our people, communities, businesses and markets.

We have a rich aviation history to be proud of and an enviable safety record that is among the best in the world. These achievements have been built on a clear and robust safety governance system that we have forged over many years.

Australia was a signatory to the Convention on International Civil Aviation in 1944 and has been a member of the International Civil Aviation Organization (ICAO) since its establishment. From ICAO's earliest days, Australia has been an active participant and a strong supporter of the organisation's activities to influence global developments in air transport.

The availability of safe, efficient and sustainable air services within Australia and internationally is critical to our national interest, and we have worked hard to develop an internationally-respected and mature aviation safety system.

Maintaining Australia's high safety standards remains paramount in the face of the unprecedented impacts of the coronavirus disease 2019 (COVID-19) pandemic on Australian and global aviation operations.

Regulatory alleviation has been an important facet of Australia's participation in the global response to COVID-19, and ensuring our high aviation standards are maintained and where practicable improved will need to be a central theme alongside protecting the health of passengers and those working in the industry as aviation gradually recovers from this period of extreme financial stress.

As a leading aviation nation, we must never stop looking for ways to improve, ensuring our safety system keeps pace with rapid changes in the domestic and international aviation markets.

In this regard, Australia was one of the first countries in the world to implement a State Safety Programme (SSP). We now move a step ahead with the implementation of the inaugural Australian National Aviation Safety Plan (NASP).

The Australian SSP plays an important role in identifying, monitoring and maintaining the effectiveness of all aspects of our aviation safety performance and objectives. It establishes our key safety principles, structures and processes that underpin our future aviation safety system.

The newly developed Australian NASP supports the SSP by setting out clear strategies on how we intend to meet our aviation safety objectives. Both documents are supported by *Australia's Air Traffic Management Plan 2017*, which responds to the ICAO Global Air Navigation Plan (GANP) and outlines our current air traffic management system in addition to the roles and responsibilities of government agencies and industry.

Our approach to managing aviation safety in Australia is consistent with that established by ICAO.

Australia's aviation agencies and industry participants all have significant roles to play in delivering quality outcomes. It is imperative that we work closely and cooperatively to identify aviation safety risks, and ensure the most appropriate practices and technologies are adopted to reduce those risks.

We must remain flexible and adaptable in order for our aviation safety system to meet the challenges and embrace the opportunities that lie ahead, particularly as aviation will be an integral enabler of Australia's economic recovery from COVID-19.

AUSTRALIA'S STATE SAFETY POLICY STATEMENT

Australia's aviation safety system plays a vital role in ensuring that we have a safe, efficient and competitive aviation industry. Australia will continue to seek closer alignment with ICAO Standards and Recommended Practices and adopt international best practices in its aviation safety system.

The Australian Government has endorsed the following safety principles that underpin the future aviation safety system.

1. Safety is the primary consideration of Australia's aviation agencies and industry in the performance of their functions.
2. The highest safety priority should be afforded to passenger transport operations.
3. Australia's regulatory approach and responses are based on sector-based risk assessments.
4. Aviation agencies and industry collaborate to identify aviation safety risks and ensure that the most appropriate methods, practices and technologies are adopted to address and reduce these risks.
5. A strong 'just culture' approach underpins information sharing between industry and safety agencies to assist in preventing future safety events.
6. Recognition that Australia's safety regulatory system plays an important role in ensuring that Australia has a safe, efficient and competitive aviation industry.
7. Australia's aviation regulatory procedures, processes and approach to regulation is fair, transparent and promotes nationally consistent outcomes.
8. Active and ongoing engagement by industry and safety agencies will help inform future regulatory priorities and the development of simpler regulations, standards and orders.
9. The safety performance of our aviation safety system will be continuously monitored and measured through the State's aggregate safely performance indicators as well as service providers safety performance indicators.
10. Sufficient financial and human resources for safety management and oversight will be allocated; and staff will be equipped with the proper skills, knowledge and expertise to discharge their safety oversight and management responsibilities competently.

Secretary,
Department of Infrastructure, Transport, Regional Development and Communications

ACRONYMS AND ABBREVIATIONS

AAPS	Australian Airspace Policy Statement
AC	Advisory Circular
ACMA	Australian Communications and Media Authority
AD	Airworthiness Directive
ADREP	Accident/Incident Data Reporting
AIG	Aviation Implementation Group
AIP	Aeronautical Information Package
Airservices	Airservices Australia
AMSA	Australian Maritime Safety Authority
AMS	Aviation and Maritime Security Division (Home Affairs)
AN Act	*Air Navigation Act 1920*
Annex(s)	Annexes to the Convention on International Civil Aviation
AOC	Air Operators' Certificate
APG	Aviation Policy Group
APP	Australian Privacy Principles
AP RASP	Asia Pacific Regional Aviation Safety Plan
APS	Australian Public Service
ARFFS	Aviation Rescue and Fire Fighting Service
AS/NZS	Australian/New Zealand Standard
ASRS	Aviation Safety Reporting Scheme
ATC	Air Traffic Control
ATM	Air Traffic Management
ATMP	Air Traffic Management Plan
ATS Act	*Aviation Transport Security Act 2004*
ATSB	Australian Transport Safety Bureau
ATSOs	Australian Technical Standard Orders
AWB	Airworthiness Bulletin
BASA	Bilateral Aviation Safety Agreement
BITRE	Bureau of Infrastructure, Transport and Regional Economics
BoM	Bureau of Meteorology
CA Act	*Civil Aviation Act 1988*
CAAP	Civil Aviation Advisory Publication
CAO	Civil Aviation Order
CAR	Civil Aviation Regulations 1988
CASA	Civil Aviation Safety Authority
CASR	Civil Aviation Safety Regulations 1998
CE	Critical Elements
Chicago Convention	Convention on International Civil Aviation

Defence	Department of Defence / Australian Defence Force
ELT	Emergency Locator Transmitters
GANP	Global Aviation Navigation Plan
GASP	Global Aviation Safety Plan
Home Affairs	Department of Home Affairs
ICAO	International Civil Aviation Organization
Infrastructure	Department of Infrastructure, Transport, Regional Development and Communications
ISO	International Organization for Standardization
JAASACG	Joint Agency Aviation Safety Analysis Coordination Group
JRCC	Joint Aviation and Maritime Rescue Coordination Centre
MOS	Manual of Standards
MOU	Memorandum of Understanding
Multi Agency MOU	The Memorandum of Understanding (MOU) of Australia's Agencies Involved in Civil and Defence Aviation
NASP	National Aviation Safety Plan
NATSARMAN	National Search and Rescue Manual
NOTAM	Notices to Airmen
PSPF	Protective Security Policy Framework
RAAF	Royal Australian Air Force
REPCON	Aviation Confidential Reporting Scheme
RMS	Regulator's Management System
SAR	Search and Rescue
SARPs	Standards and Recommended Practices
SEI	Safety Enhancement Initiative
SMM	Safety Management Manual (Doc 9859)
SMS	Safety Management System
SMICG	Safety Management International Collaboration Group
SOM	Safety Oversight Manual (Doc 9734)
SSP	State Safety Programme
SSP-CAT	State Safety Programme Cross Agency Team
TSI Act	*Transport Safety Investigation Act 2003*
USOAP CMA	Universal Safety Oversight Audit Program Continuous Monitoring Approach

INTRODUCTION

Australia's Aviation State Safety Programme (SSP) is the primary publication used to ensure the effectiveness of Australia's aviation safety system. It is a summary of all Australian safety-related activities and provides detail on relevant legislation, systems and processes that support Australia's aviation safety system. The SSP aligns with the International Civil Aviation Organization's (ICAO) Annex 19 – Safety Management (Annex 19), Doc 9859 – Safety Management Manual (SMM) and Doc 9734 – Safety Oversight Manual (SOM).

Our existing National Air Navigation Plan (NANP): *Australia's Air Traffic Management Plan 2017* (ATMP) and National Aviation Safety Plan (NASP) demonstrate implementation of the integrated Australian safety system as underpinned by the Australian SSP. Detail about the interrelationship of Australia's SSP with other domestic and global safety documents is detailed in Figure 1.

Figure 1 Australia's SSP relationship to other domestic and global aviation safety publications

Australia's ATMP outlines our current Air Traffic Management (ATM) system, and the roles and responsibilities of government agencies and industry. Along with the Australian Airspace Policy Statement (AAPS), the ATMP helps determine national ATM policy objectives, and provides guidance to Australian Government agencies and industry on future ATM planning and investment. The ATMP is subject to a regular review cycle to ensure that it remains contemporary and continues to demonstrate clearly how Australia meets the requirements of the ICAO Global Air Navigation Plan 2020–2022 (GANP).

=The NASP demonstrates Australia's commitment to continuously improve the safety of aviation operations through the implementation of defined Safety Enhancement Initiatives (SEIs), to achieve national aviation safety goals and ensure aviation activities are conducted at an acceptable level of safety performance. The NASP is informed by outputs of the SSP's safety risk management activities and international aviation developments. The NASP demonstrates how Australia meets the requirements of the ICAO Global Aviation Safety Plan 2020–2022 (GASP) and the ICAO Asia Pacific Regional Aviation Safety Plan 2020–2022 (RASP).

Implementation of the SSP will be monitored by the Aviation Policy Group (APG) through the Aviation Implementation Group (AIG), which brings together the agency heads of the Department of Infrastructure, Transport, Regional Development and Communications (Infrastructure), the Civil Aviation Safety Authority (CASA), Airservices Australia (Airservices) and the Chief of Air Force on behalf of the Department of Defence and the Australian Defence Force (Defence). The APG is chaired by the Secretary of Infrastructure, which is Australia's Department of State for civil aviation.

The SSP is reviewed every three years and updated as appropriate, by the State Safety Programme-Cross Agency Team (SSP-CAT), under the leadership of the APG, and in consultation with all SSP agencies, other relevant Australian Government agencies, industry and community stakeholders.

The Australian SSP is established, integrated and implemented according to the eight ICAO Critical Elements (CEs) of the State safety oversight system and ICAO's four components of an SSP, as established in Chapter 8 of the SMM. Australian alignment to the ICAO safety planning and management framework is depicted in Figure 2.

Figure 2 Australia's SSP Critical Element (CE) and SSP component mapping

<table>
<tr><td rowspan="2">Chapter 1
SSP component 1
State safety policy, objectives and resources</td><td>Section 1.1.2
CE-1
Primary aviation legislation</td><td>Sections 1.2
CE-3
State system & function</td><td rowspan="2">Section 1.4
CE-5
Technical guidance tools and provisions of safety critical information</td></tr>
<tr><td>Section 1.1.3
CE-2
Specific operating legislation</td><td>Section 1.3
CE-4
Qualified technical personnel</td></tr>
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SSP component 2
State safety risk management</td><td>Section 2.1
CE-6
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Management of safety risks</td></tr>
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Safety management system obligations</td><td>Section 2.4
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SSP component 3
State safety assurance</td><td colspan="2">Section 3.1
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SSP component 4
State safety promotion</td><td colspan="2">Section 4.1
Internal communication and dissemination of safety information</td><td>Section 4.2
External communication and dissemination of safety information</td></tr>
</table>

1. AUSTRALIA'S SAFETY POLICY, OBJECTIVES AND RESOURCES

1.1 Australian aviation legislative framework

1.1.1 Australian legislative system

The Australian Parliament has the power to make laws for aviation safety. All of Australia's aviation regulations and legislative instruments are available to the public free of charge on a dedicated Australian Government Federal Register of Legislation website: **www.legislation.gov.au**. A full list of Australia's primary aviation legislation is included at Table 1. Australia's aviation regulatory framework comprises of technical guidance, tools and the provision of safety critical information as detailed in Section 1.4.

1.1.2 Australian aviation legislation (Critical Element-1)

Australian aviation legislation demonstrates our commitment to enacting the requirements of the Chicago Convention on International Civil Aviation (Chicago Convention) and defines Australia's governance arrangements for aviation safety.

Australia ratified the Chicago Convention in 1947. The primary legislation in Australia that gives effect to the *Convention is the Air Navigation Act 1920* (AN Act). The AN Act provides approval for the ratification of the Convention, with the text of the Convention, protocols and amendments to it included as schedules. The Department of Infrastructure is responsible for administering the AN Act.

The AN Act also contains a provision for regulations to be made for the purpose of carrying out, and giving effect to, the Chicago Convention and international Standards and Recommended Practices (SARPs) contained in the Annexes to the Convention.

The *Civil Aviation Act 1988* (CA Act) establishes CASA as the aviation safety regulator and sets out its governance arrangements. The CA Act provides that CASA is to perform its functions in a manner consistent with Australia's obligations under the Chicago Convention and agreements between Australia and other countries relating to the safety of air navigation.

The *Airspace Act 2007* confers additional regulatory responsibility on CASA in relation to the administration and regulation of airspace. Under the *Airspace Act 2007*, the Minister for Infrastructure, Transport and Regional Development must make an AAPS which articulates the Australian Government requirements for the administration of Australian airspace and regulatory requirements set out in the Airspace Regulations 2007. The current AAPS came into effect on 5 October 2018.

The *Transport Safety Investigation Act 2003* (TSI Act) establishes the Australian Transport Safety Bureau (ATSB) as the 'no-blame' investigator of aviation accidents and incidents. The ATSB is tasked with undertaking independent investigations into transport accidents and incidents, identifying factors that contribute or affect aviation safety, and communicating improvements through safety action statements and recommendations, in line with Annex 13 to the Chicago Convention.

The *Air Services Act 1995* establishes Airservices as the civil air navigation services provider. Airservices is legislated to provide services on behalf of Australia for air traffic, aeronautical information, aeronautical radio navigation, aeronautical telecommunications as well as Aviation Rescue and Fire Fighting Services (ARFFS) which are defined such that they give effect to the Chicago Convention.

The *Australian Maritime Safety Authority Act 1990* (AMSA Act) establishes the Australian Maritime Safety Authority (AMSA) as the national provider of search and rescue (SAR) services. AMSA is legislated to provide SAR services in alignment with Chicago Convention requirements.

The *Meteorology Act 1955* establishes the Bureau of Meteorology (BoM) as Australia's national weather, climate and water agency. BoM is tasked with providing aeronautical meteorological services to civil aviation.

The *Aviation Transport Security Act 2004* (ATS Act) establishes a regulatory framework to safeguard against unlawful interference with civil aviation in Australia, which is consistent with requirements under Annex 17 of the Chicago Convention. The Department of Home Affairs (Home Affairs) is responsible for administration of the ATS Act.

1.1.3 Aviation safety regulation (Critical Element-2)

Australia's primary aviation legislation (as outlined in Section 1.1.2) is complemented by a series of aviation safety regulations and supporting legislation to provide specific operating regulations in relation to airspace, air services, air navigation, civil aviation, civil aviation safety, safety investigation and aviation transport security.

Specific operating regulations address Australia's obligations under the Chicago Convention relating to aircraft registration and airworthiness, air operator certification and surveillance, and provision of air navigation services and aerodromes.

1.1.4 Adoption of ICAO SARPs

Australia generally adopts ICAO SARPs and seeks to adopt international best practice approaches, and will notify a difference with ICAO if it is not adopting a particular SARP (in whole or in part). Notifications include an explanation of the basis of the difference and where appropriate, an associated remediation plan, in accordance with Article 38 of the Chicago Convention. A full list of Australian differences are published in the Australian Aeronautical Information Publication (AIP) provided by Airservices. Australia regularly reviews and monitors Australian differences to SARPs.

Table 1 Summary of aviation safety legislation, regulations, instruments and other publications

Legislation	Description	Agency	CE
Air Navigation Act 1920	The primary legislation in Australia that gives effect to the Chicago Convention	Infrastructure	1
Civil Aviation Act 1988	Establishes CASA as the aviation safety regulator and sets out CASA's governance arrangements	CASA	1
Airspace Act 2007	Confers additional regulatory responsibility on CASA in relation to the administration and regulation of airspace	CASA	1
Transport Safety Investigation Act 2003	Establishes ATSB as the 'no-blame' investigator of aviation accidents and incidents	ATSB	1
Air Services Act 1995	Establishes Airservices as the civil air navigation services provider as well as aviation rescue fire fighting services (ARFFS) provider	Airservices	1
Australian Maritime Safety Authority Act 1990	Establishes AMSA as the national safety agency responsible for maritime safety, protection of the marine environment and aviation and marine SAR	AMSA	1
Meteorology Act 1955	Establishes the BoM as Australia's national weather, climate and water agency	BoM	
Aviation Transport Security Act 2004	Establishes a regulatory framework to safeguard against unlawful interference with civil aviation	Home Affairs	1
Airspace Regulations 2007	Enable CASA to perform the functions and exercise the powers in connection with the administration and regulation of Australian administered airspace	CASA	2
Air Services Regulations 2019	Set out the functions of Airservices in relation to the provision of air traffic services, ARFFS and aeronautical information services	Airservices	2
Air Navigation Regulations 2016	Regulate a range of licence and approval conditions, on operators of international air services	CASA	2
Civil Aviation Regulations 1988	Provide the general safety regulatory controls in relation to aviation activities. Set out the safety standards that are required in relation to airworthiness of aircraft, licences and ratings of operating crew and maintenance personnel, air traffic control, rules of the air, dangerous goods and many other safety issues	CASA	2
Civil Aviation Safety Regulations 1998		CASA	2
Transport Safety Investigation Regulations 2003	Prescribes the accidents, serious incidents and incidents that must be reported to ATSB, and related matters	ATSB	2
Aviation Transport Security Regulations 2005	Prescribes the regulatory requirements to safeguard Australia against unlawful interference with civil aviation	Home Affairs	2
Civil Aviation Orders	Set out CASA's directions and instructions in matters of complex detail. They contain technical detail and requirements that complement the requirements in the relevant Civil Aviation Regulation (CAR)	CASA	2
Airworthiness Directives	Address unsafe conditions on aircraft and aeronautical equipment	CASA	2
Australian Technical Standard Orders	Contain minimum performance standards for specified articles (i.e. materials, parts, processes and appliances) used on civil aircraft	CASA	2
Manual of Standards	Comprise specifications made by CASA pursuant to the relevant Civil Aviation Safety Regulation (CASR), of uniform application, determined to be necessary for the safety of air navigation	CASA	2

1.2 Australia's state safety system and function (Critical Element-3)

1.2.1 Responsibilities and accountabilities

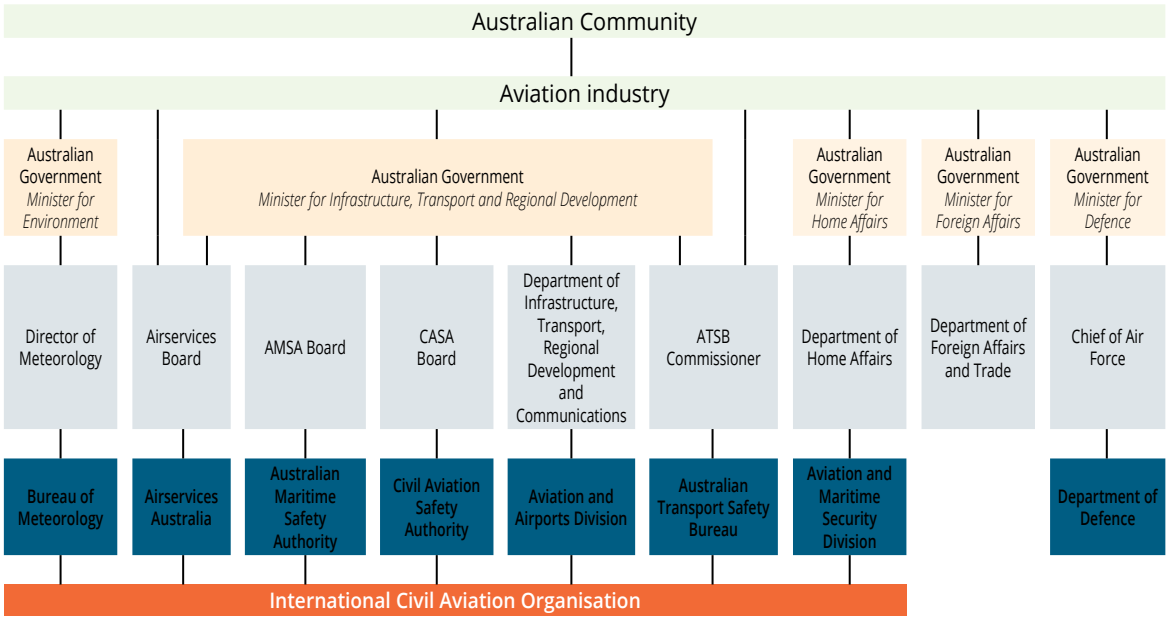
The Australian Government, through the Minister for Infrastructure, Transport and Regional Development, is the portfolio owner of aviation policy in Australia. The Minister is responsible to Parliament for civil aviation matters, including safety.

The major agencies responsible for managing civil aviation safety in Australia are detailed in Table 2.

Table 2 Australia's SSP agencies

Agency	Minister
Department of Infrastructure, Transport, Cities and Regional Development	Minister for Infrastructure, Transport, and Regional Development
Civil Aviation Safety Authority	
Australian Transport Safety Bureau	
Airservices Australia	
Australian Maritime Safety Authority	
Department of Foreign Affairs and Trade (DFAT)	Minister for Foreign Affairs
Department of Home Affairs	Minister for Home Affairs
Department of Defence	Minister for Defence
Australian Bureau of Meteorology	Minister for the Environment and Minister for Agriculture, Drought and Emergency Management

Figure 3 Organisational structure of Australia's aviation agencies



The Memorandum of Understanding (MOU) of Australia's Agencies Involved in Civil and Defence Aviation (Multi-agency MOU) underpins the arrangements between agencies and sets out the responsibilities for managing engagement with ICAO. The responsible agency for each Annex to the Chicago Convention is assigned in the Multi-agency MOU as shown in Table 3.

Table 3 Allocation of ICAO annexes

ICAO Annex	Responsible Agency(ies)
Annex 1 – Personnel Licensing	CASA
Annex 2 – Rules of the Air	CASA
Annex 3 – Meteorological Services	BoM
Annex 4 – Aeronautical Charts	Airservices
Annex 5 – Units of Measurement	Airservices
Annex 6 – Operations of Aircraft	CASA
Annex 7 – Aircraft Nationality & Registration Markings	CASA
Annex 8 – Airworthiness of Aircraft	CASA
Annex 9 – Facilitation	Infrastructure
Annex 10 – Aeronautical Telecommunications	CASA / Airservices
Annex 11 – Air Traffic Services	CASA / Airservices
Annex 12 – Search and Rescue	AMSA
Annex 13 – Aircraft Accident & Incident Investigation	ATSB
Annex 14 – Aerodromes	CASA
Annex 15 – Aeronautical Information Services	Airservices
Annex 16 – Environmental Protection	Infrastructure
Annex 17 – Security	Home Affairs
Annex 18 – The Safety Transportation of Dangerous Goods by Air	CASA
Annex 19 – Safety Management	CASA / ATSB

Minister for Infrastructure, Transport and Regional Development

The Australian Government, through the Minister for Infrastructure, Transport and Regional Development, sets the overall aviation policy direction. The Minister is responsible to Parliament for civil aviation matters, in relation to safety.

Department of Infrastructure, Transport, Regional Development and Communications

Infrastructure has responsibility for civil aviation policy development and coordination and coordinates Australia's broader engagement with ICAO. Infrastructure leads the development and maintenance of Australia's SSP, and monitors progress against and reporting on the associated National Aviation Safety Plan. More information about Infrastructure can be found at: www.infrastructure.gov.au/department/about/index.aspx

The Bureau of Infrastructure, Transport and Regional Economics (BITRE) within Infrastructure and provides economic analysis, research and statistics on infrastructure, transport and regional development issues to inform Australian Government policy. BITRE holds unique aviation data collections. Information about BITRE's aviation statistics can be found at: www.bitre.gov.au/statistics/aviation/index.aspx

Civil Aviation Safety Authority

CASA is the independent statutory authority established under the CA Act. CASA is responsible for the safety regulation of civil air operations in Australian territory and Australian aircraft operating outside Australian territory. CASA is also responsible for regulating aspects of the administration of Australia's airspace.

Australian Transport Safety Bureau

The ATSB is Australia's independent no blame safety investigator and operates under the TSI Act. The ATSB is responsible for the independent investigation of accidents and other safety occurrences involving civil aircraft in Australia, and takes part in the investigation of accidents and other occurrences involving Australian aircraft overseas.

The ATSB is also responsible for Australia's system for mandatory reporting of all aviation safety occurrences and operates schemes for voluntary and confidential reporting of aviation safety concerns. Its analysis and research functions derive from this responsibility for the collection and management of aviation safety data.

Airservices Australia

Airservices is Australia's independent air navigation service provider and provides related airside services to the Australian aviation industry. Airservices is a Commonwealth statutory authority and is wholly owned by the Australian Government. Airservices operates under the *Air Services Act 1995*.

Airservices is responsible for the provision of ARFFS at Australia's major passenger airports.

Australian Maritime Safety Authority

AMSA is the national safety agency responsible for maritime safety, protection of the marine environment, and aviation and marine SAR. It is a statutory authority established by the AMSA Act. AMSA's primary areas of responsibility to the aviation community include operating the joint aviation and maritime rescue coordination centre (JRCC) and providing one ground station and a Mission Control Centre for the Cospas-Sarsat satellite distress beacon system.

Bureau of Meteorology

BoM is Australia's national weather, climate and water agency and operates under the authority of the *Meteorology Act 1955* and the *Water Act 2007*. The Director of Meteorology is the designated Meteorological Authority in accordance with Annex 3 to the Chicago Convention. BoM is the aeronautical meteorological service provider for Australia.

Department of Defence

The Department of Defence (Defence) is responsible for safety and airworthiness of military aviation systems. Defence cooperates with Australia's civil aviation agencies to harmonise its Safety Management System (SMS) and associated regulations where appropriate. Areas of commonality include airspace design, manufacture, certification and maintenance; airspace management; air navigation services; ARFFS and aerodrome infrastructure, particularly where these may be used by civil aviation.

Defence regulates military aviation, including Defence aerodromes and the provision of air navigation services, through the implementation of the Defence Aviation Safety Program (DASP). Acknowledging Annex 19 and the SSP construct as contemporary global best-practice, Defence has developed- and continues to implement - the DASP with due consideration of the Defence aviation context and relevant Commonwealth legislation. Defence is recognised by CASA as an Air Navigation Service Provider.

Department of Foreign Affairs

DFAT promotes and protects Australia's interests internationally and contributes to global stability and economic growth. DFAT is responsible for the provision of passport and international travel documentation for Australian and specified non-citizens and providing guidance on international interests that may impact engagement on ICAO matters, particularly in relation to Annex 9 of the Chicago Convention.

Department of Home Affairs

The Aviation and Maritime Security (AMS) Division in Home Affairs is Australia's aviation security regulator. AMS regulates the security of the Australian aviation environment through the ATS Act and the Aviation Transport Security Regulations 2005. Home Affairs also provides advice on cyber security and resilience for the civil aviation sector.

1.2.2 State civil aviation system and safety oversight functions

Australia takes a cohesive and collaborative approach to aviation safety activities across all agencies in delivering an effective SSP. Australia's SSP consists of two levels of meetings: governance forums and working groups. Both levels draw together the agencies responsible for aviation policy, regulation and service provision as well as industry participants and subject matter experts.

SSP governance arrangements

SSP governance meetings have accountability and/or responsibility for the effective development, management, implementation and performance of the Australian SSP, the ATMP and the NASP including monitoring progress against Australia's Safety Goals and associated national Safety Enhancement Initiatives (SEIs). The overall SSP governance structure is defined in Figure 4. Details on the attendees, chair, frequency and role of each SSP governance forum is outlined in Table 4.

Figure 4 SSP governance meetings structure

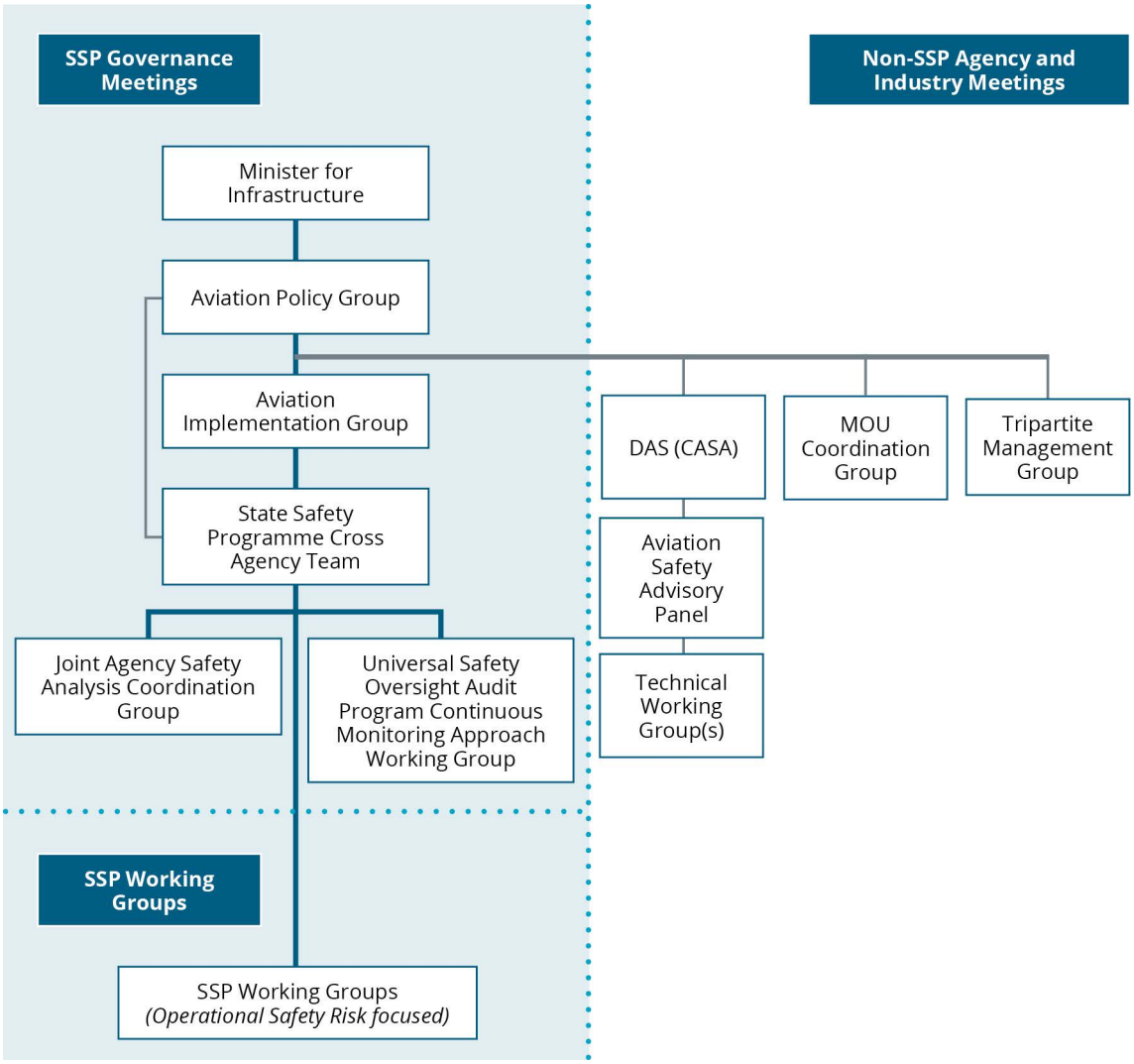


Table 4 SSP governance meetings

State (SSP) Governance Meetings		
Aviation Policy Group (APG)	To enhance cooperation and coordination across the four Commonwealth agencies responsible for aviation policy, regulation and service provision.	DoITRDC, CASA, Airservices, RAAF (ADF), Dept Home Affairs.
MOU Coordination Group	An information sharing body and reports on ICAO related matters and coordinate whole government arrangements on aviation matters.	DoITRDC, CASA, Airservices, RAAF (ADF), Dept Home Affairs, ATSB, AMSA, BoM, DFAT.
State Safety Programme Cross Agency Team (SSP CAT)	Drives improvement on the performance of Australia's integrated state safety programmes within and across civil and Defence aviation.	DoITRDC, CASA, Airservices, RAAF (ADF), ATSB, AMSA, BoM.
Joint Agency Aviation Safety Analysis Coordination Group (JAASACG)	Facilitates the exchange of safety related data and analysis for the sole purpose of improving aviation safety.	CASA, ATSB, Airservices, BITRE, RAAF (ADF).
Universal Safety Oversight Audit Program Continuous Monitoring Approach Working Group (USOAP CMA WG)	Coordinates on Australia's safety oversight standards under the Chicago convention.	DoITRDC, CASA, Airservices, RAAF (ADF), ATSB, AMSA, BoM, Dept Home Affairs.
Aviation Implementation Group		
(AIG)	Supports the APG in the implementation of cross-agency strategies.	DoITRDC, CASA, Airservices, RAAF (ADF).
Tripartite Management Group	The lead body on aviation issues and serves as a coordination body for the management of ICAO related matters and the financial arrangements for Australia's representative at ICAO Montreal.	DoITRDC, CASA, Airservices.

SSP working group meetings

SSP working groups are operational working groups established to address a specific hazard or risk function and draw together specific Australian Government agencies and where needed industry experts. Such working groups link into the broader SSP governance structure and can escalate items for further attention through the SSP-CAT. The SSP-CAT may also request advice and information from these working groups. Details on the chair, attendees, and frequency and role of current SSP working groups are at Annex 1.

1.2.3 State agency cooperative agreements

Coordination on a range of aviation safety management issues between agencies occurs through the use of formal arrangements. Most arrangements are set out in a MOU. Arrangements aim to ensure that roles, responsibilities and communications protocols are clearly articulated between relevant agencies.

Table 5 Current domestic arrangements

Agreement	Purpose
Australia's Agencies involved in Civil and Defence Aviation	Sets out arrangements between Australian aviation agencies concerning their management of international (including ICAO arrangements) and domestic aviation issues.
ICAO Tripartite	Outlines arrangements for Australia's participation in ICAO and formation of AIG (the Department, CASA, and Airservices).
CASA/ATSB	Enhances aviation safety by facilitating cooperation while maintaining agencies' independence and capacity to perform their separate (though complementary) functions.
CASA/Airservices	Builds on the legal framework already in place with a key objective of maximising beneficial aviation safety outcomes.
Airservices/ATSB	Outlines the respective roles and responsibilities of, and the relationship between, Airservices and ATSB in relation to the investigation of aviation accidents and incidents, and the exchange of safety information.
CASA/Defence	Promotes aviation safety and airworthiness between CASA and Defence and provides a high-level basis for cooperation on harmonisation, where practicable, of civil and military regulatory system outcomes to improve safety, efficiency, consistency and capacity.
Airservices /Defence	Harmonises systems and services associated with the provision of civil and military ATM and aviation support systems including ARFFS.
Defence/ATSB	Provides a framework to support cooperation between Defence and ATSB in the investigation of transport safety matters.
Defence/ BoM	Outlines the strategic partnership agreement for the provision of meteorological and oceanographic services in support of the Department of Defence
Airservices/BoM	Sets out arrangements by which meteorological information is provided to Airservices and the industry, and mechanisms to maintain effective cooperation between Airservices and the BoM.
AMSA/Airservices	Defines the division of responsibilities between AMSA and Airservices as key organisations contributing to the national aviation SAR system.
AMSA/ATSB	Defines the roles and relationships between the parties in carrying out their respective functions of aviation SAR and accident investigations.
AMSA/ACMA	Facilitates a cooperative relationship between the parties in relation to support services for SAR operations. The MOU also sets out areas of cooperation in the administration of radio communications services.

1.2.4 State agency staffing requirements

Each agency is responsible for delivering on their legislative requirements to their respective Minister(s). This includes ensuring the organisation is sufficiently organised and staffed with qualified personnel capable of providing aviation safety oversight.

1.2.5 Delegation of safety oversight functions and activities

Australian is able to conduct all safety oversight activities effectively and does not delegate any specific safety oversight functions to another organisation or State.

1.2.6 Establishment of service providers

CASA is the primary regulatory authority for civil aviation safety in Australia. Home Affairs has regulatory authority for the security of civil aviation in Australia. Inspectorates conducting investigations and surveillance and are located in CASA, ATSB, Home Affairs and maintain functional separation from the provision of the service by Airservices, AMSA and BoM.

1.3 Qualified technical personnel (Critical Element-4)

Australia ensures that all technical personnel tasked with safety oversight responsibilities (inspectors and investigators) are suitably qualified, experienced and competent to perform the range of complex tasks required of them. Each agency responsible for technical personnel performing safety oversight (CASA, ATSB and Home Affairs) establishes a minimum qualification requirement, provides the necessary training, and assesses against competency requirements. The minimum qualification requirements are detailed in the position descriptions of inspectors and investigators for each agency.

In addition to pre-employment qualification requirements, CASA has an established training and development schedule for all staff, with a particular focus on technical training for safety staff, including SMS oversight. CASA's training programme for safety staff comprises initial, recurrent and specialist modules. This includes a comprehensive induction programme for new inspectorate staff covering generic training on people management, audits, systems and tools, the regulatory environment and SMSs. CASA's training programme enables CASA to effectively perform its functions as they relate to the CA Act.

All ATSB transport safety investigators complete formal training through a Graduate Certificate in Transport Safety Investigation in addition to pre-employment qualifications. Newly recruited ATSB investigators can expect to spend approximately 700 hours building their expertise as a transport safety investigator. ATSB supports additional professional development opportunities, allowing staff to maintain their technical qualifications, to obtain knowledge and experience in emerging technologies and practices and to undertake tertiary study in fields relevant to the ATSB's functions

Home Affairs aviation security inspectors undertake a mandatory Learning and Development program, which results in a Certificate IV or Diploma of Government from a Registered Training Organisation. The program ensures inspectors have a strong working knowledge of aviation transport security legislation and the exercise of powers when assessing industry compliance with the *Aviation Transport Security Act 2004*. The program includes mandatory face-to-face sessions, as well as on-line course requirements, and therefore the length of time to completion varies.

Personnel from SSP agencies involved in safety oversight, but not specifically related to inspectorate and investigatory functions, are subject to the qualification, training and competency assessments relevant to their role.

1.4 Technical guidance, tools and provision of safety-critical information (Critical Element-5)

Australia's highest priority is to maintain and enhance aviation safety performance. Australia's safety goals emphasise the importance of industry and Australian Government agencies committing to resource safety management and oversight, as well as equipping staff with the skills and expertise to discharge their responsibilities competently.

1.4.1 SSP agency guidance

Australia has developed and published technical guidance material to assist SSP agencies' technical experts in implementing national regulations, procedures and practices. This includes guidance for inspectors on how to implement regulations and policies leading to certification and how to conduct surveillance activities.

CASA maintains up-to-date manuals and handbooks containing technical guidance on all facets of CASA activities including processing applications, implementation of regulations, entry control requirements, enforcement and licencing procedures. CASA technical guidance is designed to support CASA technical staff as well as industry participants. That technical guidance is publicly available through the CASA website with CASA manuals and handbooks available at: https://www.casa.gov.au/publications-and-resources/manuals-and-handbooks

ATSB provides staff with comprehensive standardised technical guidance, procedures, tools and equipment to ensure consistent quality outcomes.

Technical information, procedures and work instructions related to the provision of safety functions at the BoM are governed by an ISO 9001:2015 (International Organization for Standardization) certified quality management system. The system ensures that relevant technical personnel have access to current standardised information which meets aviation safety requirements.

1.4.2 Industry regulatory guidance

Australia provides a range of guidance material to industry as support to the implementation of applicable regulations, instructions and directives, and to ensure industry participants are aware of the legislative requirements and relevant application processes. Current examples are detailed in Table 6.

Table 6 Current guidance material

Guidance document title	Description
Civil Aviation Advisory Publications	Provide guidance and information in a designated subject area or show a method for complying with a related CAR. CAAPs should always be read in conjunction with the CAR.
Advisory Circulars	Provide recommendations and guidance to illustrate a means of complying with the Civil Aviation Safety Regulations 1988 (CASR).
Acceptable Means of Compliance and Guidance Material	Explains how the requirements of the CASR can be met when applying for a certificate, license, approval or other authorisation.
Sample Documents	Provided to assist industry to allow compliance with the CASR requirements.
Other guidance material	Australia has a series of other guidance material designed to support and assistance industry in meeting their regulatory obligations.

1.4.3 Communication of safety critical information

To foster safety in the aviation operational environment, the Australian aviation framework supports the timely and efficient provision of safety-critical information to industry participants. This includes processes and procedures to support the immediate provision of Notices to Airmen (NOTAMs), efficient issuance of Airworthiness Directives (AD), and effectual updates to the AIP.

1.5 State emergency response plan

Australia has specific plans in place to respond to events which impact, or have the potential to impact, on aviation safety in Australian administered airspace or territory, or involving Australian registered aircraft outside of Australian administered airspace or territory.

Australia's response plans include the Business Continuity Management Framework for a disaster or extended disruption to the aviation system including incidents such as earthquakes or floods.

CASA maintains a Critical Occurrence Response Plan including a Volcanic Ash Occurrence Response Plan, providing a specific framework to manage the response to a volcanic ash event or emergency. These plans complement the Australian Government Aviation Disaster Response Plan maintained by Home Affairs.

1.6 State safety goals, targets and indicators

Australia's safety goals are derived from the aviation challenges and priorities presented in the NASP. These are based on current and emerging trends shown through detailed analysis of data collected by each of the aviation agencies. The safety goals represent the desired outcome that Australia's NASP and SSP aim to achieve. Each safety goal has associated safety performance indicators and safety performance targets used to measure Australia's performance in relation to the safety goal. In addition, each safety goal has a series of safety enhancement initiatives and actions Australia intends to undertake to improve State safety performance.

Considered together, the safety goals are each designed to contribute towards an overall acceptable level of safety performance for Australia.

Further information on Australia's safety goals, targets and indicators including the current goals, targets, indicators and acceptable level of safety performance is available in the NASP.

2. STATE SAFETY RISK MANAGEMENT

Safety risk management of the aviation industry is a shared responsibility between industry participants and Australian Government aviation agencies, with all participants working collaboratively to effectively manage potential safety risks. Australia has adopted a proactive approach to safety risk management by mandating a SMS for most sectors in the aviation industry (as detailed in Section 2.2) and promoting effective hazard identification methods across industry. This helps ensure critical safety information is escalated to the relevant Australian Government agency.

The identification and management of aviation safety risk in Australia is undertaken through a multi-layered process. This allows risk information to be aggregated into higher order categories, culminating in a system-wide assessment. At the State level, the SSP-CAT is responsible for the identification, assessment and management of risks, and incorporation of those risks into the NASP.

2.1 Licensing, certification, authorisation and/or approval obligations (Critical Element-6)

At the centre of Australia's safety regulations is an authorisation regime for safety critical aviation activities which involves the issue, by CASA, of licences, certificates, approvals and authorisations to industry personnel, air operators, service providers and aerodromes.

These approval processes act as the initial risk control to assure service providers and industry participants that they have achieved the required standards to operate safely within the aviation system. Details on CASA's regulatory structure including licencing and certification requirements are available at: https://www.casa.gov.au/rules-and-regulations/changing-rules/casr-regulatory-structure

2.1.1 Personnel licencing

CASA is responsible for issuing a range of licences, permits and approvals to allow individuals to conduct certain aviation activities. Individuals are required to adhere to the Australian civil aviation laws when engaging such activities. Certification of training organisations, courses and synthetic training devices that support personnel licencing outcomes are detailed in Section 2.1.2.

Personnel licencing records are retained for a period of 30 years in accordance with the *Archives Act 1983, Privacy Act 1988,* Australian Privacy Principles (AAP), Protective Security Policy Framework (PSPF), the Cabinet Handbook, Australian Public Service (APS) Code of Conduct and other key legislation and whole of Australian Government standards.

2.1.2 Certification

CASA has established a system for the certification of aircraft, aviation equipment, air operators, maintenance organisations, aerodromes and air traffic service providers. Certification contributes to the safety of the Australian aviation system and to the global aviation network.

Air operators

Operators that intend to conduct commercial air transport (charter or regular public transport), aerial work or flight training for commercial purposes in Australia are required to possess an appropriate Air Operators' Certificate (AOC).

An AOC permits an operator to conduct and manage aviation activities. Air operators are required to adhere to Australian civil aviation laws when engaging in aviation-related activities within the scope of their certification. Regulatory requirements for this process are at Table 9 in Annex 2.

Maintenance organisations

CASA issues two types of certification for organisations that maintain aircraft. Aircraft and or aeronautical products for passenger transport operations are required to be maintained by organisations approved under CASR Part 145 – Approved Maintenance Organisations. Aircraft and/or their aeronautical product maintenance organisations not engaged in passenger transport operations are required to be maintained by an organisation with a certificate of approval under CAR 30.

Aircraft

Australia has implemented a clear and comprehensive airworthiness system to ensure that aircraft are safe for operations and support the safety of the travelling public. Australia's regulatory requirements for aircraft are classified as either certification/airworthiness requirements or aircraft registration requirements as defined in Table 10 in Annex 2.

Aerodromes

Australian certification requirements for aerodromes are determined by the nature of flight procedures associated with the specific aerodrome. Aerodrome certification, technical and operational requirements are detailed in CASR 139 - Aerodromes. Australian aerodromes are categorised as either certified or other (non-certified) aerodromes.

An aerodrome must be certified where there is a terminal instrument flight procedure for the aerodrome and the procedure is not only for use in specialised helicopter operations. Aerodromes that are not certified are categorised as 'other aerodromes' and are not subject to formal regulatory oversight. Operational safety for 'other aerodromes' remains the responsibility of the AOC holder.

Synthetic training devices

Australia certifies synthetic training devices (simulators) for use to train flight crew and gain the necessary experience to meet licencing or rating outcomes. Synthetic training devices are approved and certified in accordance with CASR Part 60 – Synthetic training devices.

Training organisations

Australian training organisations and their courses that support licensing outcomes for the personnel graduating in to the aviation industry, are required to be certified by CASA. Certification requirements are detailed in Table 11 in Annex 2.

Air Traffic Service providers

Airservices is Australia's civilian air traffic service provider. Airservices has regulatory approval to provide Air Traffic Services, in addition to the other services detailed in Table 12 in Annex 2.

2.1.3 Approval process

CASA is responsible for issuing certificates, licences, registrations and permits as defined in paragraph 9(1)(e) of the CA Act. The issuing of certificates, licences, registrations and permits is conducted in accordance the requirements of the respective legislation. The CASA Regulatory Policy Issue of Industry Permissions details the processes by which applications for permissions are considered and issued and ensures they are consistent, fair, timely and comply with applicable legislation.

2.2 Safety management system obligations

Australia requires the implementation of a SMS in certain aviation industry sectors based on the risks associated with the particular activities undertaken as detailed in Table 7.

Table 7 Australian SMS regulatory requirements

Activity		Regulatory Reference		Notes
Air Transport Operations	*High Capacity Passenger Transport Operators*	CAO 82.5	to be replaced with CASR 119	*CASR 119 effective 2 December 2021 for all air transport operations.*
	Low Capacity Passenger Transport Operators	CAO 82.3		
Aerodromes		CASR 139.B		
ARFFS		CASR 139.H		
Integrated and multi-crew pilot flight training, contracted recurrent training and contracted checking		CASR 142.G		
Approved Maintenance Providers		CASR 145.A		*Applies to organisations maintaining aircraft and/or aeronautical products for aircraft operated under a Passenger Transport AOC (CAR 206(1)(c)).*
Approved Self-Administering Aviation Organisations		CASR149.E		
Aeronautical telecommunication and radionavigation providers		CASR 171.C		
Air Traffic Service Providers		CASR 172		
Instrument flight procedure design		CASR 173.B		
Aeronautical Information Management		CASR 175		

CASA provides industry with a range of support for SMS implementation and regularly maintains guidance material.

2.2.1 Service providers' safety performance

An important element of a mature safety management oversight system is agreement between the safety regulator and service providers on key performance indicators and expected level of performance to be achieved. In Australia this level of performance is in part judged by how a service provider delivers against its SMS. Oversight of a SMS is included in CASA's audit programme for those operators who are mandated to have one.

2.3 Accident and incident investigations

ATSB is responsible for the independent investigation of accidents and other safety occurrences involving civil aircraft in Australia, and takes part in the investigation of accidents and other occurrences involving Australian aircraft overseas. In accordance with Annex 13 SARPs. The ATSB also assists its regional neighbours conduct investigations by providing investigator expertise and technical facilities upon request.

ATSB does not investigate for the purpose of apportioning blame or to provide a means for determining liability. Investigations conducted by the ATSB inform future safety research and permit trend analysis. Central to the ATSB's ethos is the early identification of safety issues in the transport environment. All ATSB investigation reports are made available to the public and provided to ICAO where required.

The ATSB prefers to encourage the relevant organisation(s) to initiate proactive safety action that addresses safety issues. Nevertheless, ATSB may use its power to make a formal safety recommendation either during or following an investigation, depending on the level of risk associated with a particular safety issue and the extent of corrective action undertaken by the relevant organisation.

When safety recommendations are issued, they focus on clearly describing the safety issue of concern, rather than providing instructions or opinions on a preferred method of corrective action.

ATSB has no power to enforce the implementation of its recommendations, similarly to international counterparts. It is a matter for the organisation to which an ATSB recommendation is directed to assess the costs and benefits of addressing a particular safety issue.

2.4 Hazard identification and safety risk assessment

Aviation safety systems depend on timely, accurate and informative reports about safety incidents and events, allowing trends to be identified, recurring issues to be resolved and risks within the system to be measured and responded to appropriately.

SSP agencies collect aviation related data. In the interests of aviation safety, data is shared between relevant agencies in line with protocols established under the domestic arrangements shown in Table 4.

Australia identifies hazards to the aviation system through safety reporting, accident investigation, surveillance results, safety studies and risk assessments.

2.4.1 Accident, incident and other safety reporting

Industry reports, either mandatory or voluntary, are a primary data source used for aviation hazard identification by Australian SSP agencies.

Mandatory reporting

ATSB is primarily responsible for collecting, analysing and researching operational safety data, and administers the various mandatory and voluntary reporting schemes established under the TSI Act.

The mandatory reporting scheme established under the TSI Act gathers information on occurrences which endanger or could endanger aviation safety and are categorised into Immediately Reportable matters and Routine Reportable matters. The information gathered provides accounts of actual or potential safety hazards and deficiencies. The information is used to identify safety issues that need to be addressed to improve system safety. In line with Annex 13 to the Chicago Convention, ATSB provides aviation accident and incident data to ICAO through the Accident/ Incident Data Reporting system.

Further information on Australia's mandatory reporting scheme is available at: https://www.atsb.gov.au/mandatory/asair-form/

In addition to mandatory operational reporting, industry is required to report major defects in aircraft and aeronautical products to CASA. Reports and trends are analysed by CASA as part of the Defect Report System to determine if action is required.

Further information on the use of Australia's Defect Reporting System is available at: https://www.casa.gov.au/aircraft/airworthiness/continuing-airworthiness/defect-report-service

Voluntary reporting

Australia has established a voluntary confidential reporting scheme for aviation (REPCON), which allows any person who has an aviation safety concern to report it to ATSB confidentially. Protection of the reporter's identity is a primary element of the scheme. Further information on Australia's voluntary reporting scheme is available at: www.atsb.gov.au/voluntary/repcon-aviation.aspx

The Aviation Self Reporting Scheme (ASRS) is a voluntary and confidential aviation self-reporting system that provides protection from administrative action, or from paying an Infringement Notice in certain circumstances. The scheme is established under the CASRs. Further information on the ASRS is available at: https://www.atsb.gov.au/voluntary/asrs/asrs_more.aspx

Australia encourages a positive reporting culture where all industry participants are willing to disclose any incidents that occur and any mistakes they make. CASA's Regulatory Philosophy is consistent with a 'just culture' approach, whereby people who report incidents and mistakes are not normally prosecuted or punished, except in cases where their action was wilful, reckless or grossly negligent.

CASA and the ATSB have also issued a Safety Information Policy Statement, which reflects an approach informed by 'just culture' principles and is available on the CASA and ATSB websites.

2.4.2 Other aviation safety reporting and data analysis

SSP agencies gather data for a range of purposes. The Joint Agency Aviation Safety Analysis Coordination Group (JAASACG) brings together representatives from CASA, ATSB, Airservices, BITRE and Defence to participate in a data sharing platform that supports the integration, query and analysis of data over multiple sources of aviation safety data. The platform provides member agencies with a holistic view of aviation safety data in Australia, across multiple connected sources. This group facilitates state level data analysis and reporting in support of SSP governance.

Occurrence Reports

Airservices collects Occurrence Reports regarding airspace and the air traffic management system maintained by Airservices which permit systemic analysis and trend monitoring. The MOU between ATSB and Airservices for investigations and the exchange of safety information provides agreed processes for notification of these reports to the ATSB. Airservices also provides Occurrence Reports to CASA.

Research

The ATSB undertakes specific research and publishes reports where there is value in further analysing particular types of occurrences or trends. By monitoring trends, issues of concern can be communicated, and action taken to prevent accidents. ATSB publishes regular reports on the emerging trends in aviation safety.

Data publication

ATSB makes de-identified information from its aviation occurrence database available on the ATSB website for public use. Users can search and export either selected or group data according to a range of variables including occurrence type, date, location, highest injury level, aircraft and engine type, aircraft maximum weight category, manufacturer and model, operation type, and airspace.

CASA

CASA maintains current information for all safety regulation activities that it conducts. This information is subject to trend analysis as required to support CASA management.

2.5 Management of safety risk

Australia will establish an aviation hazard register which identifies risks, controls, indicators and actions. This register will be coordinated and maintained by the SSP-CAT. Hazards may include information from non-compliances identified by CASA, reported safety events, negative safety trends and results from accident and incident investigations.

The register will monitor a range of indicators to ensure that risks remain within the agreed acceptable tolerances. The register will review risks which exceed tolerances and identify controls and actions for implementation. The intent is for these initiatives to subsequently be placed in the NASP. SSP-CAT will also review risks that consistently fall below the acceptable risk threshold to identify opportunities where controls may be removed.

Identified safety risks may have been either previously identified with existing controls in place, or not yet considered and without existing controls in place.

Where safety concerns relate to risks that have previously been identified and are controlled through regulations, consideration will be given to the effectiveness of the current control(s) and the compliance of an individual or organisation with the control. Risk controls that are found to be ineffective maybe modified or further controls implemented as necessary where individuals or organisations are not complying with aviation safety regulatory requirements.

In managing newly identified aviation safety risks, SSP agencies (as applicable) will seek to develop and document suitable risk mitigation or control strategies. These strategies are able to manage risk through the implementation of legislative or supporting controls.

Maintaining Australia's high safety standards will be integral to restoring passenger confidence as civil aviation recovers from the severe operational and financial impacts resulting from the COVID-19 pandemic. In this respect, regulatory alleviation measures, put in place by Australia as part of ICAO's global coordinated response in the first half of 2020, (e.g. in relation to the currency of licencing and medicals) do not continue beyond the period required to support recovery of the industry and do not negatively impact the safety of Australia's aviation operating environment.

2.5.1 Resolution of safety concerns (Critical Element 8)

CASA initiates independent surveillance or investigation activities for potential identified non-compliances related to aviation safety in accordance with its Enforcement Manual. The Enforcement Manual outlines processes for securing compliance with aviation safety regulations. These processes clearly outline the opportunities available to an operator to work with CASA to rectify the issue. CASA's Enforcement Manual is available at: https://www.casa.gov.au/publications-and-resources/publication/enforcement-manual

CASA is empowered through the CA Act to implement enforcement measures should a safety concern not be resolved in an effective or timely manner.

Safety concerns relating to reported safety events, negative safety trends and safety recommendations stemming from the outcomes of accident and incident reports will be risk assessed by the SSP-CAT and entered into the hazard register and NASP as necessary. The SSP-CAT monitors safety indicators to ensure the effective implementation of required controls and actions. Where implementation is not seen to be effective, the SSP-CAT will review assigned controls, actions and associated data to determine alternative options to resolve the safety concern.

3. STATE SAFETY ASSURANCE

Australia takes a performance-based approach to its safety oversight system, underpinned by a philosophy of mutual responsibility and accountability. Australian Government agencies retain a critical role in maintaining quality assurance of the broader aviation safety system. This includes safety oversight and auditing, as well as data collection, analysis and exchange.

3.1 Surveillance obligations (Critical Element-7)

Australian Government agencies regularly undertake inspections, audits and other monitoring activities to pro-actively safeguard compliance within the Australian aviation system. Agencies have established and implemented effective and sustainable surveillance programs relevant to their operations.

Surveillance programs include plans which detail specific surveillance activities, their timeframe and scope. The timeframe and frequency of surveillance activities are risk based and scalable to the type and size of the operation, and take into consideration published guidance from ICAO. Detailed guidance methodology, procedures and tools related to the preparation, conduct, reporting and follow-up are available to inspectors at each agency.

Inspectors are required to ensure their assessment provides the best chance for the operator to demonstrate compliance. Inspectors are to ensure assessments are fair, flexible, valid and reliable. Evidence collected during surveillance activities must meet the rules of evidence, in that it must be valid, sufficient, authentic and current.

Surveillance records are retained indefinitely/for a period of 30 years in accordance with *Archives Act 1983, Privacy Act 1988*, APPs, PSPF, the Cabinet Handbook, APS Code of Conduct and other key legislation and whole of government standards.

3.1.1 CASA

CASA conducts comprehensive aviation industry surveillance, including assessments of safety-related decisions taken by industry management at all levels to determine their impact on aviation safety. CASA's surveillance activities include regular planned and unplanned audits and inspections, reviews, data collection and exchange, analysis and assessments of workflow information management.

CASA has aligned a safety oversight risk management hierarchy with ICAO categorisation models of Air Transport, Aerial Work and General Aviation. CASA has also adopted an 'Australian aviation community sector' profile which includes flight training, airworthiness management, infrastructure and services. Decisions around surveillance activities are also aligned to these defined CASA aviation community sectors.

CASA adopts a systems and risk-based surveillance approach, and undertakes inspections as required to assess the risk mitigation and compliance levels of authorisation holders. This process provides feedback to CASA's risk assessment process and sector profiles.

The CASA Surveillance Manual can be found at: https://www.casa.gov.au/publications-and-resources/publication/surveillance-manual

3.1.2 Home Affairs

Home Affairs' AMS Division develops an annual National Compliance Plan which ensures a risk-based approach to security compliance activities, proportionate to security vulnerabilities and intelligence holdings.

The National Compliance Plan employs a combination of activities to monitor regulated Industry Participants' compliance with their obligations under the ATS Act.

These activities are constantly reviewed based on risk and intelligence information and incorporate audits, inspections, system tests and targeted national campaigns.

3.2 Australia's safety performance

Australia monitors and measures the holistic safety performance of the aviation system through the analysis of safety data and information presented to SSP-CAT.

Emerging safety concerns are identified during this analysis and are used to inform decisions regarding controls and their effectiveness. This analysis is used to identify emerging safety concerns and inform decisions on the safety goals, indicators and targets that are developed for inclusion in the NASP to measure overall State safety performance.

In support of Australia's safety goals, the NASP defines a series of SEIs and associated actions, designed to improve State safety performance. The SSP-CAT is responsible for monitoring and tracking SEIs and actions. Actions may be assigned to a specific SSP working group listed in Annex 1 if required, depending on their expertise.

3.2.1 Safety-data-driven targeting

The safety data collected by Australia's aviation agencies is regularly reviewed, analysed and reported for the purpose of identifying trends, emerging safety issues and assisting with addressing existing safety issues.

CASA

Part of CASA's core function is the monitoring of safety performance and identification of safety related trends and risk factors, taking into account international safety developments.

ATSB

The ATSB investigates aviation accidents and incidents, and collects safety data through both mandatory and voluntary reporting schemes. The ATSB uses this data to determine how prevalent certain types of occurrences are in different types of aviation operations, and to proactively look for emerging safety trends. By monitoring trends, issues of concern can be communicated and action taken to prevent accidents.

Potential issues are then monitored by the ATSB, and shared with industry and other government agencies. Safety actions can then be taken by the most appropriate organisations to prevent these issues resulting in accidents. These trends can also point to the need for the ATSB to target particular types of occurrences for investigation.

3.2.2 Universal Safety Oversight Audit Programme Continuous Monitoring Approach

Australia undertakes a systematic, coordinated national approach to managing our responsibilities under the ICAO Universal Safety Oversight Continuing Monitoring Approach (USOAP CMA). The Multi Agency MOU is evidence of the Australian Government commitment to the management of safety oversight and details the roles and responsibilities of each agency.

The Multi Agency MOU identifies the coordination and working arrangements of the agencies and establishes the USOAP CMA Working Group. The USOAP CMA Working Group is a cross-agency team with representatives of all agencies with Annex responsibilities. The working group meets regularly to ensure that Australia adheres to ICAO's safety oversight standards.

3.3 State management of change

Australia has developed procedures to support the management of change at a State level. Implementing a management of change process is important to allow a State to proactively identify the impact of change in its aviation system. Australia plans and executes proposed State-level changes via a structured and defined methodology.

State changes, either planned or unplanned that may impact on Australia's ability to fulfil its regulatory obligations or impact safety management capabilities are managed under the SSP framework. The impact of planned changes on the existing civil aviation system are considered prior to implementation and risks are identified for mitigation. SSP changes that are required to be considered by the SSP-CAT. Changes can be classified as: organisational, regulatory or operational and may include:

- reorganisation of State aviation authorities (including downsizing);
- changes in defined SSP processes;
- changes in the regulatory environment, such as changes in existing State safety policies, programmes, and regulations;changes in the operational environment, such as introduction of new technologies, infrastructure, equipment and services; and
- rapidly changing industry (expanding, contracting, morphing) and its potential impact on the State oversight and performance monitoring capabilities.

3.3.1 Organisational change

SSP organisational changes are endorsed and oversighted by the APG via the AIG. Agencies that are directly impacted by the change are encouraged to be actively involved in the planning and implementation of the change. Agencies that are not directly impacted by the change must be informed of the change and associated activities.

3.3.2 Regulatory change

The Australian Government consults relevant government agencies, commercial organisations, industrial and consumer groups, bodies representing the aviation industry, and the public on all proposed safety regulatory changes. Public consultation typically includes:

- discussion papers during the regulatory development stage;
- draft regulations; and
- summaries of consultation following consideration by the Aviation Safety Advisory Panel (ASAP) and the applicable Technical Working Group (TWG).

Public submissions provided within the public consultation period will be considered and any appropriate changes made prior to the proposed rule prior to being submitted to the responsible Minister for approval.

3.3.3 Operational changes

Operational changes within the SSP environment may necessitate responses from SSP agencies, such as reorganising an agency's structure or improving its capability in order to effectively manage any associated risks.

3.3.4 Other changes

Where changes do not impact other SSP stakeholders or relate to an existing risk control, an SSP agency will freely implement changes within their respective areas of responsibility in accordance with agency procedures. Where the change impacts policy or procedures documented in the SSP, then the agency making the change should notify the SSP-CAT to ensure the change can be appropriately documented. Each agency will ensure that the impact of a planned change on the broader SSP and other SSP agencies is considered through their management of change.

3.4 Continuous improvement

Australia utilises a Plan/Do/Check/Act cycle to continuously improve the SSP and aviation system through regular reviews of the SSP and implementation of a NASP and an ATMP. Australia aligns to the triennial global and regional safety planning cycle, where the SSP is subject to a formal review every three years. However, a review of the SSP, NASP and ATMP may be triggered by the SSP-CAT under the change management methodology when required.

4. STATE SAFETY PROMOTION

Safety promotion is critical in supporting the core operational objectives in Australia's SSP. All Australian aviation safety agencies play a role in aviation safety promotion. Safety promotion in Australia is enhanced through staff training, communication and dissemination of safety information to ensure an effective State safety culture.

4.1 Internal communication and dissemination of safety information

Australian aviation safety agencies offer a range of mandatory and recommended safety awareness training for all relevant staff. SSP and SMS awareness training has been developed and is accompanied by educational and promotional products. Awareness training is communicated through various means such as through agencies' learning management systems, email newsletters, fact sheets and internal advertising.

Additionally, ATSB conducts briefings on the progress of investigations including emerging issues relating to resourcing and scope, stakeholder management and identified or potential safety issues. Both CASA and ATSB offer training courses which are available to staff in all Australian aviation safety agencies.

4.2 External communication and dissemination of safety information (Critical Element-5)

Formal and informal communication from Australian aviation safety agencies to the aviation industry is used to convey safety-related information. This communication can be urgent, safety-critical information or safety-related information of a more routine, informative nature.

4.2.1 Infrastructure

Infrastructure coordinates the Australian Government's engagement with ICAO matters, and provides a central point from which data and analysis of safety information is disseminated to Australian aviation safety agencies. It provides the electronic hosting point for the SSP and NASP documents in addition to detailing how Australian safety obligations are met.

4.2.2 CASA

CASA uses a range of safety communication, education and promotion activities aimed at further developing an informed and safety conscious aviation industry and community. CASA communicates time sensitive, safety critical information to the aviation industry through Airworthiness Directives (ADs).

In addition to mandatory communication, CASA provides a range of informative, educational and promotional material to industry and the public, and has an active group of aviation safety advisors

available to provide assistance and advice to industry. More information about CASA's safety education and promotion can be found at: https://www.casa.gov.au/standard-page/education

4.2.3 ATSB

The ATSB communicates and disseminates safety information, including information drawn from the results of its investigations and safety research and analysis. The ATSB publishes investigation and research reports publically on its website and social media channels, delivering targeted safety messaging to the aviation industry.

The ATSB also collaborates with portfolio agencies CASA, Airservices Australia, and AMSA to produce and share safety material to improve aviation safety for the travelling public.

4.2.4 Airservices

Airservices oversees Australia's NOTAM notifications which alert pilots to any potential safety hazards along a flight route or in a specified location. NOTAMs are facilitated and published by Airservices but generated by approved data originators (industry participants). NOTAMs can also advise of changes to aeronautical facilities, services or procedures.

Airservices provides a comprehensive aeronautical information service for Australian aviation participants. Airservices publishes a comprehensive range of information products for commercial and private pilots to ensure the safety and efficiency of aviation activities, including:

- static information – defined airspace, waypoints and air routes; the location and character of navigation aids, frequencies and obstacles; and the physical characteristics of airports and geography; and
- dynamic information – weather and other conditions that impact flight planning and operations.

Airservices also produces a range of safety communications media on airspace and air traffic functions and topics. These products are available to the aviation community through established liaison channels, safety magazines and newsletters and through the Airservices website. Examples of these products can be found at: www.airservicesaustralia.com/publications/safety-publications/

4.2.5 AMSA

AMSA communicates and disseminates safety information related to SAR, particularly information about the Cospas-Sarsat satellite distress beacon detection system. AMSA also produces a range of safety communications media on SAR topics. Information is published in safety magazines and on the AMSA website at: https://www.amsa.gov.au/safety-navigation

4.2.6 BoM

BoM regularly publishes aviation weather articles related to service changes and hazardous weather in aviation safety magazines. BoM also publishes information related to aviation hazardous weather phenomena, including those specific to a region or a particular airport at: http://www.BoM.gov.au/aviation/knowledge-centre/

4.2.7 Home Affairs

The Transport Security Guidance Centre (Guidance Centre) distributes transport security related legislative and regulatory communications which are taken into account by industry for their operations.

The Transport Security Guidance Centre engages with industry on queries and regulatory submissions, while also providing guidance materials, accurate advice, time sensitive legislative amendments and direction to the Home Affairs website for general transport security information.

The Aviation and Maritime Security Division develops transport security information products for industry to ensure they are informed about threats and risks to transport sectors in which they operate. This includes urgent information and educational and informative products.

4.2.8 Defence

Defence, through the implementation of the Defence Aviation Safety Program, communicates safety information via a range of mechanisms including but not limited to:

- aviation safety publications, periodicals and conferences;
- safety occurrence reporting;
- dissemination of safety investigation findings;
- the annual Defence Aviation Safety Health Assessment;
- Advisory Circulars; and
- Airworthiness Board Reports.

The Defence Aviation Safety Authority also conducts a range of education and training, and provides promotional information to raise safety awareness within the Defence aviation community. Further information is available on the Defence Aviation Safety Authority web site at: https://www.defence.gov.au/dasp

ANNEX 1— SSP WORKING GROUPS

Meeting	Frequency	Attendees (Chair)	Role
Universal Safety Oversight Audit Program Continuous Monitoring Approach (USOAP CMA) Working Group		• Infrastructure (Chair) • CASA • Airservices • ATSB • AMSA • BoM • Home Affairs	The USOAP CMA Working Group is a working level cross-agency team with representative of all agencies with ICAO Annex responsibilities. The objective of the USOAP CMA Working Group is to promote civil aviation safety by ensuring Australia adheres to ICAO's safety oversight standards.
Joint Agency Aviation Safety Analysis Coordination Group (JAASACG)		• ATSB • CASA • Airservices • BITRE • RAAF • Home Affairs • Other NMHS providers	To facilitate the exchange of safety-related data and analyses between agencies, for the sole purpose of maintaining and improving aviation safety; and to identify joint safety analysis projects that utilise the combined capabilities of agencies to produce outputs of aviation safety benefit.
Australian Aviation Wildlife Hazard Group (AAWHG)	Quarterly	• Airline associations • Airport associations • Infrastructure • CASA • Airservices • Airlines • ATSB • RAAF • Unions • Industry bodies	The primary aviation wildlife hazard management reference body in Australia. The AAWHG fulfils Australia's commitment to have a national bird strike committee as recommended by ICAO under the Airport Services Manual (Document 9137).
Aviation Industry Services Working Group	Twice per year	• BoM • Airservices • CASA • Industry	To review and endorse the provision of aviation meteorological service by the Bureau of Meteorology and consider opportunities for service development.
National Runway Safety Group	Twice per year	• Airline associations • Airport associations • CASA • Airservices	Identifies current and emerging issues relating to runway safety at the national level and implements national initiatives in a targeted, tailored and timely manner to assure the safety of operations.
National Airports Safeguarding Advisory Group	Twice per year	• CASA • Airservices • Local Government Association • Commonwealth, State and Territory Government planning officials • Commonwealth, State and Territory Government transport officials	Develops the National Airports Safeguarding Framework, a national land use planning framework which aims to improve safety outcomes by ensuring aviation safety requirements are recognised in land use planning decisions.

Meeting	Frequency	Attendees (Chair)	Role
Volcanic Ash Working Group	Twice per year	• BoM • Airservices • CASA • Other NMHS and Industry	To discuss issues relating to the impact of volcanic ash events on aviation
Australian Strategic Air Traffic Management Group (ASTRA)		Members: • Airservices • Airport associations • Airlines association • Airlines Observers: • CASA • AMSA • Infrastructure • ATSB • RAAF (ADF) • BoM • Unions	ASTRA is the peak industry advisory body dedicated to participation in the development of an optimum ATM system for Australia. It comprises industry stakeholders including representatives of aircraft and airport operators from a range of industry sectors, staff associations, Airservices and observers from other Australian Government agencies.
Aviation State Engagement Forum		• CASA • Airservices • BoM • RAAF (ADF) • Airlines • Industry associations	State-based (regional) forums for discussion of matters relating to airspace and related procedures in Australia, and specifically in their areas of responsibility.
Asia Pacific Cabin Safety Working Group	Twice per year	• Airlines • Industry associations • CASA • ATSB	To facilitate the exchange of cabin safety information and sharing of resources, with the aim of promoting a proactive approach to cabin safety across the industry.
Aviation Safety Advisory Panel (ASAP)		• CASA • Airlines • Industry associations	ASAP is the primary advisory body through which CASA directs industry engagement and seeks input on current and future regulatory and associated policy approaches. The ASAP provides the Director of Aviation Safety with informed, objective high-level advice from the aviation community on current, emerging and potential issues that have, or may have, significant implications for aviation safety and the way CASA performs its functions.
Technical Working Group(s) (TWGs)		• CASA • Airlines • Industry associations	TWGs are established by the ASAP for referring specific issues within an industry sector, subject matter or domain for advice. CASA may also establish a TWG to provide input on specific technical issues and proposals. In these cases, the ASAP will be requested by CASA to endorse the TWG so there is transparency in the collaborative work conducted by CASA and Industry representatives.

ANNEX 2—AUSTRALIAN LICENSING, CERTIFICATION, AUTHORISATION AND/OR APPROVAL REGULATIONS

Table 8 Personnel licencing requirements

Personnel	Regulation(s)
Flight Crew	CASR 61 – Flight crew licencing CASR 67 – Medical
Air Traffic Controllers	CASR 65 – Air Traffic services licensing CASR 67 – Medical
Aircraft Maintenance Engineers	CASR 66 – Continuing Airworthiness – aircraft licences and ratings
Remote Pilots	CASR 101 – Unmanned Aircraft and Rockets
Other Personnel	CASR 64 – Authorisations for non-licenced personnel

Table 9 Australian Air Operator approvals

Sector	Current Rules		Future Rules (From 25 March 2021)	
Commercial Air Transport	High Capacity passenger transport	CAO 82.0, 82.5	Large Aeroplanes	CASR 91 / 119 / 121
	Low Capacity passenger transport	CAO 82.0, 82.3	Small Aeroplanes	CASR 91 / 119 / 135
	Charter	CAO 82.0, 82.1	Helicopters	CASR 91 / 119 / 133
	Balloon Charter	CAO 82.0, 82.7	Balloons	CASR 131
Aerial Work	Aeroplanes	CASR 137	Dispensing and Aerial Application Operations	CASR 137 / 138
			External Load Operations	CASR 91 / 138
	Helicopters	CAO 82.0, 82.1	Task / Role specific operations	
	Balloon	CAO 82.0, 82.7	Emergency Services Operations	
Flight Training	Recreational, Private and Commercial Pilot Training Organisations	CASR Part 141		
	Multi-crew training organisations	CASR Part 142		

Table 10 Australian aircraft certification and registration regulations

Type	Regulation
Certification / Airworthiness	CASR 21 – Certification and airworthiness requirements for aircraft and parts
	CASR 22 – Airworthiness standards for sailplanes and powered sailplanes
	CASR 23 – Airworthiness standards for aeroplanes in the normal, utility, acrobatic or commuter category
	CASR 25 – Airworthiness standards for aeroplanes in the transport category
	CASR 26 – Airworthiness standards for aircraft in the primary category or intermediate category
	CASR 27 – Airworthiness standards for rotorcraft in the normal category
	CASR 29 – Airworthiness standards for rotorcraft in the transport category
	CASR 31 – Airworthiness standards for manned free balloons
	CASR 32 – Airworthiness standards for engines for very light aeroplanes
	CASR 33 – Airworthiness standards for aircraft engines
	CASR 35 – Airworthiness standards for aircraft propellers
	CASR 39 – Airworthiness Directives
	CASR 90 – Additional airworthiness requirements
Aircraft Registration	CASR 45 – Display of nationality and registration markers and aircraft registration identification plates
	CASR 47 – Registration of aircraft and related matters

Table 11 Training Organisation certification

Training Outcome	Regulation
Flight Crew	CASR 141– Recreational, private and commercial pilot flight training, other than certain integrated training courses CASR 142 – Integrated and multi-crew pilot flight training, contracted recurrent training and contracted checking
Air Traffic Controllers	CASR 143 – Air traffic services training providers
Aircraft Maintenance Engineers	CASR 147 – Continuing airworthiness—maintenance training organisations
Remote Pilots	CASR 101 – Unmanned aircraft and rockets

Table 12 Airservices certification

Service	Regulation
Air Traffic	CASR172 – Air Traffic Service Providers
Instrument Flight Procedures Design	CASR 173 – Instrument flight procedure design
Aeronautical Telecommunications and Radionavigation	CASR 171 – Aeronautical telecommunications services and radionavigation service providers
Aerodrome Rescue and Firefighting	CASR 139.H – Aerodrome Rescue and Fire Fighting services
Aeronautical Information Management	CASR 175 – Aeronautical Information Management (services) providers and data