CIVIL AVIATION AUTHORITY 2021–2026

STATEMENT OF INTENT

CAA
CIVIL AVIATION AUTHORITY
OF NEW ZEALAND
Te Mana Rererangi Tūmatanui o Aotearoa

Aviation Security Service
Kaiwhakamaru Rererangi

Board statement

The Authority certifies that the information contained in this Statement of Intent (SOI) reflects the operations and strategic direction of the Civil Aviation Authority for the period 2021–2026.

Signed on: 17 June 2021

J E Fredric

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Chair of the Civil Aviation Authority of New Zealand

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Introduction

The Covid-19 pandemic has had a significant impact on civil aviation in New Zealand and around the world. The full extent of the impact will emerge over time. While the future of civil aviation is uncertain, as New Zealand's safety and security aviation regulatory organisation, our vision and purpose is clear: a safe and secure aviation system - so people are safe, and feel safe, when they fly.

The Authority will lead and influence activity underpinning the safety and security of the system during and after the pandemic, as civil aviation activity evolves. This includes work to ensure regulation is fit for purpose and applied in a way that's well informed by the challenges and pressures on participants, risk-focussed and supportive of a safe and secure system.

A resilient organisation

Our response to the pandemic demonstrated the resilience and flexibility of our people. Our aviation security teams stepped into non-traditional roles. These included helping to maintain public order, and operating managed isolation and quarantine facilities. In terms of aviation safety, we were flexible regarding regulatory requirements without compromising aviation safety. These experiences will help us to deal with challenges and opportunities arising during the period of this Statement of Intent.

A safe and healthy workplace

An environment where our staff feel safe, valued, empowered, and fortified to perform their roles is critical to our success. We have a diverse workforce and want to ensure it's inclusive and welcoming. Our foundation is our values – collaboration, transparency, integrity, respect and professionalism. These are central to how we work inside the organisation and with aviation sector participants. We're committed to working collaboratively across the organisation to protect and promote the health, safety and wellbeing of our people.

The importance of leadership

We recognise the importance of leaders who are values-driven, connected and effective in helping our people to succeed. Our focus is shaped by our leadership strategy which takes a holistic approach to supporting leadership and management development.

Regulating a rapidly changing sector

We face competing demands for our resources at a time when it's imperative we provide strong regulatory safety and security oversight of a sector facing its own significant financial and operational challenges. As an increasingly risk-based, intelligence-led regulator, we'll respond to both risks and opportunities as they emerge. These include the integration of unmanned aircraft in our airspace, or the ever-evolving threats our security teams work to mitigate. The growth of new and emerging technologies requires us to apply judgement and discretion, often in circumstances where there are few existing standards, as we work to enable activity that remains safe and secure.

We are confident the resilience, skills, experience and commitment of our people, underpinned by our focus on culture, leadership and professional regulatory practice, will enable us to deliver on our vision and purpose in a changing environment.

Keith Manch
Chief Executive and Director
of Civil Aviation

Janice Fredric
Chair of the Civil Aviation Authority
of New Zealand

Who we are

The Civil Aviation Authority is a Crown entity responsible to the Minister of Transport. Civil aviation in New Zealand operates in a system established and maintained by the Civil Aviation Act 1990.

We are mandated to:

Undertake safety, security, and other functions contributing to the aim of achieving an integrated, safe, responsive, and sustainable transport system.

Led by the Director of Civil Aviation and Chief Executive, the Authority (as the Civil Aviation Authority and the Aviation Security Service are collectively referred to) delivers regulatory functions aimed at achieving this aim through two operations:

- the **Civil Aviation Authority – Te Mana Rererangi Tūmatanui o Aotearoa (CAA)** – responsible for maintaining the safety and security of the aviation system, through regulation; and

- the **Aviation Security Service – Kaiwhakamaru Rererangi (AvSec)** – provides aviation security regulatory services at New Zealand's security designated airports[1], and maritime security screening, as needed.

The Authority exercises these functions under a number of Acts and delegations, including the:

- Aviation Crimes Act 1972
- Bill of Rights Act 1990
- Chicago Convention on International Civil Aviation 1944
- Civil Aviation Act 1990
- Crimes Act 1961
- Crown Entities Act 2004
- Health and Safety at Work Act 2015
- Hazardous Substances and New Organisms Amendment Act 2015
- Official Information Act 1982
- Privacy Act 1993
- Public Finance Act 1989
- Transport Accident Investigation Commission Act 1990
- Trespass Act 1980.

And as an organisation, is responsive to:

- the Treaty of Waitangi – Te Tiriti o Waitangi
- the Government's Health and Safety at Work Strategy 2018-2028
- He Pou a Rangi – Climate Change Commission advice.

Governance

The Minister appoints a Board to ensure the Authority performs well, manages risks prudently, and is sustainable over the longer term through a well-structured strategy.

Leadership

The Authority's leadership team manages the Authority's risks and requires that the Authority operates efficiently and effectively, delivering on its three key roles:

- leadership and influence
- active regulatory stewardship
- professional regulatory practice.

We are part of the New Zealand transport system

Aviation is part of the wider transport system moving people and goods over land, sea and by air. The Authority contributes to the government's five outcomes for a transport system in New Zealand that improves the wellbeing and liveability of all New Zealanders (see figure 1 below).

Fig 1: Transport Outcomes Framework

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1   Civil Aviation Rule Part 1 refers: A security designated airport (aerodrome) means an airport for the time being designated as a security aerodrome under section 82 of the Act. Security designated airports have aviation security services on site.

Our values

Collaboration
Me mahi tahi

We work together
to achieve and succeed

Transparency
Me mahi pono

We are open and honest
communicators

Integrity
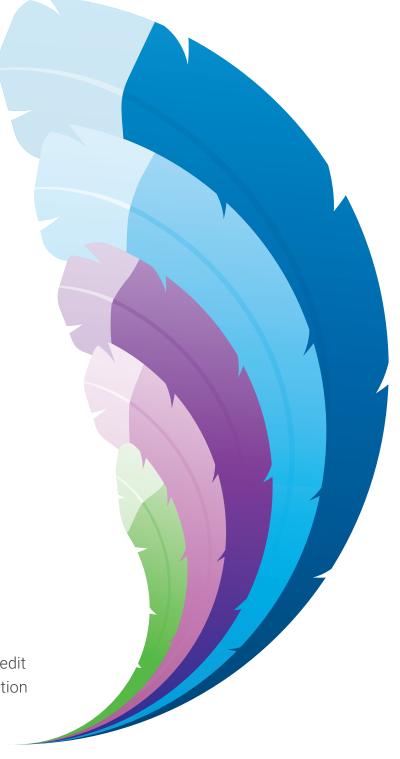### Me mahi tika

We do the right thing

Respect
Me manaaki

We treat all people with
consideration and kindness

Professionalism
Kia tū rangatira ai

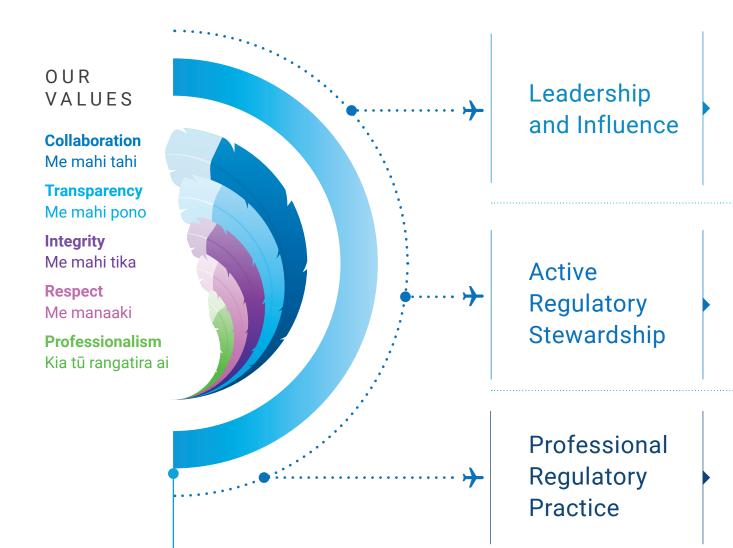We act in a way that brings credit
to ourselves and our organisation

Our purpose and what we do
Our strategic framework

OUR PATHWAYS

OUR VALUES

Collaboration
Me mahi tahi

Transparency
Me mahi pono

Integrity
Me mahi tika

Respect
Me manaaki

Professionalism
Kia tū rangatira ai

Leadership and Influence

Active Regulatory Stewardship

Professional Regulatory Practice

OUR BUILDING BLOCKS

People

Our highly skilled, professional workforce – building engagement through culture, capability, leadership, and diversity

Regulatory strategy

Our whole of system regulatory approach; risk based and intelligence-led

- Security Delivery Strategy (AvSec's Horizon 2030)
- Safety Delivery Strategy (in development)

Technology and information management

Our technology and information management supports our regulatory role and our people, and our systems and information are protected and well managed

Through regulatory leadership we influence a safe and secure civil aviation system for New Zealand.

Success is when our stakeholders are engaged, and when we see behaviours improve as a result of what we do

We monitor and care for the civil aviation regulatory system through our policy and operational responsibilities.

Success is when our regulation is fit for purpose and our reputation is strong

We act to identify risk and reduce it through intelligence-led intervention.

Success is evident in the reduction of risk to safety and security within the system

OUR VISION AND PURPOSE

A safe and secure aviation system – so people are safe, and feel safe, when they fly

Resource stewardship

Responsibly managing our physical and financial resources and working towards financial and environmental sustainability

Communications and engagement

Our engagement – communicating effectively as one organisation with our stakeholders to understand and influence our environment

Strategic and business planning, reporting, quality and assurance

Clear goals, clear pathways and a performance and quality cycle that supports success

Our vision and purpose

A safe and secure aviation system – so people are safe, and feel safe, when they fly.

Our overall reason for being is to ensure that people are safe and feel safe when participating or engaging with the aviation system.

We do not want anyone to experience the pain of losing a family member or friend to a preventable tragedy.

As the regulator of New Zealand's civil aviation, we do all we can to make sure such a tragedy does not happen. We work collaboratively across the system to make sure it's robust, meets international standards, and is well understood, with risks identified and mitigated as efficiently as possible.

Our vision and purpose are underpinned by our beliefs:

- we believe in keeping people safe and secure

- we believe in enabling participation in the aviation system; and making a difference to New Zealand

- we believe effective regulation will both protect and enable a safe and secure civil aviation system.

How we know we are achieving 'being safe'

Each year in our annual report we publish a 'Safety Performance Report'. This report sets out the accident rates across the civil aviation system, contrasted with the amount of activity in the system. This information is used by the Authority to understand the frequency of incidents and accidents, and in which area of aviation these occur, so we can focus our limited resources to make a difference.

We're succeeding when the number of accidents and fatalities remains low. We're also successful when we intervene effectively to reduce risk, but aviation activity continues, new technologies are enabled, and there are zero security incidents.

The aviation security environment can evolve very quickly. It is important our aviation security system anticipates, adapts and responds to the ever-changing environment. This is to ensure the safety and security of travellers and the wider public, and to strengthen a well-functioning and effective aviation system.

We succeed when our ability to detect threats through our security activities results in no system failure, injury or economic impact.

How we know we are achieving 'feeling safe'

Every two years we commission a survey to assess how safe New Zealanders and international visitors feel when flying in New Zealand. This identifies the different types of flyers, and flights taken, and how comfortable they feel. We know we are succeeding when the survey shows New Zealanders and international visitors feel increasingly safe in our skies, as measured by the change from the previous to the most recent survey.

Pathway
Leadership and influence

We lead and influence a safe and secure aviation system internationally, regionally, and domestically. We believe we're successful when our stakeholders are engaged, when we are well respected internationally and domestically, and when we see the regulatory system and behaviours improve because we've intervened.

Our influence creates behaviour change

We lead and influence people in the civil aviation system by providing advice, guidance and information. We want participants to be well-informed and have the knowledge and skills they need to operate safely and securely. We want passengers to know what's expected of them when they travel.

We lead New Zealand's engagement to ensure we influence and meet international requirements

Effective engagement with the world means New Zealand and the Authority make a credible contribution to international discussions and initiatives. This enables us to influence the global debate on the aviation safety and security issues important to New Zealand. We do this through our active involvement with the International Civil Aviation Organization (ICAO), and other regular engagements with our international counterparts.

Supporting the Ministry of Foreign Affairs and Trade's Pacific aviation security programme

We work hard to help our Pacific neighbours improve regional air safety and security, including through assisting the work of the Pacific Aviation Safety Office, and agreements with several Pacific Island States to provide advice and technical assistance. As well as improving safety in these countries, our work helps to make air travel safer and more secure for travellers to the Pacific, and bolsters our security 'back-door' into New Zealand.

We collaborate across government to support wider transport outcomes

We work across government to contribute to the safety and security of all New Zealanders. We do this in a number of ways, for example, we:

- participate in the Border Sector Governance Group

- contribute to all-of-government security responses with the resources we have – for example, behavioural detection expertise, and explosive detection dog teams

- support economic growth through ensuring aviation participants operate safely in New Zealand, including the safe use of new technologies, and safe export and import of goods by air

- contribute to environmental sustainability across the aviation system, working with the Ministry of Transport as the Government's policy lead for the transport sector, and with other agencies and organisations to develop a more sustainable system. An example of this is our collaborative work on the New Southern Sky programme, contributing to much greater efficiencies as we use technologies, such as performance-based navigation, to deliver shorter, more direct flights

- contribute to the Covid-19 response, particularly through provision of personnel in managed isolation and quarantine facilities.

How we know we are demonstrating leadership and influence:

In addition to the demonstration of people being safe and feeling safe in the aviation system:

- the Authority's domestic and international reputation grows positively

- the Authority's outreach and influencing activities are positively received.

Pathway
Active regulatory stewardship

We are active stewards of the civil aviation regulatory system. This means we contribute to a whole-of-system, life-cycle view of safety and security regulation. Regulatory systems are assets requiring ongoing updates and attention, so we need to continually monitor and upgrade the system to ensure it is fit for purpose.

Our engagement at ICAO to ensure international policy settings are effective for New Zealand

The safe operation of flights is largely due to the global set of safety and security standards that the 192-member states of ICAO adhere to. As a contracting party to the Convention on International Civil Aviation (the Chicago Convention), New Zealand has a comprehensive safety and security regime based on the standards and recommended practices prescribed in annexes to the Chicago Convention. The Authority is the New Zealand Government's designated agency to manage interactions with ICAO regarding safety and security matters.

We also have many bilateral and multilateral agreements and arrangements that support a commitment to harmonise aviation standards, rules, procedures and processes, where this is in New Zealand's interests. A full list of these is at aviation.govt.nz.

Drawing on our risk focussed, intelligence-led, operational-activities

We use our intelligence-led, risk focussed activities to improve the effectiveness of aviation system regulatory policy and practice. This means we continuously review risk levels, activities, incidents and occurrences in the civil aviation system and look to identify how we can reduce levels of risk through interventions, regulatory system tweaks and information campaigns.

Contributing to the development of the new Civil Aviation Bill

An upcoming significant change to our regulatory environment is the refreshment of the Civil Aviation Act 1990. The civil aviation environment has changed significantly over the past thirty years, and the new Civil Aviation Bill seeks to modernise our regulatory structure.

We will continue to work with the Ministry of Transport to support this Bill through the legislative process. As with any major legislative change, a work programme will be required to ensure that all of the Authority's policies and procedures, guidance, and Rules remain fit for purpose under the new Act.

Managing the Minister's aviation safety and security policy and rules programme

In partnership with the Ministry of Transport, the Authority will continue to manage the Minister's aviation safety and security regulatory programme. Rules development progress and status is in each annual report.

Exploring and supporting the development and use of new technologies

New technologies (for example, unmanned aircraft – or drones – have the potential to provide significant economic and social benefits for New Zealanders. We are working closely with the Ministry of Business, Innovation and Employment to ensure these benefits are realised, while maintaining safe and secure skies.

New technologies also provide the opportunity to improve on environmental outcomes. We've worked with many partners across government on the New Southern Sky programme, which is modernising New Zealand's airspace. A particular benefit of this programme is the reduction in greenhouse gas emissions from aircraft, as efficiencies are gained from improved technologies, improved flight path planning and navigation.

How we know we are demonstrating active regulatory stewardship:

In addition to the demonstration of people being safe and feeling safe in the aviation system:

- New Zealand aviation operators are able to operate internationally and domestically
- the civil aviation regulatory system demonstrates value for money for Government, participants and users of the aviation system.

Pathway
Professional regulatory practice

We act to ensure safety and security across the aviation system through the implementing of regulatory requirements. Professional regulatory practice refers to the way we regulate across the whole civil aviation system – as people enter, operate or engage within, and exit the system.

Our actions and approach are firmly grounded in our values of collaboration, transparency, integrity, respect, and professionalism.

Gatekeeping entrance into the aviation system through certification and licensing, and ongoing monitoring and inspection

We are responsible for ensuring people and organisations who operate in the civil aviation system in New Zealand are appropriately certified and licensed.

This is an ongoing task, as we need to ensure skills and capabilities are up-to-date through regularly renewing certificates and licenses. We monitor levels of risk, and according to our risk-based, intelligence-led approach, we carry out additional audits, investigations, and spot checks to ensure safety standards are maintained.

We suspend or revoke certificates and licenses as required to ensure the safety of the civil aviation system.

Investigation of accidents and occurrences

We investigate accidents, incidents, occurrences and reported aviation safety concerns to ensure that we learn lessons to improve safety. We then communicate these to the wider aviation community to ensure the risks are known and can then be reduced. Addressing risk can take the form of safety campaigns, administrative or legal actions, or targeted regulatory activity at organisation or whole of system level.

We often work with the Transport Accident Investigation Commission (TAIC), which carries independent investigations into the causes of accidents and incidents to ensure the safety system is performing as it should, and that safety recommendations are delivered.

Delivery of security screening activities

We identify threats and manage associated risks at security designated airports, and more widely in New Zealand as required, to keep passengers and people on the ground and in the air, safe and secure.

At security designated airports, we screen:

- all passengers and their carry-on baggage on departing international flights and domestic flights over the security screening size threshold
- all hold baggage on departing international flights and domestic flights over the security screening size threshold
- airport workers with access to security enhanced areas
- bulk goods entering sterile areas and cargo travelling on international passenger flights.

We also:

- conduct perimeter patrols and access control checks at security designated airports and navigation facilities
- support other government agencies with security services (for example, bomb threats, venue and route clearances)
- operate the airport identity card system for all designated airports in New Zealand
- maintain preparedness to provide a maritime security response if required.

We continually review and improve our security screening approaches to align with international best practice.

How we know we are demonstrating professional regulatory practice:

In addition to the demonstration of people being safe and feeling safe in the aviation system:

- we effectively deliver output classes 3–5 (certification and licensing; monitoring, inspection and investigation; and security service delivery).

Our building blocks

Our organisational 'building blocks' are the activities that enable the Authority to deliver through the strategic pathways. They are how we focus our resources, how we make decisions and how we create our sustainable future.

We have identified six interdependent building blocks, all aimed to support our pathways. Current year activities contributing to each of the building blocks are set out in the Statement of Performance Expectations.

People

Our people are at the core of everything we do and are a critical building block in our organisational strategic framework. We recognise the importance of providing an environment where our team members feel safe, valued, empowered, and enabled to perform their role in keeping New Zealand skies safe and secure. We have a highly skilled, professional workforce, and we're aiming to further build capability, leadership and diversity.

Our focus over the period of this Statement of Intent is on:

Addressing culture change at the Authority through the Te Kākano programme

The 2020 ministerial review of culture and behaviour at the Authority, coupled with the QC reviews into bullying, have triggered a number of initiatives to improve the culture of our workplace and wellbeing of our people. The Te Kākano programme has been established to address the 31 recommendations made by the ministerial review. Good work has started, and over the next four years we will continue to address the remaining recommendations, to transform the culture of the organisation and how it feels to work at the Authority.

Leadership development

Our vision for leadership is an Authority creating great leaders who are connected, values-driven and effective; leading and managing in an environment where they can thrive and succeed.

Our leadership strategy sets out a plan to develop our overall leadership capability. We are focussed on building the right foundations so that our leadership development is sustainable, relevant, and transformational.

Our focus areas are: strategy-driven leadership, making sure we have the right leadership structures, systems and culture, with a clearly defined framework and expectations to deliver high quality leadership development and talent management solutions.

Improving health, safety, and wellbeing

Our intention is that our people feel safe, healthy and supported so they can provide a safe and secure New Zealand civil aviation system. The four focus areas for health, safety and wellbeing are:

- supporting wellbeing
- developing leadership capability in health, safety and wellbeing
- reducing harm and supporting recovery
- building a collaborative learning culture.

Our strategic purpose across subsequent years is to continue to focus on these areas to provide safe, healthy and supportive working environments. Our foundational initiatives include a wellbeing support framework, capability support for leaders on how to look after their people and themselves, and development of lessons learned.

Developing the skills and capability of our people

We are continuing our work to build and drive our regulatory capability across the organisation including our strong commitment to the Government Regulatory Practice Initiative (G-REG). In addition to providing high-quality learning solutions for Aviation Security team members, our intention is to develop an Authority-wide approach to effective learning and development, including the design of a core capability framework.

Building a diverse and inclusive workplace

We have recently launched our refreshed Diversity and Inclusion (D&I) strategy. This strategy has four key focus areas:

- exploring our identity – providing greater confidence and certainty in our identity and strength through diversity

- honouring our obligation to Te Tiriti o Waitangi (the Treaty of Waitangi) – building our cultural capability and understanding of te ao Māori (world view), supporting Māori employees, and better enabling us to partner and engage with Māori

- strengthening foundations, policies, data and monitoring

- building our organisational D&I capability – supporting a workplace that is safe and enhances the health, capability and wellbeing of our people.

Our overall goal is to have a culture of care and respect for one another, where we embrace diversity through awareness, inclusion through opportunity and belonging through connection.

We are committed to the principles and practice of equal opportunity, and we put these into practice through our employment policies and practices. Vacancies are internally and externally advertised, and appointments are made based on merit. All staff are valued, treated equitably and with respect, whatever their gender, ethnicity, social background, sexual orientation or disability.

> We will enable and resource a highly skilled, professional workforce, building engagement through culture, capability, leadership and diversity.

Regulatory strategy

Our regulatory strategy articulates our approach to regulating aviation safety and security in order to achieve our vision. It also sets out how we will conduct our regulatory activity, our priorities, and how we will stay true to our values.

Being risk-focussed and intelligence-led are prominent aspects of our approach to safety and security, and the regulatory strategy describes what this means in practice. Nested underneath the regulatory strategy are two operational strategies; the security delivery strategy (AvSec's Horizon 2030) and the safety delivery strategy (in development during 2021/2022).

We use three fundamental principles to guide, inform and underpin the development, delivery, and review of our regulatory approach. They're the basis for the decisions we make our work priorities, and the standards we set for ourselves and for civil aviation participants. They determine much of what we do as a regulator. They are:

1. Public safety and security are paramount

2. A safe and secure aviation system is a shared responsibility

3. Collective learning and continuous improvement are critical.

The regulatory strategy is supported by a 12-month action plan setting out what's intended to be achieved throughout the year.

These documents are available at aviation.govt.nz.

Security delivery strategy – AvSec's Horizon 2030

The Aviation Security Service (AvSec) is a regulatory unit of the Authority, responsible for managing the delivery of aviation security services, including passenger, crew, and cargo screening activities. AvSec's role is to deliver world-class aviation security, while enabling a high-quality, responsive passenger experience.

AvSec's Horizon 2030 strategic plan sets out a framework identifying the seven strategic priorities guiding AvSec's work programme and activities over the next 10 years. It summarises the key initiatives that will be carried out under each priority area, and the anticipated benefits.

Safety delivery strategy

Work on developing a safety delivery strategy began in 2021. We anticipate this work will be completed in 2021/2022.

> We will demonstrate a whole-of-system, regulatory approach that is risk-based and intelligence-led.
>
> Actions towards this will be articulated in the safety and security delivery strategies.

Technology and information management

Organisations are increasingly reliant on smart technology and secure information management. At the Authority we are no different. We're investing in systems and expertise to ensure our people have the information and technology they need to achieve their objectives. We manage our technology in a way that meets required standards, and we look for innovative ways to enable our teams to work flexibly while being supported. Our digital services strategy sets out this work with focussing on:

- updating the digital platform we use to support our regulatory work (we are implementing safety oversight management software – known as EMPIC)

- enabling achievement of objectives set in the AvSec Horizon 2030 strategy, such as increasing our network capabilities to support smart screening initiatives

- aligning our systems and practices with Government security requirements as outlined by the Protective Security Requirements and associated New Zealand Information Security manual.

Information management is about meeting the government standards set for privacy, security and access to information collected, created and held by the Authority. We do this through:

- ensuring all information systems are implemented and used in alignment with requirements set out by the Public Records Act and Privacy Act

- building staff awareness of their information privacy, security and management responsibilities

- using information to support risk-based and intelligent decision-making and meet the responsibilities of a Crown entity to respond for requests for information we hold.

> Our technology and information management supports our regulatory role and our people, and our systems and information are protected and well-managed.

Resource stewardship

Our intention is to manage our resources sustainably, ensuring the long-term viability of our business with a low impact on our environment. Resource stewardship includes our financial stewardship, property management, and managing the business' environmental impact.

Financial management

In the current environment, the Authority is facing some challenge towards the goal of long-term financial viability. The Authority has three primary sources of revenue:

- aviation participant fees and charges for licensing and certification

- passenger levies for civil aviation regulatory functions and security screening

- funding from the Crown, for policy advice, Rules and standards development, and the administration of the Health and Safety at Work Act 2015 designation for the Civil Aviation Authority. This also includes funding for maritime security work, and capital funding as required.

Covid-19 has had a severe impact on the global aviation system, affecting these traditional funding sources. We are presently receiving additional Crown funding to maintain our ability to deliver core functions. This has led the Authority to review its operating model, looking to achieve efficiencies.

Property and resource stewardship

Our aim is to provide physical environments that support the health, safety and wellbeing of our people, delivering solutions that can be adaptable to extend our capability and to meet new operating conditions. We will make the most sustainable choices to minimise the impact of our operations on the environment, adopting practices and policies that improve efficiency whilst supporting capability and capacity.

> Responsibly managing our physical and financial resources and working towards financial and environmental sustainability.

Communications and engagement

To be effective in achieving a safe and secure aviation environment, our working relationships need to be founded on mutual respect, integrity, and effective communication. There must be a mutual understanding of our role, responsibilities and accountabilities. Our behaviours and the way we work with our stakeholders are the foundation of a safer and more secure civil aviation system.

Our objective is that our people and participants know why we need a safe and secure aviation system, how they can make a difference, and how to access what they need. We want to be a trusted and influential adviser, demonstrating leadership and communicating clearly.

To achieve this, we will deliver and enhance our outreach, education, and engagement activities. We will deliver on our stakeholder relationship plan, building our partnerships and relationships across the sector.

We communicate as one organisation with our stakeholders to influence the safety and security of the aviation system.

Strategic and business planning, reporting, quality and assurance

Organisational effectiveness relies on a combination of knowing where we are going, why we are going there and how we will know when we get there. This touches on every aspect of the organisation, from the intent of our stakeholder engagement, to the delivery of Rules, screening activity, resource deployment and financial sustainability. Having the tools to identify our vision and achieve our plan of action will ensure we focus on the right things, make the right decisions and use our resources to best effect. We will do this through:

Strategic and business planning

Having a coherent strategy articulating how the organisation will achieve its vision and purpose, while using tools testing that vision and purpose as the environment changes. These changes may be in relation to our Act, and the impact of global issues such as the Covid-19 pandemic.

The strategy will be operationalised through enterprise business planning. This helps us to prioritise our activities and ensure we deliver on our strategy.

Performance reporting

We consult, brief, and report to the Minister of Transport regularly, covering:

- progress against the Statement of Intent and Statement of Performance Expectations

- risks and issues that may affect performance and organisational capability (including relationship management)

- financial management

- other matters as agreed with the Minister.

The Authority reports annually to the Minister of Transport and all other stakeholders against the Statement of Intent and the Statement of Performance Expectations through the Annual Report.

Quality management

Our quality management is based on the ISO 9001:2015 standard and links to the risk and assurance management policies through processes, structures, reporting and data capture.

Assurance

Our assurance management is based on an integrated quality assurance and risk framework. Assurance plans are developed on four considerations: compliance and audit (retrospective), quality and operations management (contemporary issues assurance), strategic and corporate risk (forward view), and emerging issues (dynamic issues).

Risks

Our risk management is based on the AS/NZS ISO31000:2009 risk management standard. We regularly assess strategic and corporate risks using the categories of stakeholder, reputation, financial, people, wellbeing, and health and safety. Risks are managed to ensure that residual risk is as low as reasonably practical and reported quarterly to the Minister of Transport.

We establish clear goals and pathways to deliver and carry these through with a performance and quality cycle that supports success.

How we measure and report on our progress

Our interventions

Our interventions relate to the following aspects of the civil aviation system.

ENTRY

Exercise of control over entry into the New Zealand civil aviation system

- Quality and timeliness of rules and standards
- Robust entry renewal and amendment certification tasks
- Licensing procedures carried out effectively and efficiently.

ON-GOING OPERATION

Exercise of control over sustained operation in the New Zealand civil aviation system

- Applying a risk-based approach to safety and security system oversight
- Communicating effectively to the aviation community and stakeholders
- Ensuring participants are operating within their legal obligations through effective inspection and monitoring
- Responding appropriately to unsafe practice
- Effectively investigating occurrences
- Effectively monitoring, auditing and inspecting.

EXIT

Exercise of control over exit from the New Zealand civil aviation system

- Informed decision-making through intelligence and analysis.

CIVIL AVIATION SECURITY

Ensure threats are identified and associated risks are managed and international standards for security are met

- Effective screening activities.

* Measured through a biennial Colmar Brunton survey

What we deliver

OUTPUTS	
OUTPUT CLASS	**OUTPUT**
Output Class 1: Policy & Regulatory Strategy	International Relations and International Civil Aviation Organisation Obligations
	Ministerial Servicing
	Policy Advice
	System Level Design and Intervention
	Rules and Standards Development
	Pacific Support
Output Class 2: Outreach	
Output Class 3: Certification and Licensing	
Output Class 4: Monitoring, Inspection and Investigation	
Output Class 5: Security Service Delivery	Screening Activity
	Audit Performance; Access Control; Maritime Security Services

Indicators of our success

OUR VISION AND PURPOSE

A safe and secure aviation system – so people are safe, and feel safe, when they fly

- the frequency of accidents and fatalities remains low

- risk interventions demonstrate effective mitigation

- new technologies enabled

- security incidents remain at zero

- increasing confidence reported in our biennial 'Feel Safe' survey.

PATHWAY – LEADERSHIP AND INFLUENCE

- The Authority's domestic and international reputation grows positively (based on a composite of ICAO scores, stakeholder surveys, and performance against Output Class 1 – Policy & Regulatory Strategy).

- The Authority's outreach and influencing activities are positively received (based on outreach quality scores drawn from Output Class 2 – Outreach).

PATHWAY – ACTIVE REGULATORY STEWARDSHIP

- New Zealand aviation operators are free to operate internationally and domestically (based on composite of ICAO scores, signed international agreements, and the quality scores drawn from Output Class 3 – Certification and Licensing).

- The civil aviation regulatory system demonstrates value for money for Government, participants and users of the aviation system (based on value for money assessments).

PATHWAY – PROFESSIONAL REGULATORY PRACTICE

- The Authority's security service delivery is effective (lack of security incidents, and performance against Output Class 5 – Security Service Delivery).

- The Authority's certification and licensing activities are effective (assessment drawn from Output Class 3 – Certification and Licensing).

- The Authority's monitoring and investigation activities are effective (assessment drawn from Output Class 4 – Monitoring, Inspection and Investigation).

Transport outcomes and benefits

A transport system that improves wellbeing and liveability

- Inclusive access
- Healthy and safe people
- Environmental sustainability
- Resilience and security
- Economic prosperity

SAFE AND SECURE PEOPLE

Through decreasing number of accidents, deaths and injuries in the sector, as well as increasing confidence in the safety and security of the system.

MINIMISED ENVIRONMENTAL IMPACT

Through reduced greenhouse gas emissions.

POSITIVE ECONOMIC IMPACT

Through minimising the aviation-related barriers for movement of people and goods, and lower social cost of air accidents and incidents.

IMPROVED RESILIENCE AND SECURITY

Through reduction of risk due to adoption of safety management systems (SMS) throughout the sector, and few or zero security incidents in the aviation sector.