

From our Director

Our work is vital as it not only protects life; it also enables travel, recreation and commerce, and it protects the environment.

The Authority's Regulatory Safety and Security Strategy sets out the approach we are taking in performing our regulatory role.

What we do will be informed by our understanding of risks and the best ways to address them. This means thinking creatively about whatever we can do to influence behaviour to reduce risks. It means moving beyond concentrating narrowly on compliance with rules and on the use of statutory tools.

Our people are at the core of everything we do. We strive to be a values-led organisation, informed by our beliefs and by providing our people with a respectful, inclusive, and safe work environment that is challenging and rewarding. New Zealanders have a reasonable expectation that we will perform our functions in a professional manner, with respect and integrity.

My view of success is when those we meet acknowledge the value of their interactions with us and, also, when we are known as a high-performing team that constantly looks in the mirror. One that makes sure it's doing the right things in the right way to keep people safe and secure, to help New Zealand grow, and to make a difference each and every day.

Our Regulatory Action Plan identifies and describes what we are doing to implement this strategy. The action plan is formally reviewed and refreshed annually. Our Annual Report provides a report on the Authority's performance. It also reports on safety and security performance in the aviation system.

Keith Manch

Chief Executive and Director of Civil Aviation



Our role, vision, and purpose

We strive to ensure a safe and secure aviation system – so people are safe, and feel safe, when they fly.

The Authority's overarching legislative mandate is to undertake its safety, security, and other functions in a way that contributes to the aim of achieving an integrated, safe, responsive, and sustainable transport system.

We work together with the domestic and international aviation and security communities to maintain and develop New Zealand's civil aviation system and to achieve standards of aviation safety and security that are widely respected internationally and that, above all, are effective at keeping people safe and secure.

Our responsibility for keeping people safe and secure is to the public of New Zealand and to all users and providers of aviation services.

We also have a vital role to play in supporting and enabling an aviation system that helps New Zealand to grow. The aviation system contributes strongly to the well-being of New Zealanders by providing economic and social opportunities and benefits.

We look forward to reaching out and starting our engagement with Māori.

We are part of the global aviation system. We must meet and maintain the standards and practices set by the International Civil Aviation Organization (ICAO). We are party to numerous civil aviation agreements and arrangements with other countries whereby commitments to mutual or reciprocal regulatory recognition, harmonisation and cooperation are established. This includes practices required by some states to align security requirements. Our relationships with Australia and with Pacific Island states are especially strong.

Our values

Our organisational values are part of who we are and how we operate.

They set the expectations for how we as an organisation behave and act, and they influence our organisational culture. They represent our desire as an organisation that, in our daily work, our people will behave and interact in this way with each other, and with participants and other external parties.

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 guiding principles

These three principles are the basis for the decisions we make, the work priorities we focus on, and the standards we set for ourselves and for civil aviation participants.

Public safety and security are paramount

Our prime duty is to protect the public by seeking and obtaining assurance that risks to public safety and security are being properly managed. The aviation system also serves to protect the safety of people who work in aviation, and of people who engage in recreational aviation. We will actively seek to identify and respond to unsafe practice or unacceptable risk.

A safe and secure aviation system is a shared responsibility

Participants have a fundamental responsibility to act and operate safely and securely within the scope of the privileges they hold. We work together with the domestic and international aviation community to support this responsibility, and to provide a safe and secure aviation system. We aim to engage clearly and efficiently with participants and will demonstrate our organisational values in doing so.

Collective learning and continuous improvement are critical

Continuous improvement within the aviation system, and of the overall system itself, depends on a trusted culture of collective learning tied to open reporting by participants of occurrences. Together with the aviation community, we encourage, support, and protect a trusted culture. We have a mutual interest in openly sharing and learning from information about risks, and in working to prevent accidents and illegal acts of interference on aircraft by identifying and solving the underlying problems.

Note: *Participants* are broadly defined to include any person taking part in civil aviation activities, including aviation document holders and passengers.

Our system design role

The design of the civil aviation regulatory system is continuously changing and evolving.

New technologies emerge, international standards change, and existing rule requirements may be resulting in unintended safety, security and economic outcomes. To ensure that the system's design remains effective, the Minister of Transport contracts the Authority to develop regulatory policy and the associated Civil Aviation Rules.

Emerging technologies bring additional complexity into the aviation and regulatory systems. They test and challenge traditional aviation models and ways of thinking. We will work within the sector and alongside other agencies to keep pace and to develop solutions to these challenges, while at the same time preserving our independence as a safety and security regulator.

System design changes are progressed and refined through a series of increasingly rigorous and detailed stages involving the analysis of issues and

impacts, development of options and proposals, and consultation within the aviation sector, with relevant experts, and with stakeholders.

In implementing changes, the Authority develops and delivers external guidance to inform, advise and otherwise assist the sector to understand and meet the new requirements (including guidance about acceptable means of compliance). We also develop internal operational guidance and build the requisite people capability.

Running in parallel with the processes for system design changes, we engage internationally to strategically influence international standards impacting on aviation system design. The Authority maintains formal engagement relationships with ICAO, as well as with other state aviation regulatory authorities worldwide. Through a range of diplomatic and technical relationships, we strive to ensure that international standards and agreements reflect the regulatory outcomes desired by New Zealand.

Enabling our people to succeed

Our people are at the core of everything we do.

We recognise the importance of providing a working environment where our people feel safe, valued, empowered, and enabled to perform their role in keeping New Zealand skies safe and secure. We are creating a culture of collaboration and shared responsibility for our health and safety at work. Our organisational values set the expectations for how our people behave and act every day with each other, and with participants and other external parties.

We recognise the important role our leaders have at the Authority. We are committed to supporting and developing

leadership across the organisation, and in continuing to develop our capability as a professional aviation regulator. We are focused on improving the way we use our specialist technical knowledge and skills to consistently arrive at balanced, evidence-based judgements and decisions. The way we do things is as important as the regulatory decisions we take.

We are modernising the infrastructure, systems and tools our people rely on in their daily work. We are implementing new security screening technologies and systems at airports, and we will be replacing the major software system we use to manage our operational regulatory responsibilities.

REGULATORY SAFETY AND SECURITY STRATEGY

2022–2027

At a glance



Aviation Security Service
Kaiwhakamaru Rererangi

At a glance is a summary of the Civil Aviation Authority's *Regulatory Safety and Security Strategy*. The full document is available online from aviation.govt.nz.

Responding to our operating environment

Impact of COVID-19 pandemic

The COVID-19 pandemic has had a huge impact on the civil aviation community in New Zealand and around the world. While the pandemic does not fundamentally alter our regulatory approach to safety and security, it has altered the flow and volume of day-to-day demand for our services and the nature and prioritisation of our work. We will continue to support and assist operators by providing regulatory relief to help them stay in business and maintain safety and security standards while the pandemic endures. Our security service continues to support the whole-of-government pandemic response.

As an agency largely funded by levies paid by civil aviation operators and passengers, the impact of the pandemic on our financial position has been significant. We continue to seek further gains in operational effectiveness by reviewing our cost structures, our capital investment programmes, and the way we perform our regulatory functions. We will continue to review and adjust the composition and size of our workforce proportionate to changes in demand.

We continue to provide ongoing advice to government about the timing and nature of recovery within the sector, its financial situation, and the implications for our operations and financial position.

Aviation risks and prioritisation of effort

When we think about aviation risks, we think about the likelihood of an occurrence in combination with the potential magnitude of its consequences. We place the highest importance in our regulatory approach on work programmes and activities that are related to passenger-carrying operations, and on addressing issues arising that involve significant risk to public safety and security. With passenger air transport operations, the potential consequences of an accident or security event are severe in the extreme.

To ensure civil aviation in New Zealand stays well protected as global security threats continue to evolve, we continue to rely on the innovation and modernisation of our screening and other security technologies and infrastructure.

Across and within the whole aviation system, we pursue – together with the aviation community – continual improvement in aviation safety and security performance by identifying and reducing areas of significant and critical risk. We seek to understand the underlying issues and causes, and to develop initiatives and interventions designed to solve the problems identified.

A performance-based approach to requirements

Prescriptive civil aviation rules are a key part of aviation safety and security management (e.g. technical standards, and operating processes and procedures). The aviation system is, however, now also introducing a performance-based approach. This is an approach that focuses on desired outcomes and the measurement of safety and security performance. A recent example is the safety rule requiring aviation organisations to establish, implement, and maintain a system for safety management. Participants are assessed and monitored on their ability to meet performance targets and to manage risk. They are not given specific direction or prescription about how to do that. Our approach is to strike a balance between specifications-based rule drafting and performance-based rule drafting.

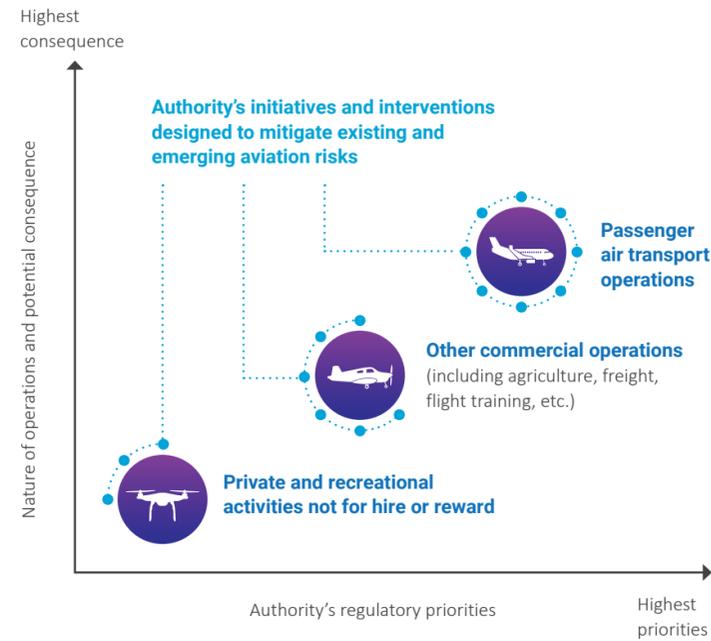
Innovation and new aviation technologies

Radically new aviation technologies continue to emerge. They significantly influence our priorities and work programmes. We support civil aviation in New Zealand and around the world to grow and prosper by encouraging and seeking to add value to the opportunities for innovation they present. We aim to ensure there are no unnecessary barriers to uptake in the aviation system, while at the same time ensuring that risks to safety and security are adequately understood, managed, and monitored.

Our regulatory priorities

This diagram illustrates our regulatory priorities in relation to the nature of aviation operations and activities.

We place the highest importance on aviation activities and workplaces that relate to commercial or passenger-carrying operations.



Our intelligence-led, risk-based approach

We use an intelligence-led, risk-based approach to contribute to our understanding of the civil aviation environment in New Zealand, and to inform our regulatory approaches and decision-making.

Our approach is based on gathering, analysing, and using data and information from a range of external and internal sources to develop intelligence that informs our processes for identifying, assessing, prioritising, and responding to safety and security risks in the civil aviation system.

We rely in large part upon high-quality reporting by participants of occurrences (i.e. accidents, incidents, and immediate hazards to the safety of an aircraft operation).

We take a systems approach when assessing risks and deploying resources to address performance issues. We also identify and recognise the areas of the system that are working well and adjust our approach accordingly.

Intelligence is information for action. The nature of the aviation risks identified by our intelligence will inform the actions we take in response to the risks.



A closed civil aviation system

The civil aviation system is, with few exceptions, a closed system. The Authority is responsible for controlling and authorising entry into it, for providing assurance that the overall system and the participants within it are functioning safely and securely, and for identifying and addressing situations of risk and non-compliance with requirements.

We work with participants and with leadership within the aviation community to ensure the system continues to function effectively, and to consider ways of improving it.

Life cycle of aviation documents

This diagram illustrates our regulatory functions in relation to the life cycle of aviation documents.



Our operational regulatory role

Our regulatory role requires that we perform functions to manage entry into the civil aviation system, to monitor the performance of document holders in the system, to assess and investigate occurrences, to identify and mitigate security threats, and to address unsatisfactory performance within the aviation system.

Our core operational regulatory functions are identified and summarised in the table that follows.

Functions	High-level definitions
Engagement	We engage operationally and strategically with participants and other external stakeholders to deliver maximum regulatory benefit. We will develop an appropriate pathway for engagement with Māori.
Information and education	We provide and foster information, advice, and education to assist the aviation community, together with passengers, to operate safely and securely.
Security service delivery	We provide security services at airports and at navigation facilities to keep passengers, aircrew, and others safe and secure on the ground and in the air.
Certification and licensing	We provide written assurance (a certificate, licence, or other approval) that the organisation, individual, aircraft, or product in question meets the specific requirements of the civil aviation rules that apply.
Monitoring	We plan and conduct activities to provide assurance that current certificates and licences remain valid; that relevant legislation is otherwise being met; and that aviation risks within the system are being identified and managed.
Investigation	We examine accidents, incidents, and other occurrences to ascertain what happened and why, and to determine appropriate responses, including actions to share lessons learned and prevent recurrences.
Administrative and judicial action	We use a range of administrative and judicial actions to obtain compliance, to address risk, to change behaviour, and to impose or seek penalties.

These individual functions operate collectively and in an integrated way to give effect to the Authority's overarching intentions and direction as expressed in this regulatory strategy. For additional details on our regulatory decision-making model, please see the full version of our *Regulatory Safety and Security Strategy*, which is available online from aviation.govt.nz.

Our role as a work and workplace regulator under the Health and Safety at Work Act provides us with a performance-based legislative framework to use in conjunction with our substantive role under the Civil Aviation Act. In our operational policy and activities, we are steadily working towards blending, from both Acts, the functions we must perform and the powers we may exercise.