CIVIL AVIATION AUTHORITY OF NEW ZEALAND
TE MANA RERERANGI TŪMATANUI O AOTEAROA

State Safety Programme 2025

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

Aviation Security Service
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Foreword

Aviation is critical to New Zealand. As a geographically remote island nation, New Zealand relies on aviation more so than many other countries. We need strong connections to the rest of the world, and within our islands, to support our economy and social connections.

From small beginnings, New Zealand's aviation sector has grown rapidly to become a critical part of our transport system. Our strong safety reputation is built on active regulatory stewardship that encourages fit for purpose regulation, through our intelligence-led and risk-based approach.

Our approach to managing aviation safety is consistent with that established by the International Civil Aviation Organization (ICAO). We will continue to develop and improve New Zealand's civil aviation system by maintaining standards that are widely respected internationally and, above all, are effective at ensuring public safety remains paramount.

New Zealand was among the 52 signatories to the Convention on International Civil Aviation in 1944 (Chicago Convention) and has been a member of ICAO since its establishment. From ICAO's earliest days, New Zealand has been an active participant and a strong supporter of the organisation's activities to influence global debate on the most important safety issues.

> We will embrace the opportunities and challenges of the continual development that characterises aviation. We will do so based on a robust and internationally respected safety regulatory system.

The New Zealand State Safety Programme (SSP) 2025 plays an important role in identifying, monitoring and maintaining the effectiveness of all aspects of our aviation safety performance and objectives. It sets out our legislative framework, key safety principles, and the structures and processes that underpin our aviation safety system.

The New Zealand National Aviation Safety Plan (NASP) 2025-2028 supports the SSP by clearly communicating the strategy for improving safety. Both documents are supported by New Zealand's National Airspace and Air Navigation Plan, which ensures the safe, efficient, and collaborative management of our air navigation system, and sets out the roles and responsibilities of relevant government agencies.

New Zealand takes a cohesive and collaborative approach to aviation safety activities across all agencies. All New Zealand aviation safety agencies have a significant role to play in identifying aviation safety risks and ensuring that the most appropriate practices and technologies are adopted to reduce those risks.

The SSP is an extensive system that will continue to evolve over time. Consequently, this document will evolve to accurately reflect New Zealand's aviation safety framework.

Keith Manch
Director of Civil Aviation and Chief Executive
Civil Aviation Authority

Ruth Fairhall
Secretary for Transport and Chief Executive (acting)
Ministry of Transport

New Zealand State Safety Policy Statement

The Government promotes and regulates civil aviation in New Zealand to:

- manage and reduce safety risks
- support a safe, efficient and resilient transportation system
- promote innovation, effectiveness and efficiency
- support inclusive access and healthy and safe people
- preserve New Zealand's national security and national interests
- deliver economic prosperity to New Zealand
- ensure New Zealand's international obligations are implemented
- support environmental sustainability.

To continue to maintain and improve our aviation safety system, the New Zealand Government, through its agencies, will:

- enable the adoption of innovative technologies where appropriate
- set policies and rules in line with the Standards and Recommended Practices (SARPs) of the International Civil Aviation Organization (ICAO), where to do so is in New Zealand's best interest
- take an intelligence-led, risk-based approach and ensure its interventions meet best regulatory practice to facilitate safe aviation, based on sound assessment of the level of risk associated with particular aviation operations
- identify safety trends within the aviation system and, where appropriate, adopt a risk-based and performance-based approach to address areas of safety concern or need
- investigate accidents, incidents and non-compliance with aviation legislation to contribute to the maintenance and continuous improvement of the safety and integrity of New Zealand's aviation system
- engage internationally (focusing on the Asia-Pacific region, in particular) to deliver complementary safety outcomes
- adopt 'just culture' principles alongside public interest factors to encourage the collection, analysis, protection, sharing, and reporting of relevant safety information at all levels of the aviation system to assist in improving safety management
- continuously monitor and measure the aviation system's safety performance
- actively collaborate and consult with the aviation sector, including the public, to identify and address safety matters, to continuously enhance aviation safety
- promote good safety practices and a positive safety culture within the aviation sector based on sound safety management principles
- allocate sufficient resources to equip aviation regulatory staff with the proper skills and expertise to discharge their safety oversight and management responsibilities competently.

Acronyms and abbreviations

Acronym/abbreviation	Description
AC	Advisory Circular
AD	Airworthiness Directive
AIP	Aeronautical Information Publication
the Act	Civil Aviation Act 2023
Airways	Airways Corporation of New Zealand Ltd (ANSP)
ANS	Air Navigation System
ANSP	Air Navigation System Provider
Annex(es)	Annexes to the Convention on International Civil Aviation (Chicago Convention)
ARC	Aviation Related Concern
CAA	Civil Aviation Authority
CE	Critical Element
Chicago Convention	Convention on International Civil Aviation
CIMS	Coordinated Incident Management System
Customs	New Zealand Customs Service (border agency responsible for preventing any dangers, hazards and threats entering New Zealand)
Director	Director of Civil Aviation
EOC	Emergency Operations Centre
GASP	Global Aviation Safety Plan

Acronyms and abbreviations

Acronym/abbreviation	Description
Health	Ministry of Health (government department responsible for regulating and monitoring the New Zealand health system)
HSNO	Hazardous Substances and New Organisms Act 1996
HSWA	Health and Safety at Work Act 2015
ICAO	International Civil Aviation Organization
Immigration	Immigration New Zealand (agency responsible for border control and managing immigration to New Zealand, which sits within MBIE)
Internal Affairs	Department of Internal Affairs (government department responsible for issuing passports)
MBIE	Ministry of Business, Innovation and Employment
MetService	Meteorological Service of New Zealand
The Ministry	Ministry of Transport
The Minister	Minister of Transport
NASP	National Aviation Safety Plan
NOTAM	Notice distributed by means of telecommunication containing information concerning the establishment, condition or change in any aeronautical facility, service, procedure or hazard, the timely knowledge of which is essential to personnel concerned with flight operations
NZ DAA	New Zealand Defence Aviation Authority
NZDF	New Zealand Defence Force
ODESC	Officials Committee for Domestic and External Security Coordination
OSHAA	Outer Space and High-Altitude Act 2017
RASP	Regional Aviation Safety Plan

Acronyms and abbreviations

Acronym/abbreviation	Description
RCCNZ	Rescue Coordination Centre New Zealand
Rules	Civil Aviation Rules
SAR	Search and Rescue
SARPs	Standards and Recommended Practices
SBA	Sector Baseline Assessment
SEI	Safety Enhancement Initiative
SMM	Safety Management Manual
SMS	Safety Management System
SOI	Statement of Intent
SSP	State Safety Programme
TAIC	Transport Accident Investigation Commission
USOAP	Universal Safety Oversight Audit Programme Continuous Monitoring Approach
WorkSafe	WorkSafe New Zealand (workplace health and safety regulator)

Introduction

New Zealand's SSP gives a comprehensive overview of New Zealand's aviation safety system.

It provides detail on relevant legislation, systems, and processes that support the aviation safety system. The SSP aligns with ICAO's Annex 19 – Safety Management (Annex 19), Doc 9859 – Safety Management Manual (SMM) and Doc 9734 – Safety Oversight Manual (SOM).

The NASP sets out New Zealand's strategy to continuously improve the safety of aviation operations through the implementation of defined Safety Enhancement Initiatives (SEIs). These SEIs help to achieve national aviation safety goals and ensure aviation activities are conducted at an acceptable level of safety performance.

The NASP demonstrates how New Zealand meets the requirements of the ICAO Global Aviation Safety Plan 2023–2025 and the ICAO Asia-Pacific Regional Aviation Safety Plan 2023–2025.

Implementation of the SSP is monitored by the Aviation SSP Coordination Committee, which brings together representatives from the following agencies:

- Civil Aviation Authority
- Ministry of Transport
- Transport Accident Investigation Commission
- Defence Aviation Authority
- Ministry of Business, Innovation and Employment
- New Zealand Search and Rescue
- Airways New Zealand, the Air Navigation Service Provider (ANSP)
- Meteorological Service of New Zealand.

The SSP is reviewed every three years. Updates to the document are made, as required, by the SSP Coordination Committee, under the leadership of the CAA, and in consultation with all SSP agencies. The Committee meets every six months as part of its role of overseeing the SSP implementation.

New Zealand's 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.

1. New Zealand's safety policy, objectives and resources

1.1 New Zealand aviation legislative framework

1.1.1 New Zealand legislative system

The New Zealand Parliament has the power to make laws for aviation safety. New Zealand's aviation statutes and legislative instruments can be accessed on the New Zealand Legislation website, the authoritative source of Acts, Bills, and secondary legislation: www.legislation.govt.nz.[1] A full list of New Zealand's primary aviation legislation is included at Table 1. New Zealand's aviation regulatory framework comprises technical guidance, tools, and the provision of safety critical information as detailed in Section 1.4.

1.1.2 New Zealand aviation legislation (Critical Element 1)

New Zealand has an aviation legislation framework supported by the necessary rules and regulations to implement the Chicago Convention and its Annexes.

New Zealand was among the 52 signatories of the Chicago Convention in December 1944, which establishes international rules for airspace, aircraft registration and safety, security, and sustainability. The Civil Aviation Act 1948 triggered the ratification of New Zealand's acceptance of the Chicago Convention and authorised the making of regulations which give effect to the Convention and the making of SARPs.

The **Civil Aviation Act 2023** (the Act), which came into force in April 2025, governs New Zealand's civil aviation system and sets the overall framework for aviation safety, security, and economic regulation. The Act establishes the operational rules and divisions of responsibility within the civil aviation system to promote aviation safety and ensures that New Zealand's obligations under international aviation agreements are implemented.

The Act replaces the previous Civil Aviation Act 1990. It represents a modernisation of civil aviation legislation and sets the foundations for the regulatory system to maintain a safe and secure civil aviation system into the future.[2]

The Director of Civil Aviation (the Director) has powers conferred by the Act, which, when applied to a specific case, are performed independently of both the Minister of Transport (the Minister) and the Authority (the governance board of the Civil Aviation Authority). These powers include monitoring performance, enforcing compliance with the Act and the Civil Aviation Rules (Rules), and approving emergency Rules where circumstances require immediate action.

1 The New Zealand Legislation website provides access to the Rules via a link to the CAA website.

2 Key new elements relating to safety in the Act include requirements for drug and alcohol management plans and testing; new intervention powers for responding to the serious misuse of remotely piloted aircraft; clarifying and updating inspectors' powers (e.g. to include powers of entry and inspection, and to issue improvement notices and non-disturbance notices); and improving the quality and types of safety information reported to the CAA by strengthening incident and accident reporting (including the provision of certain protections from enforcement action for people who self-report incidents).

The Civil Aviation Authority (CAA), through the issue of aviation documents, controls entry and exit from the aviation system. Documents include a pilot's licence, air operator certificate, aircraft registration, engineer's licence, air traffic service personnel's licence, licences to individual participants and certificates given to individuals or entities. Documents are granted only after applicants have demonstrated that they meet the standards set out in the Act and Rules.

In addition to the powers of the Minister, the Authority, and the Director, the Act places clear safety responsibilities on aviation document holders themselves. Section 1.3 outlines the requirement for document holders that provide a service within the civil aviation system to establish and follow a management system that ensures compliance with safety standards. This must include the provision of resources to ensure compliance and provide training and supervision for employees.

The Act updates provisions and includes new functions necessary to keep pace with a rapidly changing aviation environment. While the Act introduces some changes to help the sector keep pace with the operating environment, it also recognises that the CAA's fundamental regulatory underpinnings are sound.

The Act makes an amendment to the Maritime Transport Act 1994, to allow the Minister to direct the CAA, Maritime New Zealand, or any other Crown entity or government agency for which the Minister is responsible, to perform or participate in the performance of any search and rescue operation.[3] The Rescue Coordination Centre New Zealand (operated by Maritime New Zealand) coordinates search and rescue for major maritime, aviation and land-based search and rescue operations in New Zealand's search and rescue region.

In most cases, the Act either continues or improves existing functions. The Act also includes additional purposes that recognise broader economic, environmental, social, and national security factors. While the CAA will consider these additional purposes in its work, the CAA's primary goal remains focused on ensuring that New Zealand maintains a safe and secure civil aviation system.

The **Health and Safety at Work Act 2015** (HSWA), New Zealand's primary legislation covering workplace health and safety, is another important statute relevant to aviation safety. The fundamental principle of HSWA is that of ensuring that all reasonably practicable steps have been taken to ensure the health and safety of workers in the workplace (nb, not all aviation activities are covered by the HSWA, for example certain general aviation operators. In these instances, the Civil Aviation Act 2023 is the prime governing legislation).

Under HSWA, the CAA is designated as the responsible agency for health and safety concerning:

- work to prepare an aircraft for imminent flight
- work on board an aircraft for the purpose of imminent flight or while in operation
- aircraft as workplaces while in operation.[4]

The HSWA recognises that a well-functioning health and safety system relies on participation, leadership, and accountability by government, business and workers. It is important to note that other than times of declared operational activity, HSWA applies to the New Zealand Defence Force (NZDF).

3 Civil Aviation Act 2023, section 478 (this inserts new sections 199 and 199A into the *Maritime Transport Act 1994*).

4 https://gazette.govt.nz/notice/id/2016-go958

The **Outer Space and High-altitude Activities Act 2017** (OSHAA) regulates launches into outer space, launch facilities, high-altitude vehicles, and payloads. It also provides a legal framework for high-altitude activities that originate from New Zealand. OSHAA is administered by the New Zealand Space Agency under the Ministry of Business, Innovation and Employment (MBIE).

The **Transport Accident Investigation Commission Act 1990** established the Transport Accident Investigation Commission (TAIC). The principal purpose of TAIC is to determine the circumstances and causes of accidents and incidents to avoid similar occurrences in the future, rather than to ascribe blame to any person, in accordance with ICAO Annex 13 – Aircraft Accident and Incident Investigation.

The **State-Owned Enterprises Act 1986** established the Airways Corporation of New Zealand Limited (Airways – the ANSP). Airways provides services on a commercial basis under that Act and is authorised by Section 35 of the Civil Aviation Act 2023 and under Part 172 of the Rules to provide air traffic services.

The **Meteorological Services Act 1990** requires the Minister to ensure the provision of a meteorological forecasting and warning service, as well as the collection of data required to support that service. The Act addresses New Zealand's obligation to the World Meteorological Organization to maintain a National Meteorological Service for the safety of life and property.

The **Hazardous Substances and New Organisms Act 1996** (HSNO) places a responsibility upon the Director to enforce this Act 'in or on any aircraft' and enforce the Act's provisions relating to the 'discharge of hazardous substances from an aircraft'.

The **Radiocommunications Act 1989** sets out how New Zealand manages and regulates the aeronautical radio spectrum, and how New Zealand protects Global Navigation Satellite System (GNSS) signals.

The **Defence Act 1990** defines the respective roles of, and relationships between, the Minister of Defence and Chief of Defence Force. The Act individually names the Chief of Defence Force as having responsibility for the safe and efficient management of the New Zealand Defence Force and its activities, including military aviation.

1.1.3 Aviation safety regulation (Critical Element 2)

New Zealand'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, and aviation transport security.

The **Civil Aviation Act 2023** empowers the Minister to make Civil Aviation Rules (Rules). The Rules set the minimum standards required to enter and to operate in the civil aviation system. Rules function as a combination of prescriptive standards and performance- and risk-based requirements.

The Rules are developed from needs identified by the CAA or aviation sector. The issues may be identified from changes to SARPs, recommendations from TAIC's investigations, safety data and audits, and petitions submitted on a rule change (nb, petitions can be submitted by anyone).

Uncrewed aviation is a rapidly emerging and growing sector. New Zealand strives to adapt and respond to new technology while maintaining existing and/or enhancing safety and security outcomes. This requires the ability to identify and manage emerging risks.

Current Rules address New Zealand's obligations under the Chicago Convention relating to:

- aircraft operations
- aircraft registration and airworthiness, including Remotely Piloted Aircraft Systems
- design and manufacture of aeronautical products
- personnel Standards and Licencing
- the provision of air navigation services and air traffic services
- the provision of aeronautical information and meteorological information
- air operator certification, including commercial, recreational and adventure operations
- aerodromes
- safety Management Systems (SMS)
- dangerous goods
- occurrence reporting.

1.1.4 Adoption of ICAO SARPs

Articles 37 and 38 of the Chicago Convention require States to adopt SARPs to the extent practicable. Where alignment is not possible, New Zealand may file differences with ICAO, indicating whether its aviation regulations align with individual SARPs partly or not at all, or whether New Zealand uses an alternative standard that achieves the same or a similar outcome as the SARP. SARPs are embodied in the Rules, with the Rules made by the Minister and implemented by the CAA (for safety and security).

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

Legislation	Description	Delivery Agency	Oversight Agency	CE
Civil Aviation Act 2023 (superseded the 1990 Act on 5 April 2025)	Sets out the operational rules and divisions of responsibility within the civil aviation system, including search and rescue operations.	CAA	Ministry of Transport	1
Outer Space and High-altitude Activities Act 2017	Provides legal framework for high-altitude activities that originate from New Zealand. This includes the process for gaining a licence and for permit applications for launching a high-altitude vehicle.	MBIE	MBIE	1
Transport Accident Investigation Commission Act 1990	Establishes TAIC as an independent-standing Commission of Inquiry. The TAIC Act is the means by which New Zealand gives effect to the requirements under ICAO Annex 13 to have an independent accident investigation authority.	TAIC	Ministry of Transport	1
Meteorological Services Act 1990	Requires the Minister of Transport to ensure the provision of a meteorological forecasting and warning service.	Ministry of Transport	Ministry of Transport	1

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

Legislation	Description	Delivery Agency	Oversight Agency	CE
State-Owned Enterprises Act 1986	Requires MetService to be as profitable and efficient as comparable businesses not owned by the Crown and to exhibit a sense of social responsibility by having regard to the interests of the community in which it operates and by endeavouring to accommodate or encourage these, when it is able to do so.	MetService; Airways NZ	NZ Treasury; Ministry of Transport	1
Health and Safety at Work At 2015	Sets out the principles, duties and rights in relation to workplace health and safety. The Act also outlines the expectations about the management of health and safety-related risks.	WorkSafe NZ	MBIE	1
Hazardous Substances and New Organisms Act 1996	Protects the environment, and the health and safety of people, by preventing or managing the adverse effects of hazardous substances and new organisms	Ministry for the Environment	Ministry for the Environment	1
Radiocommunications Act 1989	Sets out rights and duties for the management of the radio frequency spectrum in New Zealand.	MBIE	MBIE	1
Civil Aviation Rules	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, air navigation, rules of the air, dangerous goods and many other safety issues.	Minister of Transport	New Zealand Parliament	2
Airworthiness Directives	Address unsafe conditions on aircraft and aeronautical equipment.	CAA	Ministry of Transport	2
Civil Aviation Notices	Contain detail about the standards, conditions, procedures, and technical specifications approved or determined by the Director of Civil Aviation under the Civil Aviation Rules.	CAA	Ministry of Transport	2

1.2 New Zealand's state safety system and function (Critical Element 3)

1.2.1 Responsibilities and accountabilities

The New Zealand Government, through the Minister of Transport, is the portfolio owner of aviation policy in New Zealand. The Minister is responsible to Parliament for civil aviation matters, including safety.

The major agencies responsible for New Zealand's civil aviation safety functions are detailed in Table 2.

Table 2 New Zealand's SSP agencies

Agency	Minister
Ministry of Transport	Minister of Transport
Civil Aviation Authority of New Zealand	
Airways New Zealand	Minister for State Owned Enterprises
Meteorological Service of New Zealand (MetService)	
New Zealand Defence Force (NZDF)	Minister of Defence
WorkSafe New Zealand	Minister for Workplace Relations and Safety
Ministry of Business, Innovation and Employment	Minister for Space
Transport Accident Investigation Commission	Associate Minister of Transport
Maritime New Zealand, who run the Rescue Coordination Centre New Zealand (RCCNZ)	Associate Minister of Transport

Figure 1 Organisational structure of New Zealand's aviation agencies

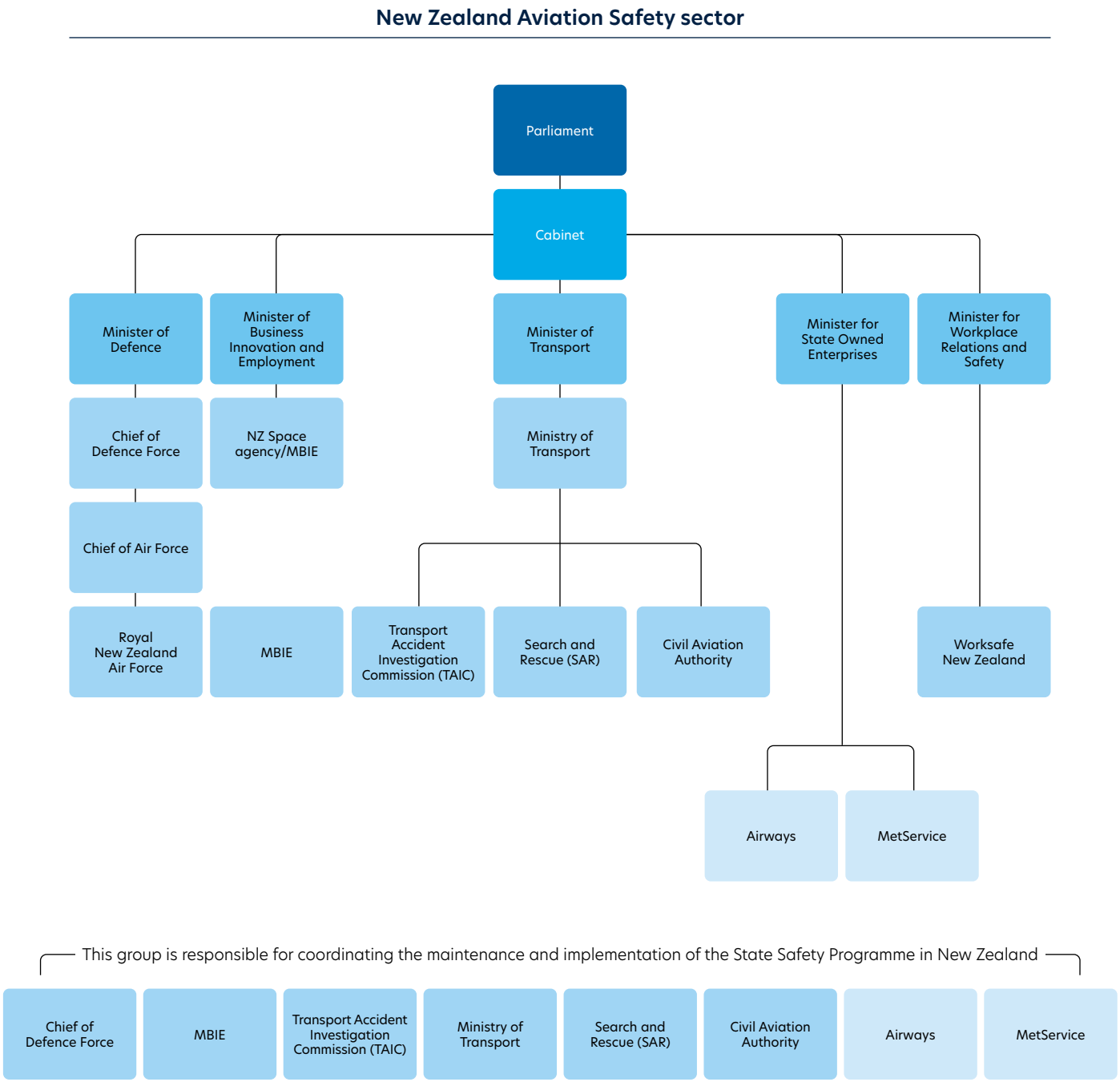


Table 3 Allocation of ICAO annexes

ICAO Annex	Responsible Agency(ies)
Annex 1 – Personnel Licensing	CAA
Annex 2 – Rules of the Air	CAA, Ministry of Transport
Annex 3 – Meteorological Services	CAA, MetService, Airways
Annex 4 – Aeronautical Charts	CAA, Airways
Annex 5 – Units of Measurement	MBIE
Annex 6 – Operations of Aircraft	CAA
Annex 7 – Aircraft Nationality & Registration Markings	CAA
Annex 8 – Airworthiness of Aircraft	CAA
Annex 9 – Facilitation	Ministry of Transport, CAA, Customs, Immigration, Health, Internal Affairs
Annex 10 – Aeronautical Telecommunications	CAA
Annex 11 – Air Traffic Services	CAA
Annex 12 – Search and Rescue	Maritime New Zealand (through the RCCNZ)
Annex 13 – Aircraft Accident & Incident Investigation	TAIC
Annex 14 – Aerodromes	CAA
Annex 15 – Aeronautical Information Services	CAA (via Airways by contract)
Annex 16 – Environmental Protection	Ministry of Transport
Annex 17 – Security	CAA, Immigration
Annex 18 – The Safe Transportation of Dangerous Goods by Air	CAA
Annex 19 – Safety Management	CAA

Minister of Transport

The New Zealand Government, through the Minister, sets the overall aviation policy direction. The Minister oversees New Zealand's transport sector and reports to Cabinet and Parliament for significant policy and regulatory matters involving the transport sector. The Minister is responsible for New Zealand's ICAO obligations.

Ministry of Transport

The Ministry of Transport (the Ministry) is the public service department of New Zealand charged with providing policy and legislative advice to the Minister and wider New Zealand Government, including the making of transport rules. The transport sector includes the CAA and TAIC (independent Crown entities), and Airways and

MetService (State-Owned Enterprises). These bodies are responsible for the day-to-day management of daily aviation activities, or for provision of information and services which support the aviation industry.

The Ministry plays a key role in representing New Zealand's transport interests internationally, which includes negotiating bilateral and multilateral air services agreements. It is also the licensing authority for foreign international airlines operating services to and from New Zealand. The Ministry and the CAA have a close working relationship to ensure the maintenance of aviation safety in New Zealand.

Civil Aviation Authority of New Zealand

The CAA is a Crown entity that operates as New Zealand's specialist aviation safety and security regulator. It is tasked with establishing civil aviation safety and security standards in New Zealand, monitoring adherence to those standards and is responsible for enforcement proceedings. The CAA's approach to aviation regulation is based on the premise that the purpose of regulatory intervention is to meet the safety and security expectations of the public.

Transport Accident Investigation Commission

TAIC allows New Zealand to give effect to the requirement in ICAO Annex 13 to have an independent accident investigation authority. TAIC is a standing commission of inquiry that operates under the Transport Accident Investigation Commission Act 1990 and has all the powers of a commission of inquiry under the Commissions of Inquiry Act 1908. TAIC is also an independent Crown entity, under the Crown Entities Act 2004.

The Crown entity monitoring functions of the Ministry of Transport (the monitoring agency for the TAIC) are limited to TAIC's operation as an independent Crown entity. The Ministry's monitoring functions do not extend to the Commission's quasi-judicial functions of determining the cause and circumstance of accidents and incidents and making findings and recommendations.

TAIC is responsible for the independent investigation of accidents and serious incidents involving civil aircraft in New Zealand and has extensive legal powers to gather and protect evidence. TAIC's work reflects ICAO Annex 13 requirements regarding specific obligations for independent accident and incident investigations.

TAIC's jurisdiction extends to the 12 nautical mile limit of New Zealand's territorial waters, the land within that, and the air above, and to New Zealand registered aircraft or ships anywhere in the world. TAIC's legal framework and working practices are consistent with international obligations and standards for safety-focused investigation of significant transport accidents or incidents.

Airways New Zealand

As New Zealand's certificated ANSP, Airways is responsible for delivering air traffic services to ensure the safe and efficient operation of both civil and military aircraft in New Zealand's controlled airspace. Airways also provides information to aircraft travelling in uncontrolled airspace and provides an alerting service for aircraft in distress. Airways also delivers aeronautical telecommunication services and meteorological services.

Airways, through its subsidiary companies, also provides aeronautical information management, procedure design, and other training and digital services and products.

Meteorological Service of New Zealand

MetService is the certificated national aviation meteorological service of New Zealand. It is the Government-approved sole provider of severe weather warnings via a contract with the Minister in accordance with obligations in the Meteorological Services Act 1990. MetService is a certified provider of aviation weather information in accordance with Part 174 of New Zealand's Rules.

New Zealand Defence Force

The Chief of Defence Force is responsible for the safety and airworthiness of military aviation systems. NZDF cooperates with New Zealand's civil aviation agencies on a range of matters including airspace design, manufacture, certification and maintenance; airspace management; air navigation services; and aerodrome infrastructure, particularly where these may be used by civil aviation.

The New Zealand Defence Aviation Authority (NZ DAA) is the independent safety regulatory body for all NZDF aviation. The organisation comprises three distinct areas of responsibility: technical airworthiness, operating airworthiness, and aviation safety. NZ DAA is responsible for establishing and maintaining the NZDF Aviation Safety Programme (ASP) to ensure compliance with HSWA, including prescribing safety policy and airworthiness rules; promoting aviation safety; establishing and certifying initial safety requirements and standards; and conducting oversight and enforcing ongoing compliance.

Aircraft operated by NZDF are State aircraft. When issuing regulations for their aircraft, the NZDF ensures their aircraft will have due regard for the safety of navigation of civil aircraft. In addition, the NZDF's ASP has been developed cognisant of, and broadly aligned with, the ICAO SSP requirements.

Ministry of Business, Innovation and Employment

MBIE administers the country's measurement standards, which provide uniform units of measurement of physical quantities throughout New Zealand. They provide benchmarks to ensure that measuring devices such as scales, thermometers, and clocks achieve accurate results.

MBIE also administers the national Register of Radio Frequencies and the related licensing, compliance, and enforcement activities.

MBIE has responsibility for the New Zealand Space Agency. The New Zealand Space Agency is the lead government agency for space policy, regulation, and sector development.

New Zealand Search and Rescue

Search and rescue services for New Zealand's search and rescue region are led by the two search and rescue Coordination Authorities: the New Zealand Police and Maritime New Zealand's Rescue Coordination Centre (the Rescue Coordination Centre coordinates the search for missing aircraft or aircraft in distress).

The Coordination Authorities rely on the assistance of various other agencies including NZDF, locally based commercial helicopters, and volunteer groups. The volunteer groups are Coastguard New Zealand, Land Search and Rescue, Surf Life Saving New Zealand, and Amateur Radio Emergency Communications.

Oversight of the New Zealand search and rescue system is provided by the New Zealand Search and Rescue Council. The Council provides national strategic governance and leadership to New Zealand's search and rescue sector. Its membership is drawn from chief executives (or delegated senior executives) of the Ministry of Transport (chair), CAA, Fire and Emergency New Zealand, Maritime New Zealand, NZDF, the New Zealand Police, the Department of Conservation, and an independent member.

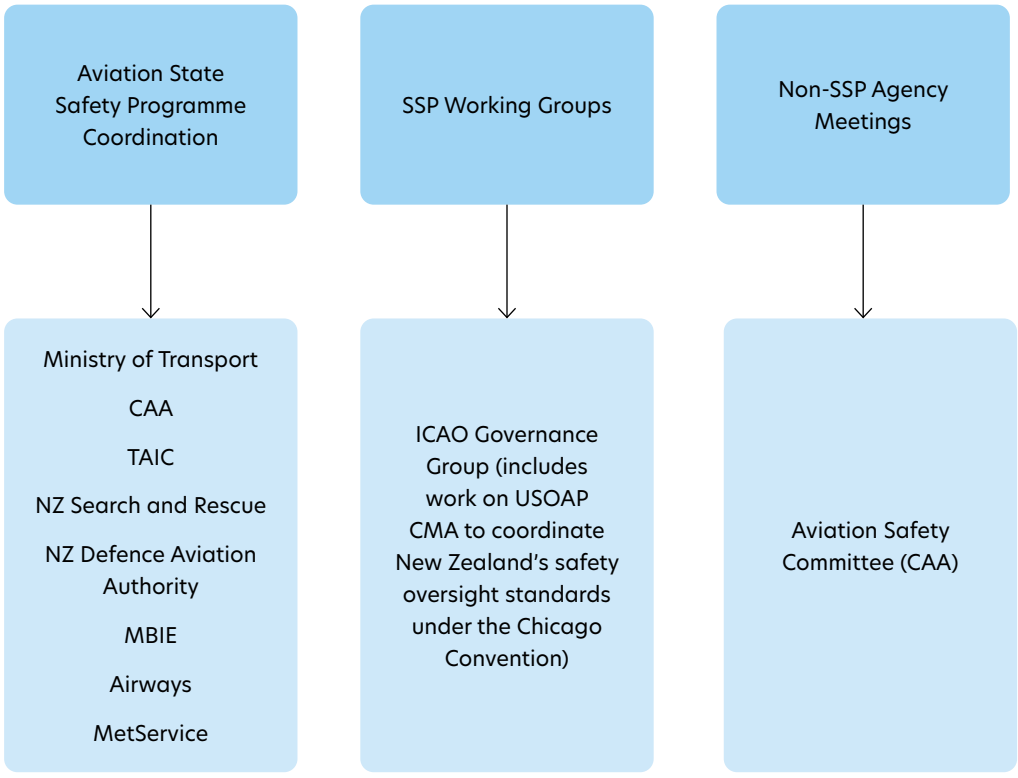
1.2.2 State civil aviation system and safety oversight functions

New Zealand takes a cohesive and collaborative approach to aviation safety activities across all agencies in delivering an effective SSP. New Zealand's SSP consists of two levels of meetings: governance fora 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 New Zealand SSP. The overall SSP governance structure is defined in Figure 2.

Figure 2 SSP governance meeting structure



SSP Coordination Committee

The State Safety Programme Coordination Committee (the Committee) is an inter-agency collaborative mechanism responsible for coordinating the maintenance and implementation of the SSP. Chaired by the CAA, its work ensures that the SSP accurately reflects the suite of regulations and activities relied on to improve safety in New Zealand's aviation system. The Committee meets every six months and undertakes ongoing monitoring and evaluation of activities to rectify identified SSP gaps and shortcomings and communicates its work and outcomes to the wider aviation community.

Table 5 Current domestic arrangements

Agreement	Purpose
CAA/TAIC	Clarifies the relationship, roles and responsibilities between the parties in carrying out their statutory functions in relation to aviation occurrences
CAA/MetService	Clarifies roles and responsibilities related to the provision, charging and reporting of meteorological services
CAA/NZ Defence Force	Establishes and codifies joint support to operations and training, aircraft accident investigation and information sharing
CAA/MBIE	Documents the agreed process for seeking information and advice from the CAA relating to high-altitude licence applications for high-altitude vehicles that are aircraft
TAIC/Police	Sets out division of responsibilities between the parties in carrying out their respective functions of aviation accident investigations
TAIC/NZ Defence Force	Provides a framework to support cooperation between Defence and TAIC in the investigation of transport safety matters
CAA/Airways*	Establishes the roles and responsibilities between the parties related to the provision of aeronautical information management services
MetService/Airways	Establishes the roles and responsibilities related to the exchange of certain information and services between the parties
Defence/Airways	Establishes the air traffic services provided in respect of Whenuapai and Ohakea air bases
Airports/Airways	Sets out the agreement of the parties in respect of air traffic services and related infrastructure and services at controlled aerodromes

**Through Airways subsidiary companies*

1.2.3 State agency staffing requirements

Agencies are responsible for delivering on their legislative requirements to their respective Ministers. This includes ensuring the organisation is sufficiently organised and staffed with qualified personnel capable of providing services and/or oversight in line with New Zealand's commitment to the Chicago Convention and the need to support safe air navigation.

1.2.4 Delegation of safety oversight functions and activities

New Zealand conducts all safety oversight activities directly and does not delegate any specific safety oversight functions to another organisation or State.

1.2.5 Establishment of service providers

The CAA is the primary regulatory authority for civil aviation safety in New Zealand. Inspectorates conducting investigations and surveillance are located within the CAA and maintain functional separation from agencies whose primary role is service provision (e.g. Airways). TAIC remains independent of regulatory authorities and service providers, conducting independent safety investigations into the system.

1.3 Qualified technical personnel (Critical Element 4)

New Zealand 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 (eg, CAA, TAIC) 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, the CAA has an established training and development schedule for all staff, with a particular focus on technical training for safety staff, including Safety Management System (SMS) oversight. The training includes a comprehensive induction programme for new inspectorate staff covering generic training on people management, inspections, systems and tools, the regulatory environment, and the SMS. All staff must also complete training that addresses ethical conduct and the avoidance of actual or perceived conflicts of interest in the performance of their official duties.

Much of the CAA's specialist and recurrency training programmes are provided and administered independently by the relevant internal operations groups. The CAA's training programme enables the CAA to effectively perform its functions as they relate to the Act.

All TAIC transport safety investigators complete basic formal training early in their employment. Newly recruited TAIC investigators can expect to spend approximately 18–24 months building their qualifications and expertise before being appointed Investigator in Charge.

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)

New Zealand's highest priority is to maintain and enhance aviation safety performance. New Zealand's safety goals emphasise the importance of industry and New Zealand 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

New Zealand has developed and published terms of reference to assist SSP agencies' technical experts in implementing procedures and practices related to the SSP framework.

The CAA maintains up-to-date manuals and handbooks containing technical guidance on all facets of the CAA activities including processing applications, implementation of regulations, entry control requirements, enforcement, and licensing procedures. The CAA technical guidance is designed to support CAA technical staff as well as industry participants. That technical guidance is publicly available through the CAA website.

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

1.4.2 Industry regulatory guidance

New Zealand provides a range of guidance material to industry to support 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
Guidance Material	Assist industry with best advice on aviation safety and security
Advisory Circulars	Contain information about standards, practices, and procedures that the Director has found to be an acceptable means of compliance with Civil Aviation Rules
Notices	Provided to ensure CAA remains responsive and adaptable to changes or emerging risks in the civil aviation system
Sample Documents	Assist industry to enable compliance with Civil Aviation Rule requirements
Other guidance material	New Zealand has a series of other guidance material designed to support and assist industry in meeting their regulatory obligations

1.4.3 Communication of safety critical information

To foster safety in the aviation operational environment, the New Zealand 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 NOTAM, efficient issuance of Airworthiness Directives (AD), and effectual updates to the Aeronautical Information Publication (AIP).

1.5 State emergency response plan

Following an aviation or other emergency, the CAA will establish an Emergency Operations Centre (EOC) connecting into the Ministry of Transport-led Transport Response Team (TRT). When activated, the TRT coordinates the transport sector's contribution to the New Zealand national security framework response, known as the Officials Committee for Domestic and External Security Coordination (ODESC).

Depending on the type of incident, the lead agency will coordinate the response from its coordination centre, possibly with a liaison officer from the CAA in attendance. New Zealand's national framework for response is known as the Coordinated Incident Management System (CIMS).

In response to events involving aircraft, the CAA may respond to and investigate all or certain aspects of an event, subject to the limitations set out in the Transport Accident Investigation Commission Act 1990.

The CAA will support the lead agency so that New Zealand has an organised all-of-Government response. The Ministry of Transport has recently published its *Guide to Transport Emergency Management for Aotearoa New Zealand*. The CAA has a 'playbook', which outlines the key likely aviation response scenarios within the New Zealand Flight Information Region and sets out how the Authority's response would develop. Under Part 139

of the Rules, all aerodromes must have emergency plans and must test those emergency plans by conducting a full-scale aerodrome emergency exercise every two to three years.

The RCCNZ leads all aviation search and rescue responses and is the Search and Rescue Point of Contact for the Cospas-Sarsat distress beacons system. The CAA and RCCNZ regularly run 'mock exercises' together and more recently have been addressing responses to Global Aeronautical Distress and Safety System alerts. RCCNZ has an agreement with Airways regarding services to aircraft in emergencies.

State safety goals, targets and indicators

New Zealand's safety goals are derived from the organisational challenges and operational risks 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 New Zealand's SSP and NASP aim to achieve. Each safety goal has associated safety performance targets and indicators used to measure New Zealand's performance in relation to the safety goal. In addition, each safety goal has a series of safety enhancement initiatives and actions New Zealand 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 New Zealand.

Further information on New Zealand'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

A key principle of New Zealand's aviation regulatory framework is that everyone shares a responsibility for safety.

The CAA ensures that aviation participants meet the standards set by Parliament and the Minister and ensure the aviation system is safe and secure.

New Zealand has adopted a proactive approach to safety risk management by mandating an 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 New Zealand Government agency.

In addition, HSWA sets out the legal framework for workplace health and safety in Aotearoa New Zealand.

The purpose of an SMS is to provide organisations with a systematic approach to managing safety. It is designed to continuously improve safety performance through:

- the identification of hazards
- the collection and analysis of safety data and safety information
- the continuous assessment of safety risks.

The CAA Regulatory Safety and Security Strategy 2022-2027 sets out the approach that the CAA takes as it performs its regulatory role - Regulatory Safety and Security Strategy 2022-2027. To support the intent of the Regulatory Strategy the CAA has created a plan for the delivery of its safety functions outlined in the Regulatory Capability Plan.

One of the pillars of the CAA's development as a modern regulator is to be intelligence-led and risk-based, so that it can anticipate the areas that require attention and thereby focusing on the areas with the most risk of harm. As part of this, the CAA has applied considerable attention to developing its intelligence capability with the development of a regulatory intelligence team.

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

Valid and current aviation documents are generally required for entry and continuing operation in New Zealand's civil aviation system. The holders of the documents are aviation participants (individuals and organisations); New Zealand registered aircraft; aerodromes; aeronautical products; and aviation-related services.

The purpose of the CAA's certification and licensing function is to obtain and provide assurance that applications meet, or exceed the requirements for entry into, and continuance within, the aviation system. The *Certification and Licensing Operational Policy 2023* can be found here: Certification and Licensing - Operational Policy. The policy has enabled a risk-based approach to renewal activity. Renewal is seen as an assessment of an organisation's ability to continue operating with its privileges and adopts a sampling approach that targets areas of most interest.

Processes and procedures are periodically reviewed for content and currency, and updated as appropriate. The CAA's monitoring policies can be found here: Controlled documents policy.

2.1.2 Certification

Certification activities control the entry of people and organisations into the aviation system and make sure that they have the skills, qualifications, and systems to operate safely. The CAA does this through regulatory activities such as licensing people, including pilots and air traffic personnel, and certificating organisations. Through regulation the CAA provides approvals regarding the aircraft, equipment, and flight systems that can be used in New Zealand.

The CAA certification includes:

- aircraft and products certification
- certification of organisations
- aeronautical services certification, including aerodrome certificate renewals.

Examples of certification are listed below - further details of CAA's Licensing and Certification can be found here: About us.

- Adventure aviation – carrying passengers for hire or reward, where the purpose of the operation for the passenger's recreational experience (Rule Part 115).
- Agricultural operations including certification and safety (Rule Part 137).
- Air cargo – the certification and operation of an organisation providing the services of a regulated air cargo agent for on aircraft carrying passengers (Rule Part 109).
- Air operations – anyone setting up an aviation business in New Zealand, needs the CAA's approval to operate (Rule Parts 119, 121, 125, 135).
- Sport and recreation – aviation recreation organisations, recreational pilots, and amateur built aircraft (Rule Parts 21, 61, 115, 149).
- Aircraft registration - all aircraft must be registered, except for sport parachutes, paramotors, hang gliders, paragliders and unmanned aircraft (although this may be required if operating under Rule Part 102).
- Aerodromes – Rule Part 139 provides the regulatory requirements relating to the certification and operation of aerodrome operators.
- Air Traffic Service - Airways provide air traffic services under certification from the CAA. They train and employ Air Traffic personnel.

Further information on licensing and certification is available here: Licensing and certification.

A sector profile table showing New Zealand's active aviation document holders (at 30 June 2024) can be viewed in the CAA Annual Report 2024 (page 21).

Certification file

InfoHub is the online Document Management System used by the CAA to store, manage, record and access the certification files and associated data. Folders are created in InfoHub for each certification file, which documents processes and procedures to ensure established requirements are met.

The files on the Document Management System include:

- certification application and associated documents
- organisation exposition (i.e. service provider manual)
- audit/inspection files
- corrective action plans and evidence of implementation
- if applicable, exception or exemption files (including safety studies and their assessment by the authority)
- checklists/process sheets/reports documenting the evaluation process, the results of those verifications performance including any decisions made by inspectors
- evidence of correspondence between the applicant and the Authority
- copy of the certificate (and associated specifications, if applicable), licence, authorisation or approval.

Confidentiality and privacy of information provided to the CAA by applicants

The CAA recognises that information provided during an application may be commercially sensitive, confidential to the applicant, or personal information. The CAA collects, holds, protects, and uses such information in accordance with the purposes for which it was collected, and the obligations it has under legislation, notably the Privacy Act 2020 and the Official Information Act 1982.

The CAA will not disclose to a third party such information unless by law it is necessary to do. It will consult on a proposed release to persons who may be adversely affected by its release when required to do so and when the CAA considers it would be beneficial to do so. The CAA's policies, guidelines, and procedures for maintaining the privacy and confidentiality of information apply not only to all CAA employees but also to all other individuals and organisations that undertake certification and licensing functions and activities on behalf of the Director, including medical certification.

2.1.3 Personnel licensing

Medical certification is carried out by external medical examiners under delegation from the Director pursuant to Part 4 of the Act.

The function of issuing pilot certificates/permits in the recreational aviation sector is delegated to recreational organisations, such as Gliding NZ. These organisations are certificated by the Director under Part 149 of the Rules, which provides a level of oversight.

Personnel licensing requirements are found in the following Rules:

- Flight Crew – Part 61
- Air traffic services personnel – Part 65
- Aircraft Maintenance Engineers – Part 66.

2.1.4 Approval process

Under the Act, the Director is empowered to make regulatory decisions in relation to:

- exercising control over entry into and exit from the civil aviation system
- monitoring the performance of participants in the system
- enforcement in relation to matters under civil aviation legislation
- granting exemptions
- issuing advice, reports and guidance
- aeronautical determinations
- airspace designation.

The Director's delegate may also make non-certification decisions such as issuing Aeronautical Determinations and Airspace Designations.

The CAA's approval obligations are stipulated within the applicable Rule, ie, there are specific activities or actions within each Rule that require specific approval.

Almost all decisions made by the Director relate to the application of standards or requirements specified by the Act and Rules. The Minister 'owns' the rules and makes decisions about content. The Director's decisions relate to the implementation of the Rules.

The Act includes an independent review function that enables expert independent reviews of regulatory decisions made by (or on behalf of) the Director.

2.2 Safety Management System (SMS) obligations

Safety management requirements are contained in Rule Part 100 – Safety Management (Part 100) and the related organisational certification Rule parts. These are Parts: 115, 119, 121, 125, 135, 137, 139, 157, 158, 171, 172, 173, 174, and 175.

Activity	Rule Part
Adventure Aviation	115
Air operator certification – includes Air transport operations and Commercial Transport Operations	119
Air operations – Large Aeroplanes	121
Air operations – Medium Aeroplanes	125
Air operations – Helicopters and Small Aeroplanes	135
Agricultural Aircraft Operations	137
Aerodromes – Certification, Operation and Use	139
Notice of Construction, Alteration, Activation, and Deactivation of Aerodromes	157
Aeronautical Telecommunication Services – Operation and Certification	171
Air Traffic Service Organisations - Certification	172
Instrument Flight Procedure Service Organisation – Certification and Operation	173
Aviation Meteorological Service Organisations - Certification	174
Aeronautical Information Services Organisations - Certification	175

The high-level, performance-based principles adopted in Part 100 define the management outcomes expected of organisations to achieve increased safety performance. This structure provides the flexibility for organisations to adapt to the future and to scale SMS to their needs and circumstances.

Rule Part 100 Safety Management has been in effect since 1 February 2016.

Under SMS, organisations are required to set safety policy and safety objectives; establish processes for hazard identification and risk management; obtain assurance of safety through investigation audits, continuous improvement, monitoring and measuring performance and management oversight; and to promote safety through training and education.

Whereas Rule Part 100 specifically focuses on safety management functions related to, or in direct support of, the safe operation of aircraft, Health and Safety at Work is a cross-disciplinary system concerned with protecting the safety, health and welfare of people in the workplace.

The identification of Occupational Health and Safety (OHS) hazards coupled with assessment and management of the associated risks are at the heart of HSWA and align with many of the elements of an SMS.

Information on SMS is available here: SMS - Safety management systems.

Establishing, maintaining, and improving an SMS is now mandatory for most certificated organisations and the CAA actively encourages implementation. New entrants to the civil aviation system must fully comply with SMS from initial entry certification.

A range of New Zealand-specific resources have been developed by the CAA to assist certificated organisations when adopting a SMS. This includes an SMS implementation strategy, educational and guidance material, and industry implementation and development workshops with service providers and industry. Advisory Circular (AC) 100-1 refers to the 13 elements of safety management systems and can be found here: AC100-1 - Safety Management.

The structure of SMS in New Zealand aligns with *Annex 19 Safety Management* and *Doc 9859 Safety Management Manual*.

2.2.1 Certificated organisations' safety performance

Safety performance management is central to the function of the SMS. An important element of a mature safety management oversight system is agreement between the safety regulator and certificated organisation on key performance indicators and expected level of performance to be achieved. Rule Part 100 requires a certificate holder to set safety goals, and through monitoring, assess whether those goals are being achieved.

Advisory Circular AC 100-1 refers to the process and guidance associated with monitoring and measuring safety performance (link to AC100-1 is above in para 2.2).

The CAA provides Inspection and Monitoring guidance in an SMS Environment document to support inspectors in evaluating the safety performance of participants who undertake regulated operations under the oversight of a system for management required under Rule Part 100 Safety Management.

2.3 Accident and incident investigations

TAIC investigations

The CAA has a duty to notify an accident or incident to TAIC if it is an accident involving aircraft or a serious incident in accordance with the provisions of the Convention (section 50 of the Civil Aviation Act 2023).

TAIC will investigate the accident or incident either if it believes that the circumstances of the accident or incident have significant implications for transport safety or if it may allow TAIC to establish findings or make recommendations which may increase transport safety.

The TAIC Act 1990 describes TAIC's role and responsibilities: Transport Accident Investigation Commission Act 1990.

TAIC can make recommendations aimed at resolving safety issues arising from its inquiries. These are often provided to the CAA to implement the recommendations, however TAIC may issue recommendations to the operator.

The Ministry of Transport and the CAA report to the Minister annually on the implementation of TAIC recommendations that have been issued to them. Findings, recommendations, safety actions taken, and key lessons learnt are published in its inquiry reports, which are available on TAIC's website. Reports with potential application beyond New Zealand are given to the appropriate international body.

CAA investigations

The CAA is committed to enhancing aviation safety and security through thorough and impartial investigations. The primary investigation purpose is to gather unbiased, comprehensive facts that will inform regulatory decisions and support action to improve aviation safety.

The CAA performs a range of functions, which includes investigating accidents and occurrences and ensuring adherence to aviation regulations.

Possible outcomes of an investigation are:

- sharing safety messages relating to the cause and factors that contributed to the accident or incident
- improving the Rules
- improving CAA's regulatory practice
- informing, advising and educating industry and/or specific participants about Rules and safety standards
- taking regulatory action after consideration of the relevant legislation and CAA's Regulatory Decisions Operational Policy, which has public interest and just culture principles at its core.

As the designated Health and Safety at Work Act 2015 (HSWA) regulator for aircraft in operation, the CAA also undertakes health and safety investigations and acts on the results when that is necessary and appropriate.

Where appropriate, the CAA works alongside other agencies involved in an accident or incident investigation, for example New Zealand Search and Rescue, New Zealand Police, and TAIC.

The *Regulatory Enforcement Policy* provides clear guidelines for the application of the Director's enforcement powers and can be viewed here: Regulatory Enforcement Policy. The Policy (amongst other issues) describes the factors that inform a decision to commence an investigation and describes the CAA's quality assurance and control processes, including the external monitoring and review process.

The Director has powers to investigate an aviation document holder. The purpose of a s15A investigation is to gather information to determine the nature and extent of any safety or security risk involving a document holder and to establish if action is required to mitigate or remove the risk to prevent future harm. The information gathered during the s15A investigation is used to:

- determine whether a safety or security risk is present
- understand the cause and future level of the risk
- make recommendations regarding what action, if any, is required to be taken to mitigate or remove the risk.

Rule Part 12, which outlines standards related to Accidents, Incidents and Statistics, can be located here: 1.0 Procedures (aviation.govt.nz)

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.

New Zealand SSP agencies identify hazards through occurrence analysis, investigations, surveillance, certifications, engagement activities and open-source research. New Zealand takes a cohesive and collaborative approach to aviation safety activities across all agencies (refer Table 5, chapter 1) to maintain a process to identify hazards from collected safety data.

Historically, CAA has investigated aviation occurrences to find the contributing factors, and to identify strategies that reduce the risk of reccurrence. While this purpose remains, the transition to risk-based regulation brings another focus of occurrence investigations: the identification and reduction of safety-related risk.

Under a SMS, service providers have systems for hazard identification and risk management, safety targets and reporting processes, procedures for audit, investigations, remedial actions, and safety education. Hazard identification is the foundation of the risk management process in an SMS.

Since late 2023, the CAA's regulatory intelligence team has produced six sector baseline assessments (SBAs) of the Agricultural, Domestic Passenger, International Passenger, Air Freight, Tourism, and Private Sport and Recreation sectors. SBAs are strategic intelligence products that provide a high-level overview of each sector, identify key issues and their contributing factors (or "drivers"), and forecast potential future developments. Their purpose is to reduce uncertainty about the operating environment, enabling decision-makers to better prevent and mitigate harm.

The baseline assessments are 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 New Zealand's safety goals, the NASP defines a series of SEIs and associated actions, designed to improve State safety performance.

2.4.1 Accident, incident and other safety reporting

The CAA investigates occurrences and makes an appropriate decision to act in the public interest, so that the issue giving rise to the event is appropriately addressed (thereby mitigating future risk). Where appropriate in the public interest, the CAA will hold the document holder to account.

The CAA has a requirement to investigate and review civil aviation accidents and incidents in its capacity as the responsible safety and security authority, subject to the limitations set out in s14 of the Transport Accident Investigation Commission Act 1990.

Mandatory reporting

New Zealand legislation requires reporting by participants on a wide range of accidents and incidents, including aircraft and airspace occurrences, facility occurrences, defects, bird incidents, and workplace health and safety incidents.

Data can be submitted to the CAA by any method. There is an established electronic reporting system in addition to email, phone calls and paper forms. Further information is captured during investigations and during routine surveillance activity. Members of the public can also report concerns or complaints online or by phone.

The *Advisory Circular AC12-1 – Mandatory occurrence notification and information* provides information and describes an acceptable means of compliance with the submission of occurrence notification and information required under Rule Part 12 Accidents, Incidents, and Statistics: AC12-1 - Mandatory occurrence notification and information.

Voluntary reporting

The CAA has a proactive process and related arrangement for collecting information about safety concerns, issues and hazards, which otherwise will not be revealed by a mandatory reporting system. An Aviation Related Concern (ARC) is information provided to the CAA that is considered by the submitter to be a concern relating to aviation. Further information on New Zealand's voluntary reporting scheme is available here: ARC complaints process.

The CAA also has processes in place to enable people (CAA staff, the sector, and the public) to raise issues about the Rules including regulatory decisions made under this framework. The CAA assesses all these issues and identifies the most appropriate regulatory intervention to use in each situation. This may include developing guidance material, initiating communications activities, or, where necessary, a Rule change.

2.4.2 Other aviation safety reporting and data analysis

The CAA makes de-identified information from its aviation occurrence database available on the CAA 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.

The CAA has a number of self-service dashboards to help participants access summarised safety trends and statistics to understand the risks. The data is anonymised and can be found on the CAA aviation website: Read reports and statistics.

The CAA has a central unit for receipt, processing, and storage of accident and incident notifications and the details submitted in accordance with Rule Part 12, which sends them to the appropriate unit in the CAA for:

- analysing all accident and incident notifications and details
- notifying TAIC of accidents and incidents in accordance with section 50 of the Act
- evaluating occurrences to identify those that warrant direct CAA follow-up and to direct such submissions to the appropriate section for action. Such submissions are classified as open
- coding and recording all accidents and incidents in a computer data store
- continuously monitoring all incoming data for significant aspects and trends, using previously stored data when appropriate and alerting the appropriate CAA section and the aviation industry when necessary
- co-ordinating and monitoring the progress of CAA follow-up on open submissions
- disseminating basic information, or a summary of the information in submissions.

2.5 Management of safety risk

The CAA has processes and mechanisms in place to manage safety risks. The processes focus on identifying the aviation occurrences and risks of most concern, and on the aviation developments of most significance.

The CAA's regulatory decision-making policy is a process/guidance document that supports decision-making (action taking) process. The regulatory decision-making model is set out in their regulatory safety and security strategy. The model is designed to guide the CAA in identifying, assessing, prioritising, and responding to aviation safety and security occurrences and risks, including unsafe practices, emerging trends and issues, and other concerns. In doing so, the CAA works within the bounds of the regulatory imperatives and discretion provided to them within the legislative framework they work under (including the Act, the Rules, HSWA, HSNO, and the associated regulations).

The process of intelligence reports (which include the identification of safety risks) being disseminated to oversight teams, and the requirement for oversight managers to assess 100% of these for inclusion in the programme of oversight (as per the Statement of Performance Expectations Output Measure 4.1.1) is another mechanism which supports the management of safety risk.

Depending upon the organisational size and structure, safety risks associated with compound hazards that simultaneously impact aviation (operational) safety as well as occupational safety, may be managed through separate risk mitigation processes to address the separate aviation and occupational consequences, respectively. Alternatively, an integrated aviation and occupational risk mitigation system could be used to address compound hazards.

The resolution of non-compliances and non-conformance of certificate holder expositions is identified as part of a monitoring and inspection programme. This will also be informed by the CAA internal policies and procedures for certification/monitoring and inspection, and resolution of identified non-compliance in alignment with Chapter 3 of Annex 19.

With regards to risk management of occurrences, AC12-1 and Rules 12.55, 12.57 and 12.59, outline who must report and what types of occurrences must be reported to the CAA. Reporting on occurrences helps the CAA build up a clearer picture of civil aviation occurrences and how to improve aviation safety. Part 100 Safety Management.

The CAA provides Occurrence Investigation Report Form CA005i, which can be found here CA005i.pdf (PDF [388 KB]). This investigation report is designed to assist in determining the causes of an occurrence. It also allows the CAA to monitor the aviation sector to identify emerging safety issues.

The NASP contributes to identification of risk, controls, indicators and actions, along with the action plan that sits below the NASP. The action plan has specific tasks to monitor.

Additionally, the CAA's SBAs have analysed occurrence data to understand where risk is materialising within the aviation system.

2.5.1 Resolution of safety concerns (Critical element 8)

Under Rule Part 12, occurrence investigations are a critical means of improving the safety performance of New Zealand's civil aviation operators. Since a risk-based regulation approach requires an effective SMS, the CAA is committed to ensuring that the lessons learned from occurrence investigations are promulgated so that the aviation system can benefit from each occurrence investigated. Individual organisations, aviation associations, clubs and private pilots can also benefit from occurrence investigations.

These investigations may be treated as an opportunity to conduct a structured review of policies and procedures, staff and company culture and the work environment. Resulting changes can:

- dramatically improve operational performance and efficiency
- increase the level of organisational resilience to risks.

In summary, the occurrence investigation turns the occurrence into detailed information that the organisation can learn and improve from. Disseminating the information around the organisation and wider sector is a key means of improving the safety of the aviation system.

The CAA uses a range of administrative and judicial actions to obtain compliance, to address risk, to change behaviour and to impose or seek penalties.

When the monitoring and inspection function identifies a safety concern during an inspection, the CAA will either issue a finding related to compliance with the Act or a Rule, or, if the concerns relate to the inadequate protection against a hazard, the CAA will issue an opportunity for improvement. In addition, the Act now provides the power to issue an improvement notice should that be necessary.

The CAA also conducts passive monitoring through participation in forums such as liaison meetings with participants, observations of participant safety meetings and desk-based assessment of returns to the CAA. Where this monitoring raises a concern, the CAA will assess the issue and either continue with more focused monitoring or initiate an inspection.

The CAA's *Regulatory Enforcement policy* provides clear guidelines for the application of the Director's regulatory enforcement powers, as defined in the Civil Aviation Act 2023, the Civil Aviation (Offences) Regulations 2006, HSWA and HSNO.

Just culture principles

The CAA is committed to improving the quality and types of safety information reported to the safety regulator, including providing certain protections from enforcement action for people who self-report incidents. This is intended to strengthen incident reporting and a proactive regulatory approach.

The Act supports the application of just culture principles within the overall obligation of the Director to act in accordance with the public interest.

The Act stipulates that the Director may take law enforcement action in relation to a notified incident only if satisfied that the public interest in taking action in the circumstances outweighs any adverse impact that the action will have on further accident or incident notifications. Additionally, the Act restricts, in criminal proceedings, the admissibility in evidence of an accident or incident notification, or of related information, that was provided by an individual. In any proceeding against any such individual, admissibility is restricted to proceedings that concern only the falsity of the notification.

3. State safety assurance

New Zealand's aviation safety oversight system is focused on the avoidance of accidents and incidents, and the development, implementation and monitoring of proactive practices.

The CAA is introducing intelligence-led, risk-based thinking into everyday professional regulatory practice.

3.1 Surveillance obligations (Critical element 7)

The CAA is responsible for monitoring the safety performance of aviation organisation participants. The CAA's Monitoring and Inspection Policy has been shaped to give effect to its role as a modern regulator while at the same time meeting ICAO's surveillance expectations.[5]

In addition, the CAA has modernised the certification and licensing experience for participants to include online applications options, and a renewal process based on an intelligence-led, risk-based model. Modern regulation requires taking a systems-wide approach and considering all the information available. This includes the renewal of aviation documentation, as a participant already exercising aviation privileges is different to a participant not yet in the system.

3.1.1 Indicators of compliance and performance

The CAA will conduct inspections based on safety risk and explore participant operations and SMS elements relevant to those safety risks, rather than checking individual SMS elements in isolation.

CAA's inspection focus is driven by risk information and operational intelligence. Inspections are prepared, carried out, and documented using the process auditing approach that assesses processes, their inputs and outputs, to determine how effective they are at achieving the participant's safety objectives. Inspection results are documented in the SMS Evaluation Tool.

The CAA's Information, Research and Analytics team have improved the mechanism for Inspectors to gather participant information, by creating automated dashboards giving real-time access to relevant data and analysis.

5 The CAA has a 'Monitoring and Inspection Policy', not a 'Surveillance Policy'.

Significant work has been undertaken to review the Certification and Licensing measures captured within the 2024/25 Statement of Performance Expectations. Several new measures have been introduced that place a particular emphasis on timeliness of certification decisions. Process improvements include risk-based renewal activity and other available regulatory intelligence.

3.2 New Zealand's safety performance

New Zealand monitors and measures the safety performance of the aviation system as a whole through the analysis of safety data and other related information.

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.

Safety performance indicators

Annex 19 Safety Management requires States to establish an Acceptable Level of Safety Performance (ALoSP) as part of its SSP, and as part of an operator's SMS. New Zealand's core purpose is to have - *A safe and secure aviation system, so people are safe, and feel safe, when they fly*.

Each year the CAA publishes accident rates across the civil aviation system, which are contrasted with the amount of activity in the system. This information is used by the CAA to understand the frequency of incidents and accidents, and in which area of aviation these occur, so it can focus its resources to best effect.

Progress is measured through the CAA Statement of Intent (SOI) 2024-2029. The SOI details targets and indicators relating to New Zealand maintaining international credibility and achieving a low and decreasing risk profile in aviation document holders. It is also measured in the CAA's Annual Report 2023-24.

Examples of indicators of success from the Annual Report include:

- the frequency of accidents and fatalities remains low
- risk interventions demonstrate effective mitigation
- security incidents remain at zero
- confidence reported in our biennial 'Feel Safe' survey.[6]

The CAA builds safety awareness through:

- education courses, workshops or seminars to participants nationwide
- safety education products distributed
- public aviation safety dashboard accessible on the CAA external website
- targeted safety campaigns to address specific areas of concern or new issues that arise.

3.2.1 Safety data driven targeting

An intelligence-led, risk-based monitoring approach identifies safety performance levels, so regulatory action can be taken where required. This is achieved through data collection, intelligence and research, and regulatory stewardship (strategy).

6 Most recent 'Feel Safe' survey conducted in September 2022. It was indicative of travellers' experience over 2021/22 and the results were published in pages 28-29 and 96-97 of the 2021/22 Annual Report. The full results of the 2022 survey are on: www.aviation.govt.nz/assets/publications/annual-reports/CAA-Annual-Report-2021-2022.pdf. The survey will be next conducted in late 2024.

The CAA uses data to determine where to intervene in the system and what type of intervention is needed. The allocation of resources is prioritised to address the more significant risks with the highest potential consequence. The interventions aim to identify and mitigate future risk and enable new aviation opportunities. The civil aviation system is made up of several smaller sectors, each posing different levels and types of risk due to the nature of their operations and the types of aircraft they use. The CAA's data helps to identify sector-specific risks.

Overall safety in the system has improved over the past 20 years. Since 1999, the number of aviation accidents and fatalities has decreased, as new aircraft technology is adopted, regulatory interventions more effectively target risk, and participants in the system implement better ways to detect and minimise risks. The CAA continues to review and assess its approach to reporting and analysis to identify opportunities for improved insight into the aviation sector.

Accident rates are calculated from the number of accidents and hours flown measures. The CAA is reviewing the capture of reported hours in the CAA data systems and overhauling the estimation of unreported activity where there is low compliance with reporting requirements. The result of these revisions is that, as the CAA achieve the desired improvements to the estimation methodology, accident rates for affected sectors will be revised.

In addition, and as described in 2.4 Hazard identification, the CAA's SBAs have analysed occurrence data to understand where risk is materialising within the aviation system.

4. State safety promotion

Safety promotion is critical in supporting the core operational objectives in New Zealand's SSP.

All New Zealand aviation safety agencies play a role in aviation safety promotion. Safety promotion in New Zealand is enhanced through staff training, communication, and dissemination of safety information to ensure an effective State safety culture. Training and education in the aviation system is often more important than enforcement and surveillance for changing behaviour to help participants comply.

4.1 Internal communication and dissemination of safety information

New Zealand aviation safety agencies offer a range of mandatory and recommended safety awareness training for all relevant staff. Awareness training is communicated through various means such as through agencies' learning management systems, email newsletters, fact sheets and internal advertising.

4.1.1 CAA

The CAA has established organisation-wide training programmes for staff. All CAA staff undertake training and development relevant to their individual needs to meet the CAA's capability requirements. The type of technical or non-technical training is commensurate with the individual's role.

There are also common training programmes that encompass a wide range of groups within the CAA, including requirements for the introduction of SMS. Training is an ongoing exercise to continuously improve the CAA's capabilities. A dedicated Learning and Capability team within the CAA works to ensure the regulatory workforce is capable and trained to effectively do their jobs.

4.1.2 TAIC

TAIC conducts Commission hearings on the progress of investigations including emerging safety issues, findings, and recommendations. TAIC offers internal training courses which are available to staff in all New Zealand aviation safety agencies.

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

Formal and informal communication from New Zealand 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. Education and awareness of safety risks is communicated to aviation participants through several means, including safety related seminars, courses, publications, safety reports and Aviation Safety Advisors (ASAs).

4.2.2 CAA

The CAA provides the electronic hosting point for the SSP and the NASP, in addition to detailing how New Zealand's safety obligations are met.

The CAA uses a range of safety communication, education and promotion activities aimed at further developing an informed and safety conscious aviation industry and community. The CAA communicates time sensitive, safety-critical information to the aviation industry through Continuing Airworthiness Notices.

In addition to mandatory communication, the CAA provides a range of informative and educational material to industry and the public and has an active group of Aviation Safety Advisors available to provide assistance and advice to industry.

In addition to safety reports, the CAA publishes a number of public safety products, predominantly targeted at the General Aviation sector. These include topical safety articles in the quarterly *Vector* magazine, produced solely for the promotion of safe aviation practice for the entire civil aviation community and distributed by the CAA to some 15,000 aviation sector participants; Good Aviation Practice (GAP) booklets, posters, and other products; and educational videos and seminars. More information about the CAA's safety education can be found at: Safety.

These products are all part of a layered approach to the dissemination of safety information and the promotion of safe aviation practice relevant to the New Zealand aviation community. They are provided free of charge and are available online.

ASAs provide broad safety advice to industry service providers. ASAs are assigned to geographic areas throughout New Zealand to develop contacts with aviation businesses and service providers to:

- provide a CAA link and perspective at industry user-group meetings and give broad advice on the application of Rules
- refer industry views and problems to the appropriate CAA technical staff and management
- contribute to the CAA's safety courses and seminars.

Industry and individuals receive advice and support from their ASAs who provide liaison between the regulator and industry. ASAs are not auditors, inspectors, approvers, or enforcers.

4.2.3 TAIC

TAIC publishes reports on its website to communicate safety information drawn from the findings and recommendations of its investigations.

4.2.4 Airways

Airways oversees New Zealand'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 Airways but generated by approved data originators (industry participants). NOTAMs can also advise of changes to aeronautical facilities, services, or procedures.

Airways provides a comprehensive aeronautical information service for New Zealand aviation participants. Airways 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
- dynamic information – weather and other conditions that impact flight planning and operations.

Airways, under contract to the CAA, publishes the Aeronautical Information Publication (AIP), which provides air navigation routes, procedures, and aerodrome information.

4.2.5 Rescue Coordination Centre New Zealand

RCCNZ communicates and disseminates safety information related to search and rescue (SAR). It also produces a range of safety communications media on SAR topics. Information is published in safety magazines and on the Maritime New Zealand website here: www.maritimenz.govt.nz/recreational/safety/ and here: www.maritimenz.govt.nz/commercial/safety/.

4.2.6 MetService

MetService publishes information related to aviation hazardous weather phenomena, including those specific to a region or a particular airport, directly to the aviation industry. The information is published through various aviation web applications, the Aeronautical Message Handling System, and Application Programming Interfaces.

4.2.7 New Zealand Defence Force

Defence communicates safety information (when applicable) via a range of mechanisms including but not limited to:

- distribution of aviation safety publications, periodicals and attendance at safety conferences
- safety occurrence reporting (for events that occur at the military/civil aviation interface)
- dissemination of relevant safety investigation findings (to applicable external aviation safety agencies or organisations)
- consultation and liaison with external national airworthiness authorities or agencies for safety concerns falling within the jurisdiction of other regulating bodies.

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

Aviation Security Service
Kaiwhakamaru Rererangi

Civil Aviation Authority of New Zealand (Including Aviation Security Service)

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