



**Australian Government**  
**Australian Transport Safety Bureau**



# Corporate Plan 2019–20

Australia's national transport safety investigator

AVIATION | MARINE | RAIL

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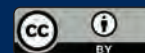
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# Introduction



As the accountable authority for the Australian Transport Safety Bureau (ATSB), I am pleased to present the ATSB's 2019–20 Corporate Plan which covers the period 2019–20 to 2022–23.

This Corporate Plan sets out the ATSB's purpose – to improve transport safety in Australia – and strategies for achieving that purpose. The Corporate Plan also sets out the ATSB's key deliverables and associated performance criteria. It has been prepared consistent with paragraph 35(1)(b) of the *Public Governance, Performance and Accountability Act 2013* and the relevant provisions of the *Transport Safety Investigation Act 2003* (the TSI Act), which establishes the ATSB. The Corporate Plan is also consistent with

the Minister's revised Statement of Expectations 2019–21 (SOE) for the ATSB, as notified under Section 12AE of the TSI Act.

The SOE sets out clear expectations which, in my capacity as Chief Commissioner and Chief Executive Officer, I am committed to meeting in 2019–20 and beyond.

In accordance with the SOE, the ATSB will prioritise transport safety investigations that have the potential to deliver the greatest public benefit through improvements to transport safety. Considering the 'public benefit', the ATSB will continue to prioritise the safety of the travelling public, but it will also prioritise safety improvements that prevent accidents resulting in significant local, state and national economic costs. An accident that shuts down an airport, marine port or a railway line leads to delays and costs impacting the operators of the facility, transport vehicles and consumers. Deaths and injuries also have significant socio-economic costs that we must take account of when considering the value of a safety investigation that can stop future accidents.

The ATSB recognises the responsibility it has as a world leader in transport safety investigation, research, data analysis, and influencing safety action. I will continue to focus on ensuring the agency is resourced appropriately to operate in a rapidly changing transport environment. As technology, data and workforce practices change, the ATSB will continue to lead the way.

As a leader, the ATSB works with a range of stakeholders in transport including policy agencies, regulators and transport industry organisations to influence safety action. We remain independent while looking for opportunities to cooperate where there is a shared interest in improving transport safety.

In 2019, I will release the ATSB's Vision 2025 statement which establishes a roadmap for the ATSB into the future. Our vision will be to 'stop transport accidents' while our mission will be to 'drive safety action in a rapidly changing transport environment.' Our planning documentation will be updated to implement the ATSB's aspirational vision for safe transport.

A handwritten signature in black ink that reads "Greg Hood". The signature is written in a cursive, flowing style.

**Greg Hood**

Chief Commissioner

30 August 2019

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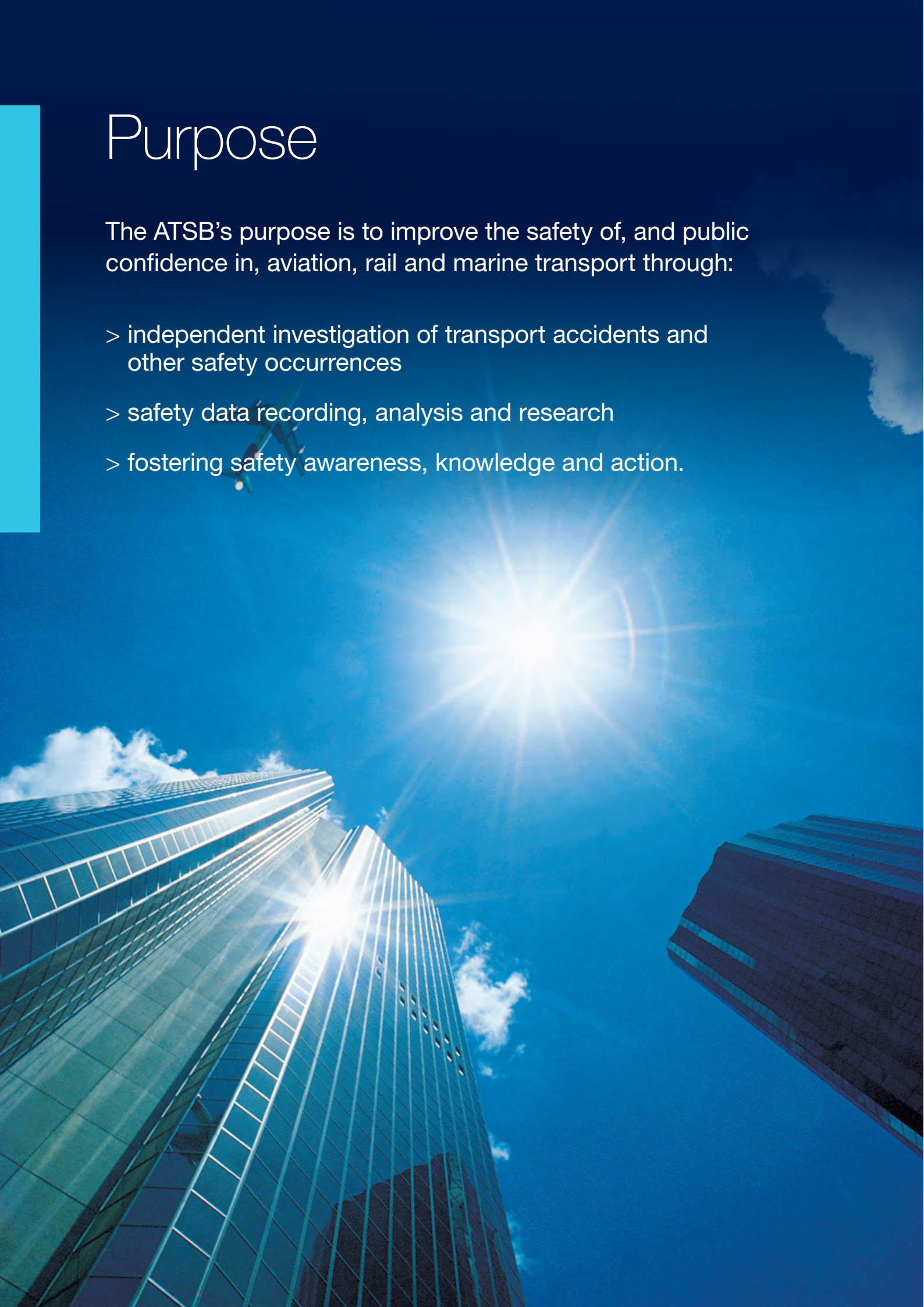
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# Purpose

The ATSB's purpose is to improve the safety of, and public confidence in, aviation, rail and marine transport through:

- > independent investigation of transport accidents and other safety occurrences
- > safety data recording, analysis and research
- > fostering safety awareness, knowledge and action.



# OUR APPROACH

## Governing framework

The ATSB carries out its functions in accordance with the *Transport Safety Investigation Act 2003* (TSI Act). The TSI Act establishes the ATSB, which is a non-corporate Commonwealth entity. The Act also establishes a Commission which governs the ATSB. The Commission is constituted by the ATSB's Chief Commissioner and three part-time commissioners benefiting the ATSB with their aviation, rail and marine expertise.

In carrying out its aviation related functions, the ATSB has regard to international conventions, standards and guidance maintained by the International Civil Aviation Organization. In carrying out its maritime functions, the ATSB has regard to international conventions, standards and guidance maintained by the International Maritime Organization. There is no equivalent international body in rail. For rail, the ATSB does have regard to the Council of Australian Governments' Intergovernmental Agreement on Rail Safety Regulation and Investigation Reform 2011.

The Minister for Infrastructure, Transport and Regional Development has issued the ATSB with a Statement of Expectations (SOE) as a notice of strategic direction under Section 12AE of the TSI Act.

## Independence

Section 12AB of the TSI Act states that the ATSB is not subject to direction from anyone in relation to the performance of its functions or the exercise of its powers (with the exception that the Minister can direct the ATSB to investigate a transport safety matter).

The ATSB's independence ensures the ATSB is not affected by conflicts of interest or bias in conducting its research, data analysis, investigations and advocating for safety action.

## Cooperation

While the ATSB remains independent, the ATSB cooperates with other organisations and persons who have the capacity to influence transport safety. The ATSB cooperates to gather safety information and to ensure its safety messages reach the broadest possible audience.

## Public benefit

Consistent with the Minister's SOE, the ATSB prioritises transport safety investigations that have the potential to deliver the greatest public benefit through improvements to transport safety. The 'public benefit' includes preventing loss of life as well as avoiding significant local, state and national economic costs that can be associated with an accident.

## Reliance on verifiable data and information

The ATSB maintains a national information dataset of all safety-related occurrences in aviation and of all accidents and significant safety occurrences in the rail and marine sectors. The information it holds is essential to its capacity to analyse broad safety trends and inform its investigation and safety education work.

The ATSB interrogates information and data to ensure its veracity. The ATSB applies robust analysis methodologies to identify contributing and other safety factors involved in an occurrence.

## Safety action

The ATSB focuses on achieving the outcome of improving safety and public confidence in the aviation, rail and marine transport industries through the ATSB's work in fostering safety awareness, knowledge and action. The ultimate objective of any investigation, data analysis or research project is to deliver safety messages to those persons who are best placed to take action. While the ATSB is not a regulator, and does not enforce a safety response, the ATSB does continue to advocate and encourage action following the release of any findings.

The ATSB does not apportion blame or provide the means to determine liability. However, there is accountability derived from the requirement in section 25 of the TSI Act that all ATSB reports be made publicly available.



*The ultimate objective of any investigation, data analysis or research project is to deliver safety messages to those persons who are best placed to take action.*



## VALUES AND PRINCIPLES

The ATSB has in place the systems and controls to ensure that its resources are managed efficiently, effectively, and ethically in accordance with the provisions of the *Public Governance, Performance and Accountability Act 2013*.

We are committed to the Australian Public Service (APS) Values set out in the *Public Service Act 1999*:

- > **Impartial:** The APS is apolitical and provides the Government with advice that is frank, honest, timely and based on the best available evidence.
- > **Committed to service:** The APS is professional, objective, innovative and efficient, and works collaboratively to achieve the best results for the Australian community and the Government.
- > **Accountable:** The APS is open and accountable to the Australian community under the law and within the framework of Ministerial responsibility.
- > **Respectful:** The APS respects all people, including their rights and their heritage.
- > **Ethical:** The APS demonstrates leadership, is trustworthy, and acts with integrity in all that it does.

While protecting our independence, we work closely with transport safety regulators and the aviation, rail and marine industries. We approach our work in accordance with five key principles intended to maintain trust in our organisation:

**Independence** — we think for ourselves.

**Engagement** — we work with others.

**Rigour** — we rely on evidence.

**Innovation** — we are open to new ideas.

**Relevance** — we make a difference.

### THE ATSB FOSTERS A CULTURE WHERE WE:

- > treat each other with dignity and respect, valuing our people as our greatest resource
- > work across the ATSB as 'One Team'
- > search for the truth to enhance transport safety.

# Environment

The ATSB carries out its function of improving transport safety in an operating environment of continuing change in the aviation, rail and marine transport industries. In response to the safety management approach applied in modern transport safety systems, the ATSB is becoming more data driven to enhance its predictive capabilities. The ATSB is also placing greater emphasis on communication and education to ensure persons and organisations with safety responsibilities, and the public, have timely access to information about safety issues and emerging safety concerns identified by the ATSB. Further, the ATSB's jurisdiction is evolving in response to intergovernmental agreements in the rail and marine sectors.

## JURISDICTION

The ATSB's jurisdiction varies between the three modes of transport.

### Aviation

In aviation, the ATSB's jurisdiction covers civil aircraft registered in Australia and civil Australian-registered aircraft overseas. To maximise the safety outcomes that can be achieved from the deployment of the ATSB's personnel, and consistent with the Minister's Statement of Expectations, the ATSB gives priority to transport safety investigations that have the potential to deliver the greatest public benefit through improvements to transport safety.

Ideally, a significant proportion of the effort the ATSB directs to investigations will be to systemic safety investigations. Systemic safety investigations seek to understand how the risks that could be controlled at an organisational and/or regulatory level contributed to an accident. The ATSB looks at the actions of the operator, regulator and policy makers to improve transport safety in circumstances where others may be limited by their expertise or inability to remain objective. In an effort to allocate appropriate resources to systemic safety investigations, the ATSB will clarify whether it should investigate all fatal aviation accidents involving VH-registered aircraft and the extent to which it should be involved in the sport and recreation sector. Although coroners and the sport and recreation sector benefit from the ATSB investigating, the allocation of resources does not always deliver the greatest public safety benefit.



## Rail

In rail, the ATSB's jurisdiction covers all rail vehicles in Australia. This is a greater reach than the agency had in previous years. Before 2011, the ATSB's jurisdiction was confined to a corridor of track known as the Defined Interstate Rail Network (DIRN) which runs from Brisbane, through the eastern states, and across to Perth. The ATSB became the national rail safety investigator in 2011 following the signing of the [Intergovernmental Agreement on Rail Safety Regulation and Investigation Reform](#). Now the ATSB's jurisdiction covers all regional and metropolitan networks across Australia.

Rail operations include both freight and passenger movements. Consistent with the Minister's expectation that the ATSB gives priority to transport safety investigations that have the potential to deliver the greatest public benefit, the ATSB will focus on both freight and passenger operations. The ATSB will contribute to preventing loss of life and avoiding economic costs associated with accidents.

The ATSB is supported in its role through a collaboration arrangement with independent transport investigation bodies in New South Wales and Victoria. In the other states and territories, charging agreements fund the cost of investigations. The majority of these arrangements are on a cost recovery per investigation basis. To ensure greater certainty around resourcing for investigating occurrences that are unpredictable in their number and severity, the ATSB will work with states and territories to update these arrangements to establish more dependable funding to the benefit of all parties concerned, including rail operators and passengers. In parallel, in line with the Minister's Statement of Expectations, the ATSB will provide input to government inquiries considering the ATSB's role in rail, such as the Productivity Commission inquiry into the national transport regulatory reforms. Where appropriate, this input will include advice on resourcing arrangements.



## Marine

In the marine sector, the ATSB's jurisdiction covers civilian interstate and overseas shipping involving Australian-registered ships anywhere in the world, foreign ships in Australian waters, and foreign ships en route to Australian ports. The ATSB does not have an agreed jurisdiction for Domestic Commercial Vessels (DCVs).

Similar to rail, in 2011 COAG signed an agreement to consolidate the safety regulatory framework for the marine transport industry. Although there is a general view that there is merit in having a single national marine safety investigator, the [Intergovernmental Agreement on Commercial Vessel Safety Reform](#) did not include a final decision to establish the ATSB in this role at the time.

The ATSB's independent investigation capability, subject to modest additional resources, could expand from the current coverage of large international vessels to encompass vessels operating under the national system for DCV safety. The ATSB's common legislative and procedural platforms would ensure consistency in investigation engagement and conduct. In accordance with the Minister's Statement of Expectations, the ATSB will continue to provide input into government inquiries reviewing the ATSB's jurisdiction in DCVs, including the Productivity Commission's inquiry into the national transport regulatory reforms.

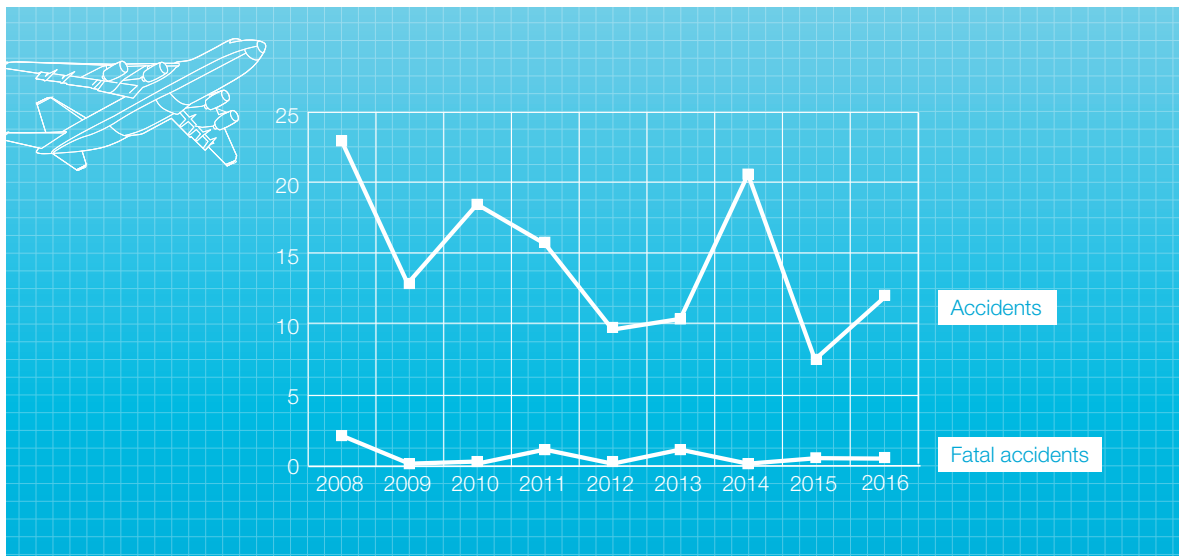


# INDUSTRY GROWTH AND SAFETY INCIDENTS

## Aviation

Commercial air transport has seen a continual increase in movements (particularly in the high capacity sector) across the past 10 years. The accident rate has fluctuated over this period but has not been significantly high. The ATSB currently investigates approximately 65 per cent of air transport accidents and 60 per cent of serious incidents in this sector.

### Commercial air transport accident and fatal accident rate (per million departures), 2008 to 2016<sup>1</sup>



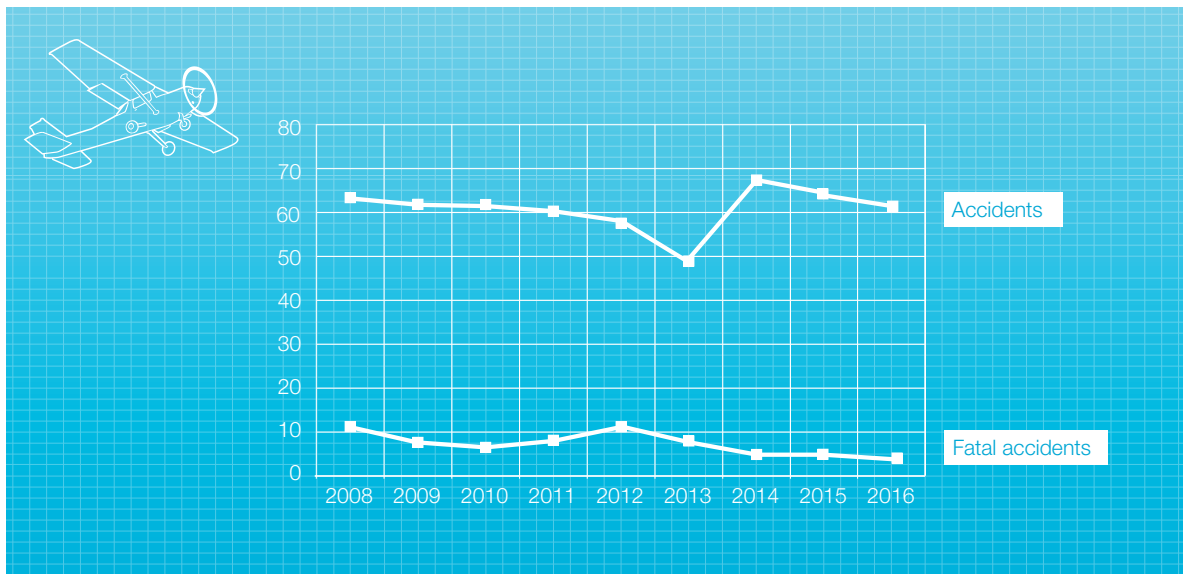
International aircraft movements have increased by 40 per cent since 2008 with a growing proportion of those movements attributable to international low cost operators, both Australian and foreign. The ATSB has been monitoring trends involving an increasing number of low-cost carriers operating in Australia and investigating more incidents in this sector.

The hours flown in General Aviation<sup>2</sup>, have decreased in certain parts of the sector – particularly flying training – which has led to an overall decrease in total hours flown over the 2008–2016 period. However, the number of departures remained flat, leading to a decrease in the average time of a flight. The accident rate remained relatively steady and the fatal accident rate decreased over the period. Some of the recurring factors that feature in General Aviation accidents are included in the ATSB’s [SafetyWatch priorities](#).

<sup>1</sup> ATSB, *Aviation Occurrence Statistics 2008 to 2017 (AR-2018-030)*, 21 December 2018, ATSB’s aviation occurrence database.

<sup>2</sup> General Aviation is considered to be all flying activities of VH-registered aircraft outside of commercial air transport (scheduled (RPT) and non-scheduled (charter and medical transport) passenger and freight operations).

General aviation accident and fatal accident rate (per million departures, VH-registered aircraft only), 2008 to 2016<sup>3</sup>



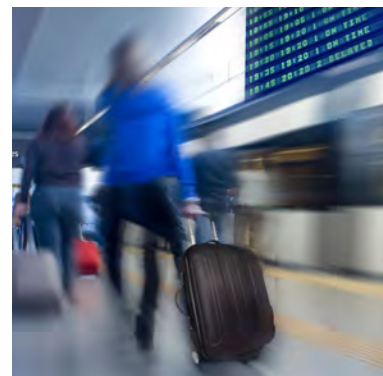
In 2018–19, the ATSB initiated 15 complex and 37 short aviation investigations from 16,623 notifications about 6,083 occurrences.

#### THE ATSB'S SAFETYWATCH PRIORITIES RELEVANT TO ALL AVIATION OPERATIONS ARE:

- > data input errors;
- > communication and self-separation in non-controlled airspace;
- > descending too low on approach; and
- > in-flight decision making.

Fatigue is a SafetyWatch priority for the ATSB across the aviation, rail and marine modes of transport.

Since 2016, the increased availability and use of remotely piloted aircraft systems (RPAS) saw them surpass helicopters as the second highest aircraft type for reported accidents; however there have been no collisions with other aircraft, fatalities or serious injuries relating to RPAS reported to the ATSB. While the consequences of accidents involving RPAS have been low to date, their increased use, and possible interactions with traditional aviation, is an emerging trend in transport safety that the ATSB will continue to monitor.<sup>4</sup> The safety of RPAS operations is also one of the [ATSB's SafetyWatch priorities](#).

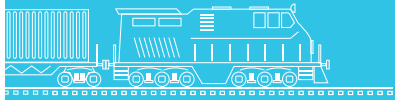


<sup>3</sup> ATSB, *Aviation Occurrence Statistics 2008 to 2017* (AR-2018-030), 21 December 2018, ATSB's aviation occurrence database.

<sup>4</sup> ATSB, *Aviation Occurrence Statistics 2008 to 2017* (AR-2018-030), 21 December 2018, p. 1.

## Rail

The rail freight sector has experienced significant growth, with rail freight now accounting for more than one half of all freight transport activity in Australia, up from 36 per cent at the turn of the century.<sup>5</sup> Weekday commuting to central city areas remains the key passenger rail task for both urban heavy and light rail passenger networks<sup>6</sup>. Nationwide, heavy rail urban patronage for 2016–17 was 702.9 million and patronage for light rail was 321.4 million<sup>7</sup>. The ATSB will continue to work with the states and territories to seek appropriate funding for investigation and data analysis of rail accidents and incidents as the sector grows.



Nationwide, heavy rail urban patronage for 2016–17 was 702.9 million.

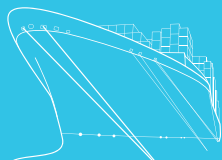


In 2018-19, the ATSB initiated seven complex and five short rail investigations from 454 notifications. Based on these occurrences and investigations throughout the year, safe work on rail (conducting work on or near a railway track) remains a safety concern and one of the [ATSB's SafetyWatch priorities](#) for rail, as does fatigue.

## Marine

As expected, the year-on-year growth in commercial shipping slowed in 2017–18 due to declining growth in the commodities export sector<sup>8</sup>. However growth is continuing, with Australian port calls made by ships involved in coastal or international voyages increasing to 31,262 in 2016–17, up 1,212 from the previous financial year<sup>9</sup>.

Part of the marine industry which has grown significantly in recent years is the cruise ship sector. Cruise industry growth continues in Australia but has also slowed. Annual ocean cruise passenger numbers increased by 0.9 per cent in 2017 to reach 1.35 million.<sup>10</sup> The ATSB will continue to monitor trends in the marine industry to ensure it prioritises investigations, data analysis and research that deliver the greatest safety benefit.



Growth in commercial shipping slowed in 2017–18 due to declining growth in the commodities export sector.

5 Bureau of Infrastructure, Transport and Regional Economics, *Trainline 6 Statistical Report*, November 2018, p.3

6 Bureau of Infrastructure, Transport and Regional Economics, *Trainline 6 Statistical Report*, November 2018, p.42

7 Ibid, p. v

8 Australian Maritime Safety Authority, *Corporate Plan 2018–20 to 2022–23*, June 2019, p.1

9 Bureau of Infrastructure, Transport and Regional Economics, *Yearbook 2018: Australian Infrastructure Statistics, Statistical Report*, 2018, Table T 7.2b, p.126

10 Cruise Lines International Association Australasia, *2018 Australia Ocean Source Market Report*, 2018, p.1.



In 2018–19, the ATSB initiated one short marine investigation from 377 notifications from about 192 occurrences. The number of investigations commenced in 2018–19 was lower than previous financial years because the ATSB committed to improve timeliness by reducing the number of active marine investigations. Subject to suitable incidents arising, the ATSB will initiate a greater number of marine investigations in 2019–20. Based on the marine occurrences and investigations throughout the year, fatigue and marine pilotage remain safety concerns and [ATSB SafetyWatch priorities](#) for marine. Marine pilotage refers to navigation through confined waters under pilotage, a high-pressure situation where errors can easily lead to serious incidents.

## TECHNOLOGY

All three modes of transport are experiencing change with advances in technology. RPAS operations in aviation are becoming more prevalent and there is a focus on ensuring the right regulatory framework is in place to manage them. In rail, driverless trains are now operating with regulatory approvals for both freight and passengers. Technology for autonomous ships is also advancing.

‘Disruptive’ technologies such as automation, 3D printing, and advanced analytics using the explosion in digital data, can increase productivity and transform the way transport is used.<sup>11</sup> With technological advances bringing about changes in the way systems operate, new hazards and risks are introduced with the potential for new safety issues to arise. The challenge is to keep up with the pace of change and predict these hazards and risks. For an accident investigator, part of this challenge in being predictive is getting access to reliable occurrence data. From a workforce capability point of view the challenge is also to keep pace and develop the knowledge and skills of investigators around these new technologies.



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11 Department of Infrastructure and Regional Development, *Trends – Transport and Australia’s Development to 2040 and beyond*, 2016, pp.11–13

## DATA AND ANALYSIS

### Aviation

The ATSB holds and maintains an aviation occurrence database on behalf of Australia's Aviation State Safety Programme. All incidents, serious incidents and accidents from 1969 are held, allowing the ATSB to conduct in-depth analysis and research across the aviation industry. This is done in the form of routine trend analysis, analysis to support occurrence investigations, stand-alone research publications investigating particular issues, and published statistical reports.

In 2019–20 the ATSB will seek to update the list of aviation incidents reportable to the ATSB. The intention is to clarify some of the existing requirements. The updated list of reportable matters will also specifically detail reporting required for remotely piloted aircraft systems.

### Rail

The ATSB has worked with the regulator and industry to simplify rail accident and incident reporting. In 2019, new reporting requirements came into effect, enabling industry to only report to the regulator. Under the new arrangements, the regulator provides relevant information to the ATSB to inform decisions whether to investigate or not, and for data analysis. This ensures a low reporting burden for industry and a rich data set for the ATSB.

### Marine

The ATSB's limited jurisdiction in the marine sector means it has a very limited data set, confined mainly to accidents and near miss situations for shipping engaged in overseas and interstate voyages. Considerable work remains to be done in the marine sector to be able to access and use data from a range of safety occurrences to proactively advise on safety issues before they manifest as a more serious incident.



## COMMUNICATION AND INFORMATION ACCESS

With the constant change and growth in the aviation, rail and marine transport industries, it is critical that operators and personnel occupying safety positions have timely access to safety information. The need for timely access is consistent with a proactive approach to safety with the use of safety management systems to collect information to monitor safety risks and detect emerging safety issues. As the independent safety investigator, the ATSB is in a position to provide information on safety issues, particularly broader systemic ones, which may not otherwise be apparent to operators and other organisations who have done their own internal investigations.

The ATSB is renewing its focus on deliverables and key performance indicators, including focusing on improving timeliness of investigations. In the 2019–20 financial year, the ATSB will review its performance planning documents to ensure transparency, accountability and prioritising resources for the greatest public benefit.

The ATSB is developing a stakeholder engagement strategy that identifies the different audiences the ATSB engages with and the best means to target communication. These mediums include social media as well as more traditional forms of communication such as television, print media and news websites. The ATSB recognises that not all stakeholders who need to be informed of the ATSB's safety messaging will read detailed investigation reports. Instead, the ATSB is ensuring that it has a range of products that are targeted, succinct and accessible.

*As the independent safety investigator, the ATSB is in a position to provide information on safety issues, particularly broader systemic ones, which may not otherwise be apparent to operators and other organisations who have done their own internal investigations.*

## FINANCIAL ENVIRONMENT

Financial projections covering this financial year and the out-years are presented through Table 1.

A comparatively small amount of core funding for our expanded rail activities is supplemented by fee-for-service and up-front agreements with some states and voluntary provision of investigation resources by others. Our funding for marine activity remains consistent with our established jurisdiction of certain civilian interstate and overseas shipping; the ATSB is not resourced for domestic commercial vessel investigations.

The ATSB's projected capability for capital investment remains limited. Therefore the refreshment needs of its capital base, both in terms of essential technical equipment and in its core enterprise system will need to be closely monitored.

Table 1: Comprehensive income statement 2019–20 to 2022–23

	2019–20 Budget \$'000	2020–21 Forward estimate \$'000	2021–22 Forward estimate \$'000	2022–23 Forward estimate \$'000
<b>Expenses</b>				
Employee benefits	15,770	16,008	16,270	16,570
Suppliers	8,641	8,420	8,314	8,175
Depreciation and amortisation	747	817	801	762
Finance costs	6	6	6	6
<b>Total expenses</b>	<b>25,164</b>	<b>25,251</b>	<b>25,391</b>	<b>25,513</b>
<b>Less: Own-source income</b>				
<b>Own-source revenue</b>				
Sale of goods and rendering of services	1,383	1,419	1,439	1,456
Other	2,829	2,829	2,829	2,829
<b>Total own-source revenue</b>	<b>4,212</b>	<b>4,248</b>	<b>4,268</b>	<b>4,285</b>
<b>Total own-source income</b>	<b>4,212</b>	<b>4,248</b>	<b>4,268</b>	<b>4,285</b>
<b>Net (cost of)/contribution by services</b>	<b>(20,952)</b>	<b>(21,003)</b>	<b>(21,123)</b>	<b>(21,228)</b>
Revenue from Government	20,205	20,186	20,325	20,464
<b>Surplus/(Deficit) attributable to the Australian Government</b>	<b>(747)</b>	<b>(817)</b>	<b>(798)</b>	<b>(764)</b>
<b>Total comprehensive income/(loss) attributable to the Australian Government</b>	<b>(747)</b>	<b>(817)</b>	<b>(798)</b>	<b>(764)</b>

Note: Impact of net cash appropriation arrangements

	2019–20 \$'000	2020–21 \$'000	2021–22 \$'000	2022–23 \$'000
<b>Total comprehensive income/(loss) less depreciation/amortisation expenses previously funded through revenue appropriations</b>	–	–	–	–
plus depreciation/amortisation expenses previously funded through revenue appropriations (a)	747	817	798	764
<b>Total comprehensive income/(loss) – as per Statement of Comprehensive Income</b>	<b>747</b>	<b>817</b>	<b>798</b>	<b>764</b>



# Performance

## PRIMARY OUTCOME

Consistent with the ATSB's purpose statement articulated in this Corporate Plan, the Portfolio Budget Statement outlines the ATSB's outcome:

### IMPROVED TRANSPORT SAFETY IN AUSTRALIA INCLUDING THROUGH:

- > independent 'no blame' investigation of transport accidents and other safety occurrences
- > safety data recording, analysis and research
- > fostering safety awareness, knowledge and action.



## DELIVERABLES

To meet its outcome objective for improved transport safety, the ATSB has committed to the following deliverables:

<b>Improved transport safety:</b>	<b>Deliverables</b>
<b>Independent 'no-blame' investigation of transport accidents and other safety occurrences, and research</b>	<ul style="list-style-type: none"> <li>&gt; Complete and publish up to:               <ul style="list-style-type: none"> <li>&gt; 35 Complex Investigations</li> <li>&gt; 100 Short Investigations</li> <li>&gt; 100 Occurrence Briefs.</li> </ul> </li> <li>&gt; Ensure preparedness for a major accident by reviewing and testing major accident response and management capabilities through participation in one major exercise per year.</li> <li>&gt; Provide assistance to investigations overseas in accordance with international arrangements and where resources permit, with a report produced annually addressing the transport safety contribution of this support.</li> </ul>
<b>Safety data recording and analysis</b>	<ul style="list-style-type: none"> <li>&gt; Mature the ATSB's data analysis tools and techniques, to enhance the ATSB's proactive capability for determining safety hazards and risks to be used in making assessments about occurrences to investigate, and Safety Studies to commence.</li> <li>&gt; Complete the expansion of the ATSB's data warehouse to include national rail data.</li> <li>&gt; Assess, classify and publish summaries of accident and incident occurrences received. Details of occurrences being investigated are published within one working day. Summaries of aviation occurrences are ready to be published in the public online database within ten working days of receipt.</li> <li>&gt; Present reports on safety trends to the Minister and safety entities twice a year.</li> </ul>
<b>Fostering safety awareness, knowledge and action</b>	<ul style="list-style-type: none"> <li>&gt; The ATSB will proactively influence safety awareness in the aviation, rail and marine industries and amongst the travelling public through communication and education activities including:               <ul style="list-style-type: none"> <li>&gt; active engagement at key industry events across the modes;</li> <li>&gt; establishing SafetyWatch priorities;</li> <li>&gt; increasing the accessibility of investigation report content and safety products through its website, mailing lists, use of social media, industry publications and using mediums such as video content; and</li> <li>&gt; pushing media coverage of ATSB investigations and safety awareness activities.</li> </ul> </li> <li>&gt; Assist transport safety in the international region, through direct cooperation and the delivery of approved projects and other support activities provided for by program funding agreements with a publication produced annually addressing the transport safety contribution of these activities.</li> </ul>

## STRATEGIES

The ATSB has adopted strategies to achieve its outcome as below. The ATSB will revise these strategies following the release of the ATSB's Vision document in 2019–20.

### Selective investigations

The ATSB needs to be selective about accidents and incidents it investigates, recognising its finite resources, differences in jurisdiction across the modes and the Minister's Statement of Expectations. In this environment the ATSB will:

- > Commence and deliver accident investigations that have the potential to deliver the greatest public benefit through improvements to transport safety.

### Data driven

To position the ATSB to become more proactive in its identification of safety issues, the ATSB will become more data driven. The ATSB will:

- > Continue to build its capability to source data nationally on aviation, rail and marine transport safety occurrences and events and to use the data to identify and communicate safety risks and emerging trends.
- > Deliver a program of safety research and analysis that draws on the results of investigations and the interrogation of safety occurrence datasets.

### Stakeholder engagement

While maintaining its independence, the ATSB will:

- > Undertake effective and ongoing engagement with industry, creating cooperative relationships based on a foundation of mutual understanding and respect.
- > Work closely with government agencies to deliver integrated and comprehensive safety advice to Government, industry and the community.

### Focused communication

In order for the ATSB's investigations, data analysis and research to make an impact on improving safety, the safety messages must be effectively communicated. To ensure the targeted delivery of its safety messages the ATSB will:

- > Undertake safety communication and education with an emphasis on identifying priority areas where safety risk can be reduced.
- > Increase awareness of the ATSB's safety activities by developing a broader range of communication and education products and pursuing their delivery to transport industries and the travelling public through mediums that interact with a variety of stakeholders.

### Workforce capability

To maximise its potential to fulfil its deliverable commitments, the ATSB requires a workforce that is skilled and adaptable. To enhance its workforce capability the ATSB will:

- > Enhance its resource base through attracting, retaining and developing professional staff as well as developing networks with skilled professionals who the ATSB can work with to fulfil its transport safety functions.

### International and regional engagement

Transport industries operate on a global basis. What happens internationally, particularly within our region, affects operations in Australia. To ensure the ATSB is alert to issues in the international environment the ATSB will:

- > Engage and provide support to, as appropriate, regional and international partners, focusing on developing cooperation in our region, and on ensuring that safety lessons and operational innovations are shared internationally.

### Enhanced jurisdiction

- > The ATSB's jurisdiction, particularly in relation to rail and marine, is subject to consideration as part of the Productivity Commission's inquiry into the national transport regulatory reforms. Consistent with the Minister's Statement of Expectations, the ATSB will continue to provide input into government inquiries reviewing the ATSB's jurisdiction across different modes of transport.



## KEY PERFORMANCE INDICATORS

The following key performance indicators (KPI) help measure the ATSB's effectiveness and efficiency:

Key Performance Indicators	2018–19 Budget	2019–20 Budget	2020–21 Forward estimate	2021–22 Forward estimate	2022–23 Forward estimate
Safety actions completed that address safety issues identified by ATSB investigation reports:					
Critical safety issues.	Nil identified	100%	100%	100%	100%
All other safety issues.	67%	70%	70%	70%	70%
Number of active Complex investigations in progress at each months end (12 month rolling average, as at 30 June).	86.5	60	50	50	50
Average time taken to complete and publish Complex investigation reports.	23.9 months	19 months	18 months	18 months	18 months
Number of active Short investigations in progress at each months end (12 month rolling average, as at 30 June).	35.5	40	50	50	50
Average time taken to complete and publish Short investigation reports.	9.8 months	6 months	5 months	5 months	5 months
Occurrence briefs completed within one month.	35%	90%	90%	90%	90%
An annual increase in the overall number of safety issues identified from Safety Studies and Complex Investigations	Up 29%	Up 10%	Up 10%	Up 10%	Up 10%
Occurrence and Safety Study investigations to be initiated on the basis of data driven analysis.	21%	Up 15%	Up 15%	Up 15%	Up 15%
Through an annual stakeholder survey, stakeholder respondents recall ATSB safety messaging relevant to their industry.	82%	70%	70%	70%	70%
An increase in the overall number of social media engagements.	Up 20%	Up 10%	Up 10%	Up 10%	Up 10%
ATSB safety messages disseminated by independent media channels.	17 per month (average)	5 per month (average)	5 per month (average)	5 per month (average)	5 per month (average)

# Capability

The ATSB's capability has been enhanced through the Government's recent Budget measures and the organisational change program implemented by the ATSB to improve its efficiency and effectiveness.



## BUSINESS PLANNING

The ATSB has a business planning process that analyses the anticipated strengths, weaknesses, opportunities and threats over the forward years. From this process, priorities, activities, targets and risk treatments are developed. The Corporate Plan, which is reviewed each year, is underpinned by the Annual Business Plan and individual staff performance plans. Other key documents which complement and inform this business planning process include the 2017–20 People Strategy, the Information and Communications Technology (ICT) Strategic Plan and Roadmap, the 2025 Strategic Property and Accommodation Plan and the 2019–20 Capital Management Plan.

## WORKFORCE PLANNING

The ATSB's People Strategy is designed to outline the agency's approach to meeting and maintaining its future workforce needs, within the level of available financial resources. It also aligns the ATSB with whole-of-government workforce planning strategies.

Given the finite nature of ATSB human resources (capital), representing an associated employee cost of approximately 65 per cent of the agency's current and projected budgets, it is imperative that strategies are developed and implemented to maximise the utilisation of these resources.

These strategies include:

### THESE STRATEGIES INCLUDE:

- > **Reshaping the workforce** – designed to maintain our operational efficiency and bring to bear the collective core skills and attributes within the agency's possession.
- > **Developing a pool of capable staff** – with a particular focus on our technical staff (Transport Safety Investigators) and establishing a contingency arrangement where there is an identified shortfall of available staff with the required industry-based technical skills and knowledge.
- > **Attracting and retaining high quality staff** – despite increasing market forces and our salary rates being below the APS median, and less competitive in comparison with other portfolio agencies.
- > **Building management and leadership capability** – through enhancing leadership and management skills to enable our managers to utilise and harness our workforce's capabilities to greater effect.
- > **Fostering our mature culture and key principles** – through careful analysis of a range of health and wellbeing indicators including the APS Census results and other benchmarked data sets.
- > **Addressing workforce risks** – through the established risk controls and treatments, particularly in respect to maintaining sufficient resources to effectively deliver prescribed functions and priorities.
- > **Increasing our core appropriations** (out-years) – not only to fund a range of initiatives designed to maintain our current effectiveness, but to provide opportunities to better respond to the changing environment and our future workforce needs.
- > **Creating tools to support a more systemic and rigorous workforce planning process** – ensuring these advancements are fully integrated within our business and risk management planning processes.

## INFORMATION AND COMMUNICATIONS TECHNOLOGY CAPABILITY

The ATSB's Information and Communications Technology (ICT) Strategic Plan and Roadmap is designed to provide a roadmap for the information, communications and technology in support of our organisational objectives. This document provides a roadmap for the ICT and Business Services section to support the agency to deliver on its mission and objectives over that time period.

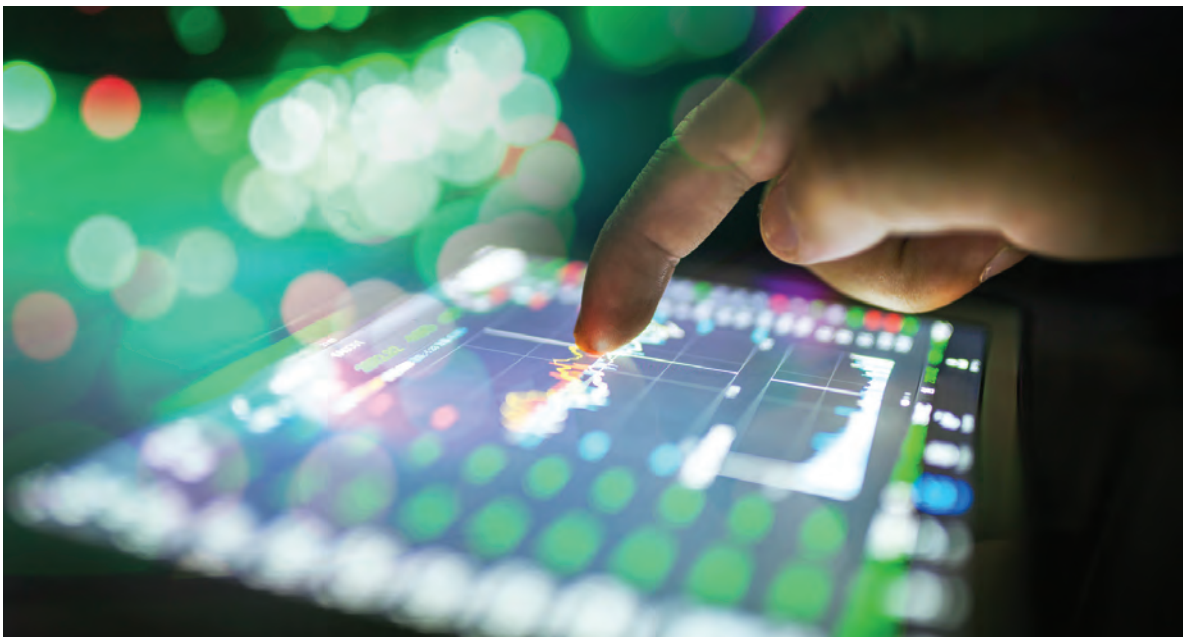
Better collaboration will result as the ATSB moves away from bespoke IT solutions, and forgoes projects of lower priority in part as a response to financial constraints. For example, moving away from owning and operating our ICT infrastructure to buying these as a service – the transition of ATSB to a leaner operational model – is well under way. The ATSB has developed a consolidated, innovative, and pragmatic plan to leverage cloud technologies and transition to an alternative managed services model.

This work is motivated by a number of factors, including:

- > The need to better support ATSB core operations which involve collaboration between staff and other stakeholders at partner and client sites and in the field
- > Greater emphasis on post-investigation functions such as leveraging data and publishing findings to a broad audience to effect changes in behaviour and policy that improve transport safety outcomes
- > The current Whole-of-Government emphasis on a cloud-first approach to IT service delivery outlined by the Digital Transformation Agency (DTA)
- > The end-of-life stage of the ATSB's primary business system 'SIIMS' and the associated opportunity to develop new tools to replace SIIMS.

Cloud computing offers many benefits to the ATSB. It allows for the setup of what is essentially a virtual office to provide the flexibility of connecting to the business anywhere, any time. With the growing number of web-enabled devices used in the ATSB's business environment (e.g. smartphones, tablets), access to data is made even easier.

The ICT Strategic Plan and Roadmap covers all applications and technology supporting investigation, research and corporate functions such as finance, human resources, legal, and corporate communications. It also covers the people, processes and technology as they apply to the ICT function of the agency.



## CAPITAL INVESTMENT STRATEGY

During 2018–19 the ATSB invested \$836,297 in capital expenditure. These investments included upgrades to infrastructure plant and equipment in relation to the agency's investigation function, along with corporate information technology systems, publishing equipment and supporting infrastructure.

### THE ATSB'S INVESTMENT PROFILE FOR THE PERIOD OF THE CORPORATE PLAN IS:

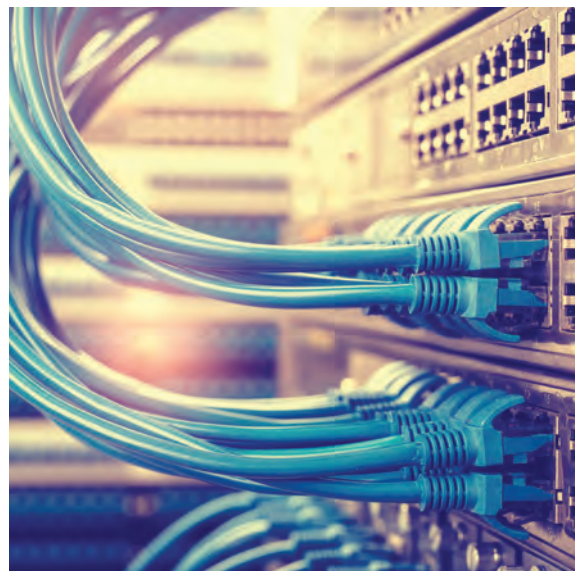
- > 2019–20 – \$658,000
- > 2020–21 – \$659,000
- > 2021–22 – \$370,000
- > 2022–23 – \$373,000

During the 2016–17 budget process, the ATSB received approval to re-profile prior year capital reserves and carry them forward to 2017–18 and the forward years based on the projected capital investment requirements. This resulted in a short-term increase in the capital funding available to the ATSB.

Over time, the ATSB's estimated capital injections fall short of the deficits associated with the non-funding of depreciation and amortisation. Without adequate injections by the Government, this represents a challenge to the ATSB in maintaining its underlying equity and asset capability going forward.

The ATSB continues to take a conservative approach towards its capital investment strategy, as the capital available to the agency is quite low for the forward years. The majority of this allocation will be used for maintaining plant and equipment on a needs basis, to ensure the agency has the necessary equipment to conduct its investigative functions.

The ATSB's capital investment plans include upgrading the Canberra central office to use space more efficiently, and replacing the investigation management IT platform with a more modern and capable system.



# Risk oversight and management

Risk management in the ATSB is about improving organisational performance and resilience, providing the ATSB with confidence to make difficult decisions and to identify and explore opportunities.



## RISK OVERSIGHT AND MANAGEMENT

The ATSB has established a risk management framework which facilitates the assessment of risk across the ATSB's broad range of business activities. The ATSB uses its enterprise risk assessments to identify obstacles to achieving its objectives as well as to identify opportunities for improved service delivery.

The ATSB's Risk Management Policy and Guidelines are reviewed and updated annually and approved by the Chief Commissioner as the Accountable Authority, the Commission and the Audit and Risk Committee. In 2019-20 the ATSB will make significant updates to its risk management framework to incorporate a new online risk management tool. The tool will emphasise the ATSB's risk based approach to managing investigation projects, pursuing quality and timeliness outcomes.

As Australia's national aviation, rail and marine safety investigator, the ATSB is experienced in risk management for the purpose of identifying safety risks in the industry so that they can be effectively managed. In a risk management framework, these safety risks are shared risks where the ATSB, the regulator and industry participants need to work together to improve safety.



The ATSB continues to implement its risk management framework to assist the agency with overcoming major challenges related to growth and change. The ATSB is presently risk managing its position in relation to the national maritime safety reforms to ensure it is prepared for any potential investigative role in the domestic commercial vessel sector. Jurisdictionally, the ATSB is also preparing for the potential to have a role in safety data analysis and investigations for heavy road vehicles.

The ATSB is concerned about its capacity to meet key deliverable and key performance indicator targets, particularly with respect to the timeliness of investigations. The Australian National Audit Office (ANAO) conducted an inquiry into the ATSB in 2018–19 and found that efficiency has been declining in the conduct of ATSB investigations. At the same time the ANAO recognised that the ATSB is already progressing a number of treatments to mitigate this as a continued risk. These treatments include a program managed approach to investigations and the recruitment of a number of new investigators.

The ATSB has highlighted uncertainty around its future funding as another risk. The national rail safety reforms require the ATSB to negotiate funding agreements with the States and Territories to secure sufficient funding to deliver a national rail safety investigation function. Some of these agreements have lapsed and one jurisdiction is still to enter into an agreement. One of the treatments for this risk is advocating for a better funding model through government inquiries such as the one conducted by the productivity commission into the national transport regulatory reforms.

To ensure the ATSB continues to overcome risks to its core business and take on challenges that require the agency to adapt and change, the ATSB will advance its risk management framework, consistent with the Commonwealth Risk Management Framework. The ATSB has aligned its risk management framework with its Corporate Plan and other business planning documents to ensure risk management is fully integrated into all the ATSB's business activities.

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