

OTS Key Performance Indicators, Measures and Evidence

Deliverables (PBS Program 2.1)	Key Performance Indicator	Performance measures (examples of some measures to be applied)	Examples of evidence
<ul style="list-style-type: none"> Collaborating with industry to improve the efficiency and effectiveness of the transport security frameworks; Working closely with industry and government partners to identify emerging and new risks and ensure that strategies are developed to mitigate them. Targeting our capacity building activities to highest risks offshore. Collaborating with international and industry partners to deliver effective programmes that sustainably strengthen security in the region. Efficient and lawful administration of approval processes that meet statutory timeframes. Working closely with the intelligence community and other stakeholders to ensure information is accessible, and shared, about threat 	<p>1. Action is taken by the Government to mitigate against new or emerging risks, where they are identified.</p>	<ul style="list-style-type: none"> Conduct robust security risk assessments to inform OTS policy responses and compliance activities. Monitoring compliance by industry partners with regulatory obligations and on a risk basis. Strong connections with key intelligence agencies and good information sharing processes. 	<ul style="list-style-type: none"> OTS Risk Framework and methodology. OTS Security Risk Course developed and delivered to all staff. Risk assessments are conducted as part of the policy development cycle to fully understand any risks when reviewing regulations and policies. Outcomes of compliance activities. Products about issues and threats are issued to inform industry views and risk assessments.
	<p>2. Collaboration with industry ensures that policy and regulatory frameworks are efficient and effective.</p>	<ul style="list-style-type: none"> New, and revisions to, policies and regulations are developed in consultation with industry and government partners. Regular industry forums are held and include consultation on policy and regulatory initiatives and issues. Regulatory issues are systematically identified, reviewed and resolved, with timely advice provided to staff and industry. Continuous improvement ensures that regulatory administration is fit-for-purpose, efficient and supports accountability. Findings from QA audits, legal advice and other investigations are incorporated into operational guidance and advice to industry (consistent with the regulatory governance framework). 	<ul style="list-style-type: none"> Regular industry consultative forums are used to collaborate with industry on new policy and regulation. Ad hoc workshops to work through specific policy and regulatory issues are held with industry. Industry representatives participate in ICAO Av Sec Panel to understand international frameworks. Guidance is issued to staff and industry as regulatory issues are resolved and/or clarified. Implementation of 2015/16 quality assurance audit program.
	<p>3. International and domestic engagement influences and shapes policy and future developments.</p>	<ul style="list-style-type: none"> Industry is consulted on new, and revisions to, policy on both international and domestic issues. Effective coordination and participation with international partners on security issues at multilateral meetings and bilaterally. Development and delivery of the annual Last Ports of Call (LPOC) Program. Development and delivery of the annual Capacity Building Program, focuses on areas of higher risk to Australia. 	<ul style="list-style-type: none"> OTS participation in major international meetings such as IMO, ICAO AvSecPanel and working groups and QUAD. Positions and joint work agreed on key issues. OTS forums ASAF, RICM, MISCF, OGSF and various working groups provide opportunity for industry to advise on policy issues and future trends of concern. LPOC program effectively covers Australia's high risk LPOCs and ensures reasonable understanding of all LPOC risks. Capacity building program closely mirrors highest LPOC and other risks to Australia offshore. OTS International Engagement strategy.
	<p>4. Communication with regulated entities is clear, targeted and effective.*</p>	<ul style="list-style-type: none"> Regulatory decisions are made in accordance with the principles of administrative law and consistent with the powers provided under the transport security legislation. Regulatory advice is consistent, transparent and promotes accountability. Decisions and associated advice are provided in a timely manner and clearly articulate reasons for decisions. Industry is well informed in advance of proposed changes to transport security obligations. 	<ul style="list-style-type: none"> All major changes to transport security obligations are implemented in accordance with well-developed communications strategies that are clear about: <ul style="list-style-type: none"> changes to obligations for industry participants; timings of those changes; and information about changes to monitoring activities. The <u>Decision Making Framework</u> outlines the principles of decision-making founded in administrative law, clarifies roles and responsibilities for decision makers, and provides advice on

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<p>and risk.</p> <ul style="list-style-type: none"> To partner with industry and government, in multilateral fora and bilaterally, to influence and inform the development of policy and standards. Facilitating business-government partnerships through provision of secretariat support to the Maritime and Surface sub-groups of the Transport Sector Group within the Australian Government's Trusted Information Sharing Network for Critical Infrastructure Resilience. 	<p>5. Compliance and monitoring approaches are streamlined and co-ordinated.*</p>	<ul style="list-style-type: none"> Compliance monitoring is based on risk and takes into account the operational requirements of the regulated entities. Continuous improvement ensures that regulatory administration is fit-for-purpose, efficient and supports accountability. Enforcement is undertaken in conjunction with partner agencies. 	<p>constructing statements of reasons.</p> <ul style="list-style-type: none"> Refusals under the transport security legislation are accompanied by a statement of reasons and advice on review and appeal mechanisms. Consultative forums are used to raise issues early and consult on approaches where obligations are likely to change. <ul style="list-style-type: none"> Clear communication about OTS' regulatory approach that supports development and enforcement of clear, consistent transport security regulation and compliance activities. Compliance and enforcement policies and operational arrangements are consistent with the agreed published OTS regulatory approach. Infringement Notice campaigns to be conducted jointly with the AFP (airports) and Customs (ports).

* denotes KPIs required under the Regulator Performance Framework