



Australian Government

Australian Maritime Safety Authority

# 2016-17 REGULATOR PERFORMANCE FRAMEWORK

## SELF-ASSESSMENT REPORT





## Document

Owner: Lloyd Dobson, Manager Governance  
 Contact details: Telephone - (02) 6279 5615  
 Email - Lloyd.Dobson@amsa.gov.au  
 Division/Unit: Corporate Services  
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## Revision History

Revision date	Version No.	Author	Description of changes
31 August 2017	1	Lloyd Dobson	Draft for AMSA Advisory Committee Review
21 September 2017	2	Lloyd Dobson	Final for AMSA Board certification

## Approvals

Title	Name	Signature	Date
Chief Operating Officer	Cherie Enders		21 September 2017
Chief Executive Officer	Mick Kinley		21 September 2017



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# 1 EXECUTIVE SUMMARY

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## 1.1 Self-assessment

The Australian Maritime Safety Authority (AMSA) undertook an annual self-assessment of its performance against the Regulator Performance Framework (RPF) in August 2017.

The self-assessment was informed by:

- the draft 2016-17 AMSA annual performance statements
- AMSA's 2015-16 RPF self-assessment report
- a report on the 2017 RPF external review of AMSA's port State control related assessments report
- an extract of the preliminary AMSA 2017 national stakeholder survey results relating to AMSA's performance as a regulator
- the annual results of AMSA's RPF customer survey; and
- the professional knowledge and experience of AMSA's Executive team.

The 2016-17 self-assessment results broadly indicate that AMSA management:

- believes it has made solid, tangible progress over the past year
- is very aware that there is room for improvement across the range of RPF KPIs, notably:
  - the level of regulation
  - organisation of compliance and monitoring arrangements;
  - explaining its decisions; and
  - in relation to the domestic commercial vessel (DCV) industry.

The self-assessment noted that the impact of the DCV industry on perceptions of AMSA's regulatory performance is evident in both the 2016-17 RPF customer survey results and preliminary 2017 national stakeholder survey results. Ongoing uncertainty surrounding the implementation of the national system for domestic commercial vessels appears to be generating an ambivalent - and possibly negative sentiment towards AMSA.

AMSA is fortunate that the daily interactions of its staff with stakeholders and its strong broader reputation contributes to a positive overall perception and a 'buffer' of goodwill. However, AMSA management is very aware that ongoing goodwill is not guaranteed - and in collaboration with federal, state and territory governments - is focused on addressing the issues highlighted by the DCV industry and successfully delivering the national system for domestic commercial vessel safety.

## 1.2 Self-assessment validation

The AMSA self-assessment was again validated by the AMSA Advisory Committee (AAC) – an Australian peak maritime representative body.

Overall there is a reasonably high degree of correlation between the validation and self-assessment results, with all six consolidated validation scores in the 'somewhat agree' to 'agree' range, albeit closer to 'agree'.

The AAC's general view was that the AMSA Executive's self-assessment was "fair and reasonable".

While the variances were not significant/of concern, management believes that the transition currently underway which sees AMSA assume full responsibility for service delivery of the National System for domestic commercial safety (National System) by July 2018 continues to influence some validation responses. It was evident that AAC members involved with the DCV industry had the greatest differences in opinion to the AMSA Executive's self-assessment, and were less positive overall.

In regards to opportunities for improvement, the validation:

- reinforced that bringing a higher degree of certainty as to how regulatory oversight under the National System will work will go some way to alleviate DCV concerns; and
- highlighted the importance of engagement, and the challenges inherent in communicating with such a wide range of stakeholders.

Where there were small differences in perception, qualitative comments and subsequent conversation with AMSA management suggests that this may be due to AMSA's Executive having a reasonably well-formed view of how the National System transition will occur and subsequently how services will be delivered - a view that is not necessarily shared by industry. Ongoing engagement and communication around this issue will be crucial to AMSA's future success.

Notwithstanding DCV concerns, the validation credited AMSA management for not underestimating the size and difficulty of the task ahead (implementing the National System), and making good progress engaging the DCV industry.

The validation reconfirmed<sup>1</sup> AMSA's broader focus on trying to improve maritime regulations to create a safer and more efficient industry (Q6) as a strength. Consistent with the self-assessment summary, qualitative validation comments drawn from both DCV and non-DCV representatives suggests that the goodwill AMSA generates from this broader focus promotes a level of empathy, understanding, and trust that AMSA will deliver the National System with no degradation to its traditional core outputs, e.g. search and rescue, port State control, and aids to navigation.

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<sup>1</sup> Identified as a strength in the 2015-16 AMSA RPF self-assessment

# 2 BACKGROUND

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## 2.1 Purpose

The purpose of the Regulator Performance Framework (RPF) is to encourage regulators to undertake their functions with the minimum impact necessary to achieve regulatory objectives, and to effect positive ongoing and lasting cultural change. The RPF commenced on 1 July 2015.

The RPF consists of six outcomes-based key performance indicators (KPIs) which set the Government's overarching expectations of regulator performance:

1. regulators do not unnecessarily impede the efficient operation of regulated entities
2. communication with regulated entities is clear, targeted and effective
3. actions undertaken by regulators are proportionate to the risk being managed
4. compliance and monitoring approaches are streamlined and coordinated
5. regulators are open and transparent in their dealings with regulated entities; and
6. regulators actively contribute to the continuous improvement of regulatory frameworks.

More information on the RPF is available at: <https://www.cuttingredtape.gov.au/rpf>.

## 2.2 Requirement

Regulators must self-assess their performance against the RPF annually. The results of the self-assessment must be:

- validated by an approved external stakeholder body - the Australian Maritime Safety Authority (AMSA) Advisory Council (AAC)<sup>2</sup>
- certified by AMSA's accountable authority<sup>3</sup> - the AMSA Board; and
- provided to AMSA's portfolio Minister and published no later than 31 December each year.

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<sup>2</sup> On 28 May 2015 the AAC agreed to be AMSA's external validation body for the Regulator Performance Framework (RPF), and agreed the proposed measures. On 1 December 2015 AMSA's portfolio Minister approved these arrangements

<sup>3</sup> *Public Governance, Performance and Accountability Act 2013* (PGPA ACT)

# 3 METHOD

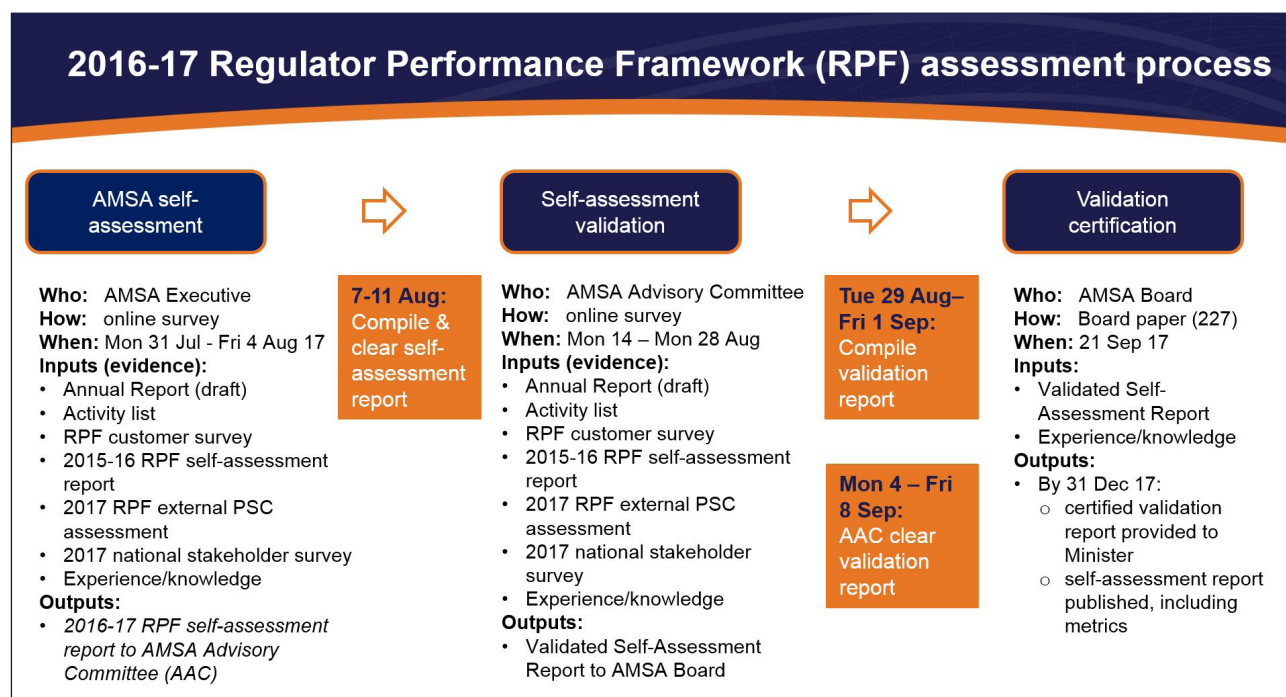
## 3.1 Evidence

Where possible AMSA leveraged existing processes for data collection and analysis. The primary sources of evidence used for the self-assessment and validation were:

- the draft 2016-17 AMSA annual performance statements<sup>4</sup> – available as part of AMSA's 2016-17 annual report at <http://www.amsa.gov.au/forms-and-publications/about-amsa/publications/Annual-Reports/index.asp>
- AMSA's 2015-16 RPF Annual Self-Assessment Report
- the 2017 RPF external review of port State control related assessments report
- an extract of the preliminary AMSA 2017 national stakeholder survey results relating to AMSA's performance as a regulator – provided at *Attachment 5.1*; and
- the annual results of AMSA's online RPF customer survey - see [www.surveymonkey.com/r/WMLFSN6](http://www.surveymonkey.com/r/WMLFSN6).

## 3.2 Process

Diagram One below details the overall self-assessment process.



<sup>4</sup> The 2016-17 AMSA annual performance statement reported performance against a range of measures previously identified and agreed as relevant/aligned to the RPF



### 3.2.1 AMSA self-assessment

Over the period 31 July – 4 August 2017 the AMSA Executive undertook a self-assessment of AMSA's performance against the RPF through an online survey<sup>5</sup>.

The self-assessment survey consisted of six key statements/questions aligned to the RPF key performance indicators:

- Q1: AMSA helps vessel owners and seafarers safely operate or work on a vessel without getting in the way
- Q2: Our communications with those we regulate are clear and useful
- Q3: Given the risks involved in the industries AMSA regulates, the level of regulation is about right
- Q4: AMSA's compliance and monitoring arrangements are well organised and efficient
- Q5: AMSA explains its regulatory decisions well, and
- Q6: AMSA is always trying to improve maritime regulations to create a safer and more efficient industry.

The response options were:

1	2	3	4	5	6	7
strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a

This year's survey also included two questions on AMSA's progress against the opportunities for improvement identified in 2015-16 self-assessment:

- how much progress has been made raising stakeholder awareness and visibility of AMSA's decision making processes through better engagement, education and communication?; and
- how much progress has been made improving harmonisation and coordination of AMSA resources across all ship types and sectors?

The response options for these two questions were:

- no or little progress
- some progress; and
- significant progress.

If the response was 'no or little progress', respondents were asked to explain. If the response was 'some' or 'significant' progress, respondents were asked for examples.

### 3.2.2 Validation

Over the period 14 - 28 August 2017 the AMSA Advisory Committee validated AMSA's RPF self-assessment through an online survey<sup>6</sup>.

The purpose of the validation is to be a sounding board for the self-assessment results prior to them being considered by the AMSA Board, and subsequently by AMSA's portfolio Minister.

The AMSA Advisory Committee is a peak maritime representative body comprised of senior representatives<sup>7</sup> from the following organisations:

- Antares Marine Pty Limited
- Austral Fisheries
- Australian Antarctic Division
- Australian Maritime College
- Braemar ACM Ship broking
- Flinders Port Holdings Pty Limited

<sup>5 and 6</sup> Survey Monkey

<sup>7</sup> CEO or equivalent

- Maritime Industry Australia Ltd
- National Offshore Petroleum Safety and Environmental Management Authority
- Royal Australian Navy
- Shipping Australia Limited
- Stehr Group
- Sea Transport Solutions Pty Limited

The results of the AMSA self-assessment survey were consolidated in a report and provided to the AMSA Advisory Committee, along with the other inputs (evidence) detailed in diagram one, by email on Monday 14 August 2017 as a precursor to receiving an invitation to take part in the validation survey.

AMSA Advisory Committee members were encouraged to put time aside to review the evidence prior to undertaking the survey.

The validation survey was a variation on the eight (six KPI, two progress) self-assessment key statements/questions. Each question asked the participant to determine:

“whether the AMSA self-assessment result against the relevant KPI/ progress assessment is a fair and accurate representation of AMSA’s performance, based on the evidence presented to them and their own experience”.

Each question also detailed the corresponding survey question/statement posed to the AMSA Executive, and the summary self-assessment result.

Diagram Two is an example of the validation survey question format for KPIs, and Diagram Three an example of the progress questions.

Diagram Two: example of validation survey KPI question format

**AMSA Advisory Committee 2016-17 Regulator Performance Framework validation survey**

*RPF KPI 1: regulators do not unnecessarily impede the efficient operation of regulated entities*

**1. Q1: The evidence and my own experience suggests that the self-assessment result against this KPI is a fair and accurate representation of AMSA's performance** *(Survey question: AMSA helps vessel owners and seafarers safely operate or work on a vessel without getting in the way. Self-assessment result: 5.17 'agree')*

strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	N/A
<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>

Comments


Diagram Three: example of validation survey progress question format

**AMSA Advisory Committee 2016-17 Regulator Performance Framework validation survey**

**Progress since 2015-16**

AMSA's 2015-16 Regulator Performance Framework self-assessment report identified two specific opportunities for improvement: **Opportunity One** - raising stakeholder awareness and visibility of AMSA's decision making process through better engagement, education and communication; and **Opportunity Two** - better harmonisation and coordination of AMSA resources across all ship types and sectors.

The 2016-17 self-assessment completed by the AMSA Executive asked them to assess progress against each of these areas. The results are detailed on page 3. In this section you are asked for your views on whether AMSA's progress assessment is accurate/reasonable.

**\* 7. For Opportunity One AMSA believes it has made 'some' (n=4) to 'significant' (n=2) progress. In your view, this is an accurate and reasonable assessment.** 

Agree

Disagree

Comment:

Eight out of twelve AAC members responded to the survey (n=8).

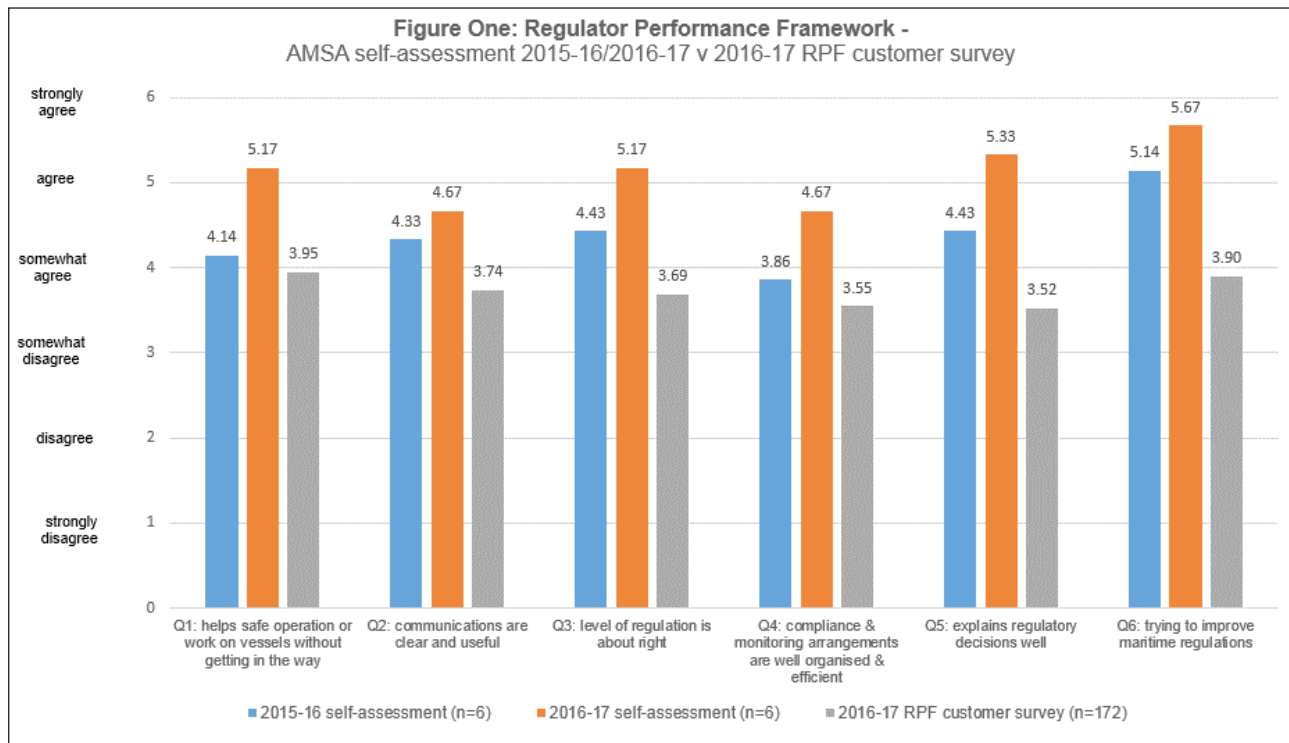
# 4 RESULTS

## 4.1 Self-assessment against RPF KPIs

The summary results of the 2016-17 self-assessment against each RPF KPI question are shown in Figure One (orange bars). For comparative purposes Figure 1 also shows the:

- 2015-16 self-assessment results (blue bars); and
- annual results of the RPF customer survey (grey bars) which uses a similar question set, less the questions on progress against opportunities.

The detailed results and comments for each self-assessment question are at Attachment 5.2.



The detailed results and comments for each self-assessment question are at Attachment 5.2.

## 4.2 Progress against 2015-16 opportunities

The AMSA Executive self-assessment was that:

- ‘some’ (n=4) to ‘significant’ (n=2) progress had been made in raising stakeholder awareness and visibility of AMSA’s decision making processes through better engagement, education and communication; and
- ‘some’ (n=4) to ‘significant’ (n=2) progress had been made in improving harmonisation and coordination of AMSA resources across all ship types and sectors.

Table One details the evidence provided by the AMSA Executive in support of their progress assessment.

Table One: Progress assessment - evidence

(a) Awareness and visibility of decision making processes	(b) Improving harmonisation and coordination of AMSA resource
Good engagement by Liaison Officers. Clearer consultation messages/emails, e-news and AMSA Aboard. AMSA Connect expansion. More work to be done.	Progressed in the regional offices to integrate work. AMSA Connect enhancement and expansion
Establishment of and regular engagement with industry groups representing new sectors.	Alignment of resources and staff effort has been purposefully directed towards all sectors through organisation restructure and consistent management of core regulatory activities across all ship types.
Review of consultative group composition. Increased awareness and new stakeholder understand AMSA’s current and future role.	Reassessment of strategic challenges and goals. AMSA version 2.0 delivered refocusing required effort, big ship little ship culture was a change for the best. Secondment across Divisions. Realignment of position descriptions and reporting - for example the Indigenous teams.
More consultative groups - DIAC for example. Refresh of AMSA Advisory Committee status. More liaison officers in the regions, more regional focus for service delivery.	Restructure bringing domestic vessels into Standards and Operations was a good start.
Improved engagement through consultation groups, and through using various mediums such as publications, social media etc	

## 4.3 Analysis

### 4.3.1 Self-assessment against RPF KPIs

Overall, there has been an increase across all self-assessment criteria from the 2015-16 results. The average is now 5.11 (‘agree’), up from 4.39 (‘somewhat agree’).

The biggest increases have occurred in:

- Q1: AMSA helps vessel owners and seafarers safely operate or work on a vessel without getting in the way – up from 3.95 (just under ‘somewhat agree’) to 5.17 (‘agree’).
- Q5: AMSA explains its regulatory decisions well – up from 4.43 (‘somewhat agree’) to 5.33 (‘agree’).

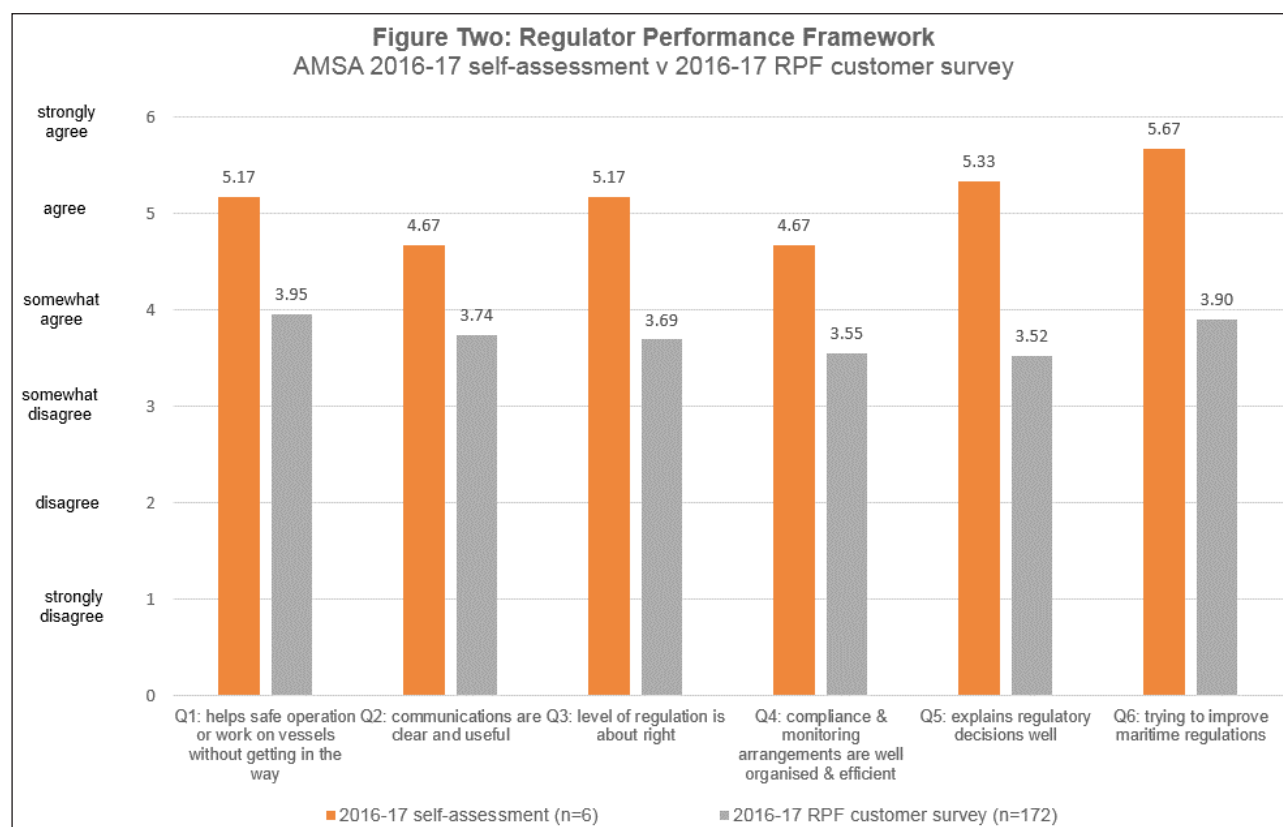
The smallest increase (.34) was for Q2: our communications with those we regulate are clear and useful – from 4.33 to 4.67, leaving the result in the ‘somewhat agree’ range.

The qualitative comments for both the RPF KPI and progress questions suggests that the lift in self-assessment results have been driven by perceptions that solid, tangible progress has been made across the board over the past year – while acknowledging that there is still a lot of work to do.

Significant change initiatives including the restructure of AMSA and the expansion of AMSA Connect (AMSA's contact centre) underpins this positive sentiment.

### 4.3.2 Self-assessment against RPF customer survey

The lift in self-assessment results widens the gap significantly against the annual RPF customer survey results – Figure Two.



On average, RPF customers rated AMSA in the 'somewhat disagree' to 'somewhat agree' range (3.73) - 1.38 (23%) lower than the 'agree' (5.11) self-assessment results.

The biggest differences in opinion were seen in:

- Q5: AMSA explains its regulatory decisions well (difference 1.81) – AMSA rated itself at 5.33 (between 'strongly agree' and 'agree') and customers at 3.52 ('somewhat disagree' to 'somewhat agree'); and
- Q6: AMSA is always trying to improve maritime regulations to create a safer and more efficient industry (difference 1.77) – AMSA rated itself at 5.67 (almost 'strongly agree') and customers at 3.90 (just under 'somewhat disagree').

The closest result (difference 0.93) was for Q2: Our communications with those we regulate are clear and useful – AMSA rated itself at 4.67 (between 'somewhat agree' and 'agree') and customers at 3.74 (just under 'somewhat agree').

The 2015-16 AMSA self-assessment scored slightly higher (average +.58) than the corresponding RPF customer survey result. For 2016-17 this trend has accelerated.

The difference in perspectives between the AMSA 2016-17 self-assessment and RPF customer survey results suggests that the AMSA Executive view of regulatory performance is more holistic across all areas and includes the regulation of vessels subject to SOLAS, whereas the RPF customer survey results were again heavily influenced by domestic commercial vessel (DCV) industry participants.

### 4.3.3 Impact of domestic commercial vessel participants

The RPF customer survey results indicate that DCV, as a single nationally regulated industry group, is ambivalent towards AMSA and in some areas, not satisfied with AMSA.

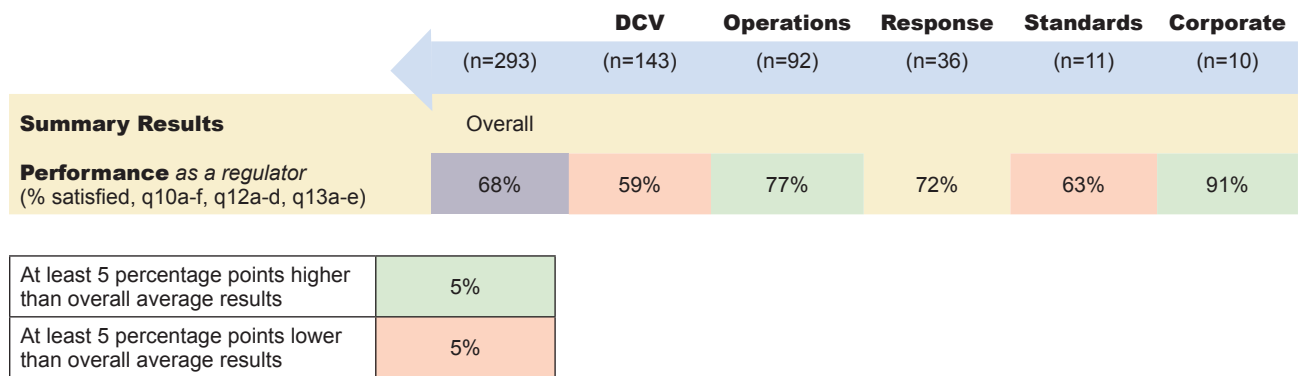
The transition to the national system for domestic commercial safety is still underway, and ongoing uncertainty in relation to the new arrangements may have influenced DCV participants.

The DCV industry makes up around 60% of RPF customer survey participants. This relatively high participation rate impacts disproportionately on the results, and may have led to the increasing gap between the Executive self-assessment results and customer survey results.

Given the large stakeholder numbers within the DCV stakeholder base (66,000+), the statistical significance of approximately DCV 100 respondents (60%) may also be reflective of a smaller number of disgruntled stakeholders.

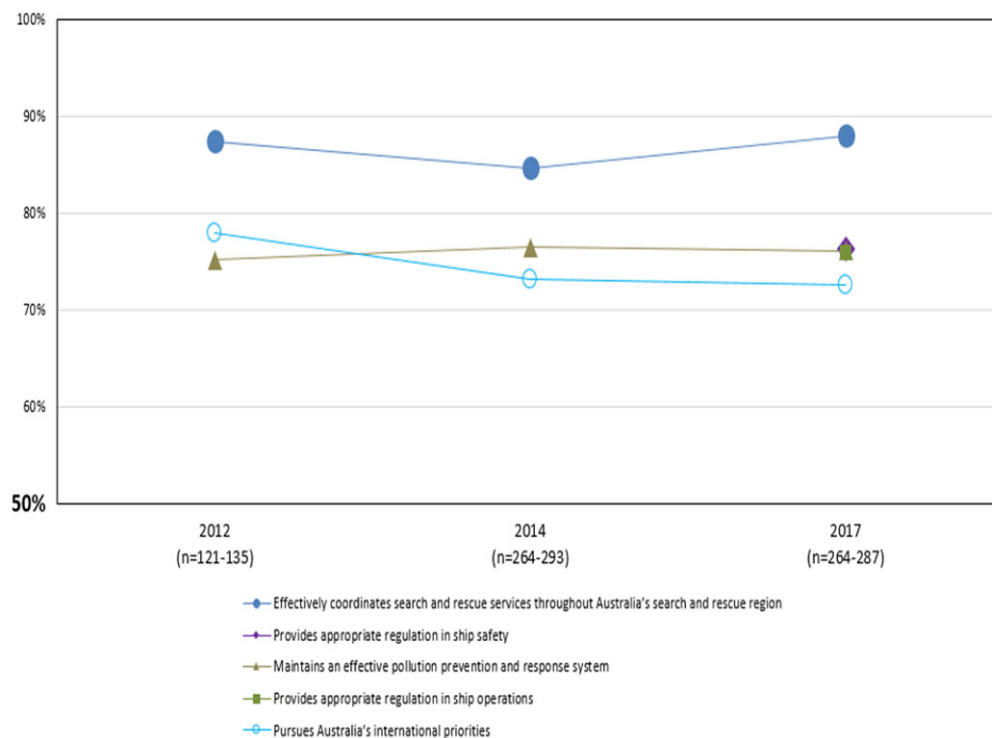
The impact of DCV participants on overall perceptions of AMSA as a regulator can also be seen in the preliminary AMSA 2017 national stakeholder survey results. Figure Three shows that DCV participants (n=143) were the least satisfied of any AMSA stakeholder group at 59% satisfaction.

Figure Three: Regulator performance by stakeholder group



The DCV impact is lessened when AMSA's performance across its broader functions (Figure Four) – including regulation - are considered. Stakeholder satisfaction is far higher, ranging between 70% and 90%.

Figure Four: AMSA performance – broader functions

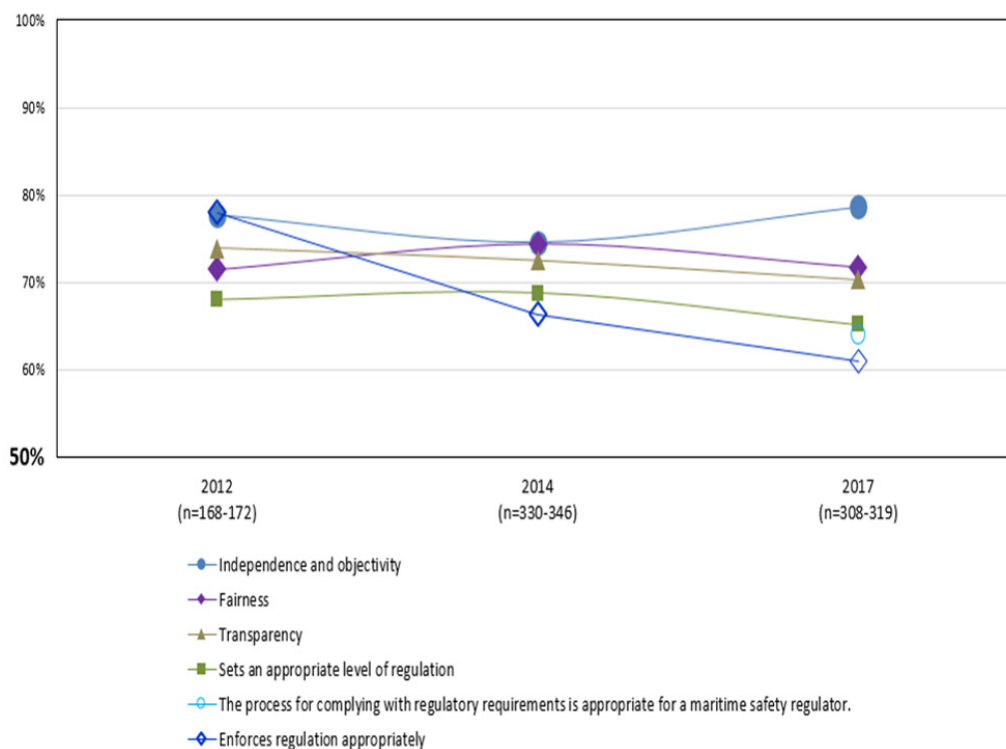


The results of the 2017 external RPF review of AMSA’s port state control (PSC) related assessment - where AMSA was rated as ‘excellent’ overall - along with RPF related results in AMSA’s draft 2015-16 annual performance statements, provides further evidence of AMSA’s strong performance across its broader functions. This evidence was considered by the AMSA Executive as part of its 2016-17 self-assessment, but would not have necessarily influenced - or be seen as relevant to – a number of RPF customer survey participants.

However, there is a degree of consistency and alignment between the bottom three 2016-17 RPF customer survey KPI results and the preliminary 2017 national stakeholder survey results regarding attributes of AMSA’s performance as a regulator - Figure Five:

- ‘sets an appropriate level of regulation’ – aligns with RPF KPI/Q3: ‘given the risks involved in the industries AMSA regulates, the level of regulation is about right’ (customer survey score: 3.69)
- ‘enforces regulation appropriately – aligns with RPF KPI/Q4: ‘AMSA’s compliance and monitoring arrangements are well organised and efficient’ (customer survey score 3.55); and
- ‘transparency’ – aligns with RPF KPI/Q5: ‘AMSA explains its regulatory decisions well’ (customer survey score: 3.52).

Figure Five: Attributes of AMSA’s performance as a regulator



The declining trend in satisfaction between 2012 and 2017 for three of the six attributes reflects the sentiment of all AMSA stakeholder groups captured by the national stakeholder survey – including the DCV industry and those groups exposed to AMSA’s broader functions. This suggests that AMSA still has opportunities for improvement across the RPF KPI areas, particularly in regard to its work with the DCV industry.

While the 2016-17 RPF customer survey and preliminary 2017 national stakeholder survey results may not be wholly representative of AMSA’s broader regulatory performance, they provide useful insight as to AMSA’s impact in its regulatory role. The DCV industry will become AMSA’s largest stakeholder group, and will play an increasing role in gauging AMSA’s long-term success as the entity transitions to full service delivery of the national system for domestic commercial vessel safety by July 2018.



### 4.3.4 Summary

The 2016-17 self-assessment results broadly indicate that AMSA management:

- believes it has made solid, tangible progress over the past year
- is very aware that there is room for improvement across the range of RPF KPIs, notably:
  - the level of regulation
  - organisation of compliance and monitoring arrangements;
  - explaining its decisions; and
  - in relation to the DCV industry.

The impact of the DCV industry on perceptions of AMSA’s regulatory performance is evident in both the 2016-17 RPF customer survey results and preliminary 2017 national stakeholder survey results. Ongoing uncertainty surrounding the implementation of the national system for domestic commercial vessels appears to be generating an ambivalent and possibly negative sentiment towards AMSA.

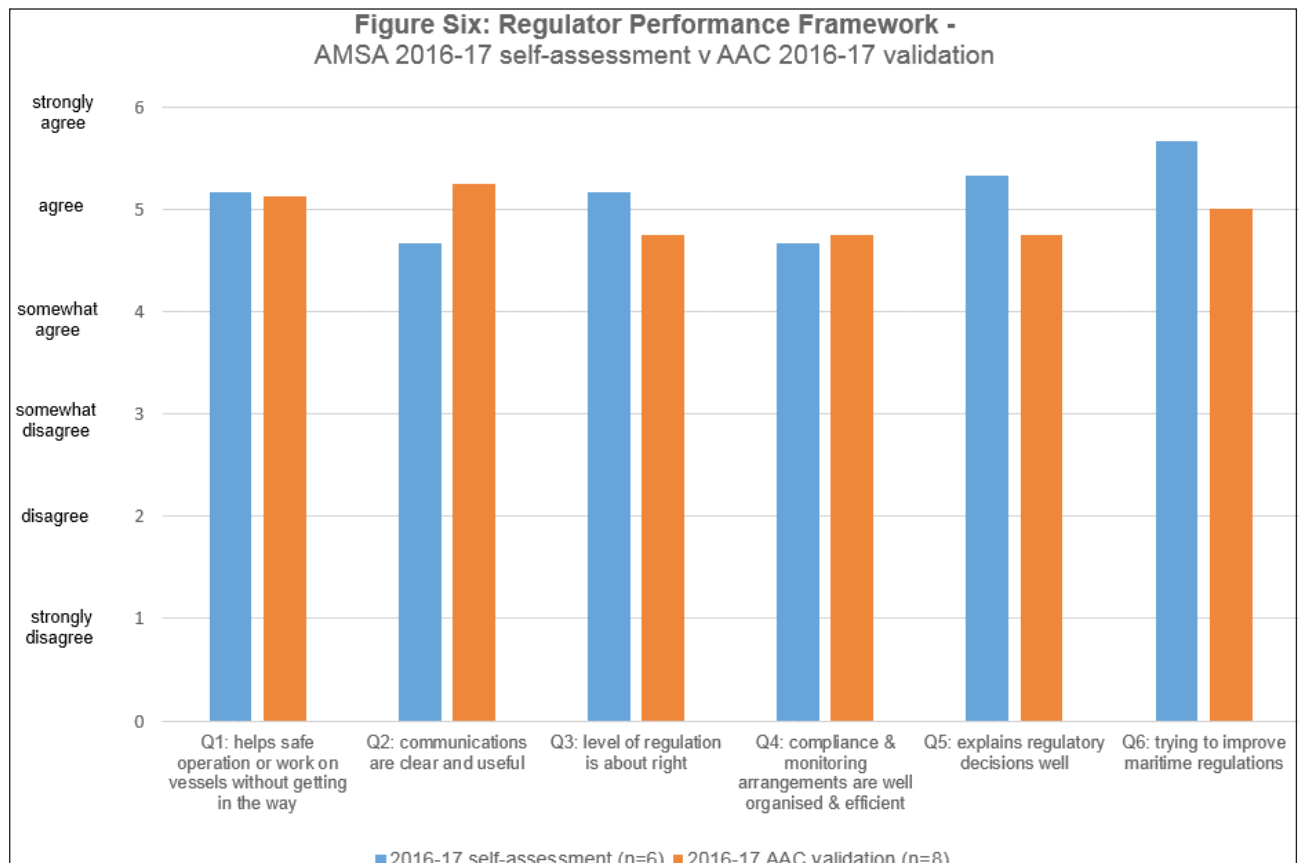
AMSA is fortunate that the daily interactions of its staff with stakeholders and its strong ‘broader’ reputation contributes to a positive overall perception and a ‘buffer’ of goodwill. However, AMSA management is very aware that ongoing goodwill is not guaranteed - and in collaboration with federal, state and territory governments - is focused on addressing the issues highlighted by the DCV industry and successfully delivering the national system.

## 4.4 AMSA Advisory Committee Validation

The summary results of the AMSA Advisory Committee’s validation of the self-assessment results against the six RPF KPI areas are shown in Figure Six below (orange bars).

Readers should note that the validation results:

- Indicate how strongly the AMSA Advisory Committee agrees or disagrees with the AMSA self-assessment (blue bars).
- Are not the AMSA Advisory Committee’s direct assessment of AMSA against the RPF key performance indicators and survey questions.



In regards to progress against the opportunities identified in last year's self-assessment (below), seven of eight AAC members agreed with the AMSA Executive's assessment that 'some' (n=4) to 'significant' (n=2) progress had been made.

**Opportunity One:** raising stakeholder awareness and visibility of AMSA's decision making processes through better engagement, education and communication.

**Opportunity Two:** improving harmonisation and coordination of AMSA resources across all ship types and sectors.

The detailed results and comments for each validation question are at Attachment 5.3.

#### 4.4.1 Analysis

Overall there is a reasonably high degree of correlation between the validation and self-assessment results, with all six consolidated validation scores in the 'somewhat agree' to 'agree' range, albeit closer to 'agree'. The AAC's general view was that the AMSA Executive's self-assessment was "fair and reasonable".

The Department of Prime Minister and Cabinet advise that variances between self-assessment and validation results do not have to be resolved prior to reporting to the Minister, but should be explained.

Supported by some of the qualitative validation comments, management believes that the transition currently underway which sees AMSA assume full responsibility for service delivery of the National System for domestic commercial safety (National System) by July 2018 continues to influence some validation responses. It was evident that AAC members involved with the DCV industry had the greatest differences in opinion to the AMSA Executive's self-assessment, and were less positive overall.

In regards to opportunities for improvement, the validation:

- reinforced that bringing a higher degree of certainty as to how regulatory oversight under the National System will work will go some way to alleviate DCV concerns; and
- highlighted the importance of engagement, and the challenges inherent in communicating with such a wide range of stakeholders.

Where there were small differences in perception between AMSA's Executive and the validation, AAC qualitative comments and subsequent conversation with AMSA management suggests that this may be due to AMSA's Executive having a reasonably well-formed view of how the National System transition will occur and subsequently how services will be delivered - a view that is not necessarily shared by industry. Ongoing engagement and communication around this issue will be crucial to AMSA's future success.

Notwithstanding DCV concerns, the validation credited AMSA management for not underestimating the size and difficulty of the task ahead (implementing National System), and making good progress engaging the DCV industry.

The validation reconfirmed AMSA's broader focus on trying to improve maritime regulations to create a safer and more efficient industry (Q6) as a strength. Qualitative comments from the validation (below), drawn from both DCV and non-DCV representatives, suggests that the goodwill 'buffer' AMSA generates from this broader focus promotes a level of empathy, understanding, and trust – and is consistent with the self-assessment summary.

- *"AMSA does a good job under difficult circumstances. It is critical that the transition to national law completes quickly so that regulated entities can get clearer guidance about what is required to deliver safe work places".*
- *"Resource allocation issues would be expected to arise through the transition to National Law structure, but attention to the commercial large ship sector appears to remain at an appropriate level".*
- *"The current state of flux in transition to full regulatory oversight of the National Law is less than ideal. However, it is apparent AMSA are taking good strides to engage their new market. It's all about people and trust and with the right people in the right place, I am sure they will succeed".*

# 5 ATTACHMENTS

## 5.1 AMSA 2017 national stakeholder survey preliminary results

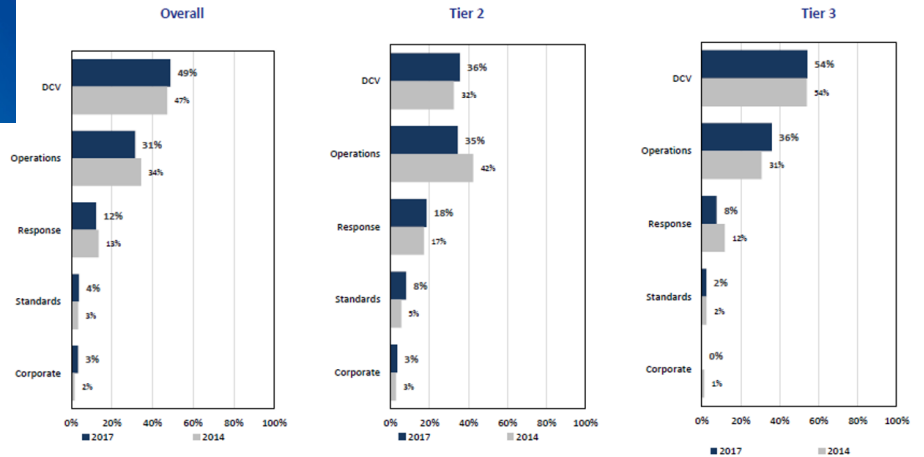
Preliminary top line results - not for wider distribution

Australian Maritime Safety Authority

Regulator Performance *extract from* National Stakeholder Survey 2017

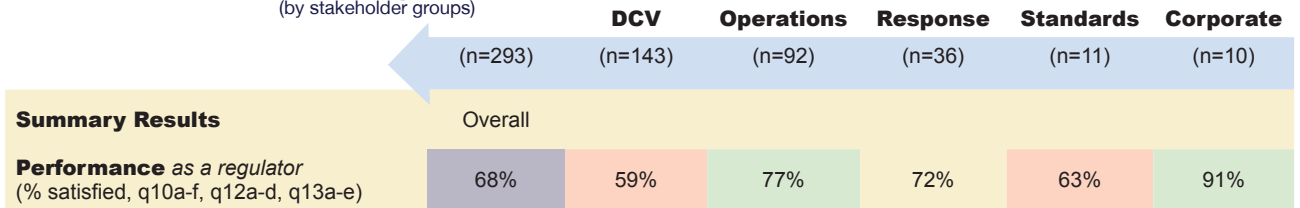
August 2017

### Stakeholder grouping



### Performance as a regulator dashboard

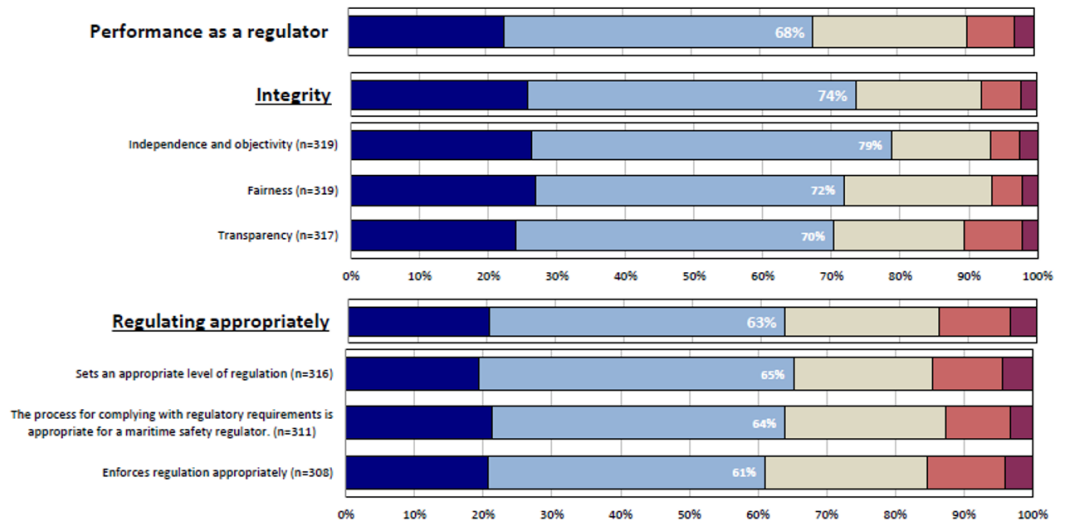
(by stakeholder groups)



At least 5 percentage points higher than overall average results	5%
At least 5 percentage points lower than overall average results	5%

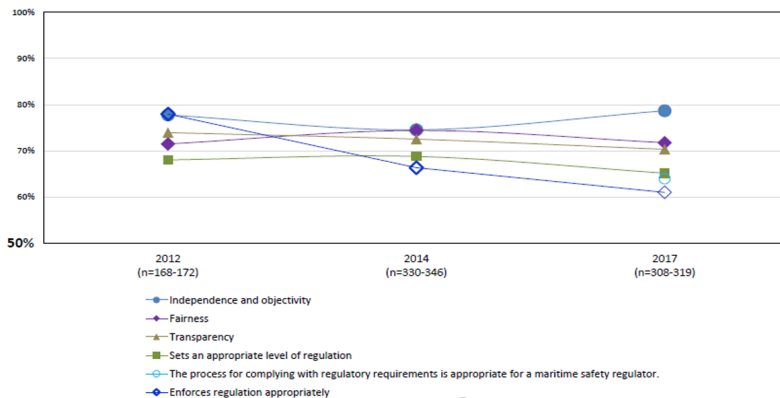
### Performance as a regulator

Satisfaction with how AMSA regulates Australian maritime safety



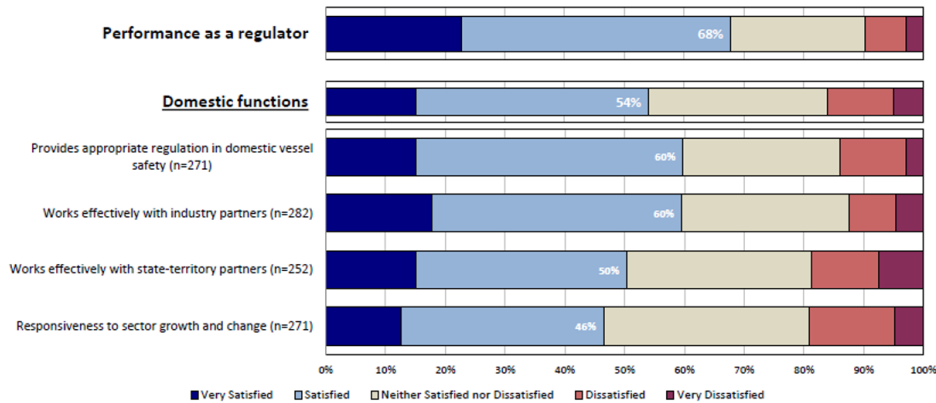
## Performance as a regulator

Tracking results for attributes of AMSA performance as a regulator



## Performance as a regulator

Satisfaction with AMSA's domestic functions



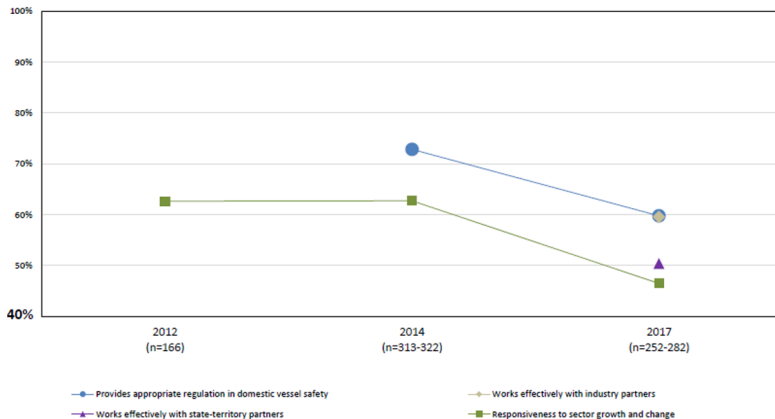
## Performance as a regulator

Satisfaction with how AMSA regulates Australian maritime safety, across stakeholder groups



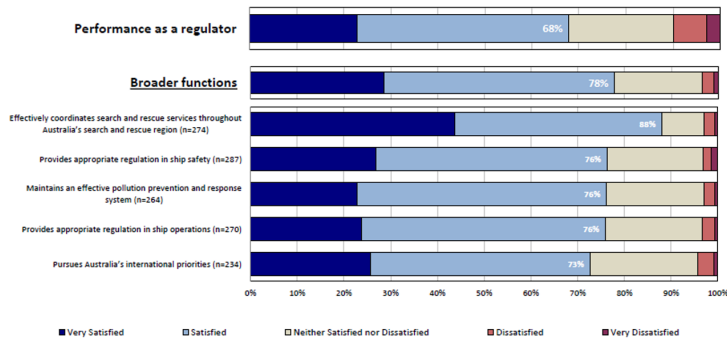
## Performance as a regulator

Tracking results for attributes of AMSA domestic functions



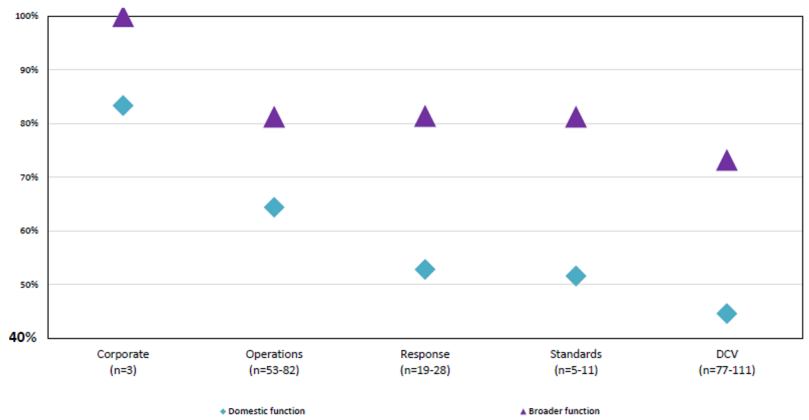
## Performance as a regulator

### Satisfaction with AMSA's broader functions



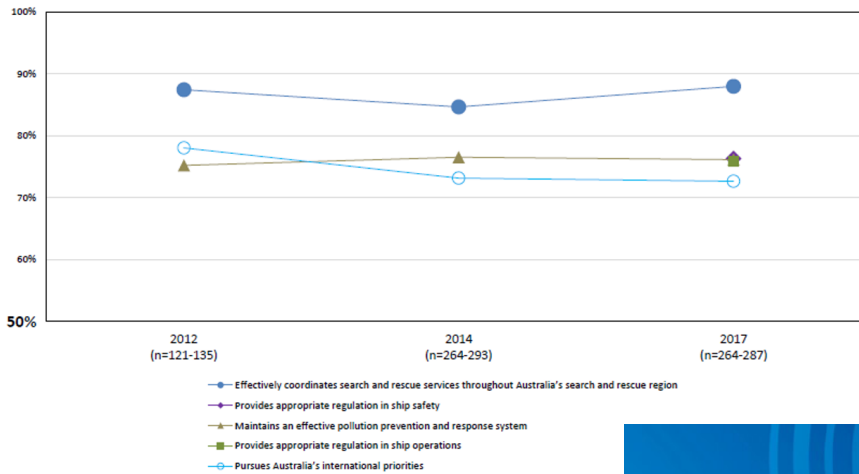
## Performance as a regulator

### Satisfaction with AMSA's broader functions, across stakeholder groups



## Performance as a regulator

### Tracking results for attributes of AMSA broader functions



This project was conducted in accordance with the international quality standard ISO 20252 and the Australian Privacy Principles contained in the Privacy Act 1988.

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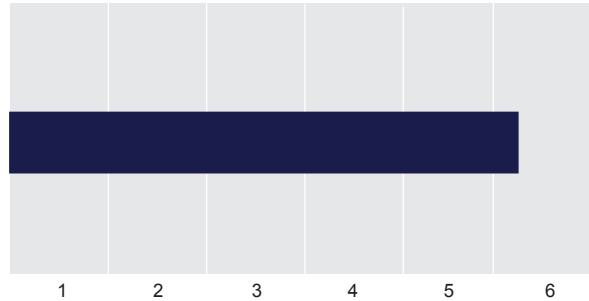
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RESEARCH

## 5.2 AMSA 2016-17 RPF self-assessment detailed responses

RPF KPI 1: regulators do not unnecessarily impede the efficient operation of regulated entities

### Q1: AMSA helps vessel owners and seafarers safely operate or work on a vessel without getting in the way

Answered: 6 Skipped: 0



strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	0.00% 0	0.00% 0	16.67% 1	50.00% 3	33.33% 2	0.00% 0	6	5.17

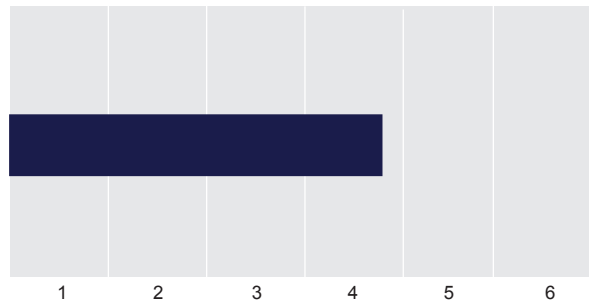
**Comment:**

- *“The transitional arrangements for domestic commercial vessels are not as straight forward as one would like for industry. States and Territories pulling back prior to 1st July 2018 doesn’t help. Complex regulation and various exemptions also contribute. We work to rectify this”.*

### Q2: Our communications with those we regulate are clear and useful

RPF KPI 2: communication with regulated entities is clear, targeted and effective

Answered: 6 Skipped: 0



strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	0.00% 0	16.67% 1	33.33% 2	16.67% 1	33.33% 2	0.00% 0	6	4.67

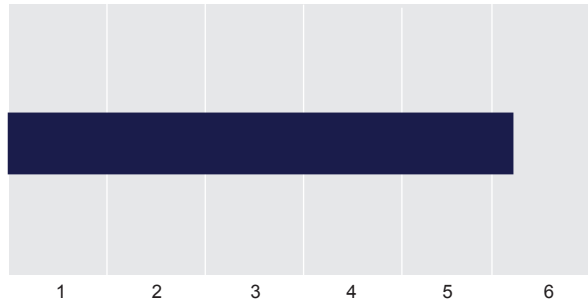
**Comment:**

- *“We are getting better at this, the challenge is a very diverse industry”.*
- *“Further development required in refining delivery channels (eg website / publications / social media etc) in order to reach desired audiences”.*
- *“I think we are still trying to work out who they are and only then can we establish what effective communications look like. At the moment we still get negative feedback however this is less of an issue for the traditional AMSA stakeholder”.*

### Q3: Given the risks involved in the industries AMSA regulates, the level of regulation is about right

RPF KPI 3: actions taken by regulators are proportionate to the risk being managed

Answered: 6 Skipped: 0



strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	0.00% 0	0.00% 0	66.67% 1	50.00% 3	33.33% 2	0.00% 0	6	5.17

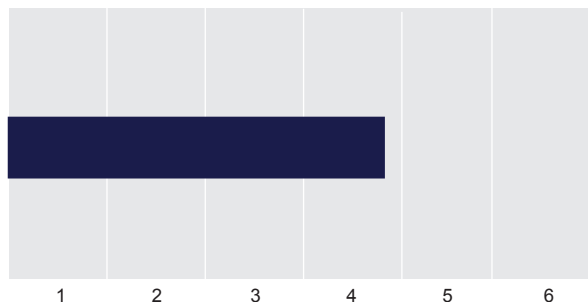
**Comment:**

- “There are areas of opportunity with safety managements systems and qualifications/certification to be further explored”.
- “Key word in the question is “about” right. Overall I think it is ‘about’ right but I also think the direction we are going in only improves this”.

### Q4: AMSA’s compliance and monitoring arrangements are well organised and efficient

RPF KPI 4: compliance and monitoring approaches are streamlined and coordinated

Answered: 6 Skipped: 0



strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	0.00% 0	33.33% 2	0.00% 0	33.33% 2	33.33% 2	0.00% 0	6	4.67

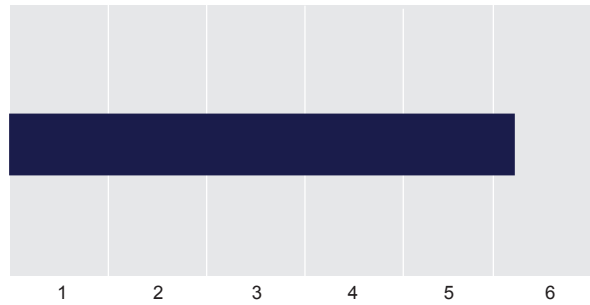
**Comment:**

- “Convention vessels are well captured. The framework for domestic commercial vessels is coming together and being implemented”.
- “Effective. Opportunity exists to streamline as part of ongoing improvement and refining of our approach”.
- “A review has been done to try and assist us to improve this. The ability to be efficient in this item are somewhat hampered by the reliance on external delegates not giving us what we need and not within our control”.

### Q5: AMSA explains its regulatory decisions well

RPF KPI 5: regulators are open and transparent in their dealings with regulated entities

Answered: 6 Skipped: 0



strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00%	0.00%	0.00%	16.67%	33.33%	50.00%	0.00%	6	5.17
0	0	0	1	3	2	0		

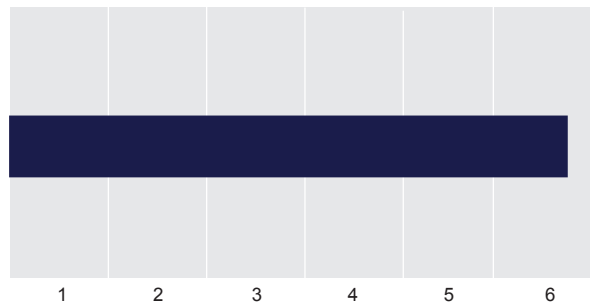
**Comment:**

- *“I think we are getting better at this through consultation, with better transparency in terms of highlighting changes to regulations, and the reasons why. Reviews of decisions are very thorough”.*
- *“There is opportunity to enhance our work in this area once we are established in our expanded regulatory role”.*

### Q6: AMSA is always trying to improve maritime regulations to create a safer and more efficient industry

RPF KPI 6: regulators actively contribute to the continuous improvement of regulatory frameworks

Answered: 6 Skipped: 0



strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00%	0.00%	0.00%	0.00%	33.33%	67.67%	0.00%	6	5.67
0	0	0	0	2	4	0		

**Comment:**

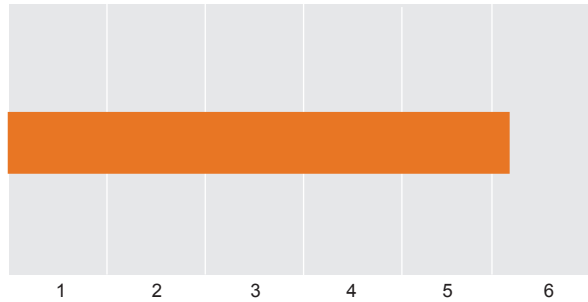
- *“We apply the ‘red-tape reduction’ principles. In considering regulation we attempt to have a more risk based approach”.*
- *“I strongly agree that this is our intent but delivering that in an environment of wildly different needs and expectations is a problem for us”.*



### 5.3 AMSA 2016-17 RPF self-assessment validation detailed responses

**Q1:** The evidence and my own experience suggests that the self-assessment results against this KPI is a fair and accurate representation of AMSA’s performance (Survey question: AMSA helps vessel owners and seafarers safely operate or work on a vessel without getting in the way. Self-assessment result 5.17 ‘agree’)

Answered: 8 Skipped: 0



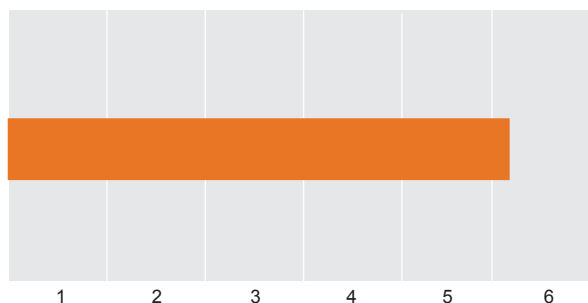
strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	0.00% 0	0.00% 0	0.00% 0	87.50% 7	12.50% 1	0.00% 0	8	5.13

**Comment:**

- “Comment is based on anecdotal information usually in the form of comment from international ship owners; notable decline in adverse comment on regulator approach is favourable”.
- “Fair assessment in my view, notwithstanding the huge challenge in getting DCV operators on board with AMSA administration of the National Law”.

**Q2:** The evidenced and my own experience suggests that the self-assessment results against this KPI is a fair and accurate representation of AMSA’s performance (Survey question: our communications with those we regulate are clear and useful. Self-assessment result 4.67 ‘somewhat agree to agree’)

Answered: 8 Skipped: 0



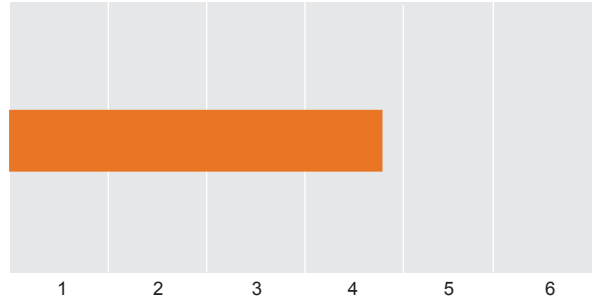
strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	0.00% 0	0.00% 0	12.50% 1	50.00% 4	37.50% 3	0.00% 0	8	5.28

**Comment:**

- “Our two way communication with AMSA continues to be sound”.
- “Comment from industry supports the view that dialogue has become routine rather than often confrontational as in the past”.
- “By my observation, AMSA is under no illusions as to the size and difficulty of the task ahead in engaging their new clientele with full regulatory oversight of DCV’s. Hence the self-assessment result is understandable”.

**Q3:** The evidence and my own experience suggests that the self-assessment results against this KPI is a fair and accurate representation of AMSA’s performance (Survey question: given the risks involved in the industries AMSA regulates, the level of regulation is about right. Self-assessment result 5.17 ‘agree’)

Answered: 8 Skipped: 0



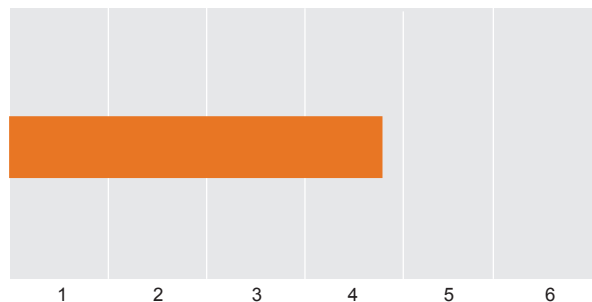
strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	12.50% 1	0.00% 0	12.50% 1	50.00% 4	25.00% 2	0.00% 0	8	4.76

**Comment:**

- *“I am satisfied with the level of regulation applied by AMSA”.*
- *“Those regulated don’t always appreciate that severe consequences can arise from apparently minor causes but recent experience supports AMSA’s approach as at an appropriate level”.*
- *“I believe this is a particularly subjective RPF Survey question - given the regulatory transition underway. That said, the self-assessment conclusions seem reasonable”.*

**Q4:** The evidenced and my own experience suggests that the self-assessment results against this KPI is a fair and accurate representation of AMSA’s performance (Survey question: AMSA’s compliance and monitoring arrangements are well organised and efficient. Self-assessment result 4.67 ‘somewhat disagree to agree’)

Answered: 8 Skipped: 0



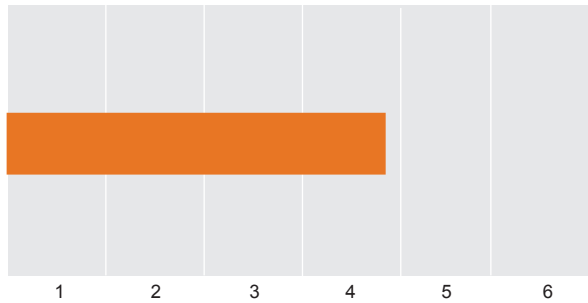
strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	0.00% 0	12.50% 1	12.50% 1	62.50% 5	12.50% 1	0.00% 0	8	4.76

**Comment:**

- *“Turnaround time on queries is favourably short, indicating efficient use of resources”.*
- *“Externally, AMSA present as a well organised, professional unit, albeit with work to do to close the gap in perception of the new DCV stakeholder base. Again a fair self-assessment”.*

**Q5:** The evidenced and my own experience suggests that the self-assessment results against this KPI is a fair and accurate representation of AMSA’s performance (Survey question: AMSA explains its regulatory decisions well. Self-assessment result 5.33 ‘agree’)

Answered: 8 Skipped: 0



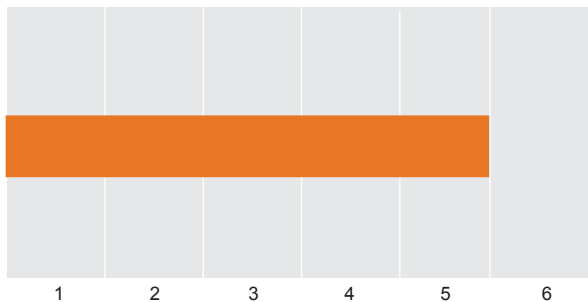
strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
0.00% 0	0.00% 0	0.00% 0	12.50% 1	25.00% 2	37.50% 3	25.00% 2	8	4.76

**Comment:**

- “Without having been on the receiving end of an AMSA regulatory decision it is difficult to answer this question but they appear to do a sound job in communicating”.
- “Dialogue with regulated shippers sometimes over-estimates their understanding of detail in regulation”.
- “It seems to me the industry is seeking more clarity about decisions affecting their business. Notwithstanding best endeavours and intentions, it may be that internally AMSA could be inclined to overestimate the efficiency of their communication with certain sectors. No doubt however, this will improve”.

**Q6:** The evidenced and my own experience suggests that the self-assessment results against this KPI is a fair and accurate representation of AMSA’s performance (Survey question: AMSA is always trying to improve maritime regulations to create a safer and more efficient industry. Self-assessment result 5.67 ‘agree to strongly agree’)

Answered: 8 Skipped: 0



strongly disagree	disagree	somewhat disagree	somewhat agree	agree	strongly agree	n/a	total	weighted average
12.50% 1	0.00% 0	0.00% 0	0.00% 0	37.50% 3	50.00% 4	0.00% 2	8	5.00

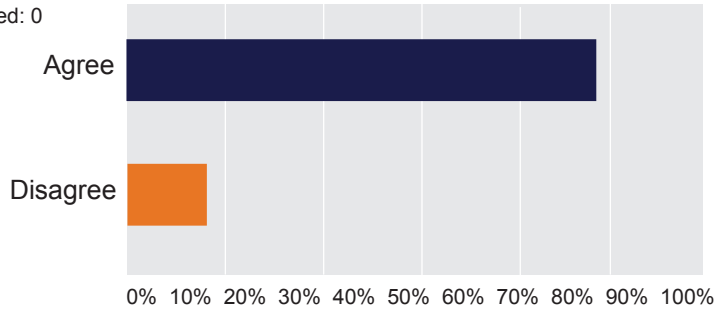
**Comment:**

- “AMSA have shown an interest in different approaches to regulation and a willingness to share their insights and experience to improve safety outcomes”.
- “AMSA’s consultative groups include clear evidence of progressive approach on improvement”.
- “Fair call internally and obvious at Advisory Committee level. AMSA intentions in this regard are to their credit”.

**Opportunity One:** raising stakeholder awareness and visibility of AMSA's decision making processes through better engagement, education and communication.

**Q7:** For Opportunity One AMSA believes it has made 'some' (n=4) to 'significant' (n=2) progress. In your view, this is an accurate and reasonable assessment.

Answered: 8 Skipped: 0



Answer choices	Responses	
Agree	87.50%	7
Disagree	12.50%	1
<b>Total</b>		<b>8</b>

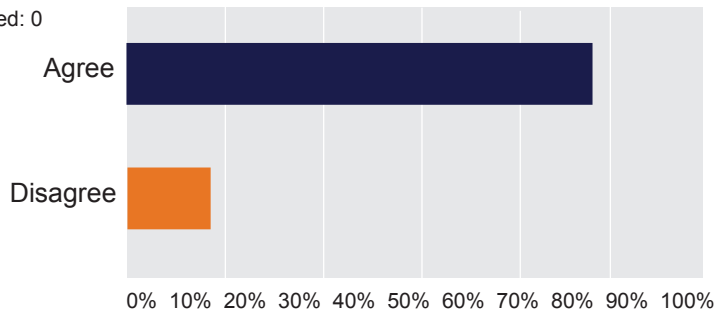
**Comment:**

- “Suggest that the consultative processes could be further streamlined”.
- “Particularly on the engagement and communication front, which is always well received by industry”.

**Opportunity Two:** improving harmonisation and coordination of AMSA resources across all ship types and sectors.

**Q8:** For Opportunity Two AMSA believes it has made 'some' (n=4) to 'significant' (n=4) progress. In your view, this is an accurate and reasonable assessment.

Answered: 8 Skipped: 0



Answer choices	Responses	
Agree	87.50%	7
Disagree	12.50%	1
<b>Total</b>		<b>8</b>

**Comment:**

- “I would favour the “some” end of the scale”.
- “No reason to dispute this finding, however actual progress is perhaps more obvious internally @ AMSA”.

## General Self-Assessment Validation Comments

- “The domestic code need rapid simplification/streamlining without excessive dithering/procrastination”.
- “AMSA does a good job under difficult circumstances. It is critical that the transition to national law completes quickly so that regulated entities can get clearer guidance about what is required to deliver safe work places”.
- “Resource allocation issues would be expected to arise through the transition to National Law structure, but attention to the commercial large ship sector appears to remain at an appropriate level”.
- “The current state of flux in transition to full regulatory oversight of the National Law is less than ideal. However, it is apparent AMSA are taking good strides to engage their new market. It’s all about people and trust and with the right people in the right place, I am sure they will succeed”.



