



CIVIL AVIATION AUTHORITY

Guide to Information

July 2010

In compliance with the Freedom of Information Act 2000, and the related requirements of the Information Commissioner's Office, this document provides a summary of the information which is available from the CAA about its statutory responsibilities, organisation and functions, and advice as to how that information can be obtained.

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Part 1

1 Introduction

The Civil Aviation Authority is the UK's independent aviation regulator with all civil aviation regulatory functions (consumer protection, airspace policy, economic and safety regulation) integrated within a single specialist body. Its mission is to provide best practice regulation and expert advice that are independent and enable civil aviation to best meet the needs of its users and society in a safe and sustainable manner.

The CAA :

- Ensures that UK civil aviation safety standards are set and achieved (Safety Regulation Group)
- Manages the UK's principal travel protection scheme (ATOL), licenses UK airlines and manages consumer issues (Consumer Protection Group)
- Brings civil and military interests together to ensure that the airspace needs of all users are met as equitably as possible (Directorate of Airspace Policy)
- Regulates airlines, airports and National Air Traffic Services' economic activities and encourages a diverse and competitive industry (Economic Regulation Group)

In addition, the CAA advises the Government on aviation issues, represents consumer interests, conducts economic and scientific research, produces statistical data and provides specialist services.

The CAA is a public corporation, and the Government requires that its costs are met from its regulatory charges.

2 List of Subject Areas

The CAA's approach to developing this Guide has been to group information into subject areas which reflect its organisational structure and functions, and to provide a clear description for each group.

Corporate

- About the CAA
- Aviation legislation
- Annual reports and plans
- Governance
- Charges Schemes
- Consultations
- Information rights, making reports and appeals
- Procurement
- Environment
- Information for passengers
- Aircraft register
- Service standards
- News releases
- Jobs and careers

Safety Regulation Group

- SRG safety plan
- Air traffic services
- Aerodrome standards
- Operations
- Airworthiness
- Personnel Licensing
- Medical
- Safety statistics, reviews and research
- Safety management systems
- CAA / HSE MoU

Consumer Protection Group

- Air Travel Organisers Licence (ATOL)
- Airline Licensing
- Air passenger rights

Directorate of Airspace Policy

- Airspace Policy
- Single European Sky
- Instrument flight procedures
- Environmental Information Sheets
- Environmental Research
- Radio licences
- Mode S

Economic Regulation Group

- Economic regulation of airports
- Economic regulation of NATS
- Economic policy
- Aeroplane noise exemptions
- Statistics and surveys

Air Transport Users Council

- General information on AUC
- Advice for air travellers
- Reports and consultation responses

UK Airprox Board

- General information on UKAB
- Reports

Subsidiary organisations

Air Safety Support International
CAA International Limited

3 Obtaining copies of documents

The majority of the CAA's published information is available free from the CAA's website at www.caa.co.uk .

However, if you do not have access to the internet it may be possible to obtain a printed copy of a document. For further information or advice, please contact :

CAA Information Management Department
Aviation House
Gatwick Airport South
West Sussex
RH6 0YR

tel 01293 573725
email infoservices@caa.co.uk

www.caa.co.uk/library

Alternatively, published documents may be obtained, at a charge, from The Stationery Office :

TSO
PO Box 29
Norwich
NR3 1GN

tel 0870 600 5522
email caa@tso.co.uk

www.tsoshop.co.uk

4 Copyright

You may reproduce copies of these publications within your company or organisation or for your own personal use, but if you want to reproduce CAA publications for commercial purposes you will need to apply for permission to do so. For further details contact the Information Management Department.

5 Charges

Material which is published and accessed on a website will be provided free of charge.

Charges may be made for actual disbursements incurred such as:

- photocopying
- postage and packing
- the costs directly incurred as a result of viewing information.

If a charge is to be made, confirmation of the payment due will be given before the information is provided. Payment may be requested prior to the provision of the information.

6 Written Requests

Information held that is not published under this scheme can be requested in writing, when its provision will be considered in accordance with the provisions of the Freedom of Information Act.

Part 2

Corporate information

About the CAA

Organisational information, including structure and contact details.

A website link is provided to the Department for Transport's Sponsorship Statement which sets out the relationship between the Secretary of State for Transport and the CAA, the framework within which the CAA operates, the financial conditions and other guidance relevant to the exercise of its functions.

Aviation legislation

Website links to UK statutes and European regulations related to the CAA's functions.

Annual reports and plans

The CAA publishes an Annual Report and Accounts which reviews the year's activities and includes details of overall financial performance, turnover, operating costs, capital expenditure, and staff costs.

A 5 year Corporate Plan, published annually, identifies the CAA's strategies and the key actions to achieve its objectives.

A CAA Indicators document, published annually, provides statistical summaries of UK fatal accident rates, CAA service levels and costs.

Governance

Information about CAA Board members, minutes of Board Meetings, and the terms of reference of the Policy Committees.

Charges schemes

The CAA is required by UK Parliament to recover its costs from those that it regulates. This group of information contains the current schemes of charges and related guidance material.

Consultations

In line with Government policy on better regulation, the CAA consults on matters that include changes to legislation and the issue of new policy documents. It also carries out and publishes Impact Assessments.

Information rights, making reports and appeals

Guidance is provided on making a request under the Freedom of Information Act (FoIA) or the Environmental Information Regulations (EIR), together with access to a disclosure log.

Contact details are provided for making a report to the CAA, for example of a perceived low flying incident.

Information and guidance is available on the procedures in place to challenge a CAA proposal or decision.

Procurement

Contracts of significant value are normally established by the CAA directly, via the Official Journal of the European Union (OJEU) or through utilisation of the Office of Government Commerce (OGC) framework agreements (www.ogc.gov.uk). Subject to the approach used, either CAA or OGC will place the tender invitation and award of such contracts in the OJEU.

For a copy of the CAA's standard terms and conditions for procurement, and any further information please email procurement@caa.co.uk.

Environment

This group includes details of the CAA's policy objectives regarding environmental matters in respect of airspace, safety, and economic regulation.

Information for passengers

This section of the CAA website groups information of interest to air travellers, including passengers rights, safety, ATOL protection and health considerations. It also incorporates links to other websites with useful information for travellers.

A short on-screen presentation, *The Journey*, highlights the CAA's regulatory involvement with various aspects of an air traveller's journey.

Aircraft Register

The G-INFO database is an extract taken directly from the UK Register of Civil Aircraft of all registered aircraft, and other data sources maintained by the CAA.

Service standards

Codes of practice and service level information are available where appropriate.

News releases

This group of information provides access to the CAA's recent and archived press releases.

Jobs and careers

Contains information relating to employment at the CAA, including current vacancy notices.

Safety Regulation Group (SRG) - sets UK safety standards, publishes requirements and compliance guidance, issues licences, certificates and approvals. SRG also works in partnership with the European Aviation Safety Agency (EASA) which, as the legislative body for the harmonisation of EU standards, has taken regulatory responsibility for some aspects of aviation safety in the UK.

SRG Safety Plan

This document, and its annual updates, identifies major safety issues to be addressed. It illustrates the safety performance of the UK aviation industry, provides an overview of all the SRG safety initiatives, and highlights the safety improvements upon which SRG intends to focus.

Air Traffic Services

The Air Traffic Standards Division oversees the safe provision of civil air traffic services in the UK through the certification, licensing and approval of organisations, personnel, equipment and safety procedures.

Air traffic services requirements

Official Record Series 7 covers the CAA's functions in relation to Air Navigation, Air Traffic Services Licensing and Airspace Policy. Further information on the safety regulatory requirements and guidance material associated with air traffic services is also provided, including a series of documents to raise awareness of safety regulatory matters with air traffic provider organisations.

Aerodrome Standards

Aerodrome licensing

An aerodrome licence is required for airfields where public transport flights take place. Civil Aviation Publication CAP 168 outlines the standards required at UK licensed aerodromes relating to physical characteristics, assessment and treatment of obstacles, visual aids, and rescue and fire fighting services.

Other CAPs and notices set out related requirements and guidance, and provide further information to aerodrome licence holders and operational personnel.

Unlicensed Aerodromes

Civil Aviation Publication CAP 793 provides guidance on safety standards at aerodromes which do not require a CAA licence to operate.

Operations

Publications are available which set out the European and UK rules, regulations and requirements related to flight operations including, for example, the following :

Air Operator Certificate Operations

Any company wishing to operate an aircraft on the UK register for the purpose of public transport must, by law, obtain an Air Operator Certificate (AOC) from the CAA. This section includes legislative and guidance material for applicants.

Also provided is a list of UK Aeroplane, Helicopter and Balloon AOC Holders.

Other types of operation

Regulatory and guidance material, together with relevant application forms, is provided for different types of aviation activity, for example General Aviation (e.g. private flying, aerial work, corporate aviation), flying displays and special events.

Included is a series of documents to notify recreational aviation participants of important changes to safety regulatory procedures or requirements, and to provide advice and incident information to contribute to safer leisure flying.

Master Minimum Equipment Lists (MMELs)

A series of documents relating to equipment serviceability requirements for an aircraft prior to its departure.

Dangerous goods

The carriage of dangerous goods by air (e.g. flammable liquids) requires strict regulation in order to ensure safety. Information is provided for commercial shippers, as well as publicity material directed at passengers.

Airworthiness

This group of information provides details of the European and national requirements set for the issue of Certificates of Airworthiness, Permits to Fly and of the various approvals required to manufacture, operate, modify and maintain a UK registered aircraft, with links to the relevant application forms and to guidance information. Includes, for example, information about :

Mandatory requirements for airworthiness

CAP 747 records the availability of Continued Airworthiness Requirements (European and national), including UK Airworthiness Directives that must be complied with, within a specified timescale, to rectify a risk condition and ensure the continued airworthiness of a UK registered aircraft.

Organisation approval

Application and guidance information for an organisation intending to be approved to conduct work in relation to the continuing airworthiness or maintenance of a UK registered aircraft.

Includes listings of CAA Approved Organisations.

Personnel Licensing

Publications are available which set out the European and UK rules, regulations and requirements, together with guidance material and the relevant applications forms, for flight crew, aircraft maintenance engineer and air traffic services licences, including, for example :

Lasors

The currently published advisory book for pilots, which contains information on flight crew licensing and a compilation of guidance documents containing knowledge and procedures for the single pilot operator.

Medical

Licensing

The CAA's Medical Department implements European and national medical requirements for professional flight crew, private pilots and air traffic controllers. Information and guidance is provided on the required medical standards, together with the related forms and access to a database of Authorised Medical Examiners in the UK.

Aviation Health Unit

Information in this section relates to the health aspects of air travel. It gives access to the latest evidence and reports on current air travel health issues, to advice on other sources of help and to passenger health FAQs. It also includes guidelines for medical professionals on assessing an individual's fitness to fly, and links to other useful websites.

Safety statistics, reviews and research

Mandatory Occurrence Reporting Scheme

Civil Aviation Publication CAP 382 gives details of the CAA Mandatory Occurrence Reporting (MOR) Scheme and provides guidance to those who, by the associated legislation, are involved in its operation. Dis-identified summaries of occurrence reports are available, for which a fee will be charged in accordance with the appropriate CAA Scheme of Charges.

Aviation Safety Reviews

A series of publications relating to reviews of aircraft accidents.

Follow-up Action on Occurrence Reports (FACTORs)

Documents which set out responses to recommendations made by the Air Accident Investigation Branch (AAIB) of the Department for Transport in its reports on aircraft accidents or major incidents.

Research

A series of documents which report on aviation safety research projects which have been sponsored by the CAA, and including a list of current projects.

Safety Management Systems

Information on the implementation of safety management systems, including links to the related international requirements.

CAA SRG / Health and Safety Executive Memorandum of Understanding

Because both organisations have safety related roles within the aviation industry, and to avoid the duplication of regulatory effort, the Memoranda of Understanding sets out the framework to ensure coordination of policy issues, enforcement activity and investigation in respect of aircraft operations.

Consumer Protection Group (CPG) - regulates air travel organisers and provides consumer protection. It also implements European and UK legislation on the licensing of airlines, and other consumer measures on behalf of the Government.

Air Travel Organisers Licence (ATOL)

The majority of tour operators and travel firms selling air holiday packages and flights in the UK are required by law to hold an Air Travel Organiser's Licence (ATOL). In the event of a company failure, this scheme provides financial protection for consumers.

ATOL Consumer information

Information to assist consumer understanding of the scheme, including FAQs and a database of ATOL Holders. Details of recent company failures and guidance on how to make a claim under the scheme.

ATOL Trade information

How to apply for and maintain an ATOL, including guidance on the regulations and the relevant application form.

Airline Licensing

In order to carry passengers, cargo or mail for payment, air operators must hold an Operating Licence. To qualify for an Operating Licence, an operator must meet a number of requirements, including those in respect of its safety and insurance. For operators of larger aircraft with 20 or more seats, there are also financial criteria to be met.

Guidance on licensing

Guidance for licence applicants, includes Official Record Series 1 *Licensing Airlines in the UK – framework and criteria for Operating Licences, Route Licences and Air Transport Licences*. Official Record Series 2 *Licensing Notices*, published on the website every week, contains details of recent licence applications and decisions made by the CAA.

Licence holders

A list of all companies currently holding Type A Operating Licences, Type B Operating Licences and Air Transport Licences.

Air passenger rights

This area of the CAA's website provides guidance on consumer issues, and includes links to other organisations which handle travellers' complaints.

Rights for disabled and reduced mobility air passengers

Advice and guidance, incorporating a link to the European legislation and to the Equality and Human Rights Commission website.

Denied boarding, cancellation and delay : passenger rights

Details of the European legislation which requires airlines to provide assistance and possibly compensation in cases of cancellation, denied boarding and long delay.

Directorate of Airspace Policy (DAP) - responsible for the planning and regulation of all UK airspace, including the navigation and communications infrastructure to support safe and efficient operations.

Airspace Policy

The Airspace Change Process describes the procedure and responsibilities established to ensure that proposed changes to the dimensions, classification or use of UK airspace are initiated, considered, refined, approved and implemented in a safe and controlled manner.

Single European Sky

Information related to the CAA's involvement in the European initiative for a Single European Sky, and links to a number of related websites.

Instrument Flight Procedures

DAP has responsibility for the design of the Instrument Flight Procedures which are published in the UK Aeronautical Information Publication (UK Air Pilot). Information is provided here on the application process for aerodrome licensees requiring changes to existing Instrument Flight Procedures, or a new procedure.

The Aeronautical Information Service website is at www.ais.org.uk.

Environmental Information Sheets

DAP provides a focal point for receiving and responding to aviation environmental concerns, including aircraft noise complaints, from the general public. These information sheets aim to address many frequently asked questions.

Environmental Research

The Environmental Research and Consultancy Department conducts research and provides technical support regarding the environmental impacts of aviation.

This section incorporates FAQs and links to the websites of various organisations involved with aviation environmental issues, including the European Commission's framework for environmental noise policy.

Noise research

Currently published research reports and documents relating to the modelling of noise levels (noise contours), on the effects of noise generated by civil aviation activities, and on noise monitoring arrangements for certain UK airports.

Aircraft emissions and climate change

Information which summarises the current concerns over the environmental impacts arising from pollutants emitted by aircraft engine exhausts.

Radio licences

The Wireless Telegraphy Act Radio Licensing section of the CAA has been appointed by the Office of Communications (Ofcom) as its agent to distribute Wireless Telegraphy Act aeronautical radio licences.

This section incorporates application forms, FAQs and links to related websites including Ofcom.

Mode S

Information regarding the proposal for an incremental expansion of the use of secondary surveillance radar transponders in UK airspace is available here, together with background material and links to the relevant European websites.

Economic Regulation Group (ERG) - regulates designated airports, en route air traffic services and certain airline matters. It also provides advice to Government on aviation policy, and publishes statistical information on airlines and airports.

Economic regulation of airports

Information is provided on the economic regulation of airports in the UK, including information on the periodic price reviews of BAA's London airports, and on the CAA's powers in connection with access to the groundhandling market.

Economic regulation of NATS

Currently published material relating to the on-going monitoring and enforcement of the licence to provide en route air traffic control services held by NATS (En Route) plc. Includes information related to the price control mechanisms.

Economic policy

ERG provides policy analysis and advice to the UK Government on liberalisation and competition issues. This includes contributing to the development of European Union aviation agreements, to negotiations on bilateral air services agreements, and conducting economic studies.

This section includes the CAA Statement of Policies on Route and Air Transport Licensing, together with recent CAA publications on key policy issues.

Aeroplane noise exemptions

Under the Aeroplane Noise Regulations 1999, the CAA may grant specific temporary exemptions allowing aircraft that do not meet current noise legislation to operate to/from UK airports. Currently published material relating to these exemptions is available.

Statistics and surveys

Currently published statistics relating to the punctuality of passenger services at ten UK airports, aviation traffic into and out of the UK, and worldwide activity of UK air carriers.

Results of CAA surveys to obtain information about air travellers and the determinants of the travel market.

Air Transport Users Council (AUC) - the UK's consumer council for air travellers, which receives its funding from the CAA, as an auxiliary group within the CAA corporate structure.

General information on AUC

Information on the organisational arrangements and operation of the AUC, including its Terms of Reference.

Advice for air travellers

Advice and guidance covering a variety of topics and issues, and including links to other useful websites.

Reports and consultation responses

Access to reports and statistics, and to AUC responses to aviation consultations.

United Kingdom Airprox Board (UKAB) - sponsored jointly by the CAA and the Ministry of Defence. It is tasked with making an independent assessment of the causes and risk levels of all air proximity incidents reported within UK airspace by pilots or air traffic controllers.

General information on UKAB

Information on the organisational arrangements and operations of UKAB, including the reporting, investigation and assessment of airprox events.

Reports

Access is provided to airprox reports, statistics and safety recommendations.

Subsidiary Organisations

Air Safety Support International Limited (ASSI)

ASSI is a subsidiary company of the CAA, set up and funded by the Department for Transport, to help regulate the safety of civil aviation in the UK's overseas territories.

www.airsafety.aero

CAA International Limited (CI)

CI is a subsidiary company of the CAA providing consultancy and training services to industry and government in the UK and overseas. Entirely self-funded, its aim is to assist its clients to enhance worldwide aviation safety.

www.caainternational.com