UK Civil Aviation Authority

Complaints Policy

This policy outlines the approach taken by the Civil Aviation Authority (CAA) to provide a framework to ensure consistency in handling and resolving customer complaints.

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Introduction

The CAA is committed to providing a high standard of service to everyone we deal with. For this reason, we welcome any comments about our service, including when we get things wrong. We will listen to complaints, treat them seriously, respond to them swiftly and learn from them so we can improve our services.

The CAA aims to provide a good quality service to all our customers. When we fail to meet these standards and commitments, we will:

- apologise,
- take action to put this right as quickly as possible,
- use your feedback to change and improve the way we deliver our services.

Purpose

The purpose of this policy is to ensure that there is a consistent and fair approach to responding to customer complaints which aims to resolve the issue at the earliest opportunity and is in line with the UK Central Government Complaint standards.

Any reference to ‘we’, ‘our’, ‘us’ or ‘the CAA’ refers to the Civil Aviation Authority. When we use ‘you’ and ‘your’ we mean our customers.

What is a complaint?

A complaint is defined as:

An expression of dissatisfaction, however made, about the standard of service, actions, or lack of action by us, affecting an individual or group of customers / stakeholders.

A communication received by the CAA which raises an expression of dissatisfaction, however made, affecting an individual or group of customers / stakeholders will be reviewed and dealt with under this policy unless one of the Exceptions applies. This policy covers complaints about:

- the standard of service we provide
- the behaviour of our staff
- any action or lack of action by our staff
- any unfair treatment of stakeholders by members of our staff (except where it is considered that another process or a referral to the CAA's Office of the General Counsel is more appropriate).
- how we have dealt with you or handled your inquiry including the methods we have chosen to do so

Where a colleague is specifically the subject of a complaint, they will be made aware of the issue as soon as possible and will be given details on how to get advice and support throughout the process.

Any communication which is not identified above will be treated as an Exceptions.

Exceptions

This policy and the CAA complaints process does not cover the following exceptions:

- communications concerning matters where legal action is contemplated or has already commenced against the CAA, any of its subsidiaries or the Air Travel Trust. In such circumstances, the communication will be forwarded to the CAA's Office of the General Counsel.
- Complaints and requests about access to information under the Freedom of Information Act 2000, the Environmental Information Regulations 2004 or the Data Protection Act 1988-2018, where there are separate appeals processes.
- Decisions in respect of licenses, authorisations, permissions or approvals. Instead, you will be directed to one of the available, relevant review procedures set out in legislation, including but not limited to; Regulation 6 of the Civil Aviation Authority Regulations 1991 and Part 5 of the Civil Aviation (Air Travel Organisers' Licensing) Regulations 2012, as amended or the CAA's Safety Decision Internal Review process.
- Regulatory and policy decisions made by the CAA in accordance with its statutory functions including the process we have followed to reach them.
- Outcomes or decisions we have taken in respect of whistle-blowing reports, to ensure the integrity and independence of the process. Once an investigation is concluded, the findings are final, and no further appeals or grievances will be considered due to the limitations of sharing information about those we regulate.
- Complaints about the behaviour or actions of third parties or bodies we regulate.
- CAA consultations or regulatory proposals whether on-going or complete.
- Decisions made about, or outcomes of, consumer complaints.
- Complaints that are considered to be vexatious or attempt to raise the same or materially similar issues to those already dealt with by the CAA through separate correspondence.

This list is not exhaustive.

Complaints and other procedures

We make sure our colleagues are properly trained to identify when it may not be possible to achieve a relevant outcome through the complaints process. When this happens, we will inform you and provide appropriate information about any other process that may help to address the issues.

This can happen at any stage in the complaint handling process and may include identifying issues that could or should:

- trigger disciplinary procedures
- trigger a police investigation
- involve an investigation or subject to enforcement action
- involve a referral to tribunal or court of law
- trigger a relevant regulatory process
- involve a relevant legal issue that requires specialist advice or guidance
- involve decisions where an appeals process is available

When another process may be better suited to address an issue, we will provide clear information of the options available. We will make sure you understand why this is relevant, and, if available and appropriate, we will signpost you to relevant sources of specialist independent advice.

If you are already taking part or choose to take part in another process but wish to continue with your complaint as well, this will not affect the investigation and response to the complaint. The only exceptions to this are if:

- you request or agree to a delay
- there is a formal request for a pause in the complaints process from the police, our enforcement team, our Office of General Counsel or a court.

In such cases the complaint investigation will be put on hold until the other processes conclude.

If we consider that a colleague should be subject to remedial or disciplinary procedures, we will take the appropriate action but may not be able to share this information with you as we need to comply with data protection legislation.

Making a complaints

Before making a complaint, customers are encouraged to get in touch with the relevant business area to let them know about their concern. It may be the issue can be resolved quickly without using the Complaints Policy.

Once a complaint is raised any communication with the business area should cease whilst investigations are undertaken to allow the team the time to carry out a full review, avoid confusion and duplication of work.

Complaints can be made in writing by email, letter, or via our online form. If you need any support or assistance in making a complaint then please let us know so that we can support you, or if you prefer, we can provide you with the details of other organisations that can help. We will make all reasonable adjustments to the complaints process to ensure that you are not disadvantaged in making your complaint.

If your complaint related to a decision or proposal of a licence, an authorisation, a permission or approval, and concerns an individual (not a company) you will be directed to our Safety Decision Internal Review (SDIR) process. This process is not an alternative to, nor a replacement for a request for a Regulation 6 review. The Regulation 6 review option may be available to you immediately (or can be selected after completion of a Safety Decision Internal Review process should you remain dissatisfied). If your complaint relates to a decision in respect of a licence, an authorisation, a permission or approval, and concerns a company, you will be directed to the Regulation 6 review process. Further information can be found at - Regulation 6 | UK Civil Aviation Authority.

If a complaint is raised via social media, we will reply directing you to our complaint's procedure, asking you to message us through that route so that we can log your complaint formally. We will not comment beyond this to ensure that confidentiality and privacy is maintained. Please note our Corporate Communications Team cannot assist with formal complaints.

If you raise a complaint directly with our CEO or Chair, this will be re-directed to our External Information Services team and will be dealt with in line with the process that we have set out below. Our CEO and / or Chair will be kept informed throughout.

Confidentiality will be observed where appropriate, and we will carefully consider any requests for a complaint to be handled confidentially. In deciding how to proceed we would consider the nature of the complaint made, whether it would be possible to investigate it fully on a confidential basis, and any protective measures that could be put in place. Our central complaints handling team are fully trained in matters such as the protection of personal data.

A complaint can be expressed from any person who has used the CAA services or a representative of any people, such as a relative, who is authorised by the complainant to make a complaint on their behalf. However, this does not include a person that you have appointed in a legal capacity unless they have been appointed due to your incapacity or disability (for example, they have a Power of Attorney).

If you raise a complaint with the CAA, your ability to corresponded with us on regulatory matters will not be impaired.

Complaints should be made within a reasonable timeframe. We will not normally accept a complaint about a matter which occurred over 3 months ago, however there may be exceptions, and each case will be assessed accordingly. If the problem is a recurring issue, we will consider any older reports as background to the complaint.

Complaint handling standards

Our standards for handling complaints:

- A complaint can be expressed in writing via email, our online form, or letter
- We will make all reasonable adjustments to the complaints process to ensure that you are not disadvantaged in making your complaint
- We will treat all complaints seriously
- We will treat you fairly and courteously
- We will deal with your complaint promptly
- We will acknowledge initial receipt of a complaint within 5 working days of receipt
- We will send you a full reply within 20 working days of receipt of the complaint unless you are notified otherwise and reasons behind our delay will be explained.
- All complaints will be logged so that we can monitor the types of complaints received and the time taken to respond to them, and identify the best way of dealing with them
- We will use our complaints as an opportunity to learn from your experiences to develop and improve our services.
- We will publish information in our annual report and provide regular reports to our Executive Team & Board on our complaint handling performance.
- We will handle your personal information in accordance with the requirements of the UK General Data Protection Regulation and Data Protection Act 2018.

We reserve the right to reject with reasons complaints that are considered to be vexatious or attempt to raise the same or materially similar issues to those already dealt with by the CAA through separate correspondence.

We reserve the right to reject with reasons complaints that are considered to be outside the scope of the roles and functions of the CAA.

If we decide not to accept a complaint, an explanation will be provided setting out the reason why the matter is not suitable for our complaints process. If you are unhappy with this decision, you may approach the Public Service Ombudsman via your MP.

Issues that are not covered by this complaints policy may not follow these standards entirely and details of different handling standards are provided in the Exceptions section.

Complaint Process

The CAA has a two-stage procedure that is designed to support the effective management of complaints. Where possible and appropriate, the CAA seeks to remedy or deal with complaints informally before they reach the stage of a formal complaint.

Informal complaints – Service dissatisfactions

We encourage any customers who have a concern or suggestion about a particular service to contact us straight away. We will try to resolve the matter there and then, or, if we believe the issue can be resolved with just a few straightforward actions, we will propose that the issue is dealt with informally. We will seek to agree this with you, but if you want to you can proceed straight to a formal complaint.

An informal complaint will normally be dealt with by the person who receives the report unless it falls outside of their remit. We will ask you to explain why you are unhappy, the outcome you are seeking and how best to contact you. We will confirm with you what actions we will be taking and when you can expect to hear from us again.

If you are unhappy with the outcome of the actions taken, you can ask for the matter to be considered at Stage 1 of our formal complaints process.

Stage one complaints

Upon receiving a stage 1 complaints our External Information Services team, who manage our complaint handling service, will aim to acknowledge your complaint within 5 working days of receipt.

Your complaint will be logged onto a complaint database, and you will be provided with a case reference number, which should be quoted in all future correspondence relating to the complaint.

All complaints are allocated to the relevant business complaint handler who will review, make a decision about your case, and provide our External Information Services team with a response. On occasions, depending on the nature of the complaint, the business area manager may respond directly.

The complaint handler may request a telephone call, face-to-face or teams meeting to assist in their review of your complaint.

Our aim is to provide you with a response within 20 working days. If this is not possible, we will notify you as soon as possible, explain why and provide a revised timescale as to when you can expect a full response.

We recognise that complaints can be resolved in several different ways and as part of our response to your complaint we will offer a remedy that reflects the extent of any service failure(s) and the level of detriment this may have caused, considering all the circumstances. This may include acknowledging where things have gone wrong, providing an explanation, apologising, taking action to correct the issue, offering refunds of monies paid to the CAA, and using the feedback to inform improvements or changes to our services.

If there are further actions that we need to take as part of the remedy to your complaint we will inform you of these within the formal response. The complaint investigation case will be closed but the proposed remedies will be monitored as part of a live action plan. We will contact you if we run into any difficulties and confirm when all actions have been completed.

Escalating your complaint

If you are unhappy with the response provided you can email Complaints (complaints@caa.co.uk) to express your concerns so that we can either explore if there is anything further that can be done, or you can request for your complaint to be escalated to Stage 2.

When requesting for your complaint to be escalated we will require you to set out in writing the reasons why you are unhappy with our response and the outcome that you are seeking.

If you want to escalate your complaint you need to let us know within 28 working days of receiving our Stage 1 response. If you do not let us know within this timeframe, then we will not normally re-open your complaint unless there are exceptional circumstances.

There may be occasions when it would not be appropriate to escalate the case to Stage 2, for example if the outcome being sought was not within our power or ability to deliver. In cases such as these we will either do a light touch review of your stage 1 complaint with the relevant business area and provide an additional response, or we will write to you and explain why the complaint will not be escalated and what options are available to you.

Stage two complaints

All stage two complaints will be reviewed by a manager of the relevant department or team.

The reviewing manager will be provided with the complaint file and any other relevant information to assist them in their review.

The reviewing manager may request a telephone call, face-to-face or teams meeting to assist in their review of your complaint.

Our aim is to provide you with a response within 20 working days of you having requested escalation of the complaint. If this is not possible, we will notify you as soon as possible, explain why and provide a revised timescale as to when you can expect a full response.

If you remain dissatisfied

The outcome letter that is sent to you following the conclusion of Stage two will be the CAA's final response to your complaint.

If you remain dissatisfied, you can contact our Communications Specialist (Corporate Complaints and Reviews) by emailing complaints@caa.co.uk requesting for your complaint to be referred to the Independent Complaint Assessor (ICA). You must have completed all CAA's internal complaints stages.

Our aim is to provide the ICA with your complaint file within 15 working days of you having requested escalation of your complaint. Once the ICA have decided how to best deal with your case, they will contact you directly.

The ICA aim to review a case within three months and will contact you if they require more time. Once their review is completed the ICA will contact you directly with their findings and any recommendations, they consider appropriate to you and us.

If, following the ICA review, you are unhappy with how they have handled your complaint, you can ask your Member of Parliament (MP) to refer it to the Public Service Ombudsman.

The Ombudsman is independent of government departments and free to use. They will carefully review your complaint to understand the concerns and assess whether it meets the criteria for investigation.

There is a time limit for asking your MP to refer your complaint, so you should do this as soon as possible. You need to get your complaint to your MP within 12 months of when you became aware of the issue.

To find out more about the Ombudsman's service, visit www.ombudsman.org.uk or call 0345 015 4033.

You can write to your MP at:

House of Commons

Westminster

London SW1a 0AA

Complaints from a group or a petition

If we receive a complaint as a petition or from a group of customers / stakeholders, then this would be dealt with in line with the process that we have set out above. We will request that you nominate a lead person who is the main point of contact, and all our correspondence will be with them.

Anonymous complaints

A judgement will be made on a case-by-case basis as to whether to investigate an anonymous complaint. Normally anonymous complaints will not be investigated. When an anonymous complaint is made it will obviously not be possible for a response to be provided.

Complaints relating to a safety decision

If your complaint relates to a formal challenge to the decisions or proposal made relating to safety decisions in respect of licences, authorisations, permissions or approvals, there are a couple of options available, which are a CAA Safety Decision Internal Review or a Regulation 6 review.

Please note:

(1) You must apply for either within 14 days of the date of the decision or proposal.

(2) You do not need to request or complete a CAA Safety Decision Internal Review prior to requesting a Regulation 6 review.

The CAA Safety Decision Internal Review process is the opportunity for the decision to be reviewed by a CAA Official who has not been involved in the original decision-making process. By comparison the Regulation 6 review process is an opportunity to have the decision taken or proposed to be taken reviewed or made by a CAA Board Member. While a CAA Safety Decision Internal Review may resolve your issue, the time taken to complete the CAA Safety Decision Internal Review will delay the commencement of any Regulation 6 review process. If these choices and the difference between them are not clear, please let us know by emailing safetydecisioninternalreview@caa.co.uk.

Making a request for a CAA Safety Decision Internal Review

All CAA Safety Decision Internal Review requests will be managed by our External Information Services team and should be made via the internal review online form - Request for a CAA Safety Decision Internal Review.

Your request must relate to a notification from a CAA official that the CAA has:

- decided to refuse to issue;
- decided to provisionally suspend; or
- proposed to vary, suspend, or revoke

any licences, authorisations, permissions or approvals made in respect of an individual (i.e., not a company).

You should check the following criteria prior to submission.

- Flight crew licensing (including licensing action as a result of an airspace infringement, as well as licensing decisions taken by entities, we delegate authority to)
- Aircraft maintenance engineers
- Air traffic controllers
- Rating and endorsements for instructors and examiners
- Aeromedical examiners
- RPAS Operational Authorisation, Operator IDs and Flyer IDs
- RPAS approvals or appointments as a Recognised Assessment Entity

The following **will not** be in scope:

- Safety decisions in respect of licences, authorisations, permissions or approvals made more than 14 days previously
- Safety decision in respect of licences, authorisations, permissions or approvals in respect of a company
- Medical fitness decisions (which should be requested through the medical review process)
- A complaint about a service or member of staff, this should follow the CAA complaints process that we have set out above.
- Judgement on level and / or amount of education or retraining relating to airspace infringements.
- An unregulated person or organisation.
- Decisions made about an outcome of service complaints, consumer complaints or complaints relating to third parties.
- Decisions relating to requests for information made under the Freedom of Information Act, Environmental information Regulations or the Data Protection Act.
- A decision that is currently being considered under Regulation 6 of the Civil Aviation Regulation 1991.
- A matter that is under investigation or subject to enforcement action by the CAA.

How we will process requests

Upon receipt of a completed CAA Safety Decision Internal Review online form the CAA will confirm receipt and if your request is eligible. If your request is not eligible, we will explain why.

Once your eligibility is confirmed by the CAA you may be asked to provide supporting documentation or asked to speak with the CAA official conducting the review, at any stage in the process.

The CAA Safety Decision Internal Review will be undertaken by one or more appropriate CAA officials, who have had no previous involvement in the decision-making process.

Process Review

Initially the CAA Safety Decision Internal Review will consider only whether in reaching the relevant decision or proposal the correct process has been followed. If this review finds that the correct process was followed, you will be advised of that conclusion in writing within four weeks. In cases where that will not be possible, we will notify you as soon as possible, explain why and provide a revised timescale.

If the CAA Safety Decision Internal Review concludes the correct process has been followed that will be the end of the CAA Safety Decision Internal Review process.

If the CAA Safety Decision Internal Review finds that the correct process was not followed another CAA official will be appointed to conduct a merits review of the decision or proposal which you have requested be reviewed.

Merits Review

If after completing the merits review we conclude the correct decision or proposal was reached by the original decision maker we will inform you of that conclusion within 8 weeks, and that will be the end of the CAA Safety Decision Internal Review process. If more time is required for the merits review we will notify you, explain why and provide a revised timescale.

If the merits review reaches a different decision, we will:

- Explain why a different conclusion has been reached
- Make the necessary changes and provide a revised decision or proposal

If you remain dissatisfied

You may be able to request a Regulation 6 review. Please note: You must make that request within 14 days of the end of the CAA Safety Decision internal Review.

Making a request for a Regulation 6 review

You can challenge a decision or proposal relating to safety decisions in respect of licences, authorisation, permissions or approvals through a Regulation 6 review within 14

days of the date of the decision or proposal (or within 14 days of the end of the CAA Safety Decision Internal Review process if applicable). Instructions on how to request a Regulation 6 review may be included in the correspondence received or you can find details on our website here.

If you decide to follow the CAA Safety Decision Internal Review process first and following the conclusion of the CAA Safety Decision Internal Review you do not agree with the outcome, you can request a review under Regulation 6 of the Civil Aviation Authority Regulation 1991. You must do so within 14 days after you were sent the final outcome of the CAA Safety Decision Internal Review process.

Complaints relating ATOL claims

If you have an ATOL claim, due to the unique nature of the failure of an ATOL (Air Travel Organiser's Licence) holder, there is a separate policy and procedure should you wish to make a claim. Details on how to make an ATOL claim can be found here.

Any complaints relating to CAA staff, processes, and services are dealt with in line with the CAA complaints process as set out above.

Complaints covered under ATOL, which may be in respect of repatriation to the UK or the process of claiming a refund, include:

- The standard of service provided following the failure of the ATOL holder
- The administration of ATOL operations and processes followed following the failure of the ATOL holder
- The behaviour of staff

There are some exceptions that cannot be covered by this policy, and these include:

- Matters that have already been fully investigated through this complaint's procedure
- Appeals against decisions made
- Complaints about the behaviour or actions of a third party, this includes travel service providers such as ATOL holders, travel agents, airlines, and hotels.

Complaints relating to Noise

The CAA has no authority over aircraft noise as currently not a statuary nuisance. It is not covered by the Environmental Protection Act 1990 or the Noise Act 1996.

All aircraft noise complaints should be directed to the airport concerned directly, as they have a duty to investigate and respond. Often, unusually loud noise can be a result of a

flight not operating as planned: the airport may be able to tell you if that was the case, and why.

Decisions around when an airport is allowed to be open for flights, whether aircraft can operate at night, and how many aircraft are allowed to fly on any given day are often set out as part of the planning process approving the airport's construction or expansion. In most cases, this process is run by the local authority where the airport is located. They may be able to provide more information about the conditions imposed on it.

Government policy on the control of aircraft noise is the responsibility of the Department for Transport (DfT).

Military aircraft are covered by different rules and if you wish to complaint about military aircraft noise you will need to contact the Ministry of Defence (MOD).

If your complaint relates to CAA staff, processes and services following a complaint about airport noise, then this would be dealt with in line with the CAA complaints process as set out above.

Complaints relating to an airline or airport

Airlines and airports have their own complaints policies and procedures; therefore, you should take your complaint directly to the airline or airport concerned.

If you have already approached the airline or airport and are dissatisfied with their response you can refer your complaint to:

- An Alternative dispute resolution | Civil Aviation Authority (caa.co.uk) (ADR) body
- The CAA's Passenger Advice and Complaints Team (PACT) if the airline or airport do not have an agreement with an ADR
- Or take legal action

Making a complaint

Complaints can be made by:

- phone – 0330 022 1961
- email – passenger.complaints@caa.co.uk,
- letter – Passenger Advice & Complaints Team, Aviation House, Beehive Ring Road, Crawley, West Sussex, RH6 OYR or
- Online form

We will only deal with complaints relating to:

- UK261 – Delayed and cancelled flights, downgrade and denied boarding

- UK1107 – Assistance for disabled and reduced mobility passengers
- The Montreal Convention – cases of lost, delayed, or damaged baggage

To help us deal with your complaint efficiently it is important to set out clearly your concern, provide as much information as possible, this includes:

- Copies of letters or emails to the airline / airport
- Copies of letters or emails the airline / airport sent you
- Details of your flight (flight number, date, time, route, airline reference, number of passengers on the booking)
- For expense claims, copies of receipts

For baggage claims specifically:

- Proof of address
- Copy of your Property Irregularity Report (if you have one).
- **If your bag was delayed:** a list of the first need, essential items that you purchased while without your delayed baggage, along with associated dated and itemised receipts (if your banking details are visible, please ensure they are redacted).
- **If your bag was lost:** a list of the lost items with associated dated and itemised receipts (if your banking details are visible, please ensure they are redacted). If you no longer hold receipts for these items, please provide information relating to the manufacturers name, product name, product cost, age of the item and further product information from the website of the manufacturer.
- **If your baggage was damaged:** a list of the damaged items with photos of the damage, as well as associated dated and itemised receipts (if your banking details are visible, please ensure they are redacted). If you no longer hold receipts for these items, please provide information relating to the manufacturers name, product name, product cost and further product information from the website of the manufacturer. If you prefer the item to be repaired, we will require a copy of the repair invoice/estimate.

Our decision will be based on the information and evidence provided by both parties. It is therefore vitally important to your claim that you provide full and accurate details. Failure to do this may jeopardise your complaint. We are unable to accept any additional evidence once the team has concluded your claim and will not reopen claims once closed.

Airline and Airport complaint process

Your complaint will be considered if your airline or airport has not responded within 8 weeks of you making the complaint to them directly.

We will assess your correspondence within one week of receiving it to ensure that we have all the required supporting documents and that it is within our scope.

If it is agreed that you have a valid complaint, we will take it up with the airline or airport concerned, but please note we do not have any legal powers to impose a solution. They have four weeks to investigate and respond to us. These timescales may vary depending on the complexity of the matter or if we challenge for further information. This should not exceed a further two weeks.

Once we have received all the information required from the airline or airport, we will aim to provide our final assessment of the situation to you within five weeks.

If you remain dissatisfied

If you are dissatisfied with the opinion the CAA has provided you can take legal action against the airline or airport, but you cannot appeal against the CAA's decision.

If your complaint relates to CAA staff, processes and services following a complaint about an airport or airline, then this would be dealt with in line with the CAA complaints process as set out above.

Complaints relating to health matters

The CAA Aviation Health Unit is an advisory service intended to provide medical guidance on health issues related to or affected by flying. It has no enforcement function, but the team may be able to signpost you to further resources to assist you with any complaints related to health matters and travelling.

They can be contacted as follows:

- Email: AHU@caa.co.uk
- Post: Aviation Health Unit, Aviation House, Beehive Ring Road, Crawley, West Sussex, RH6 OYR

If your complaint relates to CAA staff, processes and services following a complaint about an airport or airline on a health matter, then this would be dealt with in line with the CAA complaints process as set out above.

Unreasonable persistent complainants

If we feel a complainants behaviour becomes unacceptable, unreasonable, or persistent, we may choose not to deal with subsequent complaints in accordance with our Unacceptable and Unreasonable Behaviour policy.

The Ombudsman defines unreasonably persistent complainants as: “those who, because of the frequency or nature of their contact with the authority, hinder the authority’s consideration of their or other people’s complaints.”

Continuous learning, improvements, monitoring, and reporting

We recognise the valuable feedback that a complaint can provide, and we have mechanisms in place to ensure that we capture this when we conclude a complaint.

To assist our approach to service improvements, we may, where appropriate contact individuals who have made complaints to seek their views on their experience of the process.

We record and monitor all complaints that we receive, and this information is reviewed by relevant Committees, Managers and staff across the CAA and is used to identify areas where we can improve our services.

Using root cause analysis tools, organisational learning and changes to policy and services resulting from complaints will be captured and shared with our Senior Managers, Board, Committees, staff, and customers.

The CAA will use a variety of ways to report and review compliance with the policy. These will include:

- an annual Complaints Report
- information shared via the organisation’s broader annual report and accounts
- regular reviews of the quality of data entry on the complaints management system
- all partially or fully upheld Ombudsman investigations into complaints originally managed by the CAA will be reported on a regular basis to Senior Managers
- Audit Committee reviews
- monthly quality assurance reviews based on agreed criteria to measure our complaint handling and performance.

The effectiveness of the policy will be reviewed in the light of performance against response timeframes; numbers resolved and escalated complaints as well as implementation of lessons learned.

Regular reports will be provided monthly, six monthly & annually to the Senior Management team and Board. The report will provide information about the number of complaints; the services involved; the reasons for complaints; remedial actions; and any ongoing trends.

Information concerning our performance is also available to our customers and this can be viewed in our Annual Report or on our website.

Equality and Diversity

Equality is at the heart of everything the CAA does, and our aim is to treat people fairly, with respect and dignity regardless of the following protected characteristics:

- Age
- Disability
- Gender
- Pregnancy and maternity
- Marriage and civil partnership
- Gender reassignment
- Race
- Religion or belief, and
- Sexual orientation.

The Equality Act 2010 places a duty on the CAA to have due regard to the need to:

a) Eliminate discrimination, harassment, victimisation, and any other conduct prohibited by the Act.

b) Advance equality of opportunity between people who share a protected characteristic and those who do not share them.

c) Foster good relations between persons who share a protected characteristic and those persons who do not share them.

An Equality Impact Screening has been carried out as part of the development of this policy. We aspire to embed diversity and inclusion within all our business activities to enable these principles to become part of our everyday processes.

We will make reasonable adjustments to our complaints process where appropriate, ensuring that customers with a specific need are not at a disadvantage when accessing the service. Examples of the reasonable adjustments we may make include using a customer's communication preference for the duration of the complaint and providing information in alternative formats e.g., Braille, large print or on coloured paper. More information is available in our Reasonable Adjustments Policy.

Your personal information

When you make a complaint to the CAA, your personal information will be used by us, and where appropriate by the Department for Transport, their appointed Independent Complaints Assessors, and other organisations we work with for the purposes of handling your complaint, producing anonymised statistical information, and seeking to improve services through lessons learnt.

Related Documents

- Complaints procedure
- CAA Safety Decision Internal Review Policy
- CAA Safety Decision Internal Review Procedure
- PACT complaints Procedure
- Reasonable Adjustments Policy
- Regulation 6 guidance
- UK Central Government Complaint standards
- Unacceptable and Unreasonable Behaviour Policy