

CAA Corporate Governance Statement

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Introduction

Purpose of the Governance Statement

This governance statement is intended to summarise how the CAA is structured, how the Board and Executive Committee (ExCo) operate and how risks are identified and managed. The document provides links to other relevant governance resources and serves as a single starting point for anyone wishing to navigate the CAA and understand how it works. If you have any questions about the governance of the CAA, please send them to CorporateStandards@caa.co.uk

The governance statement reflects the position at the date of publication and is subject to periodic review. Updates will be made to ensure consistency with the organisation's duties and structures, and to the [DfT/CAA Framework Document](#).

Chapter 1

Status and Functions of the CAA

Background

- 1.1 The Civil Aviation Authority (CAA) was first established in 1972 as the UK's specialist aviation and aerospace regulator. The CAA is a statutory corporation.
- 1.2 The CAA's principal functions and duties are set out in primary legislation (principally the Civil Aviation Act 1982, the Aviation Security Act 1982, the Airports Act 1986, the Transport Act 2000, the Civil Aviation Act 2012 and the Space Industry Act 2018), in secondary legislation (principally the Air Navigation Order 2016), devolved legislation (such as section 6 of the Environment (Wales) Act 2016 and section 2A of the Nature Conservation (Scotland) Act 2004). Assimilated legislation and functions have also been given to the CAA via directions from the Secretary of State for Transport made pursuant to s.6(2) of the Civil Aviation Act 1982, as has the discharge of the United Kingdom's obligations under the Convention on International Civil Aviation done in Chicago on 7 December 1944 ('the Chicago Convention').
- 1.3 The CAA has a range of powers that enable and support it in the performance of its functions, most notably powers to require the submission of information and to prosecute breaches of aviation legislation.
- 1.4 In exercising its regulatory functions, the CAA has responsibilities placed upon it by the [Deregulation Act 2015](#). The CAA also has obligations placed upon it by the [Public Sector Equality Duty](#) created under the Equality Act 2010.
- 1.5 The CAA is not part of HM Government or the Crown, and as a statutory corporation it has legal independence. However, the CAA has strong working relationships with ministers and their officials and in exercising its functions, the CAA will consider and have regard to all relevant factors, including Government policy.
- 1.6 As a statutory corporation, the CAA is only required to carry out functions that have been given to it by, or pursuant to, primary and secondary or assimilated EU or devolved legislation. Currently, its main statutory functions are to:
 - regulate civil aviation and airspace safety: licensing of airports, aerodromes, pilots, air traffic controllers, aircraft maintenance engineers and commercial UAV operators, licensing and certifying the design, maintenance and repair of aircraft; approve sub-orbital rockets and orbital rockets launched from the UK and satellites launched by UK companies;

- advise and assist the Secretary of State on all civil aviation matters, including policy and airspace change decisions for the use of UK airspace so as to meet the needs of all users, having regard for national security, economic and environmental factors and the UK international obligations, while maintaining a high standard of safety, including at airports;
- be the economic regulator of those airports with significant market power and of the provision of certain air traffic services;
- be a concurrent regulator with the Competition and Markets Authority in enforcing competition law in respect of the air traffic and airport operation sectors;
- license airlines, including assuring their financial fitness;
- license air travel organisations;
- enforce consumer protection law, including requirements covering denied boarding and persons with reduced mobility; and
- advise and assist the Secretary of State in relation to the regulation of aviation security and enforcing requirements.

1.7 In addition to the above statutory functions, the CAA undertakes a range of other responsibilities. These are carried out either under requests for advice and assistance from the DfT, under directions from the DfT or using statutory powers to facilitate the carrying out of functions, such as the regulation of civil aviation safety. These responsibilities currently include:

- **Airspace modernisation:** preparing and maintaining a coordinated strategy and plan for the use of UK airspace up to 2040, and supporting the DfT with the development of a legislative and policy framework in respect of airspace modernisation.
- **Aviation decarbonisation:** Recognising the government's commitment to deliver net zero UK aviation by 2050 the CAA will support DfT by (non-exclusively) developing the appropriate regulatory environment for new low and zero emission fuels and technologies plus act to ensure that information provided to consumers on the environmental impacts of flying is accurate.
- **Wider environmental sustainability:** providing technical advice on aircraft noise certification and assessing local environmental impacts, and monitoring performance.

- **Enabling innovation:** co-authoring the delivery of the UK Future of Flight Action Plan and enabling innovation through the delivery of the strategic outcomes set out in the Plan. Engaging appropriately with the Future of Flight industry and other government departments, providing expert advice, delivering the regulator strands of the Future of Flight Programme and implementing the regulatory frameworks needed to realise the strategic outcomes. Developing plans for the safe and secure testing and implementation of AI technologies within the aviation sector.
- **STEM:** As part of Generation Aviation - the UK's aviation skills programme, the CAA raises the profile of the sector, delivers and enables outreach and promotes Science, Technology, Engineering and Mathematics (STEM), in order to inspire the next generation of aviation professionals.

Relationship between the CAA and the Secretary of State for Transport

- 1.8 The CAA is sponsored by the Secretary of State for Transport. The Secretary of State is responsible for appointing the CAA Chair and Non-Executive Members. A Deputy Chair may also be appointed by the Secretary of State from among the Non-Executive Members. The appointment of the Chief Executive is also approved by the Secretary of State. The remuneration arrangements for the CEO will require the agreement of the Chief Secretary to the Treasury.
- 1.9 The Secretary of State may, from time to time, set out in writing to the Chair of the CAA, their priorities for the organisation that the CAA should take into account alongside the statutory framework and other matters when setting its strategy and plans. Any such letters will be published on the CAA website.
- 1.10 Under section 6 of the Civil Aviation Act 1982, the Secretary of State may issue Directions to the CAA as to how it undertakes certain functions.
- 1.11 The relationship between the CAA and Secretary of State is governed by the [CAA Framework Document](#). The CAA Framework Document explains:
- the CAA's core responsibilities;
 - the governance and accountability framework that applies between the DfT sponsorship team and the CAA; and
 - how the day-to-day relationship works in practice, including in relation to governance and financial matters.

CAA Strategy

- 1.12 The [CAA's Strategy](#) sets out the organisation's purpose, mission, and vision. At the heart of these are the need to help deliver high standards of safety, security and consumer protection for the benefit of consumers and the public. The CAA also works to enable aerospace to innovate, develop and improve its environmental performance.
- 1.13 The Strategy sets out five strategic focus areas, and the organisation's ambition for meeting these aims. The strategic focus areas are:
- Protecting consumers and the public
 - Enabling aviation and aerospace to innovate and grow
 - Developing relationships to improve standards globally
 - Supporting aviation to improve environmental sustainability; and
 - Enhancing our organisation to deliver this strategy.
- 1.14 Each year the CAA Board approve a series of Annual Strategic Objectives which build on the organisation's core delivery in order to progress against our strategic aims – we update our strategy with these new objectives annually.
- 1.15 The CAA has regard to the Principles of Good Regulation, the [Regulators' Code](#) and the [Regulators' Growth Duty](#). The CAA is also guided by its consumer principles which provide a consumer-focused lens for regulation.
- 1.16 In addition to its overarching corporate strategy, the CAA has published a number of strategies on focused on specific aspects of its work, including:
- [Consumer Strategy](#),
 - [Environmental Sustainability Strategy](#)
 - [Artificial Intelligence Strategy](#)

Chapter 2

Governance of the CAA

Membership of the CAA

- 2.1 The Board of the CAA must comprise at least seven but not more than sixteen Members, consisting of the Chair, other Non-Executive Members (one of whom may be a Deputy Chair if appointed by the Secretary of State), a Chief Executive and other Executive Members. In addition to the Chief Executive, the other Executive Members of the Board are the: Chief Financial & Operations Officer, Group Director Consumers & Markets, and Group Director Safety & Airspace Regulation. So far as practicable there must be a greater number of Non-Executive Members than Executive Members.
- 2.2 The process for appointing the Chair and Non-Executive Members is outlined in paragraph 1.8. Other Executive Members are appointed by the Chief Executive with the approval of the Chair, and at least one other Non-Executive Member.
- 2.3 The Board approves the appointment and removal of the General Counsel & Secretary.
- 2.4 The CAA has a Senior Independent Director (SID) who is appointed by the Chair. Consistent with the UK Corporate Governance Code, the SID's role is to provide a sounding board for the Chair, deputise for the Chair when required and serve as an intermediary for the other Non-Executive Members. Led by the SID, the Non-Executive Members meet without the Chair present annually to appraise the Chair's performance, and on other occasions as necessary.
- 2.5 Under section 66 of the Transport Act 2000, the Chief Executive, with the approval of the Chair and at least one other Non-Executive Member, shall nominate an Executive Member of the CAA to perform on behalf of the CAA specified air navigation functions. Typically, this role will be fulfilled by the Group Director Safety & Airspace Regulation. The Secretary of State must be consulted before the nomination is made. Under section 67 of the Act, the Secretary of State may nominate a Non-Executive Member for national security purposes. This latter function is discharged by the Secretary of State for Defence. The Group Director of Safety & Airspace Regulation has been nominated for the purposes of section 66, and the Assistant Chief of the Air Staff (ex officio) for the purposes of section 67.
- 2.6 The current Members of the CAA are listed on the [CAA's website](#).

2.7 The structure of the CAA is illustrated in [Appendix A](#).

Roles and Responsibilities

2.8 The Board of the CAA is responsible for providing leadership to and ensuring the effective performance by the CAA of its various responsibilities, this includes the following:

- To establish and take forward the aims and objectives of the CAA as set out in the CAA's strategy and accompanying objectives, subject to the DfT consultation and engagement and within the policy and resources framework determined by the DfT;
- develop, update and approve the multi-year strategic plan and the annual operating plan and budget;
- ensure the financial and human resources are in place for the CAA to meet its strategic objectives;
- ensure that the Board receives and reviews regular financial information concerning the management of the CAA is informed in a timely manner about any concerns about the activities of the CAA;
- review management performance;
- ensure that the sponsorship team is kept informed of any changes which are likely to impact on the strategic direction of the CAA or on the attainability of its strategic objectives, and determining the steps needed to deal with such changes;
- demonstrate high standards of corporate governance at all times, including by using the CAA Audit & Risk committee to help the Board to address key financial, fraud and other risks;
- ensure any statutory or administrative requirements including, robust financial controls for the use of public funds in line with Managing Public Money, are complied with;
- ensure the Board operates in accordance with any other conditions relating to the use of public funds, and that, in reaching decisions, the Board takes into account guidance issued by the DfT;
- if required, co-operate fully with the requests of all relevant Parliamentary committees for scrutiny, requests from the Parliamentary Commissioner for Administration and otherwise to assist the DfT to answer questions about the CAA.

- 2.9 In addition to the above, the Board will ensure the CAA acts in compliance with the Financial Reporting Council's [UK Corporate Governance Code](#) and the Regulators' Code.
- 2.10 The Chair is accountable to the Secretary of State, and leads the CAA Board, ensuring that it provides the appropriate level of support for, scrutiny of, and challenge to the Executive Committee, and works closely with the Chief Executive to establish the strategic direction for the CAA. The Chair is responsible for ensuring the effectiveness of the Board in all aspects of its role, for setting the Board's agenda and ensuring that adequate time is available for discussion of all agenda items, in particular strategic issues.
- 2.11 The Chair also promotes a culture of openness and debate by facilitating the effective contribution of Non-Executive Members and ensuring constructive relations between Executive and Non-Executive Members. To ensure this, and in compliance with the UK Corporate Governance Code, the Chair is responsible, with the Chief Executive, for ensuring that the CAA Board, particularly the Non-Executive Members, receives accurate, timely and clear information in order that the CAA discharges its functions effectively. Further information on the Chair's accountabilities is outlined in section 4 of the Framework Document.
- 2.12 The Chief Executive is the most senior Executive Member of the CAA. They are responsible to the Board for the delivery of the CAA's Strategy and statutory duties, and for ensuring the effective operation of the organisation. For the purposes of complying with Managing Public Money, the Chief Executive has been designated as the CAA's Accountable Person by the DfT's Principal Accounting Officer.
- 2.13 Board meetings are attended by all Non-Executive and Executive Members, the General Counsel & Secretary, and by exception, other members of the CAA's Executive Committee. Other CAA staff may also attend for specific agenda items.
- 2.14 A Senior Civil Service representative from DfT will attend relevant parts of at two Board meetings each year. In attending meetings, DfT representatives have no voting or decision-making rights. The Secretary of State is accountable to Parliament for the CAA and the way it exercises its functions.

Decisions Reserved for the Board

- 2.15 The time available at CAA Board meetings is necessarily limited and priorities must be set. The Board pays particular attention to governance, performance, risk (including the setting of risk appetite), and reviews major policy, planning,

finance, and resourcing decisions. It takes steps to ensure that it is aware of issues of major importance to the CAA and is involved in all major decisions.

- 2.16 The Board may from time-to-time delegate certain responsibilities to Board Committees, Executive Committee, or specific individuals. Further detail on this is available in Accountabilities and Authorisations.
- 2.17 The types of decisions reserved for the CAA Board are included in [Appendix B](#).

Board Procedures

- 2.18 Pursuant to Schedule 1 of the Civil Aviation Act 1982 the CAA has determined the arrangements for its meetings. The CAA has passed several resolutions relating to its quorum, procedures for its meetings, and the authorisations of individual Members of the CAA: see resolutions 4, 21 and 233 ([Appendix C](#)):
- Resolution No.4 provides that any Member of the CAA may perform on its behalf any of its functions and act on behalf of the CAA on all matters.
 - Resolution No. 21 provides that a quorum of the CAA for the purpose of authorising any Member or employee of the CAA to perform on behalf of the CAA any of its functions is one.
 - Resolution No.233 sets the quorum for all CAA meetings as 5 Members (except where otherwise prescribed by the section 7 of the Civil Aviation Act 1982).
- 2.19 The [Civil Aviation Authority Regulations 1991](#) identifies a number of matters which are prescribed for the purposes of section 7 of the Civil Aviation Act 1982. The quoracy requirement for such matters is set at one Member.
- 2.20 The Board is subject to an external evaluation every three years. Details of such a review are reported through the Annual Report and Accounts. Additionally, the Board carries out an internal review of its performance annually.

Board Committees

- 2.21 It is the responsibility of the Board to constitute such committees as necessary to fulfil its functions. In line with the UK Corporate Governance Code, the CAA has established two Committees: the Audit and Risk Committee, and the People Committee.

Audit & Risk Committee

- 2.22 The [Audit & Risk Committee](#) monitors the integrity of the financial statements of the CAA, provides advice on whether the CAA's Annual Report and Accounts,

taken as a whole, are fair, balanced and understandable, reviews internal financial controls and internal control and risk management systems, monitors and reviews the effectiveness of the internal audit function, conducts the tender process and makes recommendations to the Board and Secretary of State about the appointment, reappointment and removal of the external auditors, and reviews and approves the auditors' performance, independence and objectivity. A Senior Civil Service representative from DfT will attend relevant parts of the Committee's meetings.

People Committee

- 2.23 The [People Committee](#) agrees objectives for the Chair, Non-Executive Directors, Chief Executive and other Executive Board Members and, on recommendation from the Chief Executive, agrees the team-based objectives that will apply to all members of the Executive Committee. The People Committee assesses performance and agrees reward for the Chief Executive, other Executive Board Members and members of the Executive Committee. A Senior Civil Service representative from DfT will attend relevant parts of the Committee's meetings.

Establishing Committees

- 2.24 The Board may decide that it is necessary to establish a new committee. In such circumstances, the proposed Chair of the committee would be identified and invited to develop a set of Terms of Reference for the committee. The Terms of Reference would need to define the delegated authority of the committee and set out the committee's:
- purpose
 - membership
 - quorum
 - frequency of meetings
 - roles and duties
- 2.25 The completed Terms of Reference would be submitted to the Board for approval. Any changes to the Terms of Reference would require approval by the Board.
- 2.26 Minutes of all committee meetings must be taken, and copies circulated to the Board.
- 2.27 If the Board deems that a committee is no longer required a decision to disestablish the committee must be made by the Board and recorded accordingly.

Executive Committee (ExCo)

- 2.28 The Chief Executive has wide ranging responsibilities for the operational management of the CAA. They are supported in this by an Executive Committee (ExCo) made up of other Executive Members of the CAA and other invited senior executives.
- 2.29 The ExCo is constituted to allow the effective delivery of the CAA's duties and functions. The Chief Executive retains the right to change the make-up or range of responsibilities of the ExCo to ensure that the CAA can continue to operate effectively.
- 2.30 The ExCo meets on a regular basis through a variety of forums to discharge its duties and monitor performance of the organisation.
- 2.31 The current ExCo postholders are listed on the [CAA website](#).

Panels

- 2.32 The CAA may establish panels, consisting of Non-Executive Members, on an ad-hoc basis to take specific regulatory actions or make certain regulatory decisions.
- 2.33 The work of panels is undertaken in accordance with the [CAA Regulations 1991](#) or other applicable Regulations, policies or procedures.
- 2.34 Where a Member of the CAA sits on a panel, they will generally be recused from any Board discussions related to the matter being considered by that panel.

Chapter 3

Authorisations and Accountabilities

Authorising Staff to Perform CAA Functions

- 3.1 The CAA is responsible for a large range of safety, airspace, security, economic regulation and consumer protection functions. These activities are carried out and decisions are made by the Members (both Executive and Non-Executive) who make up the CAA.
- 3.2 However, the quantity and range of activity required of the CAA is so great that others are also permitted to act as the CAA, provided they have an appropriate permission to do so. Permission may be given:
- by way of a Board resolution
 - by an individual authorisation issued to an employee of the CAA by a Member of the CAA, or
 - by the general authorisations that are prepared from time to time and empower anyone holding a particular role to do specified things
- 3.3 On a day-to-day basis through one of these routes colleagues across the CAA are legally able to make a wide range of regulatory and administrative decisions. Occasionally there will be issues that arise where the Board will want to understand in greater depth the technical issues at play, the risks arising, our proposed responses and to offer challenge and support to colleagues before a final decision is taken. Certain regulatory decisions may only be taken by Members of the CAA.
- 3.4 The CAA provides a range of advisory services. This enables innovators to access CAA expertise and guidance as they develop new technologies. The CAA has robust measures in place to ensure that individuals involved in offering advisory services on particular projects, are not involved in making regulatory decisions related to those projects.
- 3.5 Each Member of the CAA (by virtue of Resolution No. 47) and any employee of the CAA (by virtue of the Rules of Conduct) is protected by the CAA against any liability to pay compensation in respect of anything done in the course of their duties. The CAA will also meet any reasonable legal costs that arise in any such legal proceedings.

Safety Accountabilities and the Board

- 3.6 Collectively the Board of the CAA identifies and reviews the CAA's tolerance for safety and other risks that may have an adverse impact on the public and consumers. In that context, the role of the Board in relation to aviation safety is:
- to ensure that collectively the Board is aware and regularly briefed on key safety issues, risks and opportunities and the performance of the safety governance framework through which these are managed.
 - collectively to consider and offer effective scrutiny of and challenge to safety reports and information shared with the Board.
 - to hold the Chief Executive and Group Director Safety and Airspace Regulation to account on safety matters.
- 3.7 The Chief Executive, alongside the other Executive Members of the CAA makes major corporate decisions and ensures that the CAA carries out its legal functions and that in doing so the risk tolerance identified by the Board is respected.
- 3.8 As part of its arrangements to ensure that safety accountabilities are clearly identified, understood and are effectively discharged, the CAA has established a framework of safety accountabilities. The framework extends from the Chief Executive through the management chain, with emphasis on the accountabilities of the Group Director Safety and Airspace Regulation and senior colleagues in the Safety and Airspace Regulation Group.
- 3.9 The CAA Safety Leadership Group (SLG) provides assurance to the Board that the CAA is fulfilling its function as the industry regulator and is proactively overseeing the management by industry of aviation safety risks that consumers and the public may be exposed to. The SLG meets quarterly, with meetings chaired by the Chief Executive.

Authorisations

- 3.10 Under paragraph 15 of Schedule 1 to the Civil Aviation Act 1982 the CAA may authorise persons, including employees and any Member, to exercise functions on its behalf, subject to certain restrictions.
- 3.11 Pursuant to the terms of Resolution 21, the Group Directors of Safety & Airspace Regulation, Consumers & Markets and the Chief Financial & Operations Officer have issued authorisations that enable CAA employees to carry out the CAA's functions on a day-to-day basis.

- 3.12 Financial authority is delegated by the Board to Executive Members of the CAA, and this will then be cascaded to budget holders. Authority to commit the CAA to contractual terms is delegated to the Head of Procurement and their team.

Chapter 4

CAA Subsidiaries and Other Entities

Subsidiary Companies

- 4.1 The CAA has two wholly-owned subsidiary companies: Air Safety Support International Ltd (ASSI) and CAA International Limited (CAAi).
- 4.2 ASSI's primary objective is to provide oversight of aviation safety regulation in some of the UK's Overseas Territories (OTs), to act as the designated aviation safety regulator in other OTs, and to act as aviation security regulator in all OTs with commercial aircraft. ASSI's mission is to ensure, in an inclusive and sustainable manner, that the United Kingdom meets its international obligations in respect of aviation safety and security regulation within the UK OTs. ASSI will comply with Managing Public Money where appropriate. Further details on ASSI's work can be found here: <https://www.airsafety.aero/Home.aspx>.
- 4.3 CAAi is a globally recognised aviation advisory group. The company provides best-practice advice and training to civil aviation authorities and industry worldwide, as well as examinations and licensing systems. CAAi's governance is set out in the Intercompany Agreement between CAAi and the CAA. CAAi is a social enterprise and uses a proportion of its profits made to support its purpose. More information can be found here: <https://caainternational.com/>.

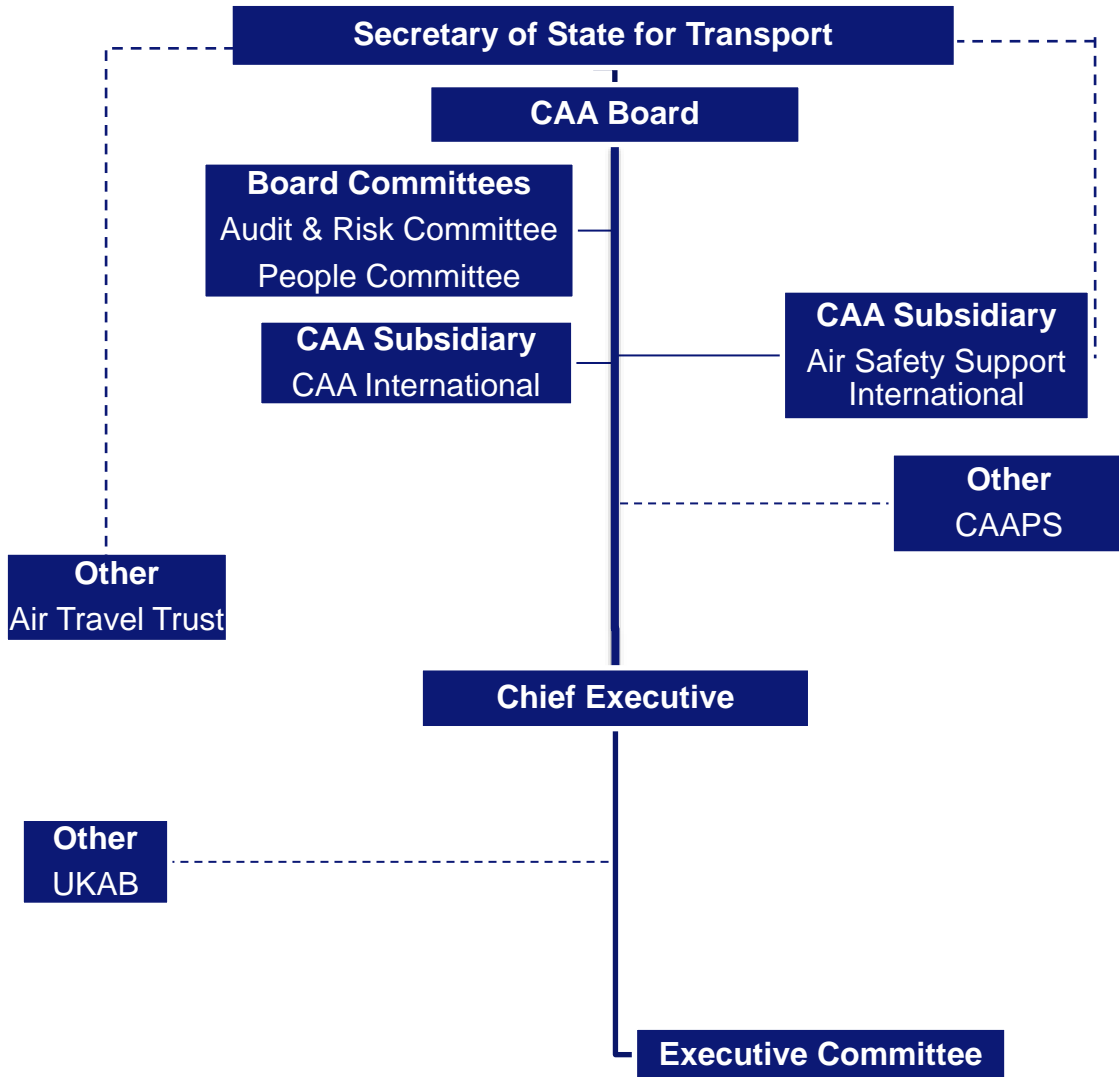
Other Entities

- 4.4 CAAPS is the Civil Aviation Authority Pension Scheme. The CAA Chief Executive and General Counsel & Secretary are responsible for approving the appointment of Trustees to the scheme, under a delegation from the CAA Board. The Trustees will be either Member-Nominated and be members of the scheme or Employer-Nominated. The Trustees will either be employed by the CAA or NATS or be deferred or pensioner members of the scheme. The Chair of Trustees will be an independent professional Trustee appointed by the CAA. The scheme is solely for Defined Benefit members and is closed to new members.
- 4.5 The [Air Travel Trust \(ATT\)](#) was established by the Secretary of State for Transport. The primary purpose of the Trust is the provision of compensation for losses incurred or suffered by consumers and others as a result of the failure of an ATOL holder. The Trustees of the ATT are Members of, or employees of, the CAA. The Chair of the ATT will usually be a Non-Executive Member of the CAA.

- 4.6 The UK Airprox Board exists to analyse, assess and report the circumstances of and assign collision risk and contributory factors for all Airprox in UK airspace (including derogated airspace). UKAB is sponsored jointly and funded equally by the Civil Aviation Authority (CAA) and the Military Aviation Authority (MAA). Notwithstanding this joint stakeholder arrangement, and although Director UKAB reports airprox outcomes and issues directly to the CAA's Chief Executive and Director General MAA, the UKAB conducts airprox analyses and reporting as a quasi-independent endeavour beyond their day-to-day oversight. It is not a separate body for governance purposes.

APPENDIX A

CAA Structure



APPENDIX B

Matters Reserved for the Board

Matter Reserved for the Board
<i>Governance Arrangements</i>
<p>The Board approves, for example:</p> <ul style="list-style-type: none"> a) changes to the governance of the CAA, including Terms of Reference for committees of the Board. b) significant appointments (e.g. General Counsel & Secretary, Panel appointments) c) the CAA's management of risk d) the Annual Report and Accounts e) recommendations to the Secretary of State about the appointment of external auditors f) corporate and strategic plans g) amendments to CAAPS Trust Deed and Rules
<i>High-Level Financial Arrangements</i>
<ul style="list-style-type: none"> a) CAA budgets b) significant expenditure c) economic regulation of major UK airports d) overdraft or temporary loan facilities e) the CAA's Charges Schemes f) the making of charges specifications for Eurocontrol, Denmark, Iceland, and NATS air navigation charges
<i>Responses to Significant Consultations, Reports or Reviews</i>
<p>By exception, the Board approves the CAA's response to consultations which, in its view, are strategically significant or raise complex policy challenges.</p>
<i>Other Matters</i>
<p>The Board will also consider and decide upon any other matter which, in the opinion of the Chair or Chief Executive, is of such importance or impact that it requires the Board's attention.</p>

APPENDIX C

Board Resolutions 4, 21 and 233

Resolution No.4, 29th March 1972

- C1 It is hereby resolved, in pursuance of Schedule 1, paragraph 16 of the Civil Aviation Act 1971 and subject to section 5(1) of that Act, that any person who is for the time being a member, officer or servant of the Authority be authorised to perform on behalf of the Authority any of its functions and to act on behalf of the Authority in all matters, being functions or matters which in the case of an officer or servant of the Authority fall within the usual scope of his duties as such.

Resolution No. 21, 21st June 1975

- C2 The Civil Aviation Authority hereby determines, pursuant to paragraph 9 of Schedule 1 to the Civil Aviation Act 1971, that a quorum of the Authority for the purpose of authorising (pursuant to paragraph 16 of the said Schedule 1) any member or employee of the Authority to perform on behalf of the Authority such functions of the Authority as are specified in the authorization, shall be one member.
- C3 The Authority hereby resolves that any authorization given by a member pursuant to paragraph 1 of this resolution shall be without prejudice to the generality of Resolution No.4 adopted by the Authority on 29 March 1972.

Resolution No. 233, 18th November 2020

- C4 At a meeting of the Civil Aviation Authority held on 18 November 2020 the CAA resolved that:
- C5 Resolution no. 9 (dated 6 May 1972) is revoked.
- C6 Subject to the provisions of this resolution, the CAA may meet for the dispatch of business, adjourn and otherwise regulate its meetings as it thinks fit.
- C7 The Chair, Deputy Chair (if any has been appointed by the Secretary of State), Chief Executive or a majority of the other members may, at any time, require the Secretary to the CAA to summon a meeting of the CAA.
- C8 At least 48 hours' notice of all meetings of the CAA shall be given to its members, unless in the opinion of the Chair, Deputy Chair (if any has been appointed by the Secretary of State) or Chief Executive matters of urgency require a shorter period of notice. Notice of a meeting shall be deemed to have been given to a member if it has been sent to them at their usual email address.
- C9 Save where provided otherwise in regulations made pursuant to section 7 of the Civil Aviation Act 1982, the quorum for a meeting of the CAA shall be five members, of whom one shall be the Chair or the Deputy Chair (if one has been

appointed by the Secretary of State), two shall be other non-executive members and two shall be executive members, one of whom shall be the Chief Executive or their nominated deputy.

- C10 Subject to paragraph 7, if a quorum is present at the beginning of a meeting of the CAA any business included in the agenda may, at the discretion of the chair of the meeting, be dealt with even if during the course of that meeting the members present have ceased to constitute a quorum.
- C11 Paragraph 6 shall not apply to any business raised under the heading 'Any Other Business' or where fewer than three members are present.
- C12 If the Chair and Deputy Chair (if one has been appointed by the Secretary of State) are absent from any meeting the Chair shall invite another member attending the meeting to preside until the Chair or Deputy Chair is present.
- C13 Meetings may take place in person or by any other means that enables all members and any other participants to listen to and make contributions to discussions before conclusions are reached.
- C14 The Secretary to the CAA or their nominated deputy shall attend all meetings of the CAA.
- C15 The Chair or Deputy Chair (if one has been appointed by the Secretary of State) may invite employees of the CAA and others to attend CAA meetings.
- C16 Where consensus cannot be achieved, matters to be decided by the CAA shall be decided by a simple majority of members participating in the meeting and where such a vote is tied the member chairing the meeting shall have a second or casting vote.
- C17 The CAA may take decisions by correspondence between meetings, provided that all members have a reasonable opportunity to seek clarification on the issue on which a decision is required and are supplied with copies of all materials necessary to reach a conclusion.
- C18 The Secretary shall ensure that minutes are taken of all meetings of the CAA and, once approved by the CAA and subject to any necessary redactions, that those minutes are published.
- C19 The common seal of the CAA shall remain in the custody of the Secretary, who shall continue to keep a record of all documents sealed by the CAA, including the name of the person authenticating the fixing of the common seal, which record shall be available for inspection by any member at any reasonable time.