

[REDACTED]

22 May 2018
Reference: F0003693

Dear [REDACTED]

I am writing in respect of your recent request of 23 April 2018, for the release of information held by the Civil Aviation Authority (CAA).

Your request:

.....please provide me with the following information over the last five years

- 1. The number of occasions that the CAA has rejected operation manuals submitted by AOC holders for any reason*
- 2. The number of times Rosters have been reviewed and rejected because they do not accord with FTL's*
- 3. The number of occasions amendments have been required to the manuals or rosters before they were accepted and endorsed by the CAA.*

Our response:

Having considered your request in line with the provisions of the Freedom of Information Act 2000 (FOIA), we are able to provide the information below.

In relation to part 2 (and part 3 as far as it relates to rosters) of your request, the CAA does not approve rosters so we do not hold this information.

In relation to parts 1 and 3 (in relation to manuals) of your request, while we do hold this information we are unable to provide it to you.

An applicant for an AOC will submit an operations manual to the CAA for approval as part of the process of obtaining an AOC. For new applicants, the majority of initial submissions of manuals are rejected, for many reasons, and feedback is provided as to how they should be improved. This process is repeated, often through a number of iterations of a manual, until approved can be granted.

Operations manuals are also evolving documents, and once approved amendments will be submitted to the CAA on an ongoing basis for approval. Typically, over a five year period

there will be a considerable number of updates to operations manuals for each AOC holder that may have been rejected or approved by the CAA.

While we do hold a record of each time a manual, or an amendment to a manual, is submitted to the CAA, and our response, it is not recorded in a way that makes it possible to provide the figures you have requested without reviewing all exchanges between each AOC holder (or applicant) and the CAA about their operations manual.

There are currently in the region of 130 AOC holders, and there will be a number of other organisations that no longer hold an AOC, but did so within the five year period you specified.

Under Section 12(1) of the FOIA, a public authority is not obliged to comply with a request for information if the authority estimates that the cost of complying with the request would exceed the appropriate limit of £450.00, which equates to a total of 18 hours of work. We have estimated that to collate the information requested for all the organisations that have held an AOC in the last five years would exceed the 18 hours threshold for responding to a request by a considerable margin. A copy of Section 12(1) can be found below.

If you are not satisfied with how we have dealt with your request in the first instance you should approach the CAA in writing at:-

Caroline Chalk
Head of External Information Services
Civil Aviation Authority
Aviation House
Gatwick Airport South
Gatwick
RH6 0YR

caroline.chalk@caa.co.uk

The CAA has a formal internal review process for dealing with appeals or complaints in connection with Freedom of Information requests. The key steps in this process are set in the attachment.

Should you remain dissatisfied with the outcome you have a right under Section 50 of the FOIA to appeal against the decision by contacting the Information Commissioner at:-

Information Commissioner's Office
FOI/EIR Complaints Resolution
Wycliffe House
Water Lane
Wilmslow
SK9 5AF

<https://ico.org.uk/concerns/>

If you wish to request further information from the CAA, please use the form on the CAA website at <http://publicapps.caa.co.uk/modalapplication.aspx?appid=24>.

Yours sincerely



Mark Stevens
External Response Manager

CAA INTERNAL REVIEW & COMPLAINTS PROCEDURE

- The original case to which the appeal or complaint relates is identified and the case file is made available;
- The appeal or complaint is allocated to an Appeal Manager, the appeal is acknowledged and the details of the Appeal Manager are provided to the applicant;
- The Appeal Manager reviews the case to understand the nature of the appeal or complaint, reviews the actions and decisions taken in connection with the original case and takes account of any new information that may have been received. This will typically require contact with those persons involved in the original case and consultation with the CAA Legal Department;
- The Appeal Manager concludes the review and, after consultation with those involved with the case, and with the CAA Legal Department, agrees on the course of action to be taken;
- The Appeal Manager prepares the necessary response and collates any information to be provided to the applicant;
- The response and any necessary information is sent to the applicant, together with information about further rights of appeal to the Information Commissioners Office, including full contact details.

12 Exemption where cost of compliance exceeds appropriate limit.

- (1) Section 1(1) does not oblige a public authority to comply with a request for information if the authority estimates that the cost of complying with the request would exceed the appropriate limit.
- (2) Subsection (1) does not exempt the public authority from its obligation to comply with paragraph (a) of section 1(1) unless the estimated cost of complying with that paragraph alone would exceed the appropriate limit.
- (3) In subsections (1) and (2) “the appropriate limit” means such amount as may be prescribed, and different amounts may be prescribed in relation to different cases.
- (4) The Secretary of State may by regulations provide that, in such circumstances as may be prescribed, where two or more requests for information are made to a public authority-
 - (a) by one person, or
 - (b) by different persons who appear to the public authority to be acting in concert or in pursuance of a campaign,the estimated cost of complying with any of the requests is to be taken to be the estimated total cost of complying with all of them.
- (5) The Secretary of State may by regulations make provision for the purposes of this section as to the costs to be estimated and as to the manner in which they are to be estimated.