

Safety Regulation Group



Issue Ten
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Code of Practice

Foreword

The principles of the Citizen's Charter apply to 'enforcement agencies' - the bodies charged with the task of ensuring compliance with various Government Regulations.

The principles of the Charter apply to the dealings such agencies have both with businesses and individuals.

The Civil Aviation Authority (CAA) is an enforcement agency and its safety regulatory functions fall into the category to which the Charter applies.

The CAA complies with the provisions of the Statutory Code of Practice for Regulators. The Safety Regulation Group's (SRG) Code of Practice fulfils the obligations of the Code relating to accountability.

This leaflet is our Code of Practice which sets out the standards and the levels of service which both the aviation industry and individuals may expect from the Safety Regulation Group of the Civil Aviation Authority.

The code is in two parts. Part 1 explains the Group's general principles of service. Part 2 gives details of the general and specific service standards set for our regulatory activities.



Mike Bell
Group Director
Safety Regulation

Principles

The Group's Role

The Civil Aviation Authority is both a public service organisation and a regulatory body. The Safety Regulation Group is charged with carrying out the CAA's safety regulatory responsibilities.

The Civil Aviation Act 1982 sets out the general objectives for the Civil Aviation Authority. Derived from these, the Safety Regulation Group's goal is:-

To develop our UK world-class aviation safety environment, in partnership with industry, by driving continuous improvements in aviation safety in the UK, and in partnership with EASA, across Europe.

CAA Mission, Values and Guiding Principles

Mission

'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.

Values

Performance	The regulation and advice we provide must meet the highest standards of professionalism and integrity.
People	We believe in maintaining and developing excellence in our people as they are the source of our reputation and success.
Value for Money	We must deliver value for money and continually review our activities to ensure that we operate in a cost-effective way.

Through our CAA **Guiding Principles** we will achieve our Mission and Values by:

- Fostering a culture where safety is paramount.
- Operating as a cohesive organisation under the direction of the CAA Board.
- Working together effectively, internally and externally.
- Developing and empowering our staff, and valuing their contribution.
- Continuously improving our performance and processes.
- Playing a full part in the activities of international aviation organisations in support of the UK's needs.
- Implementing an open and fair regulatory regime based on robust principles and processes.

Information and Openness

We publish:

- Clear guidance on how to apply for, or renew, Certificates, Licences and Approvals and we define clearly the terms or privileges of Certificates, Licences and Approvals;
- The charges applicable to the grant and renewal of Certificates, Licences and Approvals;
- Safety performance statistics;
- Our service standards and, annually, a report on our performance in delivering against these standards.

Additionally, to assist in clear understanding, we will provide written or oral advice about any of the foregoing and in respect of our interpretation of requirements. All guidance material published by SRG will include a contact telephone number.

Our Library and Information Centre, whose address is at the back of this publication, can advise you on how to obtain copies of the various related publications.

Where applicants are unable to meet the Certification, Licensing or Approval requirements, we will explain why this is so and indicate what steps could be taken to comply so that the relevant privileges may be granted or renewed. In the event of any formal proposal to refuse or revoke a Certificate, Licence or Approval, we will set out fully and clearly the grounds for taking such action.

Before formal enforcement action is taken, we will provide an opportunity to discuss the circumstances of the case and, if possible, resolve points of difference, unless immediate action is required in the interests of safety.

Where there are rights of appeal against formal action, advice on the appeal mechanism will be clearly set out in writing at the time the action is taken. (See also Appeals Against Regulatory Decisions)

Consistency

We will carry out our duties in a fair, equitable and consistent manner. While staff are expected to exercise judgement in individual cases we will have arrangements in place to promote consistency including effective liaison with other authorities and enforcement bodies as required.

Consultation and Communication

When considering changes to the requirements or regulatory framework, we believe it is important for us to invite the views of the individuals and industry we regulate and to take account of such views before implementing changes.

As far as practically possible, we will maintain relationships with individuals and industry that are appropriate to continuing, positive discussion in respect of matters of mutual concern.

We will conduct regular surveys of the opinion of those we regulate. We will analyse, and publish a summary of, the feedback we receive. We will implement actions that may help to maintain or improve services.

We consult on a wide range of matters. Details of joint SRG/industry consultation committees will be made available, free of charge.

Courtesy and helpfulness

We aim to ensure that you are answered promptly and politely and that your enquiries are handled in an efficient manner. Our staff will, at all times, be courteous and helpful.

Value for Money

We are required by HM Government to ensure that the income from the industry and individuals that we regulate is sufficient to cover the necessary costs incurred in carrying out our regulatory activities. We are aware of the need to keep charges under control and set at the lowest practicable levels.

Your role

You can help us to provide the best service possible by:

- Being clear exactly what you require of us;
- Providing all requested information, documentation and fees when required;
- Being prepared for scheduled visits by our staff;
- Providing ideas about how we can improve our services;
- Informing us when our services do not meet the standards we have published.

Complaints

Many of your problems can be successfully dealt with through your normal contacts within the Safety Regulation Group. However, if your difficulty is not resolved, or if you feel that you have not been properly treated, then you can write to the Office of the Group Director using the address included at the end of this document.

Your complaint will be promptly and fully investigated. A reply, or a report on progress, will be sent to you within ten working days.

If you are still not satisfied with the reply to your complaint you may write to the Group Director Safety Regulation, at the same address shown for the Office of the Group Director, and ultimately to the Civil Aviation Division of the Department for Transport (DfT), Great Minster House, 76 Marsham Street, London SW1P 4DR, the CAA sponsor Government Department, or to your Member of Parliament.

Appeals Against Regulatory Decisions

Except in the cases of provisional suspensions or variations pending further enquiry, decisions made at the direction of the Secretary of State, and medical certificates, a decision to revoke, suspend or refuse to grant a certificate, licence etc. by the Safety Regulation Group can be appealed against to the Members of the CAA (Civil Aviation Regulations 1991 - Regulation 6). Full details of the appeals machinery can be obtained from the Secretary and Legal Adviser, Civil Aviation Authority, CAA House, 45-59 Kingsway, London WC2B 6TE.

Standards

General Service Standards

- Our staff will be courteous and helpful.
- Visitors who have a pre-arranged appointment will be met on time.
- Telephones will be answered promptly. Your enquiries will be dealt with at that time or under a 'call back' arrangement acceptable to you.
- Written communications will be replied to within ten working days. Of course, some communications and requests for information require comprehensive responses which might take longer to prepare. In these cases, we will acknowledge your correspondence within ten working days. We will advise when you can expect to receive a comprehensive reply and who may be contacted on the matter.

Achieving our Service Standards

We aim to achieve our specific standards, stated below, on 90% of occasions. This target has been set because our ability to meet these standards is affected by many factors, not least of which is seasonal variation in demand.

It should also be noted that we are sometimes not the only organisation involved in a particular process. However, if this is the case, we will inform you of the situation.

Finance Service Standards

- We will send our invoices for man hour charges in the month following that in which the work was undertaken.
- Our invoices for variable charges (associated with the Air Operator's Certificate and the Aerodrome Licensing Scheme of Charges) will be sent within five days of us receiving the required statistics from the CAA's Economic Regulation Group.
- Invoices we receive will be paid within the supplier's timescales unless a notified dispute has been registered.

Approval, Certification and Licensing Service Standards

Our service standards, set out below, are based on the assumption that the following necessary inputs have been provided by you, the applicant:

- a correct application
- the required and requested information in a satisfactory and timely manner
- the appropriate fees
- timely access to your facilities, personnel or aircraft, as we require

Our standards also assume that we are satisfied with the results of any required:

- examination or competency check
- inspection, audit or survey
- flight inspection or flight test

whether carried out by us or by an appropriately approved organisation.

For long or complex projects, or where other Aviation Authorities are involved, a progress review process will be established with the applicant, SRG and the other agencies involved.

- Personnel Licences will be issued within ten working days.
- The results of Personnel Licence examinations will be notified to the candidates within ten working days of the examination date.
- Commercial Pilots Licence and Instrument Rating skill tests will be provided within ten working days of the applicant's requested date, weather permitting.
- Initial Class 1 medical examinations will be provided within ten working days of the applicant's requested date.
- The results of Initial Class 1 medical examinations will be notified within ten working days.

- Completed new aircraft registrations, overseas de-registrations and mortgage entries will be produced within three working days*.
- Changes of registered ownership and other register amendments will be produced within seven working days*.
- Permissions, Exemptions and Variations from the Air Navigation Order will be issued within ten working days.
- Reports on the results of audits and inspections will be provided within 20 working days of the completion of the audit or inspection.
- Certificates of Airworthiness will be issued within ten working days or renewed within five working days.
- Permits to Fly will be issued or renewed within 20 working days.

* From 30 July 2007, the Aircraft Register function moved from SRG to the CAA's Corporate Centre, but for reporting purposes its service standards will continue to be included within the SRG Code of Practice.

Further Information

If you require more information about this publication, or wish to comment on it, then please contact:

**Office of the Group Director
Civil Aviation Authority
Safety Regulation Group
Aviation House
Gatwick Airport South
West Sussex
RH6 0YR**

If you have any queries about our publications, including how to obtain copies, then please contact our Library and Information Centre whose address and telephone number is:

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Telephone: 01293 573725