



OPERATIONAL SELECTION POLICY OSP26

THE REGULATION OF CIVIL AVIATION  
1972-2002

THE RECORDS OF THE CIVIL AVIATION AUTHORITY  
AND THE DEPARTMENT FOR TRANSPORT AND ITS  
PREDECESSORS

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## Abbreviations

AAIB	Air Accident Investigation Branch
ACAS	Airborne Collision Avoidance System
ANO	Air Navigation Order
ARB	Airworthiness Requirements Board
ASA	Air Service Agreements
ATC	Air Traffic Control
ATOL	Air Travel Operators' Licence
ATSI	Air Travel Safety Investigation
BA	British Airways
BAB	British Airways Board
BAA	British Airports Authority
BCAR	British Civil Airworthiness Requirement
CAA	Civil Aviation Authority
CAP	Civil Aviation Publications
CC	Competition Commission
CPG	Consumer Protection Group
DAP	Directorate of Airspace Policy
DETR	Department of the Environment, Transport and the Regions
DORA	Directorate of Operational Research and Analysis
DoE	Department of the Environment
DfT	Department for Transport
DTI	Department of Trade and Industry
DTLR	Department for Transport, Local Government and the Regions
EASA	European Aviation Safety Authority
EEA	European Economic Area
ERCD	Environmental Research and Consultancy Department
ERG	Economic Regulation Group
ECAC	European Civil Aviation Conference
FCO	Foreign and Commonwealth Office
FIRs	Flight Information Regions
ICAO	International Civil Aviation Organisation
JAA	Joint Aviation Authorities
JAR	Joint Aviation Requirement
LATCC	London Air Traffic Control Centre
LIC	CAA Library and Information Centre
MoD	Ministry of Defence
MORS	Mandatory Occurrence Reporting System
MMC	Monopolies and Mergers Commission
NATMAC	National Air Traffic Control Management Advisory Committee
NASC	National Aviation Security Committee
NATS	National Air Traffic Services
NERC	New en-Route Centre
SIDD	Safety Investigations Data Department
SRG	CAA Safety Regulation Group
UKAB	United Kingdom Airprox Board

## 1 Authority

- 1.1 The National Archives' Acquisition Policy announced the intention of developing Operational Selection Policies across government. These would apply the collection themes described in the overall policy to the records of individual departments and agencies.
- 1.2 The purpose of this Operational Selection Policy is primarily to provide the research community with details of which records will be selected for permanent preservation at The National Archives or a recognised place of deposit and which records will be recommended for presentation to an appropriate organisation. Detailed guidance for reviewers will be provided in separate 'prefix' sheets.
- 1.3 This policy should be regarded as a living document that can be reviewed and revised in the light of comments received from the users of the records or from archive professionals, the relevant government departments' and agencies' experience of using the policy, or as a result of newly discovered information. There is no formal cycle of review and we welcome comments at any time. The extent of any review and revision exercise will be determined according to the nature of the comments received.
- 1.4 If you have any comments upon this policy, please e-mail [records-management@nationalarchives.gov.uk](mailto:records-management@nationalarchives.gov.uk) or write to:
- Acquisition and Disposition Policy Project Manager  
Records Management Department  
The National Archives  
Kew  
Richmond  
Surrey  
TW9 4DU
- 1.5 Operational Selection Policies do not provide guidance on access to selected records.
- 1.6 Records will be selected under the following collection themes of The National Archives' Acquisition Policy:
- 2.2.1.1 Formulation of policy and management of public resources by the core executive
  - 2.2.1.2 Management of the economy
  - 2.2.2.2 Impact of the state on the physical environment
- 1.7 Records will be selected under the following collection themes of The National Archives' Disposition Policy:
- 2.2.1 Local records
  - 2.2.6 Records suitable for presentation

## 2 Scope

This Operational Selection Policy provides guidance for the selection of records relating to the regulation of civil aviation in Britain from 1972-2002. It applies to records held by the Civil Aviation Authority (CAA) including the records of the National Air Traffic Services (NATS) until its part-privatisation in 2001, and the civil aviation and other relevant divisions within the Department for Transport (DfT) and its predecessor departments from whom it inherited civil aviation functions. It should be read in conjunction with Operational Selection Policy *OSP13, Britain's Diplomatic Relations 1973-1996*, which covers the interest of the Foreign and Commonwealth Office (FCO) in the negotiation of bilateral air service agreements.

<http://www.nationalarchives.gov.uk/recordsmanagement/selection/pdf/osp13.pdf>

The Operational Selection Policy does not cover the civil aviation functions of the Department of Trade and Industry (DTI) and its predecessors, nor does it include the records of the MoD pertaining to the control of civil and military airspace, nor the records of the Department of the Environment (DoE) and successors relating to environmental aspects of airport planning. However, selection criteria pertaining to DfT's input into the latter function are stipulated in 6.5. This Policy does not cover datasets relating to civil aviation functions produced by DfT.

The regulation of civil aviation has two aspects: the provision of a safe environment for air transportation and the economic regulation of the airlines using the environment so created. Both are included in the scope of this Operational Selection Policy.

## 3 Method

This Operational Selection Policy was developed as part of The National Archives review of methods of appraisal of government records.

The purpose of this Operational Selection Policy is to ensure that the most illustrative records of both departments are selected for permanent preservation and that duplication is kept to a minimum. To that end we have mapped the functions of each department with a view to identifying unique and overlapping records relating to the regulation of civil aviation and to setting down appraisal principles. Detailed recommendations for review purposes are set out in review toolkits or 'prefix sheets' prepared for reviewers in departments and based on departmental filing systems (known as 'prefixes'). These detailed recommendations follow the broad principles of appraisal set out in section 5 and the selection criteria for each area of responsibility set out in section 6.

#### **4 Civil Aviation Authority and Department for Transport: history, mandates and relationship**

##### **The Civil Aviation Authority**

In 1960 the Air Transport Licensing Board replaced the Ministry of Aviation's Air Transport Advisory Council and incorporated the Ministry's functions in respect of the licensing of independent air services. The Board consisted of between six and ten paid Members appointed by and under the direction of the Minister of Aviation. It was empowered to consider applications from independent companies for the operation and maintenance of scheduled services. The Board awarded air service licences to applicants who satisfied an extensive set of criteria, reviewed the tariffs proposed by independent operators and made recommendations to the Minister.

In 1967 the Government set up a Committee of Inquiry into Civil Air Transport under the chairmanship of Sir Ronald Edwards. The Committee reported in 1969<sup>1</sup>, and one of its recommendations was to establish a statutory body responsible for the implementation of Government civil aviation functions. This new authority was to bring together civil aviation functions previously undertaken by the Board of Trade and the Air Transport Licensing Board.

The Civil Aviation Act 1971 established the CAA and determined the structure of its senior management, its functions and objectives and its relationships with the Secretary of State and the Airworthiness Requirements Board (ARB).

The Secretary of State appoints the CAA's Members, who also constitute its Board<sup>2</sup>. The posts include the Chairman and Deputy Chairman, three full-time Members and seven part-time Members.

The CAA is a Public Corporation: it is not funded by Government. The CAA sets charges to recover costs from the aviation community for its regulatory and Air Traffic Service activities and makes a return on the current cost of capital involved. The majority of the CAA's income is derived from charges levied for its regulatory work and in many areas the charge is based upon the physical movement of aircraft or passengers.

The statutory functions of CAA are:

- To license air transport
- To license the provision of accommodation in aircraft
- To provide air navigation services (until Transport Act 2000)
- To operate aerodromes
- To provide assistance and information (s 3 (b) Civil Aviation Act 1982)

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<sup>1</sup> *British Air Transport in the Seventies*, Cmnd. 4018.

<sup>2</sup> *Civil Aviation Act 1971 Section 1 (2)*

- To carry out any function which the Authority is authorised by an Air Navigation Order to perform in respect of:
  - The registration of aircraft
  - The safety of air navigation and aircraft (including airworthiness)
  - The control of air traffic
  - The certification of operators of aircraft and the licensing of air crews and aerodromes (s 3 (c) Civil Aviation Act 1982)
- To regulate the use of airports
- To impose economic controls at certain airports (s 29-56 Airports Act 1986)
- To monitor and enforce the NATS (En-Route) plc (NERL) licence (s. 6 Transport Act 2000)

The CAA's general objectives are set by the Civil Aviation Act 1982 which states that it shall be the duty of the CAA to perform its functions in a manner which it considers is best calculated:

- To secure that British airlines provide air transport services which satisfy all substantial categories of public demand (so far as British airlines may reasonably be expected to provide such services) at the lowest charges consistent with a high standard of safety in operating the services and an economic return to efficient operators on the sums invested in providing the services and with securing the sound development of the civil air transport industry of the United Kingdom; and
- To further the reasonable interests of users of air transport services (s. 4 (1) Civil Aviation Act 1982)

Objectives specific to CAA's regulatory functions are set out in the Civil Aviation Act 1980, the Civil Aviation Act 1982, the Airports Act 1986 and the Transport Act 2000.

### **The Airworthiness Requirements Board**

The ARB was provided for in the Civil Aviation Act 1971. Its Board, which was appointed by CAA, consisted of between twelve and twenty persons and was made up of representatives of aircraft manufacturers, aircraft operators, aircraft insurers, pilots and Members of the CAA.

Its functions were:

- To advise CAA on all matters relating to standards of design, construction and maintenance by reference to which certificates of airworthiness are to be granted or renewed in pursuance of Air Navigation Orders
- To advise CAA on whether an aircraft of a new type satisfies the standards of design and construction required for the issue of such a certificate for the aircraft (s. 27 (3) Civil Aviation Act 1971)

## **The National Air Traffic Services (NATS)**

Section 28 (2) of the Civil Aviation Act 1971 authorised the Secretary of State to give directions to CAA in respect of the provision of air navigation services. These directions, published in February 1972 as part of the White Paper on Civil Aviation Policy Guidance (Cmnd. 4899), set down the structure of NATS; its functions and the scope of the services it would provide, and the manner in which these services would be provided.

NATS was responsible for air navigational services policy (air traffic control, navigational aids and communications), planning systems, formulating operational requirements, and the execution of agreed policies and procedures for the United Kingdom Flight Information Regions (UK FIRs) and for the air traffic control service provided by the United Kingdom over the North Atlantic.

In 1996 NATS became a wholly owned subsidiary of CAA; further independence came in 2001 when NATS became a public private partnership between the Airline Group (a consortium of 7 airlines), NATS staff and the government.

## **The Department for Transport and its predecessors**

- On 19 October 1970 the Board of Trade and the Ministry of Technology were merged to form a new Department for Trade and Industry (DTI). It inherited the civil aviation divisions of both departments, including the Accidents Investigation Branch (AIB), the Controllerate of NATCS and the Aeronautical Information Service. In April 1972 most civil aviation functions were transferred to the CAA, but the DTI and its successors exercised responsibility for the policy, development and international relations aspects of civil aviation, air accidents investigation, the amelioration of aircraft noise and the provision of security at airports. They were sponsoring departments for the CAA, the nationalised British Airways Board (BAB) and British Airports Authority (BAA) and were the departments responsible for the privatisation of BAB and BAA, the part-privatisation of NATS, the economic regulation of air transport and related competition policy issues and the negotiation of international air service agreements
- In March 1974 the DTI was divided into a Department of Industry and a Department of Trade with civil aviation responsibilities going with the latter, but for aerospace and aircraft development going to the former
- In June 1983 civil aviation responsibilities, except sponsorship of the aircraft industry, were transferred to the new Department of



Transport (DoT), then to the Department of the Environment, Transport and the Regions (DETR) in 1997, to the Department for Transport, Local Government and the Regions (DTLR) in 2001 and to the Department for Transport (DfT) in 2002

- DfT currently declares its aims to be ‘to ensure safe, sustainable and competitive air transport for the UK’

## **Relationship**

While the CAA’s functions are conferred by Act of Parliament, it is sponsored by the Department for Transport and the Secretary of State is accountable to Parliament for the CAA’s proper discharge of its duties.

The Secretary of State, in consultation where appropriate with the Secretary of State for Defence, will:

- Set the policy framework for the CAA
- Agree overall priorities and objectives each year with the CAA
- Monitor the performance of the CAA in relation to agreed objectives
- Appoint the Chairman and Members of the CAA Board
- Set the terms and conditions of such appointments (with the consent of the Treasury)
- Approve pay negotiating remits for CAA staff
- Appoint the CAA’s external auditors
- Issue any general guidance or specific direction, including an annual accounts direction, and
- Lay the annual report and accounts before Parliament each year

## **5 Principles of appraisal of the function of the regulation of civil aviation**

5.1 The UK organisational framework for the regulation of civil aviation DfT<sup>3</sup> is the sponsoring department for the CAA and, while they were nationalised industries, for British Airways (BA) and for the British Airports Authority (BAA). The Secretary of State had (and for the CAA continues to have), responsibility for laying their Annual reports before Parliament, as well as responsibility for the appointment of some or all of the Members of their Boards. He is accountable to Parliament for the CAA’s proper discharge of its functions, namely variations in charges, regulations and standards as well as the general effects of licensing on airline competition. Changes to the charging regimes are agreed with the Secretary of State annually, after which they are laid before Parliament for approval. DfT is the department responsible for drawing up legislation to effect the organisational framework through which civil

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<sup>3</sup> To avoid repetition the use of the acronym DfT henceforth should be understood to mean DfT and its predecessors unless otherwise stated.

aviation is regulated, including legislation to effect the privatisation of BA, BAA and NATS.

**Principle 1:** No material on changes to the UK legislative framework will be selected from CAA/NATS (although comments made in Committees and Boards will be captured). Discussions on changes to the UK legislative framework will be selected from DfT on the basis of second review. Reviewers should be aware that such changes will be decided through Cabinet and Cabinet committees, and through Parliament and its committees and should therefore exercise caution in selection in order to avoid duplication with material which is either published or automatically selected from Cabinet papers.

**Principle 2:** Material on the central control of financial and other internal arrangements of CAA, BA and BAA (while nationalised) will be selected only from DfT. Reviewers should be aware that central control of finance is subject to Cabinet and Parliamentary scrutiny. They should therefore select such material on a second review basis and in accordance with the selection criteria in 6.1, and in The National Archives' Operational Selection Policy *OSP15 The Control of Central Government Expenditure 1969 – 1997*.

<http://www.nationalarchives.gov.uk/recordsmanagement/selection/pdf/osp15.pdf>

**Principle 3:** CAA comment, advice and research which informed DfT's formulation of policies and frameworks will be captured through high-level CAA committees up to and including the CAA Executive Committee and CAA Board. In order to ensure that such comment is captured and the historical 'story' is therefore complete, the high-level CAA committees will be selected without review wherever possible, and where this does not prove possible their discussions should be traced through registered files or the minutes of related committees.

**Principle 4:** The civil aviation regulatory framework is discussed and established through an extensive network of committees. Apart from any Cabinet committees, Parliamentary committees, the CAA Board and CAA Executive committee mentioned above, this Operational Selection Policy recommends that the minutes and papers of many other committees be selected, including inter-departmental committees and numerous CAA committees whose membership includes principal stakeholders (such as airlines and airport users). As the papers of so many committees are to be captured, only limited sets of case files need be selected for permanent preservation. It is expected that the results of much casework would be summarised for committee meetings. Also as a result of the emphasis on these committees, the need for any detailed review of CAA's registered file series is reduced.

## 5.2 The transparency of the regulatory framework set by CAA

The regulatory framework in which the CAA operates is consciously transparent. Its standards for licensing and its certification criteria (together with the consultation process undertaken to amend such licensing/certification), its training requirements and examination processes, its benchmarks for monitoring and general safety advice are largely placed in the public domain through the Civil Aviation Publication (CAP) series or the CAA Paper series. The CAA Library and Information Centre at Gatwick holds an active and archive set of CAP series and CAA Paper series which are available to the public, subject to security considerations. Some CAPs are also available at the British Library.

The CAA has established a robust process to amend standards involving consultation and discussion at high-level and other committees. CAA's day-to-day regulatory work involves assessing compliance to standards set out in the CAP series.

An additional regulatory element has been provided through the Monopolies and Mergers Commission (MMC) and then the Competition Commission (CC) which have regularly reported on the economic regulation of airports, on the organisation of the British airline industry and on the organisation of air traffic control.

**Principle 5:** The archive set of the CAP series and CAA Paper series held at the CAA Library and Information Centre at Gatwick will be considered the authoritative record and, provided the Library continues to make these papers available to the public (where possible), none will be selected for permanent preservation at The National Archives. If, however, this situation were to change, then The National Archives will consider selecting both series for permanent preservation.

**Principle 6:** Amendments to the regulatory framework will be adequately captured in the papers and minutes of CAA's high-level and other committees. No further papers on this matter will be taken from CAA.

**Principle 7:** Current National Archives guidance is that in general, compliance papers are not selected for permanent preservation. This Operational Selection Policy follows this guidance, although all Concorde compliance papers have been selected for transfer to The National Archives. It is recommended that remaining compliance papers be considered for presentation to an appropriate organisation.

**Principle 8:** The reports of the MMC and CC are published and working papers will be selected from the files of those bodies in accordance with The National Archives' guidance. DfT responses to such reports will be selected from registered files.

Research carried out by the CAA underpinned much of the regulatory framework and formed the basis for the expert advice provided by the

CAA. From 1972 until the early 1990s CAA's research programme was advanced by the Civil Aviation Research and Development Programme Board (CARDPBoard). Thereafter, the programme became the responsibility of the NATS Research Advisory Council (RAC), a consultative body with independent external experts. NATS RAC was terminated at the end of the 1990s. Summaries of the Research Programme were presented annually to the Board (Blue Book).

Currently research is carried out by CAA's Safety Regulation Group (SRG) Research and Development Department and DAP's Environment and Consultancy Research Department (ECRD), with summaries of the programme being presented to CAA's Executive Committee and SRG Policy Committee (where appropriate).

Research reports from all the above Bodies have been produced either as part of the CAA Paper series, or as a Directorate of Operational Research and Analysis (DORA) Report or as a R&D Report. None have been routinely published, however an active and an archive set of these reports are held by the CAA Library and Information Centre at Gatwick and are available to the public (subject to their security status). Additionally, some research reports are held at the NATS Library and Information Centre at Bournemouth International Airport, Christchurch, Dorset. Access to the latter is granted on an individual basis.

**Principle 9:** The papers of significant research projects, particularly those carried out by the Chief Scientist's Division will be identified by CAA business units and selected without review.

**Principle 10:** The archive set of the CAA Papers, the DORA Reports and the R&D Reports held by the CAA Library and Information Centre at Gatwick will be considered the authoritative record. Provided the Library continues to make these papers available to the public (where possible), none will be selected for permanent preservation at The National Archives. If, however, this situation were to change, then The National Archives will consider selecting the CAA Papers series, DORA Reports and R&D Reports for permanent preservation.

**Principle 11:** The papers and minutes of the CAA Board, CAA's Executive Committee, the Civil Aviation Research and Development Programme Board, SRG's Policy Committee, NATS Research Advisory Council (RAC), the Civil Aviation Research and Development Executive Committee and the SRG's Research Management Committee will be selected without review.

The CAA collects and disseminates statistics and market information about the UK aviation industry. Three main areas are covered: UK airport statistics covering all traffic into and out of the UK; UK airline statistics covering UK carriers activities worldwide; and punctuality statistics measuring the punctuality of passenger services. All CAA's

statistics are published and available either in hard copy, or more recently, on its web site. Statistical reports also form part of the CAP publication series (see principle 5).

CAA has been conducting surveys since 1972. The information collected is used to assist in the following areas: traffic forecasting, route and network development, yield management, airport planning, market assessments and market activities. Information is collected from air passengers through face-to-face interviewing, and the results of all surveys are made available to the public 7-9 months after the last interview was conducted, either in hard copy format, or more recently, electronically.

**Principle 12:** As all CAA's statistics and survey results are in the public domain, none will be selected for permanent preservation.

### 5.3 The international regulatory framework

The Chicago Convention of 1944, to which all main aviation countries adhere, established the International Civil Aviation Organisation (ICAO) under the auspices of the UN. The Convention recognised national sovereignty over airspace, and this led to the organisation of international aviation on the basis of bilateral agreements between the signatory countries. Its various articles secure the undertaking of each contracting state to collaborate in securing the highest practical degree of uniformity in regulations, standards, procedures and organisation in relation to international civil aviation and to inform ICAO immediately if they cannot comply with any such standard or procedure. Countries must notify differences between their own practices and those prescribed by ICAO. In addition, Article 86 obtains the undertaking of contracting states not to allow airlines to operate through their airspace if the Council decides that the airline concerned is not conforming to a final decision rendered by the Council on a matter that concerns the operation of an international airline. ICAO therefore constrains unilateral policy changes and countries need to work within ICAO if they feel changes are required.

The ICAO framework is supplemented by European collaboration in a number of fora; in particular, the European Civil Aviation Conference (ECAC), which operates under the ICAO umbrella, Eurocontrol and the Joint Aviation Authorities (JAA).

ECAC was established in 1955 following a decision by the Council of Ministers of the Council of Europe as a pan-European forum for civil aviation issues.

Eurocontrol, the European Organisation for the Safety of Air Navigation was founded in 1960 for overseeing air traffic control in the upper airspace of its six founding Member states. It currently has thirty

Member states and its goal is to develop a pan-European air traffic system.

The JAA is an informal grouping of National Aviation Authorities which, since 1970, has developed aviation safety standards known as Joint Aviation Requirements (JARs) with the purpose of securing common safety standards across Europe. These standards have, generally, been adopted within the national legislation of JAA Member States, and a number have been incorporated into Community law through European Community Regulation 3922/91, though this mechanism has proved more cumbersome than originally envisaged. For this, and other, reasons Transport Ministers of the European Community decided on 18 June 1998 to give a mandate to the Commission to start negotiations with other European countries on the establishment of a new international organisation, to be known as the European Aviation Safety Authority (EASA). The main tasks of EASA are to ensure effective application of rules on aviation safety, including aircraft design, manufacture and airworthiness; aircraft operation and aircraft maintenance and to issue design type certificates and approvals for aircraft, parts and equipment.

The European Union (EU) now has the most immediate effect on the development of UK aviation policy. In 1973 the European Court ruled that sea and air transport were subject to the Treaty of Rome. From 1987 steps were taken to regulate civil aviation and in April 1997 cabotage (the right of a Member State carrier to operate a route within the territory of another Member State) within the European Economic Area (EEA) was liberalised, ending the use of bilateral air service agreement within the EEA. Within the EU, the Transport Directorate makes policy on the development of a single EU airline market through harmonisation of member state policies and practices, while the Competition Directorate applies articles 85 and 86 of the Rome Treaty to airline companies.

The British government is responsible for fulfilling its obligations under international agreements, negotiating bilateral Air Service Agreements (ASAs), since 1997 outside the EEA only, setting Flight Information Regions and enforcing safety, security and local environmental standards. Such roles are undertaken by the DfT together with responsibility for policy on the development of airports, the competitive environment of British airlines, airports and air services, the regulation of aircraft noise and investigation of air accidents.

The Foreign and Commonwealth Office (FCO) is closely involved in bilateral ASAs, especially where they impact on diplomatic relations. MoD shared the regulation of airspace with CAA, but under the Transport Act 2000, CAA assumed full responsibility.

**Principle 13:** Current National Archives guidance directs departments not to select the minutes and papers of international bodies. This

Operational Selection Policy continues that guidance but recommends that discussions on the development of policy briefs for DfT's UK representatives on these bodies are selected. In some cases CAA will have provided the expert advice for these briefs (see Principle 3) and this input will be captured in DfT's files. Papers setting down the background to significant CAA advice will be summarised in CAA committee papers and so no further papers will be selected from CAA.

**Principle 14:** Reviewers should be aware that significant disagreements that arose in the course of international negotiations on civil aviation regulation including the negotiation of air service agreements are selected under criteria developed for the FCO. Records will be selected from DfT registered files which complement those discussions.

## **6 Selection Criteria**

The following sections identify the main aspects of the work of CAA and DfT and interpret the principles developed in section 5 to provide more detailed criteria. Detailed guidance for reviewers is provided in prefix sheets.

### **6.1 Organisation**

DfT has the primary responsibility in Government for matters relating to civil aviation, with statutory responsibilities including the appointment of the Chairman and Board Members of CAA, and the same duty for BA and the BAA while these were both nationalised. DfT is the sponsoring department for the airline and aerodrome operators and CAA, and establishes the overall Government policies within which they work.

DfT was the main source of external finance for BA and BAA (while they were nationalised). Until 1996 it was consulted on the scope and cost of major capital projects. Subsequently, the CAA Board made such decisions. The Department also provided financial assistance for non-CAA airports.

In its sponsorship of CAA, DfT:

- Lays the Annual Report and Accounts before Parliament
- Appoints Members of the Board
- Gives guidance on CAA's performance of its functions
- Has general financial overview and responsibility for CAA
- Accepts CAA's Corporate Plan

All details of the financial administration of CAA will be selected from DfT registered files following second review. All discussions on the internal organisation and finances of CAA, including acceptance of its Corporate Plan, will be selected from DfT registered files. Supporting information will be captured in the papers and minutes of the CAA

Board, CAA Executive Committee and SRG Finance Advisory Committee.

All discussions on the internal organisation and finances of BA and BAA while they were nationalised will be selected from DfT registered files. This should be on the basis of second review.

## 6.2 Airspace Traffic management

### Functions

NATS is responsible for the provision of air traffic services, navigational aids and communications, planning systems, formulating operational requirements, and the execution of agreed policies and procedures for the UK FIRs and for the air traffic control services provided by the UK over the North Atlantic. The CAA is responsible for airspace classification.

### NATS Operations introductory note

During the period in question NATS raised at least 112 prefixes. An initial appraisal of these prefixes by CAA and The National Archives staff concluded that the following prefixes would not yield any records of note. They have not been investigated further but consideration will be given to deposit in specialist or local archives.

8AES	Airport Support Group
8AH/ATC	Sc&OATCCs (ATC) Engineering
8AH/Eng	Sc&OATCCs Engineering
8AH/Est	Sc&OATCCs Admin
8AMS	Airport Air Traffic Management Services
8ASS	Airport Support Services
8BA	Directorate of Telecommunications (Staff Management)
8BA	Directorate of Telecommunications (Telecommunications Services)
8BA	Tels Services
8BB/H	Tels WS3
8BC	Directorate of Telecommunications (Air Traffic Services)
8BC/WD	Tels ATC/R1 WD
8BD	Directorate of Telecommunications (Field Services)
8BD	Directorate of Telecommunications (Central Services and Maintenance)
8BD	Central Services and Maintenance
8BMR	Boulmer Air Traffic Control Radar Unit
8BCC	Communications Centre
8F	Data Processing Air Traffic Services
8CC	Communication Centre - Heathrow
8CHR	Manchester Airport
8EA	NATS Heathrow – Air Traffic Control
8EB	NATS Heathrow - Administration
8EC	NATS Heathrow - Chief and Station Telecommunications Officers



8ED	NATS Heathrow - Southern Aeronautical Information Service
8EDH	Edinburgh Airport
8F	Directorate of Data Processing (Air Traffic Services)
8FS	9020SADO
8FWS	Field Work Services Heathrow
8G	Telecommunications Engineering Establishment
8GS	Telecommunications Engineering Establishment Support Group
8GAC	Gatwick Airport Air Traffic Control
8GAE	Gatwick Airport Tels
8GLC&8GLT	Glasgow Airport ATC/Tels
8GRA	Cardiff – Wales Airport
8G/S	Tels Engineering Establishment and Support Group
8H	AAA Telecommunications Group
8H	Tels AAA Liverpool
8H	Tels AS Runcorn
8HE	AAA Sub-Section
8HE	AAA Telecommunications Section (Southern Inspection)
8HH	AAA Telecommunications Group
8HH	Tels Inspectorate and Ground Radio Approvals
8JA	LATCC Air Traffic Control Admin
8JB	LATCC Air Traffic Control Operations
8JC	LATCC Tels Airway Services
8JD	LATCC (ATC Centres, Radio and Radar Stations)
8JA	London Air Traffic Control Centre - Personnel and Technical
8JB	London Air Traffic Control Centre – Air Traffic Control Administration
8JC	London Air Traffic Control Centre – Air Traffic Control Operations
8MAT	Manchester Airport Tels
8MCR	Manchester Airport Air Traffic Control
8PAA	Birmingham Airport
8PE/1C	Project Engineering Requirements Airports and Area SPT Projects
8PE5/5A	Project Engineering - Support Services
8PE/8	Project Engineering - Management Support
8PES/5B	Project Engineering - Radar, DP and SADO
8PH	Aeronautical Information Services
9PNA	CARMS Pailton
8PRC	Prestwick Airport Air Traffic Control
8PARM	Project Assessment and Resources
8P	Aeronautical Information Centre
8PH	Aeronautical Information Centre
8PSS	Project Support Services
8PRA	Prestwick Airport Admin
8PRC	Prestwick Airport ATC
8PRI	Prestwick Airport Tels
8PRT	Prestwick Airport Tels
8RI	Regional Inspector ATC (North and Northern Ireland)

8RDP	Radar and Flight Data Processing
8SB	Directorate of Administration, Air Traffic Services - ATSA 2
8SD	Stansted Airport
8SMU	Southern Maintenance Unit
8STC/ATC	Stansted Airport ATC
8STC/TELS	Stansted Airport Tels
8STO	Stornoway/Managersta Aerodromes
8SUM	Sumburgh Aerodrome
8TIR/YR	Tiree Aerodrome
8W	Inspectorate of Southern ATC
8W	Inspector of ATC (IATC)
8WS	Inspectorate of ATC (Southern)

The remaining NATS prefixes were considered to be of potential interest to The National Archives. Each was initially subject to a file title review carried out by CAA and The National Archives staff. This revealed no files of historic value in the following prefixes:

8BA	Directorate of Telecommunications Training
8BB	Directorate of Telecommunications (Communication, Navigation and Works)
8BE	Directorate of Telecommunications: Project Management; Engineering Project Management Support
8BF	Finance Air Traffic Services
8C	College of Telecommunication Engineers, Bletchley
8CG	Directorate of Control: Air Navigation Services;
8HR	Heathrow: General Manager
8LD	London Air Traffic Control Centre (LATCC) Development
8Lon	London City Airport
8LPL	London Air Traffic Control Centre (LATCC) Planning
8MR	Military Resources
8NERC	New En-route Centre
8NS	NATS Safety
8PE5	Directorate of Engineering
8R	College of Air Traffic Control, Hurn
8T	Air Services Scotland
8W	Inspector of ATC

No material from these prefixes will be selected for permanent preservation.

**NB** Whilst no further accruals into these prefixes are expected, it is recommended that a watch be kept for files of the 8R prefix relating to Management papers of the College of Air Traffic Control, Hurn which may be of interest to The National Archives.

### **Committees**

The papers and minutes of the following committees will be selected for permanent preservation without review:

- NATS Board
- NATS Executive Committee
- National Air Traffic Control Management Advisory Committee (NATMAC) (formerly the Civil Aircraft Control Advisory Committee)
- NATS Capital Projects Board
- NATS Investment Committee
- NATS Management Committee
- NATS Licence Management Committee (NLMCC)
- Joint Air Navigation Services Council (JANSC)
- Air Traffic Control Board
- LATCC II (NERC) and Air Traffic Services Development Committee
- CAA: SRG Policy Committee
- CAA: SRG Executive Committee
- CAA: SRG Safety Steering Committee
- CAA: SRG Airspace Policy Committee

The significance of the following committees will be determined by second review and selected for permanent preservation if they complement the discussion of issues covered in the aforementioned committees:

- Joint Airmiss Working Group, re-named UK Airprox Board in the late 1990s
- Civil/Military Airmiss Working Group reporting to Air Traffic Control Board
- Visual Flight Rules Operational Panel
- UK Spectrum Strategy Committee
- NATS All Weather Operational Committee
- DfT: Air Navigation Commission
- DfT: European ATM Policy Committee
- DfT: Civil/Military Interface Standing Committee
- DfT: UK Airspace Strategy Steering Group
- DfT: Demand and Capacity Advisory Group

### **Case Files**

This Operational Selection Policy assumes that NATS committees discussed the results of all operational, technical and procedural issues, receiving papers from various NATS business units. Only limited NATS case files series are to be considered using the selection criteria in this Policy.

### **Research and Statistics (see 5.2)**

Within CAA/NATS the following areas of research were carried out:

- Ground equipment: radar communications; navigational aids; ATC data processing and display

- Airborne equipment including flying instruments and navigational aids
- Air traffic management and systems
- Analytical studies of the capacity of current and future ATC systems and research into flow management
- Development of the Central Control Function (CCF)
- Airborne Collision Avoidance Systems (ACAS)
- Short-term Conflict Alert (STAC)
- Separation monitoring<sup>4</sup>

Within DfT's registered policy files are discussions of major research projects, especially (later 1990's) Global Navigation Satellite Systems – GNSS and European Community proposals on this 'GALILEO'. Files relating to specific UK research and briefings will be subject to second review, taking account of appraisal principle 9.

Research on flight statistics produced by Eurocontrol will not be selected (see principle 13). Papers mirroring European research and European R&D Frameworks Programmes will not be selected (see principle 13).

Papers and minutes of the High Level Group on a Single European Sky will be selected without review from DfT registered files. CAA's discussions that complement those of DfT will be selected from CAA's registered files on a second review basis.

### **Policy papers**

Policy papers on the organisational status of NATS and its ultimate privatisation will be selected on a second review basis from both DfT and CAA registered files.

The historical value of the various liaison meetings between CAA, NATS and DfT will be assessed on second review and selected from DfT only.

## **6.3 Airlines**

### **Functions**

Since the 1971 Civil Aviation Act both CAA and DfT have been charged with regulating airlines in such a way as to contribute to the British balance of payments, to promote British airlines, to safeguard the interests of users and, since 1986, to promote liberalisation. This is achieved through the granting of air transport licences, route licences and operators' licences: all functions of CAA.

In fulfilment of its remit to encourage the development of British civil aviation and relations with air service operators, the DfT has had the responsibility for:

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<sup>4</sup> See also: <http://www.nats.co.uk/about/safety.html>

- Negotiation of air service agreements for British airlines abroad and for foreign airlines in the UK
- Representation within ICAO and participation in international organisations developing airline competition policy, including on such issues as general liberalisation, fifth freedom flying, code sharing, computer reservation systems, route licensing, harmonisation of ATC practices, centralised flow management, centralised billing and collection of route charges
- Sponsorship of the BA Board, its privatisation and the subsequent oversight of BAA and regulation of airline competition within the UK
- Consumer protection issues, (see section 6.11 on Air Travel)

### **Committees**

CAA's relations with airlines can be adequately tracked through the papers and minutes of the following committees (see principle 4); these will be selected for permanent preservation without review:

- CAA: Economic Policy and Licensing Committee, re-named Economic Regulation Policy Committee
- CAA: Air Transport Users' Council
- CAA: SRG Policy Committee
- CAA: SRG Executive Committee
- CAA: SRG Safety Steering Committee
- UK Operators Technical Group (its papers are held by the CAA but it is not a CAA committee)
- Airline Users' Committee
- DfT: South Pacific Air Transport Council

DfT provided the secretariat for the Commonwealth Air Transport Council. Its minutes and papers have been previously transferred to The National Archives and a complete record should continue to be selected.

### **Case files**

Licence application hearings are the responsibility of CAA. Hearings are held in public and applications and decisions are published in the Official Series 1 and 2. Case files consist of individual applications, filed in category sequence according to the type of licence. During the 1970's to the mid 1980's there were up to two hearings per week, this has steadily fallen following liberalisation to a few per year at most. CAA licence application files will be destroyed without review but all appeals covered in DfT registered files will be selected to illustrate areas of contention.

### **Tariffs**

Airlines are obliged to file their tariffs for routes outside the EU with CAA which holds the information as a public set of Domestic Tariff

Filings and on a dataset. The Airline Tariff Publishing Co (ATPCo) collects and disseminates fare and fare related data for the airline and travel industry. Neither the dataset nor the public set of Domestic Tariff Filings will be considered for selection.

### **Applications for domestic tariff changes**

CAA papers will not be selected but all appeals covered in DfT registered files will be selected to illustrate areas of contention.

### **DfT relations with individual airlines**

These can be traced through the department's general correspondence files with airlines and should be selected on a second review basis to allow research into mergers, lobbying and the development of budget airlines such as Laker Airways.

### **Negotiation of air service agreements**

Only case files detailing the negotiation of US/North Atlantic routes will be selected for permanent preservation; additionally see comments regarding FCO's involvement in section 5.3, principle 14.

### **Research and Statistics** (see section 5.2)

DfT papers relating to ad-hoc international research conferences will be subject to second review to provide the widest possible picture of international discussions. As the papers of CAA's significant research projects are to be selected without review and all CAA research reports are currently in the public domain, no CAA papers specific to ad-hoc international research conferences will be selected.

### **Policy papers**

Economic regulation is a significant policy development area and the suggestions here are for continuing second review from DfT registered files to document the following:

- Development of policy for Ministerial and official Cabinet committees on the privatisation of BA
- Reviews of airline competition policy including the drafting of directions for CAA, and considerations of a second-force airline and airline mergers
- Relations with airlines including foreign control of airlines; repatriation of airline earnings; security of British airlines overseas; marketing alliances; ownership and control of foreign airlines; British helicopter companies
- Regulation of ATOL and administration of the Air Travel Reserve Fund (see section 6.11 on Air Travel)
- Development of policy on the negotiation of air service agreements, especially crucial cases such as Bermuda II
- Negotiation of Commonwealth facilities and relations with Gibraltar, Bahrain and other airports with defence facilities

DfT files tracking international discussions will not be kept except for those complementing records selected from FCO (see reference in the Scope and 5.3) and those that cover:

- The development of policy briefs for Ministers
- Issues of wider research interest such as relations with Eastern Europe and liberalisation
- Consideration of the general development of international air regulations

## 6.4 Aircraft

### Functions

This section covers the functions of the Airworthiness Requirements Board, the regulation of the safety of aircraft including certification in respect of airworthiness, that is, the design, construction and maintenance of aircraft, continuing airworthiness including regulations concerning noise and emissions (see also section 6.7 on Noise) and operational aspects such as the issue of Air Operators' Certificates and subsequent oversight of those operations. CAA SRG is responsible for the development and oversight of safety operating standards for airworthiness, flight operations and aircraft maintenance. Also included under this section is the responsibility for the regulation of the carriage of dangerous goods as cargo and baggage, such as explosives (see also section 6.8 on Security) and for the detection of goods such as firearms.

### Committees

The papers and minutes of the following committees will be selected for permanent preservation without review:

- CAA: SRG Policy Committee
- CAA: UK Flight Safety Committee
- CAA: SRG Executive Committee
- CAA: SRG Safety Steering Committee
- CAA: Dangerous Goods Advisory Group
- DfT Aviation Directorate Research Committee
- Airworthiness Requirements Board (ARB)

Correspondence relating to the Airworthiness Requirements Board both in CAA and DfT registered files will be second reviewed and papers relating to major controversies and appointments will be selected.

Sitting below the ARB are many technical requirements and procedures committees covering all types of aircraft. The minutes and papers of these committees have been previously selected for permanent preservation and a complete record should continue to be selected.

European-wide committees under the auspices of the Joint Aviation Authority set technical standards and procedures. The minutes and papers of these committees will not be selected for permanent preservation (principle 13).

### **Research committees** (see 5.2)

#### **Case files**

Airworthiness and flight operations standards and procedures are laid down in British Civil Airworthiness Requirements (BCAR) and Joint Aviation Requirements (JAR) and published in the CAP series. The development of these standards is tracked through the papers and minutes of the technical requirements and procedures committees and the Airworthiness Requirement Board (see above). Checks and monitoring for compliance with these standards, including noise and emissions, is recorded through case work; with the exception of files relating to Concorde (see below) this will not be selected. Other runs of case files may be considered for presentation, (principle 7).

The output of CAA's work in this respect is captured in datasets. The following will be selected for permanent preservation:

- UK Register of Civil Aircraft: this database provides the following information on individual aircraft: type, manufacturer, serial number, weights, engines, propellers, radio equipment, noise data, hours flow; survey details; approvals; exemptions; Certificate of Airworthiness details including expiry dates, category, etc and Certificate of Registration details (issue dates etc). It also supplies details of the registered owner and mortgagee / mortgagor

Consideration will also be given to:

- CAA's noise databases

#### **Concorde**

The monitoring of equipment, structure and materials and flight tests for Concorde are to be found in various sets of CAA working case files, namely Structures and Materials, Aircraft Systems and Equipment, Flight Tests, Applications and Certificates Department. Because of the public interest in this subject and the special scientific interest, all files relating to Concorde will be reviewed for historical interest.

Any appeals relating to requirement infringements heard by the Secretary of State will be selected from DfT registered files.

### **Research and Statistics** (see section 5.2)

Research projects carried out in CAA's Chief Scientist's Division include:

- Flight operation analysis
- Safety studies
- Ergonomics and human factor studies



- Operational safety, including fire detection and prevention, fire-blocking materials

Research projects carried out in SRG's Research Management Department include:

- Structures
- Cabin evacuation
- Cabin occupant survivability
- Fire
- Cabin safety
- Helicopter safety research
- Power plan research
- Flight and Operational standards research
- External hazards

Research and statistical information in DfT Divisions should be reviewed and only selected for permanent preservation where they demonstrate the re-working and interpretation by DfT statisticians and researchers.

### **Policy files**

Participation of CAA in the development of policy will be captured through committees, selected datasets and research projects. No further policy files will be selected.

DfT tracked the work of CAA and co-ordinated responses to Parliamentary and Ministerial committees and questions, and co-ordinated the UK response to European technical committees. Discussions illustrating this work will be subject to second review.

## **6.5 Airports**

### **Functions**

The main functions of DfT and CAA in respect of the regulation of airports are planning and development, including consideration of Britain's runway capacity; safety licensing of airports by CAA on the basis of their fulfilments of specified characteristics; economic organisation of British airports and the running of the nationalised BAA; the privatisation of BAA and local authority airports, and subsequent regulatory issues such as price capping and the inspection of unlicensed airports by CAA.

### **Committees**

The papers and minutes of the following committees will be selected for permanent preservation without review:

- CAA: Economic Policy and Licensing Committee and its successor, the Economic Regulation Policy Committee
- Research committees (see 5.2.2)
- CAA General Aviation Safety Committee Council

- CAA Private Aviation Committee
- CAA: SRG Policy Committee
- CAA: SRG Executive Committee
- CAA: SRG Safety Steering Committee
- DfT: Runway Capacity to serve the South East (RUCATSE) 1990-1995: committee and sub-committees and working groups
- DfT: South East and East of England Regional Air Study (SERAS) 1999-2003

Airport Users Consultative Committees (AUCC). These are not public records but since 1982 it has been mandatory for aerodromes to provide for their establishment. Guidance on their membership and terms of reference was issued by Secretaries of State for Transport in 1987 and 2001. The development of these guidelines will be selected from DfT policy files on a second review basis. The records of specific AUCCs will be offered to appropriate local archives.

### **Case files**

Price-capping: Since 1986 CAA has regulated charges at airports on a five-yearly cycle. These quinquennial reviews involve research and consultation with the airline industry, and proposals are put forward to the Competition Commission. Both the reports of the quinquennial reviews and the views of the Competition Commission are published. Details of how to apply to levy charges at airports and details of applications received and actions taken are published in the 'Official Record Series 6'. Since 2001 CAA has also been responsible for the economic regulation of holders of air traffic services licences (i.e. NATS).

CAA's case files will not be selected for permanent preservation but DfT papers discussing specific cases and general policy will be selected from the registered files at second review (principle 4).

Public Safety Zones (PSZs): Public Safety Zones are defined as: 'areas of land at the end of runways at the busiest airports, within which development is restricted in order to minimise the number of people on the ground at risk of death and injury in the event of an aircraft crash on take-off or landing'<sup>5</sup>. The policy and procedures for these are developed by DfT and, until 2000, were implemented by CAA through consideration of all proposals to develop land in the vicinity of airports. CAA casework files are of a detail not required by The National Archives and will not be selected for permanent preservation but DfT case files attached to policy series will be.

### **Licensing**

The licensing of airports is provided for in secondary legislation and amendments to licensing requirements will be captured in SRG's Policy Committee papers and are published as Statutory Instruments.

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<sup>5</sup> [http://www.dft.gov.uk/stellent/groups/dft\\_aviation/documents/p18\\_467](http://www.dft.gov.uk/stellent/groups/dft_aviation/documents/p18_467)

Guidance on aerodrome standards is published in CAP 168. Databases and case files are of a detail not required by The National Archives and will not be selected for permanent preservation. Appeals against all licensing decisions are on DfT registered files and all will be selected for permanent preservation.

DfT controls capital investment projects at airports outside the control of BAA, apart from private sector airports and public sector ones with borrowing freedom. Papers on these will be selected from DfT registered files where wider policy issues arose, for example, environmental concerns.

### **Research and Statistics** (see 5.2)

Research projects carried out in CAA's Chief Scientist's Division include:

- Airport capacity
- Safety studies and statistical services

Research projects carried out in CAA's Research Management Department include:

- Aerodrome Standards
- External hazards
- Bird hazards

Research and statistical information in DfT Divisions should be reviewed and only selected for permanent preservation where they demonstrate the re-working and interpretation by DfT statisticians and researchers.

### **Policy papers**

Sponsorship arrangements: DfT was responsible for the accounts of the nationalised BAA and for appointments to the Board. It saw through the privatisation of BAA and continued to have a 'sponsorship' role. Records relating to this function are to be found in DfT registered files; records covering appointments, development of the Airports Authority Act, compensation, privatisation, and proposed takeovers will be selected for permanent preservation.

Papers on the following topics should be selected from relevant DfT files:

- Development of links for Heathrow
- Implications for airports of freight containerisation
- Policy on town and country planning matters and byelaws
- Development of Scottish airports
- Discussions on the third London Airport
- Development of general aviation in South East England

Participation of CAA in the development of policy will be captured through committees and research projects. No policy files will be selected.

## 6.6 Accidents and air incidents

### Functions

DfT's AAIB is responsible for investigating all accidents to civil aircraft in the UK in order to determine the circumstances and causes with a view to preventing similar accidents in the future. The AAIB also participates in overseas investigations when a British manufactured or registered aircraft is involved, and participates in the investigation of military aircraft at the request of the Ministry of Defence. Since 1971 it has had responsibility for publishing the AAIB Bulletin. It represents the UK on the Accident Investigation Group of ICAO and the European Civil Aviation Conference Group of Experts on Accident Investigation.

The CAA's Safety Investigation and Data Department (SIDD), is responsible for the management of the Mandatory Occurrence Reporting System (MORS), the processing of incident occurrence reports and general flight safety data; the evaluation and co-ordination of follow-up action; the monitoring and analysis of data for hazards and hazardous trends; the provision of data on request; co-ordination of CAA/AAIB liaison. It provides an interface for all post-accident activity and the collation and publication of responses to AAIB safety recommendations and the UK Airprox Board recommendations.

CAA's Air Traffic Safety Investigation Section (ATSI) is part of SIDD and responsible for the co-ordination, investigation, reporting and initiation of follow-up action in respect of civil ATS aspects of aviation accidents and incidents. It provides civil ATS advisers to other investigative authorities.

### Committees

The papers and minutes of the following committees will be selected for permanent preservation without review:

- CAA: SRG Policy Committee
- CAA: SRG Executive Committee
- CAA: SRG Safety Steering Committee
- CAA: Flight Safety Committee
- CAA: Joint Airmiss Committee
- UK Airprox Board
- CAA: Civil/Military Airmiss Working Group
- CAA: General Aviation Safety Committee
- CAA: Bird Impact Research and Development Committee

### Case files

'Relevant records', as defined in paragraph 5.12 of Annex 13 of the Chicago Convention, relating to an accident investigation carried out by AAIB are subject to statutory, indefinite closure (qualified if the High

Court in England and Wales or the Court of Session in Scotland orders disclosure).

Currently only files detailing accidents of 'cause célèbre' status due to the person(s) on board or accidents of note are selected from DfT registered files. It is recommended that the selection scope be widened to include accidents which led to changes in procedures and those where AAIB's recommendations were controversial or challenged by CAA. It is further recommended that CAA be provided with the opportunity to comment on DfT review decisions in respect of these records.

At the conclusion of their investigations the DfT either publishes an accident report<sup>6</sup> or makes a brief report in the AAIB Bulletin: these will not be selected as they are in the public domain. DfT also makes recommendations to CAA, and CAA's responses are published initially by means of a Follow-up Action on Occurrence Report (FACTOR), and subsequently appear as CAA's annual Progress Report on AAIB recommendations in the CAP series (published). FACTOR reports will not be selected (see principle 5).

The MORS database contains data reported by specified agencies and persons working in the aviation industry in respect of aviation occurrences under the MORS. The data is processed and analysed by CAA and then disseminated to authorised persons for the purpose of increasing flight safety. Public dissemination of MORS data is not permitted by the terms of the Civil Aviation Act 1982; nevertheless The National Archives will select snapshots of the database for permanent preservation.

The Transcription Unit is the sole body within the UK for the production of certified radiotelephony transcripts of specific ground-air and ground-ground communications used to provide accurate documentary evidence for investigation of aeronautical occurrences. Transcripts are produced for AAIB, ATS investigations and for CAA's Enforcement and Investigation Branch. The Unit has responsibility for transcriptions of communications at all airports and area control centres within the UK. Transcripts produced for AAIB that involve cockpit voice recordings and transcripts from such recordings are also 'relevant records' described in Annex 13 of the Chicago Convention.

AAIB has confirmed that CAA's transcripts are not placed on their main accident files and so The National Archives will select closed transcripts to support AAIB case files mentioned above.

### **Research and Statistics** (see 5.2)

As cause célèbre cases and snapshots of the MORS database will be selected no further research papers will be selected.

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<sup>6</sup> Until 1997 these were published by HMSO, thereafter by AAIB itself.

### **Policy files**

Policy files will be selected from DfT on the following themes:

- General procedures for the conduct of investigations, in particular, discussions of current procedures and proposals for changes to the Civil Aviation (Investigation of Accidents) Regulations
- Policy regarding Inspectors' recruitment, qualifications etc
- Discussions of strategies at the ICAO AIG should be kept but all duplicates of ICAO papers should be destroyed

## **6.7 Noise**

### **Functions**

The Secretary of State for Transport (and predecessors) has a statutory responsibility to regulate noise from aircraft taking off or landing at airports designated under the Civil Aviation Act 1982, and for making schemes for the sound-proofing of buildings affected by such noise.

DfT sponsors research into the measurement of aircraft noise and handles aircraft noise enquiries and complaints. It is responsible for reviews of aircraft noise legislation and develops policy to reduce noise and to ameliorate aircraft noise disturbance. It administers noise insulation grants and imposes night restrictions at Heathrow. It offers advice on general aircraft planning issues including the impact of the Concorde sonic boom.

CAA's Chief Scientist's Division undertook research into aircraft noise and noise contour modelling, with DfT as its customer. The Directorate of Airspace Policy's (DAP) Environmental Research and Consultancy Department continues that work. DAP also investigates noise complaints by the public. SRG assesses UK-registered aircraft for compliance with noise standards, whilst the Economic Regulation Group (ERG) issues noise exemption certificates as required by the Air Navigation (Noise Certification) Order and manages the Noise Exemptions database which records details of exemptions granted to aeroplanes from the Aeroplane Noise Regulations 1999 (S.I. 1999/1452).

### **Committees**

Papers and minutes of high-level committees and working groups where DfT is the lead department will be selected from registered files, e.g. the Aircraft Noise Monitoring Advisory Committee, Joint Working Group on Aircraft Noise.

**CAA Research committees** (see 5.2)

### **Case files**

The Noise Exemptions database detailing exemptions for specific aircraft undertaking specific journeys is under consideration for permanent preservation.

Noise insulation grants case files will not be selected but policy reviews of the scheme will be selected from DfT registered files.

As public complaints about noise are published in DfT's Annual Digest of Environmental Statistics no case files relating to this topic will be selected; however, DfT's assessments of the nature, level and political impact of public complaint will be selected for permanent preservation at second review.

DfT publishes reports into the control of noise at specific UK airports; however given the importance of this topic all case files detailing the background discussions to these reports will be selected for permanent preservation.

### **Research and Statistics** (see 5.2)

Research projects carried out in CAA's Chief Scientist's Division and, more recently by the ERCD include:

- Aircraft noise and noise contour modelling
- Assessment of noise and its impact on the public

DfT sponsored research on a wide variety of issues, including noise disturbance and sleep, sonic boom and general aircraft noise levels in the UK. It worked with a variety of institutions to develop research, such as the Noise Advisory Council. Many studies were published. Records will be selected from DfT registered files where the development of the research programme or the implications of the research are discussed.

### **Policy papers**

Apart from directions given elsewhere in 6.7, requests for exemptions from night flying restrictions and review of policy will be selected following review.

## **6.8 Security**

### **Functions**

DfT provides the secretariat for the National Aviation Security Committee (NASC) and carries out associated tasks. NASC was established in response to an ICAO recommendation that states designate a person or persons to have responsibility for co-ordinating at a national level matters regarding security of international civil aviation. DfT and its predecessors provided that responsible person, with NASC providing formal machinery for such co-ordination, replacing the ad hoc consultations that had previously occurred. Its formal terms of reference were to 'advise HM Government and the civil aviation industry, including the airport authorities, regarding security measures

to meet threats of violence to civil aviation; to recommend appropriate security measures and to keep such measures and their effectiveness under review'. It had its first meeting on 11<sup>th</sup> June 1971 and its membership included representatives from DTI, Home Office, MoD, FCO, various airlines and one Trade Union.

Between 1978 and 1983 it administered the Aviation Security Fund which reimbursed airlines for their expenditure on security checks.

### **Committees**

The papers and minutes of the following committees will be selected for permanent preservation without review from DfT sources:

- NASC and its sub-committees
- Working party on the deployment of policy at airports
- Working group on the Aviation Security Fund

The papers and minutes of the following committees will not be selected for permanent preservation:

- Aviation Security Committees operating at various airports

### **Case files**

Claims by airlines for costs of implementing security checks will not be selected for permanent preservation but records relating to the Aviation Security Fund will be selected (see 6.8 below).

### **Research and Statistics** (see 5.2)

No files have been identified.

### **Policy files**

Files in DfT covering the following topics will be selected for permanent preservation following second review: Hijackings, responses to terrorism, carriage of armed guards, detection of firearms and equipment, methods and training for searches of passengers, baggage and cargo, airport security, role of private security firms, potentially disruptive passengers and papers relating to the security implications of the Lockerbie air crash.

Papers relating to the Aviation Security Fund will be selected for permanent preservation where they summarise costs, payments and make forecasts for annual estimates.

## **6.9 Health and Safety – health of crews and of the public**

### **Occupational health**

CAA is responsible for setting and implementing medical requirements for professional flight crew, private pilots and air traffic controllers. It undertakes research on the medical aspects of air safety and aircrew health other than those involved in personnel licensing and organises and supervises occupational health services for CAA staff.



The medical requirements for professional flight crew, private pilots and air traffic controllers are determined by statute and amendments are provided for through secondary legislation. Background discussions relating to changes will be discussed at SRG's Policy Committee and, on occasions, at CAA's Executive Committee and Board.

### **Committees**

The papers and minutes of the following committees will be selected for permanent preservation without review:

- CAA SRG Policy Committee
- CAA SRG Executive Committee
- CAA SRG Safety Steering Committee

### **Case files**

The Personnel Information Management System and Medical Administration Records System (PIMS/MARS) database provides information on the following: CAA medical examination; medical casework for some personnel; medical test results; cardiac review details for some personnel; contact management details and authorised medical examiners application status. It will not be selected for permanent preservation.

### **Research and Statistics** (see 5.2)

CAA's Research Management Department carries out human factor research and medical research covering issues such as sleep and fatigue.

### **Public health**

There is little material on this topic within the records of DfT.

The Air Transport Users' Council (funded by CAA) provides advice on Deep Vein Thrombosis and other potential health hazards to passengers. Its papers and minutes will be selected without review.

## **6.10 Personnel**

### **6.10.1 Training**

#### **Functions**

DfT was responsible for the Aeronautical Engineering College. This was opened in 1934 at Hamble in Hampshire and operated there until 1960 when it moved to its present home near Perth. It provides training for aeronautical maintenance engineers<sup>7</sup>.

For much of its existence CAA has been directly involved in training. Through the College of Air Traffic Control at Hurn Airport, Hampshire (now Dorset) CAA provided training for all NATS Air Traffic Control staff; the college also accepted trainees from UK airfields not operated by NATS and from overseas authorities. The Signal Training

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<sup>7</sup> <http://www.airservicetraining.co.uk>

Establishment, later the College of Telecommunications Engineering at Bletchley, Milton Keynes, provided vocational training, refresher courses and training for new types of equipment for telecommunications engineers who installed and maintained NATS radios, navigational aids, radars and data processing systems. It was closed in the early 1990s and training moved to Highfield Park.

CAA approves Flying Training Organisations that provide courses of training for various categories of pilot's licences. The requirements by which approvals are assessed are amplified in the CAP Series (published); and specimen examination papers and syllabi can also be found within this series.

CAA also runs training courses overseas.

### **Committees**

The papers and minutes of the following committees will be selected for permanent preservation without review:

- CAA Training Committee (re-named the Training Policy Committee in 1982)
- NATS Training Committee
- The Management papers of the NATS training establishments will be selected if available

The minutes and papers of the governing body of the Aeronautical Engineering College, Hamble held in DfT will be offered to a local archive.

### **Case files**

No case files will be selected.

### **Research and Statistics** (see 5.2)

No records have been identified.

### **Policy papers**

No further policy papers will be selected because discussions concerning training policy will be captured in the committee papers.

## 6.10.2 Licensing of Aircrew

This is a statutory function performed by CAA. It is provided for in the ANO and the licensing requirements are amplified in various CAP series.

The role of DfT in this matter is to comment on the legal content of the ANO. It does not comment on the technical component of the Order.

### **Committees**

The papers and minutes of the following committees will be selected for permanent preservation without review:

- SRG Policy Committee
- Standing Advisory Committee on Pilot Licensing

### **Case files**

As licensing requirements and procedures are set out in both legislation and in the CAP Series, case files relating to the grant, variation, suspension or renewal of licences will not be selected.

Changes to the criteria governing the grant, variation, suspension or renewal of licences are achieved through secondary legislation and discussed in SRG committees, therefore no case files need be selected.

The ATOL database will not be selected for permanent preservation.

### **Research and statistics** (see 5.2)

No files identified.

### **Policy files**

Adequate discussion of this topic will be captured in the papers of the relevant committees, and so no policy files will be selected.

## **6.11 Air travel**

### **Function**

The Air Travel Reserve Fund Act of 1975 was created in response to the collapse of Court Line and Clarksons Holidays when air travellers found that ATOL did not provide sufficient funds to compensate for such large loss of booked holidays. The Air Travel Reserve Fund was managed by a specially created statutory agency and was financed initially by a Government loan of £15 million and afterwards by a levy on holidays, with ATOL holders being required to contribute first 1% and then 2% of their turnover to the Fund.

Following an enquiry the government wound up the affairs of the Air Travel Reserve Fund Agency. The Fund was transferred to the trustees of the Air Travel Trust. At the same time the Air Travel Trust Committee was formed in 1986 which was replaced in 2000 by the Air Travel Insolvency Protection Advisory Committee which has a similar but rather wider make-up and includes a balance of trade and consumer representatives.

### **Committees**

The papers and minutes of the following committee will be selected for permanent preservation without review:

- CAA Economic Regulation Policy Committee and its predecessors

### **Case files**

Adequate discussion of this topic will be captured in the papers of the above committee; therefore no case files will be selected.

**Research and Statistics**

No files have been identified.

**Policy files**

CAA is responsible for administering the statutory ATOL scheme. Amendments to the scheme are made through secondary legislation, and discussion relating to amendments will be captured in CAA's Economic Regulation Policy Committee and predecessors. Guidance covering requirements to hold an ATOL licence are published in the Official Record Series 3. Adequate discussion of this topic will be captured in the papers of the relevant committee; no further files will be selected for permanent preservation.

DfT files relating to appeals against CAA licensing decisions and complaints from the public will be selected for permanent preservation following review.

DfT files relating to the financial regulation of the Air Travel Trust Fund will be selected for permanent preservation following review.