

<div> <div>Procedure</div> </div>		Safety and Airspace Regulation Group
		Management System
MtB-AU-PR-001	Statutory Powers - Authorisations	
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1 Introduction

- 1.1 The Air Navigation Order (ANO) 2016 bestows many powers on “the CAA”, such as the issue of flight crew licences, certificates of airworthiness, air operator certificates, aerodrome licences and air traffic approvals. In addition, the CAA is nominated as the Competent Authority for a number of European Regulations. As a matter of law, “the CAA” means the Members, as stated in section 2(2) Civil Aviation Act 1982, so that ANO powers are only exercisable by the Members. However, it is permissible for a Member of the CAA to authorise employees of the CAA and thereby permit the employee to exercise such powers on behalf of the CAA. The SARG Authorisation is the means by which the Group Director of the Safety and Airspace Regulation Group (GDSARG) as a Member of the CAA, authorises specified job holders in SARG, SSC and other associated business areas to carry out specified functions as “the CAA”. This may be described as being “authorised to act as the CAA”.
- 1.2 The ANO also bestows powers specifically on an “authorised person”. Schedule 1 of the ANO defines an authorised person as amongst other things any person authorised by the CAA. The ANO refers to authorised persons in numerous Articles. At paragraph 1 of the SARG Authorisation, specified members of staff are authorised to act as the CAA in authorising persons to act as an authorised person. It is therefore possible for particular people authorised to act as the CAA by paragraph 1 of SARG Authorisation to authorise anyone (not just CAA employees) “to exercise specific ANO powers given to an “authorised person”
- 1.3 No person other than a Member of the CAA is entitled to authorise other persons to act as “the CAA”.
- 1.4 ANO Article 270 Competent Authority states “The CAA is the national aviation authority of the United Kingdom for the purposes of the Basic EASA Regulation, and that the CAA is the Competent Authority for the purposes of the implementing rules as included in the article”. Authorised persons act on behalf of the CAA, where the CAA is the competent authority pursuant to the EASA Basic Regulation (Regulation (EU) 2018/1139).

2 Purpose

- 2.1 To ensure that colleagues are familiar with the process by which they may be given statutory powers and their responsibilities under the SARG Authorisation to act as the CAA.

3 Scope

- 3.1 This procedure applies to all SARG, SSC and other associated CAA business areas colleagues that fall within a particular management grade or job post and who therefore inherit the various authorisations granted to those positions as set out in the SARG Authorisation document. In addition to specified grades or posts, for some functions individually named staff may be authorised via nomination by a particular management post and in each case be approved by a Member of the CAA.

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4 Responsibilities

- 4.1 The GDSARG is responsible for issuing the SARG Authorisation and any temporary authorisations to it. In addition the GDSARG may authorise individually nominated persons.
- 4.2 SARG Business Assurance team is responsible for collating requests or changes to the SARG Authorisation documents, and for liaising with CAA Legal department and thereafter final publication.
- 4.3 Heads of business teams are responsible for ensuring their team members are aware of their individual responsibilities as set out in the SARG Authorisation or when acting as an “authorised person”.
- 4.4 SARG and SSC colleagues, and colleagues in associated business areas, are responsible for their individual responsibilities when acting under the SARG Authorisation or as an “authorised person”.

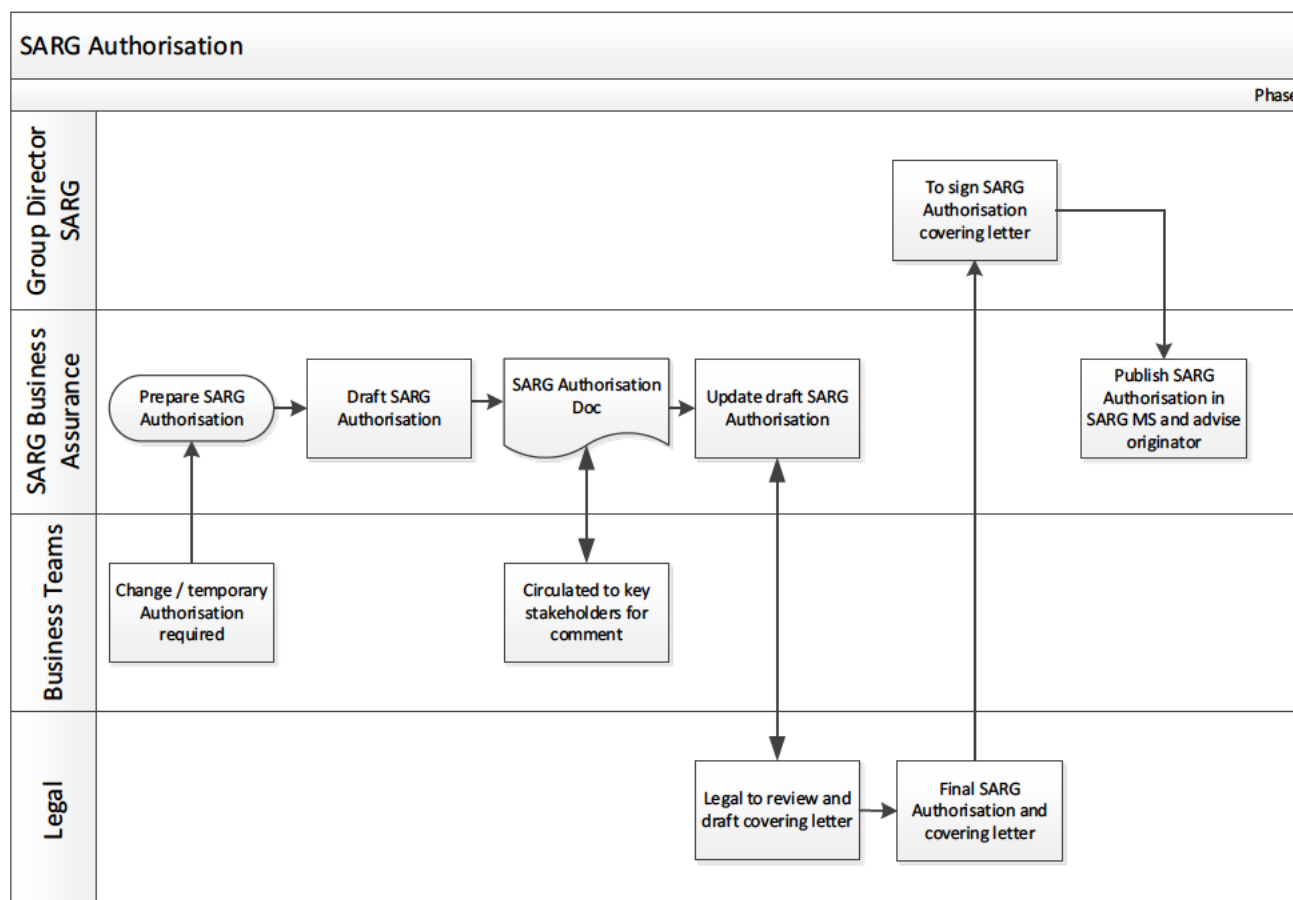
5 Procedure

5.1 SARG Authorisation Document

The SARG Authorisation document is reviewed by a CAA Legal Adviser, in consultation with the SARG Business areas, and updated regularly. The authorisations relate to various articles in the ANO and EU-derived regulations that empower “the CAA” to take some action.

The Process diagram below shows the steps required to prepare and issue the SARG Authorisation document and covering letter.

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5.2 Further Delegation and ‘Acting’ Managers

Authorisations shown in the SARG Authorisation cannot be delegated to other staff, nor can other staff sign for, or on behalf of, authorised staff. If someone has been appointed as an acting manager, the acting manager can assume the authorisation authority of the person they are acting on behalf of **only** if there is a clear auditable trail showing how the person was nominated in this role.

5.3 Individually Nominated and Approved Colleagues

In the SARG Authorisation Document, the authorisation to carry out some functions includes, in addition to specified grades or posts, individual staff nominated by a particular management post and in each case approved by a Member of the CAA.

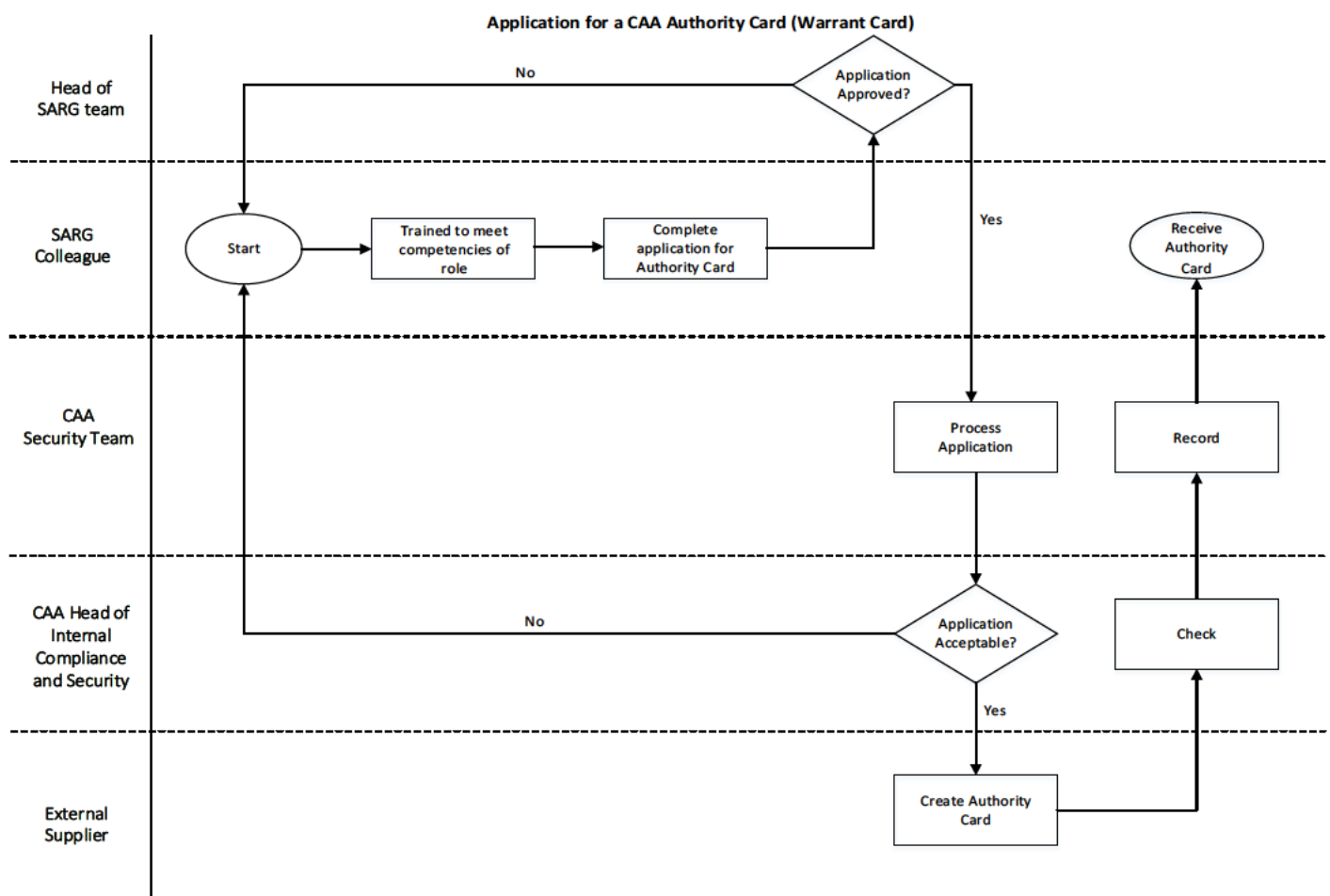
Where a need is identified in SARG or SSC to extend or amend such individual authorisations, managers should prepare a nomination using the format shown at Appendix 1. The nomination should be signed by the appropriate person and the relevant Head of team before submitting to the SARG Business Assurance team. The SARG Business Assurance team will review the nomination with CAA legal. When satisfied that the nomination is acceptable, CAA legal will direct it to the GDSAR for signing. Once the nomination has been accepted by the GDSAR, the Business Assurance team will save a record of the completed Temporary Authorisation in the

SARG Management System and advise the requesting business area that the nomination has been accepted.

5.4 CAA Warrant (CAA Authority Card)

On completion of training certain colleagues will be issued with a CAA Warrant, also know as a CAA Authority Card.

Inspecting staff should be prepared to produce the CAA Authority Card for examination at any time when on duty. In carrying out their duties, authorised persons must take care not to exceed the powers conferred upon them. Inspecting staff do not have authority to impose their own requirements on organisations, operators or owners, nor are they permitted to give anything in the nature of an official interpretation of statutory requirements without authority from the appropriate Head of team.



The process diagram above shows the steps for obtaining a CAA Authority Card

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5.5 Airside Passes issued by Airport authorities

Although, once appointed as “authorised persons”, inspecting staff will hold the legal right of access to all aerodromes, airports have their own security arrangements and issue CAA inspecting staff with an airside pass to facilitate airside access at their respective aerodromes. Arrangements will be made for relevant new inspecting staff to be issued with a pass or passes as required. Full information about the issue of Airside Passes is available from the [Airside Passes SharePoint site](#).

5.6 Loss of Documents

The powers conferred on inspecting staff as detailed in the CAA Authority Card are extensive, and serious consequences could result from the document falling into the hands of an unauthorised person. Similar dangers arise if Airside passes are mislaid or stolen. Staff should therefore keep their CAA Authority Card and Airside passes on their persons while on duty, and at other times ensure that they are left in a secure place. Should a CAA Authority Card or Airside pass be lost, the following action must be taken:

if the loss occurs in the UK:

- the loss must be reported immediately by telephone to the appropriate line and senior manager;
- the local police must be informed. If the loss occurs at an aerodrome, the aerodrome authorities and constabulary must also be informed;

if the loss occurs abroad:

- within Western Europe the loss must be reported immediately by the quickest possible means to the line manager and senior manager, with a telephone number or e-mail address where the staff member can be contacted;
- outside Western Europe the loss must be reported by the quickest means available to the British Embassy or nearest consular office or, in Commonwealth countries, to the British High Commissioner’s Office;
- the local aerodrome authorities and aerodrome police must be informed.

In all cases the initial report should be followed as soon as possible by a comprehensive written report of the circumstances in which the document or pass was lost.

This report should include:

- the date, time and location of loss;
- details of the authorities notified;
- information on recovery action taken to date; and
- any other pertinent information.

The written report should be sent to the Head of the relevant Business area through the line manager and copied to the CAA Head of Internal Compliance and Security.

6 Performance Measure

6.1 The SARG Authorisation Document will be reviewed annually. At the annual review, any temporary authorisations issued will be incorporated into the new SARG Authorisation document.

6.2 Authorised persons will be sampled as part of the internal audit process; ensuring appropriate colleagues in SARG are holding the correct authorisations.

7 Related Documents, Policies, Procedures and Work Instructions

- Statutory Powers of SARG/SSC Personnel (MtB-AU-PR-002)
- SARG Authorisation Document at the latest revision
- [Application for issue of a CAA Warrant \(CAA Authority Card\)](#)
- [Airside Passes SharePoint Site](#)
- Regulation 6 Appeal process

8 Records

- The [SARG Management System SharePoint Site](#) holds the record of all SARG Authorisation documents.
- CAA Security will keep a record of CAA Warrants (CAA Authority Cards) issued.
- Records of individually nominated and approved colleagues will be kept on ERM.

Records required	Link to ERM record location
Personal Authorisation Request Form	http://caaerm/livelink/llisapi.dll/open/294678126 Date/Name/PersonalAuthorisationRequestForm e.g. 20140502WheelerGPersonalAuthorisationRequestForm

9 References

- [Civil Aviation Act 1982 Schedule 1 Para 15](#)
- [Civil Aviation Act 2012 - Section 95](#)
- Air Navigation Order Articles
- EASA Basic Regulation and Implementing rules
- [Application for issue of a CAA Warrant \(CAA Authority Card\)](#)

10 Definitions and Abbreviations

- CAA Civil Aviation Authority
- SARG Safety and Airspace Regulation Group
- GDSARG Group Director, Safety and Airspace Regulation Group
- SSC Shared Services Centre

