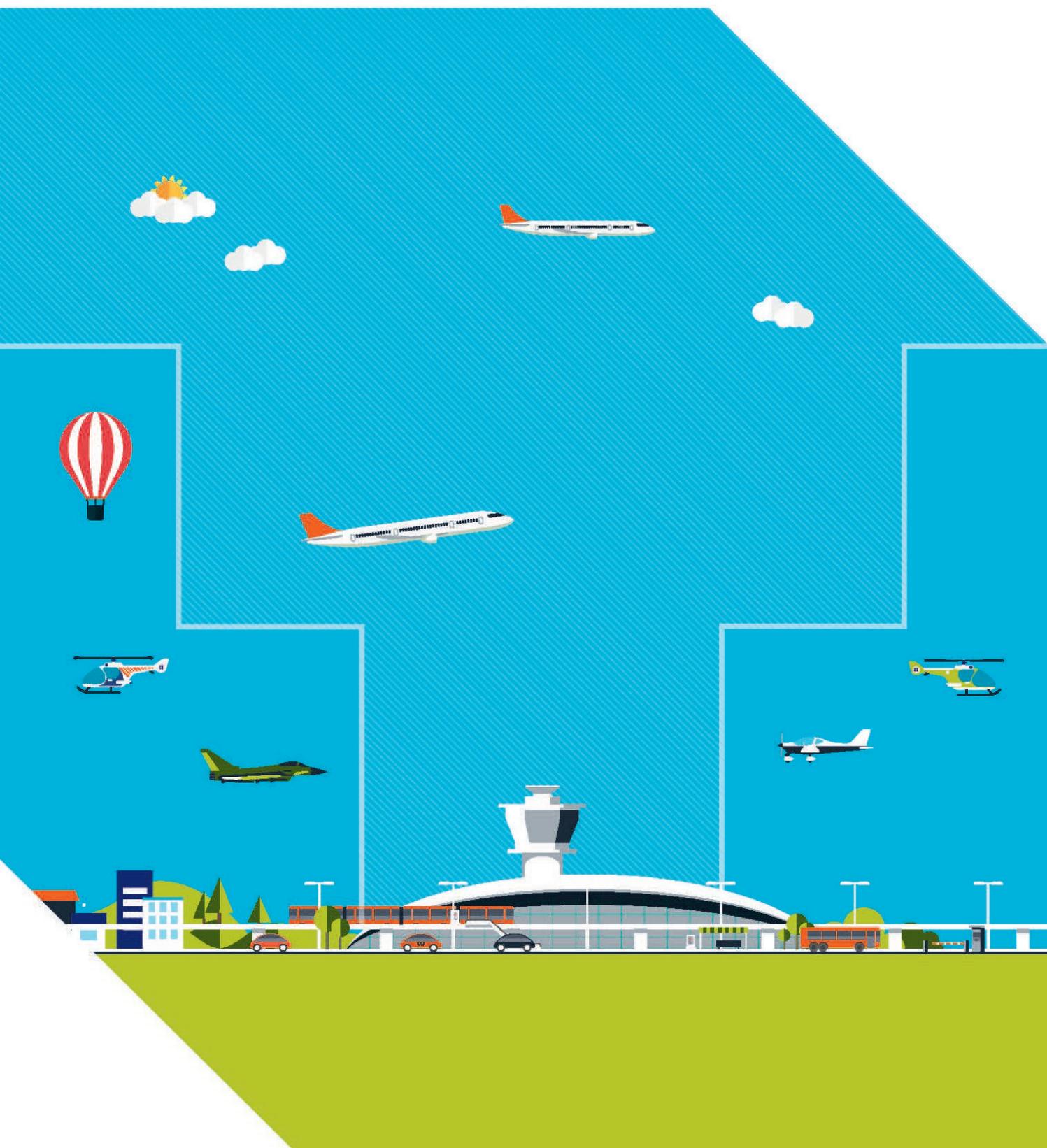


Airspace Design: CAA representative decision templates

CAP 1617



Published by the Civil Aviation Authority, 2017

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Proforma D1

CAA decision template

Permanent changes to the notified airspace design – Levels 1 and 2

TITLE OF AIRSPACE CHANGE DECISION, CAP xxxx

Template version date 2 January 2018

Contents

Executive summary

Objective of the proposal

- 1.1 This will briefly set out what the organisation proposing the change was seeking to achieve by its proposal and the changes to the airspace design that aimed to achieve it.

Summary of the decision made

- 1.2 Where applicable, this will contain a precise statement of the changes agreed, with reference to the means by which they were described by the change sponsor in the proposal submitted to the CAA at Step 4B.
- 1.3 If there are any conditions attached to a decision to approve a proposal, they will be set out here.
- 1.4 If the proposal was not approved, we will record that here.

Next steps

- 1.5 (if applicable) This will set out the planned date for implementation of the approved change, the planned start date of the post-implementation review and the data collection requirements placed on the change sponsor during the period of implementation.

Decision process and analysis

Chronology of proposal process

Statement of Need and assessment meeting (Stage 1, Step 1A)

- 1.6 A summary of the issue being addressed by the proposed change and its aims and objectives reflected in the Statement of Need. A reference to when the assessment meeting took place and the minutes produced after that meeting. A record of the CAA's

assessment that a change to airspace design was an appropriate method of addressing the issue identified.

Process followed to arrive at the proposal's design principles (Stage 1, Step 1B)

- 1.7 A summary of the engagement carried out to arrive at the design principles and a statement of those principles.

'Define' gateway

- 1.8 A statement that the CAA accepted the process and approach used to develop the design principles, and why the CAA was satisfied that those principles were influenced by that engagement. A statement that accordingly the CAA permitted the proposal to proceed through the 'Define' gateway and when.

Options development and appraisal (Stage 2, Step 2A and 2B)

- 1.9 A summary of the process that the change sponsor went through to identify, develop and preliminarily test with stakeholders the options. This may include a trial. This will include engagement.

'Develop and assess' gateway

- 1.10 A statement that the change sponsor prepared an Initial appraisal of the options identified (including the do nothing option) and that the CAA carried out a review of that exercise which is recorded on the portal.
- 1.11 If there is only one option put forward at this stage, on the basis that "it is the only safe option," the CAA will review the safety assessment to determine whether we agree that is the only potential option, on the grounds of safety. If we agree, the Initial appraisal may go forward with only one option. If we disagree, the sponsor will not pass the gateway and will have to revisit its options development, i.e. Step 2a. The CAA will publish this determination at this time.
- 1.12 A statement that accordingly the CAA permitted the proposal to proceed through the 'Develop and assess' gateway and when.

'Consult' gateway

- 1.13 A statement that the CAA reviewed the change sponsor's consultation and engagement strategy against the criteria set out in our guidance document. An explanation of why the CAA approved that strategy.
- 1.14 This will include a statement that the CAA assessed the Full options appraisal as satisfactory and why.
- 1.15 If by this stage, because of safety, only one option remains, the CAA will carry out a review of the sponsor's safety assessment. If we disagree with its assessment, the sponsor will have to revisit its Full options appraisal. The CAA will publish this determination at this time.

- 1.16 A statement that the CAA approved the documents prepared as the package of consultation documentation, and why. A statement that accordingly the CAA permitted the proposal to proceed through the 'Consult' gateway and when.

Public consultation and consultation responses (Steps 3C and 3D)

- 1.17 A summary of the events during the consultation period, including any additional information provided to stakeholders (for example FAQ) stemming from the regular monitoring of the responses and the reasons why the consultation period was extended if applicable.
- 1.18 A description of the criteria identified by the change sponsor to categorise the response and a statement by the CAA (based on the review of a sample) that this categorisation was carried out satisfactorily, and why.

Proposal update and submission to CAA (Stage 4, Step 4A and 4B)

- 1.19 A summary of the steps taken by the change sponsor to finalise its proposals taking the feedback received during the public consultation into account, including a
- 1.20 description of the process by which the change sponsor settled the Final options appraisal and a summary of that Final options appraisal.
- 1.21 A statement whether re-consultation took place. Where there was no re-consultation, a statement from the CAA why we are content that any differences between the proposal in the public consultation (or the last one if there were more than one in relation to this proposal) and the final proposal that was then submitted to the CAA, did not require re-consultation.
- 1.22 A statement as to when the proposal was submitted to the CAA.

Secretary of State call-in

- 1.23 If applicable, a summary that:
- A request for call-in was made and the change met one or more of the three thresholds that entitled the Secretary of State to call in the decision (and why the Secretary of State concluded that it met that threshold)
 - one or more stakeholders requested it be called in within the 28-day time limit after submission to the CAA of the proposal (Stage 4D)
 - the Secretary of State has exercised his/her discretion to call the proposal in this decision is therefore not a final decision but a CAA minded-to decision which will only provide the CAA's opinion on the proposal but will not be binding on the Secretary of State who may make a different decision (regarding whether or not to approve the change, and what conditions if any to apply to the approval if applicable)
 - that if the Secretary of State's decision is to approve the change he/she will instruct the CAA to take the necessary steps to arrange for implementation (Stage 6) and that the CAA will be responsible for the post- implementation review (Stage7)

Public Evidence Session and written statements (if applicable)

- 1.24 The decision will record that a Public Evidence Session took place and that a record of that session is available on the portal. Furthermore the decision will record whether any stakeholder took the opportunity (between notification of the Public Evidence Session and the date of that session) to provide direct written feedback to the CAA.

CAA's assessment of the change sponsor's Final options appraisal assessment

- 1.25 By its development of its Initial, Full and Final appraisal of the options, the change sponsor will have been required to fully consider the options open to it, and to have engaged with stakeholders when doing so, to address the issue(s) identified in the Statement of Need at the beginning of this process.
- 1.26 The CAA will summarise whether it has concluded that the change sponsor has fully considered the options available to it and why. The CAA will also record whether it considers that it was reasonable for the change sponsor to proceed with the final option progressed by the change sponsor and submitted to the CAA in its change proposal, and why.

CAA analysis of the material provided

- 1.27 A summary and formal record of the final and complete set of material provided to the CAA and relied upon by the change sponsor requesting the change will be set out. This will take into account whether any technical amendments were made to the proposal after submission. The CAA will also record the complete set of data provided by other stakeholders direct to the CAA that has been taken into account by the CAA when reaching our decision.
- 1.28 A record of the documents produced by the CAA as evidence of our analysis of this material and a reference to where these assessments can be reviewed on our portal will be made here:
- safety review (plain English summary)
 - operational assessment
 - environmental assessment and statement
 - consultation assessment.

CAA consideration of factors material to our decision whether to approve the change

Explanation of statutory duties

- 1.29 We will explain, with reference to material on our website, the legal and policy framework which bounds our duty to take this decision and the material factors which we are required to consider before taking it. In some cases the material on the website will be a complete explanation. In other cases there may be other international obligations, government policy or CAA policy which are relevant to the particular proposal under consideration which we will additionally set out here.

Conclusions in respect of our safety duty

- 1.30 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the

data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed change on the objectives represented in this duty.

Conclusions in respect of our duty to secure the most efficient use of airspace and an expeditious flow of traffic

1.31 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed change on the objectives represented in this duty.

Conclusions in respect of our duty to take into account the Secretary of State's guidance to the CAA on environmental objectives

1.32 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed change on the objectives represented in this duty.

Conclusions in respect of our duty to satisfy the requirements of aircraft operators and owners

1.33 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed change on the objectives represented in this duty.

Conclusions in respect of our duty to take account of the interests of any other person

1.34 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed change on the objectives represented in this duty.

Conclusions in respect of our duty to facilitate integrated operation of ATS provided by the armed forces and others ATS providers

1.35 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed change on the objectives represented in this duty.

Conclusions in respect of our duty to take account of the interests of national security

1.36 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed change on the objectives represented in this duty.

Conclusions in respect of our duty to take account of any International obligations notified to us by the Secretary of State

1.37 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed change on the objectives represented in this duty.

CAA's regulatory decision

- 1.38 We will record the exact terms of our decision (whether to approve or reject the proposal) here together with reasons for that decision.

Conditions

- 1.39 If our decision is to approve the change, but subject to conditions subsequent to that decision, we will record those conditions and the reasons for them here.

Period regulatory decision remains valid for implementation

- 1.40 If our decision is to approve the change, we will detail any applicable time limitation for implementation here.

Implementation

- 1.41 If our decision is to approve the change, we will record when the new airspace design will become effective here.

Post-implementation review

- 1.42 If applicable, we will set out when we anticipate the post-implementation review will commence and the known data collection requirements with which the change sponsor will need to comply here. We will always make it known that we may need to request additional data in order to complete the post-implementation review and that these additional requirements will be made known to the change sponsor as soon as possible.

Annexes/glossary

- 1.43 These will be appended as appropriate, and will include a diagram of the approved airspace design.

CAA decision criteria

Proforma D2

CAA decision template

Temporary changes to airspace design

TITLE OF AIRSPACE CHANGE DECISION, CAP xxxx

Template version date 2 January 2018

Contents

Executive summary

Objective of the temporary change

1. This will briefly set out what the organisation proposing the temporary change was seeking to achieve and the temporary changes to the airspace design that aimed to achieve it.

Summary of the decision made

- 1.44 Where applicable, this will contain a precise statement of the temporary changes agreed, with reference to the means by which they were described by the change sponsor in the proposal submitted to the CAA at Step 4B.
- 1.45 The timescale the temporary change will be operational and when the airspace will revert to the pre-existing design.
- 1.46 If there are any conditions attached to a decision to agree to the temporary change, they will be set out here.
- 1.47 If the request was not approved, we will record that here.

Next steps

- 1.48 (If applicable) We will record here our requirements with respect to the temporary change sponsor's obligations to undertake regular engagement with stakeholders during the operation of the temporary change and to collate, monitor and report back to the CAA on the level and contents of feedback received during that period.

Decision process and analysis

Chronology of proposal process

Statement of Need and assessment meeting (Stage 1, Step 1A)

- 1.49 A summary of the issue being addressed by the temporary change and its aims and objectives reflected in the Statement of Need. A reference to when the assessment meeting took place and the minutes produced after that meeting. A record of the CAA's assessment that a temporary airspace change was an appropriate method of addressing the issue identified.

Consultation gateway

- 1.50 A statement that the CAA reviewed the change sponsor's consultation and engagement strategy and documents against the criteria set out in our guidance document. An explanation why the CAA approved that strategy and the contents as appropriate for this proposed temporary airspace change.

Proposal update and submission to the CAA (Stage 4, Step 4A and 4B)

- 1.51 A summary of the steps taken by the change sponsor to finalise its proposals taking the feedback received during the consultation with aviation stakeholders into account. A statement as to when the request for a temporary airspace change was submitted to the CAA.

CAA analysis of the material provided

- 1.52 A summary and formal record of the final and complete set of material provided to the CAA and relied upon by the change sponsor requesting the temporary change will be set out. The CAA will also record the complete set of data provided by other stakeholders direct to the CAA that has been taken into account by the CAA when reaching our decision.
- 1.53 A record of the document produced by the CAA as evidence of our analysis of this material containing our:
- safety review
 - operational assessment
 - environmental assessment and statement
 - consultation assessment
- of the potential impact of the proposed temporary change.

CAA consideration of factors material to our decision whether to agree to the temporary change

Explanation of statutory duties

- 1.54 We will explain, with reference to material on our website, the legal and policy framework which bounds our duty to take this decision and the material factors which we are required to consider before taking it. In some cases the material on the website will be a complete explanation. In other cases there may be other international

obligations, government policy or CAA policy which are relevant to the particular proposal under consideration which we will additionally set out here.

Conclusions in respect of our safety duty

- 1.55 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed temporary change on the objectives represented in this duty.

Conclusions in respect of our duty to secure the most efficient use of airspace and an expeditious flow of traffic

- 1.56 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the temporary change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed temporary change on the objectives represented in this duty.

Conclusions in respect of our duty to take into account the Secretary of State's guidance to the CAA on environmental objectives

- 1.57 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the temporary change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed temporary change on the objectives represented in this duty.

Conclusions in respect of our duty to satisfy the requirements of aircraft operators and owners

- 1.58 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the temporary change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed temporary change on the objectives represented in this duty.

Conclusions in respect of our duty to take account of the interests of any other person

- 1.59 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the temporary change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed temporary change on the objectives represented in this duty.

Conclusions in respect of our duty to facilitate integrated operation of ATS provided by the armed forces and others ATS providers

- 1.60 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the temporary change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed temporary change on the objectives represented in this duty.

Conclusions in respect of our duty to take account of the interests of national security

- 1.61 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the temporary change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed temporary change on the objectives represented in this duty.

Conclusions in respect of our duty to take account of any International obligations notified to us by the Secretary of State

- 1.62 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the temporary change proposed and the data submitted by other stakeholders. We will set out our assessment of the prospective impact of the proposed temporary change on the objectives represented in this duty.

CAA's regulatory decision

- 1.63 We will record the exact terms of our decision (whether to approve or reject the request to agree to a temporary airspace change) here together with reasons for that decision.

Conditions

- 1.64 If our decision is to approve the temporary change, but subject to conditions subsequent to that decision, we will record those conditions and the reasons for them here.

Period regulatory decision remains valid for implementation

- 1.65 If our decision is to approve the temporary change, we will detail any applicable time limitation for implementation here.

Implementation

- 1.66 If our decision is to approve the temporary change, we will record when the new airspace design will become effective here and when the airspace will revert back to the existing design at the end of the temporary change.

On-going engagement and monitoring post- implementation during period of operation of the temporary airspace change

- 1.67 We will record here our requirements with respect to the temporary change sponsor's obligations to undertake regular engagement with stakeholders during the operation of the temporary change and to collate, monitor and report back to the CAA on the level and contents of feedback received during that period.

Annexes/glossary

- 1.68 These will be appended as appropriate, and will include a diagram of the approved temporary airspace design.

CAA decision criteria

Proforma D3

CAA decision template

Airspace trials

TITLE OF AIRSPACE CHANGE DECISION, CAP xxxx

Template version date 2 January 2018

Contents

Executive summary

Objective of the trial

1. This will briefly set out what the organisation proposing the trial is seeking to achieve and the detail of the trial to the airspace design that aims to achieve it.

Summary of the decision made

- 1.69 Where applicable, this will contain a precise statement of the trial agreed to, with reference to the means by which it was described by the change sponsor in the Statement of Need submitted to the CAA.
- 1.70 The timescale the trial will be operational and when the trial will cease.
- 1.71 If there are any conditions attached to a decision to agree to the trial, they will be set out here.
- 1.72 If the request for a trial was not approved, we will record that here.

Next steps

- 1.73 (If applicable) We will record here our requirements with respect to the trial sponsor's obligations to undertake regular engagement with stakeholders during the operation of the trial and to collate, monitor and report back to the CAA on the level and contents of feedback received during that period.

Decision process and analysis

Chronology of proposal process

Statement of Need and assessment meeting (Stage 1, Step 1A)

- 1.74 A summary of the issue being addressed by the trial and its aims and objectives reflected in the Statement of Need. A reference to when the assessment meeting (if

applicable) took place and the minutes produced after that meeting. A record of the CAA's assessment that a live trial was an appropriate.

Consultation gateway

- 1.75 A statement that the CAA reviewed the change sponsor's consultation and engagement strategy and documents against the criteria set out in our guidance document. An explanation of why the CAA approved that strategy and the contents as appropriate for this proposed temporary airspace change.
- 1.76 A statement that the change sponsor has satisfactorily assessed the likely noise impact of the trial while in operation.

Proposal update and submission to the CAA (Stage 4, Step 4A and 4B)

- 1.77 A summary of the steps taken by the change sponsor to finalise its proposals taking the feedback received during the consultation with aviation stakeholders into account. A statement as to when the request for a temporary airspace change was submitted to the CAA.

CAA analysis of the material provided

- 1.78 A summary and formal record of the final and complete set of material provided to the CAA and relied upon by the change sponsor requesting the trial will be set out. The CAA will also record the complete set of data provided by other stakeholders direct to the CAA that has been taken into account by the CAA when reaching our decision.
- 1.79 A record of the document produced by the CAA as evidence of our analysis of this material containing our:
- safety review
 - operational assessment
 - environmental assessment and statement
 - consultation assessment
- of the potential impact of the proposed trial.

CAA consideration of factors material to our decision whether to agree to the trial

Explanation of statutory duties

- 1.80 We will explain, with reference to material on our website, the legal and policy framework which bounds our duty to take this decision and the material factors which we are required to consider before taking it. In some cases the material on the website will be a complete explanation. In other cases there may be other international obligations, government policy or CAA policy which are relevant to the particular trial under consideration which we will additionally set out here.

Conclusions in respect of our safety duty

- 1.81 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the trial proposed. We will set out our assessment of the prospective impact of the proposed trial on the objectives represented in this duty.

Conclusions in respect of our duty to secure the most efficient use of airspace and an expeditious flow of traffic

- 1.82 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the trial proposed. We will set out our assessment of the prospective impact of the proposed trial on the objectives represented in this duty.

Conclusions in respect of our duty to take into account the Secretary of State's guidance to the CAA on environmental objectives

- 1.83 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the trial proposed. We will set out our assessment of the prospective impact of the proposed trial on the objectives represented in this duty. We will indicate how we took the change sponsors noise impact assessment into account as part of this decision whether or not to agree to the trial.

Conclusions in respect of our duty to satisfy the requirements of aircraft operators and owners

- 1.84 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the trial proposed. We will set out our assessment of the prospective impact of the proposed trial on the objectives represented in this duty.

Conclusions in respect of our duty to take account of the interests of any other person

- 1.85 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the trial proposed. We will set out our assessment of the prospective impact of the proposed trial on the objectives represented in this duty.

Conclusions in respect of our duty to facilitate integrated operation of ATS provided by the armed forces and other ATS providers

- 1.86 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the trial proposed. We will set out our assessment of the prospective impact of the proposed trial on the objectives represented in this duty.

Conclusions in respect of our duty to take account of the interests of national security

- 1.87 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the trial proposed. We will set out our assessment of the prospective impact of the proposed trial on the objectives represented in this duty.

Conclusions in respect of our duty to take account of any International obligations notified to us by the Secretary of State

- 1.88 We will set out our understanding of our duty and our assessment of the data put forward by the change sponsor in support of its request for the trial proposed. We will set out our assessment of the prospective impact of the proposed trial on the objectives represented in this duty.

CAA's regulatory decision

- 1.89 We will record the exact terms of our decision (whether to approve or reject the request to agree to a trial) here together with reasons for that decision.

Conditions

- 1.90 If our decision is to approve the trial, but subject to conditions subsequent to that decision, we will record those conditions and the reasons for them here.

Period of trial

- 1.91 If our decision is to approve the trial, we will detail any applicable time limitation for implementation here.

Implementation

- 1.92 If our decision is to approve the trial, we will record when the trial will be operational here and when the airspace will revert back to the existing design at the end of the trial.

On-going engagement and monitoring post-implementation during period of operation of the temporary airspace change

- 1.93 We will record here our requirements with respect to the trial sponsor's obligations to undertake regular engagement with stakeholders during the operation of the trial and to collate, monitor and report back to the CAA on the level and contents of feedback received during that period

Annexes/glossary

- 1.94 These will be appended as appropriate, and will include a diagram of the approved trial design.