Safety and Airspace Regulation Group

CAA Guidance on the Application of the Airspace Change Process

CAP 725

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Revision History

Edition 1 April 2002

The first edition of the Airspace Change Process was published within CAP 724 'The Airspace Charter', in May 1996, enabling any organisation to initiate a change to the airspace arrangements. The Airspace Change Process was revised and the Airspace Charter republished in March 2002. However, during these revisions, additional guidance was compiled and published in a separate document, CAP 725 Guidance on the Airspace Change Process.

Edition 2 May 2004

The opportunity has been taken to incorporate extensive changes to the narrative on the basis of SARG's past experience with airspace change proposals.

Edition 3 March 2007

As a consequence of the practical experience gained over the past few years a need was identified to enhance the Airspace Change Process. A review was initiated to further strengthen the soundness and stability of the UK airspace arrangements. The entire Airspace Change Process has been revamped following extensive consultation exercise with all major interest groups. This new manual takes account of the need for transparency and consistency and enables a potential Change Sponsor to follow the Airspace Change Process. It also provides greater clarity on the roles and responsibilities of a Change Sponsor and those of the Regulator; and importantly, in the activities of a consultation exercise and the environmental assessment of any proposed change.

Edition 4 March 2016

This Edition reflects the reorganisation of the CAA in January 2014 and changes to the various policies that underpin the Process, including the Government's 'Guidance to the Civil Aviation Authority on Environmental Objectives Relating to the Exercise of its Air Navigation Functions' published in January 2014. This Edition

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also formalises a number of activities currently accepted as best practice that have been adopted over recent years.

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Foreword

The Airspace Change Process was first published within CAP 724 – 'The Airspace Charter', in May 1996, enabling any organisation to initiate a change to UK airspace arrangements. The Airspace Change Process was revised in 2002 and subsequently, again in 2007 to its current form. During that period CAP 725 'CAA Guidance on the Application of the Airspace Change Process' has formed the guidance for the way in which sponsors progress airspace change proposals and the way in which the CAA judges those proposals.

We are currently reviewing the process and tools that we use to make decisions about changes to airspace in the UK. We will consult publicly on any changes that we intend to make to the current Airspace Change Process. As part of that consultation, we will be engaging with a wide range of interested parties, including communities affected by aircraft noise.

Meanwhile, it was also recognised that CAP 725 itself required updating to reflect the reorganisation of the CAA in January 2014 and changes to the various policies that underpin the Process, not least the Government's 'Guidance to the Civil Aviation Authority on Environmental Objectives Relating to the Exercise of its Air Navigation Functions'. As a consequence CAP 725 is being re-issued to reflect these administrative and policy changes; this re-issue does not prejudice the outcome of the CAA's consultation on revising the Airspace Change Process.

Group Director, Safety and Airspace Regulation Group

14 March 2016

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Glossary

Airspace Change Proposal – Abbreviations and Acronyms

AAA	Airspace, ATM and Aerodromes, a department within SARG
ACC	Area Control Centre
ACP	Airspace Change Proposal
ADMS	Atmospheric Dispersion Modelling System - generic name for local air quality models available from Cambridge Environmental Research Consultants (CERC). The applicable variant for the purposes of this document is ADMS-Airport, which is an extension of ADMS-Urban
agl	Above ground level
AIC	Aeronautical Information Circular
AIE	Average Individual Exposure
AIP	UK Integrated Aeronautical Information Package
AIRAC	Aeronautical information regulation and control
amsl	Above mean sea level
ANASE	Attitudes to Noise from Aviation Sources in England
ANCON	Aircraft Noise Contour Model (UK DfT Aircraft Noise Model)
ANIS	Aircraft Noise Index Study
ANSP	Air Navigation Service Provider
AONB	Area of Outstanding Natural Beauty
AR	Airspace Regulation, a section within AAA
AQMA	Air Quality Management Area
ATC	Air Traffic Control
ATCO	Air Traffic Control Officer

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ATM	Air Traffic Management a section within AAA
ATM	Air Traffic Management
atm	Air transport movement
ATS	Air Traffic Service
ATSU	Air Traffic Service Unit
ATZ	Aerodrome Traffic Zone
BADA	Base of Aircraft Data
CAA	Civil Aviation Authority
CAEP	Committee on Aviation Environmental Protection
CAP	Civil Aviation Publication
CAS	Controlled Airspace
CAT	Commercial Air Transport
CCO	Continuous Climb Operations
CDO	Continuous Descent Operations
CO_2	Carbon Dioxide
COMEAP	Committee on the Medical Effects of Air Pollutants
CPRE	Campaign to Protect Rural England
CTA	Control Area
CTR	Control Zone
dB	Decibel units
dBA	Decibel units measured on an A-weighted scale
DEFRA	Department for the Environment, Food and Rural Affairs
DfT	Department for Transport, previously known as the Department of the Environment, Transport and the Regions (DETR), the Department of Transport, Local Government and the Regions (DTLR) or the Department of Transport (DoT)

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DoT	Department of Transport, since renamed Department for Transport
ECAC	European Civil Aviation Conference
EEA	European Environment Agency
ERCD	Environmental Research and Consultancy Department (of PPT)
FAA	Federal Aviation Administration (USA)
ft	Feet
GA	General Aviation
GDP	Gross Domestic Product
H_20	Water
Hz	Hertz
IAIA	International Association for Impact Assessment
IAP	Instrument Approach Procedure
ICAO	International Civil Aviation Organisation
IFR	Instrument Flight Rules
ILS	Instrument Landing System
INM	Integrated Noise Model (US DAA Aircraft Noise Model)
ISBN	International Standard Book Number
JSP	Joint Services Publication
kg	Kilogram
LDEN	Day-evening-night sound level
Leq	Equivalent continuous sound level
Lmax	Maximum sound level
LNight	Night sound level
LPLD	Low Power/Low Drag
LTO	Landing and take-off
mb	Millibar – a unit of pressure, one thousandth of a bar equivalent to

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	100 pascals
MoD	Ministry of Defence
N70	Noise contour describing the number of noise events above 70 dBA Lmax. Typically, contours ranging from 10 events to 500 events over 70 dBA Lmax are plotted
N80	Noise contour describing the number of noise events above 80 dBA Lmax. Typically, contours ranging from 10 events to 500 events over 80 dBA Lmax are plotted
NATMAC	National Air Traffic Management Advisory Committee
NATS	National Air Traffic Services Ltd
NDB	Non-Directional Beacon
Newton	Unit of force, equal to the force that would give a mass of one kilogramme an acceleration of one metre per second per second
NGO	Non-Governmental Organisational
nm	Nautical mile
NNI	Noise and Number Index
NO	Nitric Oxide
NO_2	Nitrogen Dioxide
NOX	Term used to describe the sum of nitric oxide (NO), nitrogen dioxide (NO2), and other oxides of nitrogen
NPR	Noise Preferential Route
NPV	Net Present Value
O_2	Oxygen
OS	Ordinance Survey
PANS	Procedures for Air Navigation Services
Pascal	Unit of pressure equivalent to 1 Newton per square metre
PBN	Performance-based Navigation

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PEI	Person-Event Index
PM10	Particulate Matter – 10 microns
POST	Parliamentary Office of Science and Technology
PPT	Policy Programmes Team, a department within the CAA
PSDH	Project for Sustainable Development of Heathrow
RCEP	Royal Commission on Environmental Pollution
RFI	Radiative Forcing Index
RNAV	Area Navigation
RNP	Required Navigation Performance
SARG	Safety and Airspace Regulation Group
SARPs	Standards and Recommended Practices
SEL	Sound Exposure Level
SES	Single European Sky
SID	Standard Instrument Departure
SRG	Safety Regulation Group (of the CAA)
SSR	Secondary Surveillance Radar
SSSI	Sites of Specific Scientific Interest – UK
STAR	Standard Arrival Route
TCAS	Traffic Alert & Collision Avoidance System
TMA	Terminal Control Area
tonne	1,000 kilograms
UAR	Upper Air Route
VFR	Visual Flight Rules
VOR	VHF Omni-directional Ranging
VRP	Visual Reference Point
W.m-2	Watts per square metre – the unit of measurement for sound

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	intensity or radiative forcing
WGS 84	World Geodetic System 1984 – an earth fixed global reference system
WHO	World Health Organization
µg.m-3	Micrograms per cubic metre – a measure of pollutant concentration

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Introduction

Statutory Duties

In exercising its air navigation functions, the CAA must give priority to maintaining a high standard of safety in the provision of air traffic services in accordance with its statutory duties set out in Section 70(1) of the Transport Act 2000 (ISBN 0 10 543800 6).

- The CAA must exercise its air navigation functions in the manner it thinks best calculated;
- to secure the most efficient use of airspace consistent with the safe operation of aircraft and the expeditious flow of air traffic;
- to satisfy the requirements of operators and owners of all classes of aircraft;
- to take account of the interests of any person (other than an operator or owner of an aircraft) in relation to the use of any particular airspace or the use of airspace generally;
- to take account of any guidance on environmental objectives given to the CAA by the Secretary of State after the coming into force of this section;
- to facilitate the integrated operation of air traffic services provided by or on behalf of the armed forces of the Crown and other air traffic services;
- to take account of the interests of national security;
- to take account of any international obligations of the United Kingdom notified to the CAA by the Secretary of State (whatever the time or purpose of the notification).

1. In addition, the CAA will also consider Government policies on the future development of air transport and have due regard for the NATS (En-route) Licence.

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2. The CAA's Air Navigation functions are to be considered by the Group Director, SARG.

3. A change to the use or classification of airspace in the UK can take many forms and may be simple and straightforward to implement with little noticeable operational or environmental impact. Conversely, a change may be complex and involve significant alterations to existing airspace arrangements that impact upon the various airspace user groups and the general public. All airspace changes are unique and, regardless of scale, will require some form of consultation. Changes to airspace arrangements, which fall within the scope of this document as set out below, should only be made after consultation that includes consideration and assessment of the environmental impacts outlined in Annex B. The level of consultation will be determined by the 'impact' that the change will have on others and not the 'size' of the change itself.

4. The purpose of this document is to provide detailed guidance and a better understanding of the process by which changes to the dimensions, classification or use of UK airspace are implemented. This document describes the recommended process for submitting an airspace change proposal rather that setting out the technical design criteria, and although it draws from several reference documents (refer to Annex 1 to Appendix A), it is essential that Change Sponsors refer to these source documents and do not rely on CAP 725 as their sole source of information, direction and guidance. This document provides a framework for the stages and activities ordinarily involved, from the conception of the need for an airspace change through to regulatory decision and, finally, if appropriate, implementation. It also provides specific guidance for conducting the consultation exercise and sets out the requirement for the completion of consultation, operational and environmental reports.

5. It is impossible to provide all of the answers a Change Sponsor may need as many of the issues will invariably be local in their nature and Change Sponsors may be faced with situations specific to their own needs without precedent elsewhere. Consequently, in addition to this guidance, Change

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Sponsors should maintain close contact with the assigned SARG AAA Project Leader in order to seek additional clarification and guidance where necessary in order to avoid delays and inefficient use of resources.

Application of the Airspace Change Process

6. An airspace change is characterised by a change to the notified airspace arrangements in the UK AIP and is normally characterised by one or more of the following conditions:

   i. Changes to the International Civil Aviation Organization (ICAO) airspace classification either through the creation of a higher classification than currently exists, or in some cases through the removal of existing controlled airspace of Classes A, C, D[1] or E;

   ii. Changes to the lateral or vertical dimensions of existing Controlled Airspace (CAS);

   iii. The introduction of, or changes to, Standard Instrument Departure routes (SIDs), Standard Arrival Routes (STARs) or Noise Preferential Routes (NPRs) within controlled airspace. Standard Departure Routes (SDRs) and NPRs where they exist outside controlled airspace are not covered by this Process. However, aerodrome operators are strongly recommended to adopt the same principles when considering the need for new or amended SDRs and NPRs under these circumstances;

   iv. Introduction of, or significant changes to existing[2], Holding Patterns;

   v. Changes to Area Control Centre (ACC) arrangements resulting in modifications to the existing published ATS route structure. Changes to ACC sector boundaries that have no additional environmental impact

[1] In the UK, controlled airspace will normally be classified as ICAO Classification A, C or D. The normal default background classification will be Class G, unless flight safety or ATM management reasons indicate a requirement for a higher classification. A full description of the ICAO Airspace Classifications as they are applied in the UK can be found at AIP ENR 1.4.

[2] In this context, 'significant' is determined as a complete re-alignment or re-orientation of the hold or a lowering of the minimum holding altitude. Changes due to magnetic variation do not need to be addressed by means of an airspace change.

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over that currently experienced are not normally subject to the Airspace Change Process, unless one of the characteristics described here occurs as a direct consequence of the revised arrangements;

vi. Delegation of ATS to an adjacent State;

vii. Changes to the lateral or vertical dimensions of Danger Areas, Restricted or Prohibited Airspace, Temporary Reserved Areas or significant changes in their operational use, other than emergency situations or matters of National Security;

viii. Changes to existing published terminal patterns and procedures where the net effect results in changes to the lateral dispersion or lowering in altitude of traffic within controlled airspace; and

ix. Significant changes to the hours of operation of existing airspace structures.

7. As an Aerodrome Traffic Zone (ATZ) assumes the classification of the airspace in which it is established, the Airspace Change Process is not used for their establishment. Instead, any request for the establishment of an ATZ will follow the procedure described at Appendix I of the Airspace Charter.

8. Procedures for the establishment of Visual Reference Points (VRPs) are currently described in Aeronautical Information Circular (AIC) 18/2004 (Yellow 129) dated 1 April 2004.

9. In all cases, Change Sponsors should seek advice from the SARG Project Leader at an early stage of their planning in order to determine how the Airspace Change Process affects their particular proposal.

Sponsorship of an Airspace Change

10. Anybody can initiate, and thus, sponsor, an airspace change. Principally, SARG believes that a Change Sponsor will be one of the following:

i. An aerodrome operator;

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ii. An Air Navigation Service Provider (ANSP); or

iii. A combination of aerodrome operator and ANSP.

iv. The Regulator (CAA/SARG).

Roles and Responsibilities

11. The key participants involved in any airspace change will have the following roles and responsibilities:

SARG:

i. Owns, and is fully responsible for, the Airspace Change Process;
ii. Provides guidance to a Change Sponsor on the application of the Process and fulfilling the operational, environmental and consultation requirements, but not to assist a Change Sponsor in developing the airspace designs of a Formal Proposal for submission to Group Director, SARG;
iii. Scrutinises and assesses a Change Sponsor's Formal Proposal against the regulatory requirements;
iv. Approves/Rejects the Change Sponsor's Formal Proposal and refers that decision to the Secretary of State for Transport where it considers that the proposal represents a significant environmental disbenefit.
v. Must be openly and transparently accountable for the regulatory decision-making; and
vi. Fulfil its statutory duties and meets the Direction from the Secretaries of State for Transport and Defence for the overall interest of airspace users.

Change Sponsor:

i. Owns the Airspace Change Proposal to modify airspace arrangements and is responsible for developing its change proposal, whilst ensuring that it satisfies and/or enhances safety, improves capacity and mitigates, as far as practicable, any environmental impacts in line with

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the provisions of the DfT's Environmental Guidance provided to the CAA;

ii. Accountable for identifying relevant stakeholders and conducting an effective consultation exercise;

iii. Designs and carries out consultation on the operational and environmental impacts of the proposed airspace change; and

iv. In light of the responses to the consultation exercise, a Change Sponsor is accountable for the decisions to modify or not modify its proposed airspace design.

Stakeholders/Consultees:

i. Contributes to the consultation process by providing relevant opinions/considerations on the effects of an airspace change proposal as it affects their particular group to the Change Sponsor in a timely manner;

ii. Informs a Change Sponsor of other stakeholders that have not been engaged during a consultation exercise; and

iii. Shares information and research undertaken that is relevant to the Airspace Change Proposal.

Focus Groups:

i. Provides advice and opinions on the Change Sponsor's airspace design option(s);

ii. Highlights potential consequences that have been overlooked in the airspace change design option(s); and

iii. Assists a Change Sponsor with the identification of stakeholders and the formulation of the consultation material.

AAA Project Leader:

i. Acts as the Change Sponsor's main point of contact in SARG;

ii. Compiles/coordinates all elements of the regulatory assessment; and

iii. Ensures guidance is provided to Change Sponsors regarding any Airspace Change Process queries.

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Overview of the Airspace Change Process

Stage 1	**Framework Briefing**
Stage 2	**Proposal Development**
Stage 3	**Preparing for Consultation**
Stage 4	**Consultation and Formal Proposal Submission**
Stage 5	**Regulatory Decision**
Stage 6	**Implementation**
Stage 7	**Operational Review**

12. Airspace Change Proposals will be handled according to the standard published Process as set out in this document. In contemplating any airspace change, it is essential that consideration be given to the implications that a move from the status quo will have on the operations of the Change Sponsor, those of other airspace users, aerodrome operators, ANSPs and the general public.

13. SARG reserves the right to implement a 'Fast Track' process, as set out in CAP 724 – The Airspace Charter, reserved specifically for use by SARG in the unlikely event that urgent 'safety critical' or national security changes are needed. In such cases, SARG will liaise closely with the ANSP in developing an Airspace Change Proposal and in its implementation.

14. Airspace Change Proposals completed and put forward in accordance with the standard published Process will need to convince the Group Director, SARG, of the need for, and merits of, the proposed airspace change in terms of safety, efficiency, providing environmental benefits or mitigating its environmental impact to the greatest extent possible. Change Sponsors should note from the outset that it is vital that they give careful consideration to the implications of the proposed change on their own operations/activities, those of other airspace users and the general public living beneath existing and proposed controlled airspace. Thus, Change

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Sponsors should be aware when developing their initial design proposals that these may need to be adapted to reflect and balance the competing requirements of the stakeholders. During Stage 1 – Framework Briefing, SARG will brief potential Change Sponsors on the viability of their embryonic Proposal, give guidance on the consultation requirements and provide advice about identifying stakeholder organisations. The success of an airspace change proposal will depend upon the ability of the Change Sponsor to satisfy the regulatory requirements as demonstrated through the quality of the operational and environmental analysis, the thoroughness of the consultation and, subsequently, its formal submission to SARG as a fully developed Airspace Change Proposal.

15. A timescale for completion of the full Process cannot be pre-determined. However, SARG has set a timeframe for the Regulatory Decision stage of 16 weeks. The amount of resource that a Change Sponsor would need to devote to proposal development, consultation, adaptation and documentation could be considerable and would invariably affect the length of the Process, as would the complexity and sensitivity of a proposal. For example, the nature of the consultation might require that an iterative process of 'consult-refine-consult' is necessary and this would need to be considered when looking ahead to implementation timescales.

16. It is likely that Change Sponsors will receive opposition to their Airspace Change Proposals from one or more stakeholder groups. Objections may come at any time during the Process (up to Regulatory Decision) from airspace users, adjacent ANSPs, local government, the public or environmental interest groups. In some cases it may be possible, and in some cases necessary, to modify airspace change proposals to accommodate such opposition. Change Sponsors should remain alert to the possibility of an opposition group leading a campaign against their Airspace Change Proposal, which could result in considerable delays to the completion of the Sponsor Consultation and Proposal Development stages of the Process; such activity should be reported to the SARG Project Leader without delay. Change Sponsors may at least need to reconsider planned change implementation dates in such circumstances. They may

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even have to withdraw the Airspace Change Proposal altogether. SARG will make the final decision that will be based on an assessment of full objective submissions from all parties concerned notwithstanding the requirement to refer its decision to the Secretary of State for Transport in the event that the proposed change will result in a significant environmental disbenefit.

17. A Change Sponsor must consider the MoD as another airspace stakeholder and thus consult the MoD with regard to any proposed changes. Notwithstanding, SARG will continue to fulfil its statutory duties with regard to MoD (on national security grounds) as well as DfT (on environmental matters).

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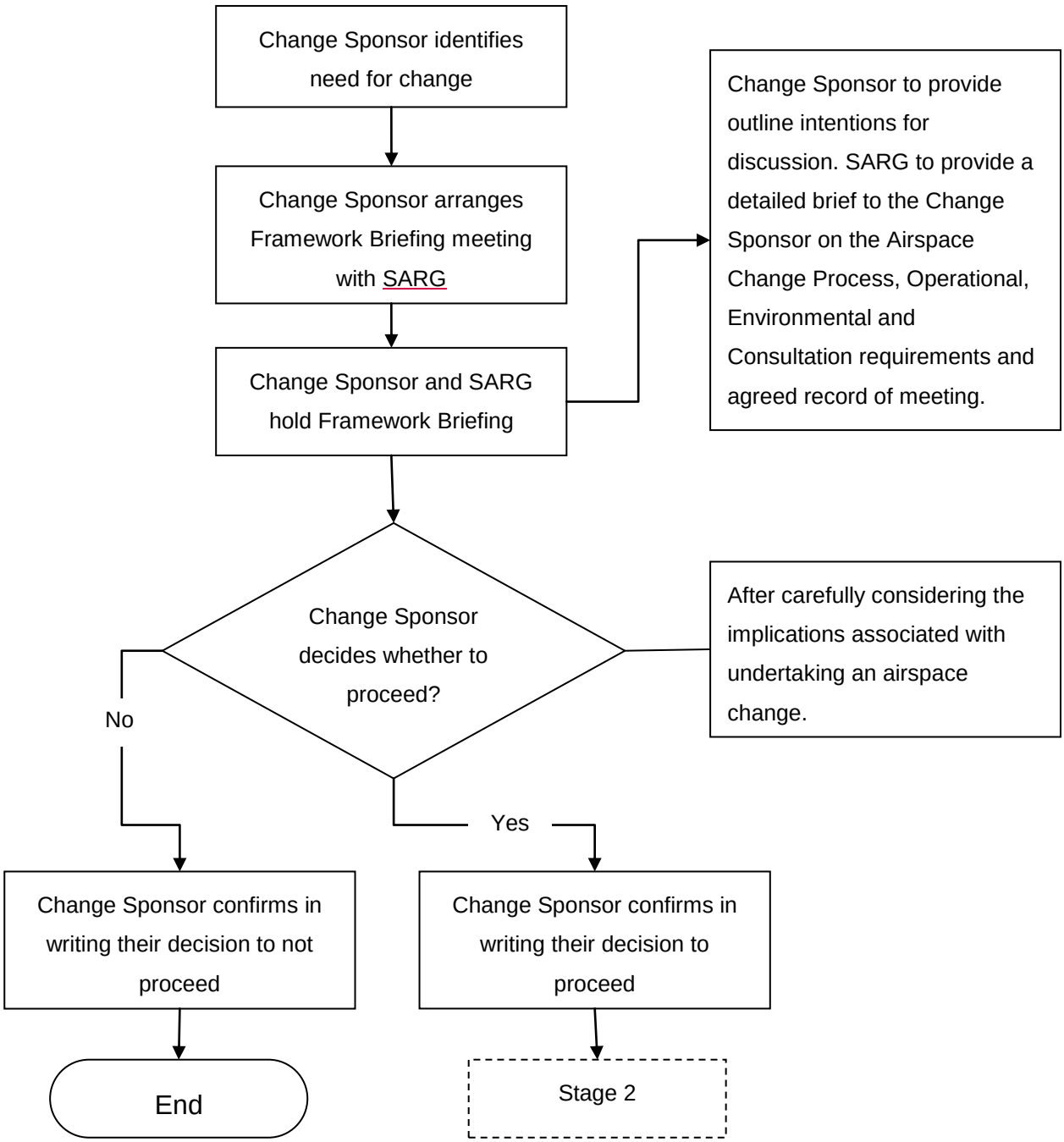
Stage 1

Framework Briefing



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1.1 Initially, prospective sponsors should submit CAA Form DAP1916 to enable SARG Manager AR to assess whether the Airspace Change Process might applyand to allocate a SARG Case Officer/point of contact as necessary. On identifying a need for changing the airspace arrangements, it is strongly advised that the Change Sponsor arrange a meeting with SARG as a fundamental first step in the Airspace Change Process. As all airspace changes are unique in their own right, the Framework Briefing is the occasion when Change Sponsors can discuss with the Regulator their intentions, any issues/concerns that are currently being experienced and how/why they believe that changing the airspace arrangements will address these difficulties. In a similar way, it provides an opportunity for the Regulator (CAA/SARG) to provide appropriate and tailored advice and guidance on the specific requirements. This meeting is important to discuss the high-level implications of a proposed airspace change. It also provides a Change Sponsor with an appropriate foundation to start developing the Airspace Change Proposal whilst ensuring that the proposed modifications to the airspace will satisfy individual needs and be proportionate with regard to others affected.

Outline Intentions

1.2 Change Sponsors should not develop a draft proposal at this stage but come prepared to discuss the requisites of their Airspace Change Proposal. The outline intentions must include:

- Background and Justification for the proposed change;
- An initial assessment of the impact of the proposed change on all airspace users;
- The Environmental Aims/Assumptions;
- An initial assessment of the environmental implications of the proposed change;
- An initial assessment of the Stakeholders/Consultees and an outline Consultation Plan;
- An initial assessment of the impact of the proposed change on the airspace arrangements in adjoining States (where appropriate); and
- Identification of any connectivity to European Airspace Programmes, including relevant timescales (where appropriate).

1.3 During the discussions, SARG staff will listen to the Change Sponsor's line of reasoning and will provide the appropriate advice and guidance as to

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the best way forward. As part of the meeting, SARG staff will give a detailed verbal brief on:

- The Process itself;
- The Environmental Requirements (refer to Appendix B);
- The Consultation Requirements (including Stakeholder Analysis, Focus Groups, Recording and Handling Consultation Responses, (refer to Consultation Record Sheet at Appendix C), and the Assessment Criteria that will be used to assess the consultation during the Regulatory Decision stage); and
- The structure of the formal Airspace Change Proposal submission (refer to Appendix C) as well as the assessment criteria that will be used to assess the airspace and infrastructure requirements during the Regulatory Decision stage.

1.4 A SARG Project Leader will also be established for all the Change Sponsor's future enquiries. With the aim of being as fair and consistent as possible, the presentational material and minutes of the discussions will be provided in writing within two weeks of the meeting in an effort to avoid any misinterpretations before the consultation is initiated.

1.5 Following the briefing, Change Sponsors must confirm, in writing, their intention to proceed or not with the development of a Proposal.

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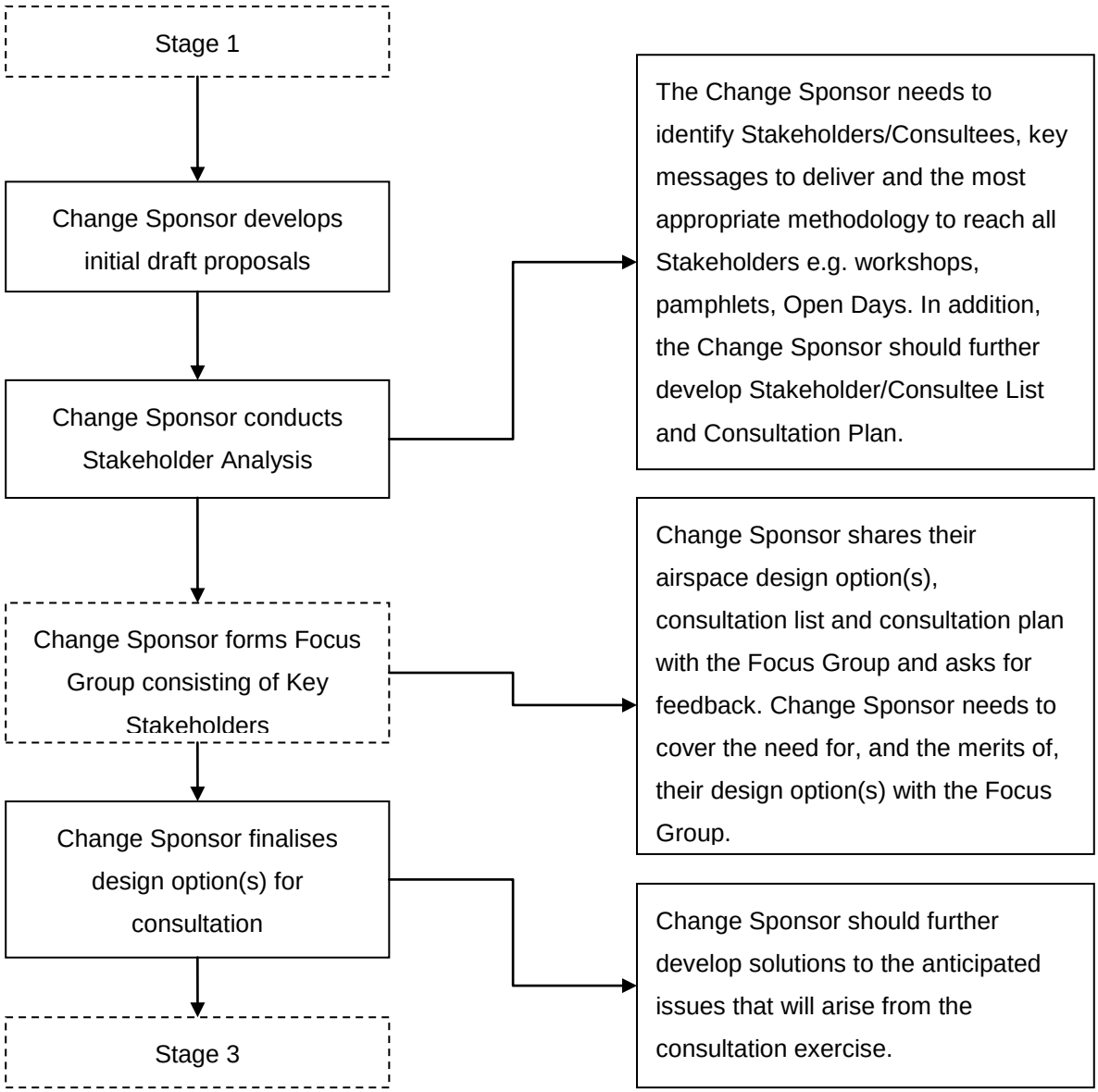
Stage 2

Proposal Development



2.1 Having identified a need for change and having attended the Framework Briefing, the Change Sponsor begins to develop and analyse detailed airspace design options that would satisfy their needs. All design options must be compliant with the technical criteria contained within the various documents set out in Annex 1 to Appendix A.

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2.2 Where Change Sponsors are developing initial draft proposals, it would be sufficient to consider environmental matters in broad terms to begin with, but nevertheless bear in mind that a detailed environmental assessment will be required when finalising the design option(s) for consultation. The environmental impact of airspace design options must be considered from the outset and will vary from one airspace change to another. Guidance on completing a full environmental assessment of an airspace change is contained in Appendix B, which describes the methodologies and metrics that would enable SARG to assess the environmental impact of Proposals in accordance with CAA's statutory duties. Therefore, the Change Sponsor should discuss their general intentions for environmental assessment with the SARG Project Leader at the beginning of the Proposal Development stage and, if necessary, with PPT Environmental Research and Consultancy Department staff who will provide expert advice.

2.3 Development of design options should also proceed under the headings detailed in: Airspace Change Proposal – Operational Report in Appendix A, and which form the basic structure on which to build a formal proposal.

2.4 It is vital that the Change Sponsor identifies any critical interdependencies with neighbouring ANSPs (operational/technical/ training) and puts in place plans to resolve any issues that arise.

Stakeholder Analysis

2.5 Once there is sufficient clarity in the airspace design options, the Change Sponsor can continue to identify all the different parties affected by these design options by conducting a 'stakeholder analysis'. The CAA defines stakeholders as representative groups who are, or might be, affected – either positively or negatively – by any action taken by the Change Sponsor. It is important to think broadly about the affected parties beyond direct airspace users, or organisations that have a known interest. For example, the Proposal might impact on other sectors of the population outside the immediate environs of the airport. All Regional, County, District, Borough Councils and Unitary Authorities, whose area of responsibility might be over flown, especially if it is the first time this will occur, must be considered as 'stakeholders'. In addition, those authorities (including Parish/Community Councils), not falling into the above category but which have previously shown an interest – either positive or negative – in the Change Sponsor's business activities must be considered. 'The Local Government Companion' (ISBN 10: 0 11 7027 67 7), published by The Stationery Office, provides a definitive guide to the functions and people of local government. Members of the SARG's National Air Traffic

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Management Advisory Committee (NATMAC) are to be regarded as stakeholders/consultees and members' contact details will have been provided at the end of the Framework Briefing stage. In addition, various environmental groups such as Natural England, the National Trust, National Parks, Scottish Natural Heritage, the Countryside Council for Wales, the Environment and Heritage Services in Northern Ireland and Non-Governmental Organisations (NGOs) such as CPRE, may also be considered as 'stakeholders'. Change Sponsors should also consider Areas of Outstanding Natural Beauty (AONB), Conservation Areas and Sites of Special Scientific Interest -UK (SSSIs) during its proposal development.

2.6 If the stakeholder analysis is utilised correctly, it will greatly assist with producing a complete list of consultees to be used during the critical Consultation Stage. In addition, it will assist with identifying appropriate methodologies to reach the consultees and may also serve to highlight 'key messages' for use in communicating the proposed airspace change to consultees. Guidance on how to conduct a stakeholder analysis can be covered, on request, as part of the Framework Briefing.

Focus Group

2.7 Once all affected parties have been identified, it is recommended that the Change Sponsor invites some of these parties from a cross-section of those affected to form a Focus Group. This is not, however, a mandatory requirement. The purpose of using a Focus Group is to provide the Change Sponsor with views and potentially highlight previously overlooked consequences of a particular design option prior to formal consultation (refer to Appendix D). Aerodromes with an airport consultative committee may consider utilising this forum as its Focus Group. The role of the Focus Group is not to endorse or hinder the Change Sponsor's Proposal. Areas where the Focus Group can contribute significantly are:

- The development of the design options;
- Identification of what will be considered important by stakeholders/consultees and the potential resolution of issues;
- Identification of additional stakeholders/consultees and the most appropriate methods of reaching them;
- Assistance with the formulation of the consultation material to ensure that it will be clear and understood by the stakeholders/consultees – this will also help get any messages across better; and

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- Highlight areas that need clarification/additional information.

2.8 The Change Sponsor may seek to modify the Proposals in the light of the Focus Group's feedback. Once the modification is complete, the Change Sponsor must also provide feedback to the Focus Group. Further guidance on the role of the Focus Group can be covered, on request, as part of the Framework Briefing.

2.9 If the Change Sponsor chooses not to form a Focus Group, it should continue with the formulation of the design options in preparation for the consultation stage.

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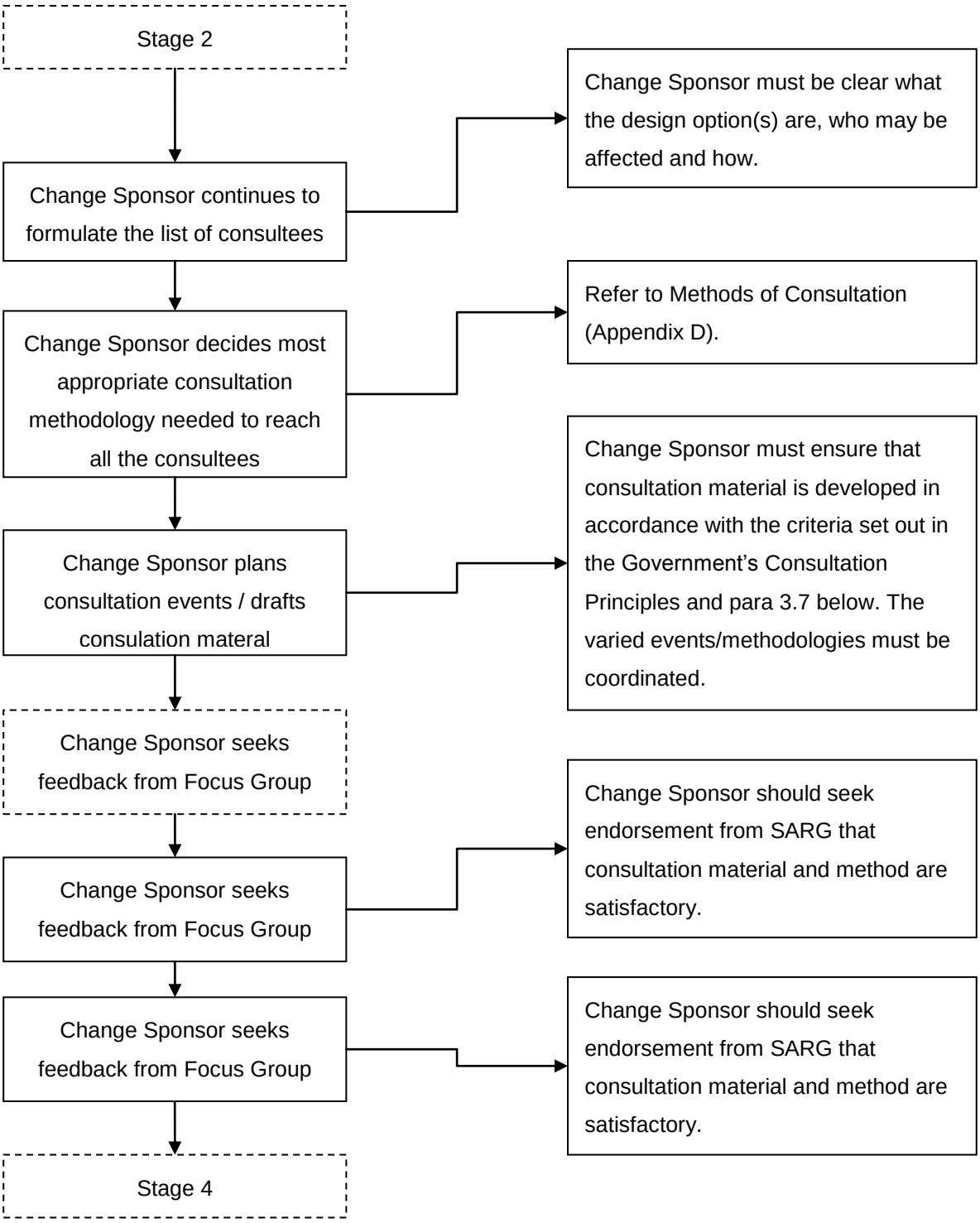
Stage 3

Preparing for Consultation



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3.1 The Change Sponsor and Consultees must fully understand the purpose of the consultation exercise. From a Change Sponsor's perspective, consultation is about attaining or confirming views and opinions about the impact of a particular Airspace Change Proposal. Consultees have a crucial role in providing relevant and timely feedback to the Change Sponsor in the form of their views and opinions on the impact of a particular Airspace Change Proposal. Consensus is not necessary nor should it be expected. However, a Change Sponsor will be accountable for their decisions to either accommodate or disregard consultees' responses and for providing timely feedback to the consultees. These decisions and actions will be scrutinised and form part of the SARG's assessment criteria at the Regulatory Decision stage.

3.2 The Change Sponsor will have already identified all the different parties affected by the design options during the 'stakeholder analysis'. All these parties will automatically form the 'list of consultees' and will need to be consulted; be aware that there could still be others that are identified during the Consultation Stage with whom the Change Sponsor will need to engage. Work now focuses on attaining all the correct contact details. Identifying the most appropriate method of consultation (refer to Appendix D) with those affected by the design options is equally important. Whilst the bulk of consultation will probably be by correspondence, it may also be appropriate to visit organisations or even undertake 'road-shows' in order to explain the proposed change. In many cases, a Proposal may need to be adapted in the light of the feedback received.

3.3 It might be useful to use a timetable that identifies completion dates for key tasks associated with the consultation exercise. In circumstances where a number of methods have been utilised to involve the public to develop a particular design option, the responses gained through these different methods will need to be integrated into the Change Sponsor's Formal Proposal submission to the CAA.

3.4 The Change Sponsor should seek feedback from the Focus Group, and subsequently SARG, before finalising the consultation material and consultation methodologies.

3.5 Change Sponsors must conduct their consultation exercise in accordance with the Government's Consultation Principles. In addition, SARG expects Change Sponsors to take account of the following six criteria adopted from previous consultation guidance:

- Consult widely throughout the process, allowing a minimum of 12 weeks for written consultation at least once during the development of the Airspace Change Proposal;

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- Be clear about what the Proposals are, who may be affected, what questions are being asked and the timescale for responses;
- Ensure that the consultation is clear, concise and widely accessible;
- Give feedback regarding the responses received and how the consultation process influenced the Airspace Change Proposal;
- Monitor the effectiveness of the consultation, including the use of a designated Consultation Co-ordinator; and
- Ensure the consultation follows better regulation best practice principles -Proportionality; Accountability; Consistency; Transparency; and Targeting.

Consultation Documentation

3.6 The Change Sponsor must set out what the Airspace Change Proposal is and how it affects the various stakeholders. If a single design option is being consulted upon, it would be advantageous to briefly state what other options have been considered and give the reasons why these options have been discarded.

3.7 To ensure the effectiveness of the consultation documentation, the following guidelines should prove beneficial:

- Be clear/use plain language: Set out what it is that needs to be known and why, and make it clear to those who are being consulted. State from the start what is being consulted upon (e.g. routes, timings of operations) and what is not being consulted upon (e.g. safety requirements). It is likely that there will be a number of consultation documents for different audiences, e.g. using technical terms for aviation or environmental consultees, but using non-technical language and avoiding jargon/acronyms for the public. In consultation material aimed at members of the public, it is also recommended that issues such as vectoring and aircraft track/routes are included and carefully explained;
- Be sensitive: People could be concerned about criticising the Proposal and may not want their personal details published. State

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whether or not responses will be treated in confidence. These wishes must be respected to comply with the Data Protection Act;

- Be realistic: Be realistic about the skills and resources that consultees have available, and what is needed to carry out the consultation effectively;
- Be flexible/use more than one method: Do not rely on any single method of consultation. There are many ways of finding out what people think and want. Some are simple and cost relatively little; others can take months and a significant amount of money. What is done depends on what needs to be known, how the results will be used, and how much money, time and expertise is available;
- Publicise: The CAA understands the importance of and supports the need for public engagement on changes to airspace arrangements. Before launching into consultation, Change Sponsors must let people know what is happening so that all who want to can input their views. Listen to them and value their contributions. Publicise the consultation through the local media (such as local/regional newspapers and radio stations) to promote greater public awareness of the proposed airspace changes. Other consultation events are also encouraged, such as utilising open/public meetings as well as providing access to consultative material at some local libraries and via the Internet;
- Help people participate: Consider the proposals for consultation from the users' point of view. Sending out a questionnaire might be easy, but will enough people want to fill in forms? Do not assume that they know something just because others do. Making it simple will encourage more people to participate. Whilst most consultations utilise electronic media, consider those who do not have regular access to the internet and consider what means might be employed to facilitate engagement with those groups.
- Expect the unexpected: Be aware that the results may be very different from those expected. Don't be discouraged if this happens. A Change Sponsor's credibility will increase if it deals with the more

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difficult and unexpected results, rather than make the changes that are easiest. Be prepared to challenge long-standing beliefs.

3.8 Within the consultation document, the Change Sponsor must also briefly set out the subsequent stages in the Airspace Change Process and when the feedback from the consultation exercise is likely to be published.

3.9 The Change Sponsor must also state whom consultees should respond to and who to direct queries regarding the Proposal. Within the consultation documentation, a Change Sponsor must include details for the SARG point of contact, responsible for overseeing the Change Sponsor's consultation process. It must be made clear that the role of this individual only covers complaints regarding the Change Sponsor's adherence to the consultation process; all other responses will be referred back to the Change Sponsor. The contact details for this individual are:

Airspace Regulator (Coordination)

Airspace, ATM and Aerodromes

Safety and Airspace Regulation Group

CAA House

45-59 Kingsway

London

WC2B 6TE

E-mail: airspace.policy@caa.co.uk

3.10 Before stating the deadline for responses, a Change Sponsor should provide a reasonable period of time for consultees to respond to the Proposal. The time period will depend on the Proposal but a minimum of 12 weeks is considered reasonable; however, Change Sponsors must consider a longer consultation period at certain times of the year, for example during the summer holiday and the Christmas periods. This will allow sufficient time for committees to meet and for national bodies to consult their members. The CAA will, however, consider abbreviated consultation periods where there are justifiable operational or technical constraints applicable to the proposal. The sponsor will need to supply SARG with the details of such constraints at an early stage, preferably Stage 1 (Framework Briefing).

3.11 Once the Change Sponsor has finalised the design options and completed all the necessary consultation documentation, including any charts, adequate time will have to be allowed for publication and distribution to consultees.

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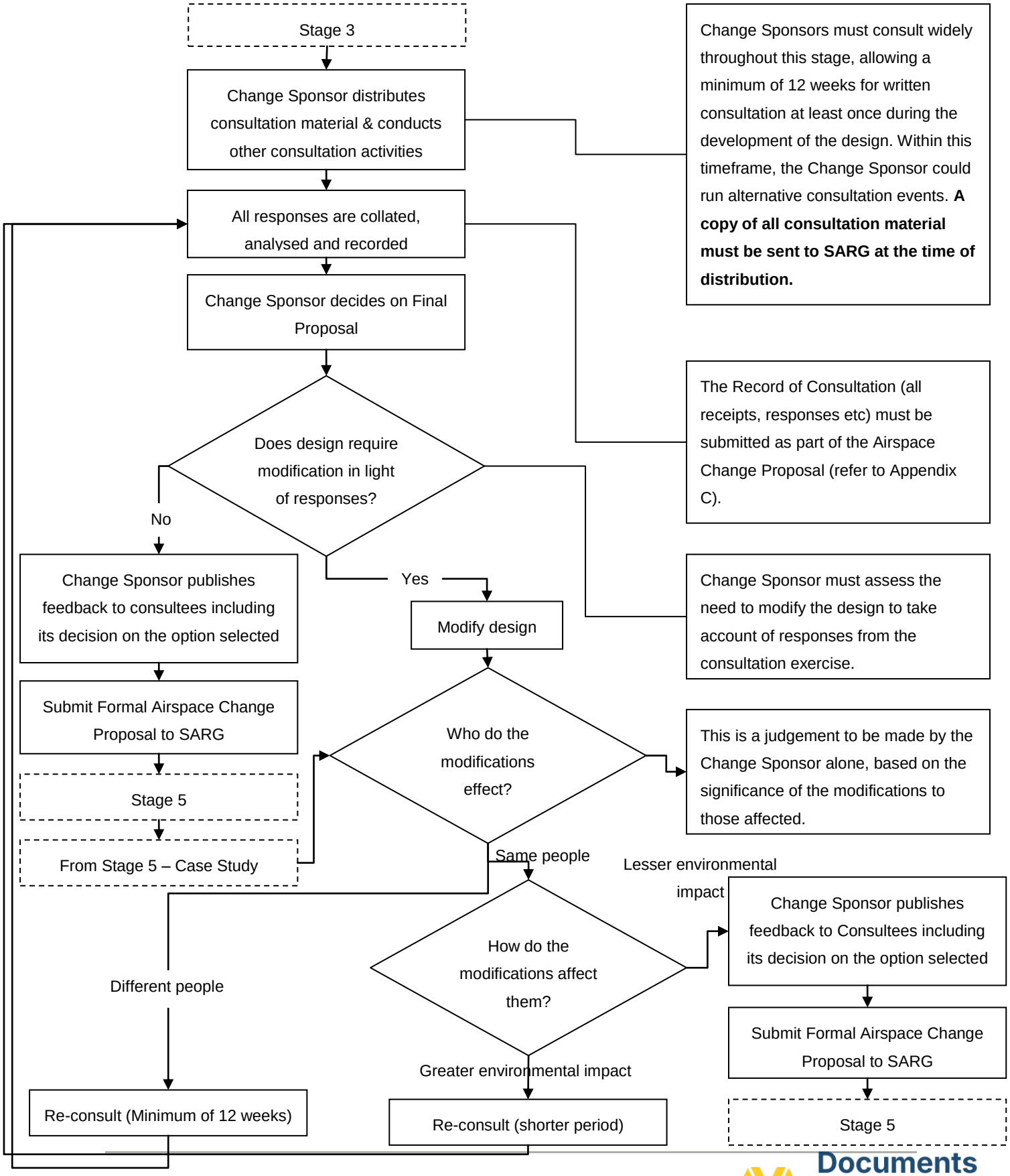
Stage 4

Consultation and Formal Proposal Submission



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4.1 Consultation is a two-way relationship in which the Change Sponsor asks for, and receives, feedback on its design option(s).

4.2 The Change Sponsor launches the Consultation phase. As it does so, every effort should be made to bring the consultation to the attention of all interested parties. As well as using the Internet, the Change Sponsor should consider publicising the consultation in ways most appropriate for the consultees it wishes to reach, such as local/regional newspapers and radio stations. It is likely that there would be a significant period of inactivity during the first few weeks after consultation is launched before responses begin to be received.

4.3 A copy of all consultation material must be sent to SARG at the time of distribution.

Recording Results

4.4 The Change Sponsor must ensure that accurate and complete records are kept of all responses, whether received through a formal written consultation or more interactive methods. Copies of all correspondence between Change Sponsors and consultees, together with an audit trail of any changes to the Proposal that arise from the consultation, are to form part of the Change Sponsor's Formal Proposal submission to SARG. An example of a Consultation Record Sheet template can be found at Appendix C.

4.5 The Change Sponsor must be able to demonstrate to SARG that all reasonable steps have been taken to elicit a response from consultees. When the response deadline notified in the consultation documentation is approaching, it is recommended that follow-up letters are distributed to all those who have yet to reply. On receipt of an objection or acceptance/support without any accompanying explanation, the Change Sponsors should request the reason for the objection.

Analysing the Results

4.6 The Consultation Record Sheet template also allows for the Change Sponsor to identify the key issues and themes that emerge from its consultation exercise. It is important to be able to separate the practical or realistic issues and themes from those that cannot be addressed by the Change Sponsor (e.g. aspects that arise from the consultation that are not

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related to the proposed change, such as Government policy, still need to be recorded). Further guidance on handling such cases would be covered in the Framework Briefing and would be available from the SARG Project Leader.

4.7 Commitment is key to effective consultation. The Change Sponsor must be prepared to respond to what it learns and to make changes, even if this requires major modifications, if it is appropriate. The analysis of the responses to the consultation should identify the issues and key themes. Once the issues and the key themes have been identified, the Change Sponsor will be in a position to consider how to incorporate them into the design option(s) where appropriate.

4.8 If a number of design options were consulted upon, the Change Sponsor must use the information originating from the consultation exercise in order to assist with its selection of the most appropriate design option it intends to submit to SARG as its Formal Airspace Change Proposal.

Modifications to the Design and further Round(s) of Consultation

4.9 There may be a need to modify the design after the consultation exercise, whether to take account of responses from the consultation exercise or otherwise. In the following four cases the Change Sponsor should adopt the practice set out below:

- Any change to the Proposal that introduces additional airspace or new routes, or alters the intended use of the existing airspace where the changes will now affect parties previously not consulted, must now be consulted and Change Sponsors must apply the minimum 12-week consultation period;
- Change Sponsors must also re-consult when changes to the Proposal have been made that have a negative environmental impact on those parties previously consulted, however, the 12-week consultation period might be reduced depending on the significance of the environmental impact of the changes;
- However, if changes to the Proposal have a positive environmental impact on those parties previously consulted, a Change Sponsor does not have to re-consult; and

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- If changes are made that do not affect parties then there would be no need for further consultation.

4.10 In any other case where there is a need to modify the design after the consultation exercise, the Change Sponsor must consider whether it is necessary to reconsult. The Change Sponsor must take into account the significance of the modifications both in terms of the people affected and the severity of the effects. The Change Sponsor should reconsult unless he is satisfied it is unecessary to do so.

4.11 Where reconsultation takes place on the basis of amendments made in the light of earlier consultation, a shorter period may be appropriate.

4.12 If further consultation is needed, it will be necessary for the Change Sponsor to keep separate, accurate and complete records of all responses from the further rounds, whether received through a formal written consultation or more interactive methods. Copies of all correspondence between Change Sponsors and consultees, together with an audit trail of any changes to the Proposal that arise from the rounds of consultation, are to form part of the Change Sponsor's Formal Proposal submission to SARG. Similarly, the Change Sponsor must be able to demonstrate that it has taken reasonable steps to elicit a response from consultees.

4.13 It is not envisaged, nor expected, that consultation becomes a never-ending process of consult-modify-consult. At the point at which the Change Sponsor considers that issues raised have been accommodated, to the extent possible, then the Proposal should be submitted to SARG who will be the arbiter of whether the Change Sponsor has acted 'reasonably' in meeting the needs of stakeholders.

4.14 The Change Sponsor may need to negotiate certain issues with operational stakeholders and reach a balanced judgement in order to reach a decision on the final design option. In all cases, SARG needs to know how the final design option was selected as a result of Change Sponsor Consultation. Equally, the Change Sponsor may consider, for good reason, that it is not possible to modify the Proposal. In this case, the Change Sponsor must inform the consultee accordingly and ensure that the matter be brought to the attention of SARG.

Feedback from the Consultation Exercise

4.15 On completing the analysis and deciding how to proceed, the Change Sponsor should provide feedback on the consultation exercise to consultees. This should, as a minimum, set out the issues and key themes

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identified through the consultation and how the Change Sponsor intends to address them. The feedback document must indicate the Change Sponsor's proposed design option that it is submitting to SARG and provide explanations of why popular recommendations for changing the proposed design option(s) as set out in the consultation documentation have not been carried forward. The Change Sponsor should also briefly explain the next stage in the Process – Regulatory Decision by SARG – and highlight the role of the Group Director, SARG, as being that of the 'Decision-Maker'.

4.16 The Change Sponsor should notify the consultees that in the event that a representative organisation wishes to present new evidence or data to the Group Director, SARG, for his consideration prior to making his regulatory decision regarding a Change Sponsor Proposal, the representative organisation must submit, in writing, the information to the following address:

Group Director

Safety and Airspace Regulation Group

CAA House

45-59 Kingsway

London

WC2B 6TE

Formal Proposal Submission

4.17 Having completed the Airspace Change Proposal, the Change Sponsor should formally submit one hard master copy, one electronic copy of the Airspace Change Proposal and one electronic copy of the proposal, suitably redacted to remove confidential/commercially sensitive information, to SARG for Regulatory Decision. The redacted version of the Formal Proposal will be published on the CAA website once a regulatory decision has been reached. **There must not be any aspects contained within the Change Sponsor's Formal Proposal submitted to SARG that have not been consulted upon unless the Change Sponsor can fully support the omission with good reasons.**

4.18 A Change Sponsor must submit the documentation as set out below in order to address the various areas for assessment by SARG. These structured reports will enable SARG to perform an accurate analysis to achieve a well-informed and thorough regulatory decision:

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Operational Requirements (refer to Appendix A):

i. Justification for the Change and Analysis of Change Options;
ii. Airspace Description;
iii. Supporting Infrastructure/Resources;
iv. Operational Impact;
v. Economic Impact;
vi. Safety Management;
vii. Airspace and Infrastructure Requirements; and
viii. Supporting Maps, Charts and Diagrams.

Environmental Report (refer to Appendix B):

i. Description of Airspace Change;
ii. Traffic Forecasts;
iii. An assessment of the effects on noise;
iv. An assessment of the change in fuel burn/CO_2;
v. An assessment of the effect on local air quality; and
vi. An economic valuation of environmental impact.

Consultation Report (refer to Appendix C):

i. Executive Summary;
ii. Overview of Responses;
iii. Useable Responses;
iv. Modifications to the Proposal; and
v. Supporting Documentation.

4.19 Within the Formal Proposal, the Change Sponsor will need to have identified a preferred AIRAC target implementation date and an alternative date (or dates), these dates having been agreed, in principle, with SARG staff. Should the change be approved, SARG and the Change Sponsor will implement the change in accordance with the Change Sponsor's requirements, subject to any subsequent agreement to do otherwise or in the event of any unforeseen circumstances.

4.20 Change Sponsors should note that, following a decision by the Group Director, SARG, to approve an airspace change, actual implementation could take up to three months to complete, the precise timescale being dependent upon AIP publication cycles. It is, therefore, imperative that Change Sponsors should identify, within their Formal Proposals, a realistic

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implementation date and a reserve date that would allow for proper consideration (by SARG) of any further consultation on the Proposal that might become necessary, and for the proper drafting and promulgation of documentation, including, where appropriate, VFR chart changes. In most cases, promulgation would be not less than one AIRAC cycle (28 days notice after the publication of the relevant documentation) prior to effective date, although for major changes (for example those involving extensive new procedures, cross-border airspace, etc.), two AIRAC cycles (56 days) would normally be necessary.

4.21 Finally, Change Sponsors must ensure that sufficient numbers of suitably qualified staff are available to provide air traffic services following the implementation of a change. To that end, implementation planning must address training and examination requirements (subject, of course, to the nature of the change); specialist advice and input on any such requirements may be sought from the AAA Air Traffic Management section.

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Stage 5

Regulatory Decision

5.1 There are two main phases associated with the Regulatory Decision stage. First, the Proposal will be checked by the Regulator to see if all the specified documentation is included as part of the Proposal submission (See Figure 1: Documentation Check). The second and most important phase is the Regulator's analysis of the technical merits behind the Proposal against the stipulated requirements (See Figure 2: Case Study). SARG shall aim to provide a regulatory decision within a total time of 16 weeks from the confirmation of a successful documentation check.

5.2 At the Documentation Check phase, upon receipt of the Airspace Change Proposal, SARG will initially check to establish if all the necessary sections meet the Formal Proposal submission requirements as described in paragraph 4.18. Following this, SARG will either confirm acceptance that all the Proposal documentation has been satisfactorily received by SARG or request further information from the Change Sponsor in order to complete the Proposal documentation. Progression to the Case Study phase cannot be made until the SARG Case Officer has confirmed receipt of all the necessary Proposal documentation. At this point the 'clock will stop' as per the regulatory decision timeframe.

5.3 Once the Proposal has been assessed for completeness, it will progress on to the next phase of Regulatory Decision, the Case Study, the purpose of which is to allow AAA AR the opportunity to satisfy itself that the Proposal is justified. This will involve the participation of other CAA departments, primarily within AAA ATM. Exceptionally, when considering a particularly complex Airspace Change Proposal, the Change Sponsor may also be invited to contribute.

5.4 During the Case Study, all the information provided within the Airspace Change Proposal will be scrutinised and assessed against SARG's Proposal Requirements. The Case Study may reveal areas of potential weakness in the Proposal that may need remedial action by means of clarification questions or further development. In such cases the SARG Case Officer will submit clarification questions to the Change Sponsor, stipulating the timescale (usually 28 days) in which a response must reach SARG so as to facilitate the earliest resumption of the Case Study. Change Sponsors should note that the Process timeline would be suspended pending SARG's receipt of the supplementary material. This could result in delaying implementation of the proposed change by at least

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one AIRAC cycle or, where complex changes are involved, two AIRAC cycles.

Figure 1: Documentation check

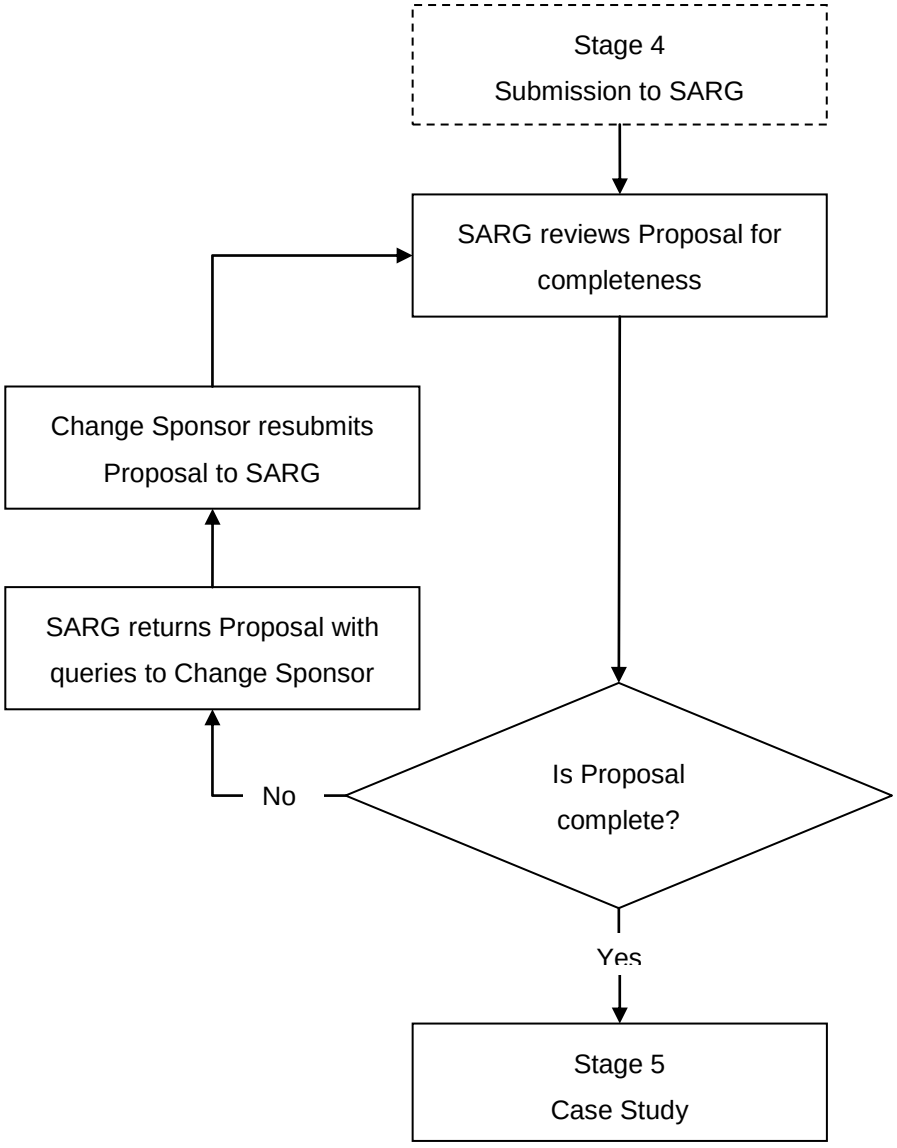

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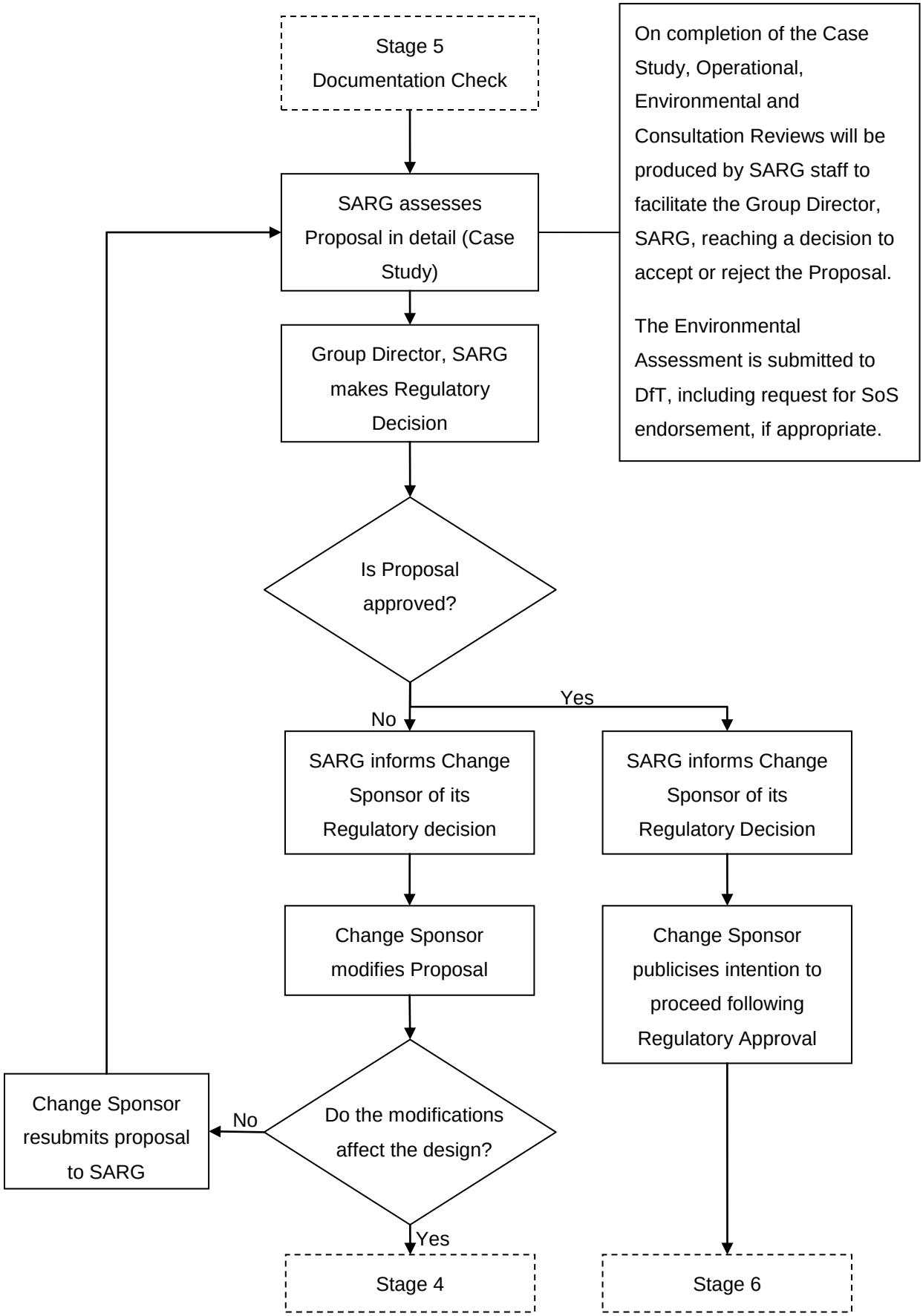
Figure 2: Case study



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5.5 The Case Study will enable SARG to determine whether there is a case for an airspace change and whether that case is answered by the Formal Proposal. In particular, it will establish whether SARG will:

- Seek supplementary information on the Proposal from the Change Sponsor in order to conclude the Case Study at a later date; or
- Agree that the Proposal fully meets all requirements and recommend to the Group Director, SARG, that the Proposal be approved, or be rejected providing an explanation of why this should be the case.

5.6 In each case, Change Sponsors will be notified immediately of the outcome of the Case Study's recommendations to the Group Director, SARG.

5.7 The Group Director, SARG, makes the regulatory decision to approve or reject the Airspace Change Proposal. The Change Sponsor will be notified of the Group Director's decision. Similarly, the CAA will publicise its regulatory decision in the form of a Press Release (ideally in conjunction with the Change Sponsor). Some regulatory decisions may be conditional. Under such circumstances, a Change Sponsor will be informed, as part of the approval notification, of any post implementation analysis that is be expected to be carried out as part of the Post Implementation Review, and of the likely date for this Review. This analysis would need to be agreed by the Change Sponsor prior to regulatory approval.

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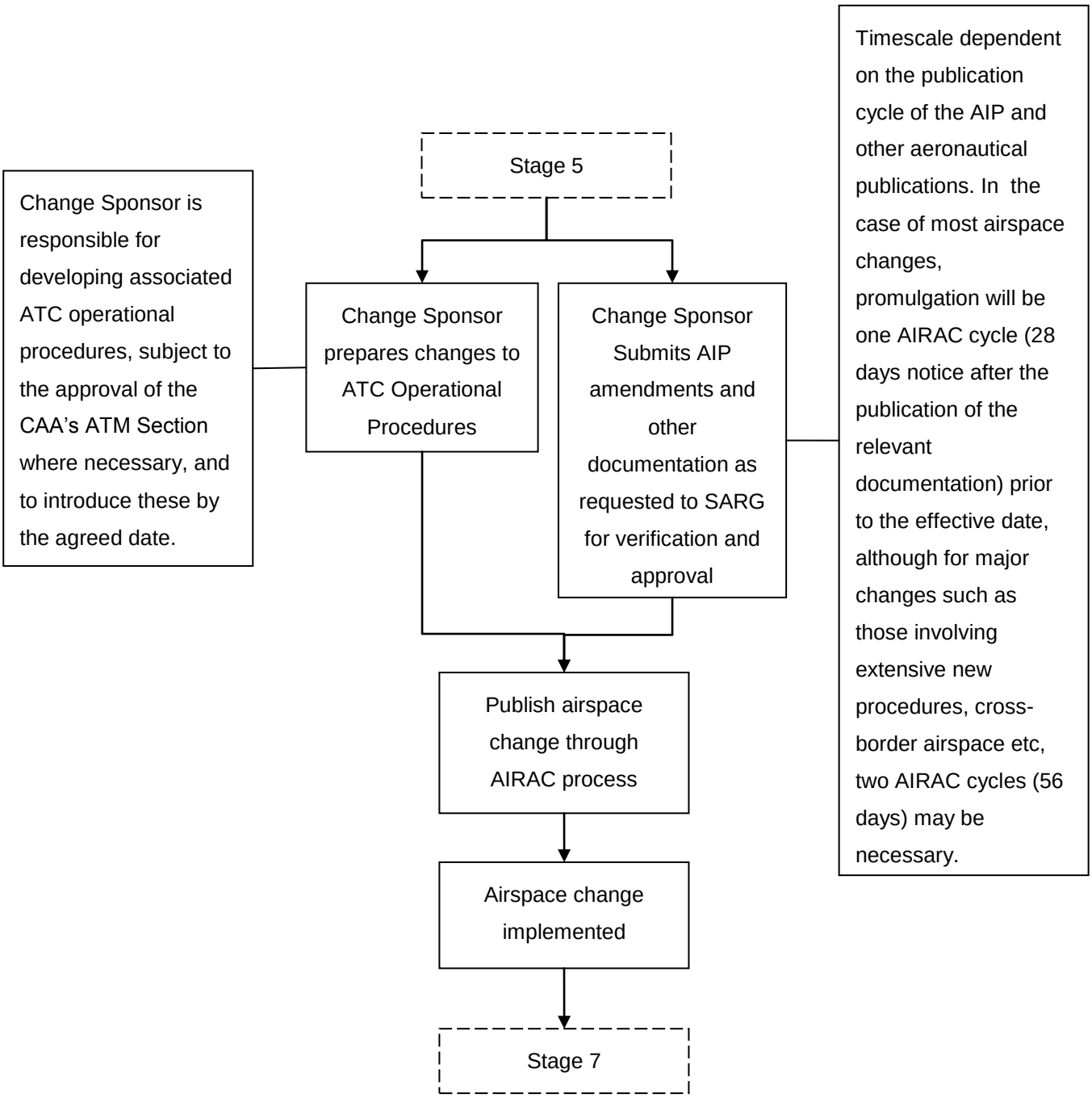
Stage 6

Implementation



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