

UK Airspace Management Policy

CAP 740



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Contents

Revision history	5
Foreword	6
Abbreviations and Definitions	8
Chapter 1 Airspace Management Background	9
Airspace Management Cell (AMC) UK	9
The Airspace Management Function (AMF) UK	11
The Three Levels of ASM	10
ASM Level 1 (Strategic)	12
ASM Level 2 (Pre-Tactical)	12
ASM Level 3 (Tactical)	13
Chapter 2 ASM Policy and Regulatory Framework	14
Legislation	14
Spacing (buffer) policy for airspace design purposes	15
Governance	15
Chapter 3 Concept and Governance of a Joint and Integrated (J&I) Approach	17
Definition of UK J&I Concept	17
Obligations under the J&I Concept	18
JANSC	19
CAA/ MoD MOU	19
Operating Protocol	19
Benefits of the J&I Concept	19
Chapter 4 Application of UK Level 1 ASM (Strategic)	22
Airspace Management Steering Group (AMSG)	22
Lead AMC and Cross-Border Arrangements	23
National Priorities	24
Filed Flight Plan Buffer Zone (FBZ)	24
Chapter 5 Application of UK Level 2 ASM (Pre-tactical)	25
AMC UK Procedures	26

Procedure 1	26
Procedure 2	26
Procedure 3	26
SARG Airspace Regulation (Utilisation) (AR(U))	26
Resolution of Problems and Disputes	27
Chapter 6 Application of UK Level 3 ASM (Tactical)	28
Tactical Airspace Activations	28
Tactical Deactivation of SUA	28
Chapter 7 ASM Tools	29
Local and sub-Regional Airspace Management Support System (LARA)	30
CIAM	30
Chapter 8 ASM Reporting	31
UK ASM Annual Report	31
The Performance Scheme and UK National Performance Plan	31
Chapter 9 ASM Audit	34
UK AMC ASM Audit	34
 Appendix A UK Flexible Use of Airspace Strategy	 35
Application of FUA	35
Strategic Priorities	36
Strategic Aims	37
Appendix B Responsibilities of the CAM and MAM	39
Appendix C Military ASM Policy	41
Airspace Policy	41
Military Danger Area Airspace Management	42
ASM Procedures and Booking Process	44
CAA Buffer Policy	45
Low Flying Airspace Policy	45
UK Military LF Handbook	46
LF Booking	46

Revision history

Issue 7: December 2018

This amendment to the sixth issue of CAP 740 - UK Airspace Management Policy is a complete re-issue.

It includes minor textual changes and updated references to the CAA Air Navigation Directions 2017 and the Airspace Modernisation Strategy (AMS) which has superseded the Future Airspace Strategy (FAS).

It provides clearer guidance on the requirements of sponsors proposing large scale military exercises outside of existing SUA which impact oceanic traffic flows or traffic flows of neighbouring States.

It incorporates a new chapter on the Concept and Governance of the Joint & Integrated (J&I) Approach to Airspace Policy, Planning, Management and Provision of ATS.

It also incorporates a new Appendix A detailing the UK Flexible Use of Airspace Strategy

Issue 7, Amendment 1: November 2019

This amendment updates the document to ensure it is compliant with Commission Implementing Regulation (EU) 2017/373 of 01 March 2017. (Common requirements for providers of air traffic management/air navigation services and other air traffic management network functions and their oversight.)

It removes reference to Regulation (EU) 691/2010 which is no longer in force and includes textual changes and references to Regulation (EU) 2017/373. It also updates Reference Period (RP) 2 to RP3.

Issue 7, Amendment 2: January 2021

This amendment updates the document post MABCC name change to MAMC. Amended and additional text has been underlined in red.

Foreword

General

1. Civil Aviation Authority (CAA) Civil Aviation Publications (CAPs) are based upon national and European Union (EU) legislation and non-legislative regulatory material, such as ICAO Standards and Recommended Practices. They are published in order to provide UK industry with:
 - a) guidance and clarification on the means of achieving compliance with global, UK and European regulatory requirements, and where applicable:
 - b) details of United Kingdom (UK) 'Alternative Means of Compliance', and
 - c) details of any additional national requirements, including CAA administrative procedures.
2. Details of appropriate supporting administrative procedures are also included where necessary.
3. In publishing CAPs, the CAA satisfies the obligations placed upon it by the Transport Act 2000 , Chapter 1 Article 2 'CAA's general duty', which in paragraph 2(a) requires the CAA to exercise its functions under the Act in the manner it thinks best calculated, to further the interests of operators and owners of aircraft, owners and managers of aerodromes, persons travelling in aircraft and persons with rights in property carried in them. The only interests to be considered under subsection (2)(a) are interests regarding the range, availability, continuity, cost and quality of air traffic services.
4. Publication of CAPs additionally satisfies the requirements set out by the Civil Aviation Authority (Chicago Convention) Directions 2007 to ensure that it acts consistently with the obligations placed on the UK under the Chicago Convention. The CAA is obliged to consider whether it is necessary to amend United Kingdom aviation legislation to ensure appropriate implementation of an ICAO provision.
5. Where (a) the CAA considers it inappropriate to transpose an ICAO provision into domestic legislation and (b) the CAA has discretionary power to enforce the requirements of such a provision through a certificate, licence, or other means of approval, the Civil Aviation Authority (Chicago Convention) Directions 2007 obliges the CAA to shall develop and publish such requirements as are necessary to implement the ICAO provision and shall ensure that it is able to verify adherence to those requirements.

6. CAPs are subject to periodic revision to take account of changes to source regulatory material, feedback from industry, and recognised best practice. CAP 740 provides applicable guidance and clarification relating to UK Airspace Management and is to be read in conjunction with the regulatory material referenced below. Non-inclusion of source regulatory material within this CAP does not preclude the end user from either the need to be aware of, or the need to comply with, the requirements contained within the source regulatory materials unless otherwise exempted from those requirements.
7. It is the policy of the UK government that, unless a Difference (from an ICAO requirement) or 'Alternative Means of Compliance' (AltMoc) (related to an EASA 'Acceptable Means of Compliance' (AMC)) has been established, compliance with relevant international (i.e. ICAO and applicable equivalents such as International Telecommunications Union) and European regulatory material is required to the extent mandated in law. Additionally, compliance with national requirements that are not addressed by international or EU regulations is also required.
8. The words 'must', 'shall' and 'will' indicate that compliance with applicable regulatory requirements is necessary. In the case of AMC the word 'should' indicates that compliance is required, unless complying with an approved AltMoC.

Regulatory references

9. CAP 740 UK Airspace Management Policy sets out the regulatory framework and governance of UK Airspace Management (ASM) practice and the application of the Flexible Use of Airspace (FUA) concept. In doing so it provides a structure within which related civil and military guidance, processes and protocols can be shaped, providing detail of procedures and requirements for the implementation and application of the FUA concept at the strategic, pre-tactical and tactical levels of operation.
10. CAP 740 serves as a means of compliance to the essential requirements of both Reg (EC) 2150/2005 (Flexible Use of Airspace Regulation) and Reg (EU) 373/2017. CAP 740 also ensures compliance with supporting EUROCONTROL guidance.
11. This document should also be read in conjunction with:
 - a) ICAO:
Cir 330
 - b) EU:
Reg (EU) No 2017/373 Air Traffic Management/Air Navigation Services
Common Requirements

Reg (EC) No 2005/2150 (Flexible Use of Airspace Regulation)
Reg (EU) No 2004/551 the airspace regulation
EUROCONTROL Specification for the Application of the Flexible Use of Airspace
European Route Network Improvement Plan (ERNIP) - Part 3 Airspace Management Handbook

c) UK:

Transport Act 2000
The Civil Aviation Authority (Air Navigation) Directions 2017
Flow Management Position (FMP) Manual of Air Traffic Services (MATS) Part 2
UK Air Traffic Management Vocabulary (CAP 1430)
Swanwick Air Traffic Control Centre (Military): RAF (U) Swanwick Order Book–MAMC

12. In order to assist the reader, links to related documents have been included where possible; however, the Civil Aviation Authority (CAA) is not responsible for ensuring the integrity of such links to documentation external to the CAA.

13. Enquiries regarding the content of this publication should be addressed to:

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Abbreviations and Definitions

Abbreviations

See [CAP1430 UK Air Traffic Management Vocabulary](#)

Definitions

A common European explanation of ASM terms is detailed in [The European Route Network Improvement Plan \(ENRIP\) – Part 3, Airspace Management Handbook](#).

See also [CAP1430 UK Air Traffic Management Vocabulary](#).

Chapter 1

Airspace Management Background

Introduction

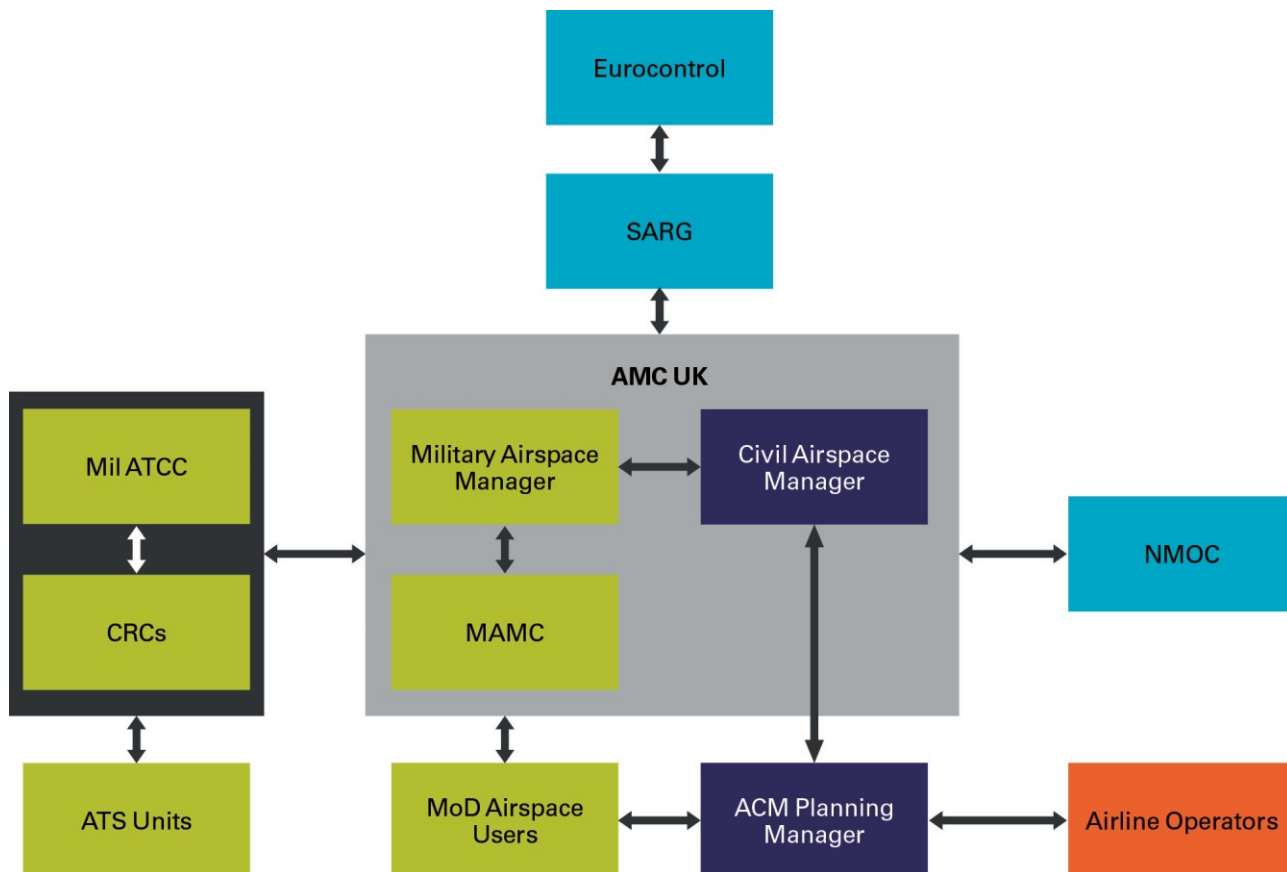
- 1.1 The principle objective of ASM is to achieve the most efficient use of the airspace through dynamic time-sharing and, at times, the segregation of airspace amongst various categories of airspace users on the basis of short-term needs.
- 1.2 The basis for the FUA concept is that airspace should not be designated as either military or civil, but should be considered as a national asset and used flexibly on a day-to-day basis. Consequently, where possible any necessary airspace segregation should be temporary in nature whilst optimising network performance. The application of FUA principles aims to ensure that through the daily allocation of flexible airspace structures, any necessary segregation of airspace is based on real usage within a specific time period and defined airspace volume. The UK FUA Strategy is detailed in Appendix A.

Airspace Management Cell (AMC) UK

- 1.3 The practical application of the FUA concept and the efficient use of airspace by civil and military users is co-ordinated through the AMC, which ensures that there is effective sharing of airspace through joint and integrated civil/military planning and pre-tactical airspace allocation.
- 1.4 Located at NATS (En Route) Limited (NERL) Swanwick Centre, the AMC is an integrated civil/military operation, consisting of a Civil Airspace Manager (CAM), a Military Airspace Manager (MAM) and support staff. The responsibilities of the CAM and MAM are described in Annex A.
- 1.5 Incorporated into the AMC is the Military Airspace Management Cell (MAMC). Divided into two elements, MAMC (Managed Airspace) coordinate and are responsible for the majority of military managed airspace bookings; whilst MAMC (Low Flying) are responsible for all military bookings in the UK Low Flying System (UKLFS).
- 1.6 The AMC UK is responsible for the administration of many flexible structures and conditional routes (CDR) in UK airspace. It also performs collaborative airspace planning both within the UK/Ireland Functional Airspace Block (FAB) and with neighbouring States. AMC UK provides a Level 2 ASM service to Ireland as part of a FAB Lead AMC arrangement. This requires AMC UK to publish Irish Danger Area activity and changes to activity, in the UK/Ireland Airspace use Plan (AUP)/Updated Use Plan (UUP).

1.7 A diagram of AMC UK interactions is below.

Figure 1: AMC UK Interactions Diagram



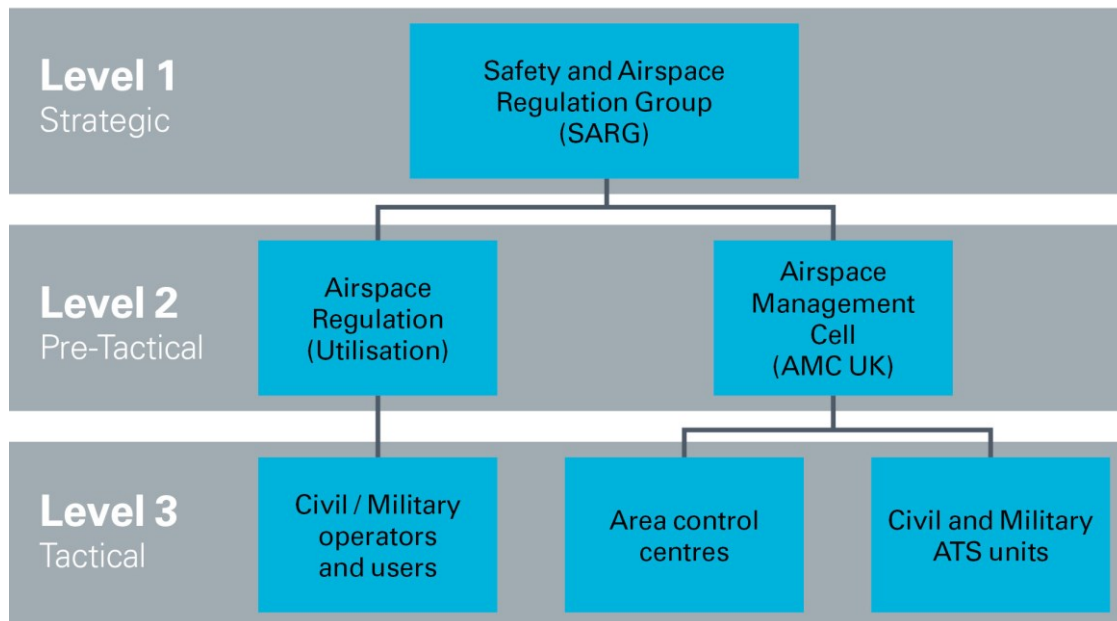
The Airspace Management Function (AMF) UK

1.8 The AMF combines the resources of the AMC, the Airspace Capacity Management (ACM) Planning Managers and the Airspace Capacity Management specialists. This ensures H24 ASM cover (limited scope outside of AMC UK hours) using a common tool for ASM operations. ASM has now been aligned within Air Traffic Flow Capacity Management (ATFCM) in terms of training, process and communication.

The Three Levels of ASM

- 1.9 The FUA concept is based on three levels of ASM which are shown at Figure 2 and described below.

Figure 2: The Three Levels of Airspace Management



ASM Level 1 (Strategic)

- 1.10 Strategic ASM consists of a joint civil/military process within a national High-Level Airspace Policy Body (HLAPB). The HLAPB formulates national ASM policy and carries out the necessary strategic planning work, taking into account national and international airspace users and Air Traffic Service (ATS) providers' requirements.
- 1.11 Safety and Airspace Regulation Group (SARG) is the UK's HLAPB and in accordance with the general requirements of the FUA regulation, acts as the joint civil/military body performing a joint function.

ASM Level 2 (Pre-Tactical)

- 1.12 Pre-tactical ASM consists of the day-to-day management and temporary allocation of airspace. This is achieved through the two ASM functions, the airspace utilisation element of the CAA, and the joint civil/military AMC.
- 1.13 SARG Airspace Regulation (AR) through its airspace utilisation element (AR(U)) is responsible for providing deconfliction, co-ordination and notification of all known civil and military Unusual Aerial Activity (UAA) which takes place within

the UK Flight Information Region (FIR)/Upper Information Regions (UIRs) and specified Oceanic airspace.

- 1.14 The AMC UK with the fully integrated MAMC are empowered with the authority to execute Level 2 ASM within the framework of the established airspace structures, priority rules and negotiation procedures as laid down by the CAA in this CAP.

ASM Level 3 (Tactical)

- 1.15 Tactical ASM is the real-time activation, deactivation or reallocation of the airspace allocated at ASM Level 2. Level 3 ASM includes the resolution of specific airspace problems and/or traffic situations between civil and military ATS units as well as real-time civil/military co-ordination.

Chapter 2

ASM Policy and Regulatory Framework

Legislation

- 2.1 The UK has adopted the Regulations as described in the Foreword to this CAP. Military ASM Policy is at Annex B to this document.
- 2.2 The FUA Specification serves as the means of compliance to the essential requirements listed in the Regulations and together with the EUROCONTROL ASM Handbook details the necessary ASM functions and ATM procedures to apply the FUA concept. Building upon that framework CAP 740 articulates the spectrum of responsibilities and ASM roles for the exploitation of FUA as part of the UK's ASM system.

Figure 3: Hierarchy of Regulatory Materials

