

Airspace Design:

CAA representative decision templates

CAP 1617



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CAA decision criteria

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)