



Department
for Transport



Airspace modernisation governance

Annex to the Airspace Modernisation Strategy

Introduction

- A1. The Department for Transport (DfT) and the CAA have developed a new governance structure for airspace modernisation, designed to oversee the delivery of the initiatives contained within Chapter 4 of the Airspace Modernisation Strategy.
- A2. This new governance structure replaces the previous Future Airspace Strategy governance.
- A3. A draft of the structure was published in the CAA's draft Airspace Modernisation Strategy in July 2018, and we have taken into account the responses of stakeholders to this when developing the structure. The governance will remain under review and we expect that it will evolve over time.
- A4. A summary of the governance structure is set out in Chapter 2 of the Airspace Modernisation Strategy. This annex, co-authored by the DfT and CAA, contains further detail. It sets out detailed information on the Airspace Strategy Board; the role of the co-sponsors; how the Delivery Monitoring and Oversight (DMO) function will be set up in the CAA; the membership of the working groups and which initiatives they are delivering; and how they will be expected to engage with stakeholders.
- A5. The structure below (at Figure A1) is identical to the governance structure in Chapter 2 of the Airspace Modernisation Strategy as of December 2018. Some of the delivery groups here are proposals only; others already exist. The co-sponsors will update this annex as necessary to reflect relevant changes, for example future developments to the delivery groups and their roles.
- A6. The flow diagram below (at Figure A2) shows how the different groups and entities in the governance structure are to work together, including how the co-sponsors and new DMO function will oversee the work of the delivery groups.

Figure A1: Governance structure for airspace modernisation

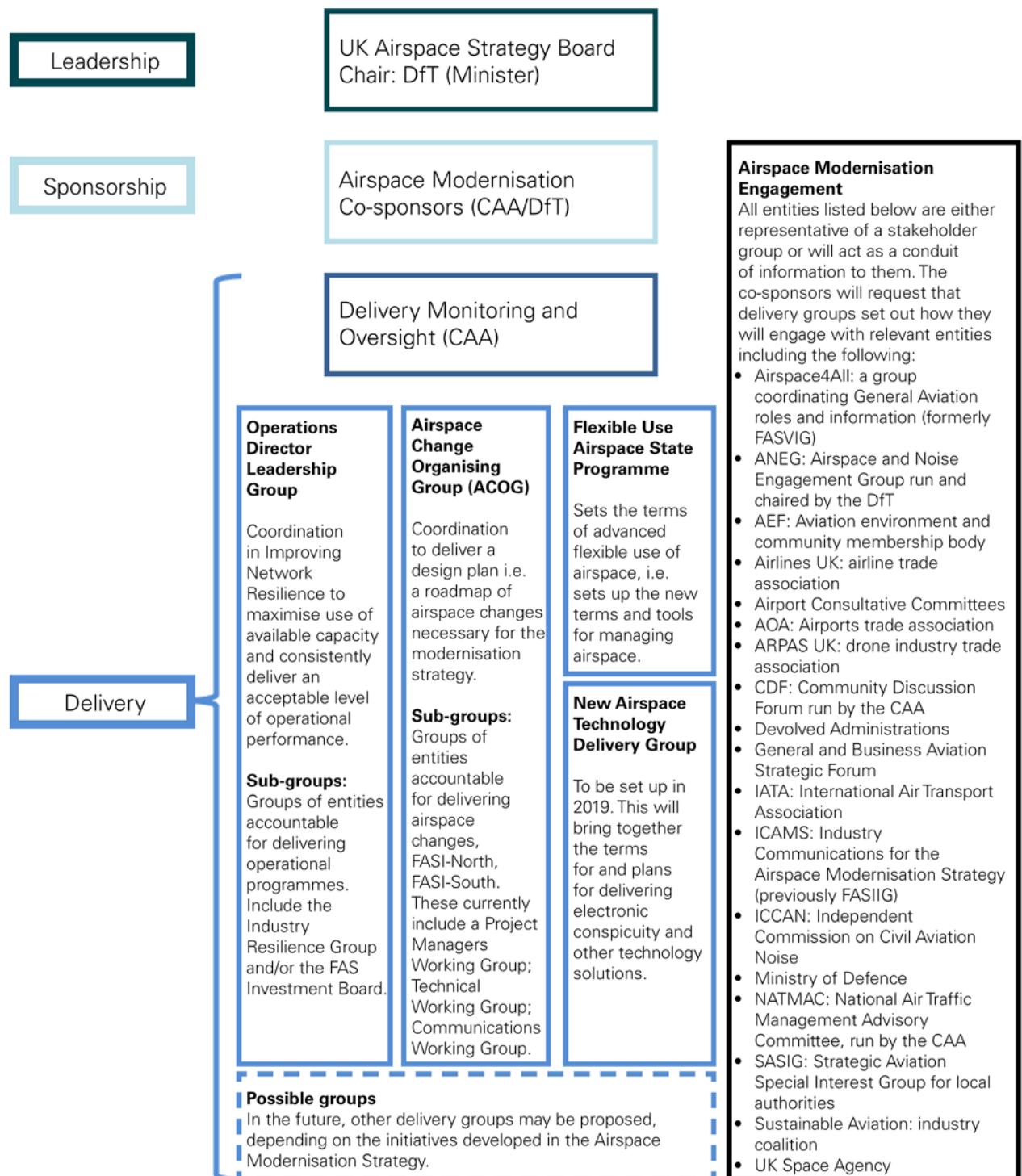
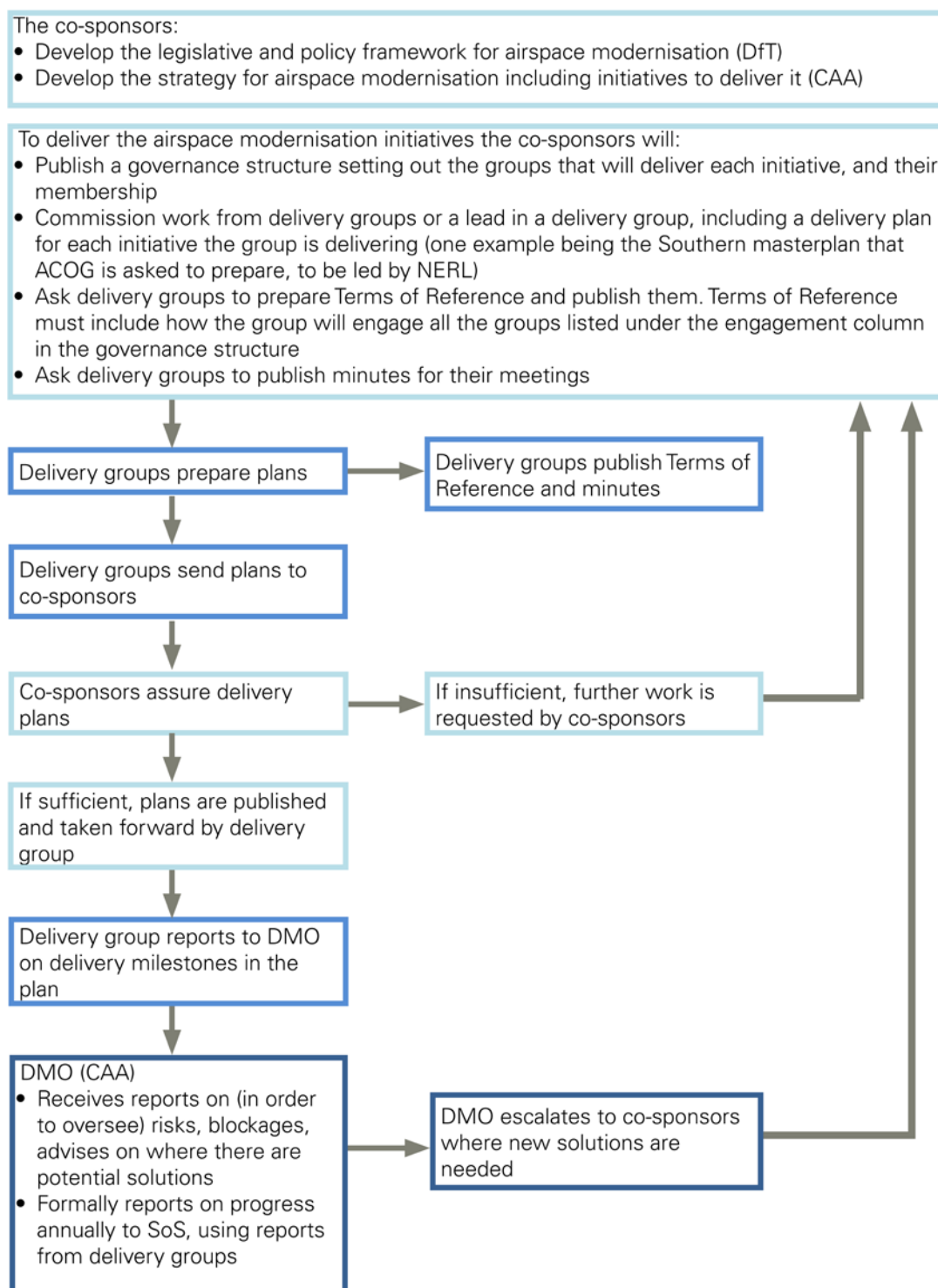


Figure A2: Flow diagram showing roles for delivering airspace modernisation initiatives



Airspace Strategy Board

- A7. The Aviation Minister-chaired Airspace Strategy Board (ASB) is the first tier of the governance structure. The Airspace Strategy Board is not a decision-making board, but will engage stakeholders on the policies that will govern the strategy and will advise DfT on potential changes to the overarching policy, regulatory, legal and funding framework if these are required to address delivery issues.
- A8. Representatives from interested major stakeholders will be invited to attend, including relevant public bodies such as local government, the CAA and Ministry of Defence; NATS; commercial aviation including airports and airlines; General Aviation; the Independent Commission on Civil Aviation Noise (ICCAN); and community and environmental groups. The full Terms of Reference and minutes of this group will be made available on the DfT's website.

Co-sponsor roles: Department for Transport and CAA

- A9. The second tier of the governance structure highlights the role of the DfT and CAA as co-sponsors for airspace modernisation. The DfT and CAA will meet regularly to fulfil this role but there will not be a formal co-sponsor Board. More detail on the role of the co-sponsors is set out below.

Vision, objectives and benefits

- Act as co-sponsors for UK airspace modernisation on a programme basis to implement the published Airspace Modernisation Strategy.
- To work together towards delivering the shared objective for the modernisation of UK airspace.
- Together, to commission specific projects necessary for airspace modernisation, including the delivery of the initiatives set out in the Airspace Modernisation Strategy. Such commissions will require delivery groups or an organisation leading a delivery group to develop a realistic, evidenced and financed plan with any contingencies made explicit.
- Together, to agree deliverables and outcomes and set parameters for delivery groups tasked with planning and delivering modernisation projects and Airspace Modernisation Strategy initiatives.
- The DfT and CAA have additional airspace responsibilities that they carry out as individual organisations, set out in the appendix to this annex. Of these, there are two on which we will liaise as co-sponsors while noting that accountability rests with each organisation separately. These two responsibilities are:
 - The DfT will develop and own the strategic case for airspace modernisation. This is currently the 2017 DfT Strategic Case for Airspace Modernisation.
 - The CAA will develop and maintain an Airspace Modernisation Strategy and report annually on its delivery. The strategy sets out the ends, ways and means of modernising airspace. The ends are derived from UK Government and relevant international policy, and the ways of achieving them include new airspace design, new operational concepts and new technologies.

Communications and stakeholder management

- To attend national airspace modernisation governance groups as appropriate and as defined in the respective Terms of Reference, excluding any groups where airspace design work is discussed which could be subject to a CAA or DfT decision.
- To manage any processes for advising and seeking policy approvals from government, including the Ministry of Defence.

- To lead the management of relationships between the UK and devolved government ministers and their departments and liaise with international and supranational bodies where appropriate.
- To agree common narrative and key messages for airspace modernisation.
- To hold industry to account for securing benefits and mitigating adverse impacts and, considering potential options for, and merits of, interventions.
- To, as co-sponsors, jointly commission work from governance groups within the overall Airspace Modernisation Strategy governance structure. Where work is commissioned the standard approach will be through a joint letter from the DfT Aviation Policy Team Deputy Director and the Civil Aviation Authority Policy Director.

Delivery progress

- Monitor delivery of the initiatives contained within the Airspace Modernisation Strategy through establishing and overseeing a Delivery Monitoring and Oversight (DMO) function to be set up in the CAA (see separate description of this function below). The DMO may make recommendations for the creation of new initiatives for inclusion in the Airspace Modernisation Strategy, which the co-sponsors will consider.
- To work with the DMO and, through the DMO, the ACOG PMO and any other relevant groups that are created, to review a set of high-level metrics and timelines proposed by the relevant groups for commissioned projects, which are reported to the co-sponsors and used to monitor the progress of the programme. The expectation of the co-sponsors is that these metrics and timelines will be signed off at Director-level by the delivery bodies tasked with producing them, with contingency included.
- To be the point of escalation on issues (via the DMO) where progress of delivery is stalled. Will consider when and how to intervene.
- To consider legislative and policy changes or make any other appropriate interventions required to support airspace modernisation where this is necessary and on an ongoing basis. This will include considering policy changes through the DfT Aviation Strategy.
- To, if taken forward, consider utilising the proposed potential new legislative powers to require airports to take forward an airspace change where it is unwilling or unable to do so.

Other

- To support Ministers and the CAA in making effective and legally sound decisions, by acting with integrity and propriety at all times and putting appropriate governance arrangements in place for policy development matters and case-specific decisions.
- To monitor the effective national governance of airspace modernisation including keeping the governance arrangements under review.
- To consider the methods of building and maintaining skills, capabilities and systems which are necessary and appropriate to enable airspace modernisation.

Delivery Monitoring and Oversight

- A10. The third tier of governance is the CAA Delivery Monitoring and Oversight (DMO) function. The function will be an active team within the CAA that monitors the progress of all initiatives in the Airspace Modernisation Strategy, and provides oversight of their performance and coordination. It is the route of escalation for delivery groups and acts as a gateway and conduit between the individual initiative delivery groups/PMOs and the co-sponsors (who may in turn escalate to the Minister). The function will monitor risks and delivery so that outputs accord with policy and legislation. While the function will take the form of a team in the CAA, it will need to engage directly with delivery groups/PMOs, for example through regular

meetings with working group chairs and the request for and receipt of regular papers to monitor progress.

- A11. It will not have decision making powers nor influence the quality of airspace design (which must happen through the airspace change process) nor make regulatory or policy decisions that should sit with the CAA's regulatory experts or the Government. Our expectation is that the co-sponsors and Airspace Strategy Board will primarily receive updates from the DMO, and that it will be for the DMO to agree with delivery groups what the reporting should look like.

Tasks

- Delivery tracking through challenging and testing the detailed plans of the delivery groups/PMOs and monitoring progress of their implementation, including reporting upwards to the sponsors.
- Risk monitoring.
- Problem solving through policy, legislative and technical analysis and proposing solutions to government, the CAA or other parties (i.e. identifying problems in delivery coordination; identifying where governance, policy and legislation exist to enable the team to make decisions and steer delivery; identifying where strategic policy, technical policy or government policy and/or regulation are needed to enable delivery)

Outputs the function will deliver

- Delivery reports including the annual Secretary of State delivery report as part of the CAA's airspace strategy role.
- Interventions (where policy and legislative framework allow) where delivery is behind schedule or is in conflict between groups or entities (this may take the form of recommendations or formal letters to delivery bodies, or escalations to the co-sponsors and/or Minister, but as the function comes without legal powers it would not take the form of decisions or binding recommendations).
- Recommendations for new strategic, technical or government policy or active intervention that could unblock or assist delivery.
- Secretariat function to manage information and reporting.

Delivery groups

- A12. The fourth tier of the governance structure is the delivery groups. Table A1 sets out the different initiatives, the organisations that are leading and involved in their delivery, and how this correlates with the delivery groups.
- A13. Some of the delivery groups here are proposals to be taken forward in the future; others already exist.
- A14. The delivery groups may change over time as work on the initiatives progresses or new initiatives are introduced. This annex will be updated accordingly.

Operations Director Leadership Group

- A15. The Operations Director Leadership Group (ODLG) was set up in 2018, following work the CAA initiated to investigate how the resilience of the aviation network could be improved. For example, the work recommended (amongst other things) developing an integrated network planning process to ensure seasonal schedules are robust and resilient; improved and integrated contingency planning for network disruption causes; and commitments from the government and the CAA to provide clarity and operationally viable processes for alleviation of restrictions in the event of network disruption.