

Airspace change: consultation on a decision-making process for PPR (planned and permanent redistribution of air traffic) proposals

CAP 1786



Published by the Civil Aviation Authority, May 2019

Civil Aviation Authority

Aviation House

Gatwick Airport South

West Sussex

RH6 0YR

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Summary of this consultation and how to respond

1. In October 2018 the Government gave the CAA a decision-making role for a wholly new category of airspace change. This category is known as a **planned and permanent redistribution of air traffic through changes in air traffic control operational procedure**. We refer to this as PPR for short. Essentially it concerns changes in the way existing airspace is used, rather than changes in the airspace design itself.
2. Our new role follows a change in government policy in 2017/18. The Government decided to plug a gap in the regulatory regime that it identified during a review of its policy on airspace and noise. The Government recognised that whereas changes to airspace design are subject to the airspace change process and are consulted on with relevant stakeholders, changes to air traffic control operational procedures could be implemented without consultation, even where the noise impacts are similar to those of a change in airspace design. In other words, because changes to air traffic control operational procedures alone formed part of an existing, unchanged airspace design, they did not fall within scope of the airspace change process.
3. After consultation, the Government decided that where changes in air traffic control operational procedure lead to a planned, permanent redistribution of air traffic in certain ways, they ought to be subject to:
 - a CAA decision which considers all the section 70 factors in the Transport Act 2000 (see Chapter 2), and
 - a similar process as a change in airspace design.
4. Only PPRs that meet certain criteria will need to go through this approval process. **These are known as ‘relevant PPRs’**. Relevant PPRs are the PPRs most likely to have a potential noise impact on the ground. The new process is not required for a PPR implemented before 1 November 2019. Only an air navigation service provider can propose a relevant PPR.

5. The Government has formally directed the CAA to introduce a new process by 1 November 2019 for deciding whether a relevant PPR can be implemented. We also have a role in determining whether something is or is not a relevant PPR. The purpose of this consultation is to seek your views on:
 - our proposed principles for a new PPR decision-making process
 - our commentary on what changes are likely to fall within the Government's definition of a relevant PPR.
6. The reasons for the new process and how a relevant PPR is defined are not in scope of this consultation, because the CAA has been directed by the Government to introduce this new process. We do, however, include this information as background.
7. **In the interests of simplicity we are referring throughout this document to a 'PPR' and to the 'PPR process'. As noted above, where these references concern the regulatory process, they should be taken to mean 'relevant PPR', i.e. only that type of PPR on which the Government requires a CAA decision.**
8. We have structured this consultation document as follows:
 - Chapter 1, the introduction, explains the background to the Government's decision to introduce this new category of airspace change to plug a gap in the regulatory regime that was identified during a review of its policy on airspace and noise.
 - Chapter 2 gives the detail on how a PPR and relevant PPR are defined. Only relevant PPRs need to go through a CAA decision-making process. We give a commentary, with examples, of what we would regard as falling within scope of a relevant PPR.
 - Chapter 3 explains the considerations the CAA has taken into account in designing proposals for a PPR decision-making process.
 - Chapter 4 is guidance to air navigation service providers on a suggested internal process they might use for the identification of a PPR that requires a CAA decision. It also summarises the CAA's role

in determining, at the air navigation service provider's request, whether a given proposal is a PPR that requires a CAA decision.

- Chapter 5 sets out our specific proposals for a new PPR decision-making process, taking into account the considerations in Chapter 3. We have based these proposals on the existing airspace change process, scaling some elements in order to keep the proposed PPR process proportionate. We also propose a scaled process for PPR proposals that are temporary and last no more than six months.
- Chapter 6 concerns the preparations that air navigation service providers should make for the implementation of the final published process on 1 November 2019.
- Chapter 7 sets out next steps.
- Appendix A is a glossary of relevant airspace terms used in this document and more widely
- Appendix B is a CAA-produced consolidated version of the Air Navigation Directions from the Secretary of State to the CAA
- Appendix C is a summary of the current seven-stage airspace change process which is set out in our publication CAP 1616¹
- Appendix D is an illustrative example of a noise assessment completed by an air navigation service provider as part of a PPR proposal.

What we are consulting on

9. We are seeking your views on:

- the process we propose to adopt for making decisions on PPRs, reflecting government policy and best practice in regulatory decision-making
- our commentary on what changes are likely to fall within the Government's definition of a relevant PPR.

¹ CAP 1616 Airspace Design: Guidance on the regulatory process for changing airspace design including community engagement requirements. www.caa.co.uk/cap1616

What we are not consulting on

10. We are not seeking your views on any of the following:
- the policy on PPRs and relevant PPRs itself – that is government policy, which is not within the direct control of the CAA
 - other aspects of government policy, including:
 - the Air Navigation Guidance – the statutory guidance which the Secretary of State gives the CAA on how it should take environmental impacts into account – including policy objectives in respect of people significantly affected by aircraft noise, the concentration, dispersion or alternation of flight paths, or avoidance of tranquil areas
 - the ‘noise preferential routes’ set by the Secretary of State at Heathrow, Gatwick and Stansted airports for aircraft departures
 - the standard metrics for quantifying the amount and level of noise
 - the existing CAP 1616 airspace change process, specific airspace change proposals going through that process, or specific airspace changes that have already happened or that result from airline commercial decisions.
11. Consequently the CAA will disregard elements of responses to this consultation that focus on any of these areas.

Your views are invited

12. This document seeks your views on our proposed principles for the process that we will introduce on 1 November 2019. We aim to design a transparent process that will allow different, sometimes competing, factors to be taken into account, including environmental impacts (in particular aircraft noise) and the interests of passengers and airspace users. We are interested to learn what are the most important elements to you in any new process, bearing mind that the process must be proportionate and reflect government policy.

13. We are allowing eight weeks for responses to the consultation, which we believe is adequate time given that:
- we are not consulting on new policy
 - the Department for Transport consulted widely on the policy in 2017 and flagged its introduction with air navigation service providers in 2018
 - the CAA gathered initial feedback on the principles of a PPR process during our consultation in 2017 on a revised airspace change process
 - the PPR decision-making process we are proposing is based on the existing airspace change process that we introduced after consulting widely
 - the CAA held feedback sessions with key stakeholders in January 2019 to hear views about what the new process should look like.

How to respond to this consultation

14. We have sought to make this consultation as accessible as possible by presenting the key points on our dedicated consultation website. The longer document you are reading is for stakeholders wanting more detail. The questions in each case are the same.
15. Please note that the consultation will close at 23.59 on 7 July 2019 and we cannot commit to taking into account comments received after this date. Please let us have your comments by answering the questions at this [link](#). The questions include some multiple choice answers and the opportunity to submit your comments by completing text boxes. Our strong preference is that you complete the online consultation. We understand that some stakeholders prefer not to be constrained by the questions alone and will want to send a self-contained response. While we will accept these submissions, we ask that they are structured around our questions. Otherwise we will not be able to analyse the submissions in the same way that we analyse the online responses.

16. We will assume that all responses can be published on our website. When you complete the online consultation there will be an option for you to hide your identity or refuse publication. (In any event, your email address will not be published.) In the interests of transparency, we hope people will not refuse publication. If you do send us a separate submission and it includes any material that you do not want us to publish, please also send us a redacted version that we can publish. You should be aware that information sent to and therefore held by the CAA is subject to legislation that may require us to disclose it, even if you have asked us not to (such as the Freedom of Information Act and Environmental Information Regulations). Therefore, if you do decide to send information to the CAA but ask that this be withheld from publication via redacted material, please explain why, as this will help us to consider our obligations to disclose or withhold this information should the need arise.
17. There are eight consultation questions, which are listed on the next two pages for ease of reference. They also appear through the document, in the context of information that will help you to respond to them.
18. If you would like to discuss anything about how to respond to the consultation, please email airspace.policy@caa.co.uk.

Next steps

19. We will take your views into account and, where we feel it necessary to do so, make modifications to our proposed PPR process. We then expect to incorporate that process into a third edition of CAP 1616.²

² CAP 1616 currently has placeholders pending the introduction of this new CAA function. These appear in the section headed 'Planned and permanent redistribution of air traffic' on page 96, which is linked to the tab 'Other categories'.

Consultation questions

GENERAL OBSERVATIONS

Question 1: Overall, what are your views on the CAA's proposed PPR decision-making process?

About right	Minor modifications needed	Significant modifications needed	Don't know
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Please explain your answer and provide any other general comments.

IDENTIFYING A 'RELEVANT PPR'

Question 2 (optional): Do you have any comments on the way the CAA is interpreting the definition of a 'relevant PPR'?

Question 3 (optional): The CAA proposes that an air navigation service provider must introduce an internal 'trigger' process alongside its existing safety assessment that will always identify where a proposed change in air traffic control operational procedure is a 'relevant PPR'. Do you agree that this is the most appropriate way for an air navigation service provider to identify when it must follow our proposed PPR process before implementing such a change?

Yes	No	Don't know
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Please explain your answer, and whether any specific guidance from the CAA would help.

PROPOSED PPR DECISION-MAKING PROCESS

Question 4: Are there any aspects of the CAP 1616 airspace change process that you think are missing from our proposed PPR process and should be included?

Yes, something more is needed	No	Don't know
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If you answered yes, please say what they are and why.

Question 5 (optional): Where a PPR is proposed, can multiple workable options be developed for the change in air traffic control operational procedure, or are the only options either to do the PPR or to do nothing (i.e. a binary choice)?

Please answer for each of the three types of relevant PPR.

Type 1	Multiple	Binary	Don't know
Type 2	Multiple	Binary	Don't know
Type 3	Multiple	Binary	Don't know

Please provide any additional comments.

Question 6: Do you agree with our proposal that it is the air navigation service provider which produces a post-implementation report (as to whether the change has had the impacts and benefits predicted) rather than the CAA?

Yes	No, something more is needed	Don't know
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Please provide any additional comments.

TEMPORARY CHANGES

Question 7: Do you agree with the CAA's proposal that it would be proportionate to apply a scaled process for a temporary 'relevant PPR' proposal lasting no more than six months?

Yes	No	Don't know
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Please provide any additional comments.

IMPLEMENTING THE NEW PROCESS

Question 8 (optional): Is there anything specific that the CAA can do to aid the implementation of our proposed PPR decision-making process?

Chapter 1

Introduction

Summary

- This chapter explains the background to the Government giving the CAA a decision-making role for a new category of airspace change called 'PPR'.
- This plugs a gap in airspace regulation the Government identified in a review of airspace and noise policy.
- We propose that this PPR decision-making process be based on our existing airspace change process.

Airspace

- 1.1 In its simplest terms, airspace is the portion of the atmosphere controlled by a State above its territory and areas over the sea within which a State is committed by international treaty to provide air navigation services (which include air traffic control). For air traffic control purposes, airspace can be divided into two main categories, controlled and uncontrolled. Aircraft in controlled airspace fly under the positive monitoring and direction of air traffic control to maintain safe distances between them. Uncontrolled airspace typically incorporates areas where aircraft are not identified and managed by air traffic control, although they may request information or a more limited service from air traffic controllers.
- 1.2 The vast majority of UK commercial flights operate in controlled airspace. The recreational side of General Aviation³ operates largely in uncontrolled airspace below 6000 feet, alongside a few commercial flights. The military also has significant requirements to use both types of airspace and

³ The definition of General Aviation varies, and encompasses a wide range of aviation activity from powered parachutes, gliding and ballooning to corporate business jets. In this context examples would be sports, recreational, private transport, business aviation, flight training and air taxis.

occasionally also operates within the confines of segregated training or danger areas.

- 1.3 Controlled airspace contains a network of corridors, or airways. They link the busy areas of airspace above major airports. At a lower level, control zones are established around each airport. These portions are therefore nearer the ground and closer to population centres. The defined blocks of controlled airspace, and flight procedures and routes within them (such as the standard departure and arrival routes that commercial airlines use to fly in and out of airports) are together part of the overall airspace **design**. This airspace design is published ('notified') in the UK Aeronautical Information Publication.

Airspace change

- 1.4 Changes to the notified airspace design are proposed by an airspace change sponsor, usually an airport or an air navigation services provider (which includes air traffic control). The CAA, as the UK's independent aviation regulator, has responsibility for deciding whether to approve changes proposed to airspace design.⁴
- 1.5 For example, changes may be proposed to resolve a safety issue; to accommodate more flights or new infrastructure; to incorporate new technology; to mitigate the effects of aircraft noise or other environmental impacts; to allow aircraft to fly more direct routes; to keep them away from particular areas; to meet the needs of the military; or to comply with international obligations. The CAA requires the change sponsor of any permanent change to the notified airspace design to follow our **airspace change process**. You can find more information about the process in the CAA's guidance document CAP 1616⁵ which includes links to relevant

⁴ The Secretary of State may decide to call-in a proposed change in order to make the decision instead of the CAA.

⁵ CAP 1616 Airspace Design: Guidance on the regulatory process for changing airspace design including community engagement requirements. www.caa.co.uk/cap1616

documents and webpages including airspace change pages on the CAA website.⁶ Airspace change proposals going through the CAP 1616 process can be found on our online airspace change portal <https://airspacechange.caa.co.uk/>.

- 1.6 Proposed changes to the notified airspace design vary greatly in terms of breadth, complexity and scale of impact on other airspace users and the environment, including people on the ground impacted by noise. They are therefore graded by **Level**, which in turn determines the extent to which the CAP 1616 process is scaled to keep it proportionate to what is proposed.
- 1.7 Airspace change proposals often reveal differing requirements and conflicting interests between the various groups of stakeholders. Chapter 2 explains the relevant law and policy that govern the CAA's decision in such cases.

PPR – a new category of airspace change

- 1.8 In October 2018, following an earlier consultation on airspace policy⁷, the Government gave the CAA a decision-making role for a wholly new category of airspace change.⁸ This category is known as a **planned and permanent redistribution of air traffic through changes in air traffic control operational procedure**. We refer to this as PPR for short.
- 1.9 As a result there are now three categories of airspace change, as shown in Table 1.1 (the first of which has three sub-categories). You can find more information about these in CAP 1616.

⁶ www.caa.co.uk/Commercial-industry/Airspace/Airspace-change/Airspace-Change/

⁷ https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/588186/uk-airspace-policy-a-framework-for-balanced-decisions-on-the-design-and-use-of-airspace-web-version.pdf

⁸ https://www.gov.uk/government/uploads/system/uploads/attachment_data/file/653801/consultation-response-on-uk-airspace-policy-web-version.pdf

Table 1.1: Categories of airspace change

Category	CAA role	Additional information
Change to the notified airspace design	CAA decision-making role	Permanent change
		Temporary change (usually less than 90 days)
		An airspace trial
Certain changes to air traffic control operational procedure No change to the notified airspace design	CAA decision-making role	From 1 November 2019: PPR – a planned, permanent redistribution of air traffic control operational procedure by an air navigation service provider (within the existing published airspace design)
Change to aircraft tracks for other reasons No change to the notified airspace design or air traffic control operational procedure	No CAA decision-making role	Airspace information: transparency about airspace use and aircraft movements A noticeable shift over a period of time in the distribution of flights or aircraft types being flown, caused by a change in airline or airport operations as a result of weather, commercial decisions (such as routes flown or fleet deployment) or changing traffic volumes

- 1.10 This consultation is about the PPR category, and what the CAA's decision-making process should include. Chapter 2 explains in more detail how a PPR is defined, and which types of PPR require our approval. The remainder of this chapter explains why the Government decided to introduce this new category, and more about the CAA's decision-making role.

Background to the introduction of a decision-making process for PPRs

- 1.11 As noted above, changes to airspace design (such as blocks of controlled airspace and published flight procedures in the form of Standard Instrument Departure routes and Standard Arrival Routes) are subject to a CAA decision. In contrast, until now, air traffic control operational procedures have (subject to the CAA's safety oversight) been determined solely by the relevant air navigation service provider. Therefore changes to those procedures could cause a redistribution of the tracks taken by aircraft over the ground without either the CAA making a decision (other than on safety grounds) or the air navigation service provider having to consider other factors, such as the environment. The redistribution has come about from the air navigation service provider altering its own internal written procedures, but the airspace design itself has remained unchanged.

Air traffic control operational procedures

- 1.12 Air navigation service providers regularly amend their air traffic control operational procedures. This may be to implement continuous safety improvements in response to external changes made to the operating environment, to increase capacity in a fixed volume of airspace, to reduce delays, to enable more consistent and expeditious routings for aircraft, or for security reasons. These air traffic control operational procedures overlay the various features of the airspace design while keeping within the design's parameters. The operational procedures are the air navigation service provider's written instructions to its individual air traffic controllers as to how air traffic should be controlled in the portion of airspace for which that air navigation service provider is responsible. Air traffic controllers are continuously making decisions as to how to control individual aircraft. The air traffic control operational procedures form a framework within which each air traffic controller makes those individual aircraft-by-aircraft decisions.

- 1.13 Consequently the track over the ground taken by a given aircraft is a combined result of the airspace design, the air traffic control operational procedures and the individual expert decision of the air traffic controller on the day.
- 1.14 An example of an air traffic control operational procedure would be that governing the way an aircraft is controlled between the holding pattern (a pre-determined manoeuvre while the aircraft is awaiting further instructions) and its approach to land. The air traffic control operational procedure may specify, for example, the distance from the runway by which the aircraft must be established and stable on the runway's Instrument Landing System. Although air traffic controllers are still making individual decisions that result in a safe and efficient flow of arriving aircraft, a change to the operational procedure could tend to change where aircraft fly over the ground before landing.
- 1.15 Another example, in this case affecting aircraft departing from an airport, could be an air traffic control operational procedure that governs which Standard Instrument Departure route is used, or which requires that aircraft be routinely instructed by air traffic controllers to divert from the published departure route in order to better manage the flow of traffic. In both cases these could change where aircraft fly over the ground.

Change in government policy

- 1.16 After consultation, the Government decided in 2018 that where such changes in air traffic control operational procedure lead to a planned, permanent redistribution of air traffic in certain ways, they ought to be subject to:
- a CAA decision which considers all the section 70 factors in the Transport Act 2000 (see Chapter 2), and
 - a similar process as a change in airspace design.
- 1.17 The Government's decision recognised that whereas changes to airspace design are subject to the airspace change process and are consulted on with relevant stakeholders, air traffic control operational procedure

changes could be implemented without consultation, even where the noise impacts are similar to those of a change in the notified airspace design. In other words, because changes to air traffic control operational procedures alone formed part of an existing, unchanged airspace design, they did not fall within scope of the airspace change process. Such changes could also potentially lead to impacts for airspace users or other airports.

- 1.18 This change in government policy to plug the identified gap in the regulatory framework resulted in amended Air Navigation Directions from the Secretary of State to the CAA (described below). We understand that the Government will also update its 2017 Air Navigation Guidance to the CAA⁹ to make clear that, because of the amended Directions, this guidance will apply to a PPR proposal in the same way as it applies to a proposed change in airspace design.

New Directions to the CAA

- 1.19 In October 2018 the Secretary of State amended the Air Navigation Directions 2017 with effect from 1 November 2019 to require the CAA to develop and publish procedures, and guidance on such procedures, for the development, consideration and determination of certain types of PPR proposals. A consolidated version of the Directions is reproduced at Appendix B.¹⁰
- 1.20 Consequently, from 1 November 2019, an air navigation service provider will need to assess whether a proposal to amend air traffic control operational procedures might lead to a planned and permanent redistribution of air traffic, and if so whether it meets certain criteria set out

⁹ Air Navigation Guidance 2017: Guidance to the CAA on its environmental objectives when carrying out its air navigation functions, and to the CAA and wider industry on airspace and noise management. <https://www.gov.uk/government/publications/uk-air-navigation-guidance-2017>

¹⁰ The Civil Aviation Authority (Air Navigation) Directions 2017 as amended by The Civil Aviation Authority (Air Navigation) (Amendment) Directions 2018. This consolidated version of the Directions is also on the CAA's website. https://www.caa.co.uk/uploadedFiles/CAA/Content/Standard_Content/Commercial_industry/Airspace/Airspace_change/2017%20Directions%20as%20amended%20by%202018%20Directions.pdf

in the Directions, in which case it is referred to as a '**relevant PPR**'. These criteria are that the proposed PPR:

- falls within one or more of Types 1, 2 or 3, and
- relates to an airport which has a Category C or D (or both) approach landing procedure, and/or established Standard Instrument Departure routes published in the UK Aeronautical Information Publication.

(All these terms are explained in Chapter 2.)

1.21 **Only the subset of PPRs meeting these criteria require prior approval and are therefore in scope of our proposed PPR decision-making process.** In the interests of simplicity we have used the term 'PPR' and 'PPR process' throughout this document on the understanding that the regulatory process is only required for those PPRs meeting these criteria (i.e. relevant PPRs).

1.22 Only an air navigation service provider can propose a relevant PPR.

Basing the proposed PPR decision-making process on that used for proposed changes in airspace design

1.23 The PPR decision-making role the CAA has been given by the Government in the Air Navigation Directions must, like our airspace change decision-making, be carried out in accordance with section 70 of the Transport Act 2000.

1.24 It therefore makes sense to model the proposed PPR decision-making process on the existing process for changes in the notified airspace design, which is set out in CAP 1616, and is familiar both to industry and other stakeholders with an interest in airspace change decisions. The CAP 1616 process is made up of 14 steps in seven stages, with a series of four gateways that must be passed before the proposal can progress any further in the process (see Appendix C). Chapter 5 explains that we propose to scale some elements of the CAP 1616 process from the PPR process in order to keep it proportionate.

- 1.25 We also propose a scaled process for temporary PPR changes of no more than six months' duration, because although PPR is short for 'planned and permanent', the formal definition of 'permanent' captures any change in written procedures other than a tactical decision on the day.

Chapter 2

What is a 'PPR'?

Summary

- This chapter explains how a PPR and relevant PPR are defined.
- Only relevant PPRs need to go through a CAA decision-making process.
- We give a commentary on what changes are likely to fall within the Government's definition of a relevant PPR.
- The assessment is based on the anticipated outcomes of the proposed change.

Legal framework

Air Navigation Directions

- 2.1 As noted in Chapter 1, in October 2018 the Government amended The Civil Aviation Authority (Air Navigation) Directions 2017 to give the CAA the **function** to develop and publish a process for prior approval of a relevant PPR and supporting guidance. The amendments take effect on 1 November 2019. A consolidated version is reproduced at Appendix B.

Transport Act 2000

- 2.2 Section 70 of the Transport Act 2000¹¹ places the CAA under a general duty in relation to its air navigation functions to exercise those functions so as to maintain a high standard of safety in the provision of air traffic services. That duty is to have priority over the CAA's other duties in this area of work. Noting that priority, the CAA's duty in relation to air navigation is to exercise its functions in the manner it thinks best so that:

¹¹ http://www.legislation.gov.uk/ukpga/2000/38/pdfs/ukpga_20000038_en.pdf

- it secures the most efficient use of airspace consistent with the safe operation of aircraft and the expeditious flow of air traffic
- it satisfies the requirements of operators and owners of all classes of aircraft
- it takes account of the interests of any person (other than an aircraft operator or owner) in relation to the use of any particular airspace or airspace generally
- it takes account of any guidance on environmental objectives given to the CAA by the Secretary of State
- it facilitates the integrated operation of air traffic services provided by or on behalf of the armed forces and other air traffic services
- it takes account of the interests of national security
- it takes account of any international obligations of the UK notified to the CAA by the Secretary of State.

2.3 If in a particular case there is a conflict in the application of the above provisions, in relation to that case the CAA must apply them in the manner it thinks is reasonable having regard to them as a whole. The CAA must also exercise its air navigation functions so as to impose on providers of air traffic services the minimum restrictions which are consistent with the exercise of those functions.

2.4 You can find more information about how the CAA interprets section 70 in Appendix G of CAP 1616.

Air Navigation Guidance 2017

2.5 Section 70(2) of the Transport Act 2000 requires the CAA to take account of any guidance on environmental objectives given to it by the Secretary of State when carrying out its air navigation functions. These functions are set out in the Secretary of State's Air Navigation Directions 2017, as amended in 2018 (see above), made under sections 66(1) and 68 of the Transport Act 2000. Such Air Navigation Guidance was last issued in October 2017.

- 2.6 The Air Navigation Guidance and Air Navigation Directions issued in October 2017 followed a consultation by the Department for Transport about airspace and noise policy.¹² The Air Navigation Guidance is not just aimed at the CAA. The Government also expects that it will be taken into consideration by the aviation industry. The Air Navigation Guidance also acknowledges the important role which local communities have in the airspace change process.
- 2.7 Paragraph 16 of the annex to the Directions gives the CAA guidance on its environmental objectives when carrying out its PPR functions under Direction 9A:
- “In accordance with section 70(2)(d) of the Transport Act 2000, the CAA should take account of the Air Navigation Guidance 2017 when carrying out its functions under Direction 9A. In particular, the CAA should apply guidance that applies to its function to consider whether to approve permanent airspace changes (Direction 5) to its functions under Direction 9A.”
- 2.8 PPRs are not of course specifically mentioned in the Air Navigation Guidance because the guidance predates the amended Directions giving the CAA the decision-making function on PPRs.
- 2.9 We discuss the Air Navigation Guidance further in Chapter 3.

What is a PPR?

- 2.10 Direction 2 defines PPR as a planned and permanent redistribution of air traffic through changes in air traffic control operational procedure. Direction 2 defines 'planned and permanent' as meaning 'other than a day-to-day or at the time decision taken by an air traffic controller or other decision maker'.

¹² <https://www.gov.uk/government/publications/uk-airspace-policy-a-framework-for-the-design-and-use-of-airspace>

What do the Directions require the CAA to do?

2.11 Direction 9A says that:

- the CAA must develop and publish procedures, and guidance on such procedures, for the development, consideration and determination of proposals for relevant PPRs as set out in the annex to the Directions
- these procedures must:
 - be proportionate and reflect published Government policy, and
 - require an air navigation service provider to refer a proposal for a relevant PPR to the CAA for approval before it is implemented
- a PPR proposed by or on behalf of the Ministry of Defence is exempt from these procedures
- the CAA must decide whether to approve a proposal for a relevant PPR in accordance with these procedures and its published strategy and plan for the use of UK airspace¹³
- the CAA may make its approval of a proposal subject to such modifications and conditions as the CAA considers necessary
- the CAA must provide a report to the Secretary of State annually outlining, for each proposal for a relevant PPR referred to it under these procedures, the specific type of the relevant PPR, the relevant airport, and whether it was approved.

2.12 The annex to the Directions gives more information on the definition of a relevant PPR (reproduced below).

What is a 'relevant PPR'?

2.13 Paragraph 1 of the annex to the Directions (interpretation and scope) explains that **relevant PPR** means a proposed PPR which both:

¹³ This is a reference to a different requirement in the Directions, which the CAA fulfils through the Airspace Modernisation Strategy, which is set out in CAP 1711. www.caa.co.uk/cap1711

- falls within scope of one or more of **Types 1, 2 or 3**
 - 1** Lateral shift in flight track of more than a specified distance
 - 2** Redistribution between Standard Instrument Departure routes
 - 3** Change to Instrument Landing System joining point (on approach)
- and
- relates to an airport which has a Category C or D (or both) approach landing procedure, and/or established Standard Instrument Departure routes published in the UK Aeronautical Information Publication.¹⁴

2.14 Paragraphs 2 and 3 of the annex to the Directions give additional information on interpretation and scope. Paragraph 2 says that the definition is designed to capture only air traffic control operational procedures that relate to airports at which large commercial air transport and most business jets operate. It does not capture aerodromes or airports used only by small non-commercial aircraft.

2.15 Paragraph 3 goes on to say that changes to air traffic control operational procedures that are planned and permanent will typically be recorded in writing and given as some form of instruction to an air traffic controller. An example would be a change to an air navigation service provider's Manual of Air Traffic Services Part 2. The MATS Part 2 is a locally specific manual owned by air navigation service providers that, in conjunction with the MATS Part 1 published by the CAA, underpins how its air traffic controllers manage aircraft and informs their decisions.¹⁵

¹⁴ These terms are explained on pages 30–31.

¹⁵ The Manual of Air Traffic Services (MATS) contains procedures, instructions and information which are intended to form the basis of air traffic services within the UK. It is published for use by civil air traffic controllers and for the general interest of a wider audience. It is arranged in two parts:

- MATS Part 1 Instructions that apply to all UK Air Traffic Service Units (published by the CAA as CAP 493 www.caa.co.uk/cap493)
- MATS Part 2 Instructions that apply to a particular Air Traffic Service Unit, produced locally and approved by the CAA, amplifying and interpreting, at local level, MATS Part 1 instructions.

Any authorisation required by MATS Part 1 appears in the MATS Part 2.

Who is affected by a 'relevant PPR'?

- 2.16 We anticipate that the following stakeholders are affected by the proposed PPR process and will therefore have an interest:
- communities affected by aviation noise or other environmental impacts, their representatives, councils and other elected representatives, and bodies with an interest in aviation's environmental impact
 - air navigation service providers initiating a change in air traffic control operational procedure which potentially falls within scope of a relevant PPR
 - airports to which the change in air traffic control operational procedure is related
 - airspace users to the extent that a change in air traffic control operational procedure may affect them, for example airlines, other commercial operators and General Aviation (including sports, recreational, private transport, business aviation, flight training and air taxis); military aircraft are less likely to be affected, and operational procedure changes actually initiated by the military are out of scope of the PPR definition
 - air navigation service providers and airports who may be impacted by a change in air traffic control operational procedure at a neighbouring airport
 - users of air transport services, i.e. passengers and shippers, to the extent that a change allows the more efficient use of airspace or aircraft.

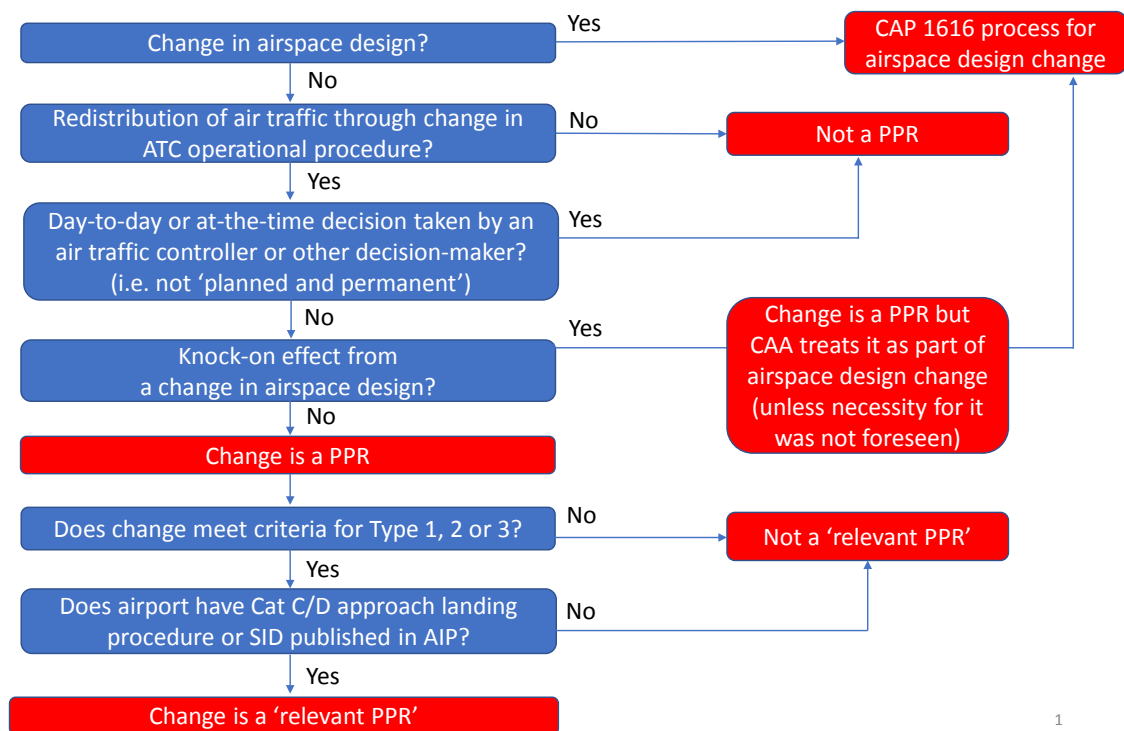
Identifying a 'relevant PPR'

- 2.17 In the next section we list the airports in scope and we reproduce from the annex to the Directions the definition of the three types of relevant PPR with some explanatory notes and examples. Note that in order to qualify as a relevant PPR, the proposed change concerned must both relate to an airport in scope **and** meet the criteria for one of the three types of relevant

PPR. If it does not, then the change may be a PPR, but it is not a relevant PPR and is therefore not subject to a CAA decision or the proposed decision-making process.

- 2.18 We are including some preliminary guidance to assist an air navigation service provider in identifying the types of air traffic control procedure changes that might result in a relevant PPR. Where we can, we will expand on this when publishing guidance on the final process later in the year.
- 2.19 Figure 2.1 illustrates the definition of a relevant PPR – i.e. a change that must go through the CAA's proposed decision-making process – in flow-chart form. Because the air navigation service provider will need to carry out the identification of a relevant PPR, we have included guidance on this essential preliminary process that the air navigation service provider must carry out in order for the PPR process to be initiated with the CAA (see Chapter 4).

Figure 2.1: Definition of a 'relevant PPR'



1

- 2.20 Note that in order to be a PPR in the first place, the proposed change must meet the definition of 'planned and permanent' in the Directions (see paragraph 2.10 above). Note also that the CAA will not require a PPR implemented before 1 November 2019 to go through the decision-making process.

Power to determine whether a proposed change is a relevant PPR

- 2.21 Paragraph 15 of the annex to the Directions says that if there is any doubt about whether a proposed PPR falls within Type 1, 2 or 3, the air navigation service provider, or airport as appropriate, **should consult the CAA**. The CAA will determine whether or not the proposed PPR is a relevant PPR. We will do so by considering the air navigation service provider's own assessment of the proposal and any other additional relevant information that allows us to consider that assessment and to make our determination.
- 2.22 The CAA's decision-making role is limited to Type 1, 2 or 3 PPRs, the criteria for which are based on anticipated outcomes. Thus we are required to assess, where requested, whether a proposed change in air traffic control operational procedure is anticipated to have the defined outcomes. We will consider the means and validity of the assessment by the air navigation service provider so that we can determine whether its proposal meets the Type 1, 2 or 3 criteria and therefore whether it requires a CAA decision as to whether it can be implemented.
- 2.23 Where the CAA concludes that an air navigation service provider has properly assessed that its proposal's anticipated outcomes do not meet any of the three criteria, we will confirm that the proposal can be implemented by the air navigation service provider without the need for a CAA PPR decision. **If it transpires that, once the change is implemented, outcomes materialise over time that do in fact meet one or more of the Type 1, 2 or 3 criteria, the validity of the air navigation service provider's implementation of the air traffic control operational procedure is not affected.** The CAA has no statutory function to require the air navigation service provider to go through the

PPR decision-making process retrospectively at that stage. However, if such a case were identified, the CAA would inform the Department for Transport who would, after careful consideration of the specific case, consider whether further action was needed.

UK airports potentially in scope of a relevant PPR

- 2.24 Although this is the second of the two criteria for a relevant PPR, it is sensible to consider it first, since it may immediately remove a given change from scope of the proposed process.
- 2.25 In order to potentially qualify as a relevant PPR, the proposed PPR must relate to an airport which has:
- a Category C or D (or both) approach landing procedure¹⁶, and/or
 - established Standard Instrument Departure routes published in the UK Aeronautical Information Publication.¹⁷
- 2.26 Of the multiple UK airports with air navigation service providers, all bigger airports are in scope of this definition, and many smaller airports too (Table 2.1). The CAA will regularly publish a list of airports in scope on its website and/or the online airspace change portal.

¹⁶ Aircraft approach category is a grouping of aircraft based on the speed at which they approach a runway for landing. Categories C and D typically relate to commercial or military jet aircraft.

¹⁷ A Standard Instrument Departure route is a published flight procedure followed by aircraft on an Instrument Flight Rules flightplan immediately after take-off. It is a departure route linking the airport (or a specified runway) with a specified significant point at which the en-route phase of a flight commences.

Table 2.1: UK airports in scope of the 'relevant PPR' definition

UK airports in scope			
Aberdeen	City of Derry	Humberside	Lydd
Belfast City	Cranfield	Inverness	Manchester
Belfast International	Doncaster Sheffield	Islay	Newcastle
Benbecula	Dundee	Kirkwall	Newquay
Biggin Hill	Durham Tees Valley	Leeds Bradford	Norwich
Birmingham	East Midlands	Liverpool	Oxford
Blackpool	Edinburgh	London City	Prestwick
Bournemouth	Exeter	London Gatwick	Scatsta
Bristol	Farnborough	London Heathrow	Southampton
Cambridge	Glasgow	London Luton	Stornoway
Campbeltown	Gloucestershire	London Southend	Sumburgh
Cardiff	Hawarden	London Stansted	Wick
Carlisle			

Notes:

- (a) If an airport is not listed, then the PPR process cannot apply to it. However, the list could change over time (the above information was compiled in January 2019).
- (b) Although Northolt does have a published SID, it is excluded on the basis that a change proposed by or on behalf of the Ministry of Defence is specifically excluded from the scope of a relevant PPR.

The three 'types' of relevant PPR

2.27 In order to meet the other criterion to qualify as a PPR that requires a CAA decision, the proposed PPR must fall into one of three types, 1, 2 or 3. In each case we begin by reproducing the definitions from the annex to the Directions, and then use examples to illustrate the kind of changes that we expect to be in scope. We welcome comments on our interpretation in this consultation document.

Type 1	Lateral shift in flight track of more than a specified distance
Type 2	Departure routes: redistribution between SIDs
Type 3	Change to ILS joining point (on approach)