

Legislative Framework

Under section 66 of the Transport Act 2000, the Secretary of State has given the CAA a number of airspace-related functions including:

- the duty to develop policy and strategy on the classification and use of airspace;
- to publish the UK airspace design;
- and to approve changes to it or in some cases to the procedures for using it.

Under section 70 of the Transport Act 2000, the CAA has a duty to take a number of factors into account when considering whether to agree to an airspace change proposal

Airspace Change process

The CAA requires the change sponsor (RSP) to follow the airspace change process as laid down in the guidance document Civil Aviation Publication (CAP) 1616: Guidance on the Regulatory Process for Changing Notified Airspace Design and Planned and Permanent Redistribution of Air Traffic, and on Providing Airspace Information

The process is carried out in 7 stages, with 14 precise steps and includes 4 process 'Gateways' beyond which we are not allowed to proceed unless approved by the CAA

What has happened up to now?

Before progressing to Stage 2 of the CAP 1616 process, RSP had to complete Stage 1 to CAA satisfaction. They had to:

- Produce a Statement of Need.
- Produce a set of design principles
- Explain to the CAA's satisfaction how the design principles were influenced through stakeholder engagement

The CAA had to:

- Agree that an airspace change was an appropriate option
- Agree RSP's proposed timescales
- Accept the process and approach used to develop the design principles
- Accept the design principles as a well-founded shortlist of principles to inform the development of airspace design options

Stage 1 Gateway

Outputs from Step 1B to be uploaded to the online portal Extracted from CAP 1616	
Output	Produced and uploaded by
Airspace change proposal design principles	Change sponsor
Explanation of how these were influenced through the engagement process	Change sponsor
Acceptance of change sponsor's design principles	CAA

Once all of the above have been completed satisfactorily the application passes through the Stage 1 Gateway and moves on to Stage 2.

RSP successfully passed the Stage 1 Gateway on 28th February 2020

AIRSPACE CHANGE Stage 2

Stage 2 is entitled
Develop and Assess

In this Stage the Change Sponsor (RSP) develops options for the airspace change. It consists of two parts

- Stage 2A Options Development
- Stage 2B. Options Appraisal

Process overview

Extracted from CAP 1616

Stage 2 **DEVELOP and ASSESS**

Step 2A Options development

The change sponsor develops one or more options that address the Statement of Need and align with the defined design principles.

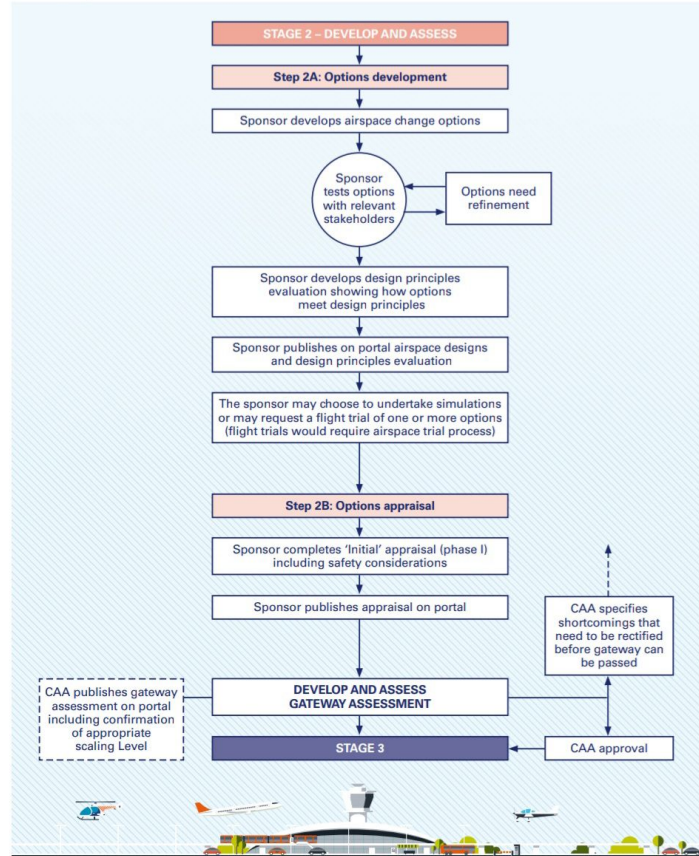
Step 2B Options appraisal

Each option, even if there is only one, is assessed to understand the impact, both positive and negative. The change sponsor carries out the options appraisal against requirements set by the CAA in an iterative approach: the Initial appraisal is the first of three appraisal phases.

DEVELOP and ASSESS Gateway

Stage 2

Develop and assess



Stage 2A Options Development

In Stage 2A RSP develop a comprehensive list of options that address the Statement of Need and design principles already agreed with the CAA in Stage 1.

These design options are shared with those stakeholders involved in the development of the design principles in Stage 1 to ensure that stakeholder concerns have been understood

RSP tests these with the same stakeholders it engaged with in Step 1B to ensure that:

- they are satisfied that the design options are aligned with the design principles, and
- that RSP has properly understood and accounted for stakeholder concerns specifically related to the design options.

RSP then produce a design principle evaluation

- The comprehensive list of options is refined to form a long list of options which are then subject to a design principles evaluation
- RSP publish the list of options and the design principles evaluation on the online portal that allows the CAA to review how these design options have responded to the design principles.
- At this stage, the CAA does not assess the appropriateness of any of the individual options, nor do they approve the airspace change.

Outputs from Step 2A to be uploaded to the online portal

Output	Produced and uploaded by
Airspace change design options	Change sponsor
Design principle evaluation	Change sponsor

Extracted from CAP 1616

Stage 2B Options appraisal

In Stage 2B RSP have to carry out an “initial” appraisal of the impact of each of the options identified in Stage 2A

- The Initial appraisal should, as a minimum, contain qualitative assessments of the different options.
- This highlights to RSP, stakeholders and the CAA the relative differences between the impacts, both positive and negative, of each option.
- RSP assess each option against a ‘do nothing’ scenario (the ‘counterfactual’), even where there is only a single change option, to understand these impacts.

Outputs from Step 2B to be uploaded to the online portal Extracted from CAP 1616

Output	Produced and uploaded by
Options appraisal (phase I – Initial) including safety considerations	Change sponsor
Options appraisal assessment (phase I – Initial)	CAA
CAA approval of sponsor’s design principle evaluation	CAA
Confirmation of appropriate scaling Level	CAA

The Level categorisation of an airspace change relates to the level of impact of the change. This airspace change is expected to be Level 1: High impact changes that have the impact to alter traffic patterns below 7,000 feet over an inhabited area

Stage 2 Gateway

In order for the CAA to sign-off the 'Develop and Assess' gateway:

- RSP must have produced a comprehensive list of airspace change design options
- RSP must have engaged with relevant stakeholders to explore those options to the CAA's satisfaction
- RSP must have produced a design principle evaluation that the CAA has accepted, showing how its design options have responded to the design principles
- RSP must have produced an Initial options appraisal (phase I)
- The CAA must have produced and then published an assessment that the options appraisal is satisfactory