

Civil Aviation Authority



Space licence 4000 forms user guide

V0.1

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1 Document Information

1.1 Document purpose and scope

This document presents the layout and questions that are contained in the Space license application form available on the CAA customer portal.

1.2 Amendment History

Version #	Issued Date	Author/ Modified By	Reviewers (if relevant) and Section, Page(s) and Text Revised
0.1	27/07/2021	T Bharucha	First draft

1.3 References

Reference	Document title and or source	Date	Author
[1]			
[2]			

1.4 Glossary

Abbreviation	Definition

2 Pre application form

Prior to completing an application form, we would recommend utilising the Pre-application process in order to register in advance your planned activity and to start an early engagement with the CAA that will enable the CAA to provide valuable information in advance on what you will need to have in place from a regulatory perspective ahead of the activity and to guide you so that the application process becomes easier when submitting your full application .

2.1 Accessing the Form

The form can be accessed without a login and allows the applicant to enter details on the type of undertaking that they are planning. The form is made available as a link on the CAA Space regulation web

2.2 Form pages collecting individual or Organisational details

The screenshot shows the first page of a pre-application form. At the top, there is a blue header with the Civil Aviation Authority logo on the left and the text 'Pre-application form' in large white font. Below the title, it reads 'Registration for pre-application engagement on Air Navigation Order permission(s) for rocket launch activities'. The main body of the page is white. A red asterisk indicates a required field. The section is titled 'Applicant Details'. Underneath, there is a label 'Applicant type *' followed by a dropdown menu. The dropdown menu is open, showing three options: 'Individual or club', 'Registered organisation', and 'A Consortium'. To the right of the dropdown, there is a progress bar labeled 'Page 1 of 7'.

Figure 1 : Pre - application page 1

* Required

Individual or club

Title *

Mr

First name *

john

Family name *

smith

Date of Birth *

03/05/2021

Telephone *

02342342351

Email *

tim.bharucha@caa.co.uk

Mobile *

0776234234

Figure 2 : Individual details part 1

The screenshot displays a form with the following fields and elements:

- Address Line 1 ***: Input field containing "11 the close".
- Address Line 2 ***: Input field containing "somewhere".
- City ***: Input field containing "london".
- County ***: Input field containing "UK".
- Postcode ***: Input field containing "Maximum 80 characters".
- Country ***: Input field containing "SW1 23H".

At the bottom of the form, there are three elements:

- A grey button labeled "Back".
- A blue button labeled "Next".
- A light blue box containing the text "Page 2 of 7" and a progress bar.

Figure 3 : Individual details part 2

* Required

Registered organisation

Point of contact

Title *

Mrs

First name *

jane

Family name *

smith

Date of Birth *

11/05/2021

Telephone *

02342342342

Email *

tim.bharucha@caa.co.uk

Mobile *

02342342342

Back Next Page 3 of 7

Figure 4 : Organisation part 1

Company Details

Company Name

Website Address

Country of Company Registration

Registered Company Number

Figure 5 : Organisation part 2

Address Line 1

Address Line 2

City

County

Postcode

Country

Page 4 of 7

Figure 6 : Organisation part 3

Consortium
Point of contact

Title

First name

Family name

Date of Birth

Telephone

Email

Mobile

Figure 7 : Consortium part 1

Consortium Details

Consortium Name

Lead company name in Consortium

Country of company registration

Registered company number

Address Line 1

Figure 8 : Consortium part 2

Address Line 2

Enter your answer

City

Enter your answer

County

Enter your answer

Postcode

Enter your answer

Country

Enter your answer

Back Next Page 6 of 7

Figure 9 : Consortium part 3

2.3 Form pages collecting activity information

In completing this part of the form, the applicant submits detail on the proposed activity and the date planned and has the choice of “type of license”.

The screenshot shows a web form titled "Pre-application form" with the Civil Aviation Authority logo. The subtitle is "Registration for pre-application engagement on Air Navigation Order permission(s) for rocket launch activities". A red asterisk indicates required fields. The form is divided into sections: "Details of proposed activity", "Description *", "Location *", "When is it proposed to take place or commence? *", "Maximum height of activity *", and "Type of License *".

*** Required**

Details of proposed activity

Description *
Provide a short description of the occurrence and the circumstances in which it happened.

Maximum 2000 characters

Location *

Maximum 2000 characters

When is it proposed to take place or commence? *

Please input date in format of dd/MM/yyyy

Maximum height of activity *

Below 50km

Above 50km

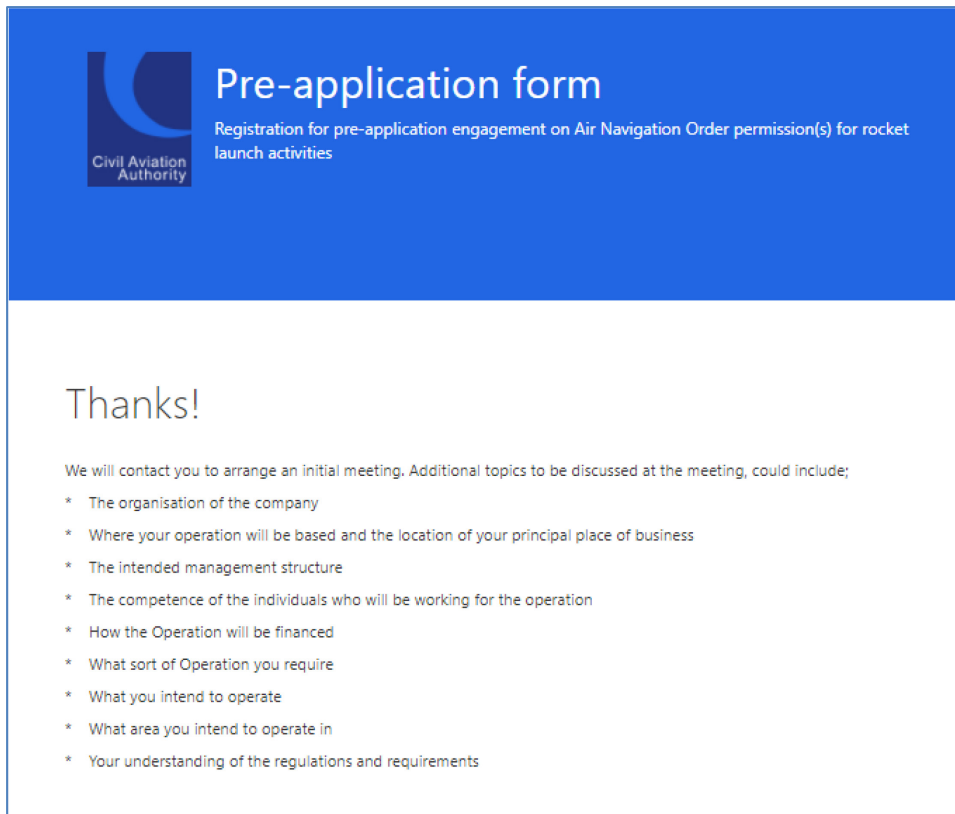
Type of License *


Select your answer

Back Submit Page 7 of 7

Figure 10 : Type of activity

On submission the applicant is provided with the confirmation screen shown in (Figure 11)



 **Pre-application form**
Registration for pre-application engagement on Air Navigation Order permission(s) for rocket launch activities

Thanks!

We will contact you to arrange an initial meeting. Additional topics to be discussed at the meeting, could include;

- * The organisation of the company
- * Where your operation will be based and the location of your principal place of business
- * The intended management structure
- * The competence of the individuals who will be working for the operation
- * How the Operation will be financed
- * What sort of Operation you require
- * What you intend to operate
- * What area you intend to operate in
- * Your understanding of the regulations and requirements

Figure 11 : Submission information

3 Full application form common elements

3.1 Selecting the form application type

In order to raise a full application form, you will need to register on the CAA Customer portal and then apply to access the Space Regulation service.

Once this has been completed you will be able to access the space application service upon logging into the portal and will be presented with the page shown in Figure 12.

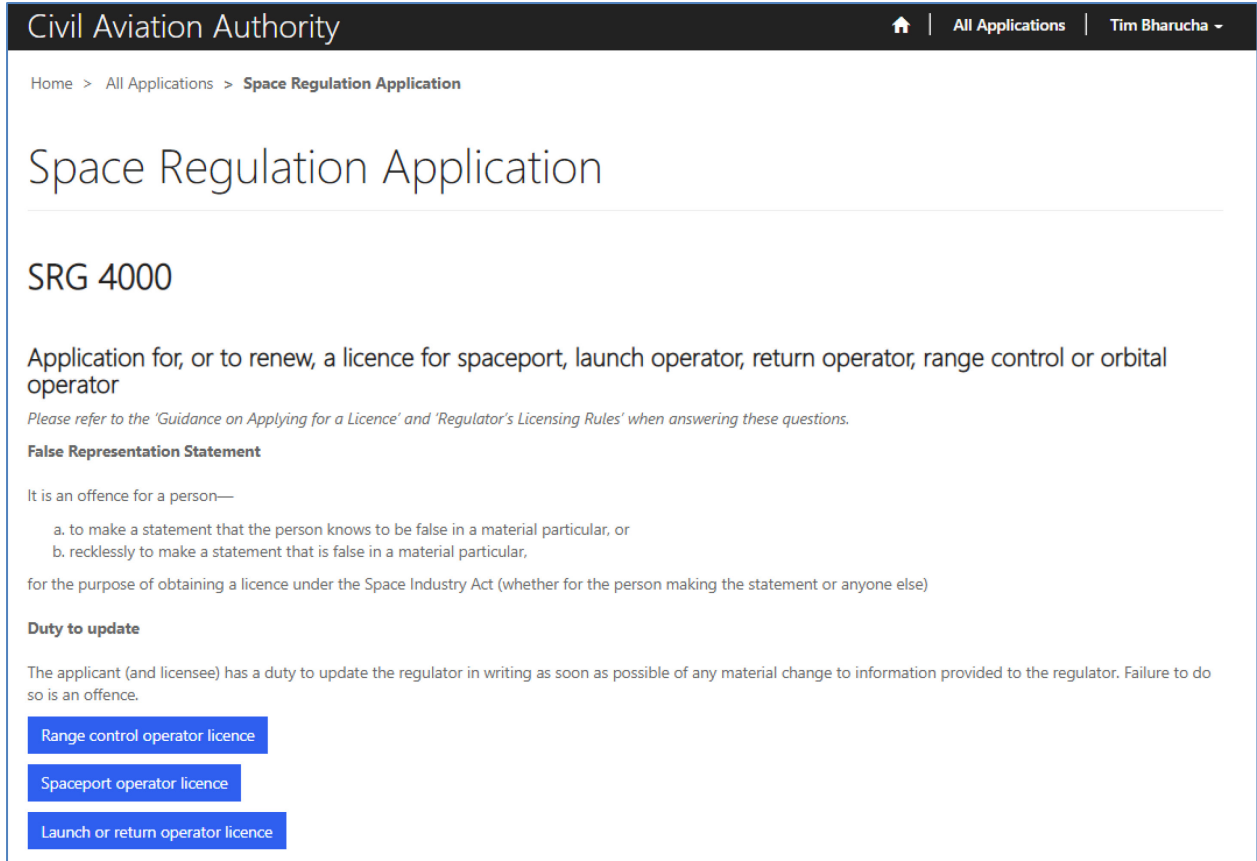
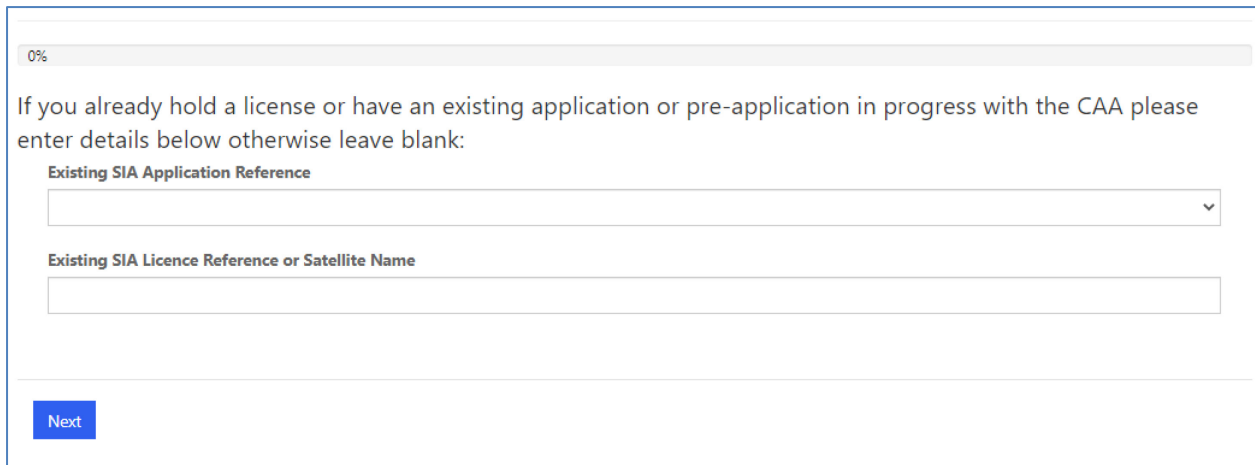


Figure 12 : SRG 4000 entry form

There are three options depending on the application that you are looking to make (Range control, Spaceport and launch or return operator).

Selecting any of these will then request information on existing licences that you hold and allow you to enter information on the company or individual making the application.

On selecting any of the three options you will be presented with Figure 13.



0%

If you already hold a license or have an existing application or pre-application in progress with the CAA please enter details below otherwise leave blank:

Existing SIA Application Reference

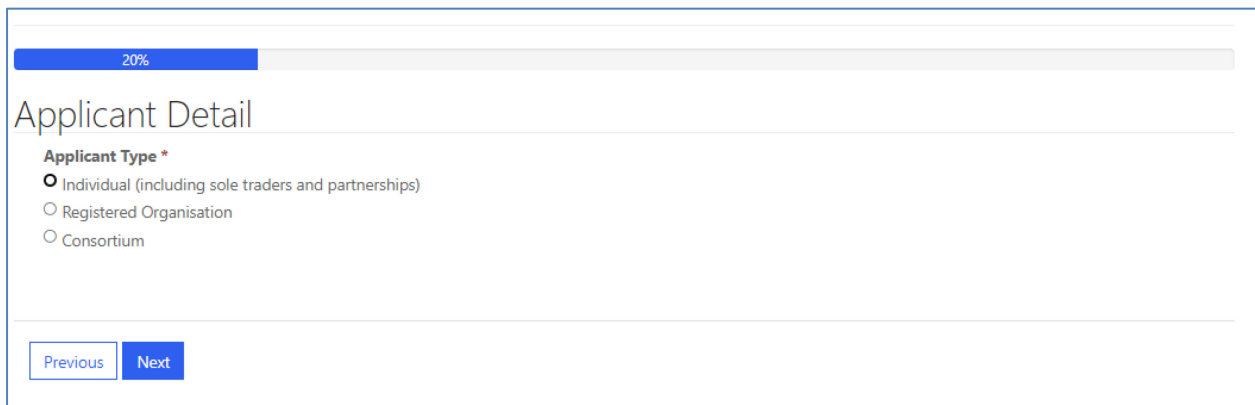
Existing SIA Licence Reference or Satellite Name

Next

Figure 13 : Existing applications

This page allows you to make reference to a pre-application that you have already submitted (choose from the drop-down selection) or to reference an existing licence that you have in place. You can also skip over this step if you haven't created a pre-application form and move to the next page using the Next button.

Then select whether you are applying on behalf of an individual / sole trader / organisation or consortium.



20%

Applicant Detail

Applicant Type *

- Individual (including sole traders and partnerships)
- Registered Organisation
- Consortium

Previous Next

Figure 14 : Applicant type

Regardless of the type of license the following information will be requested for each applicant type.

3.2 Individual (including sole traders and partnerships)

The page shown in Figure 15 collects your information for an individual application. Note that this will be pre-filled with information provided in your pre-application if you applied as an individual.

Individual or Club

Application Number
SR-APP-001376

Lead point of contact for partnerships and sole traders

Title * <input type="text"/>	Surname * <input type="text"/>
Forename * <input type="text"/>	Street 2 <input type="text"/>
Street 1 * <input type="text"/>	Country * <input type="text"/>
County <input type="text"/>	Mobile Telephone * <input type="text" value="Provide a telephone number"/>
ZIP/Postal Code * <input type="text"/>	Telephone * <input type="text" value="Provide a telephone number"/>
Email * <input type="text"/>	Website Address (if applicable) <input type="text"/>
Trading Name (if applicable) <input type="text"/>	

[Next](#)

Figure 15 : Individual information

3.3 Registered Organisation

For a company or organisation, the information in Figure 16 and Figure 17 is collected. Again, this will be pre-filled if you have submitted and selected a previous pre-application.

Registered Organisation

Application Number
SR-APP-001377

Registered Organisation – Point of Contact Details

Title *

Forename *

Surname *

Telephone *

Mobile Telephone *

Email *

Figure 16 : Organisation information part 1

Company Details

Registered company name *

Registered company number *

Country of incorporation *

Registered office address Line 1 *

Registered office address Line 2

County

Postcode *

Telephone *

Country *

Trading Name *

Trading address (if different to registered address)

Website address *

If you are a body corporate registered in a country outside of the UK, you must include a copy of your Certificate of Registration or equivalent from the country in which you are registered.

No file chosen

Figure 17 : Organisation information part 2

3.4 Consortium

For a consortium the information in Figure 18 is collected. Again, this will be pre-filled if you have submitted and selected a previous pre-application. Note that a lead company contact needs to be selected.

Consortium

Application Number
SR-APP-001378

Point of Contact

Title *

Forename *

Surname *

Telephone *

Mobile Telephone *

Email *

Consortium Details

Consortium name * <input type="text"/>	Lead company in consortium * <input type="text"/>
Registered company number * <input type="text"/>	Country of incorporation * <input type="text"/>
Registered office address Line 1 * <input type="text"/>	Registered office address Line 2 <input type="text"/>
Postcode * <input type="text"/>	Country * <input type="text"/>
Telephone * <input type="text" value="Provide a telephone number"/>	Website address <input type="text"/>

If you are a body corporate registered in a country outside of the UK, you must include a copy of your Certificate of Registration or equivalent from the country in which you are registered.

No file chosen

Figure 18 : Consortium information

3.5 Key personnel information

On entering the details about the individual or organisation, you will be asked to provide detail for the key roles and personnel in your application. The page shown in Figure 19 will be shown.

SR-APP-001378

The authorised representative that you enter below should either be a director or company secretary or person authorised to act on behalf of the applicant.
If you are not a Director or Company Secretary and have been authorised to sign the application form on behalf of the Company, proof of that authority must be provided with the completed application form.

Key Personnel

[+ Create](#)

Role ↑	Title	Forename	Surname	Email address
There are no records to display.				

Please be aware that an 'Annex: Personal details form' will need to be completed and submitted in due course for all individuals in prescribed roles, as well as the applicant and any lessor/agent.

To the best of your knowledge, can you confirm that all persons mentioned above and any other relevant persons meet the eligibility criteria as set out in Part 3 Chapter 1 Regulation 6 of the Space Industry Regulations 2021? *

No Yes

Are you proposing to appoint a sub-contractor or agent to carry out any activities on your behalf? *

No Yes

If YES, please attach the following and submit an 'Annex: Personal details form' for the prescribed persons in due course:

- Names and prescribed person forms
- Documents which evidence the capability to carry out those activities
- Copy of agency contract

Figure 19 : Key personnel information

To add personnel, use the “Create” button to add new roles.

The screen shown in Figure 20 will be shown and this allows you to select the role and provide the details for the at individual.

The screenshot shows a web form titled "Create" with a close button (X) in the top right corner. The form contains the following fields and sections:

- Role:** A dropdown menu.
- Title:** A dropdown menu.
- Forename:** A text input field.
- Surname:** A text input field.
- Email address:** A text input field.
- Telephone Number:** A text input field with the placeholder text "Provide a telephone number".
- Attach a file:** A section containing a "Choose files" button and the text "No file chosen".
- Submit:** A blue button at the bottom left of the form.

Figure 20 : Adding new persons

Once you have entered the details for that individual submit the sub form and this will add the individual to the grid of key personnel.

The key personnel that you need to enter are as follows :

- Authorised Representative
- Managing Director
- Security Manager (if applicable)
- Safety Manager (if applicable)
- Training Manager (if applicable)
- Launch Director (if applicable)
- Range Operations Manager (range licence only)

Once the details for the relevant people have been entered there are a number of attachments that need to be added to the application :

Figure 21 shows the attachments that are required to be submitted for all license types.

Required Attachments - General

If you fail to attach any document required under the Regulator's Licensing Rules, this may impact the assessment of your application. You may receive a direction under 4.1 of the Regulator's Licensing Rules on the omission.

Attach a copy of the Certificate of Registration or equivalent from the country in which the company is registered? *

Attach the required details of legal status? (Such as Memorandum of Association, an explanation of the relationship with other parts of the corporate group etc) *

Attach a Business Plan (and any other financial information or forecasts?) *

Attach a copy of the export licence or information related to the application of an export licence (if such a licence is required)? *

Describe any other information you have attached to meet the requirements under Table A of the Regulator's Licensing Rules?

Figure 21 : General attachments

4 Space port specific questions

The following questions are requested for those applying for a space port operation licence.

Spaceport - Refer to 'Guidance for spaceport licence applicants and spaceport licensees' and Table E of the 'Regulator's Licensing Rules

Sifting Questions - Used by Regulator to determine and streamline the assessment process

Spaceport

Application Number

SR-APP-001379

Target Date to start licensed activity? *

Which type of spaceport are you proposing? *

Status of the aerodrome where the horizontal spaceport is located. *

Name of proposed spaceport *

Spaceport location and grid reference *

Is your proposed spaceport already built/established? *

No Yes

Is planning permission required for the spaceport and has it been submitted / granted *

What rights do you hold to the spaceport? (if applicable)

What rights do you hold to the Aerodrome? (if applicable)

Number of launch pads (vertical launch only)

What is the maximum number of launches per year used in the siting assessment? *

Which Launch Operator(s) will carry out activities from your site? *

Provide the name of any launch vehicles or description used for siting assessment/safety case. *

Do you intend to launch any US spacecraft or US launch vehicles? *

No Yes

If using US spacecraft or launch vehicles, please provide the nationality of any person who has contributed money, equipment, technology or personnel to the production or acquisition of any essential and integral part of the launch facilities or its launch business

If using US spacecraft or launch vehicles, have you acquired an export control licence/TAA?

No Yes

If applying for a horizontal spaceport licence, are you intending to utilise any existing ATC, airspace, or aerodrome systems/resources? *

Provide details on any equivalent assessments as part of your Assessment of Environmental Effects?

Provide details on engagement with other parties taking part in the proposed spaceflight activity regarding obtaining insurance or the use of other financial securities?

4.1 Spaceport specific attachments

The following attachments are requested for a space port operation licence.

Required Attachments

All documents required in table E of the Regulator's Licensing Rules must be attached.

Attach a Safety Case. *

Attach the outcome of the siting assessment. *

Attach an Assessment of Environmental Effects. *

Attach the draft Site Security Programme. *

Attach the Cyber Security Strategy. *

5 Launch / Return Operator specific questions

The following questions are requested for those applying for those requesting a launch or return operator licence.

Launch Operator / Return Operator

Refer to 'Guidance for launch operator and return operator applicants and licensees' and Table B/Table C of the 'Regulator's Licensing Rules'

Sifting Questions

Used by Regulator to determine and streamline the assessment process

Spaceflight Launch Operator

Application Number

SR-APP-001380

Target Date to start licensed activity? *

What vehicle is your application based on? *

Provide a brief description of your intended payload.

Are you intending to use a reusable launch vehicle? *

No Yes

Are you intending to use a carrier aircraft? *

No Yes

Which spaceport do you intend to use? (Name and Location) *

Provide the name of the Range Control provider you intend to use and the services they will be providing? (if known)

What type of ground support equipment do you require?

What type of flight termination system are you intending to use? *

What type of launch does your safety case address? *

Do you intend for your launch vehicle to carry human occupants? *

No Yes

Do you intend to use both US technology and either a non-US vehicle or foreign spacecraft? *

No Yes

Provide details on any equivalent assessments as part of your Assessment of Environmental Effects?

Liabilities and Insurance

Provide certified copies of insurance and indemnity arrangements or, where not yet available, evidence of engagement with insurers indicating that the proposed mission is insurable. *

Where arrangements made, include Insurance certificate (unredacted), Signed policy wording (unredacted), Schedule of security (underwriter list), Any amendments or endorsements to the policy

If another jurisdiction needs to issue a licence for the mission, provide evidence of engagement on insurance requirements. *

If you are intending to use an alternative form of financial security in addition to insurance please attach a copy/original of all relevant documentation. *

PLEASE NOTE: Applicants must provide necessary insurance documentation to the Regulator at the earliest possible opportunity, including at application stage if available. The regulator understands that certified copies of insurance and indemnity arrangements may not be available at the time the application is submitted, but please note that it will send a request for the applicant to produce these documents during the licensing process as it will not be able to grant a licence until it has seen and is satisfied with them.

5.1 Launch/return specific attachments

The following attachments are requested for those requesting a launch or return operator licence.

Required Documents

All documents required in table B/C of the Regulator's Licensing Rules must be attached.

Attach your Safety Case. *

Attach a copy of the Safety Operations Manual. *

Attach an Assessment of Environmental Effects. *

Attach details of the financing of the launch vehicle and any associated carrier aircraft, including purchase/leasing arrangements. *

Attach a draft Operator Security Programme.

Attach a Cyber Security Strategy.

Attach confirmation of any radio frequencies and powers to be used. *

If both US technology and either a non-US vehicle or foreign spacecraft are used, attach information as to the nationality of any person who has contributed money, equipment, technology or personnel to the production or acquisition of any essential and integral part of — a) the non-US vehicle, b) the foreign spacecraft, or c) the applicant's launch business.

If required, attach information relating to where the launch vehicle is to have a human occupant and/or crew?

If required, attach information relating to where launch, landing (of return operator) or control of sub-orbital activities are to be authorised from a ship.

Describe any other information you have attached to meet the requirements of Table B/C in the Regulator's Licensing Rules?

6 Range Operator specific questions

The following questions are requested for those applying for Range control operation.

Range Control - Refer to 'Guidance for range control licence applicants and licensees' and Table F of the 'Regulator's Licensing Rules'

Sifting Questions - Used by Regulator to determine and streamline the assessment process

Range Control Operator

Application Number

SR-APP-001378

Target Date to start licensed activity? *

Please give an overview of the range operation and services you intend to provide covering: *

- Co-ordination
- Identification
- Notification
- Boundary Control
- Monitoring (Tracking & Surveillance)

Please provide details of the location and grid references of your ground assets and where they are sited.

If you intend to provide services from a single launch site please provide information on the Spaceport and its location.

If any part of the proposed range falls in the territory or territorial waters of a foreign country then please provide details of the countries involved.

Please describe the types of launch vehicle you intend to provide services for:

Please provide details of any spaceflight operator you are working with.

Please provide details of any spaceport operator you are working with.

Have you been in contact with the relevant authorities referred to in Regulations 43-44 of the Space Industry Regulations 2021? *

No Yes

Is your equipment intended to be fixed or mobile? *

If you are intending to provide any range control services from a ship please provide information evidencing:

- a. the location of the proposed provision of range control services
- b. the flag of the ship from which those services are to be provided
- c. the nationality of the operator

Does your identified equipment have previous experience in comparable situations? *

No Yes

For identified equipment please declare the build status of all major hardware:

Have you discussed with the relevant authority which spectrum frequencies you will use/intend to use as part of your services? *

No Yes

Are you intending on providing any additional range control functions? (e.g. flight termination, meteorological, non-flight safety) *

No Yes

Provide details on engagement with other parties taking part in the proposed spaceflight activity regarding obtaining insurance or the use of other financial securities?

6.1 Range specific attachments

The following attachments are requested for a range control operator.

Required Attachments

All documents required in table F of the Regulator’s Licensing Rules must be attached.

This includes:

Attach documentation setting out any proposed/intended agreements made with relevant authorities. *

Attach a draft Safety Management System. *

Attach a draft Quality Management System. *

Attach a draft Site Security Programme. *

Attach a Cyber Security Strategy. *

Attach confirmation of any radio frequencies and powers to be used?

Have you attached any other information to meet the requirements of Table F in the Regulators licensing rules?

Provide details of any additional attached documentation giving evidence of your capabilities to provide your proposed range control services?

This can include descriptions of the concept of operation, operational plans and procedures, hardware specification and interfaces as well as performance analysis and reliability figures.