

31 July 2023

Policy Statement

POLICY FOR AN ITERATIVE OPTIONS CYCLE FOR INTERDEPENDENT MASTERPLAN AIRSPACE CHANGE PROPOSALS

1 Introduction

1.1 The purpose of this policy statement is to define an approved procedure (the **Iterative Options Cycle**) for use by certain airspace change sponsors. The Iterative Options Cycle enables sponsors to reintroduce previously discounted options under certain circumstances.

2 Scope

2.1 The procedure is only available for use by the sponsors of interdependent airspace change proposals (ACPs) identified in the airspace change masterplan (or masterplan), at Step 3A of the [CAP 1616](#) Airspace Change process.

3 Rationale for the procedure

3.1 The masterplan process, coordinated by the Airspace Change Organising Group ([ACOG](#)), identifies interdependent ACPs including some of those that were started under the FASI programme. The CAA recognises that sponsors of these interdependent ACPs may not have sufficiently developed proposals to enable them to effectively integrate their proposals before Step 3A of the CAP 1616 process. During Stage 2 of CAP 1616, robust consideration of the cumulative impacts and trade-offs is not possible, as:

- i) the number of combined options for each interdependency is too high, and/or
- ii) the option designs are insufficiently detailed.

3.2 At the start of Step 3A, the number of options will have been reduced to a shortlist by the sponsor, with design detail to support the Full Options Appraisal (FOA) generated for each option. This will enable the sponsors of two or more interdependent ACPs to collaborate to integrate the shortlisted designs into options for a cluster-wide design.

- 3.3 Based on the data generated from the collaborative design (including, amongst other things, CAF¹), sponsors may conclude that the integration of the shortlisted options does not enable system-wide optimisation, or that their options are operationally incompatible. If this happens, sponsors may:
- i) Modify an option from the shortlist at Step 3A provided that the conclusions of the Design Principle Evaluation (DPE) and Initial Options Appraisal (IOA) are not altered.
 - ii) Reintroduce options from their more comprehensive list developed in Stage 2 in the pursuit of system-wide optimisation (using this procedure).
- 3.4 The Iterative Options Cycle, defined below, may be used by sponsors of in scope ACPs (see para 2.1) to reintroduce options. Sponsors may return to the list of options they discounted at Stage 2 and bring forward one or more options that would enable the collaborative design work to develop an operationally compatible and optimal cluster-wide design.
- 3.5 ACOG expects that most barriers to integration will be resolved by making modifications to already short-listed options – i.e. that don't substantially change the option. The need for previously discounted options to be reintroduced is therefore expected to be rare.

4 Iterative Options Cycle procedure

- 4.1 Where the sponsors of interdependent ACPs have concluded their shortlisted options are not operationally compatible, or do not integrate in a manner that optimises the cluster-wide design, the sponsor may use the Iterative Operations Cycle.
- 4.2 Before using the procedure, the sponsor should first contact ACOG to discuss the need. If the procedure is deemed necessary, the sponsor should then contact their Airspace Change Account Manager before commencing the steps below.
- 4.3 Before proceeding beyond Step 3A, the sponsor must step through the following requirements:
- i) Consider whether an option from the shortlist at Step 3A can be modified to enable integration while remaining in scope of the existing short-listed options.
 - ii) If not, identify the appropriate option, or options, on the original comprehensive list drawn up by sponsors in Stage 2A that would enable optimal integration.
 - iii) Conduct an impact assessment to examine the size and nature of any changes to the DPE and IOA and explain their significance, including:

¹ Cumulative Analysis Framework (CAF) is guidance being developed by ACOG to change sponsors for capturing cumulative and collective impacts of interdependent ACPs in the Masterplan; CAF consists of three parts that relate to the option appraisal phases in CAP1616.

- (1) new information arising in Step 3A from the collaborative design work that justifies why a discounted option(s) should be reintroduced
 - (2) whether it influences their Stage 2 work, and how
 - (3) an outline of the new conflicts that have arisen and what has been done to alleviate them
 - (4) a description of what this means for their ACP at Stage 3, concentrating on the option(s) identified in step 2 above
 - (5) a preliminary design check for assurance and to demonstrate that the reintroduced option(s) is/are viable
- iv) Sponsors should ensure they keep stakeholders informed by providing an update to their airspace change portal entry, highlighting they are considering their option(s) in the light of interdependencies with other ACPs prior to their Stage 3.
- v) Clearly identify this information into the sponsor's consultation strategy and consultation documents which must be prepared at Step 3A, as well as a more comprehensive Full appraisal of the option(s) the sponsor is proceeding with at this stage in a manner that enables stakeholders to see what option(s) have been re-introduced and why.
- vi) Submit all evidence gathered throughout the process (from steps i) to iii) above), alongside the normal Stage 3 Gateway material, to the CAA for assessment.
- 4.4 The schematic in **Appendix A** demonstrates the use of the Iterative Options Cycle by an ACP sponsor in the context of the CAP 1616 Airspace Change Process, the CAF and the masterplan. It does not represent the whole design process.

5 Related Documents

5.1 We have included the most relevant documents below. A fuller list of CAA CAPs and Airspace Policy Statements can be found on the [CAA website](#).

CAPs

- [CAP 1616](#) - Airspace Change;
- [CAP 1711](#) - Airspace Modernisation Strategy Part 1; and,
- [CAP 2312B](#) - UK Airspace Change Masterplan Iteration 2.

6 Review of Policy

6.1 The CAA will review this policy statement on a discretionary basis but at least once every three years since the publication date.

7 Point of Contact

7.1 Any queries or further guidance required on the content or implementation of this Airspace Policy Statement should be addressed to:

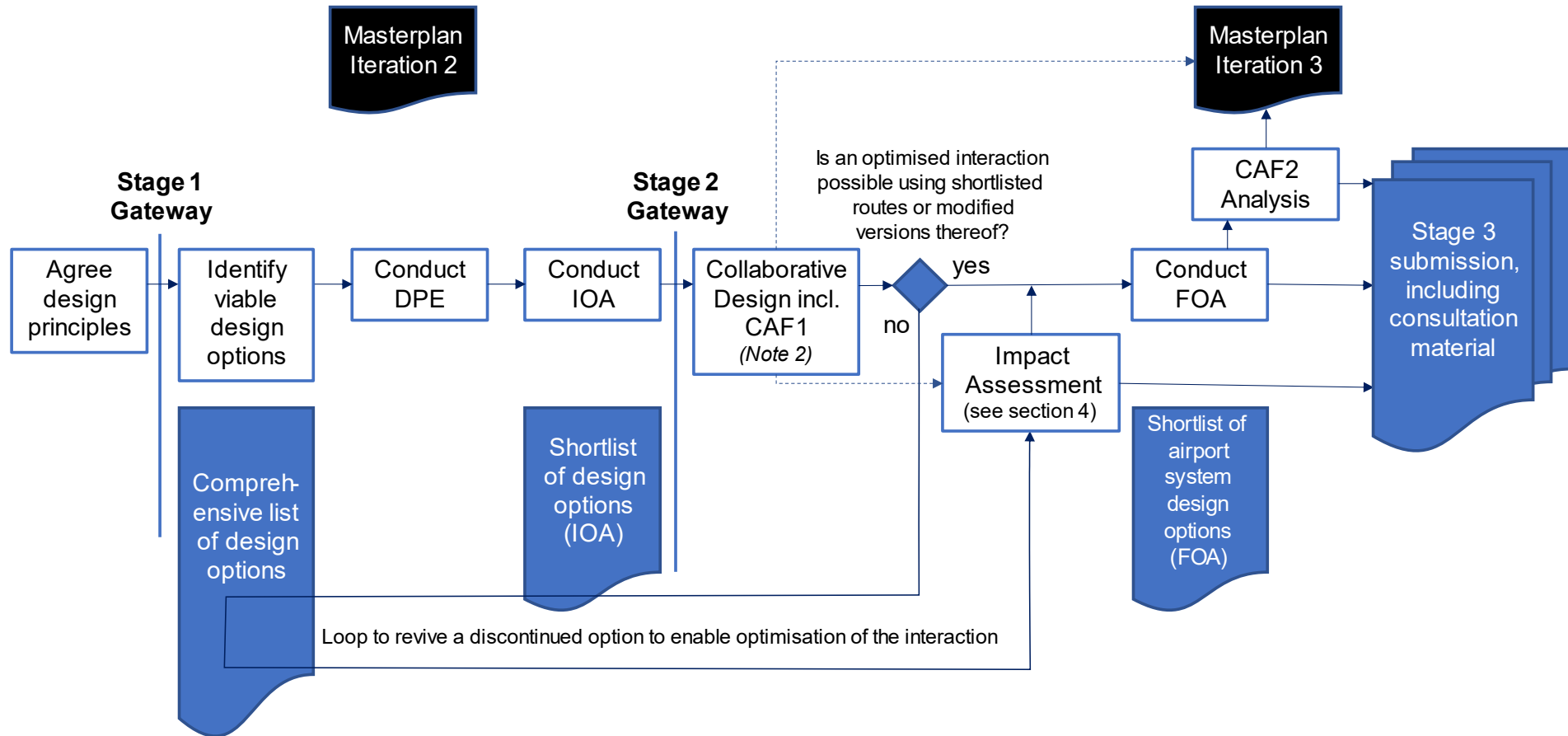
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Appendix A

Process Flow Diagram



Notes:

1. This schematic is designed to demonstrate the Iterative Options Cycle from the perspective of the ACP sponsor and in the broad context of CAP 1616, the CAF and the masterplan; it does not attempt to describe the whole design process.
2. Collaborative design is shown after Stage 2 gateway, which is the default position for sponsors who have already passed the Stage 2 gateway. Sponsors still in Stage 2 of the process may also partake in collaborative design to inform the DPE and/or IOA.