



Guidance on Airspace Change Process for Level 3 and Pre-Scaled Airspace Change Proposals

CAP 1616h

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Revision history

1. In response to feedback received during the review of the CAP 1616 airspace change process we have delivered a package of improvements that makes the airspace change process easier to understand and clarifies the requirements needed to be met to progress an airspace change proposal. As part of those improvements, a new Level 3 was introduced for changes to the notified airspace design that have the potential for a low impact to both aviation and non-aviation stakeholders.
2. The processes for conducting Level 3 airspace change proposals and pre-scaled airspace change proposals are contained in CAP 1616h, Guidance on Airspace Change Process for Level 3 and Pre-Scaled Airspace Change Proposals.

Chapter 1

Introduction

Who is this Document for?

- 1.1 This document is predominantly written for change sponsors. Anyone can sponsor an airspace change proposal, although it is most often an airport/spaceport operator, an air navigation service provider or a potential operator of a new or innovative aircraft type. In some cases, the change sponsor will work in partnership with other organisations (for example, aviation/airspace consultancy firms, approved procedure design organisations) when developing their airspace change proposal. However, the change sponsor remains solely responsible for complying with the airspace change process, and any UK and international airspace design policy requirements that they are required to take account of when developing their airspace change proposal. This document may also be of benefit to others who have an interest in the airspace change process.

Purpose of the Document

- 1.2 This document contains the process requirements for Level 3 airspace change proposals. It has been developed to be used alongside the contents of [CAP 1616, Airspace Change Process](#) by providing the minimum set of requirements for Level 3 airspace change proposals. Guidance on how to achieve these requirements is set out in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#) unless otherwise amended in this document. Please also refer to [CAP 1616i, Environmental Assessment Requirements and Guidance for Airspace Change Proposals](#) for further requirements, guidance on performing and scaling environmental assessments (where applicable).
- 1.3 It also contains the airspace change process requirements for pre-scaled Level 3 airspace change proposals. The majority of these currently exist in CAA policy statements (for example SARG Policy 115: Establishment and Dimensions of Aerodrome Traffic Zones (ATZ)) but as these are reviewed, they may become additional appendices to this document.
- 1.4 The process requirements for pre-scaled airspace change proposals currently detailed in this document are for:
- Pre-scaled process for instrument approach procedures without approach control/helicopter point in space. The content for this process has been developed from the previous CAP 1616 Part 1c to include helicopter point in space approaches

- Pre-scaled process for the establishment of offshore wind farms. This is a newly developed pre-scaled process for the introduction of transponder mandatory zones to mitigate the impacts of range and azimuth gating which is applied to primary surveillance radars to prevent radar clutter caused by false returns from offshore wind farms.

1.5 If the CAA agrees that an airspace change proposal is suitable for one of the pre-scaled processes, the change sponsor should only need to fulfil those requirements as detailed in the relevant appendix. However, while the CAA has developed pre-scaled processes for certain airspace change proposals, it does not remove our duty to apply these processes in a manner that can accommodate flexibility.

How can the Civil Aviation Authority (CAA) Provide Guidance?

- 1.6 The CAA is the airspace regulator and primary decision-maker, and responsible for administering the airspace change process and providing guidance on the process to stakeholders. The CAA must develop this process in accordance with directions and environmental guidance provided by the Secretary of State. Additionally, the process is designed to enable the CAA to comply with its statutory duties.
- 1.7 Throughout the development of an airspace change proposal, change sponsors may seek guidance on the requirements of the process from the CAA's Airspace Regulation team. However, the most appropriate opportunity to provide change sponsors with guidance is following a gateway. The basic premise of the CAA providing guidance is that it is focussed on offering information and support to change sponsors on the application of the airspace change process and understanding their responsibilities, technical matters relating to airspace change, highlighting appropriate policy requirements and other exemplar airspace change proposals.
- 1.8 It is important to note that this guidance does not constitute advice on the specific course of action change sponsors should take. However, there may be circumstances where we are required to direct the change sponsor to address specific matters such as a safety-related issue or compliance with national and international regulations and government policies. In such cases, we will clearly communicate the reasons for the guidance and publish it on the airspace change portal.

Definitions

- 1.9 Throughout this document, the degree of compliance expected is based on the following definitions:

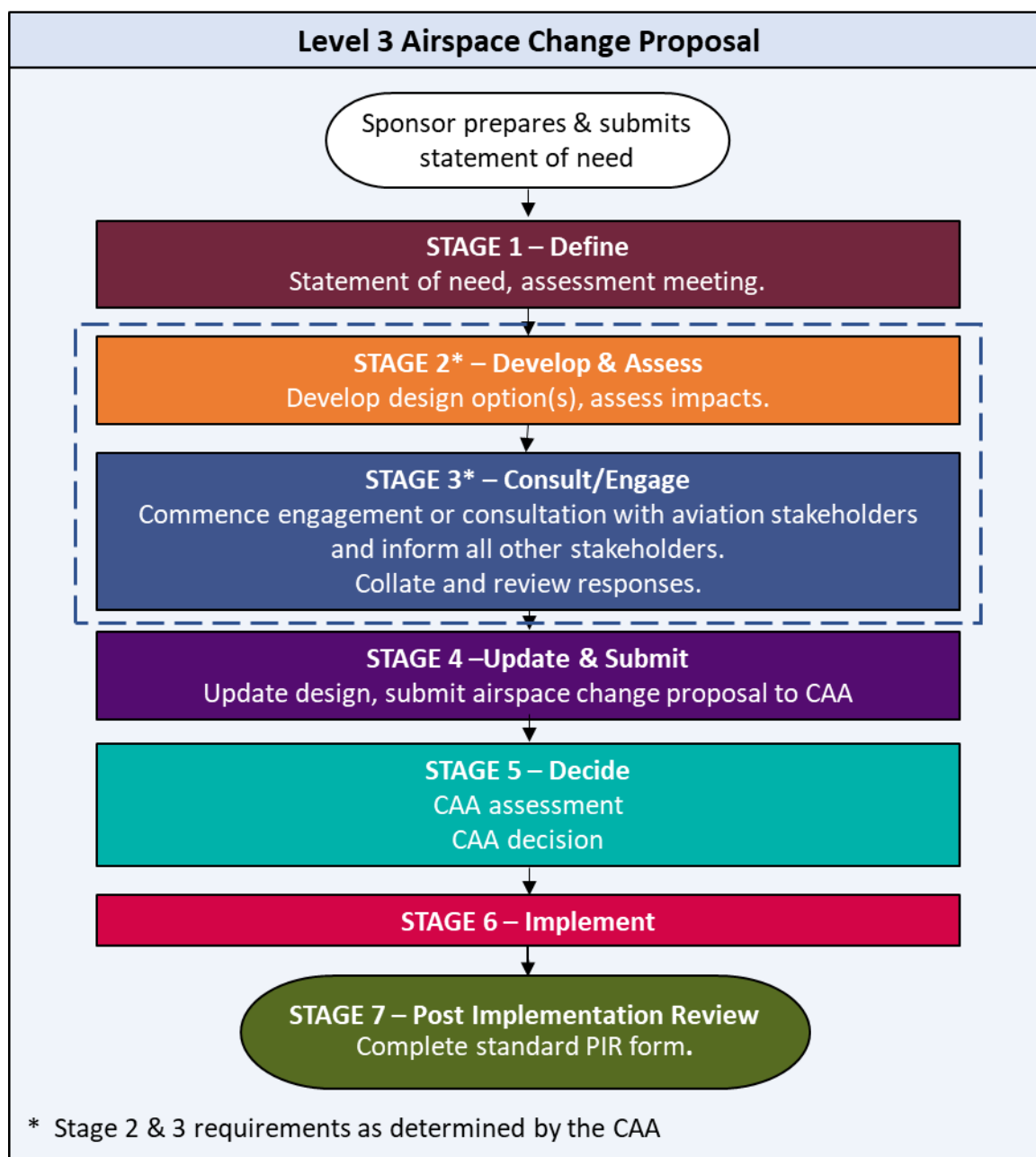
- **'will'** or **'must'** is used to refer to requirements that must be met in full, unless it has been agreed in advance with the CAA that it would be disproportionate to do so
- **'should'** is used to refer to a requirement that is expected to be met in full, unless the change sponsor provides an acceptable rationale (within their submissions) that it would be disproportionate to do so
- **'may'** is used to refer to an action that the change sponsor is encouraged to consider taking. Given the unique circumstances of each airspace change proposal, there may be instances where we might instruct the change sponsor to take specific action.

Chapter 2

Level 3 Airspace Change Proposals

Process Overview

Figure 1: Level 3 airspace change process overview



Introduction

- 2.1 The Level 3 airspace change process is for changes to notified airspace design that have the potential for a low impact on both aviation and non-aviation stakeholders. Not all stages of the CAP 1616 process may be required for Level 3 airspace change proposals and formal gateway assessments are not usually conducted. Instead, reviews at each relevant stage may be made by the CAA when deemed necessary.
- 2.2 The Level 3 process is applicable to a range of airspace change proposals and will be assessed on a case-by-case basis. The requirements listed below are the minimum necessary for Level 3 airspace change proposals. Additional requirements, including the need for reviews at certain stages, will be established by the CAA on a case by case basis and reference to other CAP 1616 documents may be required.
- 2.3 As there are no gateway assessments for Level 3 airspace change proposals, change sponsors may be required to submit documentation for CAA review and confirmation that the airspace change proposal can progress to the next stage. Change sponsors should allow four weeks for the CAA to conduct their review at each required stage. The CAA will endeavour to inform the change sponsor of the outcome within this time period, however, given the types of airspace change proposals that could use the Level 3 process, time scales may vary.

Stage 1 - Define

Purpose

- 2.4 Stage 1 is where the change sponsor defines their requirement for a proposed change to airspace design, setting out the objectives, issues or opportunities associated with the airspace change within a statement of need.
- 2.5 The CAA will then facilitate an assessment meeting to discuss the statement of need. The assessment meeting will determine whether the airspace change process is the appropriate mechanism for change and, assuming it is, a provisional level, general airspace change process requirements, proposed scaling opportunities and development of a timeline will be discussed. Following the assessment meeting, the change sponsor will agree a timeline for the airspace change proposal with the CAA.

Requirements

Statement of need

- 2.6 The change sponsor **must** complete and submit the [DAP1916 - statement of need form](#), ensuring that it includes the objectives of the airspace change

proposal, the airspace issues or opportunities to be addressed and the current/existing situation.

Creation of the airspace change proposal on the airspace change portal

2.7 The change sponsor:

- **must** create an entry for their airspace change proposal
- **should** add a potentially affected area
- **must** ensure that the status is set to 'in progress'.

Assessment meeting

2.8 The change sponsor **must**:

- deliver a briefing to the CAA on the objectives of the airspace change proposal, the airspace issues or opportunities giving rise to it, and proposed next steps
- provide the change sponsor's target dates for CAA decision and implementation
- develop the output from the assessment meeting
- where required, submit and publish updated versions of the statement of need on to the airspace change portal, ensuring that they are clearly identified by a version number.

Current-day scenario

2.9 The change sponsor **must** describe the current-day scenario.

Design principles

2.10 The change sponsor **must** use the mandatory design principles (MDP).

Guidance

2.11 Guidance material on the above requirements is contained in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#) unless otherwise specified below.

2.12 If the change sponsor believes their airspace change proposal falls within the scope of Level 3, they should attend the assessment meeting prepared to demonstrate, with appropriate rationale and evidence, that their airspace change proposal has a low impact on both aviation and non-aviation stakeholders.

2.13 The CAA will endeavour to provide confirmation on whether the proposed airspace change is a Level 3 during, or shortly after, the assessment meeting. However, on some occasions the CAA may need to better understand the

characteristics of the airspace change proposal and the potential impacts before it can make a determination. If an airspace change proposal cannot initially be confirmed as Level 3, it will be re-assigned as a provisional Level 1 or 2 until such time as the CAA can be satisfied that it can be confirmed as Level 3. Notwithstanding that provisionally assigned level, the requirements in the airspace change process may be scaled when the CAA considers it proportionate to do so.

- 2.14 Given the process requirements for each Level 3 airspace change proposal are assessed on a case by case basis, it is unlikely that the change sponsor will be able to provide a full indicative timeline at the assessment meeting. However, the change sponsor should present a proposed date for implementation of the change. The full indicative timeline should be developed once the process requirements have been finalised by the CAA and communicated to the change sponsor.
- 2.15 The current-day scenario provides a clear description of the current impacts and sets the context for all stakeholders. Due to the potential for a low impact on both aviation and non-aviation stakeholders, change sponsors of a Level 3 airspace change proposal may not need to provide the same level of detail for the current-day scenario that is expected for Level 1 and 2 airspace change proposals. The information to be included in the description of the current-day scenario will depend on the scale and impacts of each individual Level 3 airspace change proposal. Moreover, the requirements for Stages 2 and 3 will also vary depending on the scale and potential impacts of the Level 3 airspace change proposal. Following the provision of the current-day scenario to the CAA, we will provide the change sponsor with a list of process requirements for their Level 3 airspace change proposal.

Outputs Required During Stage 1

- 2.16 Following completion of the Stage 1 requirements and outputs, the change sponsor can move directly onto Stage 2. The mandatory design principles and current-day scenario developed at Stage 1 must be included as part of the final airspace change proposal submitted to the CAA at Stage 4 unless otherwise specified by the CAA.

Before assessment meeting (produced and published by change sponsor)

- statement of need (submitted to CAA)
- entry created on the airspace change portal, and status set to 'in progress'
- redacted statement of need published on the airspace change portal.

After assessment meeting (produced and published by change sponsor)

- assessment meeting output (to include the proposed timescales for the airspace change process and the provisional level assigned by the CAA)
- updated statement of need submitted to the CAA and redacted version published on the airspace change portal (if applicable)
- current-day scenario.

After assessment meeting (produced and published by the CAA)

- determination on whether the airspace change proposal is in scope of the airspace change process and, if relevant, confirmation of its Level 3 assignment (on airspace change portal).
- provision of a list of process requirements for the Level 3 airspace change proposal.

Stage 2 – Develop and Assess

Purpose

- 2.17 Following the assessment meeting, the CAA will have provided the change sponsor with a list of process requirements for their Level 3 airspace change proposal. The requirements listed below are therefore the minimum expected.

Requirements

Conduct the design principle evaluation

- 2.18 The change sponsor **must** evaluate any design options against the design principles, specifying if they have met, partially met or not met each design principle.

Habitats Regulations Assessment

- 2.19 The change sponsor **must** conduct the habitats regulations assessment screening exercise.

Guidance

- 2.20 Guidance material on the above requirements is contained in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#) unless otherwise specified below. Please also refer to [CAP 1616i, Environmental Assessment Requirements and Guidance for Airspace Change Proposals](#) for further requirements, guidance on performing and scaling environmental assessments (where applicable).
- 2.21 There is no requirement for change sponsors to conduct a full design principle evaluation. However, as a minimum change sponsors must demonstrate (using a

qualitative assessment) how their airspace change proposal meets or does not meet the mandatory design principles. There is no requirement for change sponsors to conduct the initial options appraisal at Stage 2 unless the CAA specifies this as a requirement for the Level 3 airspace change proposal.

- 2.22 The change sponsor must complete the habitats regulations assessment early screening criteria form as given in [CAP 1616i, Environmental Assessment Requirements and Guidance for Airspace Change Proposals](#). No further habitats regulations assessment will be required if the change sponsor can reasonably demonstrate that their airspace change proposal is unlikely to have a significant effect on a European site.

Outputs Required During Stage 2

- 2.23 Following completion of the Stage 2 requirements and outputs the change sponsor can move directly onto Stage 3 unless otherwise specified by the CAA. The qualitative assessment of the airspace change proposal against the mandatory design principles must be included as part of the final airspace change proposal submitted to the CAA at Stage 4.

Output from Stage 2 (produced by the change sponsor)

- habitats regulations assessment early screening criteria form

Stage 3 – Consult/Engage

Purpose

- 2.24 Following the assessment meeting, the CAA will have provided the change sponsor with a list of process requirements for their Level 3 airspace change proposal. As a minimum, the change sponsor should be able to demonstrate that, through targeted engagement activity, relevant stakeholders' views have been considered and taken into account as part of the final airspace change proposal. The requirements listed below are therefore the minimum expected.

Requirements

Stakeholder Engagement

- 2.25 The change sponsor **must** identify relevant stakeholders.
- 2.26 The change sponsor **must** share the design options with relevant stakeholders so that they can comment accordingly, and take those comments into account.
- 2.27 The change sponsor **must** provide relevant engagement evidence.
- 2.28 The change sponsor **must** demonstrate what they have heard and how this feedback has, or has not, informed the content of the final airspace change proposal.

Guidance

- 2.29 The extent of engagement required will depend on local circumstances and the scale and impact of the airspace change proposal and will have been discussed already at the assessment meeting with the CAA in Stage 1.
- 2.30 When preparing for engagement, change sponsors should be clear about what they are trying to achieve. The change sponsor may find it beneficial to produce an engagement strategy that sets out how it intends to facilitate effective engagement. The consultation strategy template that can be found in Appendix B of CAP 1616f, Guidance on Permanent Airspace Change Process may be a helpful starting point. As a minimum the engagement strategy should set out:
- which stakeholders they plan to engage and how they were identified. At a minimum, the change sponsor is required to engage aviation stakeholders (specifically, that is airspace users, air navigation service providers, airports and relevant members of the National Air Traffic Management advisory Committee) and, depending on the circumstances of the airspace change proposal, engagement with non-aviation stakeholders may also be appropriate
 - how they plan to engage with those stakeholders
 - what materials will be used to support the engagement activities
 - the timescale over which they intend to engage and the rationale for this duration.
- 2.31 Their engagement materials should include the following:
- all design options proposed by the change sponsor
 - a qualitative assessment of the impacts of each design option
 - a description of any design options that have been considered but are not being proposed, along with a rationale explaining why they are not being progressed.
- 2.32 There is no Stage 3 gateway for Level 3 airspace change proposals but change sponsor may submit their engagement strategy and associated engagement material to the CAA as change sponsors might find it useful to receive feedback prior to commencing their engagement activities.
- 2.33 The change sponsor's explanation of the issues raised during engagement, and its response to the identified issues, must be included as part of the final airspace change proposal submission in Stage 4. We will assess the effectiveness of the change sponsor's engagement at Stage 5.

Outputs Required During Stage 3

- 2.34 Following completion of any Stage 3 requirements the change sponsor can move directly onto Stage 4 unless otherwise specified by the CAA. Outputs from Stage 3 must be included as part of the final airspace change proposal submitted to the CAA at Stage 4. This may include engagement material, any related engagement evidence and an engagement summary report.

Stage 4 – Update and Submit

Purpose

- 2.35 Stage 4 enables the change sponsor to make any final adjustments to the airspace design ahead of submitting the final airspace change proposal to the CAA.

Requirements

Submit the final airspace change proposal

- 2.36 The change sponsor:
- **should** prepare the final airspace change proposal using the standard template (not all sections of the standard template may apply for Level 3 airspace change proposals)
 - **must** ensure that the final airspace change proposal does not include any design elements that have not been engaged on, unless this has been approved by the CAA in advance
 - **must** where relevant, ensure that their approved procedure design organisation provides the CAA with the instrument flight procedure design submission in accordance with the agreed method documented in the approved procedure design organisation's quality management system
 - **must** where relevant, include in the final airspace change proposal the rationale as to why no further engagement is required
 - **must** include in their final airspace change proposal sufficient information written in plain English such that non-aviation stakeholders can understand the airspace change proposal and the anticipated impacts
 - **must** include in their final airspace change proposal sufficient technical details such that aviation stakeholders can fully understand the airspace change proposal and the anticipated impacts
 - **must** include in their final airspace change proposal sufficient details such that the CAA can assess the airspace change proposal against the CAA's statutory duties and where applicable, government policy
 - **must** include in their final airspace change proposal sufficient details such that the CAA can assess the airspace change proposal against any applicable CAA policies, including requests for policy dispensations

- **must** include in the final airspace change proposal a realistic target implementation date that takes into account the decision process in Stage 5 and the implementation process set out in Stage 6, as well as any requirements of the change sponsor and impacted stakeholders
- **must** submit their final airspace change proposal to the CAA, noting that the technical instrument flight procedure submission (where relevant) must be submitted by the change sponsor's approved procedure design organisation
- **must** publish their final airspace change proposal on the airspace change portal, noting that this must not include the technical instrument flight procedure submission
- **must** submit applicable safety case and assessments, where required.

2.37 There is no requirement for change sponsors to include within their final airspace change proposal an assessment as to whether the anticipated impacts meet any of the relevant call-in criteria set out in the Air Navigation Guidance 2017. This is because Level 3 airspace change proposals are unlikely to meet the criteria for a call-in due to the potential for a low impact on both aviation and non-aviation stakeholders as a result of the change. However, stakeholders have the opportunity to request for the Secretary of State to 'call-in' the decision for all airspace change proposals, irrespective of the level assigned. Should such a request be received, the change sponsor may need to provide the CAA with an assessment as to whether the anticipated impacts meet any of the relevant call-in criteria.

Guidance

- 2.38 Guidance material on the Stage 4 requirements is contained in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#) unless otherwise specified below.
- 2.39 Due to the potential for a low impact on both aviation and non-aviation stakeholders, change sponsors of a Level 3 airspace change proposal may not need to provide the same level of detail in their final airspace change proposal submission that is expected for Level 1 or 2 airspace change proposals. The requirements for Stage 4 will vary depending on the scale and potential impacts of the Level 3 airspace change proposal.

Outputs Required During Stage 4

Final airspace change proposal submission (produced and published by the change sponsor)

- final airspace change proposal, including outputs from previous stages not yet submitted to the CAA (in accordance with the standard template format in Appendix A of CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals). Only relevant sections are required, further guidance may be provided by the CAA
- engagement summary report
- all engagement activity correspondence and documentation sent and received
- instrument flight procedure submission (if applicable) (submitted by change sponsor's approved procedure design organisation).

Stage 5 - Decide

Purpose

- 2.40 The CAA reviews and assesses the final airspace change proposal and may request supplementary information or clarification from the change sponsor ahead of making the regulatory decision.
- 2.41 The CAA decides on whether or not to approve the final airspace change proposal. The CAA's decision may be subject to modifications to, and conditions on, the final airspace change proposal as the CAA considers necessary. These modifications and/or conditions will need to be fulfilled by the change sponsor either before, or after, implementation.

Requirements

- 2.42 The change sponsor **must**:
- provide the CAA with all the required documentation to allow a review of the final airspace change proposal to commence
 - where requested, provide the CAA with any further information so that a regulatory decision can be made.

Guidance

- 2.43 Guidance material on the Stage 5 requirements is contained in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#) unless otherwise specified below.
- 2.44 The CAA will endeavour to provide a decision within 10 weeks of receiving the final airspace change proposal. However, given the types of airspace change proposals that could use the Level 3 process, time scales may vary particularly

when proposals include instrument flight procedures. The CAA will publish their decision on the airspace change portal.

Outputs

- 2.45 In making its decision, the CAA will state whether it approves or rejects the final airspace change proposal, with clear assessments of individual factors and an explanation about how we have reached our decision, including weighing the different factors involved.
- 2.46 The CAA's decision is made in the context of a number of legal duties and, where applicable, government policy. Our duties highlight the factors we must consider before making our decision, and these include:
- in line with Air Navigation Directions 2023, ensuring the change is in accordance with the airspace modernisation strategy, as well as the CAA's published procedures and policy on the design and classification of UK airspace, such as this airspace change process
 - consideration of the airspace change proposal against the statutory factors in section 70 of the Transport Act 2000, including safety, security, and operational and environmental impacts
 - consideration of any other relevant requirements of government policy and legislation, including where relevant the Conservation of Habitats and Species Regulations 2017.
- 2.47 The CAA will also consider the airspace change proposal's compliance with any applicable CAA policy, including requests for policy dispensations.
- 2.48 Sometimes the requirements or interests of change sponsors and/or stakeholders will conflict, resulting in 'competing priorities' within or between different factors. It is therefore reasonable for those parties to understand not just how the airspace change process works but also how the CAA reaches its decision. The list below details all of the outputs from Stage 5, including the different decision documents that we may publish depending on the scale and potential impacts of the Level 3 airspace change proposal.

Outputs Required During Stage 5

Output from Stage 5 CAA regulatory assessment (by whom produced and published - in brackets)

- where required, confirmation that document check is complete (CAA)
- request for any further technical details or minor amendments (CAA)
- response or revised airspace change proposal as 'version 2.0' (if any) (change sponsor)
- Secretary of State call-in requests¹ (affected Stakeholders, moderated by the CAA prior to publication)
- assessment of whether the airspace change proposal meets one or more of the call-in criteria, where a call-in request has been made (CAA)
- any notification that the airspace change proposal is eligible for call-in and has been called-in by the Secretary of State (where relevant) and if subsequently called in a 'minded to decision' (Department for Transport).

Output from regulatory decision (CAA and/or Department for Transport)

Possible decision documents including:

- decision statement
- CAA final options appraisal assessment
- CAA safety review (plain English summary)
- CAA operational assessment
- CAA consultation assessment
- CAA environmental statement
- CAA decision log (explanation of how we reached our decision and required conditions/modifications).

Stage 6 - Implement

Purpose

2.49 Stage 6 is where the approved final airspace change proposal is implemented.

Requirements

¹ Note that Level 3 airspace change proposals are unlikely to meet the criteria for a call-in due to the anticipated low impact of the change.

Implement the change

2.50 The change sponsor:

- **must** fulfil any conditions or modifications set out in the CAA's regulatory decision
- **must** finalise and submit aeronautical data to CAA for aeronautical data quality validation
- **must** update all relevant documentation including, but not limited to, aeronautical publications, charts, operational documentation, letters of agreement and air traffic management systems
- **should** consider the extent of the aeronautical information publication amendments as a whole, including those of adjacent aerodromes and/or neighbouring states
- **should** consider how to notify relevant stakeholders
- **may** bring the change to the attention of the aviation community.

Monitor the impact of the change

2.51 The change sponsor **must**:

- continue to engage with stakeholders and review and collate feedback received regarding the impacts of the change (note this is in addition to the requirements of the post implementation review at Stage 7)
- if problems arise, consider what steps it can take to address those problems within the constraints of the formal airspace design.

Guidance

2.52 Guidance material on the Stage 6 requirements is contained in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals.](#)

Outputs Required During Stage 6

Output from Stage 6 (by whom produced and published - in brackets)

- aeronautical data verification complete and returned to the change sponsor, or submitted directly to the UK Aeronautical Information Service where relevant (CAA)
- approval of aeronautical information publication change request authority (CAA)
- aeronautical information publication change request submitted to UK Aeronautical Information Service (change sponsor)
- aeronautical information publication updated and published (on implementation date) in accordance with AIRAC cycle (UK Aeronautical Information Service)
- publish and provide the change sponsor with the post implementation review data request form (if it is required; see Stage 7 for detail on the post implementation review) (CAA).

Stage 7 – Post Implementation Review

- 2.53 A post implementation review for Level 3 changes will only be undertaken when it is considered proportionate to do so. The CAA will consider whether or a not post implementation review is required during their regulatory review (Stage 5). If it is determined that a post implementation review is required then further information on the post implementation review can be found in [CAP 1616, Airspace Change Process](#) and [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#).

Chapter 3

Pre-Scaled Processes

Stage 1 – Define

- 3.1 The Stage 1 requirements for pre-scaled airspace change proposals are the same as those for other Level 3 airspace change proposals as detailed in Chapter 3.
- 3.2 The statement of need for a pre-scaled airspace change proposal should indicate which pre-scaled process that the change sponsor proposes to follow and the reasons for this (the “need”).
- 3.3 In addition to the requirements of the assessment meeting, change sponsors should present information that demonstrates how their airspace change proposal is eligible for the pre-scaled process as detailed in the relevant appendix. Further information on the assessment meeting can be found in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#).
- 3.4 On completion of the assessment meeting, the CAA will provide an evaluation of the airspace change proposal’s suitability to follow the proposed pre-scaled process. Airspace change proposals which do not fall into the scope of a pre-scaled process should follow the full [CAP 1616, Airspace Change Process](#).

Stages 2 - 7

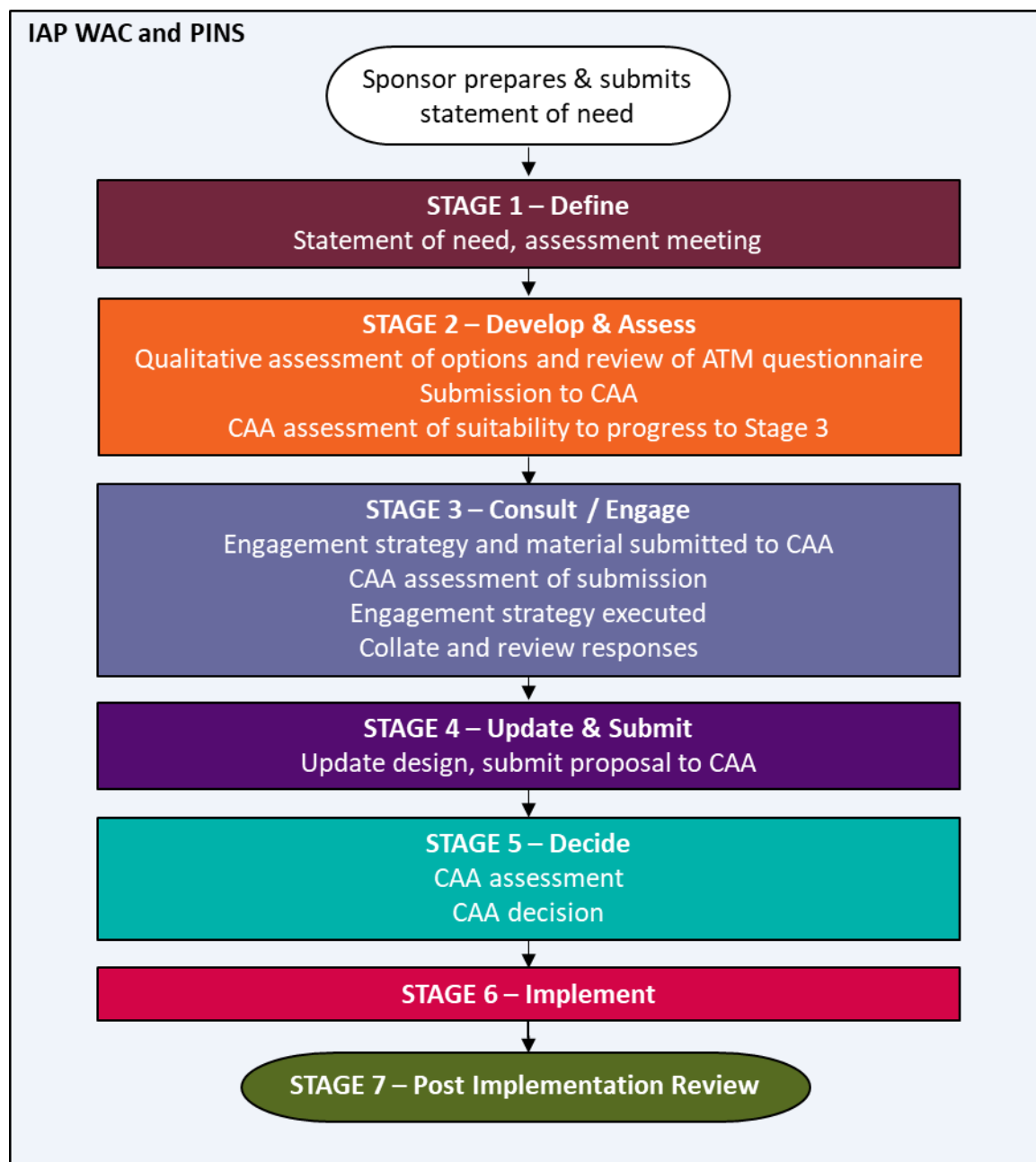
- 3.5 The requirements for Stages 2 – 7 vary depending on the pre-scaled process which is being followed. The process requirements are contained in the relevant appendix, with references made to other CAP 1616 documents where applicable.
- 3.6 Pre-scaled airspace change proposals are not usually assessed through formal gateways. However, there is a requirement for the CAA to review the progress of the airspace change proposal at certain stages. This varies depending on the pre-scaled process that is being followed and is detailed in the relevant appendix.

APPENDIX A

Instrument Approach Procedures Without Approach Control / Helicopter Point in Space

Process Overview

Figure 2: IAP WAC and PinS to VFR airspace change process overview



Scope

A1 The purpose of this appendix is to set out the CAA's pre-scaled airspace change process for a permanent change to airspace design involving the implementation of required navigational performance (RNP) instrument approach procedures (IAP) without approach control (WAC) and instrument approach procedures to a non-instrument runway and helicopter point in space (PinS) to VFR. To be eligible for this process the airspace change proposal should meet the following criteria:

- i) The proposal is for an RNP IAP to an aerodrome without an approach control service and/or to a non-instrument runway. It does not apply to airspace change proposals that include other types of proposals (such as an amendment to controlled airspace, introduction of radio mandatory zone/transponder mandatory zone etc.)

AND

- ii) The proposal is at a UK certificated aerodrome or national licensed aerodrome at which an air traffic control service, aerodrome flight information service is provided or air/ground communication service is available.

OR

- iii) The proposal is for a helicopter PinS to VFR procedure to an aerodrome or landing site without an approach control service. It will not apply to airspace change proposals that include other types of proposals (such as an amendment to controlled airspace, introduction of radio mandatory zone/transponder mandatory zone etc.).

A2 If the airspace change proposal meets the conditions i and ii or iii above it will be progressed as a Level 3 airspace change proposal and follow the pre-scaled process described below.

A3 In accordance with the underlying policy for any proposed changes to the UK airspace, the introduction of any IAP is subject to the CAA's assessment and approval that it will be to the overall benefit of the UK aviation community. This assessment will take into account the type and level of activity at an aerodrome as well as the needs of other airspace users and neighbouring aerodromes.

Stage 1 - Define

A4 The Stage 1 requirements for this pre-scaled process are the same as those for other Level 3 airspace change proposals as detailed in Chapter 3 of this document unless otherwise specified below.

A5 It is recognised that the options associated with the implementation of an IAP WAC or PinS to VFR approach are very limited. For this reason, there is no

requirement for change sponsors to develop their own design principles in addition to the mandatory design principles: MDP Safety and MDP Policy.

- A6 Guidance from the Secretary of State to the CAA recognises that the CAA must consider the environmental impacts of a proposal before making a decision but that the Air Navigation Guidance 2017 does not apply to these types of airspace change proposals. The MDP Environment therefore does not apply to this pre-scaled process. However, change sponsors must produce an assessment of any design options considered against the following environmental design principle:
- The airspace change proposal should avoid overflight of densely populated areas where possible².
- A7 Change sponsors should also consider including other design principles that reflect local considerations or impacts to other airspace users so that they are considered as part of the design process. The development of these design principles may be undertaken by the change sponsor with or without engagement with stakeholders.
- A8 Change sponsors will be provided with the air traffic management safety questionnaire which also includes guidance on air traffic management matters to assist change sponsors when developing their proposal. The assigned CAA Air Traffic Services Inspector should be present at the assessment meeting to provide any initial information relating to the air traffic management elements of the proposal.

Outputs Required During Stage 1

- A9 Following completion of the Stage 1 requirements and outputs, the change sponsor can move directly onto Stage 2. The mandatory design principles and current-day scenario developed at Stage 1 must be included as part of the final airspace change proposal submitted to the CAA at Stage 4.

Before assessment meeting (produced and published by change sponsor)

- statement of need (submitted to CAA)
- entry created on the airspace change portal, and status set to 'in progress'
- redacted statement of need published on the airspace change portal.

² This is in line with the government's policy to limit and, where possible, reduce the number of people in the UK adversely affected by aircraft noise and the impacts on health and quality of life associated with it.

After assessment meeting (produced and published by change sponsor)

- assessment meeting output (to include the proposed timescales for the airspace change process, including completion of the air traffic management safety questionnaire and instrument flight procedure design)
- updated statement of need submitted to the CAA and redacted version published on the airspace change portal (if applicable)
- current-day scenario.

After assessment meeting (produced and published by the CAA)

- determination on whether the airspace change proposal is in scope of the airspace change process (on airspace change portal).

Stage 2 – Develop and Assess

- A10 Stage 2 ensures the change sponsor develops and assesses all appropriate options that address the statement of need. Change sponsors must produce an assessment of any design options considered against the design principles from Stage 1. All design options will need to demonstrate how they meet (or don't meet) the design principles developed at this stage.
- A11 The change sponsor should engage with an approved procedure design organisation to understand the potential design options in the context of the circumstances at the aerodrome or landing site (for example, obstacles, nearby airspace structures as well as environmental considerations).
- A12 The change sponsor should consider the environmental impacts of any potential design option (for example, the design of the track over the ground or restrictions on the number of aircraft that can use the procedure on a given day).
- A13 When considering the environmental impacts, the change sponsor should set out the change that is anticipated from the introduction of the proposed IAP WAC or PinS to VFR along with any supporting evidence. This should include the anticipated change in the number of aircraft using the aerodrome or landing site, the change in the types of aircraft using the aerodrome or landing site, changes to the altitude of aircraft using the procedure and the change to areas overflowed by the introduction of the IAP WAC or PinS to VFR.
- A14 No further environmental assessment will be necessary if:
- the change sponsor can reasonably demonstrate that the introduction of the IAP WAC or PinS to VFR is not expected to increase the total number of aircraft movements at the aerodrome in the first two years after introduction, by 10% or more (by at least a minimum of 3,650 movements per year); and
 - the proposal does not change the normal final approach path of aircraft within 1nm of the aerodrome or landing site (the CAA will apply a version of this criteria to PinS on a case-by-case basis); and

- the proposal will not change the environmental impacts of aircraft utilising other aerodromes.
- A15 Even for the larger general aviation aerodromes, the population exposed to noise above 51 dB $L_{Aeq,16h}$ seldom exceeds 750 people. Therefore a 10% increase in traffic which may lead to around a 10% increase in the number of people exposed, or a maximum increase of 10 movements per day, is an appropriate threshold below which the overall noise impacts is likely to be low. This means that undertaking a full environmental assessment as detailed in [CAP 1616, Airspace Change Process](#) for Level 1 changes, is unnecessary.
- A16 If the proposal does not meet the criteria detailed above, additional proportionate environmental assessment may be required. The CAA will provide guidance on any additional requirements.
- A17 The change sponsor must complete the habitats regulations assessment early screening criteria form as given in [CAP 1616i, Environmental Assessment Requirements and Guidance for Airspace Change Proposals](#). No further habitats regulations assessment will be required if the change sponsor can reasonably demonstrate that their airspace change proposal is unlikely to have a significant effect on a European site.
- A18 In addition to the design of any procedure's track in space, the way in which the change sponsor will operate the procedures will also determine the impacts on other airspace users, so the change sponsor will need to develop their operational concept and complete the CAA's air traffic management safety questionnaire. The CAA review and associated feedback of this questionnaire allows the change sponsor to continue to develop their final safety case for the design and operation of the procedures, which will need to be agreed to enable the CAA to provide an exemption from Article 183(b) of the Air Navigation Order.

Outputs Required During Stage 2

- A19 There is no Stage 2 gateway for this pre-scaled process, the following outputs must be submitted to the CAA for review and determination that the airspace change proposal can move to Stage 3. The CAA will make best endeavours to make this determination within four weeks of receiving the submission.

Output from Stage 2 (produced and published by the change sponsor)

- an assessment of each proposed option (a single option is acceptable with supporting justification) with information as to why it is being considered as a potential option. This information should include how the options meet the design principles as well as qualitative statements on the:
 - (1) impacts on safety. An example might be that by reducing the complexity of airspace, the proposal is anticipated to reduce the number of controller

interactions, which will impact positively on safety. We do not expect those qualitative statements to compare the safety of one option against another

- (2) environmental impacts. Evidence that no additional environmental assessment is required or any additional environmental assessment, if required
- (3) economic impacts (relevant parts of Stage 2 guidance in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#). Additional guidance may be provided by the CAA)
- (4) positive and negative impacts on airspace users
 - confirmation that the air traffic management safety questionnaire has been reviewed
 - feedback from approved procedure design organisation on design options
 - a description of any options that have been considered but are not being proposed and the reasons why they are not being proposed
 - habitats regulations assessment early screening criteria form (no requirement to upload to the airspace change portal).

Stage 3 – Consult/Engage

- A20 Given that the introduction of IAP WAC or PinS to VFR approach are likely to impact a relatively low number of stakeholders, formal consultation will not be necessary if the proposal has not triggered an additional environmental assessment. The change sponsor should be able to demonstrate that, through targeted engagement activity, relevant stakeholders' views have been considered and taken into account as part of the final proposal.
- A21 The change sponsor should produce an engagement strategy setting out:
- which stakeholders they plan to engage and how they were identified. At a minimum, the change sponsor is required to engage aviation stakeholders (specifically, that is airspace users, air navigation service providers, airports and relevant members of the National Air Traffic Management advisory Committee) and, depending on the circumstances of the airspace change proposal, engagement with non-aviation stakeholders may also be appropriate
 - how they plan to engage with those stakeholders (change sponsors should consider how their approved procedure design organisation might be involved in engagement with relevant stakeholders)
 - what materials will be used to support the engagement activities

- the timescale over which they intend to engage and the rationale for this duration.

A22 The engagement material should include the following information developed in Stage 2 (guidance on developing engagement material can be found in [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#)):

- an assessment of each proposed option with information as to why it is being considered as a potential option. This information should include the likely track and altitude, how the options meet the design principles as well as qualitative statements on the:
 - (5) impacts on safety
 - (6) environmental impacts
 - (7) economic impacts
 - (8) positive and negative impacts on airspace users
- information about the operational concept, developed as part of the air traffic management safety questionnaire
- a description of options that have been considered but are not being proposed and the reasons why they are not being proposed.

Outputs Required During Stage 3

A23 There is no Stage 3 gateway for this pre-scaled process, the following output must be submitted to the CAA for review. If the CAA is satisfied that the relevant process requirements and guidance have been met, we will agree to progress the airspace change proposal at which point the change sponsor can begin to execute their engagement strategy. The CAA will make best endeavours to make this determination within four weeks of receiving the submission.

Before commencing engagement (produced and published by the change sponsor)

- the engagement strategy and associated engagement material as detailed above.

Stage 4 – Update and Submit

A24 If additional development of the procedure design or operation is required in light of stakeholder feedback, there may be a requirement to undertake additional engagement activities. Once all engagement has been satisfactorily completed, the change sponsor will finalise the procedure design with their approved

procedure design organisation and complete their safety case³, before submitting the final airspace change proposal to the CAA. In addition to the final airspace change proposal, the change sponsor must produce and submit an engagement summary report which sets out a summary of the feedback received through their engagement activities as well as a description of how this has affected the final design (if it has).

Outputs Required During Stage 4

Final airspace change proposal submission (produced and published by the change sponsor)

- final airspace change proposal (in accordance with the standard template format in Appendix A of [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#)). Only relevant sections are required, further guidance may be provided by the CAA.
- engagement summary report
- all engagement activity correspondence and documentation sent and received
- instrument flight procedure submission (submitted by change sponsor's approved procedure design organisation)
- safety case.

Stage 5 – Decide

A25 Stage 5 will be undertaken as described in Chapter 3 of this document. We will make best endeavours to make our assessment within 16 weeks of receiving the submission.

Stage 6 – Implement

A26 Stage 6 will be undertaken as described in Chapter 3 of this document.

Stage 7 – Post Implementation Review

A27 Stage 7 will be undertaken as described in Chapter 3 of this document.

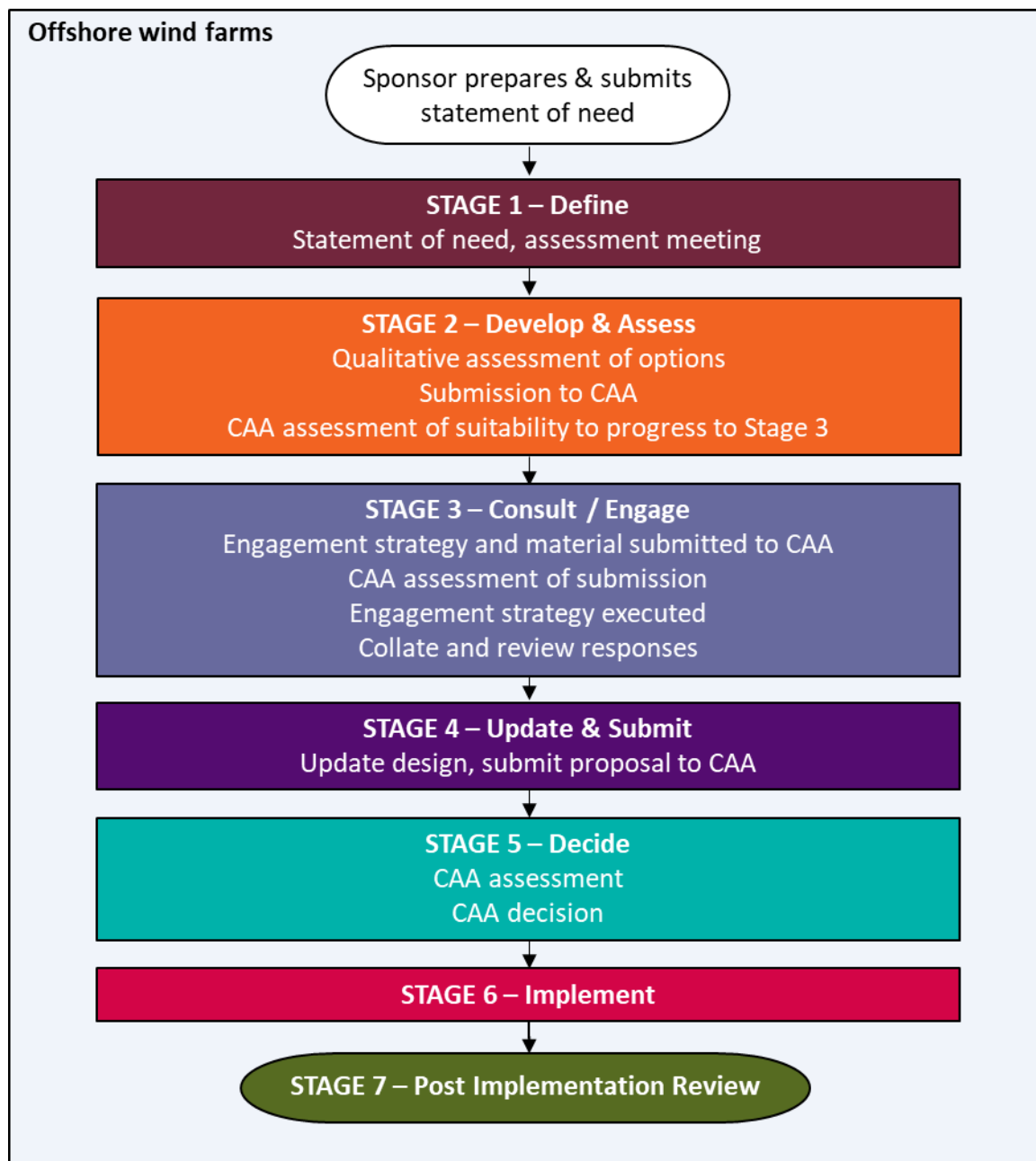
³ [CAP 2304, Applications for instrument approach procedures to aerodromes without Approach Control and/or with a non-instrument runway – additional policy, guidance, and Acceptable Means of Compliance](#), provides guidance, alternative means of compliance and policy to sponsors to support the safety arguments and mitigations required for applications.

APPENDIX B

Establishment of Transponder Mandatory Zones for Offshore Wind Farms

Process Overview

Figure 3: Offshore wind farm mitigation airspace change process overview



Scope

- B1 The purpose of this appendix is to set out the CAA's pre-scaled process for a permanent change to airspace design for the establishment of a transponder mandatory zone (TMZ) to mitigate the impacts of range and azimuth gating (RAG) which is applied to primary surveillance radars (PSR) to prevent radar clutter caused by false returns from offshore wind farms.
- B2 The development of offshore sites for wind turbines has the potential to cause a variety of negative effects on aviation including the generation of radar clutter on PSRs. Air navigation service providers must therefore consider the possibility that their radars may be affected as a result of wind turbines within the coverage range of their surveillance systems and if so, should lodge appropriate objections during the planning consent process. Further information regarding CAA Policy for wind turbines can be found in [CAP 764, Policy and Guidelines on Wind Turbines](#).
- B3 If objections are raised during the planning consent process on the grounds of impact to aviation, then the organisation developing the offshore wind farm is required to mitigate the impacts to an acceptable level. Until technological developments offer a better solution, a TMZ is viewed as the most appropriate mitigation against radar clutter on PSRs when RAG is being utilised. Because the solution to this issue has been established, the CAA has developed this pre-scaled airspace change process to provide consistent proportionality.
- B4 To be eligible for this pre-scaled process, no part of the resultant TMZ should come within 3nm of the coast.
- B5 Out with the impacts of the resultant TMZ, an offshore wind farm may have an impact on the instrument flight procedures of nearby aerodromes. Change sponsors should engage with aerodromes in the vicinity of the wind farm to determine if instrument flight procedure assessments are required to identify what impacts, if any, may result from the development of the offshore wind farm. Airspace change process timelines may be influenced by the work required to resolve resultant impacts to instrument flight procedures.

Stage 1 - Define

- B6 The Stage 1 requirements for this pre-scaled process are the same as those for other Level 3 airspace change proposals as detailed in Chapter 3 of this document.
- B7 While there is no requirement to develop design principles in addition to the mandatory design principles at Stage 1, change sponsors should ensure that the design of the proposed TMZ complies with the CAA TMZ Policy.

Outputs Required During Stage 1

B8 Following completion of the Stage 1 requirements and outputs, the change sponsor can move directly onto Stage 2. The mandatory design principles and current-day scenario developed at Stage 1 must be included as part of the final airspace change proposal submitted to the CAA at Stage 4.

Before assessment meeting (produced and published by change sponsor)

- statement of need (submitted to CAA)
- entry created on the airspace change portal, and status set to 'in progress'.
- redacted statement of need published on the airspace change portal.

After assessment meeting (produced and published by change sponsor)

- assessment meeting output (to include the proposed timescales for the airspace change process and the provisional level assigned by the CAA)
- updated statement of need submitted to the CAA and redacted version published on the airspace change portal (if applicable)
- current-day scenario.

After assessment meeting (produced and published by the CAA)

- determination on whether the airspace change proposal is in scope of the airspace change process (on airspace change portal).

Stage 2 – Develop and Assess

B9 It is recognised that there are a very limited number of design options that a change sponsor could develop for a TMZ. For this reason, there is no requirement for change sponsors to develop a list of design options beyond what is practically achievable. Where the change sponsor has considered alternative options, detail of these should be included in any engagement material along with a description of why an option was discontinued.

B10 There is no requirement for change sponsors to conduct a full design principle evaluation. However, as a minimum change sponsors must demonstrate (using a qualitative assessment) how their airspace change proposal meets or does not meet the mandatory design principles.

B11 The change sponsor will be required to analyse the potential impacts of the TMZ on non-transpondering aircraft that operate in the local airspace for the future baseline scenarios without the airspace change proposal and the design option with the proposed airspace change, and subsequently, the greenhouse gas emissions resulting from the airspace change. Based on this analysis, if the change sponsor believes that a quantitative assessment of greenhouse gas

emissions will result in no difference in the outputs (that is, neither the pre- and post-implementation scenario, nor the forecast scenarios are affected by the airspace change proposal), then a qualitative assessment of that impact may be used instead. In such circumstances, change sponsors must present a robust rationale supported with appropriate evidence to the CAA justifying that undertaking a quantitative assessment of a proposed option would result in no environmental impact. After consideration, the CAA will confirm whether or not we have accepted the case made by the change sponsor. If the CAA is satisfied with the rationale and supporting evidence provided, then there will be no need to undertake that assessment. In all instances, if the CAA agrees and accepts the change sponsor's rationale, that same rationale plus the supporting evidence must be clearly explained in any consultation material and in the final airspace change proposal submitted to the CAA.

- B12 The change sponsor must complete the habitats regulations assessment early screening criteria form as given in [CAP 1616i, Environmental Assessment Requirements and Guidance for Airspace Change Proposals](#). No further habitats regulations assessment will be required if the change sponsor can reasonably demonstrate that their airspace change proposal is unlikely to have a significant effect on a European site.

Outputs Required During Stage 2

- B13 Following completion of the Stage 2 requirements and outputs the change sponsor can move directly onto Stage 3. Elements of Stage 2 will be included as part of the CAA review of Stage 3.

Output from Stage 2 (produced by the change sponsor)

- habitats regulations assessment early screening criteria form

Stage 3 – Consult/Engage

- B14 Change sponsors should engage with nearby aerodromes to ascertain if there are any impacts to their instrument flight procedures. If a potential impact to instrument flight procedures is identified, change sponsors should work with the aerodrome to ensure an approved procedure design organisation is contracted to conduct the required assessments and, if necessary, ensure resultant actions are resolved. Evidence of any engagement with nearby aerodromes should be included in the submission at Stage 4. There is no requirement for the change sponsor to provide evidence of the resultant amendments to instrument flight procedures as this will be captured through routine instrument flight procedure oversight activities.
- B15 Engagement should be undertaken with operators of nearby aerodromes, air navigation service providers, the Ministry of Defence and any other potentially

impacted airspace users. The change sponsor should produce an engagement strategy setting out:

- which stakeholders they plan to engage with and how they were identified. At a minimum, the change sponsor is required to engage aviation stakeholders (specifically, that is airspace users, air navigation service providers, airports and relevant members of the National Air Traffic Management advisory Committee)
- how they plan to engage with those stakeholders
- what materials will be used to support the engagement activities
- the timescale over which they intend to engage and the rationale for this duration.

B16 The engagement material should include the following as a minimum:

- all design options proposed by the change sponsor
- a qualitative assessment of the impacts of each option
- a description of any options that have been considered but are not being proposed and the reasons why they are not being proposed.

Outputs Required During Stage 3

Output from Stage 3

B17 There is no Stage 3 gateway for this pre-scaled process, the following output must be submitted to the CAA for review. If the CAA is satisfied that the relevant process requirements and guidance have been met, it will agree to progress the airspace change proposal at which point the change sponsor can begin to execute their engagement strategy. The CAA will make best endeavours to make this determination within four weeks of receiving the submission.

Before commencing engagement (produced and published by the change sponsor)

- the engagement strategy and associated engagement material as detailed above, which should be the output of the assessments conducted in Stage 2.

Stage 4 – Update and Submit

B18 If additional development of the design is required in light of stakeholder feedback, then there may be a requirement to undertake additional engagement activities. Once all engagement has been satisfactorily completed, the change sponsor will finalise the design and, where required, complete their safety assessment, before submitting the final airspace change proposal to the CAA using the relevant parts of the standard template format in Appendix A of [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change](#)

[Proposals](#). In addition to the final airspace change proposal, the change sponsor must produce and submit an engagement summary report which sets out a summary of the feedback received through their engagement activities as well as a description of how this has affected the final design (if it has).

Outputs Required During Stage 4

Final airspace change proposal submission (produced and published by the change sponsor)

- final airspace change proposal (in accordance with the standard template format in Appendix A of [CAP 1616f, Guidance on Airspace Change Process for Permanent Airspace Change Proposals](#)). Only relevant sections are required, further guidance may be provided by the CAA.
- engagement summary report
- all engagement activity correspondence and documentation sent and received.

Stage 5 – Decide

B19 Stage 5 will be undertaken as described in Chapter 3 of this document.

Stage 6 – Implement

B20 Stage 6 will be undertaken as described in Chapter 3 of this document.

Stage 7 – Post Implementation Review

B21 Stage 7 will be undertaken as described in Chapter 3 of this document.