

**Directorate of Airspace Policy**



**CAP 724**

**Airspace Charter**

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**Airspace Charter**

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**30 August 2012**

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## Revision History

Issue 2	Annex F - Airspace Change Process. This Annex has been split into two - the standard Airspace Change Process (Annex F) and the JFADT Process (Annex G). All Annexes subsequent to Annex G have been re-assigned Annex letters accordingly.
Issue 3	Appendix F has been revised. Appendix G has been removed and all subsequent appendices have been re-assigned Appendix letters accordingly.
Issue 3 amdt 1/2007	Appendix C Annex 1 page 4 has been revised. Appendices G, H and J have been removed and all subsequent appendices have been re-assigned Appendix letters accordingly. Appendix K (previously Appendix N) has been completely revised.
Issue 3 amdt 1/2008	Appendix F has been revised.
Issue 3 amdt 1/2009	Appendix A has been amended with new functions designated to DAP's authorisations. Appendix B has incorporated a new DAP Organisational Chart. Appendices I and J have been revised. Appendix L is a new process.
Issue 3 amdt 1/2010	Appendix H has been amended with the new procedure being available on the web. CAP 724 will be amended to reflect the revised process in due course.
Issue 4	Foreword: Signature and minor textual changes. Chapter 1, paragraph 3: Governance: reflecting the establishment of the CAA Executive Committee in place of the Airspace Policy Committee. Chapter 1, paragraph 4: Enforcement: inclusion of EU law and SES. Chapter 1, paragraph 5: Revised Mission Statement. Chapter 1, paragraphs 8/11: Typos. Chapter 1, paragraphs 12/13: Minor textual revisions. Chapter 1, paragraph 17: Reference to Hampton Principles of Inspection & Enforcement. Chapter 1, paragraph 20: Reference to the Better Regulation Principles. Chapter 1, paragraph 22: Revised operating philosophy. Chapter 1, paragraph 24: Hd of Business Management now Hd Airspace Policy Coordination & Consultation. Revised complaints response time. Appendix A: Revised Authorisations/signature block. Appendix B: Revised Organisation Chart - Airspace Policy Coordination & Consultation, London 2012 Olympic Planning. Appendix C, paragraph 6: NATMAC Sub-Groups. Appendix C, Annex 1: Revised membership.

Issue 4 (continued)	<p>Appendix D, paragraph 2: Revised ANO Article numbers.</p> <p>Appendix E, paragraph 2: Definition of 'Policy'.</p> <p>Appendix E, paragraph 6: Reference to Joint Interface &amp; Coordination Group (JICG) Matrix.</p> <p>Appendix E, Annex 1: Reference to Joint Interface &amp; Coordination Group.</p> <p>Appendix F, paragraphs 1/2/10: Textual changes.</p> <p>Appendix F, paragraphs 26/27: 'Fast-Track' Process - textual changes.</p> <p>Appendix F, paragraphs 28-30: Major Change: Temporary Airspace Change.</p> <p>Appendix F, paragraph 31: Reference to Transponder Mandatory Zones.</p> <p>Appendix G, paragraph 2: Revised ANO Article numbers and textual changes.</p> <p>Appendix G, paragraph 4: Revised F933 actions (sub-para i).</p> <p>Appendix H: Major change: Removal of IFP Design Process. Replaced with policy for the Release of Controlled and Segregated Airspace. Design now detailed on the CAA website: <a href="http://www.caa.co.uk/default.aspx?catid=7&amp;pagetype=90&amp;pageid=2368">http://www.caa.co.uk/default.aspx?catid=7&amp;pagetype=90&amp;pageid=2368</a>.</p> <p>Appendix I, Annex 1: Amended contact details.</p> <p>Appendix I, Annex 2, paragraph 3: Textual alterations.</p> <p>Appendix J, paragraph 5: AIP reference change.</p> <p>Appendix K: Minor textual changes throughout.</p>
Issue 4 amdt 2012/01	<p>Inside Front Cover: in the Enquiries address, Business Management Section has been replaced with Airspace Policy Coordination and Consultation; also, a contact e-mail address has been added.</p> <p>Contents: re-issued to reflect the addition of a title to Chapter 1.</p> <p>Chapter 1: now titled Introduction.</p> <p>Chapter 1, paragraph 2: a textual change has been made.</p> <p>Appendix A: replaced with a new version.</p> <p>Appendix B: incorporates a revised DAP Organisational Chart.</p> <p>Appendix C: the FAS NATMAC sub-group has been added.</p> <p>Appendix C, Annex 1: PPL/IR has been added to the civilian membership list.</p> <p>Appendix F, paragraph 1: a reference to the Network Management Function (NMF) Route Plan has been added.</p> <p>Appendix F, paragraph 10: text has been added.</p> <p>Appendix L, paragraphs 1 to 11: textual changes have been made.</p> <p>Appendix L, Annex 1: paragraph 2d) has been rewritten.</p> <p>Appendix L, Annex 1, paragraph 4: textual changes have been made.</p>

## Foreword

This Charter is designed to assist UK airspace users and ATC service providers. It defines the authorities, responsibilities and principles by which the Civil Aviation Authority's Directorate of Airspace Policy (DAP), as the airspace approval and regulatory authority, conducts the planning of airspace and related arrangements in the UK.

The Directorate is to ensure that UK airspace is utilised in a safe and efficient manner. This is to be achieved through the development, approval and enforcement of policies for the effective allocation and use of UK airspace and its supporting infrastructure, taking into account the needs of all stakeholders.

The Charter incorporates as Appendices the major processes used to provide a high quality service to airspace users and ATC service providers through the safe, accurate and timely planning, approval and promulgation of national airspace arrangements. The DAP Management System conforms to the BS EN ISO 9001:2008 International Standard, against which we continually seek to improve our performance.



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M SWAN  
DIRECTOR OF AIRSPACE POLICY

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# Chapter 1 Introduction

## Legal Foundation of the CAA and DAP

- 1 The legal basis for the role of DAP as the Airspace Approval and Regulatory Authority for the UK is set out in Chapter III (Air Navigation) of the Transport Act 2000 and the Ministerial Directions given to the CAA under Section 66(1) of that Act by the Secretary of State for Transport, (formerly Transport, Local Government and the Regions) and the Secretary of State for Defence. The Directions set out the CAA's air navigation functions and the manner in which they are to be discharged.
- 2 The Secretary of State for Transport has nominated DAP, who is a Member of the CAA, to perform, on the CAA's behalf, all of its air navigation functions.

## Governance

- 3 Governance of DAP is achieved by oversight of its activities by the CAA Board and the Executive Committee.

## Enforcement

- 4 The CAA's air navigation functions are enforced through the Air Navigation Order, Rules of the Air Regulations, relevant European Union legislation including Single European Sky, Aeronautical Information Publications, Wireless Telegraphy Act and other supporting documents.

## The Role of the Directorate

### Mission

- 5 To enable the safe, efficient and sustainable use of airspace and its supporting infrastructure.

### Role

- 6 To develop, approve, monitor and enforce policies for the safe and efficient allocation and use of UK Airspace and its supporting infrastructure, taking into account the needs of all stakeholders, national security and environmental issues, whilst continually seeking to improve the Directorate's performance in carrying out these activities.

### Objectives

- 7 The strategic objectives for the Directorate are:
  - a) To maintain and actively seek to improve the safe and effective management of the airspace and its supporting infrastructure.
  - b) To carry out fair and effective regulation of the airspace system and its supporting infrastructure.
  - c) To build confidence and respect with regulatees and other stakeholders through consultation and co-operation.

- d) To influence international aviation regulatory developments in support of the UK's needs.
- e) To maintain and improve standards of service through effective planning and monitoring of DAP's key processes and activities
- f) To maintain and develop the high skill and competency levels of well-motivated staff.

### **Responsibilities of the Directorate**

- 8 More specifically the Directorate is responsible for:
- a) Preparation and maintenance of a co-ordinated strategy and plan for the use of UK airspace and for air navigation.
  - b) Developing national policy for the classification of UK airspace, including design criteria, rules, guidelines and common procedures.
  - c) Monitoring compliance with, keeping under review and enforcing the policies and common published arrangements for UK airspace.
  - d) Responsibility for the UK Aeronautical Information Publication and to ensure an Aeronautical Information Service is provided.
  - e) Co-ordination and promulgation of temporary changes in the utilisation of UK airspace to meet special air navigation requirements.
  - f) Determination and procurement of the provision of a Lower Airspace Radar Service in UK Airspace.
  - g) Development and enforcement of national policy for the use and assignment of civil aeronautical radio frequencies and Secondary Surveillance Radar codes.
  - h) Allocating airspace and related resources (e.g. radio telecommunications frequencies, secondary surveillance radar codes) so as to ensure the most efficient use of UK airspace as a whole based on the actual needs of all airspace users.
  - i) Discharging the responsibilities of the UK Meteorological Authority for Met services provided to civil aviation in the UK.
  - j) Providing advice to the DfT and MoD as required.
  - k) Acting as the focal point for international airspace policy, airspace design and regulatory matters.
  - l) Contributing to the international development of airspace arrangements and ensuring national policies and plans are consistent with those ICAO and other international programmes to which the UK is committed, wherever appropriate.
  - m) Provision of a focal point for receiving and responding to aircraft related environmental complaints from the general public.



## Principles of the Directorate

9 The principles underpinning these objectives and responsibilities are:

### Safety

10 Safety is the paramount concern for the Directorate in carrying out its responsibilities. Safety performance levels shall be maintained or enhanced, and the planning of airspace arrangements shall take account of obligations imposed by higher authorities and safety regulation requirements. DAP is responsible for establishing the policy for planning, implementing and maintaining an effective Regulatory System for airspace and related changes and their consistent application throughout UK airspace.

11 DAP conforms to international best practice and ensures that the Airspace Change Processes, procedures and instructions are compatible with appropriate MoD and other CAA safety procedures. DAP works closely with colleagues in the Safety Regulation Group of the CAA.

12 When considering and refining a proposal for an airspace change, DAP staff in conjunction with SRG colleagues shall review the safety assessment of each case as supplied by the customer, to ensure that national plans evolve in an overall risk-reducing manner.

### Consultation

13 Formal consultation, in accordance with CAA Policy, with airspace users, service providers and other relevant bodies shall be conducted with the aim of obtaining consensus, wherever possible, before making changes in the planning or design of UK airspace arrangements. The environmental impact of proposals for change shall be taken into consideration by ensuring that consultation is conducted with the appropriate authorities, to lessen or mitigate such impact to the maximum extent.

14 DAP is charged with reconciling civil and military operational needs, without affording preferential treatment to either, and ensuring that airspace planning takes into account all user interests, including that of the General Aviation community. To ensure an effective interface at all levels, the Directorate conducts negotiation and consultation principally through the National Air Traffic Management Advisory Committee (NATMAC) and its related Sub-Groups. DAP is also required to consult with the MoD on changes to controlled airspace.

15 The NATMAC is a non-statutory advisory body instituted to assist the Directorate to develop airspace policies and to ensure that due attention is given to the diverse requirements of all UK airspace users. The Director chairs the Committee and membership covers the wide spectrum of the UK aviation community.

### Co-operation

16 Close co-operation shall be maintained with national and international partners to ensure that national airspace planning and policies are consistent with national and international commitments and programmes.

### Enforcement

17 The Directorate will have regard to the provisions of the Regulators' Compliance Code, which is based on the Hampton Principles of Inspection and Enforcement.

18 The Directorate shall apply the following enforcement principles:

- a) Before enforcement action is taken, the Directorate shall provide the opportunity to discuss the circumstances of the case and, if possible, resolve points of difference, unless immediate action is required (e.g. in the interests of safety).

- b) When immediate action is necessary, an explanation of why such action was required will be given and confirmed in writing.
  - c) Advice shall be clear and simple, and confirmed in writing, explaining why, and over what time-scale, any remedial actions are necessary.
  - d) Where there are rights of appeal against formal action, advice on the appeal mechanism will be clearly set out in writing.
- 19 These enforcement powers derive from The Civil Aviation Act 1982 and as detailed in the Air Navigation Order and as notified in the UK Aeronautical Information Publication, or, in the case of aeronautical frequencies or spectrum protection issues, the Wireless Telegraphy Act 1998.

### **Regulation**

- 20 The Directorate will carry out its Regulatory responsibilities in a fair and effective manner and in accordance with the Better Regulation Principles. It will exercise proportionality in its regulation, balancing the risks, costs, disadvantages and practical benefits.

### **The Environment**

- 21 The Directorate is committed to perform its air navigation functions in accordance with the Government's stated policies for sustainable development. Guidance issued by the Department for Transport (DfT), requires the CAA to take into account the Government's policies on reducing, controlling and mitigating the impacts of civil aviation on the environment. Furthermore, the environmental impact of airspace design and planning is to be taken into account at the earliest possible stage when revising airspace procedures and arrangements. The Directorate is also required to ensure that any changes, which may have an adverse impact on the noise disturbance in the vicinity of an airport, are the subject of proper consultation with all those concerned. Details of the Guidance to the CAA is published on the DfT and CAA internet sites.

### **Operating Philosophy**

- 22 The Directorate embraces the CAA Values of Integrity, Collaboration, Drive, Learning, Respect and Clarity in fulfilling its responsibilities. More specifically the Directorate will:
- a) Provide information and advice in plain language on the rules that we apply and will disseminate this as widely as possible.
  - b) Employ best practice in its standards of business integrity and be ethical and trustworthy in its dealings with its customers.
  - c) Carry out its tasks in a fair and consistent manner.
  - d) Fully utilise the skills and experience of our staff, providing them with the opportunity to fulfil their potential and contribute to the Directorate's success.
  - e) Ensure confidentiality of any information obtained in the course of its regulatory activities.
  - f) Publicise effective and timely complaints procedures for all customers.
- 23 The Directorate will carry out surveys to find out your views on the way we do our job and use the results to identify improvements we can make to our standards of service.

## Complaints

- 24 The Directorate is committed to improving the services it provides wherever possible. If for any reason you are dissatisfied with the service you have received, your complaint should be made in writing to the Head of the relevant Section. A copy of your complaint should also be sent to the:
- Head of Airspace Policy Coordination & Consultation  
Directorate of Airspace Policy  
K6  
CAA House  
45-59 Kingsway  
London WC2B 6TE
- 25 We aim to reply to all complaints within 15 working days of receiving your letter. All complaints will be investigated and treated in confidence.
- 26 If you are not satisfied with the reply to your complaint you may write to the Director of Airspace Policy at the above address and ultimately to the Civil Aviation Division of the Department for Transport, (DfT), Great Minster House, 76 Marsham Street, London, SW1P 4DR, the CAA sponsor Government Department, or to your Member of Parliament.

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## Appendix A DAP Authorisation

### DAP AUTHORISATION 1/2012

#### Directorate of Airspace Policy

- 1 Mark Swan, being a Member of the Civil Aviation Authority and nominated pursuant to Section 66(3) of the Transport Act 2000 to perform on behalf of the CAA all of the CAA's air navigation functions set out in the Civil Aviation Authority (Air Navigation) Directions 2001, authorise pursuant to Section 66(5) of that Act, Philip Roberts (Assistant Director of Airspace Policy 1) to perform those functions on my behalf.
- 2 Furthermore, and acting pursuant to Resolution No 21 adopted by the CAA on 5 June 1975 and in exercise of the CAA's powers under paragraph 15 of Schedule 1 to the Civil Aviation Act 1982, I authorise any person specified in paragraph 3 to perform on behalf of the CAA any of the functions specified in Column 1 of the Schedule hereto.
- 3 The persons specified for the purposes of this authorisation are any person who is for the time being:
  - a) Member of the CAA, or
  - b) any person who is:
    - i) an employee of the CAA;
    - ii) a member of HM Forces seconded to the Directorate of Airspace Policy ("DAP"); or
    - iii) an employee of National Air Traffic Services Limited or of the holder of a licence to provide air traffic services granted under Part I of the Transport Act 2000 seconded to DAP:who in any such case holds the rank or post specified against the function in question in Column 2 of the Schedule.
- 4 This authorisation is given:
  - a) without prejudice to the generality of the authorisation given by Resolution No 4 adopted by the CAA on 29 March 1972, and
  - b) subject to Section 7(1) of the Civil Aviation Act 1982.
- 5 DAP Authorisation 2/2010 dated 7 April 2010 is revoked.



Signed: \_\_\_\_\_

Mark Swan, Director of Airspace Policy

Dated: 19 March 2012

**DAP AUTHORISATION 1/2012**  
**Directorate of Airspace Policy**

**SCHEDULE**

<b>FUNCTION</b>	<b>RANK OR POST SPECIFIED</b>
1 The making of a direction for airspace policy purposes under an Air Navigation Order.	The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2.
2 The grant of an exemption from the requirements in article 39(2) and Schedule 5 of the Air Navigation Order 2009 for the carriage of radio communication and radio navigation equipment.	The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Surveillance and Spectrum Management Section or any Technical Manager, Frequency Manager or Spectrum Manager within Surveillance and Spectrum Management Section, the Head of Airspace Utilisation & Off-Route Airspace Section or any Airspace Specialist within the Airspace Utilisation & Off-Route Airspace Section.
3 The grant of an exemption from the requirements in articles 124 and 125 of the Air Navigation Order 2009 relating to flight in designated required navigation performance airspace.	The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Controlled Airspace Section, or any Airspace Regulator within Controlled Airspace Section.
4 The grant of an exemption from the requirements in article 113 of the Air Navigation Order 2009 relating to the use of an airborne collision avoidance system.	The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Controlled Airspace Section, or any Airspace Regulator within Controlled Airspace Section.
5 The grant of an exemption from any of the requirements contained in Regulations made under the Air Navigation Order 2009 to prohibit or restrict flying other than for permissions or exemptions under the Air Navigation (Restriction of Flying)(Specified Area) Regulations 2009.	The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section or any Airspace Specialist, or Off-Route Airspace member within the Airspace Utilisation & Off-Route Airspace Section.
6 The grant of a permission under article 163(3), 163(4), 163(8)(a) and 163(8)(b) of the Air Navigation Order 2009 given in respect of a balloon flying in accordance with such a permission.	The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section or any Airspace Specialist within the Airspace Utilisation & Off-Route Airspace Section.

**FUNCTION****RANK OR POST SPECIFIED**

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| 7  | The grant of an exemption from Rule 18 of the Rules of the Air Regulations 2007 given in respect of an aircraft unable to comply with the requirements of IFR flight in Class A airspace.  | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Controlled Airspace Section, or any Airspace Regulator within Controlled Airspace Section.  |
| 8  | The grant of an exemption from Rule 18 of the Rules of the Air Regulations 2007 given in respect of a captive balloon.   | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section or any Airspace Specialist within the Airspace Utilisation & Off-Route Airspace Section.  |
| 9  | The grant of an exemption from the requirements in article 129 of the Air Navigation Order 2009 relating to the dropping of articles from kites.   | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section or any Airspace Specialist within the Airspace Utilisation & Off-Route Airspace Section.  |
| 10 | The grant of an exemption from the requirements in articles 122 and 123 of the Air Navigation Order 2009 relating to flight within Reduced Vertical Separation Minimum airspace.   | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Controlled Airspace Section   |
| 11 | (a) The grant of a permission not to comply with the requirements in article 219 of the Air Navigation Order 2009 relating to lighting of en-route obstacles and the grant of a direction under that article.<br><br>b) The grant of an exemption from the requirements in article 219.      | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section or Off-Route Airspace 1 or 5.   |
| 12 | (a) The grant of a permission not to comply with the requirements in article 220 of the Air Navigation Order 2009 relating to lighting of wind turbine generators and the grant of a direction under that article.<br><br>b) The grant of an exemption from the requirements in article 220. | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section or Off-Route Airspace 1 or 5, the Head of Surveillance and Spectrum Management Section or the Military Operations Expert within Surveillance and Spectrum Management Section. |
| 13 | The grant of a permission under article 168(6) of the Air Navigation Order 2009 given in respect of a large rocket launch in accordance with such a permission.  | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section, Off-Route Airspace 1 or any Airspace Specialist within the Airspace Utilisation & Off-Route Airspace Section.  |

**FUNCTION****RANK OR POST SPECIFIED**

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|----|--|---|
| 14 | The grant of a permission under article 164(2)(b) and 164(2)(c) of the Air Navigation Order 2009 given in respect of a kite flying in accordance with such a permission.   | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section or any Airspace Specialist within the Airspace Utilisation & Off-Route Airspace Section. |
| 15 | The grant of a permission under article 164(2)(a) and 164 (2) (d) of the Air Navigation Order 2009 given in respect of a glider, or parascending parachute flying in accordance with such a permission.  | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, the Head of Airspace Utilisation & Off-Route Airspace Section or any Airspace Specialist within the Airspace Utilisation & Off-Route Airspace Section. |
| 16 | The grant of an exemption from the requirements of Rule 27 of the Rules of the Air Regulations 2007.   | The Director of Airspace Policy, Assistant Director of Airspace Policy 1 or 2, Head of Controlled Airspace Section.   |
| 17 | The grant of a certificate required by Article 7 of Regulation (EC) 550/2004 (the Service Provision Regulation) and Article 8b(2) of Regulation (EC) No 216/2008 in accordance with Commission Implementing Regulation (EU) No 1035/2011.  | Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.  |
| 18 | The refusal, suspension or variation, provisional suspension or variation, of a certificate required by Article 7 of Regulation (EC) 550/2004 (the Service Provision Regulation) and Article 8b(2) of Regulation (EC) No 216/2008 in accordance with Commission Implementing Regulation (EU) No 1035/2011. | Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.  |
| 19 | The revocation of a certificate required by Article 7 of Regulation (EC) 550/2004 (the Service Provision Regulation) and Article 8b(2) of Regulation (EC) No 216/2008 in accordance with Commission Implementing Regulation (EU) No 1035/2011.   | Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.  |
| 20 | The designation of an air traffic service provider under Article 8 of Regulation (EC) 550/2004 (the Service Provision Regulation).   | Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.  |

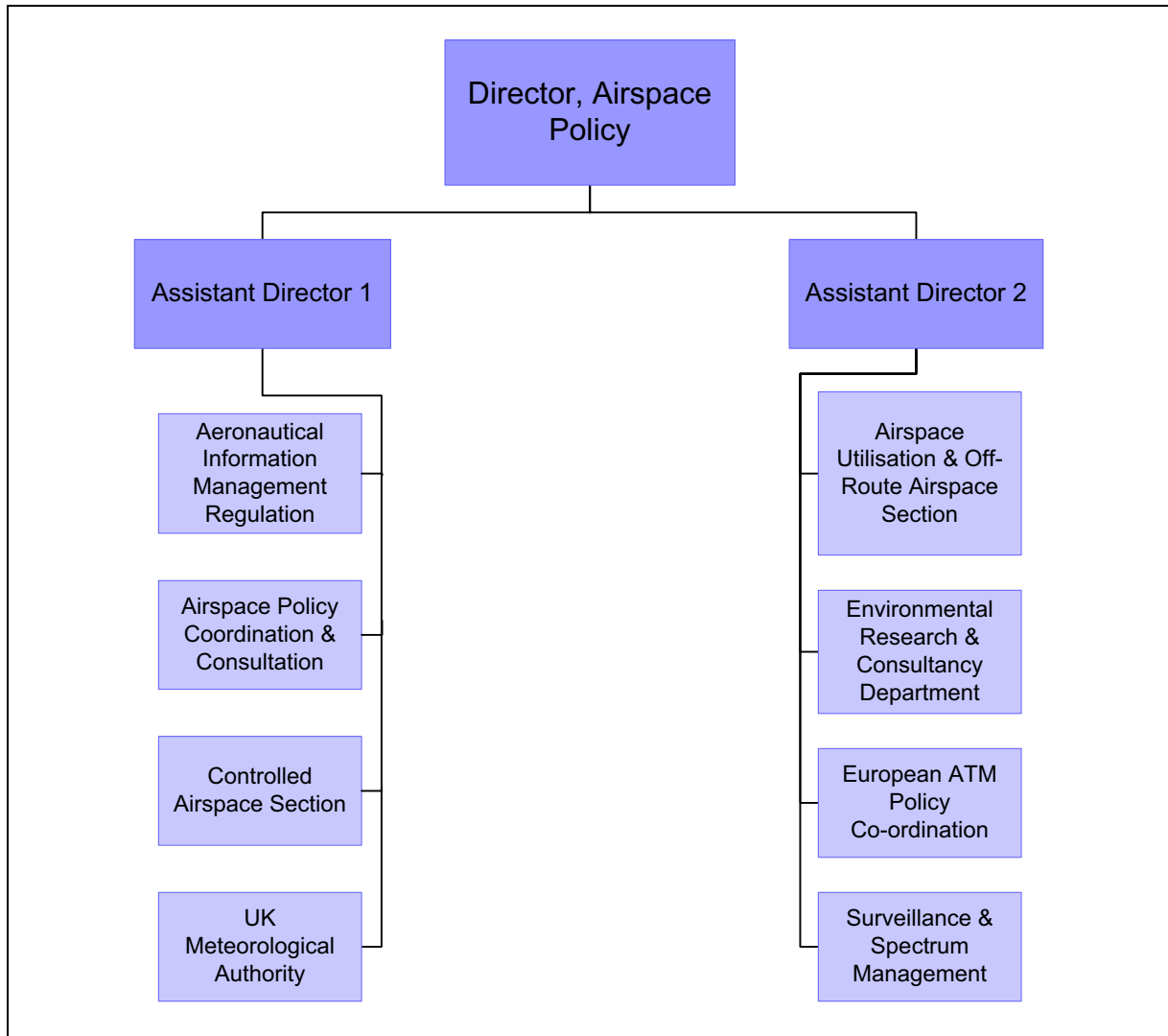


FUNCTION	RANK OR POST SPECIFIED
21 The refusal, suspension or variation, provisional suspension or variation, of a designation of an air traffic service provider under Article 8 of Regulation (EC) 550/2004 (the Service Provision Regulation).	Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.
22 The revocation of a designation of an air traffic service provider under Article 8 of Regulation (EC) 550/2004 (the Service Provision Regulation).	Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.
23 The designation of a provider of meteorological services under Article 9 of Regulation (EC) 550/2004 (the Service Provision Regulation).	Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.
24 The refusal, suspension or variation, provisional suspension or variation, of designation of a provider of meteorological services under Article 9 of Regulation (EC) 550/2004 (the Service Provision Regulation).	Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.
25 The revocation of a designation of a provider of meteorological services under Article 9 of Regulation (EC) 550/2004 (the Service Provision Regulation).	Assistant Director of Airspace Policy 1 or the Head of European Air Traffic Management Coordination Section.
26 The grant of an approval to design Instrument Flight Procedures.	Any Instrument Flight Procedure Designer within Controlled Airspace Section.
27 The refusal, suspension or variation, provisional suspension or variation, of an approval to design Instrument Flight Procedures.	Any Instrument Flight Procedure Designer within Controlled Airspace Section.
28 The revocation of an approval to design Instrument Flight Procedures.	Any Instrument Flight Procedure Designer within Controlled Airspace Section.
29 The grant of an approval to design Standard Instrument Departures.	Air Traffic Management Procedure Design Specialist within Controlled Airspace Section.
30 The refusal, suspension or variation, provisional suspension or variation, of an approval to design Standard Instrument Departures.	Air Traffic Management Procedure Design Specialist within Controlled Airspace Section.
31 The revocation of an approval to design Standard Instrument Departures.	Air Traffic Management Procedure Design Specialist within Controlled Airspace Section.

**FUNCTION****RANK OR POST SPECIFIED**

- |    |   |  |
|----|---|--|
| 32 | The approval of an Instrument Flight Procedure Design course of training and/or persons to provide the training, or authorisation to conduct examinations, or tests in respect of Instrument Flight Procedure Design.   | Any Instrument Flight Procedure Designer within Controlled Airspace Section. |
| 33 | The refusal, suspension or variation, provisional suspension or variation, of an approval of an Instrument Flight Procedure Design course of training and/or persons to provide the training, or authorisation to conduct examinations or tests in respect of Instrument Flight Procedure Design. | Any Instrument Flight Procedure Designer within Controlled Airspace Section. |
| 34 | The revocation of an approval of an Instrument Flight Procedure Design course of training and/or persons to provide the training, or authorisation to conduct examinations or tests in respect of Instrument Flight Procedure Design.   | Any Instrument Flight Procedure Designer within Controlled Airspace Section. |

## Appendix B Directorate of Airspace Policy Organisation



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## **Appendix C The National Air Traffic Management Advisory Committee (NATMAC) - Terms of Reference and Constitution**

### **The Committee**

- 1 The National Air Traffic Management Advisory Committee (NATMAC) is a non-statutory advisory body sponsored by DAP. The Committee is consulted for advice and views on any major matter concerned with airspace management.

### **Terms of Reference**

- 2 NATMAC is to assist DAP in the development of airspace policies, configurations and procedures in order that due attention is given to the diverse requirements of all users of United Kingdom airspace, civil and military.

### **Constitution**

- 3 The Committee is chaired by the Director of Airspace Policy, with membership strictly by his invitation and remaining under constant review. The present membership, which covers the whole spectrum of the UK aviation community, is listed at Annex 1.
- 4 Most of the business of the Committee is conducted by correspondence but the Committee meets in Plenary Session twice a year. A proposal, which may originate within the Directorate or be initiated by a member organisation, is circulated and members are invited to comment. If the proposal does not originate within the DAP then the Directorate's views are also circulated. If the matter is straightforward, a consensus emerges which DAP incorporates when framing changes to legislation, altering airspace boundaries or associated procedures. If the matter is more complex, then a sub-committee or working group will be set up by DAP on which all interested members may play a part in formulating a report. A Plenary Session of the Committee then discusses the report and offers advice to DAP. There is no formal voting procedure.
- 5 NATMAC is a sounding board which functions on the principle that those who have a voice in the formulation of policies are more likely to abide by those policies. Such a principle leans heavily on mutual trust and interest. Matters discussed are "In Confidence" in that they are not available for general release without prior approval from the Chairman.

### **Sub Groups**

- | 6 Five Sub-Groups report to NATMAC on specific areas. These are:
  - a) The General Aviation Working Group (GAWG).
  - b) The Aeronautical Information Management Working Group (AIMWG).
  - c) The Surveillance and Spectrum Working Group (SASWG).
  - d) The Airlines Working Group (AWG).
  - | e) FAS NATMAC Sub-Group

**Annex**

1. Membership of NATMAC.

## Annex 1 Membership of NATMAC

### Civilian

AOA	Airport Operators Association
AOPA	Aircraft Owners and Pilots Association
BA	British Airways
BAA	BAA plc
BALPA	British Airline Pilots Association
BATA	British Air Transport Association
BBAC	British Balloon and Airship Club
BGA	British Gliding Association
BHA	British Helicopter Advisory Association
BHPA	British Hang Gliding and Paragliding Association
BMAA	British Microlight Aircraft Association
BPA	British Parachute Association
GAPAN	Guild of Air Pilots and Air Navigators
GASCo	General Aviation Safety Council
GATCO	Guild of Air Traffic Control Officers
-	Heavy Airlines
HCGB	Helicopter Club of Great Britain
-	Light Airlines
-	Low-Cost Airlines
NATS (NERL)	NATS (Formally National Air Traffic Services Ltd.)
NATS (NSL)	
LAA	Light Aircraft Association
PPL/IR	
SRG (CAA)	Safety Regulation Group, CAA
UAVS	Unmanned Aerial Vehicle Systems Association
UKAB	United Kingdom Airprox Board
UKFSC	United Kingdom Flight Safety Committee

**Military**

DAAvn	Director Army Aviation
MoD	Military Aviation Authority
MoD	Defence Airspace Group
MoD (DE&S)	Ministry of Defence (Defence Equipment and Support)
USAFE (3rd AF-DOF)	United States Air Force Europe (3rd Air Force-Directorate of Flying)

**ICAO**

UK Representative	Council of ICAO
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## **Appendix D Notification of Directions and Regulation 6 Review**

### **Introduction/Scope**

- 1 This procedure details activities which are required under Regulation 6 of the Civil Aviation Authority Regulations 1991 when DAP makes a decision relating to the CAA functions that involves the issue of a Direction for airspace efficiency purposes.

### **Notification of Directions**

- 2 Under the Air Navigation Order 2009, Article 174, the CAA has the power to issue Directions for Airspace Policy purposes. The procedure by which the Directorate of Airspace Policy would issue such a Direction is given at Annex 1. This power may be used to direct the appropriate standard of Air Traffic Service to meet the intended use of specific airspace and particularly the needs of all users. The CAA may also need to exercise these powers to ensure that an air traffic service provider delivers services consistent with the ICAO standards and recommended practices specified for the relevant airspace classification.
- 3 In all cases where the need for a CAA Direction arises, the Direction itself would be the final step in resolving a particular matter and would be preceded by full consultation between user groups, service providers and the relevant regulatory bodies of the CAA.

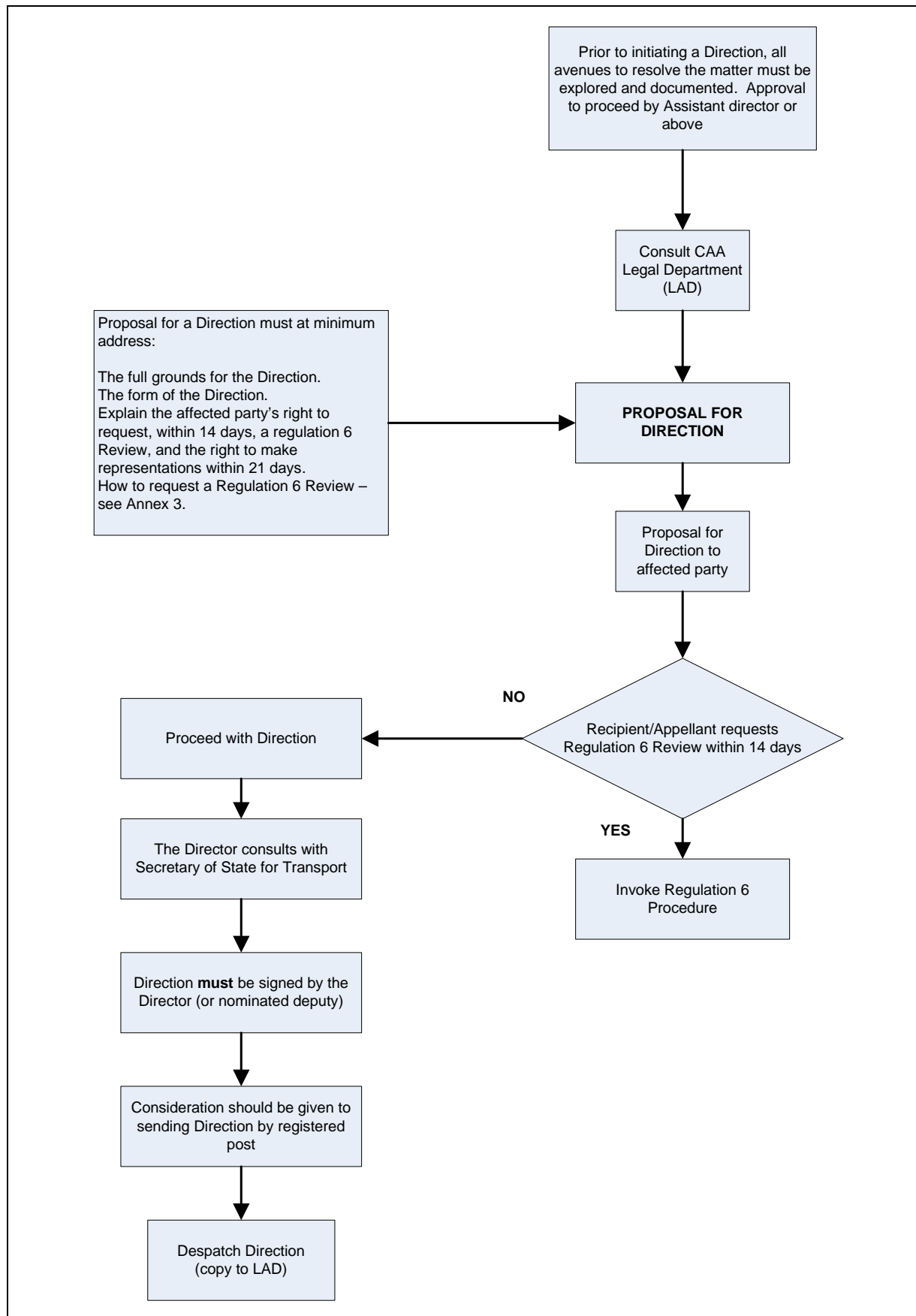
### **Request for a Regulation 6 Review – Appeals Mechanism**

- 4 The party affected by the Direction has the right to request a Review under Regulation 6 of the Civil Aviation Authority Regulations 1991.
- 5 Reviews are managed by the Legal Department with support from DAP. The Review is undertaken by a CAA Board Member or Members who may appoint a technical assessor who has not been associated with the case under Review.
- 6 The Appellant may attend or be represented at the Review. If this right is not exercised the Review will be based on written representations.
- 7 The Regulation 6 Review Process is at Annex 2.
- 8 Guidance Notes to the Regulation 6 Review process can be found at Annex 3.

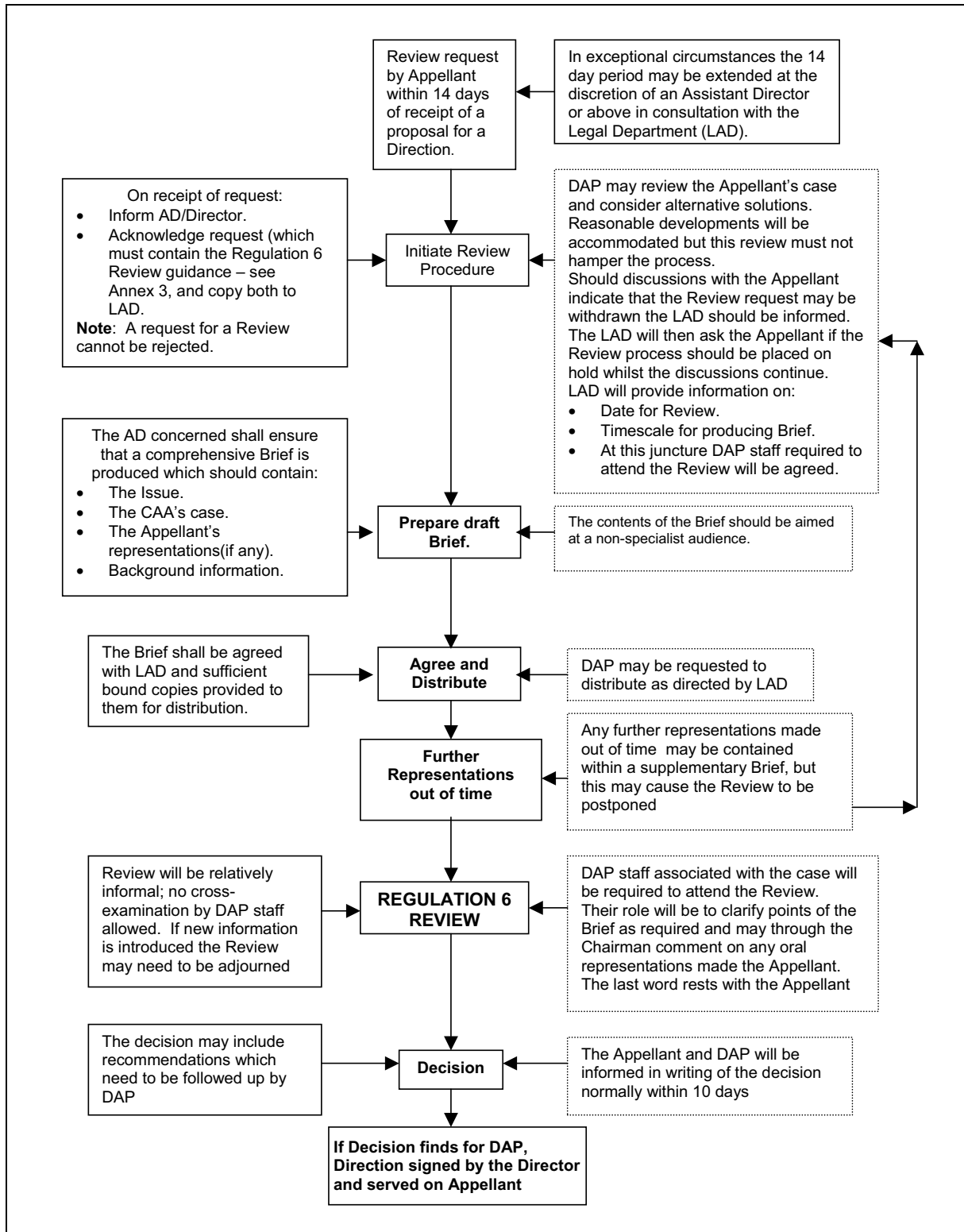
### **Annexes**

1. Making an Airspace Policy Direction
2. Regulation 6 Review Process
3. Requesting a Review of a Proposal by CAA/DAP to make an Airspace Policy Direction – Guidance Notes

# Annex 1 Making an Airspace Policy Direction



## Annex 2 Regulation 6 Review Process



## Annex 3 Requesting a Review of a Proposal by CAA/DAP to Make an Airspace Policy Direction – Guidance Notes

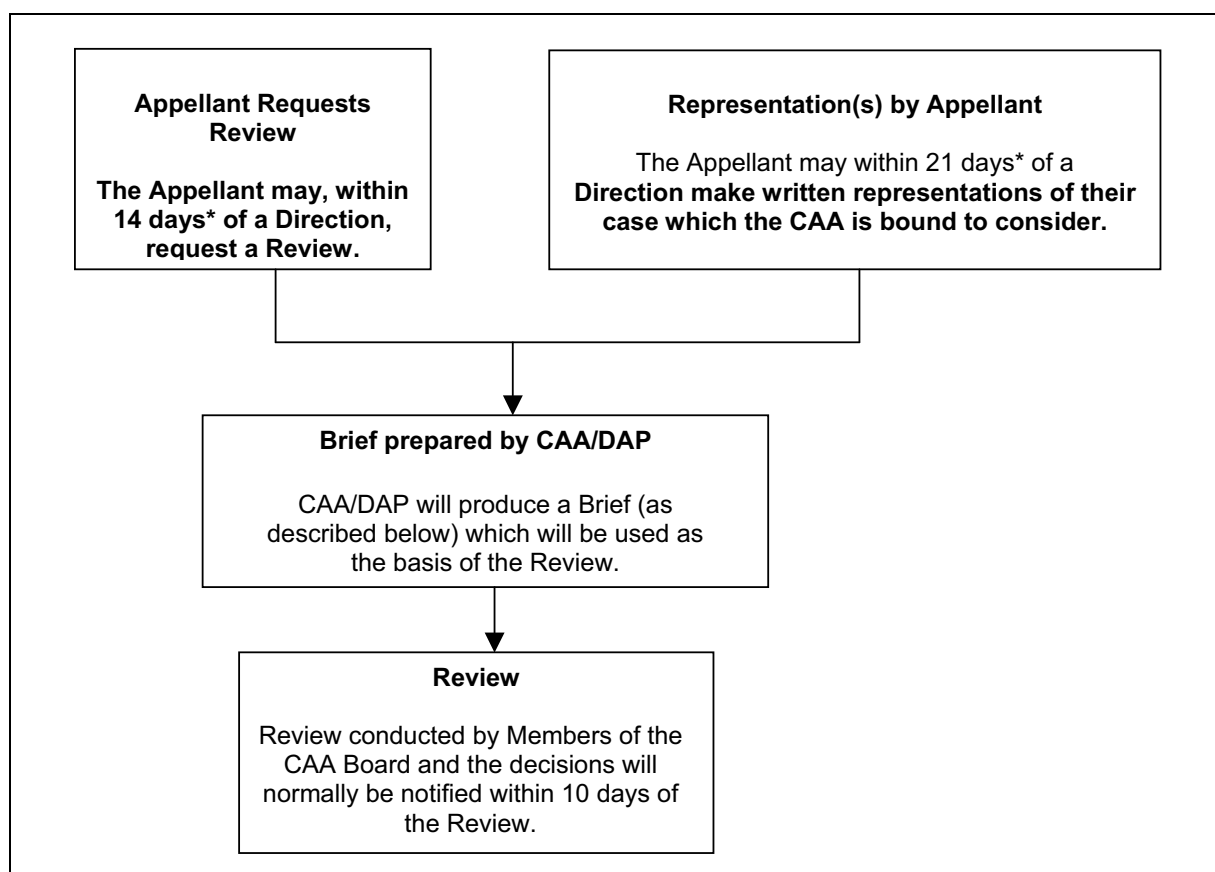
### Introduction

- 1 When the CAA Directorate of Airspace Policy (DAP) proposes to make an airspace policy direction under powers contained in the Air Navigation Order it must first issue a proposal. This proposal will be subject to Review under Regulation 6 of the Civil Aviation Authority Regulations 1991. When such a proposal is received, the recipient (in this Guidance called “the Appellant”) may request a Review to be undertaken by Members of the CAA Board.

### How to Request a Review

- 2 The letter containing the proposal to make a Direction will provide details of the DAP Head of Section to contact to request a Review.

### What Happens Next?



\* The CAA will be sympathetic in the matter of extending time limits if requested to do so. However, it should not be assumed that extensions will be granted.

### **Contents of a Brief**

- 3 The Brief compiled by DAP will contain the following:
  - a) The details and facts on how the Direction was reached.
  - b) The representations submitted by the Appellant.
  - c) Commentary on the Appellant's representations.
- 4 The Brief will be sent to the Appellant approximately 2 weeks before the Review.

### **Conduct of the Review**

- 5 The Appellant will be offered an oral hearing which will be open to the public unless there are good reasons for holding it in private. It will be attended by:
  - a) Members of the CAA Board.
  - b) CAA Legal Adviser acting as Clerk to the tribunal and providing legal advice on the conduct of the hearing to the CAA Board Members.
  - c) The Appellant.
  - d) The Appellant's legal adviser, friend and/or witness if required by the Appellant.
  - e) DAP staff involved with the Direction.
  - f) Shorthand writer.
  - g) In some cases, one or more Technical assessor(s) who have not been involved, in the case appointed by the CAA Board.
- 6 The Hearing will be based on the Brief and provides the Appellant with the opportunity to make oral representations, seek clarification and ask questions. DAP staff will be given the opportunity to seek clarifications or make comments on the oral representations of the Appellant. The last word will go to the Appellant.
- 7 All questions and points must be made through the chair; cross-examination will not be allowed.
- 8 If any new information or arguments are introduced, either by the Appellant or DAP staff, which were not contained within the Brief, the hearing may be adjourned to allow time for all parties to consider the new issues.
- 9 A transcript of the hearing will be supplied to the Appellant
- 10 If the Appellant decides not to attend or be represented at the oral hearing the Review will be undertaken by the CAA Board Members solely based on the Brief. This will be without the attendance of the DAP staff involved with the Direction.

### **The Decision**

- 11 The Appellant will be informed of the decision including the supporting reasons in writing normally within 10 days of the completion the hearing.

**Regulation 6 Complaint Procedure**

- 12 Complaints concerning the manner in which a Review is conducted may be made in writing to:

The Secretary and Legal Adviser  
K5  
CAA House  
45-59 Kingsway  
London WC2B 6TE

## Appendix E Policy Formulation and Review Process

### Objectives

- 1 This procedure defines the process and responsibilities which ensure that airspace policies are formulated and reviewed in accordance with the principles laid down in this Charter.

### Scope

- 2 This procedure applies to the development of all policies relevant to the planning of en-route and off-route airspace arrangements, airspace and related procedures, and regulatory functions which DAP exercises on behalf of civil and military users and service providers. Policy is defined as:

"A standing decision rule which gives guidance on acceptable and unacceptable types of action to those with executive responsibility."

### Responsibilities

- 3 **The Director of Airspace Policy**, as the UK Airspace Approval and Regulatory Authority, shall be responsible for formulating, approving and reviewing policies applied by the Directorate.
- 4 **The Assistant Directors and Heads of Airspace Policy** shall exercise delegated authority as Co-ordinators or Policy Owners for the formulation and review of policies in accordance with their delegated accountabilities.

### Policy Formulation Process

- 5 The policy formulation process falls into 6 stages: identification of need; analysis of the potential impact; decision to proceed; consultation; approval; and publication. The flow chart at Annex 1 illustrates the activities, considerations and requirements of the process.
- 6 Internal co-ordination and agreement with the appropriate Departments within the CAA is a critical element of the process and must be carried out, normally by reference to the Joint Interface & Coordination Group (JICG) matrix, before any external consultation takes place.
- 7 A Regulatory Impact Assessment (RIA) document describes the overall impact of a regulatory measure or Policy change and is to be completed by DAP staff as appropriate when formulating Policy or initiating legislative change.

### Timescales

- 8 The need for a new policy may be identified externally or internally. DAP will normally promulgate and complete implementation of the requisite change within 6 months of approval of the policy proposal. The initial stages will normally not require more than 3 months to reach an appropriate consensus and compile appropriate facts and background material, and in some cases may be considerably shorter. However,

should changes to UK legislation concerning the status of UK airspace and associated ATC procedures be required, these timescales may be extended. Timescales may also be extended in the case of those policies which require international follow-up.

### **Policy Review**

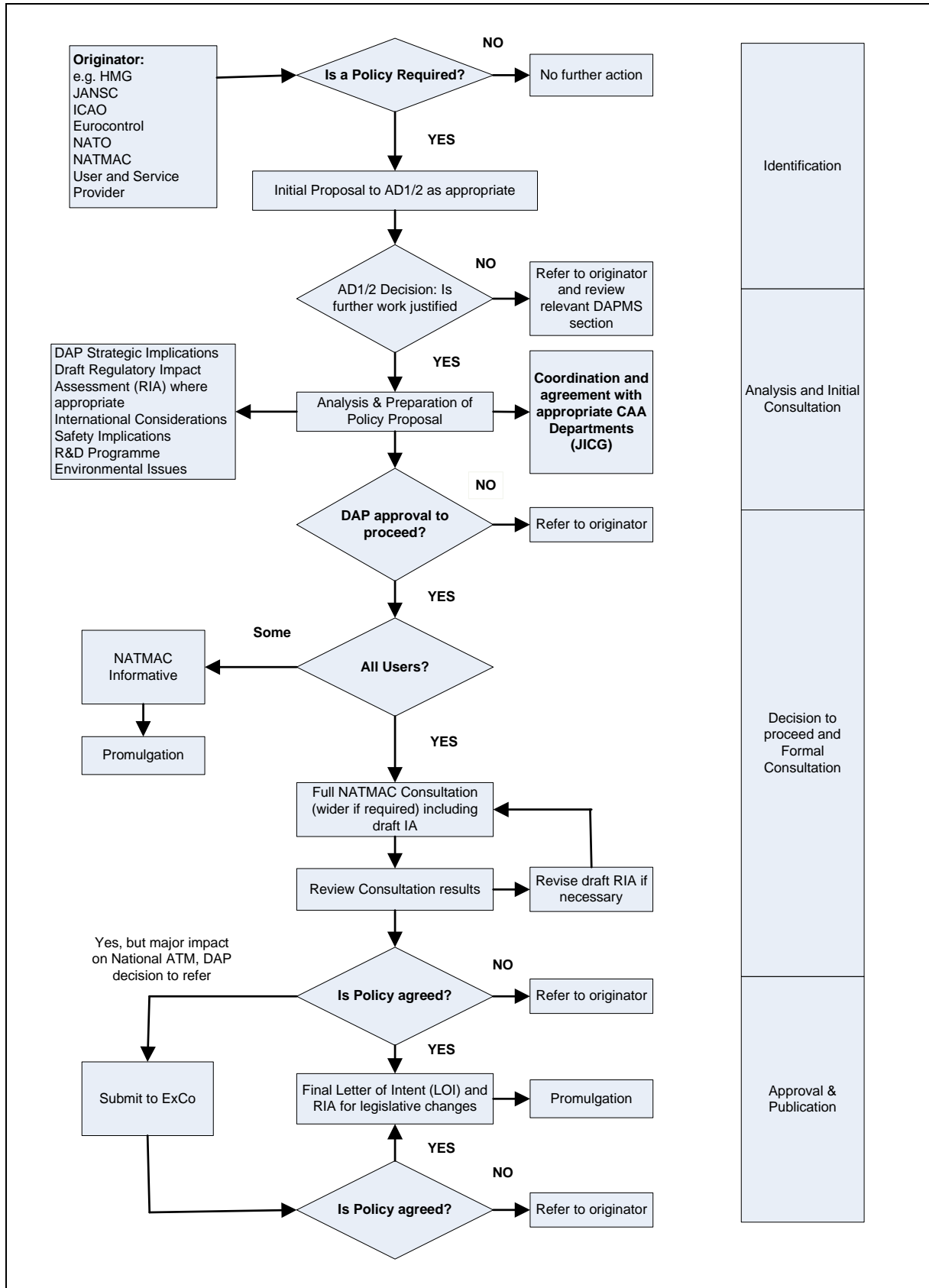
- 9 Policies are to be subject to periodic reviews. The criteria for review will be set out in the policy statement and the review period will typically be between 18 months and three years after policy publication. The length of the review period shall take into account the scale of impact of the new or revised policy.

### **Annex**

1. DAP Policy Formulation and Review Process



# Annex 1 DAP Policy Formulation and Review Process



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## Appendix F Airspace Change Process

### Introduction

- 1 In exercising its air navigation functions, the Civil Aviation Authority (CAA) must give priority to maintaining a high standard of safety in the provision of air traffic services in accordance with its statutory duties, as set out in Section 70(1) of the Transport Act 2000. Section 70(2) sets out a number of other objectives that are subject to the requirement to maintain safety, which include the objective of taking into account any environmental guidance given to the CAA by the Government. That guidance includes guidance that changes to airspace arrangements (which include procedures for the use of controlled airspace in addition to its design) should be made after consultation, only where it is clear that an overall environmental benefit will accrue or where airspace management considerations and the overriding need for safety allow for no practical alternative. Changes to airspace structure must be consistent with the Network Management Function (NMF) Route Plan. All airspace changes are unique and, regardless of scale, will require some form of consultation.
- 2 This Appendix describes the process and responsibilities established to ensure that proposed changes to the dimensions, classification or use of UK airspace are initiated, considered, refined, approved and implemented in a safe and controlled manner. It applies to all proposals for changes to the status of UK airspace. Significant changes to ATC procedures resulting in changed flight paths require an airspace change proposal.
- 3 Airspace change proposals must be handled according to the standard published process in order to convince the Director, Airspace Policy, of the need for, and merits of, the proposed change. The following figure illustrates the seven stages of the Airspace Change Process and the timescale set by the Directorate for the Regulatory Decision stage, as a timescale for completion of the full process cannot be pre-determined. Each of these stages is briefly explained in the paragraphs that follow.



- 4 Further information and guidance on the Airspace Change Process can be found in CAA publication CAP 725, '*CAA Guidance on the Application of the Airspace Change Process*'.

### **Stage 1 - Framework Briefing**

- 5 As a fundamental first step, it is strongly advised that a Change Sponsor contacts the Directorate to discuss the concept of the proposal, its feasibility on identifying a requirement for an airspace change and to obtain advice on the Airspace Change Process. A Change Sponsor should not develop a draft proposal at this stage. The Framework Briefing is the occasion when Change Sponsors can discuss with the Directorate their outline intentions, any issues/concerns that are currently being experienced and how/why they believe that changing the airspace arrangements will address these difficulties.
- 6 The Directorate will brief potential Change Sponsors on the viability of their embryonic proposal, provide the necessary guidance on the specific requirements and provide tailored advice on the stakeholder organisations. It should be noted that failure to contact the Directorate at this early stage could result in a subsequent delay in the process.

### **Stage 2 - Proposal Development**

- 7 Subject to the satisfactory outcome of these discussions, the Change Sponsor should begin to develop the airspace change proposal(s), ensuring that the various areas for assessment by DAP are addressed, in order to convince the Directorate of the merits of their change proposal. Whilst developing these proposal(s), the Change Sponsor should identify stakeholders, key messages to deliver to the Consultees on the proposal(s) and the most appropriate methodology to reach them in order to attempt to accommodate any views expressed to develop solutions to the anticipated issues that will arise from the consultation exercise.

### **Stage 3 - Preparing for Consultation**

- 8 A Change Sponsor and Consultees must fully understand what the purpose of the consultation exercise is before preparing, or responding to, a consultation.
- 9 It must be clear what the design option(s) are, who will be affected and how to enable the Change Sponsor to identify the most appropriate method of consultation with those affected by the design option(s).

The consultation exercise must be conducted in accordance with the criteria set out in CAP 725. The Change Sponsor's decisions to either accommodate or disregard Consultees' responses will be scrutinised and form part of the Directorate's assessment criteria.

### **Stage 4 - Consultation and Formal Proposal Submission**

- 10 Consultation is a two-way relationship in which the Change Sponsor asks for, and receives, feedback on their design option(s). Every effort should be made to bring the consultation to the attention of all interested parties. Change Sponsors must consult widely, allowing a minimum of 12 weeks for written consultation at least once during the development of the design.

- 11 It is not expected that consultation becomes a never-ending process of consult-modify-consult. At the point at which the Change Sponsor considers that issues raised have been accommodated, as far as possible, then the proposal should be finalised and submitted to the Directorate.
- 12 In analysing the responses from its consultation exercise, the Change Sponsor will be able to identify key issues and themes, and assess the need to modify the design option(s) as a result.
- 13 The Change Sponsor must indicate the proposed design option that they are submitting to the Directorate and provide explanations of why any popular recommendations for changing the proposed design option(s), as set out in the consultation documentation, have not been carried forward.
- 14 Accurate and complete records must be kept of the consultation exercise(s), including an audit trail of any changes to the proposal that arise from the consultation, as part of the Change Sponsor's formal proposal submission to the Directorate.

### **Stage 5 - Regulatory Decision**

- 15 The Regulatory Decision stage is made up of two phases. Initially, Directorate staff would check documentation to ensure all the required elements specific to the Proposal are included in the submission to the Directorate. The Change Sponsor will be informed and asked to provide the outstanding documentation if necessary. The proposal will not progress to the second phase (the Case Study) until the Directorate has confirmed receipt of all outstanding proposal information.
- 16 Once the proposal has been assessed for completeness, it will progress to the Case Study, the purpose of which is to allow the Directorate the opportunity to satisfy itself that the proposal is justified and meets all the necessary requirements.
- 17 During this stage, the Directorate will scrutinise and assess the content of the proposal against the Proposal Requirements in detail. Should the detail within the proposal be considered insufficient, a request for supplementary information will be submitted to the Change Sponsor, stipulating the timescale in which a response must reach the Directorate so as to facilitate the earliest resumption of the Case Study. In such cases, this could result in delaying implementation of the proposed change. .
- 18 On completion of the Case Study, the Director, Airspace Policy, will reach a decision to accept or reject the proposal. The Directorate shall provide a regulatory decision within a total time of 16 weeks from the confirmation of the documentation check.
- 19 The Change Sponsor will be notified of the regulatory decision to approve or reject the airspace change proposal. The Directorate will publicise its regulatory decision in the form of a press release (ideally in conjunction with the Change Sponsor).

### **Stage 6 - Implementation**

- 20 Following regulatory approval, the Directorate will, in conjunction with the Change Sponsor, carry out the necessary actions to promulgate the change in the UK Aeronautical Information Publication (AIP) and other national regulatory documents as required.
- 21 The effective date of an airspace change will, of course, have been previously agreed between the Directorate and the Change Sponsor. The Change Sponsor is responsible for developing associated ATC operational procedures, subject to the

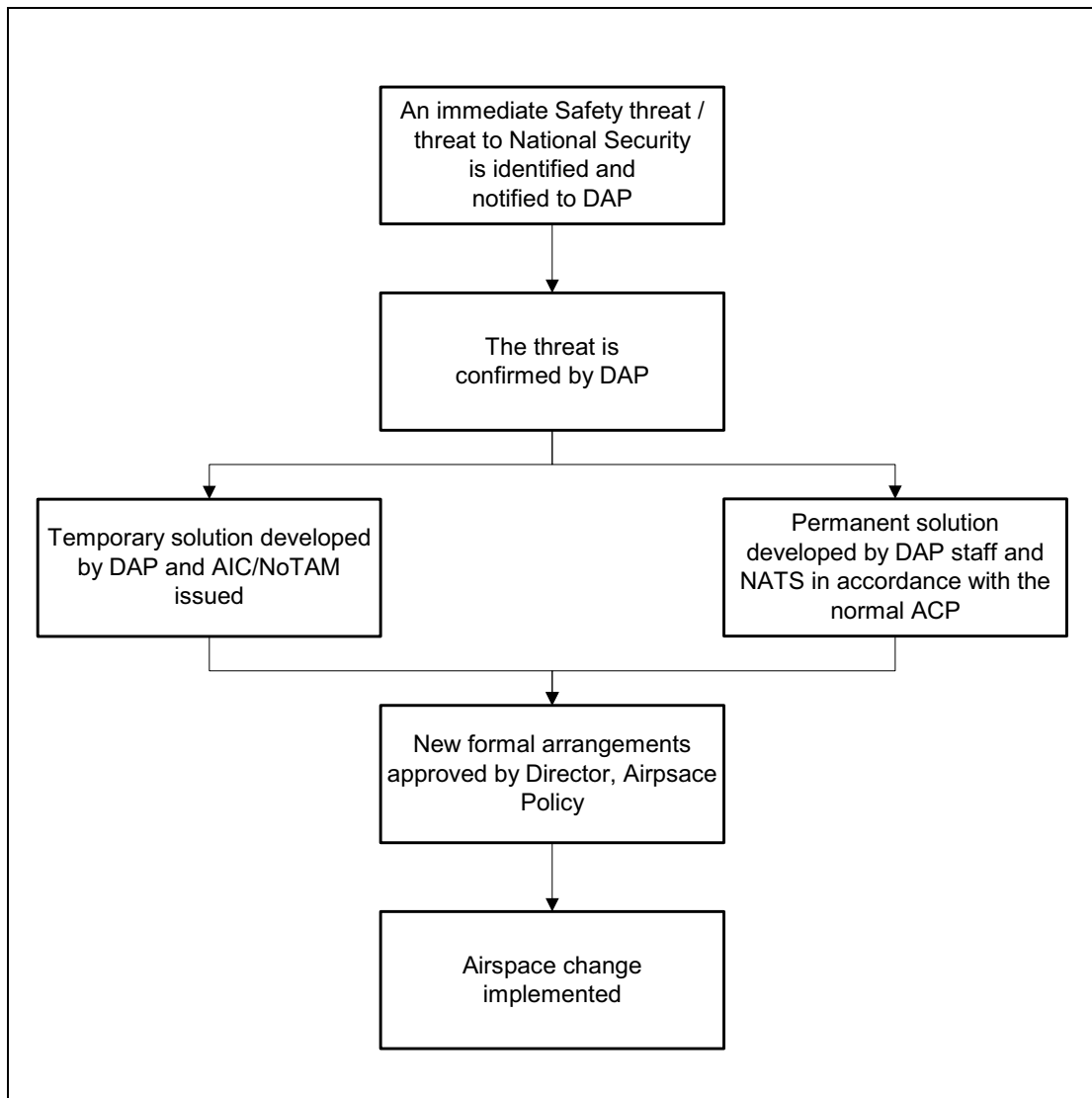
approval of the CAA's Safety Regulation Group (SRG) where necessary and to introduce these by the agreed date.

- 22 The precise timescale for the promulgation of a particular change will be dependent upon the nature and scale of the change proposal, the AIP publication cycle and whether there are changes necessary to the Air Navigation Order (ANO). In the case of most airspace changes, promulgation will be not less than one AIRAC cycle (28 days notice after the publication of the relevant documentation) prior to effective date of a change, although for major changes such as those involving extensive new procedures, cross-border airspace, etc., two AIRAC cycles (56 days) may normally be necessary.
- 23 In addition, following the decision to implement an airspace change proposal, it will be necessary to bring the change to the attention of the aviation community, members of the local communities and other stakeholder groups.

### **Stage 7 - Operational Review**

- 24 The Directorate will contact the Change Sponsor to carry out a post-implementation review at a date notified in the regulatory approval notice, normally at the 12-month point. The purpose of the Operational Review will be to assess and validate the success of the airspace arrangement against the benefits identified in the airspace change proposal and to review any operational issues that may have arisen since the introduction of the change. The nature of each review will be determined by the scale and impact of the change itself. The outcome of the review will be notified to the Change Sponsor and NATMAC member organisations.

## 'Fast-Track' Process



- 25 The Directorate reserves the right to implement a 'Fast Track' process that is reserved specifically for use by DAP when an imminent 'safety critical' or national security change is needed.
- 26 In the unlikely event that a clear and present threat to public safety is identified, DAP, after confirming the existence of the threat, will, as an immediate resolution, notify users of the temporary changes to the airspace arrangements (e.g. NOTAM or AIC supported by a Statutory Instrument). A permanent solution will be developed and implemented by DAP, in consultation with interested stakeholders.

## Temporary Airspace Change

- 27 The Directorate reserves the right to promulgate in the public interest, where appropriate, a temporary airspace change, which may be initiated by the CAA or by an external sponsor.

- 28 A temporary airspace change is one that may, at the Director Airspace Policy's discretion, introduce new controlled airspace or modify existing structures or routes in order to provide temporary arrangements to cover significant specific events or operating conditions. The airspace change will apply for a period of no longer than 90 days and the airspace will revert back to its original state at the end of the designated period. Under extraordinary circumstances this may be extended but only with the express authorisation of the Director of Airspace Policy. Due to the temporary nature of the change, consultation may not be required or may be limited in scope but the impact of the change will always be fully assessed in safety terms prior to implementation. The requirement for any environmental and operational assessments would be dictated by the circumstances surrounding the change and advice on this aspect would be provided by Directorate staff early in the process. If a permanent or long-term arrangement were to subsequently become necessary, the Directorate would require the full airspace change process to be completed by the sponsor and the airspace would revert back to its original state until such time as the full airspace change process could be completed.
- 29 A temporary airspace change differs from a Temporary Restriction of Flying Regulations, enacted under article 161 of the Air Navigation Order 2009 and signed off by the Secretary of State for Transport under a Statutory Instrument whereby it is considered to be in the public interest to restrict or prohibit flying for a short period by reason of a planned event involving a large number of people, an exhibition of flying, national defence or any other reason. The former may temporarily alter the routes within controlled airspace or change the classification or structure of airspace whereas a Temporary Restriction of Flying Operations applies restrictions on aircraft operations without altering the classification, structure or routes of the actual airspace where restrictions are applied.

### **Transponder Mandatory Zones (TMZ)**

- 30 The DAP Policy Statement dated April 2009 provides the policy context for the application of TMZs within the UK. Permanent applications for a TMZ will be dealt with in accordance with the Airspace Change Process detailed above.



## **Appendix G Guidelines for the Establishment of Aerodrome Traffic Zones**

### **Aim**

- 1 The aim of this document is to provide guidance to aerodrome authorities seeking the establishment of an Aerodrome Traffic Zone (ATZ).

### **Introduction**

- 2 ATZs, as defined by Article 258 of the Air Navigation Order 2009, are established at certain aerodromes to afford protection to aircraft operating in the visual circuit and in the vicinity of the aerodrome. The qualifying criteria and the provisions for the establishment of ATZ are contained in Rule 45 of the Rules of the Air Regulations 2007.

### **Requesting an ATZ - Action by Clients**

- 3 The client shall apply in writing for the establishment of an ATZ having first ascertained that the aerodrome for which the ATZ is required conforms with one of the establishment criteria prescribed in Rule 39 above.

### **Action by DAP**

- 4 Following confirmation of eligibility under Rule 45, DAP shall carry out the following actions:
  - a) Visit the unit applying for the creation of the ATZ and any other aerodrome or aviation activity site that might be affected by the planned ATZ. The purpose of the visit(s) is to gather information on the respective levels of activity, including, where available, movements data together with any co-ordination procedures (MOU, LOA) that might exist. Obtain copies of extant documents in order to provide evidence of co-ordination for future use.
  - b) Determine the appropriate size of the new ATZ in accordance with Article 258 of the Air Navigation Order and establish the hours of operation of the ATC, AFISO or A/G Unit.
  - c) Establish the aerodrome reference point, normally the centre of the longest runway or for grass airfields, and the centre of the landing area.
  - d) Liaise with Surveillance & Spectrum Management (S&SM) for frequency allocation requirement. (Note: when an ATZ is dis-established the continued requirement for the frequency is to be reviewed and S&SM informed if no longer needed.)
  - e) Controlled Airspace Section - ensure that the proposed ATZ is clear of established or planned controlled airspace.
  - f) Other airspace reservations - ensure that the proposed ATZ is clear of other notified areas, danger areas, restricted areas, HIRTAs etc.

- g) Other aerodromes - determine if the new ATZ lies close to another aerodrome or overlaps an associated ATZ or MATZ. Consider the need for operating agreements with adjacent aerodromes or activity centres.
- h) Aerodrome traffic patterns - determine if the new ATZ affects the established IFR or VFR traffic patterns of other aerodromes.
- i) Obtain statistical evidence of existing unit based movements and adjacent unit movements, taking into account the type of ac involved, which together justify the establishment of an ATZ to create a known traffic environment.
- j) Military low flying system - determine what, if any, impact the new ATZ will have on military low level operations.
- k) Other airspace considerations - determine if there is any other aviation activity (gliding, parachuting, microlite site etc.) in the vicinity of the proposed ATZ.
- l) Where necessary, act as a mediator to resolve conflicting interests.
- m) Conduct a Case Study including consideration of DAP Regulatory Requirements.
- n) When the above co-ordination has been completed, promulgate to NATMAC via a Consultative Letter.
- o) Establish a date for the activation of the new ATZ and promulgate in the UK AIP. Where the ATZ is associated with the granting of an aerodrome licence DAP will liaise with SRG. Wherever possible, agree sufficient advance warning to allow use of the AIRAC cycle.
- p) Submit Form 933 to NATS (AIS) to appropriately update the UK AIP and VFR Charts.

### **Contact Addresses**

Airspace Utilisation & Off-Route Airspace Section,  
Directorate of Airspace Policy,  
Room K6 G3, CAA House,  
45-59 Kingsway,  
London  
WC2B 6TE.

Safety Regulation Group,  
Aerodrome Standards Department,  
Aviation House,  
Gatwick Airport South,  
West Sussex,  
RH6 0YR.

# Appendix H Release of Controlled and Segregated Airspace

## Introduction

- 1 In undertaking its Statutory Duties<sup>1</sup>, the Civil Aviation Authority must exercise its air navigation functions in the manner it thinks best to: secure the most efficient use of airspace, satisfy the requirements of all airspace users and take account of the interests of any person in relation to the use of any particular airspace or the use of airspace generally.
- 2 In carrying out this function, the Directorate of Airspace Policy (DAP) has become increasingly aware that there are areas of existing controlled and segregated airspace that may no longer be required for the purpose for which it was designed and therefore could revert to airspace that better reflects the Duties noted above. Controlled and segregated airspace is established to provide additional protection for specified activities. Once those specified activities no longer utilise or require such airspace, it represents an unnecessary restriction on other airspace users that should be addressed.

## Scope

- 3 The purpose of this policy statement is to provide direction to those controlling authorities or other parties that have identified, either independently or as part of a CAA initiated review, sections of controlled airspace that may be returned to Class G airspace. Similarly, it is also aimed at controlling authorities of segregated airspace with a background classification of Class G, such as Danger Areas, that no longer require access restrictions to apply to all or part of such airspace.

## Policy

- 4 The degree of resulting activity within released airspace may not be quantifiable and so it may be difficult to predict the environmental impact of any given revision. Where it is not possible to determine the environmental impact a full environmental assessment will not be required by DAP for RCSA. In such cases it will be necessary for sponsors to provide an environmental statement on the anticipated environmental impact based on the likely activity that might be experienced in the released airspace. This statement should also explain why a full environmental assessment is not possible.
- 5 Any proposal for RCSA will need to include the following information in the Sponsor's submission to DAP:
  - Full description of the change.
  - Rationale for the change.
  - Satisfactory evidence of the safety and operational impact.
  - Statement regarding the likely activity that might be experienced in the released airspace.
  - Environmental Statement.

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1. Transport Act 2000 Section 70(1)

- Details of arrangements with adjacent aerodromes impacted as a consequence of the change (including LoAs/MoUs).
  - Planned implementation timelines.
- 6 In reaching a decision on a proposal to release controlled or segregated airspace, DAP will need to be assured that there are no resulting changes to airspace arrangements within the remaining controlled or segregated airspace, such as changes to flight patterns. If there were to be an impact on existing arrangements within controlled airspace, then the full Airspace Change Process would apply, as set out in CAP 724 and the associated guidance within CAP 725. Both CAP 724 (The Airspace Charter) and CAP 725 (CAA Guidance on the Application of the Airspace Change Process) are available for free download from the CAA website .
- 7 DAP will inform the National Air Traffic Management Advisory Committee of any release of controlled or segregated airspace and publish the details on the CAA website. As there are likely to be changes to published mapping/charting and other aeronautical data associated with the RCSA promulgation of the change will be coordinated through the AIRAC process

### **DAP Review**

- 8 In order to satisfy its Statutory Duties, DAP may also require controlling authorities to initiate a RCSA review of their airspace to ensure that existing arrangements continue to be fit for purpose.

### **DAP Point of Contact**

<http://www.caa.co.uk/DAP>

Hd Controlled Airspace Section  
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# Appendix I Frequency Assignment and Radio Spectrum Management Process

## Objective

- 1 This Procedure defines the process and responsibilities established to ensure that proposals for the issue of aeronautical frequencies, or changes to the management of the existing frequency bands allocated for aeronautical use, are initiated, considered, refined, approved and implemented in a safe and controlled manner, and in accordance with the policies, principles and timescales laid down by DAP.

## Scope

- 2 This procedure applies to all formal applications for the issue of a frequency assignment, or for proposals related to the management of the existing frequency bands allocated for aeronautical use.

## Responsibilities

- 3 The Client (or where applicable DAP) shall apply in writing for the issue of a new frequency or a proposal relating to the management of the existing frequency bands allocated for aeronautical use, in accordance with the process shown at Annex 1.
- 4 **Director of Airspace Policy** shall be responsible for the consideration, consultation, co-ordination and assignment of a frequency, or proposal affecting the management of the existing frequency bands allocated for aeronautical use, including a safety assessment, and complying with the timescales at paragraphs 9 to 10 below.
- 5 **Head of S & S** shall be responsible for the process associated with the assignment of frequencies to stations within the allocated frequency bands for aeronautical radio, navigation and radar stations and the consideration of proposals affecting the management of these bands. In addition, Head of S & S shall be responsible for the process associated with the management and use of IFF/SSR frequencies as defined by the National IFF/SSR Policy Board and the Working Committee.

## Process

- 6 The flow chart at Annex 1 illustrates the phases, activities and requirements of this process.
- 7 Applications are to be submitted in accordance with the Guidelines at Annex 2.

## Timescales

- 8 DAP shall acknowledge all requests for frequency assignments within 15 working days, when these are expected to take more than 15 working days to complete.
- 9 Within one calendar month from receipt of a frequency assignment request an estimate will be given for the expected completion date. Where the completion of a request is delayed the applicant will be informed of the reasons and a new date provided. The time taken to complete the search, co-ordination and assignment of a

frequency varies upon the type of frequency, navigation aid and on the degree of complexity and national/international co-ordination required. For some requests international co-ordination constraints may not allow the fulfilment of a requirement.

- 10 Proposals affecting management of radio spectrum allocations for aeronautical use will usually be of an international nature from ICAO and ITU. They will have timescales related to those organisations requirements. Relevant proposals of this type will be considered for their effect and a suitable reply sent within these timescales. Some proposals may require a consultation process to be initiated.

### **Contact Addresses**

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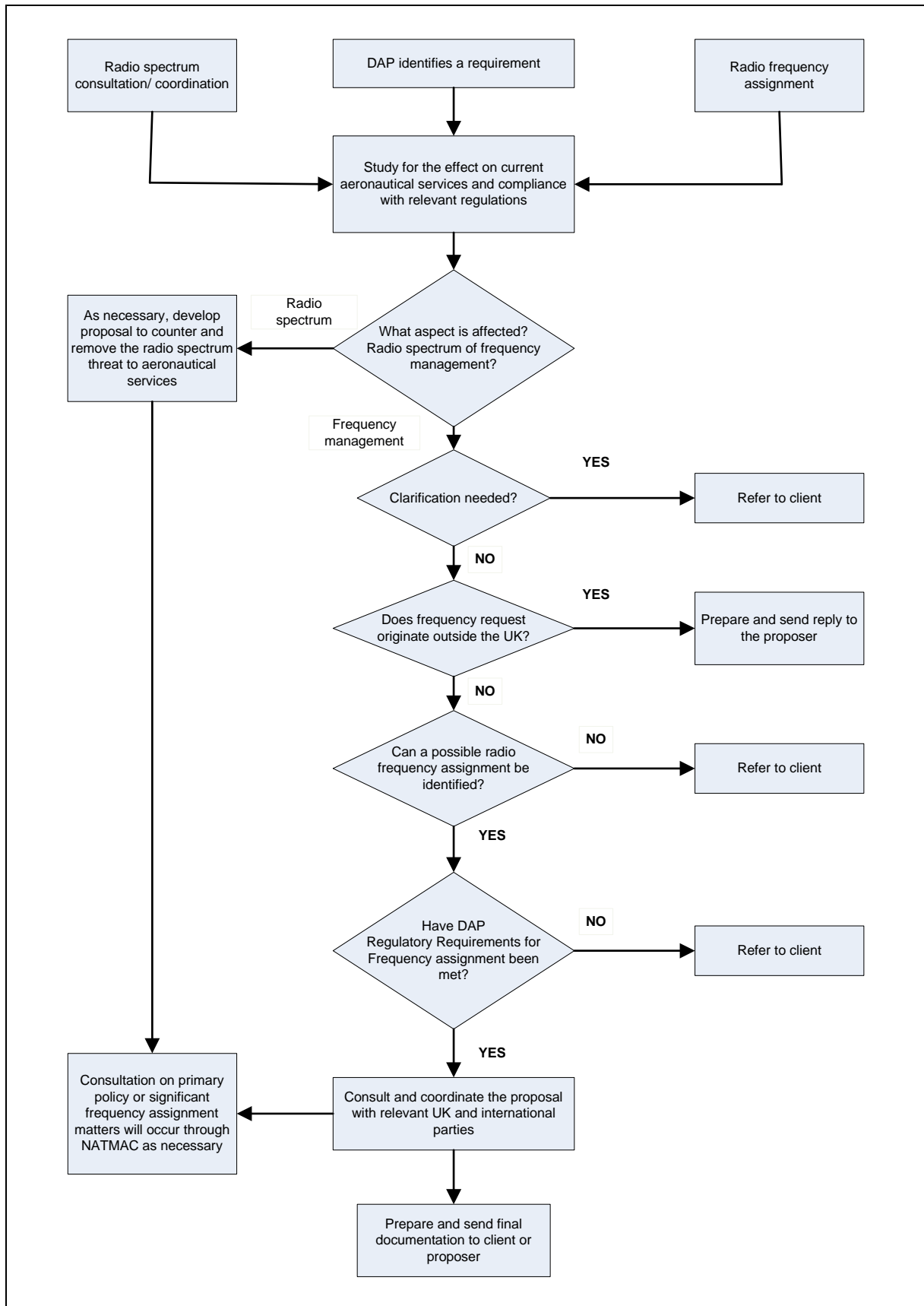
ATSD,  
Safety Regulation Group,  
Aviation House,  
Gatwick Airport South,  
RH6 0YR.

Ofcom  
Riverside House  
2a Southwark Bridge Road  
London  
SE1 9HA

### **Annexes**

1. Diagram of Frequency Assignment and Radio Spectrum Management Process.
2. Guidelines for Frequency Assignment and Radio Spectrum Management Process.

# Annex 1 Frequency Assignment and Radio Spectrum Management Process



## **Annex 2 Guidelines for Frequency Assignment and Radio Spectrum Management Process**

### **Aim**

- 1 The aim of this document is to provide guidance to the Frequency Assignment and Radio Spectrum Management process. Customers are to use these Guidelines as the basis for all proposals for new frequency assignments or proposals for changes to the management of existing frequency bands allocated for aeronautical use.

### **Introduction**

- 2 Radio frequency spectrum is a finite and scarce resource. It requires day to day management and careful planning for the long term needs of aviation if present systems are to be efficiently managed, protected and restrictions in the growth of radiocommunications and radionavigation aids are to be avoided.

### **Requesting a Frequency Assignment - Action by Clients**

- 3 Applications for frequency assignments (other than for IFF/SSR) shall be made through the following organisations (see Appendix L for contact addresses):
  - a) For organisations whose frequency assignment requirement(s) would be approved under the Air Navigation Order (ANO) by the CAA Safety Regulation Group (SRG). Applications shall be made via the Wireless Telegraphy Act Licensing Section of the Surveillance and Spectrum Management Department, who will assess the application and forward the request to the frequency manager to carry out the assignment process and to the Air Traffic Standards Department who are responsible for equipment approval under the ANO 2009.
  - b) For military requirements, applications for frequency assignments in bands managed by DAP shall be made via the Defence Spectrum Management team in the MOD Systems Engineering and Integration Group (SEIG), who will assess the application for consistency prior to forwarding it to DAP for assignment.
  - c) Frequency requirements which do not fall under a) or b), but which require a frequency in an aeronautical band managed by DAP, shall be forwarded to DAP. Some of these may relate to applications for test and development frequencies.
- 4 For the assignment of IFF/SSR frequencies, the applicant shall ensure that an application is made to the National IFF/SSR Committee in accordance with CAP 761.

### **Action by DAP**

- 5 Applications received by DAP shall be reviewed to ensure that the application contains sufficient information to allow an assignment to be identified. Where it does not, clarification will be sought.
- 6 Applications will be examined by S & S and a suitable frequency will be assigned where possible, using the methods defined in the DAP Directorate Manual Process A2/9. Where an application can not be approved, the customer will be provided with the reasons.



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## **Proposals for Changes to the Management of the Aeronautical Bands**

- 7 Threats to the continued use of radio spectrum may arise from internal aviation or external sources. Changes to the operational requirement of an existing system or the need for a new system may produce an effect on the efficient usage of the radio spectrum, e.g. changes to the type of service operating in the radio spectrum; change of channelling arrangements; the need for additional spectrum for more services; or a change to the regulatory framework within which services operate. This applies equally to the aeronautical community as to all other users of the radio spectrum.
- 8 Changes to the parameters of an aeronautical system or a frequency band could require different methods of frequency management in the future, therefore it is essential that DAP is aware of proposals of this nature. The actions necessary can then be planned or DAP can give advice on the implications of those changes.
- 9 Proposals of this nature received by DAP shall be reviewed to determine whether action is required and sufficient information is available to enable a reply to be made. Clarification will be sought where necessary.

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## Appendix J SSR Code Allocation Process

### Objective

- 1 To ensure that the allotment of UK SSR codes is effectively managed.

### Scope

- 2 This procedure applies to all UK civil and military code allocation.

### Responsibilities

- 3 **Head of S & S:** responsible for the processes documented in this procedure.
- 4 **S & S staff:** responsible to Head of S & S for processing requests for code allocation and for ensuring the accuracy of the UK SSR Code Allotment Plan and the UK portion of the ICAO EUR Code Allotment List.

### Introduction

- 5 The UK Code Allotment Plan (CAP) is the definitive list of all IFF/SSR code allocations in the UK. It is published in the UK Aeronautical Information Publication (AIP) (ENR 1.6.2). If the CAP were to be incorrectly managed, it is possible that duplication of codes would occur which would cause an increase in both operator and pilot workload and could ultimately have an adverse effect on flight safety (note: duplication of codes is permissible as long as there is sufficient geographic separation between areas of use). It is also important from an international perspective that Eurocontrol and ICAO are kept informed of changes to the UK CAP so that the EUR Air Navigation Supplement (Code Allotment List) can be kept up to date.

### Process

- 6 This process shall be completed in accordance with Annex 1 and the attaching notes.

### Timescales

- 7 Four months notice of requirement is normally required. However, urgent operational requests will be dealt with in as short a timescale as is practicable. In the event of International negotiation being necessary to achieve an allocation, timescales may be considerably lengthened.

## **Related Documents**

CAP 32 (RAC)

UK Aeronautical Information Publication

ICAO EUR Air Navigation Plan

SSR Code Allotment List for the EUR Region

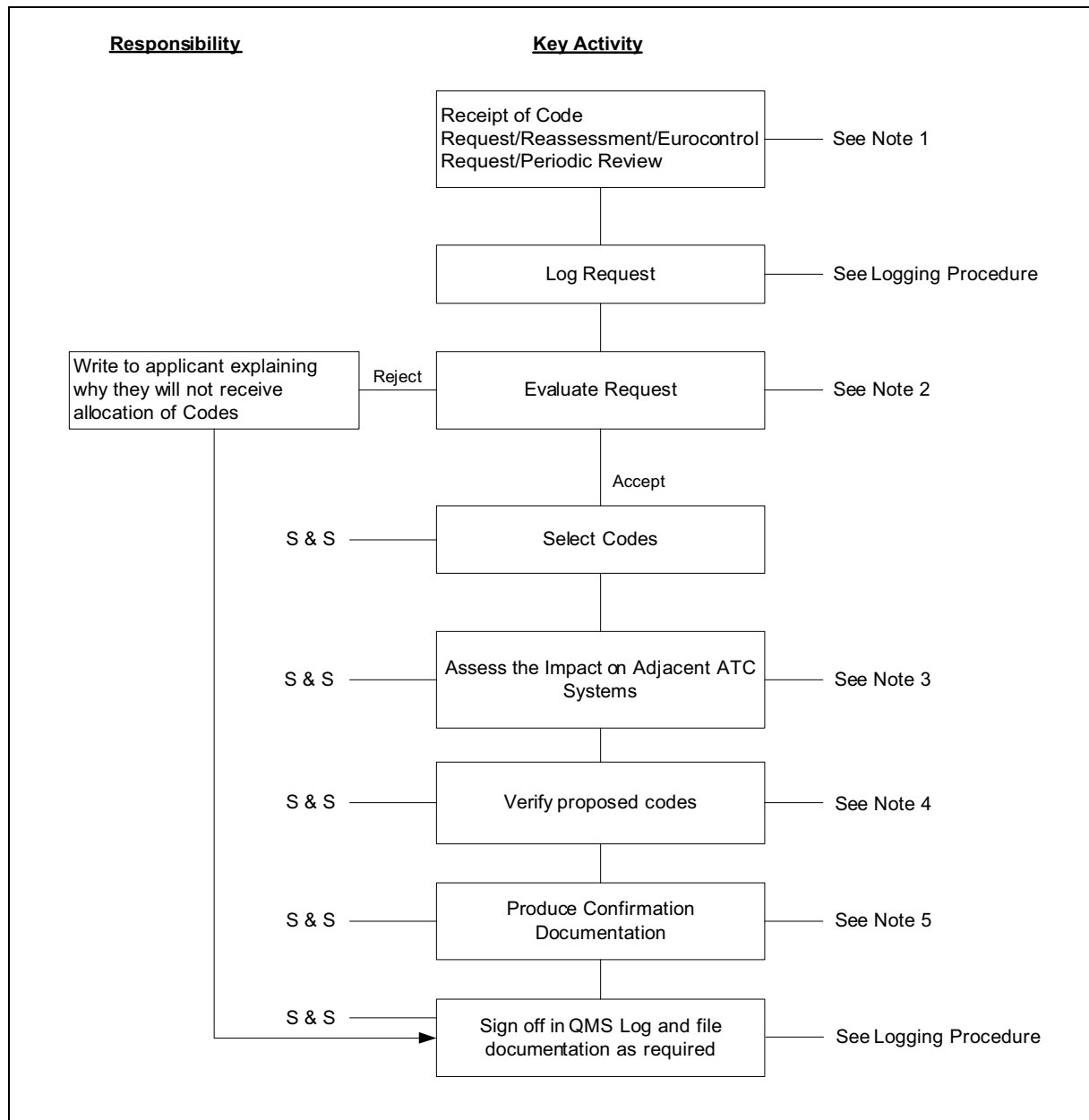
## **Contact Address**

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## **Annex**

1. Diagram of SSR Code Allocation Process

## Annex 1 SSR Code Allocation Process



**Notes:**

1. Changes to the UK CAP can be generated from several sources as follows:
  - Request from owners of a new SSR system for an allocation of codes.
  - Request from an existing code user to either increase or decrease their allocation because of a change of circumstances or operating procedures.
  - Request from Eurocontrol to make a change in order to assist a neighbouring country.
  - In addition to change requests from external agencies, S&S will conduct periodic reviews of the CAP to ensure its continued efficiency.
2. Applications for SSR codes are often unreasonable or have not been properly considered. In particular, there is a growing trend for conspicuity codes to be requested in order to identify traffic which is important but which may not be in receipt of a radar service. It is the responsibility of S&S to evaluate the request to establish whether there is a genuine need for an allocation or increase in the number of codes. Bids for code allocations will need to be supported by a fully justified case for the requirement. S&S may not be able to meet the full requirement. In the event that a conspicuity code is requested and allocated, it must be made clear to the operator, that if the aircraft will not be in receipt of an ATC service at all times, then the code will be published in the AIP as unvalidated and unverified.
3. Once it has been decided that the request is valid and the codes have been selected, the impact of their use on adjacent ATC systems must be evaluated. Because of the complexity of the NATS radar cover and the Code Callsign Distribution system (CCDS), NATS staff at LAC and LTC will be consulted if appropriate to ensure that the change will not adversely affect their systems. In general, there should be a geographic separation of at least 120 nms before the codes are re-used.
4. A change to the UK CAP can occasionally affect neighbouring countries, in which case, the state or country involved must be consulted. In any event, the EUR Region Code Allotment List must be checked to ensure that there are no conflicts.
5. All adjacent agencies shall be informed of the code change if it will affect their operations. Advanced notification of changes should be provided to such agencies to enable them to change their Local Operating procedures and software if necessary. In addition, confirmatory advice should be sent to the originator of the request. For a permanent change to the AIP, CAA Form 933 must be drafted and sent to Aeronautical Information Services (AIS) and other interested parties as appropriate. If it is a temporary request, then a NOTAM describing the change will need to be sent to AIS for onward transmission to all units. Details of all code changes are to be notified to the NATS SSR Engineering Authority by forwarding a copy of the CAA Form 933 in the case of a permanent change, or a copy of the NOTAM if temporary.
6. Major changes which need to be reflected in the EUR Region Air Navigation Plan Supplement, should be sent to the ICAO Paris office and to DEI 2 in Eurocontrol so that the appropriate amendments may be made.

## Appendix K Delegation of Air Traffic Services Provision

### Introduction

- 1 The Director of Airspace Policy is responsible for the approval of airspace arrangements for:
  - a) the delegation of sovereign and/or ICAO contracted airspace to or from another State<sup>1</sup>;
  - b) the delegation of Air Traffic Services (ATS) to or from a UK ATS provider; and,
  - c) the promulgation of the airspace arrangements for delegation of ATS or airspace to the UK from another State.
- 2 The delegation of ATS is carried out in close co-operation and consultation with SRG (ATSD), DfT, NATS Ltd, MoD and other ATS providers concerned and as appropriate, with their foreign counterparts.

### Scope

- 3 This procedure applies to all UK sovereign airspace and to airspace over the high seas contained within the London and Scottish FIR/UIR, and North Atlantic Shanwick area, for which the UK, as a Contracting State to the Chicago Convention, has accepted responsibility for the provision of air navigation services under a Regional Air Navigation Agreement; and to adjacent foreign airspace where the UK has agreed to undertake delegated services for another State.
- 4 NERL is licenced by the UK Government to provide UK and Oceanic En-Route ATS, and offshore ATS to helicopter operations in the North Sea.

### Procedure

- 5 Any request to delegate ATS would normally be initiated by an ATS provider, Eurocontrol, or an adjacent State. Such requests are normally an element of a wider airspace change proposal and as such would form a part of the airspace change process. DAP may propose that an ANSP consider delegation of ATS if safety and/or efficiency would be improved.
- 6 The Project Officer shall lead in all matters relating to delegated ATS and its promulgation, and shall give due consideration to each of the factors listed in Annex 1, before recommending that the Director, Airspace Policy approves the request. The Project Officer is responsible for:
  - a) consulting with those other CAA and DAP sections that could be affected;
  - b) co-ordinating with an adjacent State National Supervisory Authority/Regulator; and
  - c) providing advice to the NATS Licence Management Co-ordination Committee (NLMCC) as necessary.

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1. The delegation of Airspace is a very rare event requiring the approval of HM Government and ICAO, as it may involve changes to FIR boundaries. The UK does not anticipate any such delegation in the foreseeable future.

- 7 NATS is responsible for:
- a) the development of operational procedures and interface arrangements with the foreign State ANSP and other UK ATS providers concerned;
  - b) drafting a Letter of Agreement, compliant with the EUROCONTROL Common Format, Letter of Agreement (LoA) between Air traffic Services Units ASM.ET1.ST015.DEL01/02. [Note: The Eurocontrol Template also includes a Model Agreement on the delegation of ATS, which is a State level agreement intended to authorise the LoAs between service providers. However the UK has not endorsed the use of this model, as DAP is able to determine the arrangement. The Director, Airspace Policy provides the UK NSA signatory of the LoA; and
  - c) applying to the NLMCC for derogation under Condition 2(3) of the NERL Licence as necessary.

### **Single European Sky**

- 8 The Single European Sky (SES) Airspace Regulation includes a requirement for Member States to reconfigure the upper airspace into Functional Airspace Blocks (FABs). The introduction of FABs is significantly more complex than ATS delegation (although they share certain common concepts) and is not covered by this procedure.
- 9 The SES Service Provision Regulation provides a base line whereby the National Supervisory Authority (NSA) of the Member States (the CAA in the UK), certifies ANSPs operating principally in those States. The certification is carried out in accordance with the Common Requirements Regulation and certificates must be mutually recognised by other Member States. Technically the scope of SES coverage is the ICAO EUR and the AFI Regions, but DfT advice is that SES cannot by law, apply beyond Member States' territorial waters. In any event, SES expressly does not apply to North Atlantic Region airspace. In order to provide a service, a certificated ANSP must be designated for this purpose by the Member State responsible for the airspace concerned. In the UK, the designation function is carried out by the CAA as NSA and the provision of ATS in en-route airspace has been designated to NATS. When considering delegated ATS arrangements it is possible:
- a) for the CAA (as NSA) to 'designate' another certified ANSP to provide ATS in the area required; or
  - b) for NATS to 'avail themselves' of the services of another certified ANSP in the area required under Article 10 of the Service Provision Regulation (Option b) will normally be the preferred choice, subject to agreement with the authorities in the other State, which is party to the arrangements).
- 10 In either case this Delegated ATS Procedure is to be followed and Letters of Assurance between respective NSA are to be put in place.

### **Letters of Assurance**

- 11 A key principle associated with Delegated ATS to/from another State is that the provider ANSP will operate to the same requirements in the area of ATS delegation as apply in the adjacent national airspace for which it is responsible. Additionally, its own NSA will regulate the ANSP in the area of Delegated ATS. The Service Provision Regulation requires NSAs to co-operate closely with each other to ensure adequate supervision in the case of cross-border service provision - including arrangements for handling cases of non-compliance with the certification requirements. This accords



with the CAA practice of utilising Letters of Assurance between NSAs to provide the necessary guarantee that ATS will continue to be provided in the airspace for which the UK has responsibility to standards with which the CAA is content. Where NATS is providing ATS under similar arrangements in airspace for which a neighbouring State is responsible, the CAA provides a Letter of Assurance that NATS meets the necessary standards.

- 12 The Project Officer is to develop a draft Letter of Assurance to underpin the proposed Delegation of ATS; this draft should be agreed with CAA Legal Department prior to completion with the NSA of the State concerned. The Director, Airspace Policy is normally the signatory of the UK Letter of Assurance where NATS provides ATS in an adjacent State, although this function may be performed by ADAP1. Signatory arrangements in other States vary; however, and the signatory here, may be a Government official or an NSA representative depending on the local institutional arrangements.

### **Delegated ATS within the UK**

- 13 NATS may seek to delegate the provision of ATS on elements of the ATS route structure to an aerodrome ATS. The principles at Annex 1 should be applied. Close co-ordination with SRG ATSD will be required. In principle the Aerodrome should only provide ATS:
- a) below FL195;
  - b) within the conditions of its Approach/radar rating; and
  - c) within the resources of the Unit without having to suspend existing ATS provision.
- 14 NATS shall be required to retain the capacity to resume provision of ATS in the affected area should the aerodrome ATS be unable for any reason, to provide the ATS. Appropriate contingency procedures must be set out in the LoA between the ANSPs concerned. Prior to recommending approval for the Delegation of ATS to the Director, Airspace Policy, through the ADAP1, the DAP Project Officer is to ensure that contingency procedures are appropriate.

### **NLMCC**

- 15 The UK Government has licensed NERL to provide En-route ATS in the London and Scottish FIR/UIRs and the specified area of the NAT. The CAA, through the NLMCC, monitors and enforces the NERL Licence. Any permanent delegations of ATS involving another ANSP providing ATS within the scope of the NATS Licence require the approval of the NLMCC. Standing delegations during periods of the day or where NATS retains ATS controlling authority of the airspace would not normally require Licence derogation. The NLMCC should, however, be briefed about the arrangements.
- 16 The Project Officer should discuss any proposed Delegation of ATS with ADAP1, as the DAP Representative on the NLMCC, to ensure that 'in principle' the NLMCC will agree it. Thereafter the Project Officer should ensure the NLMCC is briefed as necessary. NERL will be required to apply to the NLMCC for a derogation of its Licence in respect of delegations of ATS in areas where it is responsible for such provision of ATS. Derogations will be granted by NLMCC if satisfied that a Licence requirement for service provision by NERL can be met in accordance with NERL Licence Condition 2 (3).

**Promulgation**

- 17 Promulgation by the States involved must be co-coordinated/harmonised. The DAP Project Officer shall be responsible for timely promulgation of the delegation of ATS in the appropriate UK documents.

**Contact Address**

- 18 Controlled Airspace Section,  
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**Annex**

1. Factors to be considered when authorising the delegation of ATS.

## **Annex 1      Factors to be considered when authorising the delegation of ATS**

- 1      Does the delegation accord with UK policy?
- 2      Does it benefit UK aviation? Even if no benefit to UK aviation is identifiable the delegation may be justified if factor 3 applies.
- 3      Is the overall provision of ATS more efficient?
- 4      Will the new interface procedures be safe, efficient and effective? This will require an assessment of how they meet the DAP Regulatory Requirements, given at B1/2.
- 5      Do adequate arrangements exist for State aircraft and other airspace users? This will require MoD agreement.
- 6      It is a State's responsibility to provide SAR, however responsibility for Alerting Action is normally that of the ATS provider. This will require a specific agreement.
- 7      Is there a suitable review or termination agreement?
- 8      Incident reporting procedures are to be agreed between appropriate regulatory authorities and the procedure should be stated in the letter of assurance from the NSA responsible for the provision of ATS.
- 9      The SES Common Requirements regulation requires ANSPs to be certificated. Any delegated ATS arrangements should ensure that the ANSPs which is subject to certification under SES has been appropriately certificated and that arrangements are in place to ensure on going compliance with the SES Common Requirements. They should also address the handling of cases of non-compliance with the Common Requirements.
- 10     It should be noted that in the context of one ANSP availing itself of the services of another ANSP under SES, it is required that the agreement between them covers the allocation of any liability between them<sup>1</sup>. This may not have been addressed in the original certification of the providers and will need to be considered in the delegation arrangements.
- 11     Have appropriate arrangements been established to ensure compliance with other regulatory requirements which are either not the subject of SES and/or in respect of ANSPs which are not the subject of SES?

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1. Common Requirements Regulation Annex 1 paragraph 7

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## Appendix L 24-bit Aircraft Address Allocation

### Objective

- 1 To ensure that the allocation of UK 24-bit Aircraft Addresses is effectively managed and to clarify the responsibilities of UK bodies permitted to allocate 24-bit AAs, and to provide guidance on their assignment and use.

### Scope

- 2 This procedure applies to all UK civil and military 24-bit Aircraft Address allocation.
- 3 There are 16,777,214 addresses available for use. The International Civil Aviation Organisation (ICAO) has allotted blocks of 24-bit AAs to individual States, Registries, or common mark registering authorities for assignment as prescribed in the Appendix to Chapter 9, Part I, Volume III, ICAO Annex 10. The UK allocation consists of 262,144 24-bit AAs, in the series 400000 to 43FFFF (hexadecimal format).

### Responsibilities

- 4 **Head of S&SM:** responsible for the processes documented in this procedure.
- 5 **SS3:** responsible to Head of S&S for management of UK policy for: maintenance of the UK master allocation plan; granting authority for other nominated parties to allocate 24-bit AAs for specific purposes; approval of MOD policy on the rotation of 24-bit AAs by military aircraft. 24-bit AA allocation as described in paragraph 9; and oversight to ensure all nominated parties allocate 24-bit AAs in accordance with the requirements set out by ICAO and additional UK-specific requirements.
- 6 **Aircraft Registration:** nominated party responsible for the allocation of 24-bit AAs to all civil aircraft in the UK. Every aircraft is automatically assigned a 24-bit AA as part of the process to register an aircraft. Aircraft Registration is also responsible for the allocation of 24-bit AAs to classes of civil aircraft that are not required to be UK registered. Aircraft Registration assign 24-bit AAs to these aircraft on an ad hoc airframe-by-airframe basis, except in the circumstances described in Annex 1, paragraph 2 b).
- 7 **Air Safety Support International (ASSI):** nominated party responsible for the allocation of 24-bit AAs to civil aircraft registered ('VP-' and 'VQ-') in the UK Overseas Territories. ASSI assigns 24-bit AAs on an airframe-by-airframe basis.
- 8 **Director of Civil Aviation for the Isle of Man (IoM):** nominated party responsible for the allocation of 24-bit AAs to IoM registered ('M-') aircraft. The IoM assigns 24-bit AAs on an airframe-by-airframe basis.
- 9 **S&SM section:** is responsible for the allocation of 24-bit AAs for all other purposes in the UK. This includes, although not exhaustively, the assignment of permanent 24-bit AAs to military aircraft; A-SMGCS systems (including air-side vehicles), other multilateration systems, Far-Field Monitors, Test Research & Development (TRD) systems and to ground elements of satellite communications systems

## Overview

- 10 The provision of Air Traffic Services (ATS) in a Mode S environment relies on a unique ICAO 24-bit Aircraft Address (AA) for selective interrogation of individual aircraft, aerodrome vehicles, obstacles or fixed Mode S detection devices. The 24-bit AA is also an essential element of the airborne collision avoidance system, ACAS II.
- 11 In addition to conventional airborne surveillance of aircraft using SSR and ACAS, 24-bit AAs are also used by other systems both in the air and on the ground. These include Advanced-Surface Movement Ground Control Systems (A-SMGCS), Far Field Monitors (site monitors for Mode S SSRs), Emergency Locator Transmitters (ELTs), civil data links and satellite communications systems such as INMARSAT.

## Process

- 12 This process shall be completed in accordance with Annex 1.

## Timescales

- 13 Four weeks notice of requirement is normally required. However, urgent operational requests will be dealt with in as short a timescale as is practicable.

## Related Documents

Appendix to Chapter 9, Part I, Volume III, ICAO Annex 10

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## Annex

1. 24-bit Aircraft Address Allocation Process

## Annex 1 24-bit Aircraft Address Allocation Process

### Process

- 1 Where S&SM have nominated specific parties to assign 24-bit AAs, the pool from which they may assign is detailed in the master allocation plan held by S&SM; nominated parties shall not assign any 24-bit AAs out with their pool. Furthermore, each nominated party shall ensure that all 24-bit AAs are assigned in accordance with the rules and conditions set out by ICAO<sup>1</sup> and additional UK-specific requirements set out by the Directorate of Airspace Policy CAA. These are detailed in paragraphs 2 and 3 respectively.
- 2 ICAO Requirements. Aircraft addresses shall be assigned to aircraft in accordance with the following principles:
  - a) at any one time, no address shall be assigned to more than one aircraft with the exception of aerodrome surface vehicles on surface movement areas. If such exceptions are applied by the States of Registry, the vehicles which have been allocated the same address shall not operate on aerodromes separated by less than 1000 km;
  - b) only one address shall be assigned to an aircraft, irrespective of the composition of the equipment onboard. In the case when a removable transponder is shared by several light aviation aircraft such as balloons or gliders, it shall be possible to assign a unique address to the removable transponder. The registers 08<sub>16</sub>, 20<sub>16</sub>, 21<sub>16</sub>, 22<sub>16</sub> and 25<sub>16</sub> of the removable transponder shall be correctly updated each time the removable transponder is installed in any aircraft;
  - c) the address shall not be changed except under exceptional circumstances and shall not be changed during flight;
  - d) when an aircraft changes its State of Registry, the new registering State shall assign the aircraft a new address from its own allocation address block, and the old aircraft address shall be returned to the allocation address block of the State that previously registered the aircraft;
  - e) the address shall serve only a technical role for addressing and identification and shall not be used to convey any specific information; and
  - f) the addresses composed of 24 ZEROs or 24 ONEs shall not be assigned to aircraft.
- 3 UK Requirements. Further to the ICAO requirements set out in paragraphs 2.1 to 2.6, the following additional 24-bit AA assignment requirements shall apply:
  - a) When an aircraft changes its State of Registry (or in the case of non-registered aircraft ceases to be based in the UK) the relinquished previously assigned 24-bit AA shall NOT re-enter the pool available for allocation. Should an aircraft leave the State of Registry and subsequently return to the State of Registry at a later date the aircraft will revert to its previously assigned 24-bit AA.
  - b) The UK does not permit the exception at paragraph 2.1 that allows re-use of the same 24-bit AA on aerodrome surface vehicles where aerodromes are separated by at least 1000 km. There shall be no re-use of 24-bit AAs<sup>2</sup>.

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1. Appendix to Chapter 9, Part I, Volume III, of Annex 10 to the Chicago Convention on International Civil Aviation.

2. The RN has been allocated, and is exceptionally permitted to re-use, a single 24-bit AA for back-to-back checks of Mode S functionality of RT1018 interrogators onboard ships. RN ships are not permitted to conduct back-to-back validation simultaneously. RN ships shall not use the allocated 24-bit AA for operational use.

- c) If any aircraft with an assigned address changes ownership or registration, but remains on the State registry, the assigned 24-bit AA shall remain with the aircraft; no new assignment will be made.
  - d) Nominated parties shall maintain comprehensive records of 24-bit AAs assigned to aircraft. These shall be auditable, such that in the circumstances described in paragraph 3.3, the history of the assignment to that aircraft can be followed.
  - e) The mechanisms employed for assignment shall not permit duplication of 24-bit AAs under any circumstances.
- 4 It is a requirement, that as part of the maintenance schedules for Mode S transponders, assigned 24-bit AAs are validated. There are published national and European documents describing these requirements; depending on the aircraft and its installation:
- a) Aircraft equipped with an EHS transponder, 24-bit AAs should be validated in accordance with EASA AMC 20-13<sup>1</sup>.
  - b) For aircraft equipped with an ELS transponder, 24-bit AAs should be validated in accordance with JAA TGL 13 Revision 1<sup>2</sup> (to be re-issued as EASA AMC 20-18).
  - c) For aircraft that fall under the Light Aircraft Maintenance Programme (LAMP), 24-bit AAs should be validated in accordance with CAP 766<sup>3</sup> (Aeroplanes) and CAP 767<sup>4</sup> (Helicopters).
- 5 Occasionally, errors in the implementation of assigned 24-bit AAs onboard aircraft are identified. In such cases it is the responsibility of the nominated party that assigned the 24-bit AA to the aircraft to take appropriate follow-up action to ensure that the aircraft is not permitted to operate further with the incorrect 24-bit AA and that the correct address is programmed immediately thereafter.
- 6 Periodically, nominated parties should conduct validation exercises to ensure all of the assignment criteria are adhered to, this should include Standard Operating Procedures (SOPs) for the assignment of 24-bit AAs. Copies of all nominated parties' SOPs should be provided to S&SM whenever they are updated. Furthermore, in order to fulfil its remit for oversight of the assignment of 24-bit AAs, S&SM may choose to audit nominated parties. In such circumstances, prior written notice will be provided.
- 7 24-bit AAs assigned to civil aircraft for use with a Mode S transponder may also be used in aircraft Emergency Locator Transmitter (ELT) systems<sup>5</sup>. Further details are available in AIC 57/2003 (Pink 55). However, it should be noted that operators who choose to use their Mode S transponder 24-bit AA as the unique identification for their ELT are still required to register it separately with the UK Mission Control Centre (UKMCC) in accordance with the AIC.

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1. EASA ED Decision 2006/12/R - AMC 20-13 Certification of Mode S Transponder Systems for Enhanced Surveillance, paragraph 14.

2. JAA Administrative & Guidance Material TGL13 - Certification of Mode S Transponder Systems for Elementary Surveillance, paragraph 12.

3. CAA Civil Aviation Publication (CAP) 766 Light Aircraft Maintenance Programme – Aeroplanes, Section 6, Task No 106.

4. CAA Civil Aviation Publication (CAP) 767 Light Aircraft Maintenance Programme – Helicopters, Section 6, Task No 98.

5. It should be noted that 24-bit AAs cannot be used as a unique serial identifier for Personal Locator Beacons (PLBs) as these are worn on the body and not associated with a specific aircraft.