



**CIVIL AVIATION ADVISORY PUBLICATION**

**CAAP 41**

**AIRSPACE CHANGE MANAGEMENT PROCESS**

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**INFORMATION AND POLICY REGARDING THE PROCESS TO FOLLOW WHEN  
PROPOSING A CHANGE TO AIRSPACE**

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## RECORD OF AMENDMENTS / DATE OF APPLICABILITY

<b>Issue/Revision</b>	<b>Date of issue/revision and date of applicability</b>
Issue Initial	August 2010
Issue 01/Revision 01	January 2013
Issue 02/Revision 00	September 2014
Issue 03	Date of issue: 05 <sup>th</sup> July 2017 Date of applicability: 06 <sup>th</sup> August 2017



## HIGHLIGHTS OF CHANGES

Issue 03	<ol style="list-style-type: none"><li>1. Rewording of the introduction paragraph to add GCAA as the competent Authority with regards to Airspace change in the UAE</li><li>2. Addition of CAR Par VIII Subpart 6 CAR 6.21 reference in the introduction paragraph</li><li>3. Replacement of ANA department by GCAA across the document</li><li>4. Renumbering of the document due to the changes</li><li>5. Introduction of e-service in paragraph 3.1 and removal of ANF-ATM forms</li><li>6. Introduction of CAAP 25 operational and technical approval in paragraph 9.6</li><li>7. Clarification on when CAAP 25 operational approval is required and when it is not required</li></ol>
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## TABLE OF CONTENTS:

RECORD OF AMENDMENTS / DATE OF APPLICABILITY .....	2
HIGHLIGHTS OF CHANGES.....	3
TABLE OF CONTENTS: .....	4
1. INTRODUCTION .....	5
2. PURPOSE .....	5
3. STATUS OF THIS CAAP .....	5
4. APPLICABILITY .....	5
5. REFERENCES .....	5
6. DEFINITION OF AIRSPACE CHANGE .....	5
7. RESPONSIBILITIES .....	6
8. WORK FLOW.....	6
9. OUTCOMES.....	7
9.1. PHASE 1 – THE EXPLORATORY MEETING .....	7
9.2. PHASE 2 – CONCEPT SUBMISSION.....	8
9.3. PHASE 3 – APPLICATION OF CRITERIA AND DRAFT AIP DOCUMENTATION.....	8
9.4. PHASE 4 – SUBMISSION OF PROPOSAL .....	8
9.5. PHASE 5 – SUBMISSION EVALUATION .....	8
9.6. PHASE 6 – FINAL APPROVAL.....	8
10. DOCUMENTATION REQUIRED .....	9
10.1. PHASE 1 – EXPLORATORY MEETING .....	9
10.2. PHASE 2 – CONCEPT SUBMISSION MEETING .....	9
10.3. PHASE 3 – SAFETY ASSESSMENT.....	9
10.4. PHASE 4 - FINAL SUBMISSION .....	9



## 1. INTRODUCTION

Pursuant to Federal Act 20 (1991) and Federal Act 04 (1996), the GCAA is the competent authority with regards to Airspace Change in the UAE. CAR Part VIII Sub Part 6 CAR 6.21 defines the process that needs to be followed when designing Instrument Approach Procedures, airspace or routes.

## 2. PURPOSE

2.1 The purpose of this CAAP is to provide guidance and descriptions to stakeholders wishing to submit a proposal to change either airspace structure or related operational procedures. For the purpose of this CAAP, Proponent is defined as “a person, group of persons or organisation with the capability of proposing change to the airspace structure.”

2.2 This CAAP:

- a) Defines what is considered as an airspace change and expands on the CAR 6.21 requirements of when changes to airspace are required to be notified to GCAA;
- b) Outlines the control documentation against which a proposal should be assessed;
- c) Assigns responsibilities to both the Proponent and the GCAA;
- d) States what work is to be performed and how it should be done;
- e) Explains the time scale for the review by GCAA;
- f) Details the documentation required from the Proponent; and
- g) Outlines the process to be followed by GCAA.

## 3. STATUS OF THIS CAAP

This is the third issue of CAAP 41 and is dated June 2017. It will remain current until withdrawn or superseded.

In addition to CAAP 41 Publication approval, proponents will need to obtain a CAAP 25 Operational approval, and where applicable a CAAP 25 technical approval where terrestrial based navigation aids are involved.

## 4. APPLICABILITY

This guidance CAAP applies to all UAE ANSP's who have a need to change the structure, design or usage of airspace with which they have an operational relationship.

## 5. REFERENCES

The proposal shall be assessed against the following documents during the assessment process.

- a) UAE Civil Aviation Law
- b) GCAA Law
- c) UAE Airspace Policy
- d) UAE ATM Strategic Plan 2012-2030.
- e) CAR PART VIII Sub part 1, 2, 3, 4 and 6.
- f) ICAO DOC 7030 – Regional Supplementary Procedures
- g) ICAO DOC 7474 – Global Air Navigation Plan

## 6. DEFINITION OF AIRSPACE CHANGE

Airspace change is defined as follows:

- a) the development of, or change to, SID/STAR/Routes/Instrument approach procedures (IAP)/Holding Patterns,



- b) Realignment of current CTA/CTR,
- c) Delegation of ATS within UAE Airspace to another State or delegation from another State to the UAE to provide ATS in portions of their airspace,
- d) Establishment of, or changes to, the lateral or vertical dimensions of Special Use Airspace (SUA), whether temporary or permanent and whether for civil or military purposes,
- e) Development of Visual Reporting Points (VRPs),
- f) Development or changing of VFR Transit Routes,
- g) Change in provision of ATS within a given volume of airspace,
- h) Change in airspace classification for a given volume of airspace.

## 7. RESPONSIBILITIES

The Proponent is responsible for:

- a) Ownership of the proposed change,
- b) Obtaining conceptual approval of the proposed Airspace change via GCAA e-services
- c) Submitting the required CAAP 41 Application through the GCAA e-services,
- d) Identifying the affected stakeholders,
- e) Conducting effective consultation with stakeholders on operational and environmental matters,
- f) Obtaining letters of no objection (LONO) from all affected stakeholders,
- g) Determining the preferred effective date for the change, to allow the appropriate time line for the regulatory review to be determined.
- h) Arranging an exploratory meeting with the GCAA to determine the impact the proposed change will have on current airspace and usage,
- i) Arranging an "initial submission" meeting with the GCAA at which the completed documentation is presented and a timetable for review is decided,
- j) Making any changes to the proposal required by the GCAA,
- k) Providing additional information/ resources (meetings) as requested by the GCAA
- l) Identifying what 5 letter name codes are required in the proposal, in accordance with the requirements of Appendix 2 to Annex 11.

The GCAA is responsible for:

- a) Evaluating the airspace change process,
- b) Guiding the proponent on the application of the process, and the need to fulfil operational, environmental and consultation requirements,
- c) Scrutinizing the proposal against regulatory requirements,
- d) Making transparent and accountable decision making,
- e) Fulfilling statutory requirements with respect to airspace,
- f) Providing final sign-off either approving or rejecting the proposal.

## 8. WORK FLOW

The work flow described below is predicated by the AIRAC cycle submission cut-off date required for the effective date preferred by the proponent and the complexity of the proposal. The final approval/rejection by the GCAA will be notified not less than 5 working days prior to AIS cut-off date. The proposal works back from the AIS cut-off date.



Phase 1	Exploratory meeting between Proponent and GCAA at which proposal is discussed, Stakeholders identified, documentation required and time scale agreed.
Phase 2	Proponent develops a conceptual design and submits to the GCAA for concept approval. Concept will be evaluated against the UAE ATM Strategic plan for efficiency as well as CAR PART VIII Subpart 1, 2, 3, 4, 6 for technical compliance. During this phase LONO from all affected stakeholders must be submitted stating no objection to the proposed concept.
Phase 3	Application of PANS-OPS criteria, development of draft AIP charts and draft AIP text and where applicable draft AIRINC 424 coding tables. Proponent develops the safety assessment for moderate and major changes.
Phase 4	Submission of proposal through GCAA e-services.
Phase 5	Evaluation of submission. A minimum of 10 working days is required for the assessment of a submission. More time is required for more complex proposals and the time requirement would be discussed and agreed during Phase 1.
Phase 6	Acceptance or rejection of the proposal by the GCAA

*Note: Any airspace, flight procedure or route design must be carried out with reference to CAR PART VIII Subpart 6 – the Proponent shall adhere to this requirement and consult the GCAA for obtaining the list of organisations certified accordingly; however if the Proponent elects to contract an organisation not in this list – the contracted organisation must apply for a IFPD Certificate as per CAR PART VIII Subpart 6.*

## 9. OUTCOMES

### 9.1. Phase 1 – The Exploratory Meeting

The Exploratory Meeting shall:

- Determine the feasibility of the proposal;
- Determine the degree of safety analysis to be carried out by assessing the size and safety magnitude of the proposal, categorizing it as Minor, Moderate or Major;

#### NOTE:

- Minor Change: Amendment to existing procedures that does not affect neighbouring ANSP's. Minor would require the least amount of supporting documentation and consultation, both of which would be agreed at the exploratory meeting.*
- Moderate Change: Amendment to existing procedures, ATS routes and/or airspace that affects one or more neighbouring ANSP's, or the introduction of RNP-AR Instrument Approach Procedures. Moderate would require at least a safety assessment from the Proponent containing details of:*
  - actions required,*
  - the scope of the change,*
  - the assumptions made,*
  - responsible persons*
  - consultation activities*
  - safety assurance actions*
- Major Change: Introduction of new procedures, new airspace or new ATS routes that affects neighbouring ANSP's and/or neighbouring FIR's. Major would require a safety assessment from the Proponent supporting the proposal consisting of:*
  - a complete record of the analysis performed showing what was done, by whom and when.*



- ii. *the operational content will be similar to the items required in the safety statement, validating the assumptions made and recording the outcomes of the safety assurance processes such as a HAZID or similar analysis.*
- iii. *A cost benefit analysis/impact assessment*
- iv. *A proposed time for a post implementation review to take place (within 12 months of implementation.)*

- c) Determine the scope and degree of consultation required
- d) Determine the documentation required from the Proponent
- e) Determine the requirements for a CAAP 25 Technical and/or Operational approval

9.2. Phase 2 – Concept submission

- a) Review the conceptual design
- b) Verify stakeholder involvement and LONO
- c) Verify concept compliance with relevant CAR and UAE ATM Strategic plan
- d) GCAA acceptance of conceptual design allowing proponent to progress to Phase 3 – Application of criteria and draft AIP documentation

9.3. Phase 3 – Application of criteria and draft AIP documentation

- a) Proponent develop a safety assessment for moderate and major changes

9.4. Phase 4 – Submission of proposal

- a) An applicant for an airspace change shall provide all the information required
- b) Review the proposal for completeness

9.5. Phase 5 – Submission evaluation

- a) Evaluation of the proposal by the GCAA

9.6. Phase 6 – Final approval

- a) Approval or rejection of the proposal by the GCAA
- b) Approval will generate a letter of approval for publication, which the proponent needs to include in the submission to the GCAA for AIP changes, together with the AIP Charts, text and AIRINC 424 database coding where applicable
- c) Prior to entry in operations of the new airspace change, the proponent shall ensure that the relevant CAAP 25 Operational and, where applicable, CAAP 25 Technical approval are obtained through the GCAA e-services.

**NOTE**

1. *CAAP 25 Operational Approval for new or amended Airspace or Flight Procedures are required in the event that the change requires an amendment to ATC processes or procedures. A change not requiring a CAAP 25 Operational Approval but requiring a documentation change, the ATS Unit shall communicate via e-mail with the dedicated GCAA Principal Inspector.*
2. *For example, CAAP 25 Operational Approval is required when:*
  - i. *ATC operational processes and/or procedures requires an amendment due to the change;*
  - ii. *When implementing a new, or amending an existing, system or equipment;*
  - iii. *A change to the type of service provided.*
3. *For example, CAAP 25 Operational Approval is NOT required when:*





i. *There is an amendment to Documentation only (LOA, SI/TI, MOU etc.)*

## 10. DOCUMENTATION REQUIRED

Documentation to be supplied shall be agreed at the exploratory meeting. All supporting documentation shall be provided in format and media acceptable to the Authority and they shall consist of some or all of the following elements:

### 10.1. Phase 1 – Exploratory Meeting

- a) A justification for the change proposed which should contain an explanation of the proposed change and why it is required.
- b) An analysis of the options available to the Proponent. The options, including retaining the status quo, should all be identified.
- c) A list of all stakeholders to be consulted and the planned consultation process. The GCAA may require additional stakeholders be consulted.
- d) ATC Fast time/Real time simulation, where applicable
- e) Flight Simulation, where applicable
- f) Flight Validation, where applicable

### 10.2. Phase 2 – Concept Submission meeting

- a) Ensure conceptual approval request of the proposed airspace change is submitted via e-service. A description of the proposed airspace both written and graphical that shows both the current airspace and the proposed changes. The description should include:
  - i. The type of route or airspace; e.g. airway, CTR, SID etc.
  - ii. The hours of operation if not H24,
  - iii. Connectivity with adjacent airspace or route structure,
  - iv. Supporting information on traffic levels both present and forecast,
  - v. Evidence of consultation with and LONO from affected ANSPs and stakeholders,
  - vi. Evidence that the proposal is compliant with GCAA CAR, and UAE airspace policy,
  - vii. The proposed airspace classification,
- b) Evidence of infrastructure supporting the proposal including:
  - i. CNS facilities required,
  - ii. Contingency provisions
  - iii. SSR code allocation requirements
  - iv. 5LNC requirements
- c) An assessment of the operational impact of the proposal on airspace users including the effect on general aviation, military traffic and airports.
- d) An assessment of the economic benefit/cost involved for stakeholders in the event of a Major Change.

### 10.3. Phase 3 – Safety Assessment

- a) Submit a safety assessment where applicable

### 10.4. Phase 4 - Final Submission

- a) A safety assessment of the proposed change, either by the Proponent or jointly with other affected stakeholders in the event of a Moderate or Major Change.



- b) A statement that the proposal complies with the UAE ATM Strategic Plan.
- c) Evidence that the procedure was designed by an organization certified by GCAA
- d) Procedure design documentation as defined in CAR Part VIII Subpart 6
- e) Ground validation report as defined in CAR Part VIII Subpart 6
- f) Draft AIP Charts, text and AIRINC 424 database coding where applicable
- g) Evidence that the proposal:
  - i. Contains normal operation of aircraft within controlled airspace,
  - ii. Meets ATM system requirements including the interfaces with adjacent airspace ATM systems,
  - iii. Shall be promulgated according to the AIRAC cycle.
- h) An assessment of the environmental impact of the proposal (applicable to SID/STAR and PBN instrument approach procedures) as defined in the UAE Green Growth Strategy.
- i) The final, signed LoA/SI/TI or MoU will need to be provided to the GCAA via the e-services CAAP 25 process prior to the entry into operational service.
- j) Evidence of the consultation carried out and the outcome of the consultation (LONO).