



CIVIL AVIATION ADVISORY PUBLICATION

CAAP 41

AIRSPACE CHANGE MANAGEMENT PROCESS

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

CONTENTS

Para Title	Page
CONTENTS	1
1. INTRODUCTION	1
2. PURPOSE	2
3. STATUS OF THIS CAAP	2
4. APPLICABILITY	2
5. DEFINITION OF AIRSPACE CHANGE	2
6. CONTROLS	3
7. RESPONSIBILITIES	3
8. MEETING OUTCOMES	4
9. WORK FLOW	5
10. DOCUMENTATION REQUIRED	7

1. INTRODUCTION

The Director General of the GCAA issued a directive to all UAE Air Navigation Service Providers (ANSPs) dated 15 February 2010, reference number 27600/45389, and this CAAP is provided as guidance to ANSPs in accordance with the requirements of this letter. This CAAP is a guidance material only. Documents and requirements listed in this CAAP should be considered as minimum unless specified by the ANA section of the GCAA.

2. PURPOSE

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.”

The CAAP:

- a) Expands on the letter’s definition of when changes to airspace are required to be notified to the Air Navigation and Aerodromes (ANA) section of the Aviation Security and Infrastructure department,
- b) Outlines the control documentation against which a proposal shall be assessed,
- c) Assigns responsibilities to both the Proponent and the ANA section,
- d) States what work is to be performed and how it should be done,
- e) Explains the time scale for the review by ANA,
- f) Details the documentation required from the Proponent,
- g) Outlines the process to be followed by ANA.

3. STATUS OF THIS CAAP

This is the first edition of CAAP 41 and is dated 9th of August 2010. It will remain current until withdrawn or superseded.

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. DEFINITION OF AIRSPACE CHANGE

5.1 Airspace change, for the purposes of this CAAP, 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) Change in provision of ATS within a given volume of airspace.

6. CONTROLS

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

- (a) The UAE Civil Aviation Law and GCAA Law,
- (b) GCAA CAR Part/s relating to Airspace,
- (c) UAE Airspace Plan,
- (d) ICAO Documentation including:
 - i. The Global ATM Operational Concept and,
 - ii. The Global Air Navigation Plan (GANP)

6.2 Assessment

Proposals shall be assessed by ANA against the above controls during the safety analysis process.

7. RESPONSIBILITIES

7.1 The Proponent is responsible for:

- (a) Ownership of the proposed change,
- (b) Submitting an ACP form to ANA
- (c) Identifying the affected stakeholders,
- (d) Conducting effective consultation on operational and environmental matters,
- (e) Determining the preferred effective date for the change, to allow the appropriate time line for the regulatory review to be determined.
- (f) Arranging an exploratory meeting with the ANA section to determine the impact the proposed change will have on current airspace and usage,
- (g) Arranging an “initial submission” meeting with the ANA at which the completed documentation is presented and a timetable for review is decided,
- (h) Making any changes to the proposal required by the ANA section,
- (i) Providing additional information/ resources (meetings) as requested by ANA
- (j) Identifying what 5 letter name codes are required in the proposal, in accordance with the requirements of Appendix 2 to Annex 11.

7.2 The ANA section is responsible for:

- (a) The airspace change process
- (b) Guidance to the proponent on the application of the process, and the need to fulfill operational, environmental and consultation requirements
- (c) Scrutinizing the proposal against regulatory requirements
- (d) Determining who will review the proposal
- (e) Making transparent and accountable decision making

- (f) Fulfilling statutory requirements with respect to airspace.
- (g) Director of Aviation Security & Infrastructure is responsible for final sign-off either approving or rejecting the proposal

7.3 The ANA Project Leader is responsible for:

- (a) Acting as the focal point for all correspondence with the Proponent,
- (b) Compiling all elements of the assessment,
- (c) Ensuring guidance is provided as required to the Proponent.

8. MEETING OUTCOMES

8.1 The Exploratory Meeting shall:

- (a) Determine the feasibility of the proposal,
- (b) 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.
 - i. Minor would require the least amount of supporting documentation and consultation, both of which would be agreed at the exploratory meeting.
 - ii. Moderate would require at least a safety assessment from the Proponent containing details of:
 - a. Actions required,
 - b. the scope of the change,
 - c. the assumptions made,
 - d. responsible persons
 - e. consultation activities
 - f. safety assurance actions
 - g. training requirements
 - iii. Major would require a safety assessment from the Proponent supporting the proposal consisting of :
 - a. A complete record of the analysis performed showing what was done, by whom and when.
 - b. 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.
 - c. A cost benefit analysis / impact assessment
 - d. 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.

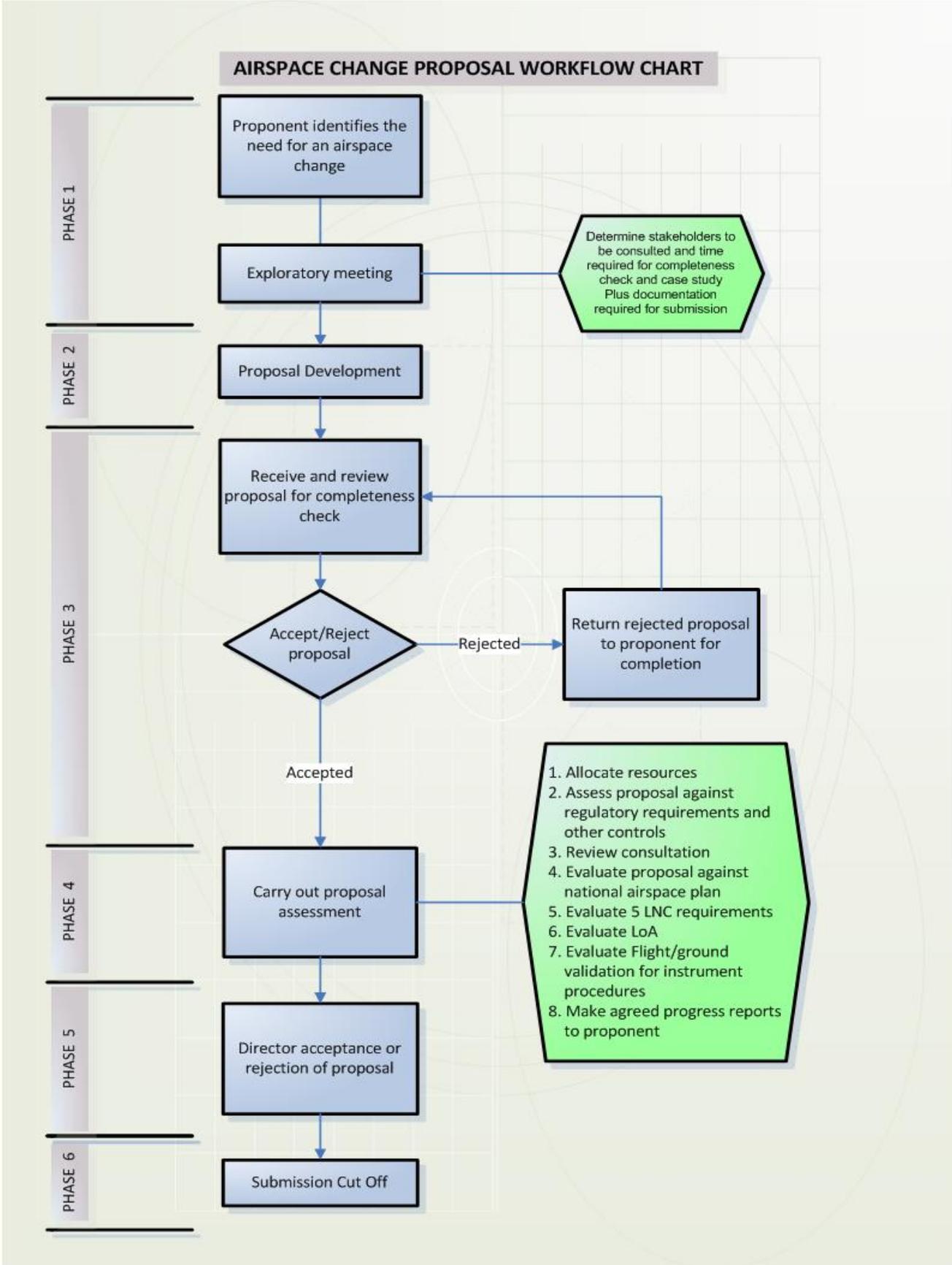
8.2 The Initial Submission Meeting shall:

- (a) Receive the proposal for completeness review,
 - (b) Determine the time scale required for the regulatory review of the proposal,
 - (c) Determine the reporting interval for progress reports to the Proponent,
- 8.3** Subsequent submission meetings shall be held as required. If the completeness check requires further information from the Proponent, this shall be submitted and accepted before the safety assessment can commence

9. WORK FLOW

- 9.1** 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. ANA final approval / rejection 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 at which proposal is discussed, Stakeholders identified, documentation required and time scale agreed.
Phase 2	The period of proposal development, consultation and document collation in preparation for final submission of the proposal.
Phase 3	Submission of proposal for completeness check. The time required for this phase will be discussed and agreed during the exploratory meeting.
Phase 4	Safety Assessment. A minimum of 10 working days is required for the assessment of IAPs. More time is required for more complex proposals and the time requirement would be discussed and agreed at the initial submission meeting.
Phase 5	Acceptance or rejection of the proposal by the Director of Aviation Security and Infrastructure.
Phase 6	Submission cut-off date.



10 DOCUMENTATION REQUIRED

10.1 Documentation requirements shall be set at the exploratory meeting and shall consist of some or all of the following elements:

(a) Exploratory Meeting:

- i. A list of all stakeholders to be consulted and the planned consultation process. The GCAA may require additional stakeholders be consulted.
- ii. A justification for the change proposed which should contain an explanation of the proposed change and why it is required.
- iii. An analysis of the options available to the Proponent. The options, including retaining the status quo, should all be identified and a justification provided as to why a particular option was not continued with.

(b) Initial Submission meeting:

- i. A correctly filled ACP form (Attached to this CAAP and soon to be on GCAA Website)
- ii. A description of the proposed airspace both written and graphical showing both the current airspace and the proposed changes. The description should include:
 - a. The type of route or airspace; eg airway, CTR, SID etc.
 - b. The hours of operation if not H24,
 - c. Connectivity with adjacent airspace or route structure,
 - d. Supporting information on traffic levels both present and forecast,
 - e. Evidence of draft LoAs or MoUs with affected ANSPs including any requirements from the consultation process,
 - f. Evidence that the proposal is compliant with ICAO SARPs and UAE airspace policy and regulatory requirements (when developed)
 - g. The proposed airspace classification,
 - h. Evidence that the proponent can provide the resources required to operate the airspace effectively,
 - i. Details of and justification for any delegation of ATS responsibility for the airspace.
- iii. Evidence of infrastructure supporting the proposal including:
 - a. CNS facilities required,
 - b. Contingency provisions
 - c. SSR code allocation requirements
 - d. 5LNC requirements
- iv. An assessment of the operational impact of the proposal on airspace users including the effect on general aviation, military traffic and airports.
- v. An assessment of the economic benefit/cost involved for stakeholders,

- vi. A safety assessment of the proposed change, either by the Proponent or jointly with other affected stakeholders,
- vii. A statement that the proposal does or does not comply with the UAE Airspace Plan (when finalised) and a justification in the event that it does not comply.
- viii. An examiner should be flexible to the possibility of changes arising to pre-flight briefs due to ATC instructions, or other circumstances affecting the test/check.
- ix. Evidence that the proposal:
 - a. Contains normal operation of aircraft within controlled airspace,
 - b. Meets ATM system requirements including the interfaces with adjacent airspace ATM systems,
 - c. Allows maximum access to as many classes of airspace users as can be handled efficiently but limits unauthorised incursions,
 - d. Shall be promulgated according to the AIRAC cycle,
- x. An assessment of the environmental impact of the proposal,
- xi. Draft LoAs, MoUs and AIP entries for acceptance by ANA,
The final, signed LoA or MoU will need to be provided to the ANA section prior to the completion of the proposal assessment period, i.e. at least 6 working days prior to the AIS submission cut-off date so that it can be available before the Director ASDI signs the proposal as accepted.
- xii. Evidence of the consultation carried out and the outcome of the consultation.

All supporting documentation shall be provided in formats and media acceptable to the Authority.

RESTRICTED - MANAGEMENT (WHEN COMPLETED)

Airspace Change Proposal Form

ANY ANSP/ AUTHORITY IS TO COMPLETE THIS FORM PRIOR TO SUBMITTING ANY AIRSPACE CHANGE DOCUMENTATION REQUEST. BEFORE COMPLETING THIS FORM, PLEASE REFER TO CAAP 41 FOR GUIDANCE

GUIDANCE NOTES FOR COMPLETION THE FORM

1. When completing this form it is not necessary to duplicate large areas of other manuals; but provide full reference so answers can be easily found.
2. When completing the form, the computerised form should allow each answer box to expand to accept an answer of any length.
3. If proposing authority considers any particular questions of the form do not apply to their proposal, they should state this in the space provided for the answer
4. Queries relating to the completion of this should be directed to GCAA ANA section.
5. All the documents required by GCAA ANA listed in CAAP 41 should be submitted as attachements to the form.

1. Contact Details

a) Name and Address of Proponent:

--

Telephone No:	
Fax No:	
Web Site:	

b) Name and Address of Focal Point Person:

--

Telephone No:	
Fax No:	
Email:	

c) Name and address of Procedures Designer:

--

Telephone No:	
Fax No:	
Email:	

2. Submission Details

2.1 Is this a temporary or permanent change? Elaborate please

--

2.2 What is the purpose of the change?

--

2.3 a) Has the consultation with the stakeholders carried out?

b) If yes, list the stakeholders that were consulted and the means of consultation

c) Show outcome/s of consultation and whether incorporated into proposal or not.

2.4 Has an impact assessment (operationally and environmentally) carried out? Elaborate please if necessary

2.5 Have the procedures been quality checked?

2.6 Is this a recurring activity? (Elaborate please)

2.7 Are all the documents required by GCAA ANA listed in CAAP 41 ready for submission?

2.8 What is the requested AIRAC cycle for the proposal?

2.9 Please give a brief description about the proposal

Name of proponent:.....

Signature:.....

Date: