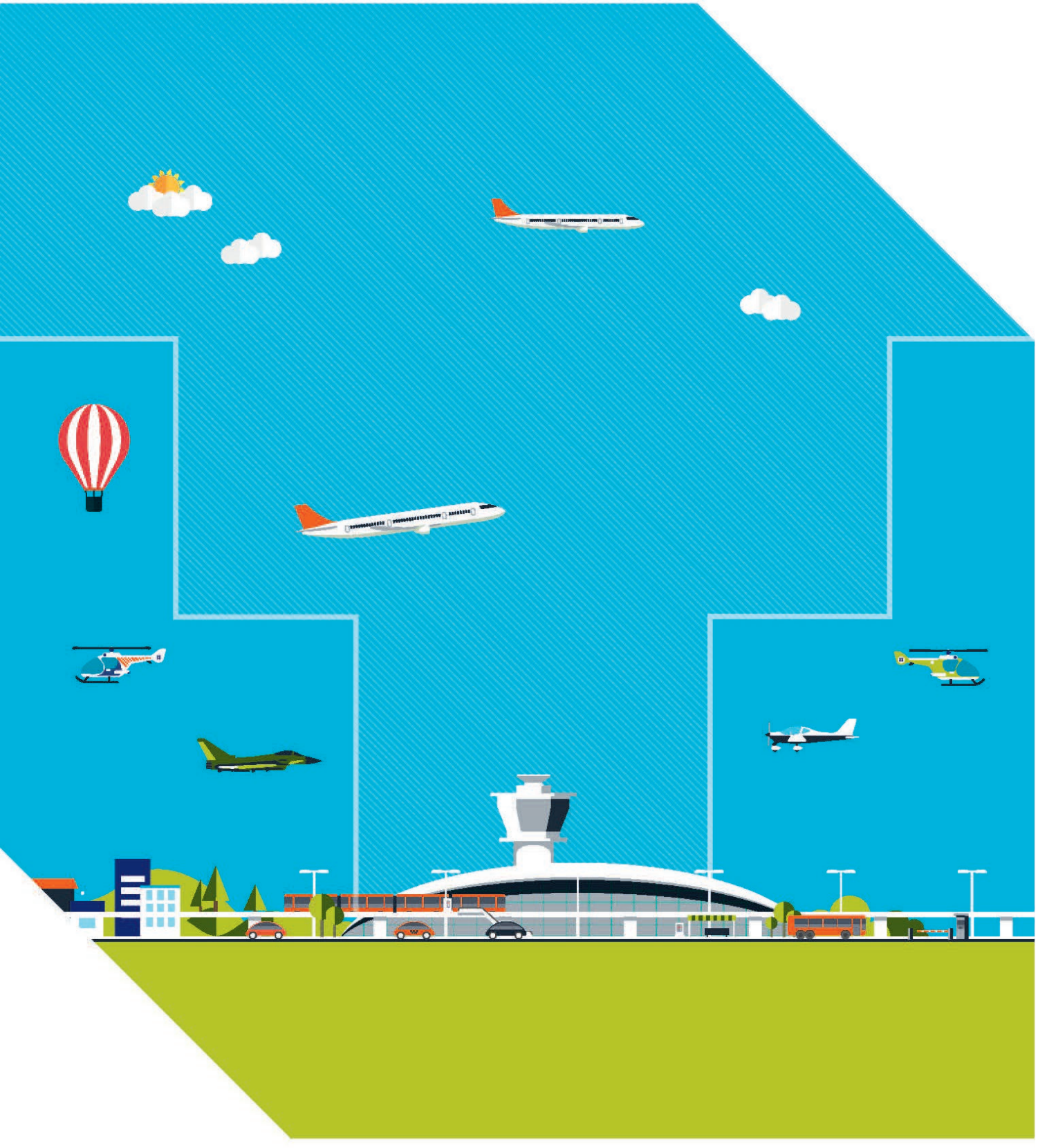
Civil Aviation Authority

Airspace change: outcome of the consultation on a decision-making process for PPR (planned and permanent redistribution of air traffic) proposals

CAP 1867



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Chapter 1

The consultation

Purpose of this document

1.1 Earlier this year the CAA sought your views on our proposed decision-making process for PPR proposals. This document explains how we have taken account of your feedback in the final PPR process that we will publish in a revised edition of CAP 1616 in January 2020. We are publishing our response now to give interested parties, particularly air navigation service providers who may be contemplating making a proposal, as much notice as possible about what we have decided.

1.2 This document is not seeking further views.

Background

1.3 In October 2018, following an earlier consultation on airspace policy, the Government gave the CAA a decision-making role for a wholly new category of airspace change. This category is known as a planned and permanent redistribution of air traffic through changes in air traffic control operational procedure. We refer to this as PPR for short.

1.4 The Government originally required the CAA to develop and implement a new PPR decision-making process by 1 November 2019. The Secretary of State subsequently extended this implementation date by three months to 1 February 2020.[1]

1.5 Between 9 May and 7 July 2019, the CAA carried out a consultation on our proposed decision-making process for PPR proposals. The purpose of this consultation was to seek views on:

[1] By The Civil Aviation Authority (Air Navigation) (Amendment) Directions 2019 dated 29 October 2019. https://www.caa.co.uk/uploadedFiles/CAA/Content/Standard_Content/Commercial_industry/Airspace/Airspace_change/20191030SoSTransporttoCAAAirNavigationAmendmenttoDirections2017.pdf

- our proposed principles for a new PPR decision-making process
- our commentary on which changes are likely to fall within the Government's definition of a 'relevant PPR'.

1.6 These principles and the commentary were set out in detail in our consultation document, CAP 1786, Airspace change: consultation on a decision-making process for PPR (planned and permanent redistribution of air traffic) proposals.[2]

Who responded to the consultation

1.7 We had 103 responses in total, counting multiple official responses from the same organisation as one.

1.8 We asked respondents to self-categorise into one of eight categories:

- resident affected by aviation
- airline passenger
- member of the General Aviation community
- member of the commercial aviation industry
- military
- Government and/or other regulators
- representative/national organisation or institute
- elected political representative.

1.9 The consultation included guidance on how respondents should categorise themselves.[3] Despite this, the 'Government and/or other regulators' and 'elected political representative' categories demonstrated so much overlap in

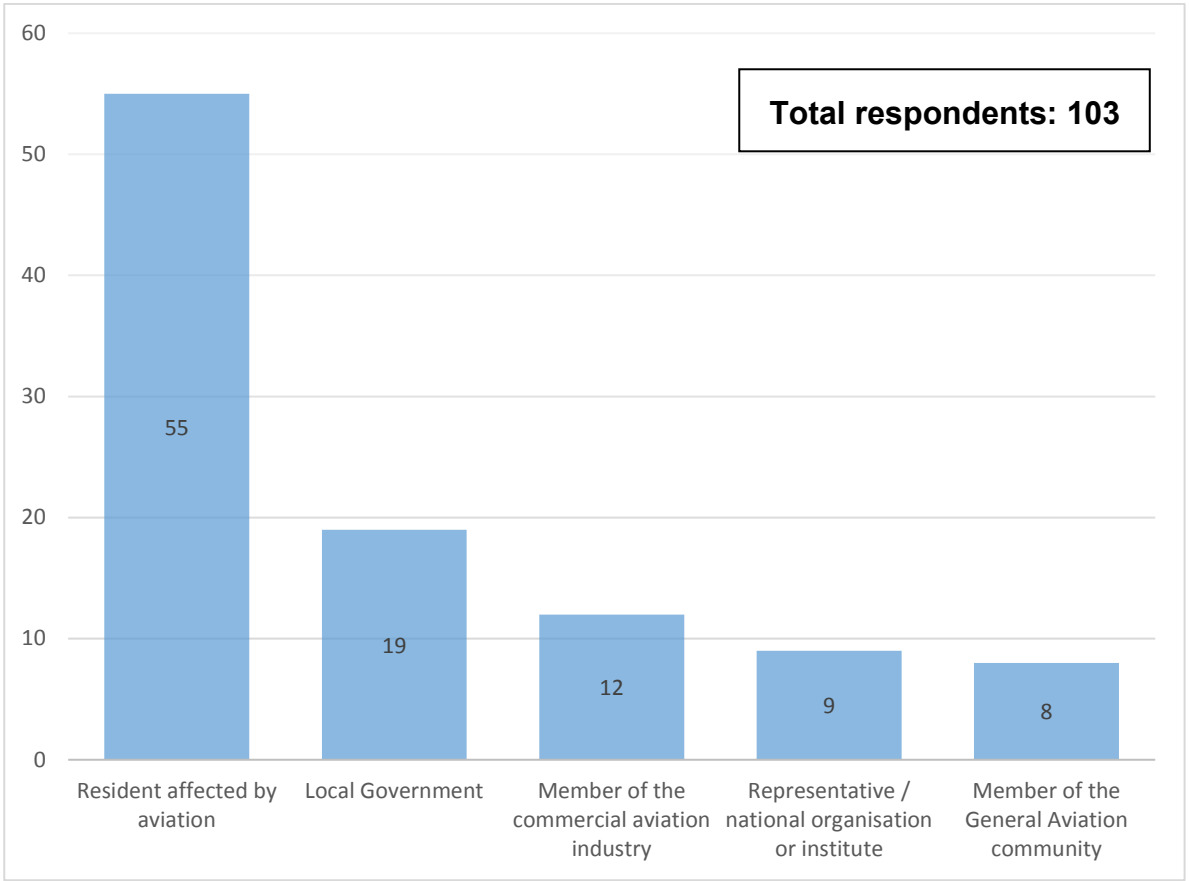
2 www.caa.co.uk/cap1786

3 The guidance read:
- If you are an employee answering on behalf of a local council or authority, please select "Government and / or other regulators".
- If you are a local councillor, please select "Elected political representative".
- If you are a local residents' association affected by aviation, please select "Resident affected by aviation".
- If you are an airport consultative committee, please select "Representative / national organisation or institute".
- If you are a consultancy firm employed primarily by commercial industry, please select "Commercial industry".
- If there is any supplementary information you would like to add about the category you have selected, you can provide this at question F.

terms of the kinds of organisations choosing them – all were local government bodies – that we recategorised all these respondents as 'local government'. Had we not done so, the results would have potentially been misleading.

1.10 One airport operator and one air navigation service provider categorised themselves as 'representative or national organisation/institute'. We decided that it would be clearer to categorise both of these responses as 'commercial aviation industry'. One individual did not categorise themself, but the response was clearly from a member of the General Aviation community and we therefore categorised it as such. In all other cases we respected the categories that these organisations had selected. We had no responses in the airline passenger or military categories.

Figure 1.1: Responses to the consultation by category of respondent



1.11 Of the 103 respondents:

- 55 responses were in the residents affected by aviation category, 21 of which were official responses on behalf of campaign groups

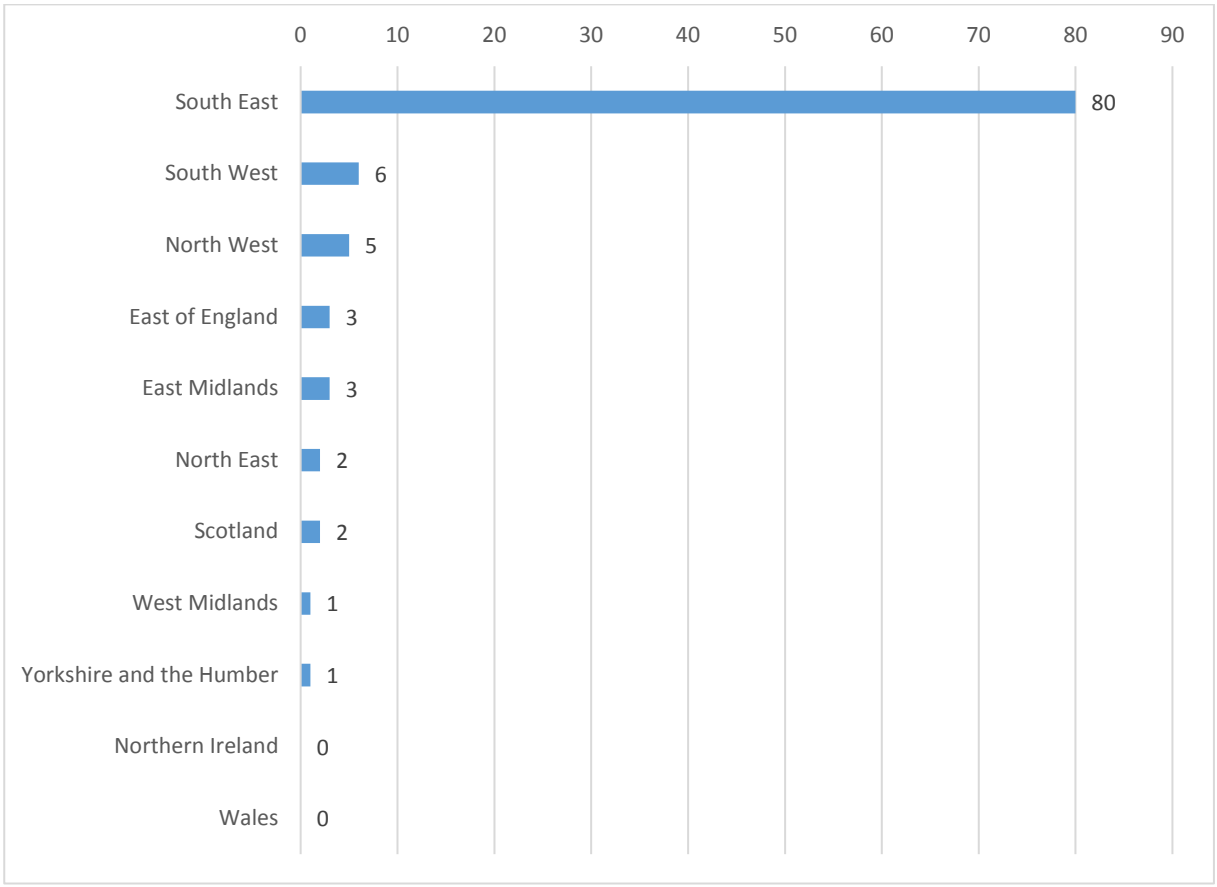
- 19 responses were from local government
- 12 responses were from the commercial aviation industry, of which eight were from airports and air navigation service providers
- 9 responses were from a representative or national organisation or institute
- 8 responses were from members of the General Aviation community.

1.12 A full list of respondents appears at the end of this chapter.

Geographic spread of responses

1.13 Of the 103 responses, 80 identified themselves as resident or based in the South East, six as resident or based in the South West and five in the North West. The remaining 12 respondents were spread between six other parts of the country, with between one and three responses from each.

Figure 1.2: Category of respondent by geographic region



Engagement regarding the consultation

1.14 We contacted more than 1,400 individuals and organisations directly about this consultation and used our website and social media to raise broader awareness. We also held two workshops for a cross-section of stakeholders prior to developing the process and launching the consultation, in addition to communicating with other stakeholders individually.

Our analysis of the responses

1.15 Of our eight consultation questions, six had both a closed (multiple-choice) and an open (free-text) element, and two were open (free-text) only. Stakeholder groups were not evenly represented in terms of numbers, so where there were differences of opinion we avoided focusing on the overall percentage of respondents favouring or criticising a particular aspect of the proposed process. Instead we considered how individual stakeholder groups had responded and whether they were split as a group or in disagreement with other groups.

Analysis of multiple-choice questions

1.16 The multiple-choice questions we asked provided quantitative feedback about the proposed process. The key findings from these questions are detailed in Chapter 3.

Analysis of free-text responses

1.17 Each of our eight consultation questions included an ‘open’ (free-text) element. This means that in addition to answering closed (multiple-choice) questions, respondents were offered an open box to write free text sharing the reasons for their chosen responses and any other views – in particular how the proposed process could be improved. In addition to specific recommendations, we found a number of recurring themes arising in the open-text responses. Chapter 4 details some of the most significant themes revealed by the free-text responses, providing examples where permission has been given by respondents to do so. Chapter 5 details specific recommendations and questions submitted by respondents and the CAA’s response.

List of those responding to the consultation by category of respondent

Commercial aviation industry (12)

- Air Navigation Solutions
- British Airways
- Gatwick Airport
- Heathrow Airport
- Humberside Airport
- Industry Coordination for the Airspace Modernisation Strategy (ICAMS)
- Manchester Airport Group
- NATS
- Newcastle Airport
- One airport that preferred not to be identified
- A private jet charter service that preferred not to be identified
- An air traffic controller

Member of the General Aviation community (8)

- Lasham Gliding Society
- Moss Edge Farm Flyers
- Six individuals

Representative or national organisation or institute (9)

- Airport Operators Association
- Aviation Communities Forum
- Aviation Environment Federation
- British Gliding Association and General Aviation Alliance
- British Helicopter Association
- Campaign to Protect Rural England (CPRE) Hampshire Branch
- Guild of Air Traffic Control Officers (GATCO)
- High Wealds Council Aviation Action Group
- Light Aircraft Association

Resident affected by aviation (55)

- Communities Against Gatwick Noise and Emissions (CAGNE)
- Heathrow Association for the Control of Aircraft Noise (HACAN)
- Nutfield Conservation Society
- Plane Hell Action South East
- Residents Against Aircraft Noise
- Richmond Heathrow Campaign
- Stop Stansted Expansion
- Teddington Action Group
- Whitecrook Aircraft Noise Association
- Six campaign groups that preferred not to be identified
- 40 individuals

Local government (19)

- Chiddingstone Parish Council
- Dacorum Borough Council
- Leigh Parish Council
- Local Authorities' Aircraft Noise Council (LAANC)
- London Borough of Hammersmith and Fulham
- London Borough of Newham
- Mottram St Andrew Parish Council
- Nutfield Parish Council
- Parish Councils Airport Association
- Prestbury Parish Council
- Royal Borough of Windsor and Maidenhead
- Salfords and Sidlow Parish Council
- Slinfold Parish Council
- St Albans City and District Council
- Whitehill Town Council
- Wrington Parish Council
- Three local government bodies that preferred not to be identified

Chapter 2

Outcome of the consultation

Consultation questions

2.1 Question 1 in the consultation asked for **overall views** about the proposed PPR decision-making process. Questions 2 and 3 were about **identifying a 'relevant PPR'**. Question 2 asked for comments on the way the CAA proposed to interpret the Government's definition of a 'relevant PPR', and Question 3 asked for views on our proposal that each air navigation service provider introduce an internal 'trigger' process for identifying a relevant PPR.

2.2 Questions 4 to 7 asked for views on **specific aspects of the process** (CAP 1616 process elements missing, options appraisal, post-implementation report, and temporary changes). Question 8 asked whether there was anything specific that the CAA could do that would **help implement** the proposed process.

Summary of main changes made as a result of the consultation

Subject	Change
Structure of CAP 1616	We are incorporating the PPR decision-making process into CAP 1616. For clarity we are dividing CAP 1616 into three parts: Part 1: the airspace change process (permanent changes to the notified airspace design), including: ▪ Part 1a: temporary changes to the notified airspace design ▪ Part 1b: airspace trials Part 2: PPR, including: ▪ Part 2a: temporary PPR changes Part 3: Airspace information: transparency about airspace use and aircraft movements

Implementation arrangements	Deferred by the Secretary of State from 1 November 2019 until 1 February 2020. Because a supplementary instruction changing air traffic control operational procedures must normally be notified to the CAA's Safety and Airspace Regulation Group on 30 days' notice, the CAA will begin accepting PPR proposals once the new process is published in January 2020.
Overall PPR decision-making process	We are maintaining, for the most part, the process proposed in our consultation with some minor modifications. The consultation responses, in our view, did not identify alternative proposals that would better balance the needs and expectations of the policy requirements and/or different stakeholders.
CAA interpretation of criteria for a Type 1 'relevant PPR'	Revised chart illustrating what is and is not in scope. Clarification for airports with two parallel runways.
Who needs to apply for PPR approval	Only an air navigation service provider can seek approval for a PPR, but it will be required to confirm on the Statement of Need whether it has the full agreement of any relevant airport operator.
Stakeholder collaboration	Recognition that some PPR change activities may be led by airports or other stakeholders, and that we welcome collaboration between the air navigation service provider and other stakeholders. For example, airports could carry out consultations, and communities could help promote environmentally beneficial changes.
Statement of Need	A Statement of Need is submitted by an air navigation service provider, if necessary on behalf of an airport operator, where: ▪ it identifies a proposed operational procedure change as a relevant PPR ▪ it identifies a proposed operational procedure change as not being a relevant PPR, but wants the CAA's confirmation of that assessment, for example to provide transparency for local residents ▪ it is unsure whether a proposed operational procedure change is a relevant PPR, and is asking the CAA to make a determination under paragraph 15 of the annex to the Air Navigation Directions.

Post-implementation review	Clarification that when the CAA reviews the air navigation service provider's post-implementation report, we will state whether we consider the post-implementation report closed, open, or partially satisfied: ▪ we will consider it closed if the implemented change in operational procedures satisfactorily achieves – within acceptable tolerance limits – the objective of the proposal as it was approved by the CAA ▪ we will consider it open if we are not satisfied with the report (if, for example, we believe the analysis to be inconclusive) and will require the air navigation service provider to rectify the shortcomings in the report ▪ we will consider it partially satisfied if the change in operational procedures requires modification to better achieve the objective of the proposal as it was approved by the CAA. In the third case, the CAA will require that those modifications are then further monitored for effectiveness. Once the modifications have been implemented and operated for a period (approximately six months), there are three further possible outcomes (mirroring the process in Stage 7 of Part 1 of CAP 1616): ▪ noting that the modifications did not better achieve the objective of the proposal as it was approved by the CAA, we may conclude that the original change in procedures was satisfactory and is confirmed; or ▪ noting that the modifications did not better achieve the objective of the proposal as it was approved by the CAA, we may conclude that the original change in procedures was not satisfactory and the original change is not confirmed (in which case, in order to pursue its change in procedures, the air navigation service provider will need to commence a fresh PPR proposal from Stage 1); or ▪ we may conclude that the modifications do better – within acceptable tolerance limits – achieve the objective of the proposal as it was approved by the CAA and so the modified procedures will be confirmed.

Temporary changes	A shorter and more meaningful process than we originally proposed, in recognition that it would be disproportionate to mirror the existing CAP 1616 process for a temporary change to airspace design. There were concerns that the decision-making process might take longer than the temporary change in operational procedures itself. In recognition of concerns from communities at the six month maximum duration of a temporary PPR, we are requiring the air navigation service provider to provide a short report on the change after three months before we consider extending approval for a further three months.

Why we have made these changes

2.3 The rest of this chapter explains in more detail how we are modifying the PPR decision-making process in the light of the responses we received, and why we have done so. We also include some commentary on suggestions that we are not adopting. We only cover some of these here, because a fuller analysis appears in Chapters 3, 4 and 5. You can also read individual responses, where we had permission to publish them, on our consultation website.[4]

Matters out of scope

2.4 A significant number of responses included comments that were out of scope of the consultation because they concerned matters not in the CAA's gift to change. We were very clear in the consultation document that we were not seeking views on the reasons for the new PPR process, nor on the way that the Government has defined a relevant PPR in the Air Navigation Directions, and that we would disregard elements of responses that focused on these areas. We included supporting information as useful background, but the CAA has been directed by the Government to introduce this new process and to use those definitions, and that is something that only the Government can change.

2.5 We were also very clear that we would disregard elements of responses to this consultation that focused on:

4 https://consultations.caa.co.uk/policy-development/ppr-decision-making-process/

- any other aspects of government policy, including
  - the Air Navigation Guidance – the statutory guidance which the Secretary of State gives the CAA on how it should take environmental impacts into account – including policy objectives in respect of people significantly affected by aircraft noise, the concentration, dispersion or alternation of flight paths, or avoidance of tranquil areas
  - 'noise preferential routes' designated for aircraft departures by the Secretary of State
  - the standard metrics for quantifying the amount and level of noise
- the existing CAP 1616 airspace change process, specific airspace change proposals going through that process, or specific airspace changes that have already happened or that result from airline commercial decisions.[5]

Question 1: Views about the proposed process overall

Overview

2.6 Question 1 asked for views overall on the proposed decision-making process. Most respondents asked for significant modifications, in particular residents affected by aviation. Whereas commercial aviation respondents were split equally between 'significant modifications' versus 'about right' or 'minor modifications'.

2.7 There were a few common requests for modifications, but for the most part there was considerable variation in the modifications being asked for. Some were diametrically opposed, for example some asking for a shorter and some for a longer process. Some responses related to significant modification of only a specific element of the process rather than the whole.

2.8 Despite the consultation document clearly pointing out what was in or out of scope of the consultation, a number of the significant modifications being

[5] Throughout this consultation response document, we refer to both a 'change in airspace design', which requires the airspace change decision-making process set out in the existing CAP 1616, and a 'change in air traffic control operational procedures', which may or may not require the new PPR decision-making process.

sought in those responses were out of scope, because they concerned matters not in the CAA's gift to change. We were therefore obliged to disregard those elements of these responses for the purposes of this consultation. These respondents appeared to be using the consultation as a means to express their frustration over aircraft noise or government policy without actually commenting on the PPR process specifically. Some responses seem to have misunderstood the purpose of introducing the PPR process.

2.9 **Outcome:** Our conclusion is that the responses to this question, where in scope of the consultation, were generally highlighting specific issues that we were being asked to address. In terms of the overall process, our view is that the responses in general did not identify alternative proposals that would better balance the needs and expectations of the policy requirements and/or different stakeholders. Below is a high-level summary of issues that relate to the process as a whole, while specific issues are dealt with under questions 2 to 8 or in Chapter 5.

Implementation arrangements

2.10 There were concerns from industry that they and/or the CAA would not be ready to implement the new decision-making process by 1 November 2019.

2.11 **Outcome:** The original date was set by the Air Navigation Directions to the CAA from the Secretary of State. The Secretary of State has since decided to defer the implementation date by three months until 1 February 2020. Because a supplementary instruction changing air traffic control operational procedures must normally be notified to the CAA's Safety and Airspace Regulation Group on 30 days' notice, the CAA will begin accepting PPR proposals once the new process is published in January 2020.

Initiator of a PPR proposal

2.12 Airports generally thought that before an air navigation service provider initiated the PPR process, collaboration between the airport and air navigation service provider was essential, and that the airport(s) needed to be consulted and to be in full agreement. Some airports went further and argued strongly that they should be able to initiate a PPR, as well as an air navigation service provider.

There was also a suggestion that other organisations, such as local authorities or community organisations, could be the promoter of a PPR.

2.13 **Outcome:** The consultation document made clear (paragraphs 4 and 1.22) that PPR changes can only be proposed by an air navigation service provider. This is because of the wording in the Secretary of State's Directions, which contains the primary obligations on the CAA.[6]

2.14 Only a change in air traffic control operational procedures can create a PPR; if those procedures don't change, it is not a PPR. It may be a change in airspace design, or it may be neither.

2.15 We fully accept that the impetus for a PPR could come from an airport rather than an air navigation service provider. For example, an airport may observe an issue arising from the vectoring procedures that an air navigation service provider is following, and may commission the air navigation service provider to alter those procedures to address the issue. It is important that the airport and air navigation service provider work together as needed. We have therefore amended the Statement of Need form to include a check box for the air navigation service provider to indicate whether it has the full agreement of the relevant airport operator.

2.16 We also accept that the airport may, for example, be better placed (in terms of experience and communication channels) than the air navigation service provider to carry out an effective consultation with relevant stakeholders, particularly local communities and their representatives. There is no reason why the airport should not lead on the consultation on the air navigation service provider's behalf. The PPR application will still have to be owned and submitted by the air navigation service provider (who will act as the interface with the CAA, including on safety aspects), given that it is the operational procedures of

6 Direction 9A reads (underlining added):

9A.—(1) The CAA must develop and publish procedures, and guidance on such procedures, for the development, consideration and determination of proposals for relevant PPRs as set out in the Annex to these directions.

(2) A procedure developed and published under paragraph (1) must— (a) be proportionate and reflect published Government policy, and (b) require an ANSP to refer a proposal for a relevant PPR to the CAA for approval before the PPR is implemented.

the air navigation service provider which are driving the change. Also, the regulatory focus is on the air navigation service provider from a safety perspective as well as PPR. This is why the Directions specify that it is the air navigation service provider which must apply to the CAA for approval and go through the PPR process.

2.17 Similarly there is no reason why a local authority or community-led initiative for a change in operational procedures could not give rise to a PPR proposal through a collaborative effort with the relevant air navigation service provider and airport. But for the reasons stated above, the air navigation service provider will remain the proposer of the change.

2.18 It will be a matter for discussion between the air navigation service provider and the airport which organisation finances the work needed to bring about a change.

Length or complexity of process

2.19 On the whole, commercial aviation respondents seemed to accept the logic and necessity of being required to conform to a new regulatory process, but were keen to minimise the burden. Some thought that the process goes too far. In most cases they expressed concern that for certain minor changes the process would not be proportionately scaled, quoting our illustrative timeline of 42 weeks, or that safety-critical changes could be held up or discouraged. They asked for more detail on how the process would be scaled.

2.20 Some respondents whose primary concern was environmental impacts thought that the process did not go far enough, or that it missed the point about aviation's impacts. Some thought that it should, at least for the more impactful proposals, mirror the CAP 1616 process, for example by including the Public Evidence Session and draft decision elements that we proposed to omit. They argued that this was logical if the impacts were potentially as great as a significant change in airspace design. Some went further and asked for a more onerous process with more activities than are currently in CAP 1616. Others were generally supportive of the new process and recognised the reasons why we proposed what we did.

2.21 **Outcome:** We are maintaining, for the most part, the process proposed in our consultation, with some minor modifications, because the consultation responses, in our view, demonstrate it to be a fair balance between different stakeholders. We are incorporating the process as a new Part 2 in CAP 1616 and numbering the other existing sections accordingly (see the summary table above).

2.22 Aircraft noise is a sensitive issue. The views we received from communities were in many cases expressing concerns that go considerably wider than the scope of the new PPR process. The new process puts communities that are exposed or are potentially exposed to noise in a better position than they were before, insofar as an anticipated change in noise impact is caused by a proposed change in air traffic control operational procedure rather than by a proposed change in airspace design. Prior to the PPR process, communities would not have been consulted on the former, and some of those responding acknowledged how much of a concern this has been.

2.23 We see no objective justification that PPR proposals are sufficiently different to warrant a more thorough process than CAP 1616. We believe that the process we proposed, scaled appropriately according to what is being proposed, strikes the right balance of proportionality and robustness.

2.24 Although we received a lot of comment about the process being too onerous, we had already proposed a process significantly shorter (both in estimated timescales and process stages) than that for a Level 1 airspace design change. Some PPR changes (as with airspace design changes) could require approval yet be relatively benign in their impact on others. In writing the PPR process for CAP 1616 we have stressed that the PPR process should, to a large extent be self-scaling; for example if the impacts are benign then the consultation need not be extensive, could be shortened in length, and so on. The timeline we published was illustrative of how we had cut down the CAP 1616 process to suit the different characteristics of a PPR. The consultation also made clear that the process could be considerably shorter than 42 weeks, or it could potentially be longer. A PPR could potentially have the same impact as a Level 1 proposal for a change in airspace design – for which the equivalent diagram shows 110

weeks. For a PPR proposal we estimated 42 weeks because it will generally be more specific than many airspace change proposals, with fewer design options, and fewer stages in the PPR process.

2.25 However, having reviewed comments about our indicative timeline for the process against the equivalent in Part 1 of CAP 1616, we have concluded that for a typical PPR the timeline did not properly reflect the likely time needed for consultation preparation at Step 3a. The air navigation service provider will need to conduct a 'full' options appraisal, produce a consultation strategy and all the supporting documentation for a consultation. Also, the 'Assess and Consult' gateway after Step 3b is the first in the PPR process. Therefore the indicative timeline we are publishing in Part 2 of CAP 1616 will bring Step 3a into line with Part 1 of CAP 1616 by adding another four weeks, making 24 weeks overall for Stage 3, and therefore 46 for the complete process (rather than 42). We would stress here that we are not lengthening the process, but merely better reflecting in the diagram what a realistic timeframe would be. The actual time taken for Step 3a will of course largely be in the control of the air navigation service provider.

2.26 Of the suggestions we received for shortening the process further – from omitting certain aspects, to delegating the process entirely to the air navigation service provider, to waiving the whole process where the local airport community was supportive – there were none that we saw grounds for adopting. One respondent commented that protracted timescales in delivering a PPR risked inferior solutions taking precedence, but the purpose of options appraisal is to weigh up the relative merits of different options and avoid this.

2.27 We did, however, see merit in several suggestions (from all sides) that where views on a PPR proposal were broadly aligned, the process should be more streamlined. For example, a proposal might generally benefit and be supported by overflown communities because it reduces noise impacts; or it might reduce emissions or improve network performance with minimal adverse impacts; or it might be a change mandated by regulation. It is not possible simply to dispense with consultation altogether, the point of which is to establish who is affected as well as how, and to give them the opportunity to respond with their views,

including positive views, and point out anything that has been missed before any decisions have been made. But providing there is proper provision of the necessary information and appropriate consultation, we agree that there should be ways of streamlining the consultation process, in part through collaboration and creative solutions. This approach is already set out in CAP 1616 (paragraphs 155 to 158 and Table C1).

2.28 What is key is that the impacts are properly assessed. For example, a change optimising airspace use or making better use of technology may reduce delays and increase resilience to disruption, but it could also result in more flights and a worsened noise impact. It is the CAA's job to assess these impacts against our obligations under section 70 of the Transport Act 2000.

2.29 We are also adopting the fast-track process for safety-critical PPRs, which received general support. As suggested by one respondent, we are including a definition of 'safety-critical' in Part 2 of CAP 1616.

2.30 Some respondents asked us to be more specific about how the PPR process will be scaled. The narrow definition of a relevant PPR means that there is no need to assign a 'Level' to a PPR proposal. However, much of the other guidance published in Part 1 of CAP 1616 will also apply to PPR proposals, in that it may not always be necessary for all PPR proposals to be subjected to each and every element of the process.

2.31 General Aviation representatives expressed concern that the CAA was delegating responsibility for oversight of a PPR to the air navigation service providers and airports. This can only refer to two aspects of the process, as the CAA has oversight of other aspects: the air navigation service provider's internal 'trigger' process for identifying a PPR in the first place, and the post-implementation report. These are discussed below.

CAA resourcing and decision timescales

2.32 Some responses expressed concern as to whether the CAA was sufficiently resourced to oversee the PPR process, and whether there was a risk of a bottleneck in processing applications. Others asked for CAA commitments on response times.

2.33 **Outcome:** It is true that the CAA's Airspace Regulation team – which will process PPR proposals – is currently under a lot of pressure from a recent increase in proposals for changes in airspace design. Although PPR proposals will inevitably add to this workload, we do not currently have a clear idea of the number of PPR proposals that the CAA is likely to receive, despite investigations with industry prior to consultation.

2.34 What we do know is that air navigation service providers are likely to avail themselves of paragraph 15 of the annex to the Air Navigation Directions, whereby they (or the airport) are invited to consult the CAA where there is any doubt about whether a proposed PPR meets the criteria for a relevant PPR. While it will provide certainty for air navigation service providers, this could increase the pressure on our resources in providing 'comfort letters'.

2.35 As acknowledged in the consultation document, we have increased our staff resource handling airspace regulation, and we have plans to increase it further, which will include managing the PPR decision-making process. Funding for this is provided from the CAA component of the UK en route unit rate, charged to airspace users.[7]

2.36 We are specifying in Part 2 of CAP 1616 our expected response times for PPR proposals. A decision on whether a proposal is in scope of a relevant PPR will be a key output from the initial discussion or meeting with the air navigation service provider. Having received the final submission, we will aim to produce our decision within eight weeks of receiving all the information we need; we expect this to be shorter in cases where there are few impacts on other stakeholders, but a case with significant or complex impacts could take longer.

2.37 At any one time the CAA will be processing a significant number of proposed changes in airspace design. PPR proposals will not be prioritised over those

[7] The UK unit rate is comprised of the airspace and air traffic management related costs of NATS (En Route) Plc, the Met Office, the Department for Transport and the CAA and are set on a five-year regulatory cycle. For Reference Period 3 (RP3), the UK determined costs (including the CAA component) are set out in the UK RP3 decision document (www.caa.co.uk/cap1830) and performance plan, published and submitted to the Department for Transport on 30 August 2019.

proposals, but will be sequenced along the same lines, subject to adhering to the framework of the Air Navigation Directions.

2.38 The CAA will continue to monitor workloads closely, but it should be recognised that if there is demand for us to put in place resources beyond what is already planned, this will have to be paid for through our charges on industry (our statutory charging scheme, on which we consult annually).

Relevant PPR caused by a change in airspace design or other knock-on effects

2.39 Respondents asked for greater clarity around:

- whether PPRs resulting from changes in airspace design need to undergo the PPR process, or whether they are covered by the existing CAP 1616 process for changes in airspace design
- how the CAA would deal with PPRs prompted by other PPRs.

2.40 **Outcome:** As set out in the consultation document, where a proposed change in the notified airspace design requires a corresponding change in air traffic control operational procedures which are within scope of the definition of a relevant PPR, the proposals must be regarded together as a package and both will form part of the proposal for the airspace design change, i.e. be considered together under the process for a Level 1 or 2 change set out in Part 1 of CAP 1616. (The only exception to this is where the change to notified airspace design is Level 0, in which case the air navigation service provider must separately make a PPR proposal and follow the PPR process.)

2.41 It is also conceivable that a relevant PPR (probably a lateral-shift, Type 1 change) could require a change in air traffic control operational procedures elsewhere. What is already set out in Appendices B and E of CAP 1616 regarding cumulative effects applies equally to relevant PPRs as it does to associated changes to airspace design. The cumulative effects on communities overflown by more than one airport or indeed of multiple changes on any stakeholders is not a PPR-specific issue.

CAA non-technical information about the process

2.42 Despite our efforts to write a consultation document that was understandable to those without a technical background, we did receive some responses suggesting that our description of the proposals was too complicated. We were also asked if the CAA could provide a shortened version for communities.

2.43 **Outcome:** In CAP 1615[8], our response to the consultation that resulted in CAP 1616, we committed to developing additional communications materials to better explain the guidance to audiences who do not have specialist expertise in this area, for example members of communities affected by aviation noise. Our main focus since then has been on introducing the online airspace change portal and improving its functionality. We will be publishing a leaflet explaining the airspace change process which will incorporate a short explanation of PPR. We will also add appropriate material to the airspace change pages on our website in non-technical language.

Question 2: Identifying a relevant PPR

2.44 Many respondents had varied comments on the way that a PPR or relevant PPR is defined. This is not surprising, as these definitions are completely new. We list many of these comments in Chapter 5. However, as noted in Chapter 1, these definitions – such as the extent of lateral shift in flight track required for a Type 1 PPR, or the 5,000-movement threshold for a Type 2 PPR – are set out in the Air Navigation Directions, and are not something the CAA can change.

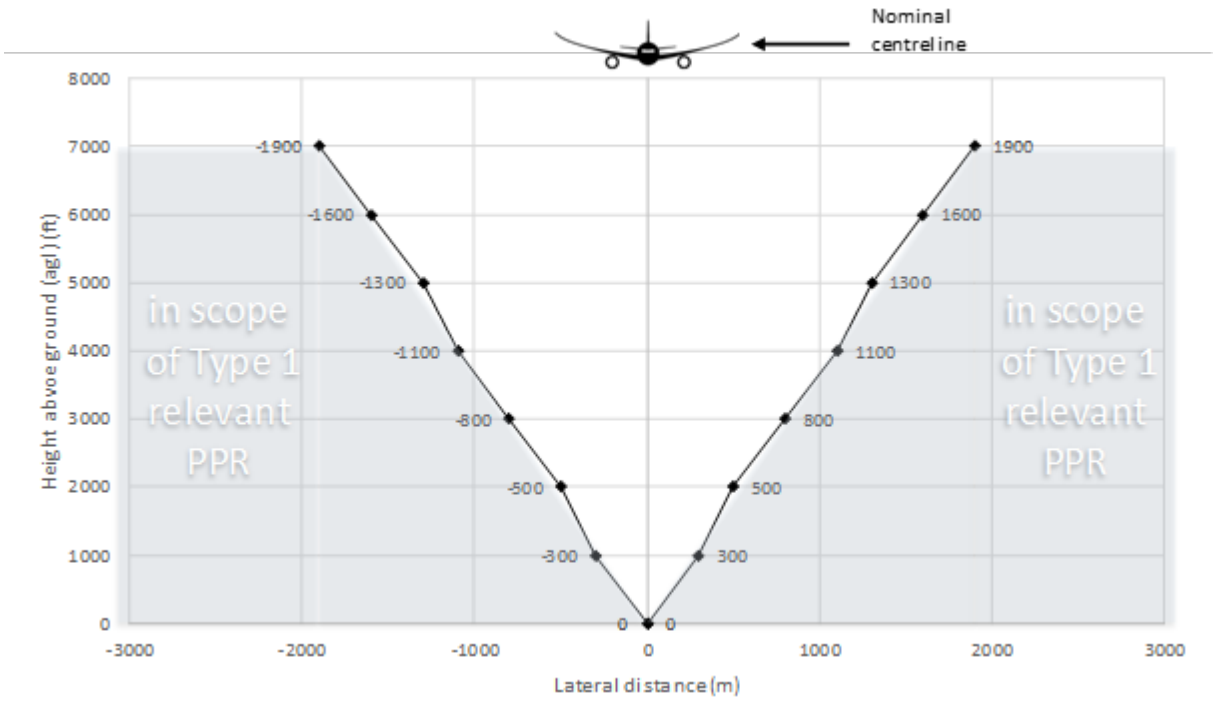
2.45 We have reconsidered the way that we interpret some of those definitions. Having reviewed the comments made, we are making a few changes to the interpretation of a Type 1 PPR that we published in the consultation document. We explain these changes below.

8 See page 14 of CAP 1615. www.caa.co.uk/cap1615.

Type 1 PPR

2.46 The diagram below appeared in the consultation document and was based on the table in the annex to the Air Navigation Directions.

Figure 2.1: Graphical interpretation of the definition of a Type 1 PPR as shown in Figure 2.2 of CAP 1786, the PPR consultation document



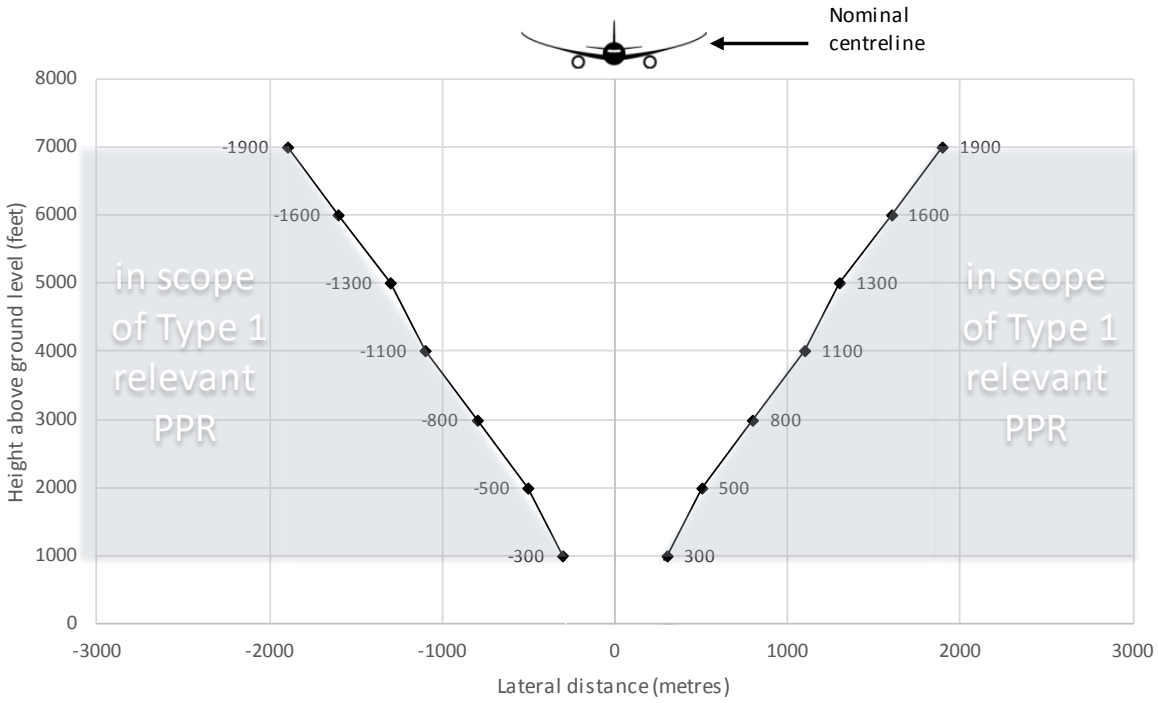
2.47 The lowest height shown in that table is 1,000 feet above ground level, but in the diagram we extrapolated to ground level. It was suggested that below 1,000 feet, it would take only a slight deviation in lateral track to be caught within the definition of a Type 1 PPR, and that this was not the intention of the table. One respondent also drew to our attention that it was not clear from the definition of a Type 1 PPR how a 'lateral shift of aircraft from the pre-existing nominal centre line of the density of flight tracks' would be determined at an airport with two parallel runways.

2.48 **Outcome:** We have discussed with the Department for Transport what the intent was in the drafting of the Type 1 criteria.

2.49 In respect of the diagram, the outcome is that only a change above 1,000 feet above ground level will be considered to be in potential scope of a Type 1 PPR.

This is being reflected in Part 2 of CAP 1616 by an amended diagram based on that below.

Figure 2.2: Revised graphical interpretation of the definition of a Type 1 PPR



2.50 In respect of an airport with two parallel runways, the Department for Transport has clarified that it was not the intention to regard tracks from each runway separately for the purposes of identifying a Type 1 PPR. Instead the analysis should aggregate the flight tracks from the two parallel runways in order to assess whether the shift in the nominal centreline is sufficient to meet the criteria for a Type 1 PPR.

Type 2 and Type 3 PPRs

2.51 There were no suggestions about the definitions of Type 2 or Type 3 PPRs that were within our gift to change. We are therefore basing the text in Part 2 of CAP 1616 on that used in the consultation document.

Enforcing the PPR process

2.52 Several respondents drew attention to a scenario in which the impacts that the air navigation service provider anticipates for a proposed procedure change subsequently turn out to be wrong. In other words, a procedure change that was

deemed to be out of scope of PPR is, when implemented, causing impacts that would have made it in scope. They questioned that the CAA does not have the power to require the air navigation service provider to go through the PPR process retrospectively in such cases.

2.53 **Outcome:** The position is as stated in the consultation document, and is not in the CAA's gift to change. In these circumstances, the CAA has no statutory power to require the air navigation service provider to go through the PPR decision-making process retrospectively. If such a case were identified, the CAA would inform the Department for Transport who would, after careful consideration of the specific case, consider whether further action was needed.

Question 3: The air navigation service provider internal 'trigger' process for initiating a PPR proposal

2.54 The 'trigger' process received significant support from respondents, but some raised concerns with the way this would work.

2.55 Several respondents noted that the new process relies entirely on air navigation service providers identifying and proposing PPRs to the CAA, based on information that they themselves hold. They questioned how motivated an air navigation service provider would be to do so, particularly given the potentially complex assessment methodologies required.

2.56 Some felt that it placed too much reliance on the air navigation service provider getting it right – whether through deliberately concealing that a change was in scope of the PPR process, or simply through not having the technical expertise to make an accurate assessment. Also, some noted that the CAA would not directly oversee the process. Some suggested that the CAA should monitor changes that were being implemented without being put through the PPR process, giving the CAA greater understanding of the changes being applied.

2.57 It was also noted that no timescales for introducing the trigger process were specified in the consultation document.

2.58 **Outcome**: The PPR decision-making process is new, and there is general agreement that each air navigation service provider must devise its own internal trigger process to establish whether any given change is in scope of the definition of a relevant PPR. That definition is in the Air Navigation Directions with supporting interpretation that the CAA is publishing in Part 2 of CAP 1616.

2.59 The concept of the trigger process was conceived on the basis that only the air navigation service provider knows that it is contemplating a potential operational procedure change – at least until the CAA is notified for the purposes of safety oversight, and then only a very small proportion of those notifications is likely to be in scope of the PPR process. Only the air navigation service provider has the necessary information to understand the impacts of a given change and therefore to assess whether it would be in scope of the PPR process. In addition, during the development phase of any given change, the air navigation service provider would have the knowledge and resource to take into account the consequential impacts of a change and influence the change content. Therefore the CAA's role is necessarily limited to providing guidance to air navigation service providers on how to identify a relevant PPR that requires CAA approval.

2.60 Introducing an internal trigger process will require an education process for air navigation service providers with support from the CAA where appropriate. We recognise that smaller air navigation service providers may have fewer resources, including analytical software and staff, than a large organisation like NATS. We fully expect that in some cases a proposal will be made as a collaborative effort between the airport and air navigation service provider.

2.61 We are not dictating a standard internal process. However, by bringing the new edition of CAP 1616 and the consultation document that preceded it (paragraphs 6.7 and 6.8 of Chapter 6) to the attention of all air navigation service providers and airports in scope, we have endeavoured to ensure that each air navigation service provider is aware of its obligations and the need to plan, resource and train staff accordingly to introduce its own trigger mechanism in good time. Once the process takes effect on 1 February 2020, an air navigation service provider should not make operational procedure changes

that give rise to a relevant PPR unless it has gone through the decision-making process.

2.62 Notwithstanding the above, we will continue to monitor operational procedure changes through the temporary operating instructions and supplementary instructions that air navigation service providers are required to notify to us for the purposes of safety oversight. This will allow us to monitor how the trigger process is performing. Ultimately it is the responsibility of the air navigation service provider to identify whether a given change is in scope. As noted earlier, the CAA has no statutory power to require the air navigation service provider to go through the PPR decision-making process retrospectively.

2.63 The PPR process will be initiated by the submission of a Statement of Need. An associated entry will be created on the online portal, which will also host all of the outputs produced by air navigation service providers throughout the process. (Pending the upgrade of the online portal to accommodate PPR proposals, there will be an interim arrangement using the CAA website.)

2.64 The CAA's determination on whether a proposed PPR falls within scope of the process will be made following any discussion or meeting with the air navigation service provider and the outcome will be published on the online portal. This transparent approach will support the education of air navigation service providers, as they will be able to see details of the operational procedure changes that were or were not found to be in scope of the process.

2.65 Our expectation is that we will be regularly asked to opine on whether a given change is in scope of the process or not, an obligation placed on us by paragraph 15 of the annex to the Air Navigation Directions. The air navigation service provider makes such a request by submitting a Statement of Need. If the request is from an airport operator, it is still the air navigation service provider that submits the Statement of Need. In some cases the air navigation service provider or airport may believe that the change is not in scope of the PPR process and the purpose of the request is to seek the CAA's confirmation of that. In such cases, the air navigation service provider still makes the request by submitting a Statement of Need.

2.66 In summary, a Statement of Need is submitted by an air navigation service provider, if necessary on behalf of an airport operator, where:

- it identifies a proposed operational procedure change as a relevant PPR
- it identifies a proposed operational procedure change as not being a relevant PPR, but wants the CAA's confirmation of that assessment, for example to provide transparency for local residents
- it is unsure whether a proposed operational procedure change is a relevant PPR, and is asking the CAA to make a determination under paragraph 15 of the annex to the Air Navigation Directions.

Question 4: Aspects of the CAP 1616 process missing from the PPR process

2.67 A number of community respondents thought there should be a greater onus on the air navigation service provider to explain to those overflown who will be affected and how.

2.68 More than one respondent thought that while it may not be appropriate to apply the full CAP 1616 Part 1 process to all PPR proposals, this should at least be an option for a PPR with very significant impacts. Examples quoted were the first two gateways, the Public Evidence Session and seeking comments on a draft of the CAA decision, in the context of the Directions making no provision for the Secretary of State to call-in a proposal, and there being no appeal process. One respondent asked that stakeholders be given the opportunity to comment on the Statement of Need, which goes beyond the CAP 1616 Part 1 process.

2.69 **Outcome:** We had requests from several categories of respondent to keep the process as proportionate and streamlined as possible. We have had to consider carefully whether elements of the CAP 1616 process that would significantly extend and complicate the PPR process will add sufficient value to make them worthwhile. The justification given by respondents was that the impact of a PPR could be the same as a Level 1 change in airspace design. That is true, but it does not follow that the process should be the same. A change in airspace

design is likely to be much more complex than a change in air traffic control procedures within an existing airspace design. The latter is likely to be much more specific and easily defined.

2.70 We have had to ask ourselves whether the elements we have omitted would add to the evidence base and provide much additional relevant information to the decision-maker that they are not already aware of. Our view is that they would not, and that they cannot be adequately justified, even for the more impactful proposals. We have seen nothing in consultation responses to convince us that this is the wrong approach.

2.71 For any change, we require the air navigation service provider to identify properly who is affected, and to explain fully to them what the impacts are. For a change with significant impacts, we require the air navigation service provider to maximise stakeholder engagement through proper consultation and appropriate public events. In this respect the PPR process is no different to that for proposed changes in airspace design using the CAP 1616 process.

Question 5: The number of options for making a change in air traffic control operational procedure

2.72 The general consensus was that multiple options should generally be possible for all types of PPR, although it did depend on the circumstances – for example, a safety-related change could be a binary choice. Several industry respondents thought a Type 2 PPR was also a binary choice, or could not be generalised. Some respondents thought it could only be determined on a case-by-case basis. Some respondents expressed their desire for there to be multiple options, but this was not what the question was asking.

2.73 **Outcome:** We accept that circumstances will dictate how practical it is to investigate multiple options. Nevertheless, we will expect multiple options to be the starting position, of which one will be keeping the status quo, and the air navigation service provider to justify a binary choice to us.

Question 6: Post-implementation report

2.74 For the post-implementation review – the stage where we verify whether the anticipated impacts and benefits in the original proposal and CAA decision have been delivered – we proposed a similar process for PPR to the existing airspace change process, except that it would be the air navigation service provider that would produce a report rather than the CAA, including a summary of any related feedback received. We proposed that the CAA would then carry out a high-level review of the air navigation service provider's report to determine whether or not we agree with its conclusions.

2.75 More than half of respondents thought that something more was needed. The comments we received were mixed; communities and their representatives were generally sceptical that the air navigation service provider could be trusted to produce an objective assessment of the impacts and suggested that they be allowed to input. We received a number of comments alleging that the CAA would be 'rubber-stamping' the post-implementation report without proper scrutiny. The responses also suggested that the report be produced either by the CAA, by an independent body such as the Independent Commission on Civil Aviation Noise, or by a non-governmental organisation like the Aviation Environment Federation.

2.76 **Outcome:** Having considered the responses we concluded that the air navigation service provider should be required to complete the post-implementation review process and submit a report to the CAA for review.

2.77 We acknowledge concerns that trust issues surround any report which is produced by the initiator of the change. There may have been some confusion caused by our use of the term 'high-level review' in the consultation document when referring to the CAA's review of that report. The report must include factual data collected and analysed by the air navigation service provider that is then reviewed by the CAA. The CAA will test the assumptions and the conclusions that have been reached. But the expertise for compiling that report sits with the air navigation service provider. It remains our view that the CAA should not collect and analyse the data. This is in line with the safety management system approach to regulating safety risks that is supported by a

strong assurance function that monitors compliance and performance as well as managing changes.

2.78 The Air Navigation Directions allow the CAA to attach conditions to its approval of a PPR. The CAA can therefore make approval conditional on a satisfactory post-implementation review by the air navigation service provider. In the process we are adopting, we are clarifying that when the CAA reviews the air navigation service provider's report, we will state whether we consider the post-implementation review open, closed, or partially satisfied:

- we will consider it closed if the implemented change in operational procedures satisfactorily achieves – within acceptable tolerance limits – the objective of the proposal as it was approved by the CAA
- we will consider it open if we are not satisfied with the report (if, for example, we believe the analysis to be inconclusive) and will require the air navigation service provider to rectify the shortcomings in the report
- we will consider it partially satisfied if the change in operational procedures requires modification to better achieve the objective of the proposal as it was approved by the CAA.

2.79 In the third case, the CAA will require that those modifications are then further monitored for effectiveness. Once the modifications have been implemented and operated for a period (approximately six months), there are three further possible outcomes (mirroring the process in Stage 7 of Part 1 of CAP 1616):

- noting that the modifications did not better achieve the objective of the proposal as it was approved by the CAA, we may conclude that the original change in procedures was satisfactory and is confirmed; or
- noting that the modifications did not better achieve the objective of the proposal as it was approved by the CAA, we may conclude that the original change in procedures was not satisfactory and the original change is not confirmed (in which case, in order to pursue its change in procedures, the air navigation service provider will need to commence a fresh PPR proposal from Stage 1); or

- we may conclude that the modifications do better – within acceptable tolerance limits – achieve the objective of the proposal as it was approved by the CAA and so the modified procedures will be confirmed.

Question 7: Temporary PPR changes

2.80 Our proposal largely mirrored the CAA's approach for temporary changes to airspace design, except that we proposed that a temporary change could last for up to six months rather than the 90 days for a temporary change in airspace design. This was in recognition that planned maintenance of ground-based navigation aids – which would be a common reason for a temporary PPR – could take this long.

2.81 We also made clear that safety-critical changes could be implemented immediately subject to safety clearance, providing that a Statement of Need for any change subsequently assessed as a relevant PPR was submitted to the CAA within four weeks of the Temporary Operating Instruction for the change being issued, and the change then following the usual PPR decision-making process.

2.82 There was general support for a shortened process for temporary changes, providing that the change was genuinely temporary. Some industry respondents expressed serious concerns that the shortened process was still over-long, and asked what would happen should operational changes need to be achieved sooner than the process would allow.

2.83 In particular, our attention was drawn to the impact of the proposed process on planned maintenance on a ground-based navigational aid. The process could mean the air navigation service provider having to carry out extensive advance planning perhaps years in advance, because the maintenance may cause altered traffic flows that require prior approval through the PPR decision-making process, even using the shortened process for temporary changes that we proposed. Some noted that the process might take longer than the duration of the change itself, and questioned what the process would actually achieve. Two

respondents suggested that a consultation should be necessary only if a pre-agreed threshold were exceeded.

2.84 **Outcome:** We have re-thought the temporary process in the light of consultation responses.

2.85 The genesis of the PPR process was based on impacts on the ground. As has been pointed out to us during the consultation, 'PPR' stands for planned and permanent. Despite this, it was clear from the definitions in the Air Navigation Directions that a change in air traffic control operational procedures meeting the definition of a relevant PPR would be in scope of the process whether or not it was actually temporary rather than permanent. We must therefore introduce a decision-making process for such changes. But we have had in mind that the very name PPR indicates that the thinking was about a more permanent change.

2.86 The process for temporary changes in airspace design does not include formal consultation of communities. Based on the Government's Air Navigation Guidance, communities that may be affected by a proposed temporary change in airspace design affecting the distribution of traffic below 7,000 feet are informed prior to the change being implemented, but not consulted. Aviation stakeholders are formally consulted. This was our starting point for the temporary PPR process, and we continue to see no justification for a process that is more onerous than that for a temporary change in airspace design.

2.87 In the case of a PPR, the current position (i.e. prior to 1 February 2020) is that there is no formal requirement to consult even aviation stakeholders. It is therefore questionable what the motivation would be, and whether it is proportionate, to introduce such a consultation requirement solely for aviation stakeholders for a PPR change that will last less than six months. We have in mind in particular here the significant concerns expressed to us by some of the responses (summarised briefly above) that the process for temporary PPRs that we had proposed was potentially not meaningful and just imposed a burden that could impede routine maintenance of navigation aids, for example.

2.88 We recognise that air navigation service providers will need to periodically take equipment such as ground-based navigation aids out of service for maintenance, whether planned or unplanned, and that it would be disproportionate to require a process that requires years of advance planning and may take longer than the duration of the change itself. If a ground-based navigational aid fails unexpectedly, it does not seem proportionate for any revised route to be unavailable while the problem is fixed simply because of the need to go through the PPR process (assuming that the air navigation service provider is unable to make the case for a safety-critical, immediate change).

2.89 We are therefore modifying our original proposed temporary PPR process as follows and as shown in Figure 2.3 below:

- there will remain a requirement for the air navigation service provider to submit a Statement of Need
- the air navigation service provider will be required to carry out the noise assessment described in paragraph B83 in Appendix B of CAP 1616
- the air navigation service provider will be required to identify stakeholders potentially affected
- the air navigation service provider will be required to inform those stakeholders of the temporary change and potential impacts, and to set out to them its plans for engagement and monitoring of feedback should the temporary change be implemented
- the air navigation service provider will provide evidence of the above to the CAA in seeking approval
- subject to the CAA giving its approval, the air navigation service provider implements the change for a three-month period, complying with any conditions in that approval
- while the temporary change is in operation, the air navigation service provider undertakes regular engagement with affected stakeholders to collate and monitor feedback during its operation to report to the CAA
- if necessary the CAA will give notice of withdrawing its approval based on the feedback report
- the CAA will consider extending the approval for a further three months after assessing the need for an extension and the feedback report

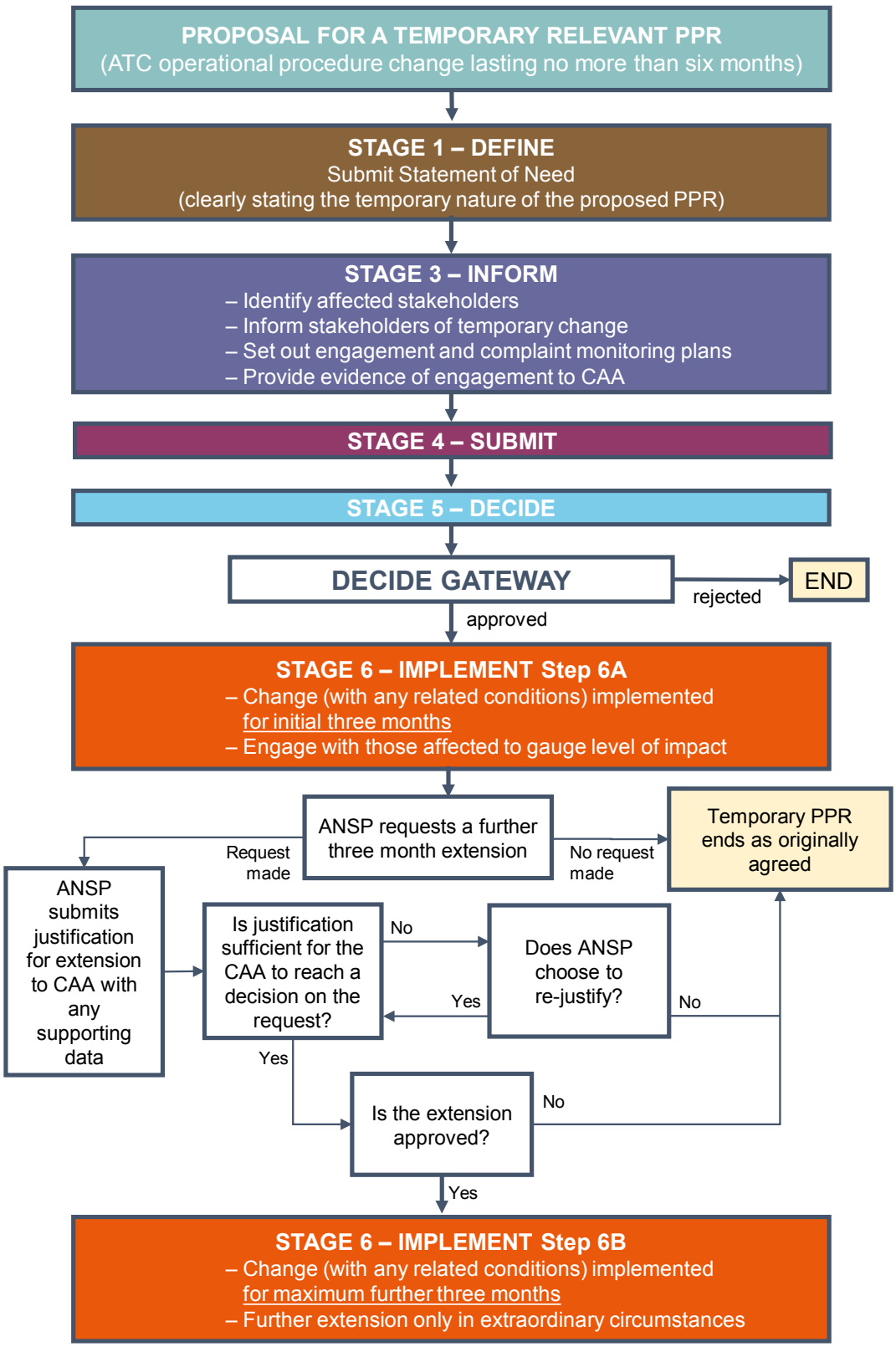
- any further extension beyond six months would be given only in extraordinary circumstances.

2.90 The process is scalable, so short-duration or low impact changes can be processed relatively quickly.

2.91 It was drawn to our attention that a definition of six months for a temporary change, rather than the 90 days used for a temporary change in airspace design, could lead to a change being repeatedly imposed at times of peak traffic, i.e. the summer season. We are therefore making clear in the PPR process in Part 2 of CAP 1616 that a change justified on this basis, or which appears to the CAA to fall into this category, would be regarded as a permanent change and would not qualify for the temporary PPR process.

2.92 To qualify for the temporary PPR process, we are also requiring the air navigation service provider to confirm that the change is reversible, to allay the fears expressed to us by communities that the usual PPR process could be bypassed by claims that it is not possible to revert to previous operational procedures.

Figure 2.3: Final decision-making process for a temporary relevant PPR



Note: The stage numbers correlate with those used for the full PPR decision-making process.

Question 8: Implementing the PPR decision-making process

Implementation date

2.93 **Outcome:** As noted earlier, the Government has deferred implementation by three months to 1 February 2020. We hope this revised timescale will alleviate industry concerns that air navigation service providers and/or CAA would find it challenging to prepare properly for the new process.

Air traffic control operational procedure changes in the pipeline

2.94 **Outcome:** It is possible that an air navigation service provider may have a change to an air traffic control operational procedure in the pipeline that is potentially in scope of the PPR process when the new process is implemented on 1 February 2020. As we are publishing the new PPR process very close to the implementation date, we recommend that any air navigation service provider in this position should contact the CAA's Airspace Regulation team at airspace.policy@caa.co.uk.

2.95 Because a supplementary instruction changing air traffic control operational procedures must normally be notified to the CAA's Safety and Airspace Regulation Group on 30 days' notice, the CAA will begin accepting PPR proposals once the new process is published in January 2020.

Reviewing the process after implementation

2.96 Although we made clear that this consultation was not about the policy itself, or the way the Government has defined a relevant PPR, because the CAA has no direct control over these aspects, we still had many responses questioning the content of the Air Navigation Directions.

2.97 This is a matter for the Department for Transport in the first instance, but the Department will be looking to the CAA to advise it on how the new policy is bedding in. Indeed, Direction 9A(6) requires the CAA to provide an annual report to the Secretary of State outlining the types of PPR, relevant airports and decisions for those proposals that are put to us.

2.98 **Outcome:** CAP 1616 commits to reviewing the decision-making process for changes in airspace design three years after introduction (i.e. some time after January 2021). We believe that it would also make sense to review the PPR process three years after its implementation, i.e. some time after February 2023. We might bring that review forward if:

- we are receiving a higher number of PPR proposals than we expected that might cause us resourcing issues and/or impose a disproportionate burden on air navigation service providers
- the Government reviews its policy (and therefore the Air Navigation Directions) on PPR.

2.99 If we receive relatively few PPR proposals in those three years, we may still decide to go ahead with a review. Air navigation service providers should by then have had plenty of experience of reviewing all their operational procedure changes using the internal PPR trigger process, which may have thrown up some issues. We will also have provided two of the annual PPR reports to the Secretary of State by then.

Chapter 3

Quantitative analysis of multiple-choice questions

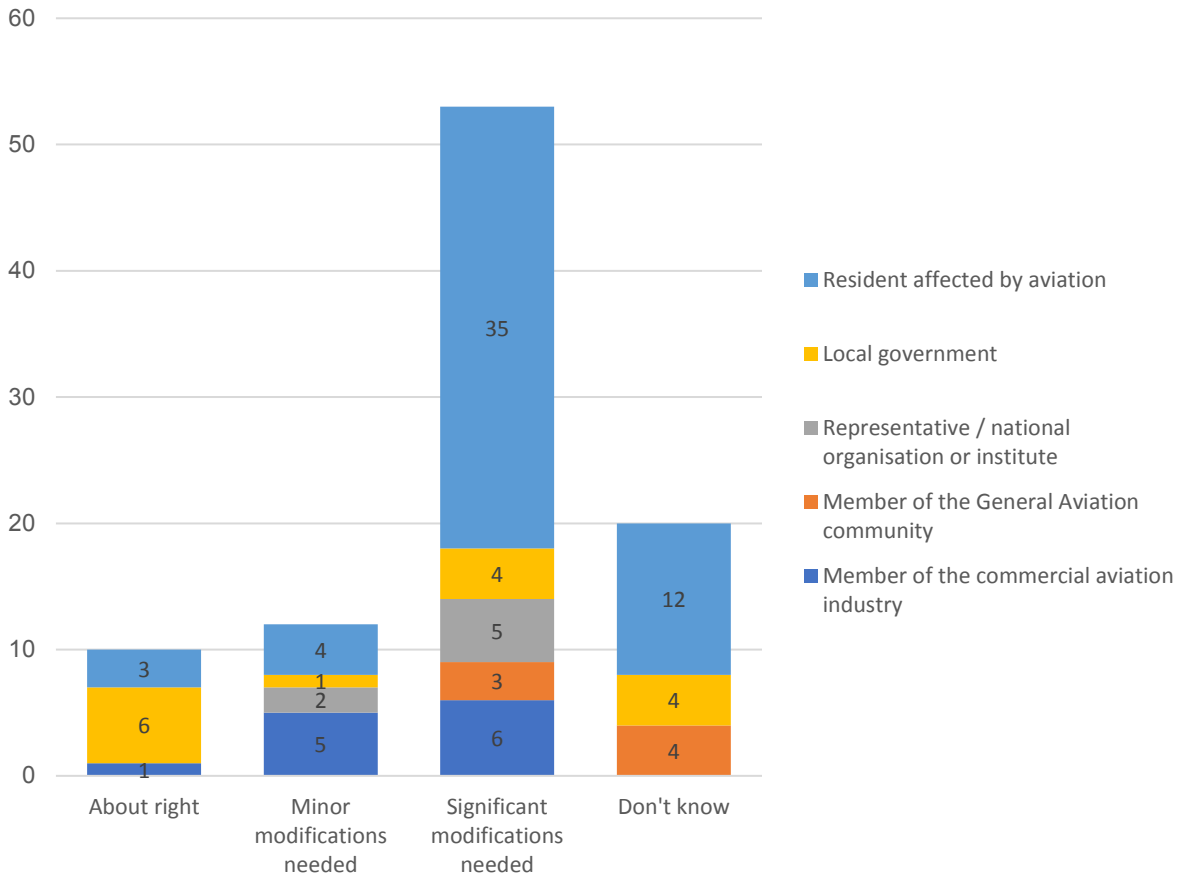
Introduction

3.1 This chapter considers the responses to the multiple-choice questions. It does not consider any accompanying text, which is analysed in Chapters 4 and 5.

3.2 Of the 103 responses we received, 16 were not submitted by the online form, but were instead sent to us by email. 10 of these offline submissions were arranged in our question format and could therefore be included in the analysis in this chapter. The six that were not arranged in our question format could not.

Question 1: Views about the proposed process overall

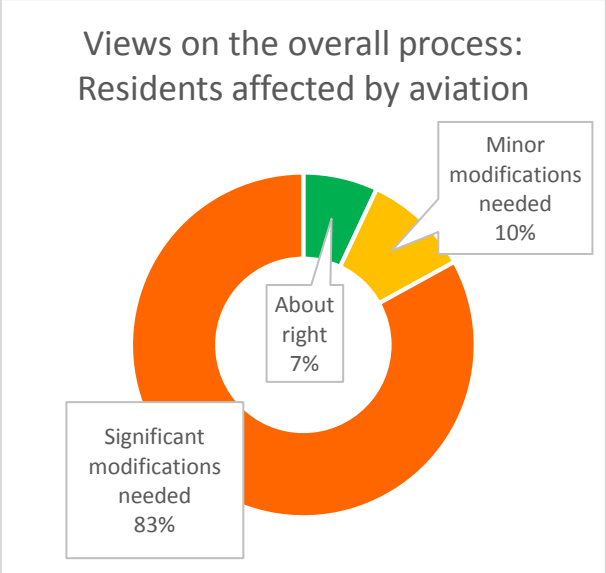
Overall, what are your views on the CAA's proposed decision-making process?

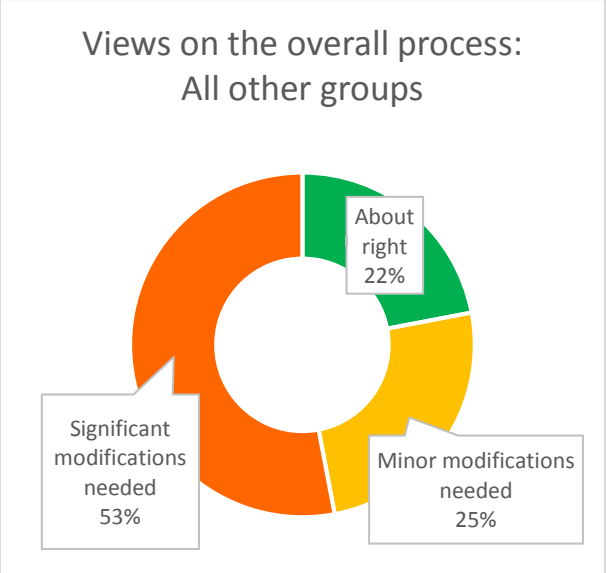


3.3 Views on the process overall were mixed, with 10 respondents believing the proposed process to be about right, 12 believing it to require minor modifications and 53 believing it to require significant modifications. (20 respondents stated that they did not know if and what modifications were required.)

3.4 By far the largest group to believe that significant modifications to the process were needed was residents affected by aviation. Thirty-five of the 54 responses in this category said this.

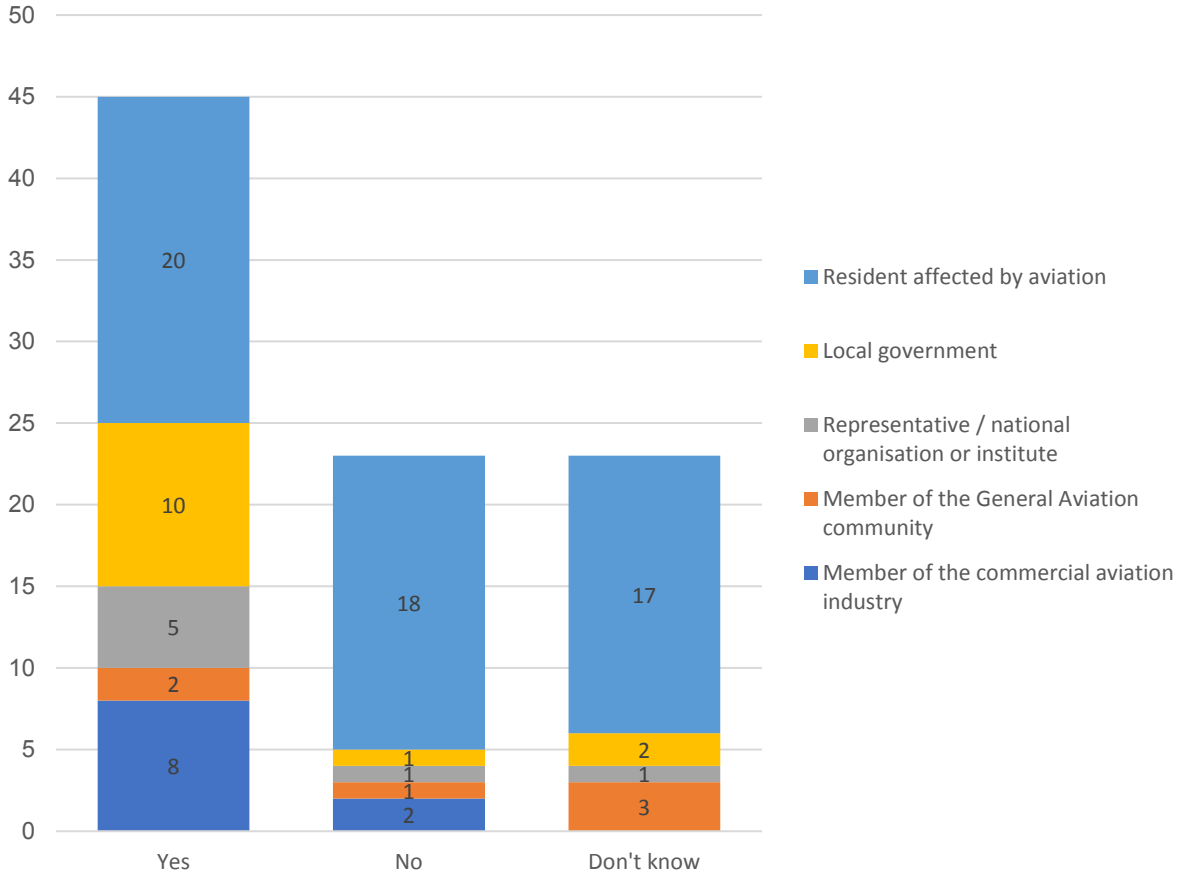
3.5 Among respondents other than residents, views on the process were more evenly split, with 53 per cent believing the process to require significant modifications and the remaining 47 per cent believing the process to be about right (22 per cent) or to require minor modifications (25 per cent). The views of the commercial aviation industry, for example, were that six respondents believed the process to require significant modifications, five that it required minor modifications and one that it was about right.





Question 3: The air navigation service provider internal 'trigger' process for initiating a PPR proposal

The CAA proposes that an air navigation service provider must introduce an internal 'trigger' process alongside its existing safety assessment that will always identify where a proposed change in air traffic control operational procedure is a 'relevant PPR'. Do you agree that this is the most appropriate way for an air navigation service provider to identify when it must follow our proposed PPR process before implementing such a change?

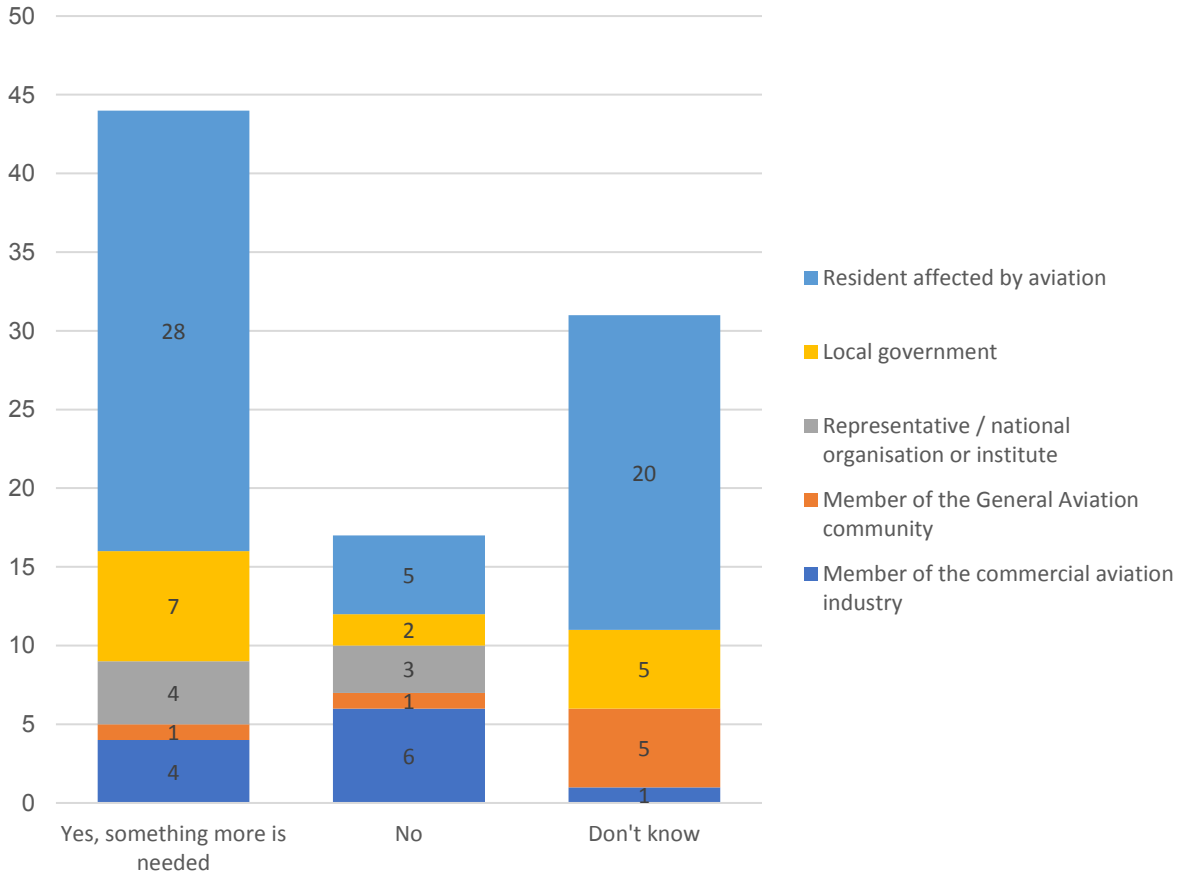


3.6 Forty-five respondents agreed that developing an internal trigger process alongside its existing safety assessment was the most appropriate way for an air navigation service provider to identify when it must follow the CAA's proposed PPR process. Twenty-three disagreed with the statement and 23 said that they did not know.

3.7 Among groups other than residents, there was even more pronounced support for the introduction of an internal trigger process by air navigation service providers, with 70 per cent of those groups agreeing with the proposal, 14 per cent disagreeing with it and 16 per cent unsure.

Question 4: Aspects of the CAP 1616 process missing from the PPR process

Are there any aspects of the CAP 1616 airspace change process that you think are missing from our proposed PPR process and should be included?



3.8 Of the 92 respondents who answered this question, 44 said something more was needed, 17 said that nothing more was needed and 31 were unsure.

3.9 The view that something more was needed was most prevalent among residents affected by aviation, with 53 per cent of all residents who answered the question stating that more was needed – compared with 9 per cent who didn't think anything more was needed and 38 per cent who were unsure.

3.10 By comparison, members of other groups were more evenly split in their views. Of all respondents excluding residents, 41 per cent thought that something more was needed, compared with 31 per cent who thought that nothing more was needed and 28 per cent who were unsure.

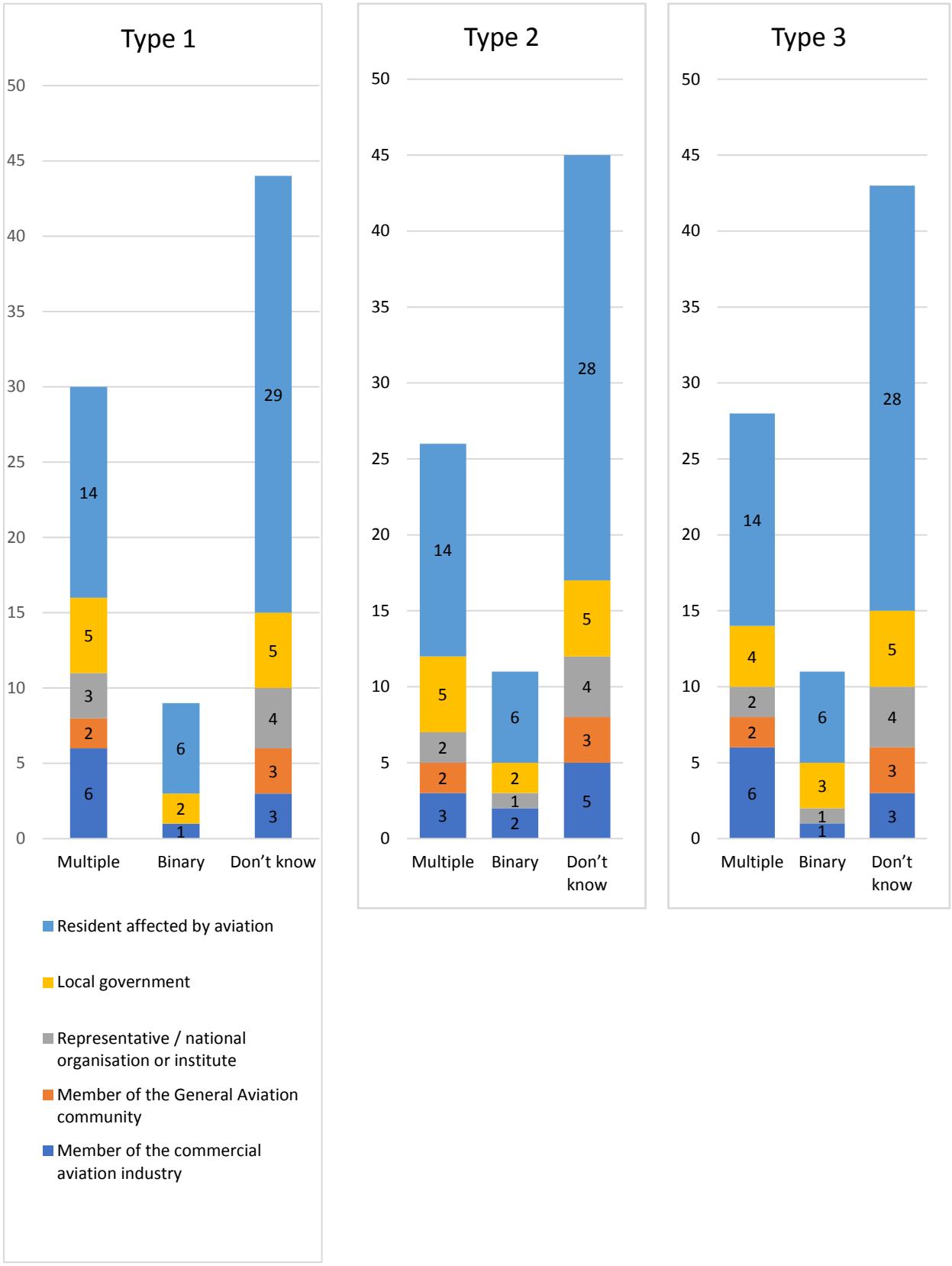
3.11 Of respondents from industry, 36 per cent answered that something more was required, compared with 55 per cent who thought that nothing more was needed and nine per cent who were unsure.

Question 5: The number of options for making a change in air traffic control operational procedure

Where a PPR is proposed, can multiple workable options be developed for the change in air traffic control operational procedure, or are the only options either to do the PPR or to do nothing (i.e. a binary choice)? Please answer for each of the three types of relevant PPR.

3.12 For each type of PPR, the majority of respondents who gave an answer other than 'don't know' said that it would be possible to develop multiple options:

- **for Type 1 PPRs**, 30 stated that multiple options were workable, 9 that the choice would be binary and 44 stated that they didn't know.
- **for Type 2 PPRs**, 26 respondents stated that multiple options were workable, 11 that the choice would be binary and 45 stated that they didn't know.
- **for Type 3 PPRs**, 28 respondents stated that multiple options were workable, 11 that the choice would be binary and 43 stated that they didn't know.


Type 1
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3
Multiple
Binary
Don't know
Resident affected by aviation
Local government
Representative / national organisation or institute
Member of the General Aviation community
Member of the commercial aviation industry
Type 2
14
5
2
2
3
6
2
1
2
28
5
4
3
5
Multiple
Binary
Don't know
Type 3
14
4
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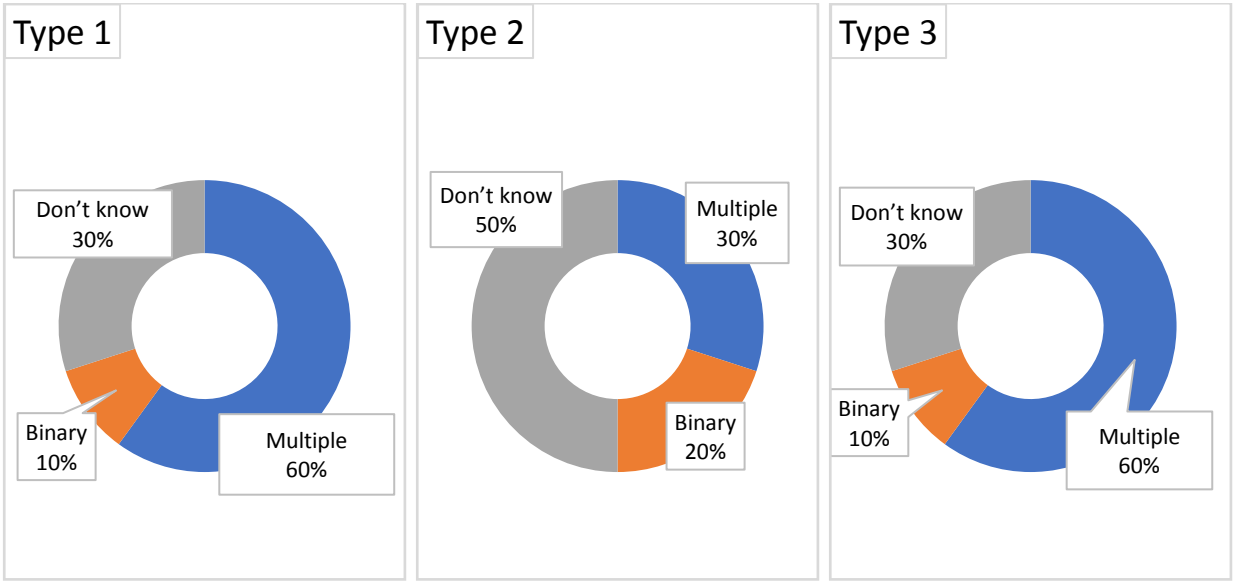
3
Multiple
Binary
Don't know

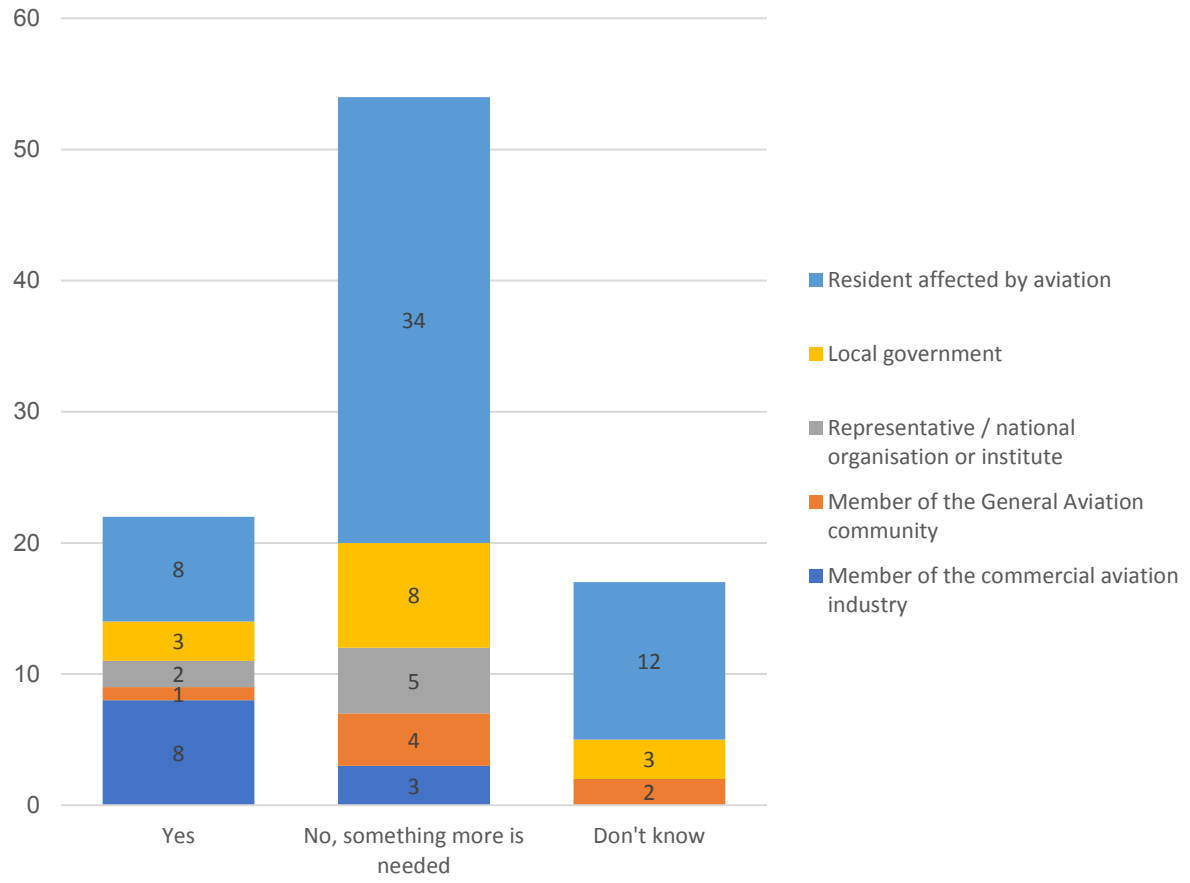
Views of the commercial aviation industry



3.13 One or two respondents from the commercial aviation industry said that the choice would have to be binary. For Types 1 and 3, respondents from industry otherwise generally believed there to be multiple options in both cases. They were less sure about Type 2 changes, with five of 10 answering 'don't know' and three saying that there were multiple options.

Question 6: Post-implementation report

Do you agree with our proposal that it is the air navigation service provider which produces a post-implementation report (as to whether the change has had the impacts and benefits predicted) rather than the CAA?



3.14 Respondents expressed mixed views on the CAA's proposal that the air navigation service provider produces a post-implementation report for the CAA to review. Fifty-four respondents disagreed, 22 agreed and 17 didn't know.

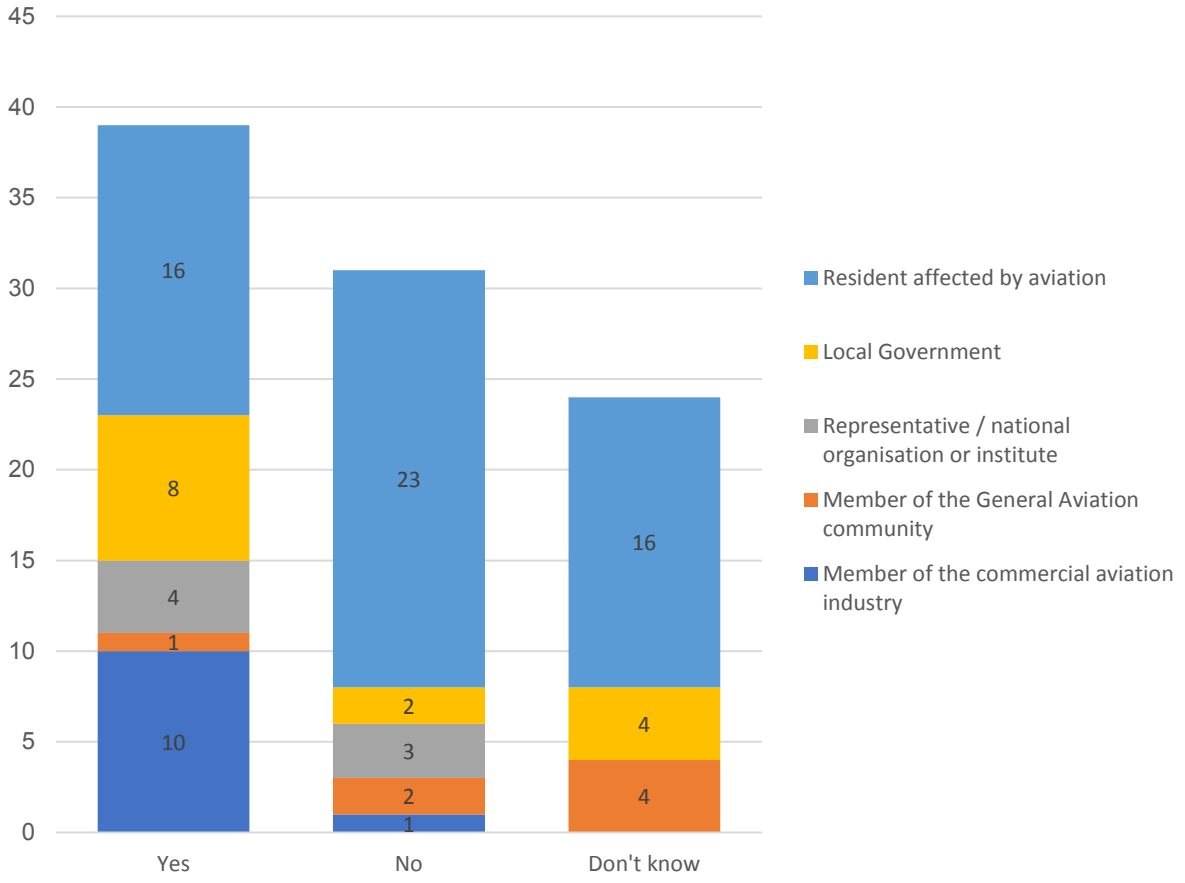
3.15 Excluding 'don't knows', residents were the most opposed to the idea of the air navigation service provider producing the post-implementation report, with over four times as many residents against the idea as in support of it. The second most opposed group was local government, with over twice as many responses from this group opposed to the idea as in favour of it. This was followed by members of the General Aviation community, who disagreed with the proposal by a ratio of four to one. Representative or national organisations or institutes were more mixed in their responses, with two responses in agreement with the

proposal and five in opposition. The only group with a majority in support of the idea of air navigation service providers producing the post-implementation report was the commercial aviation industry, with more than twice as many respondents from this group supporting the proposition as opposing it.

Category	Yes	No, something more is needed
Member of the commercial aviation industry	8	3
Representative or national organisation or institute	2	5
Local government	3	8
Member of the General Aviation community	1	4
Resident affected by aviation	8	34

Question 7: Temporary PPR changes

Do you agree with the CAA's proposal that it would be proportionate to apply a scaled process for a temporary 'relevant PPR' proposal lasting no more than six months?



3.16 Most respondents agreed with the CAA's proposal to apply a scaled process for temporary 'relevant PPR' proposals lasting no more than six months. The respondent group that showed the greatest level of opposition to the CAA's proposals was residents affected by aviation, 44 per cent of whom disagreed that it would be proportionate – 31 per cent agreed that it would be proportionate and 25 per cent didn't know.

3.17 The level of support for the CAA's proposal was more pronounced among other groups. In particular, members of the commercial aviation industry were overwhelmingly in support of this proposal, with 10 out of 11 (91 per cent) supporting the idea of a scaled process.

Chapter 4

Qualitative analysis of free-text responses

Introduction

4.1 This chapter considers the key themes that were raised in the open-text responses.

Open-text questions

4.2 Each of the eight questions we asked had an open-text component. This means that, in addition to any multiple-choice (closed) questions, respondents were invited to write free text sharing their views.

4.3 Most respondents took the opportunity presented by the open-text responses to share their views, evidence or rationale for their answers. A number of recurring themes arise in the open-text responses. In this chapter we summarise what those themes were, and who raised them. Specific recommendations respondents made or questions raised are summarised in Chapter 5.

Methodology

4.4 We used a basic qualitative research method to analyse the open-text responses which involved identifying, and then applying, a list of key points or themes raised by respondents. To create a list of themes, three members of CAA staff each read a cross-section of ten responses (six of which were unique to each staff member and four of which were shared) in full and grouped the topics, ideas, concerns and comments that were raised in them. The staff then discussed them until a definitive list of themes was agreed. Three staff members then read all 103 responses and noted (or, using the software built into the consultation hub we used,

'tagged') the themes that arose in each and every answer. This method ensured that:

- every individual response (submitted in the correct format) was read from start to finish by a member of CAA staff
- the themes we discuss in this chapter were generated by the respondents in their free-text responses – they were not pre-identified by the CAA but are the key points raised directly by the respondents themselves
- key themes emerging in each response were noted so that, where possible, they were analysed quantitatively (i.e. so that we know how many respondents, and of which stakeholder group, raised a particular topic or concern).

4.5 Each consultation response was analysed by recording the themes raised for each question. If a respondent raised the same theme in several questions, each instance is counted, but each theme is only counted once per question, per response. For example, if a respondent mentions transparency once in response to a particular question, that counts as one instance; if they mentioned it seven times in response to that same question, it still only counts as one instance; if they mentioned it in response to seven separate questions, that counts as seven instances.

Overarching themes

4.6 There were many overarching themes identified in the consultation responses. The most common and significant of these are discussed below. For each theme, where we have permission, we have quoted from examples of actual responses to illustrate the sentiments being expressed. We have grouped the themes as follows:

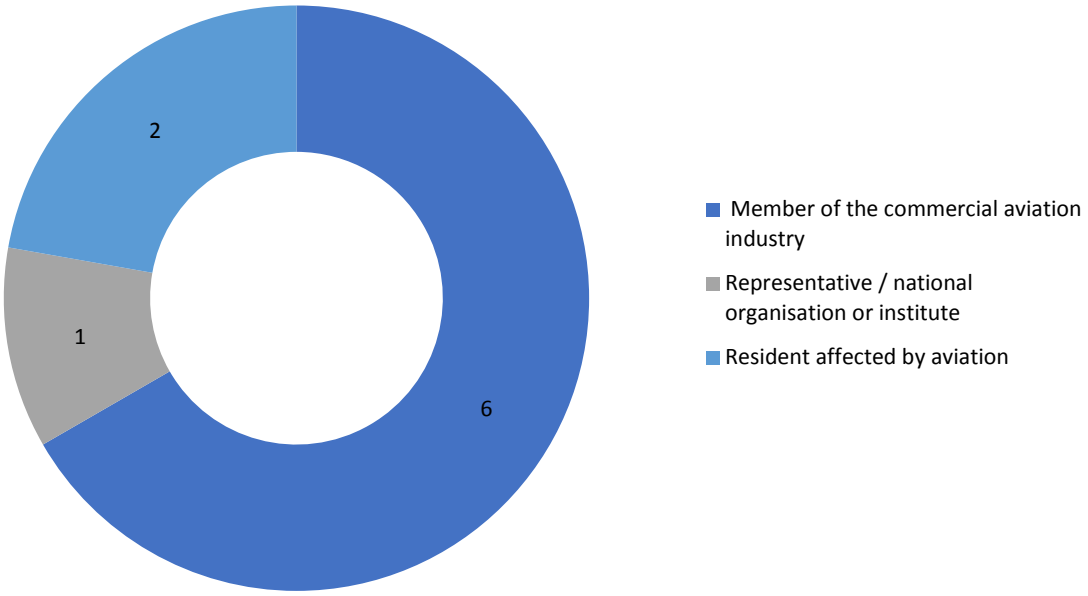
- only an air navigation service provider can propose a PPR
- identification of PPRs
- trust in the aviation industry
- CAA oversight

- the length and proportionality of the process
- the provision of clarification and guidance on the process
- transparency
- complexity of the consultation or proposed process
- frustration with aviation noise and perceived lack of public engagement.

Only an air navigation service provider can propose a PPR

Figure 4.1: Concern that only an air navigation service provider can propose a PPR

There were nine instances, raised by seven respondents, where concern was expressed that only air navigation service providers could seek approval for a PPR. Most of these were members of the commercial aviation industry.



4.7 Some respondents expressed concern that only air navigation service providers can seek approval for a PPR. In particular, airport operators wanted to be able to propose a PPR or for there to be a clear mechanism whereby air navigation service providers and airport operators could co-sponsor a PPR.

4.8 One airport operator said that it was: *"… supportive, in principle, that a change process should exist for changes to air traffic procedures that will*

have an impact on air traffic on the ground. However, [we] firmly [believe] that the Airport (rather than the ANSP) should lead any change process whereby changes affect the routeing of air traffic below 9,000 feet. [We do] not agree that the ANSP should lead this type of project without, at least, a partnership or co-sponsored approach with the Airport (where this is applicable).”

4.9 Similarly, Heathrow Airport said: *“The document states that only an ANSP can take a PPR through this process – therefore should an airport wish to initiate a change we will have to contract the ANSP to do this for us – which will result in extra costs, process, resource – therefore does this disenfranchise airports? For example there is no consideration of an airport led change to SID usage which falls into the Type 2 criteria...we would like to understand why an airport would have to contract an ANSP to lead this through the process when it would be an airport led and funded project with the ANSP as an important stakeholder?”*

4.10 ICAMS (Industry Coordination for the Airspace Modernisation Strategy) said: *“Airports should be able to progress a PPR, for example where an airport has CAS within which routes (SIDS/STARS) could be adjusted. According to the draft document, only an ANSP can progress a PPR, but why should the ANSP have to front an airport project?”*

4.11 HACAN (Heathrow Association for the Control of Aircraft Noise) said: *“We would also like to see the CAA lay out a process whereby organisations, such as local authorities or community organisations, could realistically be the promoter of a PPR change. We appreciate that the proposal would need to meet the rigorous standards required of any PPR change but some guidance of how organisations outwith the aviation sector could approach this would be helpful.”*

Identification of a PPR

4.12 Among some respondents, there was a degree of concern about the ability of air navigation service providers to correctly identify relevant PPRs – and

thus a desire for the CAA to provide clear guidance to help air navigation service providers with the identification process.

4.13 Manchester Airports Group said: *"there needs to be clear guidance on the PPR triggers and the process that ANSPs should use to ensure consistency between ANSPs and transparency in decision making."*

4.14 Likewise, the British Helicopter Association said: *"The CAA Aerodrome Licensing Department should put out simple guidance to the ANSPs so they can easily decide whether a PPR is required. Some of the flow diagrams in the consultation document would be [a] good basis."*

4.15 One airport operator echoed this point, and raised concerns about what they saw as the difficulties around understanding whether an air traffic control operational procedure change will count as a relevant PPR without running an airspace trial: *"[We agree] that a trigger process alongside the safety assessment is an appropriate way to require the ANSP provider to consider whether any change may fall into the criteria for a PPR. However, further guidance is needed in a number of areas to support the ANSP in its assessment. The biggest challenge [we foresee] is in the assessment of whether a change will meet the criteria or not, as it is very difficult to do this without any airspace trial."*

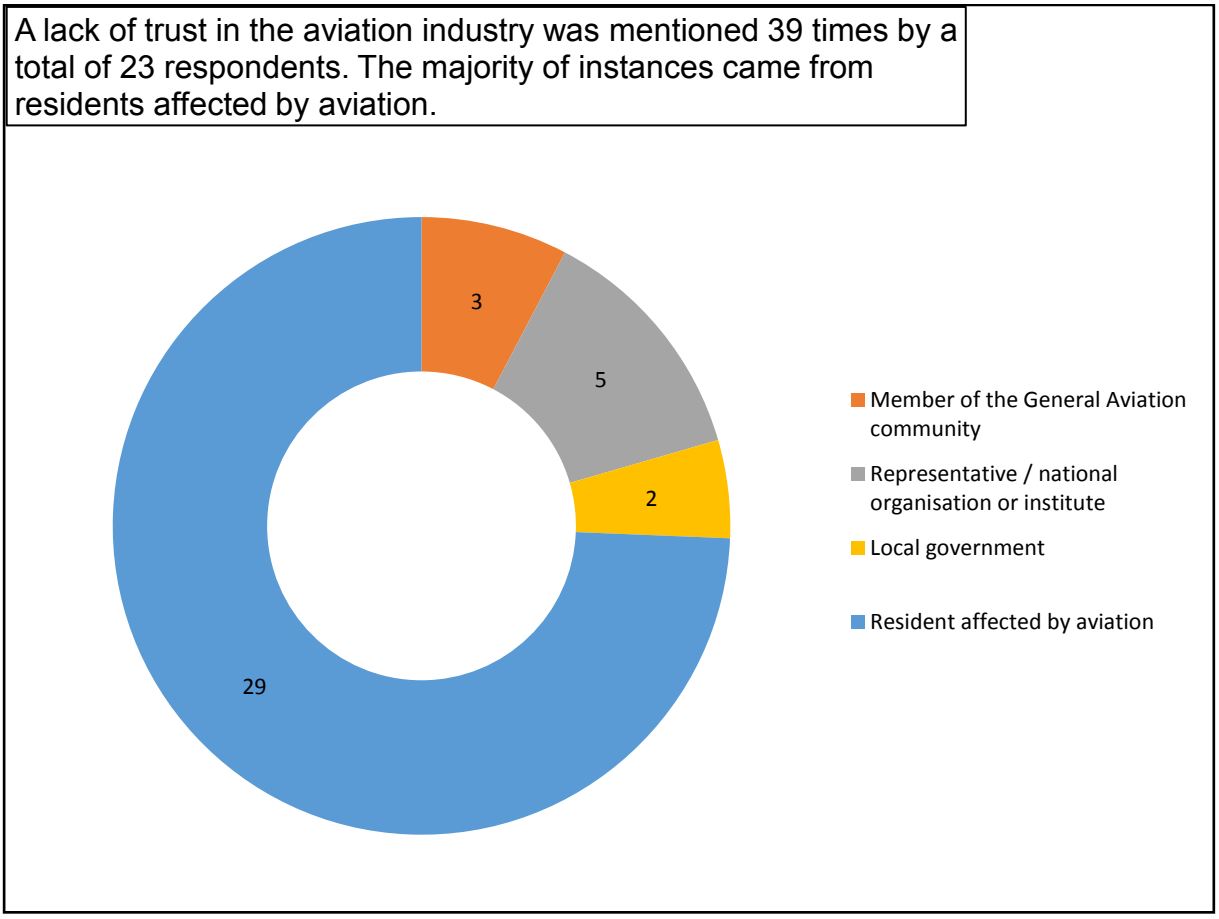
4.16 Humberside Airport suggested that it would be useful for there to be a threshold number of movements for all types of PPR: *"ANSPs with procedures within CAS generally operate with fixed routing based on STARs, Instrument Approaches and SIDs (especially as PBN is introduced) and patterns/procedures can be predictable such that a change covered by a PPR can be identified. Airports/ANSPs that operate Commercial aviation with fare-paying passengers into airports situated within Class G uncontrolled airspace, by providing air traffic control using the mitigation of UK FIS, generally do not have fixed departure or arrival routing other than from the requirement to intercept an approach in sufficient time to have a stabilised approach; each routing is dependent on the traffic situation within Class G at the time. Such airports/ANSPs are more likely to be always going to be covered by 'Is change a day-to-day or*

at the time decision taken by air traffic controller or other decision maker?' and PPR would not be applicable (at least until and unless regulation mandates implementation of CAS under EU 2017/373 Part ATS in due course). It would be useful to have a threshold number of movements for all of the Types otherwise some airports/ANSPs might have to consider a PPR for a small number of movements."

Trust in the aviation industry

4.17 Many respondents expressed a lack of trust in air navigation service providers or the aviation industry more generally. Concerns of this nature were most commonly raised by residents affected by aviation, but were also referenced by those in representative national organisations, General Aviation and by local government.

Figure 4.2: Respondents mentioning trust in the aviation industry



4.18 A number of these respondents were concerned that the proposed PPR process gave too much discretion to air navigation service providers.

Some respondents felt that air navigation service providers had a vested interest to realise particular air traffic control operational changes.

4.19 However, for similar reasons, other respondents noted that the proposed process would constitute an improvement on the current situation. They suggested that this was because a regulatory body would be overseeing changes, whereas air navigation service providers are currently able to make air traffic control operational changes without any oversight (other than on safety).

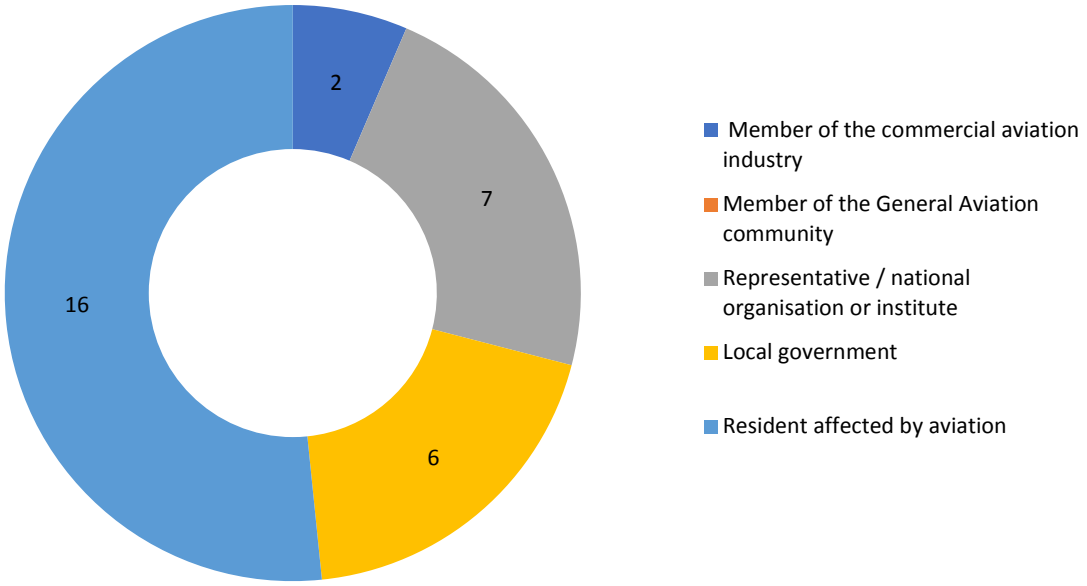
4.20 One local resident affected by aviation said: *"Changes to airspace and numbers of flights should be developed, consulted on and implemented by an independent body with no self interest. Up to now this has not happened. With the increase in flights in the south east, more flights are being stacked and flying at lower altitudes, this needs a radical change which can only be done by a neutral body. Putting more power into the CAA and NATS should provide plans which take a holistic/comprehensive approach."*

4.21 There was a high degree of interest in the external oversight to which the production of the post-implementation review would be subjected. The issue was raised a total of 32 times in the consultation responses.

4.22 A common concern expressed in these responses was around the air navigation service provider being required to produce a post-implementation report – with some respondents suggesting that this would be equivalent to 'allowing students to mark their own homework'. Some respondents wanted there to be a greater degree of oversight of the air navigation service providers' delivery of the post-implementation report. Some wanted community groups and other stakeholders to be allowed to give input. Some wanted the report to be delivered by an entity other than the air navigation service provider – the CAA, the Independent Commission on Civil Aviation Noise and the Aviation Environment Federation were mentioned as possible candidates.

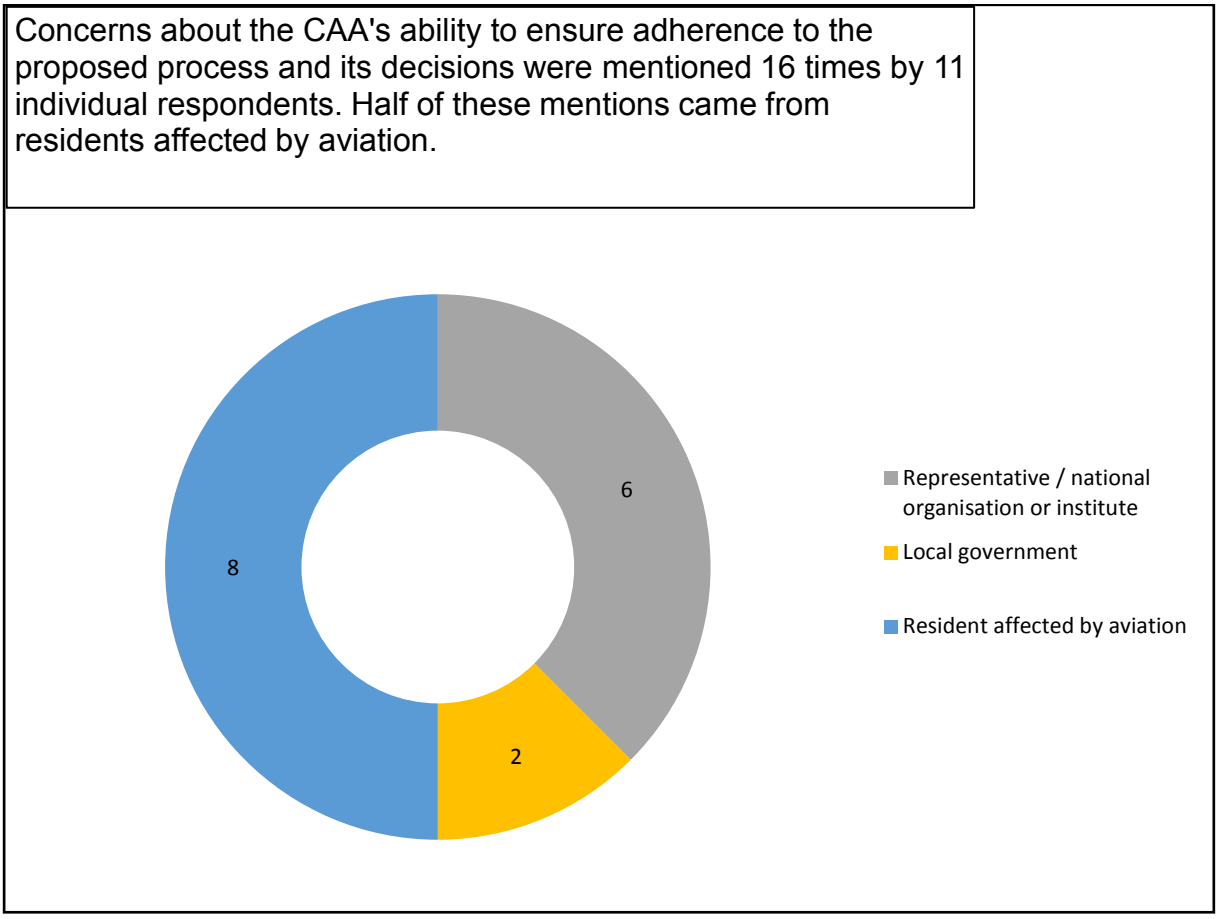
Figure 4.3: Respondents mentioning external oversight of the post-implementation report

A need for external oversight of the delivery of the PIR was mentioned on 31 occasions by 29 individual respondents. These mentions came predominantly from residents affected by aviation and representative or national organisations.



CAA oversight

Figure 4.4: Respondents mentioning adherence to the process and CAA decisions



4.23 A number of respondents expressed concern that, under the proposed process, air navigation service providers would be expected to decide whether a change was a relevant PPR that required approval through the new process.

4.24 Some respondents were also concerned that in situations where the actual impacts of a PPR are not anticipated to bring an operational procedure change within scope of a relevant PPR, an air navigation service provider would be able to implement the change without undergoing the PPR approval process. They were also concerned that where this occurred, the CAA was unable to require the air navigation service provider to go through the process retrospectively.The Aviation Environment Federation said: *"As proposed, the new process appears to rely entirely on ANSPs voluntarily bringing PPRs forward to the CAA, based on information that*

they privately hold, with no comeback if they fail to identify a change that could be a PPR. It's difficult to see how an ANSP would feel motivated to go through the process, if this is the case, especially where assessment methodologies could be "complex and present a burden to the ANSP" [2.37]. It leaves a gaping hole in the process".

4.25 The Aviation Communities Forum said: *"We do not agree with the proposal in paragraph 2.23 that where an air navigation service provider has assessed that its proposed change is not a PPR but it transpires, once the change has been implemented, that it was in fact a PPR, then the validity of the air navigation service provider's implementation of the air traffic control operational procedure is not affected. It cannot be right that the result of an incorrect assessment by an ANSP is that it is exempted from carrying out a proper PPR process. This would create unfortunate incentives and is inadequate regulation.*"

4.26 Likewise, the Teddington Action Group said: *"If a provider deliberately or unwittingly did not identify the PPR change and at a later date, it transpires that the ANSP has miscalculated the anticipated impacts of the proposed change, there are no consequences e.g. the provider will not need to reverse the change or retrospectively go through the PPR process. This loophole provides a significant flaw in the overall PPR process and could result in a PPR change being implemented without proper consultation with the relevant stakeholders, including communities who may suffer serious impacts as a consequence."*

4.27 Finally, concern was expressed about whether the CAA had the resources to administer PPR applications in a timely manner.

4.28 One respondent asked: *"Will CAA be staffed to meet demand for support as ANSPs start to implement PPR under this process? Will local SARG inspectors be initial POC or will dedicated regional/national resource be available?"*

4.29 Similarly, NATS' response said: *"There is concern whether the CAA has sufficient resource to manage this process and whether this constraint*

does not adversely impact ANSPs trying to make operational improvements in a timely manner."

The length and proportionality of the process

4.30 Sentiment about the length and proportionality of the proposed process varied significantly according to different respondent categories. Broadly, the majority of those who believed the proposed process to be long or too onerous were from the commercial aviation industry. Conversely, those who said that the process was too short or was not sufficiently rigorous were either residents affected by aviation or members of local government.

4.31 Many respondents expressed concerns about the process being disproportionate. However, a number were supportive of the general principle of basing the PPR process around a scaled-down version of the CAP 1616 process for proposed changes to airspace design, noting that the consultation used to develop the CAP 1616 process had enhanced the credibility of that process.

4.32 For instance, Prestbury Parish Council said: *"The CAP 1616 process is now familiar to airports, Air Navigation Service Providers (ANSP) and impacted stakeholders. It makes complete sense to use a scaled-down version, where appropriate, of the CAP 1616 for a relevant PPR decision-making process."* Another parish council said: *"A rigorous consultation took place to produce the updated CAP 1616 and, as this is based on that process, believe this is going in the right direction."*

Process too long or onerous

4.33 Members of the commercial aviation industry and some representative or national organisations expressed concern that the proposed process would be too long, onerous or resource-intensive.

Figure 4.5: Respondents saying the process is too long

There were 12 instances suggesting that the proposed process was too long, raised by 10 individual respondents. The majority of these were members of the commercial aviation industry.

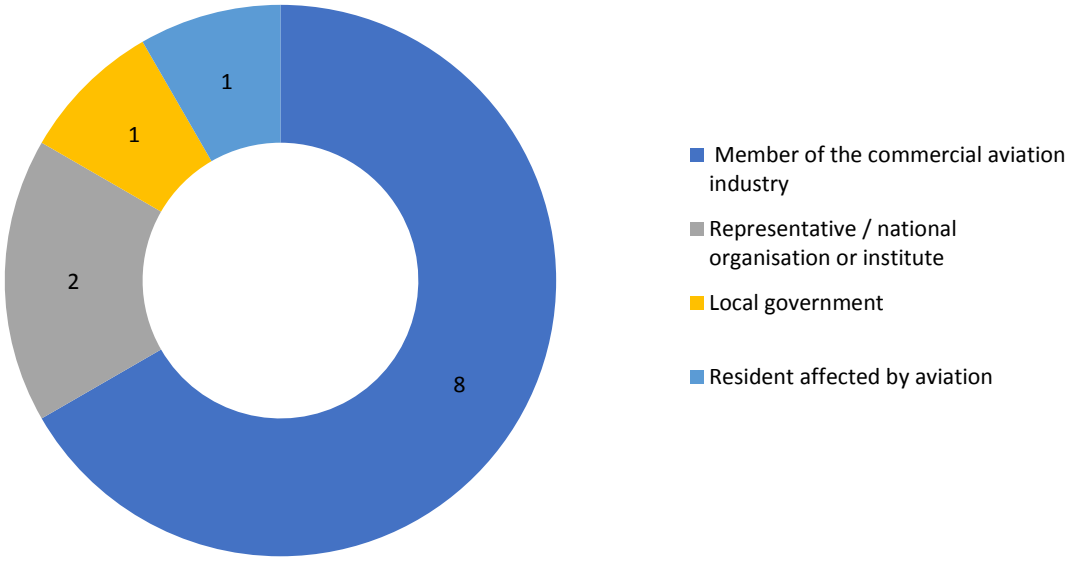
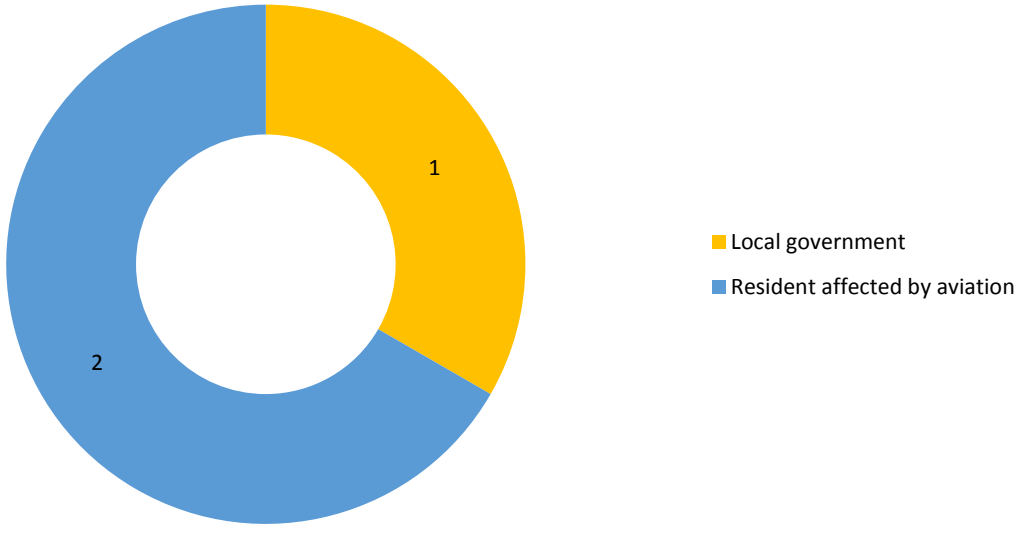


Figure 4.6: Respondents saying the process is too short

There were three instances in which respondents suggested that the proposed process was too short, raised by two individual respondents. Two out of the three instances came from a resident affected by aviation, with the third coming from local government.



4.34 A number of the respondents concerned about the length of the process were keen for more detail on its scalability, and the extent to which this might mitigate the issue. One airport operator said: *"greater clarity is required on the proportionality of the scalable approach and how it fits with the CAP 1616 process. The CAP 1616 process is lengthy and complex and it may be preventative of changes that may be required more urgently by stakeholders."*

4.35 ICAMS (Industry Coordination for the Airspace Modernisation Strategy) said: *"Greater clarity is required on the proportionality of the scalable approach and how it fits with the CAP 1616 process… The time required under CAP 1616, even if scaled down significantly may exceed the time possible before a small change and/or the time allotted for a temporary change. A better definition of the scalable solution needs to be provided before a view on acceptability of the draft CAP can be fully assessed."*

4.36 Some respondents were keen for there to be a fast track for urgent or safety-critical changes, and some went further and suggested that changes that were considered 'unobjectionable' or that had clear environmental or public benefits could go through an expedited process or bypass it entirely.

4.37 For instance, HACAN, which was broadly supportive of the proposed process, said that its one concern was that *"… while the 40 or so weeks proposed for the change process may be right for a lot of proposed changes, some flexibility could be built in to allow for a 'fast-track' process where there might be agreement between the relevant parties that the proposed change is desirable."*

4.38 Concern was expressed that a lengthy and too onerous process might deter air navigation service providers from bringing about air traffic control operational changes that could deliver environmental and public benefits. British Airways said: *"we do have concerns that even a watered-down version of CAP 1616 could become overly onerous for many 'relevant PPR' proposals. This could unnecessarily delay or even discourage*

sponsors from bringing about changes and balanced decisions that generate benefits in the overall public interest".

4.39 Similarly, concern was expressed at the burden that undergoing the process might put on smaller air navigation service providers with fewer resources to devote to the process, in particular writing a post-implementation report. For example, the Airport Operators Association said that: *"it should be acknowledged that not all ANSPs have access to the same level of airspace change resource – such as analytical software and human resource – compared with the larger national ANSP providers such as NATS*".

4.40 Some members of the commercial aviation industry were concerned by the length of the process for temporary PPRs, and the scalability of this process. Heathrow Airport said: *"There is a temporary PPR category – if a change lasts less than six months – it appears that the process for temporary changes is still lengthy and we request clarity on what happens when operational changes need to occur that cannot fit the timelines."* Some respondents were concerned that the process for a temporary PPR could take longer than the duration of some temporary changes.

Process not long enough or insufficiently rigorous

4.41 In contrast to the concerns of the commercial aviation industry, members of the General Aviation, local government and residents affected by aviation were more likely to believe that the process was too short – and insufficiently rigorous.

4.42 The Teddington Action Group said: *"Given the consultation document acknowledges that the noise impacts of relevant PPR can be as significant as an airspace change, there is no rational argument for proposing that the PPR process should not follow the full steps of the CAP 1616 Airspace Change process. Within the Airspace Change process, there is scope to scale the process for airspace changes with less significant impacts and the same flexibility could be applied to PPR changes."*

4.43 There was also concern that there would be fewer opportunities for public engagement and consultation in the proposed PPR process compared with the CAP 1616 airspace change process.

The provision of clarification and guidance on the process

4.44 Many respondents to the consultation took the opportunity to ask for greater clarity on particular aspects of the process, and to suggest that the CAA provide guidance to those entities that will have to navigate it. The three most common topics on which respondents wanted more clarity were:

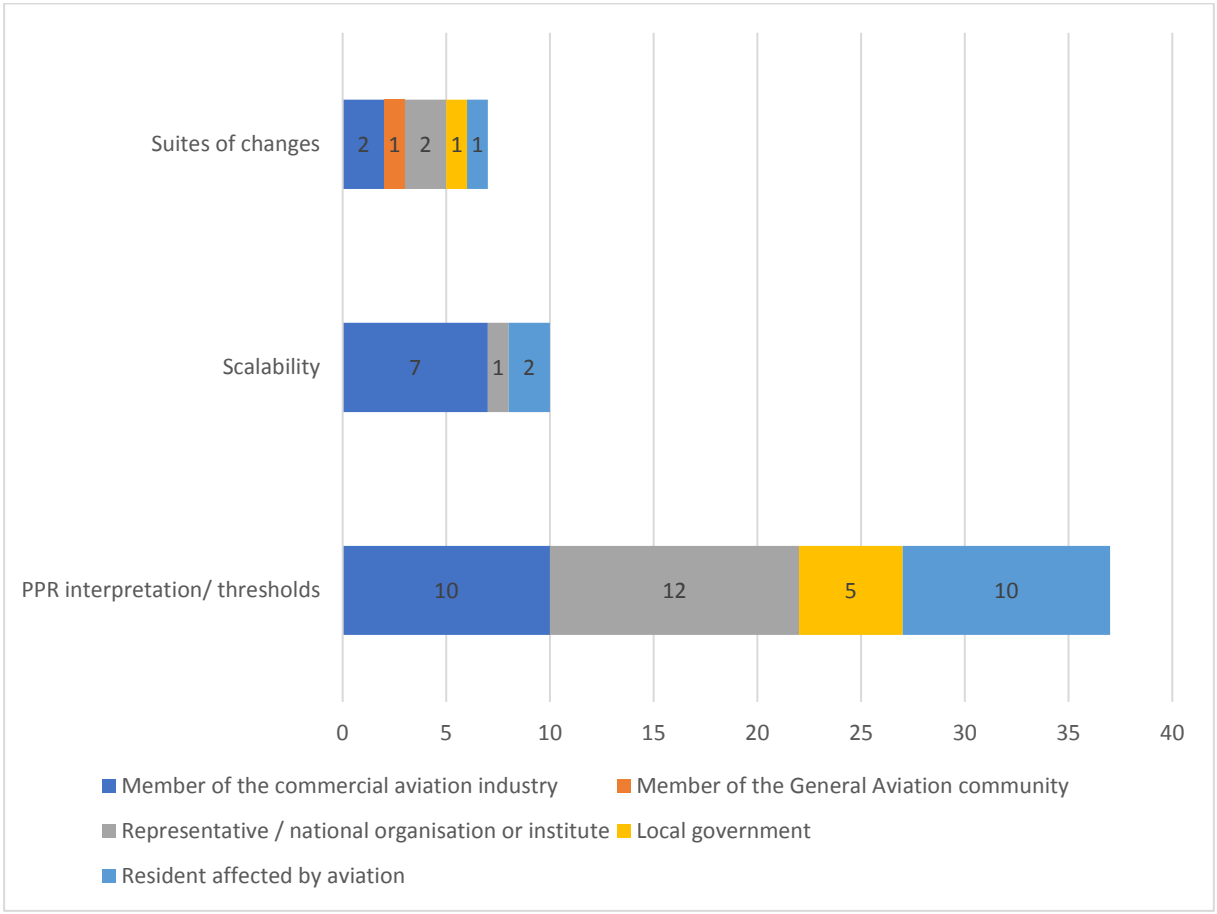
- the interaction of PPRs with proposed changes in airspace design and suites of changes (this was mentioned a total of seven times by six individual respondents)
- the scalability of the proposed process (this was mentioned a total of 10 times by eight individual respondents)
- the definition of PPRs and their identification (this was mentioned a total of 37 times by 23 individual respondents).

4.45 Specifically on suites of changes, respondents asked for greater clarity around:

- whether PPRs resulting from changes in airspace design need to undergo the PPR process, or whether they are covered by the existing CAP 1616 process for changes in airspace design
- how the CAA would deal with PPRs prompted by other PPRs.

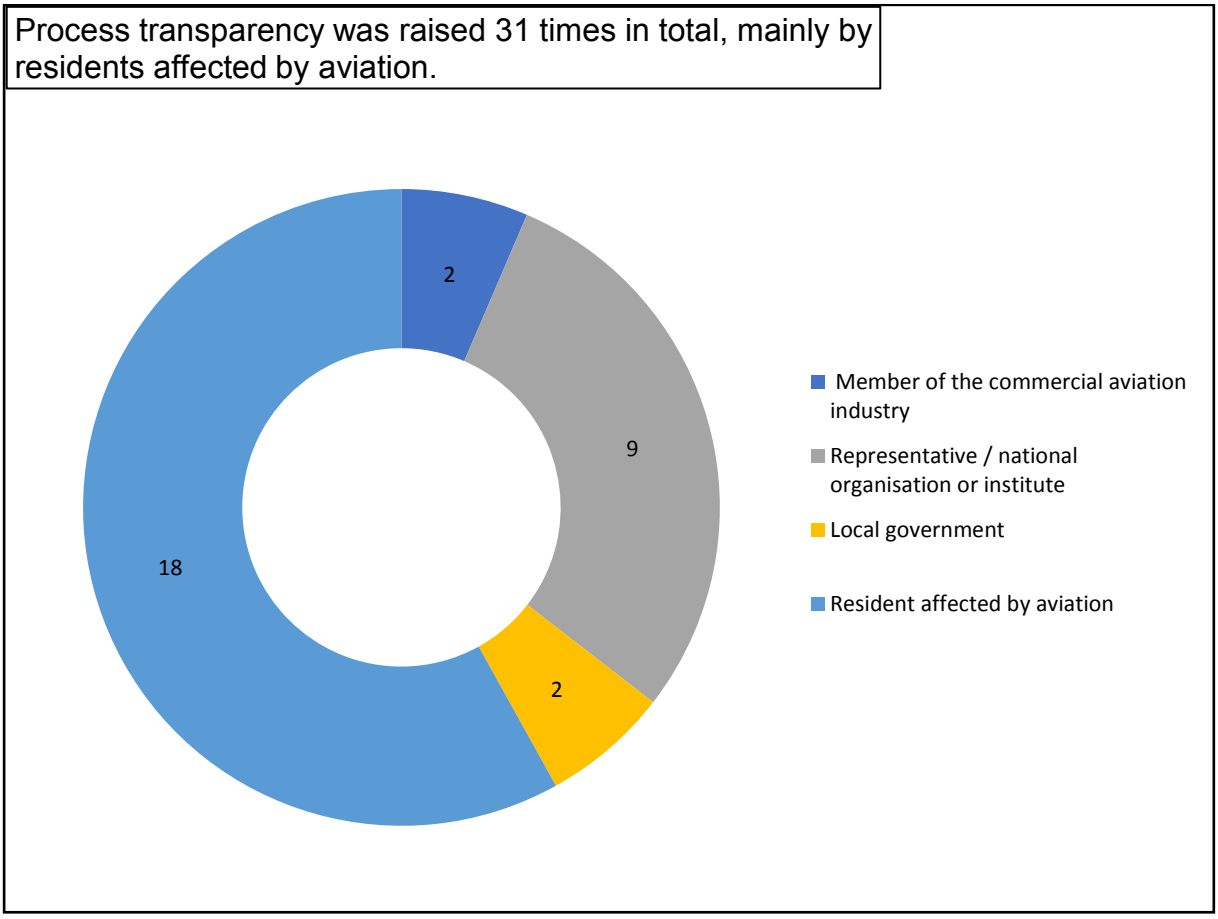
4.46 On scalability, NATS said: *"There is insufficient detail in the consultation as to how a relevant PPR will be incorporated into the CAP 1616 process e.g. if considered equivalent to CAP 1616 level 1, would it be required to follow the full CAP 1616 process or do you envisage a more scalable process?"*

Figure 4.7: Respondents mentioning clarity



Transparency

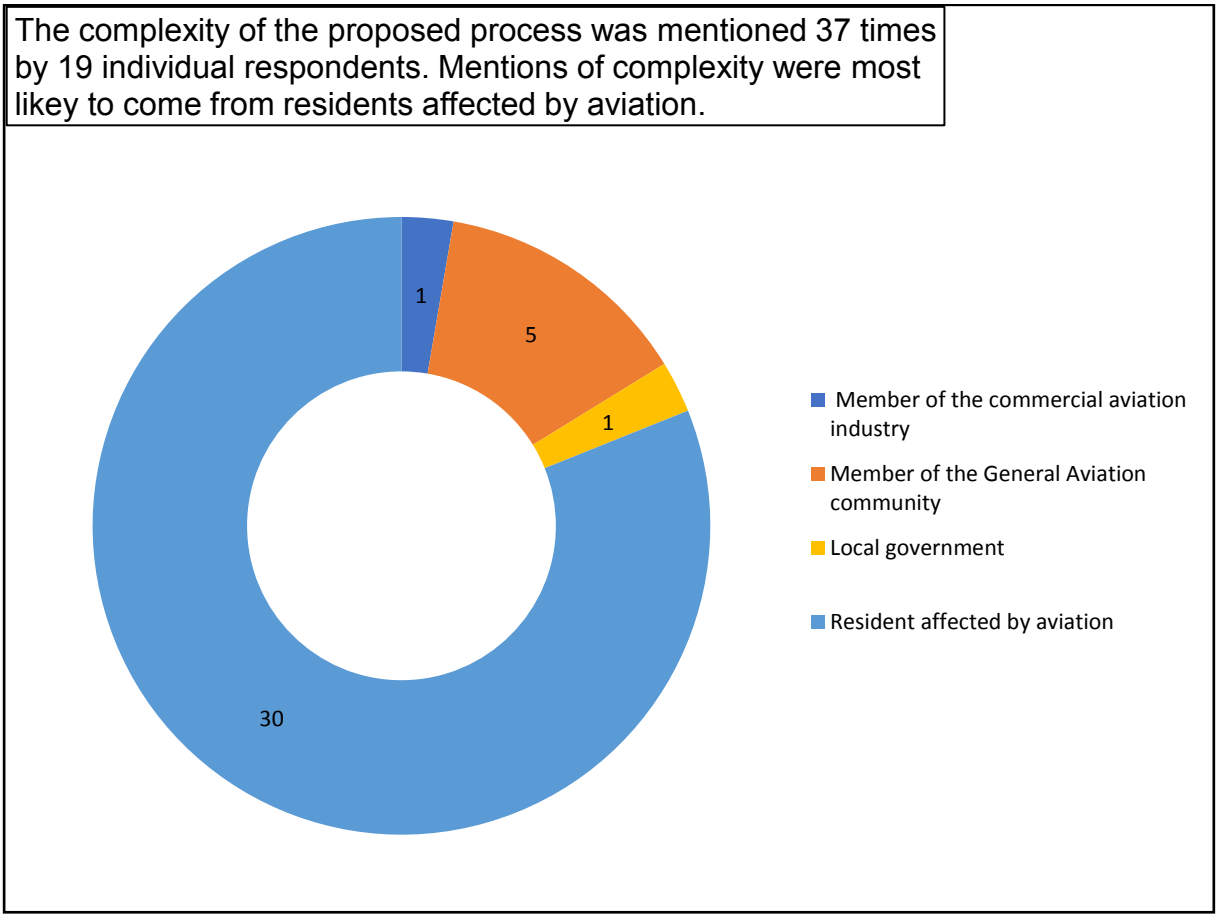
Figure 4.8: Respondents mentioning process transparency



4.47 There was appetite for the progress of a PPR to be published on the airspace change portal – along with the minutes of meetings to be publicly available. There was concern about whether the airspace change portal would be modified in time to publish the first PPR applications, and requests for the CAA to be explicit about when this would start. Gatwick Airport observed that: *"Transparency is an essential principle of the CAP 1616 process which should be maintained."*

Complexity of the consultation or proposed process

Figure 4.9: Respondents mentioning concerns about complexity



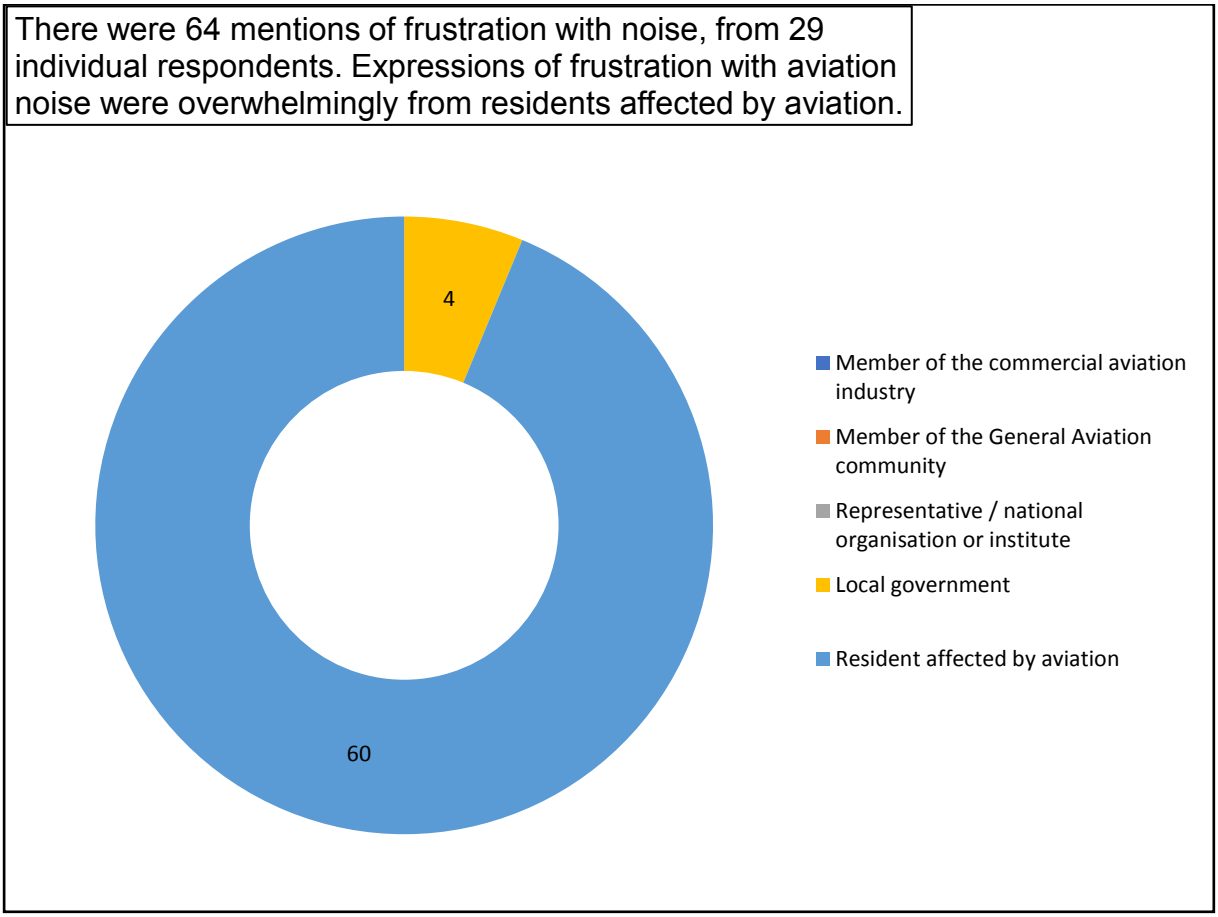
4.48 A number of respondents commented that either the consultation document or the proposed process were difficult to understand, particularly for non-specialists. A total of 19 respondents commented on the inaccessibility of the consultation document or the complexity of the proposed process at least once in their response, of whom 15 were residents affected by aviation, two were members of the General Aviation community, one was from the commercial aviation industry and one was local government. A common compaint from residents was that it was not clear from the consultation document how the proposed process would materially affect them and the levels of noise they might be exposed to in the future.

4.49 Among residents who complained about difficulties of understanding the process, there was a frustration that the complexity of the process made it

difficult to meaningfully engage with, and therefore difficult for them to represent their interests.

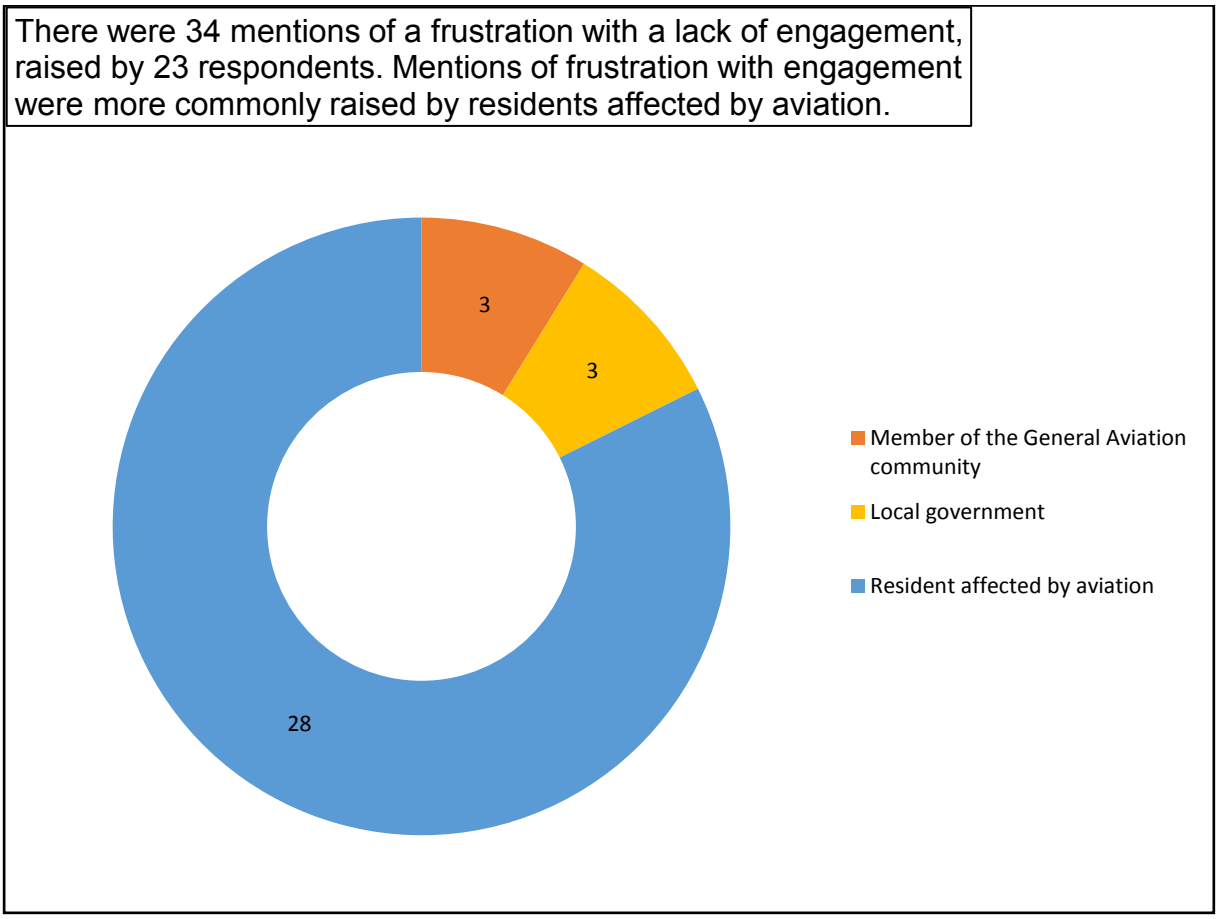
Frustration with aviation noise and perceived lack of public engagement

Figure 4.10: Respondents mentioning frustration with aviation noise



4.50 A number of respondents (26 local residents and three from local government) used the consultation as an opportunity to express their frustration with aviation noise. Many respondents cited specific examples of aviation noise, or made more general comments about the amount of aviation noise to which many communities in the UK are exposed, and the increasing numbers of flights.

Figure 4.11: Respondents mentioning frustration with perceived lack of engagement



4.51 Twenty-three responses expressed their frustration about a lack of engagement from the CAA and the commercial aviation industry, of which 17 were from local residents, three from the General Aviation community and three from local government.

4.52 One resident affected by aviation said: *"Even though this survey is an attempt to gather views on this subject, the overall sense is one of complete impotence in the face of an inevitable worsening of quality of life at the hands of the air industry. Whilst I realise that government policy has a lot to do with this, and that this is outside the scope of this survey, any measure that gives the public a forum to have a genuine impact (as opposed to a tick box exercise) on the actual day-to-day impact of air noise on their area has to be welcome, alongside any initiative to curb the inherently voracious desire to constantly expand the numbers of people and places affected by the industry."*

Chapter 5

Recommendations for improving the process

Introduction

5.1 Consultation respondents made a significant number of recommendations to the CAA as to how the proposed process could be improved. We also received a number of questions. Below we summarise these recommendations and questions, and give a CAA response.

Specific recommendations and questions

5.2 Although all the recommendations made in the consultation responses have been considered, to avoid repetition we have not listed every recommendation individually. Instead, any recommendations along the same lines have been summarised. The recommendations made are then presented thematically.

5.3 We respond to each of the recommendations as we summarise them, below, using the following colour code:

- GREEN represents a change we have accepted and made to the process
- YELLOW represents a suggestion:
  - that we believe is already covered in our process
  - that results in a slight clarification in the process to produce the outcome we intended, or
  - that we will treat flexibly (we will not specifically mandate it in the guidance, but believe it is currently a potential option within the scope of the guidance)
- RED represents a change we have not accepted and not made
- PURPLE represents a change that will not be made because it falls outside the scope of this consultation.

Stages of the new PPR process

Definition and identification of a relevant PPR – Type 1

Recommendation		CAA response
There may be circumstances where an air navigation service provider seeks to enhance the accuracy with which an existing nominal centreline is flown, without making a change to airspace. This may lead to a degree of redistribution of aircraft without any change to the nominal centreline. We agree that it would be inappropriate to apply the PPR process in these circumstances. For the avoidance of doubt the CAA should make this clear in its final publication(s).	1	Efforts by an air navigation service provider to improve track-keeping within a Noise Preferential Route swathe or in respect of an existing Standard Instrument Departure and/or Noise Preferential Route centreline are welcome and unlikely to meet the criteria for a relevant Type 1 PPR. However, for the avoidance of doubt, such changes will be considered as a Type 1 PPR if the criteria are met. We are making this clear in CAP 1616.
Subsequent guidance in CAP 1616 should include a corrected version of Figure 2.2 in the consultation document. Department for Transport policy directs that the lowest altitude for consideration of a Type 1 PPR is 1,000 feet – therefore, the area below 1,000 feet should be shaded i.e. excluded.	2	We have discussed this with the Department for Transport. We have agreed to revise the diagram so as to show the area below 1,000 feet as out of scope of a Type 1 relevant PPR.
The 5,000-movement threshold in the definition of a Type 1 is rather high, and where there is more than one SID, departures will be counted separately. It would be reasonable to add further criteria to widen the definition, for example to include any PPR proposal that doubles the number of existing overflights annually, or increases flights on any given day by more than 15, or increases the number of flights between 2200 and 0700 by more than five per night.	3	The types of PPR are defined in the Air Navigation Directions from the Secretary of State to the CAA. Changes to law and government policy are outside the scope of this consultation.
Re Type 1, the proposed lateral horizontal distances are too wide and it would be possible for significant noise impacts to be caused by changes that are classified as not triggering the PPR process.	4	
The definition of a type 1 PPR requires some clarification. It appears that a change within the "cone" could be made every 24 months. How will the CAA audit and control this given that a PPR that has already been approved	5	

Recommendation		CAA response
will not be assessed in any future change. In addition, how does the cone and the definition consider the existence of NPRs at some airports and a shift to the external limits of these?		
For a Type 1 change, which is lateral tracking, we would suggest only limited flexibility and certainly not up to 3,000 metres, anything else should fall under a full airspace change and be governed by CAP 1616.	6	Changes to law and government policy are outside the scope of this consultation. The minimum lateral shift to result in a relevant Type 1 PPR increases with height, in order to result in the same noise change on the ground. At 1,000 feet the minimum shift is 300 metres, rising to a maximum of 1900 metres at 7,000 feet.
Section 2.29 does not seem to make sense – what happens for example at 4,000 feet if the nominal density of the SID is already to one edge of the 4km swathe and the PPR just takes it to the edge. It would appear this would not be classed as a PPR?	7	As described in the Air Navigation Directions, the Type 1 PPR criteria relate to a change or shift in flight tracks relative to where they are currently. Whether the tracks are already offset from an NPR is not relevant. If a shift in tracks at 4,000 feet is less than 1,100 metres it would not be a relevant Type 1 PPR, irrespective of whether it takes aircraft outside the NPR swathe or not.
The definition of height in a type 1 change should be changed from AGL to Above Mean Sea Level (AMSL) in order to be consistent.	8	The types of PPR are defined in the Air Navigation Directions from the Secretary of State to the CAA. Changes to law and government policy are outside the scope of this consultation. Although instrument flight procedures use altitude, since a Type 1 PPR is defined with respect to noise change on the ground, it is necessary to use height. The difference between height and altitude can, in most cases, be taken to be the airfield elevation, since the local variation in height relative to an airfield is generally small in acoustic terms because of the much greater height of aircraft.
Re Type 1, additional to, but not instead of, the evaluation of the impact of the displacement of the nominal track centreline, should also consider whether this causes a significant adverse noise impact (above a threshold to be defined); this may be different above or below 4,000 feet.	9	Once a relevant PPR has been identified, noise must be assessed in line with the process and guidance laid out in CAP 1616. This includes evaluating the adverse health, wellbeing and quality of life effects using the Department for Transport's WebTAG model.

Definition and identification of a relevant PPR – Type 2

Recommendation		CAA response
Re Type 2, the tactical short notice use of alternative SIDs, at the request of air navigation service providers, to alleviate sector loading or to expedite the relief of pre-departure delays at an airport should be excluded from consideration, as these will not be a planned redistribution.	10	Any tactical or short notice use of airspace is by definition not a relevant PPR and is therefore out of scope of the decision-making process.
We question whether the 5,000-movement threshold for a Type 2 PPR is appropriate…it appears that there is nothing stopping the airport increasing by say 3,000 in year one and then a year later by another 3,000, thus avoiding the threshold? The 5,000-movement threshold should be regarded as an absolute minimum and airports should be encouraged to consult using a lower trigger. Re Type 2 an increase of 5,000 movements per year is too high as the trigger for the PPR process. How has 5,000 been chosen?	11	The types of PPR are defined in the Air Navigation Directions from the Secretary of State to the CAA. Changes to law and government policy are outside the scope of this consultation. It is open to an air navigation service provider or airport to consult on changes that do not count as relevant PPRs under the definition laid out in the directions, but the CAA cannot mandate this.
The 5,000-movement threshold used for 'Type 2' PPR changes appears not to account for airports such as London Heathrow, who operate more than one SID. The cumulative effect of multiple SID changes appears not to have been included in the assessment.	12	
When setting specific "triggers" in this way, how will CAA stop the "gaming" of the PPR system, for example what happens if an air navigation service provider seeks to make changes which create 4,999 additional movements, not 5,000? Would this avoid the PPR requirements? Are the impacts of 4,999 flights such that they would not have the same impacts as 5,000? As illustrated, we have concerns about how the new PPR approach will be implemented. There needs to be a review mechanism in place that would allow the CAA to "call-in" any change for review to see if the potential impacts are significant and need to be processed as a PPR.	13	It is the responsibility of the air navigation service provider to apply the internal 'trigger' process to determine whether a change in operational procedures needs to be put through the PPR decision-making process. The types of PPR are defined in the Air Navigation Directions from the Secretary of State to the CAA. Changes to law and government policy are outside the scope of this consultation. A line has to be drawn somewhere, and if the threshold is not met, then it is not met. The Air Navigation Guidance sets out the Government's expectations of industry concerning transparency about changes in its operations. Guidance on the airport's

Recommendation		CAA response
		responsibilities is being included in Part 3 of CAP 1616 in the section “Airspace information: transparency about airspace use and aircraft movements”. While the CAA does not have the resources or data to monitor every change from a PPR perspective, if obvious ‘gaming’ is taking place repeatedly, this is the kind of issue that we will consider when we come to review the process. It could also be brought to the attention of the Department for Transport.
…it is not clear exactly what the number of movements is based on; for instance paragraph 2.15 states: "Paragraph 2 says that the definition is designed to capture only air traffic control operational procedures that relate to airports at which large commercial air transport and most business jets operate. It does not capture aerodromes or airports used only by small non-commercial aircraft." Is it only based on the number of 'large commercial air transport' movements or must the 'small non-commercial aircraft' that operate from the same airport be also included?	14	The definition in the Air Navigation Directions refers to air transport movements. The CAA will follow the definition in CAA airport statistics, which distinguish between aircraft movements and air transport movements as follows: • aircraft movements means any aircraft landings or take-offs at an airport, whether commercial or non-commercial flights; one arrival and one departure are counted as two movements • air transport movements means landings or take-offs of aircraft engaged on the transport of passengers, freight or mail on commercial terms; all scheduled movements, including those operated empty, loaded charter and air taxi movements are included.
The document states "A PPR is created through a change in air traffic control operational procedure, which is initiated by the air navigation service provider, recorded in writing and given as some form of instruction to an air traffic controller…. " This seems far too restrictive and has the potential to miss some usage changes, for example an airport-led change to SID usage which falls into the Type 2 criteria…could you please explain this approach.	15	The definition of a relevant PPR is set out in the Air Navigation Directions. If there is a change in Standard Instrument Departure route usage which does not involve a change in written air traffic control operational procedures, then that change cannot be in scope of a PPR. It may, however, fall in scope of the guidance included in Part 3 of CAP 1616 in the section “Airspace information: transparency about airspace use and aircraft movements”.
Could it be clarified how the 5,000 movements per year threshold will be triggered and managed. Will it be a potential barrier to airport growth strategy, e.g. if a new airline operator is attracted to an airport and movements on an	16	A Type 2 PPR applies when there has been a conscious decision by the airport and or its air navigation service provider to redistribute existing traffic at the airport from one Standard

Recommendation		CAA response
existing SID were to increase by more than 5,000 movements?		Instrument Departure route to another by at least 5,000 movements annually. A Type 2 PPR does not apply to an increase in the number of air transport movements on a Standard Instrument Departure route which is a direct result of changing weather patterns, or airline operations, natural growth, or as a result of agreed (i.e. through the planning system) air transport capacity enhancements at the airport. As explained above, transparency about changes in operations is covered by guidance in Part 3 of CAP 1616 in the section "Airspace information: transparency about airspace use and aircraft movements"

Definition and identification of a relevant PPR – Type 3

Recommendation		CAA response
Re Type 3, suggest CAA also include other instrument landing procedures e.g. RNAV, MLS etc.	17	A Type 3 PPR is a change to the joining point for an existing ILS landing procedure. It is not appropriate to extend a Type 3 PPR to other, new landing procedure technologies, since these would by definition be new published flight procedures (as opposed to air traffic control operational procedures) and therefore a change to the notified airspace design.
Re Type 3, we consider that 36 months is too long a time period to take into account and the trigger should be a shorter period – e.g. closer to 12 months maximum.	18	The 36-month period is set out in the Air Navigation Directions from the Secretary of State to the CAA. Changes to law and government policy are outside the scope of this consultation.
Type 3 PPR definition: Whilst there are currently no published routes between STAR and FAF, the implementation of PBN arrivals will mean that aircraft will follow a more predictable (systemised) arrival route with vectoring significantly reduced. How will these be taken account of within PPR?	19	The introduction of a PBN (Performance Based Navigation) arrival between a STAR (Standard Arrival Route) and a FAF (Final Approach Fix) constitutes a change to the notified airspace design, which would follow the CAP 1616 Part 1 airspace change process. Any associated changes in flight tracks over the ground and consequential noise effects would be handled through that existing CAP 1616 Part 1 process. Should there be a need to amend air traffic procedures in addition to the introduction of

Recommendation		CAA response
		new instrument arrival procedures, these would also be addressed as part of that CAP 1616 Part 1 process.

Definition and identification of a relevant PPR – general

Recommendation		CAA response
…there should also be a numerical threshold, based on the number of movements, for Types 1 and 3. Type 1 currently states "The air navigation service provider would therefore need to assess the lateral shift of traffic from the nominal centre of the density of current tracks". However, a density plot may show even a relatively small number of flights particularly in areas where there are currently few flights; hence, we believe there should be a minimum threshold, below which Types 1 and 3 do not apply, e.g. 2,000 p.a. (5.5 per day). The proposed process is overly long for what could be a relatively small change where an airport has fewer commercial movements than other larger airports, even though in scope. Thresholds based on the number of movements (similar to the Type 2 redistribution between SIDs) could perhaps be introduced.	20	The types of PPR are defined in the Air Navigation Directions from the Secretary of State to the CAA. Changes to law and government policy are outside the scope of this consultation. As explained in the consultation document, the existing nominal centre of the density of flight tracks should where possible be determined or interpreted from radar data, the sample of which should be sufficiently representative (this may range from a few weeks of data, to several months depending on how frequently a SID (Standard Instrument Departure) is used). We do not believe a minimum number of flights threshold is relevant for Types 1 and 3, since the nominal centre of the density of flight tracks will be weighted by the number and position of all flights (within the sample assessed). A lateral shift for a small number of flights is unlikely to materially shift the nominal centre of the density of tracks, and the intent is to identify gross changes that meet the Type 1 or 3 criteria, not changes associated with a small number of flights towards the edges of the track distribution.
There appears to be an inconsistency between a Type 1 departure and Type 3 arrivals procedures changes. The departures define a lateral shift with respect to the "cone" of noise at various altitudes. However, the type 3 arrivals use a single criterion (300 feet vertical or 1 nm horizontal) without any reference to the impact at altitude. Unless there is a compelling reason not to do so, the same noise-based approach should be applied in both circumstances	21	Had the Type 1 criteria been applied to Type 3, for typical joining point altitudes, the horizontal distance criterion would have been 0.5 nautical miles. Practically, this was considered to be too small a change in relation to air traffic procedures. However, the 36-month rolling period (longer than for Type 1) will address multiple small Type 3 changes and require the overall change to be considered as a Type 3 PPR. The vertical component is consistent with

Recommendation		CAA response
		the horizontal component since the current standard 3-degree descent angle equates to 300 feet vertically for each nautical mile of horizontal distance covered
The need for improved oversight on all outdated operational procedures and specifically lateral shift, ILS joining points, monitoring agl instead of amsl, monitoring runway centre line and arrivals spur tracks / swathes is well overdue. However, some consideration needs to be given to different altitudes used during day / night operations including a more realistic day / night definition (as per agl versus amsl) such that night is 22.00hrs until 07.00hrs instead of 23.30hrs to 06.00hrs. Similarly, the lateral shift distance should not simply be based upon decibels but also repetition / frequency of aircraft and other factors impacting noise pollution. Restricting the impact to an altitude of 4,000 feet is a mistake (it should be 1,600 feet) and it should be relevant to the particular airport and minimum altitude permitted under the operating procedures (ie Stansted is min 2,000 feet amsl (probably 1,700 feet agl – although not sure this can be measured- day time). Finally, although the proposal includes recognition of safety and environmental impact, it fails to promote better options, ie a flight path following a route over densely populated area should not be preferred to a less densely populated area if such alternative is available.	22	The existing assessment methodology in Part 1 of CAP 1616 that is applied to airspace changes will also apply to relevant PPRs. This includes assessing the adverse noise effects on health, wellbeing and quality, as defined in Department for Transport's WebTAG and assessing changes in overflight up to 7,000 feet. WebTAG recognises daytime as 0700–2300 and night-time as 2300–0700, and requires the assessment of both periods, where a proposed change is to be used during both the day and nighttime. WebTAG uses a daytime noise threshold of 51 dB L_{Aeq16h} and a lower noise threshold of 45 dB L_{Aeq8h} for nighttime, recognising the different impact of noise at night. Depending on how busy a route is, the WebTAG noise assessment may extend sufficiently far from the airport to include noise from flight above 4,000 feet. Irrespective, changes in overflight up to 7,000 feet will also need to be assessed. Regarding agl vs msl, the heights in relation to relevant PPRs are heights above ground in agl. We recognise that Instrument Flight Procedures (a proposed change to which requires the existing CAP 1616 process for changes in airspace design) are defined in altitude msl. However, it is necessary to relate the PPR Type 1 threshold to height above ground level, since the Type 1 PPR definition relates to noise above ground level. Regarding the threshold for a relevant Type 1 PPR, although it is based on the decibel change for a single flight, the number of flights will be taken into account during the noise assessment and through the use of webTAG. Local priorities are a matter for the air navigation service provider to discuss with local stakeholders. The impact of flying over a densely population area vs a less densely populated area is taken into account through the

Recommendation		CAA response
		options appraisal environmental assessment and in accordance with the Section 70 factors.
As currently defined PPRs do not extend beyond routes exceeding 7,000 feet amsl. The definition should include this limitation as it is consistent with the Government's altitude-based noise policies.	23	We have confirmed with the Department for Transport that the intended meaning of the table relating to a Type 1 PPR forming part of the criteria set out in the Air Navigation Directions is that a Type 1 PPR would only relate to changes in flight tracks between 1,000 and 7,000 feet above ground level. The upper bound is consistent with the altitude-based environmental priorities set out in the Air Navigation Guidance. We are making this clear in Part 2 of CAP 1616.
The policy framework referred to in Q1 illustrates (on page 18) a typical SID overlaid on a Noise Preferential Route (NPR) swathe terminating at 4,000 feet amsl. Currently, and there is no indication that the policy will change, NPRs are not determined by the CAA but by government in the case of the designated airports, and for other airports by the operators with the local planning authority's concurrence. In Farnborough's case the local planning authority involvement in the NPR process is reinforced by the section 106 agreement. The procedure should therefore recognise that PPRs would be triggered externally by local planning authorities should it be determined that the establishment of new or modified NPRs is a precondition of land use or airport planning approvals.	24	We recognise that airport Noise Preferential Routes (NPRs) are set by government (designated airports) or by local planning authorities or in other cases are adopted voluntarily by airports. Where an NPR already exists, air traffic control is not permitted to direct aircraft (vector) away from a Standard Instrument Departure Route (SID) until the end of the NPR, unless in exceptional circumstances, for example safety or weather. In such cases, a Type 1 PPR may occur where air traffic control changes how aircraft are vectored once the requirements of the NPR have been met, typically on reaching an altitude of 4,000 feet (3,000 feet in some cases). The Air Navigation Guidance makes it clear that NPRs and SIDs should be aligned. A change to an NPR as a result of a planning approval is likely also to trigger a need for a new or revised SID, which is a change in airspace design and must follow the Part 1 of CAP 1616 airspace change process. It is expected that an airport would consult on changes to an NPR (assuming the NPR is at a designated airport).
Changes that could increase noise impacts significantly fall outside of PPR scope, for example, changes made to airline operations, or occurring due to "natural growth", or expansion will be excluded. The CAA should consider how to address these gaps.	25	The Air Navigation Guidance sets out the Government's expectations of industry concerning transparency of such changes. Guidance is included in CAP 1616 in the section "Airspace information: transparency about airspace use and aircraft movements".

Recommendation		CAA response
…“an increase in the number of air transport movements on a SID as a result of agreed (i.e. through the planning system) air transport capacity enhancements at the airport” is expressly excluded from the definition of Type 2 in paragraph 10 of the Annex. Such an increase would have a substantial impact on the local communities surrounding the airport. If such an increase is neither a relevant PPR nor a change to the airspace design, what precisely are its regulatory implications? How will the CAA deal with it to protect local communities?	26	
The definition of a relevant PPR should be reviewed on an annual basis to confirm that they are fit for purpose and do not result in ATC operational changes with significant impacts not being subject to the decision-making process.	27	The definition of a relevant PPR is set out in the Air Navigation Directions from the Secretary of State. The CAA is required by Direction 9A(6) to report to the Secretary of State annually outlining, for each proposal for a relevant PPR, the specific type of the PPR, the relevant airport, and whether it was approved. In addition we commit to reviewing the PPR decision-making process after three years, or sooner if it causes resourcing issues or the Government changes its policy relating to PPR.
Further clarifying criteria, that can be applied by air navigation service providers/airports at the self-assessment phase, should be developed that recognise that cost and time of new procedure development may often be significantly disproportionate to the impact of the change.	28	The CAA recognises that the new process will inevitably impose new burdens on air navigation service providers and airports, and that this will have a cost implication. However, cost is not a factor that the CAA can take into account. The process will be scaled according to its impact.
PPR is defined as "typically in writing". While this may currently be the case, the proposals should be future-proofed so that any form of digital or other communication is clearly, and explicitly, included. In addition, it should be made clearer that he CAA considers that an instruction includes any guidance or communication intended or likely to be regarded as mandatory.	29	These words come from the Air Navigation Directions, but we agree with the point and are including this in the guidance material in Part 2 of CAP 1616. The point is that the instructions must not be tactical (i.e. they must be other than a day-to-day or at the time decision).
The CAA can set out the process in an easy to follow guide for air navigation service providers, which includes the assessment process template, easing the workload for the air	30	The CAA is incorporating guidance on the PPR process, including the ‘trigger’ process for identifying a PPR, into Part 2 of CAP 1616

Recommendation		CAA response
navigation service providers. Perhaps consider developing Computer Based Training.		guidance, and we are adapting appropriate forms and templates.
As part of its guidance material, the CAA should develop a web tool (based on the policy trigger criteria included in the CAP 1786 decision trees) that an air navigation service provider could use to determine if an air traffic control operational procedure change is a relevant PPR. Additional qualification criteria should be added that relates to the extent of a significant adverse impact assessment; this needs to be proportional to existing operations.	31	Most of the analysis that needs to be produced is similar to that which is required for an airspace change proposal or other environmental assessments. Any Statement of Need will be published on the airspace change portal along with the air navigation service provider's analysis and the CAA's determination of whether a request is a relevant PPR or not. We will as a result publish operational procedure changes that are not found to be in scope of the process as well as those that are.
It is vital that the CAA issues detailed guidance to air navigation service providers on how to identify a PPR to ensure there is consistency nationally on the processes followed for PPR with similar expected impacts. This includes detailed guidance on how to calculate the anticipated outcomes of a proposed change. Any variation in application of the process, particularly in calculating the anticipated outcomes, would undermine the whole process and not meet the policy objectives.	32	
This [trigger] process of a standardised internal review and assessment would be helped by the use of an appropriate and comprehensive form, with qualifying remarks relevant to each type of PPR.	33	
The CAA should develop a parallel process that allows the CAA to remain apprised of changes that will/have been implemented by air navigation service providers/airports that do not trigger the application of the PPR process: • this does not need to be visible to sponsors or any other stakeholder • it would assist the CAA in gaining a greater understanding of the extent of changes that are being applied • the CAA should build a portfolio of example/typical changes that trigger PPR requirements (of various types) and those that didn't. For those examples that	34	

Recommendation		CAA response
triggered the process, the portfolio should include examples of appropriate/ proportionate process outputs from sponsors. CAA should provide standard web-based templates for as much of the process as possible.		
Sponsor requests should use a CAA provided web-based form to provide all the relevant details; with associated notes to improve the proportion of submissions that are 'right first time'.	35	
The CAA proposes that the "knock-on effects" – where one PPR proposal prompts a PPR at a neighbouring airport – should be treated as a package…The CAA proposes to take a "pragmatic approach" and asks consultation respondents to suggest how the issue would be "managed effectively." We feel that suggesting an ad hoc approach is a significant weakness in the proposals, and that the CAA should have considered the issue in greater depth. Meanwhile, there is no mention at all of the cumulative noise impacts on communities overflown by more than one airport.	36	The cumulative effects on communities overflown by more than one airport or indeed of multiple changes on any stakeholders is not a PPR-specific issue. There is no change from what is already set out in Appendices B and E of CAP 1616 regarding cumulative effects.
With so many other significant changes happening at present (i.e. NPRs…and FASIS) the CAA should ensure that there is some degree of co-ordination around these and that issues are not decided in isolation. All consultation processes currently take airspace in isolation not looking to the ramifications a set of airspace changes has on other airspace. We urge the CAA to include the 'totality' of airspace noise when considering changes such as with Stage 1 and 2.	37	
Cumulative noise impacts for communities overflown by aircraft from more than one airport do not appear to be taken into account.	38	
Where an air navigation service provider is potentially impacted by another airspace change that it cannot avoid, who has priority where it can be shown that the impact on current	39	

Recommendation		CAA response
procedures would be negative from a consultation standpoint owing to likely objections?		
There appears to be a further inconsistency on timescales between a Type 1 and a Type 3 change. For a Type 1 change, a 24-month rolling period has been applied, but this has been changed to a 36-month rolling period for a Type 3. Unless there is a compelling reason not to do so, the same approach should be applied in both circumstances. According to the 'cone' diagram (Figure 2.2) an aircraft may be shifted laterally by a horizontal distance that reflects up to a 3dB change in noise impact on the ground, and a change within these limits is not considered to be a relevant PPR.	40	The types of PPR are defined in the Air Navigation Directions from the Secretary of State to the CAA. Changes to law and government policy are outside the scope of this consultation. The difference in timescales between Type 1 and Type 3 is intentional and results from the threshold value and stakeholder feedback to government and CAA.
The CAA should develop a frequent front-end 'triage' to clarify whether a Stage 1 assessment is required; consideration as to whether the criteria for a PPR has been reached should take place at least twice a month to prevent the build-up of a backlog.	41	As explained in Chapter 2, the air navigation service provider's 'trigger' process will indicate where a change in air traffic control operational procedures may be in scope of the PPR process. A decision on whether a proposal is in scope of the PPR process will be a key output from the initial exchanges with the air navigation service provider.

Statement of Need

Recommendation		CAA response
Air navigation service providers should be required to consult on the Statement of Need that they develop at Stage 1 of the process.	42	This would create a more onerous process that we use for airspace design changes, without objective justification, and we therefore deem it disproportionate. The Statement of Need is the means of determining 1) what issue or opportunity the change in question would address (if any) and 2) whether the change in question needs to undergo the CAA's approval process. As these are both factual questions that do not affect the likelihood of a change being approved, public consultation at this stage would serve no purpose.

We would expect air navigation service providers to consult the airport before making any MATS Part 2 changes or changes to notified routes, and we would anticipate that airport and air navigation service provider would work together on any changes. We suggest therefore that the process is amended to reflect this by making clear and unequivocal that any change should have the full agreement of the airport operator when the Statement of Need is lodged with the CAA.	43	We will make this change. We are adding a field to the Statement of Need form asking the air navigation service provider whether it has the full agreement of the relevant airport operator.
Where initial information is required, or a discussion required as part of Stage 1 or 2 to help reach a decision, this should be conducted by conference call/web conference with only those parties that are essential. It should not seek to replicate the current approach to, or breadth of CAA participation in, assessment meetings or exclude sponsors from the decision-making gateway consideration.	44	We recognise that it may be more convenient for some meetings to be conducted by video- or teleconference rather than in person. The level of CAA participation required at the initial discussion or meeting will ultimately depend on the size and scale of the proposal. We need to ensure that the air navigation service provider has access to the subject-matter experts covering the various elements of the process, so multiple CAA attendees should be expected. It is not appropriate for air navigation service providers to participate in the decision-making gateways (neither is this the practice for proposals to change airspace design). The gateway is an internal CAA process to assess whether the proposal can progress to the next stage of the process. Comprehensive feedback is provided afterwards and the conclusion is published on the online portal.

Options development and appraisal

Step 2A (page 59) should note explicitly (as the document does for step 2B) that the status quo should always be an option unless ruled out on safety grounds.	45	We are making this clear in Part 2 of CAP 1616.
The use of WebTAG should be the primary assessment tool unless safety improvement is the defining reason for change.	46	WebTAG will be the required tool for assessing the environmental impact of any proposed PPRs. However, the decision on whether or not to approve a change will be made in accordance with section 70 of the Transport Act 2000. It

		should be noted that section 70 states that the CAA's duty to maintain a high standard of safety in the provision of air traffic services must take priority over all other objectives.
The process requires the proposer to assess the impact of different options and suggests the use of WebTAG. However, it's not clear whether this relates only to the change options or against the base case (do nothing), particularly if the PPR is being implemented in relation to a safety or security issue. In this respect, we would want to see a process for expediting any changes that are safety related.	47	The impact of all options must be assessed against the base case of 'do-nothing'. Safety-critical changes can be implemented immediately subject to any change qualifying as a relevant PPR following the process retrospectively.

Consultation

The CAA should develop a more robust consultation and engagement process for General Aviation stakeholders…to address unforeseen impacts on other airspace users.	48	The CAA considers that the existing CAP 1616 consultation and engagement process is already sufficiently robust.
Additional guidance on options for engagement with relevant stakeholders that are considered appropriate/proportionate to the type of PPR should be set out clearly in the process to ensure sponsors do not 'over engage'.	49	CAP 1616 already provides guidance on stakeholder engagement and how this should be proportionate to the anticipated impact of the change in question.
The CAA states that "The number of stakeholders potentially affected by a proposed PPR change will determine how extensive a consultation must be." [3.15]. Noise impacts may, however, be significant in rural areas where ambient noise is relatively low, even if population numbers are small. The CAA should confirm that such communities will need to be effectively consulted.	50	CAP 1616 already acknowledges that the extent of consultation and supporting materials, and the supporting activities needed, will depend greatly on the scale and nature of the proposed change. It is ultimately the air navigation service provider's responsibility (as the consultor) to identify the right audience and communicate with them accordingly. CAP 1616 requires the air navigation service provider to detail its intentions in the consultation strategy, a document which the CAA will review and consider at the 'Assess and consult' gateway.
The CAA proposes that responses to a PPR consultation will be categorised by an air navigation service provider "into those that present information that may lead to a change in the PPR proposal and those that could not..." [Table 5.1]. Individuals and communities may not have access to the kind of technical advice	51	CAP 1616 defines consultation as a formal process seeking input to a decision, which should be conducted in accordance with the Gunning principles and government guidance. A consultation, irrespective of the nature of the proposed change, will therefore have a specific scope and purpose against which all of the

that would enable them to respond in a way that would ensure their views are taken into account. They may nevertheless be using the consultation as a means of expressing legitimate concerns about the airport's operation. Air navigation service providers should be required to consider all consultation responses whether or not they provide information that may lead to a change in the PPR, and, if appropriate, information should be fed back to the relevant airport to handle. This is particularly important given the potential lack of transparency about the PPR process compared with airspace changes made under CAP 1616.		feedback received will be considered and categorised in accordance with the requirements of CAP 1616 (see Appendix C, Table C2).
Where change is imposed by regulation, is there a possibility of the introduction of an information piece, rather than consultation, that just states what is happening and the reasons for it? There is little an airport/air navigation service provider could do if Government introduced regulation that required a change.	52	Cases of mandated changes to airspace design arise and still go through the CAP 1616 process. This is because the change still needs to be subjected to scrutiny and consultation as to whether it is appropriate. The same would therefore apply for a PPR. As explained in the boxes immediately above, the extent of consultation and supporting materials, and the supporting activities needed will depend greatly on the scale and nature of the proposed change.

CAA decision-making criteria and timescales

Recommendation		**CAA response**
The CAA's duties under section 70 of the Transport Act 2000 should be changed such that, when taking decisions on PPRs, the CAA is required to secure both the efficient use of airspace and proportionate, fair and balanced reductions in noise and noise impacts over time.	53	Changes to law and government policy are outside the scope of this consultation.
It is not clear what weight is given to the air navigation service provider's need for a PPR and what weight is given to resulting adverse environmental harms for communities affected. As para 4.11 of the proposed PPR process succinctly points out, an air navigation service provider "will be more used to considering only the operational implications of the change"	54	Any CAA decision on whether or not to approve a PPR will be in accordance with its duties under section 70 of the Transport Act 2000 and the Government's Air Navigation Guidance on assessing the environmental impact.

There should be an equitable balance between operational benefits and adverse environmental impacts and the criteria for this should be clearly stated.		
The CAA should ensure that any proposed PPRs avoid overflying residential areas that were not previously overflown.	55	
The CAA's PPR approval process should automatically approve PPRs unless there is overwhelming opposition to the change.	56	
The PPR process should mandate the use of design parameters to minimise the change in noise impact before and after the implementation of a relevant PPR.	57	We do not see any need for the air navigation service provider to develop design principles for a PPR. Although the objective of a given PPR might be achieved through different options, the actual procedure changes are likely to be very specific and those options would not be aided by drawing up design principles. At the consultation and decision stages, the air navigation service provider will need to provide the CAA with its rationale for choosing one or more particular PPR options.
Stage 5B should be redrafted to make it clearer that it is not just process that informs the CAA decision. The CAA is required to consider in its assessment that the service provider has, amongst other considerations, correctly assessed the operational necessity and other substantive considerations for the proposed relevant PPR. The CAA's role is not limited to ticking boxes as to process.	58	We are making it clear in Part 2 of CAP 1616 that any CAA decision on a PPR will be informed by an assessment of the merits of the change and its environmental impacts, as is our duty under section 70 of the Transport Act 2000. The decision gateways will always ensure that an air navigation service provider has followed the PPR process correctly.
At paragraph 3.8 CAP1786 states that "The CAA is expected to produce an environmental statement when approving a relevant PPR". Stakeholders need to know on what basis an application is approved or rejected and need a stronger undertaking than this. We suggest the following as an alternative wording: "The CAA will produce an environmental statement when approving or rejecting a relevant PPR."	59	
It is vital that CAA response timescales are set for each decision point to prevent the build-up of a backlog of open requests.	60	In the identification meeting the air navigation service provider will provide the CAA with its proposed target timescales. Agreement on timescales will have regard to submissions by other parties and CAA resources. The meeting

		minutes (or email exchange with the CAA, where appropriate) will record what is agreed on timescales.
A premise should exist that unless the CAA has given direction to the contrary, sponsor requests that are only seeking clarification as to whether a proposed change triggers the PPR process, should automatically change status after 30 calendar days to 'proceed'.	61	A decision on whether a proposal is in scope of the PPR process will be a key output from the initial discussion or meeting with the air navigation service provider. We do not intend to introduce a process which will automatically change the status; the status will be manually updated via the portal. We aim to provide a determination within 21 days of the air navigation service provider submitting the information we need.
Sponsor requests for clarification of decision-making should be dealt with within 20 working days.	62	Once a decision is published, it is final, but if a particular point needs clarification, the CAA will aim to provide this within one month.

Post-implementation report

Recommendation		**CAA response**
The air navigation service provider should produce the post-implementation report but it should be ratified by the CAA.	63	As explained in Chapter 2, the CAA will review the air navigation service provider's report and state, for example, whether we consider the post-implementation review closed, open, or partially satisfied.
The CAA should provide exact guidance as to what it expects to see in the post-implementation report. The CAA should consider adapting the existing template for post-implementation reports for airspace design changes.	64	We are setting out what is required in Part 2 of CAP 1616. The decision document will identify the items required to be reported in the PPR post-implementation report, drawing on the existing information in Appendix H of CAP 1616 used for a change to the notified airspace design.
The air navigation service provider should provide an interim review of a PPR six months after its implementation. There should also be the possibility of an earlier review and report, especially where the PPR has had adverse impact that were not anticipated.	65	This would create a more onerous process than we use for changes to the notified airspace design, without objective justification, and we therefore deem it disproportionate. From an operational perspective, the air navigation service provider would be reviewing implementation continuously. This is different from the post-implementation report to the CAA which looks at all factors, not just operational matters.

		A 12-month period allows for the full collection of data across all seasons.
The CAA should have a clear process to undertake ongoing audit of the impact of PPR changes to monitor impacts on overflown communities.	66	Assessment of the impacts of PPR changes will be covered by the Post-Implementation Report developed by the air navigation service provider.

Temporary changes

The application of the process should not become a burden on the deployment of changes that support the airspace modernisation strategy. For temporary changes the process should, as a general rule, not take longer than 50% of the duration of the temporary change.	67	The CAA cannot commit to the process for all temporary changes being completed in a specific amount of time as some temporary changes may be of relatively short duration. We have however altered the process to make it better suited to temporary changes.
The inclusion of a temporary change within the process (even a scalable process) is contentious and appears too onerous when considering the nature of most temporary changes. e.g. planned maintenance of a NAVAID could lead to adjusting traffic flows so would have to be planned months or years in advance as it will now be subject to CAA approval. As another example, consider a SID reliant on a NAVAID, what will happen if the same NAVAID were to fail and the subsequent redistribution of traffic took place whilst flights use coding house PBN tracks that may be different to the published SID procedure? It should not be the intention of PPR rules that the route be suspended until a temporary PPR process is completed' Could it be clarified what happens if factors outside the airport's/air navigation service provider's control result in aircraft being unable to fly a procedure, e.g. long term equipment / nav aid failure or the effect of neighbouring airport operations?	68	We have adopted a modified process for a temporary PPR which is explained in Chapter 2.

General principles

Transparency

Recommendation		CAA response
The proposals are lengthy and complex and therefore very difficult for the layman to make sense of. Could the CAA provide a precis version for local residents who will ultimately be most affected?	69	In CAP 1615 (page 14), our response to the CAP 1616 consultation, we committed to developing additional communications materials to better explain the guidance to audiences who do not have specialist expertise in this area, for example members of communities affected by aviation noise. Our main focus since then has been on introducing the online airspace change portal and improving its functionality. We will be publishing a leaflet explaining the airspace change process and will incorporate a short explanation of the PPR process in that. We will also add appropriate material to the airspace change pages on our website in non-technical language.
There should be a single repository for all PPR applications where qualifying criteria have been met or CAA judgement is being sought; this must be transparent to all sponsors. This list should show the date lodged, other relevant stage dates, status and stage of consideration.	70	A Statement of Need will be required for any PPR application and any request under paragraph 15 of the annex to the Air Navigation Directions for the CAA to determine whether a proposed change is a relevant PPR. The Statement of Need will be published on the airspace change portal, along with the outcome. (Pending the upgrade of the online portal to accommodate PPR proposals, there will be an interim arrangement using the CAA website.)
The CAA should upgrade the airspace portal to make it easier to use and more accessible to the public.	71	The CAA is already in the process of introducing some enhancements to the portal to improve its functionality. One of these will be to accommodate PPR proposals.
The CAA should ensure that the details of all comments and minutes of all stakeholder meetings are published in full. An air navigation service provider that has implemented a temporary relevant PPR should collect feedback, and this should be published on the CAA's airspace change portal.	72	The CAA is committed to full transparency of the PPR process. We will publish redacted minutes of stakeholder meetings for the identification phase. While the temporary change is in operation, the air navigation service provider is required to collate, monitor and report to the CAA on the level and content of any feedback, and this report will be published on the on-line portal. However, we may withhold material:

		• for reasons of national security • which the CAA has agreed with the stakeholder should not be made public, in order to protect the legitimate commercial interests of a person or business • containing personal information, in accordance with data protection law.
For each relevant PPR, the CAA should commission a report explaining fully and in plain English the health and environmental implications of the change. The report should be prepared by independent consultants and funded by the sponsor of the change.	73	The air navigation service provider is required to produce an environmental assessment detailing the impact of the proposed change and this will be analysed by the CAA as part of the regulatory decision-making process.
When the new system commences in 2019, relevant PPR proposals will not be published on the CAA's on-line portal straight away, due to the way that operational procedure changes are currently submitted. The CAA foresees only that PPR proposals will "eventually" be published on the portal. Notwithstanding the technical difficulty this task poses, the CAA should attempt to provide a time-scale for publication of relevant PPR proposals.	74	We are currently modifying the portal to accommodate PPR proposals, and we expect this to be ready in 2020. Pending the upgrade of the online portal to accommodate PPR proposals, there will be an interim arrangement using the CAA website. The impact will depend on how many PPR proposals are made between 1 February 2020 and the upgrade going live, but we will do our best to be as transparent as possible using the CAA website.

Scaling

Recommendation		**CAA response**
CAP 1616 is now a rigorous process with some justification but is very lengthy and some stakeholders become so impatient that it appears that the 'authorities' are dragging their feet. It would be helpful if there is a way in which the process could be speeded up, although stakeholders will like the length of the consultation periods to remain.	75	The new PPR process is significantly shorter (both in estimated timescales and process stages) than that for a Level 1 airspace design change. The PPR process should to a large extent be self-scaling, the extent of consultation and supporting materials, and the supporting activities needed will depend greatly on the scale and nature of the proposed change.

Appeals

Recommendation		CAA response
There should be an independent body set up which considers appeals.	76	We have decided not to develop an appeal procedure for a PPR decision by the CAA. The lack of an appeal procedure for airspace design changes was discussed at length during the development of that process. Although the PPR process does not have all the same elements of the process for airspace design changes, the main reasons for not adopting an appeal procedure are the same. A PPR decision made by the CAA is potentially subject to judicial review in the courts, i.e. a challenge to the fairness and lawfulness of the process we followed in reaching our decision. In terms of an appeal on substance, the CAA would have to duplicate its regulatory expertise in a separately governed team that could review the work of the decision-making team; a solution that we deem to be disproportionate given the cost. Outside the CAA there is no independent body with both the relevant expertise and status that could take responsibility for the review, and it would not be proportionate to create one.
An appeals process is required, for example to address impacts on other airspace users that have not been adequately considered.	77	
The CAA should develop a more robust consultation and engagement process for General Aviation stakeholders including an appeals process.	78	

CAA oversight and enforcement of the PPR process

Recommendation		CAA response
The CAA should develop a process that allows it to monitor ATC operational changes that have been implemented but did not undergo the PPR process.	79	This would go beyond what the CAA has been directed to do by the Secretary of State. The CAA has neither the resources nor the data to enable it to monitor all air traffic control operational changes that do not undergo the PPR process. Air navigation service providers are responsible for establishing an internal trigger process to identify whether a proposed change needs to go through the PPR decision-making process.

In time, trusted sponsors should be authorised to oversee the PPR process internally in its entirety with no routine CAA intervention and only sample auditing.	80	The Secretary of State directed the CAA to introduce a decision-making process, including applying the Air Navigation Guidance. Changes to law and government policy are outside the scope of this consultation. The process we have adopted places responsibilities on both air navigation service provider and CAA. It was clear from consultation responses that CAA oversight is seen as a key part of the process.
At the stage at which the CAA has been notified of an air traffic control operational change, the CAA should be prepared to assess whether such a change meets the criteria of a relevant PPR.	81	It is the responsibility of an air navigation service provider to assess whether a change meets the criteria for a relevant PPR, and if it does, to inform the CAA – who will then agree or disagree. It would not be an effective use of resources for the CAA to actively assess every air traffic control operational procedure change made or notified by air navigation service providers, even if we were provided with data to make such a commitment.
In circumstances in which an air navigation service provider is found to have incorrectly judged a change not to be a relevant PPR, the air navigation service provider should have to go through the PPR process retrospectively.	82	The CAA has no statutory power to require the air navigation service provider to go through the PPR decision-making process retrospectively. If such a case were identified, the CAA would inform the Department for Transport who would, after careful consideration of the specific case, consider whether further action was needed.
The CAA must be able to modify, suspend, and ultimately withdraw, its approval for a PPR.	83	The Air Navigation Directions say that the CAA may make its approval of a proposal subject to such modifications and conditions as the CAA considers necessary. However, unless our decision contains a condition that must be complied with for the approval to remain valid (which is unusual), the CAA cannot withdraw its approval once given.
The CAA should be given the power to require air navigation service providers that undertake relevant PPR changes within the six months prior to 1 November 2019 to undergo the PPR process retrospectively. Depending on the outcome of the process, these air navigation service providers should be required to modify the PPRs in accordance with the CAA's stipulations.	84	The CAA is directed to introduce the PPR process from 1 February 2020. Changes to law and government policy are outside the scope of this consultation.

The CAA should be given a statutory power to direct air navigation service providers in the south of England to make coordinated proposals for relevant PPRs.	85	Changes to law and government policy are outside the scope of this consultation.

Miscellaneous recommendations and questions

Recommendation		CAA response
Early feedback on the consultation and an opportunity to comment on guidance issued for the trigger process for air navigation service providers.	86	We provided associated guidance for air navigation service providers in the consultation document, which included a flow chart detailing how we anticipate the trigger process to work. We are incorporating guidance and flowcharts into CAP 1616 having considered the feedback received during the consultation.
Since ICCAN's primary function is to assist in the process of airspace change, a specific oversight role, especially in the early stages of delivering the PPR proposals, would be welcome.	87	The Government's Air Navigation Guidance sets out ICCAN's role as it relates to airspace change, and by extension to the PPR process, as being: • to provide best-practice guidance on the best noise management techniques • to provide best-practice guidance on the accessibility of noise information.
At Stage 5A, clarity is required on what grounds and what evidence is required to support a "minor change". "Minor change" must be defined and clarified.	88	All relevant PPRs will have to go through the decision-making process and applicants will provide the supporting documentation set out in Part 2 of CAP 1616. Less impactful changes are likely to require less data or evidence and less extensive consultation, but this may not necessarily be the case. This 'scaling' happens naturally and attempting to define 'minor' or 'major' changes is unlikely to add clarity. We have however included examples of PPR changes in CAP 1616 to illustrate what is required. The evidence and data set required for PPR proposals will build over time and fully transparent on the online portal.
Instead of attempting to further delegate authority without strategy, the CAA should as a matter of urgency: - Review its regulatory oversight policy,	89	This recommendation is outside the scope of this consultation.

- Ensure air navigation service providers and airports are aware of CAA policies and how they should be interpreted for all airspace users.		
We would also like to see the CAA lay out a process whereby organisations, such as local authorities or community organisations, could realistically be the promoter of a PPR change. We appreciate that the proposal would need to meet the rigorous standards required of any PPR change but some guidance of how organisations out with the aviation sector could approach this would be helpful.	90	The Air Navigation Directions state that only an air navigation service provider proposes a PPR. Moreover, as only the air navigation service provider has access to its MATS Part 2, it would not be possible for other groups to propose operational procedure changes without its cooperation. While a community group cannot propose a PPR itself, an air navigation service provider could propose a PPR on its behalf. We welcome and encourage cooperation between local communities or their representatives and air navigation service providers or airports to achieve mutually beneficial solutions.
Trials to air traffic operational procedures only, i.e. where there is no change to the notified airspace design, should fall under the proposed PPR decision-making process rather than the full CAP 1616 process.	91	The Air Navigation Directions to the CAA specify that trials of air traffic control operational procedures fall under the existing CAP 1616 trial process, not the full CAP 1616 process or the PPR process. Changes to law and government policy are outside the scope of this consultation.
There should be a post-implementation report on CAP 1616 and this PPR process to ensure that it remains fit for purpose and to provide transparency.	92	We intend to review the PPR decision-making process after three years, or sooner if it causes resourcing issues or the Government changes its policy relating to PPR. Part 1 of CAP 1616 commits to a review in 2021 of the process for changes to the notified airspace design.
A relevant PPR would not constitute a change in airspace design. Could this not be expanded to include updates on procedures that are used infrequently and require amending for modern aircraft. This would involve minor modifications to airspace design on relatively infrequently used procedures such as raising the altitude of a missed approach.	93	This is a question about Instrument Flight Procedures rather than PPR. A proposed change to Instrument Flight Procedures requires the existing Part 1 of CAP 1616 process for changes to the notified airspace design, regardless of how infrequently individual procedures are used. CAP 1616 already allows for the process to be appropriately scaled, such that less analysis is required for infrequently used procedures that, by definition, will have less impact on the environment, airspace and other users.
Clause 3.4 speaks of "Noise impact" which is critical but it remains unclear what this is? is it simply decibels, or is it the frequency of aircraft,	94	The Department for Transport's recent consultation on airspace and noise policy made clear that noise impacts on health, wellbeing

does noise change with seasons, ambient noise, aircraft turning, changing speed, or is it when the noise is unnecessary, as better alternatives are available. Does it matter if the flight path, tracks, spurs, swathes are over a Hospital, or nature reserve, wildlife park, densely populated area versus better alternative? The proposed lateral change of 300 metres in the Relevant PPR again (as CAP 1616) relies upon simply logic of noise (dba) but is in my view irrelevant in reality because the real issue is technologically, should the aircraft be 500 metres from the centre line, I would argue that it shouldn't irrespective of altitude and perhaps more to do with distance from runway?		and quality of life shall be assessed using the Department for Transport's transport appraisal guidance, WebTAG. WebTAG analyses the changes in noise for residential populations at different decibel levels during the daytime and night-time, which are based on the noise levels of individual aircraft and the number of movements of each aircraft, to determine the monetary impacts on health, wellbeing and quality of life.
How does the CAA know if an aircraft was at 2,000 feet agl and 600 metres from the runway centre line? The airport only use amsl anyhow and sometimes Webtrak, Travis and other such systems that presumably use satellite navigation seem to show a slightly different view of the aircraft on the map (postcode) versus when I look out of my window and it certainly does not seem accurate enough to pick up that level of detail. How does CAA know when an aircraft drops below the min altitude prior to joining ILS (the airports do not currently seem to monitor / report it? What are the penalties for doing so?	95	Unlike public flight tracking systems that report aircraft altitude in amsl, airport flight tracking systems are designed to report height above the airport for which they show information. CAA has reviewed three airport flight tracking systems for which it has access to and verified the position and height of aircraft being reported and thus is content that air navigation service providers and airports have the necessary information available to identify relevant PPRs and will required to provide appropriate supporting evidence. Relevant PPRs relate to changes to air traffic operational procedures affecting all or a large proportion of flights, for example a change of ILS joining height for all arrivals. Individual flight adherence to local traffic regulations or noise abatement procedures, for example minimum ILS joining height, or departure track-keeping remain a local matter.
Whilst environmental and safety impact is supposedly important, I often notice aircraft overflying hospitals at 2,000 feet amsl day and late night early hours (3,000 feet), perhaps not more than 800 metres from centre line but needlessly nether-the-less, as they could overfly less densely populated areas (improving safety). Similarly, wildlife parks, meadows, are often overflown without consideration and without penalty as it is approved by ATC, how will that be monitored / implemented.	96	The process for proposed changes to the notified airspace design already requires significant input from local stakeholders in the development of airspace design options that might, for example, give greater priority to overflight of certain sensitive receptors, among other priorities. The PPR process includes a similar options appraisal to that for an airspace design change, allowing for consideration of sensitive receptors, although the potential

		options available for a PPR are likely to be fewer than for an airspace design change.
2.29 says 3db steps are the basis of lateral flexibility - but 3db is a doubling in loudness e.g. at 6,000 feet the lateral shift is 1,600 metres = 1 mile; that is a way too much and should be narrowed and limited until 7,000 feet - i.e. the end of the NPR. As proposed this gives far too much freedom to change within an NPR without it being a PPR. I instead suggest two tables – one for departures one for arrivals. Departures to be limited more e.g. max 600 metres lateral up to 7,000 feet. Plus vertical flexibility is not mentioned. What if instead of 8,000 feet the average altitude of planes is gradually changed to 5,000 feet? Again this would be a doubling of loudness yet there is no restriction for this not to happen?	97	A 3 dB noise change corresponds to a doubling or halving of noise energy. A 10 dB change corresponds to a doubling or halving of loudness, but a ten-fold change in noise energy. By definition, a PPR is very unlikely to occur before a Noise Preferential Route ends, which is typically 4,000 feet altitude (sometimes 3,000 feet) and must be below 7,000 feet. We believe the thresholds for a relevant Type 1 PPR are consistent with the definition of airport Noise Preferential Route swathes, which are typically 1,500 metres wide. The intention of Type 1 PPRs is not to capture changes to track-keeping within Noise Preferential Route swathes, but to capture changes to how air navigation service providers direct aircraft away from Standard Instrument Departure routes after reaching the end of a Noise Preferential Route.
Approach RMAs provide approach controllers with significant flexibility to manage air traffic. Whilst for the majority of flights they will follow predictable routes within the RMA, there will be occasions where we are required to adjust these traffic flows. Will the PPR process impact the function of an RMA?	98	The Air Navigation Directions define “planned and permanent” in PPR as meaning other than a day-to-day or at-the-time decision taken by an air traffic controller or other decision-maker. The directions also explain that changes to air traffic control operational procedures that are planned and permanent will typically be recorded in writing and given as some form of instruction to an air traffic controller. An example would be a change to an air navigation service provider’s MATS Part 2. Tactical or other short-term changes that do not meet this definition are not in scope of a PPR.
Would it be possible to explain how your indicative timeline was developed? Did you consider test cases? This element is extremely important when assessing project timelines.	99	Our indicative timeline (of 46 weeks) is based on those elements which are reasonably fixed (consultation preparation, execution and analysis) together with shorter periods than assumed for airspace design for the other stages reflecting the likelihood that a PPR will be a much more specific proposal than the more substantial Level 1 changes in airspace design. The CAA-dependent stages are likely to be less significant than for a change in airspace design, because there is only one gateway before the CAA decision stage, there is no public evidence session or draft decision, and the decision itself

		should be less complex than a more substantial Level 1 change in airspace design.

Appendix A

Themes used to assess free-text responses qualitatively

Comments on the fact that only **air navigation service providers** can sponsor a PPR proposal
Concern that there is no **appeal** on a decision
Objection to **broader government policy** or law
Query/ concern on how the PPR process will be incorporated into **CAP 1616**
Clarity needed on how PPRs are interpreted and how borderline cases will be treated
Clarity needed on how the process (or specific elements) would be scaled
Clarity needed on how PPRs and airspace change proposals will be treated when there are large sets of changes
The proposal/ consultation document **complex/ difficult** to understand
Process will **cost too much** – either in terms of money or resource
CAA's poor **engagement** with public (not specifically related to PPR)
Requirement to **fast-track** PPRs that everyone wants and and/or are environmentally beneficial.
Requirement to **fast-track** urgent PPRs.
Objection to the **Government's PPR policy**
ICCAN should be more involved in the process/ query lack of involvement
The ability of air navigation service providers (or other entities) to **identify** relevant PPRs
Doubts on the viability of having the PPR process **implemented** and running by 1 November 2019
Query/concern on how PPRs and airspace change proposals will **interact**
Specific or general complaints regarding **noise** (not related to PPR)
Objections on the way **noise/noise impact** is measured

Concern about the air navigation service provider carrying out the **post-implementation review** or thinks separate body should undertake or oversee the post-implementation review
Questions how complaints will be handled by the **post-implementation review** process
Clarity on how the **portal** will deal with PPRs/ concern about period when portal will yet to be available for PPRs
CAA's lack of **power** to require air navigation service providers to report PPRs and to go through the process
The temporary PPR process should be **proportionate** to the change in question
PPR process should be **proportionate** to the change in question
Lack of **public engagement** in process
Concern if CAA has adequate **resources** to run the PPR process effectively
Specific question for the CAA relevant to the consultation
Specific recommendation made relevant to the consultation
Specific recommendation made that is technical in nature relevant to the consultation
Specific technical question for the CAA relevant to the consultation
How the **timescales** for PPRs decisions will be kept to
The proposed process is **too long**
The temporary PPR process is **too long**
The proposed process is **too short**
The temporary PPR process is **too short**
The PPR process needs to be **transparent**
CAA can't be **trusted**/has vested interest
Industry/air navigation service providers can't be **trusted**/have vested interest