

Spaceflight Regulatory Objectives

Explaining the Regulatory Objectives that underpin the CAA's assessment of licence applications and ongoing regulatory functions under the Space Industry Act 2018 and the Space Industry Regulations 2021.

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Chapter 1

Overview

- 1.1 The Civil Aviation Authority (CAA) is the UK's spaceflight regulator. We determine licence applications for spaceflight activities and associated activities (hereby referred to as 'spaceflight activities'); and monitor licensees to ensure that they are continuing to operate in accordance with their licence and the underpinning legislation.
- 1.2 This document sets out the Regulatory Objectives that underpin our assessment of licence applications and ongoing regulatory functions under the [Space Industry Act 2018](#) (hereby referred to as 'the Act') and the [Space Industry Regulations 2021](#) (hereby referred to as 'the Regulations').
- 1.3 This document sits alongside the Act, the Regulations (and where relevant, [the Outer Space Act 1986](#)), [The Regulators Licensing Rules](#) (RLRs), and supporting guidance published on our [website](#). Together, these materials set out the framework through which we regulate spaceflight activities in the United Kingdom. In the event of inconsistency, the Act and Regulations take precedence over this document.

Purpose of this document

- 1.4 The purpose of this document is to provide transparency and improve understanding of how we make decisions and the outcomes we seek to secure. It sets out the Regulatory Objectives that underpin our assessments and inform how we apply the key legislative tests that must be satisfied when exercising our regulatory functions (i.e. when determining licence applications and conducting ongoing monitoring activities).
- 1.5 The Regulatory Objectives explain how we evaluate evidence provided by applicants during the licensing process¹, and by licensees as part of ongoing monitoring². They inform our judgement when determining appropriate terms and conditions of a licence and our ongoing monitoring and regulatory functions. They help ensure that our regulatory decisions are consistent, transparent and aligned with key requirements of the Act, the Regulations and the principles of the [Regulator's Code](#). We will also refer to other accompanying materials where relevant during the licensing process and when exercising ongoing regulatory

¹ To find out more about the licensing process, see [Space Licensing in the UK](#).

² See [CAP2214: Working with the regulator as a licensee under The Space Industry Act 2018](#) and [CAP2987: Spaceflight Enforcement Policy](#).

functions. These other materials may include (but are not limited to) assessment criteria, processes and procedures.

Application of this document to the Outer Space Act 1986

- 1.6 For the assessment of licence applications and regulatory activity under the Outer Space Act 1986 (the OSA), we consider and adapt these Regulatory Objectives as necessary. This reflects our intention to align regulatory approaches for activities under the Act and the OSA. Therefore, to avoid duplication, this document does not set out separate Regulatory Objectives underpinning the assessment of licence applications under the OSA.

Who is this document for?

- 1.7 The Regulatory Objectives set out in this document are used internally by us (the CAA) in our capacity as the UK spaceflight regulator. The Regulatory Objectives may also be used by relevant His Majesty's Government departments, predominantly to inform the Secretary of State's decision on whether to consent to the grant of a licence.
- 1.8 Operators may find this document useful to:
- help inform their understanding of how we reach decisions.
 - contextualise and map the evidence operators are expected to provide to the intent of each legislative test.
 - anticipate areas of focus during the licensing process; and understand how terms and conditions within licences might emerge.

Use of this document

- 1.9 The Regulatory Objectives for each licence type are described in a separate Annexes within this document. While many of the Regulatory Objectives are common across licence types, they are repeated in each Annex to allow readers to easily identify the Regulatory Objectives relevant to their specific licence application.
- 1.10 The detailed requirements that applicants and licensees are required to demonstrate and comply with respectively are set out in:
- the Act;
 - the Regulations;
 - the RLRs;
 - the terms and conditions of the licence; and
 - our guidance materials (to support as necessary).

- 1.11 Operators are still expected to consult the materials in paragraph 1.10 as the primary sources of information to inform their licence applications and ongoing monitoring requirements.
- 1.12 The Regulatory Objectives do not undermine any requirements of the Act, the Regulations, the RLRs or the terms and conditions of any licence.
- 1.13 This document and Regulatory Objectives within it should not be interpreted as a 'checklist' that will automatically result in the grant of a licence. Licensing decisions are determined on a case-by-case basis and must be in accordance with all relevant requirements of the Act and the Regulations. The objectives support but do not replace case-by-case regulatory judgement. Further information is set out in [chapter 2](#) of this document.

Chapter 2

Regulatory Functions and Principles

Our key regulatory duties

- 2.1 We must carry out our regulatory functions with regards to spaceflight activities with a view to securing public safety i.e. the health and safety of members of the public and their property. This duty takes precedence where duties conflict, but we must still have regard to the other matters listed in section 2(2).
- 2.2 When exercising our functions, we must also take into account (section 2(2) of the Act):
- the interests of persons carried by spacecraft or carrier aircraft;
 - the requirements of persons carrying out spaceflight activities;
 - the interests of any other persons in relation to the use of land, sea, and airspace;
 - the requirements of persons with interests in property carried by spacecraft;
 - any environmental objectives set by the Secretary of State;
 - the interests of national security;
 - any international obligations of the United Kingdom (these obligations are not limited to those in the UN Space Treaties but include any obligation arising as a matter of international law); and
 - any space debris mitigation guidelines issued by an international organisation in which the government of the United Kingdom is represented (as captured in the guidelines issued by the Inter-Agency Debris Coordination Committee of which the UK is a member).
- 2.3 If in a particular case there is a conflict in the application of the provisions of section 2(2) of the Act set out in paragraph 2.2 above, we must apply them in whatever way we think reasonable, having regard to those provisions in whole.
- 2.4 Under section 8(1) of the Act, we may grant a licence if we think fit. In determining whether we see fit, we must be satisfied that all of the legislative tests in the Act are met. We have set out these tests in paragraphs 2.5, 2.6, and Figure 1 of this document. The Regulatory Objectives also capture these tests and are the mechanism for us to assess applications against the legislative tests. In addition, we will take a holistic view of the applicant, application and wider landscape relevant to the activities seeking to be licensed, to ensure we see fit to grant a licence. This can include matters such as considering previous

compliance and enforcement history as well as adherence to national and international good practice and standards.

2.5 We may only grant a licence under the Act if we are satisfied that:

- for launch, return, and orbital licences, the applicant has taken all reasonable steps to ensure that risks to health, safety and property of others are as low as reasonably practicable (ALARP); and that the level of those risks are acceptable;
- for spaceport licences, the applicant has taken all reasonable steps to ensure that risks to public safety arising from the operation of the spaceport are ALARP, and any prescribed criteria or requirements are met.
- doing so will not impair the national security of the United Kingdom;
- doing so is consistent with the international obligations of the United Kingdom;
- doing so is not contrary to the national interest; and
- the applicant has the financial and technical resources to do the things authorised by the licence and is otherwise a fit and proper person to do them.
- the persons who are expected to do, on the applicant's behalf, any of the things authorised by the licence are fit and proper persons to do them.

2.6 For spaceport and launch licences, we must also take into account the Assessment of Environmental Effects submitted by the applicant.

Figure 1: Overview of key legislative tests that must be met prior to the CAA granting a licence.



2.7 Under section 26 of the Act, we are responsible for monitoring licensed activities to:

- secure compliance with the Act and the Regulations made under it, the conditions of licences, and with the international obligations of the UK;
- protect public safety and the national security of the UK.

2.8 The CAA and our appointed inspectors have a number of monitoring and enforcement powers under the Act and the Regulations. These are set out in more detail in our [CAP2987: Spaceflight enforcement policy](#) .

Application of the Regulators' Code

2.9 In exercising our regulatory functions, we have regard to the five statutory principles of good regulation set out in section 21 of the Legislative and Regulatory Reform Act 2006. These require that regulatory activities are proportionate, accountable, consistent, transparent and targeted. We also have regard to the Regulators' Code which provides a principles based framework for regulatory practice.

2.10 The Regulatory Objectives have been developed to reflect these principles and support decision making that is targeted, proportionate, accountable and consistent. Publishing these Objectives forms part of our commitment to improving transparency and clarity of the UK space regulatory framework for the sector.

Chapter 3

Further reading

- 3.1 The following legislation, regulatory materials and guidance provide the primary sources of information for licence applications and ongoing regulatory requirements. They are listed here for ease of reference. Operators should consult these materials as primary sources of information to inform their licence applications and ongoing monitoring requirements.

Legislation

- [The Outer Space Act 1986](#)
- [Space Industry Act 2018](#)
- [The Space Industry Regulations 2021](#)

See also:

- [The Space Industry \(Appeals\) Regulations 2021](#)
- [The Spaceflight Activities \(Investigation of Spaceflight Accidents\) Regulations 2021](#)

Regulatory framework and supporting materials

- [CAP 2221: The Regulators Licensing Rules](#)
- [Regulators' Code](#)
- [Space Licensing in the UK](#)
- [CAP2987: Spaceflight Enforcement Policy](#)
- [CAP2209: Applying for a licence under the Space Industry Act 2018](#)
- [CAP2214: Working with the regulator as a licensee under the Space Industry Act 2018](#)
- [CAP2219: Guidance on the investigation of spaceflight accidents](#)
- [CAP2216: Guidance on appealing decisions made under the SIA and OSA](#)

Licence-specific guidance

- [CAP2213: Guidance for launch operator and return operator licence applicants and licensees](#)
- [CAP2212: Guidance for spaceport licence applicants and licensees](#)

- [CAP2211: Guidance for range control licence applicants and licensees](#)
- [CAP2210: Guidance for orbital operator applicants and licensees](#)
- [CAP2224: OSA Guidance for applicants](#)

Please see our website for further [guidance and resources](#).

Navigating the Annexes

- 3.2 The Regulatory Objectives for each licence type provide information on the processes for each legislative test and the possible assessment deliverables and outcomes.
- 3.3 The Regulatory Objectives for each licence type are set out in full within the following Annexes:
- [Annex A](#): Regulatory Objectives for **launch and return** activities.
 - [Annex B](#): Regulatory Objectives for **spaceport** operations.
 - [Annex C](#): Regulatory Objectives for **range control** services.
 - [Annex D](#): Regulatory Objectives for **orbital** operations.

ANNEX A

Regulatory Objectives for launch and return activities

- A1 A launch operator is the organisation responsible for managing the launch of a rocket or other craft that is intended to operate above the stratosphere. That could be a rocket (launch vehicle) that would be launched vertically, a balloon carrying crew or passengers, or a rocket that is carried on a spaceplane or carrier aircraft, to be released at high altitude.
- A2 Detailed guidance specific to launch and return operators is set out in [CAP2213: Guidance for launch and return operator licence applicants and licensees](#). Operators should continue to consult the more detailed guidance in CAP2213, as well as the [Act](#), the [Regulations](#), the [RLRs](#) and the terms and conditions of their licences directly.
- A3 The Regulatory Objectives set out below describe the outcomes we seek to secure when assessing applications for a launch operator licence and a return operator licence³.

National Interest

- A4 The CAA must be satisfied that granting a licence is not contrary to the national interest of the UK (section 8(2)(c) of the Act).

Regulatory Objectives

- A5 The relevant parts of His Majesty's Government have been consulted on national interest concerns of the proposed licensed activities, and the CAA is assured that these will not have an adverse impact on the national interest of the United Kingdom.
- A6 The CAA has notified His Majesty's Government of any potential national interest issues identified as part of the wider assessment, and the CAA is assured that these will not adversely impact the national interest of the United Kingdom.

Processes

- A7 The CAA will complete a National Interest Assessment Proforma based on the information included in the application form and share this with the Department for Transport (DfT).

³ The Regulatory Objectives do not currently extend to human spaceflight activity.

- A8 The CAA will also flag any emergent issues from any other assessments to the DfT.
- A9 The national interest assessment is informed by DfT who will consult across government and complete a declaration form.

Deliverables and outcomes

- A10 The DfT will provide a declaration which states their view as to whether the activity is contrary to the national interest, including any proposed conditions along with rationale, and confirmation on who they have consulted with across government.
- A11 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- A12 There are three potential outcomes from this assessment:
- Satisfied: all Regulatory Objectives are met without the need for additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: the proposed activity is contrary to the national interest, or the applicant has not provided sufficient evidence to form a conclusion.

National Security

- A13 The CAA must be satisfied that granting a licence will not impair the national security of the United Kingdom (section 8(2)(a) of the Act).

Regulatory Objectives

- A14 The relevant parts of His Majesty's Government have been consulted on national security concerns of the proposed licensed activities, and the CAA is assured that these will not adversely impact the national security of the United Kingdom.
- A15 The CAA has notified His Majesty's Government of any potential national security issues identified as part of the wider assessment and the CAA is assured that these will not adversely impact the national security of the United Kingdom

Processes

- A16 The CAA will complete the National Security Assessment Proforma based on the information included in the application form and share this with the UK Space

Agency Space Security and Resilience Team (UKSA SSRT) along with the completed national security questionnaire.

A17 The CAA will also flag any emergent issues from other assessments to the UKSA SSRT.

A18 The national security assessment is then informed by the UKSA SSRT.

Deliverables and outcomes

A19 UKSA SSRT will provide a declaration with their view as to whether the activity will impair national security, including any proposed conditions with rationale, and confirmation on who they consulted across government.

A20 For a return licence only, if there are any national security concerns, a security manager may need to be appointed as per regulation 9(5) and regulation 10(2) of the Regulations.

A21 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

A22 There are three potential outcomes to the assessment:

- Satisfied: all Regulatory Objectives have been met without additional licence conditions.
- Satisfied with conditions: all Regulatory Objectives have been met, subject to proposed licence conditions.
- Not satisfied: proposed activity will impair national security, or the applicant has not provided sufficient evidence to form a conclusion.

International obligations

A23 The CAA must be satisfied that granting a licence is consistent with the international obligations of the UK (section 8(2)(b) of the Act).

Regulatory Objectives

A24 The relevant international obligations under UN treaties on outer space & international guidelines relevant to the proposed spaceflight activities have been identified.

A25 Whether the Technology Safeguards Agreement (TSA)/ Technical Assistance Agreement (TAA) applies has been identified.

A26 Any other requirements from any overflight agreements between the UK government and another state have been identified.

A27 The requirements of any relevant international obligations are met.

A28 The necessary arrangements are in place within the CAA to report licensed activity to the relevant bodies.

Processes

A29 The CAA will complete the international obligations checklist and highlight the matters that need to be considered as part of the other assessments.

A30 The CAA will confirm that insurance requirements are met up to the correct liability limit.

A31 The CAA will confirm that safety and sustainability requirements are met.

A32 The CAA will confirm that International Traffic in Arms Regulations (ITAR) requirements are met.

Deliverables and outcomes

A33 The CAA will review its findings from the tests carried out to form a recommendation and agree matters to be included in monitoring. This will then be circulated amongst the assessment team and any other relevant internal teams.

A34 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

A35 There are three potential outcomes to this assessment:

- Satisfied: all Regulatory Objectives are met without additional licence conditions.
- Satisfied with conditions: all Regulatory Objectives are met subject to proposed licence conditions.
- Not satisfied: the proposed activity is not consistent with international obligations of the UK, or the applicant has not provided sufficient evidence to form a conclusion.

Fit and Proper Eligibility

A36 The CAA must be satisfied that the applicant, and persons expected to do the things authorised by the licence on the applicant's behalf, are fit and proper (section 8(3) of the Act) and meet eligibility criteria (regulation 5 of the Regulations).

Regulatory Objectives

A37 The applicant, any individuals carrying out prescribed roles, and any agents carrying out licensed activities on behalf of the applicant:

- are credible in terms of their position and expected ability to do the things authorised by the licence (i.e. has appropriate work experience/qualifications in broadly similar roles/industries and at appropriate levels of responsibility, understands the responsibilities of their role and are adequately trained or will be trained to carry out the responsibilities of their role);
- there is no evidence suggesting that they have a propensity to break rules or the law or have acted dishonestly or without integrity; and
- if required, meet the eligibility criteria.

Processes

A38 The CAA will check the information supplied by the applicant to verify they are satisfied that the applicant is a fit and proper person. This includes the assessment of behaviour such as:

- Trustworthiness and propensity to obey rules.
- Whether there is evidence of credibility to hold their position.

A39 The CAA may request interviews and references where supplementary evidence is required.

Deliverables and outcomes

A40 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

A41 There are three potential outcomes to the assessment:

- Satisfied: all Regulatory Objectives are met without additional licence conditions.
- Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
- Not satisfied: risks identified as being significant and cannot be mitigated, this could either be with the applicant, or they may need to reappoint a particular prescribed role if they are deemed not suitable, or the applicant has not provided sufficient evidence to form a conclusion.

Financial Resources

A42 The CAA must be satisfied that the applicant has the financial resources to do the things authorised by the licence (section 8(3)(a) of the Act).

Regulatory Objectives

A43 The applicant can demonstrate they have the necessary financial resources to safely and securely undertake the licensed activities.

- A44 The applicant can demonstrate they have the necessary financial resources to safely and securely cease the licensed activities where/if required.
- A45 Where applicable, the applicant can demonstrate they have the necessary financial resources to cover any applicable insurance costs.
- A46 Where applicable, the applicant can demonstrate they have suitable control/financial independence from creditors or other parts of the applicant's corporate group.

Processes

- A47 The CAA will carry out a review of the company's finances to carry out activities to determine the applicant's ability to finance the authorised activities for the duration of the licence (insofar as possible at the time of assessment, with consideration of future monitoring capabilities). In particular, if financial distress could impact on HMG's liabilities or their ability to safely and securely undertake/cease the licensed activities.
- A48 The CAA will carry out a review of the corporate structure to identify formal and informal influences on the applicant by entities from the wider group, or creditors, and determine whether they have sufficient independence. Any group company guarantees or similar assurance, where required, will also be identified.

Deliverables and outcomes

- A49 Internal experts at the CAA will provide a recommendation on whether a licence can be granted from a financial assessment perspective or whether any conditions should be applied.
- A50 Based on this recommendation, the CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- A51 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: financial risks are identified as being significant and cannot be mitigated, or the applicant has not provided sufficient evidence to form a conclusion.

Safety (and Technical Resources)

- A52 The CAA must be satisfied that the risks from spaceflight activity to people (other than human occupants) have been identified and managed to ALARP and residual risks are acceptable (section 9(4) of the Act), and that the applicant has the necessary technical resources (section 8(3)(a) of the Act).

Regulatory Objectives

- A53 The applicant has systematically identified major accident hazards, including, interactions with other licence holders and physical and cyber security.
- A54 The applicant has evaluated risks using appropriate methodologies.
- A55 The applicant has acted on the findings by implementing appropriate technical, operational, and organisational controls.
- A56 The applicant has made adequate arrangements for co-operation and co-ordination between the spaceflight operator and other licence holders.
- A57 The applicant has made a written demonstration that the risks to people and property (other than human occupants) are ALARP.
- A58 The applicant has the technical resources to undertake the licensed activities.

Processes

- A59 The CAA will conduct an initial safety screen to check enough information has been included in the safety case to continue with the assessment.
- A60 The CAA will conduct a broad review of the safety case to determine if the risk analysis is suitable for the expected hazards and risks. This will be followed by in-depth reviews in critical areas to be assured that the necessary steps have been taken.
- A61 If necessary, the CAA will carry out inspections or independent analysis to supplement the review of the safety case and to provide additional evidence to support a determination.
- A62 Lastly, the CAA will conduct a review against ALARP principles and acceptable risk paper to be satisfied that the necessary steps have been taken, and residual risk is acceptable.

Deliverables and outcomes

- A63 The CAA will review its findings from assessments carried out to form a recommendation and agree any matters to be included in monitoring.
- A64 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

- A65 There are three possible outcomes to the assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: the level of residual risk is unacceptable, or the applicant has not provided sufficient evidence to form a conclusion.

Environmental

- A66 The CAA must take account of the applicant's assessment of environmental effects when deciding on whether to grant a licence and what conditions to include (section 11 of the Act).

Regulatory Objectives

- A67 The applicant has considered and understood the potential effects of their intended activities on the environment.
- A68 The applicant has, if necessary, taken proportionate steps to avoid, mitigate, and offset the risks and their potential environmental effects.
- A69 The CAA has considered the environmental objectives of the Secretary of State.

Processes

- A70 The CAA will complete an initial screen to ensure the information provided meets the minimum requirements set out in the AEE guidance and environmental objectives guidance and that competent experts have been used to prepare the AEE.
- A71 The CAA will then conduct a full assessment, using a detailed review checklist, to reach a reasoned conclusion on whether the applicant has addressed the potential effects of their proposed activities in sufficient detail and to the expected extent.
- A72 The CAA will publish the AEE for public comment for a period of 28 days, and relevant comments will be considered as part of the detailed assessment.
- A73 The CAA, as the competent authority, is responsible for undertaking a Habitat Regulation Assessment/Appraisal (where required) and to consult with the relevant statutory nature conservation body.

Deliverables and outcomes

- A74 The CAA assessment team and environmental reviewer will meet and review the relevant documentation to:

- Take into account the AEE, and consultation responses, in deciding whether to grant a licence, and if any conditions need to be attached.
- Take into account that the Secretary of State environmental objectives and assure they have been met.
- Reach a reasoned conclusion on whether we agree with the significance findings in the AEE and that the effects are acceptable.

A75 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

A76 There are three potential outcomes to the assessment:

- Satisfied: the Regulatory Objectives are met without additional licence conditions
- Satisfied with conditions: the Regulatory Objectives are met, subject to proposed licence conditions.
- Not satisfied: the environmental effects are considered to be significant with mitigation, or the applicant has not provided sufficient evidence to form a conclusion.

ANNEX B

Regulatory Objectives for spaceport operations

- B1 A spaceport is a site from which spacecraft or carrier aircraft can be launched and which controlled and planned landings can take place. This includes:
- i) Vertical launches of rockets intended to operate above the stratosphere
 - ii) Horizontal launches of spaceplanes or carrier aircraft, from which a space object will be released
 - iii) Launches of high-altitude balloons
- B2 Detailed guidance specific to Spaceport applicants and licensees is set out in [CAP2212: Guidance for spaceport licence applicants and spaceport licensees](#). Operators should continue to consult the more detailed guidance in CAP2212, as well as the [Act](#), the [Regulations](#), the [RLRs](#) and the terms and conditions of their licences directly.
- B3 The Regulatory Objectives set out below describe the outcomes we seek to secure when assessing applications for a spaceport licence.

National Interest

- B4 The CAA must be satisfied that granting a licence is not contrary to the national interest of the UK (section 8(2)(c) of the Act).

Regulatory Objectives

- B5 The relevant parts of His Majesty's Government have been consulted on national interest concerns of the proposed licensed activities, and the CAA is assured that these will not have an adverse impact on the national interest of the United Kingdom.
- B6 The CAA has notified His Majesty's Government of any potential national interest issues identified as part of the wider assessment, and the CAA is assured that these will not adversely impact the national interest of the United Kingdom.

Processes

- B7 The CAA will complete a National Interest Assessment Proforma based on the information included in the application form and share this with the Department for Transport (DfT).
- B8 The CAA will also flag any emergent issues from any other assessments to the DfT.

- B9 The national interest assessment is informed by DfT who will consult across government and complete a declaration form.

Deliverables and outcomes

- B10 The DfT will provide a declaration which states their view as to whether the activity is contrary to the national interest, including any proposed conditions along with rationale, and confirmation on who they have consulted with across government.
- B11 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- B12 There are three potential outcomes from this assessment:
- Satisfied: all Regulatory Objectives are met without the need for additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: The proposed activity is contrary to the national interest, or the applicant has not provided sufficient evidence to form a conclusion.

National Security

- B13 The CAA must be satisfied that granting a licence will not impair the national security of the United Kingdom (section 8(2)(a) of the Act).

Regulatory Objectives

- B14 The relevant parts of His Majesty's Government have been consulted on national security concerns of the proposed licensed activities, and the CAA is assured that these will not adversely impact the national security of the United Kingdom.
- B15 The CAA has notified His Majesty's Government of any potential national security issues identified as part of the wider assessment and the CAA is assured that these will not adversely impact the national security of the United Kingdom

Processes

- B16 The CAA will complete the National Security Assessment Proforma based on the information included in the application form and share this with the UK Space Agency Space Security and Resilience Team (UKSA SSRT) along with the completed national security questionnaire.
- B17 The CAA will also flag any emergent issues from other assessments to the UKSA SSRT.

B18 The national security assessment is then informed by the UKSA SSRT.

Deliverables and outcomes

B19 UKSA SSRT will provide a declaration with their view as to whether the activity will impair national security, including any proposed conditions with rationale, and confirmation on who they consulted across government.

B20 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

B21 There are three potential outcomes to the assessment:

- Satisfied: all Regulatory Objectives have been met without additional licence conditions.
- Satisfied with conditions: all Regulatory Objectives have been met, subject to proposed licence conditions.
- Not satisfied: proposed activity will impair national security, or the applicant has not provided sufficient evidence to form a conclusion.

International Obligations

B22 The CAA must be satisfied that granting a licence is consistent with the international obligations of the UK (section 8(2)(b) of the Act).

Regulatory Objectives

B23 The relevant international obligations under UN treaties on outer space & international guidelines relevant to the proposed spaceflight activities have been identified.

B24 Whether the Technology Safeguards Agreement (TSA)/ Technical Assistance Agreement (TAA) applies has been identified.

B25 Any other requirements from any overflight agreements between the UK government and another state have been identified.

B26 The requirements of any relevant international obligations are met.

B27 The necessary arrangements are in place within the CAA to report licensed activity to the relevant bodies.

Processes

B28 The CAA will complete the international obligations checklist and highlight the matters that need to be considered as part of the other assessments.

B29 The CAA will confirm that insurance requirements are met up to the correct liability limit.

- B30 The CAA assessment team will confirm that safety and sustainability requirements are met.
- B31 The CAA security assessors will confirm that International Traffic in Arms (ITAR) requirements are met.

Deliverables and outcomes

- B32 The CAA assessment team will review its findings from the tests carried out to form a recommendation and agree matters to be included in monitoring. This will then be circulated amongst the assessment team and any other relevant internal teams.
- B33 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- B34 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met subject to proposed licence conditions.
 - Not satisfied: the proposed activity is not consistent with international obligations of the UK, or the applicant has not provided sufficient evidence to form a conclusion.

Fit and Proper Eligibility

- B35 The CAA must be satisfied that the applicant, and persons expected to do the things authorised by the licence on the applicant's behalf, are fit and proper (section 8(3) of the Act) and meet eligibility criteria (regulation 5 of the Regulations).

Regulatory Objectives

- B36 The applicant, any individuals carrying out prescribed roles, and any agents carrying out licensed activities on behalf of the applicant:
- are credible in terms of their position and expected ability to do the things authorised by the licence (i.e. has appropriate work experience/qualifications in broadly similar roles/industries and at appropriate levels of responsibility, understands the responsibilities of their role and are adequately trained or will be trained to carry out the responsibilities of their role),
 - there is no evidence suggesting that they have a propensity to break rules or the law or have acted dishonestly or without integrity, and
 - If required, meet the eligibility criteria.

Processes

- B37 The CAA will check the information supplied by the applicant to verify they are satisfied that the applicant is a fit and proper person. This includes the assessment of behaviour such as:
- Trustworthiness and propensity to obey rules.
 - Whether there is evidence of credibility to hold their position.
- B38 Interviews and references may be requested where supplementary evidence is required.

Deliverables and outcomes

- B39 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- B40 There are three potential outcomes to the assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: risks identified as being significant and cannot be mitigated, this could either be with the applicant, or they may need to reappoint a particular prescribed role if they are deemed not suitable, or the applicant has not provided sufficient evidence to form a conclusion.

Financial Resources

- B41 The CAA must be satisfied that the applicant has the financial resources to do the things authorised by the licence (section 8(3)(a) of the Act).

Regulatory Objectives

- B42 The applicant can demonstrate they have the necessary financial resources to safely and securely undertake the licensed activities.
- B43 The applicant can demonstrate they have the necessary financial resources to safely and securely cease the licensed activities where/if required.
- B44 Where applicable, the applicant can demonstrate they have the necessary financial resources to cover any applicable insurance costs.
- B45 Where applicable, the applicant can demonstrate they have suitable control/financial independence from creditors or other parts of the applicant's corporate group.

Processes

- B46 The CAA will conduct a review of the company's finances to carry out activities is conducted to determine the applicant's ability to finance the authorised activities for the duration of the licence (insofar as possible at the time of assessment, with consideration of future monitoring capabilities). In particular, if financial distress could impact on HMG's liabilities or their ability to safely and securely undertake/cease the licensed activities.
- B47 The CAA will conduct a review of the corporate structure is undertaken to identify formal and informal influences on the applicant by entities from the wider group, or creditors, and determine whether they have sufficient independence. Any group company guarantees or similar assurance, where required, will also be identified.

Deliverables and outcomes

- B48 Internal experts at the CAA will provide a recommendation on whether a licence can be granted from a financial assessment perspective or whether any conditions should be applied.
- B49 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- B50 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: financial risks are identified as being significant and cannot be mitigated, or the applicant has not provided sufficient evidence to form a conclusion.

Safety (and Technical Resources)

- B51 The CAA must be satisfied that the applicant has taken all reasonable steps to ensure that risk to public safety arising from the operation of the spaceport are as low as reasonably practicable and that any prescribed criteria are met (section 10 of the Act), and that the applicant has the necessary technical resources (section 8(3)(a) of the Act).

Regulatory Objectives

- B52 The applicant has demonstrated that the location of the spaceport provides an "acceptable" trajectory for launch (based on an actual or representative launch vehicle).

- B53 The applicant has systematically identified major accident hazards, including, iterations with other licence holders and physical and cyber security.
- B54 The applicant has evaluated risks using appropriate methodologies.
- B55 The applicant has acted on the findings by implementing appropriate technical, operational, and organisational controls.
- B56 The applicant has made adequate arrangements for co-operation and co-ordination between the spaceport and other licence holders.
- B57 The applicant has made a written demonstration that risks to people and property are ALARP.
- B58 The applicant has the technical resources to undertake the licensed activities.

Processes

- B59 The CAA will conduct an initial safety screen to check enough information has been included in the safety case to continue with the assessment
- B60 The CAA will conduct a broad review to determine if the risk analysis is suitable for the expected hazards and risks. The CAA will conduct an in-depth review to be assured that the necessary steps have been taken.
- B61 If necessary, the CAA will carry out inspections or independent analysis to supplement the review of the safety case and to provide additional evidence to support a determination.
- B62 Lastly, the CAA will conduct a review against ALARP principles and acceptable risk paper to be satisfied that the necessary steps have been taken, and residual risk is acceptable.

Deliverables and outcomes

- B63 The CAA will review findings from the assessment carried out to form a recommendation and agree matters to be included in monitoring.
- B64 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- B65 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives have been met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives have been met, subject to the proposed licence conditions.
 - Not satisfied: the level of residual risk is unacceptable, or the applicant has not provided sufficient evidence to form a conclusion.

Environmental

B66 The CAA must take account of the applicant's assessment of environmental effects when deciding on whether to grant a licence and what conditions to include (section 11 of the Act).

Regulatory Objectives

B67 The applicant has considered and understood the potential effects of their intended activities on the environment.

B68 The applicant has, if necessary, taken proportionate steps to avoid, mitigate, and offset the risks and their potential environmental effects.

B69 The CAA has considered the environmental objectives of the Secretary of State.

Processes

B70 The CAA will conduct initial screen to ensure the information provided meets the minimum requirements set out in the AEE guidance and environmental objectives guidance and that competent experts have been used to prepare the AEE.

B71 The CAA will then conduct a full assessment using a detailed review checklist to reach a reasoned conclusion on whether the applicant has addressed the potential effects of their proposed activities in sufficient detail and to the expected extent.

B72 The CAA will publish the AEE for public comment for a period of 28 days, and relevant comments will be considered as part of the full assessment.

B73 The CAA, as the competent authority, is responsible for undertaking a Habitat Regulation Assessment/Appraisal (where required) and to consult with the relevant statutory nature conservation body.

Deliverables and outcomes

B74 The CAA and environmental reviewer will meet to review the relevant documentation to:

- Take into account the AEE, and consultation responses, in deciding whether to grant a licence, and if any conditions need to be attached.
- Take into account that the Secretary of State environmental objectives and assure they have been met.
- Reach a reasoned conclusion on whether we agree with the significance findings in the AEE and that the effects are acceptable.

B75 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

B76 There are three potential outcomes to the assessment:

- Satisfied: the Regulatory Objectives are met without additional licence conditions.
- Satisfied with conditions: the Regulatory Objectives are met, subject to proposed licence conditions.
- Not satisfied: the environmental effects are considered to be significant with mitigation, or the applicant has not provided sufficient evidence to form a conclusion.

ANNEX C

Regulatory Objectives for range control services

- C1 Range control services in relation to spaceflight activities include co-ordinating activities on the range, tracking a space launch vehicle, identification and surveillance of hazard areas and issuing notifications to other airspace and marine users. A range control licence may provide all the range control services defined in section 6(1) of the Act, or just some of them. The applicant is required to state which of the six services they wish to apply for within their licence application.
- C2 Detailed guidance specific to range control applicants and licensees is set out in [CAP2211: Guidance for Range Control licence applicants and licensees](#).
- C3 Operators should continue to consult the more detailed guidance in CAP2211, as well as the [Act](#), the [Regulations](#), the [RLRs](#) and the terms and conditions of their licence directly.
- C4 The Regulatory Objectives set out below describe the outcomes we seek to secure when assessing applications for a range control licence.

National Interest

- C5 The CAA must be satisfied that granting a licence is not contrary to the national interest of the UK (section 8(2)(c) of the Act).

Regulatory Objectives

- C6 The relevant parts of His Majesty's Government have been consulted on national interest concerns of the proposed licensed activities, and the CAA is assured that these will not have an adverse impact on the national interest of the United Kingdom.
- C7 The CAA has notified His Majesty's Government of any potential national interest issues identified as part of the wider assessment, and the CAA is assured that these will not adversely impact the national interest of the United Kingdom.

Processes

- C8 The CAA will complete a National Interest Assessment Proforma based on the information included in the application form and share this with the Department for Transport (DfT).
- C9 The CAA will also flag any emergent issues from any other assessments to the DfT.

- C10 The national interest assessment is informed by DfT who will consult across government and complete a declaration form.

Deliverables and outcomes

- C11 The DfT will provide a declaration which states their view as to whether the activity is contrary to the national interest, including any proposed conditions along with rationale, and confirmation on who they have consulted with across government.
- C12 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- C13 There are three potential outcomes from this assessment:
- Satisfied: all Regulatory Objectives are met without the need for additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: the proposed activity is contrary to the national interest, or the applicant has not provided sufficient evidence to form a conclusion.

National Security

- C14 The CAA must be satisfied that granting a licence will not impair the national security of the United Kingdom (section 8(2)(a) of the Act).

Regulatory Objectives

- C15 The relevant parts of His Majesty's Government have been consulted on national security concerns of the proposed licensed activities, and the CAA is assured that these will not adversely impact the national security of the United Kingdom.
- C16 The CAA has notified His Majesty's Government of any potential national security issues identified as part of the wider assessment and the CAA is assured that these will not adversely impact the national security of the United Kingdom

Processes

- C17 The CAA will complete the National Security Assessment Proforma based on the information included in the application form and share this with the UK Space Agency Space Security and Resilience Team (UKSA SSRT) along with the completed national security questionnaire.
- C18 The CAA will also flag any emergent issues from other assessments to the UKSA SSRT.

C19 The national security assessment is then informed by the UKSA SSRT.

Deliverables and outcomes

C20 UKSA SSRT will provide a declaration with their view as to whether the activity will impair national security, including any proposed conditions with rationale, and confirmation on who they consulted across government.

C21 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

C22 There are three potential outcomes to the assessment:

- Satisfied: all Regulatory Objectives have been met without additional licence conditions.
- Satisfied with conditions: all Regulatory Objectives have been met, subject to proposed licence conditions.
- Not satisfied: proposed activity will impair national security, or the applicant has not provided sufficient evidence to form a conclusion.

International Obligations

C23 The CAA must be satisfied that granting a licence is consistent with the international obligations of the UK (section 8(2)(b) of the Act).

Regulatory Objectives

C24 The relevant international obligations under UN treaties on outer space & international guidelines relevant to the proposed spaceflight activities have been identified.

C25 Whether the Technology Safeguards Agreement (TSA)/ Technical Assistance Agreement (TAA) applies has been identified.

C26 Any other requirements from any overflight agreements between the UK government and another state have been identified.

C27 The requirements of any relevant international obligations are met.

C28 The necessary arrangements are in place within the CAA to report licensed activity to the relevant bodies.

Processes

C29 The CAA will complete the international obligations checklist and highlight the matters that need to be considered as part of the other assessments.

C30 The CAA will confirm that insurance requirements are met up to the correct liability limit.

- C31 The CAA will confirm that safety and sustainability requirements are met.
- C32 The CAA will confirm that International Traffic in Arms Regulations (ITAR) requirements are met.

Deliverables and outcomes

- C33 The CAA will review its findings from the tests carried out to form a recommendation and agree matters to be included in monitoring.
- C34 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- C35 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met subject to proposed licence conditions.
 - Not satisfied: the proposed activity is not consistent with international obligations of the UK, or the applicant has not provided sufficient evidence to form a conclusion.

Fit and Proper Eligibility

- C36 The CAA must be satisfied that the applicant, and persons expected to do the things authorised by the licence on the applicant's behalf, are fit and proper (section 8(3) of the Act) and meet eligibility criteria (regulation 5 of the Regulations).

Regulatory Objectives

- C37 The applicant, any individuals carrying out prescribed roles, and any agents carrying out licensed activities on behalf of the applicant:
- are credible in terms of their position and expected ability to do the things authorised by the licence (i.e. has appropriate work experience/qualifications in broadly similar roles/industries and at appropriate levels of responsibility, understands the responsibilities of their role and are adequately trained or will be trained to carry out the responsibilities of their role);
 - there is no evidence suggesting that they have a propensity to break rules or the law or have acted dishonestly or without integrity; and
 - if required, meet the eligibility criteria.

Processes

- C38 The CAA will check the information supplied by the applicant to verify they are satisfied that the applicant is a fit and proper person. This includes the assessment of behaviour such as:
- Trustworthiness and propensity to obey rules.
 - Whether there is evidence of credibility to hold their position.
- C39 Interviews and references may be requested where supplementary evidence is required.

Deliverables and outcomes

- C40 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- C41 There are three potential outcomes to the assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: risks identified as being significant and cannot be mitigated, this could either be with the applicant, or they may need to reappoint a particular prescribed role if they are deemed not suitable, or the applicant has not provided sufficient evidence to form a conclusion.

Financial Resources

- C42 The CAA must be satisfied that the applicant has the financial resources to do the things authorised by the licence (section 8(3)(a) of the Act).

Regulatory Objectives

- C43 The applicant can demonstrate they have the necessary financial resources to safely and securely undertake the licensed activities.
- C44 The applicant can demonstrate they have the necessary financial resources to safely and securely cease the licensed activities where/if required.
- C45 Where applicable, the applicant can demonstrate they have the necessary financial resources to cover any applicable insurance costs.
- C46 Where applicable, the applicant can demonstrate they have suitable control/financial independence from creditors or other parts of the applicant's corporate group.

Processes

- C47 The CAA will conduct a review of the company's finances to carry out activities to determine the applicant's ability to finance the authorised activities for the duration of the licence (insofar as possible at the time of assessment, with consideration of future monitoring capabilities). In particular, if financial distress could impact on HMG's liabilities or their ability to safely and securely undertake/cease the licensed activities.
- C48 The CAA will conduct a review of the corporate structure to identify formal and informal influences on the applicant by entities from the wider group, or creditors, and determine whether they have sufficient independence. Any group company guarantees or similar assurance, where required, will also be identified.

Deliverables and outcomes

- C49 Internal experts at the CAA will provide a recommendation on whether a licence can be granted from a financial assessment perspective or whether any conditions should be applied.
- C50 Based on this recommendation, the CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- C51 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: financial risks are identified as being significant and cannot be mitigated, or the applicant has not provided sufficient evidence to form a conclusion.

Technical Resources

- C52 The CAA must be satisfied that the applicant has the technical resources to do the things authorised by the range control services licence (section 8(3)(a) of the Act).

Regulatory Objectives

- C53 The applicant has identified the range control services to be covered by the licence.

- C54 The applicant has the technical resources in terms of people and equipment to provide the range control services specified.
- C55 The applicant has adequate arrangements for coordination between the licensee and other licence holders.
- C56 The applicant has adequate arrangements to identify and manage security threats that could impact the range services provided.

Processes

- C57 The CAA will conduct a broad review to determine if the applicant has provided documentary evidence related to the range services they intend to provide.
- C58 The CAA will complete a full desk assessment against relevant criteria which will include:
- a technical assessment to review the documentary evidence against assessment criteria to verify the applicant has (or will have) the necessary resources;
 - a management system assessment where an applicant's SMS and QMS is reviewed against assessment criteria; and
 - a security assessment where the applicant's draft security programme and draft cyber security strategy is reviewed against assessment criteria.
- C59 If necessary, the CAA will carry out inspections or independent analysis to supplement the review of the safety case and to provide additional evidence to support a determination.

Deliverables and outcomes

- C60 The CAA will meet and review findings from the tests carried out to form a recommendation and agree matters to be included in monitoring.
- C61 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- C62 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives have been met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives have been met, subject to the proposed licence conditions.
 - Not satisfied: the level of residual risk is unacceptable, or the applicant has not provided sufficient evidence to form a conclusion.

ANNEX D

Regulatory Objectives for orbital operations

- D1 Orbital operator licences are required for the following activities: operating a space object in orbit, procuring the launch of that space object, or conducting any other activity in outer space. The most common examples of activities that would be licensed under an orbital operator licence are the procurement of a satellite launch, and the operation of a satellite. Orbital operator licences are also required to cover any in-orbit servicing, manufacturing or active debris removal activities to be carried out by a satellite.
- D2 Where a UK national or UK-based organisation wishes to conduct these kinds of activities from outside the UK, a licence under the [Outer Space Act 1986](#) (the OSA) is needed. In practice, many organisations will need to apply for licences under both the Act and the OSA. For example, where an applicant wishes to procure an overseas launch for their satellite (requiring a licence under the OSA) but intend to operate it from the UK (requiring an orbital operator licence under the Act), or vice versa. See paragraph 1.6 for information on our application of these Regulatory Objectives to activities regulated under the OSA.
- D3 Detailed guidance specific to orbital operator applicants and licensees is set out in [CAP2224: OSA Guidance for applicants](#) and [CAP2210: Guidance for Orbital Operator licence applicants and licensees](#) respectively.
- D4 Operators should continue to consult the more detailed guidance in CAP2210 or CAP2224 as applicable, as well as the [Act](#), the [Regulations](#), the [OSA](#), the [RLRs](#) and the terms and conditions of their licenses directly.
- D5 The Regulatory Objectives set out below describe the outcomes we seek to secure when assessing applications for an orbital operator licence.

National Interest

- D6 The CAA must be satisfied that granting a licence is not contrary to the national interest of the UK (section 8(2)(c) of the Act).

Regulatory Objectives

- D7 The relevant parts of His Majesty's Government have been consulted on national interest concerns of the proposed licensed activities, and the CAA is assured that these will not have an adverse impact on the national interest of the United Kingdom.

- D8 The CAA has notified His Majesty's Government of any potential national interest issues identified as part of the wider assessment, and the CAA is assured that these will not adversely impact the national interest of the United Kingdom.

Processes

- D9 The CAA will complete a National Interest Assessment Proforma based on the information included in the application form and share this with Department for Science, Innovation and Technology (DSIT).
- D10 The CAA will flag any emergent issues from the Technical Question Set (TQS) to DSIT.
- D11 The CAA will also flag any emergent issues from any other assessments to DSIT.
- D12 The national interest assessment is informed by DSIT who will consult across government and complete a declaration form.

Deliverables and outcomes

- D13 DSIT will provide a declaration which will state their view as to whether the activity is contrary to the national interest, including any proposed conditions along with rationale, and confirmation on who they have consulted with across government.
- D14 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- D15 There are three potential outcomes from this assessment:
- Satisfied: all Regulatory Objectives are met without the need for additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: the proposed activity is contrary to the national interest, or the applicant has not provided sufficient evidence to form a conclusion.

National Security

- D16 The CAA must be satisfied that granting a licence will not impair the national security of the United Kingdom (section 8(2)(a) of the Act).

Regulatory Objectives

- D17 The relevant parts of His Majesty's Government have been consulted on national security concerns of the proposed licensed activities, and the CAA is assured that these will not adversely impact the national security of the United Kingdom.

- D18 The CAA has notified His Majesty's Government of any potential national security issues identified as part of the wider assessment and the CAA is assured that these will not adversely impact the national security of the United Kingdom

Processes

- D19 The CAA will complete the National Security Assessment Proforma based on the information included in the application form and share this with the UK Space Agency Space Security and Resilience Team (UKSA SSRT) along with the completed national security questionnaire.
- D20 The CAA will flag any emergent issues from the TQS to the UKSA SSRT.
- D21 The CAA will also flag any emergent issues from other assessments to the UKSA SSRT.
- D22 The national security assessment is then informed by the UKSA SSRT.

Deliverables and outcomes

- D23 UKSA SSRT will provide a declaration with their view as to whether the activity will impair national security, including any proposed conditions with rationale, and confirmation on who they consulted across government.
- D24 If there are any national security concerns, a security manager may need to be appointed as per regulations 9(5) and 10(2) of the Regulations.
- D25 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- D26 There are three potential outcomes to the assessment:
- Satisfied: all Regulatory Objectives have been met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives have been met, subject to proposed licence conditions.
 - Not satisfied: proposed activity will impair national security, or the applicant has not provided sufficient evidence to form a conclusion.

International Obligations

- D27 The CAA must be satisfied that granting a licence is consistent with the international obligations of the UK (section 8(2)(b) of the Act).

Regulatory Objectives

- D28 The relevant international obligations under UN treaties on outer space & international guidelines relevant to the proposed spaceflight activities have been identified.
- D29 Whether the Technology Safeguards Agreement (TSA)/ Technical Assistance Agreement (TAA) applies has been identified.
- D30 Any other requirements from any overflight agreements between the UK government and another state have been identified.
- D31 The requirements of any relevant international obligations are met.
- D32 The necessary arrangements are in place within the CAA to report licensed activity to the relevant bodies.

Processes

- D33 The CAA will complete the international obligations checklist and highlight the matters that need to be considered as part of the other assessments.
- D34 The CAA will confirm that insurance requirements are met up to the correct liability limit.
- D35 The CAA will confirm that safety and sustainability requirements are met.
- D36 The CAA will confirm that International Traffic in Arms Regulations (ITAR) requirements are met.

Deliverables and outcomes

- D37 The CAA assessment team will review its findings from the tests carried out to form a recommendation and agree matters to be included in monitoring. This will then be circulated amongst the assessment team and any other relevant internal teams.
- D38 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- D39 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met subject to proposed licence conditions.
 - Not satisfied: the proposed activity is not consistent with international obligations of the UK, or the applicant has not provided sufficient evidence to form a conclusion.

Fit and Proper Eligibility

D40 The CAA must be satisfied that the applicant, and persons expected to do the things authorised by the licence on the applicant's behalf, are fit and proper (section 8(3) of the Act) and meet eligibility criteria (regulation 5 of the Regulations).

Regulatory Objectives

D41 The applicant, any individuals carrying out prescribed roles, and any agents carrying out licensed activities on behalf of the applicant:

- are credible in terms of their position and expected ability to do the things authorised by the licence (i.e. has appropriate work experience/qualifications in broadly similar roles/industries and at appropriate levels of responsibility, understands the responsibilities of their role and are adequately trained or will be trained to carry out the responsibilities of their role);
- there is no evidence suggesting that they have a propensity to break rules or the law or have acted dishonestly or without integrity; and
- if required, meet the eligibility criteria.

Processes

D42 The CAA will check the information supplied by the applicant to verify they are satisfied that the applicant is a fit and proper person. This includes the assessment of behaviour such as:

- Trustworthiness and propensity to obey rules.
- Whether there is evidence of credibility to hold their position.

D43 The CAA may conduct interviews and references may be requested where supplementary evidence is required.

Deliverables and outcomes

D44 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

D45 There are three potential outcomes to the assessment:

- Satisfied: all Regulatory Objectives are met without additional licence conditions.
- Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.

- Not satisfied: risks identified as being significant and cannot be mitigated, this could either be with the applicant, or they may need to reappoint a particular prescribed role if they are deemed not suitable, or the applicant has not provided sufficient evidence to form a conclusion.

Financial Resources

D46 The CAA must be satisfied that the applicant has the financial resources to do the things authorised by the licence (section 8(3)(a) of the Act).

Regulatory Objectives

D47 The applicant can demonstrate they have the necessary financial resources to safely and securely undertake the licensed activities.

D48 The applicant can demonstrate they have the necessary financial resources to safely and securely cease the licensed activities where/if required.

D49 Where applicable, the applicant can demonstrate they have the necessary financial resources to cover any applicable insurance costs.

D50 Where applicable, the applicant can demonstrate they have suitable control/financial independence from creditors or other parts of the applicant's corporate group.

Processes

D51 The CAA will conduct a review of the company's finances to carry out activities to determine the applicant's ability to finance the authorised activities for the duration of the licence (insofar as possible at the time of assessment, with consideration of future monitoring capabilities). In particular, if financial distress could impact on HMG's liabilities or their ability to safely and securely undertake/cease the licensed activities.

D52 The CAA will conduct a review of the corporate structure to identify formal and informal influences on the applicant by entities from the wider group, or creditors, and determine whether they have sufficient independence. Any group company guarantees or similar assurance, where required, will also be identified.

Deliverables and outcomes

D53 Internal experts at the CAA will provide a recommendation on whether a licence can be granted from a financial assessment perspective or whether any conditions should be applied.

D54 Based on this recommendation, the CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.

- D55 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives are met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives are met, subject to proposed licence conditions.
 - Not satisfied: financial risks are identified as being significant and cannot be mitigated, or the applicant has not provided sufficient evidence to form a conclusion.

Safety (and Technical Resources)

- D56 The CAA must be satisfied that the risks from spaceflight activity to people (other than human occupants) have been identified and managed to ALARP and residual risks are acceptable (section 9(4) of the Act), and the applicant has the necessary technical resources (section 8(3)(a) of the Act).

Regulatory Objectives

- D57 The applicant must demonstrate they have performed an appropriate assessment of the risk presented by the proposed activities, including:
- Identified the major hazards.
 - Using appropriate measures to evaluate the risks.
 - Implementing appropriate technical, operational, and organisational controls.
- D58 All risks have been reduced to ALARP.
- D59 The residual risk is acceptable to the regulator.
- D60 The applicant must demonstrate they have the necessary technical resources to safely and securely undertake the licensed activities.
- D61 The applicant has made appropriate consideration for the sustainability of the orbital environment, in line with UK government policy.

Processes

- D62 The CAA will undergo an application familiarisation process to determine if there is enough information to perform the technical assessment, including initial assessment of insurance requirements, collecting issues and areas of investigation for full technical assessment.
- D63 The CAA will conduct a technical review to verify application submission to be assured that the necessary steps have been taken.

- D64 If necessary, the CAA will carry out inspections or independent analysis to supplement the review of the safety case and to provide additional evidence to support a determination.
- D65 Lastly, the CAA will conduct a review against ALARP principles and acceptable risk paper to be satisfied that the necessary steps have been taken, and residual risk is acceptable.

Deliverables and outcomes

- D66 The CAA will hold an assessment conclusions review to review findings from the assessment carried out to form a recommendation and agree matters to be included in monitoring.
- D67 An individual assessors' records with a clear and objective view on whether the objectives are met, any licence conditions and matters for monitoring.
- D68 The CAA will write an Assessment Conclusion Record with outcomes justified against the Regulatory Objectives and will provide a holistic view of the assessment, proposed licence conditions and matters for monitoring.
- D69 There are three potential outcomes to this assessment:
- Satisfied: all Regulatory Objectives have been met without additional licence conditions.
 - Satisfied with conditions: all Regulatory Objectives have been met, subject to proposed licence conditions.
 - Not satisfied: the level of residual risk is unacceptable, or the applicant has not provided sufficient evidence to form a conclusion.