



ICAO

International Civil Aviation Organization
North American, Central American and Caribbean Office

WORKING PAPER

NAM/CAR/CONT/3 — WP/03
02/05/23

**Third NAM/CAR Regional Contingency and Emergency Planning and Response Meeting
(NAM/CAR/CONT/3)**

Mexico City, Mexico 9 to 11 May 2023

Agenda Item 2: ICAO Requirements for Air Navigation Services (ANS) and Aerodromes and Ground Aids (AGA) Contingency Planning

ICAO REQUIREMENTS FOR AIR TRAFFIC SERVICES (ATS) CONTINGENCY PLANNING

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
The purpose of this Working Paper is to detail the ICAO requirements for contingency arrangements by Air Traffic Service (ATS), provide information regarding regional agreements for contingency planning and response and outline the role of the Regional Offices to respond to regional contingencies.	
Action:	Suggested actions are included in Section 7.
Strategic Objectives:	<ul style="list-style-type: none">• Strategic Objective 1 – Safety• Strategic Objective 2 – Air Navigation Capacity and Efficiency
References:	<ul style="list-style-type: none">• Convention on International Civil Aviation• Annex 11 – <i>Air Traffic Services</i>• GREPECAS Action Plan for the Development of ATM Contingency Plans (GREPECAS/13 Appendix AO to the Report on Agenda Item 3)• CAR Region ATM Contingency Plan

1. Introduction

1.1 Article 28 of the Convention on International Civil Aviation establishes that each contracting State undertakes, so far as it may find practicable, to provide, in its territory, airports, radio services, meteorological services and other air navigation facilities to facilitate international air navigation, in accordance with the standards and practices recommended or established from time to time, pursuant to this Convention.

1.2 The ICAO Standards and Recommended Practices (SARPs) provide the fundamental basis for the harmonized sustainability of the safety and efficiency of civil aviation worldwide, promoting the standardization of functional and performance requirements of civil aviation facilities and Air Navigation Services (ANS) that support the orderly development of air transport.

1.3 The Planning and Implementation Regional Groups (PIRGs), in the case of the CAR/SAM Regions the CAR/SAM Planning and Implementation Regional Group (GREPECAS), provides the framework to enhance the global requirements by adjusting to specific circumstances within a Region.

2. Annex 11 requirements for contingency arrangements

2.1 Annex 11 requires ATS authorities to develop and promulgate contingency plans for implementation in the event of disruption, or potential disruption, of ATS and related supporting services in the airspace for which they are responsible for the provision of such services. Such contingency plans shall be developed with the assistance of ICAO as necessary, in close coordination with the air traffic services authorities responsible for the provision of services in adjacent portions of airspace and with airspace users concerned.

2.2 Attachment C to Annex 11 provides material supplementary to the contingency arrangements SARPs, to guide its application, objectives and define responsibilities. The role of ICAO, and the ICAO Regional Offices, is also explained.

2.3 ICAO will be available to support the development of the contingency plans and the consultation process with other States and airspace users concerned, as appropriate, whenever the effects of the service disruption(s) are likely to affect the services in adjacent airspace. In the event of disruption of ATS and related supporting services affecting international civil aviation operations, ICAO will initiate and coordinate appropriate contingency action.

3. Regional Agreements

3.1 To facilitate the development of Air Traffic Management (ATM) contingency plans and fulfilment of the role that each of the stakeholders must follow, GREPECAS defined an action plan for the development of ATM contingency plans. This action plan is made of the following phases: Phase I Development of ATM contingency plans, Phase II Harmonization of ATM contingency plans with neighbouring States/Territories and International Organizations, and Phase III Submission of ATM contingency plans to the ICAO Regional Offices.

3.2 To support Phase I, the GREPECAS agreed a template for ATM Regional Contingency Plans. This template contains arrangements to ensure the continued safety of air navigation in the event of partial or total disruption of air traffic services (ATS) and is designed to provide alternative routes, using existing airways in most cases, which will allow aircraft operators to fly through or avoid affected airspace. The contingency plans prepared by States and Territories in the CAR Region, submitted to the ICAO NACC Office, are published in the following website <https://www.icao.int/NACC/Pages/edocs-atm.aspx>

3.3 Under the framework of the NAM/CAR Air Navigation Implementation Working Group, the CAR Region ATM Contingency Plan was developed. The purpose of this document is to provide guidance and promote a regional harmonized response to contingencies that affect or may affect continuous provision of ATS in the CAR Region and provide guidelines for the development of contingency planning based on conclusions and decisions by the GREPECAS and the NACC/WG.

3.4 The Plan is structured to provide:

- regional ATM contingency planning elements;
- linkage with other regional planning schemes;
- guidelines for ATM contingency planning;
- guidelines for regional coordination to respond to contingencies;
- considerations for research and future development; and
- milestones, timelines, priorities and actions.

3.5 With the approval of the CAR Region ATM Contingency Plan, the CAR Contingency and Emergency Response Coordination Team (CAR CERT) was created, to enhance regional response to ATS-related contingencies, improving communication and coordination when most needed. Also, the NAM/CAR Regional Contingency and Emergency Planning and Response Meeting was initiated, to provide follow-up to the Plan, analyse previous contingency situations and prepare for the hurricane season.

4. Current situation

4.1 The ICAO Universal Safety Oversight Audit Programme (USOAP) has a Protocol Question (PQ) to evaluate if the State ensures that contingency plans have been developed and implemented in the event of disruption or potential disruption of ATS or related supporting services. 48% of States in the NAM/CAR Regions have this PQ as not satisfactory.

4.2 15 States of the NAM/CAR Regions have complied with the requirement to submit to the ICAO NACC Regional Office their ATS contingency plans.

5. Analysis

5.1 Compliance with the Annex 11 requirements and GREPECAS Regional Agreements for contingency planning continues to be a challenge for several States.

5.2 Follow up and monitoring regional agreements for contingency planning is a tool that should continue to enhance compliance to the ICAO SARPs.

5.3 Annex 11 assigns specific responsibilities to the ICAO Regional Offices, whose resources are available to States whenever they require them.

6. Conclusions

6.1 The planning and response to contingencies and emergency situations by the ATS providers is a responsibility of the States, which must have adequate coordination, with the objective of guaranteeing safety, minimize the impact on users and ensure a prompt recovery of operations.

6.2 Air navigation implementation in specific regions is guided by the planning framework provided by the PIRG, GREPECAS for the CAR/SAM Regions. The Regional Offices focus their activities to ensure the execution of the assigned tasks and report to the PIRG the progress in their implementation.

6.3 Time is essential in contingency planning if hazards to air navigation are to be reasonably prevented. Timely introduction of contingency arrangements requires decisive initiative and action, which again presupposes that contingency plans have, as far as practicable, been completed and agreed among the parties concerned before the occurrence of the event requiring contingency action, including the manner, and timing of promulgating such arrangements.

7. Suggested actions

7.1 The Meeting is invited to:

- a) take note of the information provided in this paper;
- b) evaluate the effectiveness of the current mechanisms and regional agreements;
- c) report to the NACC/WG and to the GREPECAS/21 Meeting any recommendations for change considered required; and
- d) suggest any other action deemed appropriate.