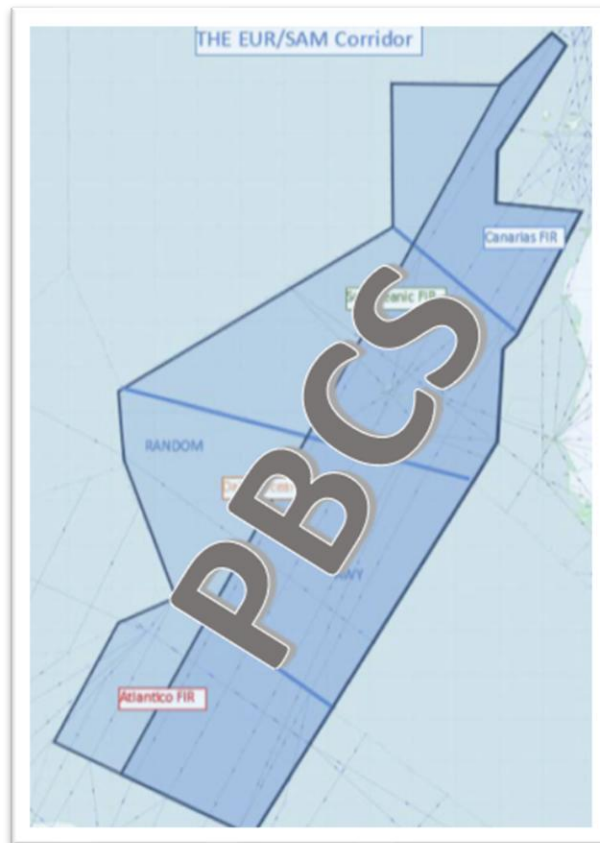


PBCS Monitoring and Reporting Guidance for the South Atlantic Area

Initial Implementation Scope (FIRs Involved in EUR/SAM Corridor Operations)



Prepared by ARMA, CARSAMMA and SATMA

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RECORD OF AMENDMENTS TO SAT DOC00# – PBCS MONITORING AND REPORTING GUIDANCE

Amendments to this document are approved by the South Atlantic Steering Group (SAT SG). The space below is provided to keep a record of such amendments.

The SAT SG confirmed that approval of changes to this document is the responsibility of the SAT SOG and SAT IMG.

DATE	Amendments to the SAT PBCS MONITORING AND REPORTING GUIDANCE containing the following changes:

1. INTRODUCTION

- 1.1. Performance Based Communications and Surveillance (PBCS) concept is intended to improve safety and maximise operational benefits. PBCS allows the adoption of diverse and emerging technologies for communication and surveillance supporting ATM operations. Its application provides communication and surveillance data links that meet suitable performance specifications so air traffic services in Oceanic/Remote Continental airspace could be provided by Air Traffic Service Providers (ATSPs) while maintaining the required level of safety.
- 1.2. The present PBCS Monitoring and Reporting Guidance sets policies and procedures for efficient and smooth liaisons among the involved stakeholders. Those participating organisations also need the competence and capability to participate in a successful monitoring programme and to ensure that the data and the established mechanisms of coordination lead to the appropriate actions.
- 1.3. The data sharing between the participating organisations and the response to the data provided are fundamental to a successful regional monitoring programme which should be built on coordination and cooperation between all parties. Likewise, this guidance establishes the process before the implementation of performance-based operations reliant on surveillance or communications standards.
- 1.4. This document is a starting point for PBCS Monitoring and Reporting in the SAT Area. The initiative originates from the implementation of PBCS operations and reduced separation minima within the EUR/SAM Corridor, as specified in ICAO Doc 4444 – Procedures for Air Navigation Services – Air Traffic Management (PANS-ATM). However, in order to facilitate effective monitoring, reporting and data analysis, the initial scope of this guidance encompasses the FIRs involved in the EUR/SAM Corridor implementation, as detailed in Chapter 2. Thereafter, the PBCS Monitoring and Reporting framework may be progressively extended throughout the SAT Area, as operationally required.
- 1.5. This guidance has been developed in alignment with NAT Doc 011 – PBCS Monitoring and Reporting Guidance (in the North Atlantic Region), guaranteeing the seamless PBCS operation between both zones. Although the monitoring and reporting arrangements are broadly similar, a dedicated guidance document is required for the SAT Area due to the current level of maturity of PBCS implementation, the operational environment without a data link mandate, and the specific stakeholders involved in the SAT Region.
- 1.6. Regarding the Operator, in the present context, the PBCS Charter allows them to validate the agreement between the operator and the Communication services provider (CSP) for compliance with RCP/RSP required for PBCS operations. The charter is hosted on the website www.FANS-CRA.com, where operators, ATSPs and CSPs can subscribe. The inclusion of PBCS capability in the filed flight plan indicates that the relevant aircraft equipment is approved and serviceable and that the operator is eligible to benefit from the reduced separation minima associated with PBCS operations.
- 1.7. The ICAO Doc 9869 – Performance-based Communication and Surveillance Manual provides the reader guidance on the establishment of a PBCS monitoring programme, with detailed guidance in Appendix D for compilation and handling of the data to support monitoring at local level.
- 1.8. To support the outlined reporting process, this document includes a global flow diagram (see Figure 2), which represents the reporting flow that enables the monitoring system to function.

1.9. For ease, the PBCS regional monitoring is divided into three phases:

- **PHASE 1 LOCAL PBCS MONITORING AND REPORTING (ATSP):** This phase covers initial monitoring and reporting by the Air Traffic Service Provider (ATSP) at a local level. The ATSP is mainly responsible for collecting and analysing performance data and sharing it with the Designated Monitoring RMA.
- **PHASE 2 - REGIONAL PBCS MONITORING AND REPORTING (DESIGNATED MONITORING RMA):** This phase describes the regional monitoring requirements and the mechanism to achieve global reporting. The Designated Monitoring RMA is responsible for gathering the PBCS data reported by ATSPs, coordinating the preparation of regional and global performance assessment reports, and reviewing the supporting evidence associated with potential PBCS performance non-compliance. Prior to the transmission of any non-compliance report, the RMA shall assess, to the extent practicable, whether the observed performance degradation may be attributable to aircraft systems, operator procedures, ATSP infrastructure, communication service providers or satellite network performance. The Designated Monitoring RMA is also responsible for transmitting the relevant reports either to the States within its region of responsibility or to other RMAs for onward transmission to the appropriate States. The transmission of a report shall not in itself constitute a determination of regulatory non-compliance but shall support any further investigation or oversight action deemed necessary by the competent authority.
- **PHASE 3 - ACTIONS AND GUIDANCE FOR STATE OVERSIGHT AUTHORITIES:** This phase covers the State Oversight Authority's role regarding the management of non-compliance reports. The State Oversight Authority/National Safety Aviation Authority is responsible for overseeing of all aircraft registered in their respective states and ensuring that their performance meets the required standards.

2. SCOPE

- 2.1. During the initial implementation phase, and in accordance with SAT IMG Decisions SAT IMG/02-1 and SAT IMG/04-3, this Guidance shall apply to PBCS operations within the Canaries FIR, Sal Oceanic FIR, Dakar Oceanic FIR and Atlantico FIR.
- 2.2. During the ESCIT08 meeting, it was agreed to extend the initial scope to encompass the entirety of the involved FIRs. This extension shall avoid unnecessary segregation of PBCS data and traffic flows and shall enable effective local monitoring.
- 2.3. The Abidjan sector, which is part of the Dakar Oceanic FIR (GOOO), shall be excluded from the scope of the initial phase. In addition, cross-border traffic with other ATS providers shall not be included within this scope during the initial phase (e.g. traffic between Atlantico FIR and the Abidjan sector, Cayenne FIR, Piarco FIR, etc.).
- 2.4. Figure 1 below illustrates the scope applicable during the initial implementation phase, including the EUR/SAM Corridor. The figure also identifies the area in which a structured system of ATS airways is implemented (depicted in dark blue) and the area in which operations are conducted based on random routes (depicted in light blue). The present guidance document shall apply to both areas.
- 2.5. The scope described in the present version of the PBCS Monitoring and Reporting Guidance shall be periodically reviewed and progressively extended in line with operational developments, with the objective of supporting the implementation of PBCS throughout the entire SAT Area, as operationally required.

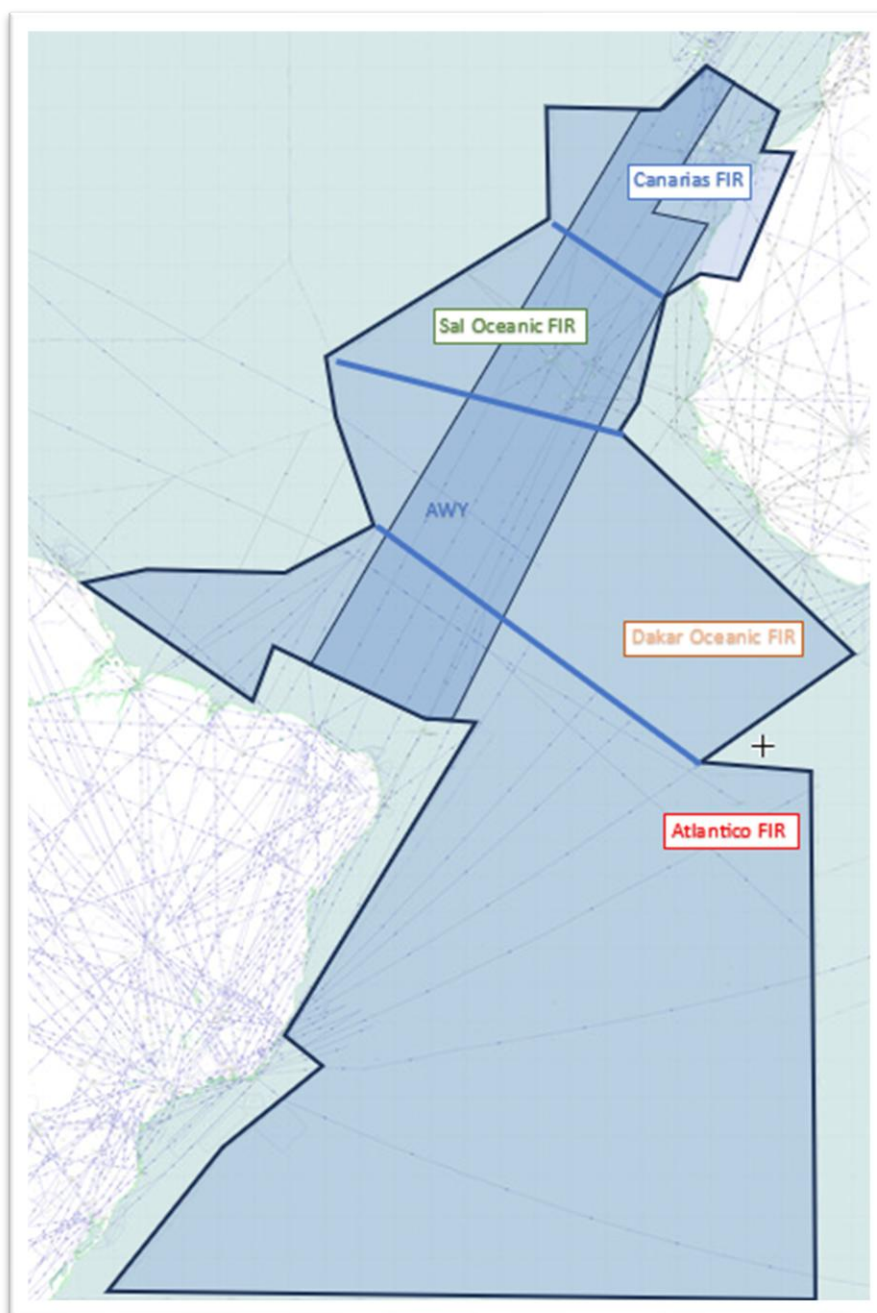


Figure 1. Scope PBCS Monitoring and Reporting Guidance - Initial Phase

3. PHASE 1 - LOCAL PBCS MONITORING AND REPORTING (ATSP)

- 3.1. The PBCS local monitoring process described in this guidance shall be implemented in accordance with the principles contained in ICAO Doc 9869, Performance-based Communication and Surveillance (PBCS) Manual, taking into consideration the monitoring practices established in the North Atlantic (NAT) Region through NAT Doc 011, PBCS Monitoring and Reporting Guidance.
- 3.2. In accordance with the scope, during the initial implementation phase, the ATSPs responsible for conducting Local PBCS Monitoring and Reporting are ENAIRE (Canarias FIR), ASA (Sal Oceanic FIR), ASECNA (Dakar Oceanic FIR) and DECEA (Atlantico FIR).
- 3.3. Future PBCS monitoring phases are envisaged within the SAT Area, with the corresponding ATSPs responsible for collecting, analysing and sharing PBCS monitoring data within their respective areas of responsibility.
- 3.4. Each ATSP responsible for the local monitoring programme should establish and document a process for collecting, compiling and analysing Actual Surveillance Performance (ASP) and Actual Communication Performance (ACP) data, and for the preparation of periodic monitoring reports. To improve the statistical significance of the assessment, ATSPs may consider combining data from consecutive reporting periods, particularly for aircraft with a limited number of observations. Unless otherwise agreed regionally, the reporting period should normally correspond to one calendar month.
- 3.5. The local PBCS monitoring and reporting phase shall be conducted in accordance with the following principles:
 - a. The ATSP shall consider all aircraft for which ASP and/or ACP performance can be assessed within the area of interest defined in the scope (refer to Figure 1).
 - b. Only aircraft meeting the applicable PBCS eligibility criteria, including the filing of the appropriate flight plan identifiers and the required navigation specification for the intended operation (e.g. RNP 10 or RNP 4, as applicable), shall be considered for PBCS performance assessment. Non-eligible aircraft shall be excluded from the PBCS performance assessment and addressed through separate monitoring processes, as applicable.
- 3.6. The monthly data sets shall be filtered to exclude PBCS data corresponding to periods during which network outages or service performance degradations have been identified. Where appropriate, the ATSP may provide a local PBCS service availability monitoring report to the Designated Monitoring RMA in accordance with the applicable reporting procedures. A recommended template for such a report is provided in Table 1.

PBCS monitoring report – service availability				
ANSP/CTA	ANSP1/CTA1		Month YYYY	
Specification	(RCP240/RSP180)	Application	CPDLC/ADS-C	
CSP Notification	CSP (name)	Outage type	Start time	Duration (minutes)
YYYYMMDDHHMM	CSP1	STATCOM	YYYYMMDDHHMM	19
YYYYMMDDHHMM	CSP2	VHF	YYYYMMDDHHMM	5
.....				

Table 1. Template for service availability local PBCS monitoring report

- 3.7. To support PBCS capability assessment and ensure traceability of the monitored data, an additional flight plan report shall be generated and organized by aircraft registration and date. The report shall include all aircraft meeting the applicable PBCS eligibility criteria and operating within the area of interest during the assessment period. The report shall be consistent with, and structured to support, the subsequent reporting templates defined in this document. A recommended reporting template is provided in Table 2.

Flight Plan Eligibility and PBCS Capability Monitoring Report							
ANSP/CTA				Month YYYY			
3-letter Operator ICAO CODE	4-letter ICAO Aircraft Type designator	Aircraft Registration	24-bit Aircraft Address	FLIGHT PLAN			Number of Flight Plans
				RSP 180	RCP 240	RNP 10/ RNP 4	

Table 2. Template for Flight Plan Eligibility and PBCS Capability Monitoring Report

- 3.8. The ATSP shall produce a report listing all aircraft, identified by aircraft registration, for which ASP and/or ACP performance has been observed. In accordance with ICAO Doc 9869, the assessment of compliance should primarily be based on the applicable 95% performance benchmarks associated with the RCP and RSP specifications. The report may be prepared as a single consolidated document, as illustrated in Table 3, or as separate reports for RCP and RSP.
- For communications (CPDLC) - RCP:
 - Actual Communication Performance (ACP),
 - Actual Communication Technical Performance (ACTP)
 - Pilot Operational Response Time (PORT).
 - For ADS-C data reporting - RSP:
 - Actual Surveillance Performance (ASP).
- 3.9. Additional performance metrics, including the 99.9% benchmark results, may be provided to support regional monitoring, trend analysis and further investigation of observed performance issues. Table 3 presents a suggested template for this report.

PBCS monitoring report									
Colour Key				ANSP/CTA		Month YYYY			
Meets criteria									
Under criteria but above 99.0%									
Under criteria									
				Specification/Application RSP180/ADS-C		Specification/Application RCP240/CPDLC			
3-Letter Operator ICAO CODE	Aircraft Registration	24-bit Aircraft Address	4-letter ICAO Aircraft Type designator	ADS-C downlink Message Counts	95%	Transaction counts (WILCO received)	95% RCP 240 benchmark		95% PORT RCP
					RSP 180 benchmark		ACP <=180 sec End-to-End	ACTP <=120 sec Network	PORT <=60 sec Pilot response
					ASP <=90 sec End-to-End				
AAA	XX-XXX	-	TYPE	-	95,6%	-	99,5%	97,9%	96,1%
BBB	YY-YYY	-	TYPE	-	98,9%	-	99,5%	97,9%	100,0%
CCC	ZZ-ZZZ	-	TYPE	-	97,0%	-	99,5%	97,9%	92,5%

Table 3. Template for Local PBCS Performance Monitoring Report

- 3.10. Aircraft not achieving the applicable 95% performance benchmark for RCP and/or RSP shall be identified for further review and follow-up actions, as appropriate.
- 3.11. Performance assessments should be based on a sufficient number of observations to ensure statistical relevance. Aircraft with limited data samples may require monitoring over multiple reporting periods before conclusions regarding compliance with the applicable performance benchmark can be established. Based on the experience gained during the initial implementation period, the Designated Monitoring RMAs may develop common criteria regarding the minimum number of observations to support performance assessments.
- 3.12. During Phase 2 analysis (Regional PBCS Monitoring), the ATSP may be required to provide additional information to support the assessment of aircraft performance, the investigation of aircraft performance observed below the applicable benchmark and the verification of corrective actions implemented by aircraft operators or required by the relevant State Oversight Authority. Such information may include, but is not limited to, the communication medium used, station name, aircraft address, message timestamps and, where applicable, the associated CPDLC message or ADS-C report. Table 4 presents a suggested template for this report.

PBCS monitoring report by Aircraft ID								
Colour Key				ANSP/CTA			Month YYYY	
Meets criteria					3-Letter Operator ICAO CODE	Aircraft Registration	24-bit Aircraft Address	4-letter ICAO Aircraft Type designator
Under criteria but above 99.0%								
Under criteria					AAA	XX-XXX	-	TYPE
Specification/Application RSP180/ADS-C				Specification/Application RCP240/CPDLC				
ADS-C downlink Message Counts	TYPE	95%	99.9%	Transaction counts (WILCO received)	TYPE	95% RCP 240 benchmark		95% PORT RCP
		RSP 180 benchmark				ACP <=180 sec End-to-	ACTP <=120 sec Network	PORT <=60 sec Pilot response
		ASP <=90 sec End-to-End	ASP <=90 sec End-to-End					
-	SATCOM	95,6%	96.5%	-	SATCOM	99,5%	97,9%	96,1%
-	VHF	98,9%	98,9%	-	VHF	99,5%	97,9%	100,0%
-	HF	97.0%	96.5%	-	HF	99,5%	97,9%	92.5%
-	SV	97.0%	96.5%	-	SV	99,5%	97,9%	92.5%
-	SH	95,6%	96.5%	-	SH	99,5%	97,9%	96,1%
-	VS	98,9%	98,9%	-	VS	99,5%	97,9%	100,0%
-	VH	97.0%	96.5%	-	VH	99,5%	97,9%	92.5%
-	HV	97.0%	96.5%	-	HV	99,5%	97,9%	92.5%
-	HS	97.0%	96.5%	-	HS	99,5%	97,9%	92.5%
Total	All	98,9%	98,9%	Total	All	99,5%	97,9%	96,1%

Table 4. Template for Local PBCS Performance Monitoring Report per Aircraft ID

- 3.13. Each ATSP shall submit the monthly Local PBCS Monitoring Report to the responsible RMA no later than the third week of the month following the reporting period, in accordance with the applicable regional agreements regarding format, content and scope.

- 3.14. Each ATSP shall appoint a Point of Contact (POC) responsible for Local PBCS Monitoring and Reporting activities. The designated POC shall be responsible for ensuring the timely and accurate submission of all required deliverables. Furthermore, the POC shall act as the primary liaison for any additional PBCS-related information requests issued by the Designated Monitoring RMAs.
- 3.15. The following list contains commonly observed causes of PBCS performance degradation derived from NAT Doc 011 and associated operational guidance. These causes should be reviewed and adapted as operational experience is gained within the SAT Area:
- a) **Delayed reports around VHF/SAT transitions** – *This note is used when ADS-C or CPDLC messages are observed with delays when there is mixed media usage in the sequence of messages before, at or after the delayed messages (ex.: VHF-VHF-SAT-VHF-SAT).*
 - b) **Delayed reports via HF media** – *This note is used when delayed ADS-C or CPDLC reports are observed to be delivered via HF data link (HFDL) or near reports delivered via HFDL. Check whether this appears to be a SATCOM failure with one flight or a period during the flight, or more continuous, intermittent use of HFDL. There is a potential issue with aircraft media priority settings.*
 - c) **Delayed reports due to Inmarsat satellite-to-satellite transition or satellite network problems** – *This note is used when ADS-C or CPDLC messages are observed with delays, and it is noticed that there is a switch sequence between different or same Inmarsat satellite paths (Ex.: XXF/XXH/XXF/XXH).*
 - d) **Delayed reports due to Iridium avionics (aircraft) or satellite network problems** – *This note is used when ADS-C or CPDLC messages are observed with delays via Iridium satellite paths (IG1, IGW1).*
 - e) **Reported on only VHF and/or HF** – *This note is used when delayed ADS-C reports or CPDLC messages are observed via VHF and/or HF only (no SATCOM). This might indicate that the SATCOM unit is defective or became unavailable during the flight. Check whether this issue is observed during one flight, part of one flight only, or it is an ongoing problem. If the problem is not observed on subsequent flights, the issue may have been addressed.*
 - f) **Poor ACP due to high PORT** – *This note is used when it is found that the delayed CPDLC transactions are caused by long Pilot Operational Response Time (PORT).*
 - g) **Aircraft data link connection problems detected** – *This note is used when it can be identified that delays happened during periods when disconnections and reconnections have been performed. Check whether this appears to be a problem with one flight or a period during one flight, or whether it is an ongoing problem. If the problem is not observed on later flights, the issue may have been addressed.*
 - h) **Delays related to a specific VHF station** – *This note is used when delayed ADS-C reports and CPDLC messages are observed via a specific VHF ground station. If multiple aircraft are observed with the same issue, the ATSP should notify the Designated Monitoring RMA and, where appropriate, the relevant Data Link Monitoring Agency (DLMA).*

- i) **FMS time before ATC uplink time** – Clock setting not synchronised with GPS - This note is used when it is found that the FMS response time is earlier than the ATC uplink time. According to aircraft manufacturers this happens when the aircraft clock is set manually and is not synchronised with a GPS source.

3.16. The ATSP responsible for the local monitoring programme may prepare and maintain a list of aircraft identified under paragraph 3.10 as not achieving the applicable 95% performance benchmark for RSP180 and/or RCP240. Additional performance indicators, including 99.9% benchmark results, may be considered to support regional monitoring activities. Where performance assessments are based on a statistically significant number of observations, the ATSP may undertake additional follow-up actions to address identified aircraft performance below the applicable benchmark, including:

- Where the ATSP has established a point of contact with the aircraft operator, it may contact the operator directly and inform the responsible RMA accordingly.
- Where persistent underperformance remains unexplained, or where the operator does not engage in corrective actions, the ATSP may escalate the matter to the relevant State Oversight Authority, either of the operator or the aircraft registry, as appropriate. The responsible RMAs should be informed of any such escalation.
- In any case, these activities do not replace the formal PBCS monitoring and reporting processes established in this guidance.

4. PHASE 2 - REGIONAL PBCS MONITORING AND REPORTING (RMA)

- 4.1. For the purposes of this guidance, CARSAMMA and SATMA are designated as the Regional Monitoring Agencies (RMAs) responsible for regional PBCS monitoring activities. Considering the implementation of a national PBCS monitoring framework within the Atlantico FIR (SBAO), supported by national procedures for PBCS data collection, processing and reporting, CARSAMMA shall perform the regional monitoring functions associated with aircraft performance observed within the Atlantico FIR. SATMA shall perform the corresponding regional monitoring functions for the remaining FIRs included within the scope of this guidance. ARMA shall be kept informed of all regional monitoring activities, assessments and determinations due to the inter-regional nature of the EUR/SAM Corridor.
- 4.2. CARSAMMA and SATMA shall coordinate their activities to establish common regional criteria for the identification and categorisation of PBCS compliance and non-compliance, including reporting periodicity, minimum data requirements and assessment methodologies, taking into account a corridor-wide perspective within the EUR/SAM Corridor.
- 4.3. Although regional monitoring activities are conducted through separate monitoring streams, SATMA and CARSAMMA shall ensure the harmonised application of common assessment criteria, reporting methodologies, categorisation processes and follow-up actions throughout the EUR/SAM Corridor. To support this objective, both RMAs shall establish the necessary arrangements for the timely exchange of monitoring data, assessment results, supporting information, corrective action status and lessons learned. ARMA shall be kept informed of agreed regional criteria and significant monitoring outcomes.
- 4.4. The criteria used by ATSPs for the identification of aircraft requiring follow-up under Phase 1 may differ from the criteria established by CARSAMMA and SATMA for the determination of a regional non-compliance under Phase 2.
- 4.5. The identification of aircraft reported by ATSPs under Phase 1 as operating below the applicable 95% performance benchmark shall not automatically constitute a regional non-compliance determination. Such reports shall be considered as inputs to the regional assessment process. CARSAMMA and SATMA may apply additional criteria, including minimum numbers of observations, multiple reporting periods and corroboration from multiple FIRs, before categorising an aircraft as regionally compliant or non-compliant. Aircraft identified during this process shall be considered only as candidates for regional non-compliance. The determination of regional compliance or non-compliance shall be made during Phase 3 following completion of the regional assessment process.
- 4.6. CARSAMMA and SATMA should establish agreements with the involved ATSPs defining the practical aspects of PBCS data exchange, including reporting formats, delivery timelines, templates and designated Points of Contact (POCs). ARMA should receive the relevant information required to maintain awareness of regional monitoring activities and outcomes.
- 4.7. SATMA and CARSAMMA shall be responsible for receiving, consolidating and assessing the supplied PBCS performance data within their respective areas of responsibility, and for ensuring that each reported aircraft is assigned to the corresponding State of Operator or State of Registry, as applicable.

- 4.8. CARSAMMA and SATMA with the collaboration of ARMA shall establish the processes, procedures, documentation and communication channels necessary to facilitate the consolidation and onward transmission of PBCS non-compliance information to other RMAs and/or the relevant State Oversight Authorities, as applicable.
- 4.9. The Designated Monitoring RMAs (SATMA and CARSAMMA) should coordinate the preparation of the PBCS reports, based on the received reports from ATSPs as follows:
- Yearly report identifying aircraft that have not filed the flight plan identifiers corresponding to the applicable PBCS specifications and navigation requirements. Operators shall file the correct ICAO Flight Plan annotations in Items 10 and 18 in accordance with the applicable State AIP provisions and common ICAO PBCS implementation requirements within the EUR/SAM Corridor.
 - The Designated Monitoring RMA shall coordinate the preparation and consolidation of a list of aircraft observed below the applicable 95% benchmark for RSP180 and/or RCP240. Additional analysis may include 99.9% benchmark results to support regional monitoring activities and the assessment of corrective actions.
 - This consolidated list shall include aircraft reported by participating ATSPs as operating below the applicable 95% benchmark and shall constitute one of the bases for subsequent regional compliance assessments.
 - The Designated Monitoring RMAs shall coordinate the development of a biannual regional report based on consolidated data from all FIRs within the EUR/SAM Corridor. The report shall identify aircraft assessed as compliant or non-compliant in accordance with the regional criteria established by the participating RMAs.
 - If the Designated Monitoring RMA receives reports of aircraft performance below the applicable benchmark and the available data meet the agreed regional assessment criteria, it may request additional information from the ATSPs and initiate the regional non-compliance assessment process.
 - During the initial implementation period, RMAs shall assess the suitability of the minimum number of observations required to categorise aircraft as compliant or non-compliant. A common regional threshold should be agreed among the participating RMAs and ATSPs based on operational experience and statistical relevance.
- 4.10. When a Designated Monitoring RMA identifies a potential regional aircraft non-compliance, a standard information request template should be used to obtain additional supporting data from the relevant ATSP(s). The template is defined in the previous phase, and it includes:
- a) identification details, such as where the performance below the applicable benchmark was observed, the aircraft type and aircraft registration.
 - b) reporting period concerned;
 - c) applicable RCP240 and/or RSP180 performance results and benchmarks;
 - d) where available, supporting information regarding the identified root cause and recommended corrective actions.

- 4.11. The final non-compliance report shall be transmitted to the relevant RMA or directly to the corresponding State Oversight Authority/National Safety Aviation Authority, as applicable, for the implementation of Phase 3 follow-up activities. The supporting information and assessment records used in the determination shall be retained by the Designated Monitoring RMA in accordance with the applicable regional procedures.

5. PHASE 3 - ACTIONS AND GUIDANCE FOR STATE OVERSIGHT AUTHORITIES

- 5.1. This phase addresses the actions that may be undertaken by State Oversight Authorities following the receipt of a report identifying a potential regional PBCS non-compliance issued under Phase 2 of this guidance. Although developed in support of the EUR/SAM Corridor, the principles described in this phase may be applicable beyond the SAT Area.
- 5.2. State oversight authorities should designate a point of contact for any required follow-up action, make those contact details available to RMAs, and create an email inbox for the purposes of receiving and processing the PBCS non-compliance performance data received from the Designated Monitoring RMA.
- 5.3. The State Oversight Authorities should maintain a list of contacts from registered operators in their respective states. The contacts should be responsible for PBCS operations.
- 5.4. It is recommended that an aircraft that is not performing to the required PBCS standard should not continue to file PBCS identifiers for an extended period. Oversight Authorities recognise the benefits of working with industry to identify and rectify PBCS compliance issues. This facilitates a cooperative working arrangement between the operator and the State Oversight Authority. Enforcement action should be considered a measure of last resort.
- 5.5. On receiving a non-compliance performance report, the State Authority should ensure that the operator is authorised to file PBCS identifiers for the subject aircraft. If no such authorisation exists, the State should require the operator not to file PBCS identifiers in the flight plan for the affected aircraft.
- 5.6. The data transmitted to the State Oversight Authority by the Designated Monitoring RMA shall correspond to aircraft that have been assessed in accordance with the regional criteria established under Phase 2 and determined to represent a regional PBCS non-compliance. Further action by the State Oversight Authority may therefore be required.
- 5.7. The guidance provided in this phase should be applied taking into account the regional assessment criteria established under Phase 2 and the principles of risk-based oversight.
- 5.8. Depending on the data, the State Oversight Authority may engage in a choice of actions:
 - a) Provide feedback to the Designated Monitoring RMA, which may choose to monitor the data provided and retain the data for trend analysis.
 - b) Contact the operator directly to understand the actions being undertaken to improve performance. Exceptionally, they may choose to take formal enforcement action for the operator. Although this remains a tool within their toolbox, it should be fully justified.
- 5.9. The path that the State Oversight Authority decides to take in each instance will depend to a large degree on what the data is guiding them to do.
- 5.10. The thresholds described in the following guidance are indicative in nature and may be adjusted by the State Oversight Authority based on operational context, available evidence and risk-based oversight considerations.

- a) For all aircraft where the report indicates that the cause has been identified and suitable recommendations made, no action is required.
 - b) For aircraft where the report indicates non-compliance, if the performance presented suggests that ASP or ACP are both greater than 85%, the state may choose to monitor the operator's recovery action plan. Depending on the response from the operator, the State Oversight Authority may recommend that the aircraft not file PBCS identifiers in their flight plan until a satisfactory recovery action plan has been accomplished by the operator.
 - c) Where a state identifies performance between 85% and 95% for three contiguous reporting periods, the state should require that the operator does not file PBCS identifiers in their flight plan until completion of a satisfactory recovery action plan.
 - d) Where the data suggests that the performance of an aircraft is variable and no specific trend in its performance can be ascertained, the States may use the available supporting data to investigate further, particularly where the available observations do not meet the agreed regional criteria.
 - e) Where performance between 85% and 95% is reported for six non-contiguous months in a rolling twelve-month period, the state should require that the operator does not file PBCS identifiers in their flight plan until a satisfactory recovery action plan is completed.
 - f) Where an aircraft's performance is reported to be less than 85% for any reporting period, the State Oversight Authority should require that the operator does not file PBCS identifiers in their flight plan until completion of a recovery action plan acceptable to the State Authority.
 - g) If performance is not seen to improve to the required levels once the recovery action plan is complete, the operator will need to conduct further investigation. Recovery actions should be agreed upon between the State Oversight Authority and the operator of the non-compliant aircraft.
 - h) If the recovery action plans do not improve performance to the required level following 12 months of substandard performance, the State Oversight Authorities may choose to revoke the approval for that aircraft, and the operator will need to seek reapproval for that aircraft to be able to file PBCS identifiers in their flight plan again. This formal enforcement action should be a last resort.
- 5.11. The State Oversight Authority shall inform the Designated Monitoring RMA of any decisions, corrective actions, restrictions or approval status changes associated with the affected aircraft.

6. GLOBAL PICTURE – PBCS MONITORING AND REPORTING PROCESS IN SAT AREA

6.1. This guidance is proposed as a means by which a common set of parameters may be applied regionally to provide all entities involved in the monitoring programme with a consistent and repeatable process for the assessment, reporting and resolution of PBCS performance issues. It will also allow airspace users operating across multiple FIRs and ICAO regions to gain confidence that aircraft performance observed below the applicable benchmarks, and any subsequent non-compliance determinations, are managed consistently, transparently and proportionately.

6.2. The success of a monitoring programme, whether conducted at local, regional or global level, relies on confidence that all participating organisations apply harmonised assessment criteria, reporting processes and follow-up actions.

6.3. Figure 2 summarises the PBCS Monitoring and Reporting Process envisaged for the initial implementation phase within the scope of this guidance.

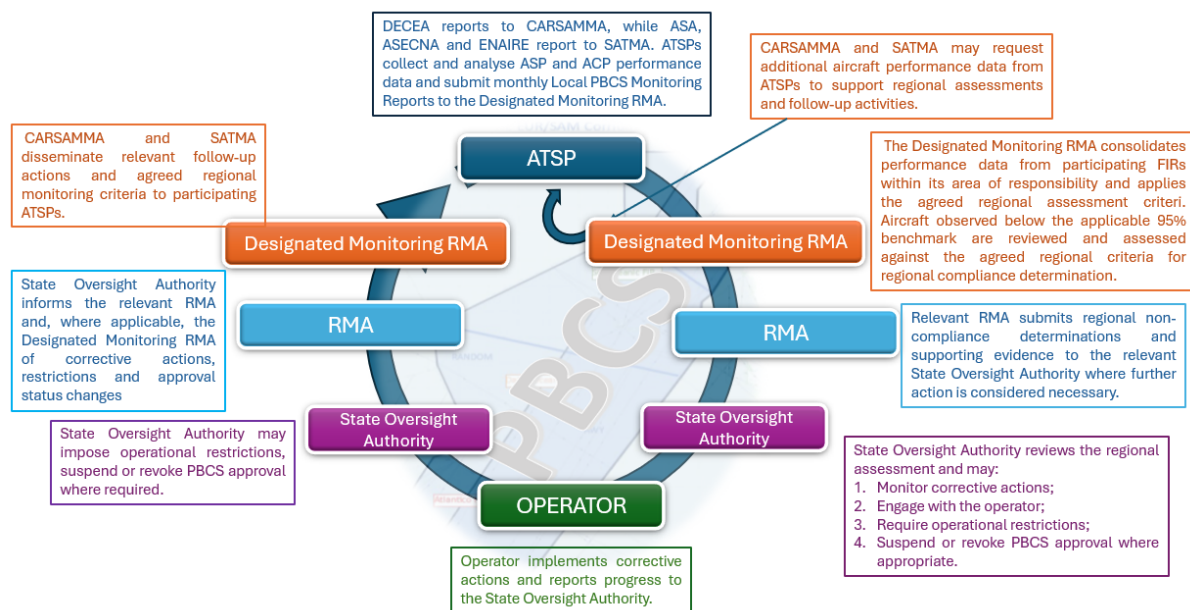


Figure 2. PBCS MONITORING AND REPORTING PROCESS IN SAT AREA (INITIAL PHASE).