



International Civil Aviation Organization

**MIDANPIRG CNS/ATM/IC Sub-Group
(CNS/ATM/IC SG)**

**Sixth Meeting
(Cairo, Egypt, 31 January - 02 February 2012)**

Agenda Item 6: Review of the MID Air Navigation Plan (ANP)

NEW FORMAT AND CONTENT OF THE MID BASIC ANP AND FASID

(Presented by the Secretariat)

SUMMARY

This paper presents the progress achieved so far related to the review of the different Parts of the MID Basic ANP and FASID, as a follow-up action to MIDANPIRG Decision 12/49.

Action by the meeting is at paragraph 3.

REFERENCES

- AIS/MAP TF/6 Report
- ATM/SAR/AIS SG/12 Report
- MIDANPIRG/12 Report

1. INTRODUCTION

1.1 The meeting may wish to recall that MIDANPIRG/12 was apprised of the outcome of the CNS/ATM/IC SG/5 meeting on the need for a complete review of both the content and format of the MID Basic ANP and FASID. The need to evolve the current ANPs to the electronic versions (eANP) was underlined.

2. DISCUSSION

2.1 MIDANPIRG/12 recalled that in many occasions, the usefulness and effectiveness of the Air Navigation Plans were questioned, in particular, when it comes to duplication of some Annexes provisions in the Basic ANP or reproduction of the data published in the Aeronautical Information Publications in the FASID Tables. In this regard, it was highlighted that the ANPs should set forth in detail the facilities, services and procedures required for international air navigation within a specified area. Such plans contain recommendations that States can follow in programming the provision of their air navigation facilities and services, with the assurance that facilities and services furnished in accordance with the plan will form with those of other States an integrated system adequate for the foreseeable future. The meeting further noted that the ANP, does not list all facilities in the Region but only those required for international civil aviation operations; the aeronautical information publications, NOTAM and other State documents should be consulted for information on additional facilities and for operational information in general.

2.2 The meeting recognized that the current format and content of the regional ANPs as well as the amendment process do not meet the need of States and users and are inconsistent with the new requirements set-forth by the ATM Operational Concept, the Global ANP and the Performance Based Approach. Accordingly, it was agreed that a significant revision of the current regional ANPs, format and content is therefore required in order to meet the intended objectives and increase their effectiveness. Accordingly, the meeting agreed to the following Decision:

DECISION 12/49: REVIEW OF THE MID AIR NAVIGATION PLAN (ANP)

That, in support to ICAO efforts to improve regional ANPs, the MIDANPIRG subsidiary bodies:

- a) carry out a complete review of the MID Basic ANP and FASID parts related to their Terms of Reference (TOR) and Work Programme;*
- b) develop revised draft structure and content of the Basic ANP in order to reconcile it with the ATM Operational Concept, the Global Plan provisions and the performance based approach;*
- c) identify the need for and development of those FASID Tables necessary to support the implementation of a performance-based global air navigation systems; and*
- d) report progress to MIDANPIRG/13.*

2.3 In the same vein, the meeting may wish to recall that, MIDANPIRG/12, through Decision 12/35, tasked the AIS/MAP Task Force, as part of its Work Programme, to carry out a review of the AIS Parts of the MID Basic ANP and FASID in order to introduce/develop planning material related to the transition from AIS to AIM.

2.4 The meeting may wish to note that a similar work has been carried out in the European Region. In this regard, a Task Force has been established in Europe for the development of the AIM Parts of the EUR ANP.

2.5 The following Parts of the EUR Basic ANP as endorsed by the EANPG are attached for review and consideration by the meeting:

2.5.1 **Part 0: Introduction** at **Appendix A** to this Working Paper. This Part contains provisions and statements that are common to all Regional Air Navigation Plans.

2.5.2 Major changes in comparison to the previous version include:

- a) general introductory text has been updated to reflect that the basic operational requirements and planning criteria (BORPC) was withdrawn by decision of the ANC on 8 March 2011 for its future inclusion into the Global Air Navigation Plan.
- b) introduction of a paragraph on performance based services to replace CNS/ATM developments;
- c) introduction of a diagram (from the Global Air Navigation Plan) to reflect the relationship between global, regional and national plans; and

Note: The diagram will be updated in view of the withdrawal of the BORPC from regional ANPs.

- d) reformatting of the list of ICAO States to show their respective relationships with ICAO Regional Offices, ANPs and Planning and Implementation Regional Groups (PIRGs).

Note: Index to be checked and updated by all Regional Offices before publication.

2.5.3 Further action to be taken:

1. Figure 1 diagram on Relationship between global, regional and national plans to be updated due to withdrawal of BORPC.
2. Status of web-based air navigation tool providing details of ATS routes, reporting points and other such data to be checked before publication.
3. Index of States and Territories to be checked and updated before publication.

2.5.4 **Part I: EUR REGION GENERAL PLANNING ASPECTS (GEN)** at **Appendix B** to this Working Paper.

2.5.5 Major changes in comparison to the previous version include:

- a) Sub-regional groups have been reflected to show the areas where major EUR Region programmes are being planned or implemented. It is considered a diagram reflecting group compositions should sit in the FASID or electronic database as the dynamics of such groups may change;
 - b) paragraphs concerning requirements for the performance based approach have been introduced, stating the requirement to have common Performance Objectives throughout the EUR Region, based on the ICAO global KPA; associated local Performance Targets and related Key Performance Indicators (KPI) which can be measured. The incorporation of the principle elements of the performance approach in the Basic ANP will underpin the subsequent inclusion of Performance Objectives, which will be developed by the COG Performance Task Force; these elements are considered dynamic and should be lodged in the FASID, which can be readily amended to reflect changes as they occur;
 - c) paragraphs on Global Planning Initiatives (GPI) and Regional Planning Initiatives (RPI) have been introduced based on current Global ANP. Following a consultation on the implementation status of GPIs throughout the EUR region, it was considered that this information should be shown in the EUR FASID.
 - d) a paragraph on the relevance of human factors considerations has been included;
 - e) due account of safety management has been reflected, including that the EANPG should endorse safety plans associated with pan and sub-regional programmes. Linkage to the ICAO Global Aviation Safety Plan and associated Global Safety Initiatives has been included. A short paragraph on deficiency management has been included in the Safety Consideration section as it was considered this aspect should be included within the Plan;
 - f) a paragraph has been added to reflect the requirement to consider the environment;
- Note: This has been accompanied by a statement that environmental considerations should not compromise acceptable levels of safety.*
- g) A diagram showing the homogeneous areas of the EUR Region has been included with an updated matrix detailing major traffic flows;

Note: This is still to be updated in respect of diagram to include Israel.

- h) a paragraph on the requirement for air traffic forecasts, system capacity and air traffic demand has been included. More detail on the outputs of the forecasting sources should be contained in the FASID; and
- i) a high level paragraph on implementation strategy has been included.

2.5.6 Further action to be taken:

1. Diagram or list of regional sub groupings to be inserted in the FASID or database.
2. List of Flight Information Regions to be checked and updated before publication.
3. Chart of FIRs to be inserted and co-ordinates to be listed in a separate document or database.
4. Paragraphs related to GPI/RPI to be reviewed when new update of Global ANP (Doc 9750) issued.
5. Performance objectives, local performance targets, associated KPI and data metrics to be included in EUR FASID when available.

Diagram showing homogeneous areas of EUR Region and matrix detailing major traffic flows to be checked and updated. Major Traffic Flows will be updated to reflect the next edition of the Global Air Navigation Plan.

2.5.7 **Part IV: AIR TRAFFIC MANAGEMENT (ATM)** at **Appendix C** to this Working Paper, with the following outline:

- a) First part details the ATM Concept and associated component requirements;
- b) Sets out the current and developing requirements that will be required during transition to the ATM Concept;

Note: text is more detailed than envisaged as it was necessary to include verbatim the amendment proposal (Serial No: EUR/NAT 09/19-ATM) concerning flexible use of airspace developed by the FUA Task Force, as endorsed by EANPG/51. This has influenced the overall style and level of detail of this part.

- c) Includes reference to ICAO Annexes and Documents where SARPS should be followed;

Note: detailed cross references to annexes and document paragraph numbers have been omitted to avoid out-of-date referencing when ICAO Documents are amended.

- d) Does not refer to specific implementation programmes.

Note: It is intended to include these in the corresponding ATM part in the FASID with electronic programme links to enable the reader to access the level of detail required; this will facilitate the ability to more easily keep the document up to date.

- e) Performance material developed by the EANPG COG Performance Task Force has been included.

2.5.8 Further action to be taken:

1. Specific implementation programmes to be included in ATM Part of FASID.
2. Paragraphs related to specific GPI to be reviewed when new update of Global ANP (Doc 9750) issued.

3. Paragraphs related to Traffic Synchronisation and Monitoring to be reviewed in light of introduction of 4-D Navigation.
4. Paragraphs under Airspace Structure to be updated with references to the FASID and/or electronic database.
5. Paragraph related to Areas of responsibility for which ATFM is provided by the EUROCONTROL CFMU (Brussels) and the International Air Navigation Service “East” to be updated with cross reference to relevant attachment in FASID.
6. Paragraph related to Flight Information Service and VOLMET to be updated with cross reference to relevant table in FASID.

2.5.9 **Part VIII: SAFETY (SAF)** at **Appendix D** to this Working Paper.

2.5.10 This is a new ANP Part and provides an overview of aviation safety and associated requirements that aviation stakeholders should consider when planning and delivering aviation services.

2.5.11 The introduction underlines that this Part refers to safety matters associated with navigation services, ATM/CNS and the work of the EANPG.

2.5.12 Whilst it states the overarching requirements of the Global Aviation Safety Plan (GASP) and associated global safety initiatives, this has been included to show the contribution the safe delivery of navigation services makes to the ICAO global strategic safety objective.

2.5.13 To ensure there is no confusion with Global Safety Initiatives (GSI), the term “regional safety initiative (RSI)” has been replaced with “regional safety objective (RSO)”. This term better describes what will be developed as a safety objective to overcome identified deficiencies or gaps. These can equally be considered as regional performance objectives in the safety arena as they should be readily measurable. The initial EANPG COG Performance Task Force safety objectives and indicators have been included; these will be routinely updated with details provided in the FASID.

2.5.14 Further action to be taken:

1. Update will be required following the work that will be done by the European Regional Aviation Safety Group (RASG-EUR).
2. Performance indicators to be reviewed.

2.5.15 **PART IX – HUMAN RESOURCES AND TRAINING (HR&TNG)** at **Appendix E** to this Working Paper.

2.5.16 This is a new Part which reflects the planning and training elements that need to be considered by all those responsible for the regulation, supervision and provision of air navigation services within the wider context of planning for future aviation sector personnel.

2.5.17 Human Resource planning is considered on the basis of Doc 9956 - *Global and Regional 20-year Forecasts*, developed by ICAO to provide the aviation sector with an informed forecast for the period 2010-2030 relating to: air transport development – traffic, movement and fleet growth; pilot; maintenance; and air traffic controller personnel requirements. In this respect both global and EUR Region forecasts are reflected.

2.5.18 The Training element provides information on ICAO Training Policy and latest developments in respect of ICAO’s TrainAir Plus initiative. Reference to access the Aviation Training Directory of ICAO is provided.

2.5.19 Lastly, the related EUR/NAT Office support to the European Region and support from States are shown.

2.5.20 **PART X – CONTINGENCY PLANNING (CPLN)** at **Appendix F** to this Working Paper.

2.5.21 The text contains an overview of policy and requirements that States and air navigation service providers should consider in preparing contingency plans to maintain the provision of services in airspaces for which they are responsible.

2.5.22 *Note: Reference has not been made to a corresponding text in the Facilities and Services Implementation Document (FASID).*

2.5.23 **PART XI – ENVIRONMENT (ENV)** at **Appendix G** to this Working Paper.

2.5.24 This Part provides up to date information on Environmental tools and models, in particular the introduction of IFSET and ICAOs request for States to measure and report operational improvement planning and implementation has been incorporated.

2.5.25 This Part discusses a wide range of initiatives, including some outside of the traditional PIRG area of responsibility e.g. research and development of alternative fuel. These have been shown to demonstrate the efforts across the entire aviation spectrum in respect of the sustainable development of aviation.

2.5.26 The Part highlights areas where PIRGs can directly influence the adoption of measures to improve the efficiency of air navigation including adoption of *performance based navigation* and improved *civil/military co-ordination* thus facilitating the flexible use of airspace.

2.5.27 Lastly, the Part reflects the performance objective and associated metric developed by the EANPG COG Performance Task Force.

2.5.28 Further action to be taken: Table of environmental tools and modeling techniques in the Appendix may be considered to be part of the FASID as work progresses.

2.6 The meeting may wish to note that based on the outcome of the EUR ANP AIM Task Force and the review carried out by the AIS/MAP TF/6 meeting, the ATM/SAR/AIS SG/12 meeting endorsed the AIM Parts of the MID ANP at **Appendices H, I and J** to this Working Paper.

2.7 With regard to the ATM and SAR Parts of the MID ANP, the ATM/SAR/AIS SG/12 meeting noted that several amendment proposals to the TABLE ATS 1-ATS Routes were processed during the past period. An Amendment proposal to the Basic ANP, SAR Part has been also processed. However, the task assigned by MIDANPIRG through Conclusion 12/49 has not yet been fulfilled; i.e.: the structure and content of the MID ANP ATM and SAR Parts have not been fully reviewed and amended to cope with the ATM Operational Concept, the Global Plan provisions and the performance based approach.

2.8 The meeting may also wish to note that the review of the EUR ANP did not include the AOP, CNS and MET Parts.

2.9 With regard to the AOP Part, the ANP format and content is being reviewed by the AGA Section in HQ, in coordination with all regional Offices. This will be a main topic of discussion for the upcoming AOP SG/8 meeting (Cairo, 13-15 February 2012).

2.10 The meeting may wish to note that the CNS SG/4 meeting held in Cairo, 25 - 27 September 2011 reviewed the current version of the MID Basic ANP and FASID and with regard to the follow-up action on MDANPIRG/12 Decision 12/49, the CNS SG/4 meeting was of the view that the task is huge and requires the CNS/ATM/IC SG/6 meeting to propose the appropriate way forward. With regard to the CNS FASID Tables, the CNS SG/4 meeting highlighted that in the European Region most of the CNS Tables are generated using electronic tools. Accordingly the CNS SG/4 meeting proposed using similar tools in the MID Region.

2.11 With regard to the MET Part of the MID Basic ANP and the MET FASID Tables, the meeting may wish to note that the MET SG/3 meeting agreed to review the MET Part of the MID Basic ANP and MET FASID Tables for possible inclusion in an amendment proposal expected in the first quarter of 2012 (MID MET SG draft Conclusion 3/7 refers). The meeting may wish to note that the MET part of the Basic ANP and some of the FASID Tables MET are kept current through Conclusions of various global groups (e.g. World Area Forecast System Operations Group (WAFSOPSG), International Airways Volcano Watch Operations Group (IAVWOPSG)). An amendment proposal in the first quarter of 2012 will include updates provided by the sixth meeting of the IAVWOPSG and the sixth meeting of the WAFSOPSG. The meeting may also recall that meteorological service required at aerodromes (FASID Table MET 1A) and OPMET information (METAR, SPECI and TAF) required in ISCS and SADIS (FASID Table MET 2A) can be retrieved from a global database (<http://192.206.28.84/MET/>) and that information on meteorological watch offices (FASID Table MET 1B) is expected to be available on a global database in 2012.

2.12 Taking into consideration:

- the recent developments in the air navigation fields (development of a revised version of the Global Air Navigation Plan, Aviation System Block Upgrades (ASBUs), electronic Air Navigation Plan (eANP), etc);
- the upcoming AN Conf/12 meeting (Montreal, 19-30 November 2012);
- the work carried out in the European Region for the review of the EUR ANP;
- the revised MID ANP AIM Parts and AIM FASID Tables; and
- the recommendations of the ATM/SAR/AIS SG/12 meeting;

The meeting may wish to propose to MIDANPIRG the establishment of an Ad-Hoc Working Group tasked with the development of a revised version of the MID ANP.

3. ACTION BY THE MEETING

3.1 The meeting is invited to:

- a) review and consider the work carried out in Europe related to the EUR Basic ANP at Appendices **A to G**;
- b) propose to MIDANPIRG the endorsement of the AIM Parts of the MID ANP at **Appendices H, I and J**; and
- c) propose to MIDANPIRG the establishment of an Ad-Hoc Working Group tasked with the development of a revised version of the MID ANP.

APPENDIX A

EUROPEAN AIR NAVIGATION PLAN

VOLUME I, BASIC ANP

PROPOSED NEW LAYOUT AND CONTENT

28 December 2011

FOREWORD

The principles that were adopted in the proposed layout of the Basic ANP and how this is foreseen to relate to the FASID and Supporting material are:

1. There should be a clear relationship between the Regional Plan (in this case, the EUR ANP (Doc 7754)) and the Global Air Navigation Plan (Doc 9750) and Global ATM Operational Concept (Doc 9854).
 2. The Basic ANP should reflect the conceptual objectives for the region whilst including the current to medium term requirements. The material included should minimise the requirement for continual amendment. Dynamic lists such as descriptions of ATS routes are referenced to the FASID as appropriate or flagged as candidates for the proposed web-based air navigation planning tool.
 3. The FASID should provide sufficient detail of current and emerging programmes to provide the reader with an overview and sufficient detail of the current to short-term environment.
 4. Guidance material on the detail of programmes or Concepts should be contained in supplementary material referenced appropriately or adopted as EUR Documents.
-

TABLE OF CONTENTS

PART 0 – INTRODUCTION.....	4
PART I – EUR Region General Planning Aspects (GEN).....	17
PART II – Aerodromes / Aerodrome Operations (AOP)	29
<i>Not included in this document. Editorial amendment to update references to be made before finalised version is processed as proposal for amendment.</i>	
PART III – Communications, Navigation and Surveillance (CNS)	29
<i>Not included in this document. Editorial amendment to update references to be made before finalised version is processed as proposal for amendment.</i>	
PART IV — Air Traffic Management (ATM)	30
PART V — Meteorology (MET)	41
<i>Not included in this document. Editorial amendment to update references to be made before finalised version is processed as proposal for amendment.</i>	
PART VI — Search and Rescue Services (SAR)	42
PART VII — Aeronautical Information Management (AIM)	46
PART VIII — Safety (SAF)	54
PART IX — Human Resources and Training (HR&TNG)	60
PART X — Contingency Planning (CPLN)	66
PART XI — Environment (ENV)	70



EUR ANP, VOLUME I, BASIC ANP

PART 0 – INTRODUCTION

(updated version date: 27 December 2011)

Remarks

This part was presented to and endorsed by EANPG/52 (November 2010). Minor editorial changes were made in December 2011.

This Part contains provisions and statements that are common to all Regional Air Navigation Plans.

Major changes in comparison to the previous version (1st Edition, 2001) include:

- a) general introductory text has been updated to reflect that the basic operational requirements and planning criteria (BORPC) was withdrawn by decision of the ANC on 8 March 2011 for its future inclusion into the Global Air Navigation Plan.
- b) introduction of a paragraph on performance based services to replace CNS/ATM developments;
- c) introduction of a diagram (from the Global Air Navigation Plan) to reflect the relationship between global, regional and national plans; and

Note: The diagram will be updated in view of the withdrawal of the BORPC from regional ANPs.

- d) reformatting of the list of ICAO States to show their respective relationships with ICAO Regional Offices, ANPs and Planning and Implementation Regional Groups (PIRGs).

Note: Index to be checked and updated by all Regional Offices before publication.

Further action to be taken:

1. Figure 1 diagram on Relationship between global, regional and national plans to be updated due to withdrawal of BORPC.
2. Status of web-based air navigation tool providing details of ATS routes, reporting points and other such data to be checked before publication.
3. Index of States and Territories to be checked and updated before publication.

EUR ANP, VOLUME I, BASIC ANP

PART 0 – INTRODUCTION

(version date: 27 December 2011)

GENERAL

1. Air navigation plans (ANPs) set forth in detail the facilities, services and procedures required for international air navigation within a specified area. Such plans contain recommendations that States can follow in programming the provision of their air navigation facilities and services, with the assurance that facilities and services furnished in accordance with the plan will form with those of other States an integrated system adequate for the foreseeable future.
2. On 26 February 1997, the ICAO Council decided that the regional air navigation plans should be published in two volumes: a Basic ANP and a Facilities and Services Implementation Document (FASID).
- 3.
4. The Basic ANP contains stable plan material such as:
 - a) the geographical area constituted by the flight information regions (FIRs) covered by the plan; and
 - b) the latest planning and implementation guidance formulated for the region through recommendations by the region's Planning and Implementation Regional Group (PIRG). The material included should minimise the requirement for continual amendment.
5. The FASID sets forth the dynamic material from the plan constituted by the facilities and services required for international air navigation within the specified area. The FASID would also include appropriate additional guidance, particularly with regard to implementation, to complement the material contained in the Basic ANP.

INTRODUCTION OF PERFORMANCE BASED REQUIREMENTS INTO THE PLAN

6. The traditional focus of a regional ANP has been to cover the facilities and services required for a period of five years. However, with the introduction of performance based requirements, with longer planning horizons, it is recognized that concepts such as Performance Based Navigation (PBN), Required Communication Performance (RCP) and the developing Performance Manual for Air Navigation Services will be introduced progressively into the **EUR** ANP. Introduction of such performance based requirements is guided by the ICAO Global Air Navigation Plan (Doc 9750), which has been developed so that it has a clear and functional relationship with the regional ANPs. The evolution and development of the **EUR** ANP will also be guided by the ATM Operational Concept (Doc 9854).

RELATIONSHIP BETWEEN GLOBAL, REGIONAL AND NATIONAL PLANNING

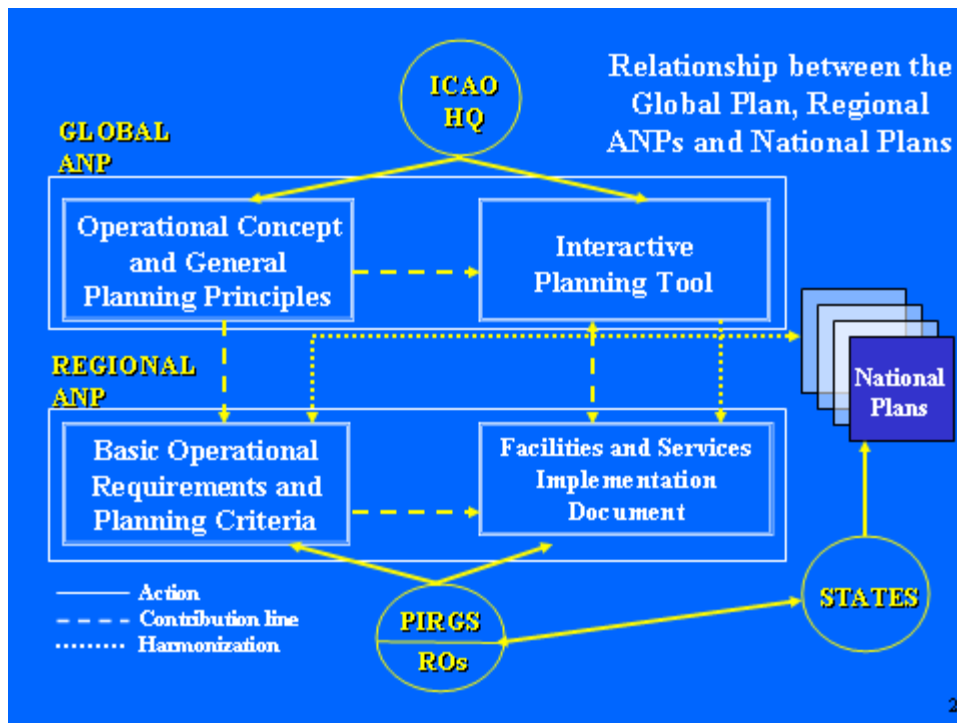


Figure 1. Relationship between global, regional and national plans.

7. Planning takes place at global, regional and national levels. Planning is accomplished with the help of planning tools and methodologies that are used primarily at the regional and national levels, conditioned by guidance from the global level. The basis for effective planning is the ATM operational concept, which should support the development of regional and national implementation plans that will support system architectures.

STATES' RESPONSIBILITIES

8. Each Contracting State is responsible for the provision of facilities and services in its territory under Article 28 of the Convention. The Council has recommended that these facilities and services include those specified in the air navigation plans.

9. Inclusion in air navigation plan documents of basic facilities and services provided by non-Contracting States and territories is simply recognition that they are needed by or likely to affect international civil aircraft operations of Contracting States or the facilities and services of these States.

AIR NAVIGATION PLAN — EUR REGION

10. This basic air navigation plan document presents in general terms the ICAO plan for the provision of facilities and services for international air navigation in the ICAO European Region. It has incorporated in an evolutionary manner requirements emanating from the ICAO Global Air Navigation Plan. In this respect the Plan spans current requirements whilst indicating the development path to reach

the Global ATM Operational Concept. The companion element to this plan, the EUR FASID, and in time an associated global database¹, includes detailed information on States' facilities, services, and plans for implementation. The FASID and associated database will be routinely updated to reflect the implementation of Regional Planning Initiatives and Programmes. Facilities and services outside of the prescribed regional boundaries may also be included in order to maintain the integrity of "systems" and to ensure in so far as possible that all the facilities and services required are listed in the document. The relationship between the Basic and FASID and associated electronic databases is shown in Figure 2 below.

11. It should also be noted that the EUR ANP, does not list all facilities in the region but only those required for international civil aviation operations. Documents from the Integrated Aeronautical Information Package and other publications should be consulted for information on additional facilities and for operational information in general.

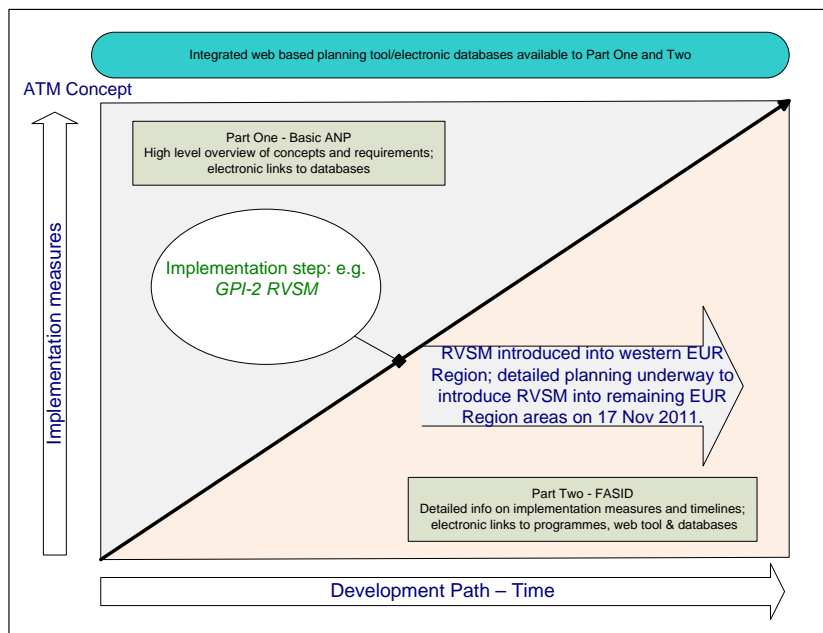


Figure 2. Relationship between ANP Basic – Part One and FASID – Part Two

12. Globally there are a number of air navigation services (ANS) development programmes underway that contribute to the ICAO ATM Concept and Global Air Navigation Plan. These include NEXGEN (USA); China ATM Development; and FIANS (India); and within the EUR Region, SESAR (EU States); and the Future ATM System of the Russian Federation. . Whilst much of the content of this document reflects ANS developments over a number of years, developing programmes' implementation steps will be referenced to Global Planning Initiatives (GPIs) thus showing linkage to the Global Air Navigation Plan.

ESTABLISHMENT AND PROVISION OF A MULTINATIONAL ICAO EUR AIR NAVIGATION FACILITY/SERVICE

¹ Details of ATS routes, reporting points and other such data will be migrated to an Integrated Web-based Air navigation Tool and the reader will be provided with an electronic link to access the material. It is anticipated that in time more applications will be migrated to this global database. This tool has not yet been fully developed. (check status before publication)

13. The operation of multinational air navigation services is well established within the **EUR** Region. ICAO Doc 9082 details the ICAO policies on charges for air navigation services. ICAO Doc 9161 – *Manual on Air Navigation Services Economics* provides additional information on the various models adopted globally. The introduction of multi-national air navigation services does not dilute the principle that a State has the responsibility of overseeing the provision of air navigation services and that it shall maintain that responsibility within its sovereign airspace as well as within the airspace over the high seas for which it has accepted the responsibility for the provision of services. Where there is no intention to change or modify the flight information region (FIR) boundaries nor the facilities and services currently listed in the ANP there is not a requirement to amend the ANP. However, should changes to the FIR boundaries or to the facilities and services provided be required, such changes are likely to be subject to the ANP amendment procedure and should therefore be examined on a case-by-case basis². Any multinational arrangements for the provision of air navigation services should be registered with ICAO (Article 83 of the Convention (Doc 7300) and Rules for Registration with ICAO of Aeronautical Agreements and Arrangements (Doc 6685).

PROCEDURE FOR THE AMENDMENT OF REGIONAL PLANS, INCLUDING FASID MATERIAL

14. The Basic ANP and FASID may be amended by a regional air navigation meeting or by following the amendment procedures below. Changes to traffic forecasts in Part I — GEN of the FASID do not require formal amendment.

PROCEDURE FOR THE AMENDMENT OF APPROVED BASIC AIR NAVIGATION PLANS

Approved by Council on 25 February 1998

15. Introduction

15.1 The procedure outlined below has been evolved to provide a means of maintaining basic regional plans in a current condition by correspondence.

16. General criteria

16.1 The Assembly has resolved that regional plans shall be revised when it becomes apparent that they are no longer consistent with current and foreseen requirements of international civil aviation and that, when the nature of a required change permits, the associated amendment of the regional plan shall be undertaken by correspondence between the Organization and the Contracting States and international organizations concerned.

16.2 When a State cannot immediately implement a particular part or a specific detail of a regional plan, although it intends to do so when practicable, this in itself should not cause the State to propose an amendment to the plan.

17. Procedure

17.1 If, in the light of the above criteria, any Contracting State (or group of States) of a region wishes to effect a change in the approved basic air navigation plan for that region it should propose to the

² Advice will be available from the ICAO Regional Office.

Secretary General, through the regional office accredited to that State, an appropriate amendment to the plan, adequately documented; the proposal should include the facts that lead the State to the conclusion that the amendment is necessary. Such amendments may include additions, modifications or deletions. (This procedure does not preclude a State having previous consultation with other States before submitting an amendment proposal to the regional office.)

17.2 The Secretary General will circulate the proposal, adequately documented, with a request for comments to all provider and user States of the region considered affected as well as to user States outside the region and international organizations which may be invited to attend suitable ICAO meetings and which may be concerned with the proposal. If, however, the Secretary General considers that the proposed amendment conflicts with established ICAO policy, or that it raises questions which the Secretary General considers should be brought to the attention of the Air Navigation Commission, the proposal will be first presented, adequately documented, to the Commission. In such cases, the Commission will decide the action to be taken on the proposal.

17.3 If, in reply to the Secretary General's inquiry to States and selected international organizations, no objection is raised to the proposal by a date specified, the proposal shall be submitted to the President of the Council, who is authorized to approve the amendment on behalf of the Council.

17.4 If, in reply to the Secretary General's inquiry to States and selected international organizations any objection is raised, and if objection remains after further consultation, the matter will be documented for formal consideration by the Air Navigation Commission. If the Commission concludes that the amendment is acceptable in its original or other form, it will present appropriate recommendations to the Council.

17.5 Proposals for the amendment of regional plans submitted by international organizations directly concerned with the operation of aircraft, which may be invited to attend suitable ICAO meetings and which attended the meeting(s) where the relevant plan was prepared, will be dealt with in the same manner as those received from States, except that, before circulating a proposal to States and selected international organizations pursuant to 3.2 above, the Secretary General will ascertain whether it has adequate support from the State or States whose facilities will be affected. If such support is not forthcoming, the proposal will be presented to the Commission, and the Commission will decide on the action to be taken on the proposal.

17.6 Proposals for the amendment of regional plans may also be initiated by the Secretary General provided that the State or States whose facilities will be affected have expressed their concurrence with the proposal.

17.7 Amendment to regional plans which have been approved in accordance with the above procedure will be promulgated at convenient intervals.

**PROCEDURE FOR THE AMENDMENT OF THE FACILITIES AND
SERVICES IMPLEMENTATION DOCUMENT (FASID)**

Approved by Council on 26 February 1997

18. Amendments to the FASID shall be effected on the basis of an adequately documented proposal submitted by a Contracting State (or a group of States) to the ICAO Regional Office; the proposal should include the facts that lead to the conclusion that the amendment is necessary. Such amendments may include additions, modifications or deletions to the FASID. (This procedure does not preclude a State

having previous consultation with other States before submitting the amendment proposal to the ICAO Regional Office.)

19. The ICAO Regional Office will circulate the proposal, adequately documented, with a request for comments to the provider States in the region and to user States except those which obviously are not affected, and, for information and comments if necessary, to international organizations which may be invited to attend suitable ICAO meetings and which may be concerned with the proposal. If, however, it is considered that the proposed amendment conflicts with established ICAO policy, or that it raises questions which should be brought to the attention of the Air Navigation Commission, the proposal will be adequately documented and presented to the Air Navigation Commission. In such cases, the Commission will decide the action to be taken on the proposal.

20. If, in reply to the ICAO Regional Office's inquiry, no objection is raised to the proposal by a specified date, it will be deemed that a regional agreement on the subject has been reached and the proposal shall be incorporated into the FASID.

21. If, in reply to the ICAO Regional Office's inquiry, any State objects to the proposal, and if objection remains after further consultation, the matter will be documented for discussion by the respective planning and implementation regional group (PIRG) and, ultimately for formal consideration by the Air Navigation Commission, if necessary. If the Commission concludes that the amendment is acceptable in its original or other form, it will present appropriate recommendations to the Council.

22. Proposals for the amendment of the FASID submitted by international organizations directly concerned with the operation of aircraft in the region, which may be invited to attend suitable ICAO meetings where the FASID was prepared, will be dealt with in the same manner as those received from States, except that, before circulating the proposal to all interested States, it will be ascertained whether the proposal has adequate support from the State or States whose facilities or services will be affected. If such support is not forthcoming, the proposal will not be pursued.

23. Proposals for the amendment of the FASID may also be initiated by the ICAO Regional Office provided that the State or States whose facilities or services will be affected have expressed their concurrence with the proposal.

24. Amendments to the FASID which have been approved in accordance with the above procedure will be promulgated at convenient intervals.

ABBREVIATIONS

25. All abbreviations used in this document are contained in the *Procedures for Air Navigation Services — ICAO Abbreviations and Codes (PANS-ABC)* (Doc 8400), with the exception of those used in the explanations of any tables appearing herein, which also give their meaning.

**INDEX OF STATES AND TERRITORIES REFLECTING THE
GEOGRAPHICAL SCOPE OF REGIONAL ANP, PIRG MEMBERSHIP AND
REGIONAL OFFICE ACCREDITATION (*checked and updated before publication*)**

26. This index is for the purpose of determining the geographical scope of the Regional Air Navigation Plan (ANP) and the associated Planning and Implementation Regional Group (PIRG) and Regional Office (R/O) that organize the planning and implementation of that Region.

27. Explanation of the List:

Regional Office (R/O)	APAC: Bangkok: Asia and Pacific (APAC) Office ESAF: Nairobi: Eastern and Southern African (ESAF) Office EUR/NAT: Paris: European and North Atlantic (EUR/NAT) Office MID: Cairo: Middle East (MID) Office NACC: Mexico: North American, Central American and Caribbean (NACC) SAM: Lima: South American (SAM) Office WACAF: Dakar: Western and Central African (WACAF) Office
Regional Air Navigation Plan (ANP)	AFI: <i>Air Navigation Plan – Africa-Indian Ocean Region (Doc 7474)</i> APAC: <i>Air Navigation Plan – Asia and Pacific Regions (Doc 9673)</i> CARSAM: <i>Air Navigation Plan – Caribbean and South American Regions (Doc 8733)</i> EUR: <i>Air Navigation Plan - European Region (Doc 7754)</i> MID: <i>Air Navigation Plan – Middle East Region (Doc 9708)</i> NAT: <i>Air Navigation Plan – North Atlantic Region (Doc 9634 and 9635)</i>
Planning and Implementation Regional Group (PIRG)	APIRG: AFI Planning and Implementation Regional Group (APIRG): APANPIRG: ASIA/PAC Air Navigation Planning and Implementation Regional Group (APANPIRG) EANPG: European Air Navigation Planning Group (EANPG) GREPECAS: CAR/SAM Regional Planning and Implementation Group Caribbean/South American (GREPECAS) MIDANPIRG: MID Air Navigation Planning and Implementation Regional Group (MIDANPIRG) NATSPG: North Atlantic Systems Planning Group (NAT SPG)
(NC)	Non-contracting State

State	R/O	ANP	PIRG(s)
Afghanistan	APAC	APAC	APANPIRG
Albania	EUR/NAT	EUR	EANPG
Algeria	EUR/NAT	AFI	APIRG
Andorra	EUR/NAT	EUR	EANPG
Angola	ESAF	AFI	APIRG
Antigua and Barbuda	NACC	CARSAM	GREPECAS
Argentina	SAM	CARSAM	GREPECAS
Armenia	EUR/NAT	EUR	EANPG
Australia	APAC	APAC	APANPIRG
Austria	EUR/NAT	EUR	EANPG
Azerbaijan	EUR/NAT	EUR	EANPG
Bahamas	NACC	CARSAM	

State	R/O	ANP	PIRG(s)
Bahrain	MID	MID	MIDANPIRG
Bangladesh	APAC	APAC	APANPIRG
Barbados	NACC	CARSAM	GREPECAS
Belarus	EUR/NAT	EUR	EANPG
Belgium	EUR/NAT	EUR	EANPG
Belize	NACC	CARSAM	
Benin	WACAF	AFI	
Bhutan	APAC	APAC	
Bolivia	SAM	CARSAM	GREPECAS
Bosnia and Herzegovina	EUR/NAT	EUR	EANPG
Botswana	ESAF	AFI	
Brazil	SAM	CARSAM	GREPECAS
Brunei Darussalam	APAC	APAC	
Bulgaria	EUR/NAT	EUR	EANPG
Burkina Faso	WACAF	AFI	
Burundi	ESAF	AFI	
Cambodia	APAC	APAC	APANPIRG
Cameroon	WACAF	AFI	APIRG
Canada	NACC	NAT APAC	NATSPG
Cape Verde	WACAF	AFI	
Central African Republic	WACAF	AFI	
Chad	WACAF	AFI	
Chile	SAM	CARSAM	GREPECAS
Chile (Easter Island)	APAC	APAC	
China	APAC	APAC	APANPIRG
China (Hong Kong)	APAC	APAC	APANPIRG
China (Macao)	APAC	APAC	APANPIRG
Colombia	SAM	CARSAM	GREPECAS
Comoros	ESAF	AFI	
Congo	WACAF	AFI	APIRG
Cook Islands	APAC	APAC	
Costa Rica	NACC	CARSAM	GREPECAS
Cote d'Ivoire	WACAF	AFI	APIRG
Croatia	EUR/NAT	EUR	EANPG
Cuba	NACC	CARSAM	GREPECAS
Cyprus	EUR/NAT	EUR	EANPG
Czech Republic	EUR/NAT	EUR	EANPG
Democratic People's Rep. of Korea	APAC	APAC	APANPIRG
Democratic Republic of the Congo	WACAF	AFI	
Denmark	EUR/NAT	EUR NAT	EANPG NATSPG
Denmark (Faeroes)	EUR/NAT	NAT	NATSPG
Denmark (Greenland)	EUR/NAT	NAT	NATSPG
Djibouti	ESAF	AFI	
Dominica	NACC	(NC)	

State	R/O	ANP	PIRG(s)
Dominican Republic	NACC	CARSAM	GREPECAS
Ecuador	SAM	CARSAM	GREPECAS
Egypt	MID	AFI MID	MIDANPIRG APIRG
El Salvador	NACC	CARSAM	
Equatorial Guinea	WACAF	AFI	
Eritrea	ESAF	AFI	APIRG
Estonia	EUR/NAT	EUR	EANPG
Ethiopia	ESAF	AFI	APIRG
Fiji	APAC	APAC	APANPIRG
Finland	EUR/NAT	EUR	EANPG
France	EUR/NAT	EUR	EANPG NATSPG GREPECAS APANPIRG APIRG
France (French Antilles)	NACC	CARSAM	
France (French Guiana)	SAM	CARSAM	GREPECAS
France (French Polynesia)	APAC	APAC	
France (New Caledonia)	APAC	APAC	
France (Réunion)	ESAF	AFI	APIRG
France (Wallis and Futuna Island)	APAC	APAC	
Gabon	WACAF	AFI	APIRG
Gambia	WACAF	AFI	APIRG
Georgia	EUR/NAT	EUR	EANPG
Germany	EUR/NAT	EUR	EANPG
Ghana	WACAF	AFI	APIRG
Greece	EUR/NAT	EUR	EANPG
Grenada	NACC	CARSAM	GREPECAS
Guatemala	NACC	CARSAM	
Guinea	WACAF	AFI	APIRG
Guinea-Bissau	WACAF	AFI	
Guyana	SAM	CARSAM	GREPECAS
Haiti	NACC	CARSAM	
Holy See (the)	EUR/NAT	(NC)	-
Honduras	NACC	CARSAM	
Hungary	EUR/NAT	EUR	EANPG
Iceland	EUR/NAT	NAT	NATSPG
India	APAC	APAC	APANPIRG
Indonesia	APAC	APAC	APANPIRG
Iran (Islamic Republic of)	MID	MID	MIDANPIRG
Iraq	MID	MID	MIDANPIRG
Ireland	EUR/NAT	EUR	EANPG NATSPG
Israel	EUR/NAT	EUR	EANPG
Italy	EUR/NAT	EUR	EANPG
Jamaica	NACC	CARSAM	
Japan	APAC	APAC	APANPIRG

State	R/O	ANP	PIRG(s)
Jordan	MID	MID	MIDANPIRG
Kazakhstan	EUR/NAT	EUR	EANPG
Kenya	ESAF	AFI	APIRG
Kiribati	APAC	APAC	
Kuwait	MID	MID	
Kyrgyzstan	EUR/NAT	EUR	EANPG
Lao Peoples' Democratic Republic	APAC	APAC	
Latvia	EUR/NAT	EUR	EANPG
Lebanon	MID	MID	MIDANPIRG
Lesotho	ESAF	AFI	APIRG
Liberia	WACAF	AFI	
Libya	MID	AFI	APIRG
Liechtenstein	EUR/NAT	(NC)	-
Lithuania	EUR/NAT	EUR	EANPG
Luxembourg	EUR/NAT	EUR	EANPG
Madagascar	ESAF	AFI	
Malawi	ESAF	AFI	APIRG
Malaysia	APAC	APAC	APANPIRG
Maldives	APAC	APAC	
Mali	WACAF	AFI	APIRG
Malta	EUR/NAT	EUR	EANPG
Marshall Islands	APAC	APAC	
Mauritania	WACAF	AFI	APIRG
Mauritius	ESAF	AFI	
Mexico	NACC	CARSAM	GREPECAS
Micronesia (Federated States of)	APAC	APAC	
Monaco	EUR/NAT	EUR	EANPG
Mongolia	APAC	APAC	
Montenegro	EUR/NAT	EUR	EANPG
Morocco	EUR/NAT	AFI	APIRG
Mozambique	ESAF	AFI	
Myanmar	APAC	APAC	
Namibia	ESAF	AFI	
Nauru	APAC	APAC	
Nepal	APAC	APAC	
Netherlands	EUR/NAT	EUR	EANPG
Netherlands (Aruba)	NACC	CARSAM	
Netherlands Antilles	NACC	CARSAM	
New Zealand	APAC	APAC	APANPIRG
New Zealand (Niue)	APAC	APAC	APANPIRG
Nicaragua	NACC	CARSAM	
Niger	WACAF	AFI	APIRG
Nigeria	WACAF	AFI	APIRG
Norway	EUR/NAT	EUR NAT	EANPG NATSPG
Oman	MID	MID	MIDANPIRG

State	R/O	ANP	PIRG(s)
Pakistan	APAC	APAC	APANPIRG
Palau	APAC	APAC	
Panama	SAM	CARSAM	GREPECAS
Papua New Guinea	APAC	APAC	
Paraguay	SAM	CARSAM	GREPECAS
Peru	SAM	CARSAM	GREPECAS
Philippines	APAC	APAC	
Poland	EUR/NAT	EUR	EANPG
Portugal	EUR/NAT	EUR NAT	EANPG NATSPG
Portugal (Açores)	EUR/NAT	NAT	NATSPG
Portugal (Madeira)	EUR/NAT		
Qatar	MID	MID	
Republic of Korea	APAC	APAC	APANPIRG
Republic of Moldova	EUR/NAT	EUR	EANPG
Romania	EUR/NAT	EUR	EANPG
Russian Federation	EUR/NAT	EUR	EANPG
Rwanda	ESAF	AFI	
Saint Kitts and Nevis	NACC	CARSAM	GREPECAS
Saint Lucia	NACC	CARSAM	GREPECAS
Saint Vincent & the Grenadines	NACC	CARSAM	GREPECAS
San Marino	EUR/NAT	EUR	EANPG
Sao Tome And Principe	WACAF	AFI	
Saudi Arabia	MID	MID	MIDANPIRG
Senegal	WACAF	AFI	APIRG
Serbia	EUR/NAT	EUR	EANPG
Seychelles	ESAF	AFI	
Sierra Leone	WACAF	AFI	
Singapore	APAC	APAC	APANPIRG
Slovakia	EUR/NAT	EUR	EANPG
Slovenia	EUR/NAT	EUR	EANPG
Solomon Islands	APAC	APAC	
Somalia	ESAF	AFI	
South Africa	ESAF	AFI	APIRG
Spain	EUR/NAT	EUR	EANPG APIRG
Spain (Canary Islands)	WACAF	AFI	
Sri Lanka	APAC	APAC	
Sudan	MID	AFI	APIRG
South Sudan	ESAF	AFI	APIRG
Suriname	SAM	CARSAM	GREPECAS
Swaziland	ESAF	AFI	
Sweden	EUR/NAT	EUR	EANPG
Switzerland	EUR/NAT	EUR	EANPG
Syrian Arab Republic	MID	MID	
Tajikistan	EUR/NAT	EUR	EANPG
Thailand	APAC	APAC	APANPIRG

State	R/O	ANP	PIRG(s)
The former Yugoslav Republic of Macedonia	EUR/NAT	EUR	EANPG
Timor-Leste	APAC		
Togo	WACAF	AFI	APIRG
Tonga	APAC	APAC	APANPIRG
Trinidad and Tobago	NACC	CARSAM	GREPECAS
Tunisia	EUR/NAT	AFI	APIRG
Turkey	EUR/NAT	EUR	EANPG
Turkmenistan	EUR/NAT	EUR	EANPG
Tuvalu	APAC	(NC)	
Uganda	ESAF	AFI	APIRG
Ukraine	EUR/NAT	EUR	EANPG
United Arab Emirates	MID	MID	MIDANPIRG
United Kingdom	EUR/NAT	EUR	EANPG NATSPG GREPECAS
United Kingdom (Anguilla)	NACC	CARSAM	
United Kingdom (Bermuda)	NACC	NAT	NATSPG
United Kingdom (British Indian Ocean Territory)	ESAF		
United Kingdom (British Virgin Islands)	NACC	CARSAM	
United Kingdom (Cayman Islands)	NACC	CARSAM	
United Kingdom (Falkland Islands *Malvinas)	SAM	(*Disputed)	
United Kingdom (Gibraltar)	EUR/NAT	EUR	
United Kingdom (Montserrat)	NACC	CARSAM	
United Kingdom (Pitcairn Island)	APAC		
United Kingdom (Saint Helena)	WACAF		
United Kingdom (Turks and Caicos Islands)	NACC	CARSAM	
United Republic of Tanzania	ESAF	AFI	APIRG
United States (Guam)	APAC	APAC	
United States (Johnston Island)	APAC	APAC	
United States (Kingman Reef)	APAC		
United States (Midway)	APAC		
United States (Northern Mariana Islands)	APAC	APAC	
United States (Palmyra)	APAC		
United States (Puerto Rico)	NACC	CARSAM	
United States (Samoa)	APAC	APAC	
United States (Virgin Islands)	NACC	CARSAM	
United States (Wake Island)	APAC		
United States of America	NACC	NAT APAC	NATSPG APANPIRG GREPECAS
Uruguay	SAM	CARSAM	GREPECAS
Uzbekistan	EUR/NAT	EUR	EANPG

State	R/O	ANP	PIRG(s)
Vanuatu	APAC	APAC	
Venezuela	SAM	CARSAM	GREPECAS
Viet Nam	APAC	APAC	APANPIRG
Western Sahara		AFI	
Yemen	MID	MID	
Zambia	ESAF	AFI	APIRG
Zimbabwe	ESAF	AFI	APIRG

APPENDIX B

EUR ANP, VOLUME I, BASIC ANP
PART I – EUR REGION GENERAL PLANNING ASPECTS (GEN)

(updated version date: 27 December 2011)

Remarks

This part was presented to and endorsed by EANPG/52 (November 2010). It has been updated to December 2011.

Major changes in comparison to the previous version (1st Edition, 2001) include:

- a) Sub-regional groups have been reflected to show the areas where major EUR Region programmes are being planned or implemented. It is considered a diagram reflecting group compositions should sit in the FASID or electronic database as the dynamics of such groups may change;
- b) paragraphs concerning requirements for the performance based approach have been introduced, stating the requirement to have common Performance Objectives throughout the EUR Region, based on the ICAO global KPA; associated local Performance Targets and related Key Performance Indicators (KPI) which can be measured. The incorporation of the principle elements of the performance approach in the Basic ANP will underpin the subsequent inclusion of Performance Objectives, which will be developed by the COG Performance Task Force; these elements are considered dynamic and should be lodged in the FASID, which can be readily amended to reflect changes as they occur;
- c) paragraphs on Global Planning Initiatives (GPI) and Regional Planning Initiatives (RPI) have been introduced based on current Global ANP. Following a consultation on the implementation status of GPIs throughout the EUR region, it was considered that this information should be shown in the EUR FASID.
- d) a paragraph on the relevance of human factors considerations has been included;
- e) due account of safety management has been reflected, including that the EANPG should endorse safety plans associated with pan and sub-regional programmes. Linkage to the ICAO Global Aviation Safety Plan and associated Global Safety Initiatives has been included. A short paragraph on deficiency management has been included in the Safety Consideration section as it was considered this aspect should be included within the Plan;
- f) a paragraph has been added to reflect the requirement to consider the environment;
Note: This has been accompanied by a statement that environmental considerations should not compromise acceptable levels of safety.
- g) A diagram showing the homogeneous areas of the EUR Region has been included with an updated matrix detailing major traffic flows;
Note: This is still to be updated in respect of diagram to include Israel.
- h) a paragraph on the requirement for air traffic forecasts, system capacity and air traffic demand has been included. More detail on the outputs of the forecasting sources should be contained in the FASID; and
- i) a high level paragraph on implementation strategy has been included.

Further action to be taken:

1. Diagram or list of regional sub groupings to be inserted in the FASID or database.
2. List of Flight Information Regions to be checked and updated before publication.

3. Chart of FIRs to be inserted and co-ordinates to be listed in a separate document or database.
4. Paragraphs related to GPI/RPI to be reviewed when new update of Global ANP (Doc 9750) issued.
5. Performance objectives, local performance targets, associated KPI and data metrics to be included in EUR FASID when available.
6. Diagram showing homogeneous areas of EUR Region and matrix detailing major traffic flows to be checked and updated. Major Traffic Flows will be updated to reflect the next edition of the Global Air Navigation Plan.

EUR ANP, VOLUME I, BASIC ANP

PART I – EUR REGION GENERAL PLANNING ASPECTS (GEN)

(version date: 27 December 2011)

GEOGRAPHICAL SCOPE

1. In geographical scope the European Region Air Navigation Plan is related to the ICAO European air navigation region. The plan may call for the provision of basic facilities and services beyond the charted boundaries of a region where such facilities and services are necessary to meet the requirements of international air navigation within that region.

SUB-REGIONAL GROUPINGS

2. A number of States within the ICAO EUR Region are members of one or more sub-regional groupings which have development plans to improve air navigation services; such plans contribute to the regional implementation of the ICAO Global Planning Initiatives. Regional subgroups include the States of the European Union (EU); European Civil Aviation Conference (ECAC); European Organization for the Safety of Air Navigation (Eurocontrol); Interstate Aviation Committee (IAC); and EURASIA Co-ordination Council (ECC).

Note: Diagram or list of regional sub groupings to be inserted in the FASID or database.

FLIGHT INFORMATION REGIONS *(to be checked and updated before publication)*

3. Flight Information Regions (FIR) and Upper Flight Information Regions (UIR) within the EUR Region are being consolidated. The table below shows the ICAO approved EUR Region FIR/UIR status. Details of Flight Information Regions within the EUR air navigation region are contained in a centralised data base and can be accessed at www.xxxxxxx.

STATE	FIR/UIRs approved in 2009	FIR/UIRs approved for 2015 (see note)	Comments
Albania	Tirana	Tirana	
Armenia	Yerevan/Zvartnots	Yerevan/Zvartnots	
Austria	Wien	Wien	
Azerbaijan	Baku	Baku	
Belarus	Minsk	Minsk	
Belgium	Bruxelles	Bruxelles	
Bosnia and Herzegovina	Sarajevo	Sarajevo	
Bulgaria	Sofia	Sofia	
Croatia	Zagreb	Zagreb	
Cyprus	Nicosia	Nicosia	

STATE	FIR/UIRs approved in 2009	FIR/UIRs approved for 2015 (see note)	Comments
Czech Republic	Praha	Praha	
Denmark	København	København	
Estonia	Tallinn	Tallinn	
Finland	Rovaniemi	Finland	Should be FIR Finland but PFA 06/06 pending approval
	Tampere		Should be FIR Finland but PFA 06/06 pending approval
France	Bordeaux	Bordeaux	
	Brest	Brest	
	France UIR	France UIR	
	Marseille	Marseille	
	Paris	Paris	
	Reims	Reims	
The former Yugoslava Republic of Macedonia	Skopje	Skopje	
Georgia	Tbilisi	Tbilisi	
Germany	Bremen	Bremen	
	Hannover UIR	Hannover UIR	
	Langen	Langen	
	Munich	Munich	
	Rhein UIR	Rhein UIR	
Greece	Athinai	Athinai	
	Hellas UIR	Hellas UIR	
Hungary	Budapest	Budapest	
Ireland	Shannon	Shannon	
Israel	Tel Aviv	Tel Aviv	
Italy	Brindisi	Brindisi	
	Italia UIR	Italia UIR	
	Milano	Milano	
	Roma	Roma	
Kazakhstan	Aktau	Aktau	
	Aktyubinsk	Aktyubinsk	
	Almaty	Almaty	
	Astana	Astana	
	Kyzylorda	Kyzylorda	
	Shymkent	Shymkent	

STATE	FIR/UIRs approved in 2009	FIR/UIRs approved for 2015 (see note)	Comments
Kyrgyzstan	Bishkek	Bishkek	
	Osh	Osh	
Latvia	Riga	Riga	
Lithuania	Vilnius	Vilnius	
Malta	Malta	Malta	
Netherlands	Amsterdam	Amsterdam	
Norway	Bodø	Bodø	
	Oslo	Oslo	
	Stavanger	Stavanger	
	Trondheim	Trondheim	
Poland	Warszawa	Warszawa	
Portugal	Lisboa	Lisboa	
Republic of Moldova	Chisinau	Chisinau	
Romania	Bucuresti	Bucuresti	
Russian Federation	Aldan	Irkutsk	
	Amderma	Kaliningrad	
	Anadyr	Khabarovsk	
	Arkhangelsk	Krasnoyarsk	
	Barnaul	Magadan Oceanic	
	Batagay	Magadan/Sokol	
	Beryozovo	Moscow	
	Blagoveschensk	Murmansk Oceanic	
	Chelyabinsk	Novosibirsk	
	Chersky	Rostov-na-Donu	
	Chita	Samara	
	Chokurdakh	Sankt-Peterburg	
	Chulman	Tyumen/Roschino	
	Irkutsk	Yakutsk	
	Kaliningrad	Yekaterinburg	
	Kamenny Mys		
	Kazan		
	Keperveem		
	Khabarovsk		
	Khanty-Mansiysk		
Kirensk			
Kirov			
Kotlas			
Krasnoyarsk			

STATE	FIR/UIRs approved in 2009	FIR/UIRs approved for 2015 (see note)	Comments
	Kurgan		
	Leshukonskoye		
	Magadan		
	Magadan Oceanic		
	Magnitogorsk		
	Markovo		
	Milkovo		
	Mirny		
	Moscow		
	Murmansk		
	Murmansk Oceanic		
	Naryan-Mar		
	Nikolayevsk-na-Amure		
	Norilsk		
	Novokuznetsk		
	Novosibirsk		
	Nyurba		
	Okha		
	Olekminsk		
	Omolon		
	Omsk		
	Orenburg		
	Orsk		
	Ossora		
	Pechora		
	Penza		
	Perm		
	Petropavlovsk-Kamchatsky		
	Petrozavodsk		
	Pevek		
	Polyarny		
	Rostov-na-Donu		
	Salekhard		
	Samara		
	Sankt-Peterburg		
	Saratov		
	Shmidta Mys		

STATE	FIR/UIRs approved in 2009	FIR/UIRs approved for 2015 (see note)	Comments
	Surgut		
	Syktyvkar		
	Tarko-Sale		
	Teply Klyuch		
	Tiksi		
	Tura		
	Turukhansk		
	Tyumen		
	Ufa		
	Ust-Kamchatsk		
	Ust-Khayryuzovo		
	Velikiye Luki		
	Vladivostok		
	Vologda		
	Vorkuta		
	Yakutsk		
	Yekaterinburg		
	Yuzhno-Sakhalinsk		
	Zhigansk		
	Zyryanka		
Serbia	Beograd	Beograd	
Slovakia	Bratislava	Bratislava	
Slovenia	Ljubljana	Ljubljana	
Spain	Barcelona	Barcelona	
	Madrid	Madrid	
Sweden	Sweden	Sweden	
Switzerland	Switzerland	Switzerland	
Tajikistan	Dushanbe	Dushanbe	
Turkey	Ankara	Ankara	
	Istanbul	Istanbul	
Turkmenistan	Ashgabat	Ashgabat	
	Dashoguz	Dashoguz	
	Turkmenabat	Turkmenabat	
	Turkmenbashi	Turkmenbashi	
Ukraine	Dnipropetrovs'k	Dnipropetrovs'k	
	Kyiv	Kyiv	
	L'viv	L'viv	
	Odesa	Odesa	
	Simferopol	Simferopol	

STATE	FIR/UIRs approved in 2009	FIR/UIRs approved for 2015 (see note)	Comments
United Kingdom	London	London	
	Scottish	Scottish	
Uzbekistan	Nukus	Nukus	
	Samarkand	Samarkand	
	Tashkent	Tashkent	

Note: Insert chart (possibly diagrammatic as opposed to definitive co-ordinates. Co-ordinates will, however, have to be listed in an authoritative document as they provide the legal basis for the FIR boundary definition).

PERFORMANCE BASED APPROACH

4. Global Approach

4.1. States have agreed that Global Air Navigation should be predicated on a performance based environment. The transition to such a performance based environment results in consideration of a number of differing expectations. These general expectations are relative to the effective operation of the ATM system and include access and equity; capacity; cost effectiveness; environmental impact; flexibility; flight efficiency; interoperability; participation and collaboration; predictability; safety; and security. These expectations often compete with each other. Some aviation community members (the *Global Air Traffic Management Operational Concept* (Doc 9854) refers) have explicit economic expectations, others favour efficiency and predictability, while some are concerned with access and equity; and all have safety expectations. For optimum air navigation system performance, each of these sometimes competing expectations needs to be balanced. In an integrated system, changes to one expectation area will likely have an effect on other areas. It is necessary, therefore, to assess the effect on the whole system when planning a change in a specific area. This may require, or lead to, trade-offs in performance. This is generally acceptable with the exception of safety, wherein acceptable levels of safety must be achieved. The ICAO planning objective is to achieve a performance based global air traffic management (ATM) system through the implementation of air navigation systems and procedures in a safe, progressive, cost-effective and cooperative manner.

5. EUR Region Planning

5.1. The regional planning and implementation process is the principal engine of ICAO's planning framework. It is here that the top-down approach comprising global guidance and regional harmonization measures converge with the bottom-up approach constituted by national planning by States. In an effort to assist planners in weighing outcomes and making appropriate decisions, the *Manual on Global Performance of the Air Navigation System* (Doc 9883) has been developed. In this respect ICAO has defined 11 Key Performance Areas (KPA), one for each of the *Global ATM Operational Concept* (Doc 9854) expectations outlined in Paragraph 4.1 above.

5.2. |

5.3. In conducting this work the Task Force has taken into account the following guidance principles, which resulted from the discussion held at COG/47 as well as during a dedicated workshop of the ATMGE on the ICAO performance framework (Paris, 23-27 August 2010):

- a) Ensure that activities will aim at the improvement of the system (as a whole) with the benefit of the end users (strong focus on outcomes);
- b) Avoid duplication of efforts and use, to the maximum extent possible, existing arrangements/solutions;
- c) Whenever possible, build on current or developing processes, or existing data/statistics that may contribute to a specific KPA;
- d) Exploit existing best practices in other areas that might contribute to this work;
- e) |
- f) Give due regard to the resource implications associated with any proposals;

- g) Follow a stepwise approach starting from a subset of realistic indicators (qualitative rather than quantitative) to ensure a smooth transition and to alleviate the workload for the collection, consolidation and analysis of data.

5.4.

5.5. The development of common EUR Region performance objectives and associated KPI will be managed through the EANPG process. Initial objectives and associated indicators for safety; capacity; efficiency and environment; and cost-efficiency have been developed. Brief details are reflected in the relevant Parts of this Volume.

5.6. The introduction of performance objectives, local performance targets, associated KPI and data metrics is a dynamic process requiring routine review. Consequently, details of this performance material will be shown in the EUR FASID.

GLOBAL PLANNING INITIATIVES (GPI)

6. *The Global Air Navigation Plan* (Doc 9570) was developed in consideration of the operational concept and the Strategic Objectives of ICAO. Most significantly, the revised Global ANP was developed on the basis of an industry roadmap which was developed in follow up to the Eleventh Air Navigation Conference in an effort to facilitate implementation of the Recommendations of the Conference and ensure that focused efforts would lead to near- and medium-term benefits. The Global ANP, therefore, contains near- and medium-term guidance on air navigation system improvements necessary to support a uniform transition to the ATM system envisioned in the ATM operational concept (Doc 9854). Long-term initiatives will be added to the Global ANP as the technology matures and the supporting provisions are developed. In accordance with the Global ANP, planning will be focused on specific performance objectives, supported by a set of “Global Plan Initiatives” (GPI). These initiatives are options for air navigation system improvements that when implemented result in direct performance enhancements. States and regions will choose initiatives that meet performance objectives, identified through an analytical process, specific to the particular needs of a State, region, homogeneous ATM area or major traffic flow.

7. A full description of ICAO GPIs is provided in Chapter 1 of the Global Air Navigation Plan.

REGIONAL PLANNING INITIATIVES (RPI)???

8. The adoption of the *Global ATM Operational Concept* (Doc 9854) and the *Global Air Navigation Plan* (Doc 9570) has resulted in a number of proposed EUR Region ATM/CNS improvement requirements, which stem from the Global GPIs described above. Within the EUR Region the EANPG is responsible for the management and review of the ICAO EUR Region Air Navigation Plan¹. Consequently the inclusion of air navigation service improvement programmes at regional and sub-regional level will be endorsed through the EANPG process. States concerned will, however, retain responsibility for the implementation of such programmes and plans. The detail and associated timelines of EUR RPI is detailed in the FASID???

HUMAN FACTORS CONSIDERATIONS

¹ See EANPG Handbook Appendix B.

9. The high level of automation and interdependency of the CNS/ATM system raises several human factors issues. Lessons learned concerning human factors indicate that they should be considered as an integral part of any plan to implement the new technologies.

10. Human factors issues should be considered before CNS/ATM technologies are implemented, during the process of design and certification of the technology and associated standard operating procedures. States, Air Traffic Services providers and organizations in the **EUR** region which design and provide CNS/ATM systems should take into account ICAO guidelines (Human Factors Guidelines for Air Traffic Management (ATM) Systems (Doc 9758)) when developing national regulations and incorporate human factors Standards in the processes of design and certification of equipment and procedures.

SAFETY CONSIDERATION

11. It is an ICAO Strategic Objective to enhance global aviation safety. Due account must be taken of the global Standards and Recommended Practices (SARPs) that have been established requiring the implementation of safety management. States are responsible for the implementation of **national??** safety management systems. The safety management process should be embedded within **EUR pan or sub-region** programmes at the pre-implementation, implementation and post-implementation phases. The **EANPG** should endorse safety plans associated with such **pan or sub-regional European Programmes**.

12. Consistent application of safety management throughout an ICAO Region is one of the Global Safety Initiatives (GSI) of the ICAO Global Aviation Safety Plan (GASP). Planners should ensure that safety considerations of air navigation services development programmes are consistent with the GASP and associated GSI.

13. An Air Navigation Deficiency is a situation where a facility, service or procedure does not comply with a regional air navigation plan approved by the Council, or with related ICAO Standards and Recommended Practices (SARPs), and which situation has a negative impact on safety, regularity and/or efficiency of international civil aviation. Air navigation deficiencies should be identified and reported to the Regional Office **who will determine whether the reported deficiency is a case of non-compliance with the EUR ANP or SARPs**. States are responsible for the prompt rectification of deficiencies to navigation services for which they are responsible for. The ICAO Regional Office would provide guidance and assistance to rectify such deficiencies as necessary. Detailed information on the process of identifying and managing navigation deficiencies is contained in the **EANPG** Handbook,.

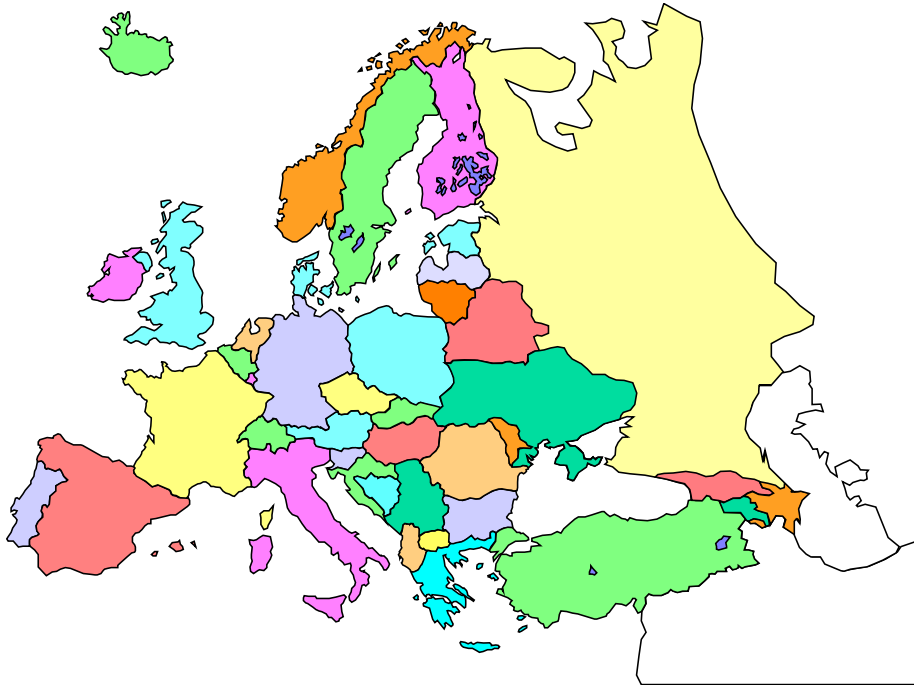
ENVIRONMENT

14. It is an ICAO Strategic Objective to minimize the adverse effect of global civil aviation on the environment. Regional planning groups should ensure environmental factors are taken into consideration when performance based systems implementation plans are developed. The results of environmental analysis can be useful in providing national decision-makers within the various sub-regions with information upon which to base airspace architecture decisions and in providing information on what the aviation industry is doing now to protect the environment in the future. Environmental considerations should, however, not compromise acceptable levels of safety and be balanced against operational and economic considerations.

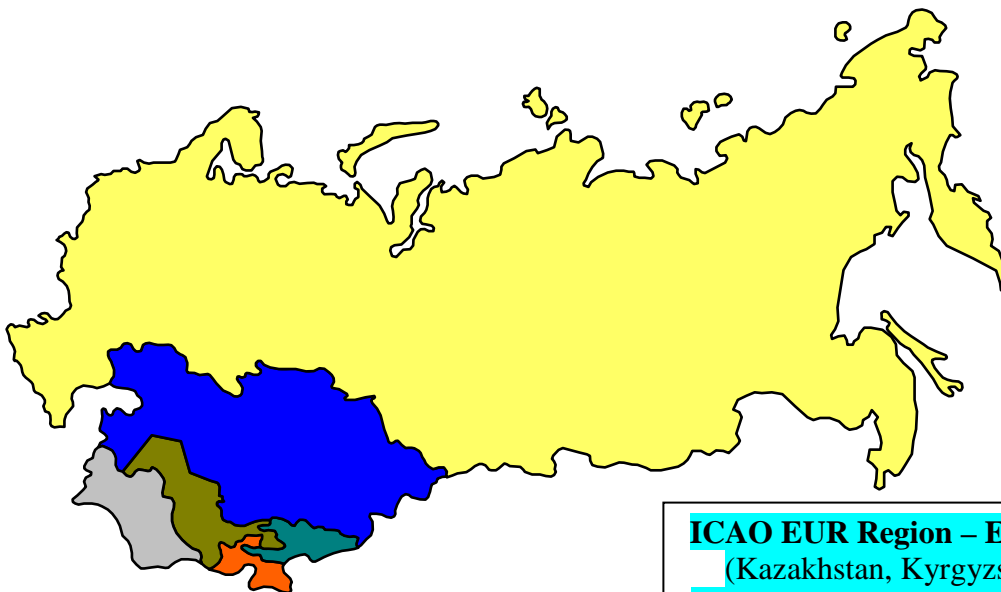
HOMOGENEOUS AREAS AND MAJOR TRAFFIC FLOWS *(check before publication)*

ATM HOMOGENEOUS AREAS IN THE ICAO EUR REGION

Note: Chart to be updated to include Cyprus and Israel.



ICAO EUR Region – Western and Central
Albania, Andorra, Armenia, Austria, Azerbaijan, Belarus, Belgium, Bosnia and Herzegovina, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Georgia, Germany, Greece, Hungary, Iceland, Ireland, Israel, Italy, Latvia, Lithuania, Luxembourg, Malta, Monaco, Montenegro, Netherlands - Kingdom of the, Norway, Poland, Portugal, Republic of Moldova, Romania, Russian Federation, San Marino, Serbia, Slovak Republic, Slovenia, Spain, Sweden, Switzerland, the former Yugoslav Republic of Macedonia, Turkey, Ukraine, United Kingdom



ICAO EUR Region – Eastern
(Kazakhstan, Kyrgyzstan, Russian Federation, Tajikistan, Turkmenistan, Uzbekistan)

MAJOR TRAFFIC FLOWS - EUR REGION

Area of routing (AR)	Traffic flows	Area involved	Type of area covered	Remarks
AR1	Within Western Europe	Wien, Bruxelles, Paris, Marseille, Reims, Bremen, Langen, Munich, Milano, Switzerland, London, Amsterdam	Continental very high density	Core area, homogeneous ATM area EUR Within this area, there are nine initiatives to implement the functional airspace block (FAB) concept, regulated by the European Commission Regulation No 176/2011 with 6 December 2012 as the mandatory date of implementation for the European Union States.
AR2	Western and Central and South Europe	Tirana, Yerevan, Wien, Baku, Bruxelles, Sarajevo, Sofia, Zagreb, Praha, Nicosia, Kobenhavn, Tallin, Rovaniemi, Tampere, Bordeaux, Brest, Marseille, Paris, Reims, Tbilisi, Bremen, Langen, Munich, Athinai, Budapest, Shannon, Brindisi, Milano, Roma, Riga, Vilnius, Malta, Chisinau, Beograd, Oslo, Stavanger, Trondheim, Bodo, Minsk, Warszawa, Lisboa, Bucuresti, Bratislava, Ljubljana, Madrid, Barcelona, Sweden, Switzerland, Skopje, Ankara, Istanbul, Dnipropetrovs'k, Kyiv, L'viv, Odesa, Simferopol, Scottish, London	Continental high density	Homogeneous ATM area Within this area, there are nine initiatives to implement the functional airspace block (FAB) concept, regulated by the European Commission Regulation No 176/2011 with 6 December 2012 as the mandatory date of implementation for the European Union States. It is expected that this concept will evolve and further refinement will be provided after full implementation in December 2012.
AR3	Europe to North America	Amsterdam, Bruxelles, Bremen, Langen, Munich, London, Scottish, Shannon, Paris, Reims, Brest, Madrid	Continental high density	Major traffic flow linking Europe to North America via North Atlantic
AR4	Western Europe to Far East Asia via trans-polar transit routes	Core Area, Bodø, Bodo Oceanic, Oslo, Stavanger, Trondheim, Tampere, Rovaniemi, Russian Federation (TBD), Japanese FIRs	Continental high density/continental low density	Major traffic flow via ATS routes north of 50°N The Russian Federation is undergoing a phased approach to FIR consolidation that will be completed in 2015. The names of the FIRs concerned in this AR will be finalized in late 2014.

Area of routing (AR)	Traffic flows	Area involved	Type of area covered	Remarks
AR5	Western Europe to Far East Asia via trans-Siberian transit routes	Core Area, Minsk, Warszawa, Tallinn, Riga, Vilnius, Tampere, Rovaniemi, Russian Federation (TBD), Japanese FIRs	Continental high density/continental low density	Major traffic flow via ATS routes between 45°N and 65°N The Russian Federation is undergoing a phased approach to FIR consolidation that will be completed in 2015. The names of the FIRs concerned in this AR will be finalized in late 2014.
AR6	North America to Eastern Europe, Middle East and Asia via cross-polar transit routes	Søndrestrøm, Reykjavik, Russian Federation (TBD), Anchorage, Canadian FIRs, Ulaanbaatar, Chinese FIRs	Continental low density/oceanic low density	Major traffic flow linking North America with Eastern Europe, Middle East and Asia via ATS routes west of 60°E The Russian Federation is undergoing a phased approach to FIR consolidation that will be completed in 2015. The names of the FIRs concerned in this AR will be finalized in late 2014.
AR7	North America to Southeast Asia via trans-eastern transit routes	Anchorage, Canadian FIRs, Russian Federation (TBD), Chinese FIRs	Continental low density/oceanic low density	Major traffic flow linking North America with Southeast Asia through the airspace of the Russian Federation including ATS routes east of 60°E The Russian Federation is undergoing a phased approach to FIR consolidation that will be completed in 2015. The names of the FIRs concerned in this AR will be finalized in late 2014.
AR8	Europe to Central and Southeast Asia via trans-Asian transit routes	Tallinn, Riga, Vilnius, Tampere, Rovaniemi, Minsk, Aktau, Aktyubinsk, Almaty, Astana, Kyzylorda, Shymkent, Bishkek, Osh, Russian Federation (TBD) Ulaanbaatar, Chinese FIRs	Continental low density	Major traffic flow linking European States with North, Central and Southeast Asia, via ATS routes west of 140°E The Russian Federation is undergoing a phased approach to FIR consolidation that will be completed in 2015. The names of the FIRs concerned in this AR will be finalized in late 2014.

Area of routing (AR)	Traffic flows	Area involved	Type of area covered	Remarks
AR9	Europe to Middle Asia via Asian transit routes	Dnipropetrovs'k, Kyiv, L'viv, Odesa, Simferopol, Ashgabat, Dashoguz, Turkmenabat, Turkmenbashi, Aktau, Aktyubinsk, Almaty, Astana, Kyzylorda, Shymkent, Bishkek, Osh, Dushanbe, Ankara, Istanbul, Yerevan, Tbilisi, Baku, Samarkand, Tashkent, Nukus, Russian Federation (TBD), Tehran, Kabul	Continental low density	Major traffic flow via ATS routes linking European States with Middle Asia, south of 50°N The Russian Federation is undergoing a phased approach to FIR consolidation that will be completed in 2015. The names of the FIRs concerned in this AR will be finalized in late 2014.

AIR TRAFFIC FORECASTS, SYSTEM CAPACITY AND AIR TRAFFIC DEMAND

15. Regional traffic forecasting mainly supports regional ATM planning functions in the western part of the region and is made available to all States for which information is prepared. All States generally prepare individual forecasts, taking account of the regional information, for national planning purposes. This information should be shared through at least the sub-regional groupings to enable effective regional planning development.

16. The scope of Air Traffic Flow and Capacity Management (ATFM) is one of attempting to balance the twin imperatives of Demand and Capacity. Within this scope, the goal is to enable flight punctuality and efficiency having regard to the available resources with the emphasis on optimising the network capacity. This should be achieved through a robust and comprehensive collaborative decision-making process that will enable widespread dissemination of relevant and timely information to all airspace users.

IMPLEMENTATION STRATEGY

17. Doc 9570 – the Global Air Navigation Plan describes a planning methodology that enables the incorporation of Regions/States existing development plans to create an evolutionary path towards a global ATM system. The Global ANP is supported by planning tools which take various formats (e.g. software applications, planning documentation, web-based reporting forms, project management tools). As EUR States and sub-regions consider implementation of the initiatives, they should use common programmers templates such as those contained in the planning tools as the basis to establish performance objectives and implementation timelines as well as to develop a comprehensive schedule and programme of planning activities to accomplish the work associated with the initiatives. In addition, the planning tools will provide links to relevant guidance material and documentation in order to assist the planner throughout the planning process. This will ensure a uniform approach to implementation of the initiatives.

18. Plans should be underpinned by the safety management process.

APPENDIX C

EUR ANP, VOLUME I, BASIC ANP

PART IV - AIR TRAFFIC MANAGEMENT (ATM)

(updated version date: 27 December 2011)

Remarks

This part was presented to and endorsed by EANPG/52 (November 2010). It has been updated following EANPG 53 (November 2011).

Broadly based on the NAT ANP ATM Section format with the following outline:

- a) First part details the ATM Concept and associated component requirements;
- b) Sets out the current and developing requirements that will be required during transition to the ATM Concept;

Note: text is more detailed than envisaged as it was necessary to include verbatim the amendment proposal (Serial No: EUR/NAT 09/19-ATM) concerning flexible use of airspace developed by the FUA Task Force, as endorsed by EANPG/51. This has influenced the overall style and level of detail of this part.

- c) Includes reference to ICAO Annexes and Documents where SARPS should be followed;

Note: detailed cross references to annexes and document paragraph numbers have been omitted to avoid out-of-date referencing when ICAO Documents are amended.

- d) Does not refer to specific implementation programmes.

Note: It is intended to include these in the corresponding ATM part in the FASID with electronic programme links to enable the reader to access the level of detail required; this will facilitate the ability to more easily keep the document up to date.

- e) Performance material developed by the EANPG COG Performance Task Force has been included.

Further action to be taken:

1. Specific implementation programmes to be included in ATM Part of FASID.
2. Paragraphs related to specific GPI to be reviewed when new update of Global ANP (Doc 9750) issued.
3. Paragraphs related to Traffic Synchronisation and Monitoring to be reviewed in light of introduction of 4-D Navigation.
4. Paragraphs under Airspace Structure to be updated with references to the FASID and/or electronic database.
5. Paragraph related to Areas of responsibility for which ATFM is provided by the EUROCONTROL CFMU (Brussels) and the International Air Navigation Service "East" to be updated with cross reference to relevant attachment in FASID.
6. Paragraph related to Flight Information Service and VOLMET to be updated with cross reference to relevant table in FASID.

EUR ANP, VOLUME I, BASIC ANP

PART IV - AIR TRAFFIC MANAGEMENT (ATM)

(updated version date: 27 December 2011)

INTRODUCTION

1. This part of the European Region Basic Air Navigation Plan introduces the long-term EUR Region ATM requirements based on the Global ATM Operational Concept. While the operational concept is visionary and even challenging, many of the current practices and processes detailed in the BORPC will continue to exist throughout the planning horizon. In this sense, the introduction of the new concepts should be seen as evolutionary. Following the description of the Concept, this Part provides detail on the ATM requirements during the transition to the ATM Concept's Operational Components. Description of specific delivery programmes and associated electronic links are contained in the ATM element of the FASID.

2. The Standards, Recommended Practices and Procedures to be applied are contained in:

- a) Annex 2 — Rules of the Air;
- b) Annex 6 — Operation of Aircraft;
- c) Annex 11 — Air Traffic Services;
- d) *Procedures for Air Navigation Services — Air Traffic Management* (Doc 4444);
- e) *Procedures for Air Navigation Services — Aircraft Operations* (Doc 8168);
- f) *Regional Supplementary Procedures* (Doc 7030) – EUR Region; and
- g) *European Secondary Surveillance Radar (SSR) Code Management Plan* (EUR Doc 023).

ATM OPERATIONAL CONCEPT COMPONENTS

General

3. To achieve the Global ATM Operational Concept, improvements to the ATM system should be based on the provision of integrated services by means of the concept components described below. The separate components form one system. Figure 1, depicts the interrelationship of the system components and the convergence into a single system.

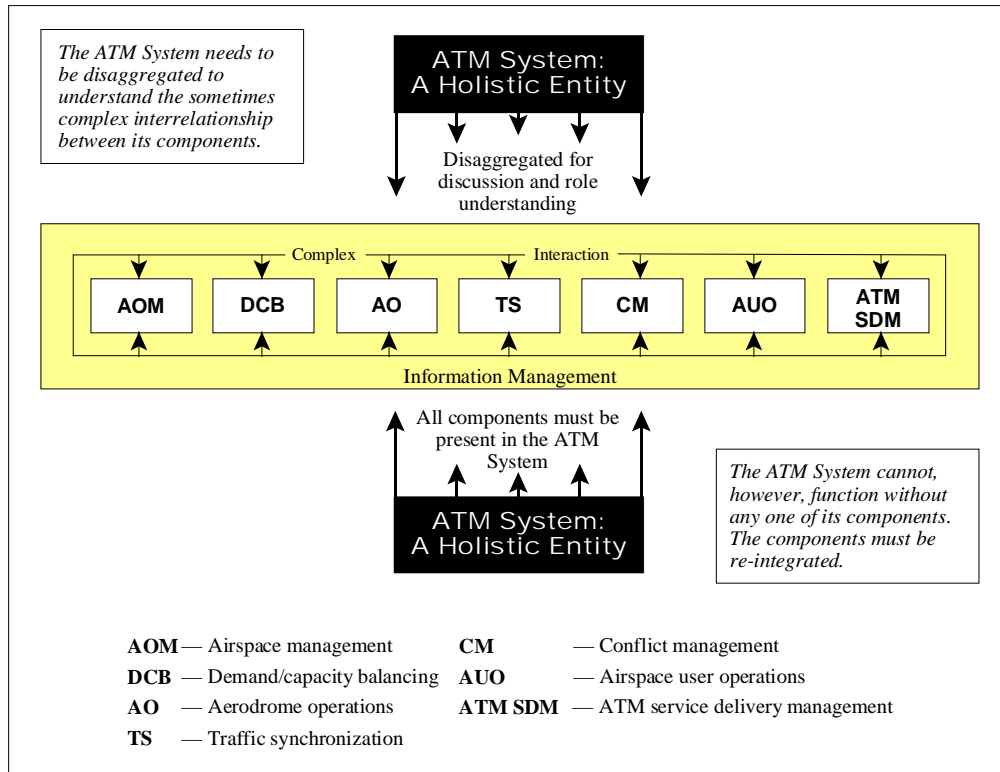


Figure 1.

4. The transition to adoption of the new concepts should be an iterative process underpinned by satisfactory cost benefit analysis. ATM improvements planned prior to the adoption of the Global ATM Operational Concept should not necessarily be abandoned as they should provide short to medium term system wide improvements; they should, however, be assessed for compatibility with the Global ATM Operational Concept to avoid nugatory expense.

5. The ATM concept components introduced above are described in more detail as follows:

Airspace Organisation and Management

6. Airspace organisation will establish airspace structures in order to accommodate the different types of air activity, volume of traffic and differing levels of service. Airspace management is the process by which airspace options are selected and applied to meet the needs of the ATM community. Key conceptual changes include:

- a) all airspace will be the concern of ATM and will be a usable resource;
- b) airspace management will be dynamic and flexible;
- c) any restriction on the use of any particular volume of airspace will be considered transitory; and
- d) all airspace will be managed flexibly. Airspace boundaries will be adjusted to particular traffic flows and should not be constrained by national or facility boundaries.

Aerodrome operations

7. As an integral part of the ATM system, the aerodrome should provide the needed ground infrastructure including, *inter alia*, lighting; taxiways; runway, including exits; and precise surface guidance to improve safety and to maximize aerodrome capacity in all weather conditions. The ATM system will enable the efficient use of the capacity of the aerodrome airside infrastructure. The key conceptual changes include:

- a) runway occupancy time will be reduced;
- b) the capability to safely manoeuvre in all weather conditions whilst maintaining capacity;
- c) precise surface guidance to and from a runway will be required in all conditions; and
- d) the position (to an appropriate level of accuracy) and intent of all vehicles and aircraft operating on the movement area will be known and available to the appropriate ATM community members.

Demand and capacity balancing

8. Demand and capacity balancing will strategically evaluate system-wide traffic flows and aerodrome capacities to allow the airspace users to determine when, where and how they operate, while mitigating conflicting needs for airspace and aerodrome capacity. This collaborative process will allow for the efficient management of the air traffic flow through the use of information on system-wide air traffic flow, weather and assets. The key conceptual changes include:

- a) through collaborative decision-making at the strategic stage, assets will be optimized to maximize throughput thus providing a basis for predictable allocation and scheduling;
- b) through collaborative decision-making, at the pre-tactical stage when possible, adjustments will be made to assets, resource allocations, projected trajectories, airspace organization, and allocation of entry/exit times for aerodromes and airspace volumes to mitigate any imbalance; and
- c) at the tactical stage, actions will include dynamic adjustments to the organization of airspace to balance capacity; dynamic changes to the entry/exit times for aerodromes and airspace volumes; and adjustments to the schedule by the users.

Traffic synchronization

9. Traffic synchronization refers to the tactical establishment and maintenance of a safe, orderly and efficient flow of air traffic. The key conceptual changes include:

- a) (where traffic density/complexity allows) there will be dynamic 4-D trajectory control and negotiated conflict-free trajectories;
- b) Choke points will be eliminated; and
- c) optimization of traffic sequencing will achieve maximization of runway throughput.

Conflict management

10. Conflict management will consist of three layers: strategic conflict management through airspace organization and management, demand and capacity balancing and traffic synchronization; separation provision; and collision avoidance.

11. Conflict management will limit, to an acceptable level, the risk of collision between aircraft and hazards. Hazards that an aircraft will be separated from are: another aircraft, terrain, weather, wake turbulence, incompatible airspace activity and when the aircraft is on the ground, surface vehicles and other obstructions on apron and manoeuvring area. The key conceptual changes include:

- a) strategic conflict management will reduce the need for separation provision to a designed level;
- b) the ATM system will minimize restrictions to user operations; therefore, the pre-determined separator will be the airspace user, unless safety or ATM system design requires a separation provision service;
- c) the role of separator may be delegated, but such delegations will be temporary;

Note. The separator is the agent responsible for separation provision for a conflict and can be either the airspace user or a separation provision service provider.

- d) in the development of separation modes, separation provision intervention capability must be considered;
- e) the conflict horizon will be extended as far as procedures and information permit; and
- f) collision avoidance systems are part of ATM safety management, but will not be included in determining the calculated level of safety required for separation provision.

Airspace user operations

12. Airspace user operations refer to the ATM-related aspect of flight operations. The key conceptual changes include:

- a) accommodation of mixed capabilities and worldwide implementation needs will be addressed to enhance safety and efficiency;
- b) relevant ATM data will be used for an airspace user's general, tactical and strategic situational awareness and conflict management;
- c) relevant airspace user operational information will be made available to the ATM system;
- d) individual aircraft performance, flight conditions, and available ATM resources will allow dynamically-optimised 4-D trajectory planning;
- e) collaborative decision-making will ensure that aircraft and airspace user system design impacts on ATM are taken into account in a timely manner; and

- f) aircraft will be designed with the ATM system as a key consideration.

ATM service delivery management

13. ATM service delivery management will operate seamlessly from gate-to-gate for all phases of flight and across all service providers. The ATM service delivery management component will address the balance and consolidation of the decisions of the various other processes/services, as well as the time horizon at which, and the conditions under which these decisions are made. Flight trajectories, intent and agreements will be important components to delivering a balance of decisions. The key conceptual changes include:

- a) services to be delivered by the ATM service delivery management component will be established on an as-required basis subject to ATM system design. Where services are established they will be provided on an on-request basis;
- b) ATM system design will be determined by collaborative decision-making and system-wide safety and business cases;
- c) services will be delivered by the ATM service delivery management component through collaborative decision-making, balance and optimise user-requested trajectories to achieve the ATM community's expectation; and
- d) management by trajectory will involve the development of an agreement that extends through all the physical phases of the flight.

INFORMATION MANAGEMENT

14. The global ATM system foreseen in the operational concept was based on a collaborative decision-making environment where the timely availability of high-quality and reliable electronic aeronautical, meteorological, airspace and flow management information would be necessary. Thus a key enabler to ensure the effectiveness of the ATM System is the provision of information services through the concept of Information Management. Information management will provide accredited, quality assured and timely information used to support ATM operations.

15. The exchange and management of information used by the different processes and services must ensure the cohesion and linkage between the seven ATM system concept components shown in Figure 1 above and should be available through a system wide information management (SWIM) system.

ATM IN THE TRANSITION TO THE CONCEPT

16. During the transition to achieving the ATM Concept the following ATM elements should be provided:

Airspace Organization and Management

17. The airspace organization should provide the strategies, rules and procedures by which the airspace will be structured to accommodate the different types of air activity, volume of traffic, and differing levels of service and rules of conduct. The principles of organization should be applicable in all complexities of airspace. Airspace management is the process by which the airspace options are selected and applied to

meet the needs of the ATM community. The following organizational principles underlying these strategies, rules and procedures should be adopted:

- a) all airspace should be managed flexibly. Airspace boundaries should be adjusted to particular traffic flows and should not be constrained by national or facility boundaries;
- b) airspace management processes should, subject to system capability, safety and capacity, accommodate dynamic flight trajectories and provide optimum system solutions;
- c) when conditions require that different types of traffic be segregated by airspace organization, the size, shape and time regulation of that airspace should be set to minimize the impact on operations. However, aircraft neither operating in that particular mode, nor equipped accordingly for such airspace, should be accommodated by the system where deemed safe and appropriate. Accommodation should be made without constraining the primary use of that airspace;
- d) priority for the use of specific airspace should not be constrained by the primary usage or equipage on a routine basis. While it is recognized that airspace designation is useful, it should not be organized in a manner that permanently precludes the possibility of mixed usage/mixed equipage operations;
- e) airspace use should be coordinated and monitored in order to accommodate the conflicting legitimate requirements of all users and to minimize any constraints on operations;
- f) airspace reservations should be planned in advance with changes made dynamically whenever possible. The system should also accommodate unplanned requirements;
- g) structured route systems should be applied only where required to enhance capacity or to avoid areas where access has been limited or where hazardous conditions exist; and
- h) airspace structures and division levels should be harmonised.

Civil/Military Coordination

Note 1 - Annex 11 contains provisions on civil- military coordination and Annex 15 contains provisions for the promulgation of the relevant AIS by the competent authority responsible for the provision of ATS in the area within which the operations will take place.

Note 2 - The application of the FUA over the high seas is without prejudice to the rights and duties of States regarding access to high seas airspace under the Chicago Convention. Articles 3 a) and d) to the Chicago Convention apply.

Note 3 - The FUA provisions are not mandatory for application by States. They are intended to be a method to ensure maximum harmonisation of the application of the FUA in the EUR Region.

18. States should aim at the creation of one single integrated system catering to both civil and military requirements. The related organization of the airspace should satisfy the requirements of all users in an optimum way.

19. States should establish civil/military coordination bodies to ensure, at all levels, the coordination of decisions relating to civil and military problems and airspace and traffic management (paragraph xx above refers).

20. States should arrange for close liaison and coordination between civil ATS units and relevant military operational control and/or air defence units in order to ensure integration of civil and military air traffic or its segregation, if required. Such arrangements would also contribute to the reduction or elimination of the need for interception of strayed or unidentified aircraft.

21. Military exercises likely to affect civil flight operations should be scheduled, whenever possible, so as not to coincide with peak periods of civil air traffic and/or not to affect areas where a high density of civil air traffic occurs.

Flexible Use of Airspace (FUA)

(GPI-1 Refers)

22. Airspace should not be designated as either purely civil or purely military airspace, but should rather be considered as one continuum in which all users' requirements have to be accommodated to the maximum extent possible.

23. States should apply the flexible use of airspace concept whenever:

- a) activities require the reservation of a volume of airspace for their exclusive or specific use for determined periods due to the characteristics of their flight profile or their potential hazards and the need to ensure effective and safe separation from non-participating air traffic;
- b) different types of aviation activities occur in the same airspace but with different requirements. Their coordination should seek to achieve both the safe conduct of flights and the optimum use of available airspace;
- c) accuracy of information on airspace status and on specific air traffic situations, and timely distribution of this information to civil and military controllers and controlling military units has a direct impact on the safety and efficiency of operations; and
- d) timely access to up-to-date information on airspace status is essential for all parties wishing to take advantage of airspace structures made available when planning their flights.

Flexible Use of Airspace Over The High Seas

24. The flexible use of airspace concept also covers airspace over the high seas. Its application should therefore be without prejudice to the rights and duties of States under the Convention on International Civil Aviation (Chicago Convention) and its annexes, or the 1982 UN Convention on the Law of the Sea (UNCLOS).¹

25. Regulations governing flights of State aircraft over the high seas should, to the maximum extent practicable, comply with the relevant provisions of Annex 2. Where this is not possible due to the nature

¹ Turkey is not a signatory to the UNCLOS and their position is well known and remains unchanged.

of the operations involved, measures should be taken to ensure that other aircraft are not endangered by such operations. These should preferably be established in coordination with the State responsible for the provision of air traffic services over that part of the high seas affected by such operations.

Airspace Structure

(Chart ATS 1)

26. The EUR airspace infrastructure should evolve to meet the changing demands of the aviation community. Provider States should coordinate their airspace planning to balance the conflicting but legitimate requirements of all users in order to efficiently provide sufficient capacity to meet traffic demands, to ensure optimum utilisation, to ensure compatibility with their respective neighbours and to guarantee the safety of flight.

27. Flight Information Regions (FIR). Parameters of EUR Region FIRs are detailed in the **xxxxx**. A State may delegate to another State the responsibility for establishing and providing air traffic services in flight information regions, over the territories of the former or make arrangements for the provision of services within high seas airspace for which it has responsibility. Such arrangements should be considered when safety or capacity benefits can be achieved.

28. Functional Airspace Blocks (FAB). The establishment of FABs, such as those established to accord with the EU Regulations on the Single European Sky, is not in itself subject to the process for amendment of ANPs. However, should changes to the FIR boundaries or to the facilities and services provided be required at a later stage, such changes might be subject to the ANP amendment procedure and should therefore be examined on a case-by-case basis. Pursuant to Article 83 of the ICAO Convention, agreements or arrangements for FABs are subject to registration with ICAO in accordance with the applicable Rules in ICAO Doc 6685. Established FAB agreements within the EUR Region are detailed in (**electronic database**).

29. Controlled airspace should be established so as to encompass the climb to cruising level of departing aircraft, the cruising levels on ATS routes normally used by IFR flights and the descent from such levels of arriving aircraft, except in those cases where the type and density of traffic clearly do not justify the establishment of controlled airspace.

30. The vertical limits and classification of airspace should be as follows:

- a) the vertical limits for all control areas established in the EUR Region be:
 - 1) upper limit — unlimited; Controlled airspace up to a harmonised flight level and all uncontrolled airspace above be Class G.
 - 2) lower limit - ATS provided in various airspace volumes should be based on the ICAO classification of airspaces as defined in Annex 11 — *Air Traffic Services* (i.e. Class A to G), and those classifications should be implemented on the basis of a safety assessment, taking into account the volume and nature of the air traffic.

Details of airspace parameters within FIRs should be shown in respective national Aeronautical Information Publications.

31. States should adopt a common division level between upper and lower airspace; airspace classifications above the division level should be harmonised. (GPI- 4 refers). Details of EUR Region Airspace Classifications are contained in the FASID/electronic database.

32. ATS routes and organised track structures should be provided to meet ATM requirements. States should to the extent possible coordinate with the ICAO Regional Office any changes to the airspace structure, the assignment of or changes to compulsory reporting points and ATS routes; route and reporting point designators should be obtained from the ICARD Global Database. Details of ATS Routes and designators within the EUR Region are contained in the FASID/electronic database.

33. Dynamic and flexible ATS route management should be provided when ATM and aircraft capabilities can safely accommodate such arrangements. (GPI-7 refers)

34. Airspace restrictions and/or temporary airspace reservations for specific users or purposes should only be imposed when the intended purpose cannot be met by other arrangements. If established, such restrictions and/or reservations should be kept to the minimum, both in extent and duration consistent with the purpose they serve and should be withdrawn as soon as possible. In addition, any restricted and/or reserved airspace should be made available for general use whenever the activities having led to their establishment are temporarily suspended, e.g. during weekends, at night, etc.

35. Where users have specific requirements in portions of the airspace extending over the territory of a number of States and/or over the high seas, arrangements should be made between States concerned for the coordinated use of airspace, facilities and procedures in order to ensure maximum uniformity.

Separation

36. Reduced vertical separation minima above FL285 will be used throughout the EUR Region airspace. (GPI-2 refers).

37. The introduction of Performance Based Navigation and RNP equipped aircraft is expected to enable reductions in separation minima and route spacing. The extent of this improvement has yet to be assessed.

Air Traffic Flow Management (ATFM)

38. Efforts should be made to provide sufficient capacity to cater to both normal and peak traffic levels, without jeopardizing safety levels. ATFM should aim for capacity management and the optimization of the efficiency of the global ATM system, by ensuring that capacity is utilized to the maximum extent possible. (GPI-6 refers)
39. ATFM should be applied for periods when it is expected that the air traffic demand will be close to or will exceed the ATC capacities in the areas concerned.
40. For most of the EUR region, the Air Traffic Flow Management System (ATFM) of the EUR Region (ASTER) is provided by either EUROCONTROL through the Central Flow Management Unit (CFMU) (Brussels) or by the Russian Federation through the International Air Navigation Service “East”.
41. States within the EUR region whose ATFM services are currently not provided through ASTER should provide ATFM, as required, in accordance with the agreed provisions applicable to the EUR region (See Para 40).
42. Detailed information concerning the provision of ATFM services applicable in the EUR region are contained in the EUR FASID and the Regional Supplementary Procedures (Doc 7030) — EUR.
43. The areas of responsibility for which ATFM is provided by the EUROCONTROL CFMU (Brussels) and the International Air Navigation Service “East” are listed in Attachment xx to Part IV — ATM of the EUR FASID.

AIR TRAFFIC SERVICES

Air traffic control service

44. The ATC Service should maintain a safe, orderly and expeditious flow of air traffic by applying separation between aircraft and by issuing clearances to individual flights as close as possible to their preferred profiles, taking into account the actual state of airspace utilization and within the general framework of ATFM measures when applicable. Air traffic control service should be provided on a 24-hour basis in all controlled airspace used by international operations both during the en-route and the terminal phases of their flight.

Flight information service

45. Flight information service should be provided for the purpose of giving advice and information useful for the safe and efficient conduct of flights.

46. The requirements for flight information services are not expected to change significantly in the near term and the provision of VOLMET would continue to be required. It is, however, expected that data link messages will gradually reduce the requirement for voice VOLMET. The delivery of critical information such as SIGMET messages and other information equally pertinent to the safety of flight should be improved by the existence of data links (EUR FASID Table ATS xx).

Alerting Service

47. Alerting service should be provided for the notification of appropriate organizations regarding aircraft in need of Search and Rescue (SAR) aid and assisting such organizations as required. In addition, data links should be established, where appropriate, between the ATS units and Rescue Coordination Centres to support the SAR function (Part VI — SAR also refers).

SSR CODE MANAGEMENT

Enhanced Originating Region Code Assignment Method (e-ORCAM)/Centralised SSR Code Assignment and Management System (CCAMS)

48. Within the context of ATM and the provision of ATS, SSR code management is a key element of ATM to ensure continuous, unambiguous aircraft identification. SSR codes have a finite limit and without management results in capacity constraints and aircraft delays. SSR code management within the EUR Region is achieved via e-ORCAM or CCAMS. States should ensure their systems are compliant with the technical requirements of whichever of these systems is adopted. Detailed procedures and technical requirements on these systems can be found in ICAO EUR Doc 023- *European Secondary Surveillance Radar (SSR) Code Management Plan*.

MONITORING

(See also Part VIII – Safety)

Lateral Plane

49. Monitoring of navigation performance is required for two reasons:

- a) demonstrated “typical” navigation accuracy provides a basis for determining whether the performance of the ensemble of aircraft operating on the RNAV routes meets the required performance; and
- b) the lateral route spacing and separation minima necessary for traffic operating on a given route are determined both by the core performance and upon normally rare system failures.

50. Both lateral performance and failures need to be monitored in order to establish the overall system safety and to confirm that the ATS system meets the required target level of safety.

51. Radar observations of each aircraft’s proximity to track and altitude are typically noted by ATS facilities and aircraft track-keeping capabilities are analyzed.

52. A process should be established allowing pilots and controllers to report incidents where navigation errors are observed. If an observation/analysis indicates that a loss of separation or obstacle clearance has occurred, the reason for the apparent deviation from track or altitude should be determined and steps taken to prevent a recurrence.

53. States should investigate navigation errors which are brought to the attention of operators and/or where necessary the State of Registry of the aircraft concerned with the least possible delay.

Vertical Plane

54. RVSM. System performance monitoring should be undertaken to ensure that the continued operation of RVSM meet the safety objectives. (ICAO Doc 9574 – *Manual on Implementation of a 300 m (1000 ft) Vertical Separation Minimum Between FL290 and FL410 Inclusive, Chapter 6*).

PERFORMANCE MEASURING

55. The EANPG COG Performance Task Force has developed initial performance objectives and associated indicators relating to capacity; efficiency and the environment; and cost effectiveness. Performance objectives and indicators will continue to be developed with details provided in the FASID. The initial objectives and indicators are shown below:

Capacity

56. The indicators identified to monitor the achievement of this objective are:

- 1) En-route ATFM delays a) Average ATFM delay per flight generated by the airspace volume (en-route)
- 2) Airport ATFM delays a) Average ATFM delay per flight in the main airports (to be identified by States in advance and based on the regional relevance)

Efficiency and Environment

57. The Efficiency and Environment KPAs have been considered together because in this context they are strictly interlinked.

58. The objective for Efficiency is: ensure that users use the most efficient routes – focussing on the horizontal flight-efficiency. The indicator identified to monitor the achievement of this objective is:

- 1) Average horizontal en route flight efficiency, defined as the difference between the length of the en route part of the actual trajectory (where available) or last flight planned route and the great circle.

59. In this context specificities shall be considered for flights longer than 1000 nm where the optimum could differ from the great circle (wind optimal routes, etc).

60. The objective for Environment is: contribute to the protection of environment – focussing on fuel savings/CO2 emission reductions. The indicator identified for the achievement of this objective is:

- 1) CO2 emissions deriving from inefficiencies in flight efficiency (conversion of additional distance into CO2 emissions based on standard values formula).

61. Discussion within the Task Force highlighted that future developments of the framework will have to consider the impact of aviation noise on environment.

Cost-effectiveness

62. The objective for cost-effectiveness is: contribute to optimise the costs for air navigation services – focussing on productivity. The indicators identified to monitor the achievement of this objective are:

- 1) IFR flights (en-route) per ATCO hour on duty;

- 2) IFR flight hours per ATCO hour on duty; and
 - 3) IFR movements (airport) per ATCO hour on duty.
-

APPENDIX D

EUR ANP, VOLUME I, BASIC ANP

PART VIII - SAFETY (SAF)

*(initial version date: 06 October 2010
updated 27 December 2011)*

Remarks

This part was presented to and endorsed by EANPG/52 (November 2010). The material has been updated following EANPG/53 (November 2011).

This is a new ANP chapter and provides an overview of aviation safety and associated requirements that aviation stakeholders should consider when planning and delivering aviation services.

The introduction underlines that this Part refers to safety matters associated with navigation services, ATM/CNS and the work of the EANPG.

Whilst it states the overarching requirements of the Global Aviation Safety Plan (GASP) and associated global safety initiatives, this has been included to show the contribution the safe delivery of navigation services makes to the ICAO global strategic safety objective.

To ensure there is no confusion with Global Safety Initiatives (GSI), the term “regional safety initiative (RSI)” has been replaced with “regional safety objective (RSO)”. This term better describes what will be developed as a safety objective to overcome identified deficiencies or gaps. These can equally be considered as regional performance objectives in the safety arena as they should be readily measurable. The initial EANPG COG Performance Task Force safety objectives and indicators have been included; these will be routinely updated with details provided in the FASID.

Further action to be taken:

1. Update will be required following the work that will be done by the European Regional Aviation Safety Group (RASG-EUR).
2. Performance indicators to be reviewed.

EUR ANP, VOLUME I, BASIC ANP

PART VIII - SAFETY (SAF)

(initial version date: 06 October 2010
updated 27 December 2011)

INTRODUCTION

1. This Part has been provided to show the overarching link with safety in the planning and delivery processes associated with air navigation services and associated CNS/ATM systems. This air navigation safety related material is a component element of the wider aviation safety and its associated requirements that aviation stakeholders (includes States, regulators, aircraft and airport operators, air traffic service providers, aircraft manufacturers, approved maintenance organisations, international organizations and safety organizations) should consider when planning and delivering aviation services. It reflects ICAO safety targets and details the European Region Air Navigation Plan related Safety Objective that will contribute to achieving the ICAO Strategic Safety Objectives. Finally, it highlights the significant safety requirements States should adopt, which will contribute to the safe delivery of air navigation services.
2. ICAO Doc 9859 - *Safety Management Manual* describes safety as a state in which the possibility of harm to persons or property damage is reduced to, and maintained at or below, an acceptable level through a continuing process of hazard identification and risk management.

ICAO Strategic Safety Objective

3. ICAO's first Strategic Objective is to 'enhance global civil aviation safety'. To contribute to this ICAO has committed to enhance global civil aviation safety through the following measures:
 - i) Identify and monitor existing types of safety risks to civil aviation and develop and implement an effective and relevant global response to emerging risks;
 - ii) Ensure the timely implementation of ICAO provisions by continuously monitoring the progress toward compliance by States;
 - iii) Conduct aviation safety oversight audits to identify deficiencies and encourage their resolution by States;
 - iv) Develop global remedial plans that target the root causes of deficiencies.
 - v) Assist States to resolve deficiencies through regional remedial plans and the establishment of safety oversight organizations at the regional or sub-regional level;
 - vi) Encourage the exchange of information between States to promote mutual confidence in the level of aviation safety between States and accelerate the improvement of safety oversight;
 - vii) Promote the timely resolution of safety-critical items identified by regional Planning and Implementation Groups (PIRGs);
 - viii) Support the implementation of safety management systems across all safety-related disciplines in all States; and
 - ix) Assist States to improve safety through technical cooperation programmes and by making critical needs known to donors and financial organizations.

Global Aviation Safety Plan

4. Global Safety Initiatives (GSI), targeted at stakeholders, have been developed to support the implementation of the ICAO Strategic Safety Objective and other safety objectives that might be established by regions. The GSI and their main target groups are as follows:(New set of GSIs under developments)!!

GSI	Initiative	Main Stakeholders	Comments
GSI-1	Consistent implementation of international standards and industry best practices	States	
GSI-2	Consistent regulatory oversight	States	
GSI-3	Effective errors and incidents reporting	States	
GSI-4	Effective incident and accident investigation	States	
GSI-5	Consistent coordination of regional programmes	ICAO Regional Office States	
GSI-6	Effective errors and incidents reporting and analysis in the industry	Industry	
GSI-7	Consistent use of Safety Management Systems (SMS)	Industry	
GSI-8	Consistent compliance with regulatory requirements	Industry	
GSI-9	Consistent adoption of industry best practices	Industry	
GSI-10	Alignment of industry safety strategies	Industry	
GSI-11	Sufficient number of qualified personnel	Industry	
GSI-12	Use of technology to enhance safety	Industry	

5. Stakeholders should incorporate GSIs into their relevant planning processes. The EANPG (RASG?) will monitor the implementation progress of all navigation related GSI.

A Global Strategy for Aviation Safety

6. The attainment of a safe system is the highest priority in aviation. However, safety actions are not only driven by facts and data but also by the perception of safety needs by the public. Acceptable safety risk is related to the trust attributed to the aviation safety system, which is undermined every time an accident occurs. Therefore the challenge is to drive an already low accident rate even lower. To guide its work, ICAO has established the following safety target.

7. **ICAO Safety Target for 2008-2011 (check for update - it will be 2012 before this document is published)**

1. Reduce the number of fatal accidents and fatalities worldwide irrespective of the volume of air traffic.
2. Achieve a significant decrease in accident rates, particularly in regions where these remain high.

3. No single ICAO region shall have an accident rate* more than twice the worldwide rate by the end of 2011.

** Based on a five-year sliding average*

8. To achieve this safety target, aviation stakeholders should be proactive in ensuring that safety considerations are an inherent element of the development of policies, plans, practices and procedures. Moreover, whilst in the past, Authorities have concentrated on analysing accidents to identify future preventive measures; it is now considered that both regulators and industry must similarly manage safety critical information to both, identify gaps in compliance and develop strategies to rectify these as a means of preventing future accidents.

9. To support ICAO Safety targets, the EANPG¹ will develop Regional Safety Objectives in respect of air navigation related deficiencies????.

EUR Region Safety Objectives???

10. The EANPG will continue in according its highest priority to the identification, reporting and resolution of the safety related air navigation deficiencies based on the Uniform Methodology adopted by the ICAO Council. The EANPG List of Deficiencies should not be regarded as a “name and blame” list, but as an important mechanism aimed at assisting States to resolve deficiencies through a collaborative effort of the EANPG, the ICAO Regional Office, States and the users’ organizations. In order to expedite the resolution of safety related deficiencies, the EANPG, in accordance with its terms of reference, will endeavour to develop further efficient and transparent procedures related to the identification and reporting of deficiencies, in consultation with all stakeholders concerned, and to provide effective assistance to States in developing corrective actions. The process for EANPG management of safety related???? deficiencies is detailed in the EANPG Handbook.

11. Analysis of the ICAO Universal Safety Oversight Audit Program (USOAP)² reports of States of the ICAO EUR Region, and safety related deficiencies identified through the EANPG process, provides a sound basis for identifying the main areas where action is required to reduce the potential contributory factors that could lead to accidents. These could also include initiatives to support States in the implementation of new requirements such as the State Safety Programme.

12. Safety Objectives are by their nature dynamic and the detail of these will be shown in the FASID. Examples of expected EUR Region Safety Objectives (EUR-RSO) are shown below:

¹ EANPG COG Performance Task Force.

² USAOP will be replaced by a Continuous Monitoring Approach process.

EUR-RSO	Initiative	Main Stakeholders	Comments
RSO-1	Consistent implementation of ICAO amendments to SARPS and other ICAO Documents	States	Example only
RSO-2	Support the implementation of State Safety Programmes (SSP).	ICAO Regional Office States	Example only
RSO-3	Develop Safety Key Performance Indicators (KPIs) and associated safety performance objectives.	ICAO Regional Office States	Example only

13. The implementation of EUR RSO, in addition to addressing navigation related matters, will in some cases also contribute to addressing wider aviation safety related deficiencies.

14. The EANPG will continue to provide oversight of EUR Region deficiencies and will provide assistance on a case-by-case basis. The ICAO Regional Office will continue to provide courses and workshops on safety related topics such as safety management, state safety programme development and language proficiency.

Performance Management

15. The EANPG COG Performance Task Force has developed performance indicators, initially aiming to ensure the improvement of safety through the reduction of ATM related safety occurrences and the implementation of uniform safety standards.

15.1 The indicators identified to monitor the achievement of those objectives are:

- a) Effectiveness of Safety Management (measured by a methodology based on ATM safety framework maturity survey);
- b) Level of State Safety/Just Culture (safety culture survey); and
- c) Adoption of a harmonized occurrences severity classification methodology.

15.2 Performance objectives will continue to be developed with details provided in the FASID.

State Responsibilities

Safety Oversight

16. States should ensure they meet their duties and responsibilities in respect of aviation safety oversight. Detailed description and guidance is contained in *ICAO Doc 9734 - Safety Oversight Manual*.

Standards and Recommended Practices

17. Adherence to ICAO Standards and Recommended Practices (SARPS) will significantly contribute to aviation safety. States should therefore ensure that they have the necessary regulatory framework in place to underpin the adoption of ICAO SARPS within their State and its national airspace. States should ensure that any differences to SARPS have been assessed in respect of safety and are notified in accordance with ICAO requirements.

State Safety Programme

18. ICAO Standards require States to establish a State Safety Programme (SSP) in order to achieve an Acceptable Level of Safety (ALoS). They also explicitly require States to establish an ALoS to be achieved as a means to verify satisfactory performance of the SSP and service providers' Safety Management Systems (SMS).

19. The requirement for an SSP recognizes that States as well as service providers have safety responsibilities and provides a framework within which service providers are required to establish an SMS.

20. Detailed guidance on SSP requirements and methodology are contained in ICAO Doc 9859 – *Safety Management Manual*.

21. States are requested to notify the ICAO Regional Office when they publish their national SSP.

Safety Management System

22. ICAO Standards require States to establish a Safety Management System (SMS)?????. The EANPG thus encourages States to:

- a) develop and implement, if they have not already done so, safety programmes requiring air operators, aerodrome operators and air traffic service providers??? to implement safety management systems;
- b) use relevant ICAO safety management system (SMS) implementation documentation (global or regional);
- c) undertake aggregated safety analysis at a national level;
- d) if appropriate, use applicable certification process to verify if safety management systems meet the established requirements and criteria; and
- e) expedite the safety management training of their staff at the regulatory and regulated entities' levels, taking advantage of the SMS training offered by ICAO.

Safety Reporting

23. ICAO Standards require States to establish a mandatory accident reporting system and an incident reporting system to facilitate collection of information on actual or potential safety deficiencies. ICAO further recommends that States should establish a voluntary incident reporting system to facilitate the

collection of information that may not be captured by a mandatory incident reporting system; this latter system should be non-punitive and afford protection to the sources of the information. Guidance related to both mandatory and voluntary incident reporting systems is contained in the *Safety Management Manual* (SMM) (Doc 9859).

24. The EANPG thus encourages States to:
- a) develop and implement non-punitive reporting mechanisms as part of their safety programme;
 - b) adopt the following enabler elements, to make best use of existing mandatory and voluntary data flows whilst, strengthening the “safety culture” within their legal and organizational environments:
 - i) a unique aviation taxonomy such as the ICAO ADREP 2000 model, and the EUROCONTROL HEIDI model (Harmonisation of European Incident Definition Initiative for ATM);
 - ii) a harmonised safety reporting and investigation process; and
 - iii) software tools capable to support a systemic analysis and to allow the sharing of safety intelligence.
 - c) provide required airspace safety monitoring data to the European Regional Monitoring Agency.
25. Reported material will contribute to the future development of EUR Region safety objectives.
-

APPENDIX E

EUR ANP, VOLUME I, BASIC ANP

PART IX – HUMAN RESOURCES AND TRAINING (HR&TNG)

(version date: 16 November 2011)

Remarks

This part was presented to and endorsed by EANPG/53 (November 2011).

This is a new Chapter which reflects the planning and training elements that need to be considered by all those responsible for the regulation, supervision and provision of air navigation services within the wider context of planning for future aviation sector personnel.

Human Resource planning is considered on the basis of Doc 9956 - *Global and Regional 20-year Forecasts*, developed by ICAO to provide the aviation sector with an informed forecast for the period 2010-2030 relating to: air transport development – traffic, movement and fleet growth; pilot; maintenance; and air traffic controller personnel requirements. In this respect both global and EUR Region forecasts are reflected.

The Training element provides information on ICAO Training Policy and latest developments in respect of ICAO's TrainAir Plus initiative. Reference to access the Aviation Training Directory of ICAO is provided.

Lastly, the related EUR/NAT Office support to the European Region and support from States are shown.

EUR ANP, VOLUME I, BASIC ANP

PART IX – HUMAN RESOURCES AND TRAINING (HR&TNG)

(version date: 16 November 2011)

Introduction

1. This part of the **European** Region Basic Air Navigation Plan reflects the planning and training elements that need to be considered by all those responsible for the regulation, supervision and provision of air navigation services within the wider context of planning for future aviation sector personnel.
2. Human Resource planning can be considered *the systematic and continuing process of analysing an organisation's human resource needs under changing conditions and developing personnel policies appropriate to the longer-term effectiveness of the organisation. It is an integral part of corporate planning and budgeting procedures since human resource costs and forecasts both affect and are affected by longer-term corporate plans.*¹
3. Whilst not described in this Chapter, State regulators, supervisory authorities, air transport operators, and air navigation service providers should be aware of the importance of Human Factors considerations when delivering a safe aviation environment. In this respect human resource planning should be cognisant of the varying aptitude and skill sets needed to meet the demands of the increasingly technical environment comprised by the aviation sector.
4. Human resources development and management must strive to continuously improve the competency levels of safety critical personnel, while taking into account the interdependencies for supply and demand of qualified personnel at national, regional and global levels. Estimating current and future requirements for civil aviation personnel and training capacity in **each region** is essential for human resource planning, institutional capacity building, and related funding and policy measures.

Next Generation of Aviation Professionals

5. Doc 9956 - *Global and Regional 20-year Forecasts* has been developed to provide the aviation sector with an informed forecast for the period 2010-2030 relating to: air transport development – traffic, movement and fleet growth; pilot; maintenance; and air traffic controller personnel requirements. The forecast shows both global and regional requirements. This study is ICAO's initial response to the market demand and is the first in a series that will provide data, analyses, and forecasts to all key players of the aviation industry.
6. Air Transport is forecast to grow globally by 4.7% during the period 2010-2030. Within the **EUR Region** the average growth is forecast to be **4.1%**. Doc 9956 provides significantly more detail, however, analyses indicates that the most likely scenario of training needs against training capacity within the ICAO **EUR Region** results in an annual shortage of over **7000 pilots, 8000 maintenance personnel and 300 air traffic controllers**.
7. It has been recognised that as the aviation industry emerges from a difficult economic situation, changing demographics and new technologies with far reaching potential will intensify human resource challenges. In this context it becomes urgent to review existing regulations and propose a new regulatory

¹ Defined by the UK Institute of Personnel and Development

environment for the recruitment, education, training, and retention of the next generation of aviation professionals who must be appropriately educated and suitably qualified to staff an increasingly technical aviation environment.

ICAO CIVIL AVIATION TRAINING POLICY

Scope

8. ICAO, recognizing its role in ensuring that the civil aviation community has access to an adequate pool of qualified professionals to support the safe, secure and sustainable development of air transport, has committed to the development of the necessary Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS), air transport policies, advice and guidance material. The framework for this is elaborated in the ICAO Civil Aviation Training Policy.
9. The training policy is applicable to all training provided by ICAO Bureaus, Regional Offices and training organizations issuing a certificate of completion or a certificate of achievement with an ICAO logo.
10. Seminars and workshops aimed at informing States and other stakeholders of ICAO SARPs, PANS, air transport policies and guidance material and at facilitating their implementation are not considered as aviation training, education or testing for the purpose of this policy.
- 11.
12. The ICAO Civil Aviation Training Policy is shown in full at Appendix 1 to this Part.

ICAO TRAINAIR Plus

13. The ICAO TRAINAIR Programme was established to ensure higher training standards for aviation professionals. The civil aviation training needs are evolving rapidly and ICAO is responding by enhancing the TRAINAIR programme into TRAINAIR *PLUS*.
14. TRAINAIR *PLUS* is an ICAO programme that provides support for new and existing aviation training centers via technical expertise, resources, and quality oversight. This results in a network of ICAO TRAINAIR *PLUS* Centres meeting the standards of the programme.
15. The TRAINAIR *PLUS* programme's objectives are:
 - i) Streamline, and facilitate the implementation and the development of the TRAINAIR methodology used in Standardized Training Packages (STP) courses;
 - ii) Coordinate and supply technical support for STP development courses;
 - iii) Provide quality control throughout the STP development stage;
 - iv) Operate an international STP sharing system and cooperative training network;
 - v) Oversee the certification of endorsed training centres.
16. The TRAINAIR *PLUS* Programme is based on rebuilding three interrelated tools:
 - i) The use of standardized training material.
 - ii) The development of an international pool of training courses.

- iii) The creation of an international sharing network between public and private Civil Aviation Training Centres.

17. TRAINAIR PLUS addresses all fields of civil aviation activities: from basic equipment and systems training supporting new implementation projects up to graduate level courses for a variety of civil aviation professionals.

18. Details of ICAO accredited training institutions and courses can be found in the Aviation Training Directory of ICAO accessible at <http://www.icao.int/anb/peltrg/td/listall.cfm>.

ICAO EUR Region Support

19. The **EUR/NAT Office** of ICAO provides support to States through provision of workshops and seminars on a range of topical aviation subjects. **Additionally, ICAO familiarisation** courses and are routinely provided to **EUR** Region States.

20. ICAO also offers internship positions established to support young aviation professionals to obtain experience with ICAO.

State Support

21. States, aviation carriers, maintenance organisations and ANSPs are requested to regularly provide statistical data on human resources and training requirements as shown in Doc 9956 - *Global and Regional 20-year Forecasts* Appendices 1-3.

22. States should:

- i) Adequately resource regulatory bodies (particularly following separation between regulation and service provision). In this respect States may wish to consider secondment arrangements with airlines and ANSPs to provide current operational expertise to inform policy and regulatory development;
- ii) Provide appropriately experienced representatives to **EANPG and its COG** and associated working groups/task forces;
- iii) Encourage aviation providers to develop links with higher education providers to foster interest in careers in aviation;
- iv) Develop regulatory frameworks that will enable free movement of aviation professionals;
- v) Provide or facilitate aviation training resources.

Appendix 1
PART IX – HUMAN RESOURCES AND TRAINING (HR&TNG)

ICAO CIVIL AVIATION TRAINING POLICY

Scope

1. ICAO has an important role to play in ensuring that the civil aviation community, and especially States, have access to the pool of qualified professionals they need to support the safe, secure and sustainable development of air transport.
2. ICAO's role shall essentially be achieved through the facilitation, support and harmonization of efforts made by States and industry; the development of Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS), and air transport policies; and the provision of advice and guidance material.
3. The training policy is applicable to all training provided by ICAO Bureaus, Regional Offices and training organizations issuing a certificate of completion or a certificate of achievement with an ICAO logo.
4. Seminars and workshops aimed at informing States and other stakeholders of ICAO SARPs, PANS, air transport policies and guidance material and at facilitating their implementation are not considered as aviation training, education or testing for the purpose of this policy.
5. All ICAO training and testing activities shall be designed, developed and offered in accordance with set standards and best practices for that discipline.

Basic principles

6. The training policy shall be in compliance with Assembly Resolution A36-13 Appendix H and all other Assembly Resolutions dealing with training, recognizing that aviation training is the responsibility of the States and that ICAO should not participate in the operation of training facilities but should encourage and advise operators of such facilities.
7. Training delivery is considered as a support function and not as a core function of ICAO. It shall only be undertaken when it is determined that:
 - a) it is necessary to support States in the implementation of ICAO SARPs, PANS, air transport policies and guidance, the rectification of identified deficiencies, or another ICAO activity; or
 - b) it can promote and foster ICAO's strategic objectives and produce adequate revenue to ensure self-sustainability without affecting ICAO's capability to carry out its core functions.
8. Aviation training activities provided by a third party using the ICAO name or logo shall meet the following requirements:
 - a) be in direct support of the strategic objectives of ICAO;
 - b) be in full compliance with ICAO SARPs, PANS, air transport policies and guidance;
 - c) use of the ICAO logo will be in full conformity with the policies concerning the use of the logo; and

- d) be subjected to an appropriate ICAO endorsement mechanism.
9. The intellectual property of ICAO shall be protected.
 10. No harm to ICAO's reputation shall result from training activities provided by a third party using the ICAO name or logo.
 11. Training activities provided by ICAO may be charged in accordance with paragraph 7.7 of The *ICAO Financial Regulations* (Doc 7515). This charge, together with interest earnings or earnings from investments thereon, shall be used to fund training activities or reimburse all, or part, of the costs incurred by ICAO in the generation, promotion and administration of these training and testing services.
 12. Training activities provided by ICAO may be funded using either funds provided by Member States or organizations or funds generated by ICAO's own activities.

Implementing policy

13. Aviation training mentioned in the basic principles above includes any training or related testing activities undertaken directly by ICAO or by a third party using the ICAO name or logo.
14. The use of the ICAO name or logo for training or testing activities undertaken by a training institution shall be subject to an ICAO endorsement mechanism.

Endorsement

15. ICAO may endorse any training activity and/or facility which meet established requirements.
 16. ICAO also reserves the right to withdraw endorsement of any training activity and/or facility which fails to meet those established requirements.
 17. An ICAO endorsement indicates that the delivered training programmes, facilities and instructors meet the criteria of quality and relevance needed to ensure that the skills and knowledge necessary to implement SARPs are provided.
 18. The endorsement indicates that training programmes, facilities and instructors are managed in such a way as to effectively support learning for performance improvement.
 19. Endorsement is used to extend ICAO's ability to implement key activities derived from strategic objectives involving training and testing. Institutions endorsed for a training activity remain responsible for fully meeting ICAO requirements.
 20. Endorsement will be granted only after an assessment conducted by ICAO confirms that established requirements are met.
 21. The full costs related to endorsement will be borne by the State or institution.
-

APPENDIX F

EUR ANP, VOLUME I, BASIC ANP

PART X - CONTINGENCY PLANNING (CPLN)

(version date 9 November 2011)

Remarks

This part was presented to and endorsed by EANPG/53 (November 2011).

The text contains an overview of policy and requirements that States and air navigation service providers should consider in preparing contingency plans to maintain the provision of services in airspaces for which they are responsible.

Note: Reference has not been made to a corresponding text in the Facilities and Services Implementation Document (FASID).

EUR ANP, VOLUME I, BASIC ANP

PART X - CONTINGENCY PLANNING (CPLN)

(version date 9 November 2011)

INTRODUCTION

1. ICAO Annex 11 states that “Air traffic services authorities shall develop and promulgate contingency plans for implementation in the event of disruption, or potential disruption, of air traffic services 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. ICAO Annex 17 states that “Each Contracting State shall ensure that contingency plans are developed and resources made available to safeguard civil aviation against acts of unlawful interference. The contingency plans shall be tested on a regular basis.”

Note. State Aviation Security (AVSEC) planning is outside of the scope of the Air Navigation Plan. Detailed security contingency arrangements should be undertaken through a State’s AVSEC arrangements and appropriately coordinated where such plans have an impact on the provision of air navigation service or availability of airspace.

3. This Part provides an overview of the main ICAO requirements and guidance that States and air navigation service providers (ANSP) should consider in preparing contingency plans to maintain the provision of services in airspaces for which they are responsible. The **Chapter** does not provide guidance on Business Continuity planning, which is anticipated to be aligned, at least in part, with State and ANSP contingency planning considerations.

4. The Standards, Recommended Practices and Procedures to be applied are contained in:

- a) Annex 11 — *Air Traffic Services*;
- b) Annex 17 – *Security*;
- c) *Air Traffic Management (PANS-ATM)* – ICAO Doc 4444;
- d) *Regional Supplementary Procedures* – ICAO Doc 7030;
- e) *Air Traffic Services Planning Manual* – ICAO Doc 9426;
- f) *Manual on Volcanic Ash, Radioactive Material and Toxic Chemical Clouds* – ICAO Doc 9691;
- g) *International Airways Volcano Watch* - ICAO Doc 9766;
- h) *Volcanic Ash Contingency Plan* - ICAO EUR Doc 019;
- i) *ICAO Assembly Resolution A37-13, Appendix M - Delimitation of Air Traffic Services (ATS) Airspaces* – ICAO Doc 9958.

5. Contingency plans may constitute a temporary deviation from the approved regional air navigation plans; such deviations are approved, as necessary, by the President of the ICAO Council on behalf of the Council.

6. The effects of disruption of services in particular portions of airspace are likely to affect significantly the services in adjacent airspace. In this respect States should co-ordinate with neighbouring States in the

development and implementation of contingency plans, which in some cases may be developed on a sub-regional basis.

7. Examples of events of disruption, or potential disruption, of air traffic services and related supporting services or unavailability of airspace for civil air operations, that should be covered in general contingency plans or initial development of special contingency plans are:

- a) Natural disasters such as earthquakes resulting in loss of support facilities;
- b) Volcanic ash events requiring closure or restrictions to airspace;
- c) Industrial action necessitating accommodation of international traffic or humanitarian access to airports;
- d) Armed conflict or acts of unlawful interference with civil aviation resulting in closure of national airspace; and
- e) Catastrophic loss of air traffic services or supporting services.

EUR REGION RESPONSIBILITIES

8. ICAO will initiate and coordinate appropriate contingency action in the event of disruption of air traffic services and related supporting services affecting international civil aviation operations provided by a State in the event that the authorities cannot adequately discharge their responsibility for the provision of such services to ensure the safety of international civil aviation operations. In such circumstances, ICAO will work in coordination with States responsible for airspace adjacent to that affected by the disruption and in close consultation with international organizations concerned.

9. Regional contingency plans (e.g. Volcanic Ash Contingency Plan) will be developed, approved and maintained by **EANPG** with the support of ICAO and other institutions.

10. ICAO will initiate and coordinate appropriate guidance to contingency action at the request of States.

11. ICAO is available to assist States in the development and co-ordination of State or sub-regional contingency plans affecting adjacent EUR and other region airspaces.

12. ICAO will be available for monitoring developments that might lead to events requiring contingency arrangements to be developed and applied and will, as necessary, assist in the development and application of such arrangements.

13. During the emergence of a potential crisis, a coordinating team will be established in the Regional Office(s) concerned and at ICAO Headquarters in Montreal, and arrangements will be made for competent staff to be available or reachable 24 hours a day.

GENERAL CONSIDERATIONS

14. Safety. Contingency Plans should be developed using the same safety management system approach utilised for normal operations.

15. **ATFM**. Within the EUR Region ATFM is managed through CFMU West (Eurocontrol) and CFMU East (Moscow). It is considered these organisations will play an important role in any contingency arrangements and it is recommended they are involved as appropriate in the development of national contingency plans.

16. Human Resources. Contingency planning may require the relocation of personnel or disruption to established working patterns. Human Resource personnel should be involved in Contingency Planning throughout the process.

17. Training, testing and exercising. By their very nature it is not expected that contingency plans will be activated on a routine basis. In this respect, the strict adherence to the safety management system process during the development of a contingency plan should ensure that ATS contingency procedures are inherently safe to activate. State Authorities and ANSPs are recommended to ensure that relevant staffs are familiar with contingency plan procedures. Whilst large scale exercises of such plans may be impractical, States/ANSPs should consider running desk-top exercises to ensure that the management of a contingency activation can be effectively conducted. Testing of equipment that is planned to be used should be undertaken on a planned basis to ensure that it meets the envisaged operational requirement.

STATE RESPONSIBILITIES

18. States should establish a contingency plan covering all possible situations that would cause disruption to air traffic flow in the airspace of its responsibility. It is the State's responsibility to coordinate with other States who are expected to provide the support services in the event of a contingency situation.

19. The Contingency Plan should be prepared in advance and submitted to ICAO Headquarters as necessary through the EUR/NAT Region Office for review and approval by the President of the ICAO Council on behalf of the Council. In this respect contingency plans that affect regional arrangements detailed in the EUR ANP or adjacent States should be submitted for approval. Contingency plans developed to cater for a local outage such as a failure of facilities causing localised disruption not affecting the Regional ANP need not be submitted for ICAO Approval; States may, however, provide details of such plans to the EUR/NAT Region Office.

20. The contingency plan should be updated at regular intervals as required.

21. It is recognized that in some cases the short time required for approval of implementation of a contingency plan may be insufficient, e.g. in case of natural disasters. Implementation of a contingency plan (without changes) prior to approval of that implementation may be necessary. However, in such cases ICAO should be informed immediately.

22. States should register with ICAO any aeronautical agreements between a Contracting State and any other State.

APPENDIX G

EUR ANP, VOLUME I, BASIC ANP

PART XI - ENVIRONMENT (ENV)

(Updated version date: 28 December 2011)

Remarks

This part was endorsed by EANPG/53. It incorporates EANPG/53 Flimsy 3, which provided up to date information on Environmental tools and models. EANPG/53 WP9 detailing the introduction of IFSET and ICAOs request for states to measure and report operational improvement planning and implementation has been incorporated. Minor editorial corrections were made in December 2011.

An initial draft was presented to EANPG/52 (November 2010). Since then the material has been further developed and provides an overview of ongoing work to mitigate the impact of aviation on the environment. The Chapter discusses a wide range of initiatives, including some outside of the traditional PIRG area of responsibility e.g. research and development of alternative fuel. These have been shown to demonstrate the efforts across the entire aviation spectrum in respect of the sustainable development of aviation.

The Part highlights areas where PIRGS can directly influence the adoption of measures to improve the efficiency of air navigation including adoption of *performance based navigation* and improved *civil/military co-ordination* thus facilitating the flexible use of airspace.

Lastly, the Part reflects the performance objective and associated metric developed by the EANPG COG Performance Task Force.

Further action to be taken:

1. Table of environmental tools and modeling techniques in the Appendix may be considered to be part of the FASID as work progresses.

EUR ANP, VOLUME I, BASIC ANP

PART XI - ENVIRONMENT (ENV)

(Updated version date: 28 December 2011)

Introduction

1. The need to minimise the environmental impact of aviation in Europe is well recognized. Environmental challenges are present in every aspect of civil aviation and they need to be tackled in order to mitigate adverse impacts that can limit aviation growth.
2. Each State should have an appropriate basis for the development of an aviation *environmental policy and strategy* and the environmental issues which have to be considered in any planning activities. The environment related material provided in this chapter, and its associated requirements, should be considered by aviation stakeholders (including States, regulators, aircraft and airport operators, air traffic service providers, aircraft manufacturers, approved maintenance organisations, international organizations and environment organizations) when planning and delivering aviation services.. It reflects the ICAO environment goals and targets elaborated in the ICAO Action Programme on climate protection and details the European Region Air Navigation Plan related environment initiatives that will contribute to achieving the ICAO Strategic *Environmental Protection and Sustainable Development* Objective. Finally, it highlights the significant environment requirements States should adopt in their delivery of navigation services.

ICAO Strategic Objective *Environmental Protection and Sustainable Development*

3. ICAO's third Strategic Objective is related to *Environmental Protection and Sustainable Development of Air Transport*. Thus, ICAO fosters *harmonized and economically viable development of international civil aviation that does not unduly harm the environment*.
4. To contribute to this vision ICAO has committed to minimize the adverse environmental effects of global civil aviation activity, notably aircraft noise and aircraft engine emissions, through the following means:
 - a. Providing measures to:
 - i) limit or reduce the number of people affected by significant aircraft noise;
 - ii) limit or reduce the impact of aircraft engine emissions on local air quality; and
 - iii) limit or reduce the impact of aviation greenhouse gas emissions on the global climate.
 - b. Working with other international bodies, in particular the UN Framework Convention on Climate Change (UNFCCC) to address aviation's contribution to global climate change.

ICAO: Environmental Mandate and Activities

5. In matters of environmental protection, ICAO establishes Standards and Recommended Practices (SARPS), and policies and guidance for international civil aviation.
6. The CAEP (**Committee on Aviation Environmental Protection**), a technical committee of ICAO, is charged with developing and establishing rules and recommending measures to reduce the environmental impact of aviation. CAEP supports ICAO in the development of environmental standards for the certification of aircraft as well as guidance material on airport planning and management, operational procedures and market-based measures to reduce aviation's impact on the environment. The existing state of scientific knowledge and realistic approaches on noise, air quality and climate impacts of aviation may be used to facilitate informed policy decisions. Actions to address environmental impact may also take account of the interdependency between aircraft noise and emissions. CAEP also promotes the use and further development

of harmonised tools and best practices. The practical information provided by CAEP can be used by States to estimate the environmental impact of aviation and identify measures to mitigate it. The ICAO Secretariat which supervises CAEP work also coordinates environmental activities with other UN bodies such as the United Nations Environment Programme (UNEP), UNFCCC and the World Meteorological Organisation (WMO).

ICAO related Environmental Fields and Activities:

- a) **Certification:** SARPs development related to aircraft noise certification and aircraft engine emissions certification.
- b) **Noise:** Noise abatement operational procedures; Land-use planning and management; Operation restrictions to minimize aircraft noise; Aircraft noise scenarios; Aircraft noise modelling; Aircraft noise charges policies.
- c) **Fuel:** Fuel efficiency; Alternative fuels.
- d) **Air quality:** Local air quality; Local air quality emissions charges.
- e) **Emissions /Climate change:** Aircraft emissions scenarios; Aircraft emissions modelling; Market-based measures to reduce emissions; Emissions trading; Voluntary agreements; Aviation's impact on the upper atmosphere; Climate change; Ozone depletion.

ICAO Global Strategy for Aviation Environment/Targets

7. The global strategy of the aviation industry is focused on reducing the contribution of aviation to climate change; this strategy is translated as fuel management and emissions cuts. Industry's ambitious goals can only be achieved through collective efforts. Accordingly, the global aviation strategy to reduce carbon emissions was confirmed by the 37th ICAO Assembly. This historic agreement formalized strategy targets to continuously improve CO₂ efficiency by an average of 2 % per annum from 2009 until 2020, to achieve carbon neutral growth from 2020 and reduce its carbon emissions by 50% by 2050 compared to 2005 levels.

The Environment Roadmap

8. The ICAO Environmental Roadmap provides a framework to better understand aviation environmental priorities, including performance indicators and long-term targets. Steps to achieve the emissions reduction target(s) are related to investments in new technology, the building and use of an efficient infrastructure; operating aircraft effectively and economic measures (i.e. Emissions Trading Scheme; voluntary measures).

9. The ICAO Council was asked to regularly assess the present and future impact of aircraft noise and aircraft engine emissions and to continue the development of tools for this purpose. Knowledge of the interdependencies and trade-offs related to measures to mitigate the impact of aviation on the environment are continuously maintained and updated. In 2009, an ICAO Global Framework for Aviation Alternative Fuels (GFAAF) was established.

States and International Organisations Involvement

10. States and international organizations are invited to provide the necessary scientific information and data to enable ICAO to validate its work related to environment.

11. The Global Framework on International Aviation and Climate Change and ICAO Assembly Resolution A37-19: *Consolidated statement of continuing ICAO policies and practices related to environmental protection - Climate Change* specify that addressing greenhouse gas (GHG) emissions from international aviation requires the active engagement and cooperation of States and industry. States **are requested** to support ICAO on measuring progress through the reporting of annual data on traffic and fuel consumption.

12. States **are advised** to refrain from environmental measures that would adversely affect the orderly and sustainable development of international civil aviation.

Action Plans on CO2 Emissions Reduction

13. According to the ICAO Assembly Resolution A37-19, States **are encouraged** to submit to ICAO their Action Plans outlining their respective policies and actions, and annual reporting on international aviation CO2 emissions.. The Action Plans should include information on measures considered by States and information on any specific assistance needs. Where emissions reductions are achieved through Market Based Measures (MBMs), they should be identified in States' emissions reporting. **ICAO Regional offices** can provide additional assistance on this matter.

14. In order to achieve the goals related to climate change, States should put an emphasis on increasing fuel efficiency through all aspects of the ICAO Global Air Navigation Plan (**Doc 9574???**), and all stakeholders are encouraged to develop an air traffic management system that maximises environmental benefits. States **are also encouraged** to promote and share best practices applied at airports to reduce the adverse effects of GHG emissions produced by civil aviation operations.

ICAO EUR Region Environmental Objectives/Goals

15. **The European Air Navigation Planning Group (EANPG)** expects States to ensure environmental factors are taken into consideration when developing CNS/ATM systems implementation plans.

16. States in the **EUR** region are encouraged to *adopt best practices* from other States and international organisations (UNFCCC; WMO; IATA, ACI).

17. The **EANPG** will promote implementation measures for CO2 reduction, with a focus on fuel efficiency and new operational practices. **Appropriate Performance Indicators will be developed.**

18. States **are urged** to adopt a balanced approach to noise management, taking full account of ICAO guidance (Doc 9829 – *Guidance on the Balanced Approach to Aircraft Noise Management*), relevant legal obligations, existing agreements, current laws and established policies, when addressing noise problems at their international airports.

Current Practices

19. Current practices include the development and implementation of fuel efficient routings and procedures to reduce aviation emissions. Investments in research and development should be accelerated to bring to market more efficient technology by 2020. Aviation stakeholders should accelerate their efforts to achieve environmental benefits through the implementation of performance based navigation that would improve the efficiency of air navigation.

Performance Based Navigation (PBN) Implementation

20. PBN environmental benefits are significant, and can be quantified case-by case. Airlines that take full advantage of PBN routinely accumulate benefits from reduced fuel burn and greenhouse gas emissions, improved schedule reliability and increased safety. It should be noted that 3.15 kg of CO2 emissions are eliminated for every 1 kg of fuel saved through shorter and vertically optimized flight paths. IATA estimates that globally, shorter PBN routes could cut CO2 emissions by 13 million tonnes per year.

21. In the approach phase, obstacle clearance and environmental constraints can be better accommodated by creating optimized tracks based on PBN. PBN also offers environmental benefits by saving fuel and reducing CO2 emissions. Flying down the middle of a defined flight path means less throttle activity and better avoidance of noise-sensitive areas.

22. (this is reflected under PBN in the CNS Part)

23. States are requested to continue to develop civil/military co-ordination to enhance the Flexible Use of Airspace, which will contribute to more direct routing with a commensurate saving in fuel and associated emissions.

Global and Regional Initiatives

NextGen

24. A strategic approach to proactively manage environmental issues is a central element of the United States' Federal Aviation Administration (FAA) NextGen programme. The FAA expects environmental benefits from NextGen systems and procedures to help offset the environmental impact from the expected growth of flight operations. The programme is focusing on minimising delays and carbon emissions, while maximising safety and savings. The target is that by 2018 delays will be reduced by 35% and fuel use by 5.7 billion litres cumulative. CO₂ emissions are expected to be reduced by 14.1 million tons cumulative through the implementation of NextGen's five pillar approach which includes the use of alternative fuels, accelerated ATM improvements and operational efficiencies.

SESAR

25. Single European Sky ATM Research (SESAR) is the operational and technological dimension of the Single European Sky initiative. SESAR seeks to reduce the environmental impact per flight by 10% without compromising safety and with clear capacity and cost efficiency targets in mind.

26. The efficiency gains made possible by the implementation of SESAR will enable *the reduction of the environmental impact of every movement in European airspace and at European airports*. The enhancements in air traffic management through the optimisation of flight trajectories have the potential to trim down the cumulative in-flight CO₂ emissions up to 2020 by around 50 million tons.

27. SESAR is focused on showing tangible results every year. In many airports in Europe, initiatives such as 'green' approaches are already being introduced – especially in densely populated areas where the reduction of noise and the improvement of local air quality are highly appreciated.

28. SESAR will introduce the so-called '4D trajectory' when developing new and more efficient air- and ground systems as well as procedures. Optimised air traffic management will lead to emissions savings in all phases of flight.

AIRE

29. The Atlantic Interoperability Initiative to Reduce Emissions (AIRE) is an example of how the SESAR and NextGen programmes work collaboratively on an international basis to substantially accelerate the pace of change in reducing the environmental impact of air transport. A total of 1152 trials lead to savings of an amount of 390 tons of CO₂ per flight. The two first complete (gate-to-gate) green transatlantic flights from Charles de Gaulle to Miami included enhanced procedures to improve the aircraft's energy efficiency.

ALTERNATIVE AVIATION FUEL

30. One means to accelerate the reduction of aviation CO₂ emissions is the development of sustainable aviation alternative fuels. This sector is supported by research and development, followed by investments in new feedstock cultivations and production facilities, as well as incentives to stimulate commercialisation and use of sustainable alternative fuels for aviation. Therefore, the use of alternative fuels is also one aspect to be considered in planning activities.

Environment Guidance and Existing Tools

31. The ICAO Council was tasked to establish a set of aviation environmental tools which States could use to implement their policies and evaluate the performance of aviation operations and the effectiveness of standards, policies and measures to mitigate aviation's impacts on the environment. This work progresses and a number of tools and models have been introduced. Additionally, some States and international organisations have developed their own environmental tools and models. Consequently, several options are available for States and their aviation stakeholders to assess or predict the environmental impact due to aircraft operations. Some examples are illustrated below:

- Noise: AEDT/MAGENTA; AEDT/NIRS; STAPES; SONDEO.
- Air Quality: ADMS; AEDT/EDMS; ALAQS; LASPORT; PEGAS.
- Climate Change: AEDT/SAGE; AEM III; AERO2K; FAST; ICAO carbon calculator; IFSET.
- Cost benefit analysis (economics): APMT Economics; NO_x-CSM.
- Performance: BADA.
- Forecasting air traffic growth: FOM; FESG traffic forecast.

32. A list of available and developing tools and models with a short explanation of their purpose/capability is shown at Appendix 1 to this [Chapter](#).

33. Market-Based Measures are among the elements of a comprehensive mitigation strategy to address greenhouse gas emissions from international aviation that are being considered by ICAO. Market-Based Measures include: *emissions trading*, emission related levies - charges and taxes, and emissions offsetting; all of which aim to contribute to the achievement of specific environmental goals, at a lower cost, and in a more flexible manner, than traditional command and control regulatory measures. States are invited to use the *Guidance on the Use of Emissions Trading for Aviation* (Doc 9885). This material supports the incorporation of international aviation emissions into States emissions trading schemes, consistent with the United Nations Framework Convention on Climate Change process. It focuses on aviation-specific issues, identifies options and offers potential solutions. A global CO₂ Standard for aircraft (aiming for 2013) is under development at present.

34. On the noise side, the *Balanced Approach to Aircraft Noise Management* (Doc 9829) aims to provide States with advice and practical information on managing the noise impact and achieve maximum environmental benefit in the most cost-effective manner. Its implementation relies on four principle elements: reduction of noise at source, land-use planning and management, noise abatement operational procedures and operating restrictions on aircraft. They are linked to tools and procedures useful to assess the noise situation: noise contours, noise index, baseline, management plans, etc.

35. Assembly Resolutions A37-18 – “*Consolidated statement of continuing ICAO policies and practices related to environmental protection — General provisions, noise and local air quality*” and A37-19 – “*Consolidated statement of continuing ICAO policies and practices related to environmental protection - Climate change*” constitute the consolidated statement of continuing ICAO policies and practices related to environmental protection and illustrate, *inter-alia*, new guidance on operational measures to reduce international aviation emissions.

36. Other relevant ICAO Documents:

- *Report of the Seventh Meeting of the Committee on Aviation Environmental Protection (CAEP) (Doc 9886)*;
- *Report of the Independent Experts on the LTTG NO_x Review and Medium and Long Term Technology Goals for NO_x (Doc 9887)*;
- *Noise Abatement Procedures: Review of Research, Development and Implementation Projects - Discussion of Survey Results (Doc 9888)*;
- *Airport Air Quality Guidance Manual (Doc 9889)*;
- *Recommended Method for Computing Noise Contours Around Airports (Doc 9911)*;
- *Report of the ICAO Conference on Aviation and Alternative Fuels, Rio de Janeiro, Brazil, 16-18 November 2009 (Doc 9933)*;

- *Report of the Independent Experts on the Medium and Long Term Goals for Aviation Fuel Burn Reduction from Technology* (Doc 9963); and
- *Global Air Navigation Plan* (Doc 9750), Attachment H – “Environmental Benefits Associated with CNS/ATM Systems Implementation”.

Measuring Performance through Environmental Performance Indicators

37. Aviation stakeholders will measure their performance through environmental key performance indicators (EPI). EPIs are linked to safety and capacity key performance indicators (KPI) and most of them are under development. **Three types of EPI are recognised at present:**

- **Management Performance Indicators (MPI), which provide management information on how efforts to improve environmental performance are working;**
- **Operational Performance Indicators (OPI), which provide information about operational performance; and**
- **Environmental Condition Indicators (ECI), which provide information on environmental impact, and can be used to help an organisation understand its actual or potential environmental impacts (ISO 2000).**

38. **For airlines and airports, there is a large number of published EPIs, although there is *little consensus* on a common suite for benchmarking and subsequent use across Europe.**

39. **In their present form the EPIs produced in airline and airport environmental reports do not provide a means of comparing relative environmental (or social) performance. Co-ordinated action at an industry level is required to develop consistent interpretations of agreed KPIs and EPIs. Information on KPIs can be found in the *Global Air Traffic Management Operational Concept* (Doc9854), in EUROCONTROL’s work on SES II Performance Scheme, and in the Performance Framework of the SES ATM Master Plan.**

40. The 37th Assembly, Resolution A37-19 called upon States to develop and implement procedures to reduce aviation emissions. The implementation of operational improvements will generally have benefits in areas such as improved airport and airspace capacity, shorter cruise, climb and descend times through the use of more optimized routes, and an increase of unimpeded taxi times. The importance of such information on the savings, which reflects the efforts made by the whole aviation industry in reducing fuel consumption, flight time, mileage and its impact on the environment (CO₂ emissions), have been already identified by States at various regional meetings.

41. **The EANPG** has endorsed ICAO’s request that all States/ANSPs in the **EUR** Region start reporting the benefits to ICAO as they plan or implement any type of operational improvement. States will be notified by ICAO of the mechanism of reporting fuel savings benefits.

42. Whilst ICAO has developed the IFSET Tool to provide a means of capturing fuel savings stemming from operational improvements, **States may use other advanced model or measurement capabilities to fulfil the reporting requirement.**

43.

Efficiency and Environment

44. **The Efficiency and Environment KPAs have been considered together because in this context they are strictly interlinked.**

45. **The objective for Efficiency is: ensure that users use the most efficient routes – focussing on the horizontal flight-efficiency.**

46. The indicator identified to monitor the achievement of this objective is:

1) Average horizontal en route flight efficiency, defined as the difference between the length of the en route part of the actual trajectory (where available) or last flight planned route and the great circle.

47. In this context specificities shall be considered for flights longer than 1000 nm where the optimum could differ from the great circle (wind optimal routes, etc).

48. The objective for Environment is: contribute to the protection of environment – focussing on fuel savings/CO² emission reductions.

49. The indicator identified for the achievement of this objective is:

1) CO² emissions deriving from inefficiencies in flight efficiency (conversion of additional distance into CO² emissions based on standard values formula).

50. Discussion within the Task Force highlighted that future developments of the framework will have to consider the impact of aviation noise on environment.

Appendix 1 to Part XI - ENVIRONMENT (ENV)

TABLE OF ENVIRONMENTAL TOOLS AND MODELLING TECHNIQUES

ICAO Tools/Models

	<u>Tool/Model</u>	Source	Modelling Area	Implementation status	Comments _recommendation
1	Balanced Approach to Aircraft Noise Management	ICAO	Noise	Ready and in use globally	This guidance (Doc 9829) relates to a concept involving several inter-related tools comprising 4 pillars: technological development; operational practices; operating restrictions; & land use planning. Helps assess the management of noise impact using noise contours, noise index, and management plans. Implemented gradually at airport(s) level; States may already have noise regulations and policies in place.
2	FESG Traffic Forecast	ICAO	Forecasting	Used globally	This provides traffic and fleet forecasts developed for passenger and cargo services over the period 2006 to 2036. It also outlines the methodology, the assumptions and the inputs used to develop the forecasts. Develops the aircraft retirement curves and conducts the sensitivity analyses around the forecasts.
3	ICAO carbon emissions calculator	ICAO	Climate Change	Ready & in use globally	ICAO has developed a methodology to calculate the carbon dioxide emissions from air travel for use in offset programmes. The ICAO Carbon Emissions Calculator allows passengers to estimate the emissions attributed to their air travel. It is simple to use and requires only a limited amount of information from the user. The methodology applies the best publicly available industry data to account for various factors such as aircraft types, route specific data, passenger load factors and cargo carried.
4	IFSET	ICAO	Climate Change	Ready to be implemented	ICAO Fuel Savings Estimation Tool (IFSET) has been developed to measure the benefits from operational improvements. It is applicable globally with the ability to capture the differences in flight trajectory performance in terms of fuel consumption before and after implementation of operational improvements at local, regional or global level.
5	NOx –CSM	ICAO	Economics	Used by experts	This is a Cost Spreadsheet Model (CSM) and is the principal tool used for calculating costs for selected scenarios based on NOx stringency analysis.

State/International Organisation Tools/Model

	Tool	Source	Modelling Area	Implementation status	Comments _recommendation
6	ADMS - Airport	UK DfT	Air Quality	Ready, in use	ADMS-Airport is a comprehensive tool for managing air quality at airports. It is an extension of the ADMS-Urban model, designed to model the concentration of pollutants at airports in rural or complex urban environments. ADMS-Airport is also one of the participating models in the ICAO CAEP (Committee on Aviation Environmental Protection) model exercises.
7	AEDT - NIRS	US FAA	Noise	Ready, in use	Aviation Environment Design Tool -Noise Integrated Routing System (NIRS) – regional noise analysis; based on US data. Use of this model is by request to the US FAA.
8	AEDT - EDMS	US FAA	Air Quality	Partially used; Under development for public release	AEDT is a software system that dynamically models aircraft performance in space and time to produce fuel burn, emissions and noise. <i>Full flight gate-to-gate analyses are possible for study sizes ranging from a single flight at an airport to scenarios at the regional, national, and global levels.</i> AEDT is currently used by the U.S. government to consider the interdependencies between aircraft-related fuel burn, noise and emissions. AEDT is being developed for public release, and will become the next generation aviation environmental consequence tool, replacing the current public-use aviation air quality and noise analysis tools such as the Integrated Noise Model (INM – single airport noise analysis), the Emissions and Dispersion Modelling System (EDMS) – single airport emissions analysis), and the Noise Integrated Routing System (NIRS – regional noise analysis).
9	AEDT - MAGENTA	US FAA	Noise	Ready, in use at global level	MAGENTA is a computer based Aviation Environmental Design Tool used to estimate the number of people exposed to significant aircraft noise worldwide. The original MAGENTA model was developed with ICAO - CAEP to assess the worldwide aviation noise climate. The computational core of MAGENTA is FAA's Integrated Noise Model (INM) and is the most widely used computer program to calculate aircraft noise around airports.

	Tool	Source	Modelling Area	Implementation status	Comments _recommendation
10	AEDT - SAGE	US FAA	Climate Change	Partially ready and in use (fuel burn)	<p>System for Assessing Aviation's Global Emissions (SAGE) is a high fidelity model incorporated into the Aviation Environmental Design Tool (AEDT). It is used to predict aircraft fuel burn and emissions for all commercial (civil) flights globally. The model is used to analyze scenarios from a single flight to airport, country, regional, and global levels. In addition, SAGE dynamically models aircraft performance, fuel burn and emissions.</p> <p>Its purpose is to provide the FAA, and indirectly the international aviation community, with a tool to evaluate the effects of various policies, technology, and operational scenarios on aircraft fuel use and emissions. SAGE is also used to develop <i>global inventories of fuel burn and emissions</i>.</p>
11	AEM III	EUROCONTROL	Climate Change	Used partially	<p>Advanced Emission Model (AEM) is an aircraft stand-alone system developed and maintained by EUROCONTROL. AEM uses several underlying system databases (aircraft, aircraft engines, fuel burn rates and emission indices) provided by external data agencies in order to assure the quality of the information provided. This system information is combined with dynamic input data, represented by the air traffic flight profiles.</p> <p>References for fuel burn calculation: - Above 3000 ft: based on BADA 3.7 (Base of Aircraft Data) - Below 3000ft: based on ICAO (International Civil Aviation Organisation); Access is under licence from EUROCONTROL.</p>
12	AERO 2K	UK DfT	Climate change	Ready & in use	<p>This is a global aircraft emissions data project for the evaluation of climate change impacts and airport local air quality; AERO2K establishes a new inventory of aircraft emissions of pollutants (CO₂, NO_x, HCs, CO) important for assessing aviation impacts on climate change. Contributes to the global aviation emissions inventory study.</p>
13	ALAQS	EUROCONTROL	Air Quality	Used by some European airports	<p>The ALAQS project is designed to promote best practice methods for airport LAQ analysis concerning issues such as emissions inventory, dispersion, and the data required for the calculations, including emission factors, operational data, and aircraft landing and take-off profiles. The ALAQS-AV toolset is a GIS based research tool. It is a test bed that can be used to investigate the sensitivity of different inventory and dispersion methodologies. The choice of a GIS as a test bench simplifies the process of defining the various airport elements (runways, taxiways, buildings, etc.) and allows the spatial distribution of emissions to be visualized. The ALAQS emissions factors and operations profiles will provide this for use by airport authorities and planners.</p>
14	ANCON2	UK DfT	Noise	Ready and in use	<p>ANCON-2 calculates noise exposure. The tool determines the sound exposure level from an aircraft flight segment derived from Noise-Power-Distance tables as a</p>

	Tool	Source	Modelling Area	Implementation status	Comments _recommendation
					function of engine thrust rather than from wholly empirical Reference Noise Levels (RNLs). Use via application to the UK DfT.
15	ANP	EUROCONTROL	Noise	Ready and in use	The Aircraft Noise and Performance Database (ANP) is an international data resource for aircraft noise modellers. This database is an online data resource accompanying the ECAC Doc 29 3rd Edition and ICAO Doc 9911 guidance documents on airport noise contour modelling.
16	APMT	US FAA	Interdependencies & Economics	Economics & Operations modules are available for use	The Aviation Environmental Portfolio Management Tool (APMT) computes the environmental impacts of aircraft operations, their interrelationships and economic consequences using the following elements: APMT-Impacts, APMT-Cost Benefit, and APMT-Economics. Cost benefit analyses with the APMT-Cost Benefit combines output from multiple Tools Suite elements to facilitate weighing total expected costs against total expected benefits for aviation's environmental effects under different policy, technology, operational and market scenarios. Access to this tool is by request to the FAA.
17	BADA	EUROCONTROL	Aircraft Performance Model	Ready and in use	Base of Aircraft Data (BADA) is an Aircraft Performance Model (APM) with corresponding database. The main application of BADA is trajectory simulation and prediction within the domain of ATM (Air Traffic Management).
18	FAST	UK DfT	Climate Change	Ready and in use	Future Aviation Scenario Tool (FAST) is a model for climate change/GHG emission calculation.
19	FOM	US FAA	Forecasting	Ready and in use	Forecasting and Operations Module (FOM) is a fleet and operation model. This provides access to historical traffic counts, forecasts of aviation activity, and delay statistics: mainly fleet & operations activity. Access on request to the FAA.
20	LASPORT	German Ministry of Transport (BMVBS) Swiss Federal Office for Civil Aviation (FOCA)	Air Quality	Ready and in use	LASPORT is a programme system for the calculation of airport-induced pollutant emissions and concentrations in the atmosphere. Calculations can be carried out in conformance with the ICAO Airport Air Quality Guidance Manual (ICAO Document 9889). Aircraft movements are accounted for either individually based on a movement journal or in a more generalized form based on aircraft groups. Other source groups explicitly accounted for are: auxiliary power units (APU), ground power units (GPU), ground support equipment (GSE), engine start emissions, motor traffic (airside and landside).

	Tool	Source	Modelling Area	Implementation status	Comments _recommendation
21	PEGAS	Russian Federation Civil Aviation Environmental Safety Centre	Air Quality	Ready and in use	PEGAS calculates the pollutants concentration in the airport area, so it is a LAQ Tool. It provides comparative analysis of measurement and computational results. Used in some eastern European States: e.g. Russia & Ukraine.
22	SONDEO	European Union Model developed by Spain (ANOTEC)	Noise	Ready and in use	Study on noise exposure around European airports. Developed around a noise contour engine database. It calculates Lden and Lnight noise contours based on the ANP noise and performance database managed by EUROCONTROL.
23	STAPES	EUROCONTROL	Noise	Ready and in use	The System for Airport Noise Exposure Studies (STAPES) is a multi-airport noise model capable of providing valuable input into both European and international policy-making analyses. The STAPES project has identified the European Environment Agency's population database as an appropriate single source of data for use in relation to EU airports dealing with issues such as noise exposure. STAPES has successfully contributed to the assessments of CAEP/8 policies on the European region.

Data Sources:

- Airports Database; US FAA, EUROCONTROL;
 - Common Operations Database; US FAA, EUROCONTROL
 - 2006 Campbell-Hill Fleet Database
- ICAO/CAEP: WG1 noise & WG3 emissions
- Population Database
- ICAO aircraft engine emissions databank (EDB)

List of Acronyms

Acronym	
ACI	Airport Council International
ADMS	Atmospheric Dispersion Modelling System
AEDT	Aviation Environment Design Tool
AEM III	Advanced Emission Model
AERO2K	Model Name
AIRE	Atlantic Interoperability Initiative to Reduce Emissions
ALAQS	Airport Local Air Quality Studies
ANCON	Aircraft Noise Control Model
ANOTEC	Spanish Company
ANP	Aircraft Noise and Performance
APM	Aircraft Performance Model
APMT	Aviation Environmental Portfolio Management Tool
APU	Auxiliary Power Unit
BADA	Base of Aircraft Data
BMVBS	German Ministry of Transport
CAEP	ICAO Committee on Aviation Environmental Protection
CO	Carbon Oxide
CO2	Carbon Dioxide
DfT	Department for Transport
ECAC	European Civil Aviation Conference
ECI	Environmental Condition Indicator
EDMS	Emissions and Dispersion Modelling System
EPI	Environmental Key Performance Indicator
EUROCONTROL	The European Organisation for the Safety of Air Navigation
FAST	Future Aviation Scenario Tool
FESG	ICAO Forecasting and Economic Support Group
FOCA	Federal Office of Civil Aviation
FOM	Forecasting and Operations Module
GFAAF	Global Framework for Aviation Alternative Fuels
GHG	Green House Gas (emissions)
GIS	Geographic Information System
GPU	Ground Power Unit
GSE	Ground Support Equipment
IATA	International Air Transport Association
IFSET	ICAO Fuel Savings Estimation Tool
KPI	Key Performance Indicator
LAQ	Local Air Quality
LASPORT	Tool for assessment of LAQ at Airports
Lden	Index; is A-weighted average sound level used to assess disturbance over day-

Acronym	
	evening-night period (24 hr)
Lnight	Index; is A-weighted average sound level used to assess sleep disturbance over an 8 hour night time period
MAGENTA	Model for Assessing Global Exposure to the Noise of Transport Aircraft
MBM	Market Based Measures
MPI	Management Performance Indicator
NIRS	Noise Integrated Routing System
NOx	Nitrogen Oxides
NOx-CSM	Nitrogen Oxides Cost Spreadsheet Model
OPI	Operational Performance Indicator
PBN	Performance Based Navigation
PEGAS	Russian Federation Air Quality Model
RNL	Reference Noise Levels
SAGE	System for Assessing Aviation's Global Emissions
SESAR	Single European Sky ATM Research
SONDEO	Study on Noise Exposure Around European Airports
STAPES	System for Airport Noise Exposure Studies
UNEP	United Nations Environment Programme
UNFCCC	United Nations Framework Convention on Climate Change
WG	Working Group
WMO	World Meteorological Organisation

– END –

APPENDIX H

MID ANP, VOLUME I, BASIC ANP

PART x - AERONAUTICAL INFORMATION MANAGEMENT (AIM)

1. INTRODUCTION

Regional AIS/AIM Planning

1.1 This part of the Middle East Region Basic Air Navigation Plan contains basic planning principles, operational requirements, planning criteria and implementation guidelines related to Aeronautical Information Services and Charts (AIS/MAP) considered being the minimum necessary for effective planning of AIS and MAP facilities and services in the MID Region. It contains also the developing transition path to achieve MID Region Aeronautical Information Management (AIM) based on the *ATM Operational Concept (Doc 9854)* and the *Global Air Navigation Plan (Doc 9750)*.

1.2 The dynamic material constituted by the AIS/AIM facilities and services required for international air navigation is contained in the MID ANP Volume 2 - Facilities and Services Implementation Document (FASID). The FASID includes appropriate additional guidance, particularly with regard to implementation, to complement the material contained in the Basic ANP.

1.3 During the transition to and pending full implementation of AIM, it is expected that the existing requirements will be gradually replaced/complemented by new AIM related requirements. Subsequently, it is expected that the ANP will be subject to regular review and amendment, to reflect progression in the transition towards full implementation of AIM.

Standards, Recommended Practices and Procedures

1.4 The Standards, Recommended Practices and Procedures and related guidance material applicable to the provision of AIS and ultimately AIM are contained in the following ICAO documentation:

- a) Annex 4 – Aeronautical Charts;
- b) Annex 15 – Aeronautical Information Services;
- c) Doc 7030 – Regional Supplementary Procedures, MID Region;
- d) Doc 7383 – Aeronautical Information Services Provided by States;
- e) Doc 7910 – Location Indicators;
- f) Doc 8126 – Aeronautical Information Services Manual;
- g) Doc 8168 – Aircraft Operations Volume 2 – Construction of Visual and Instrument Flight Procedures;
- h) Doc 8400 – ICAO Abbreviations and Codes (PANS-ABC);
- i) Doc 8697 – Aeronautical Charts Manual;
- j) Doc 9377 – Manual on Coordination between Air Traffic Services, Aeronautical Information Services and Aeronautical Meteorological Services;
- k) Doc 9674 – World Geodetic System (1984) Manual;
- l) Doc 9855 – Guidelines on the Use of the Public Internet for Aeronautical Applications; and
- m) Doc 9881– Guidelines for Electronic Terrain, Obstacle and Aerodrome Mapping Information.
- n) Doc 9906 (Volume I) – Flight Procedure Design Quality Assurance System.

2. GENERAL PROCEDURES/REQUIREMENTS

MID Region Responsibilities

- 2.1 The ICAO Regional Office will, through MIDANPIRG:
- i) process endorsed proposals for amendment to ICAO AIS/AIM related documents;
 - ii) process endorsed proposals for amendment to ICAO AIS/AIM related documents; and
 - iii) support the MIDANPIRG AIM Task Force.

State Responsibilities

2.2 Each Contracting State is responsible for the aeronautical information/data published by its aeronautical information service or by another State or a non-governmental agency on its behalf.

2.3 Aeronautical information published for and on behalf of a State should clearly indicate that it is published under the authority of that State.

2.4 Each Contracting State should take all necessary measures to ensure that the aeronautical information/data it provides relating to its own territory, as well as areas in which the State is responsible for providing air traffic services outside its territory, is adequate, of required quality and timely. This should include arrangements for the timely provision of required information/data to the aeronautical information service by each of the State services associated with aircraft operations.

2.5 International NOTAM Offices (NOF) and their areas of responsibility should be established so as to ensure maximum efficiency in the provision of AIS and in the dissemination of aeronautical information.

2.6 The designated International NOTAM Offices for the MID Region are listed in the **MID ANP Volume 2 - FASID Table AIM-1**.

2.7 Coordination/liason on a permanent basis should be established between AIS/AIM and other technical services responsible for planning and operating air navigation facilities and services.

2.8 Technical services responsible for origination of the raw aeronautical information should be acquainted with the requirements for promulgation and advance notification of changes that are operationally significant as established in Annexes 11 and 14 and other relevant ICAO documentation. They should take due account of the time needed by AIS/AIM for the preparation, production and issue of the relevant material.

2.9 Appropriate AIS/AIM personnel should be included in the air navigation planning processes. This should ensure the timely preparation of appropriate AIS documentation and that the effective dates for changes to the air navigation system and procedures are satisfied.

2.10 Whilst Annex 4 and Annex 15 detail the SARPs for the provision of charts and AIS respectively, the following State responsibilities are highlighted:

- a) Each Contracting State should:
 - i) Arrange for the implementation of a quality management system for aeronautical information and chart services. The quality management system should include the necessary policies, processes and procedures, including those for the use of metadata, to ensure and verify that aeronautical data is traceable throughout the aeronautical information data chain from origin to distribution to the next intended user. As part of the quality management system, arrangements

should be made for the signature of letters of agreement with data originators to manage the aeronautical information data chain.

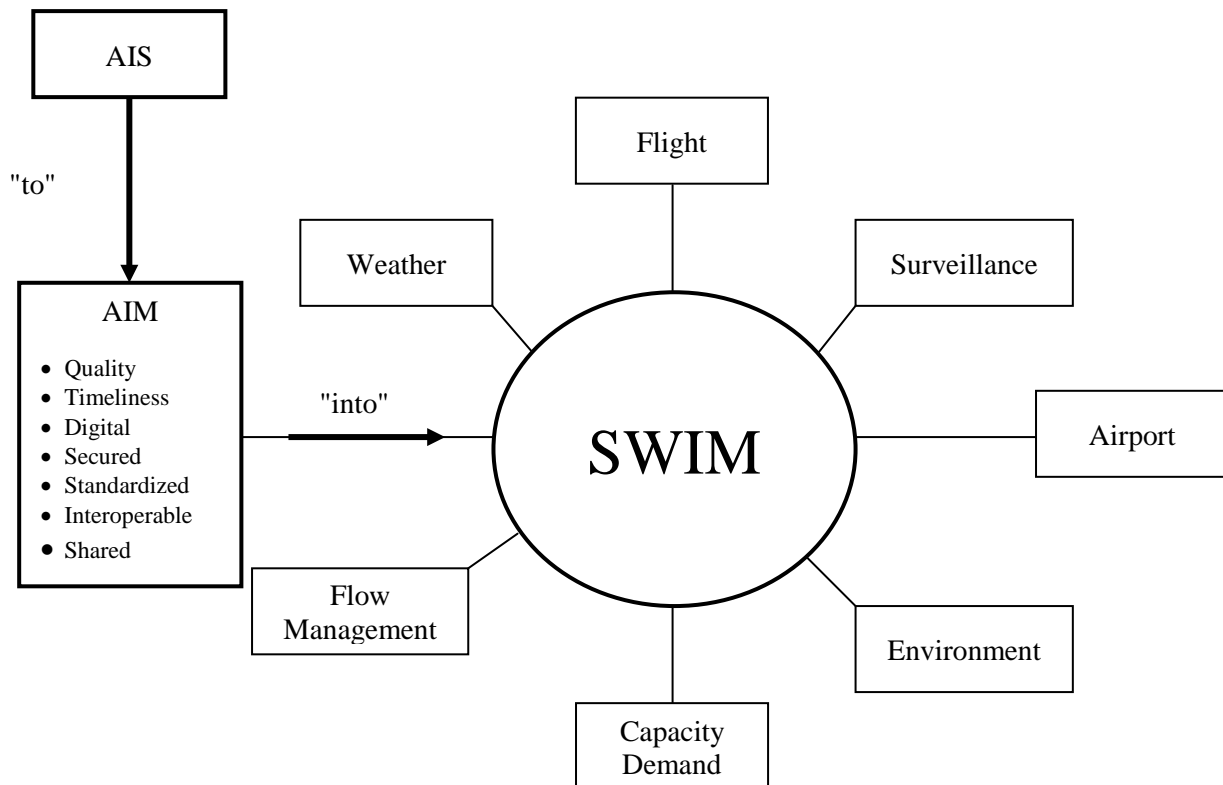
- ii) Ensure Human Factors are considered.
- iii) Ensure adherence to the AIRAC System.
- iv) Ensure that the aeronautical information/data to be exchanged with States is published as an Integrated Aeronautical Information Package (i.e. Aeronautical Information Publication (AIP), including amendment service, AIP Supplements, NOTAM, pre-flight information bulletins (PIB), Aeronautical Information Circulars (AIC), checklists and list of valid NOTAM) in accordance with the requirements of Annex 15.
- v) Arrange for the provision of an electronic AIP (eAIP) in accordance with the requirements of Annex 15.
- vi) Comply with WGS 84 requirements.
- vii) Introduce automation enabling digital data exchange with the objective of improving the speed, accuracy, efficiency and cost-effectiveness of aeronautical information services.
- viii) Ensure that pre-flight information is provided at all aerodromes/heliports normally used for international air operation, in accordance with the requirements of Annex 15, using Automated pre-flight information systems for the supply of aeronautical information/data for self-briefing, flight planning and flight information service.
- ix) Arrange for the provision of post-flight information.
- x) Arrange for the provision of required electronic Terrain and Obstacle Data (eTOD), in accordance with the requirements of Annex 15.
- xi) Arrange for the production and publication of necessary aeronautical charts in accordance with Annex 4 provisions and regional agreements.

3. AERONAUTICAL INFORMATION MANAGEMENT

3.1. The Global Air Traffic Management Operational Concept presented in ICAO Doc 9854 depends upon a system wide information management (SWIM). The management, utilization and transmission of data and information are vital to the proper functioning of the ATM system and are at the core of air navigation services.

3.2. As part of SWIM, AIM is required to support evolving requirements for, inter alia, collaborative decision making (CDM), performance-based navigation (PBN), ATM system interoperability, network-centred information exchange, and to take advantage of improved aircraft capabilities.

3.3. The scope of information management includes all types of information and in particular aeronautical information. The relationship diagram below shows a number of the core elements of SWIM:



Aeronautical Information Management (AIM) is considered to be the dynamic, integrated management of aeronautical information services — safely, economically and efficiently — through the provision and exchange of quality-assured digital aeronautical data in collaboration with all parties.

TRANSITION TO AIM

3.4. The transition to AIM requires that all aeronautical information, including that currently held in AIP be stored as individual digital standardized data sets to be accessed by user applications. The distribution of these data sets will both enhance the quality of output and ultimately provide a platform for new applications. This will constitute the future integrated aeronautical information package that will contain the minimum regulatory requirement to ensure the flow of information necessary for the safety, regularity and efficiency of international air navigation. (GPI-18 refers).

Guiding Principles for the Transition to AIM

3.5. The transition from AIS to AIM will have to:

- a) support or facilitate the generation and distribution of aeronautical information which serves to improve the safe and cost-effective accessibility of air traffic services in the world;
- b) provide a foundation for measuring performance and outcomes linked to the distribution of quality assured aeronautical information and a better understanding of the determinants of ATM, safety and effectiveness not related to the distribution of the information;
- c) assist States in making informed choices about their aeronautical information services and the future of AIM;

- d) build upon developments in States, international organizations and industry and acknowledge that the transition to AIM is a natural evolution rather than a revolution;
- e) provide over-arching and mature Standards that apply to a wide range of aeronautical information products, services and technologies;
- f) be guided by the *Global Air Navigation Plan* (Doc 9750) and ensure that all development is aimed at achieving the ATM system envisaged in the *Global Air Traffic Management Operational Concept* (Doc 9854); and
- g) ensure, to the greatest extent possible, that solutions are internationally harmonized and integrated and do not unnecessarily impose multiple equipment carriage requirements for aircraft or multiple systems on the ground.

The Roadmap to AIM

Source Document: ICAO Road Map for the Transition from AIS to AIM

3.6. The purpose of the roadmap is to develop the AIM concept and associated performance requirements by providing a basis upon which to manage and facilitate, on a worldwide basis, the transition from AIS to AIM. The roadmap is based on what is known today and has been developed with sufficient flexibility to facilitate the new concepts that will emerge from future research.

3.7. Three phases of action are envisaged for States and ICAO to complete the transition to AIM:

Phase 1 — Consolidation

3.8. During Phase 1, steps will be taken to establish a solid base by enhancing the quality of the existing products and improving the status of implementation of current Annex 4 and Annex 15 provisions. This is a pre-requisite before Phase 2 can be achieved.

Phase 2 — Going digital

3.9. Phase 2 of the transition to AIM will mainly focus on the establishment of data-driven processes for the production of the current products in all States. States that have not yet done so will be encouraged “to go digital” by using computer technology or digital communications and through introducing structured digital data from databases into their production processes. The emphasis will, therefore, not be on the introduction of new products or services but will be on the introduction of highly structured databases and tools such as geographic information systems.

Phase 3 — Information management

3.10. Phase 3 will introduce steps to enable future AIM functions in States to address the new requirements that will be needed to implement the Global Air Traffic Management Operational Concept in a net centric information environment. The digital databases introduced in Phase 2 will be used for the transfer of information in the form of digital data. This will require the adoption of a Standard for an aeronautical data exchange model to ensure interoperability between all systems not only for the exchange of full aeronautical data sets, but also for short-term notification of changes.

National Plans for the transition to AIM

3.11. States should be planning for the transition from AIS to AIM. The national plans for the transition from AIS to AIM should be based on the ICAO Roadmap for the transition from AIS to AIM, identifying clearly the associated performance goals and achievable milestones with a view to satisfy the requirements arising from the Global ATM Operational Concept, in particular the management of a seamless information flow ensuring interoperability between the different CNS/ATM systems.

AIM Implementation

3.12. The following provisions/regulatory requirements complement those contained in ICAO Annex 4 and Annex 15 with a view to expedite AIM implementation in the MID Region in a harmonized manner. They represent the basis for a number of provisions contained in the FASID tables.

Integrated Aeronautical Information Database (IAID)

(FASID Table AIM-2)

3.13. FASID Table AIM-2 sets out the requirements for the Provision of AIM products and services based on the Integrated Aeronautical Information Database (IAID).

3.14. States should designate and implement an authoritative Integrated Aeronautical Information Database (IAID). The designation of authoritative databases should be clearly stated in States' AIPs.

Electronic Terrain and Obstacle Data and Aerodrome Mapping Data Bases (AMDB)

(FASID Table AIM-3)

3.15. FASID Table AIM-3 sets out the requirements for the provision of Terrain and Obstacles Datasets and Aerodrome Mapping Data Bases (AMDB).

3.16. States should take the necessary measures for the provision of required electronic Terrain and Obstacle Data (eTOD), in accordance with Annex 15 provisions.

3.17. States should manage the eTOD implementation as a national programme supported by the necessary resources and detailed planning including priorities and timelines for implementation.

3.18. The implementation of eTOD should involve different Administrations within and outside of the Civil Aviation Authority i.e.: AIS, Aerodromes, Military, National Geographic and Topographic Administrations/Agencies, procedure design services, etc.

3.19. States, while maintaining the responsibility for data quality and availability, should consider to which extent the provision of electronic terrain and obstacle data could be delegated to other approved data providers.

3.20. States should establish formal arrangements to address cross-border issues, to ensure harmonization and more efficient implementation of eTOD.

3.21. States should take the necessary measures to ensure that the obstacle dataset is maintained up-to-date.

3.22. States should endeavour to integrate the acquisition of eTOD and AMDB data to realize efficiency gains and to take into account the complementary nature of AMDB and eTOD datasets.

Aeronautical Data Quality
(FASID Table AIM-4)

3.23. FASID Table AIM-4 sets out the requirements for aeronautical data quality.

3.24. States should take the necessary measures to ensure that aeronautical information/data it provides meet the regulatory Aeronautical Data quality requirements.

3.25. The Quality Management System in AIM should define procedures to meet the safety and security management objectives.

3.26. Recognizing the need to maintain or enhance existing safety levels of operations, States should ensure that any changes to the existing systems or the introduction of new systems used for processing aeronautical data/information are preceded by a safety assessment including hazard identification, risk assessment and mitigation.

3.27. States should ensure that the Critical, Essential and Routine aeronautical data/information, as specified in Annexes 4 and 15, is transferred by the data originators to the AIM service provider through direct electronic connection, in accordance with the agreed data exchange format.

AIM Certification
(FASID Table AIM-9)

3.28. FASID Table AIM-9 sets out the requirements for AIM Certification.

3.29. States should take necessary measures to ensure that AIM Services are provided by Certified AIM Service Provider(s).

3.30. The Certification of AIM Service Provider(s) should be based on the compliance with all regulatory and ICAO requirements related to the provision of AIM services.



MID ANP, VOLUME II, FASID

PART x - AERONAUTICAL INFORMATION MANAGEMENT (AIM)

1. INTRODUCTION

1.1. The material in this part complements that contained in Part x — AIM of the MID Basic ANP and should be taken into consideration in the overall planning processes for the MID region.

1.2. This part contains the details of the facilities and services to be provided to fulfil the basic requirements of the plan as agreed between the provider and user States concerned. Such agreement indicates a commitment on the part of the State(s) concerned to implement the requirement(s) specified. It provides a structured framework for States to plan and to monitor their progress and supports regional and national plans to implement the transition to AIM. This element of the FASID, in conjunction with the MID Basic ANP, is kept under constant review by MIDANPIRG in accordance with its schedule of management, in consultation with user and provider States and with the assistance of the ICAO MID Regional Office.

1.3. To satisfy new requirements arising from the Global Air Traffic Management Operational Concept, aeronautical information services must transition to a broader concept of aeronautical information management, with a different method of information provision and management given its data-centric nature as opposed to the product-centric nature of AIS. AIM is the dynamic, integrated management of aeronautical information services – safely, economically and efficiently – through the provision and exchange of quality-assured digital aeronautical data in collaboration with all parties.

2. ORGANISATION AND PROVISION OF AIM FACILITIES AND SERVICES

2.1. AIM requires all aeronautical information to be stored as data sets that can be accessed by user applications. The establishment and maintenance of an Integrated Aeronautical Information Database where data sets are integrated and used to produce current and future AIM products and services is a fundamental step in the transition to AIM. The following AIM FASID tables contain planning criteria and provisions requiring implementation and compliance by States:

- Responsibility for the provision of AIM Services
- Provision of AIM products and services based on the Integrated Aeronautical Information Database (IAID)
- Terrain and Obstacle data sets and Airport Mapping Databases (AMDB)
- Aeronautical Data Quality
- World Geodetic System – 1984 (WGS84)
- Aeronautical Charts
- Production Responsibility for sheets of the World Aeronautical Chart – ICAO 1:1 000 000
- Pre-Flight Information Services
- AIM Certification

2.2. FASID Table AIM-1 sets out the responsibilities for the provision of AIM services in the MID Region. It takes into account the current situation and new developments specific to the MID Region where States delegate certain AIS/AIM services to other States (e.g. with the establishment of Functional Airspace Blocs (FAB)). The responsibilities for the provision of aeronautical data, products and services in such cases need to be clearly assigned.

2.3. FASID Table AIM-2 sets out the requirements for the Provision of AIM products and services based on the Integrated Aeronautical Information Database (IAID). It reflects the transition from the current product centric AIS to data centric AIM. For the future digital environment it is important that the

authoritative databases are clearly designated and such designation must be published for the users. This is achieved with the concept of the Integrated Aeronautical Information Database (IAID), a single access point for one or more authoritative databases (AIS, Terrain, Obstacles, AMDB, etc) for which the State is responsible.

2.4. FASID Table AIM-3 sets out the requirements for the provision of Terrain and Obstacles datasets and Aerodrome Mapping Data Bases (AMDB).

The eTOD implementation Checklist at **Attachment A** to Part x - AIM of the MID FASID is developed to assist States in the process of eTOD implementation.

2.5. FASID Table AIM-4 sets out the requirements for aeronautical data quality.

Attachment B to Part x - AIM of the MID FASID describes the safety and security objectives to be included in the Quality Management System of AIM.

Attachment C to Part x - AIM of the MID FASID lists the data originators and the type of aeronautical data/information required to be exchanged by direct electronic connection.

2.6. FASID Table AIM-5 sets out the requirements for the implementation of the World Geodetic System – 1984 (WGS-84). The requirement to use a common geodetic system remains essential to facilitate the exchange of data between different systems. The expression of all coordinates in the AIP and charts using WGS-84 is an important first step for the transition to AIM.

2.7. FASID Table AIM-6 sets out the requirements for the production of aeronautical charts. The provision of digital mapping data bases e.g. AMDB, allows for the provision and use of electronic aeronautical charts. Annex 4 SARPs include the requirement for an Electronic Aerodrome Terrain and Obstacle Chart.

2.8. FASID Table AIM-7 sets out the responsibilities for the production of the sheets of the World Aeronautical Chart 1: 1 000 000 (WAC). The assignment of the WAC sheets is determined by regional agreement, based on the delineation of areas specified in Appendix 5 to Annex 4 and taking into consideration the cross-border issues.

Note.- The World Aeronautical Chart 1: 1 000 000 provides information to satisfy the requirements of visual air navigation.

2.9. FASID Table AIM-8 sets out the requirements for the provision of pre-flight information services.

2.10. FASID Table AIM-9 sets out the requirements for AIM Certification.

Attachment A

ELECTRONIC TERRAIN AND OBSTACLE DATA (eTOD)

IMPLEMENTATION CHECKLIST

INTRODUCTION

The purpose of this eTOD checklist is to assist States in the process of implementation of eTOD. To ensure a safe and efficient implementation of eTOD, the Civil Aviation Authorities should:

- determine the State stakeholders affected, inter-alia:
 - Ministry responsible for Transportation/Civil Aviation;
 - Ministry responsible for land planning and environment;
 - Civil Aviation Authority;
 - Aeronautical Information Service Providers (AISP);
 - Air Navigation Service Providers (ANSP);
 - Aerodrome Service Providers;
 - Airlines, Helicopter operators and General Aviation;
 - Military;
 - Military survey Organization/Agency;
 - National Geodetic, Cadastral or State Survey Organisations;
 - Commercial survey companies or associations;
 - Local Authorities or those responsible for aerodrome safeguarding/construction approval in the vicinity of aerodromes;
 - GSM antenna operators;
 - Administrations for radio and television broadcasts;
 - Power Transmission companies.
- ensure that a Focal Point has been nominated to coordinate all eTOD issues at both the national and international level;
- consider arranging eTOD awareness campaigns and training;
- check the availability of State's policy for the safeguarding of aerodromes from obstacle penetration, consider how effective the policy is and determine if available data can be demonstrated to be in compliance with eTOD requirements. In the absence of a declared or established policy, consider establishing one;
- check the availability of a National obstacle notification and permission process;
- check if National regulation for the provision of eTOD has been developed. In the absence of a National Regulation, consider establishing one, taking into consideration the following:
 - the data providers responsible for the provision and processing of data and associated liability issues;
 - State's policy with regard to implementing the ICAO Annex 15 SARPs related to eTOD and eventually the notification of differences, if any;
 - State's policy with regard to data maintenance;
 - consider how and by whom the eTOD will be made available;

- State's policy for the oversight/inspection of all involved parties/administrations in the process of provision of eTOD;
 - State's policy for cost-recovery related to the provision of eTOD. Identify how the costs, both initial and ongoing, are to be recovered for each Area and in case charges are to be levied on the use of data, identify the appropriate means/mechanisms by which the revenue can be collected; and
- ensure that necessary resources for the implementation and ongoing maintenance of eTOD have been secured;
 - ensure that an Action Plan/Roadmap with clear timelines and assigned responsibilities for the provision of eTOD has been developed;
 - ensure that the possible sources of terrain and obstacle data have been identified;
 - as part of the planning of eTOD data acquisition activities, consider the integration of an Aerodrome Mapping Data Base survey;
 - ensure that the survey requirements for each of the four Areas, including resurvey intervals have been determined;
 - ensure that the responsibilities that may be placed upon surveyors to ensure that they use the correct standards, have been identified;
 - ensure that an eTOD validation and verification process is established;
 - ensure that a mechanism is established to ensure that the quality of eTOD is maintained from the survey up to the end user;
 - ensure that cross-border issues have been addressed and consider the establishment of agreements with neighboring States to exchange and harmonize common data, as necessary;
 - ensure that the means/media by which each dataset shall be made available have been determined; and
 - ensure that means of carrying out oversight/inspections for monitoring progress have been established.

Attachment B

SAFETY AND SECURITY MANAGEMENT OBJECTIVES

The quality management system of the AIM services provider should define procedures to meet the following safety and security management objectives

1. Safety management objectives:

- a. to minimise the contribution to the risk of an aircraft accident arising from data errors as far as reasonably practicable,
- b. to promote awareness of safety around the organisation by sharing lessons arising from safety activities and by involving all staff to propose solutions to identified safety issues and improvements to assist the effectiveness and efficiency of the processes,
- c. to ensure that a function is identified within the organisation being responsible for development and maintenance of the safety management objectives,
- d. to ensure that records are kept and monitoring is carried out to provide safety assurance of their activities,
- e. to ensure improvements are recommended, where needed, to provide assurance of the safety of activities.

The achievement of the safety management objectives shall be afforded the highest priority over commercial, operational, environmental or social pressures.

2. Security management objectives:

- a. to ensure the security of aeronautical data/information received, produced or otherwise employed so that it is protected from interference and access to it is restricted only to those authorised,
- b. to ensure that the security management measures of an organisation meet appropriate regulatory requirements for critical infrastructure and business continuity, and international standards for security management.

Attachment C

DIGITAL EXCHANGE WITH DATA ORIGINATORS

- 1) The following aeronautical data/information provided by the data originators should be transferred to the AIM services provider by direct electronic connection in accordance with the agreed data exchange format:
 - a) aeronautical information publications (AIP), including amendments;
 - b) supplements to the AIP;
 - c) the NOTAM and pre-flight information bulletins;
 - d) checklists and lists of valid NOTAMs;
 - e) electronic obstacle data, or elements thereof, where made available;
 - f) electronic terrain data, or elements thereof, where made available;
 - g) aerodrome mapping data, where made available.

- 2) The aeronautical data/information provided by the following data originators should be transferred to the AIM services provider by direct electronic connection in accordance with the agreed data exchange format.
 - a) air navigation service providers;
 - b) operators of those aerodromes and heliports, for which instrument flight rules (IFR) or Special-visual flight rules (VFR) procedures have been published in national AIP;
 - c) public or private entities providing:
 - i. services for the origination and provision of survey data;
 - ii. procedure design services;
 - iii. electronic terrain data;
 - iv. electronic obstacle data.

FASID TABLE AIM-1: Responsibility for the provision of AIM Services

EXPLANATION OF THE TABLE

Column:

- 1 Name of the State or territory
- 2 Designated international NOTAM Office (NOF)
- 3 Designated State for AIP production
- 4 Designated State for aeronautical charts (MAP) production
- 5 Designated State for the provision of the authoritative Integrated Aeronautical Information Database (IAID)
- 6 Designated State for the provision of the Pre-flight information services
- 7 Remarks — additional information, as appropriate.

State	NOF	AIP	MAP	IAID	Pre-flight briefing	Remarks
1	2	3	4	5	6	7
Bahrain						
Egypt						
Iran						
Iraq						
Jordan						
Kuwait						
Lebanon						
Oman						
Qatar						
Saudi Arabia						
Syria						
UAE						
Yemen						

FASID TABLE AIM-2: Provision of AIM products and services based on Integrated Aeronautical Information Database (IAID)

EXPLANATION OF THE TABLE

Column:

- 1 Name of the State or territory for which the provision of AIM products and services based on the IAID is required.
- 2 Requirement for the implementation and designation of the authoritative IAID, shown by:
 - FI – Fully Implemented
 - PI – Partially Implemented
 - NI – Not Implemented

*Note 1 — The IAID of a State is a single access point for one or more databases (AIS, Terrain, Obstacles, AMDB, etc).
The minimum set of databases which should be integrated is defined in Annex 15.*

Note 2 — Information providing detail of “PI” should be given in the Remarks column (the implemented components of the IAID).

Note 3 — The information related to the designation of the authoritative IAID should be published in the AIP (GEN 3.1)
- 3 Requirement for an IAID driven AIP production, shown by:
 - FC – Fully compliant (eAIP: Text, Tables and Charts)
 - PC – Partially compliant
 - NC – Not compliant

Note 4 — AIP production includes, production of AIP, AIP Amendments and AIP Supplements
- 4 Requirement for an IAID driven NOTAM production, shown by:
 - FC – Fully Compliant
 - NC – Not compliant
- 5 Requirement for an IAID driven SNOWTAM production, shown by:
 - FC – Fully Compliant
 - NC – Not compliant
- 6 Requirement for an IAID driven PIB production, shown by:
 - FC – Fully compliant
 - NC – Not compliant

FASID TABLE AIM-3: Terrain and Obstacles datasets and Airport Mapping Databases (AMDB)

EXPLANATION OF THE TABLE

Column

- 1 Name of the State or territory for which Terrain and Obstacles datasets and AMDB are required.
- 2 Compliance with requirement for the provision of Terrain datasets, shown by:
 FC – Fully compliant
 PC – Partially compliant
 NC – Not compliant
- 3 Compliance with requirement for the provision of Obstacle datasets, shown by:
 FC – Fully compliant
 PC – Partially compliant
 NC – Not compliant
- 4 Implementation of AMDB, shown by:
 FI – Fully Implemented
 PI – Partially Implemented
 NI – Not implemented
- 5 Action plan — short description of the State’s Action Plan with regard to compliance with the requirements for provision of Terrain and Obstacles datasets and implementation of AMDB.
- 6 Remarks— additional information, including detail of “PC” and “NC”, as appropriate.

State	Terrain Datasets	Obstacle datasets	AMDB	Action Plan	Remarks
1	2	3	4	5	6
Bahrain					
Egypt					
Iran					
Iraq					
Jordan					
Kuwait					
Lebanon					
Oman					
Qatar					
Saudi Arabia					
Syria					
UAE					
Yemen					

FASID TABLE AIM-4: Aeronautical Data Quality

EXPLANATION OF THE TABLE

Column:

- 1 Name of the State or territory.
- 2 Compliance with the requirement for implementation of QMS for Aeronautical Information Services including safety and security objectives, shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant
- 3 Compliance with the requirement for the establishment of formal arrangements with approved data originators concerning aeronautical data quality, shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant
- 4 Implementation of digital data exchange with originators, shown by:
 - FI – Fully Implemented
 - PI – Partially Implemented
 - NI – Not Implemented

Note 1 — Information providing detail of “PI” and “NI” should be given in the Remarks column (percentage of implementation).
- 5 Compliance with the requirement for metadata, shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant
- 6 Compliance with the requirements related to aeronautical data quality monitoring (accuracy, resolution, timeliness, completeness), shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant

FASID TABLE AIM-5: World Geodetic System-1984 (WGS-84)

EXPLANATION OF THE TABLE

Column:

- 1 Name of the State or territory for which implementation of WGS-84 is required.
- 2 Compliance with the requirements for implementation of WGS-84 for FIR and Enroute points, shown by:
FC – Fully compliant
PC – Partially compliant
NC – Not compliant
- 3 Compliance with the requirements for implementation of WGS-84 for Terminal Areas (arrival, departure and instrument approach procedures), shown by:
FC – Fully compliant
PC – Partially compliant
NC – Not compliant
- 4 Compliance with the requirements for implementation of WGS-84 for Aerodrome, shown by:
FC – Fully compliant
PC – Partially compliant
NC – Not compliant
- 5 Compliance with the requirements for implementation of Geoid Undulation, shown by:
FC – Fully compliant
PC – Partially compliant
NC – Not compliant
- 6 Action Plan — short description of the State's Action Plan with regard to WGS-84 implementation, including planned date(s) of full compliance, as appropriate.
- 7 Remarks — additional information, including detail of "PC" and "NC", as appropriate.

State	FIR/ENR	Terminal	AD	GUND	Action Plan	Remarks
1	2	3	4	5	6	7
Bahrain						
Egypt						
Iran						
Iraq						
Jordan						
Kuwait						
Lebanon						
Oman						
Qatar						
Saudi Arabia						
Syria						
UAE						
Yemen						

FASID TABLE AIM-6: Aeronautical Charts

EXPLANATION OF THE TABLE

Column:

- 1 Name of the State or territory for which aeronautical charts are required
- 2 Compliance with the requirements for the Enroute Chart — ICAO (ENRC) and the ATC Surveillance Minimum Altitude Chart — ICAO (ATCSMAC), shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant
- 3 Compliance with requirements for ICAO charts related to terminal areas (Instrument Approach Chart, Area Chart, Standard Departure Chart — Instrument (SID) and Standard Arrival Chart — Instrument (STAR), Visual Approach Chart) shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant
- 4 Compliance with the requirement for ICAO Aerodrome charts Aerodrome/Heliport Chart, Aerodrome Ground Movement Chart and Aircraft Parking/Docking Chart, shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant
- 5 Compliance with the requirements for ICAO Obstacle Charts Aerodrome Obstacle Chart —Type A (Operating Limitations), Aerodrome Terrain and Obstacle Chart — Electronic and Precision Approach Terrain Chart shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant

- 6 Compliance with the requirement for ICAO World Aeronautical Chart (WAC), shown by:
 FC – Fully compliant
 PC – Partially compliant
 NC – Not compliant
- 7 Action plan — short description of the State’s Action Plan with regard to aeronautical charts implementation, including planned date(s) of full compliance, as appropriate.
- 8 Remarks — additional information, including detail of “PC” and “NC”, as appropriate.

State	ENRC & ATCSMAC	Charts related to Terminal Areas	AD Charts	Obstacle Charts	WAC	Action Plan	Remarks
1	2	3	4	5	6	7	8
Bahrain							
Egypt							
Iran							
Iraq							
Jordan							
Kuwait							
Lebanon							
Oman							
Qatar							
Saudi Arabia							
Syria							
UAE							
Yemen							

FASID TABLE AIM-7: Production responsibility for sheets of the World Aeronautical Chart - ICAO 1:1 000 000

EXPLANATION OF THE TABLE

Column

- 1 Name of the State accepting production responsibility.
- 2 World Aeronautical Chart — ICAO 1:1 000 000 sheet number(s) for which production responsibility is accepted.
- 3 Remarks

Note 1— When Aeronautical Charts — ICAO 1:500 000 or Aeronautical Navigation Charts — ICAO Small Scale, are made available instead of the 1:1 000 000 chart, this is to be indicated in the Remarks column.

Note 2— In those instances where the production responsibility for certain sheets has been accepted by more than one State, these States by mutual agreement should define limits of responsibility for those sheets.

State	Sheet number(s)	Remarks
1	2	3
Bahrain	2547	
Egypt	2447, 2448, 2543, 2544	
Iran	2338, 2339, 2428, 2429, 2443, 2444, 2548	
Iraq	2427, 2445	
Jordan	2426, 2446, 2447	<i>Note: Jordan to cover its own territory within Amman FIR</i>
Kuwait	2445	<i>Note: Kuwait to cover its own territory within Kuwait FIR</i>
Lebanon	2426	<i>Note: Lebanon to cover its own territory within Beirut FIR</i>
Oman	2563, 2670	
Qatar		
Saudi Arabia	2446, 2545, 2546, 2564, 2565, 2566, 2668, 2669	
Syria	2426	<i>Note: Syria to cover its own territory within Damascus FIR</i>
UAE		
Yemen	2686, 2687	

FASID TABLE AIM-8: Pre-Flight Information Services

EXPLANATION OF THE TABLE

Column:

- 1 Name of the State or territory.
- 2 Compliance with the requirements for the provision of Pre-Flight Information Bulletins (PIB) against each type of PIB, shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant
- Note 1 — AD: Aerodrome type bulletins
Area: Area type bulletins (FIR or group of FIRs or States)
FIR route: FIR route specific bulletin
Narrow route: Narrow path route specific bulletin*
- 3 Compliance with the requirements for the availability of the elements of the Integrated Aeronautical Information Publications (IAIP), maps and charts to the flight operations personnel, shown by:
 - FC – Fully compliant
 - PC – Partially compliant
 - NC – Not compliant
- 4 Requirement for a common point of access to aeronautical information and meteorological information briefings, shown by:
 - FI – Fully Implemented
 - PI – Partially Implemented
 - NI – Not Implemented
- 5 Action Plan — short description of the State's Action Plan with regard to Pre-Flight Information Services, including planned date(s) of full compliance, as appropriate.
- 6 Remarks — additional information, including detail of "PC", "NC", "PI" and "NI", as appropriate.

FASID TABLE AIM-9: AIM Certification

EXPLANATION OF THE TABLE

Column:

- 1 Name of the State or territory for which implementation of AIM Certification is required.
- 2 Availability of AIM Regulations, shown by:
FC – Fully compliant
PC – Partially compliant
NC – Not compliant
- 3 Compliance with the requirements for the establishment of a Safety Oversight System for ensuring the effective implementation of safety-related policy and procedures in the area of AIM, shown by:
FC – Fully compliant
PC – Partially compliant
NC – Not compliant

Note 1 — A Safety Oversight System is based on the eight (8) Critical Elements (CEs) as defined in the ICAO Safety Oversight Manual (Doc 9734, Part A).

Note 2— As part of the Safety Oversight System, States should, in particular:

- a) establish an entity responsible for the safety oversight of the AIS/AIM service provider(s) (not necessarily limited to the safety oversight of AIM) with clearly defined functions and responsibilities, or delegate this function to a Regional/Sub-Regional Organization;*
- b) ensure the availability of sufficient number of qualified AIM inspectors;*
- c) establish minimum qualifications and experience for the AIM inspectorate staff;*
- d) establish detailed job descriptions reflecting all the regulatory and safety oversight tasks for the AIM inspectorate staff;*
- e) establish the necessary procedures for the AIM inspectorate staff;*
- f) establish and implement a formal surveillance programme for the continuing supervision of the AIS/AIM service provider(s) and ensure that safety oversight is effectively conducted; and*
- g) establish and implement a mechanism/system for the elimination of deficiencies identified by the AIM inspectorate staff.*

- 4 Compliance with the requirements for implementation of AIM certification, shown by:
FC – Fully compliant

PC – Partially compliant

NC – Not compliant

Note 3 — AIM Certification may be performed within the framework of ANS Certification

5 Action Plan — short description of the State’s Action Plan with regard to the implementation of the different requirements of AIM certification, including planned date(s) of full compliance, as appropriate.

6 Remarks — additional information, including detail of “PC” and “NC”, as appropriate

State	AIM Regulations	AIM Safety Oversight	AIM Certification	Action Plan	Remarks
1	2	3	4	5	6
Bahrain					
Egypt					
Iran					
Iraq					
Jordan					
Kuwait					
Lebanon					
Oman					
Qatar					
Saudi Arabia					
Syria					
UAE					
Yemen					