



ICAO

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WORKING PAPER

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**Joint NAM/CAR Air Navigation Implementation Working Group (ANI/WG)/Air Traffic Flow Management (ATFM) Implementation Task Force Meeting (ATFM/TF)/  
CANSO Air Traffic Flow Management Data Exchange Network for the Americas (CADENA) Regional Implementation Group Meeting (ATFM/TF/CADENA)**  
Santo Domingo, Dominican Republic, 22 - 24 January 2019

**Agenda Item 3: Contingency Planning: Lessons Learned during the 2018 Hurricane Season**

**CAR CONTINGENCY PLANNING AND RESPONSE STRATEGY**

(Presented by the Secretariat)

<b>EXECUTIVE SUMMARY</b>	
This Working Paper presents the actions undertaken to develop and implement a Caribbean Regional Contingency Planning and Response strategy, in order to address the disruption, or potential disruption, of air traffic services and related supporting services in the CAR Region, and its relationship with the ATFM System.	
<b>Action:</b>	The suggested actions are presented in Section 5.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none"><li>• Safety</li><li>• Air Navigation Capacity and Efficiency</li><li>• Economic Development of Air Transport</li></ul>
<i>References:</i>	<ul style="list-style-type: none"><li>• Convention on International Civil Aviation, Doc 7300/9</li><li>• Annex 11 to the Convention on International Civil Aviation, Air Traffic Services</li><li>• ICAO Doc 9971 - Manual on Collaborative Air Traffic Flow Management (ATFM)</li></ul>

**1. Introduction**

1.1 The Caribbean Region is periodically under the threat for hurricanes, making aviation infrastructure and operations vulnerable to its deadly impact, but at the same time, required for a quick recovery.

1.2 In addition, some States and territories provide vital services for air navigation, which not only allow the arrival and departure of flights in their territory, but also support regional and interregional air transport operations. Therefore the impact of undesired situations goes beyond States borders.

## 2. States responsibilities for contingency planning

2.1 Annex 11 to the Chicago Convention requires air traffic services authorities to 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.

2.2 Annex 11, Attachment C, Material Relating to Contingency Planning, provides guidelines to assist States in taking measures to ensure the safe and orderly flow of international air traffic in the event of disruptions of air traffic services and related supporting services and in preserving the availability of major air routes within the air transportation system in such circumstances.

2.3 ***Contingency plans are intended to provide alternative facilities and services to those provided for in the regional air navigation plan when those facilities and services are temporarily not available. Contingency arrangements are therefore temporary in nature, remain in effect only until the services and facilities of the regional air navigation plan are reactivated.***

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

2.5 Regional agreements have been reached to ensure States of the CAR/SAM Regions develop their ATM contingency plans for the airspace under their jurisdiction and establish bilateral or multi-lateral agreements with States/Territories/International Organizations responsible for the adjacent airspace, in coordination with the ICAO Regional Offices, in order to develop an ATM Contingency Plan, using the regionally agreed guidelines. The Regionally agreed guidelines for contingency plans are included in the Appendix.

## 3. ATFM and Contingency

3.1 ATFM and contingency arrangements are closely interlinked:

a) ATFM provides a process for mitigating the effects of disruption in an ATM systems resource; and

b) contingency arrangements are required in the event of a failure of the ATFM system.

3.2 Therefore, we must establish a clear differentiation between the ATM Contingency Plans and the ATFM Contingency Plans. The use of a similar terminology may lead us to believe that we are talking about the same plan.

3.3 The truth is that the ATFM system must be able to work to reduce the impact that a partial or total interruption of the ATS services in a particular FIR, TMA or aerodrome has on the users and other adjacent control units. The simple transfer of the disruption to the neighbouring FIR, TMA or ATS unit is far from the main purpose of a functioning ATFM system.

#### **4. Conclusion**

4.1 The ANI/WG/4 Meeting, that took place in Miami, United States, from 21 to 24 August 2018, approved the CAR Regional Contingency Planning and Response Strategy, in order to enhance the preparedness, response and recovery from contingencies.

4.2 The First Regional Contingency and Emergency Planning and Response Meeting will be held in the ICAO NACC Regional Office, Mexico City, Mexico, from 12 to 14 March 2019. The objective of this Meeting is to continue working to implement the aforementioned Strategy, and set a periodic reference to annually prepare for the hurricane season.

4.2 The ATFM Task Force should continue working to support contingency planning and response at a Regional level, and develop guidelines to reinforce the CAR/SAM ATFM CONOPS.

#### **5. Suggested Actions**

5.1 The Meeting is invited to:

- a) review the information contained on this Working Paper and propose actions to differentiate ATM and ATFM contingencies and Contingency Plans;
- b) the ATFM Task Force to develop guidelines for ATFM Contingency Plans to be included in the CAR/SAM ATFM CONOPS; and
- c) suggest any additional actions.