



DANGEROUS GOODS PANEL (DGP)

TWENTY-FIRST MEETING

Montréal, 5 to 16 November 2007

BACKGROUND INFORMATION ON THE AIR NAVIGATION INTEGRATION PROGRAMME

(Presented by the Secretary)

1.1 ICAO has implemented a performance framework in order to ensure that measurable outcomes are being achieved through the most efficient use of its resources. The formulation of the outcomes with respect to the air navigation work programmes, and the traceability of all those who produce outputs directly in support of achieving those outcomes, are enabled through the Air Navigation Integrated Programme (as described in Chapter 3 of the ANC Procedural Guidebook which is attached).

1.2 It is expected that the ANC panels will have two primary interfaces to the ANIP:

- a) it will deliver on those outputs in the AN programme that it has been tasked to produce (e.g. draft amendments to Annexes); and
- b) it will submit new, unforeseen or emerging issues to the ANIP through an “ANIP Issue Form”.

1.3 The ANC validated a first set of AN programmes in June 2007 that captures all previously endorsed work. It is now working with the Secretariat to determine what will be the achievable air navigation work programme under the current budgetary constraints.

1.4 The DGP may wish to note that given the current level of resources committed by ICAO to the DG programme, and the current financial situation of the Organization, it is not expected that this re-engineered management mechanism will result in a significant change in the funding available to the DG programme. There may, however, be a shift in focus of the work as more data on implementation is gathered and analyzed.

CHAPTER 3

THE AIR NAVIGATION INTEGRATED PROGRAMME

3.1 Introduction

3.1.1 The Air Navigation Integrated Programme (ANIP) addresses that portion of the ICAO Business Plan dealing with activities in the air navigation field. To fulfil its objectives (laid out in paragraph 3.3 below) the supporting environment of the ANIP includes the following pointers.

Note: for practical reasons, the ANIP acronym will be used to specify either the programme itself or the associated supporting environment in this document. The context will allow the determination of which of the two meanings is applicable.

- a) **A collection of information.** The ANIP comprises a collection of various levels of information used by different parts of the Organization for different purposes. It covers continuing functions of the Organization laid down by the Convention and the Assembly, including routine, technical and administrative efforts.
- b) **A basis for financial management.** The ANIP will serve as a foundation for deriving the budgetary estimates required to deliver the Air Navigation-related outputs in direct support of the Strategic Objectives of the Organization.
- c) **A knowledge base for programme implementation and management.** The ANIP translates various initiatives into a detailed set of management and technical actions needed for successful implementation and management of the programme over its life-cycle. The ANIP encompasses all elements of programme implementation including all work activity in diverse functional disciplines.
- d) **A working tool, a programme basis and a reference source.** The ANIP itemizes specific programmes in the air navigation field that the Commission has amended and approved. It provides the Commission, the Council and the Secretariat with a working tool in the maintenance of the objectives, concentration on productive programmes, and continuity of effort by the Organization in the air navigation field. It serves as the basis for the ANC sessional work programmes and as a reference source and an aid in the selection of subjects for consideration at future air navigation meetings.
- e) **A working environment.** The ANIP ensures that the ANC and the Secretariat work together towards the ICAO Strategic Objectives and serves as a basis for developing more efficient and effective work methods.

3.2 Mandate

3.2.1 **Authority for approval of the ANIP.** In accordance with standing policy (C-Min 23/12), the Commission has delegated authority to amend the Technical Work Programme (TWP), subject to a yearly report to Council thereon to note it. Recognizing that the ANIP is a revision of the TWP, this delegated authority is still applicable.

3.3 Objectives of the ANIP

3.3.1 The objectives of the ANIP are to provide:

- 3.3.1.1 the necessary functionality for the ANC to endorse the Air Navigation (AN) programmes and for the ANC to evaluate the effectiveness of the initiatives of the Global Air Navigation and Aviation Safety Plans in direct support of the Strategic Objectives;
- 3.3.1.2 the necessary functionality for the Secretariat to align its Global and Regional resources towards the efficient delivery of the expected outcomes of the Air Navigation programmes; and
- 3.3.1.3 the transparency to all Stakeholders on the Air Navigation programmes of ICAO in the Air Navigation field.

3.4 ANIP performance requirements

3.4.1 The ANIP will enable the ANC and the Secretariat to:

- 3.4.1.1 translate the Global Air Navigation Plan (GANP) and Global Aviation Safety Plan (GASP) into AN programmes (mapped directly to the result areas of the ICAO budget) , set outcomes and track progress through measurable global and regional performance indicators (Enabler: AN Programmes);
- 3.4.1.2 establish clear lines of accountability and responsibility throughout all levels of the AN programmes (Enablers: AN Programmes and AN Tasks);
- 3.4.1.3 align and integrate the global and regional air navigation tasks to the outcomes of the AN programmes (Enabler: AN Tasks);
- 3.4.1.4 maintain a consistent process through which all Issues raised to ICAO concerning Air Navigation matters are objectively evaluated on the basis of potential contribution towards the objectives and initiatives set in the Global Plans, the Budget of the Organization; and the AN programmes of the ANIP (Enabler: ANIP Gate Process);
- 3.4.1.5 provide a performance review framework that enables the efficiency and effectiveness of the AN programmes to be evaluated and monitored through measurable performance indicators (Enabler: ANIP Reports and AN Programme Review process);
- 3.4.1.6 improve the ANIP itself through a continuous improvement cycle (Enabler : AN Performance Review and AN Programme Closeout process)
- 3.4.1.7 identify and manage the risks to the delivery of the AN programmes and tasks (Enabler: ANIP Risk Management); and
- 3.4.1.8 provide transparency and access to the information required to meet the objectives through a user-friendly interactive online environment (Enabler: ANIP Website).

3.5 ANIP Life-cycle and Supporting Processes and Forms

3.5.1 The ANIP is supported by the following principal processes and associated forms through its lifecycle:

- 3.5.1.1 the ANIP Gate Process (AN Issue Form – Attachment 1);
- 3.5.1.2 the AN Programme endorsement and amendment process (AN Programme Form – Attachment 2)
- 3.5.1.3 the AN Tasks in support of the AN Programme (AN Task Form – Attachment 3);
- 3.5.1.4 the AN Programme review process (AN Performance Review Form – Attachment 4);
- 3.5.1.5 the AN Programme close out process (AN Performance Review Form).

3.6 The ANIP Gate Process

3.6.1 **Mandatory Process.** All Issues that are submitted will be evaluated through the ANIP Gate Process.

3.6.2 **Process Initiation.** This process will have, at its starting point, an ANIP Issue Form. All matters traditionally raised to ICAO through meeting reports, Safety Recommendations addressed to ICAO, audit findings and other correspondence would have to be raised to the ANIP through the Issue Form

3.6.3 The figure 1 below depicts the ANIP Gate Process.

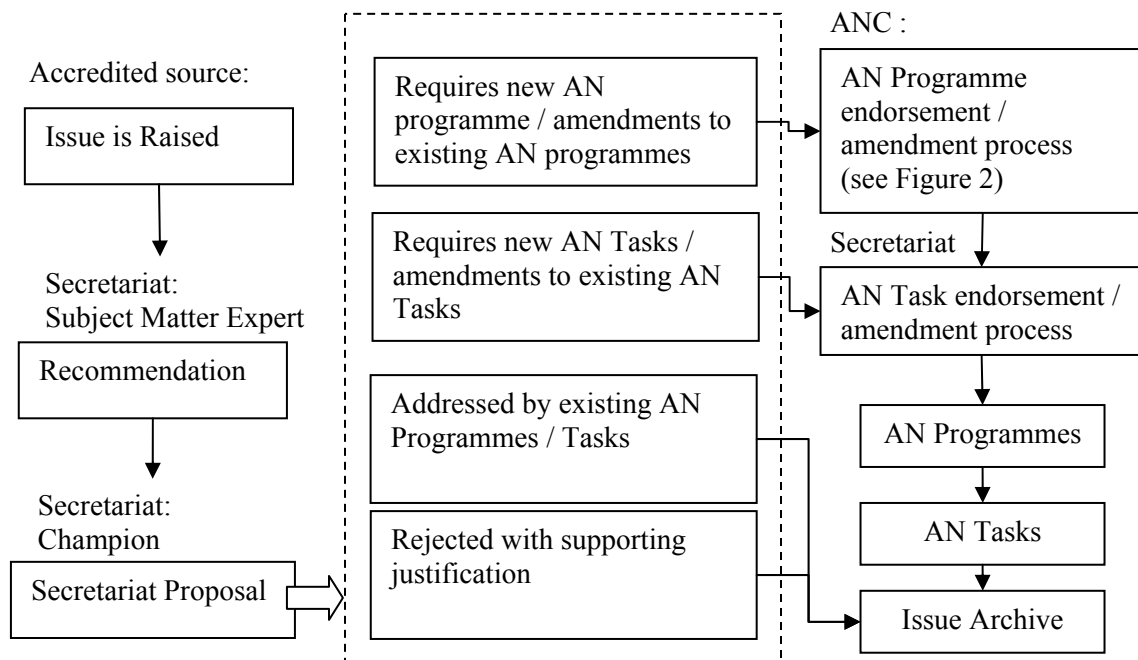


Figure 1 - ANIP Gate Process

3.6.4 **Accredited Issue Source List.** The ANC issues a list of the parties that may submit an AN Issue Form to ICAO. Called the “Accredited Sources for ANIP Issue Identification” (Attachment 5), this list is reviewed by the ANC during its annual ANIP Performance Review. This list is available on the ANIP Environment.

3.6.5 **The AN Issue Form** consists of the following fields to be completed by the originator:

- 3.6.5.1 An Issue Title.
- 3.6.5.2 The name of the originator.
- 3.6.5.3 The date the Issue was raised.
- 3.6.5.4 A description of the Issue.
- 3.6.5.5 A list of any reference relevant to the Issue.
- 3.6.5.6 The level of ICAO involvement required, which shall specifically indicate which regions and what functions of the Organization (development of SARPs, development of Guidance material, delivery of Training/Workshops, or implementation support) are involved.
- 3.6.5.7 Identification of any existing AN Programme(s) related to or effected by the Issue.
- 3.6.5.8 Identification of any existing application of the technology or operational scenario at the heart of the Issue.
- 3.6.5.9 A listing of existing ICAO documentation, effort or activity, known to the originator, that already addresses the matter raised in the Issue.
- 3.6.5.10 Reference to relevant non-ICAO documentation.
- 3.6.5.11 Justification based on the potential benefits of the requested effort and on the risks involved if ICAO does not act as requested.
- 3.6.5.12 Alignment with the Strategic Objective of the Organization.

3.6.6 **Subject Matter Expert Review.** The Issue Form is processed by the subject matter expert within the secretariat who assigns a unique designator to it and makes one or more of the following recommendations:

- 3.6.6.1 To introduce new AN Programmes and/or amend existing AN Programmes
- 3.6.6.2 To introduce new AN Tasks and/ or amend existing AN Tasks
- 3.6.6.3 To note that the Issue is already being adequately addressed by the ANIP through its existing programmes and tasks
- 3.6.6.4 To reject the Issue with supporting justification

3.6.7 **Secretariat Champion Endorsement.** The recommendation is submitted by the Subject Matter Expert to the relevant Secretariat Champion for the Strategic Objective who will endorse the Secretariat's position on the Issue.

3.6.8 **Issue Archive.** In order to ensure the objectivity of the process copies of all Issues are made available in the ANIP environment within an "Issue Archive".

3.7 Programme Endorsement and Amendment Process

3.7.1 The figure 2 below depicts the programme endorsement and amendment process.

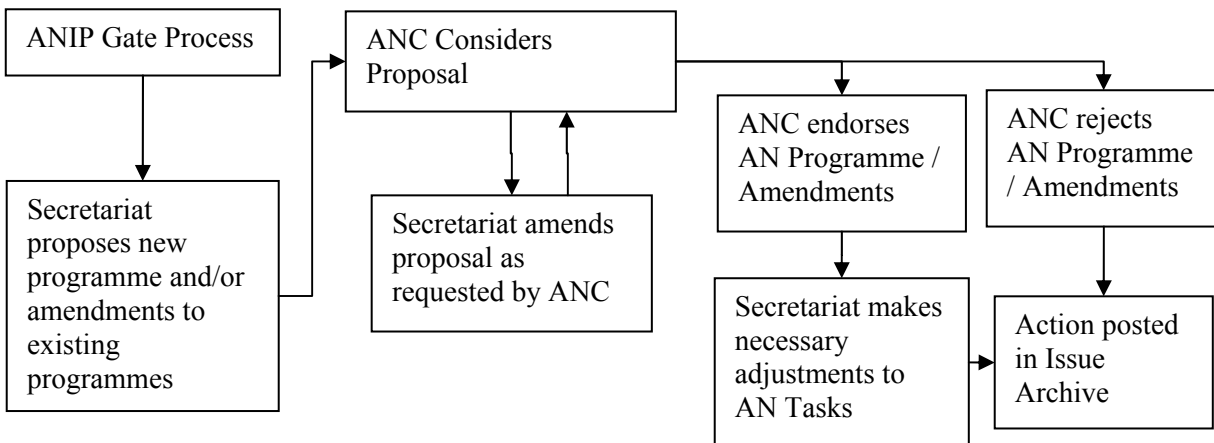


Figure 2 - Programme Endorsement and Amendment Process

3.7.2 **AN Programme Form.** The process to define new and amended programmes is supported by the AN Programme Form. The AN Programme Form includes the following information:

- 3.7.2.1 Programme Title – The subject matter of the strategy being described in the form. Whenever possible the title shall be consistent with the terminology used in the Global Air Navigation Plan or the Global Aviation Safety Plan.
- 3.7.2.2 Next Review Date – Date the programme will be reviewed.
- 3.7.2.3 Designator for the programme – The unique identifier for the programme that is set by the Secretariat as necessary for internal management purposes.
- 3.7.2.4 Manager for the programme – The member of the Secretariat assigned by the Champion of the Strategic Objective to manage the programme (referred to as Programme Manager in this document).
- 3.7.2.5 Alternate(s) – The member(s) of the Secretariat assigned by the Champion of the Strategic Objective, to be alternate(s) to the Programme Manager.
- 3.7.2.6 ANC Champion(s) – The members of the ANC that are assigned by the ANC to the programme for the purpose of:

- 3.7.2.6.1 Ensuring that the ANC does not interfere with the day-to-day management of the AN programme(s);
- 3.7.2.6.2 Informing other ANC members on the background and genesis of the various elements of the AN programme(s);
- 3.7.2.6.3 Delivering informal status updates to the ANC on the programme;
- 3.7.2.6.4 Preparing the review of the progress of the AN Programme and, if necessary, recommending action by the ANC; and
- 3.7.2.6.5 Bringing to the attention of the ANC any critical issue that may affect the delivery of the AN programme.
- 3.7.2.7 Global Initiatives – A link to all relevant Global Air Navigation Plan Initiatives (GPI) and Global Aviation Safety Plan Initiatives (GSI)
- 3.7.2.8 Objective – The high-level intent of the AN programme.
- 3.7.2.9 Issues and Challenges – A description of the major issues and challenges specific to the AN programme area in the context of the objective. For most programmes these should reflect the strengths, weaknesses, opportunities, and threats faced by all Stakeholders and, while focusing on the elements in which ICAO plays (or could play) a leading role, is not meant to cover only those aspects that are controlled by ICAO.
- 3.7.2.10 Strategic Approach – A high-level outline of ICAO’s proposed methodology for addressing the issues and challenges.
- 3.7.2.11 Expected Outcomes – The intended effects of the AN programme towards achieving the Strategic Objectives.
- 3.7.2.12 Performance Indicators – Metrics through which progress on the effectiveness and efficiency of the initiatives will be tracked.
 - 3.7.2.12.1 There are three types of performance indicators:
 - 3.7.2.12.1.1 Type – A: ICAO output indicators that measure ICAO’s deliverables (e.g. SARPs, Guidance Material);
 - 3.7.2.12.1.2 Type – B: Regional outcome indicators that measure the regional status (e.g. Regional Agreements, amendments to ANPs, level of implementation of a technology in an ICAO region, etc); and
 - 3.7.2.12.1.3 Type – C : Global status indicators consistent with the key performance areas used by stakeholders to measure performance in aviation. (e.g. accident statistics with specific causal factors; related costs to users; etc.).

3.8 AN Tasks

- 3.8.1 AN Tasks are managed by the Secretariat.
- 3.8.2 AN Tasks have a direct link to the AN Programme they fall under.
- 3.8.3 AN Tasks are linked to other relevant Issues.
- 3.8.4 AN Tasks are available for view by the ANC.
- 3.8.5 AN Tasks have other details as required by ICAO's financial, human resources and internal programme management requirements, but these are not set by the ANC.

3.9 The AN Programme Review Process

- 3.9.1 All AN Programmes are subject to annual reviews.
- 3.9.2 In addition to the annual reviews the ANC may request that programmes be reviewed when certain specified events occur (e.g. Assembly)
- 3.9.3 Programmes may also be reviewed if the performance of the programme falls below levels deemed acceptable by the AN Programme Manager and the ANC Champions, and requires formal action by the Commission.
- 3.9.4 Programme reviews will be reported to the ANC through the AN Programme Review Form and will normally not require deliberation by the ANC in formal session if no formal action by the Commission is required.

3.9.5 AN Programme Review Form

3.9.5.1 The AN Programme Review Form shall include:

- 3.9.5.1.1 The overall status of the programme;
- 3.9.5.1.2 The report date, time period and review type;
- 3.9.5.1.3 A status report on the level of funding resourced to the Programme;
- 3.9.5.1.4 A status report on the outcomes based on actual Global and Regional measurements of the Performance Indicators, which shall clearly indicate if certain measurements fall below levels that are considered acceptable by the Programme Manager;
- 3.9.5.1.5 A status report on the risks to the programme, which shall clearly indicate if certain risks are either imminent or without contingency or mitigation; and
- 3.9.5.1.6 A projection on the status of the programme up to the next reporting point.

3.9.6 AN Programme Close Out Process

- 3.9.6.1 The AN Programme close out process shall be triggered by a programme close out report, which takes on the same form as the AN Programme report.
- 3.9.6.2 Close outs usually occur when a programme has been successfully completed, but may also be required by a significant reduction in available resources, a change in the mandate of the Organization, or when the ANC deems that the outcomes are no longer achievable or required.
- 3.9.6.3 With the close out any lessons learnt from the programme shall be fed back into the ANIP as Issues.

3.10 AN Programme Risk Management

3.10.1 There are two significant types of risks to AN Programmes:

- 3.10.1.1 Risks to the effectiveness of AN Programmes that are based on what could hinder the achievement of an Outcome even if all ICAO outputs are delivered on time; and
- 3.10.1.2 Risks to the efficiency of AN Programmes that identify what could hinder the timely delivery of ICAO outputs.

3.10.2 Risks to AN Programmes are documented and managed by the Secretariat.

3.10.3 Unmitigated risks identified by the Secretariat that have the potential to impact the outcomes of AN Programmes are made aware to the ANC Champion.

Issue Form

Version : 1.0 Date : 22 June 2007

Issue Title

Result Area

ANIP

Issue ID (nn)

Year (yy)

Source code

Designator:

Not Applicable at this step

07

Originator

Date Issue is Raised

Description

Reference(s)

Requested ICAO involvement

Level and type

Level of ICAO involvement Global
 ASIA/PAC CAR ESAF EURNAT MID SAM WACAF

Other :

Type of ICAO involvement International Standards and Recommended Practices
 Guidance Material
 Training / Workshop
 Implementation Support

Improvement to ANIP related procedures

List any existing ICAO documentation, effort or activity that already covers this matter

Justification

What are the benefits of the requested effort?

What are the risks if ICAO does not act (as requested) on the issue?

Related Existing Non-ICAO Efforts

Describe any existing non-ICAO documentation that is currently addressing the issue

Is the technology or operational scenario that is at the heart of the issue being used or applied somewhere today

ANIP Alignment

	Originator's Comments	Secretariat's Comments
Can this item be covered by an existing ANIP endorsed programme	<input type="radio"/> YES <input type="radio"/> NO If yes identify programme <input type="text"/>	<input type="radio"/> YES <input type="radio"/> NO If yes identify programme <input type="text"/>
	And Describe any amendments required to that programme <input type="text"/>	And Describe any amendments required to that programme <input type="text"/>
Alignment with the Strategic Objectives	<input type="checkbox"/> Safety <input type="checkbox"/> Security <input type="checkbox"/> Environmental Protection <input type="checkbox"/> Efficiency <input type="checkbox"/> Continuity <input type="checkbox"/> Supporting Implementation Strategies	<input type="checkbox"/> Safety <input type="checkbox"/> Security <input type="checkbox"/> Environmental Protection <input type="checkbox"/> Efficiency <input type="checkbox"/> Continuity <input type="checkbox"/> Supporting Implementation Strategies
Does this issue affect any existing ANIP programme (e.g. does it supersede, duplicate or is it inconsistent with an existing ANIP programme)	<input type="radio"/> NO <input type="radio"/> YES If yes identify programme <input type="text"/> and describe <input type="text"/>	<input type="radio"/> NO <input type="radio"/> YES If yes identify programme <input type="text"/> and describe <input type="text"/>

Air Navigation Integrated Programme (ANIP)

Programme Form

Version : 1.0 Date : 22 June 2007

Programme designation				
Programme Title <input type="text"/>				
Next Review Date <input type="text"/>				
Result Area	ANIP	Task ID	Year(yy)	Source code
Designator:		N.A.	N.A.	
Name	Bureau/Office		Post Des.	
Manager	<input type="text"/>		<input type="text"/>	
Alternate	<input type="text"/>		<input type="text"/>	

Programme description			
Global Initiatives	<input type="text"/>		
Objective (s)	<input type="text"/>		
Issues and Challenges	<input type="text"/>		
Strategic Approach	<input type="text"/>		
Key performance indicators			
#	Expected Outcomes	Performance Indicator	Date
<input type="text"/>	<input type="text"/>	<input type="text"/>	a) <input type="text"/>
	Lead section: <input type="text"/>	<input type="text"/>	b) <input type="text"/>
		<input type="text"/>	c) <input type="text"/>
Primary Strategic Objective <input type="radio"/> Safety <input type="radio"/> Security <input type="radio"/> Environmental Protection <input type="radio"/>			

Related
Strategic
Objectives

- Efficiency
- Continuity
- Rule of Law
- Safety
- Security
- Environmental Protection
- Efficiency
- Continuity
- Rule of Law
- Supporting Implementation Strategies
- Supporting Implementation Strategies

For further information or assistance please contact the ANIP-coordinator:
Air Navigation Bureau
Tel: +1.514.954-8219
or visit the SharePoint site: <http://projtest/sites/ANIP/default.aspx>

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AN Task Form

Version : 1.0 Date : 22 June 2007

AN Task: <input type="text"/>				
Result Area	ANIP (Link to AN Programme through designator)	Task ID	Year(yy)	Source code
Designator:		<input type="text"/>	<input type="text" value="07"/>	
Name	Bureau/Region/External			
Manager:	<input type="text"/>			
Alternate:	<input type="text"/>			
Panel:			PIRG:	
Study Group:			Other:	
Task description:	<input type="text"/>			
Expected Output:		Date:	Owner:	
<input type="text"/>		<input type="text"/>	<input type="text"/>	
Global Initiatives: <input type="text"/>				
Contributing Tasks (at the time of programme proposal)				
<input type="text"/>				

References to Issue(s) (please select the Issue from the dropdown box)

[Click to open the file](#)

AN Programme Review Form

version 1.0 date : 22 June 2007

PROGRAMME :

OVERALL CONDITION : RED / ORANGE / GREEN

Report Identification

Report Date	<input type="text"/>	
Report Period	FROM : <input type="text"/>	To : <input type="text"/>
Report ID	<input type="text"/>	
Report Type	<input type="checkbox"/> Time-based <input type="checkbox"/> Condition-based <input type="checkbox"/> Exception-based	Explanation <input type="text"/>

Vital Statistics

Resource Level (covering the report period plus next 12 Months)

Overall Status	<input type="checkbox"/> Less than 80% of required level <input type="checkbox"/> Less than 90% of required level <input type="checkbox"/> Greater than 90% of required level	
Resource Details	Required	Resourced
(a task or output of a task is resourced if it has been assigned to an existing asset)	# of Tasks <input type="text"/>	<input type="text"/>
	# of Outputs in Tasks <input type="text"/>	<input type="text"/>
	In-direct Costs US\$ <input type="text"/>	US\$ <input type="text"/>
Outstanding Critical Hardware/Software requirements	<input type="text"/>	

ANIP Issues

Total Number of ANIP Issues Submitted to ICAO during the reporting period	<input type="text"/>
Of which relate to this programme	<input type="text"/>
	% related <input type="text"/>
Number of related issues that were rejected	<input type="text"/>
	% rejected <input type="text"/>
Number of related issues that were deemed as 'already being addressed by existing task'	<input type="text"/>

Number of related issues that required changes to the existing programme

Number of related issues that required creation of a new programme

Number of related issues still under going review

Average number of days to review issue

Programme Effectiveness

Outcome

Overall Status 30% Targets missed 10-30% of Targets missed < 10% of Targets missed
 >30% of Target immeasurable

Key Performance Indicator

Scope Global ASIA NACC EUR ESAF WACF MID SAM
 OTHER :

Source(s) Used to Measure

BASELINE	Actual	Date	Status
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

Programme Efficiency

Key Performance Indicator

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Source(s) Used to Measure

--

ICAO OUTPUTS

Total Number	Delivered	Delayed	Cancelled	Status

List of ICAO Outputs delayed by more than 14 days

ICAO Output	Delay (weeks)

NON ICAO Outputs

Total Number	Delivered	Delayed	Cancelled	Status

List of NON-ICAO Outputs delayed by more than 14 days

NON-ICAO Output	Entity	Delay (weeks)

RISK

List of Active unmitigated Risks

Attachment No. 5

ACCREDITED SOURCES FOR ANIP ISSUE IDENTIFICATION

CONTRACTING STATES (including Council Representatives)

ASSEMBLY

COUNCIL

AIR NAVIGATION COMMISSION (or individual Commissioners)

ANC OBSERVERS

ANC PANELS

REGIONAL PLANNING AND IMPLEMENTATION GROUPS

ICAO SECRETARIAT (or Secretariat members)

DIVISIONAL-TYPE MEETINGS

— END —