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WORKING PAPER

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**Seventh Meeting of the North American, Central American and Caribbean Directors of Civil Aviation
(NACC/DCA/07)**

Washington, D. C., United States, 19 – 21 September 2017

Agenda Item 5: NAM/CAR Regional Safety/Air Navigation/Aviation Security Implementation Matters

5.2 Effectiveness of air navigation implementation mechanisms

VOLUME III OF THE CAR/SAM AIR NAVIGATION PLAN AND PERFORMANCE-BASED DECISION-MAKING METHOD

(Presented by IATA)

EXECUTIVE SUMMARY	
This working paper presents proposal to start the development of the CAR/SAM ANP Volume III under the Performance-based Decision Making Method, in order to replace the performance-based regional plans of the CAR (RPNAMIP) and SAM (PBIP) Regions and obtain a full harmonized implementation plan for both Regions.	
Action:	Suggested Action is presented in Section 3.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Safety• Environmental Protection
<i>References:</i>	<ul style="list-style-type: none">• Fourth Meeting of the GREPECAS Programmes & Projects Review Committee (CRPP/4)• Seventeenth Meeting of the CAR/SAM Regional Planning and Implementation Group (GREPECAS/17), Cochabamba, Plurinational State of Bolivia, 21 to 25 July 2014

1. Introduction

1.1 The Fourth Meeting of the Programmes and Projects Review Committee (PPRC/4) agreed that due to the changes to be introduced by ICAO in the GANP 2019 (sixth edition), the current draft Volume III had to be aligned accordingly. Therefore, it decided to postpone the delivery date of Volume III. Likewise, the Meeting recalled the validity of the performance-based regional plans of the CAR (RPNAMIP) and SAM (PBIP) Regions for the implementation of the improvements foreseen in both Regions. In this sense, the PPRC/4 formulated the conclusion PPRC/4-3 POSTPONEMENT OF THE APPROVAL OF VOL. III OF THE CAR/SAM eANP.

1.2 The PPRC/4 took note of the ASBU implementation workshop to be carried out in the CAR Region in September 2016 and of a similar workshop being planned in the SAM Region (Lima, 14-18 August 2017), aimed at providing direct assistance to States in aligning their national plans to the ASBU methodology based on the RPBANIP and the SAM PBIP. Both workshops were held as planned and helpful information regarding Performance-Based Decision-Making Method were provided to the participants.

2. Discussion

2.1 In accordance with Global Air Navigation Plan, “the aviation system today is complex with performance determined by a diverse group of stakeholders including Air Navigation Service Providers (ANSPs), airspace users and airports. These stakeholders also see their ability to operate is significantly impacted by external events such as weather. In maintaining high levels of safety and efficiency, all stakeholders are required to make significant investments in new technology. To prioritize future investment and to improve system efficiency, adoption of a performance-based approach in the spirit of ICAO Document 9883 is required, in which a carefully chosen set of performance indicators is used that also allows for monitoring of current operations”.

2.2 Also in accordance with GANP, “a performance-based approach is results-oriented, helping decision makers set priorities and determine appropriate trade-offs that support optimum resource allocation while maintaining an acceptable level of safety performance and promoting transparency and accountability among stakeholders. In promoting a performance-based approach, ICAO recommends that States utilize a focussed set of Key Performance Indicators (KPIs) that provide the means of identifying shortfalls and prioritizing investments. Table 1 shows a potential set of KPIs in the key performance areas of efficiency, capacity and predictability (description of indicators is available from the GANP webpage). Final KPIs will be discussed and agreed by 2019 (as indicated in the timeline below). Implementation of KPIs will allow States to:

- Share performance issues and best practices at a global level;
- Develop business cases for ASBU Module implementation with investment based on KPIs;
- Determine timeliness and appropriateness (geographical and fleet-wise) of ASBU Module deployment according to a performance-driven approach;
- Manage readiness of ASBU Modules for deployment (driving the required speed of R&D, global standardization and development of ICAO provisions);
- Measure and document the performance benefits brought by the Modules implemented.

2.3 Taking into consideration the importance of the Performance Based Approach (PBA) for the correct selection and implementation of the ASBU in the NAM/CAR/SAM Region, it is essential that the development of Volume III of the CAR/SAM ANP be started as soon as possible, based on existing ICAO Documentation (Doc 9750, Doc 9883). The aviation stakeholders (regulators, ANSPs, Airlines, Airports, etc) need a PBA guidance to plan and implement the appropriate ASBU elements and they cannot wait beyond 2019 to have this plan.

Note: In accordance to Doc 9883, *Performance-based approach is a decision-making method based on three principles: strong focus on desired/required results; informed decision-making driven by those desired/required*

2.4 There is strong need of harmonization between NAM/CAR/SAM Regions through the development of the PBA CAR/SAM ANP Volume III. Presently, there are two non-harmonized performance-based plans, one for NAM/CAR and other for SAM. In this sense, it is crucial for all stakeholders in NAM/CAR/SAM that the PBA CAR/SAM ANP Volume III replaces both Performance Based Implementation Plans (NAM/CAR Regional Performance-Based Air Navigation Implementation Plan – RPBANIP - and Air Navigation System Performance-Based Air Navigation System Implementation Plan for the SAM Region - PBIP).

2.5 The PBA CAR/SAM ANP Volume III must follow all the steps provided in the GANP and Doc. 9883, in order to select the corrected ASBU elements, based on regional operational needs, defined through specific performance objectives and performance indicators.

2.6 The development of the PBA CAR/SAM ANP Volume III will require that the experts of all stakeholders be educated on the application of the Performance Based Decision-Making Method, including the application of performance objectives and performance indicators. In this sense, it is highly recommended that ICAO office and States hold workshops regarding the mentioned method.

2.7 The PBA CAR/SAM ANP Volume III will provide the adequate guidance to States for the development of the PBA National Air Navigation Plans, in accordance with the concrete needs of all stakeholders and founded in the appropriate key performance indicators.

3.1 Suggested Action

- a) Recommend the establishment of a NAM/CAR/SAM working group to develop the PBA CAR/SAM ANP Volume III, based on Performance Based Decision-Making Method;
- b) recommend that the PBA CAR/SAM ANP Volume III replaces the NAM/CAR Regional Performance-Based Air Navigation Implementation Plan (RPBANIP) and Air Navigation System Performance-Based Air Navigation System Implementation Plan for the SAM Region (PBIP); and
- c) recommend that ICAO Regional Offices and States hold workshop on Performance Based Decision-Making Method, in order to prepare experts for the development of the PBA CAR/SAM ANP Volume III, as well as the PBA National Air Navigation Plans.