



ICAO

International Civil Aviation Organization
North American, Central American and Caribbean Office

WORKING PAPER

NAM/CAR/CONT/4 — WP/02
24/05/24

**Fourth NAM/CAR Regional Contingency and Emergency
Planning and Response Meeting (NAM/CAR/CONT/4)**
Online, 28 May 2024

Agenda Item 2: ICAO Requirements for Air Navigation Services (ANS) Contingency Planning

ICAO REQUIREMENTS FOR AIR TRAFFIC SERVICES (ATS) CONTINGENCY PLANNING

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
The purpose of this Working Paper is to review the ICAO requirements for contingency arrangements by ATS, provide information regarding regional agreements on contingency planning and update from the results of the GREPECAS/21 meeting.	
Action:	Suggested actions are included in Section 5.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Strategic Objective 1 – Safety• Strategic Objective 2 – Air Navigation Capacity and Efficiency
<i>References:</i>	<ul style="list-style-type: none">• Annex 11 – Air Traffic Services• GREPECAS Action Plan for the Development of ATM Contingency Plans (GREPECAS/13 Appendix AO to the Report on Agenda Item 3)• CAR Region ATM Contingency Plan• Final Report of the Twenty-first Meeting of the CAR/SAM Regional Planning and Implementation Group (GREPECAS/21), Santo Domingo, Dominican Republic, 14 to 17 November 2023

1. Introduction

1.1 States, with their responsibility to provide Air Traffic Services (ATS) in the airspaces under their jurisdiction, constantly face challenges to guarantee the continuity and sustainability in the provision of such services.

1.2 The Caribbean (CAR) Region is periodically under the threat of hurricanes and their devastating effects, without being immune to other types of hazards, natural or man-made, which may cause a limitation to, or a partial and/or total interruption of ATS. A proper and timely response to contingencies is vital for air navigation and the continuity of air transportation in the Caribbean and neighbouring regions.

1.3 Annex 11 to the Chicago Convention requires ATS authorities to develop and promulgate contingency plans for implementation in the event of disruption, or potential disruption, of ATS 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 ATS authorities responsible for the provision of services in adjacent portions of airspace and with airspace users concerned. The purpose of these plans is to ensure that other facilities and services operate when the facilities and services indicated in the air navigation plan are temporarily interrupted.

2. Background

2.1 The GREPECAS/13 meeting, held in Santiago, Chile, 14 to 18 November 2005, addressed the applicable provisions of Annex 11 related to contingency arrangements and recalled difficulties of the bilateral discussions among States to exchange their proposals for contingency plans. GREPECAS/13 decided to approve an action plan for the development of Air Traffic Management (ATM) contingency plans.

2.2 Since 2019 the ICAO NACC Regional Office has been working to enhance regional compliance with Annex 11 contingency arrangements requirements, based on the GREPECAS/13 action for the development of ATM contingency plans.

2.3 The ICAO NACC CAR Regional Contingency Planning and Response Strategy started with the approval of the CAR Region ATM Contingency Plan and established the annual contingency planning and response meeting for the CAR Region. As a direct result, the level of compliance with the submission of the ATM contingency plans to the ICAO NACC Regional Office increased from 20% in 2017 to 65% in 2023.

2.4 As agreed during the NAM/CAR/CONT/3 Meeting, the Secretariat prepared a Working Paper for the GREPECAS/21 meeting, presenting the current challenges for the development of contingency plans in the CAR Region and proposing an update to the GREPECAS approved a template for States’ ATM contingency plans.

2.5 Regarding the concerns expressed by some States with the use of contingency routes where no surveillance and communication services are being provided, the consensus of the meeting considered that the publication of these routes was the individual responsibility of each State and the agreement on their use was under the bilateral agreement with the adjacent ATS units.

2.6 GREPECAS/21 approved the Conclusion below:

CONCLUSION GREPECAS/21/09	ACTIONS TO STRENGTHEN CONTINGENCY PLANNING IN THE CAR/SAM REGIONS
<p>What:</p> <p>That,</p> <p>a) The ATM Contingency Plan Template* (Appendix C to this report) be approved; and</p>	<p>Expected impact:</p> <p><input type="checkbox"/> Political / Global</p> <p><input checked="" type="checkbox"/> Inter-regional</p> <p><input type="checkbox"/> Economic</p>

<p>b) State/Territories and IATA, led by the Secretariat develop and promote a comprehensive strategy to improve contingency planning in the air navigation services of the CAR/SAM Regions, including guidelines for the establishment of level 1 and level 2 contingency plans by GREPECAS/22.</p> <p>* Conclusion 13/68, GREPECAS/13.</p>	<p><input type="checkbox"/> Environmental <input checked="" type="checkbox"/> Operational/Technical</p>
<p>Why: To improve the response of air navigation services to possible degradations or interruptions, to promote operational a safe and orderly air traffic flow, in line with ICAO Annex 11, Attachment C, and to improve contingency planning in the air navigation services of the CAR/SAM Regions</p>	
<p>When: GREPECAS/22</p>	<p>Status: <input checked="" type="checkbox"/> Valid / <input type="checkbox"/> Superseded / <input type="checkbox"/> Completed</p>
<p>Who: a) <input checked="" type="checkbox"/> States <input checked="" type="checkbox"/> ICAO <input checked="" type="checkbox"/> Other b) <input type="checkbox"/> States <input checked="" type="checkbox"/> ICAO <input type="checkbox"/> Other: IATA</p>	

3. Current situation

3.1 To comply with Decision GREPECAS/21/09 – ACTIONS TO STRENGTHEN CONTINGENCY PLANNING IN THE CAR/SAM REGIONS, and to be able to strengthen the planning and preparation of States in contingency and crisis management, a Special Implementation Project (SIP) was approved by the ICAO Air Navigation Bureau to develop guidance material for ATM contingency planning, to enhance regional guidance for Level 1 (internal State plans dealing with internal/domestic coordination actions for the Air Navigation Services Providers (ANSPs)) and Level 2 (bilateral contingency plans involving two or more States) contingency plans. Information on the status of this project will be provided in another Working Paper.

3.2 Recognizing that the nature of the circumstances leading to ATM contingencies rarely occur in isolation, the ICAO NACC Regional Office is working to expand the scope of its contingency planning and response strategy, providing a more holistic approach to contingency planning and response.

3.3 Additionally, ICAO is in the process to harmonize the ATM contingency activities across the regions. For this purpose, a coordination meeting with all ICAO ATM Regional Officers will take place during the ICAO Asia Pacific (APAC)/Middle East (MID) ATM Contingency Planning Workshop (Bangkok, Thailand, 25-28 June 2024). This workshop will include a Contingency Tabletop Exercise that will be conducted by the APAC ANSP Committee (AAC), CANSO and Space Vehicle Launch and Re-entry Coordination Small Working Group (SVLRC SWG) of the APAC ATM/Subgroup (SG).

4. Conclusions

4.1 The planning and response to contingencies and emergency situations by the ATS providers is a responsibility of the States, which must have adequate coordination, with the objective of guaranteeing safety, minimize the impact on users and ensure a prompt recovery of operations.

4.2 States and other aviation stakeholders recognize contingency plans published by States as the regionally agreed mechanism through which ATS providers of a State detail their actions in the event of a contingency.

4.3 Similarly, the aviation community expects ICAO to play a coordination and advice role for States in situations that could interrupt air operations. However, this can only be done based on previously established and regionally agreed procedures.

5. Suggested actions

5.1 The Meeting is invited to:

- a) take note of the information provided in this paper;
- b) encourage States to develop and/or update their ATS contingency plans, to comply with Annex 11 and GREPECAS agreements; and
- c) suggest any other action deemed appropriate.