

# ***EUROCONTROL GUIDELINES for CONTINGENCY PLANNING of AIR NAVIGATION SERVICES***

***SASI WS 04A-09 Cyprus 24-26 November 2009***

***Overview of Contingency and the EUROCONTROL Guidelines***

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**[http://www.eurocontrol.int/ses/public/standard\\_page/sk\\_sesis\\_guidelines.html](http://www.eurocontrol.int/ses/public/standard_page/sk_sesis_guidelines.html)**



# REGULATORY ASPECTS

Annex 11, Air Traffic Services, Chapter 2.30

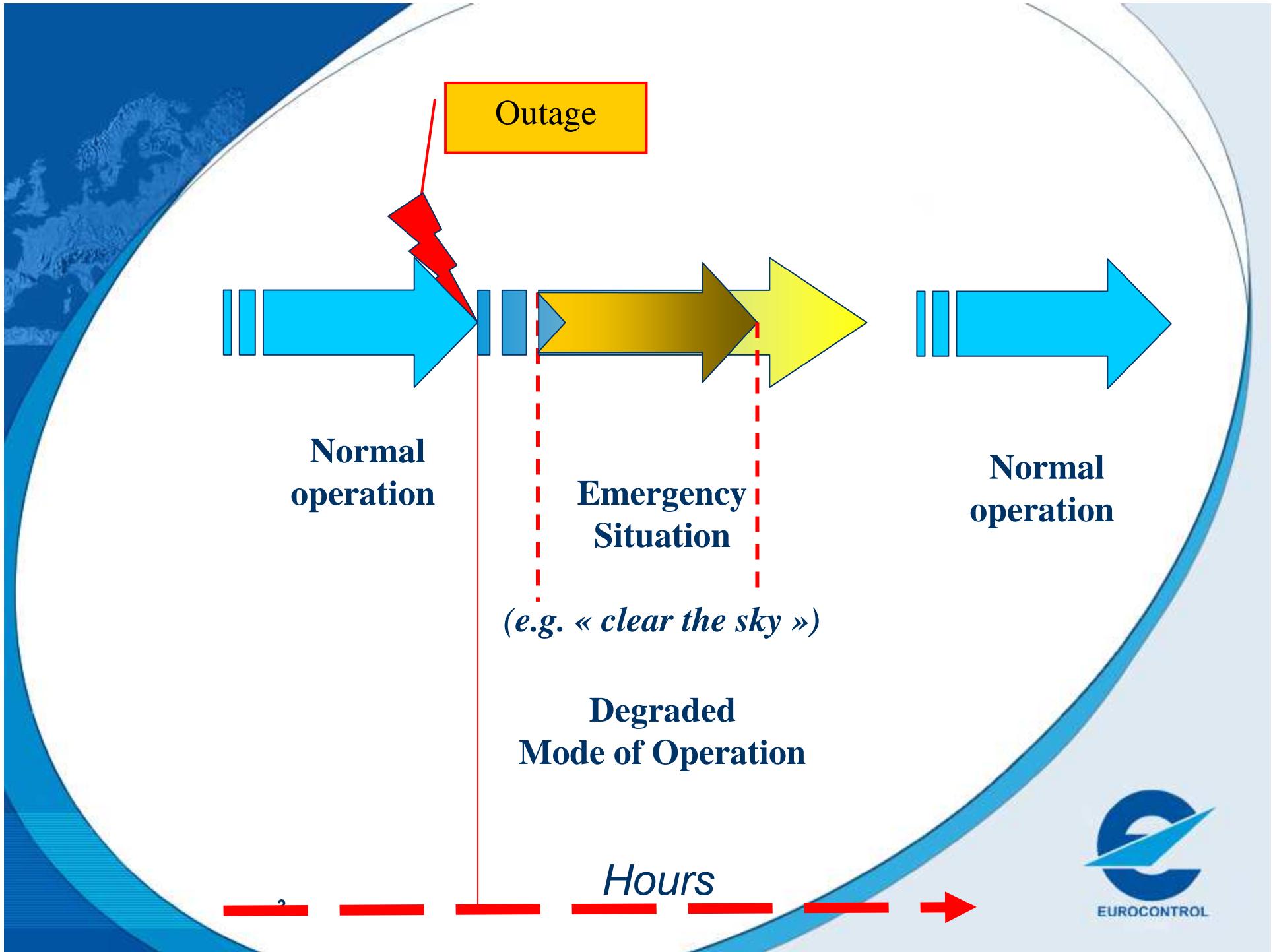
*“Air Traffic Service authorities **shall develop and promulgate contingency plans** for implementation in the **event of disruption, or potential disruption, of air traffic services and related supporting services ...**”*

**Attachment D (Guidance):**

*“**contingency plans** are intended to provide **alternative facilities and services** to those provided for in the regional air navigation plan ... (when) temporarily not available.”.*

**Common requirements (EC) N°2096/2005**

- “ *an **air navigation service provider** shall have **in place contingency plans for all the services** it provides in the case of events which result in the **significant degradation or interruption of its services** ”.*
- **Plans were required to be completed and ready for possible implementation mid- 2008.**



Elapsed Time of  
disruption of service  
(48 hours +, weeks)



**Service Continuity**  
*(e.g. resuming Services  
from alternate location)*

Days or weeks

**Recovery to  
Normal  
Operation**

Day(s)

**Normal  
operation**



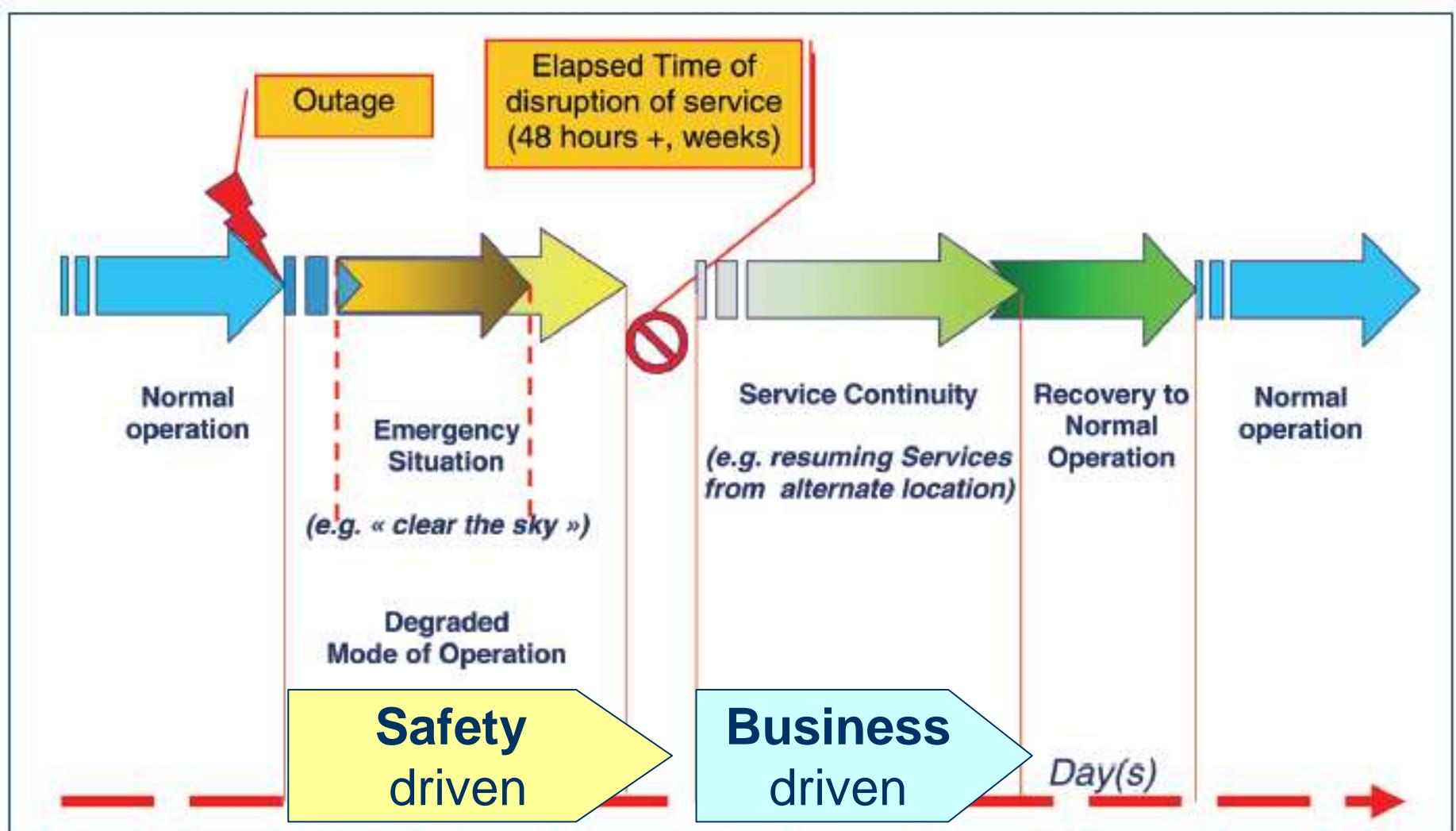
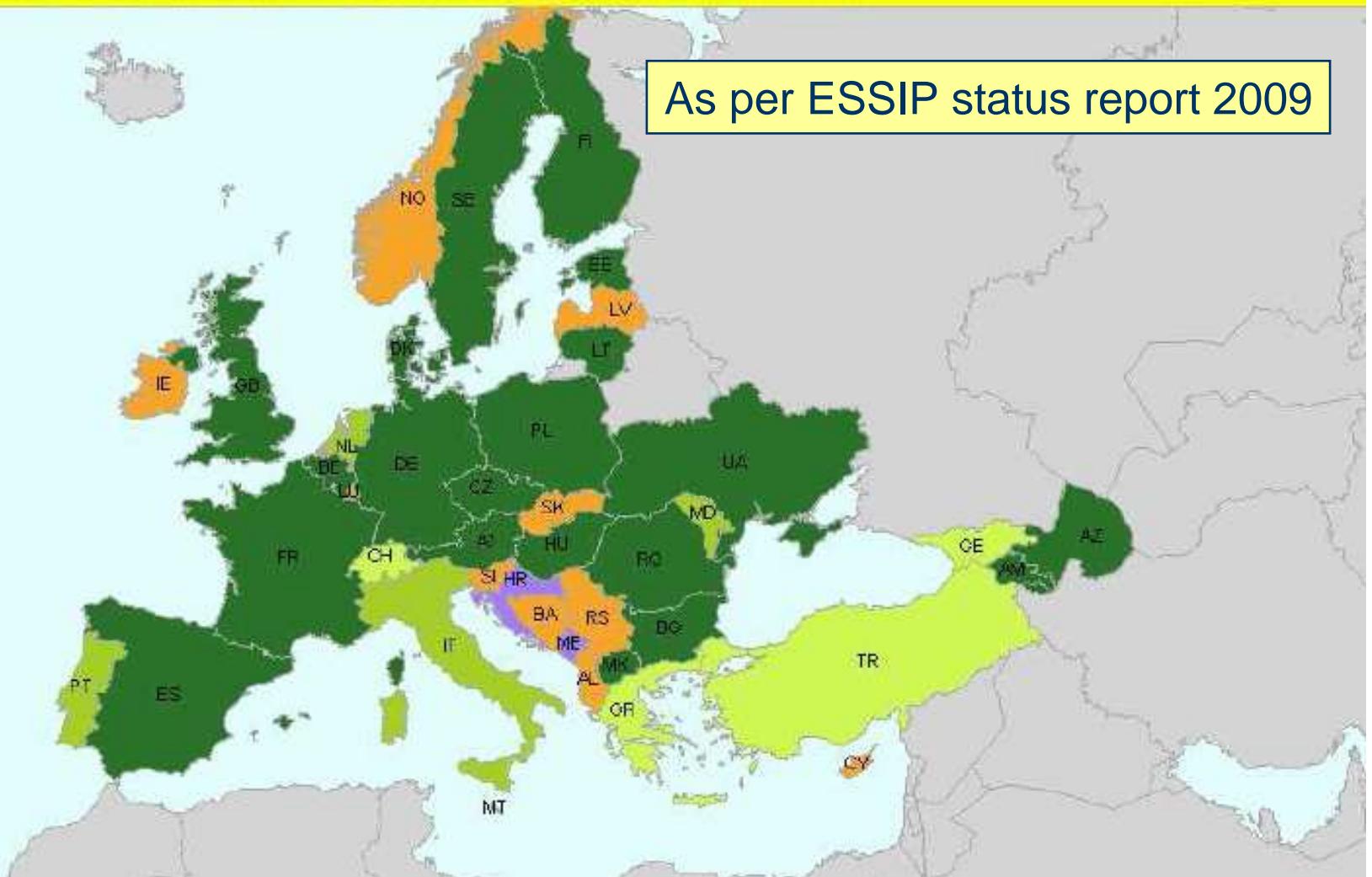


Figure 1: Generic Contingency Life-Cycle

As per ESSIP status report 2009



**Mixed progress of “enacting” regulation on Contingency**

- Impediment to regional cooperation;
- Further difficulty for FABs setting.

# **EUROCONTROL Guidelines for Contingency of ANS**

## Project launched in 2007.

# Contingency Task Force established with:

- ANSPs,
- UK and French regulators
- NL Ministry



Reference Guide to  
EUROCONTROL Guidelines for  
Contingency Planning of  
Air Navigation Services  
(including Service Continuity)

*Edition 2.5*





State Civil & Military  
Authorities

ANSP

Airports



Airspace Users

Policy  
on  
Contingency

*Contingency Process*

Execution  
&  
Assurance

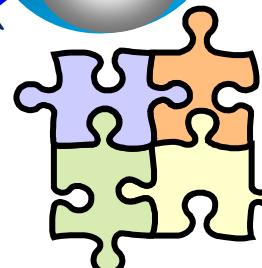
Achievement

Policy

Plan

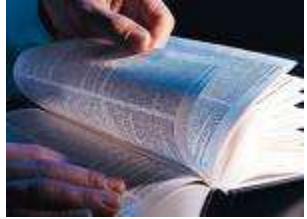


Operational  
Concept  
for Contingency



Contingency  
Plans





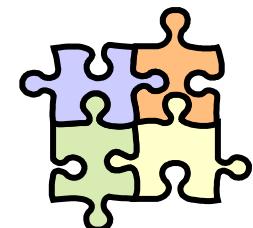
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*EUROCONTROL Guidelines for  
Contingency Planning of Air  
Navigation Services  
(including Service Continuity)*

Edition 2.0





**Contingency  
Plans**

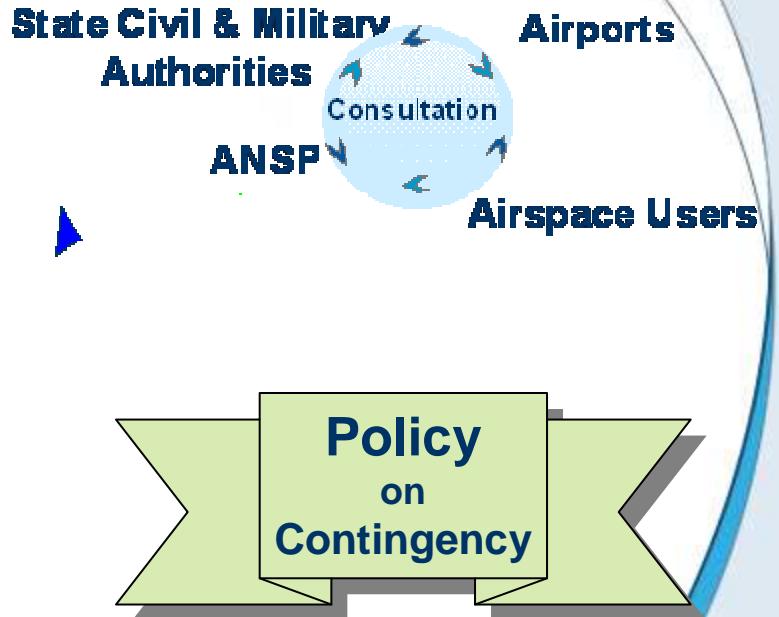
**State Civil & Military  
Authorities**

**ANSP**

**Airports**

 **Consultation**

**Airspace Users**



**Operational  
Concept  
for Contingency**



# Basic Material for the Workshop / Exercises



**EUROCONTROL**

Reference Guide to  
EUROCONTROL Guidelines for  
Contingency Planning of  
Air Navigation Services  
(including Service Continuity)

Edition 20 Revision 0



## CHECKLIST OF ROLES AND RESPONSIBILITIES

A checklist of actions to be completed by State authorities/ NSA and ANSP is provided below.

Complete guidance can be found in Chapter 6 and Appendix A of the Guidelines.

### STATE

- Have a good understanding of their responsibility with regard to contingency as a result of:
  - The Chicago Convention, Annex 11, Air Traffic Services, Chapter 2.29; Guidance material to Chapter 2.29, Attachment C, material relating to contingency planning;
  - The Commission Regulation (EC) No 2096/2005 of 20 December 2005 laying down common requirements for the provision of air navigation services, Annex I, Para.8.2.
- Organise consultation with stakeholders in order to define specific national requirements to be met by contingency plans of respective ANSPs
- Assign national requirements to ANSPs, through regulation, or agreements; these requirements could be part of the obligations attached to designation;
- Entrust, via adequate means, the National Supervisory Authority (NSA) with the verification of contingency plans
- Approve the contingency plans (either directly or through delegation to the NSA),

## CHECKLIST OF POLICY FOR CONTINGENCY

- The Contingency Policy should:

- Set out the organisation's attitude towards Contingency.
- State the overall Contingency goals and objectives.
- Detail the scope of Contingency within the organisation:
  - 'Fail to safe' modes of operation.
    - Economic guidelines presented in Guidelines assist ANSPs and NSAs to form an opinion as to limiting provision to 'fail & safe' modes of operations*

- Service Continuity
- Define the internal requirements for Contingency
- Provide a framework to enable the development of an Operational Concept for Contingency
- Outline the principles that will underpin the detailed contingency planning actions and measures that will be developed later in the Planning process.

- In addition, the Policy should broadly reflect:
  - The performance criteria to be satisfied, e.g. service levels, capacity, environment, efficiency and reaction time.
  - The units covered: is it all or only some?
  - The Contingency Planning testing/exercising regime.
  - The assumptions and limitations related to ANSP Contingency Planning

## CHECKLIST OF ORGANISATIONAL ASPECTS

A checklist of the Organisational actions to be completed by ANSPs for a given ANS unit (e.g. ACC, APP, and TWR) is provided below. Complete guidance can be found in Chapter 5 of the Guidelines.

## ESTABLISH CONTINGENCY PLAN REQUIREMENTS

- Check that a process is in place to set the requirements for "Contingency measures" with the State authorities (including the Military authorities), the Airspace Users and the Airports (if relevant).

## ASSEMBLE ANSP CONTINGENCY PLANNING TASK FORCE/TEAM

- Check that all specialists relevant to the ANS unit considered are involved, e.g:
  - Managers/Supervisors
  - ATCOs
  - Engineers/Technicians
  - Legal
  - Human Resources
  - Finance
  - Facilities Management (e.g. parking, catering)
  - Staff representatives if appropriate
- Convene workshop/brainstorming
  - Consider the "what if"
  - Gain greater understanding of contingency planning
- Appoint senior manager to own the process:
  - Responsible for final sign-off of contingency plan(s)*
- Identify those responsible for maintaining the CP
- Secure resources and budget of the contingency planning team activities

## CHECK LIST OF LEGAL ASPECTS

A checklist of legal aspects to be completed by State authorities/ NSA and ANSP is provided below.

Complete guidance can be found in Chapter 5.5 of the Guidelines.

## LIABILITIES

### STATES / NSAs / ANSPs

- Check the extent of their potential liability, e.g. check applicable national laws to identify the type of damage for which the liability of players can be invoked. (e.g. economic damage suffered by airlines after the closing or restriction of airspace).
- Where possible, clarify and allocate liabilities as well as possible recourse actions, place of jurisdiction, dispute settlement procedures between the players (e.g. in agreements between States, between NSAs, and between ANSPs).

*This is of particular importance in the context of contingency plans involving several ANSPs and/or cross-border cooperation*

## STATES

- Verify that the appropriate legal instrument (for instance in designation act, in law or regulation, etc...) includes provisions on the possible negative consequences of the failure by the ANSP to meet requirements set for contingency.
- Include provisions on the allocation of liabilities in agreements related to contingency with another State (see above)

**NSAs**

- Inclusion of list continues above

**ANSPs**

- Inclusion of list continues above

## INSURANCE

**ANSPs**

- Ensure risks involved in the insurance extent generic
- Consider the insurance approach

## CROSS-SERVICE ISSUES

**STATES**

- Determine and implement procedures should service be interrupted
- Check responsibilities and roles in industry (between service providers)
- Appoint roles of responsibility
- Appoint roles of accountability

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