International Civil Aviation Organization
CAR/SAM Regional Planning and Implementation Group (GREPECAS)
Fourteenth meeting of the CAR/SAM Regional Planning and Implementation Group (GREPECAS/14)
(San Jose, Costa Rica, 16 to 20 April 2007)

Agenda Item 3: Assessment of development of regional air navigation and security infrastructure

3.6 Report of the ATM/CNS/SG/5 meeting

REPORT OF THE FIFTH MEETING OF THE ATM COMMITTEE

(Presented by the Secretariat)

SUMMARY

This working paper contains a summary of the outcome of the Fifth Meeting of the ATM Committee, which adopted a series of draft conclusions that are being submitted to the consideration of the GREPECAS/14 meeting.

References:

- Report of the ATM/CNS/SG/5 meeting.
- Report of the AP/ATM/12 meeting.

1. Introduction

1.1 The ATM Committee reviewed the work done by the CAR/SAM Regional Monitoring Agency (CARSAMMA) and the Scrutiny Group (GDE) regarding the safety assessment one year after the implementation of the RVSM in the CAR/SAM Regions, as well as the reports on large height deviations (LHD). It also reviewed the work of the various ATM Committee Task Forces, and aspects related to ATS contingency plans.

1.2 It also analysed the amendment to the Global air navigation plan for CNS/ATM systems (Doc 9750) and its relationship with, and impact on, regional plans and, specifically, the plan for the transition to CNS/ATM systems in the CAR/SAM Regions. The Committee reviewed the ATM and SAR deficiencies and outstanding GREPECAS conclusions/decisions, the work programme of the Committee, and, finally, other matters submitted for discussion during the meeting.

1.3 A summary follows of the work done by the ATM Committee, which formulated ten (10) draft conclusions, as shown in **Appendix A** to this working paper.

2. Work done by the ATM Committee

2.1 Operational use of RVSM in the CAR/SAM Regions

Safety assessment following RVSM implementation in the CAR/SAM Regions

2.1.1 It may be recalled that RVSM was implemented in CAR/SAM airspace on 20 January 2005. CARSAMMA conducted the post-implementation safety assessment after one year of operations. The complete report of this assessment is contained in the report of the AP/ATM/12 meeting, which can be found in the website of the South American Regional Office **www.lima.icao.int**.

2.1.2 The assessment took into account the technical risk plus the risk from all other causes, and shows that the total risk for the CAR/SAM Regions is higher than the agreed TLS. It should be noted that large height deviations (LHDs) have a significant impact on total risk. Errors are not caused by RVSM operation, but rather by common aircraft handover procedures from one ATC unit to another. Therefore, new corrective action was proposed as short- and medium-term solutions. These measures supplement those contained in Conclusion 13/61 and appear in the report of the fifth meeting of the ATM Committee (ATM/COMM/5).

2.1.3 In order to drastically and significantly reduce the occurrence of this type of error, CAR/SAM States/Territories/International Organisations should commit themselves to the adoption, as a matter of urgency, of the measures contained in GREPECAS Conclusion 13/61 "*Measures to reduce operational errors in the ATC coordination loop between adjacent ACCs*" and, in particular, the Programme for the prevention of ATC coordination errors between adjacent ATS units, associated to the cited conclusion.

Safety monitoring in RVSM airspace

2.1.4 Taking into account the need for a new safety assessment of RVSM operations in the CAR/SAM Regions using the collision risk model, a new data collection on air traffic movement was carried out on 15-19 January 2007.

Training of GTE members

2.1.5 The meeting deemed it advisable to conduct training sessions for experts in air traffic management or flight operations so that they can participate in the GTE on a permanent basis. In this respect, the meeting adopted **Draft Conclusion 5/1 - Training in large height deviation (LHD) analysis**.

2.2 Performance-based navigation (PBN)

CAR/SAM performance-based navigation (PBN) roadmap

2.2.1.1 The meeting noted that, in order to plan and implement performance-based navigation, detailed information was needed on several aspects related to CNS infrastructure and the navigation capability of the fleet operating in the CAR/SAM Regions. Consequently, an RNAV and RNP questionnaire was developed and used to prepare a roadmap, which was considered to be a fundamental document for the harmonisation of PBN implementation in the CAR/SAM Regions.

2.2.1.2 As a result of this analysis, the meeting established a short-term (until 2010) and a medium-term (2011-2015) implementation strategy, contained in the PBN roadmap, which appears in **Appendix B** to this working paper.

2.2.1.3 In light of the above, the meeting approved **Draft Conclusion 5/2-CAR/SAM Performance-based Navigation (PBN) Roadmap.**

RNAV and RNP training requirements

2.2.1.4 In this respect, it has been deemed advisable that the States and International Organisations that have courses on topics such as airspace planning, design of PANS/OPS procedures, and safety assessment, make them available to the other States and International Organisations, and that all available reference material be posted on the websites of the ICAO Regional Offices.

Aircraft operations and airworthiness

2.2.1.5 A review was made of information on PBN and its two categories, RNAV and RNP, and also of the guides and directives for ACC inspectors on the approval process for the following types of operations: RNP 10, RNP 4, RNAV 5; RNAV 2 and RNAV 1. These documents appear in the report of the AP/ATM/12 meeting, and are posted on the website of the South American Regional Office **www.lima.icao.int.**

Safety assessment seminars and methodology

2.2.1.6 In order to implement the PBN concept in a harmonious manner, a safety assessment of different parts of the airspace will be required, applying different methodologies. It was also felt that there was a limited number of professionals involved in the area of safety assessment. It was also noted that there was no common methodology for terminal area safety assessments, understanding that the Separation and Airspace Safety Panel could address this issue. In view of the above, the meeting formulated **Draft Conclusion 5/3-Safety assessment seminars and methodology**.

Operational errors in a PBN environment

2.2.1.7 It is obvious that, with RNP, there is a close connection between the criteria for the design of en-route and terminal area operational procedures and airspace, and the assurance that only those aircraft, systems and operators with certified performance are authorised to conduct operations. Altogether, aircraft certification and operator approval requirements represent a specific safety aspect that needs to be addressed and approved.

2.2.1.8 Consequently, the meeting considered that the guidance and operational criteria developed by the ATM Committee at its fifth meeting should be taken into account when developing risk analysis requirements and national regulations for PBN approval of aircraft and operators. In this sense, the meeting approved **Draft Conclusion 5/4-Importance of operational errors in a PBN environment**.

2.2.2 **Air traffic flow management (ATFM)**

2.2.2.1 The meeting agreed that ATFM implementation should be done by phases in order to allow for a gradual evolution and develop system capabilities, following strategic, pre-tactical and tactical phases.

2.2.2.2 To the extent possible, the airspace should be structured free of operational discontinuities, inconsistencies, and differing standards and procedures. Likewise, the alignment of airspace classifications should be encouraged, data link communications developed and used to a larger extent, flight plan processing improved, and ATFM message exchange capabilities developed.

2.2.2.3 In order to improve the efficiency of air operations, the meeting considered that operational agreements between ATS units should be updated or established in the short term, and to that end, it formulated **Draft Conclusion 5/5 - ATFM operational agreements.**

ATFM operational concept in the CAR and SAM Regions (CAR/SAM ATFM CONOPS)

2.2.2.4 The CAR/SAM ATFM operational concept is a high-level document. Its main objective is to define and regulate the homogeneous implementation of ATFM in the CAR/SAM Regions. It should be noted that, although ATFM planning will be done jointly for both Regions, the implementation of the system *per se* will be done in keeping with the needs of each region.

2.2.2.5 In this respect, a single ATFM operational concept for both Regions will permit a harmonised implementation in the regions and will ensure an effective and equitable service. The operational concepts will define the minimum functions and requirements on which the implementation of the service and of the required ATFM units would be based.

2.2.2.6 The meeting analysed the draft ATFM operational concept, which appears in **Appendix C** to this working paper, and considered that said document could be adopted for the CAR/SAM Regions, and thus approved **Draft Conclusion 5/6-Adoption of the ATFM operational concept for the CAR/SAM Regions**.

Cost-benefit analysis

2.2.2.7 On this topic, it was recalled that the Action Plan for the implementation of ATFM, approved by GREPECAS, included Task 1.13 – "Provide information for cost-benefit analysis". It was deemed necessary to encourage CAR/SAM providers, in coordination with the ATFM implementation groups, to use the information material, which appears in Appendix I to Agenda Item 2 of the ATM/COMM/5 Final Report to collect all relevant information, in order to conduct their cost-benefit analysis. Accordingly, it formulated **Draft Conclusion 5/7-Collection of information for the cost-benefit analysis.**

2.2.3 **ATM automation**

2.2.3.1 The Group recognised that various States/Territories/International Organisations had started bilateral conversations to conduct studies and reach agreements for the exchange of flight information among existing automation systems, taking into account the ICD. The meeting agreed that the work on data exchange in the CAR and SAM Regions should continue, specifically among those facilities whose systems were ready and capable of handling the interface.

2.2.3.2 It was agreed that the ICD should be submitted to GREPECAS for approval, and to keep it as an updated evolving document, to be expanded as necessary when new requirements were identified and new technologies implemented. (See **Appendix D** to this working paper).

2.2.3.3 The meeting felt that the best way of achieving a seamless and inter-functional ATS system among the States/Territories/International Organisations was through the establishment of bilateral or multilateral agreements among adjacent ATS units, which would provide guidance for the implementation of CNS/ATM applications wherever feasible and required. As experience is gained from successful implementation, the knowledge, advantages and benefits will be shared among all the parties involved. Therefore, the meeting formulated **Draft Conclusion 5/8-Agreements for the interface of automated systems**.

2.2.3.4 It also agreed that the States/Territories/International Organisations should formulate an action plan based on the performance objective for the interface of ATM automated systems, and approved **Draft Conclusion 5/9-Establishment of an Action Plan for the Interface of ATM automated systems.**

2.3 **ATS contingency plans**

2.3.1 It was noted that the Air Navigation Commission had congratulated GREPECAS for developing a Plan for drafting ATS contingency plans. Also, considering that Conclusion 13/68 was consistent with Strategic Objective E: *Continuity – Maintain the continuity of aviation operations*, it requested GREPECAS to prepare a regional catalogue of ATS contingency plans to support compliance with the cited Strategic Objective.

2.3.2 It was noted that some CAR/SAM States had already harmonised their respective ATS contingency plans according to Attachment D to Annex 11, and that others were in the process of preparing them, but that would not hinder the development of a regional catalogue to be presented at the GREPECAS/14 meeting. Consequently, the meeting reviewed and approved the Regional Catalogue model, which appears in **Appendix E** to this working paper, and formulated **Draft Conclusion 5/10-Catalogue of CAR/SAM ATS contingency plans.**

2.4 **Review of ATM and SAR deficiencies and outstanding GREPECAS Conclusions/Decisions (Task ATM-GRAL/100)**

Review of ATM and SAR deficiencies

2.4.1 The meeting took note of the updated information on ATM and SAR deficiencies with “A”,”B” and “U” priority in CAR/SAM States, Territories, and International Organisations, as well as of their action plans to correct them. It recalled Conclusion 13/92 whereby GREPECAS had requested CAR/SAM States, Territories, and International Organisations to make their utmost to eliminate all urgent deficiencies by December 2007.

Review of outstanding Conclusions/Decisions from previous GREPECAS meetings

2.4.2 According to the GREPECAS Procedural Manual, the Conclusions and Decisions were analysed in order to keep them updated and reduce them to the minimum, based on the progress made. The Conclusions/Decisions on ATM and SAR are shown in WP/20.

2.5 **Plan for the transition to the ATM system in the CAR/SAM Regions**

2.5.1 The meeting recalled that the Air Navigation Commission, on 17 January 2006, had studied a second proposal of amendment to the Global air navigation plan for CNS/ATM systems (Doc 9750) (Global plan), whereby the Global Plan Initiatives (GPIs) were incorporated. These initiatives will be inserted into the existing planning work programme of the Regional Planning and Implementation Groups (PIRGs). Global initiatives are designed to contribute to the achievement of regional performance objectives and to support regional implementation programmes, which should be developed based on well-identified performance objectives.

2.5.2 The Plan for the transition to the ATM system in the CAR/SAM Regions has been developed taking into account the Global Air Navigation Plan. Its purpose is to apply the Global Plan Initiatives (GPI), in order to begin the transition towards the ATM operational concept, and to fully update the CAR/SAM Regional Plan for the implementation of ATM/CNS systems.

2.5.3 The specific chapters related to the navigation infrastructure and institutional aspects should be developed by the AGA/AOP, AIS, HRT, and MET Subgroups, the CNS Committee, and the Institutional Aspects Task Force, taking into account the operational requirements established in chapter 4, the guides of the GPIs involved, and the introduction to each of the specific chapters, based on those ATM operational requirements.

2.5.4 In view of the above, the ATM/CNS SG analysed the Plan for the transition to the ATM system in the CAR/SAM Regions, and proposed some changes that it deemed necessary. Additional information may be found in the report on Agenda Item 4 of the ATM/CNS/SG/5 meeting.

2.6 **Organisational issues of the ATM Committee**

2.6.1 The meeting reviewed the Terms of Reference and Work Plans of each of its working groups, as shown under item 5.2.

2.6.2 Taking into account the aforementioned, the Meeting agreed on **Draft Conclusion 5/16 – Re-organization of the work programmes to support the ATM Performance Objectives for the CAR and SAM Regions.**

2.7 **Other matters**

2.7.1 Under this topic, the meeting took note that the United States had started to coordinate plans and requirements for redesigning the airspace and reducing the lateral separation in the *"West Atlantic Route System"*, including the oceanic airspace of the Miami Centre and of the San Juan Centre Flight Information Region (FIR) (*"WATRS-Plus" airspace*). This initiative will increase airspace capacity, give air traffic service providers more flexibility, and allow users a more efficient operation.

3. **Suggested action**

3.1 The Meeting is invited to take note of the information provided concerning the Fifth Meeting of the ATM Committee of the ATM/CNS Subgroup, and approve the draft conclusions shown in **Appendix A** to this working paper.

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APPENDIX A

DRAFT CONCLUSIONS ADOPTED DURING ATM/COMM/5 MEETING, TO BE SUBMITTED FOR CONSIDERATION OF GREPECAS

DRAFT CONCLUSION 5/1 TRAINING ON THE ANALYSIS OF LARGE HEIGHT DEVIATIONS (LHD)

That, taking into account the need to have qualified experts available to assist in the activities of the GTE, the CAR and SAM States/Territories/International Organizations:

a) support training on analysis of Large Height Deviations as part of regional activities;

b) send technical experts to the training sessions envisaging those experts becoming regular participants of the GTE; and

c) that ICAO take the necessary actions to coordinate GTE training sessions in each Region.

DRAFT CONCLUSION 5/2 CAR/SAM ROADMAP FOR PBN

That States/Territories and International Organizations adopt and apply the CAR/SAM Roadmap for PBN as shown in **Appendix XX** to this part of the report.

DRAFT CONCLUSION 5/3 SAFETY ASSESSMENT SEMINARS AND METHODOLOGY

That ICAO:

a) promote seminars related to safety assessments, aiming at the preparation of personnel to work in the future PBN implementation;

b) encourage safety airspace and separation panel (SASP) to develop a common methodology for safety assessment in terminal areas.

DRAFT
CONCLUSION 5/4 **IMPORTANCE OF OPERATIONAL ERRORS IN A PBN ENVIRONMENT**

States, Territories and International Organizations analyze the importance of operational errors in an environment with PBN and invest all possible resources in the training of air traffic controllers and pilots aiming the reduction of these errors considering the future implementation of this concept in the CAR/SAM Regions.

DRAFT
CONCLUSION 5/5 **ATFM OPERATIONAL AGREEMENTS**

That CAR and SAM States/Territories/International Organizations, which so require and that have not done so, when reviewing operational bilateral agreements among ATS units include balance measures between demand and capacity not later than **30 November 2007**.

DRAFT
CONCLUSION 5/6 **ADOPTION OF THE CAR AND SAM ATFM CONCEPT OF OPERATIONS (ATFM CAR/SAM CONOPS)**

That the CAR and SAM States/Territories and International Organizations:

a) adopt the CAR and SAM ATFM Concept of Operations (ATFM CONOPS) shown in **Appendix XX** to this part of the report; and

b) establish a work program to enable the implementation of the ATFM CONOPS.

DRAFT
CONCLUSION 5/7 **COLLECTION OF INFORMATION FOR THE COST-BENEFIT ANALYSIS**

That CAR/SAM States/Territories/International Organizations which have not yet done so, initiate the data collection to develop its financial cost-benefit analysis of the ATFM implementation project, using as guidance material the information shown in **Appendix I** to Agenda Item 2 of the ATM/COMM/5 Report.

DRAFT CONCLUSION 5/8 AGREEMENTS FOR ATM AUTOMATED SYSTEMS INTERFACE

That CAR/SAM States/Territories/International Organizations:

a) take into account technical feasibility studies and operational benefits, and coordinate the establishment of bilateral and multilateral agreements for the interface of automated systems between adjacent units; and

b) use guidance material specified as "Interface Control Document (ICD) for data communications between ATM units in the CAR and SAM Regions", included in **Appendix XX** to this part of the report, keeping in mind that:

   i) ICAO guidance material contained in such document is applicable at the regional level; and

   ii) material that does not comply with ICAO guidelines, should be used only as reference and would be agreed at a bilateral or multilateral basis, as required.

DRAFT CONCLUSION 5/9 ESTABLISHMENT OF AN ACTION PLAN FOR THE INTERFACE OF ATM AUTOMATED SYSTEMS

That CAR/SAM States/Territories/International Organizations, formulate an Action Plan for the interface of ATM automated systems, which includes:

a) the assignment of an expert as point of contact to carry out the regional coordination work for the interface of ATM automated systems;

b) the analysis of the current service level provided by ATS automated systems, as well as requirements to satisfy future operational applications of the ATM community using the Table of ATS Operational Requirements for Automated Systems, included in **Appendix O** to Agenda Item 2 of the ATM/COMM/5 Report.

c) document the action plan and share practices and experiences with other States/Territories/International Organization, which so require.

DRAFT
CONCLUSION 5/10 **CATALOGUE OF CAR/SAM ATS CONTINGENCY PLANS**

That:

a) the Catalogue of CAR/SAM ATS contingency plans, shown in **Appendix XX** to this part of the report, is adopted; and

b) CAR/SAM States/Territories/International Organization send the updated information to ICAO, before 1st July 2007, for its inclusion in said document.

DRAFT
CONCLUSION ATM/5/16 **RE-ORGANIZATION OF THE WORK PROGRAMMES TO SUPPORT THE ATM PERFORMANCE OBJECTIVES FOR THE CAR AND SAM REGIONS**

That, to support the evolution from a system-based towards a performance-based approach for the planning and implementation of air navigation infrastructure:

a) CAR/SAM States, Territories and International Organizations take the necessary actions to develop and implement national ATM work programmes in accordance with the performance objectives identified in Chapter 4 of the *Plan for the Transition to the ATM System in the CAR/SAM Regions*; and

b) ICAO continue the coordination to re-organize the CAR/SAM ATM Work Programmes in accordance with the new Global Plan Initiatives (GPI) and to support ICAO Strategic Objectives.

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APPENDIX B

PBNRM

INTERNATIONAL CIVIL AVIATION ORGANIZATION

CAR/SAM ROADMAP FOR PERFORMANCE-BASED NAVIGATION

(Lima, November 2006)

Draft Version 1.2

Table of Contents

1. EXECUTIVE SUMMARY

1.1. Following RVSM implementation on 20 January 2005, the main tool for optimising the airspace structure is the implementation of performance-based navigation (PBN), which will foster the necessary conditions for the utilisation of RNAV and RNP capabilities by a significant portion of airspace users in the CAR/SAM Regions.

1.2. In view of the need for detailed navigation planning, it was deemed advisable to prepare a PBN Roadmap to provide proper guidance to air navigation service providers, airspace operators and users, regulating agencies, and international organisations, on the evolution of navigation, as one of the key systems supporting air traffic management, which describes the RNAV and RNP navigation applications that should be implemented in the short, medium and long term in the CAR/SAM Regions.

1.3. The CAR/SAM PBN Roadmap was developed by the CAR/SAM States and International Organizations, together with the international organizations concerned (IATA, IFALPA, IFATCA), and is intended to assist the main stakeholders of the aviation community plan the future transition and their investment strategies.

1.4. The CAR/SAM PBN Roadmap will be the basic material for the development of a broader CAR/SAM navigation strategy, which will serve as guidance for regional projects for the implementation of air navigation infrastructure, such as SBAS, GBAS, etc., as well as for the development of national implementation plans.

1.5. This document begins with a brief description of the need for a roadmap, the strategic objectives of the document, and the principles on which the implementation will be based. It should be noted that, during the transition period, conventional air navigation procedures would continue to be applied in order to safeguard the operations of users that are not RNAV- and/or RNP-equipped.

1.6. It then explains the PBN implementation strategy for both en-route and terminal area operations. It also analyses briefly the PBN concept, and lists the benefits of implementing this concept.

1.7. A review is made of data concerning the regular traffic of passengers on CAR/SAM airlines during the 1994-2004 period, CAR/SAM traffic forecasts, and traffic trends up to the year 2015.

1.8. It furthermore defines the implementation of performance-based navigation in the short, medium, and long term with respect to en-route operations, TMA operations (SIDs and STARs), and IFR approaches, broadly establishing the requirements and specifications for each stage.

1.9. A description is made of RNAV/RNP approval, which will encompass two types of approvals: airworthiness, exclusively relating to the approval of aircraft; and operational, dealing with the operational aspects of the operator. RNAV/RNP approval will be granted to operators that comply with these two types of approvals.

1.10. The implementation of the performance based navigation forecast significant safety-related changes in the airspace structure as well as to the ATC system. The ICAO requirement for new operations introduced post 2000 is that the risk of collision has to be less than 5 than $5x10^{-9}$ per dimension.

1.11. After the implementation of PBN applications and the airspace concept, the total system needs to be monitored to ensure that the safety of the system is maintained. A System Safety Assessment is conducted after implementation and evidence collected to ensure that the safety of the system is assured.

2. EXPLANATION OF TERMS

2.1 The drafting and explanation of this document is based on the understanding of some particular terms and expressions that are described below:

CAR/SAM PBN Roadmap. Document offering appropriate guidance for air navigation service providers, airspace operators and users, regulating agencies, and international organizations, on the evolution of navigation, as one of the key systems supporting air traffic management, which describes the RNAV and RNP navigation applications that should be implemented in the short, medium and long term in the CAR/SAM Regions.

Performance Based Navigation. Performance based navigation specifies RNAV system performance requirements for aircraft operating along an ATS route, on an instrument approach procedure or in an airspace.

Performance requirements. Performance requirements are defined in terms of accuracy, integrity, continuity, availability and functionality needed for the proposed operation in the context of a particular airspace concept. Performance requirements are identified in navigation specifications which also identify which navigation sensors and equipment may be used to meet the performance requirement.

3. ACRONYMS

3.1 Lista de Acrónimos/ List of Acronyms

ADS/B	Vigilancia dependiente automatica-radiodifusión Automatic dependent surveillance-broadcasting
ADS/C	Vigilancia dependiente automática-contrato Automatic dependent surveillance-contract
ANS	Servicios de navegación aérea Air navigation services
ANSP	Proveedores de Servicios de Navegación Aérea/Air Navigation Service Providers
ASM	Gestión del espacio aéreo/ Airspace Management
ATC	Control de tránsito aéreo/ Air Traffic Control
ATFM	Gestión de afluencia del tránsito aéreo/ Air Traffic Flow Management
ATM	Gestión del tránsito aéreo/ Air Traffic Management
ATN	Red de telecomunicaciones aeronáuticas/ Aeronautical Telecommunication Network
ATS	Servicio de tránsito aéreo/ Air Traffic Services
CAR/SAM	Regiones Caribe y Sudamérica/Caribbean/South American Regions
CNS/ATM	Comunicaciones, navegación y vigilancia/Gestión del tránsito aéreo/ Communications, Navigation and Surveillance/Air Traffic Management
CPDLC	Comunicaciones por enlace de datos controlador-piloto /Controller-Pilot Data Link Communications
CTA	Area de control /Control Area
DME	Equipo Radiotelemetrico/Distance-Measuring Equipment
FAR	Regulación federal de aviación/Federal Aviation Regulation
FANS-1/A	Sistemas de navegación aérea del futuro – Aviónica/ Future Air Navigation Systems - Avionics
FDE	Detección y eliminación de fallas / Fault Detection and Exclusion
FIR	Región de información de vuelo /Flight Information Region
FMS	Sistema de gestión de vuelo /Flight Management System
GBAS	Sistema de Aumentación con Base en Tierra/Ground-Based Augmentation System
GLS	Sistema de aterrizaje GBAS / GBAS Landing System
GNE	Error de navegación grave / Gross Navigation Error
GNSS	Sistema mundial de navegación por satélite / Global Navigation Satellite System
GPMS	Sistema de monitoreo de la performance del GPS / GPS Performance Monitoring System
GREPECAS	Grupo Regional de Planificación y Ejecución CAR/SAM/ CAR/SAM Regional Planning and Implementation Group
GRAS	Sistema de Aumentación Terrestre Regional / Ground Regional Augmentation System
HF	Alta frecuencia/ High Frequency
IATA	Asociación del Transporte Aéreo Internacional/ Internacional Air Transport Association
ICD	Documento de control de interfaz / Interface Control Document
IFALPA	Federación Internacional de Asociaciones de Pilotos de Líneas Aéreas/International Federation of Air Line Pilots' Associations
IFATCA	Federación Internacional de Asociaciones de Controladores de Tránsito Aéreo/International Federation of Air Traffic Controllers' Associations
IRU/INS	Unidad de referencia inercial/Sistema de navegación inercial/ Inertial Reference Unit/Inertial Navigation System
JAA	Autoridades Conjuntas de Aviación Civil/Joint Aviation Authorities

JAR	Regulaciones Conjuntas de Aviación Civil/Joint Aviation Regulations
NAT	Atlántico septentrional /North Atlantic
NDB	Radiofaro no direccional /Non-Directional Beacon
NOTAM	Aviso al Personal Encargado de las Operaciones de Vuelo/Notice to Airmen
PBN	Navegación Basada en la Performance /Performance-Based Navigation
RNAV	Navegación de área/Area Navigation - RNAV Route: Ruta de navegación de área/Area navigation route
RNP	Performance de navegación requerida /Required Navigation Performance
RNP AR	Requerimiento de aprobación para la performance de navegación requerida/ Required Navigation Performance Aproval Required
RNPC	Capacidad de la performance requerida de navegación/Required navigation performance capacity
RNPSORSG	Grupo de Estudio sobre RNP y Requerimientos Operacionales Especiales/RNP and Special Operational Requirements Study Group
SARPS	Normas y métodos recomendados (ICAO)/ Standards and Recommended Practices (ICAO)
SATCOM	Comunicaciones por satélite/Satellite Communications
SBAS	Sistema de Aumentación de Base Satelital/Satellite-based Augmentation System
SID	Salida Normalizada por Instrumentos/Standard Instrument Departure
SSR	Radar secundario de vigilancia/Secondary Surveillance Radar
STAR	Llegada Normalizada por Instrumentos/Standard Instrument Arrival
TLS	Nivel de seguridad deseado/Target Level of Safety
TMA	Area Terminal/Terminal Area
VHF	Muy alta frecuencia /Very High Frequency
VDL	Enlace de datos en VHF/ VHF Data Link
VOR/DME	Radiofaro omnidireccional VHF/Equipo radiotelemétrico/Very High Frequency Omnidirectional Radio Range/Distance-Measuring Equipment

4. INTRODUCTION

Need for a roadmap

4.1 Following RVSM implementation on 20 January 2005, the main tool for optimising the airspace structure is the implementation of performance-based navigation (PBN), which will foster the necessary conditions for the utilisation of RNAV and RNP capabilities by a significant portion of airspace users in the CAR/SAM Regions.

4.2 Current planning by the Regional Planning and Implementation Groups is based on the Air Navigation Plans and the Regional CNS/ATM Plans. Currently, these plans are mostly made up by tables that do not contain the necessary details for the implementation of each of the CNS and ATM elements.

4.3 In view of the need for detailed navigation planning, it was deemed advisable to prepare a PBN Roadmap to provide proper guidance to air navigation service providers, airspace operators and users, regulating agencies, and international organisations, on the evolution of navigation, as one of the key systems supporting air traffic management, which describes the RNAV and RNP navigation applications that should be implemented in the short and medium term in the CAR/SAM Regions.

4.4 Furthermore, the CAR/SAM PBN Roadmap will be the basic material for the development of a broader CAR/SAM navigation strategy, which will serve as guidance for regional projects for the implementation of air navigation infrastructure, such as SBAS, GBAS, etc., as well as for the development of national implementation plans.

Objectives

4.5 The CAR/SAM PBN roadmap has the following strategic objectives:

a) To ensure that the implementation of the navigation item of the CNS/ATM system is based on clearly established operational requirements.
b) To avoid unnecessarily imposing the mandate for multiple equipment on board or multiple systems on ground.
c) To avoid the need for multiple airworthiness and operational approvals for intra- and inter-regional operations.
d) To prevent commercial interests from outdoing ATM operational requirements, generating unnecessary costs for CAR/SAM States and International Organizations, as well as for airspace users.
e) To explain in detail the contents of the CAR/SAM Air Navigation Plan and of the CAR/SAM CNS/ATM Plan, describing potential navigation applications.

4.6 Furthermore, the CAR/SAM PBN Roadmap will provide a high-level strategy for the evolution of the navigation applications to be implemented in the CAR/SAM Regions in the short term (2006-2010), medium term (2011-2015). This strategy is based on the concepts of Area Navigation (RNAV) and Required Navigation Performance (RNP), which will be applied to aircraft operations involving instrument approaches, standard departure (SID) routes, standard arrival (STAR) routes, and ATS routes in oceanic and continental areas.

4.7 The CAR/SAM PBN Roadmap was developed by the CAR/SAM States and International Organizations together with the international organizations concerned (IATA, IFALPA, IFATCA), and is intended to assist the main stakeholders of the aviation community plan a gradual transition to the RNAV and RNP concepts. The main stakeholders of the aviation community that benefit from this roadmap are:

- Airspace operators and users.
- Air navigation service providers.
- Regulating agencies.
- International organizations.

4.8 This roadmap is intended to assist the main stakeholders of the aviation community plan the future transition and their investment strategies. For example, airlines and operators can use this roadmap to plan future equipage and additional navigation capability investments; air navigation service providers can plan a gradual transition for the evolving ground infrastructure. Regulating agencies will be able to anticipate and plan for the criteria that will be needed the future.

Principles

4.9 The implementation of PBN in the CAR/SAM Regions shall be based on the following principles:

a) Conduction of cost-benefit analyses to justify the implementation of the RNAV and/or RNP concepts in each particular airspace;
b) Conduction of pre- and post-implementation safety assessments to ensure the application and maintenance of the established target levels of safety;
c) Development of airspace concepts, applying airspace modelling tools as well as real-time and accelerated simulations, which identify the navigation applications that are compatible with the aforementioned concept.
d) Continued application of conventional air navigation procedures during the transition period, to guarantee the operations by users that are not RNAV- and/or RNP-equipped.

PBN implementation strategy

En-route operations

4.10 It is impossible to include the whole CAR/SAM airspace in a single Implementation Plan for En-Route Operations, since the restructuring of the CAR/SAM airspace for PBN application would become an extremely complicated task.

4.11 Likewise, the establishment of a single RNAV or RNP value for the CAR/SAM Regions is unlikely, bearing in mind the differences in air traffic complexity and movement, as well as the differences in CNS infrastructure, which will probably lead to the application of different airspace concepts in the CAR/SAM Regions.

4.12 Thus, the most appropriate strategy is the implementation of PBN by routing areas in CAR and SAM scenarios, according to their own airspace concepts and infrastructure characteristics, which may involve a group of States/Territories and International Organizations. This implementation strategy will be applied by the States/Territories/International Organizations themselves and will permit the establishment of the RNAV or RNP values for the various areas that will be harmonised within the scope of GREPECAS.

TMA operations

4.13 TMA operations have their own characteristics, taking into account the applicable separation minima between aircraft and between aircraft and obstacles. It also involves the diversity of aircraft, including low-performance aircraft flying in the lower airspace and conducting arrival and departure procedures on the same path or close to the paths of high-performance aircraft.

4.14 In this sense, the States/Territories and International Organizations shall develop their own national plans for the implementation of PBN in TMAs, based on the CAR/SAM PBN Roadmap, seeking the harmonisation of the applicable RNAV and/or RNP criteria to avoid the need for multiple operational approvals for intra- and inter-regional operations, and the applicable aircraft separation criteria that will be soon published by ICAO Headquarters.

5. PBN CONCEPTS

5.1 Performance based navigation specifies RNAV system performance requirements for aircraft operating along an ATS route, on an instrument approach procedure or in an airspace.

5.2 Performance requirements are defined in terms of accuracy, integrity, continuity, availability and functionality needed for the proposed operation in the context of a particular airspace concept. Performance requirements are identified in navigation specifications which also identify which navigation sensors and equipment may be used to meet the performance requirement.

5.3 There are both RNP specifications and RNAV specifications. A RNP specification includes a requirement for onboard performance monitoring and alerting and is designated as a RNP X. A RNAV specification does not have such requirements and is designated as RNAV X.

5.4 Performance based navigation therefore depends on:

- the RNAV system and installation on the aircraft being approved to meet the performance and functional requirements of the navigation specification prescribed for RNAV operations in an airspace; and
- Air crew satisfying the operating requirements set out by the regulator for RNAV operations; and
- A defined airspace concept which includes RNAV operations; and
- an available Navaid infrastructure;

Note: Additional information may be obtained in the Manual XXXX – Performance based navigation.

6. BENEFITS OF PERFORMANCE-BASED NAVIGATION

Performance Based Navigation

6.1 Air traffic growth in the CAR/SAM Regions is foreseen at mid term, at the same time that the economical activity. A growth of 6.2, 5.5 y 5.6, % of regular passenger air traffic of CAR/SAM Regions airlines is foreseen in 2005/2006/2007, respectively, as compared to global growth forecast of 7.6, 6.5 and 6.2%, respectively. At long term, airlines passengers air traffic in the Region is expected to grow at an average of 4.0% until year 2015. This growth may lead to air traffic congestion periods which may guide to ATM lack of efficiency.

6.2 In order to ensure ATM efficiency and avoid unnecessary restrictions to airspace users, specifications should be avoided as to who to satisfy navigation requirements indicating only which is the performance and navigation functionality required from the RNAV system. Under the PBN concept, the generic navigation requirements are defined based on operational requirements. Thus, users may evaluate the available options as regards technology and air navigation services which could permit to satisfy these requirements. The solution elected should be the most cost-effective

6.3 The development of the Performance Based Navigation Concept recognizes that advanced aircraft RNAV systems are achieving a predictable level of navigation performance accuracy which, together with an appropriate level of functionality, allows a more efficient use of available airspace to be realized. It also takes account of the fact that RNAV systems have developed over a 40 year period and as a result there are a large variety of implementations. Identifying navigation requirements rather than on the means of meeting the requirements will allow use of all RNAV systems meeting these requirements irrespective of the means by which these are met.

6.4 The main benefits derived from the implementation of PBN are:

a) Increased airspace safety through the implementation of continuous and stabilised descent procedures that avoid controlled flight into terrain (CFIT);
b) Reduced aircraft flight time due to the implementation of optimal flight paths, with the resulting savings in fuel and environmental protection.
c) Use of the RNAV and/or RNP capabilities that already exist in a significant percentage of the aircraft fleet flying in CAR/SAM airspace.
d) Improved airport and airspace arrival paths in all weather conditions, and the possibility of meeting critical obstacle clearance and environmental requirements through the application of optimised RNAV or RNP paths.
e) Implementation of more precise approach, departure, and arrival paths that will reduce dispersion and will foster smoother traffic flows.
f) Reduced delays in high-density airspaces and airports through the implementation of new parallel routes and new arrival and departure points in TMAs.
g) Possible reduction of spacing between parallel routes to accommodate more traffic in the same flow.
h) Reduced workload for air traffic controllers and pilots due to reduced communications time.

7. IMPLEMENTATION OF PERFORMANCE-BASED NAVIGATION

7.1 ATM operational requirements

7.1.1 The ATM World Plan makes necessary to adopt an airspace concept able to provide and operational scenery that includes Routes Network, Minimum separation, Assessment of obstacles clearance, and CNS infrastructure that satisfies safety specific strategic objectives, capacity, efficiency, environment and technology addressed to the implementation of performance/based navigation.

7.1.2 In this regard, the following programmes will be developed in different areas:

a) traffic and cost benefit studies
b) automation necessary update
c) operations simulation in different sceneries
d) ATC personnel training
e) FPL processing
f) AIS support
g) WGS 84 implementation when necessary
h) uniform classification of adjacent and regional airspaces
i) RNAV/RNP application in SIDs and STARs
j) RNAV routes implementation and coordination

7.2 RNAV/RNP approval will cover to types of approvals: airworthiness, which will exclusively deal with aircrafts approval, and operations, which will take care of the operational aspects of air transport operators. The fulfilment of these types of approvals will permit operators to obtain RNAV/RNP approval.

7.3 **Short term (up to 2010)**

7.3.1 En-route operations

7.3.1.1 Taking into account air traffic low density in oceanic airspaces, no significant changes are expected in the present airspace structure that will demand changes in applied RNAV values. The only exception will be RNP-10 application in the WATRS Region, which will demand a significant change in the CAR Region airspace structure. In airspaces where RNP-10 is applied (EUR/SAM Corridor, Lima-Santiago de Chile Routes and South Atlantic Random Routes System), no short-term changes are expected.

7.3.1.2 In the continental airspace, RNAV-5 implementation in selected airspaces is expected, where possible to obtain operational benefits and available CNS infrastructure is able to support it.

7.3.2 TMA operations (SIDs and STARs)

7.3.2.1 The application of RNAV-1 in State-selected TMAs, in radar environments, with ground navigation infrastructure is expected, which permits DME/DME and DME/DME/INS operations. In this phase mixed operations (equipped and non-equipped) will be admitted, and RNAV-1 operations shall be initiated when an adequate percentage of air operations are approved.

7.3.2.2 In non-radar environments and/or in environments that do not count with adequate ground navigation infrastructure, the application of RNP-1 is expected in State-selected TMAs with exclusive application of GNSS, whenever an adequate percentage of air operations are approved. In this TMA will also be admitted approved and non-approved aircrafts. The application of overlay procedures or exclusive RNP procedures will depend on air traffic complexity and density.

7.3.3 IFR approaches

7.3.3.1 The application of RNP 0,3 approach procedures (basic GNSS) is expected in the maximum possible of State-selected airports, principally in international airports, maintaining conventional approach procedures for non-equipped aircraft.

7.3.3.2 The application of RNP AR approach procedures is expected in State-selected airports, where obvious operational benefits can be obtained, based on the existence of significant obstacles.

Short Term (until 2010)	
Airspace	**RNAV or RNP Value**
Route (Oceanic o Remote)	RNP 10 Corridor EUR/SAM and Santiago/Lima/AORRA/WATRS
Route (Continental)	RNAV 5 in selected airspaces
TMA	RNAV-1 in radar environment and with adequate ground navigation infrastructure.
	RNP 1 – No radar environment and/or without appropriate DME coverage.
Approach	RNP 0,3 in most possible airports and in all international airports. RNP AR in airport where there are obvious operational benefits.
• Non compulsory installation of RNAV equipment on board of non equipped aircraft in TMA and APP • Mixed Operations (equipped and non equipped aircraft) in TMA and APP • Required RNAV 2 equipment above FL350 for flights to/from United States.	

7.4 **Medium term**

7.4.1 En-route operations

7.4.1.1 The application of RNP 4 in the oceanic airspace in EUR/SAM corridor is expected, with utilization of ADS/CPDLC, in order to permit the use of lateral and longitudinal separation of 30 NM. This application will depend on the evolution of the aircraft fleet flying in the airspace.

7.4.1.2 In this phase, the application of RNP-2 is expected in selected areas of the continental airspace, with high air traffic density and exclusive application of GNSS, depending on the analysis of ground infrastructure, which will indicate whether it is possible to use RNAV applications. The establishment of a backup system will be necessary as well as the development of contingency procedures in the event of GNSS failure. The application of RNP-2 will facilitate the PBN application is non surveillance airspace. With the exclusive application of GNSS more control of the GNSS signal is needed, through GPS Monitoring Systems that include NOTAM, FDE, etc.

7.4.2 TMA operations

7.4.2.1 In this phase, it is expected to extend the application of RNAV (RNP) 2/1 in State-selected TMAs, depending of ground infrastructure and of aircrafts navigation capacity. In TMAs of high air traffic complexity and movement (excluding airspaces), the use of RNAV or RNP 1 equipments will be mandatory. In TMAs of less air traffic complexity, mixed operations will be admitted (equipped or non-equipped).

7.4.3 IFR approaches

7.4.3.1 In this phase the extended application of procedures RNP 0.3 and RNP AR in selected airports is expected. Also, the initiation of application of GLS procedure is expected to guarantee a smooth transition between TMA phase and the approximation ´has, basically using GNSS for the two phases.

Medium Term (2011-2015)	
Airspace	**RNAV or RNP Value**
Route (Oceanic or Remote)	RNP 4 in EUR/SAM Corridor and Santiago/Lima
Route (Continental)	RNP 2 in selected airspaces
TMA (SID/STAR)	Expansion of RNAV-1 or RNP-1 application Compulsory RNAV 1 or RNP 1 approval for aircraft operating in greater air traffic density TMAs (exclusionary airspace)
Approach	Expansion of RNP 0,3 and RNP AR application Application of GLS procedures
• RNP2 required equipment over FL290 for flights to/from United States.	

8. SAFETY ASSESSMENT

8.1 The implementation of the performance based navigation forecast significant safety-related changes in the airspace structure as well as to the ATC system, including the implementation of reduced separation minima or new procedures that only shall be applied after a safety assessment has demonstrated that an acceptable level of safety will be met.

8.2 To demonstrate that the system is safe it will b necessary to execute a safety assessment of the proposed operation. This will take two forms:

1) A collision risk assessment for the proposed RNAV system specification;

2) A safety case for the operation.

8.3 After the PBN applications implementation, all the system should be monitored in order to ensure to maintain operational safety. In case of unforeseen events, dependency in charge of monitoring should propose and coordinate with all interested parts the implementation of mitigating measures as soon as possible.

A-1
APPENDIX X1

Reference documentation for developing operational and airworthiness approvals

Organisation	Code	Title
ICAO	Doc (under development by the RNPSORSG)	Performance-based navigation (PBN)
ICAO	Doc 8168 – OPS/611	Aircraft operations
ICAO	Doc 4444	Procedures for air navigation services – Air traffic management
ICAO	Doc 8733	CAR/SAM air navigation plan
ICAO	Doc 7030/4	SAM Regional supplementary procedures (SUPPS)
FAA	Order 8400.10	Required navigation performance 10 (RNP 10) operational approval
FAA	AC 90-96	Approval of US operators and aircraft to operate under instrument flight rules (IFR) in European airspace designated for basic area navigation (BRNAV/RNP 5)
FAA	AC 90-100	US Terminal and en route area navigation
FAA	AC 90-101	Approval guidance for RNP procedures with SAAAR
FAA	Order 8260.52	United States standards for required navigation performance (RNP) approach procedures with special aircraft and aircrew authorization required (SAAAR)
JAA	Leaflet No. 2 (TGL 2) Rev 1	Guidance material on airworthiness approval an operational criteria for the use of navigation systems in European airspace designated for basic RNAV operations
JAA	Leaflet No. 3 (TGL 3) Rev 1	Interim guidance material on airworthiness approval and operational criteria for the use of the NAVSTAR Global Positioning System (GPS)
JAA	Leaflet No. 10 (TGL 10)	Airworthiness an operational approval for precision RNAV operations in designated European airspace
EUROCONTROL	Doc 003-93	Area navigation equipment: operational requirements and functional requirements
RTCA	Do-236B	Minimum aviation system performance standards: Required navigation performance for area navigation
RTCA	Do-238A	Minimum operational performance standards for required navigation performance for area navigation

Documentation availability

The documentation described in paragraph 1 of this document may be obtained at the following websites:

a) Copies of EUROCONTROL documents may be requested from EUROCONTROL, Documentation Centre, GS4, Rue de la Fusee, 96, B-1130 Brussels, Belgium; (Fax: 32 2729 9109). Website: http://www.ecacnav,com.

b) Copies of EUROCAE documents may be purchased from EUROCAE, 17 rue Hamelin, 75783 Paris Cedex 16, France (Fax: 33 1 4505 7230). Web site: http://www.eurocae.org.

c) Copies of FAA documents may be obtained from the Superintendent of Documents, Government Printing Office, Washington, DC 20402-9325, USA. Website: http://www.faa.gov/certification/aircraft/ (Regulation and guidance library).

d) Copies of RTCA documents may be obtained from RTCA Inc., 1140 Connecticut Avenue, N.W., Suite 1020, Washington, DC 20036-4001, USA, (Tel: 1 202 833 9339). Website: www.rtca.org.

e) Copies of ARINC documents may be obtained from Aeronautical Radio Inc., 2551 Riva Road, Annapolis, Maryland 24101-7465, U.S.A. Website: http://www.arinc.com.

f) Copies of JAA documents are available from the JAA´s Publisher Information Handling Services (IHS). Information on prices, where and how to order is available in the JAA website: http://www.jaa.nl and in the IHS websites: http://www.global.his.com and http://www.avdataworks.com.

g) Copies of EASA documents may be obtained from EASA (European Aviation Safety Agency), 101253, D-50452 Koln, Germany.

h) Copies of ICAO documents may be purchased from the Document Sales Unit, International Civil Aviation Organization, 999 University Street, Montreal, Québec, Canada H3C 5H7, Fax: 1 514 954 6769, or at: sales_unit@icao.org, or through national agencies.

APPENDIX C

INTERNATIONAL CIVIL AVIATION ORGANIZATION

Caribbean/South American Air Traffic Flow Management Concept of Operation

(CAR/SAM CONOPS ATFM)

Version	Draft 0.1
Date	October 2006

FOREWORD

The *Caribbean/South American ATFM Concept of Operations (CAR/SAM CONOPS ATFM)* is published by the ATM/CNS Subgroup of the Caribbean/South American Regional Planning and Implementation Group (GREPECAS). It describes air traffic flow management concept operational to be applied in both regions.

The GREPECAS and its contributory bodies will issue revised editions of the Document as required to reflect ongoing implementation activities.

Copies of the *CAR/SAM ATFM Concept of Operations* can be obtained by contacting:

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The present edition (Draft Version 0.1) includes all revisions and modifications until October 2006. Subsequent amendments and corrigenda will be indicated in the Record of Amendment and Corrigenda Table, according to the procedure established in page 3.

The publication of amendments and corrigenda is regularly announced through correspondence with States, and the ICAO web site, which holders of this publication should consult. The space below is provided to keep a record of such amendments.

RECORD OF AMENDMENTS AND CORRIGENDA

AMENDMENTS			
No.	Date applicable	Date entered	Entered by

CORRIGENDA			
No.	Date applicable	Date entered	Entered by

AMENDMENTS TO THE DOCUMENT

1. The Caribbean and South American (CAR/SAM) ATFM Concept of Operations is a regional document that includes aeronautical scientific and technological advances; as well as the operational experiences, both of the CAR/SAM Regions as of the other ICAO Regions that may affect ATFM concepts and procedures therein established in the same.

2. Due to this particularity, the ATFM CONOPS is also a dynamic document, in permanent progress and permeable in order to accept every modification originated by the constant improvement in the aeronautical disciplines and activities that enable its harmonious use in the CAR/SAM Regions, ensuring air operations safety.

3. In order to keep this ATFM CONOPS updated and make the required changes and/or modifications, the following amendment procedures have been established.

4. The ATFM CONOPS consists of a series of loose-leaf pages organized in sections and parts describing the concepts and procedures applicable to ATFM operations in the CAR/SAM Regions.

5. The framework of the sections and parts, as well as the page numbering have been developed so as to provide flexibility, facilitating the review or the addition of new texts. Each Section is independent and includes an introduction giving its purpose and status.

6. Pages bear the date of publication, as applicable. Replacement pages are issued as necessary and any portions of the pages that have been revised are identified by a vertical line in the margin. Additional material will be incorporated in the existing Sections or will be the subject of new Sections, as required.

7. Changes to text are identified by a vertical line in the margin in the following manner:

Italics	*for new or revised text;*
Italics	*for editorial modification which does not alter the substance or meaning of the text; and*
Strikethrough	~~for deleted text.~~

8. The absence of change bars, when data or page numbers have changed, will signify re-issue of the section concerned or re-arrangement of text (e.g. following an insertion or deletion with no other changes).

Page

Document content

GLOSARIO DE ACRÓNIMOS/ACRONYMS GLOSSARY

ACC	Centro de control de área Area control center Aeronautical fixed service
AFTN	Red de telecomunicaciones fijas aeronáuticas Aeronautical fixed telecommunication network
AIP	Publicación de Información aeronáutica Aeronautical Information Publication
AIS	Servicio de información aeronáutica Aeronautical information service
ANP	Plan navegación aérea Air navigation plan
ANS	Servicios de navegación aérea Air navigation services
ANSP	Proveedor de servicios de navegación aérea Air navigation service provider
AO	Operador de aeronave Aircraft operator
APP	Oficina de control de aproximación Approach control office
ATC	Control de tránsito aéreo Air traffic control
ATFM	Gestión de la afluencia del tránsito aéreo Air traffic flow management
ATM	Gestión del tránsito aéreo Air traffic management
ATS	Servicios de tránsito aéreo Air traffic services
CAA	Administración de aviación civil Civil aviation authority
CAR/SAM	Regiones Caribe y Sudamérica Caribbean and South American Regions
CATFM	Dependencia de Gestión de la afluencia del tránsito centralizada Centralized air traffic flow management unit
CBA	Análisis de costo/beneficios Cost/benefit analysis
CNS/ATM	Comunicaciones, navegación y vigilancia/gestión del tránsito aéreo Communications, navigation, and surveillance/air traffic management
FDPS	Sistema de procesamiento de datos de vuelo Flight data processing system
FIR	Región de información de vuelo Flight information region
FMU	Dependencia de organización de la afluencia Flow management unit
FMP	Puestos de gestión de afluencia Flow management position

FPL	Plan de vuelo Flight plan
GREPECAS	Grupo regional de planificación y ejecución CAR/SAM CAR/SAM regional planning and implementation group
MET	Servicios meteorológicos para la navegación aérea Meteorological services for air navigation
OACI/ICAO	Organización de aviación civil internacional International civil aviation organization
PANS ATM	Procedimientos para los servicios de navegación aérea –Gestión de tránsito aéreo Procedures for Air Navigation Services –Air traffic management
PIRG	Grupo regional de planificación y ejecución Planning and implementation regional group
TBD	A ser determinado To be determined
TMA	Area de control terminal Terminal management area
TWR	Torre de control Tower
WWW	Red mundial World Wide Web

Explanation of terms and expressions

The writing and explanation of some terms and particular expressions used in this document are defined for a better understanding

Homogeneous ATM area. A homogeneous ATM area is an airspace with a common ATM interest, based on similar characteristics of traffic density, complexity, air navigation system infrastructure requirements or other specified considerations wherein a common detailed plan will foster the implementation of interoperable ATM systems.

Routing area. A routing area encompasses one or more major traffic flows, defined for the purpose of developing a detailed plan for the implementation of ATM systems and procedures.

Centralized ATFM.- A centralized unit responsible for the provision of air traffic flow management within a specific area.

Capacity (for ATFM purposes). The maximum number of aircraft that can be accommodated in a given time period by the system or one of its components (throughput).

ATM Community.- All the organizations, bodies or entities which might participate, collaborate and cooperate in the planning, development, use, regulation, operation and maintenance of the ATM System.

Demand.- The number of aircraft requesting to use the ATM system in a given time period.

Efficiency.- The ratio of the cost of ideal flight to the cost of procedurally constrained flight.

Air Traffic Flow Management (ATFM).- A service established with the objective of contributing to a safe, orderly and expeditious flow of air traffic by ensuring that ATC capacity is utilized to the maximum extent possible and that the traffic volume is compatible with the capacities declared by the appropriate ATS authority.

Air Traffic Management.- Service which comprises airspace management, air traffic flow management and air traffic services.

Flight Management Position/Unit – FMP/FMU).- A position or working unit established in an appropriate air traffic control unit to ensure the necessary interphase between the local ATFM and a centralized ATFM units related to air traffic flow management – ATFM.

Main Traffic Flows.- It is a concentration of significant volumes of air traffic on the same or proximate flight trajectories.

Air Traffic Management System.- A system which provides ATM through the integration in cooperation with human beings, information, technology, facilities and services, with the support of communications, navigation and surveillance on board and spatial based.

Air Traffic Volume.- The number of aircraft within a defined airspace or aircraft movement in an aerodrome, within a specific time frame.

Executive summary

GREPECAS considered that early ATFM implementation shall ensure optimum air traffic flow towards specific areas or through them during periods in which the demand exceeds or is foreseen to exceed available capacity of the ATC system. Therefore, an ATFM system should reduce aircraft delays both in flight and ground and avoid system overloading.

In this connection, GREPECAS approved the operational concept described herein, which reflects the expected order of events which might occur and should assist and guide the planners in the design and gradual development of ATFM system, in order to provide safety and effectiveness, and ensure an optimum air traffic flow towards certain areas or through them during periods in which the demand exceeds or is foreseen to exceed the available capacity of the ATC system.

The main actors involved in air traffic flow management have been identified taking considering as ATFM community the organizations, bodies or entities which might participate, collaborate and cooperate in the planning, development, use, regulation, operation and maintenance of the ATFM System.

From the analysis of the statistics it may be noted that during the period 1994-2004, the passengers regular traffic (in PKP) of airlines in the Latin American and Caribbean Region grew at an average annual rate of 3.3% (in comparison to the 5.1% annual rate of global growth, foreseeing that air traffic growth continues to gradually improve at mid term, at the same time that the economical activity.

The total of operations of the main airports of the CAR Region in the period 2002 to 2005 reflected a positive trend of 1.92%. However, in the same period the trend in the SAM Region was negative –0.56% being the global trend positive 0.66% for both regions.

Also, several airspaces with common interests have been identified as regards air traffic management, based on similar characteristics of traffic density, complexity and air navigation system infrastructure requirements within which a common plan shall foster the implementation of an ATM Global Concept. A description of such homogeneous and routing areas is attached as CAR/SAM ATFM CONOPS.

As established in ICAO documents, air traffic flow management should be implemented within a region or within other defined areas as a centralised ATFM organization, with the support of flow management units (FMU) established in each ACC within the region or area of application.

In view of the above, this document describes the main objective of the centralised ATFMs which has as main task to contribute so that the ATC may use to the maximum possible extent its capacity and, as required, issue flow management initiatives to maintain a safe, orderly and expeditious air traffic circulation, ensuring that air traffic volume is compatible with declared capacities making at the same time a description of principles and functions and establishing some requirements as regards units equipping or air traffic flow management units and the proper centralised ATFM units.

In the current operational concept, GREPECAS establishes a simple implementation strategy through the development in phases in order to ensure maximum utilisation of available capacity and permit all parties concerned to obtain sufficient experience. The implementation would be initiated with the application of basic ATFM procedures in airports and in an evolutionary manner to reach more complex phases, without the immediate need for a regional ATFM centre, since its implementation would demand further studies to define operational concepts, systems requirements and institutional aspects for its implementation.

Finally, GREPECAS deemed pertinent to establish exceptions for the application of ATFM measures for aircraft performing ambulance flights, humanitarian flights, search and rescue operations and State aircraft in international flights, leaving at the discretion of the States/Territories and International Organizations the measures to be adopted on this matter for domestic flights. It also set out that for a partial or total interruption of flow management and/or support services the corresponding contingency will also be available.

1. History

1.1 ICAO CNS/ATM Systems received support from the Tenth Air Navigation Conference held in 1991 at ICAO Headquarters in Montreal, Canada. The same year, the CAR/SAM Regional Planning and Implementation Group (GREPECAS) started to work towards a regional application of this new air navigation services concept.

1.2 Further, at the Eleventh Air Navigation Conference (AN-Conf/11, Montreal September 2003), States supported and approved the new ICAO ATM Global Operational Concept, which encourages the implementation of a services management system which enables an operationally continuous regional airspace through the application of a series of ATM functions.

1.3 As per the guidance principles established by ICAO Council with regard to the facilitation of the inter-regional harmonization, the regional plans for CNS/ATM systems implementation in the regions should be prepared in accordance to the general profiles defined in the Global Air Navigation Plan for CNS/ATM Systems. After a careful analysis of the guidance principles of this Global Plan, GREPECAS adopted them and incorporated characteristics inherent to the CAR/SAM Regions, using as a basis the definitions of Homogeneous Areas and Main Traffic Flows. Homogeneous areas are those airspace portions with ATM requirements and similar complexity degrees, while main air traffic flows are airspaces where a significant amount of air traffic exists.

1.4 From the analysis carried out by ICAO/UNDP Project RLA/98/003, it may be inferred that while in general terms in the CAR/SAM Regions environment, currently no traffic congestions are registered requiring a complex flow management, they have been identified in some airports and airspace sectors, mainly in special periods and specific hours, where some congestions are already produced, which should be avoided.

1.5 In view of the above, GREPECAS considered that the early implementation of the ATFM shall ensure an optimum air traffic flow towards some areas or through them, during periods in which the demand exceeds or is foreseen to exceed the available capacity of the ATC system. Therefore, an ATFM system should reduce aircraft delays both in flight and ground and avoid system overloading. The ATFM system shall assist the ATC to comply with its objectives and achieve a more effective utilisation of the airspace and airports available capacity. ATFM should also ensure that air operations safety is not compromised in case unacceptable levels of air traffic congestion occur and at the same time ensure that air traffic is effectively administered without applying unnecessary restrictions to flow.

2. Purpose of the document

2.1 This document on CAR/SAM Air Traffic Flow Management Operations Concept (ATFM) is oriented towards the description of a high level on the service to be provided in the CAR/SAM Regions in a specific time horizon. It explains the current situation and which shall be the future situation to be progressively reached through a series of specific change stages.

2.2 The operational concept described herein reflects the expected order of events which might occur and should assist and guide the planners in the design and gradual development of ATFM system, in order to provide safety and effectiveness, and ensure an optimum air traffic flow towards certain areas or through them during periods in which the demand exceeds or is foreseen to exceed the available capacity of the ATC system.

3. Actors involved in ATFM

3.1 The ATFM community includes organizations, bodies or entities which could participate, collaborate and cooperate in the planning, development, utilisation, regulation, operation and maintenance of ATFM system. Among them, the following may be emphasized:

3.2 ***Aerodrome Community*.-** which includes aerodromes, aerodromes authorities and other parties involved in the provision and operation of the physical infrastructure needed to support the take-off, landing and ground handling of aircraft.

3.3 ***Airspace Providers*.-** referring in general terms to Contracting States in their owners capacity with legal authority to permit or deny access to their airspace sovereignty. The expression may also be applied to organizations of the State to which the responsibility has been assigned to establish standards and guidelines for the airspace use.

3.4 ***Airspace users*.-** mainly referring to airlines and pilots.

3.5 ***ATM service providers.-*** are constituted by all organizations and personnel (i.e. controllers, engineers, technicians) implied in the provision of ATFM services to airspace users.

3.6 ***Military aviation.-*** referring to personnel and material of military organizations as wardens and their vital role in States' security.

3.7 ***International Civil Aviation Organization (ICAO)*.-** considered as the only international organization in conditions to efficiently coordinate implementation activities of global ATM leading to become real a continuous global ATM.

4. Trends and traffic forecasts in the main airports of the CAR/SAM Regions

4.1 During the period 1994-2004, the Latin American and Caribbean Region's airlines passengers' regular traffic (in PKP) grew at an annual average of 3.3% (in comparison to the global annual average growth rate of 5.1%). Until year 2000 privatisation of national carriers fusions and inter-regional alliances, together with a wide rationalization of fleets and routes, counted among the measures that enabled airlines of the regions to capture a greater portion of traffic of United States – Latin America and Caribbean, one of the aviation markets with greater growth rate. After high traffic growth rates in 1997 and 1998 (9.5% and 7.8% respectively), the passengers traffic decreased in 1999 in a 0.3% but it was recovered in 2000 with a growth rate of 4.4%, decreasing again in 2001 in 5.1%. The traffic decreased in 1.6% in 2002 before recovering in 2003 (3.8%) and 2004 (8.4%). In some CAR/SAM areas the traffic growth in 2005 registered scopes of up to 13%.

4.2 Aircraft movement in the main airports in the period 2002-2005 would indicate that, in the CAR Region the total operations reflect a positive trend of 1.92% observing that in some States particularly, positive trends are reflected that vary from 2.42% to 6.41%. In the SAM Region, the total of operations reflected a negative trend of -0.56% between years 2002 to 2005 observing that some States particularly reflect positive trends which vary from 0.85% to 4.79%.

4.3 Making a balance of the previous information, it is observed that during years 2002 to 2005 the global trend in the CAR/SAM Regions is reflected in a positive 0.66%. It is foreseen that the traffic growth continues to gradually improve at mid term at the same time than economical activity.

4.4 For a better illustration, the evaluation of the information submitted by CAR/SAM States is shown in **Appendix A.**

5. Main traffic flows

5.1 The CAR/SAM air navigation plan has identified several airspaces with common interests as regards air traffic management, based on similar characteristics of traffic density, complexity and air navigation system infrastructure requirements within which a common plan shall foster the implementation of the ATM Global Concept. Within these routing areas the main traffic flows have also been identified following the same or close flight trajectories between pairs of cities.

5.2 These routing areas and the respective traffic flows are described in the Table shown as **Appendix B** to this document.

6. Identification of areas and/or routes where traffic congestion is produced

6.1 Currently, saturation periods have been identified in several airports and traffic flows of some of the CAR/SAM Regions FIRs. In view of this, it is necessary that CAR/SAM States maintain identified the saturation periods of their respective airports, terminal areas and traffic flows.

7. Objectives, principles and functions of a Centralized ATFM

Objective of the Centralized ATFM

7.1 As established in the PANS ATM (Doc 4444) air traffic flow management should be implemented within a region or within other defined area, as a centralized ATFM organization with the support of flow management positions (FMP) established in each ACC within the region or area of application.

7.2 The objective of the Centralized ATFMs shall be to contribute so that the ATC use to the maximum possible extent its capacity and, as required, shall issue flow management initiatives to maintain a safe, orderly and expeditious air traffic circulation, assuring that the traffic volume is compatible with the declared capacities.

7.3 Consequently, and aware of their operational needs in agreement with its reality as regards ATC service, air traffic and airport problems, as well as air traffic volume, administrations should define whether a FMU is necessary, which in addition to communicating with the Centralized ATFM, may manage and coordinate the implemented Flow Management Position (FMP) implemented in ATC units which so require or adopt the direct communication process from these FMPs with the Centralized ATFM.

Principles in which ATFM will be based

7.4 Regional ATFM structure should be composed in such a manner that each State/Territory and International Organization of the CAR/SAM Regions may have access to a Centralised ATFM corresponding through an organization adequate to their needs and developed as per guidelines determined on this matter.

7.5 The Centralized ATFM, to comply with its objectives, should be based on the following principles:

a) To be at disposal of all States/Territories and International Organizations in the region under their responsibility, considering the requirements of operators, airports, ATC units and other pertinent ATFM units.

b) Use a common and permanently updated database.

c) Take pertinent measures well in advance to prevent and/or minimise overloads.

d) Keep close and continuous coordination with flow management units (FMUs) and/or flow management positions (FMPs), aircraft and airport operators, corresponding ATC units and other pertinent Centralized ATFM units.

e) Take measures that ensure that existing delays are equitably distributed among operators.

f) Apply quality management to the services provided.

g) Base the implementation of ATFM measures in the collaborative decision making (CMD) process.

h) Favour, to the maximum possible, the use of the existing capacity without compromising safety.

i) Contribute in the achievement of the global ATM objectives.

j) Have the necessary flexibility to enable operators to change their arrival or departure schedules.

Functions of a Centralized ATFM

7.6 To provide Air Traffic Flow Management (ATFM) service, the Centralized ATFM should comply with the following activities:

a) Establish and maintain a data base in the region under its responsibility on:

- the air navigation infrastructure, ATS units and registered aerodromes;
- pertinent ATC and airport capacity; and
- flight data foreseen.

b) Establish a coherent chart of foreseen air traffic demand, a comparison with available capacity and determination of areas, and a time-frame of critical air traffic overloads foreseen;

c) Make the necessary coordination to make every possible attempt to increase the capacity available, when necessary.

d) When deficiencies in the capacity available matter may not be eliminated, determine and timely apply ATFM measures, as required, previously coordinated with aircraft operators and interested aerodromes.

e) Carry out a follow-up on the result of measures adopted.

f) Coordinate ATFM service with the other centralized ATFM units, when so required.

8. Equipment requirements for FMU/FMP and Centralized ATFM

8.1 The implementation of the ATFM shall require identifying and determining which would be the minimum requirements for the implementation of the service and the Centralized ATFM, FMU, or FMP in each CAR/SAM Regions ATC unit.

Note: A more detailed description of these requirements is shown in ***Appendix C*** *to this document.*

9. Personnel requirements for FMU/FMP and Centralized ATFM

9.1 Personnel performing in the Centralized ATFM as well as FMU/FMP functions shall require training and shall be qualified to provide an efficient flow management service. A detailed planning of ATFM training in advance shall ensure the optimisation of benefits in terms of capacity and operational efficiency and that personnel from FMU/FMPs be able to satisfactorily face the important change in their operational environments, ensuring high levels of continuous security.

10. Operational procedures

10.1 The operational procedures of the Centralized ATFM as well as those for the FMUs and FMPs should be developed in separate documents. These documents should describe the procedures applicable between the ATFM and all the FMUs/FMPs. Changes in these procedures shall be first agreed upon and shall be published as amendments to operational procedures prior to consultation to all parties involved.

10.2 The purpose of these documents shall be to assist personnel from the Centralized ATFM and FMUs/FMPs to establish a common understanding of the roles of each party interested in the effective provision of the flow management service and the capacity to air traffic services control and to aircraft operators.

10.3 ATFM measures should be addressed to traffic flows or flight series and to specific flights and days. To this end, planning, strategies development, and day-to-day monitoring, should be made. With regard to the above, ATFM activities could be developed in three phases: strategic - up to 48 hours before the day of the operation; pre-tactical - during 48 hours prior to the operation day; and, tactical - during the day of the operation. During all ATFM phases, responsible units should maintain a close liaison with ATC and with aircraft operators to ensure an effective and equitable service.

11. ATFM Implementation Strategy

11.1 The operational concept establishes a simple implementation strategy. This strategy should be develop in phases, so as to ensure maximum utilisation of the available capacity and enable all concerned parties to obtain sufficient experience.

11.2 The experience acquired in other Regions and by some States in the CAR/SAM Regions permits States/Territories and International Organizations to apply basic ATFM procedures in airports, without the immediate need for a Regional ATFM Centre. A Regional ATFM Centre shall demand ample studies to define operational concepts, requirements of systems and institutional aspects for ATFM implementation in the CAR/SAM Regions.

12. ATFM implementation stages

12.1 In order to enable maximum use of all resources available in the regions, either from personnel, equipment, facilities and/or automated systems, the implementation process of ATFM should be established, planned and developed in stages, according to the following sequence:

ATFM Airport Strategic

12.2 Normally the adoption of strategic flow management measures in airports located in airspaces of air traffic low density, avoids congestion and saturation of such airspace. Another aspect to be considered is that the adoption of ATFM strategic measures in airports are more simple to apply, keeping in mind that they demand a reduced data collection of flight intentions (RPL, Official Airline Guide - OAG, flight lists etc) and the use of automation and existing infrastructure tools.

12.3 The implementation process of ATFM in the CAR/SAM Regions should start with the establishment of a common methodology of estimation of the airport capacity which would enable identification of airports where periods exist in which demand is higher than capacity. As of that identification, measures could be adopted with a view to optimise the utilisation of the existing capacity.

12.4 ATFM strategic measures in airports should be limited to the use of Airport Slots and would have as objective to ensure a balance between the demand of regular flights and airport capacity. The application of slots would ensure the hour distribution of flights in airports.

12.5 Therefore, airports slots distribution procedures should be developed to operators which perform regular flights in function to the saturation/congestion of airports. The necessary capacity for other airspace users (non-regular flights) should also be kept in mind.

ATFM Airport tactical

12.6 The evolution of ATFM measures in airports should evolve towards the inclusion of non-regular flights in balancing procedures between demand and capacity. The adoption of ATFM tactical measures in airports would be still of low complexity. However, it would demand an increase in the data collection programme for intention flights in order to include FPLs and it would be necessary in addition to the use of tools of automation and existing infrastructure tools, the use of an efficient communications means between aircraft operators which perform non-regular flights and FMUs or FMPs.

12.7 ATFM tactical measures in airports would continue to be limited to the use of airport slots. However, the balance between demand and airport capacity would also consider non-regular flights. At this phase, slots distribution procedures to operators should also consider non-regular flights.

12.8 It is expected that strategic measures in airports be sufficient to solve specific problems in airports where there is a significant demand of regular flights, while tactical measures would be applied only to airports in which a significant amount of non-regular flights are carried out.

ATFM Airspace strategic

12.9 From the experience acquired in the demand and airport capacity management, States/Territories and International Organizations should consider airspace analysis, mainly those in which ATFM measures in airports are not sufficient to solve congestion and airspace saturation problems. These ATFM strategic measures should avoid congestion and airspace saturation. The adoption of these measures would be of low complexity since it would only include their influence in the establishment of airports slots. However, it would demand the use of more sophisticated automation and infrastructure tools which permit the analysis of air traffic movement in each airspace portion, in order to identify congestion or saturation in control sectors.

12.10 The balance between demand and capacity would consider regular flights that are carried out. At this phase airports slots distribution procedures should take into account airports and airspaces saturation/congestion previsions.

12.11 It is expected that strategic ATFM measures in the airspace are sufficient to prevent overload of control sectors, mainly in those airspaces in which there is a significant over-flights demand.

ATFM Airspace tactical

12.12 At this ATFM implementation phase, States/Territories and International Organizations should move to the most complex phase which involves ATFM tactical measures related to airspace, including dynamic procedures that are applied to flights carried out in few hours. The adoption of airspace tactical measures would be very complex since it would include the application of ATC slots, as per a continuous analysis of the relationship demand/capacity. This analysis would demand the use of more sophisticated automation and infrastructure tools than in the previous phase, which permit the assignment of ATC slots, addressed to avoid overloads of airspace sectors and airports.

12.13 It is expected that airspace tactical ATFM be implemented only in States/Territories and International Organizations where there is a clear operational requirement, keeping in mind that the complexity of the application of tactical measures in airspace shall have a high cost in automated systems, data bases, telecommunications system and human resources training.

12.14 States/Territories and International Organizations who decide to implement airspace tactical ATFM should develop standards, procedures and operational manuals applicable to ATFM service.

13. **Centralized ATFM implementation strategy in the CAR/SAM Regions**

13.1 GREPECAS/13 was of the opinion that two CAR and SAM scenarios should be taken into account, but that they could be modified insofar as the operational concept development and the implementation plans progress. The strategy is to develop a harmonized planning of a CAR and SAM interregional ATFM system.

13.2 In order to maximise its efficiency, it was considered that Centralized ATFM should have the responsibility of providing service on the maximum extension of airspace possible, provided that this is homogeneous. In accordance with ATFM planning in the CAR and SAM Regions, it will have at least two Centralized ATFMs, one for each region.

13.3 It was also considered necessary that the procedures during all the implementation process be developed in a harmonious manner among the ATFM units to avoid risking operational safety. This entails establishing a regional and interregional strategy to facilitate and harmonize all the implementation process. The ATFM Task Force will accomplish these planning and harmonization objectives while for the implementation, two scenarios will be established depending on the operational needs and own features of each CAR and SAM Region. The activation of two ATFM Implementation Groups was considered, one for each Region.

13.4 It was considered that operational implementation should be carried out in phases, according to ICAO Doc 9854 – *Global air traffic management operational concept*, in order to permit a progressive implementation and acquire necessary capacities for an adequate implementation. Each phase should be implemented, based on operational configurations, descriptive documents of the operational models and systems, as per the established strategy.

13.5 In order to harmonize the National Plans with the Regional CAR/SAM ATFM Regional Plan, it is necessary that the civil aviation administrations take the required measures and make a closer follow-up of the regional development of the ATFM and prepare a ATFM implementation programme where implementation needs are determined, the impact that will have in the national ATC system, air traffic services as well as in operations and airport services be analysed, and pertinent coordinations are established, which make it possible an integral regional, timely and harmonious implementation.

14. Special flights exempt from application of ATFM measures

14.1 Aircraft complying ambulance flights, humanitarian flights, search and rescue operations to State aircraft in international flights would be exempt from the application of ATFM measures. States would continue having under their criteria measures to be adopted on this matter regarding domestic flights.

15. Contingency plan

15.1 In case of a partial or total interruption of the flow management service and/or support services, ATFM and FMUs/FMPs will have the corresponding contingency plans prepared as per GREPECAS guidelines, in order to help to ensure the safe and orderly movement of air traffic. These plans should be incorporated to the documents related with operational procedures of the Centralized ATFM and FMUs/FMPs.

APPENDIX A

Evaluation of operations in the main airports of the Regions

1. The methodology used to verify the percentage trend of operations of an airport, a State, a Region, or both CAR/SAM Regions, was as follows:

a) The information was initially collected and processed in Excel.

b) A comparative procedure of one year with respect to the other was applied and it was divided between the year required for comparison either in percentage or numerical (operations).

c) A formula was applied to obtain global average of data collected in all years counted either by airport, State or Region.

d) Finally, to obtain the global data a sum was made of data processed in all years counted.

e) The data processed were designed in bar and linear graphics and numerical so that operational data appears in bars and lines by States. Even though this graphic may also be designed by airports.

2. Trends per regions as per aircraft movement in the period comprised between 2002 and 2005 were as follows:

a) CAR Region
The total of operations reflected a positive trend of 1.92% between years 2002 to 2005.

b) SAM Region
The total of operations reflected a negative trend of -0.56% between years 2002 to 2005.

c) CAR/SAM Regions
The global trend in both CAR/SAM Regions reflects in a positive manner 0.66% between years 2002 to 2005.

d) In the CAR Region, the following States reflect positive trends:

Cuba	6.41%
Dominican Republic	5.74%
Belice	4.77%
El Salvador	3.06%
México	2.57%
U. S. (P. R) (V. I)	2.51%
Guatemala	2.51%
Costa Rica	2.42%

e) In the SAM Region the following States reflect positive trends:

Venezuela	4.79%
Panamá	3.73%
Chile	2.59%
Bolivia	2.49%
Perú	0.85%

3. Analysis of data

Based on the information sent by States, an analysis on flights concentration in the CAR/SAM Regions was made. The result of such analysis is contained is as follows:

a) Approximately 80% of flights reported is concentrated in the following 7 countries, as shown below:

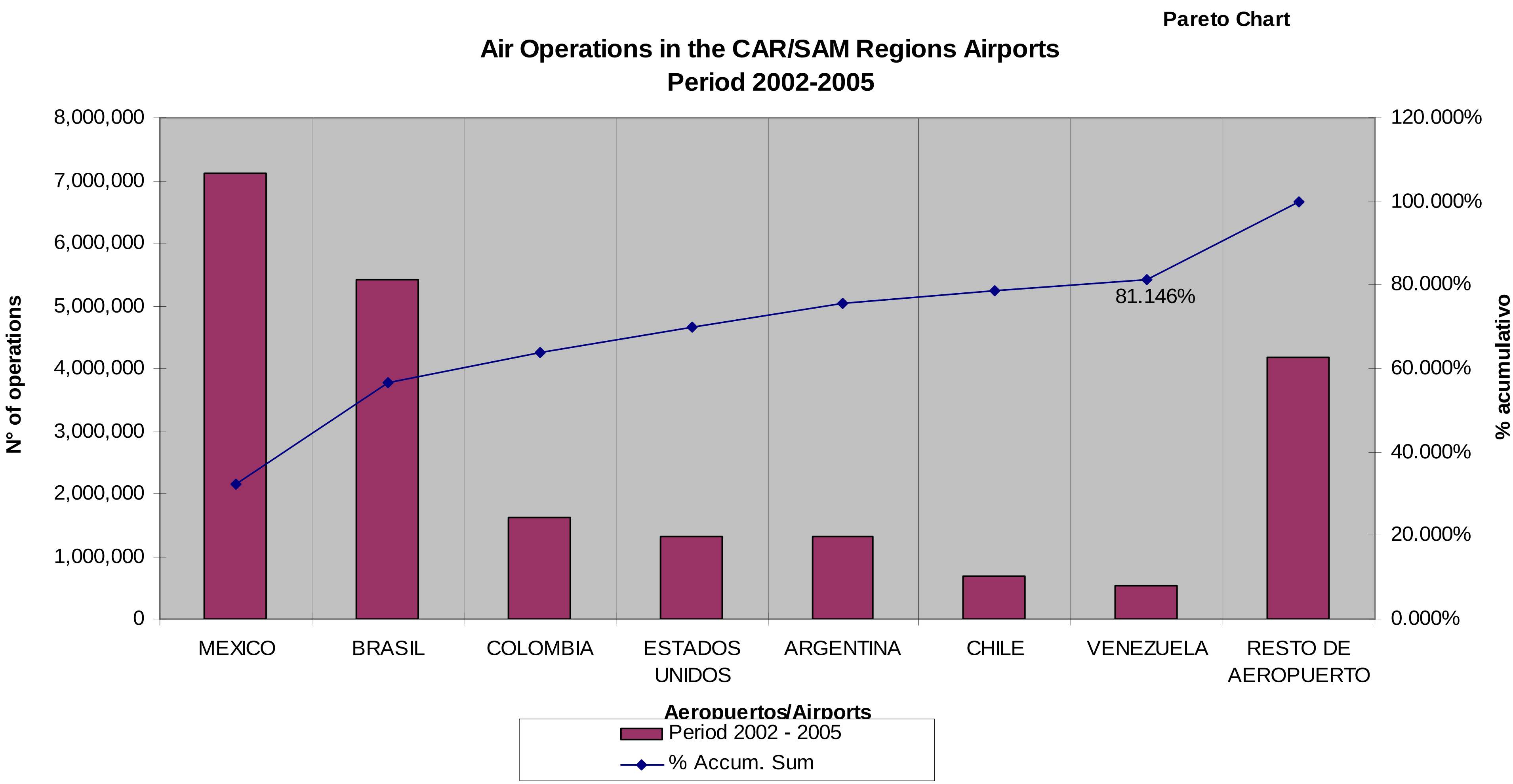
N°	AEROPUERTOS DE LAS REGIONES CAR/ SAM AIRPORTS IN THE CAR/SAM REGIONS	Periodo / Period 2002 - 2005	%
1	MEXICO	7,116,319.00	32.090%
2	BRASIL	5,412,758.00	24.408%
3	COLOMBIA	1,630,559.00	7.353%
4	ESTADOS UNIDOS/USA	1,328,879.00	5.992%
5	ARGENTINA	1,307,842.00	5.898%
6	CHILE	676,718.00	3.052%
7	VENEZUELA	522,090.00	2.354%
8	RESTO DE AEROPUERTOS/REST OF AIRPORTS	4,181,009.00	18.854%
	TOTAL	**22,176,174.00**	**100.000%**

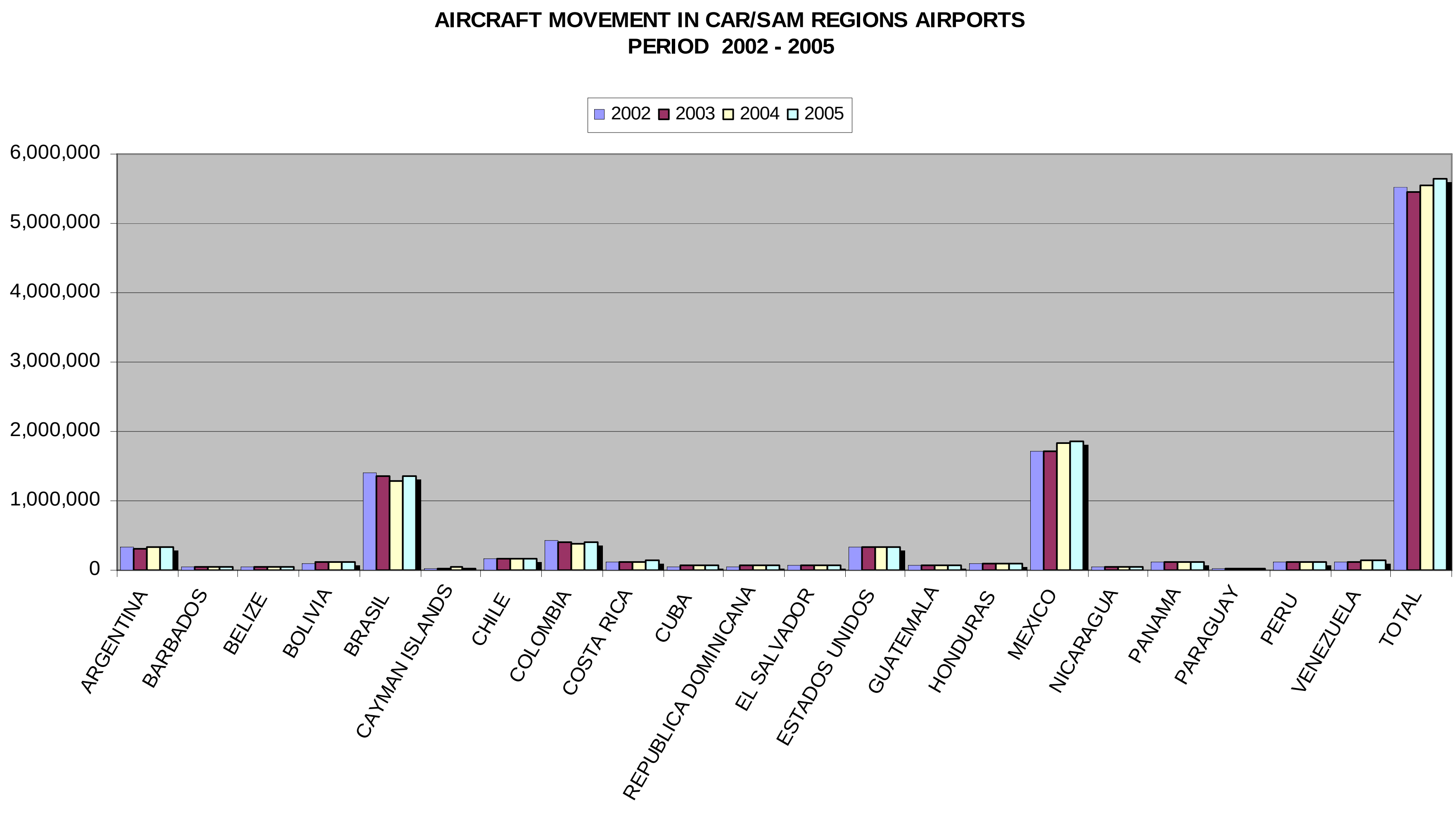
b) From these seven (7) countries, 2 belong to the CAR Region: México with the greatest percentage in the CAR/SAM Regions (32.09%) and United States which occupies fourth place 5.99%). The rest of the places belong to SAM Region States. The flight volume generated in Brazil should be highlighted, representing a 24.408%, corresponding to the second place in both Regions.

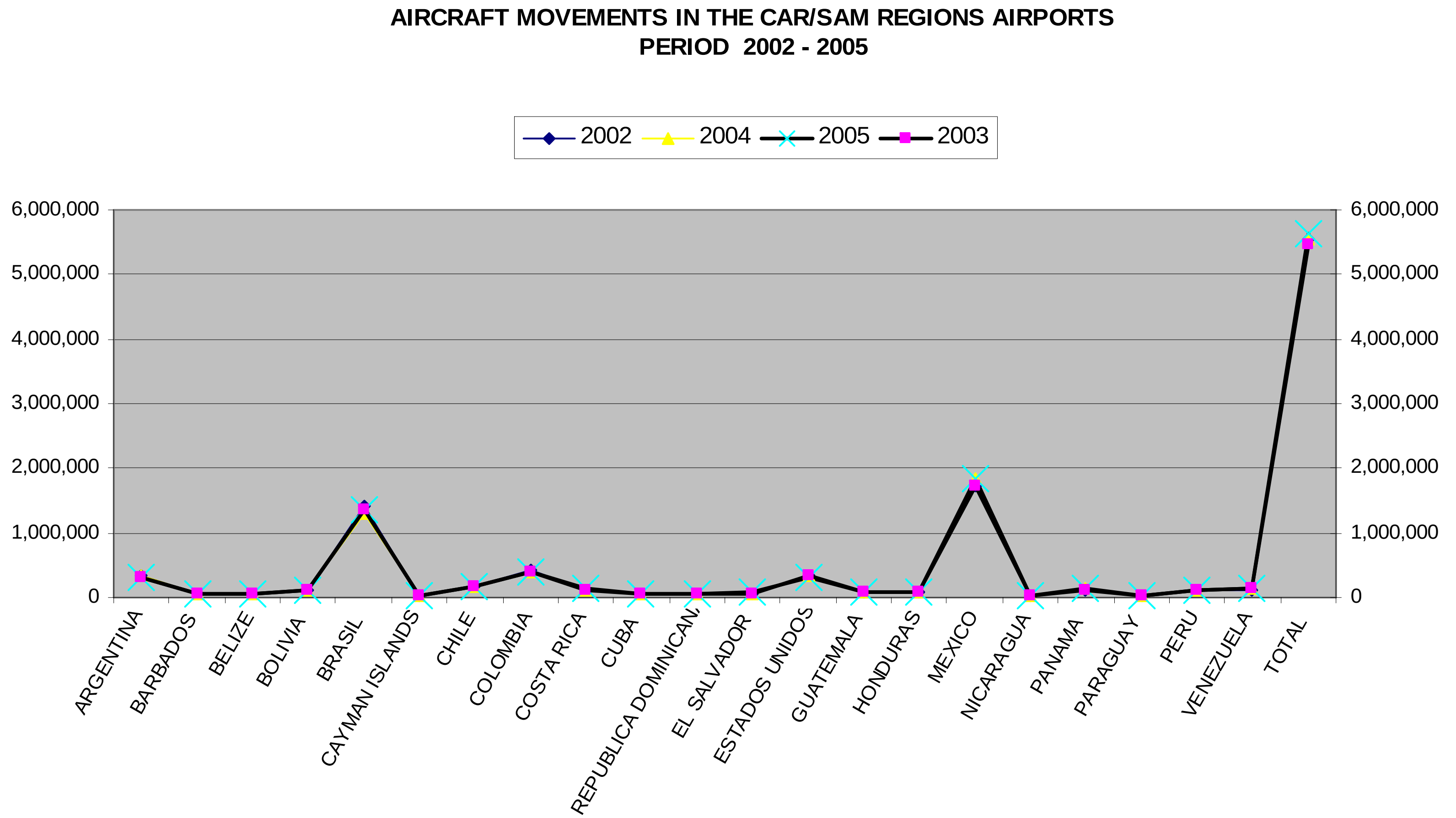
c) The rest of the States has been grouped in REST OF AIRPORTS, which individually contributes with non-significant margins (values of less than 5%) which jointly represent 18.854%.

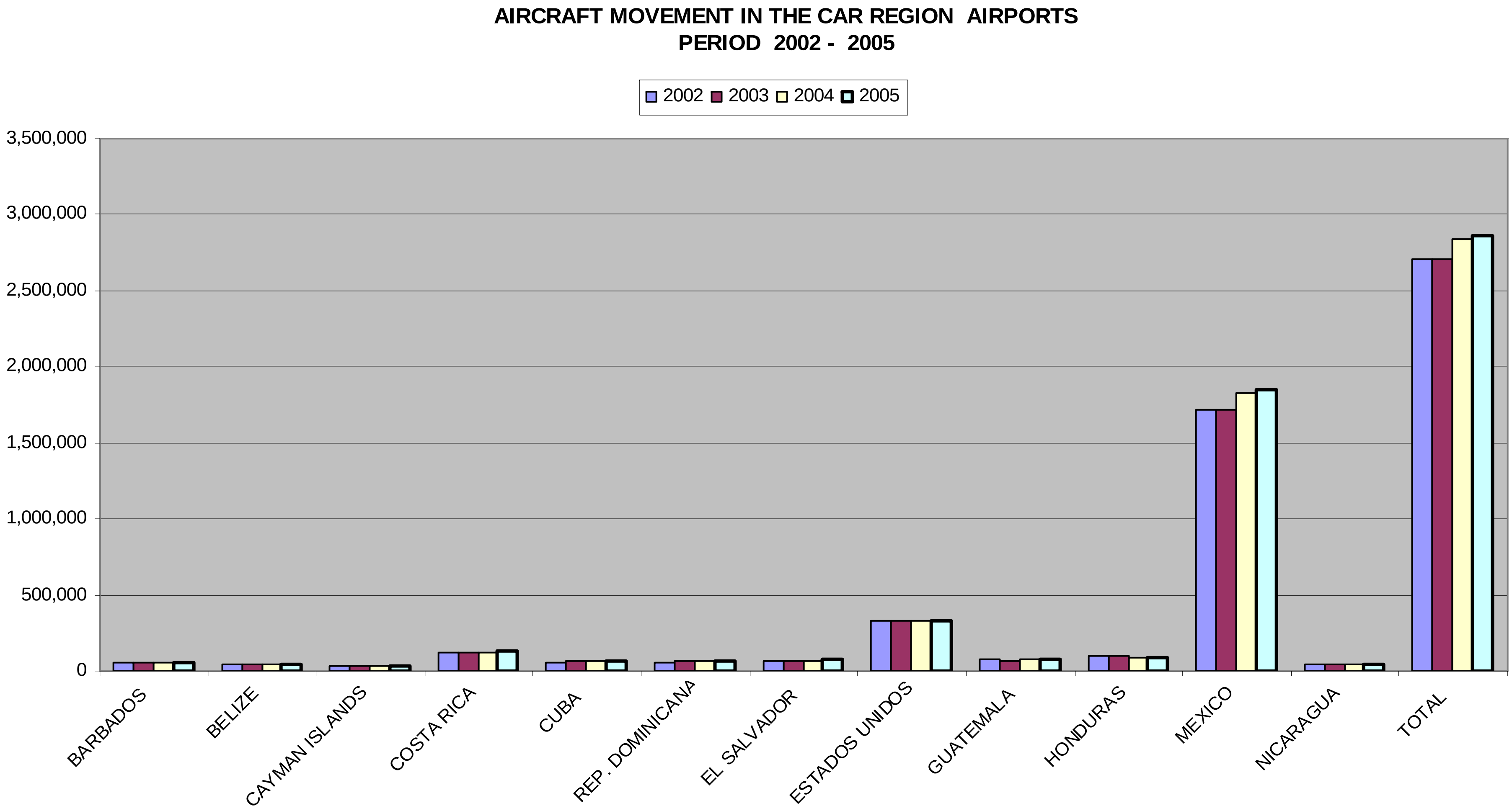
d) It is considered that percentages reflected in the table of numeral i) shall not vary, taking into consideration that States which did not submit information (50%) are mostly Caribbean States from which it is deemed that their flight volumes are below **5%**, which would not affect the table shown above.

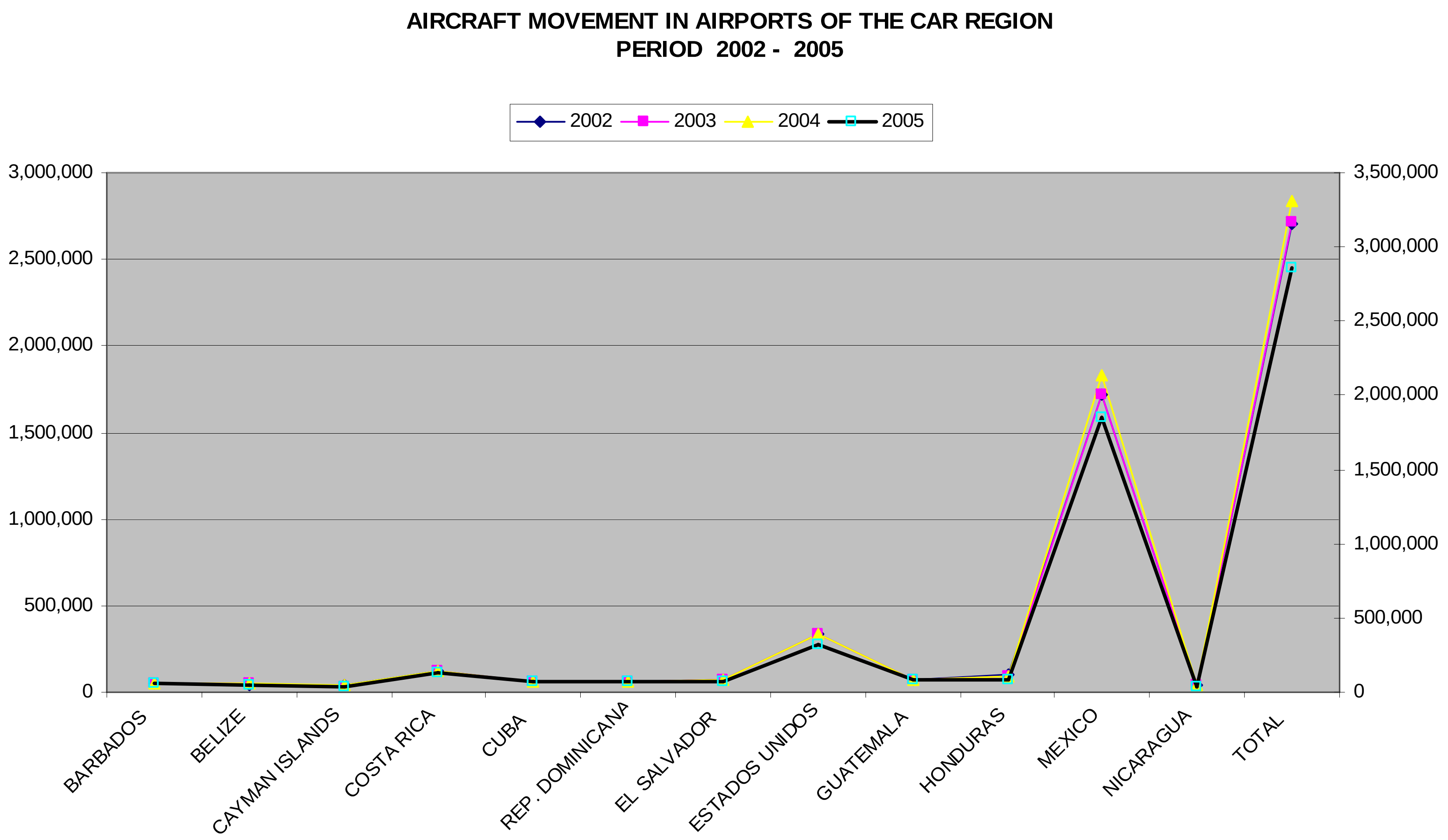
4. Resulting graphics


Pareto Chart
Air Operations in the CAR/SAM Regions Airports
Period 2002-2005
N° of operations
% acumulativo
8,000,000
7,000,000
6,000,000
5,000,000
4,000,000
3,000,000
2,000,000
1,000,000
0
120.000%
100.000%
80.000%
60.000%
40.000%
20.000%
0.000%
81.146%
MEXICO
BRASIL
COLOMBIA
ESTADOS UNIDOS
ARGENTINA
CHILE
VENEZUELA
RESTO DE AEROPUERTO
Aeropuertos/Airports
Period 2002 - 2005
% Accum. Sum


AIRCRAFT MOVEMENT IN CAR/SAM REGIONS AIRPORTS
PERIOD 2002 - 2005
2002
2003
2004
2005
6,000,000
5,000,000
4,000,000
3,000,000
2,000,000
1,000,000
0
ARGENTINA
BARBADOS
BELIZE
BOLIVIA
BRASIL
CAYMAN ISLANDS
CHILE
COLOMBIA
COSTA RICA
CUBA
REPUBLICA DOMINICANA
EL SALVADOR
ESTADOS UNIDOS
GUATEMALA
HONDURAS
MEXICO
NICARAGUA
PANAMA
PARAGUAY
PERU
VENEZUELA
TOTAL


AIRCRAFT MOVEMENTS IN THE CAR/SAM REGIONS AIRPORTS
PERIOD 2002 - 2005
2002
2004
2005
2003
6,000,000
5,000,000
4,000,000
3,000,000
2,000,000
1,000,000
0
ARGENTINA
BARBADOS
BELIZE
BOLIVIA
BRASIL
CAYMAN ISLANDS
CHILE
COLOMBIA
COSTA RICA
CUBA
REPUBLICA DOMINICANA
EL SALVADOR
ESTADOS UNIDOS
GUATEMALA
HONDURAS
MEXICO
NICARAGUA
PANAMA
PARAGUAY
PERU
VENEZUELA
TOTAL


AIRCRAFT MOVEMENT IN THE CAR REGION AIRPORTS
PERIOD 2002 - 2005
2002
2003
2004
2005
3,500,000
3,000,000
2,500,000
2,000,000
1,500,000
1,000,000
500,000
0
BARBADOS
BELIZE
CAYMAN ISLANDS
COSTA RICA
CUBA
REP. DOMINICANA
EL SALVADOR
ESTADOS UNIDOS
GUATEMALA
HONDURAS
MEXICO
NICARAGUA
TOTAL


AIRCRAFT MOVEMENT IN AIRPORTS OF THE CAR REGION
PERIOD 2002 - 2005
2002
2003
2004
2005
3,000,000
2,500,000
2,000,000
1,500,000
1,000,000
500,000
0
3,500,000
3,000,000
2,500,000
2,000,000
1,500,000
1,000,000
500,000
0
BARBADOS
BELIZE
CAYMAN ISLANDS
COSTA RICA
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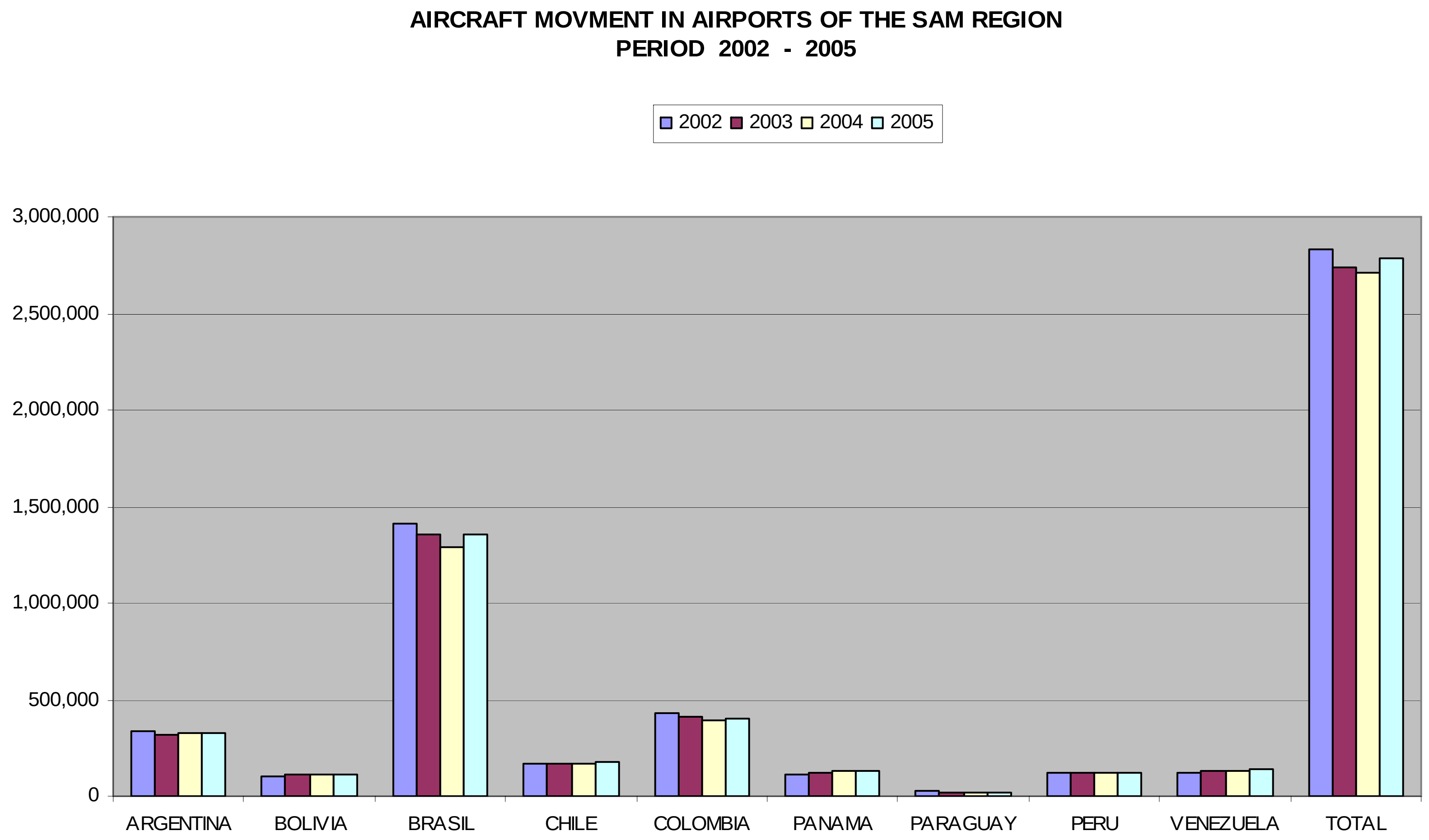
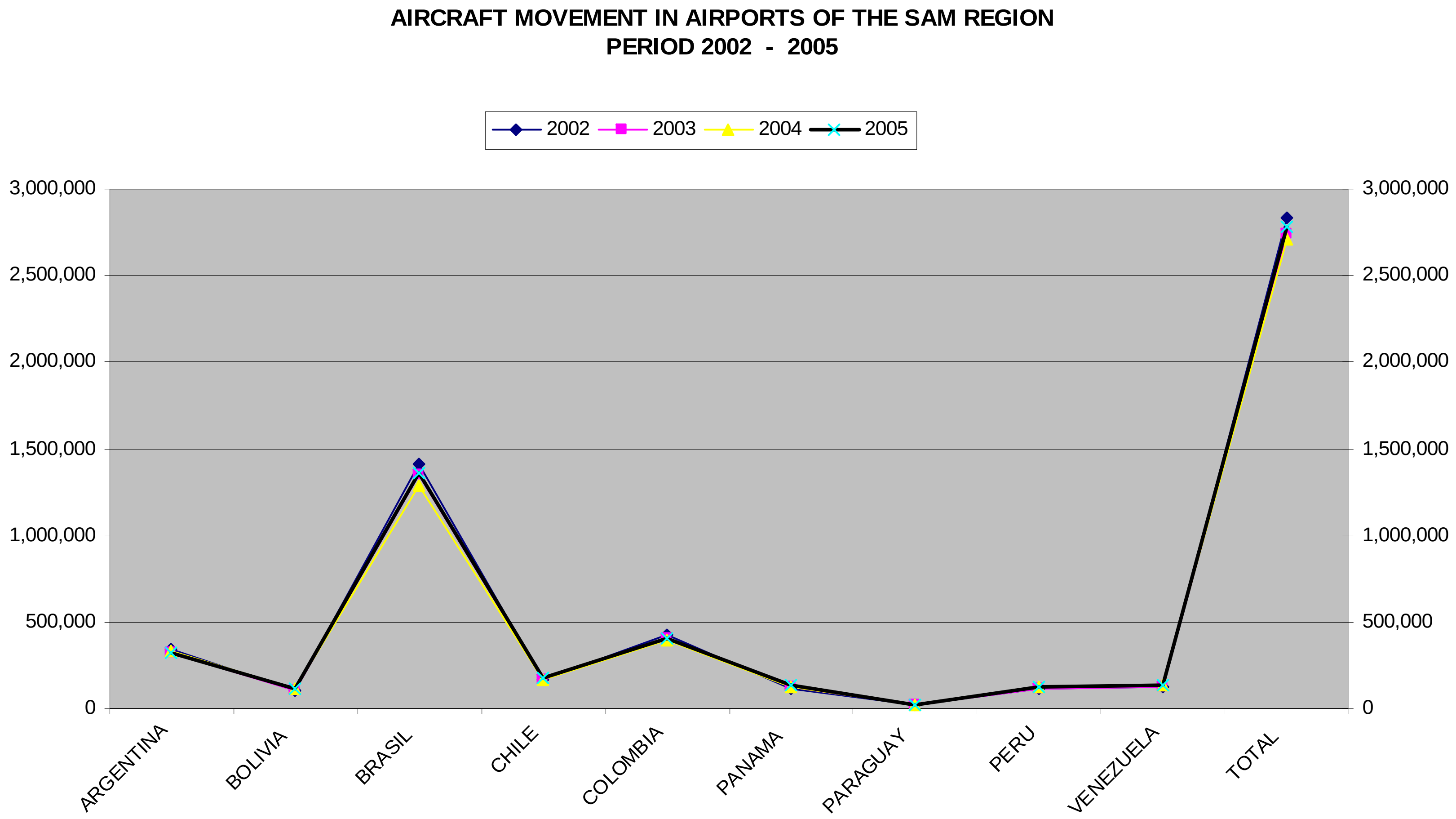
REP. DOMINICANA
EL SALVADOR
ESTADOS UNIDOS
GUATEMALA
HONDURAS
MEXICO
NICARAGUA
TOTAL


AIRCRAFT MOVMENT IN AIRPORTS OF THE SAM REGION
PERIOD 2002 - 2005
2002
2003
2004
2005
3,000,000
2,500,000
2,000,000
1,500,000
1,000,000
500,000
0
ARGENTINA
BOLIVIA
BRASIL
CHILE
COLOMBIA
PANAMA
PARAGUAY
PERU
VENEZUELA
TOTAL


AIRCRAFT MOVEMENT IN AIRPORTS OF THE SAM REGION
PERIOD 2002 - 2005
2002
2003
2004
2005
3,000,000
2,500,000
2,000,000
1,500,000
1,000,000
500,000
0
ARGENTINA
BOLIVIA
BRASIL
CHILE
COLOMBIA
PANAMA
PARAGUAY
PERU
VENEZUELA
TOTAL

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APPENDIX B

Table

Routing Areas and Main Traffic Flows Identified in the CAR/SAM Regions

-1- Routing Area (AR)	-2- Traffic flows	-3- FIRs involved	-4- Type of area	-5- Remarks
Caribbean/South American Regions (CAR/SAM)				
AR 1	Buenos Aires-Santiago de Chile	Ezeiza, Mendoza, Santiago	Low density Continental	SAM intra-regional traffic flow
	Buenos Aires-Sao Paulo/Río de Janeiro	Ezeiza, Montevideo, Curitiba, Brasilia	Low density Continental	SAM intra regional traffic flow
	Santiago de Chile-Sao Paulo/Rio de Janeiro	Santiago, Mendoza, Córdoba, Resistencia, Asunción, Curitiba, Brasilia	Low density Continental	SAM intra regional traffic flow
	Sao Paulo/Rio de Janeiro-Europe	Brasilia, Recife	Continental / Low density Oceanic	SAM/AFI/EUR inter regional traffic flow
AR 2	Sao Paulo/Río de Janeiro-Miami	Brasilia, Manaus, Maiquetía, Curacao, Kingston, Santo Domingo, Port au Prince, Habana, Miami	Continental / Low density Oceanic	CAR/SAM/NAM inter- and intra-regional traffic flow
	Sao Paulo/Río de Janeiro-New York	Brasilia, Belem, Paramaribo, Georgetown, Piarco, Rochambeau, San Juan (New York)	Continental / Low density Oceanic	CAR/SAM/NAM/NAT inter- and intra-regional traffic flow
AR 3	Sao Paulo/Río de Janeiro- Lima	Brasilia, Curitiba, La Paz, Lima	Low density Continental	SAM intra-regional traffic flow
	Sao Paulo/Río de Janeiro-Los Angeles	Brasilia, Porto Velho, Bogotá, Barranquilla, Panamá, Central América, Mérida, México, Mazatlán (Los Angeles)	Low density Continental	CAR/SAM/NAM inter- and intra-regional traffic flow
AR 4	Santiago - Lima - Miami	Santiago, Antofagasta, Lima, Guayaquil, Bogotá, Barranquilla, Panamá, Kingston, Habana, Miami.	Continental / Low density Oceanic	CAR/SAM/NAM inter- and intra-regional traffic flow

-1- Routing Area (AR)	-2- Traffic flows	-3- FIRs involved	-4- Type of area	-5- Remarks
	Buenos Aires - New York	Ezeiza, Resistencia, Asunción, La Paz, Porto Velho, Manaus, Maiquetía, Curacao, Santo Domingo, Miami (New York)	Continental / Low density Oceanic	CAR/SAM/NAM/ NAT NAM inter- and intra-regional traffic flow
	Buenos Aires - Miami	Ezeza, Resistencia, Córdoba, La Paz, Porto Velho, Bogotá, Barranquilla, Kingston, Habana, Miami	Continental / Low density Oceanic	CAR/SAM/NAM NAM inter- and intra-regional traffic flow
AR 5	North of South America - Europe	Guayaquil, Bogotá, Maiquetía, Piarco (NAT-EUR)	Continental / high density Oceanic	SAM/NAT/EUR inter-regional traffic flow
AR 6	Santiago - Lima - Los Angeles	Santiago, Antofagasta Lima, Guayaquil, Central Amérca, México	Low density oceanic	CAR/SAM /NAM intra- and inter-regional traffic flow
AR 7	South America – South Africa	Ezeiza, Montevideo, Brasilia, Johanesburgo (AFI)	Low density oceanic	SAM/AFI inter-regional traffic flow
	Santiago de Chile - Isla de Pascua - Papeete (PAC)	Santiago, Pascua, Tahiti	Low density oceanic	SAM/PAC inter-regional traffic flow
GM-1	Mexico, Toluca, Guadalajara, Monterrey, Mazatlán, La Paz, Acapulco, Puerto Vallarta, Huatulco, Cancún Gulf of Mexico— North America	Mexico, Houston, Miami; Albuquerque; Los Angeles	Continental/oceanic high density	CAR/NAM inter-regional major traffic flow
	Cancún, Guatemala, El Salvador, Nicaragua, Honduras, Costa Rica – Miami	Mexico, Central America, Havana, Miami	Continental/oceanic high density	CAR/NAM interregional traffic flow
GM-2	Mexico, Cancun, La Havana, Nassau — Europe	Mexico, Havana, Miami -NAT-EUR	Continental/oceanic high density Major traffic flow	CAR/NAM/NAT/ EUR inter-regional traffic flow
GM-3	Costa Rica, Panama, Honduras Kingston, Haiti, Santo Domingo San Juan,	Central America, Panama, Kingston, Port-au-Prince, Curacao, Santo	Oceanic high density	CAR/ NAT/EUR intra and interregional major traffic flow

-1- Routing Area (AR)	-2- Traffic flows	-3- FIRs involved	-4- Type of area	-5- Remarks
	The Caribbean — Europe	Domingo, San Juan – EUR		
	North America – East Caribbean	New York, Miami, Havana, San Juan, Santo Domingo Piarco	Oceanic high density	West Atlantic Route System CAR/NAM inter-regional traffic flow

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APPENDIX C

General Considerations for the implementation process of a Centralized ATFM

The implementation of the Centralized ATFM should consider the following requirements:

a) Access to the operational status of the air navigation infrastructure.

b) Access to aeronautical information and cartography.

c) Access to meteorological information.

d) Database of:

- aerodromes;
- airport capacity;
- ATC capacity
- Air traffic demand
- Airspace structure
- Radio navigation aids
- Aircraft performance; and
- Utilization of airports and control sectors.

e) Access to flight planning data (FPL, RPL, etc.).

f) Flight plans processing.

g) Access to surveillance data (SSR, ADS, etc.)

h) Automated resources:

- Processing and data visualization system for flow management, having, among other thing, the following sub-systems:
  - Flight data processing
  - Airspace and airports structure data;
  - Situation analysis (capacity and demand);
  - Presentation of air traffic situation;
  - Monitoring of the operational status of the infrastructure;
  - Support to collaborative decision making (ATC slots, alternate routes, etc.).
  - Database maintenance.

i) Communication to coordinate with:

- Other centralized ATFMs
- Operators (airlines, general aviation, State, etc.);
- Airport management;
- FMUs and/or FMPs and/or ATS units;
- Aeronautical meteorological units;
- AIS units.

j) Human resources

- qualified personnel;
- support personnel;
- recurrent training.

k) Use of adequate tools for statistics

l) Infrastructure

- buildings
- equipment
- electrical power
- air conditioning
- supplies
- software

m) Implementation of FMUs and/or FMPs, as required.

n) Redundancy of critical systems.

APPENDIX D

INTERNATIONAL CIVIL AVIATION ORGANIZATION

INTERFACE CONTROL DOCUMENT
FOR
ATS INTER-FACILITY DATA COMMUNICATIONS
IN THE
CARIBBEAN AND SOUTH AMERICAN REGIONS

(CAR/SAM AIDC ICD)

Version	Draft 0.2
Date	13 November 2006

FOREWORD

The *Interface Control Document (ICD) for ATS Inter-Facility Data Communications (AIDC) in the Caribbean and South American Regions (CAR/SAM AIDC ICD)* is published by the ATM/CNS Subgroup of the Caribbean/South American Regional Planning and Implementation Group (GREPECAS). It describes a process and protocols for exchanging data between multiple States/Territories/International Organizations within and across regions.

Copies of the *CAR/SAM AIDC ICD* can be obtained by contacting:

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AMENDMENTS TO THE DOCUMENT

The present edition (Draft Version 0.2) includes all revisions and modifications until November 2006. Subsequent amendments and corrigenda will be indicated in the Record of Amendment and Corrigenda Table.

Proposals for amendments to the document may be submitted to either of the ICAO Regional Offices for coordination and processing. The GREPECAS and its contributory bodies will issue revised editions of the Document as required.

The publication of amendments and corrigenda is regularly announced through correspondence with States, and the ICAO web site, which holders of this publication should consult. The space below is provided to keep a record of such amendments.

RECORD OF AMENDMENTS AND CORRIGENDA

AMENDMENTS			
No.	Date applicable	Date entered	Entered by

CORRIGENDA			
No.	Date applicable	Date entered	Entered by

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INTRODUCTION

HISTORICAL

Air Traffic Services providers in several regions have identified the requirement to exchange flight plan and radar data information between adjacent ATC facilities utilizing ATS Inter-Facility Data Communications (AIDC). This requirement stems from the increasing traffic levels crossing FIR boundaries and the need to improve efficiency and accuracy for the ATC providers. Developing a harmonized process and protocols for exchanging data between multiple States/Territories/International Organizations within and across regions is critical to satisfying this requirement. As ATS providers develop their automation systems, consideration should be given to meeting the capabilities identified within this Interface Control Document (ICD).

The CAR/SAM AIDC ICD is based on the North American Common Coordination Interface Control Document used by Canada, the United States and Mexico. The NAM region has advanced to the level of initial implementation of flight plan data exchange. Experience gained by the NAM region during their development process is incorporated here.

The GREPECAS/12 meeting held in Cuba, 07 – 11 June 2004 concluded that the CAR/SAM States/Territories/International Organizations should define an action plan for the application of a regional strategy for the integration of ATM automated systems. This document provides the basis for interfacing those ATM automation systems in the CAR/SAM regions.

The Interface Control Document for ATS Inter-Facility Data Communications for the Caribbean and South American Regions (CAR/SAM AIDC ICD) content is as follows:

Part I- Purpose, Policy, and Units of Measurement

This section provides an overall philosophical view of the Interface Control Document (ICD) and general information concerning the measurement units that are used. It also describes the process by which changes to this document are to be managed.

Part II- ATS Coordination Messages

This section describes in detail all the messages that may be used to exchange ATS data between Air Traffic Services (ATS) Units. In this version of the document, flight plan and radar handover messages have been defined.

Part III- Communications and Support Mechanisms

This section describes the technical and other requirements needed to support ATS message exchange.

Appendices

Appendix A includes a list of error messages.
Appendix B contains Implementation Guidance Material for the message sets.
Appendix C is a model describing a specific Common Boundary Agreement to be followed by ATS providers, noting the level of the interface that is supported and any deviations from the core message definitions.

GLOSSARY

Active Flight	A flight that has departed but has not yet landed. Note: This ICD assumes any flight with an entered actual departure time in the flight plan is active.
Adapted Route	A route whose significant points are defined in an automation system and associated with a name for reference purposes. Adapted routes normally include all ATS routes, plus non-published routes applied to flights by the system or by controllers.
Adapted Route Segment	Two significant points and the name of the adapted route connecting them.
Aircraft ID	A group of letters, numerics or combination thereof which is either identical to, or the coded equivalent of, aircraft callsign to be used in air-ground communication, and which is used to identify the aircraft in a ground-ground ATS communication..
Air Traffic Services Provider	For the purposes of this ICD means the responsible to provide air traffic services in the jurisdiction of State/Territory, such as own State, Agency or International Organization.
Airway	A route that is defined and published for purposes of air navigation.
Altitude	The vertical distance of a level measured from mean sea level (MSL).
Area Control Center/ Centre	An Air Traffic Services unit established to provide air traffic control service to controlled flights in control areas under its jurisdiction.
Assigned SSR Code	A SSR code that has been assigned by an ATC facility to a flight. The flight may or may not be squawking this code. See Established SSR Code.
ATS Route	A specified route designed for channeling the flow of traffic as necessary for the provision of air traffic services.
Boundary Crossing Point	An intersection point between a route of flight and a control boundary.
Boundary Crossing Time	The time at which a flight is predicted to reach its Boundary Crossing Point.
Boundary Point	An agreed point on or near the control boundary at which time and altitude information is provided for purposes of coordination.
Character	A letter from A-Z or number from 0-9.

Control Boundary	The boundary of the Area Control Center (ACC) as defined in the local automation system. This is typically close to, but not the same as, the FIR boundary.
Direct Route Segment	A route segment defined solely by two significant points. The path between the points is implied, and depends on the navigation system used.
Element	Within a numbered field of an ICAO message there may be several sub-fields, called elements. These are referred to by sequential letters a, b, c, etc. For example Field 03 has elements a, b, and c.
Established SSR Code	The SSR code that a flight is now squawking.
Field	A numbered logical portion of a message. All references to fields in this document are to message fields defined in ICAO Doc. 4444 unless otherwise specified.
Fix-radial-distance	A method of specifying a geographic point. It includes the name of a fix, followed by a direction from the fix in degrees and then a distance in nautical miles.
Flight ID	The combination of aircraft ID (from Field 07) and most recent message number (from ICAO Field 03(b)) which uniquely identify a flight.
Flight Level	A surface of constant atmospheric pressure which is related to a specific pressure datum of 1,013.2 hPa (29.92 inches of mercury), and is separated from other such surfaces by specific pressure intervals (see Annex 11). Each is stated in three digits that represent hundreds of feet. For example, flight level 250 represents a barometric altimeter indication of 25,000 feet with the altimeter set to 29.92.
Letter	A letter from A-Z.
Numeric	A number from 0-9.
Off-Block Time	The time at which an aircraft expects to push back or has pushed back from the gate.
Proposed Flight	A flight which has a flight plan but which has not departed.
Reject	When this term is used, it means that an incoming message is not to be processed further and should be output to a specified location (either the message source, or a local adapted device or position). The message must be re-entered in total (after correction) in order for it to be processed.
Reported Altitude	The latest valid Mode C altitude received from an aircraft, or the latest reported altitude received from a pilot.
Route	A defined path consisting of one or more ordered route segments with successive segments sharing a common end/start point. (See also Adapted Route, Direct Route, Flight Plan (or Filed) Route, Route Segment, Direct Route Segment, Adapted Route Segment).

Route Segment	Two significant points and the path between them, the order of the points indicating the direction of flight. (See adapted and direct route segments.)
Selective Calling System	Techniques, or procedures, applied to radio communications for calling only one of several receiving stations guarding the same frequency (SELCAL).
Service	In the context of this interface, a service refers to type of interface service provided: message transfer, file transfer, data base query, etc.
SSR Code	A transponder code consisting of four octal digits.
Standard Arrival Route	A published route from a designated significant point to an aerodrome.
Standard Departure Route	A published route from an aerodrome to the first significant point on a route.
Significant Point	A specified geographical location used in defining an ATS route or the flight path of an aircraft and for other navigation and ATS purposes.
Symbol	Any of the symbols used within messages, including space “ ” oblique stroke “/”, single hyphen “-”, plus “+”, open bracket “(” , closed bracket “)”.
Transaction	The exchange of a message and a response.

LIST OF ACRONYMS

ACC	Area Control Center/Centre
ACID	Aircraft ID - the three to seven character callsign or registration number of an aircraft (e.g. MEX123)
ACP	Acceptance Message
ADF	Automatic Direction Finder
AFTN	Aeronautical Fixed Telecommunications Network
AIFL	Air filed - substitutes for departure aerodrome in flight plan Field 13 when IFR clearance is granted to airborne VFR aircraft
ARTCC	Air Route Traffic Control Center (see Area Control Center)
ATM	Air Traffic Management
ATN	Aeronautical Telecommunications Network
ATS	Air Traffic Services
Bps	Bits Per Second
CAR	ICAO Caribbean Region
CHG	Modification message for **Proposed** Flight Plan
CNL	Flight Plan Cancellation message
CNS	Communications, Navigation and Surveillance
CPL	Current Flight Plan message
EST	Estimate message
FDP	Flight Data Processing
FIR	Flight Information Region
FPL	Filed Flight Plan message
FSAS	Flight Services Automation System
FSS	Flight Service Station
ICD	Interface Control Document
ICAO	International Civil Aviation Organization
ID	Identification
IFR	Instrument Flight Rules
ILS	Instrument Landing System
IRQ	Initialization Request message
IRS	Initialization Response message

ISO	International Standards Organization
Kb	Kilobyte (= 1024 bytes)
LAM	Logical Acknowledgement message
LRM	Logical Rejection message
MIS	Miscellaneous Information message
MOD	Modification message for **Active** Flight Plan
MSN	Message Switched Network
NACC	ICAO North American, Central American and Caribbean Regional Office
NAM	ICAO North American Region (and Mexico)
NAT	ICAO North Atlantic Region
PAC	ICAO Pacific Region
PANS	Procedures for Air Navigation Services
PSN	Packet Switched Network (synonymous with PSDN)
PSDN	Packet Switched Data Network (synonymous with PSN)
RDP	Radar Data Processing
RLA	Radar Logical Acknowledgement
RNP	Required Navigation Performance
RTF	Radio Telephone
RTA	Radar Transfer Accept
RTI	Radar Transfer Initiate
RTU	Radar Track Update
RVSM	Reduced Vertical Separation Minimum
SAM	ICAO South American Region
SELCAL	Selective Calling System
SID	Standard Instrument Departure
SSR	Secondary Surveillance Radar
STAR	Standard Arrival Route
TBD	To Be Determined
TRQ	Termination Request message
TRS	Termination Response message
UTC	Universal Time Coordinated

VFR	Visual Flight Rules
VHF	Very High Frequency
VOR	VHF Omnidirectional Range
VSP	Variable System Parameter

REFERENCES

Document ID	Document Name	Date/ Version
ICAO Doc. 4444	Air Traffic Management, Doc. 4444 PANS-ATM/501	Always use latest version
ICAO Annex 10, Volume II	Aeronautical Telecommunications. Communication, Procedures including those with PANS status.	Always use latest version
ICAO Annex 11	Air Traffic Services	Always use latest version
ICAO Doc. 8643	Aircraft Type Designators	Always use latest version
ICAO Doc. 7910	Location Indicators	Always use latest version
ICAO Doc. 9705	Manual of Technical Provisions for Aeronautical Telecommunications Network	Always use latest version
ICAO Doc. 9426	ATS Planning Manual	Always use latest version

1. PART I – PURPOSE, POLICY, AND UNITS OF MEASUREMENT

1.1 PURPOSE

The purpose of this document is to ensure that data interchange between ATS units providing Air Traffic Services in the CAR and SAM Regions conforms to a common standard, and to provide a means to centrally coordinate changes to the standard.

1.2 POLICY

1.2.1 CONFIGURATION MANAGEMENT

The contents of this ICD must be approved by the GREPECAS. Proposed changes to this document will be submitted through the GREPECAS mechanism.

The ICAO secretariat will coordinate review through the GREPECAS mechanism. When all parties have agreed to a change, the document will be amended and distributed by the secretariat.

This document identifies the standards to be followed when the defined messages are implemented. A separate Common Boundary Agreement between each pair of ATS providers shall define which message sets are currently implemented.

1.2.2 SYSTEM PHILOSOPHY

The automation of flight data exchange between neighboring Air Traffic Services units will follow the standards set by ICAO Documents referenced above. In constructing the interface it is recognized that the ICAO standards address neither all required messages nor all required details of message content, and that existing ATS procedures and automation systems are not always fully compatible with parts of the ICAO standard. Therefore this document supplements ICAO Doc. 4444 as needed to meet the requirements of the ATS providers in the CAR/SAM Regions.

This document addresses messages exchanged between Area Control Centers (ACCs) and any other applicable facilities (e.g. Terminal or ATFM Units). Note that a message (e.g. FPL) from a user or operator to an ACC may have different requirements than those sent from ACC to ACC or ACC to ATFM Unit. This document defines the ATM messages that are needed for complete flight plan coordination.

Each pair of ATS providers planning to implement AIDC shall select the applicable message sets from those defined below. By implementing only those message sets necessary to meet the current needs and capabilities of the automation systems, the ATS providers can obtain benefits on an incremental basis.

1.2.2.1 FLIGHT PLAN DATA COORDINATION

The interface automates only the exchange of flight plan data agreed between the specific ATS providers involved. Additional to those messages contained in Doc 4444, the following messages defined in this document may be used:

- Active flight modification (MOD)
- Miscellaneous Information (MIS)
- Logical Rejection (LRM)
- Initialization Request (IRQ)
- Initialization Response (IRS)
- Termination Request (TRQ)
- Termination Response (TRS)

1.2.2.2 ATFM COORDINATION MESSAGES

As the requirement to coordinate ATFM information arises, specific messages may need to be developed and incorporated into this document.

1.2.2.3 RADAR HANDOVER

Transfer of Control includes the capability to perform a radar handover, using the messages defined in this ICD.

- Radar Transfer Initiate (RTI)
- Radar Track Update (RTU)
- Radar Transfer Accept (RTA)
- Radar Logical Acknowledgement (RLA)

The format of these messages is consistent with ICAO standards. The RLA message was introduced as a logical acknowledgement to an RTI, instead of LAM, because it needs to transmit information back to the sender.

1.2.2.4 ADS HANDOVER

As ADS surveillance is implemented and the requirement to perform ADS handovers arises, additional messages may need to be developed and incorporated into this document.

1.3 UNITS OF MEASUREMENT AND DATA CONVENTIONS

1.3.1 TIME AND DATE

All times shall normally be expressed in UTC as four digits, with midnight expressed as 0000. The first two digits must not exceed 23, and the last two digits must not exceed 59.

If higher precision is needed, then a field specification may designate additional digits representing seconds and then fractions of seconds (using decimal numbers) may be added.

For example, 092236 is 9 hours, 22 minutes, and 36 seconds.
11133678 is 11 hours, 13 minutes, and 36.78 seconds.

When used, dates shall be expressed in the form YYMMDD where YY are the last two digits of the year (e.g. 01 is 2001), MM is the month (e.g. 05 for May), and DD is the day of the month (e.g. 29).

1.3.2 GEOGRAPHIC POSITION INFORMATION

Geographic position information shall be expressed in one of the following forms.

- Items a) through d) are consistent with ICAO Doc. 4444 PANS-ATM/501 Appendix 3, section 1.6.3; and,
- item e) was added because the standard ICAO definition of Latitude/Longitude did not provide enough precision for exchange of radar identification.

a) A two to five character significant point designator**.**

b) Four numerics describing latitude in degrees and minutes, followed by “N” (North) or “S” (South), followed by five numerics describing longitude in degrees and minutes, followed by “E” (East) or “W” (West). The correct number of numerics is to be made up, where necessary, by the insertion of zeros, e.g. “4620N07805W”.

c) Two numerics describing latitude in degrees, followed by “N” (North) or “S” (South), followed by three numerics describing longitude in degrees, followed by “E” (East) or “W” (West). Again, the correct number of numerics is to be made up, where necessary, by the insertion of zeros, e.g. “46N078W”.

d) Two to three characters being the coded identification of a navigation aid (normally a VOR), followed by three decimal numerics giving the bearing from the point in degrees magnetic followed by three decimal numerics giving the distance from the point in nautical miles. The correct number of numerics is to be made up, where necessary, by the insertion of zeros, e.g. a point at 180° magnetic at a distance of 40 nautical miles from VOR “FOJ” would be expressed as “FOJ180040”.

e) When surveillance information with higher precision is necessary, use six numerics describing latitude in degrees, minutes, and seconds, followed by “N” (North) or “S” (South), followed by seven numerics describing longitude in degrees, minutes, and seconds followed by “E” (East) or “W” (West). The correct number of numerics is to be made up, where necessary, by the insertion of zeros, e.g. “462033N0780556W”.

1.3.3 ROUTE INFORMATION

All published ATS routes shall be expressed as two to seven characters, being the coded designator assigned to the route to be flown.

1.3.4 ALTITUDE/LEVEL INFORMATION

All altitude information shall be specified as flight level(s) or altitude(s) in one of the following formats (per ICAO Doc. 4444 PANS-ATM/501, Appendix 3, Section 1.6.2):

- F followed by three decimal numerics, indicating a Flight Level number.
- A followed by three decimal numerics, indicating altitude in hundreds of feet.

Each message description identifies which of these formats may be used.

Note: If adjacent FIRs have different transition altitudes, agreement may be reached between the ATS Units on specific use of F versus A with the agreed upon solution documented in their Common Boundary Agreement.

1.3.5 SPEED INFORMATION

Speed information shall be expressed as true airspeed or as a Mach number, in one of the following formats (ICAO Doc. 4444 PANS-ATM/501 Appendix 3):

- N followed by four numerics indicating the true airspeed in knots (e.g. N0485).
- M followed by three numerics giving the Mach Number to the nearest hundredth of unit Mach (e.g. M082).

1.3.6 HEADING INFORMATION

Heading information shall be expressed as degrees and hundredths of degrees relative to true north using five digits, and inserting zeros as necessary to make up five digits, e.g. “00534” is 5.34 degrees relative to true north.

1.3.7 FUNCTIONAL ADDRESSES

A functional address, which refers to a function or position (e.g. Supervisor position) within an ATS Unit, may be substituted in the MIS message for the aircraft identification found in Field 07. The functional address shall contain between one and six characters and shall be preceded by an oblique stroke (/), for a total length of two through seven characters (e.g. /S1) .

1.3.8 FACILITY DESIGNATORS

Facility designators shall consist of four letters. The ICAO Doc. 7910 location identifier for the facility shall be used. Any exceptions shall be incorporated into the Common Boundary Agreement between the two affected ATS Units.

2. PART II –ATS COORDINATION MESSAGES

2.1 INTRODUCTION

The following sections describe those messages used by ATS systems for exchange of information. Messages and fields conform generally to ICAO Doc. 4444, and differences are noted.

2.2 MESSAGE FIELDS

Table 1 provides a summary of all fields used in messages described by this document. The remainder of this section describes the format of each field element. Section 3 describes which elements are to be included in each ATS message type, and Appendix B describes rules for the semantic content of each field.

Table 1. Summary of Message Fields

Field	Element (a)	Element (b)	Element (c)	Element (d)	Element (e)
03	Message Type Designator	Message Number	Reference Data		
07	Aircraft Identification	SSR Mode	SSR Code		
08	Flight Rules	Type of Flight			
09	Number of Aircraft	Type of Aircraft	Wake Turbulence Category		
10	Radio, Comm., Nav., and Approach Aid Equipment	Surveillance Equipment			
13	Departure Aerodrome	Time			
14	Boundary Point	Time at Boundary Point	Cleared Level	Supplementary Crossing Data	Crossing Condition
15	Cruising Speed or Mach Number	Requested Cruising Level	Route		
16	Destination Aerodrome	Total Estimated Elapsed Time	Alternate Aerodrome(s)		
18	Other Information				
22	Field Indicator	Amended Data			
31	Facility Designator	Sector Designator			
32	Time of Day	Position	Track Ground Speed	Track Heading	Reported Altitude

2.2.1 FIELD 03, MESSAGE TYPE, NUMBER AND REFERENCE DATA

Field 03(a) format shall be per ICAO Doc. 4444 except that:

Only the message identifiers included in Table 2, Core Message Set, shall be permitted in element (a).

Field 03(b) and Field 03(c) format shall be per ICAO Doc. 4444 except that:

The ATS unit identifier in elements (b) and (c) shall be exactly 4 letters. The ATS unit identifier should correspond to the first four letters of the ICAO Doc. 7910 location identifier for the ATS unit, e.g. SKBO for the Bogota ACC.

2.2.2 FIELD 07, AIRCRAFT IDENTIFICATION AND TRANSPONDER CODE

Field 07(a) format shall be per ICAO Doc. 4444 except that:

The aircraft ID shall be at least two characters long.
Aircraft IDs that begin with "TEST" shall be used only for test flight plans.
In an MIS message, a functional address may be substituted for the flight ID.

Field 07(b) and Field 07(c) format shall be per ICAO Doc. 4444, with the clarification that each number in

Field 07(c) must be an octal digit (i.e. 0-7). Note that elements 07(b) and 07(c) are either both present or both absent.

2.2.3 FIELD 08, FLIGHT RULES AND TYPE OF FLIGHT

Field 08(a) format shall be per ICAO Doc. 4444.

Field 08(b) format shall be per ICAO Doc. 4444.

2.2.4 FIELD 09, NUMBER AND TYPE OF AIRCRAFT AND WAKE TURBULENCE CATEGORY

Field 09(a) format shall be per ICAO Doc. 4444.

Field 09(b) format shall be per ICAO Doc. 4444.

Field 09(c) format shall be per ICAO Doc. 4444.

2.2.5 FIELD 10, EQUIPMENT

Field 10(a) format shall be per ICAO Doc. 4444.

Field 10(b) format shall be per ICAO Doc. 4444.

2.2.6 FIELD 13, DEPARTURE AERODROME AND TIME

Field 13(a) format shall be per ICAO Doc. 4444.

Field 13(b) format shall be per ICAO Doc. 4444.

2.2.7 FIELD 14, ESTIMATE DATA

Field 14(a) format shall be per ICAO Doc. 4444.

Field 14(b) format shall be per ICAO Doc. 4444.

Field 14(c) format shall be per ICAO Doc. 4444.

Field 14(d) format shall be per ICAO Doc. 4444.

Field 14(e) format shall be per ICAO Doc. 4444.

2.2.8 FIELD 15, ROUTE

Field 15(a) format shall be per ICAO Doc. 4444 except that:
The designator “K” used for kilometers per hour will not be permitted.

Field 15(b) format shall be per ICAO Doc. 4444 except that:
The designators “S” and “M” used for metric altitude will not be permitted.

Field 15(c) format shall be per ICAO Doc. 4444.
(Note that even though metric speed and altitude information is not permitted in other fields, it is permissible in elements (c4) and (c6).

2.2.9 FIELD 16, DESTINATION AERODROME AND TOTAL ESTIMATED ELAPSED TIME, ALTERNATE AERODROME(S)

Field 16(a) format shall be per ICAO Doc. 4444.

Field 16(b) format shall be per ICAO Doc. 4444.

Field 16(c) format shall be per ICAO Doc. 4444.

2.2.10 FIELD 18, OTHER INFORMATION

Field 18(a) format shall be per ICAO Doc. 4444, except that:

Indicators other than those shown in ICAO Doc. 4444 may be used; however these indicators may not be processed correctly by all ATS units and/or may cause flight plans to reject.

This reflects the reality that flight plans are filed with indicators other than those defined by ICAO (e.g. DOF/000112 to identify date of flight is commonly filed) some of which may be mandated by other ICAO regions.

Multiple instances of the indicator RMK/ may be used. ICAO Doc. 4444 does not address the validity/invalidity of this; however instances of filed plans which use the same indicator multiple times have been identified. For example, “RMK/AGCS EQUIPPED RMK/TCAS EQUIPPED RMK/RTE 506”. The same may be true for some other indicators (e.g. STS/, NAV/ or COM/).

It must be noted that certain other indicators, for example DEP/, must only be used once to ensure successful processing of the flight plan.

2.2.11 FIELD 22, AMENDMENT

Field 22(a) format shall be per ICAO Doc. 4444.

Field 22(b) format shall be per ICAO Doc. 4444.

2.2.12 FIELD 31—FACILITY AND SECTOR DESIGNATORS

Field 31(a) shall contain a four-letter designator of the destination facility that is to receive the handover.

Note that this facility ID can be for a terminal facility that the parent en route system provides routing for. The four-letter designator should be the location identifier for the facility (from ICAO Doc. 7910) if one exists. If a location identifier does not exist, one should be assigned by mutual agreement between the implementing ATS providers and submitted to ICAO for inclusion in ICAO Doc. 7910.

Field 31(b) shall contain a two-character designator of the sector that is to receive the handover.

If 00 is designated, or the field element is not included then the receiving system is to determine the appropriate sector.

Example: MDCS00

2.2.13 FIELD 32—AIRCRAFT POSITION AND VELOCITY VECTOR

Each element of field 32 is fixed length; there is no separator between elements.

Field 32(a) shall contain time of day that the position is valid for, expressed in eight digits: HHMMSSDD where HH is hours from 00 to 23; MM is minutes from 00 to 59; SS is seconds from 00 to 59 and DD is hundredths of seconds from 00 to 99.

Field 32(b) shall contain the position of the referent flight expressed in Latitude/Longitude to the nearest second, in ICAO Doc. 4444 format extended to include seconds (e.g. 462034N0780521W).

Field 32(c) shall contain the ground speed of the flight expressed in knots, per ICAO Doc. 4444 format (e.g. N0456).

Field 32(d) shall contain the heading of the flight expressed in degrees and hundredths of a degree using five digits, from 00000 to 35999 relative to true north.

Field 32(e) shall contain the reported altitude expressed in ICAO Doc. 4444 format (e.g. A040, F330).

2.3 CORE MESSAGE SET

The core message set is summarized in Table 2 below.

Table 2. Core Message Set

Category	Msg.	Message Name	Description	Pri-ority	Source
Coordination of pre-departure flights	FPL	Filed Flight Plan	Flight plan as stored by the sending ATS unit at the time of transmission. Used only for proposed flights.	FF	ICAO Doc. 4444
	CHG	Modification message for **Proposed** Flight Plan	Changes previously sent flight data (before estimate data has been sent).	FF	
	CNL	Cancellation	Cancels an FPL	FF	
Coordination of active flights	CPL	Current Flight Plan	Flight plan as stored by the sending ATS unit at the time of transmission, including boundary estimate data. Used only for active flights.	FF	ICAO Doc. 4444
	EST	Estimate	Identifies expected flight position, time and altitude at boundary.	FF	
	CNL	Cancellation	Cancels a CPL.	FF	
	MOD	Modification message for **Active** Flight Plan	Changes previously sent flight data (after estimate data has been sent).	FF	New message, format per CHG.
General Information	MIS	Miscellaneous	Free-format text message with addressing options.	FF	NAT ICD
Interface Management	IRQ	Initialization Request	Initiates activation of the interface.	FF	Based on existing Canadian
	IRS	Initialization Response	Response to an IRQ.	FF	

Category	Msg.	Message Name	Description	Pri-ority	Source
	TRQ	Termination Request	Initiates termination of the interface.	FF	protocols.
	TRS	Termination Response	Response to a TRQ.	FF	
Radar Handover	RTI	Radar Transfer Initiate	Initiates a radar handover.	FF	New messages based on existing U.S. protocols and ICAO Doc. 4444 format
	RTU	Radar Track Update	Provides periodic position updates for a track in handover status.	FF	
	RLA	Radar Logical Acknowledgement	Computer acceptance of an RTI message.	FF	
	RTA	Radar Transfer Accept	Accepts or retracts a handover.	FF	
Acknowledgements (included in each of the above services)	LAM	Logical Acknowledgement	Computer acceptance of a message.	FF	ICAO Doc. 4444
	LRM	Logical Rejection	Computer rejection of an invalid message.	FF	NAT ICD

2.3.1 COORDINATION OF PRE-DEPARTURE FLIGHTS

2.3.1.1 FPL (FILED FLIGHT PLAN)

FPL Purpose
An FPL shall be addressed to the appropriate ATS Units according to the requested route as prescribed in Doc 4444.

In the case of near-border departures, an FPL may be sent from ATS unit to ATS unit under agreed conditions (e.g. for departures when the flight time to the boundary is less than the normal advance time for sending a CPL). In this case the FPL sent contains the latest flight plan information as entered by Air Traffic Control, and is not always the same as the original FPL filed by the user. This FPL may be used as advanced notification at the receiving ATS facility for planning purposes.

FPL Format

FPL Field	Required Elements	Optional Elements	Comments
03	a, b		
07	a	b, c	SSR code is only sent if one is (already) assigned and the aircraft is so equipped.
08	a	b	Element (b) is included per requirements of the boundary agreement.
09	b, c	a	
10	a, b		
13	a, b		
15	a, b, c		
16	a, b	c	
18		a, other info.	Element (a) is included only if no other information is included. Either element (a) OR other information (but not both) must be included.

FPL Examples

This flight plan was sent from Bogota ACC (SKED) to Maiquetia ACC (SVZM). The flight is from La Mina Airport in Maicao, Colombia to La Chinita International Airport in Maracaibo, Venezuela. Because the departure airport is at the border between Colombia and Venezuela, a FPL needed to be sent before departure.

(FPLSKED/SVZM381-HK2Z5-IG-C172/L-S/C-SKLM1235-N0110A080 DCT CJN G445 MAR DCT-SVMC0036-EET/SVZM0007)

This flight plan was filed by TACA International Airlines for a flight from Toncontin International Airport in Tegucigalpa, Honduras to Boa Vista International Airport in Boa Vista, Brazil.

(FPL-TAI128-IS-B752/M-DGIJLORVW/S-MHTG1735-N0447F290 DCT TNT UA552 NOL UW27 RONER UL304 BVI DCT-SBBV0403-EET/MPZL0039 SKSP0044 MPZL0054 ALPON0122 SKEC0135 SVZM0157 SBMU0344 SEL/CDHQ DAT/S)

2.3.1.2 CHG (MODIFICATION MESSAGE FOR PROPOSED FLIGHT PLAN)

CHG Purpose

A CHG is used to transmit a change to one or more fields of previously sent flight data for a flight that has not had boundary estimate data sent. When boundary estimate data has been sent (via CPL or FPL followed by EST), a MOD message must be used for flight data changes.

CHG Format

CHG Field	Required Elements	Optional Elements	Comments
03	a, b, c		Element (c) shall contain the reference number of the first message sent for this flight.
07	a	b, c	If a SSR code has been assigned and sent in a previous CHG, it should be included. Fields 07, 13, and 16 must contain the values of these fields before the flight data was changed.
13	a		
16	a		
22	a, b		

CHG Examples

This amendment changes the equipment in Field 10 adding a DME equipment.

(CHGSKED/SVZM395SKED/SVZM381-HK2Z5-SKLM-SVMC-10/SD/C)

This amendment changes the ACID of a flight from HK2Z5 to HK2X5. Note that when Field 07(a) is changed, it is the only change allowed in the message.

(CHGSKED/SVZM412SKED/SVZM381-HK2Z5-SKLM-SVMC-07/HK2X5)

2.3.1.3 CNL (CANCELLATION)

CNL Purpose
A CNL is used to notify the receiving ATS unit that a flight, for which an FPL or CPL was sent earlier, is no longer relevant to that ATS unit.

CNL Format

CNL Field	Required Elements	Optional Elements	Comments
03	a, b, c		Element (c) shall contain the reference number of the first message sent for this flight.
07	a		Elements (b) and (c) are not used in this context.
13	a		
16	a		

CNL Example

This message was sent from Bogota ACC (SKED) to Maiquetia ACC (SVZM) to indicate that flight HK2X5 from La Mina Airport in Maicao, Colombia to La Chinita International Airport in Maracaibo, Venezuela will no longer be entering Maiquetia ACC airspace.

(CNL SKED/SVZM452SKED/SVZM381-HK2X5-SKLM-SVMC)

2.3.2 COORDINATION OF ACTIVE FLIGHTS

2.3.2.1 CPL (CURRENT FLIGHT PLAN)

CPL Purpose
A CPL is used to inform the receiving center of the cleared flight plan and boundary estimate information for coordination purposes. This message may only be sent as the initial transmission of an active flight plan (i.e. a flight that has departed and for which a boundary estimate based on the actual departure time is available).

CPL Format

CPL Field	Required Elements	Optional Elements	Comments
03	a, b		
07	a	b, c	SSR code is only sent if one is (already) assigned and the aircraft is so equipped.
08	a	a	Element (b) is included per requirements of the boundary agreement.
09	b, c	a	
10	a, b		
13	a		
14	a, b, c	d, e	
15	a, b, c		
16	a		
18		a, other info.	Element (a) is included only if no other information is included. Either element (a) OR other information (but not both) must be included.

CPL Example

This flight plan was sent from Bogota ACC (SKED) to Maiquetia ACC (SVZM). It indicates that the flight is expected to cross the coordination fix ORTIZ at 1932UTC, that the assigned beacon code is 2617, and that the flight has been cleared to flight level 290.

(CPLSKED/SVZM172-TAI128/A2617-IS-B752/M-DGIJLORVW/S-MHTG-ORTIZ/1932F290-N0447F290 ORTIZ UA552 NOL UW27 RONER UL304 BVI DCT-SBBV0403-EET/MPZL0039 SKSP0044 MPZL0054 ALPON0122 SKEC0135 SVZM0157 SBMU0344 SEL/CDHQ DAT/S)

2.3.2.2 EST (ESTIMATE)

EST Purpose
An EST is used to provide boundary estimate information for a flight when the basic flight plan information was previously transmitted via an FPL (instead of a CPL). Note that the EST is sent only when a flight becomes active.

EST Format

EST Field	Required Elements	Optional Elements	Comments
03	a, b, c		Element (c) shall contain the reference number of the last message sent for this flight.
07	a	b, c	SSR code is only sent if one is (already) assigned and the aircraft is so equipped. Aircraft ID and beacon code sent in an EST message must match the values previously sent in the FPL or the last CHG that modified the FPL.
13	a		Departure aerodrome must match the value previously sent in the FPL or the last CHG that modified the FPL.
14	a, b, c	d, e	
16	a		Destination aerodrome must match the value previously sent in the FPL or the last CHG that modified the FPL.

EST Example

This message was sent from Bogota ACC (SKED) to Maiquetia ACC (SVZM) upon departure of HK2X5. It indicates that the flight is expected to cross the coordination fix OSOKA at 1245UTC, that the assigned beacon code is 4322 and that the flight has been cleared to an altitude of 8,000 feet.

(ESTSKED/SVZM452SKED/SVZM381-HK2X5/A4322-SKLM-OSOKA/1245A080-SVMC)

2.3.2.3 CNL (CANCELLATION)

CNL Purpose
A CNL is used to notify the receiving ATS unit that a flight, for which an FPL or CPL was sent earlier, is no longer relevant to that ATS unit.

CNL Format
The CNL message is used for both active and proposed flights.

2.3.2.4 MOD (MODIFY MESSAGE FOR ACTIVE FLIGHT PLAN)

MOD Purpose
A MOD is used to transmit a change to one or more fields of previously sent flight data after boundary estimate data has been sent. The MOD is therefore used for any flight data changes after a CPL or an EST has been sent.

MOD Format

MOD Field	Required Elements	Optional Elements	Comments
03	a, b, c		Element (c) shall contain the reference number of the first message sent for this flight.
07	a	b, c	SSR code is only sent if one is (already) assigned or the aircraft is so equipped. Fields 07, 13, and 16 must contain the values of these fields before the flight data was changed.
13	a		
16	a		
22	a, b		

MOD Example

This amendment removes the RVSM capability from field 10 and changes the assigned altitude to flight level 240.

(MODSKED/SVZM218SKED/SVZM172-TAI128-MHTG-SBBV-10/DGIJLORV/S-15/N0447F240
UA552 NOL UW27 RONER UL304 BVI DCT)

2.3.3 GENERAL INFORMATION MESSAGES

2.3.3.1 MIS (MISCELLANEOUS)

MIS Purpose
A MIS is used to transmit a free text message to a specific functional position, or to the position responsible for a specific flight, at another facility.

MIS Format

MIS Field	Required Elements	Optional Elements	Comments
03	a, b		
07	a		Note that element (a) in the MIS may contain a flight ID or a functional address
18	RMK/ followed by free text		

MIS Example

In this example, Bogota ACC (SKED) informs Maiquetia ACC (SVZM) that TACA flight 128 has lost its RVSM capability.

(MISSKED/SVZM221-TAI128-RMK/TACA128 HAS LOST RVSM CAPABILITY)

2.3.4 INTERFACE MANAGEMENT MESSAGES

2.3.4.1 IRQ (INITIALIZATION REQUEST)

IRQ Purpose
An IRQ is used to request transition of an interface from a non-operational to an operational state.

IRQ Format

IRQ Field	Required Elements	Optional Elements	Comments
03	a, b		

IRQ Example

In this example, Bogota ACC (SKED) has sent a request to Maiquetia ACC (SVZM) to initialize the interface.

(IRQSKED/SVZM266)

2.3.4.2 IRS (INITIALIZATION RESPONSE)

IRS Purpose
An IRS is used as a response to an IRQ message.

IRS Format

IRS Field	Required Elements	Optional Elements	Comments
03	a, b, c		Element (c) should contain the reference number of the previously sent IRQ.

IRS Example

In this example, Maiquetia ACC (SVZM) has responded to Bogota ACC's (SKED) request to initialize the interface.

(IRSSVZM/SKED817SKED/SVZM266)

2.3.4.3 TRQ (TERMINATION REQUEST)

TRQ Purpose
A TRQ is used to request transition of an interface from an operational to a non-operational state.

TRQ Format

TRQ Field	Required Elements	Optional Elements	Comments
03	a, b		
18		a, other info.	Element (a) is included only if no other information is included. Either element (a) OR other information (but not both) must be included. Other information, if included, must include RMK/ followed by free text.

TRQ Example

In this example, Bogota ACC (SKED) has sent a request to Maiquetia ACC (SVZM) to terminate the interface.

(TRQSKED/SVZM348)

2.3.4.4 TRS (TERMINATION RESPONSE)

TRS Purpose
TRS is used as a response to an TRQ message.

TRS Format

TRS Field	Required Elements	Optional Elements	Comments
03	a, b, c		Element (c) should contain the reference number of the previously sent TRQ.
18		a, other info.	Element (a) is included only if no other information is included. Either element (a) OR other information (but not both) must be included. Other information, if included, must include RMK/ followed by free text.

TRS Example

In this example, Maiquetia ACC (SVZM) has responded to Bogota ACC's (SKED) request to initialize the interface.

(TRSSVZM/SKED912SKED/SVZM348)

2.3.5 ACKNOWLEDGEMENTS

2.3.5.1 LAM (LOGICAL ACKNOWLEDGEMENT)

LAM Purpose
An LAM is sent from ACC to ACC to indicate that a message has been received and found free of syntactic and semantic errors. It does not indicate operational acceptance by a controller. Element (c) contains the reference number (i.e. element 3(b)) of the message being responded to.

LAM Format

LAM Field	Required Elements	Optional Elements	Comments
03	a, b, c		

LAM Example

In this example, Maiquetia ACC (SVZM) has accepted message number 739 from Bogota ACC (SKED).

(LAMSVZM/SKED629SKED/SVZM739)

2.3.5.2 LRM (LOGICAL REJECTION)

LRM Purpose
An LRM is used to indicate that a message sent from ATS system to ATS system contained an error and has been rejected by the receiving system.

LRM Format

LRM Field	Required Elements	Optional Elements	Comments
03	a, b, c		
18	text as shown in Comments		Describes the error code and the error per Appendix A guidelines: after RMK/, include two digits comprising the error code; (note that error code 57 will be used for any error that is not field specific and that is not identified in Appendix A - Error Codes) two digits comprising the field in error (or 00 if the error is not field-specific); and the erroneous text, i.e. the contents of the message that caused the error when the error is field specific. When the error is non-field specific, a descriptive error message shall be included. Separate the above items by an oblique stroke (/).

LRM Example

In this example, Maiquetia ACC (SVZM) has rejected message number 392 from Bogota ACC (SKED) because the aircraft identification in field 7 of message 392 was too long.

(LRMSVZM/SKED519SKED/SVZM392-RMK/06/07/TACA1745)

2.3.6 RADAR HANDOVER MESSAGES

2.3.6.1 RTI MESSAGE (RADAR TRANSFER INITIATE)

RTI Purpose
An RTI message is sent from one ATS unit to another to initiate the transfer of radar identification for a flight. Logical acknowledgement of an RTI is an RLA or LRM.

RTI Format

RTI Field	Required Elements	Optional Elements	Comments
03	a, b, c		
07	a, b, c		Must include ACID and established SSR code
13	a		
16	a		

RTI Field	Required Elements	Optional Elements	Comments
31	a	a	If no sector designated or sector 00 is designated, then receiving system determines
32	a, b, c, d, e		

RTI Examples
This is an example of a handover initiated by Merida ACC to Cenamer ACC. No sector is designated, so Cenamer will determine who should receive it.

(RTIMMMD/MHTG812MMMD/MHTG801-TAC210/A3407-MMMX–MPTO–MHTG
-13242934162000N0912401WN043327629F349)

This is an example of a handover directed to sector 01 in Cenamer ACC, from Merida ACC.

(RTIMMMD/MHTG812MMMD/MHTG801-TAC210/A3407-MMMX–MPTO–MHTG01
-13242934162000N0912401WN043327629F349)

2.3.6.2 RLA MESSAGE (RADAR LOGICAL ACKNOWLEDGEMENT)

RLA Purpose
The Radar Logical Acknowledgment message is used to acknowledge computer receipt of an RTI message. The facility sending this message is indicating that the referenced message has been received and has no format or logic errors, and to indicate which sector the handover was routed to. The RLA is an acknowledgement message in response to RTI and therefore is not responded to.

RLA Format

RLA Field	Required Elements	Optional Elements	Comments
03	a, b, c		
31	a, b		

RLA Examples

In this example Cenamer ACC has indicated to Merida ACC that it has received a handover and routed it to sector 01.

(RLAMHTG/MMMD202MHTG/MMMD445-MHTG01)

In this example Cenamer ACC has indicated to Merida ACC that it has received a handover and routed it to the Guatemala Radar Approach Control

(RLAMHTG/MMMD202MMMD/MHTG445-MGGT)

2.3.6.3 RTU MESSAGE (RADAR TRACK UPDATE)

RTU Purpose
An RTU message may be sent from one ATS unit to another to update the radar position of a flight during transfer of radar identification. RTU messages are sent periodically after an RTI, until an RTA is received or the handover is retracted. There is no logical acknowledgement of an RTU.

RTU Format

RTU Field	Required Elements	Optional Elements	Comments
03	a, b, c		Element (c) shall refer to the message number of the RTI message that initiated the handover.
07	a ,b ,c		Include established SSR code.
13	a		
16	a		
32	a, b, c, d, e		

RTU Examples
This is an example of an RTU message initiated by Cenamer ACC to Merida ACC. The message MHTG/MMMD801 was the RTI message that initiated the handover.

(RTUMHTG/MMMD000MHTG/MMMD801-TAC211/A3407-MPTO-MMMX
-13242934154412N0905100WN043327629F341)

2.3.6.4 RTA MESSAGE (RADAR TRANSFER ACCEPT)

RTA Purpose
An RTA message may be sent from one ATS unit to another as an application response to an RTI. This message signifies that a controller has accepted radar identification of a flight. An RTA is also sent by the facility that initiated a handover to retract the handover. Logical (computer) acknowledgement of an RTA is an LAM or LRM.

RTA Format

RTA Field	Required Elements	Optional Elements	Comments
03	a, b, c		Element (c) refers to the message number of the RTI that is being responded to.
07	a, b, c		Include assigned SSR code (i.e. code assigned by the accepting center).
13	a		
16	a		
31	a, b		Note accepting facility may be a Radar Approach Control serviced by the sending ACC.

RTA Examples

This is an example of a handover accepted by Merida ACC. Handover was initiated by Cenamer ACC.

(RTAMMMD/MHTG438MHTG/MMMD812-TAC211/A4222-MPTO-MMMX-MMMD01)

This is an example of a retraction by Cenamer ACC:

(RTAMHTG/MMMD222MHTG/MMMD812-TAC211/A4222-MPTO-MMMX-MHTG01)

3. PART III – COMMUNICATIONS AND SUPPORT MECHANISMS

3.1 INTRODUCTION

The communications protocols and physical path are not dictated by this ICD. This ICD addresses only the application message content.

3.2 TELECOMMUNICATIONS REQUIREMENTS AND CONSTRAINTS

3.2.1 USE OF AERONAUTICAL FIXED TELECOMMUNICATIONS NETWORK (AFTN)

AFTN may be used as a flight plan data interface, subject to verification of performance. Any interface exchanging radar position data, including radar handovers, shall not use AFTN.

When AFTN is used as the communications mechanism:

a) The AFTN IA-5 Header as described in ICAO Annex 10, vol. 2 will be used for exchange of messages.

b) ATS messages will be addressed to each ATS unit using an eight-character facility address where the first four characters are the appropriate location indicator from ICAO Doc. 7910, and the last four characters are routing indicators defined by the ATS unit in accordance with ICAO Annex 10, vol. 2.

Each message shall be sent with the priority indicated in Table 2 of Part II.

3.2.2 USE OF A WIDE-AREA NETWORK

Use of existing wide-area networks (e.g. X.25 or Frame Relay packet-switched network) may be used if the speed, capacity, and security characteristics are verified as adequate to support the interface.

3.2.3 USE OF DIRECT LINES

In cases where speed, capacity, and/or security require it, a direct line interface may be used between facilities.

3.2.4 CHARACTER SET

The IA-5 character set shall be used for all application message content. Certain characters have special meaning and must only be used as indicated below:

Open parenthesis "("and close parenthesis ")" shall be used only to begin and terminate the application message.

A single hyphen "-" shall be used only as a field separator and shall not be used within any field.

3.3 ENGINEERING CONSIDERATIONS

3.3.1 ASSOCIATED AUTOMATION FUNCTIONALITY

Each ATS service provider participating in this interface must have a supporting automation system. The supporting automation shall:

- Error check all inbound messages for proper format and logical consistency.
- Ensure only messages from authorized senders are accepted and processed.
- As required, alert the responsible controller(s) of flight data that has been received.
- Notify the responsible personnel when any message sent is rejected or not acknowledged within a variable system parameter (VSP) period of time (see 4.5.1 Response time).

3.3.2 FAILURE AND RECOVERY SOLUTIONS

Automation systems may have different failure avoidance and failure recovery mechanisms. Each participating system shall have the following characteristics:

- If the recovery process preserves the current message number in the sequence with each facility, no notification is necessary.
- If the recovery process requires reset of the sequence number to 000, a means of notifying the receiving facility that the message numbers have been reset is required. This may be procedural rather than automated.

The recovery process shall not automatically re-send any CPL for which an LAM had been received. This is relevant if the system was able to recover state information about which flight plans have been coordinated, and did not need to reset the message sequence numbers.

3.3.3 DATA REQUIREMENTS

Certain data must be defined and maintained to support all features of the interface. Depending on the data, it should be coordinated on a Regional, National, or Local (facility) basis. Data requirements are identified in Table 3 below.

Table 3. Summary of Data Definitions Needed to Support the Interface

Field	Data	Purpose	Source	Coordination
03	Facility Identifiers	Identify the sending/receiving facility.	ICAO Doc. 7910 (first four characters) and local definition (second four characters)	Local
07	Functional Address	Agree on functional addresses to be used in MIS messages.	Local Data	Local
10	Equipment Codes	Identify ATS-specified equipment qualifiers that are not specified in ICAO Doc. 4444.	CAR and SAM 7030 Supplements	Regional
14	Boundary Point	Identify the coordination fixes to be sent for each airway.	Local Data	Local
15	Adapted Routes and Fixes	Identify airway and fix information that is adapted by both systems.	Local Data	Local
18	Requirements for other data to be included	Identify any requirements for data that must be included in Field 18.	CAR and SAM 7030 Supplements	Regional

3.4 SECURITY CONSIDERATIONS

3.4.1 PRIVACY

This ICD does not define mechanisms that guarantee privacy. It should be assumed that any data sent over this interface may be seen by unintended third parties either through interception of the message or through disclosure at the receiving facility.

Any communications requiring privacy must be identified and appropriate communications and procedures defined.

3.4.2 AUTHENTICATION

Each system shall authenticate that messages received are from the source that is identified in Field 03.

3.4.3 ACCESS CONTROL

Each system participating in the interface shall implement eligibility checks to ensure that the source of the message is eligible to send the message type and is the appropriate authority for the referenced flight.

3.5 TEST CONSIDERATIONS

Before an automated flight data interface becomes operational between any two facilities, the following set of tests shall be completed:

Test of the telecommunications system and addressing:

> Off-line tests using development or test (i.e. non-operational) systems. These may include test systems at non-operational facilities, and/or operational systems that are in an off-line mode. Note: If off-line testing is not possible, extreme care should be used when conducting first round testing on operational systems.

Test of non-operational message sets:

> Tests using the operational systems in off-line (recommended) or operational mode in which TEST messages are exchanged. (Note: If off-line testing is not possible, extreme care should be used when conducting second round testing on operational systems.)

Test of operational message sets:

> Tests using the operational systems in operational mode in which manual coordination verifies each flight data message sent.

Before each test, a document specifying purpose, procedures and data to be collected, must be agreed to by both/all facilities. To ensure success/failure is clearly defined, specific criteria should be included in the document.

Data transmitted during test phases should include both correct and incorrect formats/data fields to verify that correct data is processed correctly and incorrect data is rejected.

For diagnostic purposes, each side of the interface should be able to isolate the source of interface problems.

3.6 PERFORMANCE CONSIDERATIONS

3.6.1 RESPONSE TIME

For flight planning messages, controllers require indication of an unsuccessful message transmission within 60 seconds of the message being sent. Therefore, the response time from the time a message is sent until an LAM (or LRM) is received shall be under 60 seconds at least 99% of the time under normal operations. A faster response time is desirable, and will result in operations that are more efficient.

For messages involving transfer of control and surveillance data (e.g. RTI, RTA, and RTU) the data must be transmitted in time for the receiving system to display the track position with acceptable accuracy. Communication across the interface shall be less than six seconds maximum.

3.6.2 AVAILABILITY / RELIABILITY

The hardware and software resources required for providing service on the CAR/SAM interfaces should be developed such that the inherent reliability will support interface availability which is at least equal to the end systems of that interface (e.g. 99.7% availability for end systems that both operate with 99.7% reliability).

3.6.3 CAPACITY AND GROWTH

Before implementing this interface between two ACCs, an analysis of the traffic expected between the centers shall be performed and the proposed communications links verified for appropriate capacity. Traffic estimates should consider current and future expected traffic levels.

For initial planning purposes the following estimates of message size and messages per flight are provided.

Table 4. Expected Message Rates and Sizes

Message	Avg. per Flight	Avg. Size	Max Size	Comments
Messages per near-border departure flight:				
FPL	1	275	2,000	
CHG	0.5	160	1,000	Assumed 1 of 2 flights amended after coordination, before departure.
EST	1	120	200	
MOD	2	120	1,000	Assumed each flight has an average of one change after coordination due to amendment and two time updates.
Messages per non near-border departure flight:				
CPL	1	275	2,000	
MOD	2	120	1,000	Assumed each flight has an average of one change after coordination due to amendment and two time updates.
Messages per every flight:				
CNL	0.01	100	150	Assumed 1 in 100 flight plans are cancelled.
RTI	1	150	200	
RTU	5	140	200	Assumed 1 RTU every 6 seconds for 30 seconds.
RTA	1	110	160	
MIS	0.1	130	625	
Responses (not per flight):				
LAM/RLA	Sum of all above	80	130	

Message	Avg. per Flight	Avg. Size	Max Size	Comments
	except RTU			
LRM		100	230	

The hardware and software developed for the interfaces shall be capable of asynchronously exchanging the messages defined in Part III, Table 2 simultaneously with all adjacent automated systems.

APPENDIX A – ERROR CODES

The error codes for use with LRM messages are defined in Table A-1 below.

Table A-1. LRM Error Codes and Explanations

Error Code	Field Number	Supporting Text
1	Header	INVALID SENDING UNIT (e.g., AFTN address)
2	Header	INVALID RECEIVING UNIT (e.g., AFTN address)
3	Header	INVALID TIME STAMP
4	Header	INVALID MESSAGE ID
5	Header	INVALID REFERENCE ID
6	07	INVALID ACID
7	07	DUPLICATE ACID
8	07	UKNOWN FUNCTIONAL ADDRESS
9	07	INVALID SSR MODE
10	07	INVALID SSR CODE
11	08	INVALID FLIGHT RULES
12	08	INVALID FLIGHT TYPE
13	09	INVALID AIRCRAFT MODEL
14	09	INVALID WAKE TURBULENCE CATEGORY
15	10	INVALID CNA EQUIPMENT DESIGNATOR
16	10	INVALID SSR EQUIPMENT DESIGNATOR
17	13, 16	INVALID AERODROME DESIGNATOR
18	13	INVALID DEPARTURE AERODROME
19	16	INVALID DESTINATION AERODROME
20	17	INVALID ARRIVAL AERODROME
21	13, 16	EXPECTED TIME DESIGNATOR NOT FOUND
22	13, 16	TIME DESIGNATOR PRESENT WHEN NOT EXPECTED
23	13, 14, 16	INVALID TIME DESIGNATOR
24	13, 14, 16	MISSING TIME DESIGNATOR
25	14	INVALID BOUNDARY POINT DESIGNATOR
26	14, 15	INVALID ENROUTE POINT
27	14, 15	INVALID LAT/LON DESIGNATOR
28	14, 15	INVALID NAVAID FIX
29	14, 15	INVALID LEVEL DESIGNATOR
30	14, 15	MISSING LEVEL DESIGNATOR
31	14	INVALID SUPPLEMENTARY CROSSING DATA
32	14	INVALID SUPPLEMENTARY CROSSING LEVEL
33	14	MISSING SUPPLEMENTARY CROSSING LEVEL
34	14	INVALID CROSSING CONDITION
35	14	MISSING CROSSING CONDITION
36	15	INVALID SPEED/LEVEL DESIGNATOR
37	15	MISSING SPEED/LEVEL DESIGNATOR
38	15	INVALID SPEED DESIGNATOR
39	15	MISSING SPEED DESIGNATOR

Error Code	Field Number	Supporting Text
40	15	INVALID ROUTE ELEMENT DESIGNATOR
41	15	INVALID ATS ROUTE/SIGNIFICANT POINT DESIGNATOR
42	15	INVALID ATS ROUTE DESIGNATOR
43	15	INVALID SIGNFICANT POINT DESIGNATOR
44	15	FLIGHT RULES INDICATOR DOES NOT FOLLOW SIGNIFICANT POINT
45	15	ADDITIONAL DATA FOLLOWS TRUNCATION INDICATOR
46	15	INCORRECT CRUISE CLIMB FORMAT
47	15	CONFLICTING DIRECTION
48	18	INVALID OTHER INFORMATION ELEMENT
49	19	INVALID SUPPLEMENTARY INFORMATION ELEMENT
50	22	INVALID AMENDMENT FIELD DATA
51		MISSING FIELD nn
52		MORE THAN ONE FIELD MISSING
53		MESSAGE LOGICALLY TOO LONG
54		SYNTAX ERROR IN FIELD nn
55		INVALID MESSAGE LENGTH
56		NAT ERRORS
57		INVALID MESSAGE
58		MISSING PARENTHESIS
59		MESSAGE NOT APPLICABLE TO zzzz ACC
60		INVALID MESSAGE MNEMONIC (i.e., 3 LETTER IDENTIFIER)
61	Header	INVALID CRC
62		MESSAGE REJECTED, MANUAL COORDINATION REQUIRED
63-255		Reserved for future use.

Error Code 57 shall be used for any error that is not field-specific and is not identified in the table.
Each ATS provider may propose additional error codes as needed and submit them through the GREPECAS mechanism for approval and inclusion in this Table.

APPENDIX B – IMPLEMENTATION GUIDANCE MATERIAL

B.1 USE OF THE CORE MESSAGE SET

B.1.1 FILED FLIGHT PLAN (FPL) MESSAGES

A user must file a filed flight plan message (FPL) with the initial ATS unit that will service the flight as well as with the ATS unit for each FIR that the flight will cross. The format and content of this FPL is subject to the rules of the receiving country and is not defined by this ICD.

It is expected that an FPL will be filed by an airspace user, and a subsequent CPL will be received from an adjacent ATS unit. It is the responsibility of each country to design their automation to ensure that an FPL or CPL from an adjacent ATS unit always takes precedence over a user-filed FPL for the flight so that second-order flight data messages are applied to the ATS unit-supplied flight plan and not the user-filed flight plan.

B.1.2 COORDINATION OF ACTIVE FLIGHTS (CPL)

Normally, an agreed upon number of minutes before a flight reaches a control boundary the sending ATS unit will send a CPL message to the receiving ATS unit.

The normal computer response to a CPL is an LAM sent by the receiving automation system to signify that the plan was found to be free of syntactic or semantic errors. Controller acceptance is implied (i.e. the ACP message defined in ICAO Doc. 4444 is not implemented). This is permitted per ICAO Doc. 4444, Part IX, section 4.2.3.5.1 and Part VIII, section 3.2.5. If the receiving computer cannot process a CPL then an LRM will be returned if that message has been implemented. Alternatively, no response will be generated.
ICAO Doc. 4444 states, in Part IX, section 4.2.3.2.5 "A CPL message shall include only information concerning the flight from the point of entry into the next control area or advisory airspace to the destination aerodrome". However ICAO Doc. 4444 provides no guidelines for choosing the exact point at which the CPL should start.

The nature of ATC automation systems is that they have differing requirements for the starting point of a route relative to the facility boundary, necessitating some agreement on allowable route tailoring. The relationship between the start of the route in Field 15 and the coordination fix in Field 14 must also be established so that the receiving center can accurately process the route. Agreements on these points are provided in the attached boundary agreements for each ATS provider.

B.1.3 CHANGES AFTER COORDINATION

Any change to a flight plan after initial coordination requires a message that can be mapped to the correct flight plan. Every message sent after an initial CPL should have the same Aircraft ID, departure point, and destination point. The message reference data should point to the previous message in the sequence for this flight. For example, if the CPL is message number KZMP/CZWG035 then the reference data for the first MOD sent after the CPL should be KZMP/CZWG035. The second MOD sent for that flight should refer to the message number of the original CPL.. The messages that represent valid changes to the original flight plan include CHG, EST, MOD, RTI, and RTA (when used for retraction; see Section B.1.8).

If a flight for which a CPL has been sent will no longer enter the recipient's airspace, a CNL message should be sent.

After acceptance of a CNL message, the receiving system should not accept any changes regarding the subject flight.

Any change to flight data for a flight that has been coordinated (i.e. a CPL or EST has been sent) must be forwarded via a MOD message. The MOD message is identical to the ICAO CDN message in format and content, but does not require an ACP response (only LAM or LRM).

The expected computer response to a CNL, CHG, EST, or MOD is an LAM or LRM (if the latter has been implemented).

Each system should implement rules as to whether an amendment on a particular flight should be accepted from a neighboring ACC. For example, an amendment from the sending ACC typically is not accepted once transfer of control has been initiated.

It is expected that the content of a field sent in a flight data change message (e.g. CHG or MOD) will completely replace the content of the field currently stored in the receiving center. So, for example, if Field 18 is amended the entire contents of the field should be sent and not only the changed elements.

An aircraft placed into a hold should result in a MOD message being sent with new Field 14 Estimate Data (boundary time) based on the Expect Further Clearance (EFC) time. If no EFC time is established by ATC, an agreed upon default EFC time may be used (e.g. 2 hours) to ensure the flight plan data is maintained by the receiving facility. If necessary, a second MOD message should be sent with the revised Estimate Data time once it is known.

Upon acceptance of an RTI message the receiving system should accept only an RTA, RTU, or MIS message for the flight. If an RTA signifying retraction is accepted, then the system may once again accept a MOD message.

Upon receipt of a logical acknowledgement to an RTA message signifying handover acceptance, the sender of the RTA should not accept any messages regarding the subject flight.

B.1.4 NEAR-BORDER DEPARTURES

ATS units implementing automated coordination for near-border departures may also exchange FPLs to coordinate flights pre-departure when the flight time from the departure point to the boundary point is less than the normal CPL notification time.

ATS units will send an FPL message pre-departure followed by an EST message upon departure. Additional coordination procedures may be defined in an inter-facility Letter of Agreement.

If an FPL has been sent and changes are subsequently made, then a CHG message should be used to modify the changed fields. Only the ATS unit that sent an FPL message may send a CHG message (i.e. the receiving unit cannot send a CHG back to the sending unit). Once an EST message is sent, a MOD must be used instead of a CHG for transmission of flight data changes.

The expected computer response to an FPL is an LAM or LRM.

If a previously sent FPL is to be cancelled, a CNL message should be sent.

B.1.5 INTERFACE MANAGEMENT

ATS units implementing an AIDC interface will nominally be expected to accept messages at any time when the system is available. Each system is responsible for providing the capability of inhibiting received messages, if needed. Each system is expected to be able to inhibit outgoing messages. Manual coordination between facilities may be needed for one facility to request the other to inhibit messages.

ATS units which implement AIDC interfaces may exchange messages to request initialization or termination of the AIDC interface via automated messages. Only when an initialization request has been sent and responded to affirmatively will each system be expected to accept messages.

Any message received when the interface is not initialized shall be ignored (i.e. not processed and not responded to), except for IRQ.

To request initialization one system shall send an IRQ message to the other. The IRQ may be repeated a predetermined number of times if no response is received, with each repeated IRQ receiving the same message number.

If the receiving system is ready to communicate (i.e. it has already sent an IRQ) when it receives an IRQ, it shall send an IRS in response. There is no LAM or LRM response to an IRQ. The reference number in Field 03 should refer to the message number of the IRQ being responded to. Each system becomes active when it receives an IRS from the other system. There is no response to an IRS.

If no response to an IRQ is received and the maximum number of retries exceeded, the interface is considered failed by the initiating system.

A system requests orderly termination of the interface by sending a TRQ message. After sending a TRQ, a system shall accept only a TRS or TRQ message. There is no LAM or LRM response to a TRQ. Upon receipt of a TRS the interface shall be deactivated. There is no response to a TRS. Upon receipt of a TRQ the system shall respond with a TRS and deactivate the interface immediately (even if a TRQ is outstanding). When messages are exchanged between two ATS units that cause successful termination of the interface, the two systems shall not send or accept any messages on the interface until a successful initialization transaction has been completed.

B.1.7 ERROR CHECKING, RESPONSES, AND RESENDS

Upon receiving a message, the receiving system shall check that the format and content of each field are in accordance with this ICD. Other logic checks may be performed per the rules defined by the ATS provider.

Whenever a message is received and passes all syntactic and semantic checks an LAM (or RLA for handover initiation) shall be returned to the sender for those messages designated for LAM/LRM responses.

ATS units implementing only LAM acknowledgement messages will not send any response to the sender when a message fails a syntactic or semantic check. The sending ATS Unit must infer message rejection by failure to receive an LAM. Agreement on one minute as a maximum operationally acceptable time-out value (from the time a message is sent to receipt of an LAM) is recommended.

ATS units implementing only LAM acknowledgement messages cannot productively use message resend as a technique, since the lack of an LAM may infer a lost message or message rejection. Therefore use of message resends after timeout of an LAM receipt is not recommended.

ATS units implementing both LAM and LRM acknowledgement messages will send an LRM when a received message fails a syntactic or semantic check, using the error codes in Appendix A. In the case of a radar handover initiation (see B.1.8) an RLA is used instead of an LAM.

When no response to a message is received within a VSP period of time a unit may optionally choose to resend the original message—using the same message number—a VSP number of times before declaring failure. The same message number should be used so that the receiving station can easily distinguish exact duplicates should the same message be received more than once.

B.1.8 RADAR HANDOVERS

- RTI Message

An RTI shall be used to initiate a transfer of radar identification from a controller in one ACC to a controller in another ACC. An RLA or LRM shall be returned in response to an RTI, based on acceptance checks by the receiving computer.

If no logical response (RLA or LRM) to an RTI is received after a specified number of retries, the handover should be marked as failed to the initiating controller.

Upon acceptance of an RTI message the receiving system should not accept any flight data messages regarding the subject flight except for an RTA, RTU, or MIS.

- RTU Message

The transferring center shall begin sending RTU messages once an RLA is received for an RTI.
RTU messages shall be sent once every tracking cycle. The expected track update rate must be coordinated between the implementing countries.

An RTU message should not be sent when current track data is not available for a flight, e.g. if the flight enters a coast mode.

Upon retraction of the transfer or receipt of an RTA from the receiving center the sending of RTUs shall stop. There will be no response to an RTU (i.e. no LAM, RLA, or LRM).

- RTA Message

An RTA message shall be sent by the receiving center in response to an RTI when the receiving controller has accepted the transfer. An RTA message shall be sent by the sending center when the initiating controller retracts a previously issued RTI. An LAM or LRM shall be returned in response to an RTA, based on acceptance checks by the receiving computer.

If no response is received within a VSP period of time (e.g. 6 seconds), the transfer shall be considered failed and the accepting controller notified.

If the sending center receives an RTA after retracting a handover, it shall reject the RTA by returning an LRM.

If the receiving center receives an RTA after accepting a handover, it shall reject the RTA by returning an LRM.

After an RTA is rejected, the controller that attempted to accept or retract control shall be notified that the handover failed. Note that it is possible for an accept and retract to be entered simultaneously, resulting in both RTA messages being rejected.

B.1.9 MIS MESSAGE

The MIS message can be addressed to either a functional address, or to an aircraft ID. The functional addresses to use will be exchanged between adjacent centers. Each functional address will map to a workstation or set of workstations, and the types of information that should be sent to each address should accompany the exchange of addresses.

When an MIS message is addressed to a flight ID, the receiving system shall route the message to the sector that currently controls the flight. If no sector controls the flight the message shall be rejected. The intent is that an MIS message does not modify the flight record for the subject flight (i.e. it is not treated as an amendment to Field 18 for that flight).

B.2 DEVELOPMENT OF FIELD CONTENT

The following sections provide implementation notes on the expected semantic content of each field, how to generate the fields and how to interpret the fields.

B.2.1 FIELD 03

Each message sent to each interface should receive an incrementally higher number. Thus, a system must maintain a separate sequence for each facility with which it interfaces.

The message following number 999 will be 000, and then the number sequence repeats.

The message number in Field 03 and the Aircraft ID in Field 07 combined, must be unique for any CPL or FPL. A flight plan received that has the same message number and ACID as a previously received plan shall be rejected. Note that it is possible to have duplicate message numbers if the sending computer system fails and is restarted in a cold start mode (i.e. no previous state data is retained). In this case the message numbers would restart and may repeat.

Implementers of the AIDC interface should consider a check for out-of-sequence messages (i.e. a message received has a message number that is not one greater than the previous message number). Since messages may be resent if a response is not received within a VSP period of time, it may also be possible to receive a message more than once. Therefore implementers should consider a check for duplicate messages based on the message number. Any such checks should also consider the behavior after a system failure/restart.

B.2.2 FIELD 07

If the aircraft does not have Mode A capability, omit elements (b) and (c) and the preceding oblique stroke. Also omit these elements if the aircraft has Mode A capability but the SSR code is unknown (or not assigned).

B.2.3 FIELD 09

When the aircraft type is “ZZZZ”, there may be no certificated maximum take-off weight. In this case the pilot and/or controller are expected to determine what the value should be per the ICAO guidelines and the estimated weight of the aircraft.

Allowable values for the aircraft type should include any type designator in ICAO Doc 8643.

Note that implementers may choose to validate the wake turbulence category based on the aircraft type, since these are published in ICAO Doc 8643.

B.2.4 FIELD 10

Agreement on ATS-prescribed indicators is to be specified in the CAR and SAM Doc 7030 Supplements.

B.2.5 FIELD 13

The aerodrome in Field 13 must match a location indicator in ICAO Doc 7910, or must match one that is agreed to per the relevant boundary agreement, or agreed to by the implementing facilities. (Note: Some States permit International flights to depart from other than international aerodromes. These aerodromes may not have location indicators in ICAO Doc 7910.)

If ZZZZ or AFIL is used, then additional information should be present in Field 18 per ICAO Doc 4444. This ICD imposes no specific requirements on the content of DEP/.

B.2.6 FIELD 14

Field 14(a) contains a Boundary Point, which is an agreed point on or near the control boundary. The boundary agreement between implementing ATS providers identifies any specific requirements governing the choice of boundary point.

B.2.7 FIELD 15

A CPL, per ICAO Doc. 4444 Part IX, Section 4.2.3.2.5 "shall include only information concerning the flight from the point of entry into the next control area or advisory airspace to the destination aerodrome". In practical terms, each automation system generally has restrictions on the starting point of the route.

Each boundary agreement will define where the route of flight shall begin so as to meet the above requirement.
After the initial point, Field 15(c) should contain the remainder of the route of flight.

B.2.8 FIELD 18

In an FPL or CPL, all Field 18 content must be delimited by elements constructed as shown in ICAO Doc 4444, each of which is a three to four-letter identifier followed by an oblique stroke.

Field 18 shall not contain the character "-", which is used to delineate fields in the message.

When used in an LRM, only the RMK/ element should be identified; only the text of the rejection message shall be included.

B.3 SUMMARY OF EXPECTED RESPONSES TO MESSAGES

Table B-1 identifies the expected responses to each message. The computer logical responses represent acceptance or rejection based on computer checks for message validity. An application response is a response that is initiated by a person or the application software to provide semantic response to a message. Note that an LRM can be sent in response to a message with no computer response identified if the message ID (e.g. RTU) cannot be determined by the receiving computer.

Table B-1. Summary of Expected Message Responses

Msg	Computer Logical Response		Application Response
	Accept	Reject	
FPL	LAM	LRM	None
CHG	LAM	LRM	None
EST	LAM	LRM	None
CPL	LAM	LRM	None
CNL	LAM	LRM	None
MOD	LAM	LRM	None
MIS	LAM	LRM	None
IRQ	None	None	IRS
IRS	None	None	None
TRQ	None	None	TRS
TRS	None	None	None

Msg	Computer Logical Response		Application Response
	Accept	Reject	
RTI	RLA	LRM	RTA
RTU	None	None	None
RLA	None	None	None
RTA	LAM	LRM	None
LAM	None	None	None
LRM	None	None	None

APPENDIX C – MODEL OF COMMON BOUNDARY AGREEMENT

C.1 INTRODUCTION

This section documents the AIDC interface planned between (…XXX and XXX...) automation systems. The initial interface may have limited message capability. Future evolutions may include additional messages.

C.2 MESSAGE IMPLEMENTATION AND USE

C.2.1 MESSAGES IMPLEMENTED

The AIDC interface between the (…XXX and XXX...) automation systems will include CPL and LAM. A CPL will be sent when a flight departs, or when it is within a VSP flying time from the boundary, whichever occurs later. Each CPL that is received and successfully checked for syntactic and semantic correctness will be responded to with an LAM.

C.2.2 ERROR HANDLING

An LAM will be sent in response to each CPL unless the receiving automation system detects an error. The automation system that sent the CPL will wait a VSP period of time for an LAM, and if none is received within the time parameter, it will notify the appropriate position that a failure occurred. Automatic retransmission of the message will not be attempted.

C.2.3 CHANGES TO A CPL

All changes to a previously sent CPL will be coordinated manually between the sending and receiving sectors.

C.2.4 FIELD 08, FLIGHT RULES AND TYPE OF FLIGHT

Regardless of the value in Field 08(a), all CPLs sent on this interface will be assumed to be IFR at the boundary between (…XXX and XXX...) airspace. Each center is only to send flight plans for flights that are IFR at the boundary.

C.2.5 FIELD 09, NUMBER AND TYPE OF AIRCRAFT AND WAKE TURBULENCE CATEGORY

When a specific aircraft type is used, the wake turbulence indicator sent to (XXX) must match the value stored for the aircraft type in the (XXX) database. When "ZZZZ" is used as the aircraft type, the wake turbulence category may be H, M, or L as appropriate.

C.2.6 FIELD 13, DEPARTURE AERODROME AND TIME

Field 13(b), normally only present in FPLs, will be allowed as an optional element for CPLs on this interface. (XXX) expects to include this element in messages; the (XXX) does not.

C.2.7 FIELD 14, ESTIMATE DATA

If a flight is on an adapted route segment when it crosses the control boundary, Field 14(a) will reference the last significant point in the sending center's airspace.

If a flight is on a direct route segment when it crosses the control boundary Field 14(a) will reference the last significant point in the sending center's airspace.

If there is no significant point between the departure aerodrome and the boundary, the departure aerodrome will appear in Field 14(a).

All flights are expected to cross the boundary in level flight, at the altitude in Field 14(c). Elements (d) and (e) will not be used, and manual coordination will be required for any flight not in level flight at the boundary.

For flights from …..to …..:

If a flight is on an adapted route segment when it crosses the control boundary, Field 14(a) will reference the first significant point in the receiving center's airspace.

If a flight is on a non-adapted direct route segment when it crosses the control boundary Field 14(a) will reference the intersection of the route with the control boundary.

C.2.8 FIELD 15, ROUTE

Element type (c6) will not be used on this interface.

Element 15(c) will be constructed the same way whether the flight is from ….or from ….:

If a flight is on an adapted route segment when it crosses the control boundary then Field 15(c) will begin with the same significant point as is in Field 14(a).

If a flight is on a direct route segment when it crosses the control boundary then Field 15(c) will begin with the last significant point in the sending center's airspace, if one exists.

If there is no significant point between the departure aerodrome and the boundary then Field 15(c) will begin with "DCT".

After the initial point, Field 15(c) will contain the remainder of the route of flight.

C.2.9 FIELD 16, DESTINATION AERODROME AND TOTAL ESTIMATED ELAPSED TIME, ALTERNATE AERODROME(S)

Fields 16(b) and (c), normally only present in FPLs, will be allowed as optional elements on this interface.

C.3 PHYSICAL INTERFACE

Messages will be exchanged across this interface between the following facilities:
…Center to …
…Center to ….

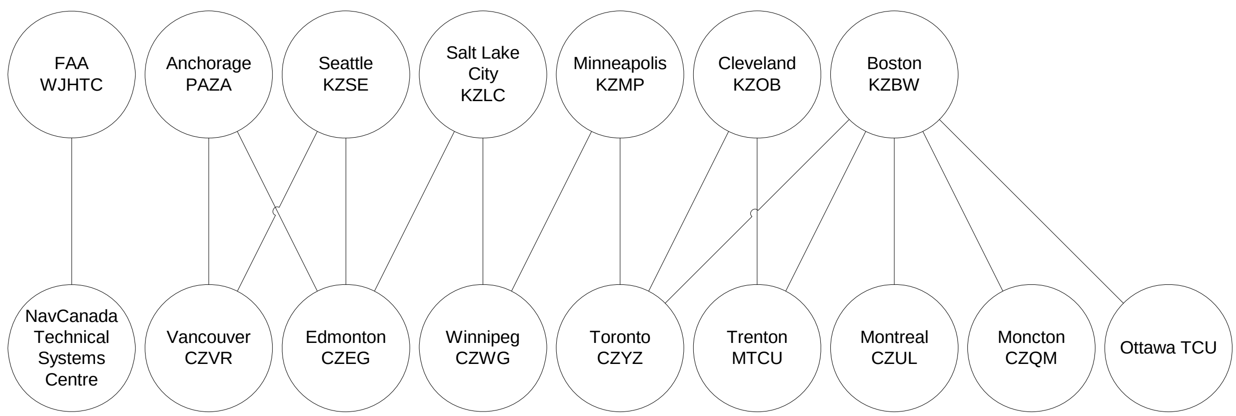

Figure 1. Expected FAA/NAV CANADA Interfaces Governed by this ICD

- END/FIN -

APÉNDICE / APPENDIX E

MODELO DE CATALOGO REGIONAL / REGIONAL CATALOGUE MODEL

Catálogo de los Planes de contingencia de los Estados, Territorios y Organizaciones Internacionales CAR/SAM
Catalogue of Contingency Plans of the CAR/SAM States, Territories and International Organisations

Estado State	Estado adyacente Adjacent Sate	Situación Status		Punto de Contacto Contact Point	Descripción general de facilidades y servicios que garantizan la continuidad General description of facilities and services available which ensure continuity	Observaciones Remarks
		Borrador Draft	Final			
1	2	3	4	5	6	7

Nota/Note:

Columna 1: Indicar Estado, Territorio u Organismo Internacional / Indicate State, Territory or International Organization
Columna 2: Indicar Estado, Territorio u Organismo Internacional con quien debe coordinarse el Plan de Contingencia del Estado citado en la Columna 1/ Indicate State, Territory or International Organization with whom the contingency plan of the State mentioned in column 1 should be coordinated
Columna 3: Marcar con **X** en el caso que el Plan de contingencia se encuentre en proceso para su armonización con el Estado en cuestión / Mark with an X in case the contingency plan is in process for its harmonization with the referred State.
Columna 4: Marcar con **X** en el caso que el Plan de contingencia se encuentre armonizado con el Estado en cuestión / Mark with an X in case the contingency plan is in process for its harmonization with the referred State.
Columna 5: Indicar Cargo del Punto de Contacto y medio de comunicación a utilizar en caso de ser necesario / Indicate position of the point of contact and communications means to be used, if necessary.
Columna 6: Indicar cuáles son, en general, las facilidades y los servicios disponibles mientras el Plan de Contingencia se encuentra activado / Indicate which are, in general, the facilities, available services while the contingency plan is activated.
Columna 7: Comentarios adicionales, si los hubiera / Additional comments, if any

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