Maintenance Process for the GANP Performance Framework

V01

# Introduction

The maintenance of the GANP is subdivided into two complementary processes, which relate to the maintenance of the ASBU framework and the maintenance of the Performance Framework of the GANP. The common start of both processes are change requests received via the common email address ganp@icao.int managed by the ICAO Secretariat. Depending on the requested change, the ICAO Secretariat will initiate one of the two processes.

This document aims to detail the maintenance process for the Performance Framework of the GANP. It specifies the objectives, actors, and steps (including timelines, inputs and outputs).

The maintenance process will be managed by the ICAO Secretariat in cooperation with the GANP Study Group’s Performance Expert Group (GANP-PEG) and continuously be improved based on lessons learned.

This guidance document's target audience are:

1. members of the aviation community[[1]](#footnote-2) utiliszing the GANP and wishing to propose a change to the GANP Performance Framework, excluding proposals to the structure of the GANP;

GANP Study Group’s Performance Expert Group, including chair(s); and

1. ICAO Secretariat.

The term ‘members of the aviation community’ refers to members representing the coordinated and agreed on aviation stakeholder views. The maintenance process shall not be used to exchange and discuss to opinions/views of individuals.

This guidance document assumes that the target audience is familiar with the GANP.

# Objectives and overview

The objective of the change management process is to ensure that the GANP Performance Framework is updated in a standartized way and ensure transparency by tracking the definition, evaluation, approval and implementation of any amendment to it.

A proposal for a change to the GANP Performance Framework shall be submitted to ganp@icao.int by any member of the aviation community by filling a predefined template with the proposed changes in track change format from the original text, together with the rationale for that change. Supporting documentation should also be submitted if applicable.

 The ICAO Secretariat, with the support of the GANP-PEG and/or other expert groups, will conduct an initial evaluation of the proposal to prepare it for further consideration.

If the proposal is accepted with or without modifications based on the steps mentioned above, the ICAO Secretariat will inititiate the change in the GANP Performance Framework. If the proposal is rejected, the ICAO Secretariat will notify the originator and provide the rationale for refusal.

The update of the GANP Performance Framework is executed in campaigns. The duration of a campaign is 6 months[[2]](#footnote-3). Only change proposals submitted prior to a campaign will be processed. Proposals for change received during a given campaign will be processed in the next campaign.

# Maintenance process of the GANP Performance Framework step-by-step

## Issue a Change Request

All proposals for change to the GANP Performance Framework shall be issued through a formal Performance Framework Change Request (PF-CR) using the attached PF-CR template. The template shall be used for proposing changes to existing content (attachment A) and/or proposing a new Performance Objective (attachment B), a new Key Performance Indicator (attachment C), a new Performance Ambition (attachment D), a new Key Performance Area (attachment E), including consequential Changes. The justification should specify if the PF-CR relates to a consequential change and should include a description of the objective and thus clarify what the added value for the GANP Performance Framework shall be achieved.

The template consists of the fields explained below:

* Contact details
	+ Name (point of contact): the full name of the person who can be contacted on this PF-CR and who has been nominated by the relevant aviation community member to liaise on their behalf regarding this PF-CR.
	+ Organisation: the name of the organisation for which the point of contact is working
	+ Position: the position of the point of contact within the organisation
	+ Email: the email address of the point of contact within the organisation
	+ Telephone: the telephone number of the point of contact
	+ Aviation Community: the relevant member of the aviation community submitting the PF-CR. Only abbreviations in attachment F of the attached PF-CR template should be used.
	+ PF-CR coordination: a description of the level of coordination of the PF-CR within the aviation community.
	+ Date of submission: the date the PF-CR is sent to ganp@icao.int
	+ Version number: the version number of the PF-CR. This may be relevant in case there are multiple iterations.
* Attachment A: PF-CR existing content information
	+ Reference: fill in the content item using the list of reference options in attachment F to the PF-CR template for which the PF-CR applies. Example:
		- KPA Environment: PF-CR applies to the key performance area Environment
		- KPI11/Definition: PF-CR applies to the Definition of KPI11
	+ PF-CR: the actual Performance Framework Change Request presented as current content with revision marks specifying the change. When submitting a change request, please strikethrough text proposed to be removed and shade text proposed to be included. Examples (using examples above):
		- KPI11/Definition: some existing text ~~removed text~~ new text.
	+ Justification: explain briefly the reason(s) for the proposed change, supporting that the proposed change is meaningful in the sense that the change leads to a better measurement of the overarching objective. Supporting material including tests and a sensitivity analysis could be provided if considered useful.
* Attachment B: PF-CR for proposing a new Performance Objective
	+ Justification: Provide justification for the proposed Performance Objective and its relation to the performance areas.
	+ Provide proposed content of the Performance Objective
	+ Provide the location on where in the tree of the performance objective catalogue the new Performance Objective shall be placed.
	+ Provide corresponding KPI, if any.
* Attachment C: PF-CR for proposing a new KPI
	+ Justification: Provide full justification for proposed KPI consistent with the principles of the GANP. This should include an overview on the availability of needed data, evidence on the meaningfulness by e.g. providing a sensitivity analysis and the result of statistical test showing that the new proposed KPI leads to a better measurement of the overarching objective.
	+ Proposed content for all items for the proposed new KPI
* Attachment D: PF-CR for proposing a new Performance Ambition
	+ Justification: Provide full justification for proposed Performance Ambition consistent with the principles of the GANPand demonstrate the added value created for the GANP Performance Framework.
	+ Proposed content of all items for the proposed new KPA, including the content for identification of the KPA the Performance Ambition belongs to
* Attachment E: PF-CR for proposing a new KPA
	+ Justification: Provide full justification for the proposed KPA consistent with the principles of the GANP. Please note that no proposals can be made to the structure of the GANP in order to provide stability and common understanding.
	+ The descriptive text of the new KPA

A completed PF-CR shall be submitted to ganp@icao.int.

## Acceptance and registration of PF-CR

The duly filled PF-CR will be accepted when:

* All relevant information has been provided and is clear/understandable
* Evidence is provided that the PF-CR is from a member of the aviation community
* The PF-CR is within the scope of the Change Management process (e.g. no structured change to the framework’s structure)

In case of questions/doubts, the point of contact will be contacted for clarification. This may result in withdrawal of the PF-CR or an update of PF-CR. In the latter case, this should be reflected by a new date of submission and a new version number.

**PF-CR Register**

Accepted change requests shall be registered in the PF-CR register and be processed during the campaign.

The PF-CR register includes all accepted change requests with their status, assignment and resolution.

The **PF-CR status** options are:

* Accepted: The PF-CR has been accepted, i.e. meets the criteria listed above
* Initial assessment: The PF-CR is in the initial assessment phase
* Detailed assessment: The PF-CR is in the detailed assessment phase
* In resolution: The PF-CR is in the resolution phase
* Resolved: The PF-CR has been resolved – changes have been implemented

The **PF-CR assignment** indicates who is currently responsible for the PF-CR analysis/processing. Options are:

* ICAO Secretariat
* GANP-PEG Chair
* GANP-PEG

The **PF-CR resolution** specifies all accepted changes to the GANP Performance Framework resulting from the PF-CR. The resolutions of all the processed PF-CRs during a campaign will be implemented to produce the next version of the GANP Performance Framework.

## Initial assessment

The objective of the Initial Assessment (IA) is to:

* Analyse the impact of the PF-CR on other global plans.
* Analyse the impact of the PF-CR on other parts of the GANP Performance Framework.
* Analyse whether the PF-CR has an impact on the ASBU framework
* Analyse the impact of the PF-CR on other GANP Layers, e.g. on Regional Plans.
* Analyse the impact of the PF-CR on other PF-CR’s processed during the campaign.

The IA will be performed by the ICAO Secretariat supported by the GANP-PEG Chair and performance experts (GANP-PEG members). The output of the IA is an IA report detailing:

* The impacts of the PF-CRs in the various domains (see above)
* IA decision based on the findings. The PF-CRs can be accepted for detailed assessment or rejected or amended (which results in an updated PF-CR)
* Detailed Assessment Plan: this plan details how the retained PF-CR’s will be processed, by who and when. Also, dependencies between PF-CR’s will be highlighted.
* Identify relevant ICAO panels that need to be informed and consulted.
* Identify initial set of relevant ICAO documents and guidance that needs to be checked for consistency

The IA report will be reviewed by the GANP-PEG. Following the IA phase, the PF-CR register will be updated.

## Detailed assessment

The objective of the Detailed Assessment (DA) is to:

* Obtain a position from the relevant panels on the PF-CR
* Detail the changes to the GANP Performance Framework and impacts on the ASBU framework resulting from the PF-CRs
* Check whether the PF-CR is meaningful and contributes to the objective.
* Check if relevant data is available, statistical tests and sensitivity analysis have been conducted orderly and are relevant.
* Conduct consistency checks with relevant ICAO documents and guidance

The DA will be performed by the ICAO Secretariat supported by the GANP-PEG Chair and performance experts (GANP-PEG members). The output of the DA is a DA report including:

* Final revision of PF-CRs
* Specifications of changes to GANP Performance Framework with justifications (PF-CR resolution)
* Follow-up actions (if any)
* Feedback on PF maintenance process

The DA report will be reviewed by the GANP-PEG. Following the DA phase, the PF-CR register will be updated and the changes specified in the DA report implemented in the GANP Performance Framework.

## Change implementation

In this phase, the changes specified in the DA report will be included in the GANP Portal and verified (quality checks) by the ICAO Secretariat.

## Process evaluation and update

Based on the feedback on PF maintenance process documented in the DA report, the ICAO Secretariat, with the support of the GANP-PEG, will periodecally evaluate Change Management process and ensure its update.

# Roles and responsibilities

The responsibility for the maintenance process lies with the ICAO Secretariat who is supported by the following actors:

**Aviation Community Members**

* Main tasks:
	+ Nominate a representative to submitting and coordinate the PF-CR with the ICAO Secretariat
	+ Coordinate and agree on a change request with all relevant members of Aviation Community;
	+ Fill in the forms completely and submit the PF-CR
	+ Provide clarifications or supporting material if requested;

**GANP Performance Expert Group (GANP-PEG)**

* Consist of:
	+ Independent experts nominated by States or Recognised International Organisations
	+ ICAO Secretariat
	+ ICAO Secretariat experts; Panel Secretaries (on demand)
* Main tasks:
	+ Assessment of PF-CRs
	+ Development of change for the KPA
	+ Development of change for the Performance Ambition
	+ Development of change for the Performance Objectives
	+ Development of change specifications for the KPIs
	+ Development of guidance on the GANP Performance Framework
	+ Review of the maintenance process
	+ Review of consistency and completeness of the Performance Framework
	+ Review of alignment with the ASBU Framework
	+ Review of alignment with the GANP Global Strategic Level
	+ Review of consistency with the other strategic plans (GASP and GASeP)

**ICAO Secretariat**

* + Manage the Maintenance Process for the Performance Framework
	+ Maintains PF-CR register
	+ Liaison with PF-CR originator
	+ Update performance framework as specified in the DA report

**GANP-PEG Chair (elected GANP-PEG member)**

* + Preparation and facilitation of meetings and maintenance process
	+ Facilitation of discussions
	+ Liaison with the ICAO Panel/Working Arrangement related to the ASBU Framework (ASBU PPT Chair is expected to express the views of the Expert Group/Working Arrangement)
	+ Specifies changes to the ASBU framework derived from PF-CRs

**GANP Performance Framework Change Request Template**

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* This template shall be used to propose changes to the GANP Performance Framework
* For proposed changes to existing threads and elements, use Attachment A
* For proposed new performance objectives, use Attachment B
* For proposing a new KPI, use Attachment C
* For proposing a new Performance Ambition, use Attachment D
* For proposing a new KPA, use Attachment E
* Contact <GANP maintenance PoC> for assistance
* Email completed template to ganp@icao.int

**Contact details**

|  |  |
| --- | --- |
| Name (point of contact) |  |
| Organisation |  |
| Position |  |
| Email |  |
| Telephone |  |
| Aviation Community \* |  |
| PF-CR coordination\*\* |  |
| Date of submission |  |
| Version number |  |
|  |  |

**\***CAA, ANSP, AIA, SAR, AO, AM, APO etc. (see attachment F for options/abbreviations)

\*\*describe the level of coordination with relevant aviation community members

To be filled in by ICAO Secretariat

|  |  |
| --- | --- |
| PF-CR reception date |  |
| PF-CR Status |  |
| Supporting Performance Experts |  |

**Attachment A**

**Change request to existing content information**

**Change Request Information**

|  |  |  |  |
| --- | --- | --- | --- |
| **Reference\*** | **PF-CR (current text with revision marks)** | **Justification and description of objective (added value for performance management)** | **Meaningfulness, test, sensitivity analysis and documentation** |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

\*see attachment F for reference options

**Attachment B**

**Change Request for New Performance Objective**

|  |  |
| --- | --- |
| Performance Objective |  |
| Justification: |  |
| Hierarchical root objective: | *Needs to be an existing item in the performance objective catalogue.* |
| Hierarchical sub-objectives: | *Identifies any sub-objectives the hierarchy of the performance objective catalogue, if any.* |
| KPI | *Identifies a corresponding KPI, if any.* |

**Attachment C**

**Change Proposal for New Key Performance Indicator (KPI)**

|  |  |
| --- | --- |
| KPI: |  |
| Justification and description of objective (added value for performance management). Including:- Meaningfulness- Statistical Tests and Documentation- Sensitivity Analysis |  |
| Definition: | Provide short description of definition?  |
| Measurement Units: |  |
| Variants: |  |
| Objects Characterized: |  |
| Utility of the KPI: |  |
| Parameters: |  |
| Data Requirement: |  |
| Data Feed Providers: |  |
| Formula / Algorithm: |  |
|  |  |
|  |  |
|  |  |
| References & Examples of Use: |  |

**Attachment D**

**Change Proposal for New Performance Ambition**

|  |  |
| --- | --- |
| Performance Ambition: |  |
| Justification and description of objective (added value for performance management): |  |
| KPA: | *Identifies the corresponding KPA.* |

**Attachment E**

**Change Proposal for New Key Performance Area (KPA)**

|  |  |
| --- | --- |
| Key Performance Area |  |
| Justification and description of objective (added value for performance management): |  |
| Descriptive Text: |  |

**Attachment F**

**List of aviation community options:**

|  |  |
| --- | --- |
| CAA | Civil Aviation Authority |
| ANSP | Air Navigation Service Provider |
| AIA | Accident Investigation Authority |
| SAR | Search And Rescue Authority |
| AO | Aircraft Operator |
| AM | Aircraft Manufacturer |
| APO | Airport Operator |
| ANF | ATM Network Function |
| MSP | Met Information Service Provider |

**List of reference options**

|  |  |
| --- | --- |
| Performance Objective  | Performance Objective by Name  |
| Performance Ambition | Performance Ambition by Name  |
| KPA  | Reference to the KPA by name e.g. KPA Safety  |
| KPI  | Reference to the KPI by number or name e.g. KP I01 |
| KPI/Definition  | Definition of KPI |
| KPI/Measurement  | Measurement Units |
| KPI/Operations  | Operations Measured |
| KPI/Variants | Variants |
| KPI/Objects  | Objects Characterised |
| KPI/Utility  | Utility of the KPI |
| KPI/Parameters | Parameters |
| KPI/Data Requirement | Data Requirement |
| KPI/Data Feed  | Data Feed Providers |
| KPI/Algorithm | Formula / Algorithm |
| KPI/References  | References & Examples of Use |

1. ***Aviation community***. All stakeholders involved in the provision of or requiring the use of air navigation resources. It includes:

	* ICAO and other aviation standards making organizations;
	* States in the role of regulators, airspace sovereigns and sometimes air navigation service providers;
	* the aerodrome community;
	* air navigation service providers, in charge of providing flight information service, air traffic management and air traffic flow management;
	* information service providers;
	* airspace users;
	* State aviation;
	* aircraft and equipment manufacturers;
	* research and development organizations; and
	* international organizations including professional staff organizations. [↑](#footnote-ref-2)
2. This period may be adjusted based on experiences. [↑](#footnote-ref-3)