Maintenance Process for the ASBU framework

V01

# Introduction

The objective of this guidance is to further detail the maintenance process for the ASBU framework of the GANP. It specifies the objectives, actors, and steps (including timelines, inputs and outputs) of the process.

It should be noted that the maintenance process will be reviewed by the GANP Study Group, once it is established, and is subject to continuous improvement based on lessons learned. An initial version of the maintenance process is expected to be available by October 2019.

The target audience for this guidance are the members of the aviation community[[1]](#footnote-1) using the GANP and potentially wishing to propose a change to the ASBU framework. The term ‘members of the aviation community’ is used to refer to members representing coordinated and agreed aviation stakeholder views. The maintenance process will not be used to respond to opinions/views of individuals.

This guidance assumes that the target audience is familiar with the structure and terms used in the GANP.

# Objectives and overview

The objective of the change management process is to keep the content of the ASBU framework of the GANP up to date and ensure transparency by tracking the definition, evaluation, approval and implementation of any amendment to it.

A proposal for change to the ASBU framework can 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 ASBU PPT[[2]](#footnote-2) and/or other expert groups, will conduct an initial evaluation of the proposal to prepare it for further consideration.

If the proposal relates to ICAO Standards and Recommended Practices (SARPs) or Procedures for Air Navigation Services (PANS), the Secretariat will bring to the attention of the Air Navigation Commission (ANC) which will review and approve, modify or reject the proposal in accordance with the established process. If not related to SARPs or PANS, the ICAO Secretariat will review and accept, modify or reject the proposal with the help the ASBU PPT and/or other expert groups.

If the proposal is approved with or without modifications based on the steps mentioned above, the ICAO Secretariat will include it in the ASBU framework. If the proposal is rejected, the ICAO Secretariat will notify the originator and provide the rationale for refusal.

The update of the ASBU framework will be executed in campaigns. The duration of a campaign is 6 months[[3]](#footnote-3). Only proposals for change submitted prior to a campaign will be processed. Proposals for change received during a given campaign will be processed in the next Campaign. Campaign and proposals for change cut-off dates will be published on the GANP portal.

# Maintenance process of the ASBU framework step-by-step

## Issue a Change Request

All proposals for change to the ASBU framework must be issued through a formal Change Request (CR) using the attached CR template. The template can be used for proposing changes to existing content (attachment A) and/or proposing a new element (attachment B) or a new thread (attachment C). To the best ability of the originator, also consequential Changes must be submitted using the CR template. The justification should specify if the CR relates to a consequential change.

The template consists of the following fields which are further explained below:

* Contact details
	+ Name (point of contact): the full name of the person who can be contacted on this CR and who has been nominated by the relevant aviation community to liaise on the CR.
	+ Organization: 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
	+ Telephone
	+ Aviation Community: the relevant member of the aviation community submitting the CR. Only abbreviations in attachment D of the attached CR template should be used.
	+ CR coordination: a description of the level of coordination of the CR within the aviation community.
	+ Date of submission: the date the CR is sent to ganp@icao.int
	+ Version nbr: the version number of the CR. This may be relevant in case there will be multiple iterations.
* Attachment A: CR existing content Information
	+ Reference: fill in the content item using the list of reference options in attachment D to the CR template for which the CR applies. Examples:
		- <FRTO/Block 2> : CR applies to concept of operations for FRTO Block 2
		- <CSEP-B2/3/DA>: CR applies to Deployment Applicability of CSEP-B2/3 element
	+ CR: the actual 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):
		- FRTO/Block 2: The ~~most important~~ operational improvement is related to the large scale cross border Free Route Airspace (FRA) as the continuation of FRTO B1 and with new text.
		- CSEP-B2/3/DA:
			* Operational conditions: new text
			* Main intended benefits:
				+ Type: new text
				+ Operational description: new text
				+ Benefitting stakeholder(s): new text added
	+ Justification: explain as briefly as possible the reason(s) for the proposed change. Supporting material could be provided if believed useful.
* Attachment B: CR for proposing a new element
	+ Justification: Provide full justification for proposed element 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.
	+ Provide proposed content for all items for the proposed new element.
* Attachment C: CR for proposing a new thread
	+ Justification: Provide full justification for proposed thread 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.
	+ Provide proposed content for all items for the proposed new thread, including the content for all its elements.

A completed CR should be submitted using ganp@icao.int email address.

## Acceptance and registration of CR

The CR will be accepted when:

* All relevant information has been provided and is clear/understandable
* Evidence is provided that the CR is from a member of the aviation community
* The 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 CR or an update of CR. In the latter case this should be reflected by a new date of submission and new version number.

**CR Register**

Accepted CRs will be registered in the CR register and be processed during the campaign.

The CR register includes all accepted CRs with their status, assignment and resolution.

The **CR status** options are:

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

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

* ICAO secretariat
* Panel Project Team
* Thread Leader
* ICAO Panel xyz

The **CR resolution** specifies all accepted changes to the ASBU framework as a result of the CR. The resolutions of all the processed CRs during a campaign will be implemented to produce the next version of the ASBU framework.

## Initial assessment

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

* Analyze the impact of the CR on other global plans.
* Analyze the impact of the CR on other parts in the ASBU framework.
* Analyze whether the CR relates to performance
* Analyze the impact of the CR on other GANP Layers e.g. on Regional Plans.
* Analyze whether the CR will imply changes to existing SARPs or need for new SARPs.
* Analyze the impact of the CR on other CR’s processed during the campaign.

The IA will be performed by the ICAO secretariat supported by the ASBU PPT/ Thread Leader. The output of the IA is an IA report detailing:

* The impacts of the CRs in the various domains (see above)
* IA decision based on the findings. The CRs can be accepted for detailed assessment or rejected or amended (which results in an updated CR)
* Detailed Assessment Plan: this plan details how the retained CR’s will be processed, by who and when. Also dependencies between CR’s will be highlighted.
* IA request analysis from performance experts: if the CR relates to performance it will be passed for feedback to performance experts.

The IA report will be reviewed by the ASBU PPT. Following the IA phase the CR register will be updated.

## Detailed assessment

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

* Obtain a position from the relevant panels on CRs having an impact on SARPs.
* Detail the changes to the ASBU framework resulting from the CRs
* If the CR relates to performance, gather feedback from the performance experts on the CRs
* Conduct consistency checks

The DA will be performed by the ICAO secretariat supported by the ASBU PPT/Thread Leader. The output of the DA is a DA report including:

* Final status of CRs
* Specifications of changes to ASBU framework with justifications
* Follow-up actions (if any)
* Process feedback

The DA report will be reviewed by the ASBU PPT. Following the DA phase the CR register will be updated and the changes specified in the DA report implemented in the ASBU framework.

## Change implementation

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

## Process evaluation and update

Based on the findings documented in the DA report, the Secretariat with support of the ASBU PPT may discuss and agree possible changes to the Change Management process and ways of working.

# Roles and responsibilities

The responsibility for the maintenance process relies with the ICAO secretariat who is supported by the following actors:

**ASBU Panel Project Team (PPT)**

* Consist of:
	+ Independent experts nominated by States or Recognised International Organisations
	+ Thread Leader (TL); nominated independent expert (see above) *and* interface with the Panel/Working Arrangement related to the ASBU thread
	+ ICAO Secretariat GANP leader
	+ ICAO secretariat experts; Panel secretaries (on demand)
* Main tasks:
	+ Assessment of CRs as explained in this document
	+ Development of change specifications for the ASBU framework
	+ Development of guidance on the ASBU framework
	+ Review of the maintenance process
	+ Review of consistency and completeness of the ASBU framework
	+ Review of alignment with the GANP Global Strategic Level
	+ Review of consistency with the other strategic plans (GASP and GASeP)
* ASBU PPT Secretary (ICAO secretariat)
	+ Maintains CR register
	+ Liaison with CR originator
	+ Update ASBU framework as specified in the DA report
* ASBU PPT Chair (elected PPT member)
	+ Preparation and facilitation of meetings and maintenance process
	+ Facilitation of discussions

**Thread Leader (ASBU PPT member)**

* Responsible for Thread content
* Responsible for alignment with other parts of the ASBU framework and if needed raising issues for resolution
* Responsible for liaison with the ICAO Panel/Working Arrangement related to the thread (thread leader is expected to express the views of the Panel/Working Arrangement)
* Responsible for specifying changes to thread derived from CRs

GANP Change Request Template

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* This template shall be used to propose changes to the GANP ASBU Framework
* Only complete Change Requests will be processed
* Change Requests can only be issued by members of the Aviation Community
* Change Requests shall be coordinated in advance with relevant aviation community members
* For proposed changes to existing threads and elements use Attachment A
* For proposed new elements use Attachment B
* For proposed new threads use Attachment C
* Contact <GANP maintenance PoC> for assistance
* Email completed template to ganp@icao.int

**Contact details**

|  |  |
| --- | --- |
| Name (point of contact) |  |
| Organization |  |
| Position |  |
| Email |  |
| Telephone |  |
| Aviation Community \* |  |
| CR coordination\*\* |  |
| Date of submission |  |
|  |  |

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

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

To be filled in by GANP Maintenance Team

|  |  |
| --- | --- |
| CR reception date |  |
| CR Status |  |
| Assigned TL |  |
|  |  |

**Attachment A**

**Change request to existing Threads/Elements**

**Change Request Information**

|  |  |  |
| --- | --- | --- |
| **Reference\*** | **CR (current text with revision marks)** | **Justification** |
|  |  |  |
|  |  |  |
|  |  |  |

\*see attachment D for reference options

**Attachment B**

**Change Request for New Element**

Justification:

<Insert template for new element>

**Attachment C**

**Change Proposal for New Thread**

Justification:

<Insert template for new thread>

**Attachment D**

**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**

|  |  |
| --- | --- |
| <Thread>/Block<nbr> | Reference to concept of operations by block eg AMET/Block 4 |
| <element>/MP | Main Purpose of element |
| <element>/NC | New Capability of element |
| <element>/DC | Description of element |
| <element>/ML | Maturity Level of element |
| <element>/HF | Human Factor Consideration of element |
| <element>/PL | Planning Layers of element |
| <element>/OP | Operations of element |
| <element>/DR | Dependencies and Relations of element |
| <element>/EN | Enablers of element |
| <element>/DA | Deployment applicability of element |
| <element>PI | Performance Impact of element |

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-1)
2. A multidisciplinary team composed of independent professionals from relevant ICAO groups of experts. [↑](#footnote-ref-2)
3. This period may be adjusted based on experiences. [↑](#footnote-ref-3)