FABEC Implementation Phase

FABEC Performance

EC Information

Annex S

Co-financed by the European Union
Trans-European Transport Network (TEN-T)

DOCUMENT SUMMARY

Objective : Provide evidence of Treaties in force by the contracting States of FABEC	
Origin : Chairman Performance & Finance Committee (P&FC)	**Audience** : FABEC Provisional Council, ANSCB, ASB, AFG, European Commission

Title : EC Information Annex T
Reference : FABEC_AFG_EC Information_Annex S_v0-1

Version : 1.0	**Date** : 29.03.2012	**Status** : ☐Draft ☑ Released	**Classification** : ☐ Public ☑ FABEC limited ☐ Addressees limited

DOCUMENT CHANGE RECORD

Version	Status	Date	Reason for changes	Author of changes
0.1	Draft	07.12.2011	Template	AFG
1.0	Final	29.03.2012	Document completed	AFG

APPROVALS

Name: Bernhard Mayr	**Signature**:
Function: CM P&FC	
Date:	

QUALITY CONTROL

Name: Manuel De Klerck	**Signature**:
Function: AFG Quality Manager	
Date:	

ATTACHMENTS CONTAINED IN THIS ANNEX

ID	Origin	Status	Version	Date	Title
S.1	F&PC	Final	3.0	29.03.2012	FABEC States Performance Process Description
S.2	AFG/PMG	Draft	1.3	29.03.2012	FABEC ANSP Performance Management Process Description
S.3	F&PC	Final	1.0	28.06.2012	FABEC Performance Plan RP1 (Common part)
S.4	F&PC	Final	1.0	13.12.2011	Addendum to FABEC Performance Plan RP1

1. BACKGROUND

In line with Commission Regulation (EU) N° 691/2010, the FABEC Member States have developed for the first reference period a single FABEC Performance Plan addressing the KPA on Capacity fully at FABEC level, while the KPAs on Safety, Environment and MME are either only partially addressed at FABEC level or require to further develop common tools within FABEC.

Targets on Cost Efficiency are set at national level and aggregated at FABEC level for information.

States have built the plan whilst liaising with the ANSPs, sharing information and developing a mutual review process. This guaranteed continuity and consistency.

Targets at FABEC level gave due consideration to EU-wide Targets. FABEC decided not to use financial incentives. The Member States are jointly responsible to achieve the capacity targets while the ANSPs are responsible to implement the measures required to increase capacity accordingly. In case of expected failure to meet the target, a corrective action plan will be requested.

Targets on Military Mission Effectiveness (MME) are managed at national level.

Stakeholders and especially airspace users have been consulted during a workshop in April 2011 and by a formal consultation in May 2011. Consultation of staff representatives has been organised in a separate meeting.

After submission of the FABEC Performance Plan, the European Commission assessed the FABEC Performance Plan as not meeting the EU-wide target. The Financial and Performance Committee (F&PC), representing FABEC Member States on performance and financial issues, took due consideration of the comments raised by the Commission and developed an addendum to its plans giving additional information on how the plan was built and the reasons why not changing the initial targets set. So far, a draft assessment report of the Addendum has been provided by the PRB.

The implementation of the FABEC Performance Plan shall be monitored as foreseen by the Performance Scheme. ANSPs shall report to the F&PC and the NSA Committee (NSAC). If during the reference period targets are not met then appropriate measures will be taken with a view of rectifying the situation. These measures will relate to Capacity and Environment indicators defined at FABEC level. ASB will function as accountable entity for the achievement of FABEC-wide KPIs by managing a process developed by AFG/PMG. Furthermore, AFG/PMG acts as ANSP coordinator towards the FABEC Member States.

The F&PC supports the FABEC Council in its task of setting and monitoring performance targets.

In order to ensure a consistent and manageable performance process, F&PC and AFG/PMG have developed specific process descriptions used as support and considered as living documents.

2. PURPOSE AND CONTENT OF THE DELIVERABLE

The FABEC performance fulfils the aim to:

- Explain the way FABEC intents to manage the performance process with specific process description (States Performance Process description, ANSPs Performance Process description),

- Give information on the FABEC Performance Plan and its Addendum on the common part of the plan.

All process descriptions are considered as living documents. Both States and ANSPs Performance process description have been already approved by the Provisional FABEC Council and the ASB.

3. PURPOSE AND CONTENT OF THE DELIVERABLE

Att.1: FABEC States Performance Process Description

Att.2: FABEC ANSP Performance Management Process Description

Att. 3: Performance Case Methodology

Att. 4: FABEC Performance Plan (Common part)

Att.5: Addendum to FABEC Performance Plan

FABEC Implementation Phase

Provisional Financial & Performance Committee
FABEC States Performance Process Description

Process description for elaborating, adopting and monitoring the FABEC Performance Plan

Attachment S.1

DOCUMENT SUMMARY

Objective :	*This document describes the way FABEC Member States, together through the FABEC Council on basis of proposals of the Provisional Financial and Performance Committee, intend to organize the FABEC Performance Scheme. The States Performance process description has been developed in order to design the FABEC performance plan processes and make them consistent with and compliant to the EC Regulation on Performance (EU N°691/2010) .*		
Origin :	*Provisional Financial & Performance Committee (F&PC)*	**Audience** :	*FABEC States [Provisional] Bodies, AFG/PMG*

Title :	FABEC States Performance Process Description
Reference :	*FABEC_PF&PC_States Performance_Process description*

Version : 3.0	**Date** : 29/03/2012	**Status** : ☐Draft ☑Released	**Classification** : ☐ Public ☑ FABEC limited ☐ Addressees limited

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	01/02/2011	Approved version by SSB	Theo Nsengimana
2.0	22/11/2011	Approved version by F&PC including experience of FPP development and clarification on on-going monitoring	Theo Nsengimana
3.0	29/03/2012	Approved version by F&PC after updates	M. Pleyers

TABLE OF CONTENTS

1 INTRODUCTION

The purpose of this document is to describe the complete and detailed processes, including the roles and responsibilities of the actors involved, of

- the performance target setting,
- the elaboration of the FABEC Performance Plan, including a possible revision),
- the adoption of the FABEC Performance Plan,
- the monitoring of and the reporting on the performance in the FABEC airspace,
- the incentives and corrective actions mechanisms,
- the consultation mechanism.

The process descriptions are based on the EC Regulation on Performance and translated to the FABEC environment.

The processes have to comply with the SES Requirements starting from RP1 and will have to be adapted, based on the development of the FABEC environment on one side and the evolution of the EC Regulation on performance on the other side. In that context, the document is a living document and will be the property of the FABEC Council and its involved Committees (e.g. F&PC and NSA Committee). The document can also be used to establish the necessary relationship with the ANSPs pillar, more specifically with the ASB and the AFG/PMG which is in charge of the FABEC ANSP Performance Management on behalf of the ASB.

The FABEC Performance process will focus on all the KPAs mentioned in the EC Regulation 691/2010 and those specifically defined at FABEC level. However, the processes description concerning target setting, monitoring, reporting and taking corrective actions on Cost-Efficiency and MME will be taken care at national level as long as a FABEC common charging zone and a single unit rate are absent and as long as MME targets cannot be set at FABEC level.

Remark: The FABEC Treaty will enter into force on the first day of the second month following the deposit of the last instrument of ratification with the Depositary which is foreseen in autumn 2012. Before that period the FABEC State structure is provisional. Therefore, each body named in this document has to be read as provisional.

2 REFERENCE DOCUMENTS

The following reference documents support the development of the process description:

- ⇨ EC Regulation (EU) n° 691/2010, including its amendments to C Regulation (EC) n° 2096/2005
- ⇨ Commission Implementing Regulation (EU) n° 1034/2011, repealing EC Regulation (EC) n° 2096/2005 and amending EC Regulation (EU) n° 691/2010
- ⇨ Commission Implementing Regulation (EU) n° 1035/2011, repealing EC Regulation (EC) n° 1315/2007 and amending EC Regulation (EU) n° 691/2010
- ⇨ EC Regulation (EC) n° 1216/2011, amending EC Regulation (EU) n° 691/2010
- ⇨ EC Regulation (EC) n° 216/2008, repealing EC Regulation (EU) n° 1592/2002
- ⇨ FABEC State Agreement signed on the 2 December 2010
- ⇨ EC Regulation (EC) n° 1070/2009, amending
  - o EC Regulation (EC) n° 549/2004
  - o EC Regulation (EC) n° 550/2004
  - o EC Regulation (EC) n° 551/2004

- EC Regulation (EC) n° 552/2004

⇨ EC Regulation (EC) n° 1108/2009, amending EC Regulation (EC) n° 216/2008

⇨ Commission Regulation n°1794/2006, including its amending Regulation (EU) n° 1191/2010

⇨ Guidance material for national/FAB performance plans

⇨ Eurocontrol guidance material on the financial reporting tables

⇨ FABEC State Governance manual

⇨ FABEC Performance Plan 2012-2014

⇨ Guidance material for Revision of National/FAB performance targets

3 GENERAL OVERVIEW OF THE PERFORMANCE PROCESS

The ANSP Performance Management part has not been described in EU 691/2010 and has been included in the drawing below to identify clearly its place in the overall process. This part (orange block) is the ANSP Performance Management System under the responsibility of the AFG/PMG.

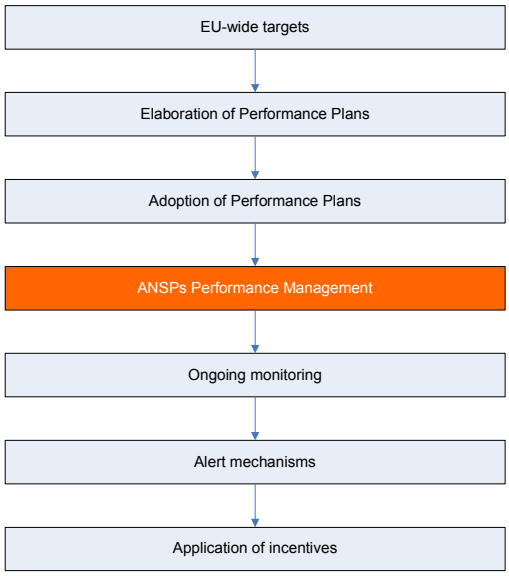


Figure 1 - General FABEC Performance Process Overview

The elaboration of a FABEC Performance Plan implies different activities, which have to be carried out according to processes defined in advance, namely:

- the target setting process including:
  - the provision of relevant information by ANSPs as input to the States,
  - the request of additional information from PRB,
  - the setting of the targets and indicative/reference annual values,
  - the description of the alert mechanism and the alert thresholds,
  - the targets assignment to accountable entities and their cascade at operational level;
- the development and/or incorporation of specific (K)PIs in the FABEC Performance Plan;
- the integration of the military dimension into the FABEC Performance Plan;

- the integration of the national targets on cost efficiency and any other additional national targets into annexes to the FABEC Performance Plan;
- the consultation process of stakeholders (including the integration of the feedback from the stakeholders and the addressing of the stakeholders' feedback into the FABEC Performance Plan);
- the (internal) validation and the adoption of the plan by the FABEC States.

This process description document includes also an elaboration of the descriptions included in the FABEC Performance Plan of:

- the process of monitoring the targets and PIs;
- the process of reporting to the EC (responsible entities);
- the process of defining the incentive scheme and the appropriate incentives (corrective actions by the F&PC/FABEC Council);

4 GENERAL OVERVIEW OF THE ROLES AND RESPONSIBILITIES

Referring to the EU Regulation on Performance and the main activities that need to be performed, the actors may be positioned as follows:

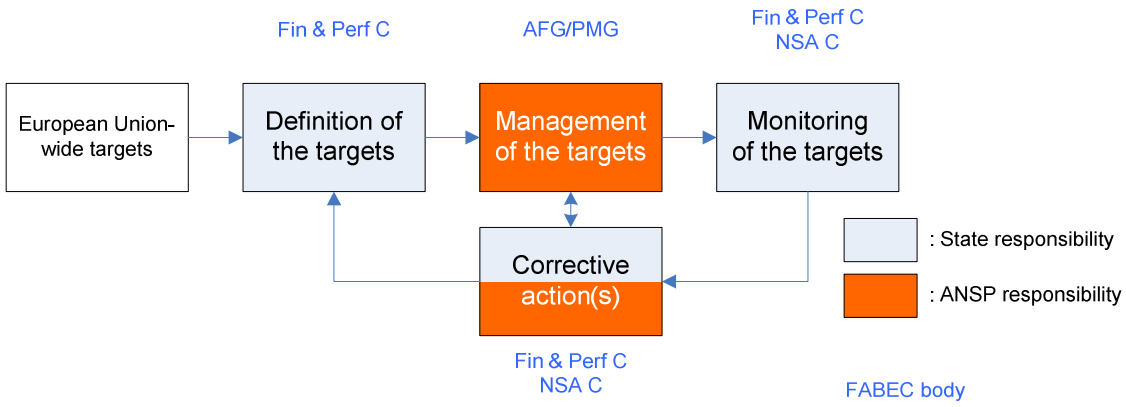


Figure 2 - Detailed roles & responsibilities

In this drawing, one can consider that States define FABEC KPIs and FABEC targets and monitor their achievement, whilst ANSPs organise the breakdown of the targets per entity for all KPAs - but cost efficiency ones - the definition and the implementation of the necessary measures in order to ensure their achievement and the periodic reporting to the States.

Detailed roles and responsibilities of the actors have been described in annex 2.

5 BODIES INVOLVED BY THE FABEC PERFORMANCE PLAN

Actors involved into the FABEC Performance Plan are:

- 6 FABEC States (Belgium, France, Germany, Luxembourg, The Netherlands, Switzerland), both civil (MoT; Regulatory and supervisory) and military (MoD)
- 7 civil ANSPs (ANA Luxembourg, Belgocontrol, DFS, DSNA, LVNL, MUAC, Skyguide)
- MET providers

- Military ANSPs
- FABEC Council
- FABEC Financial and Performance Committee
- FABEC NSAs Committee
- ASB
- AFG/PMG
- EC/PRB and EASA for safety
- Other stakeholders (e.g. airspace users, airport operators, staff representatives, etc)

The following table translates the actors described in the performance scheme regulation into a FABEC environment.

EU 691/2010 body	Means in the	FABEC context
Member States	⇨	FABEC Council
NSA	⇨	F&PC / NSAC regarding safety performance
ANSP	⇨	ASB, AFG/PMG (on behalf of ASB)

Figure 3 - Actors involved into the performance scheme

6 PROCESS DESCRIPTION FRAMEWORK

The FABEC States Performance Process Description has been developed based on two frameworks: one related to the indicator development, target setting and monitoring at EU-wide and at FABEC level, the second for target cascading. These frameworks are described below.

i) Framework for indicator development, target setting and monitoring.

Indicators can take the form of either KPIs (related to targets) or PIs (not related to targets, only monitoring) in accordance with the performance scheme regulation.

The following figure explains the different levels of indicators and related target as well as the interactions between them:

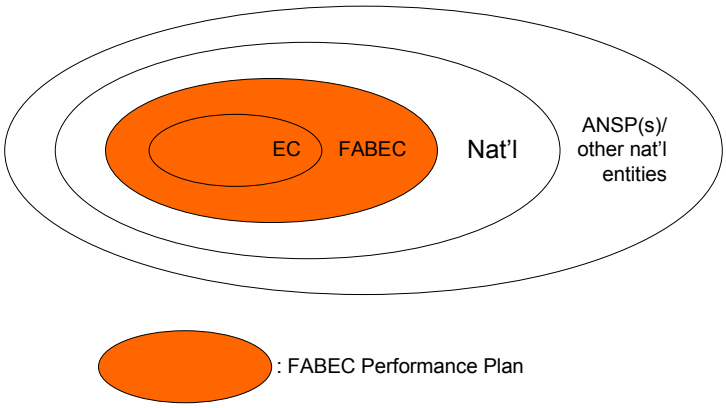


Figure 4 - Interactions between the different levels of targets

In Figure 4, one can see that the FABEC plan covers at least the EU-wide indicators and related targets without prejudice that FABEC can also develop additional (K)PIs. FABEC Member States can also develop (K)PIs at national level (cost efficiency and MME). Possible additional targets on specific national indicators will be included in the Annexes to the FABEC Performance Plan. Of course, ANSPs also have the possibility to define specific indicators as long as they are consistent with and contribute to the targets set at EU, FABEC or national level.

In a FABEC context, it is not allowed to set targets at a specific level which are incompatible or counter productive with those defined at higher levels.

ii) Framework for target cascading

FABEC targets can either be broken down at individual ANSP level or remain jointly managed at FABEC ANSPs level. In the first case, each ANSP receives its own target. In the second one, the target is assigned to all FABEC ANSPs together. The FABEC ANSPs, through its performance management group (AFG/PMG), will have to take the necessary arrangements in order to manage the targets and, when necessary, to cascade them to each individual ANSP.

In respect to Figure 4 and the performance scheme regulation, four approaches have been identified for target cascading, monitoring and reporting without being contradictory to each other. For simplicity's sake, the description is only defined for targets cascading. However, it is valid for the monitoring and the reporting phases as well.
The four approaches can be summarized as follows:

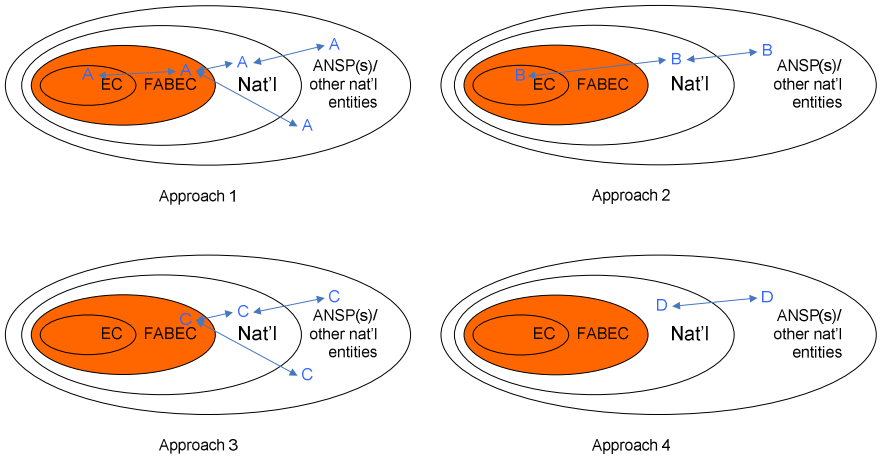


Figure 5 - Possible targets setting and reporting approaches

In approach 1, targets are set at EU-wide level and cascaded at FABEC level, then at national level and then at ANSP level. For some of them the target is directly assigned collectively to ASB (e.g. some KPIs on Capacity or Environment).

Approach 2 represents the situation where the targets are set at EU-wide level and then handled directly at national level. In that situation, FABEC does not intervene unless in order to provide consolidated FABEC figures (e.g. EU KPI on cost efficiency).

In approach 3, some KPIs/PIs will be set at FABEC level and then cascaded at national level before being set at ANSP level. These additional pure FABEC-(K)PIs are those set by the FABEC Council irrespective to the EC requirements (e.g. KPIs on Military Mission Effectiveness). Once again, the targets can be assigned either to each individual ANSP or jointly to ASB.

Finally, in approach 4, a State may decide to implement specific additional KPIs/PIs at national level complementary to those already set at FABEC or EU-wide level (e.g. German KPI on CDA for Frankfurt airport).

MUAC can also be included in these approaches. Indeed, what is considered at national level for all other ANSPs can be considered at “four States Committee” level with regard to MUAC. It means that the four States (Belgium, Germany, Luxembourg and The Netherlands) governing MUAC activities are supposed to act as one State.

Annex 3 gives an overview of all (K)PIs contained in the FABEC Performance Plan. The column named “approach” of this table makes the link to the corresponding described cascading approach.

7 PROCESS DESCRIPTION

7.1 How to read the process description

The process description has been divided in different parts. Each of them includes a flow chart, the relevant Regulation articles and an explanatory table. The explanatory text refers to the corresponding number in the flow chart.

The flow charts are based on the performance scheme regulation. The explanatory tables describe how FABEC organise the process, which actors are involved and the outputs.

Connecting the flow charts to the Regulation will ensure that FABEC complies with its obligations towards the European Commission. Hence, any future update of the Regulation will be easily followed and identified. Specific FABEC actions arising from changes in the Regulation will therefore be also easily identified and addressed.

7.2 EU-wide Performance Targets and Elaboration of Performance Plans

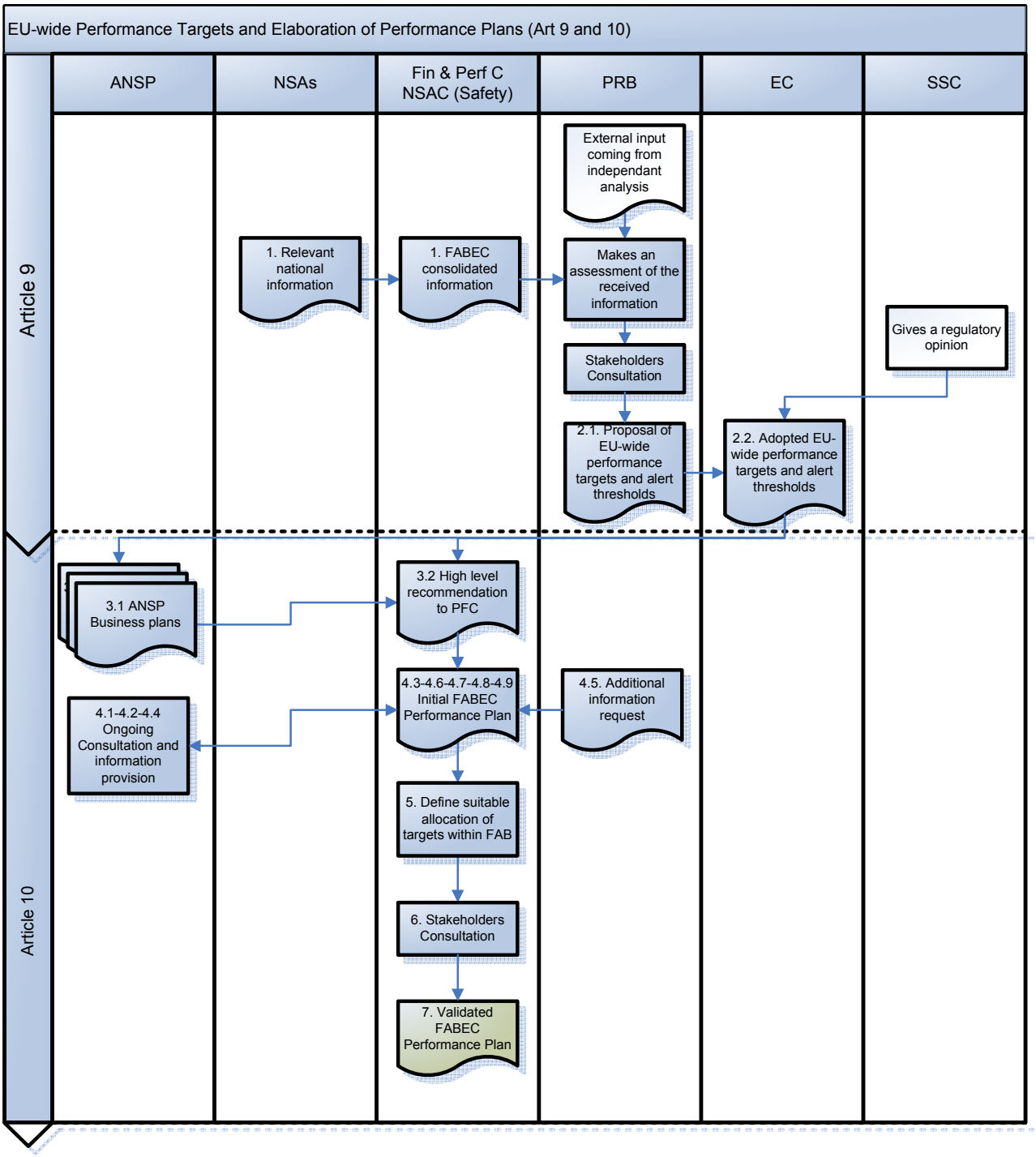


Figure 6 - EU-wide Performance Targets and Elaboration of Performance Plans

Relevant Articles of the performance scheme regulation:

Art 3.6.c - National supervisory authorities may request the assistance of the Performance Review Body for the definition of ranges of indicative values for national or functional airspace block target setting, taking

into account the European perspective. Such values shall be available to national supervisory authorities, air navigation service providers, airport operators and airspace users.

Art 5.2.c.iii - Where Member States decide to adopt a performance plan at functional airspace block level, they shall (c) make appropriate arrangements to ensure that (iii) the consequences for meeting or not meeting the targets are suitably allocated within the functional airspace block.

Art 10.1 – The national supervisory authorities, at either national or functional airspace block level, shall draw up performance plans containing targets consistent with the European Union-wide performance targets and the assessment criteria set out in Annex III [*of the EC Regulation N°691/2010 on Performance*]. There shall be only one performance plan per Member State or per functional airspace block when the Member States concerned decide to elaborate a performance plan at functional airspace block level in application of Article 5 (1) and (2).

Art 10.2 - To support the preparation of the performance plans the national supervisory authorities shall ensure:
(a) that the air navigation service providers communicate relevant elements of their business plans, prepared in consistency with the European Union-wide targets;

Art 10.3 (f) - The performance plans shall contain, in particular: (f) A description of the civil-military dimension of the plan describing the performance of the flexible use of airspace (FUA) application in order to increase capacity with due regard to military mission effectiveness, and, if deemed appropriate, other relevant (key) performance indicators and targets in consistency with the indicators and targets of the performance plan;

Art 10.2 - To support the preparation of the performance plans the national supervisory authorities shall ensure:
(b) Consultation of the stakeholders in accordance with Article 10 of the framework Regulation on the performance plan and targets. Adequate exchange of information between stakeholders shall be provided at least three weeks prior to the consultation meeting.

Cooperation between F&PC and NSAC
Whereas F&PC is responsible for the FABEC Performance Plan activities, NSAC is responsible for all safety issues. A couple of safeguards is built in the cooperation between the F&PC and the NSAC on safety performance and safety related issues. These safeguards are inter alia:

- As all safety aspects of performance review will be completely dealt with by the NSAC, the outcomes of the NSAC's process shall be adopted by the F&PC 'as it is'. In case it is not possible for the F&PC to agree with the outcome of the NSAC's work, a common procedure to come to an eventual single point of view will be followed. If no single point of view can be found between the two Committees, then the issue has to be tabled at FABEC Council for decision.
- If the F&PC deals with non-safety subjects of performance review that may have safety implications (example: capacity measures), the NSAC should be consulted through a formal process. Such a process shall prevent the degradation of safety through performance measures.

#	Reg	How	Result (R) and Actor (A)
1.	Art 5.2. c.iii	The decision to develop a Performance Plan at FABEC level is laid down in the FABEC Treaty (Art 20). Its scope will be decided by the FABEC Council and communicated to the ANSPs. The ASB has been designated as FABEC accountable entity. In that sense, it will have to organise the breakdown of the targets per entity (i.e. ANSP and/or ACC) and will be responsible in case of not meeting the targets.	R: FC (FABEC Council) decision on scope FC decision on accountable entity(ies) A: F&PC ASB.
1.		Each FABEC Member State has the possibility to include specific	R: National targets

#	Reg	How	Result (R) and Actor (A)
		additional national targets in a national performance plan (NPP). The national plans of the FABEC Member States will be annexed to the FABEC Performance Plan (FPP). When defining national plan in addition to the FPP, the concerned Member States will inform their partners and will ensure that those additional targets are supportive to the achievement of the EU-wide and FABEC targets. When a target is set at FABEC level for dedicated FABEC KPI, a target for such KPI cannot be set in the NPP; both plans being strictly complementary.	A: Member States
1.		Whenever possible, FABEC States shall collectively submit their relevant input necessary for the development of EU-wide target. Where this is not possible, the relevant national input will be highlighted. F&PC will ensure the coordination of the input.	R: FABEC Input A: F&PC for KPAs other than safety] NSAC for KPA safety
2.1.		After having cooperated with EASA on Safety KPA, the EU-wide targets are proposed by the PRB on the basis of independent analysis, relevant inputs from the NSAs and the stakeholders	R: Proposal of EU-wide targets and alert thresholds A: F&PC NSAC
2.2.		The EU-wide targets are then adopted by the European Commission having first sought the opinion of the Single Sky Committee under a regulatory procedure.	R: Adopted EU-wide performance targets and alert thresholds A: EC Member States
3.1	Art 10.2 (a)	ANSPs business plans will be coordinated, and where possible consolidated in a common Business Plan and submitted to the Financial and Performance Committee (F&PC) by the AFG/PMG. Based on selected KPIs, the coordinated or common business plan(s) will contain possible contribution to the EU-wide targets and will describe how the ANSPs intend to contribute (i.e. initiatives) either individually and/or jointly to the achievement of the EU-wide and to the overall FABEC performance improvement.	R: Consolidated ANSPs business plans A: ANSPs AFG/PMG F&PC NSAC
3.2	Art 10.2 (a)	After review of the ANSPs coordinated or common business plan(s) by the F&PC and discussion with the AFG/PMG, the F&PC will make a high level recommendation to the FABEC Council of the possible progress that FABEC can make.	R: High level recommendation to FC A: F&PC for KPAs other than safety NSAC for safety KPA via F&PC
4.	Art 10.1	The F&PC will make sure that the FABEC Performance Plan is developed, taking due consideration of the support of the AFG/PMG. This is done in accordance with Art 5.2.b of the Regulation on Performance. In order to develop the FABEC Performance Plan, the F&PC may call for assistance of the FABEC States Bureau or any other resources (e.g. set up of a dedicated drafting team). F&PC is responsible for the delivery of the FABEC Performance	R: Initial FABEC Performance Plan A: F&PC NSAC AFG/PMG

#	Reg	How	Result (R) and Actor (A)
		Plan; NSAC is delivering the safety contribution of the FPP to the F&PC. F&PC integrates the safety part in the FPP. In case of different opinions of F&PC and NSAC on the safety performance a joint decision paper is forwarded to the FC, which ultimately decides on the matter.	
		The development of the FABEC Performance Plan will be done based on the following steps:	
4.1.		The F&PC may request the AFG/PMG to provide it with historical consolidated data on the FABEC KPIs. AFG/PMG has to validate the quality of data and to mention their sources.	R: Data to be used for the determination of baselines A: AFG/PMG
4.2.		On its request, the AFG/PMG provides the F&PC with the elements or criteria to be taken into account when determining the baselines. Where appropriate, the F&PC will have to be consistent with baselines used for setting the EU-wide targets.	R: Approved baselines. A: AFG/PMG F&PC NSAC
4.3		The initial proposed targets are defined by the group in charge of developing the FABEC Performance Plan in a pure FABEC mindset without taking account of national constraints so that each FABEC Member State has the same (achievable) FABEC objective. Specific indicators can be set at FABEC level either as KPIs or PIs. These initial targets are defined based on the information collected at ANSPs level or elsewhere. In any case, reasoning will be provided to the F&PC to enable it to understand the specific targets. Based on that information and on the views of each individual FABEC state, the F&PC defines the common FABEC targets and the incentives to be used for each KPI (financial, corrective measures or none). At any stage (i.e. development of indicators, their use as KPI or PI and the target setting), NSAC will provide inputs to the F&PC with regards to safety KPA .	R: Indicators Possible targets Incentive mechanism A: F&PC NSAC Drafting team
4.4		On basis of proposed baselines, the F&PC requests AFG/PMG to provide it with possible investments, measures and/or actions which contribute to the achievement of EU-wide and/or FABEC targets taking into account the interdependencies between KPIs and the nature of incentives to be applied.	R: Investments Performance initiatives A: AFG/PMG
4.5	Art 3.6.c	The F&PC may request opinions from the PRB on the initial target proposals, the indicative values (to be used yearly for monitoring reasons) and the appropriate level of alert thresholds (the process for activating the alert mechanism is described in the drawings in § 7.5, where it is translated into the FABEC environment).	R: Input from PRB A: F&PC PRB
4.6		After debate, the F&PC makes a proposal to the FABEC Council of the intended targets, appropriate incentives (or corrective measures) and alert thresholds to be used for the consultation with stakeholders. This proposal is also communicated to AFG/PMG.	R: A proposal of targets, incentives (or corrective measures) and alert thresholds A: F&PC

#	Reg	How	Result (R) and Actor (A)
			NSAC for safety KPA via F&PC PC
4.7.	Art 10.3 (f)	Inclusion of civil/military dimension in the Performance Plan will be ensured in liaison with the FMCG. When it is not possible for the F&PC to agree with the FMCG input, a common procedure to come to an eventual single point of view will be followed. If no single point of view can be found, then the issue has to be tabled at FABEC Council for decision.	R: Civil/Military inputs A: F&PC FMCG
4.8.		Inclusion of national plans in annex of the FPP.	R: national targets A: Member States
5	Art 5.2. c.iii	The F&PC defines a proposal to FC for the allocation of the targets to the accountable entity(ies). AFG/PMG will report back to F&PC on the breakdown of the targets per entity(ies) (i.e. ANSPs and/or ACC).	R: Decision proposal on target allocation Targets breakdown A: F&PC NSAC FC ASB AFG/PMG.
6.	Art 10.2 (b)	Stakeholders are, as defined in Art 10.3 of EC Regulation 549/2004: ANSPs, Airspace users' representatives, staff representatives, airport coordinators and others. They have to be formally identified before sending the invitation to the consultation. The consultation of ANSPs and users should take place at FABEC level. F&PC will define its consultation strategy which can take the form of several rounds. The documentation will be provided to the stakeholders as defined in the Regulation. The remarks of the stakeholders will be recorded and incorporated, where possible, in the final performance plan. In any case, feedback on the remarks raised at the consultation will be provided to the stakeholders.	R: Stakeholder consultation Documentation Consultation report Comments Response A: F&PC FC Stakeholders
7.		After consultation of the stakeholders, the FABEC Performance Plan is finalised with the input received during the consultation and validated by the F&PC and NSAC (for safety issues) on the basis of the performance regulation.	R: FABEC Performance Plan A: F&PC NSAC FC

7.3 Adoption of Performance Plans

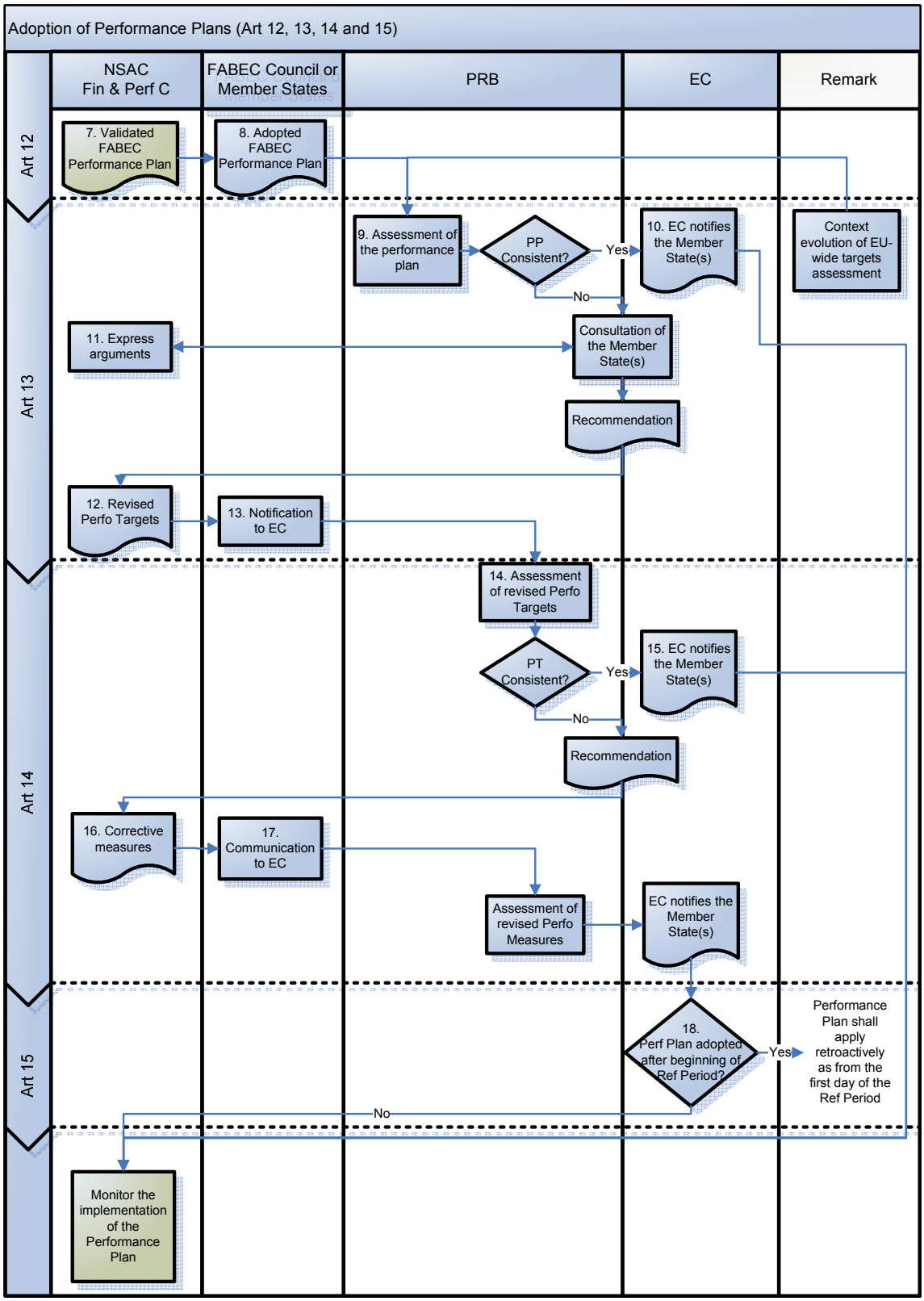


Figure 7 - Adoption of Performance Plans

Relevant Articles of the performance scheme regulation:

Art 12 - Upon proposal of the National Supervisory Authorities, Member States, at national or functional airspace block level, shall adopt and communicate to the Commission, at the latest six months after adoption of the European Union-wide targets, their performance plans containing binding performance targets.

Art 13.1 - The Commission shall assess the performance plans, their targets and in particular their consistency with, and adequate contribution to, the European Union-wide performance targets, on the basis of the criteria laid down in Annex III, taking into appropriate account the evolution of the context that may have occurred between the date of adoption of the European Union-wide targets and the date of assessment of the performance plan.

Art 13.2 - Where performance targets contained in a performance plan are found consistent with, and adequately contributing to, the European Union-wide targets, the Commission shall notify the Member State(s) thereof at the latest four months after reception of the plan.

Art 13.3 - Where performance target(s) contained in a performance plan is/are found not to be consistent with, and adequately contributing to, the European Union-wide targets, the Commission may, at the latest four months after reception of the plan and in accordance with the procedure referred to in Article 5 (2) of the framework Regulation, decide to issue a recommendation to the Member State(s) concerned to adopt revised performance target(s). Such decision shall be taken after consultation of the Member State(s) concerned, and shall identify precisely which target(s) has / have to be revised as well as the rationale of the Commission's assessment.

Art 13.4 - In such case, at the latest two months after the issuance of the recommendation, the Member State(s) concerned shall adopt revised performance targets, taking due account of the Commission's views, together with the appropriate measures for reaching those targets and shall notify the Commission thereof.

Art 14.1 - Within four months after notification, the Commission shall assess the revised performance targets and in particular their consistency with, and adequate contribution to, the European Union-wide performance targets, on the basis of the criteria laid down in Annex III.

Art 14.2 - Where the revised targets referred to in Article 13.4 are found consistent with, and adequately contributing to, the European Union-wide targets, the Commission shall notify the Member State(s) thereof at the latest four months after reception of the revised targets.

Art 14.3 - Where the revised performance targets and the appropriate measures are still not consistent with, and adequately contributing to, the European Union-wide targets, the Commission may decide, at the latest four months after reception of the revised targets and in accordance with the procedure referred to in Article 5(3) of the framework Regulation, that the Member State(s) concerned shall take corrective measures.

Art 14.4 - Such decision shall identify precisely which target(s) has / have to be revised and the rationale of the Commission's assessment. It may contain the level of performance expected for those targets in order to allow the Member State(s) concerned to take the appropriate corrective measures, and/or contain suggestions for such appropriate measures.

Art 14.5 - At the latest two months after the Commission's decision, the corrective measures adopted by the Member State(s) concerned shall be communicated to the Commission, together with the elements showing how consistency with the Commission's decision is ensured.

Art 15 - Performance plans or corrective measures adopted after the beginning of the reference period as a result of the implementation of the procedures set out in Articles 13 and 14 shall apply retroactively as from the first day of the reference period.

#	Reg	How	Result (R) and Actor (A)
8.	Art 12	The formal adoption of the FABEC Performance Plan is done by the FABEC Council (formalised by the signatures of the six FABEC Member States representatives). The F&PC will ensure the transmission of the FABEC Performance Plan to the European Commission on behalf of the FABEC Council. The F&PC will also provide a copy of the FABEC Performance Plan to the AFG/PMG.	R: Adopted FABEC Performance Plan Communication to the European Commission A: F&PC FC Member States
9.	Art 13.1	In its assessment the PRB could conclude that further clarifications on the content of the FABEC Performance Plan are necessary. The chairperson of the F&PC acts as focal point and will inform Member States and the chairperson of the NSAC [for the safety KPA] of its contacts with the PRB. On its initiative the F&PC supported by the NSAC for the Safety KPA could also contact PRB if deemed necessary both on content, for example for providing additional information, and on the assessment process progress, just for knowing how the assessment is progressing.	R: Questions/Answers A: PRB CM F&PC
10.	Art 13.2	If FABEC Performance Plan is assessed as being consistent with EU-wide targets, each Member State and/or the chairpersons of the F&PC and (via CM F&PC) NSAC will receive the EC notification. After acknowledgement, the F&PC will inform the FABEC Council, the NSAC, the ASB and the AFG/PMG on the notification received and starts the on-going monitoring after specific preparation, if necessary.	R: Reception of EC notification A: EU F&PC Member States
11	Art 13.3	If FABEC Performance Plan is assessed as being not consistent with EU-wide targets, then actions 12 to 16 have to be undertaken. Before the decision on the recommendation by the EC a consultation with concerned Member States will have to take place. This consultation will be done at F&PC level (in case of safety issues in cooperation with NSAC). The FABEC States will provide all necessary information needed by the F&PC during the consultation. F&PC will review the PRB assessment and will define the appropriate response and/or position to give or to take to the Commission. NSAC will advice F&PC if safety issues have been raised by EC. Response and/or position will be adopted by the FABEC Council. In case an EC recommendation is made at national level, Member States will share the information amongst themselves in order to keep each other informed.	R: Information or arguments A: F&PC NSAC Member States
12.	Art 13.3	FABEC intends that a recommendation made by the Commission is formally issued to the FABEC Council which mandates the F&PC to address it. At the same time the FABEC Council will inform the ASB on the EC recommendation. The F&PC will implement the recommendation in close cooperation with AFG/PMG or other	R: Revised performance targets A: F&PC NSAC FC ASB (AFG/PMG)

#	Reg	How	Result (R) and Actor (A)
		body designated by the ASB. If the issue is related to the Safety target, F&PC will liase with the NSAC, whereupon NSAC will advice on the safety issues. The ANSPs will have to update their Common Business Plan or national business plans with new relevant data and provide them to the F&PC for the target revision. In order to address properly the recommendations issued by the Commission, the F&PC will take the necessary organisational measures such as: - Decide on the opportunity to organize a meeting with PRB/EC - If necessary, set up of a team to take part in the possible consultation with the PRB/EC. - Take necessary arrangements to organise meetings and distribute the work within the team. - Specify whether the support of ANSPs and NSAC will be required. - Organisation of a meeting with the PRB/EC During the revision of the FPP the F&PC will continue to interact with PRB in case additional clarification or information on the recommendation could be necessary. The F&PC will also keep the FABEC Council, NSAC and AFG/PMG informed on the progress in the implementation of the EC recommendation.	PRB
13.	Art13.4	After revision of the FABEC PP, the F&PC will submit the revised plan [including the issues related to safety done by the NSAC] to the FABEC Council for adoption. The FABEC Council adopts the revised FPP (if necessary amended) either in a meeting or by correspondence when it is not possible or not necessary to meet. The adoption will be formalised by the signatures of the six FABEC Member States representatives. The F&PC will ensure the communication of the revised FABEC Performance Plan to the European Commission on behalf of the FABEC Council. The F&PC will also inform AFG/PMG.	R: Notification to EC of adopted revised FABEC Performance Plan A: F&PC NSAC FC Member States
14.	Art 14.1	During the assessment of the revised FPP, F&PC could take the initiative of contacting PRB both on content and on the progress of the assessment of the FABEC Performance Plan.	R: EC assessment A: PRB F&PC
15.	Art 14.2	If FABEC Performance Plan is assessed as being consistent with the EU-wide targets, each Member State and/or the chairperson of the F&PC will receive the EC notification. After acknowledgement, the F&PC will inform the FABEC Council, NSAC, the ASB and the AFG/PMG on the notification received and starts the on-going monitoring after specific preparation, if necessary.	R: EC notification A: EC F&PC Member States
16.	Art 14.3 Art 14.4	If FABEC Performance Plan is assessed as being not consistent with EU-wide targets, FABEC intends that a request	R: Corrective measures A: FC

#	Reg	How	Result (R) and Actor (A)
		by the Commission to take corrective measures is issued to the FABEC Council. The FABEC Council should forward the requested corrective measures to the F&PC for their implementation accompanied with other specific guidelines deemed necessary. At the same time the FABEC Council will inform the ASB on the corrective measures requested by EC. The F&PC will implement the corrective measures in close cooperation with AFG/PMG or other body designated by the ASB. In case of safety related issues NSAC will be involved. The ANSPs will have to update their Common Business Plan or national business plans with new relevant data and provide them to the F&PC for the target revision. During the revision of the FPP the F&PC will continue to interact with PRB in case additional clarification or information on the corrective measures seems necessary. The F&PC will also keep the FABEC Council and AFG/PMG informed on the progress in the implementation of the corrective measures requested by the EC.	F&PC NSAC ASB (AFG/PMG) Member States PRB
17.	Art 14.5	Corrective measures are taken following the same principle as the one used to revise targets in points 11, 12 and 13. The F&PC will submit the corrective measures to the FABEC Council for adoption. Depending on the effects of the corrective measures on the other parts of the performance plan, these other parts should also be revised.	R: Corrective measures adopted by FABEC Council A: F&PC NSAC PFC AFG/PMG PRB
18.	Art 15	The F&PC will ensure that corrective measures adopted are applied retrospectively. To do so, the F&PC will take contact with AFG/PMG.	A: F&PC AFG/PMG

7.4 On-going monitoring

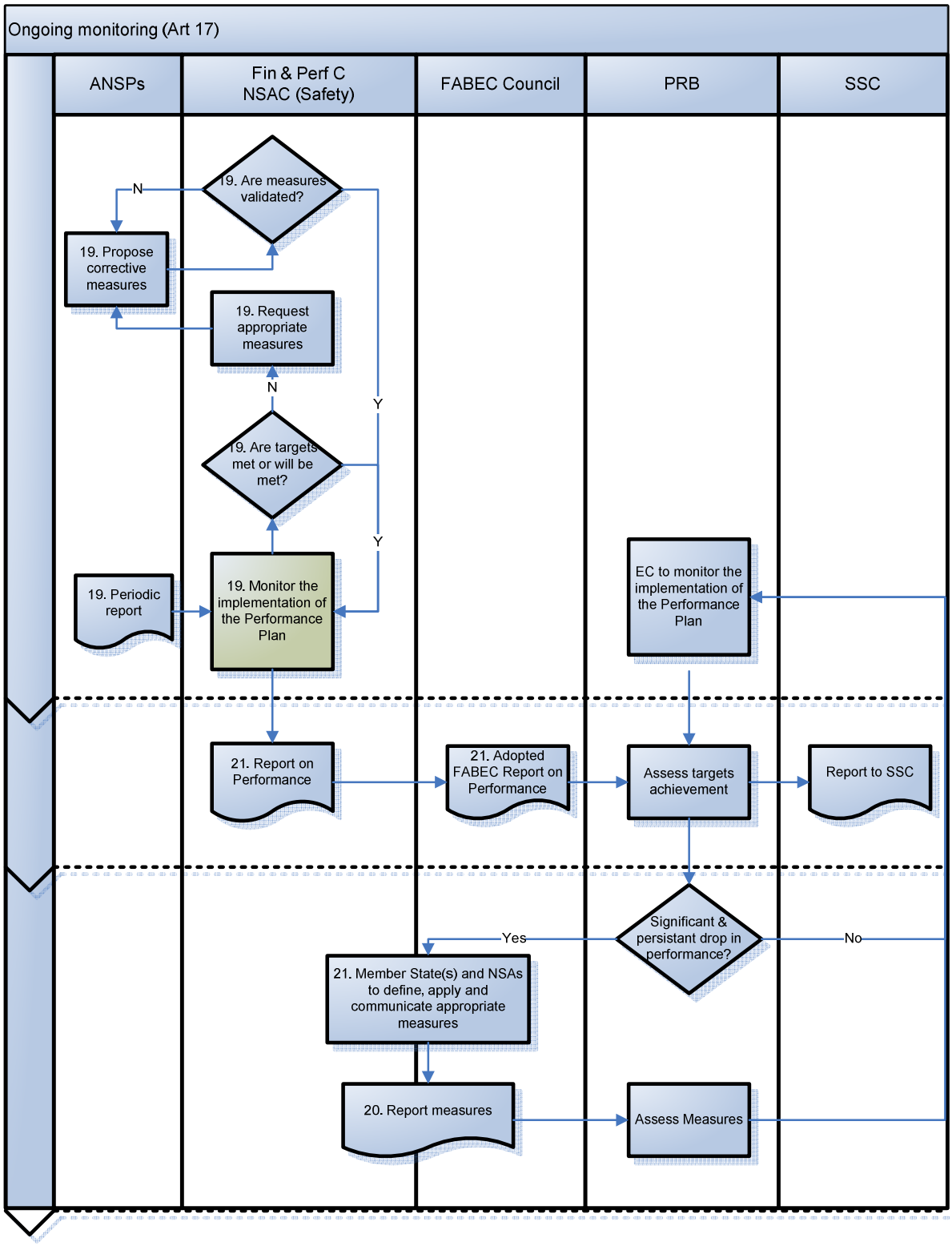


Figure 8 - On-going monitoring

Relevant Articles of the performance scheme regulation:

Art 17.1 – The National Supervisory Authorities, at national or functional airspace block level, and the Commission shall monitor the implementation of the performance plans. If during the reference period targets are not met, the national supervisory authorities shall apply the appropriate measures defined in the performance plan with a view to rectifying the situation. For this purpose the annual values in the performance plan shall be used.

Art 17.2 - Where the Commission witnesses a significant and persistent drop in performance in a Member State or a functional airspace block, affecting other States parties to the single European sky and/or the entire European airspace, it may request the Member States concerned and national or functional airspace block supervisory authority or body concerned to define, apply and communicate to the Commission appropriate measures to achieve the targets set in their performance plan.

Art 17.3 - The Member States shall report to the Commission on the monitoring by their national or functional airspace block supervisory authorities of the performance plans and targets at least on an annual basis and when performance targets risk not being achieved. The Commission shall report to the Single Sky Committee on the achievement of performance targets at least on an annual basis.

#	Reg	How	Result (R) and Actor (A)
19.	Art 17.1	The objective of the monitoring process is 1. to get a permanent and updated view of FABEC performances 2. to check that performance is on the right track with regard to the plan, 3. to identify the causes of underperformance, 4. to request AFG/PMG to formulate appropriate corrective actions / measures in case of underperformance, either at FABEC level or at individual ANSPs' level 5. to review and accept corrective actions / measures proposed by AFG/PMG, either at FABEC level or at individual ANSPs' level 6. to support the preparation of the target setting and/or the implementation of additional (K)PIs for the next reference period and 7. to report on the FABEC performance monitoring to FC and the EC. If necessary, F&PC may propose to set up an ad hoc thematic task force in order to address specific issues on , charging, airspace (non exhaustive list) liaising with the concerned committees. Safety related specific issues will be addressed by the NSAC and the Safety Performance Task Force.. In order to realize this monitoring process, the FABEC accountable entity (AFG/PMG on behalf of ASB) will provide regular reports depending on the indicator, and if necessary whenever an internal threshold established has been reached. The standard monitoring will take the form of management periodic reports and action plans provided by the AFG/PMG to the F&PC and other relevant FABEC Committees. The collection and analysis of the individual ANSPs'	R :Periodic report Action plans A: AFG/PMG F&PC NSAC

#	Reg	How	Result (R) and Actor (A)
		performance data (identifying causes of underperformance) will be done by AFG/PMG at FABEC level and at individual ANSP level. The results will be reported to the F&PC / NSAC for safety issues. However, monitoring of the cost efficiency performance is done at national level. The F&PC will aggregate the national cost efficiency performances in a global figure. The F&PC will ensure information to stakeholders and consultation, if appropriate, concerning corrective measures enhancing performance. The normal frequency of reporting can be summarized as follows: - ANSP level: monthly - AFG/PMG to F&PC/NSAC: quarterly - F&PC/NSAC to FC: twice a year - PFC to EC: yearly If performance deteriorates, the F&PC can review the reporting frequency. The minimum information which will be included in each report is described in annex 4. Additional information might be requested by the F&PC/NSAC [for safety issues] in order to collect comprehensive information for ensuring compliance with the objectives of performance plan. Depending on the situation, F&PC can consider the need to carry out performance investigations, with the aim to ensure, at working level, that reporting reflects correctly reality. In that respect, F&PC may request the support of the NSAs to realize the onsite visits. The F&PC can also call for support from any other FABEC States body. By proceeding investigations realized by the NSAs, the F&PC also intends to have a view of the improvement potential which will have to be discussed with AFG/PMG. When targets are not met or threaten not to be met after the implementation, the F&PC will request appropriate measures to AFG/PMG which will be validated by the F&PC. These appropriate measures may include the revision of the FABEC performance targets and/or the activation of the alert mechanisms as described in § 7.5 below. When the corrective actions taken by the ANSPs do not deliver the expected result in the agreed timeframe or do not succeed to meet the target, the F&PC will activate its incentive system and/or the alert mechanisms if alert threshold are reached.	

#	Reg	How	Result (R) and Actor (A)
		In addition to the KPIs defined in the EC Regulation on Performance and the additional KPIs at FABEC level, the on-going monitoring and reporting, to both States and PRB, shall include the monitoring of the Performance Indicators (PIs) mentioned in the FABEC Performance Plan to facilitate target setting on KPIs in RP2. Proper commitments of each FABEC Member State to the process of monitoring, reporting and the application of the incentives/corrective actions is ensured through the signing off of the FABEC Performance Plan by the States' representatives. ASB, AFG/PMG and the individual ANSPs are committed to the monitoring and reporting obligations.	
20.	Art 17.2	In case of significant and persistent drop in FABEC performance, the F&PC will ensure the liaison with the Commission in order to provide the necessary information on performance and the corrective actions. Either the corrective measures have already been taken, by the ANSPs and/or by the F&PC during the on-going monitoring, or still need to be taken. In the first case, the F&PC will provide the information to the Commission. In the second one, the F&PC will inform the ASB and the AFG/PMG on the Commission's request. ASB will be tasked to define corrective actions, and at least to provide the adequate information. They will be reviewed and accepted by the F&PC before being provided to the Commission. The measures related to safety will be coordinated with and reviewed by the NSAC.NSAC will advice the F&PC. In case of different opinions, a joint discussion paper will be sent to the FC.	R: Adoption of corrective measures EC request for corrective action(s) A: AFG/PMG F&PC NSAC PFC EC ASB
21.	Art 17.3	FABEC reports provided to the Commission will be prepared by the F&PC based on internal FABEC report provided by the ASB and the possible audits conducted. FABEC reports will be approved by FABEC Council before being provided to the Commission. NSAC will report on safety related information and issues to F&PC.	R: FABEC Report on performance monitoring to the Commission EU-wide performance Report. A: F&PC NSAC FC EC

7.5 Alert mechanisms

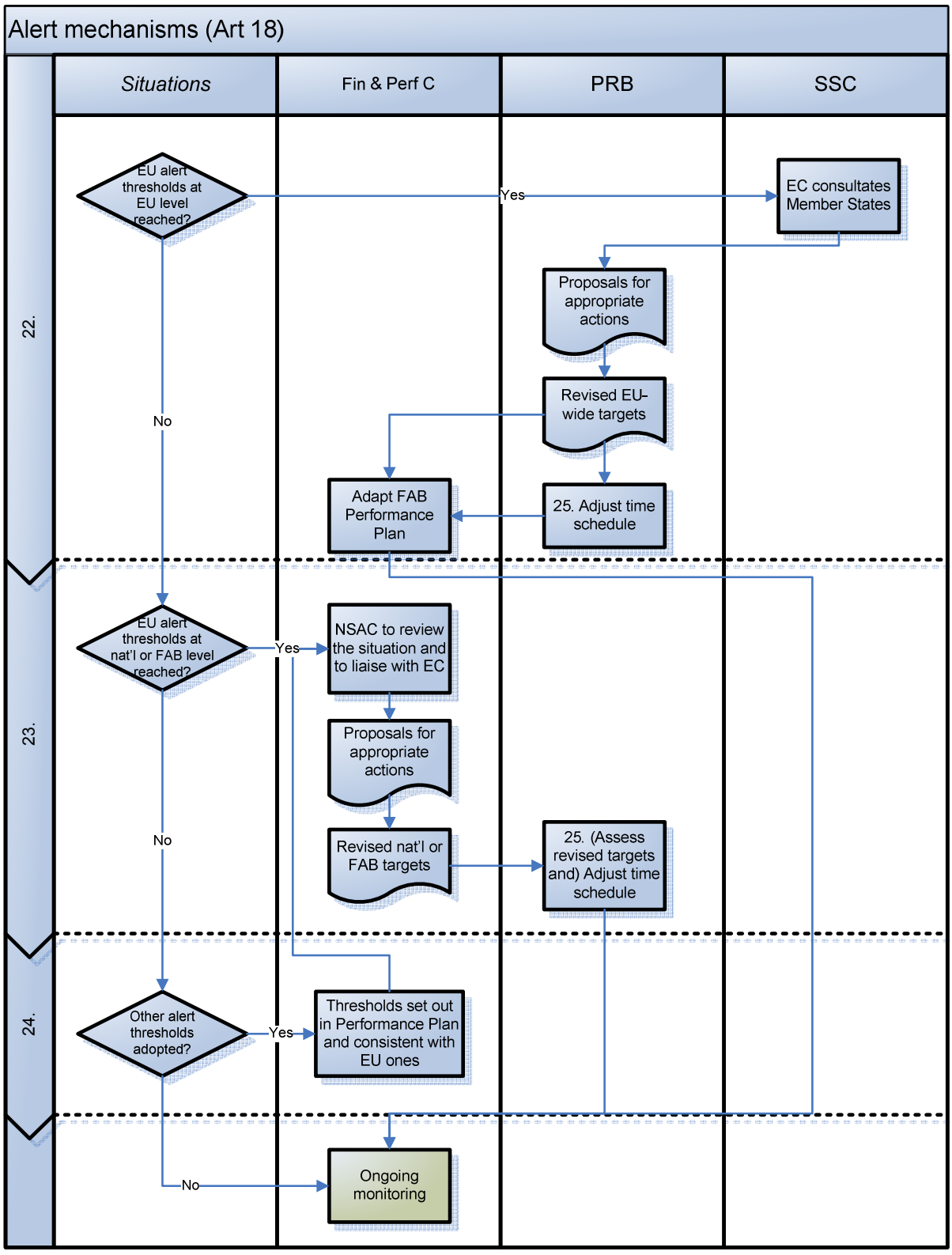


Figure 9 - Alert mechanisms

Relevant Articles from the performance scheme regulation:

Art 18.1 - Where, due to circumstances that were unforeseeable at the beginning of the period and are at the same time insurmountable and outside the control of the Member States, alert thresholds referred to in Article 9.3 is/are reached at European Union level, the Commission shall review the situation in consultation with the Member States through the Single Sky Committee and provide proposals for appropriate actions within three months, which may include the revision of the European Union-wide performance targets and as a consequence revision of the national or functional airspace block performance targets.

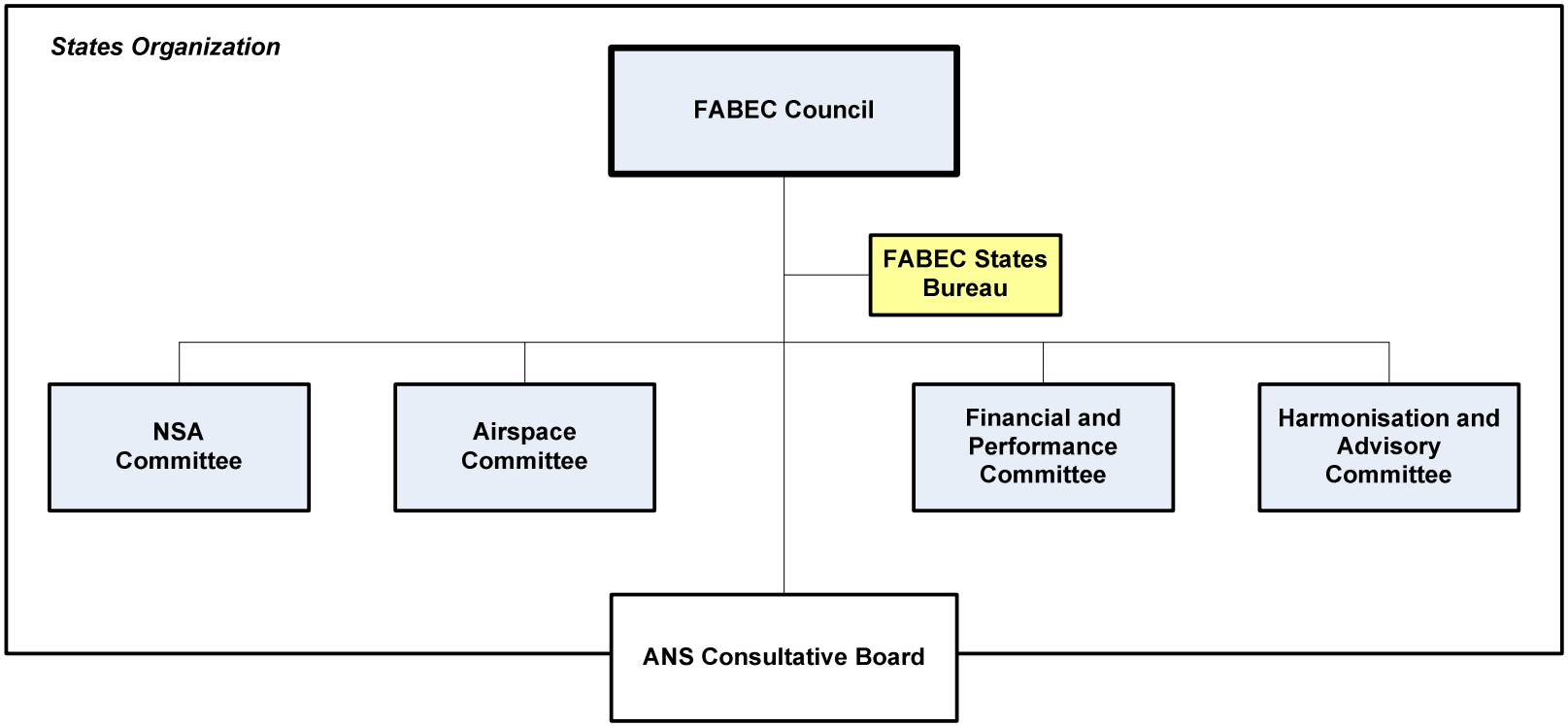
Art 18.2 - Where, due to circumstances that were unforeseeable at the beginning of the period and are at the same time insurmountable and outside the control of the Member States and the entities subject to the performance targets, alert thresholds referred to in Article 9.3 is/are reached at national or functional airspace block level, the national supervisory authority or body concerned shall review the situation liasing with the Commission and may provide proposals for appropriate measures within three months, which may include the revision of the national or functional airspace block performance targets.

Art 18.3 - Member States, at national or functional airspace block level, may decide to adopt alert thresholds different from the ones referred to in Article 9.3, in order to take account of local circumstances and specificities. In such case, these thresholds shall be set out in the performance plans and consistent with the thresholds adopted under Article 9.3. The deviations shall be supported by detailed justification. When these thresholds are activated, the process set out in paragraph 2 shall apply.

#	Reg	How	Result (R) and Actor (A)
22.	Art 18.1	FABEC will be represented by the F&PC with the support of the NSAC for safety related matters during the consultation process. As long as there are national performance contributions to the FABEC Performance Plan on cost efficiency and additional performance targets, individual Member States may also give their opinion on the alert thresholds on cost and traffic volumes.	R: Revised EU-wide targets Adapted FAB Performance Plan A: EU F&PC NSAC PFC Member States
23.	Art 18.2	F&PC, with the support of the NSAC for safety related matters, will be the counterpart to the Commission. As long as there are national performance contributions to the FABEC Performance Plan on cost efficiency and additional performance targets, individual Member States may also give their opinion.	R: Revised national or FAB targets A: F&PC NSAC Member States
24.	Art 18.3	F&PC will be the owner of the alert mechanism with the support of the NSAC for the safety related issues. As long as there are national performance contributions to the FABEC Performance Plan on cost efficiency and additional performance targets, individual Member States are the owner of the alert mechanisms on costs and traffic volumes.	R: Use of alert mechanisms A: F&PC NSAC
25.		Where the implementation of an alert mechanism entails revision of performance plans and targets,	

#	Reg	How	Result (R) and Actor (A)
		the Commission shall facilitate such revision through an appropriate adjustment of the time schedule applicable in accordance with the procedure referred to in Chapters II and III of this Regulation.	

ANNEX 1: FABEC STATES STRUCTURE



ANNEX 2: DETAILED ROLES AND RESPONSIBILITIES OF THE FABEC BODIES INVOLVED INTO FABEC PERFORMANCE

1. FORMAL BODIES INVOLVED INTO FABEC PERFORMANCE

a. *FABEC Council*

Art 21.1 SA - The FABEC Council is composed of the following representatives from each Contracting State: (a) one representative from the authority responsible for civil aviation in each Contracting State; and (b) one representative from the authority responsible for military aviation in each Contracting State.

Art 22.2 SA - In order to meet the commitments of the Contracting States under [the State] Agreement, the FABEC Council is tasked with taking decisions in order to (j) approve the performance plan and the related performance targets.

b. *Financial and Performance Committee*

Art 26 SA - The Financial and Performance Committee shall assist the FABEC Council on the implementation of Article 18 [charging] and, where applicable, Article 20 [Performance] and execute other tasks entrusted to it by the FABEC Council.

Article 20 of the State Agreement mentions the following activities:

- To implement of a FABEC performance scheme (Art 20.1)
- To apply a FABEC performance plan consistent with the EU-wide performance targets (Art 20.1)
- Performance plan shall include FABEC performance targets (Art 20.2)
- Performance plan shall include a FABEC incentive scheme (Art 20.4)
- The elaboration of the performance plan shall be subject to consultation with the stakeholders concerned (Art 20.7)
- To ensure that the implementation of the FABEC performance plan is monitored and that corrective measures are taken if necessary (Art 20.8)
- To perform periodical assessment (Art 20.9)

c. *NSAs Committee*

Art 28 SA - the National Supervisory Authorities Committee shall assist/advise the FABEC Council on the implementation of Article 19 [Supervision] and, where applicable, Article 20 [Performance] and execute other tasks entrusted to it by the FABEC Council.

In that context, NSAs Committee will be responsible with regard to performance to cooperate with the F&PC in the following activities:

- setting of targets on Safety
- supervising the safety targets achievement
- reviewing, when required, the safety related corrective action plans. See PRO 006 NSAC v0.9

To realise the work and to ensure an efficient coordination with the F&PC, a TF Safety performance is set up under the responsibility of the NSAC. This TF supports the work of both NSA and F&PC with regard to safety performance and to prevent inconsistency between safety KPA and the others.

d. *AFG/PMG*

The role of AFG/PMG in the process can be defined as follows:

- AFG/PMG is the representative of the ANSPs to the F&PC.
- Ensure that the FABEC Common Business Plan, if any, takes due consideration of the EU-wide targets
- Support the set up of the FABEC targets
- Propose the breakdown of the targets per entity for all KPAs for which targets are set at FABEC level
- Monitor the implementation of the FABEC Performance Plan
- Describe and maintain the ANSP Performance Management System consistent with the States Performance Process Description
- Report on performance progress to the F&PC
- Provide the adequate information when the alert thresholds have been met
- Submit proposals to F&PC in order to correct underperformance
- Follow-up to what extent the action plans related to the corrective measures have been taken and implemented
- Support the realisation of the audits
- Assess the expected performance contribution of FABEC ANSPs initiatives

It should be noted that AFG/PMG is a support body to ASB and has no decision power.

e. *ASB*

The role of ASB in the process can be defined as follows:

- Being accountable entity for meeting the targets allocated collectively to FABEC ANSPs.
- Approval of the ANSP performance monitoring and reporting process description
- Management of the process for the achievements of the targets and objectives on FABEC level acting as the accountable entity, representing the ANSPs at FABEC level
- Possibly to be further detailed on the basis of the SPTF#25 AFG/PGM presentation on the roles and responsibilities regarding FABEC ANSP performance management

2. INFORMAL FABEC BODY INVOLVED INTO FABEC PERFORMANCE

a. *FMCG*

Military actors are represented into the F&PC. They ensure the liaison with the different military bodies, current and future.

They will:

- Propose military targets on the KPA MME
- Ensure the reporting of the military KPIs
- Propose corrective actions when necessary
- Identify areas where conflicts with civilian ANSPs exist with the achievement of the civ/mil KPIs. They will have to be settled either at F&PC level or at AFG/PMG one.

ANNEX 3 - SUMMARY OF SELECTED KPIS AND PIS FOR RP1

The following table lists the selected indicators for RP1 and the correspondence with the approach described at section 6.

KPA	Indicator	KPI	PI	TBD[1]	Approach
Safety	Effectiveness of safety management		X		1
	Application of severity classification of RAT - Separation minima infringements - Runway incursions - ATM special technical events		X		1
	Reporting of Just Culture		X		1
Environ-ment	Average horizontal en-route flight efficiency	X[2]			N/A
	% of route extension represented in distance flown compared to great circle distance	X			3
	Approach procedures supporting Continuous Descent Operations (CDO) in place	X			3
	% of route extension of intra FABEC flights take-off and landing in the FABEC area of responsibility		X		3
	Effective use of civ/mil airspace structures			X	1
	Specific airport air navigation services (ANS)-related environment issues			X	1
	Continuous Descend Approach (CDA) conformity			X	3
Capacity	Average en-route ATFM delay per controlled flight	X			1
	% of controlled flights with an en-route ATFM delay of 15 min or more		X		3
	% of controlled flights with any en-route ATFM delay		X		3
	Total of ATFM delays attributable to terminal and airport air navigation services			X	3
	Additional time in the taxi out phase,			X	1
	Additional time for arrival sequencing and metering area (ASMA) for airports with more than 100.000 commercial movements per year.			X	3
Cost efficiency	Nat/FAB determined Unit Rate for en-route ANS	X			2
	Average FABEC determined UR for terminal ANS		X		3
	The determined en-route cost/revenue		X		3
	Total en-route cost per flight hour		X		3

[1] TBD means to be developed

[2] This indicator is managed at EU-wide level

KPA	Indicator	KPI	PI	TBD[1]	Approach
	Total economic cost per flight hour, per SU and per km		X		3
MME	Published SUA structure vs Optimum SUA dimension	X			3
	Percentage of SUA capacity allocated	X			3
	Total training time vs total airborne time	X			3
	Percentage of SUA capacity requested		X		3
	Percentage of SUA capacity used		X		3
	SUA time allocated vs time requested		X		3
	Average transit time		X		3

ANNEX 4: MINIMUM INFORMATION TO BE INCLUDED IN REPORTS ON THE IMPLEMENTATION OF PERFORMANCE PLAN

- Traffic development in comparison to the initial assumptions
- Safety related information to show achievement of the safety performance
- Capacity related information to show achievement of the capacity performance
- Environmental related information to show achievement of the environment performance
- Clear identification of the KPI and PI developments in relation to intermediate values and targets as set in the FPP
- Additional relevant developments of factors with potential influence on the implementation of the performance plan, such as changes on external assumptions together with their possible impact to performance targets meeting and rationales,
- Information on internal mitigation measures undertaken in a proactive way to avoid performance drop,
- Information on under performing causes and locations
- Information on follow-up of appropriate corrective measures formulated or accepted by F&PC
- Information and the status of FABEC individual initiatives taken by ANSPs

ANNEX 5 - LIST OF ACRONYMS

6SFG	6 States FABEC Group
AFG	ANSP FABEC Group
AFG/PMG	AFG/Performance Management Group
ANA	Administration de la Navigation Aérienne (GD Luxembourg)
ANSP	Air Navigation Service Provider
Art.	Article
ASB	ANSP Strategic Board
ATM	Air Traffic Management
CDA	Continuous Descent Approach
Civ/mil	Civil/military
CM	Chairman
DSNA	Direction des Services de la Navigation Aérienne (France)
DFS	Deutsche Flugsicherung (Germany)
EASA	European Aviation Safety Agency
EC	European Commission
EU	European Union
FAB	Functional Airspace Block
FABEC	Functional Airspace Block Europe Central
FMCG	FABEC Military Coordination Group
F&PC	Financial and Performance Committee
IR	Implementing Rules
KPA	Key Performance Area
KPI	Key Performance Indicator
LVNL	Luchtverkeersleiding Nederland (the Netherlands)
MME	Military Mission Effectiveness
MUAC	Maastricht Upper Area Centre
Nat'l	National
NSA	National Supervisory Authority
PFC	Provisional FABEC Council
PI	Performance Indicator
PRB	Performance Review Body
RP1	First Reference Period (2012-2014)
RP2	Second Reference Period
SA	State Agreement
SES	Single European Sky
SSB	States Strategic Board (FABEC body)
SSC	Single Sky Committee
TBD	To Be Defined
TF	Task Force
TFSP	Task Force States Performance, now provisional F&PC

FABEC Implementation Phase

FABEC ANSP Performance Management Process Description

EC Information

Attachment S.2

Co-financed by the European Union
Trans-European Transport Network (TEN-T)

DOCUMENT SUMMARY

Objective :	*This document describes the way FABEC ANSPs intend to organize the FABEC ANSP Performance Management, thus complying with a requirement laid down in the FABEC Performance Plan for RP1 and with a clarification requested by PRB regarding the notion of joint accountability at ASB level, as described in the Assessment Report of the FABEC Performance Plan for RP1.*		
Origin :	*Performance Management Group (AFG/PMG)*	**Audience** :	*Relevant FABEC bodies, especially ASB and Financial & Performance Committee*

Title :	FABEC ANSP Performance Management Process description
Reference :	*FABEC_ANSP_ Performance_Management_Process_description*

Version : 1 3	**Date** : 29/03/2012	**Status** : ☐ Draft ☑ Released	**Classification** : ☐ Public ☑ FABEC limited ☐ Addressees limited

DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
0.1	June 2011	Outline	Hans Plets (CM AFG/PMG)
0.5	September 2011	Comments received from ASB, States Performance Task Force, AFG/PMG, SC OPS, AFG and OWO	
0.8	20/11/2011	Elaboration of the approved outline	Hans Plets (CM AFG/PMG)
0.9	24/11/2011	Various comments received on version 0.8	Hans Plets (CM AFG/PMG)
1.0	25/11/2011	Final fine-tuning	Hans Plets (CM AFG/PMG)
1.1	29/11/2011	Remarks resulting from discussion with States	Hans Plets (CM AFG/PMG)
1.11	6/12/2011	Editorial change on Table 1, following ASB/34 decision	Hans Plets (CM AFG/PMG)
1.2	20/12/2011	Changes requested by F&PC	Hans Plets (CM AFG/PMG)
1.3	29/03.2012	Changes requested by F&PC	Mathieu Pleyers

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1 INTRODUCTION

The FABEC Performance Plan, as submitted to the European Commission (EC) on 29 June 2011, states:

> The FABEC Performance Plan describes how its implementation will rely on clear principles and efficient structures on State and on ANSP side, ensuring in particular a joint accountable entity, and State authorities acting as one. Processes description documents on both sides will be finalised in the second half of 2011. (p.15)

and

> The 7 ANSPs are considered as 'collectively accountable' for the targets and objectives on FABEC level, through the following measures:
>
> - An ANSP coordinator, initially the AFG/PMG, acting as the interface with the FABEC Financial and Performance Committee[1], shall deliver an ANSP process description document by the end of 2011.
> - This process shall ensure 'internal' monitoring, reporting and, as appropriate, proposing actions up to the level of specific ANSPs, or at FABEC level - either by their own initiative or on F&PC / NSAs' request
> - This process is managed by the ASB, 'the accountable entity' (in the absence of a legal entity representing the ANSPs at FABEC level). (p.52)

It should be noted that the (provisional) Financial & Performance Committee (F&PC) requires that the present document be consistent with the States Performance process description. Both documents are related to each other. Where the States Performance process description focuses on the processes of elaboration, adoption, monitoring of the performance plan and on the activation of alert mechanisms and the application of incentives, the ANSP performance management process description focuses on the processes of implementation of the performance plan (internal arrangement between ANSPs for the achievement of the collective targets including the arrangements for the internal monitoring, for reporting to F&PC, for internal corrective actions, etc).

Furthermore, the "PRB assessment report of Performance Plans for RP1 – FAB Europe Central" expresses the following concern (p.10):

> 1.6.14 **Key points on CAPACITY:**
>
> A. The PRB welcomes the development of a common FABEC Performance Plan with a joint capacity target and a collective accountability of all ANSPs but is concerned about the lack of transparency on capacity performance; the lack of clear accountabilities and processes regarding capacity performance monitoring; and how corrective actions will be handled.

2 SCOPE OF THE DOCUMENT

The FABEC ANSP Performance Management Process description intends to meet the above-mentioned requirements to put in place a process which ensures that:

- Internal monitoring and reporting on performance indicators for which targets have been set at FABEC level takes place;
- Actions are proposed if the achievement of a FABEC target is endangered.

In the version of the FABEC Performance Plan which was submitted to EC on 29 June 2011, targets have been set at FABEC level for three performance indicators, two belonging to the KPA

[1] End 2011 F&PC and NSAC agreed that for the Safety KPA the monitoring will be done by a dedicated TF under the NSAC. This Safety Performance TF [SAFP TF] will also take care of the liaison between NSAC and F&PC for performance issues.

Environment and one to the KPA Capacity (see Annex 1). As the latter is the only one of these three KPIs for which a target is also set at EU-wide level (OJ L 48, 23.2.2011), the discussion on joint accountability towards EC focuses on the management of this capacity target achievement.

The document is structured as follows. In Chapter 3, a set of key terms are defined. Chapter 4 then elaborates on the performance management process by identifying activities and workflows. In Chapter 5, a clear identification of roles and responsibilities per component of the performance management process is given. The main reference documents are listed in Chapter 6. Finally, some information is provided in annexes: an overview of the KPIs and PIs for RP1 (Annex 1), a list of abbreviations and acronyms (Annex 2) and an overview in matrix form of the roles & responsibilities for the components of the ANSP Performance Management Process (Annex 3).

3 DEFINITIONS OF KEY TERMS

1. **Key Performance Indicator** (KPI) versus **Performance Indicator** (PI): As defined in Art. 2 of the Implementing Rule (IR) on the performance scheme (Regulation (EU) No 691/2010), a PI is an "indicator used for the purpose of performance monitoring, benchmarking and reviewing", whereas a KPI "is a PI used for the purpose of performance target setting".

2. **Performance management** is not defined in the Single European Sky (SES) legislation. It is the ANSP's understanding that FABEC ANSP Performance Management relates to a set of activities which either focus on the overall performance at FABEC level or on an individual FABEC initiative. In either case, a closed performance loop is ensured. This notion is further elaborated in the next Chapter.

3. **(Performance) Monitoring** is defined in Art. 2 of Regulation (EU) No 691/2010 as "the continuous process of collecting and analysing data in order to measure the actual output of a system versus predefined targets". Still according to Regulation (EC) No 691/2010 , this is a responsibility of national supervisory authorities (NSAs). In Chapter 6 of the FABEC Performance Plan, it is further specified that "the monitoring will be carried out under the auspices of the Financial and Performance Committee (F&PC), assisted by the NSA Committee (NSAC) as appropriate". The F&PC will mainly monitor the implementation of the performance on the basis of the management periodic reports and actions plans provided by the AFG/PMG. Based on the reports, F&PC can request the individual NSAs to perform on-site visits inspections. However, as ASB is accountable to States for achieving the targets, an internal monitoring through the collection and analysis of the individual ANSPs' performance data (identifying causes of underperformance) will be done by AFG/PMG at FABEC level and at individual ANSP level. Therefore the monitoring responsibility in the sense of the EU Regulation Nr 691/2010 lies at the NSA's (represented by F&PC) while the term 'internal monitoring' refers to the monitoring by AFG/PMG, which is necessary in order to accomplish the ANSP's responsibility of implementing the performance plan and of being the accountable entity ([2]).

   .

4. **Corrective action plan** or **appropriate measures** are terms which refer to the incentive mechanism which is foreseen in the FABEC Performance Plan. As stated in Regulation (EU) No 691/2010, an incentive mechanism can be applied to encourage achievement of the FABEC targets over the reference period. FABEC Member States decided to have only incentives of a non-financial nature during RP1. It is indeed foreseen in Art. 11 (4), that "incentives on capacity targets may be of financial nature or of other nature, such as corrective action plans with

[2] Besides, the performance monitoring (i.e. data collection and analysis) of individual initiatives (e.g. an Airspace Design project) remains outside this formal legal context and can hence be the responsibility of a FABEC ANSP body

deadlines and associated measures". Two types of corrective actions have been identified in the FABEC Performance Plan. On one hand there are those taken during the reference period when FABEC targets set and/or the annual/reference values are threatened not to be met (described in chapter 6 of the plan) and on the other hand those which, in the sense of EU Regulation No 961/2010, will be activated in form of the incentive scheme when the targets set and/or the annual reference/indicative values are effectively not met (described section 3.2. of the plan). The rationale of the first type of measures is that action should be taken when a given FABEC target risks not to be met. The typical situation is that a target, which is bound to be achieved by the end of a reference period, in casu Dec. 2014, is broken down into intermediate yearly targets, in casu for Dec. 2012 and Dec. 2013. When States observe that such an intermediate target risks not to be met, the F&PC will request AFG/PMG to submit a corrective action plan containing appropriate measures to close the performance gap[3]. In the FABEC Performance Plan, this is stated as follows (p.57):

> In case the FABEC targets set and/or the annual/reference values are threatened not to be met the AFG/PMG report shall include any action which the ANSPs determine fit to react to weaker performance in the parts of FABEC mostly affected by delays, at FAB, national and/or ACC level, in order to remedy the situation.

According to this paragraph the ANSPs, when reporting to the F&PC, could come up with appropriate actions taken on their own initiative in order to bring the performance on the track. However the corrective actions could also be initiated by the States as foreseen in the following paragraph. It says (*ibid.*)

> The measures to be taken (by the States) shall take into account the seriousness of the risk of not meeting the targets set and/or the annual/reference values. They could include an activation of a higher frequency of monitoring and reporting of the FABEC ANSPs and, where appropriate, ACCs, which are causing the under-achievement of the targets or the annual/reference values.

4 THE PERFORMANCE MANAGEMENT PROCESS

4.1 Introduction

FABEC ANSP performance management consists of two main sub-processes: performance management of the overall FABEC performance and performance management at the level of an individual FABEC initiative. The rationale behind this two-fold approach is that FABEC initiatives were already up and running before targets were set. Another approach could have been to start with the target setting at FABEC level and subsequently define FABEC initiatives, each with its own set of performance targets and together adding up to the overall FABEC targets. In such an approach, only one process would have been required. The main reasons for choosing the combined approach are

1. The time lag between the start-up of FABEC (and hence the first FABEC initiatives) and the date at which target setting was concluded;
2. The mismatch between the duration of RP1 (only 3 years) and the typical lifecycle of a FABEC (operational) project (5-10 years);
3. The different levels of target setting (some at national level, others at FABEC level, still others at network level);

[3] It should however be noted that this breakdown into intermediate yearly targets is currently only foreseen for the Capacity target, not for the 2 FABEC targets on environment.

4. The important role that (already planned) local initiatives still play in contributing to the achievement of FABEC targets during RP1.

In the subsequent sections we discuss both sub-processes into more detail.

4.2 Performance management at FABEC level

The workflow depicting this sub-process is given in Figure 1, while a description in terms of RASCI[4] elements is to be found in the Section 5.2. We now comment each of the steps in the sub-process.

1. The (K)PIs (i.e. KPIs and PIs) and targets (at FABEC level) as laid down in the FABEC Performance Plan serve as starting point.

   A 1-to-1 mapping between FABEC targets and a list of FABEC initiatives is non-existing for 3 reasons. First of all, targets have been set quite close to the start of RP1, leaving no room for such a planning & implementation response. Secondly, most planned FABEC initiatives have a lead time which stretches beyond the (rather short) duration of RP1, making it impossible to contribute substantially during RP1. Thirdly, and closely linked to the previous point, performance contributions during RP1 are still essentially based on a wide range of local initiatives which were already planned well in advance to the target setting. Otherwise stated, performance-generating initiatives do exist in the FABEC area, but they have not been specifically designed for the achievement of the FABEC RP1 targets.

   In terms of the Deming circle terminology, we can therefore skip the “Plan” and “Do” part of the circle and directly jump to the “Check” part, at least as far as the process description on performance management at FABEC level is concerned.

2. The performance evolution of FABEC is monitored by collecting and analyzing data for all (K)PIs in view of the targets to be met by the end of the RP as well as the intermediate target values (if any). As described in Chapter 3, monitoring is an NSA responsibility, to which FABEC ANSPs give substance by putting in place a mechanism of “internal monitoring” and reporting. As part of this internal monitoring, FABEC ANSPs will also play a proactive role towards the FABEC Member States with respect to the alert threshold(s) referred to in Art. 9(3) of Regulation (EC) 691/2010.

   In line with the comments made in the previous point, in the context of performance management at FABEC level it is not required to keep track of individual initiatives, but rather of the overall contribution.

3. By collecting (K)PI data and subsequently analysing them, performance reports can be drafted at the required frequency. It should be stressed that this FABEC ANSP performance management process description only covers the reporting initiated by the FABEC ANSPs. Subsequent performance reporting from FABEC Member States to EC is described in the States’ performance process description.

   As decided at ASB/32, FABEC performance reporting will be based on the following 5 principles:

   Principle 1:

   Performance reporting is based on a three-level approach, with different levels of performance details communicated to

   - States ((provisional) Financial & Performance Committee / NSAC SAFP TF for the Safety KPA)

[4] see section 5.1. for clarification of the RASCI elements

- ASB
- Relevant Standing Committees

States receive the high-level overview (containing a sufficient level of detail in order to comply with their monitoring requirement). ASB would receive more details in order to steer FABEC ANSP performance management. Standing Committees (SCs) would receive the highest level of detail for the KPAs which are relevant to them. The rationale behind this approach is to avoid key messages getting lost by an overload of detailed graphs and tables. However, as soon as performance deficiencies are detected, more detailed information will be made available. More in general, whenever requested by either ASB or F&PC [or SAFP TF for the safety KPA], the required level of detail will be made available.

Principle 2:

Next to the additional level of detail, the ASB report will contain an exact copy of the report to be sent to the States. This has the drawback that information on KPIs is reported twice (once in the exact copy of what is sent to the States and another one with more detail), but it is considered of high importance that ASB is aware of which information will be sent to the States.

Principle 3:

The reports would contain both visualized data (graphs showing actual data, forecasted data (if applicable), targets) and text boxes with interpretation and recommendations.

Principle 4:

The dataset per indicator should be homogeneous and sufficiently detailed to enable sound analyses.

Principle 5:

Reporting to ASB and SCs will be done on a monthly basis. States only request a quarterly reporting, although they have foreseen in their performance process description that this frequency can be increased in case of performance deterioration.

It can be concluded that both the (provisional) Financial & Performance Committee and ASB (as well as relevant Standing Committees) can keep track of the performance evolution by means of regular performance reports containing data on indicators and accompanying analyses.

The question then arises whether the actual performance levels observed in the performance report are in line with the ones assumed to be met at that time for the achievement of the FABEC targets, by assessing the actual performance level against either the intermediate yearly target value or the value of a linear interpolation (see also Figure 2). If so, the process of monitoring and reporting just continues. If not, the next box in the workflow becomes activated.

4. A careful analysis should help identifying the causes for the gap between the actual and expected performance levels. As depicted in Figure 1, States can carry out their own analysis, in addition to the one from PMG.

Based on this analysis, it can be decided whether action needs to be taken. This is indeed not necessarily the case, as the performance gap might be explained in terms of a temporary event, an evolution which was not anticipated but doesn't require a FABEC ANSP action, an inadequate interpolation between initial performance levels and the performance targets (i.e. an inadequate expected performance level), etc.

If a corrective action plan is not required, the process of monitoring and reporting just continues. If, on the other hand, the need to take action is confirmed, i.e. when the analysis shows that the achievement of a target set at FABEC level does become endangered, the next box in the workflow becomes activated.

5. A corrective action plan request is triggered.

Chapter 6 (p.57 of FPP) allows the ANSPs to anticipate the States driven corrective action plan when, during their internal monitoring, they find that the targets or annual values risk not to be met.

The same chapter describes that the States driven corrective action plan will be activated when they find that the corrective measures initiated by the ANSPs do not bring the performance back on track.

States will also ask the ANSPs to elaborate a (State-triggered) corrective action plan proposal when a target or a yearly intermediate target value (if available) is not met (as described in section 3.2). This mechanism of FABEC Member States formally requesting ANSPs to submit a corrective action plan gives substance to the notion of a non-financial incentive mechanism.

As stated in Chapter 2, three targets have been set at FABEC level for RP1, one on capacity and two on environment. Further on 5 safety objectives have been set at FABEC level. Four of these objectives are applicable to the safety management reporting of the FABEC ANSPs.

Environment

While the FABEC target on capacity contributes to an EU-wide target, this is not the case for the environmental ones, for which there is no corresponding EU-wide KPI.

Ref. Regulation (EU) No 691/2010 (Annex 1, p.201/14) 'For the first reference period, there shall be no mandatory national/FAB environment KPI'.

In addition to that, the FABEC targets for environment are not broken down to intermediate values. Reversely, the environmental KPI for which there is an EU-wide target, the "average horizontal en-route flight efficiency" (Annex 1), is not broken down to the FABEC level. The FABEC Performance Plan therefore concludes (p.52)

> In case the EU-wide environment target would not be met after a given year, the initiative for corrective actions lies within the Network Manager.

Hence, a corrective action plan intended to mitigate the risk of missing the FABEC target essentially applies to this "average en-route ATFM delay per flight" indicator (see Annex 1), for which ASB has a joint accountability to meet the FABEC target.

Actually, the FABEC Performance Plan does foresee an incentive mechanism for the FABEC targets on environmental KPIs, but this can apparently only be triggered after the end of RP1, in case the targets have not been met (p.53). Anyway, if it would be triggered for these environmental KPIs, the set-up of the corrective action plan depends on which of the 2 KPIs causes the need for action. If it is on the "% of route extension represented in distance flown compared to great circle distance", this indicator is so interdependent with the EU-wide indicator, that a corrective action plan cannot be set up purely at FABEC level, but rather has to be tied together with a corrective action plan at Network Manager (NM) level. When action is required on the KPI "approach procedures supporting Continuous Descent Operations (CDO) in place", the corrective action plan will consist of an assessment of the situation at the relevant FABEC airports.

Capacity

The key element in coping with the joint accountability for the capacity target is to have a breakdown of the target onto ACC level. Formally speaking, the values at ACC level are not to be considered as targets – there is only one target, which is set at FABEC level – but as "reference values" or "delay expectations per ACC". At ASB/34, it was decided to set these reference values per ACC as given in Table 1.

These reference values have been derived in the following way: the internal FABEC bottom-up model calculates the expected delay (per ACC, per ANSP and for FABEC) based on the traffic forecast and on an assessment of the impact of planned capacity-enhancing initiatives. As the

result of this expected delay at FABEC level does not coincide with the FABEC target for 2014, the latter being more ambitious, the expected delay values per ACC are recalibrated based on the given FABEC delay target.

Centre	2012	2013	2014
Brussels	0.15	0.14	0.13
Bordeaux	0.17	0.14	0.12
Reims	0.37	0.33	0.27
Paris	0.37	0.33	0.27
Marseille	0.40	0.20	0.14
Brest	0.25	0.13	0.09
Langen	0.58	0.53	0.40
Munich	0.36	0.30	0.24
Karlsruhe	0.39	0.43	0.22
Bremen	0.24	0.22	0.18
MUAC	0.22	0.24	0.20
Amsterdam	0.20	0.19	0.16
Geneva	0.25	0.22	0.19
Zurich	0.28	0.25	0.21
FABEC	**0.77**	**0.68**	**0.50**

Table 1 – Reference delay values per ACC and ANSP, as well as FABEC intermediate and final targets for Capacity.

It should be stressed that the sole function of these reference values per ACC is to support ASB in deciding where action needs to be taken if the achievement of the capacity target becomes endangered. In that respect, it should be noted that

1) As long as the FABEC target is not endangered, no action is required even if the delay value at ACC X exceeds the reference value;

2) If the FABEC target is endangered, a choice may be made not to take action on the ACC(s) for which the reference value is exceeded, but rather mitigate this underperformance by increasing performance elsewhere.

The proposed corrective action plan should also include the possible effects of the corrective action on MME. That implies also the acceptance of the proposed corrective plan by FMCG. Eventually, the corrective action plan proposal becomes accepted, if needed after having been modified.

6. The corrective action plan now having been accepted, it needs to be implemented. As soon as this has been done, its effect needs to be monitored, bringing us back to the internal monitoring phase in the flow diagram.

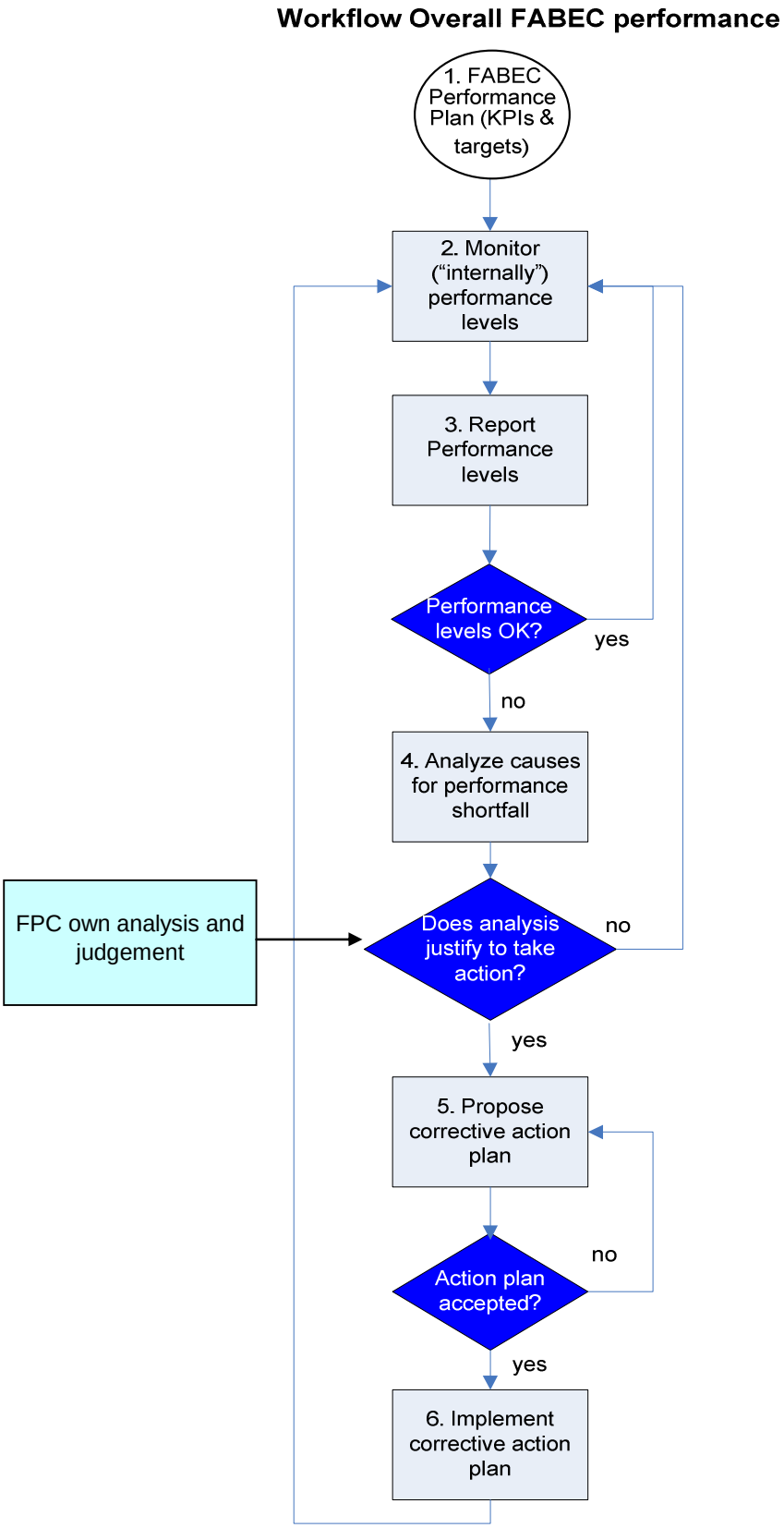

Figure 1 – Sub-process performance management at FABEC level

Figure 2 provides another way of visualizing this sub-process.

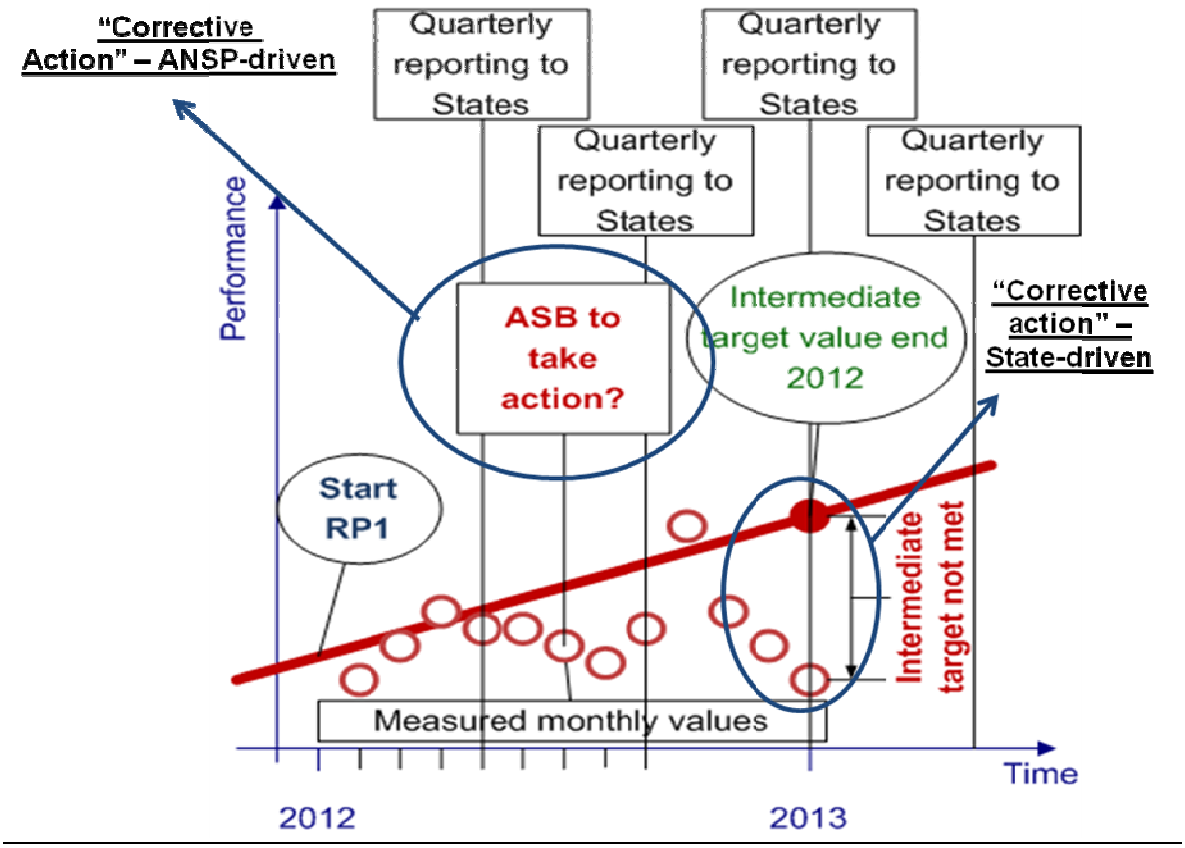

Figure 2 – Sub-process performance management at FABEC level, complementary to Figure 1.

4.3 Performance management at individual FABEC initiative level

The workflow depicting this sub-process is given in Figure 3, while a description in terms of RASCI elements is to be found in the Section 5.3. We now comment each of the steps in the sub-process.

1. The starting point of this process is a FABEC body proposing to launch a FABEC project that is deemed to have a positive impact on the FABEC performance levels. This typically results in the establishment of a Task Force (TF), Working Group (WG) or Project Team (PT).

2. In developing the design of this FABEC initiative, an initial performance assessment can help providing a first performance estimation and selecting between different design options.

3. Once the Project Team (or Task Force or Working Group) has come up with a sufficiently mature design, a performance case is developed. This case contains the relevant performance information such as the set of (K)PIs for the project, the project targets, a baseline representing the current performance levels, etc. It is elaborated by a Performance Case Drafting Team (PCDT), by means of an accepted performance case methodology.

   It is quintessential to the success of the performance case that the drafting team be unbiased, so that the resulting performance assessment for the FABEC initiative is as quantitative and evidence-based as possible.

   It should be noted that safety is normally assessed in a separate safety case, which can be combined with the performance case into one document.

The resulting document then serves as a decision-making support tool for ASB. To what extent other, non-performance-related criteria and considerations are assessed when deciding whether or not to move to implementation, remains outside the scope of this process.

The proposed corrective action plan should also include the possible effects of the corrective action on MME. That implies also the acceptance of the proposed corrective plan by FMCG.

In case the request for implementation of the FABEC initiative is not accepted by ASB, the initiative either needs to be redesigned, leading to a modified performance case, or gets terminated.

4. If accepted, the FABEC initiative is implemented by all parties involved.

5. Once implemented, the expected performance contribution of the initiative is assessed against the actual performance contribution. In contrast to the overall FABEC performance monitoring as described in the previous section, the initiative-based monitoring remains the responsibility of the FABEC ANSPs.

   If actual performance levels are lower than expected, it needs to be decided whether measures should be taken. This decision is not trivial, as the discrepancy between actual and expected performance levels may be explained in terms of the assumptions and uncertainties underpinning the performance case (e.g. regarding expected traffic).

6. If required, appropriate measures are proposed. They might need revision, until they eventually get accepted.

7. Once accepted, these measures are implemented and their effects will be monitored through the same internal monitoring process, as stated in section xxxx.

8. The States (F&PC) will regularly be informed on the status of individual FABEC initiatives and consulted especially when initiatives are initiated, before they are implemented or before a decision is taken not to implement them. The information on the status of the individual FABEC initiative could be part of the quarterly reports by AFG/PMG to F&PC.

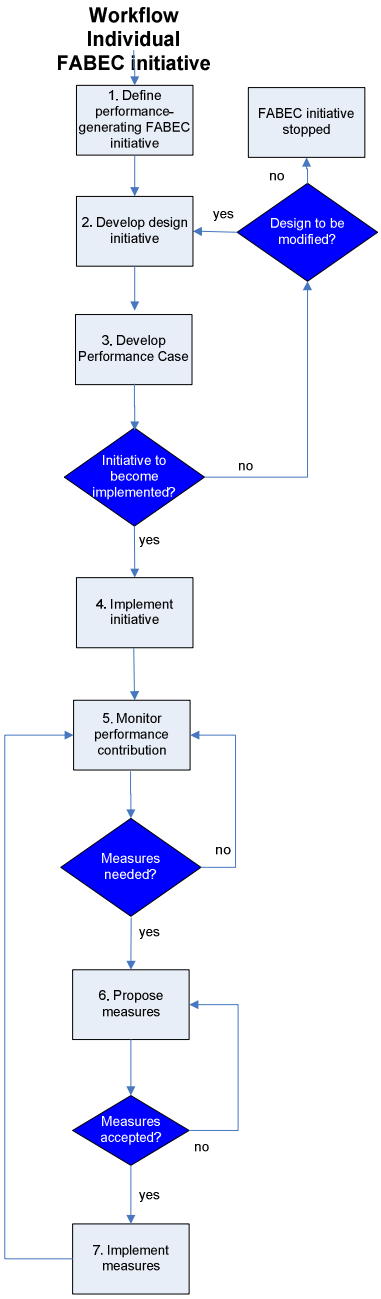

Figure 3 – Sub-process performance management at individual FABEC initiative level

5 IDENTIFICATION OF ROLES AND RESPONSIBILITIES

5.1 RASCI

In order to define clear roles and responsibilities, a RASCI scheme is being used. It describes the participation by various roles in completing tasks or deliverables constituting the FABEC ANSP performance management process. The following key responsibility roles can be discerned (together explaining the acronym RASCI):

Responsible: those who actually do the work to achieve the task

Accountable: the one who is ultimately responsible for the correct and thorough completion of the deliverable or task; the accountable approves work provided by the Responsible

Support: the one who assists in realizing the work e.g. by providing resources

Consulted: the one who provides input, gives opinion, recommendation or advise (two-way communication)

Informed: the one who is kept informed on the progress and the end-result (one-way communication)

In Section 5.2, the roles & responsibilities are described for the different components of the sub-process describing performance management at FABEC, whereas Section 5.3 completes this task with respect to individual FABEC initiatives

Finally, all roles and responsibilities described in this Chapter are summarized in a matrix in Annex 3.

5.2 Roles & responsibilities regarding performance management at FABEC level

1. Monitor overall FABEC performance contribution

   In the light of the discussion in Chapter 3, F&PC and (provisional) NSA Committee (for Safety) are accountable for monitoring, whereas AFG/PMG is responsible for it through its "internal monitoring". In collecting and analyzing data, AFG/PMG will rely on external bodies as EUROCONTROL's Performance Review Unit (PRU) and Capacity Enhancement Function (CEF), as well as on individual ANSPs. Specifically for the analysis part, SCs will need to be actively involved. ASB is kept informed of the findings, although this will already be ensured through the performance reporting. Likewise, external bodies such as EC and the Network Manager will be informed through the reporting of the FABEC Member States.

2. Report on overall FABEC performance levels

   Performance reporting within FABEC has been described in section 4.2. AFG/PMG is both accountable and responsible for these performance reports, while the addressees obviously become the informed party.

3. Identify causes for performance gap at FABEC level

   Whenever a potential performance shortfall is noticed, the relevant Standing Committee takes the responsibility to analyse the required root cause (if any). E.g. if the capacity/delay target seems to start deviating from the path that is supposed to lead to target achievement, SC OPS is responsible for identifying the cause for this. This will typically mean that SC OPS will consult AFG/PMG and the ACCs which face a capacity issue according to the reference values (cf. section 4.2) in order to carry out this analysis. F&PC is informed of this analysis, typically through the performance reporting, while ASB has the overall accountability regarding the outcome of the analysis.

4. Propose appropriate (ANSP-triggered or States-triggered) corrective measures

   In case of insufficient performance improvement with respect to a target set at FABEC level, a request to propose an action plan can be initiated by either ASB ("ANSP-triggered action") or (provisional) Financial & Performance Committee ("State-triggered corrective action").

   In both cases, the relevant SC (SC OPS for Capacity) is held responsible for proposing the action plan, whereas ASB is accountable for it.

   Furthermore, AFG/PMG, which receives the request for proposing appropriate measures, is to be consulted, whereas ACCs (i.e. the ones directly concerned) support SC OPS.

   It may also be required to consult the Network Manager, in view of the following statement in the FABEC Performance Plan (p.53):

Where appropriate, links between this action plan and any other action plan as may be decided in the EUROCONTROL and/or the EU Network Management framework, shall be described;

If the proposed corrective action plan is ANSP-triggered, F&PC is kept informed. If it is State-driven, F&PC provides support and receives the submitted plan.

In the latter case, the FABEC Performance Plan (p.52) specifies that the locations and causes of the sub-performance should be identified. In the set-up of this process, this information should already be available when this States' request arrives. Furthermore, it is asked to elaborate this action plan "together with associate timelines, taking due account of the other developments planned at both national and FABEC level to achieve the required performance levels". Finally, the FABEC Performance Plan states that the impact of the proposed corrective actions on other targets should be assessed.

As mentioned in section 4.2, this essentially applies to the capacity/delay KPI. As for the environmental FABEC KPIs, proposing appropriate measures for the target on "% of route extension represented in distance flown compared to great circle distance" would essentially be dealt with by the Network Management Board (NMB), while for the "Approach procedures supporting Continuous Descent Operations (CDO) in place", it is assumed that individual ANSPs concerned are to provide a status report.

5. Decide on proposed corrective action plan

1) ANSP-triggered

An ANSP-triggered corrective action plan is approved by ASB, which is hence both responsible and accountable for the decision. The proposed corrective action plan should also include the possible effects of the corrective action on MME. That implies also the acceptance of the proposed corrective plan by FMCG. F&PC is also informed on the action plan trough the (quarterly) reports by AFG/PMG.

In the decision-making process, ASB will consult both the relevant SC and the (affected) individual ANSP(s), whereas AFG/PMG and other expert-level bodies can provide analyses or assessments to support it. In view of the remark made under 4., support from the Network Manager might be needed.

2) States-triggered

A States-triggered corrective action plan is approved by F&PC, which is hence both accountable for the decision, while ASB is responsible. The other roles remain the same as under 1).

6. Implement (ANSP-triggered or States-triggered) corrective action plan

Regarding the implementation of the corrective action plan, regardless of who triggered it, ASB is accountable for a correct and timely implementation, while the affected ANSPs are responsible. These ANSPs can consult the relevant SC in view of this implementation, while AFG/PMG is kept informed in view of its internal monitoring activity.

The role of the FABEC Member States will depend on the specific measures. In a general way, it can be stated that F&PC is kept informed, but in some cases, this might be complemented by a much stronger role for the (provisional) Airspace Committee.

Once again, in view of the remark made under 4., the Network Manager might need to be informed.

5.3 Roles & responsibilities regarding performance management at individual FABEC initiative level

1. Define performance-generating initiative

An initiative to increase FABEC performance is typically proposed by a group of experts in a given domain. The relevant SC will take responsibility for this initiative. Although a SC is generally not the author of an improvement idea, it takes up responsibility for creating a TF, WG or PT to further elaborate it. ASB remains accountable for all initiatives being defined at FABEC level.

In order to give substance to its responsibility, the SC will consult the newly established body. AFG and AFG/PMG need to be kept informed: the former in view of its five years work programme [5YWP], the latter to timely organize itself for a possible future performance assessment.

Next, F&PC requires States to be kept also informed in a fairly advanced stage, which can e.g. be achieved through the monthly progress reports.

In some cases external bodies (Network Manager, Route Network Development Sub-Group (RNDSG), etc.) should also be informed when the initiative will affect the network.

Finally, support at individual ANSP level will be required to staff the new body with the right experts.

2. Develop design initiative

Once the TF, WG or PT is up and running, a design of the initiative is elaborated. Here, the work is done by this body, which is hence responsible, while the relevant SC is accountable for the design. As it will typically affect individual ANSPs, they need to be consulted. The same applies to external bodies whenever the network performance will be influenced. External parties which should be consulted are the representatives of both civil and military airspace user groups. Another body which is consulted is the PCDT which was introduced in section 4.3. This team encompasses expertise of the project itself as well as all performance areas which are relevant for the initiative. It is composed of members of the PT, WG or TF and AFG/PMG, and reports to the latter. At this stage, the PCDT might already make an initial performance assessment which can affect the development of the design.

The typical set-up in a FABEC airspace design project can be visualized as follows:

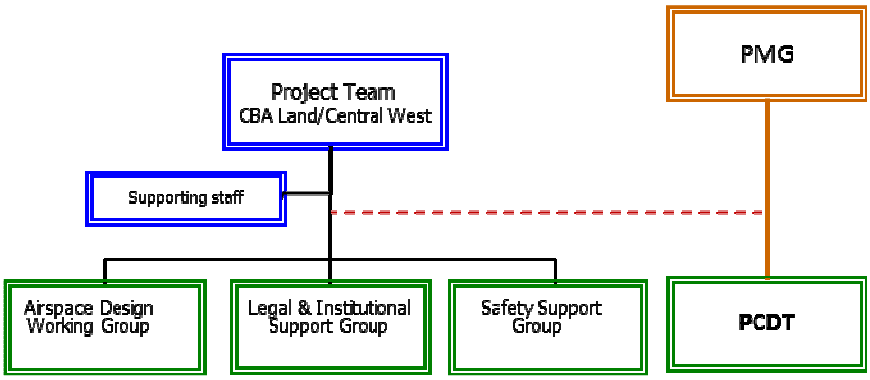

Figure 4 – Typical set-up of an Airspace Design project (in casu CBA Land / Central West).

The already identified bodies which need to be kept informed remain informed, except for the external bodies (if any), which can become consulted.

3. Develop Performance Case

The performance case itself is clearly the responsibility of the PCDT, while AFG/PMG is accountable for it, as follows from Figure 4. The PCDT heads for an evidence-based, unbiased approach and explicitly neglects other relevant but non-performance-related criteria.

The project team itself is of course closely involved (i.e. consulted), while also with the relevant Sc a two-way interaction takes place during the development of the performance case.

The PCDT will need support from the ANSPs associated with the project.

States and AFG remain informed.

Once the Performance Case is finalized, it is communicated to ASB, which can use it as a support tool for deciding on the implementation of the initiative. It should however be noted that whenever the FABEC initiative requires airspace changes to be carried out, the ultimate decision lies with the FABEC Member States.

4. Implement initiative

The accountability for implementing the FABEC initiative lies with ASB, while the affected ANSPs will have to do the implementation work and are thus responsible. All of this is done in consultation with the relevant SC. All other previously identified actors are to be informed about the implementation.

5. Monitor performance contribution initiative

As mentioned in section 4.3, the initiative-based monitoring is the responsibility of the FABEC ANSPs. More precisely, it will be carried out by AFG/PMG, which is both accountable and responsible for it. In most cases, AFG/PMG will need support from PRU and CEF. The relevant SC and working level body are informed on the performance progress of their initiative.

6. Propose measures in case of insufficient performance contribution of initiative

If the monitoring reveals the need for elaborating remedial measures, the PT (/ TF / WG) takes the responsibility for this. The PCDT can be re-activated to provide support for this, while AFG/PMG and F&PC are kept informed.

7. Implement approved measures for initiative

As for the implementation of the measures, just like the implementation of the initiative itself (4.), ASB is accountable (since it is a FABEC initiative), while the affected individual ANSPs take responsibility. The other roles also remain the same as for the implementation of the initiative.

6 REFERENCE DOCUMENTS

- Commission Regulation (EU) No 691/2010 of 29 July 2010 laying down a performance scheme for air navigation services and network functions and amending Regulation (EC) No 2096/2005 laying down common requirements for the provision of air navigation services *(OJ L 201, 3.8.2010*, p.1–22), amended by EU 1216/2011 xxxxx
- Commission Decision of 21 February 2011 setting the European Union-wide performance targets and alert thresholds for the provision of air navigation services for the years 2012 to 2014 (*OJ L 48, 23.2.2011*, p.16–18)
- FABEC Performance Plan 2012-2014 (as submitted on 29 June 2011), including the addendum (as submitted xxxx Januari 2012)
- FABEC States Performance Process Description (v 2.1)
- PRB Assessment Report of Performance Plans for RP1 – FAB Europe Central

ANNEX 1 – OVERVIEW OF SELECTED KPIS AND PIS FOR RP1

KPA	Indicator	KPI directly managed at EU-wide level	KPI managed at FABEC level	KPI managed at national level	PI	To Be Developed
Safety	Effectiveness of safety management				X	
	Application of severity classification of RAT - Separation minima infringements - Runway incursions - ATM special technical events				X	
	Reporting of Just Culture				X	
Environment	Average horizontal en-route flight efficiency	X				
	% of route extension represented in distance flown compared to great circle distance		X			
	Approach procedures supporting Continuous Descent Operations (CDO) in place		X			
	% of route extension of intra FABEC flights take-off and landing in the FABEC area of responsibility				X	
	Effective use of civ/mil airspace structures					X
	Specific airport air navigation services (ANS)-related environment issues					X
	Continuous Descend Approach (CDA) conformity					X
Capacity	Average en-route ATFM delay per controlled flight		X			
	% of controlled flights with an en-route ATFM delay of 15 min or more				X	
	% of controlled flights with any en-route ATFM delay				X	
	Total of ATFM delays attributable to terminal and airport air navigation services					X
	Additional time in the taxi out phase,					X
	Additional time for arrival sequencing and metering area (ASMA) for airports with more than 100.000 commercial movements per year.					X
Cost efficiency	Nat/FAB determined Unit Rate for en-route ANS			X		
	Average FABEC determined UR for terminal ANS				X	
	The determined en-route cost/revenue				X	
	Total en-route cost per flight hour				X	

KPA	Indicator	KPI directly managed at EU-wide level	KPI managed at FABEC level	KPI managed at national level	PI	To Be Developed
	Total economic cost per flight hour, per SU and per km				X	
MME	Published SUA structure vs Optimum SUA dimension			X		
	Percentage of SUA capacity allocated			X		
	Total training time vs total airborne time			X		
	Percentage of SUA capacity requested				X	
	Percentage of SUA capacity used				X	
	SUA time allocated vs time requested				X	
	Average transit time				X	

ANNEX 2 - LIST OF ABBREVIATIONS

ACC	Area Control Centre
AFG	ANSP FABEC Group
ANA	Administration de la Navigation Aérienne (ANSP GD Luxembourg)
ANSP	Air Navigation Service Provider
Art.	Article
ASB	ANSP Strategic Board
ATFM	Air Traffic Flow Management
ATM	Air Traffic Management
CDA	Continuous Descent Approach
CEF	Capacity Enhancement Function
Civ/mil	Civil/military
CM	Chairman
DSNA	Direction des Services de la Navigation Aérienne (ANSP France)
DFS	Deutsche Flugsicherung (ANSP Germany)
EC	European Commission
EU	European Union
FAB	Functional Airspace Block
FABEC	Functional Airspace Block Europe Central
F&PC	Financial and Performance Committee
IR	Implementing Rules
KPA	Key Performance Area
KPI	Key Performance Indicator
LVNL	Luchtverkeersleiding Nederland (ANSP Netherlands)
MME	Military Mission Effectiveness
MUAC	Maastricht Upper Area Centre
NM	Network Manager
NMB	Network Management Board
NSA	National Supervisory Authority
PCDT	Performance Case Drafting Team
PI	Performance Indicator
PMG	Performance Management Group
PRU	Performance Review Unit
PRB	Performance Review Body
RNDSG	Route Network Development Sub-Group
RP1	First Reference Period (2012-2014)
SC	Standing Committee
SES	Single European Sky
SPM-SG	Safety Performance Management Sub-Group
SUA	Special Use Airspace
TF	Task Force
UR	Unit Rate
SPTF	States Performance Task Force
WG	Working Group

ANNEX 3 – OVERVIEW OF ROLES AND RESPONSIBILITIES

A. Overall FABEC performance

	ASB	AFG/PMG	Relevant SC	Working bodies (TFs, WGs, OWO, AD Project Teams, …)	Individual ANSPs (foster ANSP, ACC, …)	States' Committee (Financial & Performance, Airspace, NSA)	External party (CEF, EC, PRB, PRU, Network Manager, NMB, RNDSG, …)
Monitor overall FABEC performance contribution	I	R	S,C		S	A	S,I
Report on overall FABEC performance levels	A	R	I			I	
Identify causes for performance gap at FABEC level	A	C	R		C	I	
Propose appropriate corrective measures							
1) ANSP-triggered	A	C	R		S	I	C
2) States-triggered	A	C	R		S	C	C

	ASB	AFG/PMG	Relevant SC	Working bodies (TFs, WGs, OWO, AD Project Teams, …)	Individual ANSPs (foster ANSP, ACC, …)	States' Committee (Financial & Performance, Airspace, NSA)	External party (CEF, EC, PRB, PRU, Network Manager, NMB, RNDSG, …)
Decide on proposed corrective action plan							
1) ANSP-triggered	A,R	S	C	S	C	C	S
2) States-triggered	R	S	C	S	C	A	
Implement (ANSPtriggered or Statestriggered) corrective action plan	A	I	C		R	I	I

It is suggested to include a general remark to the effect that the States are also Accountable, in case the proposed corrective measure affects the States' authorities, responsibilities, etc.

B. Initiative-based performance

	ASB	AFG	AFG/PMG	Performance Case Drafting Team	Relevant SC	Working bodies (TFs, WGs, OWO, AD Project Teams, …)	Individual ANSPs (foster ANSP, ACC, …)	States' Committee (Financial & Performance, Airspace, NSA)	External party (CEF, EC, PRB, PRU, NM, NMB, RNDSG, airline reps., …)
Define performance-generating initiative	A	I	I		R	C	S	I	I
Develop design initiative			I	I	A	R	C	C	C
Develop Performance Case	I	I	A	R	C	C	S	I	
Implement initiative	A	I	I	I	C	I	R	I	I
Monitor performance contribution initiative			A,R		I	I			S
Propose measures in case of insufficient performance contribution of initiative			I	S	A	R		C	
Implement approved measures for initiative	A	I	I	I	C	I	R	I	I

FABEC Implementation Phase

FABEC Performance Plan
RP1 : 2012 – 2014
(Common part)

EC Information

Attachment S.3

Co-financed by the European Union
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DOCUMENT SUMMARY

Objective : *This document describes the FABEC Performance Plan for the first reference period (2012-2014) compliant to the EU 691/2010 Annex 2 template.*	
Origin : *AFG_TF States Performance*	**Audience** : *FABEC*

Title : FABEC Performance Plan RP1
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1.0	28/06/2011	FABEC Performance Plan for Submission to the European Commission	Aleks Vasilev

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DOCUMENT SIGN OFF SHEETS

Federal Republic of Germany

Bundesministerium
für Verkehr, Bau
und Stadtentwicklung

FABEC

[TO BE INSERTED BY JUNE 28TH, 2011]

Federal Republic of Germany Bundesrepublik Deutschland	[INSERT NAME/Function]

Kingdom of Belgium

[TO BE INSERTED BY JUNE 28TH, 2011]

Kingdom of Belgium	[INSERT NAME/Function]

French Republic

[TO BE INSERTED BY JUNE 28TH, 2011]

French Republic	[INSERT NAME/Function]

Grand Duchy of Luxembourg

[TO BE INSERTED BY JUNE 28TH, 2011]

Grand Duchy of Luxembourg	[INSERT NAME/Function]

The Netherlands

[TO BE INSERTED BY JUNE 28TH, 2011]

The Netherlands	[INSERT NAME/Function]

Swiss Confederation

[TO BE INSERTED BY JUNE 28TH, 2011]

Swiss Confederation	[INSERT NAME/Function]

TABLE OF ABBREVIATIONS

ACC	Area Control Center
ADM	Average en-route Delay per Movement
ANS	Air Navigation Services
ANSP	Air Navigation Service Provider
AoR	Area of Responsibility
ARN V7	ATS Route Network Version 7
ASB	ANSP Strategic Board
ASMA	Arrival Sequencing and Metering Area
ATC	Air Traffc Control
ATFM	Air Traffic Flow Management
ATFCM / ASM	Air Traffic Flow and Capacity Management / Airspace Management
ATM	Air Traffic Management
ATS	Air Traffic Services
CASA	Computer Assisted Slot Allocation
CDA	Continuous Descent Approach
CDO	Continuous Descent Operation
CEF	Capacity Enhancement Function
CFMU	Central Flow Management Unit
CRCO	Central Route Charges Office
DUR	Determined Unit Rate
E3	European Commission, EUROCONTROL and EASA
EASA	European Aviation Safety Agency
EC	European Commission
EU	European Union
FAB	Functional Airspace Block
FABEC	Functional Airspace Block Europe Central
FIR	Flight Information Region
FPC	Finance and Performance Committee
FUA	Flexible Use of Airspace
HLIB	High Level Implementation Board
ICAO	International Civil Aviation Organization
LSSIP	Local Single Sky Implementation
KPA	Key Performance Area
KPI	Key Performance Indicator
Mil CG	Military Coordination Group
MoT	Ministry of Transport

MUAC	Maastricht Upper Airspace Center
na	not applicable
NSA	National Supervisory Authority
NSAC	NSA Committee
PI	Performance Indicator
MET-ANSP	Meteorological ANSP
MME	Military Mission Effectiveness
PRB	Performance Review Board
PRU	Performance Review Unit
RAT	Risk Analysis Tool
RI	Runway Incursion
RP	Reference Period
SES	Single European Sky
SESAR	Single European Sky ATM Research Program
SFR	Swiss Francs
SMI	Separation Minima Infringement
SSB	States Strategic Board
SU	Service Unit
SUA	Special Use of Airspace
TF	Task Force

TABLE OF FIGURES

EXECUTIVE SUMMARY

This FABEC Performance Plan has been jointly established by the six States participating in the FABEC in order to better contribute to the EU performance. Targets have been set at FABEC level where this was feasible.

It addresses on FABEC level the Key Performance Areas of Safety, Environment, Capacity and Military Mission Effectiveness. Cost-efficiency target is addressed at national level.

Besides the adoption of an additional KPA (MME), a number of indicators have been adopted on top of those provided by regulation (EU) 691/2010, in order to further improve the performance in the second reference period.

The plan contains key performance indicators (with a target) and performance indicators (without a target), as follows:

AREA	INDICATORS		
	Key performance indicators	**Performance indicators**	**Indicators to be developed and monitored**
Safety	-	3	-
Environment	2	1	-
Capacity	1	2	3
Cost efficiency		4	
Military Mission Effectiveness	3*	4	-

** indicators to be monitored at national level, and targets to be adopted according to national decisions.*

Figure 1 FABEC Indicators

In addition, this plan sets 5 qualitative safety objectives at FABEC level.

The plan was finalised after workshops and a stakeholder consultation meeting with representatives of users, ANSPs, airports and trade unions, taking due account of their comments and suggestions.

The FABEC Performance Plan describes how its implementation will rely on clear principles and efficient structures on State and on ANSP side, ensuring in particular a joint accountable entity, and State authorities acting as one. Processes description documents on both sides will be finalised in the second half of 2011.

The FABEC States believe that this Performance Plan offers the best possible contribution to the EU-wide targets for the Reference Period 1.

Finally, the FABEC Performance Plan also answers other general objectives of the SES regulation, in particular with a view to get prepared for RP2 and getting closer to a fully operational FAB from 2012 onwards.

The targets adopted in this plan are summarized below.

KPA	KPI	Targets			Threshold
		2012	**2013**	**2014**	
Safety	**na**	**na**	**na**	**na**	**na**
Environment	% of route extension represented in distance flown compared to great circle distance			**95% of 2011 level**	**10%**
	Approach procedures in place supporting CDO operations (ICAO Doc 9931) – percentage of the airports having procedures in place			**At least 90%**	
Capacity	en route average ATFM delay per controlled flight (in minutes per flight)	**0.77**	**0.68**	**0.50**	**10%**
Cost efficiency		**Targets set at national level**			
Military Mission Effectiveness		**Targets set at national level**			

Figure 2 FABEC targets adopted

1 INTRODUCTION

1.1 Description of the situation

1.1.a General introduction

Article 11 of the Framework Regulation[1] contains the obligation to set up a performance scheme for air navigation services and network functions. Ultimate goal of this performance scheme is the improvement of the ANS performance in the key Performance Areas safety, environment, capacity and cost efficiency in the Single European Sky.
The Performance Implementing Rule[2] contains the detailed elaboration of the performance scheme concept. The first reference period (RP1) of the performance scheme starts on 1st January 2012 and ends on 31st December 2014.

Functional Airspace Blocks and Performance Plans are considered as key elements with regard to the SES goals. In order to support these objectives, enhancing better cooperation between ANSPs and reaching a better collective performance, FABEC decided to elaborate a Performance Plan at FAB-level.

This FABEC Performance Plan is set up in line with the template in Annex II of the Performance Implementing Rule.

This document contains the integral provisional FABEC Performance Plan for this first reference period. It is provisional until all FABEC Member States have ratified the FABEC States Agreement of 2nd December 2010. It is highly improbable that this will happen before 1st January 2012.
In his letter of 10th July 2010 in answer to the letter of the Chairman of the FABEC States Strategic Board (SSB) of 25th June 2010 the European Commission stated that the Commission would welcome the submission of a provisional FABEC Performance Plan on the understanding that this plan would clearly set out the States' responsibilities for the achievement of the performance targets. Furthermore, the Commission stated that Article 5.2(e) of the Performance Implementing Rule allows a FAB to exclude a cost efficiency target from its Performance Plan on the understanding that the plan includes an aggregation of the national cost efficiency targets in order to allow having a view on the global consistency of the aggregated FABEC cost efficiency target with the EU-wide target. The individual member states targeted performances on cost efficiency are described in Annex A. In line with Article 5.2 (e) the global aggregated FABEC cost efficiency figure demonstrating the cost efficiency effort at FABEC level is included in chapter 2, paragraph 1(d), providing a global FABEC figure.

This Performance Plan has been drafted without a Common FABEC ANSP Business Plan for the reference period 2012 – 2014 having been placed at the NSAs' disposal. As a consequence, this plan contains elements of updated Business Plans 2011 – 2015 of the individual ANSP in the FABEC-area. These are in line with the Amended regulation 2096/2005 laying down common requirements for the provision of air navigation services, such as the overall aims and goals of the ANSPs, their strategies to meeting them and taking into account the relevant European Union requirements for the development of infrastructure or other technology in line with to the ATM-Masterplan.

[1] Regulation EC No 549/2004 of the European Parliament and of the Council of 10 March 2004 laying down the framework for the creation of the single European sky), as amended by Regulation (EC) No 1070/2009 (of the European Parliament and of the Council of 21 October 2009)
[2] Commission Regulation (EC) No 691/2010 laying down a performance scheme for air navigation services and network functions

1.1.b Scope of the plan

The scope of this plan is focused on the en route service provision in the airspace of the six FABEC states (Belgium, France, Germany, Luxemburg, The Netherlands and Switzerland).

In the first reference period the following parties are involved in FABEC activities:

- Seven ANSPs: Belgocontrol, Belgium; Direction des Services de la Navigation Aérienne (DSNA), France; Deutsche Flugsicherung GmbH (DFS), Germany; l'Administration de la Navigation Aerienne (ANA), Luxembourg; Air Traffic Control The Netherlands (LVNL), The Netherlands; Skyguide, Switzerland; Maastricht Upper Area Control Centre (MUAC), BENELUX and Germany.
- Military.
- MET-ANSPs: Metéo France, France; Deutscher Wetterdienst (DWD), Germany; Royal Netherlands Meteorological Institute (KNMI), The Netherlands; Office Féderal de la Météorologie et de Climatologie MétéoSuisse, Switzerland.
- NSAs: provisional FABEC Committees (Financial & Performance Committee and NSA Committee) and the individual Member States' NSAs.

Airport operators within the FABEC-area are currently not taking part in the performance scheme but have an important role in the monitoring and developing of (K)PIs in the KPA Environment and Capacity.

International organisations as EUROCONTROL and State authorities (the regulatory and the supervisory units) are included in this Performance Plan because of their responsibilities related to the Performance Scheme and because of the effect of their activities on the costs of air navigation service provision in the FIRs in the FABEC area.

The FABEC States have decided that the provisional FABEC Performance Plan for the first reference period (RP1) will be focused on the Key Performance Areas (KPA) of Safety (broadened to the whole domain of ATM/ANS), Environment, Capacity and Military Mission Effectiveness. The KPA on Cost Efficiency is included only for aggregation of national targets and monitoring purposes.

In addition to the KPAs/KPIs laid down in the EU-SES-scheme, FABEC has defined some additional KPIs and PIs.

The contributions of the individual states to the FABEC Performance Plan concentrate on the Key Performance Area of Cost Efficiency as well as the additional national Key Performance Indicators and/or targets. They are contained in Annex A.

In line with the FABEC States Agreement and Article 10.3 (e) of Regulation 691/2010 the civil-military dimension of the plan, in particular the performance of the flexible use of airspace in order to increase capacity with due regard to the military mission effectiveness (MME), mostly at national levels, is included in this plan.

The development of a number of PIs for safety, environment, capacity and cost efficiency to be used as KPIs from the start of the second reference period (2015 – 2019) as well as the monitoring of some PIs on the same KPAs are also a core element of the scope of this plan.

1.2 Description of overall assumptions for RP1

1.2.a Macro economic scenarios

Quantitative data on the forecasted economic developments in the coming years have been analyzed to build up a realistic picture of the civil aviation and the air navigation service provision trends in the first reference period. The economic developments are described in general qualitative terms. These developments provide the starting point for the determination of the traffic volumes and the service units volumes in the FIRs within the FABEC area. These developments also have a substantial influence on the required

air space capacity, the capacity planning of the ANSPs and the cost efficiency. The analyses are also used to get acquainted with possible differences in the developments in the FABEC Member States, which may lead to differentiations in the target setting at national level.

The macroeconomic forecasts for the FABEC member states are mainly based on:

- The IMF World Economic Outlook October 2010 Edition, published by the International Monetary Fund
- IHS Global Insight Country & Industry Forecasting
- SECO State Secretariat for Economic Affairs SECO (Switzerland)
- CPB Economic Policy Analysis (The Netherlands)
- Bundesbank (Germany)
- European Central Bank
- EUROCONTROL/STATFOR
- Boeing Market Outlook
- Belgian Federal Plan Bureau

If necessary to clarify a specific situation in one or more Member States, additional national forecasts and statistical data have been used.

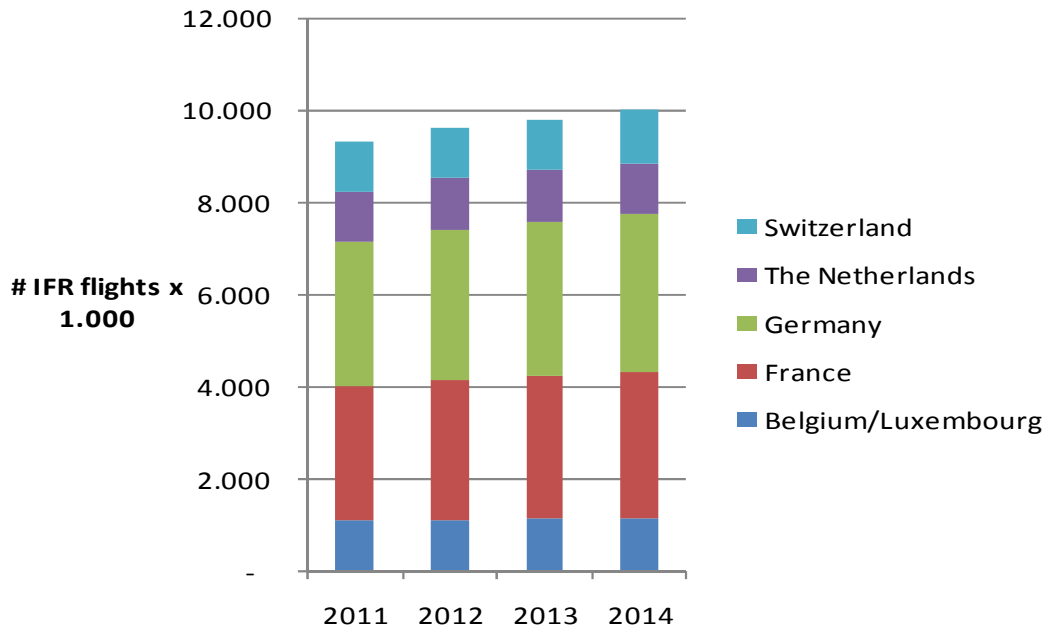
Whereas a considerable global economic growth is generally expected for the period 2012 – 2015, the economic perspectives for Europe are considerably less positive/optimistic, albeit that the European economy also will profit from the global economic growth.
In North Western Europe the coming years will show a modest growth in the gross domestic product and the private consumptions and a zero growth of the States' consumption. Inflation will stay relatively low, wages are expected to increase only very slightly, while the unemployment rate will stay at about the same level.
The oil price will remain considerably above $ 100 per barrel. The euro/dollar parity will stay at the same level.

1.2.b Air Traffic Movements

Civil aviation will continue to grow during the coming two decades, both worldwide and in Europe and in the FABEC member states. However, the growth will be lower in the European region.

Most of the data are derived from the EUROCONTROL STATFOR Medium term forecast (STATFOR MTF) 2010 – 2016 and the EUROCONTROL STATFOR Long-term forecast (STATFOR LTF) 2010 - 2030.

The development of the air traffic movements is indicated in the graphic below only for information purposes.



Source: STATFOR Medium Term Forecast, February 2011; base scenario

Figure 3 Medium Term forecast IFR Flight movements

1.2.c Traffic forecast as expressed in ATC service units

Setting the EU-wide targets for the first reference period the European Commission[3] has derived the traffic volume data from the STATFOR base scenario forecast.

ANSPs might use additional information for forecasting of the future traffic volume, which is indicated in the following table:

STATFOR			Belgium / Luxembourg	France	Germany	The Netherlands	Switzerland
Flight movements	Short term forecast	High/base/low scenarios	base			base	
	Medium term forecast	High/base/low scenarios	base			base	
	Long term forecast	High/base/low scenarios	base			base	
		Own forecast		√	√		√
Service units	Short term forecast	High/base/low scenarios	base			base	
	Medium term forecast	High/base/low scenarios	base			base	
		Own forecast		√	√		√

Figure 4 National Traffic Forecasts

Comments:

(1) At **DFS**, the future development of service units is forecasted by means of mathematical methods, such as trend extrapolation, but also by analysing the air transport market, i.e. by assessing publications on routes planned for the future, changes in market shares of our customers, military air traffic etc. The forecasting process also includes consultations with airlines and airports. The results are matched with the published service units forecast by CRCO and STATFOR. DFS uses both STATFOR-scenarios. In a first step DFS evaluates the short and the medium term scenarios. In a second step, the DFS makes assumptions about the air traffic development between the high growth and the low growth scenario.

[3] Commission Decision of 21 February 2011 setting the European Union-wide performance targets and alert thresholds for the provision of air navigation services for the years 2012 to 2014.

(2) **DGAC/DTA** provides its own forecast scenarios. Taking into account these scenarios and STATFOR forecasts, DSNA then proposes a forecast in the user consultation, where, or after which the final decision on the forecast is taken. As for 2012-2014, this final decision diverts upwards from the DSNA scenario.

(3) **MUAC:** For cost purposes STATFOR is used, taking a weighted average of the 4 States. For capacity planning purposes a dedicated MUAC STATFOR forecast is used.

(4) **Skyguide**: Takes into account all available information, STATFOR short and medium term, CRCO, own operational data.

1.2.d Actual overall status of safety aviation

According to ICAO-agreement every (FABEC) State should make a State Safety Program.
The development of such programs are now in the finalizing phase and are aligned with the EASP and EASp. Although these individual FABEC States' SSPs are not harmonized yet, the overall aviation safety is rather mature.
Within FABEC all ANSPs work together to keep the airspace safe and aiming to improve the levels of safety taking into account other KPAs such as cost-efficiency, capacity and environment. This process is needed for a safe accommodation of the growth of the air traffic for the coming years.
States and ANSPs are working closely together with the vision to become one virtual organization as soon as possible.
Not only the civil authorities, but also the military authorities will join this initiative in order to satisfy the safety objectives set at European level.
At first the effort will be concentrated on the harmonisation of the SMS [ANSPs and States] and safety occurrence handling, followed by setting an emphasis on getting a mature safety culture.
Those developments will be in line with the European requirements.

The FABEC NSA Committee and the FABEC Financial and Performance Committee are now establishing common processes for the collection and the monitoring of safety related data at FAB level.

As required by the Commission Regulation (EC) 1315/2007, the national supervisory authorities shall issue a safety directive when it has determined the existence of an unsafe condition in a functional system requiring immediate action. The FABEC current situation is described as follows:

BELGIUM:	No pending Safety Directives
FRANCE:	1 Safety Directive on Wake Turbulence separations to be applied for A380 and B747-800 aircraft types, closure expected with a new regulation including those types of aircraft.
GERMANY:	No pending safety directives
LUXEMBOURG:	1 Safety Directive on traffic restrictions under low-visibility procedures for Luxembourg Airport
SWITZERLAND:	No pending safety directives
THE NETHERLANDS:	No pending safety directives

The EU Safety KPIs are currently being defined. In addition, FABEC FPC has set objectives to be met during RP1 aiming to provide assurance that the safety levels are

maintained or improved. Furthermore FABEC's intention is to enable a greater use of technology to collect and harmonize data.

1.2.e Operational context

Environment:

Climate change has been high on the international political agenda in recent years, with the contribution of the aviation industry being of particular interest. According to the European Environment Agency aviation contributes approximately 3 % of greenhouse gas emissions in Europe. Taking into account the reduction in emissions in other sectors and the predicted increase of aviation the relative contribution of air transport to overall greenhouse gas emissions is likely to increase. For each kg of jet fuel that is burnt 3.157 kg of CO_2 is emitted. Therefore, any reduction in fuel burn will result in a proportional reduction of CO_2 emitted. Hence, improving flight efficiency can play a part in reducing the amount of CO_2 emitted by aircraft. Any measures in reducing noise, fuel burn and emissions are supported by the FABEC community.

Capacity:

In the 5 last years, the performance of the FABEC ANSPs in terms of en route - ATFM delays per movement (ADM) generated by ACCs was the following:

Years	2006	2007	2008	2009	2010
ADM (Min./flt) FABEC	0.72	0.84	0.93	0.61	2.12

Figure 5 FABEC ADM

The year 2010 was marked with heavy en-route ATFM delays caused, inter alia, by the implementation of new ATM systems in Germany, and by industrial actions in France, a number of which were linked, as a matter of fact, to discussions on the FABEC institutional matters. Thus, it should be considered as not representative of the "usual" performance of the ATM system within the FABEC area.

At the moment, capacity planning remains at national level, but the FABEC ANSPs have geared up their common activities on Performance management, and arrangements on the joint management of performance are planned for the first reference period.

The joint efforts on the route network improvements within FABEC are expected to result in both a bigger capacity and reduction of environmental impact. In addition, while there are until now different national arrangements on airspace management, the goal to create a joint ATFCM / ASM function for FABEC is enshrined in the FABEC Treaty, and the building of such a function have progressed to the point that first "field" trials were made end 2010 together with EUROCONTROL CFMU and "live" trials are planned from May to July 2011.

Both actions are expected to help increase the en-route capacity in the FABEC area.

Military Mission Effectiveness:

Considering the FABEC high level conference of civil and military authorities statement of January 2010, it is stated within the FABEC Treaty that contracting States shall implement a Performance Plan taking into account civil need as well as military mission effectiveness. Therefore, FABEC armed forces are already involved in the joint ATFCM/ASM "live trial" preparation. They also have great contributions in en route

network improvements striving to create cross border training areas aiming to increase the fulfillment of civil and military needs.

1.2.f Institutional context

Where aviation is an international activity par excellence, air navigation service provision is still firmly rooted in its national surroundings. Where EUROCONTROL since the seventies of the last century has developed from a governmental safety organization into an organization with a technical and financial focus and currently is evolving into a three-pillared organization (SES, Network and SESAR/R&D), EASA has developed from an airworthiness safety organization to a safety organization encompassing the whole domain of aviation (airworthiness, operations, ATM and aerodromes), while the EU SES-packages have undoubtedly had the biggest impact. Where the SES-I package has led to more harmonization, the SES-II package is intended to result in a better performance, initially of the ANSPs, in the future also of the Airports. These changes in the ANS world lead to changes in the institutional framework, both for the users and the ANSPs.

Quantum leaps in performance are only achievable by using the international dimensions of ANS to the utmost. The challenge to decrease delays and to fly more as the crow flies can only be taken up in international cooperation, be it on FAB-level or on Pan-European scale. The goals of SESAR can only be achieved by a very large extent of international cooperation and harmonization and systems compatibility. To meet the long term targets on cost efficiency a close cooperation between the nationally organized ANSPs has to be developed. That cooperation will inevitably lead to a further rationalization of ANS-activities. In that perspective FABEC is not only a way of cooperation but also a very important means to realize the high level political EU goals in a very complex and densely used airspace.

In line with the FABEC States Treaty, the FABEC Council governs the FABEC. As such it is the authority that adopts this Performance Plan on the understanding that the individual member states are responsible for the cost efficiency performance.

In order to meet the commitments of the Contracting States under this Treaty, the FABEC Council is tasked with taking decisions in order to meet the objectives of the FABEC. The Council is assisted by a number of Committees, such as:

- The Airspace Committee: assisting in ensuring the design and the management of a seamless airspace, as well as the coordinated air traffic flow and capacity management and the flexible use of airspace;
- The Financial and Performance Committee: assisting in the charging policy and the performance of ANSPs;
- The National Supervisory Authorities Committee.

These committees shall be composed of civil and military experts appointed by the Member States.

Based on this governance structure the point of contact for this FABEC Performance Plan is going to be the chairman of the Financial and Performance Committee (FPC).

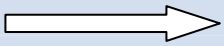
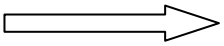
IR Body	'transformation to'	FABEC context	provisional FABEC context
Member States		FABEC Council	SSB or provisional FABEC Council
NSA		Financial and Performance Committee	TF States Performance assisted by TF Charging, TF NSA and the Mil CG or provisional Committees
		NSA Committee	TF NSA or provisional NSA Committee
ANSP		ASB	ASB
		ANSP Performance Management Function	AFG / PMG

Figure 6 Institutional bodies in the FABEC context

The civil and military authorities of the six FABEC Member States, including the NSAs, the civil and military ANSPs, including the MET-ANSPs are more and more operating in a rapidly changing institutional context with an ever increasing international dimension. In all Key Performance Areas this international dimension is irreversibly growing.

The institutional context on the side of the ANSPs is described as follows:

ANA Luxemburg
- Ownership: State of Luxembourg (Loi du 21.12.2007).
- Financing: Airport users and State.
- Supervision: Direction de l'Aviation civile (Loi du 19.05.1999).

Belgocontrol
- Belgocontrol is a public autonomous enterprise, wholly owned by the Belgian State.
- Governed by a law and a management contract with the Belgian State.
- Belgocontrol's Supervisory Board is appointed by Royal Decree.

DFS
- DFS is a limited liability company governed by commercial law and public law but wholly owned by the German Federal State.
- The German MoT has provided DFS with an unlimited certificate (SES). The State has designated DFS as an ATS provider for en-route and terminal.
- DFS Executive Board is overseen by a Supervisory Board (SB). In the SB the German government, the staff and the military is represented.

DSNA
- DSNA is a government department operating under an autonomous budget.
- DSNA is designated to provide ATS in the whole French FIR and at controlled airports.
- DSAC is the National Supervisory Authority providing certification to DSNA.
- In the context of the performance scheme and on charging issues, the function of NSA is entrusted to the Air Transport Directorate (DTA). In addition,

the Cour des Comptes runs an annual audit on the finance and accounting of the DGAC special Budget.

- The DGAC Budget (which covers DSNA expenses) is approved by the Parliament.

LVNL

- LVNL is an autonomous governmental body founded by Civil Aviation Law with its own labour conditions and an own profit and loss account and balance.
- Completely debt financed
- Operating and investment loan facilities by the Ministry of Finance
- Financed by the airspace users

MUAC

- EUROCONTROL is an International organisation (established under the Convention of 13.12.1960 and amended on 12.2.1981). At the request of the Benelux States and Germany, MUAC is operated as a EUROCONTROL Agency's service according to the Maastricht Agreement (25.11.1986) and is responsible for the management of upper air traffic control in the airspace delegated by the Four States.
- Funding and financing of the MUAC operations is through Member States contributions. Operating expenses are funded through contributions from the Four Member States. Investment expenditures are pre-financed through loans and covered by all EUROCONTROL Member States.
- Costs for the MUAC services are incorporated in the National Cost Base of the Member States and are charged to the users through the national unit rate.

Skyguide

(2009)

- Owner: Swiss Confederation (99.91%).
- Financing: Joint-stock company.

1.3 Description of the outcome of the stakeholder consultation

(1) *Consultation Process Description*

FABEC States launched in April 2011 an extensive stakeholder consultation process as required in Regulation EC No 691/2010. Due to structure of the plan the consultation was conducted on national (only cost effectiveness) as well as on FABEC level (other KPAs). FABEC consultation was conducted by the standing FABEC organisation, the national consultations were executed by the respective National Supervisory Authorities.

On 20 May the official consultation meeting on the FABEC Performance Plan took place. This meeting was based on two preparatory workshops (4 and 11 April), a web-based information portal (www.fabec.eu) and on national consultations on cost-efficiency (16, 18 and 19 May). In addition, a written consultation process based on a formal web-based feedback tool was installed to structure the comments provided by the different stakeholders.

Based on EC Regulation 691/2010 in accordance with 549/2004 Art.10 stakeholders addressed and invited are:

- Airspace users
- Staff representatives
- Air navigation service providers

- Airport Council International (observer)
- Performance Review Body (observer)

(2) *General Comments raised by the stakeholders*

In principle, comments raised by the different stakeholders can be subdivided into two groups:

1. General aspects covering political issues, general statements etc.
2. "Technical" aspects referring to detailed aspects of the plan. Those comments are directly linked to special key performance areas and indicators. Due to this they will be described in the respective parts of this plan.

Comments raised on national cost-efficiency targets are tackled in the national cost-efficiency plan attached to or referenced in this document.

In general the overall feedback received from the different stakeholders is not uniform and – mirroring their variety of interests– contradictory.

- Airspace user welcomed that FABEC is developing a common performance plan. Nevertheless they jointly declared that they are dissatisfied with the proposed plan. They clearly stated that from their point of view FABEC is not delivering the performance promised neither in the actual project nor in the targets proposed. This assessment is mainly based on their perception, that FABEC NSAs set targets based on proposals from the ANSPs ("bottom-up") and not as derivation from the EC-targets ("top-down"). In addition, they are missing clear accountabilities and processes (corrective action plan etc.). For them it is not a question of operational feasibility – it is a question of lack of commitment, which will endanger the overall EC-target and SES II.
- The views from the staff representatives[4] are contradictory. ETF did not support the EC targets for RP1 and believed they require modification. They supported FABEC performance improvements through increased cooperation, advocating for their co-op-model. MARC stated clearly that performance improvements are possible; however, a FABEC Performance Plan will fail as long as institutional questions and a final objective are not defined. Supporting their preferred model, they pointed out that performance improvements can best be achieved in a Single Service Provider for FABEC. IFATSEA considers the EU Performance targets to be an undue burden on the ANSPs.
- FABEC ANSPs[5] commonly declared that they are committed to the FABEC Performance Plan, which contains ambitious, yet not unrealistic targets. Nevertheless they stated that target setting on different levels will lead to conflicts. In order to cope with this, issues like the prioritization of targets, an appropriate governance to deal with joint accountability, streamlining of FABEC and local initiatives etc. have to be worked out.

[4] Staff representative bodies involved were MARC (Unions and Professional Associations representing staff in all FABEC countries, amongst them the majority of air traffic controllers), ETF (Unions representing mainly staff in Belgium and France) and IFATSEA (Professional Association of safety electronics personnel).

[5] ANA Luxembourg, Belgocontrol, DFS, DSNA, EUROCONTROL Maastricht UAC, LVNL and Skyguide.

(3) *Specific issues raised by the stakeholders*

The main outcome of the consultations held at FABEC level on April 4th *and May 20th*, 2011, were the following **as regards capacity**:

- The users declared themselves disappointed that the values from the "bottom-up" approach presented by the FABEC ANSPs did not guarantee convergence with the EU-wide target set by the Commission. They advocated the FABEC States to set the 2014 target further down, to the CEF reference value.
- The users also supported the second indicator but requested to also set and monitor an indicator of the percentage of flights delayed from the first minute. As a result, State authorities agreed to add this indicator as PI#2 in section 2.1.b below.
- The users seemed to agree not to set financial incentives on capacity performance in the first reference period. Still, they questioned what the States would do in case where the considered non-financial incentive, that is a corrective action plan, would not deliver and bring the performance back to the targets after a first "infringement" of a yearly target;
- The staff representatives declared they believed the EU-wide targets are unrealistic, and that the States should consider more realistic targets, including on capacity, without fearing that EU-wide targets would have to be revised if the aggregated local targets would collectively be higher.

As regards environment

The airspace users mainly requested to find some application of CDO/CDA from top of descent, stronger support of the implementation of Performance Based Navigation (PBN) rather than CDO/CDA operations and a general disagreement on the EU-wide used performance indicator and also the FABEC route extension indicator.
ANSP's mainly raised their concerns regarding the accountability and the achievement of the targets as they are depending on flight planning of the airlines.

As regards cost efficiency

The users stated in the Stakeholder Consultation Meeting that the FABEC aggregated average annual unit rate decrease of -3.7% (-1.26% per year; compared to the EU wide target of -3.51%) would make it nearly impossible to meet the EU-wide target, even if other EU Member States would meet or even exceed the EU wide target.
Furthermore, the users castigated the lack of a sense of urgency in achieving structural changes and urged the States to apply a top down approach in order to meet the targets.
After the FABEC SCM the user organizations sent jointly a letter to each of the Member States. In these letters the associations expressed their concerns on the national cost efficiency issues in that FABEC member State. As cost efficiency performance is a national responsibility, these letters are dealt with in the national plans.

As regards Safety

The main outcome of the consultations held at FABEC level, as regards to safety, came from the ANSPs and Unions representatives. For the other users, safety appeared to be taken for granted without interdependencies with other key performance areas.

- For the Unions, safety was not sufficiently covered, for the other users this area was covered as required by the regulation and therefore, no major issues were raised.
- The Unions' representatives asked to be involved in any implementation of automated reporting systems.
- The harmonization of safety process was considered as a positive output from the FABEC implementation.

As regards Military mission effectiveness

It was asked that military should consider the need to make the airspace available sufficiently in advance in order to be effectively planned. But, the planning processes are not the same from State to State. Moreover, these processes have to balance civil and military needs, what complicate the way to find the adequate delay to notify released airspace. Nevertheless, the second reference period will implement a KPI on effective use of the civil/military airspace structure which will partially deal with this issue.
Answering the question on why only Belgium was able to have quantitative targets on MME it was said that only this country had sufficient consolidated data. Even if the delay to fully implement MME indicators, impacted by external factors, at FABEC level was not known, it was expected to do it at least for the second reference period.

2 PERFORMANCE TARGETS IN THE FABEC AREA

2.1 Performance targets and alert thresholds in each performance area

This chapter covers the KPAs Safety, Environment, Capacity, Cost efficiency and Military Mission Effectiveness.

The FABEC States have decided that, due to the absence of a Single Unit Rate for en-route charging in the FABEC area, cost efficiency targets will remain set at national level in the first performance reference period (2012 – 2014). Thus, regarding the cost efficiency target and in line with Article 5.2(e) of the regulation EU No 691/2010, this chapter on the provisional FABEC Performance Plan for RP1 will be limited to an aggregation of the national cost efficiency targets and a global figure demonstrating the cost efficiency target at FABEC level.

The alert threshold associated with targets in this chapter is a traffic deviation over a calendar year by at least 10% as recorded by the PRB. This is in line with the EU-wide alert threshold. If the threshold is reached, the Performance Plan may be adapted in accordance with the FABEC Performance Plan Process Description.

(1) *Safety*

EU-wide KPI	FABEC PI - objectives	To Be Developed
Minimum level of effectiveness of safety management for Air Navigation Services Providers and National Supervisory Authorities respectively.	Effectiveness of safety management as measured by a methodology based on the ATM Safety Maturity Survey Framework.	Baseline for 2012. Objectives for 2013-2014.
Percentage of application of the severity classification of Risk Analysis Tool for Separation Minima Infringement, Runway Incursions and ATM Specific Technical Events	Application of the severity classification of Risk Analysis Tool for Separation Minima Infringement, Runway Incursions and ATM Specific Technical Events at all Air Traffic Control Centers and airports with more than 150 000 commercial air transport movements per year. Implementation of the Risk Analysis Tool at all FABEC ANSPs. Harmonization of working methods, definitions, and historical data building.	
		Cost Benefits Analysis and an Initial Feasibility study for the implementation of automated reporting tools, to be completed at the end of RP1.

Minimum level of the measure of Just Culture at the end of the reference period.	Reporting of Just Culture	

Figure 7 Safety indicators

FABEC Safety PIs

Three safety performance indicators (PI) will be monitored at FABEC level and four objectives are accordingly set for RP1[6]:

Safety Performances Indicators (PIs)

PI #1: Effectiveness of Safety Management
PI #2: Application of the Severity Classification of the Risk Analysis Tool
PI #3: Reporting of Just Culture

FABEC Safety Objectives for RP1

1) Based on the FABEC ATM Safety Maturity Survey scores from the 7 ANSPs, a baseline shall be defined during 2012, and an objective shall be set for the 2013-2014 period, on the level to be achieved at the end of RP1.

2) Based on the FABEC ATM Safety Maturity Survey scores from the 6 states, a baseline shall be defined during 2012, and an objective shall be set for the 2013-2014 period, on the level to be achieved at the end of RP1.

3) To allow the harmonization of the reporting of severity assessment, FABEC ANSPs are committed to implement the RAT[7] (Risk Analysis Tool) before the end of RP1.

4) FABEC ANSPs are requested to perform a Cost Benefits Analysis and an initial feasibility study for the implementation of automated reporting systems, at least for En-Route traffic. The added value of those automated systems shall be assessed and the objectives of those tools shall be clearly identified and stated in Just Culture policies. The feasibility study shall be completed prior the end of RP1 and based on the results, the implementation phase should be considered for RP2.

5) Harmonization of set of definitions, working processes and historical data shall be completed prior the end of RP1.

FABEC PI #1

Effectiveness of Safety Management

The first FABEC safety PI shall be the effectiveness of safety management as measured by a methodology based on the ATM Safety Maturity Survey Framework. This indicator shall be developed jointly by the Commission, the Member States, EASA and

[6] For a detailed clarification of these PIs and objectives, see Annex C.
[7] Other tools shall be subject to approval by the NSA Committee to establish compliance with the regulation(s) requirements (esp. with regards to the assessment of the severity classification of occurrences and the ATM ground contribution assessment.

EUROCONTROL and adopted by the Commission prior to the first reference period. During this first reference period, FABEC Financial and Performance Committee will monitor and report on this performance indicator.

FABEC consolidation

The following figure represents the aggregated FABEC ANSPs Effectiveness of Safety Management as measured for 2010.

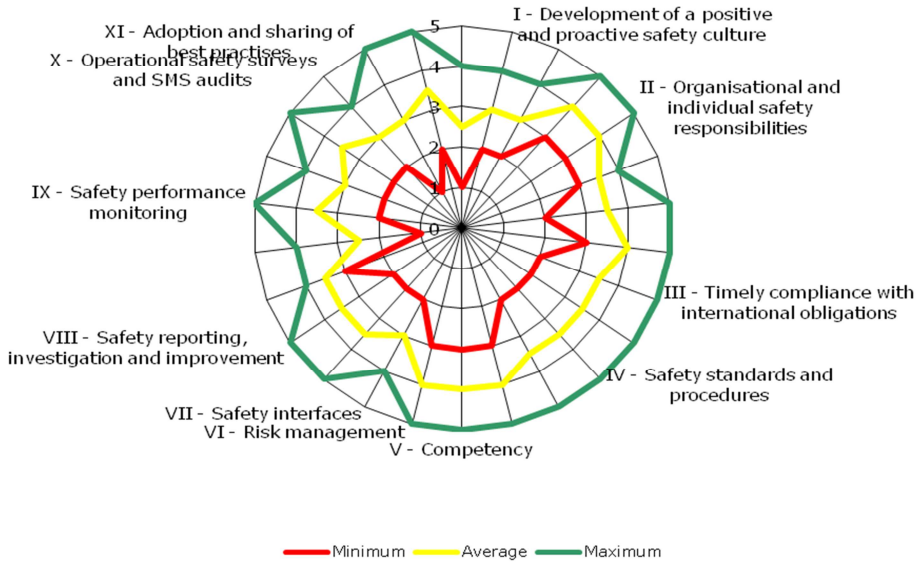


Figure 8 FABEC ANSPs Effectiveness of Safety Management 2010 results

The methodology to assess the effectiveness of safety management of the states is still under development and RP1 will be used for the implementation and monitoring of this indicator.

FABEC PI #2

Application of the severity classification of the Risk Analysis Tool

The second FABEC safety PI shall be the application of the severity classification of the Risk Analysis Tool to allow harmonised reporting of severity assessment of Separation Minima Infringement, Runway Incursions and ATM Specific Technical Events at all Air Traffic Control Centres and airports with more than 150 000 commercial air transport movements per year within the scope of the EC691 Regulation (yes/no value).

The Risk Analysis Tool (RAT) provides a method for consistent and coherent identification of risk elements. It also allows its users to effectively prioritize actions designed to reduce the effect of those elements. The RAT tool has evolved over time to be a sophisticated yet simple program for quantifying the level of risk present in any air incident. Requiring only a brief series of program inputs to produce a valid result, the tool expresses the relationship between actions and consequences and provides a quantifiable value to these relationships.

The RAT being in an early process of implementation, the use of the tool shall be encouraged at all level of safety monitoring, including States and ANSPs.

In order to collect the required data for performance monitoring, FABEC has divided this PI into 3 sub-PIs:

1. Separation Minima Infringement (SMI)
   - SMI between IFR and ATM Ground Contribution
   - Total IFR Flights and Flight Hours for data weighting
2. Runway Incursions (RI)
   - RI and ATM Ground Contribution
   - Number of Airports and Airport movements for data weighting
3. ATM Specific Technical Events (ATM-STE)
   - ATM-STE for Communication Systems
   - ATM-STE for Navigation Systems
   - ATM-STE for Surveillance Systems
   - ATM-STE for Data Processing and Distribution Systems

	2006				2007				2008				2009				2010			
Total Nb of SMI between IFR reported	972				1 010				1 134				967				1 116			
Total Nb of SMI between IFR reported with an ATC contribution	651				665				779				677				793			
Total Nb of IFR flights	9 425 916				9 908 195				9 919 020				9 186 202				9 279 357			
Total Nb of IFR flight hours	4 564 626				4 871 557				4 940 671				4 581 018				4 613 468			
Total Nb of RI reported	452				378				426				431				386			
Total Nb of RI reported with an ATC contribution	56				69				77				81				88			
Total Nb of airport movements (DEC, ATT, Go around=1)	8 005 997				8 207 515				8 309 916				7 863 263				7 186 377			
Total nb of airports	89				89				90				90				90			
Total Nb of communication failures	0	8	40	1707	1	12	34	1847	0	4	35	921	0	2	38	727	0	7	10	739
Total Nb of Navigation failures	0	0	11	330	0	0	3	373	0	0	2	343	0	0	0	326	2	0	0	253
Total Nb of Surveillance failures	0	1	56	731	0	7	18	525	1	1	6	483	0	0	13	384	1	8	7	342
Total Nb of data processing & distribution function failures	0	2	5	273	0	3	11	169	2	0	5	174	3	0	12	170	0	0	2	166
	aa	a	b	c	aa	a	b	c	aa	a	b	c	aa	a	b	c	aa	a	b	c

Figure 9 Monitored Occurrences 2006-2010

Overview showing the *current* use of the RAT by the FABEC ANSPs. (May 2011)

ANSP	ANA	Belgocontrol	DFS	DSNA	LVNL	MUAC	Skyguide
RAT	YES	YES	YES	YES	NO	YES	NO

Figure 10 Current Use of the RAT

Aggregated data at FABEC Level representing the *current* use of the RAT in the 3 types of occurrences.

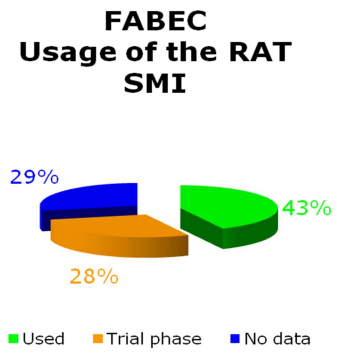


Figure 11 Separation Minima Infringement percentage assessed with the RAT (2010 Data)

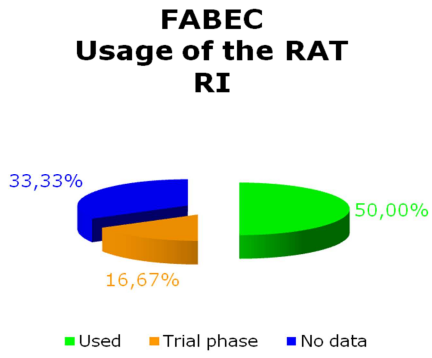


Figure 12 Runway Incursions percentage assessed with the RAT (2010 Data)

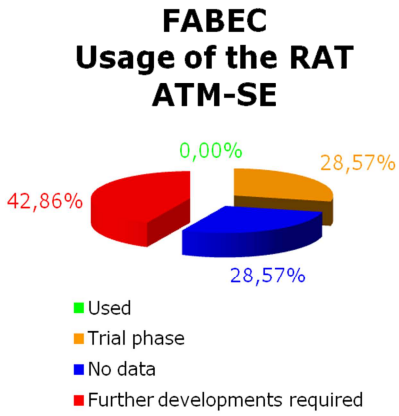


Figure 13 ATM Specific Technical events percentage assessed with the RAT (2010 Data)

For ATM Technical Specific Events, the RAT methodology still needs to be developed to provide effective results. RP1 shall be used to solve this problem.

Implementation of Automated Reporting Tools

The gathering and evaluation of Safety data is recognized as essential to the Safety Management Process. Currently most states rely mainly on manual reporting methods. Tools may provide automatic reporting to consolidate this existing data. Automated Tools can provide details of not just major safety occurrences, these being already provided by the mandatory manual reports, but also the minor but potentially

operationally significant ones that can help ATC operations with a more accurate overview of the current levels of safety.

Automated tools may provide an automatic monitoring facility for safety related occurrences using operational data. It detects and classifies each occurrence for evaluation and assessment by operational experts. Tool can assist the local operations staff to determine causes of individual safety occurrences, as a method to improve safety by identification of potential risks due to existing procedures, changing traffic patterns or airspace design.

A cost benefits analysis is required to establish the added values of such tools and to determine the feasibility of implementation of those tools at FABEC ANSPs. The results of this CBA and an initial feasibility study for implementation shall be completed prior the end of RP1.

FABEC PI #3

Reporting Just Culture

The third FABEC safety PI shall be the reporting of just culture. This measure shall be developed jointly by the Commission, the Member States, EASA and EUROCONTROL and adopted by the Commission prior to the first reference period. During this first reference period, FABEC Financial and Performance Committee will monitor and publish this measure.

The methodology to assess the reporting of Just Culture is still under development and RP1 will be used for the implementation and monitoring of the indicator.
If possible a baseline will be defined prior the end of RP1.

(2) *Environment*

EU-wide KPI	FABEC KPI/PI	To Be Developed
Average horizontal en-route flight efficiency (EC 691/2010)	KPI #1: % of route extension represented in distance flown compared to great circle distance	Effective use of civ/mil airspace structures (EC 691/2010)
	KPI #2: Approach procedures in place supporting CDO operations (ICAO Doc 9931)	KPI addressing the specific airport air navigation services (ANS)-related environment issues (EC 691/2010)
	PI #1: % of route extension of intra FABEC flights represented by last filed flight plan compared to great circle distance	Continuous Descend Approach (CDA) conformity

Figure 14 Environment indicators

EU-wide KPI

"Average horizontal en-route flight efficiency"

The first European Union-wide environment KPI is the average horizontal en route flight efficiency. This indicator is defined as the difference between the length of the en route part of the actual trajectory and the optimum trajectory which, in average, is the great circle. For calculation purposes the indicator uses the difference between the length of the flight in accordance with the last filed flight plan and the optimum trajectory which, in average, is the great circle.

The overall responsibility for this KPI lies with the network management function. Therefore the EU-target [a reduction of 0.75 of percentage point] will not be applied at FABEC level.

FABEC supports the initiatives of the Network Management Function involving the FABEC ANSPs and ACCs to ensure the FABEC contribution towards the overall network improvements.

The development of the ATS Route Network Version 7 (ARN V7) was initiated in 2009. ARN V7 will ensure the further deployment of the Advanced Airspace Scheme route network and consolidate the first functional airspace block developments into a network approach. Currently, more than 250 airspace improvement packages [ranging from minor to major ones] are already included in ARN V7, and more are expected to come as a result of the network-cooperative approach with States, ANSPs and FABs.

In parallel with the development of ARN V7, an initiative to harmonise the implementation of free-route initiatives is ongoing. It addresses operational and technical requirements and is developed in close cooperation with all States and ANSPs.

For FABEC specifically there are currently 4 major airspace projects ongoing, and once implemented these projects will contribute to improved flight efficiency.

Instead of setting a FABEC target of this EU-wide KPI, FABEC states have decided to use a FABEC PI for intra-FABEC traffic, in order to reflect a FABEC dimension of this indicator.

FABEC KPI #1

"Percentage of route extension represented in distance flown compared to the great circle distance"

The intent of this indicator is to assess the global effective impact on environment by measuring the actual routes.

This indicator is based on the difference between the length of the actual route flown and the great circle distance within the FABEC airspace.

Measures undertaken to support the ARN V7 initiatives and FABEC/national airspace projects will take effect on FABEC level. The above-mentioned indicator reflects this limited scope.

The target is an improvement by 5% of the average horizontal en route flight efficiency extension in 2014 as compared to the situation in 2011 measured in km.

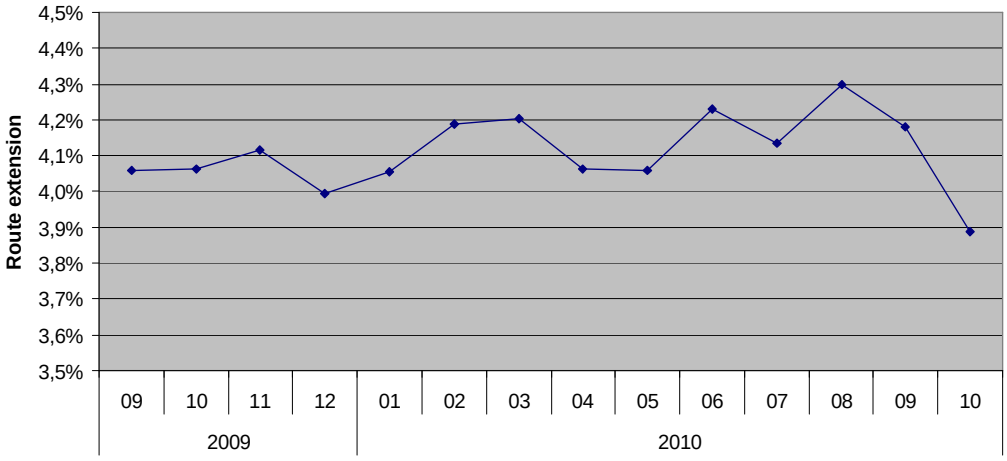


Figure 15 Horizontal Flight Efficiency Environment KPI #1

	Actual		
	2009	2010	2011
Percentage of route extension represented in distance flown (actual trajectory) compared to great circle distance	4,1%*	4,1%	

Figure 16 Actual values Environment KPI #1

Note: This calculation has been discontinued, and historic data is only available from September 2009 till October 2010.

FABEC KPI #2

"Approach procedures in place supporting Continuous Descent Operations (CDO) (ICAO Doc 9931)"

In a continuous descent, an arriving aircraft descents continuously, to the greatest possible extent, by employing minimum engine thrust, ideally in a low drag configuration, prior to the final approach fix/final approach point. With a continuous descent, engine thrust is lower and distances to the ground are higher compared to stepped approaches, thus reducing noise, fuel burn and emissions.

This indicator is based on the number of airports located in the FABEC area with more than 50.000 movements per year.

The target is to have procedures in place on at least 90% of the relevant airports in 2014 as compared to the 43% in April 2011. In total 23 airports have been identified and at least 21 of them should offer approach procedures in place supporting CDO in accordance with ICAO Doc 9931 at the end of 2014.

CDO/CDA is defined as 'established' when CDO/CDA facilitation is published and effective, no matter how long or short the time frame is and no matter which type of facilitation. That does not necessarily mean the implementation process is finished - it is e.g. possible that hours of CDA facilitation are extended or the type of facilitation changes.

FABEC airports > 50.000 STATFOR movements in 2010[8]						
No	COUNTRY	ICAO code	IATA_CODE	NAME	Total Traffic	CDA_IMPL_STATUS_ID
1	BELGIUM	EBBR	BRU	BRUSSELS NATIONAL	218836	Trial
2	GERMANY	EDDB	SXF	BERLIN/SCHOENEFELD	72467	not planned yet
3	GERMANY	EDDF	FRA	FRANKFURT MAIN	464313	Established
4	GERMANY	EDDH	HAM	HAMBURG/FUHLSBUETTEL	148790	Committed (planned for 2011)
5	GERMANY	EDDK	CGN	KOELN-BONN	130997	Established
6	GERMANY	EDDL	DUS	DUESSELDORF	215069	not planned yet
7	GERMANY	EDDM	MUC	MUENCHEN	386911	Established
8	GERMANY	EDDN	NUE	NUERNBERG	60747	not planned yet
9	GERMANY	EDDP	LEJ	LEIPZIG/HALLE	61160	Established
10	GERMANY	EDDS	STR	STUTTGART	123300	not planned yet
11	GERMANY	EDDV	HAJ	HANNOVER LANGENHAGEN	67068	Established
12	NETHERLANDS	EHAM	AMS	AMSTERDAM/SCHIPHOL	396797	Established
13	LUXEMBOURG	ELLX	LUX	LUXEMBURG	53716	no, considering
14	FRANCE	LFBD	BOD	BORDEAUX-MERIGNAC	53384	Committed
15	FRANCE	LFBO	TLS	TOULOUSE BLAGNAC	88238	Trial
16	FRANCE	LFLL	LYS	LYON SAINT EXUPERY	119672	Trial
17	FRANCE	LFML	MRS	MARSEILLE PROVENCE	103284	Established
18	FRANCE	LFMN	NCE	NICE COTE D'AZUR	129868	Committed
19	FRANCE	LFPG	CDG	PARIS CHARLES DE GAULLE	499866	Trial
20	FRANCE	LFPO	ORY	PARIS ORLY	219755	Established
21	FRANCE	LFSB	BSL	BALE-MULHOUSE	63706	Committed
22	SWITZERLAND	LSGG	GVA	GENEVE COINTRIN	164597	Established
23	SWITZERLAND	LSZH	ZRH	ZURICH	256811	Established

Figure 17 Overview FABEC airports and CDO/CDA status

[8] For France, compared to the criteria of > 50.000 movements the list excludes 'Le Bourget' as it is a corporate airport, mainly accommodating non-commercial air traffic, even though above 50.000 movements. 'Berlin-Tegel' had been taken out of consideration as well, since it will terminate services in summer 2012 with the start of the new Berlin Brandenburg International Airport.

FABEC PI #1

"Percentage of route extension of intra FABEC flights take-off and landing in the FABEC area of responsibility (AoR)"

This indicator is based on the difference between the length of the flight in accordance with the last filed flight plan and the great circle distance within the FABEC area. For RP 1 there is no FABEC target.

FABEC monitors efficiency improvements for intra FABEC flights as the current situation shows relatively weak performance figures. The initiatives shall be developed in consistency with the overall network improvements.

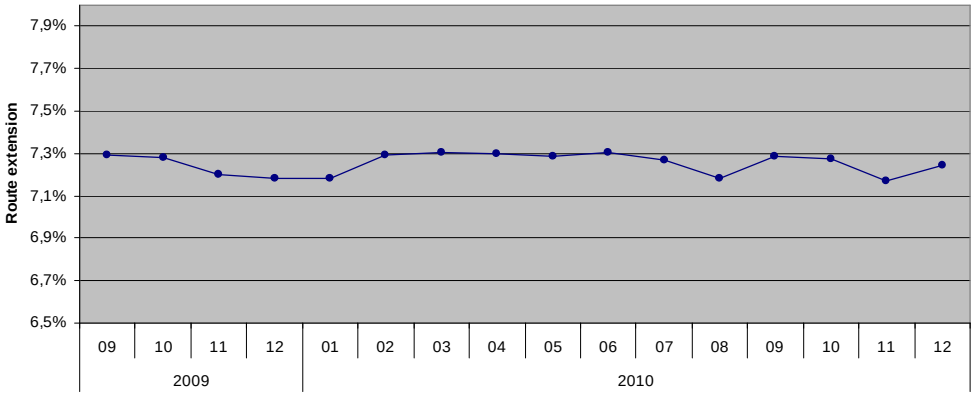


Figure 18 Environment PI #1 - Horizontal Flight Efficiency

	Actual		
	2009	**2010**	**2011**
Percentage of route extension represented in length of the last filed flight plan compared to great circle distance	7,3%*	7,3%	

Note: Data for 2009 only available for October through December

Figure 19 Actual values Environment PI #1

Monitoring entities: AFG/PMG and Financial and Performance Committee

Other indicators to be monitored during RP1

The FPC will monitor and support the development of EU-wide indicators for the

- effective use of civil/military airspace structures and

- KPI(s) addressing the specific airport air navigation services (ANS) related environment issues.

By support of AFG/PMG the FPC shall develop an indicator for measuring the CDO/CDA conformity of approaches actually executed.

(3) *Capacity*

EU-wide KPI	FABEC KPI/PI	PIs To Be Developed
Average en route ATFM delay per controlled flight (EC 691/2010)	KPI#1: Average en route ATFM delay per controlled flight	Total of air traffic flow management (ATFM) delays attributable to terminal and airport air navigation services
	PI#1: percentage of controlled flights with an en route ATFM delay of 15 minutes or more	Additional time in the taxi out phase,
	PI#2: Percentage of controlled flights with any en route ATFM delay	Additional time for arrival sequencing and metering area (ASMA) for airports with more than 100.000 commercial movements per year.

Figure 20 Capacity indicators

Scope

Two capacity indicators will be followed and related targets are set at FABEC level.

These capacity indicators shall reflect ATFM delays allocated by CFMU to any of the 14 ACCs controlling the en-route airspace in the FABEC area (1.7 Gm²) (Brussels, Langen, Munich, Bremen, Karlsruhe, Maastricht, Amsterdam, Bordeaux, Reims, Paris, Marseille, Brest, Geneva, Zurich).

EU/FABEC KPI#1

en route average ATFM delay per controlled flight

KPI #1 shall be the KPI set by regulation (EU) n°691/2010 which is expressed in minutes per flight.

For this indicator, the EU-wide target set for each year from 2012 to 2014 is 0.5 minutes per flight.

KPI #1 target is set as follows, as a maximum, for each year 2012, 2013 and 2014:

Year	2012	2013	2014
KPI#1 *max* (min/flight)	0.77	0.68	0.50

Figure 21 EU/FABEC KPI #1 values 2012 to 2014

The table below provides the corresponding values of this indicator from the year 2006.

Year	2006	2007	2008	2009	2010
KPI#1 (min/flight)	0.72	0.84	0.93	0.61	2.12

Figure 22 EU/FABEC KPI #1 values 2006 to 2010

The level of delays for all these past years includes all the delays, whatever the cause, under all circumstances, including situations of heavy, abnormal capacity restrictions.

So do KPI#1 and its target for FABEC.

However, when the capacity is restrained either at system or more local level, the suitable behaviour of all actors is to maximise the traffic throughput, while accepting delays much higher than under normal circumstances, as the overall financial and welfare consequences, all included, are far preferable to the users, the travelling public and the ANSPs, than cancelling many flights for the sake of keeping low delays.

This is why, for 2012 to 2014, it is intended to analyse for information and "awareness" purposes, the ATFM en-route delays generated by abnormal situations.

Major measures contributing to reach the capacity target

The major measures contributing to reach the capacity target planned by the ANSPs have been summarized in the table below. The detailed list with all measures, including their relevant effect on the capacity increase per year is part of the Annex B:

ANSP	Capacity measure
Belgocontrol	EBCI Project
	FABEC West Project
	Improved ATFCM Procedures
	The additional combined Belgian civ/mil measures contributing to the reaching of the capacity target are to be found in annex D on Military effectiveness
DSNA	Improved airspace management and ATFCM Procedures
	Optimization of sector configuration management
DFS	Positive effects of new ATS system (P1/VAFORIT)
	Mitigation of Staffing Problems
LVNL	Optimise the sector opening schemes
	Optimise ATFCM procedures
	Increased cooperation with military ANSP
Skyguide	Common Controller Cockpit (CCC)
	Revised sector capacities following CAPAN study
	Cross qualification of ATCOs (Upper/Lower)
MUAC	Free Route Airspace MUAC (FRAM)
	MARS2
	LUX airspace re-design

Figure 23 Capacity-Increasing measures

FABEC PI #1

percentage of controlled flights with an en route ATFM delay of 15 minutes or more

This indicator is chosen because these delays of 15 minutes or more are indeed widely acknowledged as causing the larger negative impact on airlines in terms of additional operating costs and disruption of service, including for connecting flights.

The table below provides the corresponding series from the year 2006 for this percentage.

Year	2006	2007	2008	2009	2010
PI#1 (%) FABEC	1.9	2.3	2.6	1.7	5.2
PI#1 (%) EU flights	2.8	3.3	4.0	2.6	5.2

Figure 24 FABEC PI #1 values for years 2006 to 2010

This Performance indicator shall be monitored at FABEC level in 2012, 2013 and 2014. While no target is set at FABEC level, the purpose of this monitoring will be to check that this value does not increase in time, remaining within the range of the years 2006 to 2009.

FABEC PI #2

Percentage of controlled flights with any en route ATFM delay.

Year	2006	2007	2008	2009	2010
PI#2 (%) FABEC	4.0	4.9	5.4	3.6	8.9
PI#2 (%) EU flights	5.5	6.7	7.7	5.1	8.9

Figure 25 FABEC PI #2 values for years 2006 to 2010

The table above provides the corresponding series from the year 2006 for this percentage.

This Performance indicator shall be monitored at FABEC level in 2012, 2013 and 2014. While no target is set at FABEC level, the purpose of this monitoring will be to check that this value does not increase in time, remaining within the range of the years 2006 to 2009.

Other indicators to be monitored during the period

According to the regulation (EU) n°691/2010, the following indicators shall be monitored at FABEC level, subject to refining definitions with PRB as may be necessary:

- Total of air traffic flow management (ATFM) delays attributable to terminal and airport air navigation services,
- Additional time in the taxi out phase,
- Additional time for arrival sequencing and metering area (ASMA) for airports with more than 100.000 commercial movements per year.

Investments, operational improvements described above and human resources planned are expected to ensure achieving the capacity needs.

(4) *Cost efficiency*

In the table below the FABEC Cost efficiency KPI and PIs are included.

EU-wide KPI	FABEC KPI ("aggregated" KPI) [9]	FABEC PI	National KPI
Determined unit rate for en route air navigation services	• Aggregation of the national cost-efficiency targets • Global figure demonstrating the cost efficiency effort at functional airspace block level (for information purposes)	Average FABEC determined UR for terminal ANS	Determined unit rate for en route air navigation services
		Determined en route cost/revenue:	
		Total en route cost per flight hour	
		Total economic cost per flight hour, per SU and per km	

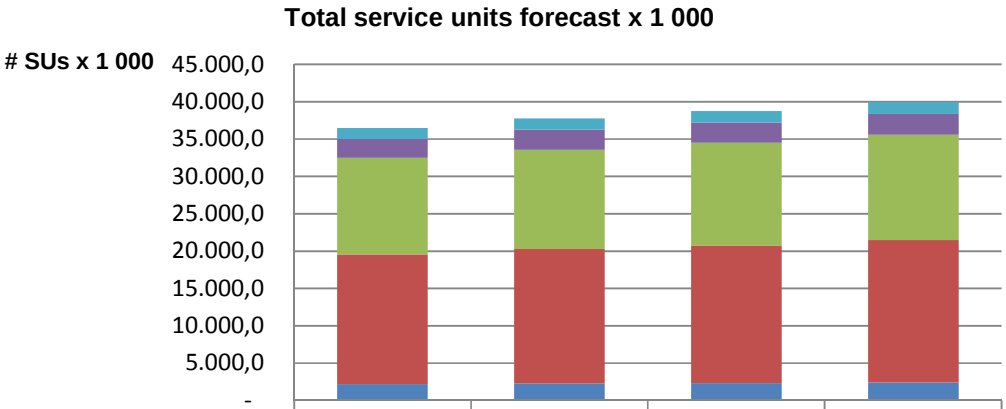
Figure 26 (Aggregated) FABEC Cost efficiency indicators

The FABEC States have decided that the provisional FABEC RP1 Performance Plan will not include the EU wide KPI on Cost efficiency, namely the en route determined unit rate, in its Performance Plan. FABEC has not yet implemented a Single Unit Rate for en-route charges.
In line with Article 5.2e of the Commission regulation on Performance the national cost-efficiency targets are aggregated at FABEC level in this chapter.

1. Traffic forecasts

An overview of the development of the traffic volume, expressed in en route service units forecasted in each of the FABEC Member States and the aggregation of these volumes at FABEC level[10] is given in the table below.

[9] Article 5.2(e) of Commission regulation (EU) No 691/2010 of 29 July 2010 laying down a performance scheme for air navigation services and network functions states that in the case where no common charging zone has been established within the meaning of Article 4 of Regulation (EC) No 1794/2006 member states shall aggregate the national cost-efficiency targets and provide for information a global figure demonstrating the cost efficiency effort at functional airspace block level.
[10] Belgium and Luxemburg are joined in one en-route charging zone.

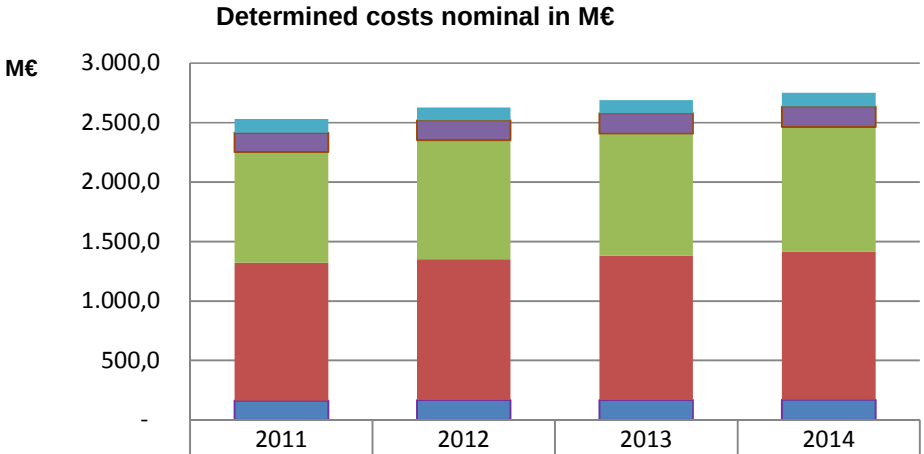


	2011	2012	2013	2014
Switzerland	1.457,4	1.492,3	1.528,0	1.564,5
The Netherlands	2.555,0	2.681,0	2.733,0	2.794,0
Germany	12.922,3	13.308,8	13.708,1	14.119,3
France	17.367,0	17.987,0	18.437,0	19.045,0
Belgium/Luxembourg	2.200,0	2.283,6	2.349,9	2.422,7

Figure 27 Total Service units forecast x 1 000

2. Determined costs: nominal and in EUROs 2009

The table below contains the determined nominal en route cost in each of the FABEC Member States. The costs of the en route service provision in the FABEC area is about Bn€ 2.8 in 2014.

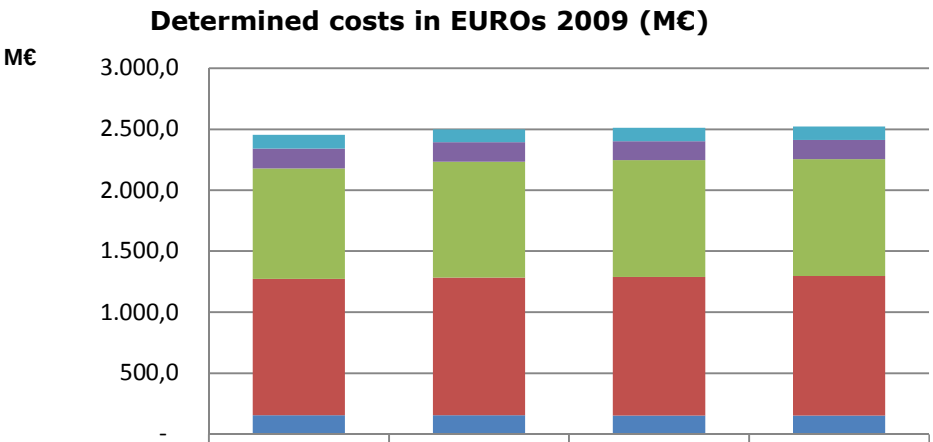


	2011	2012	2013	2014
Switzerland	114,1	108,9	111,4	114,8
The Netherlands	163,7	165,8	168,3	173,6
Germany	933,3	1.000,8	1.027,7	1.048,9
France	1.156,4	1.186,5	1.213,0	1.242,8
Belgium/Luxembourg	163,7	167,2	169,1	171,7

Note: The non recurring IFRS-effect on the costs of EUROCONTROL and MUAC is not included in the determined costs 2011.

Figure 28 Determined costs nominal in M€

The following table includes the determined costs in real prices (EUROs 2009) in each of the FABEC Member States and the aggregation of these costs at FABEC level (total of Bn€ 2.5 in 2014).

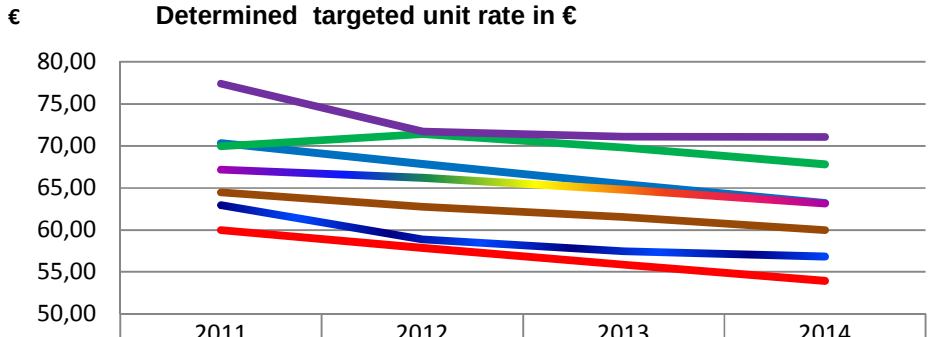


	2011	2012	2013	2014
Switzerland	112,8	107,0	108,7	111,2
The Netherlands	161,1	157,8	157,1	158,8
Germany	904,2	950,5	956,9	957,5
France	1.119,8	1.129,2	1.134,5	1.142,4
Belgium/Luxembourg	154,7	155,0	153,8	153,1

Figure 29 Determined costs in EUROs 2009 (M€)

3. Targeted unit rates (to be combined with number 4)

The next table shows the targeted determined en route unit rate in each FABEC Member State (expressed in EUROs 2009) and at FABEC level. The table includes also the targeted average EU wide determined en route unit rate.

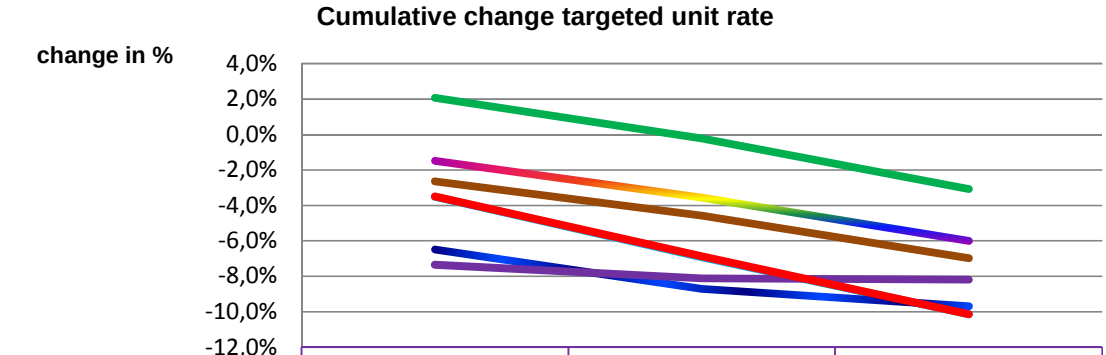


	2011	2012	2013	2014
Belgium/Luxembourg	70,34	67,86	65,47	63,21
France	64,48	62,78	61,54	59,99
Germany	69,97	71,42	69,81	67,82
The Netherlands	62,94	58,86	57,47	56,84
Switzerland	77,40	71,71	71,11	71,06
FABEC	67,19	66,21	64,79	63,16
EU-wide target	59,97	57,88	55,87	53,92

Figure 30 Determined targeted unit rate in €

4. FABEC intermediate values and targeted determined en route unit rate.

The cumulative changes of the determined en route unit rates in each FABEC Member State and the weighted average FABEC determined en route unit rate are given in the table below. The trend in each national determined en route unit rate and in the weighted average FABEC unit rate is compared with the cumulative change of the targeted average EU wide determined en route unit rate.



	2012	2013	2014
Belgium/Luxembourg	-3,5%	-6,9%	-10,1%
France	-2,6%	-4,6%	-7,0%
Germany	2,1%	-0,2%	-3,1%
The Netherlands	-6,5%	-8,7%	-9,7%
Switzerland	-7,4%	-8,1%	-8,2%
FABEC	-1,5%	-3,6%	-6,0%
EU-wide target	-3,5%	-6,9%	-10,1%

Note: as the Belgium/Luxembourg cost efficiency performance is exactly meeting the targeted average EU-wide determined en route unit rate development, the Belgium/Luxembourg performance line is not visible.

Figure 31 Cumulative change targeted unit rate

The comparison between the development of the targeted average EU wide determined en route unit rate and its intermediate annual values and the development of the average aggregated FABEC determined en route unit rate and intermediate values shows that the aggregated FABEC cost-efficiency performance is not meeting the EU wide cost efficiency target.

As this FABEC performance on cost-efficiency is just an aggregation of national efforts, the reasons of the difference with the EU values are to be found in the individual national performance plans on cost efficiency which are included in Annex A of this FABEC Performance Plan.

PI #1: Average FABEC determined UR for terminal ANS process description to be included

This PI has to be monitored because the Commission intends to set a target on the terminal air navigation service costs to be used as a KPI in the second reference period.

The following PIs are meant for gathering more detailed cost information in order to understand better the tendencies in the cost efficiency. These PIs do not contain prospective information. Thus, the monitoring of these additional PIs will take place annually, the more so as the Annual Performance Review Report of the PRU contains these data already.

PI #2: Determined en route cost/revenue:

This PI is important because it gives information about the effectiveness of the ANSPs' cost management.

PI #3: Total en route cost per flight hour

This PI gives an indication on the development of the productivity of the ANSPs.

PI #4: Total economic cost per flight hour
This indicator includes information on all the relevant costs related to ANS, not only the costs of the service provision itself, but also the costs of delays and environmental costs. Thus, it reflects an overall picture of the integral ATC costs.

(5) *Military mission effectiveness*

Indicators were developed to measure the efficiency of the FUA process, in order to ensure Military Mission Effectiveness (MME). They will evaluate the military training capabilities and readiness postures as required by States, in regard of capacity and environment performance. The rationale of having additional MME KPIs and PIs within FABEC is developed within Chapter 4.

For the first reference period, 3 KPIs and 4 PIs are being further developed. A complete, detailed description of the MME KPIs and PIs can be found in the FABEC Military Performance Handbook.

KPA "Military Mission effectiveness"

Even if the Booking principles become harmonized, civil/military cooperation models applied are different from one State to another. Calculation formulas are common, but, due to the disparity of procedures and ASM systems, reference data to put in are different. As a consequence, comparison and aggregation of all data at FABEC level are not relevant.

Therefore, at least for the beginning of the first reference period (RP1), each State will have its own performance targets on KPIs attached to KPA MME. These performance targets are expected to be provided at FABEC level for the second reference period.

So, the FABEC military have the following general objectives:

- Harmonize reference data for measurement and analysis
- Ensure repository of data
- Look for FUA best practices
- Strive to define MME objectives at FABEC level for RP2

Key Performance Indicators related to KPA "Military Mission Effectiveness"

The following common MME KPIs are being further developed within FABEC:

FABEC KPI #1

Published SUA structure vs Optimum SUA dimension

This KPI demonstrates percentage-wise how closely the published SUA dimensions conforms to the Optimum SUA dimensions per mission type for the most penalizing mission in that SUA.

FABEC KPI #2

Percentage of SUA capacity Allocated

This KPI should indicate how much airspace can be allocated after taking the civil constraints into account, compared to the requested SUA.

FABEC KPI #3

Total Training Time vs Total Airborne Time

The result provides a measure of the time actually spent in the SUA compared to the total time airborne.

The table below is a summary of targets adopted by each FABEC member States on KPA MME.

	BELGIUM	FRANCE	GERMANY	THE NETHERLANDS	SWITZERLAND
KPI #1	To improve if smaller than 100%	Monitored (*)	The current situation shall not be degraded	The current situation shall not be degraded	Monitored (*)
KPI #2	100% which is the current situation	Monitored (*)	100% which is the current situation	The current situation shall not be degraded	Monitored (*)
KPI #3	Minimum 85%	Monitored (*)	The current situation shall not be degraded	The current situation shall not be degraded	Monitored (*)

(*)The current situation of MME shall not be degraded

Figure 32 FABEC KPIs on MME

Additional information regarding assumptions for calculation and targets for each MME KPI at national level can be found in Annex D.

Performance Indicators related to KPA "Military Mission Effectiveness"

These PIs are expected to be measured at FABEC level for the second reference period. The following common MME PIs are being further developed within FABEC:

FABEC PI #1

Percentage of SUA Requested

This PI shows how much a SUA is requested compared to the time the SUA is available for booking.

FABEC PI #2

Percentage of SUA capacity Used

The result provides the percentage of the allocated airspace that has actually been used.

FABEC PI #3

SUA Time Allocated vs Time Requested

The result indicates the percentage of time a SUA has been allocated compared to the time it has been requested, due to civil constraints.

FABEC PI 4

Average Transit Time

This PI provides the average transit time per aircraft to and from the SUA.

Additional information regarding assumptions for calculation and monitoring for each MME PIs at national level can be found in Annex D.

2.2 Consistency of the performance targets with the European Union-wide performance targets

(1) Safety

According to EU regulation 691/2010 no EU-wide targets are required and set for RP1. However the defined objectives are supporting the safety indicators mentioned in the Performance Implementing Rule.

(2) Environment

While in accordance with the Commission's recommendations laid down in the Commission decision paper on the EU-wide targets, the FABEC environment targets are set on other indicators. These targets support the achievement of the EU-wide target as described in chapter 1.1.b, mainly through airspace design projects.

(3) Capacity

c.1) Assessment of the use of EUROCONTROL indicative "reference values"

EUROCONTROL has developed a model for the capacity planning process, including network effects. This model is meant to help the ANSPs assess whether their capacity enhancement plans are likely to allow reaching the desired level of delay at network level, in the coming year(s), on the basis of various STATFOR traffic assumptions. The capacity enhancement plans of all ANSPs are gathered in the LSSIP documents, detailing capacity enhancements and expected capacity by ACC. On the basis of these plans, the EUROCONTROL CASA (Computer Assisted Slot Allocation) tool can also derive the delays forecasts for the coming summer season by ACC from the latest STATFOR traffic forecasts updates, and/or over the coming years, for informing the Provisional Council and fostering possible short-term actions.

By using this tool and an iterative optimisation process, EUROCONTROL Operational Planning unit has derived from the 2009 traffic, the en-route delays and the capacity values, and from STATFOR "medium" traffic scenario, a series of "optimal" en-route capacity values at ACC level, and associated delays at FAB, ANSP and ACC levels, so as to obtain a 0.5 minutes per flight en-route delay in 2014 (0.7 in 2012 and 0.6 in 2013)[11].

For FABEC as a whole, the indicative "reference values" computed by EUROCONTROL are:

0.52 min / flight in 2012, 0.47 min / flight in 2013 and 0.40 min / flight in 2014.

The EUROCONTROL model, by definition, implied that if these indicative reference values were chosen by all States or FABs (according to the type of local performance plans), then they would collectively be consistent with EU-wide performance-target at network level.

However, this model, as every model, contains "built in" limits, mainly:

- Unavoidable approximations (capacity is modeled at ACC level, not the sectors; the direct capacity costs are "long term" and do not take into account possible transition costs that may vary according to the timelines; the choice of the "representative" period for past capacity may impact the results; the way the capacity of terminal units were taken into account in a network effect is unclear);

[11] With respectively 1 minute/flight in summer 2012, 0.85 minute/flight in summer 2013 and 0.7 minute/flight in summer 2014 – and 0.3 minute/flight in winter all years.

- The model does not assess whether ways to increase the capacity at the level reflected by the delay "reference values" would be achievable in this timeframe,
- Neither does the model assess the costs of this additional capacity.

c.2) FABEC ANSP Capacity Forecast

AFG/PMG have computed the delays from capacity forecasts based on a capacity-planning exercise of March 2011, updated in June 2011 (both delivering the same results). Combining the delay forecasts by ANSPs taking into account the STATFOR traffic forecasts, the model provides the following figures:

1.11 min / flight in 2011, 0.77 min / flight in 2012, 0.68 min / flight in 2013 and 0.55 min / flight in 2014.

The graphic below compares the figures from both approaches, whereas the green line depicts the EUROCONTROL indicative "reference values" for FABEC. The blue line shows the FABEC ANSP Capacity Forecast delay forecasts [based on ANSP capacity planning] for FABEC.

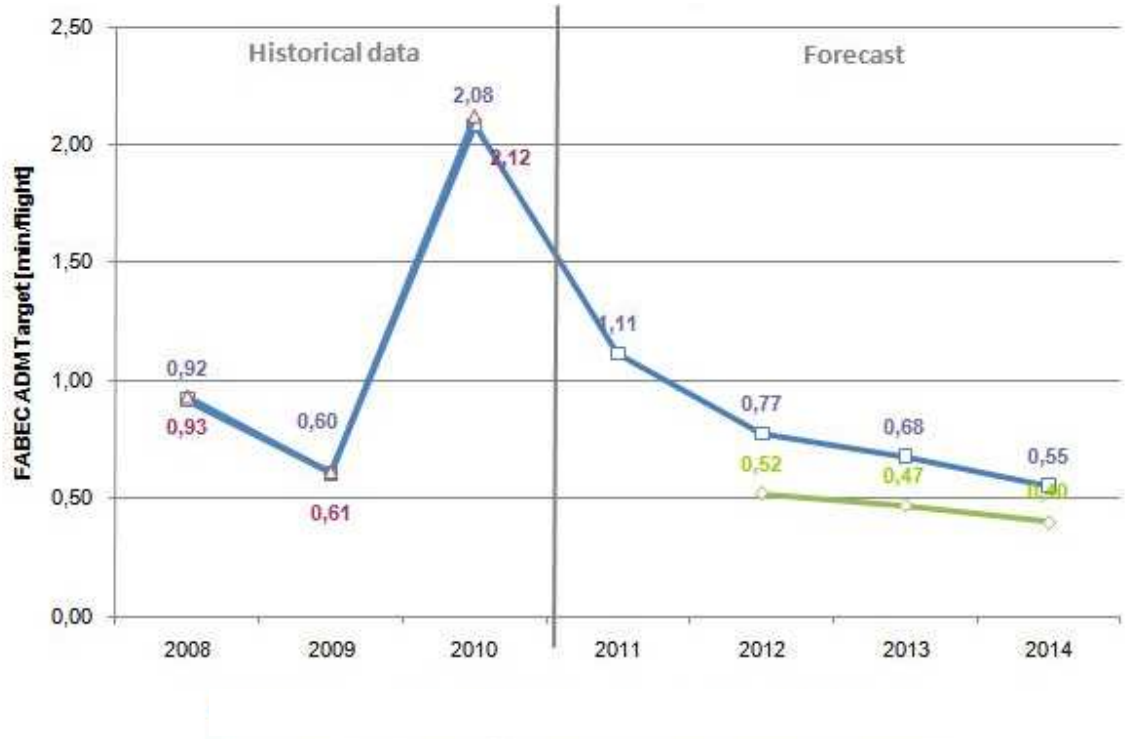


Figure 33 FABEC ADM Capacity Planning

These proposals rely on the plans by the ANSPs of the best improvements they deem achievable during the period, both individually and collectively, taking into account the combined need for cost-efficiency gains and for a balance with the national targets on en-route determined unit rates.

The main improvements are described in section 2.1.d.

The authorities of the 6 FABEC States, after hearing the ANSPs and after consulting the users, and the staff, jointly considered the following.

The main advantages of basing the states' decision on the FABEC ANSP Capacity Forecast are:

- to offer better confidence that the targets will be achievable by the ANSPs,
- to better ensure consistency of the national cost-efficiency targets with the means to achieve the capacity targets.

In this respect, setting too low targets on capacity would push ANSPs to commit on additional means, inter alia in the area of human resources. Such pressure may likely push the costs upwards, yet not ensuring that the additional capacities could be delivered within these next three years, due to the typical lead times.

In addition, setting a too low targets on capacity would entail triggering every year "corrective action plans", which would most likely prove excessively burdensome, costly and ineffective, would discourage people working on capacity improvements and would question the adequacy of the system.

c.3) Stakeholder comments

States took due account of the comments from the stakeholders, described in 1.3, among others:

- The users declared them disappointed that the values from the approach presented by the FABEC ANSPs, based on capacity planning, did not guarantee convergence with the EU-wide target set by the Commission. They advocated the FABEC States to set the 2014 target further down, to the CEF reference value.
- The staff representatives declared they believed the EU-wide targets are unrealistic, and that the States should consider more realistic targets, including on capacity, without fearing that EU-wide targets would have to be revised if the aggregated local targets would collectively be higher.

c.4) Conclusion

Although the FABEC targets are above the indicative "reference values" from the EUROCONTROL model, the State authorities consider that **setting the 2014 target at 0.5 minutes per flight is the most ambitious and reasonable contribution to the EU-wide target**.

In between the planned value [result of capacity planning exercise] at 0.55 minute per flight and the EUROCONTROL indicative "reference value" of 0.40 minute per flight, it goes into the direction of the wish expressed by airspace users by putting an additional pressure on performance. It is the same figure as the EU-wide target, and is clearly below the average of the years until 2009[12].

2.3 Interrelations and trade-offs

It is commonly recognized that interdependencies between all KPAs and related targets exist. FABEC has limited its assessment to qualitative terms as was also done with the EU-wide targets.

In setting FABEC targets the States were conscious of the need to ensure that Safety does not get compromised.

2.4 Carry-overs from the years before the reference period

Tables indicating the carry-overs per individual Member State are included in the national plans on cost efficiency. A table containing the total amount of all the national carry-overs does not have any added value.

The rationale for this is that these carry-overs only influence the chargeable unit rate.

[12] (2010 being a year of many "abnormal" situations)

2.5 Parameters used by the Member States in the setting of the risk-sharing and incentives

States decided that the FABEC Performance Plan will not contain financial incentives (neither ex ante nor ex post). At FABEC level there are only non-financial incentives (see for more details in Chapter 3.2 on incentives) applied.

3 CONTRIBUTION OF EACH ACCOUNTABLE ENTITY

3.1 Individual performance targets for each accountable entity

The 7 ANSPs are considered as “collectively accountable” for the targets and objectives on FABEC level, through the following measures:

An ANSP coordinator, initially the AFG/PMG, acting as the interface with the FABEC Financial and Performance Committee, shall deliver an ANSP process description document by the end of 2011.

This process shall ensure “internal” monitoring, reporting and, as appropriate, proposing actions up to the level of specific ANSPs, or at FABEC level - either by their own initiative or on FPC / NSAs’ request

This process is managed by the ASB, “the accountable entity” (in the absence of a legal entity representing the ANSPs at FABEC level).

3.2 Non financial incentive mechanisms to be applied on each entity

a. General introduction

In Article 11 of the Performance Regulation incentives are described. A distinction is made between financial and non-financial incentives. No distinction is made between ex ante incentives (both the reward and its volume and the criteria for obtaining the reward are set in advance) and ex post incentives in the form of corrective actions to be decided in case of underperformance and depending on the degree of underperformance.

In the following table the applicable incentives for each KPA are presented.

KPA	Non-financial
Safety	n a
Capacity	Ex post: Corrective action (s) depending on the degree and causes of the underperformance
Environment	Ex post: Corrective actions
Military Mission Effectiveness	n a

Figure 34 Overview non-financial incentive mechanisms

The non-financial incentives on capacity and environment are elaborated below.

(1) Capacity

In case the corrective actions undertaken by the ANSPs (as referred to in chapter 6) do not deliver the result of achieving the capacity target to be met after a given year, then the FPC (assisted by the NSAC) shall activate the incentive mechanism, consisting in:

i) identifying the locations and causes of the overall and local sub-performance;

ii) identifying corrective actions, at FABEC level and/or at local level;

iii) the ANSPs concerned elaborating an action plan to address the identified overall underperformance at FABEC level and if necessary at local level, together with associated timelines, taking due account of the other developments planned both at national and at FABEC level to achieve the required performance levels.
In case that action plan would impact other developments planned the concerned ANSPs should be associated to the action plan. Also, the corrective actions should take account of their impact to other targets set otherwise.

Where appropriate, links between this action plan and any other action plan as may be decided in the EUROCONTROL and/or the EU Network Management framework, shall be described;

iv) setting checkpoints with dates for specific reports in a proportionate manner, assessing the progress made at predetermined intervals.

Depending on the situation the FPC could take any other appropriate action deemed necessary.

It is noted that some of such corrective actions at ANSP level (implementation of FABEC OPS initiatives, recruitment, investment) may have a lead time which exceeds the duration of RP1, so that their effect will not, in part or at all, get perceived before RP2.

Concretely: the Finance and Performance Committee / NSAs will require the ANSP coordinator to trigger the ANSPs process to identify, as appropriate, corrective actions up to specific ANSPs and/or at FABEC level.

(2) *Environment*

In case the EU-wide environment target would not be met after a given year, the initiative for corrective actions lies within the Network Manager. In case the FABEC environment targets after corrective actions by the ANSPs would not be met at the end of the reference period, the FPC (assisted by the NSAC) shall trigger the incentive mechanism, consisting in:

i) identifying whether implementation of airspace design improvements planned at FABEC and national level was delayed from original plans, and the areas most concerned;

ii) identifying the contribution of airlines to the sub-performance;

iii) identifying corrective actions, at FABEC level and/or at local level;

iv) requiring from the ANSPs concerned an action plan to address the identified underperformance, taking due account of the other developments planned both at local and at FABEC level. In case the action plan would impact other developments planned the concerned ANSPs should be associated to the action plan. Where appropriate, links between this action plan and any other action plan as may be decided in the EUROCONTROL and/or the EU Network Management framework, shall be described;

iv) setting checkpoints with dates for specific reports in a proportionate manner, assessing the progress made at predetermined intervals.

Depending on the situation the FPC could take any other appropriate action deemed necessary.

It is noted that some of such corrective actions at ANSP level (implementation of FABEC OPS initiatives, recruitment, investment) may have a lead time which exceeds the duration of RP1, so that their effect will not, in part, become visible before RP2.

4 MILITARY DIMENSION OF THE PLAN – PERFORMANCE OF THE FUA APPLICATION

4.1 Civil/Military dimension of the Plan

The FUA Concept has stated that airspace is no longer designated as "civil" or "military" airspace, but considered as one continuum and allocated according to user requirements. The FUA Concept, enhancing civil/military co-ordination, allows the maximum shared use of airspace. Thus, it provides the Air Traffic Management (ATM) system with the potential to increase capacity and improve the environmental performance, while taking due account of Military Mission Effectiveness (MME).

4.2 Improvement of FUA, measures planned

According to the FABEC Treaty, the Contracting States shall cooperate at legal, operational and technical level for the efficient and consistent application of the concept of flexible use of airspace (FUA) taking into account both civil and military requirements.

Within this perspective, FABEC States strive to elaborate harmonized airspace booking principles. Thus, FABEC will be provided with a common airspace planning process and timeframe, enhancing coordination between Civil and Military. Nevertheless, applied procedures are different from one State to another. Therefore, during the first reference period, each member State will enhance its current procedures using generic rules defined at FABEC level, as necessary.

The measures planned by the different FABEC States can be found in Annex D.

5 ANALYSIS OF SENSITIVITY AND COMPARISON WITH THE PREVIOUS PERFORMANCE PLAN

5.1 Sensitivity to external assumptions

Although no quantitative sensitivity analysis has been carried out, it is obvious that the FABEC Performance Plan could be impacted by different external factors such as traffic evolution, volatilities in inflation rates, exchange rates, the oil price evolution or changes within the general economic situation, etc.

For example if the FABEC economies contract severely, traffic volumes are likely to decrease significantly, leading not only to financial impacts but e.g. less difficulties with capacity. A change of the international circumstances can alter the military needs in order to face this situation. This might influence capacity as well.

5.2 Comparison with previous performance plan

In the absence of a previous FABEC Performance Plan this is not applicable in Reference Period 1.

6 IMPLEMENTATION OF THE PERFORMANCE PLAN

Monitoring and reporting

6.1 General introduction

This chapter focuses on the general notions on monitoring and reporting and on measures put in place to implement the FABEC Performance Plan through the monitoring and the reporting process. A detailed description of the process is to be found in the document on the FABEC Performance Plan Process description.

The corrective actions described in this chapter are different from the corrective actions which will be activated as incentive schemes when the targets set and/or the annual reference/indicative values are not met. This kind of corrective actions (incentives) are described in section 3.2. Those described here are the corrective actions resulting from monitoring findings and recommendations of the FPC and taken by the ANSPs themselves in order to ensure that the achieving of the target set is on the good track.

Objectives of the monitoring

The main objectives of the monitoring are the following:

a. to check that performance complies, or is on the right track to comply with the targets set, and, in case it does not, to trigger any suitable action;
b. to ensure transparency towards the users, the PRB and the European Commission, and to feed user consultation;
c. to prepare the future target setting and/or the implementation of additional KPIs;
d. to ensure, at operational level, that actual performance matches with the reporting;
e. to feed the FPC with proposals for improvements of performance that will have to be discussed with AFG/PMG.

General organisation of the monitoring and reporting

The monitoring will be carried out under the auspices of the Financial and Performance Committee (FPC), assisted by the NSA Committee (NSAC) as appropriate.

The FPC is the counterpart of the European Commission at the States side. Doing this the FPC will consult and/or report to the FABEC Council appropriately.

The FPC is also responsible for the monitoring of the implementation of safety indicators by the national NSAs and relevant administrations.

The ANSPs agree on a process among themselves to address delay and, where appropriate, environment issues identified at local and FABEC level, whether part of the corrective action plans imposed by NSAs, or as own improvement actions.

During the second half of 2011 the TF SP will refine the Monitoring process along these lines and will include it in the Performance Process Description Document. The ANSPs will detail their process in a document communicated to the FPC/NSAC.

6.2 Scope of Monitoring

The performance monitoring will in particular focus on the issues described hereafter:

1) The achievement of the performance related issues (if any) defined in the ANS State Safety Programme(s) and ANSP business plans. The monitoring of the non performance related issues in the

ANS State Safety Programme(s) and ANSP business plans are carried out through the normal oversight in accordance with EU Regulation EC2096/2005 (Common Requirements Regulation).

The actual performance of the indicators listed in section 1.2 and their comparison against the targets set.

2) The actual achievements of external assumptions and external factors affecting key performance indicators to which the performance is deemed to be sensitive as set out in section 5.1. On the basis of quarterly reports of the AFG/PMG, the FPC will draft a report on the achievements of these assumptions and external factors. The FPC shall present its findings to the FABEC Council and to the European Commission as part of its annual report, mentioned under point 6.3.

3) The reaching of the EU-wide and FABEC alert thresholds beyond which alert mechanism may be activated.

   The ANSPs will quarterly report the development of the traffic volume expressed in total service units and via the AFG/PMG to the FPC. When the traffic volume alert threshold, at EU-wide level or at FABEC level, is reached, the FPC will in liaison with the European Commission initiate a situation review procedure on the basis of article 18 of the Performance Regulation.

4) Furthermore, it is important that the FPC receives periodically information on the progress in developing the KPIs for the second reference period and the harmonisation of the definitions, methods and systems to be used, e.g. in the field of safety. The reporting frequency on the PIs to be monitored in during the reference period is described under point 6.4.

6.3 Reporting and corrective actions

On a quarterly basis and through the AFG/PMG the ANSPs shall collectively submit a report to the FPC on their joint progress in achieving the FABEC targets set and reference or indicative values and on the results and analysis of the capacity, environment and safety performance at appropriate level (FABEC, ANSP and/or ACC levels).

In case the FABEC targets set and/or the annual/reference values are threatened not to be met the AFG/PMG's report shall include any action which the ANSPs determine fit to react to weaker performance in the parts of FABEC mostly affected by delays, at FAB, national and/or ACC level, in order to remedy the situation. In this report the ANSPs will also describe to which extent they have complied with the findings of and the recommendations made by the FPC during the monitoring process.

The FPC shall analyze the reports, assess the actions considered by the ANSPs together with the necessity of appropriate measures to be taken by the States or the NSAs and shall make an advice to the proposals, made by the AFG/PMG, to the FABEC Council for such appropriate measures, after consultation with the AFG/PMG.

The measures to be taken shall take into account the seriousness of the risk of not meeting the targets set and/or the annual/reference values. They could include an activation of a higher frequency of monitoring and reporting of the FABEC ANSPs and, where appropriate, ACCs, which are causing the under-achievement of the targets or the annual/reference values.

In its annual report to the European Commission the FPC will report on the measures taken to ensure that the Performance Plan is appropriately implemented. The report will also include information, if any, regarding external assumptions and external factors affecting key performance indicators to which the performance is deemed to be sensitive.

If at the end of the year and/or the reference period the targets and/or annual values set have not been achieved the incentives described under Sections 3.2 shall apply.

6.4 Reporting frequency on the PIs

The reporting frequency on the PIs to be monitored during the reference period will be described in the Process Description – Document which will be elaborated in the second half of the year 2011.

6.5 Adoption of the Performance Plan

In case it is decided to adapt the Performance Plan due to the meeting of the alert thresholds, a new Performance Plan will be drafted in an orderly process, which is organised the same as for the initial Performance Plan.

ANNEXES

Annex A National Performance Plan on Cost Efficiency and Additional Performance Indicators / Targets

(1) *Belgium / Luxembourg*

(2) *France*

(3) *Germany*

(4) *The Netherlands*

(5) *Switzerland*

Annex B Capacity

In addition to the summary list of the major measures planned by the ANSPs contributing to reach the capacity target (chapter 2.1(3)), the following more detailed list provides all measures, projects and significant events planned per year, including the effects, the measures do have on capacity increase.

ANSP	ACC	Capacity measures / Projects / Significant events		
		2012	2013	2014
Belgocontrol	ACC Brussels (EBBU)	Optimum use of sector configurations		
		Improved ATFCM Procedures		
		Improved route network On-going recruitment of controllers Improved FUA level 2		
		EBCI project	FABEC West project	
		Olympic Games London		
	Capacity Increase p.a.	+2%	+3%	+2%
DFS Deutsche Flugsicherung GmbH (DFS)	ACC Bremen (EDWW)	Airspace/Procedures BBI 31/05/2012, New BBI Airport 3/06/2012	Implementation of PAM BBI Sep. 2013	FABEC IP Central West/CBA Land (2014 – 2015)
		New division level (FL315) between EDUU and EDWW (End of 2012)		Development of new airspace structure ACC Bremen
		Opening of BBI, Closure of EDDT, ILA BBI		ILA BBI
	Capacity Increase p.a.		+2%[13]	
	UAC KARLSRUHE (EDUU)	New division level (FL315) between EDDU and EDDW (End of 2012)		
		Shift of upper airspace Munich to Karlsruhe (VoLMuK) Nov.-Feb. 2013		
		Positive effects of new ATS system (P1/VAFORIT)		
		Mitigation of Staffing Problems		
		Olympic Games London	3rd RWY Munich airport	
	Capacity Increase p.a.	+7%	+7% (+12%[13])	+9%
	C MUN ICH	Shift of upper airspace Munich to Karlsruhe (VoLMuK) Nov.-Feb. 2013	Split of sectors ALB in Low und High, INN in East and West,	Split of sector SAS in High and Upper

		Implementation of PSS Munich, sector families East & APP 04.-17/04/2011 Implementation of „SATELLITE“ Position APP MUC	Implementation of High sectors above RDG/EGG	Implementation of PAM MUC (2014-2015)
		Training for relocation of upper airspace control	3rd RWY Munich airport	
	Capacity Increase p.a.		-26%[13]	+2%
	ACC LANGEN (EDGG)		Upgrade of P1/ATCAS system (PSS) EBG02/08	Upgrade of P1/ATCAS system (PSS) EBG03/04 &05/10
		Increased staff levels		
	Capacity Increase p.a.		+4%	+3%
Direction des services de la navigation aérienne (DSNA)	**ACC Bordeaux (LFBB)**	Optimise Airspace Management and ATFCM Procedures Optimisation of sector configuration management		
			ESSO Project	
			Change of DFL between upper and lower airspace	
	Capacity Increase p.a.	+4%	+3%	+1%
	ACC Brest (LFRR)	Optimise Airspace Management and ATFCM Procedures Optimisation of sector configuration management		
			TSA 68 (more dynamic ASM)	Manche + evolution project
		Reorganisation of lower airspace and delegation of ATS to APP units below FL145 (for relevant airspace)	Reorganisation airspace below FL145 (2nd & final step)	Change DFL UIR/FIR
		Olympic Games London		
	Capacity Increase p.a.	+5%	+4%	+2%
	Marseille (LFMM	Optimise Airspace Management and ATFCM Procedures Optimisation of sector configuration management Reorganisation of interface with LECB (LUMAS)		

[13] Due to the relocation of upper airspace control there will be a capacity reduction in Munich of 26%. This correlates with a capacity increase of 15% in Karlsruhe.
Due to the new division level in Bremen Karlsruhe indicates a capacity decrease of 3% in Karlsruhe and a capacity increase of 2% in Bremen.

		Reorganisation of lower airspace and delegation of ATS to APP units below FL145		
		Full Provence project		
	Capacity Increase p.a.	+5%	+6%	+3%
	ACC Paris (LFFF)	Optimise Airspace Management and ATFCM Procedures Optimisation of sector configuration management		
			Re-organisation of lower airspace and delegation of ATS to APP units below FL145 (for relevant airspace)	Manche + evolution project
			IRP 2013 preparation (re-sectorisation UJ/AR/SU)	
		FABEC route network improvement (tbd)	IRP 2013 (transfer) SWAP interface	IRP 2013 follow-up: Paris SE arrivals optimisation
		DVR I step 1 (delegation ATC beside TP)	DVR I step 2 (TP) Manche update (tbc)	
			PMS-TE NW (TP)	PMS-TE NW refinement (tbd)
			PMS-TE NE [IP Lux] (TB/TE)	PMS-TE NE refinement (tbd) [IP Lux]
		Grenelle - Change of transition altitude		PMS-TE SW
		Olympic Games London		
	Capacity Increase p.a.	+3%	+4%	+3%
	ACC Reims (LFEE)	Optimise Airspace Management and ATFCM Procedures Optimisation of sector configuration management		
		Re-sectorisation (additional layer over KH and new DFL between KR and HR)	Swap UN852/UN853 1st step (FABEC)	Swap UN852/UN853 2nd step (FABEC)
		Re-sectorisation UY (tbd)	Re-organisation of lower airspace: ELLX interface	
			DOVER II (FABEC)	
			IRP 2013 (transfer) SWAP interface	
		DVR I step 1 (FABEC)	DVR I step 2	
		Olympic Games London		
	Capacity Increase p.a.	+2%	+3%	+2%

Luchtverkeers-leiding Nederland (LVNL)	ACC Amsterdam (EHAA)	Optimising the sector opening schemes		
		Optimise ATFCM procedures		
		Increased cooperation with military ANSP		
		Olympic Games London		
	Capacity Increase p.a.	+2%	+2%	+2%
Maastricht UAC	MUAC (EDYY)	Free Route Airspace MUAC (FRAM)	Free Route Airspace MUAC (FRAM)	MARS2
		NTCD	NTCD	LUX airspace re-design
		LARA	LARA	TMS
			TMS	
	Capacity Increase p.a.	+2,5%	+3%	+5%
Skyguide	ACC Geneva (LSAG)	Increased staff levels		
		EFD	New Stripless HMI (New Lower – Upgrade Upper) FASTI-SYSCO	
			FABEC - ATFCM / ASM	
			Datalink CPDLC	
			Mode S enhanced surveillance	
		Revised sector capacities following CAPAN study	Cross qualification of ATCOs (Upper/Lower)	
	Capacity Increase p.a.	+4%	+3%	+2%
	ACC Zurich (LSAZ)	Continuous recruitment to maintain staff level		
		Revised sector capacities following CAPAN study	Mode S enhanced Surveillance	
		FABEC ATFCM / ASM		
		EFD	Datalink CPDLC	
			Implementation of stripless system FASTI	
	Capacity Increase p.a.	+3%	+6%	+4%

Annex C Safety

PI #1: Effectiveness of Safety Management

Description

The Safety Maturity Survey methodology has been revised in 2010, therefore a set of targets can only be developed after the first baseline survey has been completed and a thorough analysis has taken place. Safety Maturity scores will be monitored for both ANSPs and ATM Regulators within FABEC Member-States.

Indicators shall reflect the scores obtained by any of the 7 ANSPs and the 6 states and identify maturity scores in the different study areas. ATM Regulators scores are subject to the revision of the methodology in 2011 and therefore will not be assessed before the implementation of the new questionnaires and results analysis.

For performance monitoring process, at the end of RP1, the values of this PI shall be linked with PI#2 and PI#3 to provide evidence of improvement of the whole safety performance associated with improvement in Safety Management Systems.

Data display for ANSPs

Aggregated results from the last survey shall be displayed in spider diagrams including minimum – average – maximum scores as derived from the methodology for each study areas.

This indicator consists in the annual measurement of the following studies areas and their distinct sub-objectives:

SA1 : Development of a positive and proactive safety culture

SA2 : Organizational and individual safety responsibilities

SA3 : Timely compliance with international obligations

SA4 : Safety standards and procedures

SA5 : Competency

SA6 : Risk management

SA7 : Safety interfaces

SA8 : Safety reporting, investigation and improvement

SA9 : Safety performance monitoring

For each query of these domains, it exits 5 levels of achievement (identified in the survey from A to E):

1) Initiating A
2) Planning/initial implementation B
3) Implementing C
4) Managing & measuring D
5) Continuous improvement E

Baseline and elaboration of the objectives

ANSPs Objective for RP1

Based on the FABEC ATM Safety Maturity Survey scores from the 7 ANSPs, a baseline shall be defined during 2012, and an objective shall be set for the 2013-2014 period, on the level to be achieved at the end of RP1.

Defining the baseline

The individual ASNP scores of the situation in 2011 will be used to define the baseline of the aggregated FABEC score [minimum, average and maximum score].

Setting the objective

Financial and Performance Committee and ANSPs will determine study areas for improvement-click(s) based on the minimum score. After agreement with FPC, the AFG/PMG will propose for every improvement click an action plan.

Monitoring

At the end of RP1, Financial and Performance Committee will verify that the action plan(s) have been successfully implemented. Together with the submission of the requested safety data in June every year, the AFG/PMG will provide a progress report to FPC.

States Objective for RP1

Based on the FABEC ATM Safety Maturity Survey scores from the 6 states, a baseline shall be defined during 2012, and an objective shall be set for the 2013-2014 period, on the level to be achieved at the end of RP1.

Defining the baseline

The individual states' scores of the situation in 2011 will be used to define the baseline of the aggregated FABEC score [minimum, average and maximum score].

Setting the objective

Financial and Performance Committee and states will determine study areas for improvement-click(s) based on the minimum score. After agreement with FPC, the NSAC will propose for every improvement click an action plan.

Monitoring

At the end of RP1 the Financial and Performance Committee will verify that the action plan(s) have been successfully implemented. Together with the submission of the requested safety data in June every year, the NSAC will provide a progress report to FPC.

Data collection

Aggregation of the individual results shall be done at FABEC level in June each year together with the release of the results by ANSPs and states.

For ANSPs the Financial & Performance Committee will request the AFG/PMG to collect and provide the required data.

For states the Financial & Performance Committee will request the NSAC to collect and provide the required data[14].

PI #2: Application of the severity classification of the Risk Analysis Tool

Description

Risk is a factor that exists in every human endeavor, including operations involving aircraft whether in the air or on the ground. Each movement of aircraft involves some level of risk because the system, being human-based, is fallible. Identifying and mitigating risk is critical to increasing the level of safety.

The Risk Analysis Tool (RAT) provides a method for consistent and coherent identification of risk elements. It also allows users to effectively prioritize actions designed to reduce the effect of those elements. The RAT tool has evolved over time to be a sophisticated yet simple program for quantifying the level of risk present in any air incident. Requiring only a brief series of program inputs to produce a valid result, the tool expresses the relationship between actions and consequences and provides a quantifiable value to these relationships.

The RAT being in an early process of implementation, the use of the tool shall be encouraged at all level of safety monitoring, including ANSPs, Regulators and NSAs and AAIBs.

In order to collect the required data for performance monitoring this PI has been divided in 3 sub-PIs:

Separation Minima Infringement (SMI)

Runway Incursions (RI)

ATM Specific Technical Events (ATM-STE)

The SMI Sub-Indicator shall consist of:

- The total number of SMI reported by each FABEC ANSPs. This indicator shall include SMI between IFR/VFR-SVFR and OAT traffic for which an ATS separation provision was required.
- The total number of SMI reported involving an ATM ground contribution.
- For data relation purposes, the total number of IFR Flight handled and flight movements during the same monitoring period shall be collected, these figures will be those provided by EUROCONTROL.

The RI Sub-Indicator shall consist of:

- The total number of RI reported by each FABEC ANSPs. This indicator shall include all RI as described by ICAO involving: aircrafts, vehicles and pedestrians.
- The total number of RI reported involving an ATM ground contribution.
- For data relation purposes, the total number of the concerned airports movements handled during the same monitoring period shall be collected.

[14] It is expected, due to the works of the E3 Task Force, that the States Maturity questionnaire will change substantially, and due to the use of the term “NSA” instead of “Regulator” in the EC 691/2010, issues were raised for the completion of the 2011 questionnaire.

The ATM STE Sub-Indicator shall consist of indicators related to 4 categories of ATM technical services: Communication - Navigation - Surveillance (CNS) and Data Processing & Distribution:

- The total number of failures related to communication systems with a severity classification of AA to C according ESARR-2 classification.
- The total number of failures related to navigation systems with a severity classification of AA to C according ESARR-2 classification.
- The total number of failures related to surveillance systems with a severity classification of AA to C according ESARR-2 classification.
- The total number of failures related to Data processing and data distribution functions systems with a severity classification of AA to C according ESARR-2 classification

Data display

Aggregated results shall be displayed in tables including figures related to the 3 types of occurrences to be monitored with historical data (if available) and separate tables describing the use of the Risk Analysis Tool.

The total number of occurrences shall not be used as a solely mean to measure safety performances; it can even impair the whole process of safety improvement.

Safety Data related to occurrences will be collected and aggregated to monitor trends and identify positive and weak points. The assessment of the ATM ground contribution, as measured by the RAT, correlated with improvements in the 2 other monitored PIs will be used as evidence of safety improvements and safety performance.

The purpose of the FABEC Performance Plan is not to benchmark ANSPs on the compared safety occurrences figures, but to provide evidences that the safety level is maintained or improved.

According to the Regulation EC691/2010, the application of the severity classification of the RAT shall be taken under consideration, as required by ESARR2, this classification applies to the following occurrences:

Separation Minima Infringements

Runway incursion

ATM Specific Technical Events

ANSPs shall specify the types of the above occurrences for which the RAT is currently used or used on trial basis, including any limitations if applicable

NB: FABEC partners made the decision to apply the same severity scheme whatever is the number of commercial air transport movements handled in their Air traffic control centre (UAC, ACC, APP, TWR).

Baseline and elaboration of the objectives

ANSPs Objectives for RP1

To allow the harmonization of the reporting of severity assessment, FABEC ANSPs are committed to implement the RAT[15] (Risk Analysis Tool) before the end of RP1.

[15] Other tools shall be subject to approval by the NSAC to establish compliance with the regulation(s) requirements (esp. with regards to the assessment of the severity classification of occurrences and the ATM ground contribution assessment.

In addition, FABEC ANSPs are requested to perform a Cost Based Analysis and an initial feasibility study for the implementation of automated reporting systems, at least for En-Route traffic. The added value[16] of those automated systems shall be assessed and the objectives of those tools shall be clearly identified and stated in Just Culture policies.

ANSPs and NSAs Objectives for RP1

ANSPs and NSAs shall work on the harmonization of definitions, working processes and historical data prior the end of RP1.

Defining the baseline

Data can only be compared if the assumptions and criteria are the same. This means that definitions shall be harmonized at first and working processes and historical data shall be harmonized accordingly.

The defined baseline is the current level of safety and use of the RAT based on the 2010 situation.

Setting the objectives

FPC and NSAC will verify the implementation of the RAT; the effective monitoring of safety levels and the completion and results of the cost benefits analysis and initial feasibility study on the implementation of automated reporting tools. FPC and NSAC will request additional actions if required.

Monitoring

At the end of RP1, FPC will verify the completion of the requested objectives.

Together with the submission of the requested safety data in June every year the AFG/PMG will provide a progress report tot FPC.

Data collection

Safety data shall be collected on a six-month basis, in June and December.

In June (year N) the monthly data from June to December (year N-1) and in December (year N) the monthly data from January to June (year N)

For ANSPs, FPC will request AFG/PMG to collect and provide the required data.

PI #3: Reporting Just Culture

This PI measurement is still under development but will be monitored and publish following the requirements of the amended Performance Regulation.

The following lines are based on the works of the E3 Task Force document issued on 01/06/2011 “Metrics for Safety Key Performance Indicators for the Performance Scheme” and associated presentations. This document and following updates will serve as the basis for developing an amendment to the Performance Regulation, which needs to be adopted by the Commission before RP1.

FABEC Performance Plan will be updated accordingly.

[16] The added value of automated reporting tools shall be based on an initial feasibility study including the assessment of the safety added value and including the impact and/or interactions with outside FABEC systems and with regards to third countries best practices and solutions.
Feasibility study shall be completed prior the end of RP1 and based on the results, the implementation phase should be considered for RP2.

Description

The third safety key performance indicator shall be the reporting of the “Just Culture”.

“Just Culture” means a culture in which front line operators or others are not punished for actions, omissions or decisions taken by them that are commensurate with their experience and training, but where gross negligence, willful violations and destructive acts are not tolerated.

Concept

The concept is based on measuring the level of presence and corresponding level of absence of Just Culture (JC) at State level and at ANSP level.

General principle for metrics

Just Culture KPI is defined through three main areas:

- Policy and its implementation – assessing the existence of JC policy within organizations
- Legal / Judiciary – assessing whether the national legal environment is supportive or not of JC
- Occurrence Reporting and investigation – assessing policies and practices of occurrence reporting

Mechanism for measurement

The Just Culture will be assessed by questionnaires for State and ANSP. Based on YES/NO values covering each of the three main areas. No weighting factors are foreseen for the questions and the evaluation is based on the number of positive and negative answers.

Mechanism for verification

Questionnaires are proposed to be dispatched together with those for the Safety Maturity Survey following the same validation and verification process.

Data display

To be determined, probably comparable to ATM Safety Maturity Survey Framework (PI1).

Data collection

Following the same process as for the other PI1, data collection should occur once a year, in June.

Baseline and elaboration of the objectives

Objectives for RP1

No targets or objective are set for RP1

Defining the baseline

The monitoring of the results from the questionnaires will be used to identify areas having a positive or a negative impact on Just Culture. RP2 will be used to address identified issues.

Setting the objective

No objective is set in RP1.

Monitoring

Together with the submission of the requested safety data in June every year the AFG/PMG will provide a progress report to FPC with the results of the ANSP dedicated questionnaires. For States, FPC will request the NSAC to provide the results of the “States” dedicated questionnaires.

Annex D Military Mission Effectiveness and FUA

(1) *Measures planned at national level in order to improve the FUA process' efficiency.*

BELGIUM

Maastricht UAC (MUAC) and BELGOCONTROL have performed rather well in the capacity area, even if BEL is situated in the core of the core area, with dense and complex traffic. This was realized with the use of innovative ASM techniques, generating capacity in bottleneck areas, and supported by the data from the national Mil ASM tool, AMP II.
The EU wide target of improving ATFM delay so as to reach 0,5'/flight by 2014 is however very challenging, and requires further steps in optimizing the use of airspace. The BEL CAA, MUAC, BELGOCONTROL and the BEL Mil have agreed on several actions to improve capacity and the impact on the environment of civil aviation, while maintaining the high level of flexibility required to assure the Mil operations and training.

FUA Level 1

- BEL Mil strives for a formalized national decision making process in support of the national and FABEC ASM and Airspace Design work;
- BEL Mil will provide via PRISMIL and LARA complete transparency on airspace use data to EUROCONTROL (PRC, CFMU), FABEC Committees and relevant task forces, Civil Aviation Authorities and ANSP's, in order to improve performance. Similar transparency is requested from the BEL ANSP's, to allow informed, performance based decision making.
- The introduction of LARA as replacement of AMP II, will support the transparency, and facilitate real-time CDM between all involved partners.
- When redesigning the airspace (FABEC LUX project e.g.), BEL Mil wants that Military Mission Effectiveness (MME) KPI 1 and 3 improve, or at least remain the same.
- At present, MME KPI 2 is not measured by our AMP II tool, and is considered to be 100%. When transiting to LARA, it will be possible to measure all missions not flown due to civil military CDM.

FUA Level 2

- BEL AMC will issue daily a UUP at 1800L D-1, releasing all airspace above FL100 to civil use prior the first mission of the day. This will allow more planable capacity during the busy morning hours. The same will be done for the airspace between day- and night flight, alleviating the evening peaks.

FUA Level 3

- As soon as LARA is operational at all relevant partners, the improved level 3 arrangements, in place for the REMBA and LUX bottlenecks, will be extended to all other relevant airspace. This is an important enabler for the MUAC FRAM project, and should increase capacity, flight efficiency and safety.
- Civil ANSP's will be able to book airspace to alleviate peak traffic. Mil users will endeavour to avoid these reservations, Mil operations and training requirements permitting.

FRANCE

Since 1993, French Ministry of Transport and Ministry of Defence have commonly developed a national airspace strategy. A common Airspace Management Cell has been established in 1994, creating a strong cooperation between civil and military. Then, there was a huge evolution of the European ATM environment, implementing Single European Sky, and as a consequence, the FABEC.
Thus, French MoT and MoD have signed in December 2010, a new framework agreement for the period 2011-2015. This new strategy intends to contribute to the improvement of the performance throughout Europe, and especially for the FABEC area. The framework agreement takes due account of performance requirements on capacity, environment as well as military needs induced by new weapon systems.
Strategic axes of work have been commonly defined regarding FUA as followed :

FUA Level 1

- Evolution of existing military areas towards variable geometry areas, better fitted for new needs, enhancing the efficient use of airspace (“the just need”) ;
- Conduct airspace design works in the context of FABEC including optimisation of route network ;
- Remove areas when not used due to airbases closure.

FUA Level 2

- Development of the pre-tactical planning of each area used by military taking into account the GAT traffic flow instead of planned sectors capacity, as it was experienced for TSA 200.

FUA Level 3

- Tactical coordination between military and civil will be enhanced by inserting military ATCOs within civil ACCs, by 2015. This will improve the efficiency of the real time ASM.
- The ASM tool, DIANE, is already deployed within operational squadrons and is already used for efficient SUA planning. Future DIANE developments will permit to update the airspace need, closer to the time of operation.

GERMANY

Following the EUROCONTROL Concept, “Flexible Use of Airspace (FUA)” was introduced in 1996 as a first step towards a more efficient civil/military airspace usage. Based on a formal civil/military strategic decision (Level 1) a joint Airspace Management Cell (AMC) was established in 1998 covering the pre-tactical planning process. This included the notification of available Conditional Routes (CDR) outside the actual usage times of Military Training Areas (MTA) for civil flight planning purposes. Additionally, first mechanisms were laid down to allow the claim of extraordinary civil and/or military demand for consideration.
With the start and the still ongoing evolution of the Military Variable Profile Area (MVPA) Project, providing military training airspace tailored to the mission needs while considering increasing civil air traffic demand, considerable effort was made to continuously develop the FUA principles. Moreover, the joint introduction of the CBA Sea 1 together with NLD was a first step towards the establishment of harmonised mil/mil and civ/mil coordination procedures in the framework of the implementation of a FAB allowing for even more efficient airspace usage.

FUA Level 1

- To continue the evolution of and to spread the MVPA initiative;
- To force the development of an electronic and interactive joint civ/mil airspace planning and booking application;
- To actively contribute to the harmonisation of the rules and procedures for the mil/mil and civ/mil coordination in the framework of the FABEC implementation process;
- Where feasible to further harmonise the airspace booking principles.

FUA Level 2

- To continue the evolution of the pre-tactical airspace planning process with allowing for CDM mechanisms based on agreed priority rules.

FUA Level 3

- To continue the contribution to and the intensive work on the implementation of a rolling UUP with a continuous update on available CDRs for civil flight planning to overcome the lacking flexibility after the AUP release. Additionally this will facilitate the tactical reaction on changes for the military airspace user on the day of operation.

NETHERLANDS

End 2011 the Dutch government will agree on its strategic airspace vision set up by the Ministry of Transport and the Ministry of Defence in order to provide political guidance on a national level to comply with national requirements and the international framework formed by SES and FABEC. The main objective of this policy document is to provide guidance regarding the future perspective and context of the way the Dutch airspace is designed, managed and used. This document must be in line with the FABEC development and the (inter)national initiatives regarding the utilisation of airspace and the respective rolls and tasks of the wide range of stakeholders, both civil and military. Within the Netherlands, the civil military cooperation is gaining momentum. The ongoing deployment and enhancement of the AFMU entity (as a centralised focal point in airspace management from a national perspective) and the corresponding processes and procedures is together with the issue of enhanced civil-military cooperation on the political agenda.

FUA Level 1

- Dutch Ministry of Defence strives for a formalized national decision making process in support of the national and FABEC ASM and Airspace Design work in which AFMU will play a vital role;
- Dutch Ministry of Defence plans to introduce PRISMIL and LARA as tools to provide the required data and analyses regarding performance data mainly focussed on MME and the complete transparency on airspace use data to EUROCONTROL (PRC, CFMU), FABEC Committees and relevant task forces. Similar transparency is requested from the civil ANSP's (MUAC and LVNL) to allow informed, performance based decision making.
- The introduction of LARA will support the transparency, enhance the military booking processes and is envisaged to facilitate real-time CDM between all parties involved. The introduction of LARA is expected before the end of 2011.
- At present there are no data available to perform and formal analysis data regarding airspace utilisation and booking performance. With the absence of data (K)PIs cannot be measured and targets cannot be set based on the described data. The introduction of PRISMIL should change this situation; but at least one year of reference data should be build up after the introduction of PRISMIL.

FUA Level 2

- For the activation of two major exercise area's (TRA 10(A) and 12(A)) enhanced FUA application is proving an increased efficiency. The short notice activation option of the TRA's provides the required flexibility on the military side and offers an optional offload on the effected CDR's. All major exercises, requiring a non standard airspace volume with an associated impact on civil capacity, are subject to a coordination processes involving civil and military stakeholders and CDM. If no consensus is reached, formal decision is requested form level 1.

FUA Level 3

- Additional CDR 2 utilisation is envisaged after the introduction of LARA. At present the introduction of new CDR's on the 10th of March involving the TRA 10(A) is expected to provide substantial benefits to civil ANSP's.

SWITZERLAND

Since 1996, Switzerland has implemented the FUA concept according to the EUROCONTROL Handbook. Since 2004, the requested airspace for all military missions (from all squadrons) is centralised in the Air Operation Center (AOC), where a de-confliction already takes place. There is no double booking or reserve booking of TSAs. Then, a weekly Air Tasking Order (ATO) is published to all Swiss aviation actors (ACC and military units) and is transmitted to the CFMU. The Swiss Air Force airspace requests are almost 100% planned a week in advance and correspond to the effective final usage. Switzerland has implemented CDR 1, 2 and 3 and operates them to a great extent, at the satisfaction of the civil and military aviation.

FUA Level 1

- The Federal Office for Civil Aviation (FOCA) is in charge for airspace at Level 1 and defines the airspace structure in Switzerland. The law states, that this airspace definition has to be done in accordance with the Air Force and after consultation of the national ANSP Skyguide. For that purpose an Airspace Regulation Team (ART) including these three parties is established. The National Airspace Management Advisory Committee (NAMAC) is the advisory body to the Airspace Regulation Team and consists of representatives from all areas of airspace users. The legal process established includes a formal consultation with all general aviation bodies concerned. The overhead body of the Airspace Regulation Team is the ANS Regulation Group (ARG) acting as Airspace High Level Body according to Switzerland's airspace policy.

FUA Level 2

- The national AMC (Skyguide) is an integrated and combined CIV + MIL Airspace Management Cell.

FUA Level 3

The military Air Navigation Services are fully integrated with the civil services in one ANSP (Skyguide). Mil ATCO have the full civ-mil radar picture and also a civil license allowing them optimum airspace coordination and release.

With a view to FABEC-level

The FABEC Treaty states that contracting States shall implement a performance plan taking into account civil need as well as military mission effectiveness. Therefore, FABEC armed forces are already involved in the joint ATFCM/ASM "live trial" preparation. They also have great contributions in en route network improvements striving to create cross border training areas aiming to increase the fulfillment of civil and military needs.

Also, a FABEC Airspace Policy is under development for supporting a shared approach to enhance and harmonize the application of FUA, at all three levels (strategic, pre-tactical and tactical).

Hence, clear improvements of the FUA efficiency are expected from FABEC works over the first reference period, although specific figures are not yet available.

(2) *Additional information regarding assumptions for calculation and targets for each MME KPI at national level*

BELGIUM

Notes: A complete, detailed description and results for 2008, 2009 and 2010 of the MME KPI's can be found in the FABEC Military Performance Handbook.
The reference period for the KPI's is 2009.

KPI #1 – Published SUA structure vs Optimum SUA dimension

Description: The result demonstrates percentage-wise how closely the published SUA dimensions conforms to the Optimum SUA dimensions per mission type for the most penalizing mission in that SUA.
Target: To improve if smaller than 100%
KPI 1 for TRA/TSA South: 69,92%.(4 v 4 most penalizing mission).
KPI 1 for TRA/TSA North (BALEN + MEEUWEN): 101,38% (2 v 2 most penalizing mission)

KPI #2 – Percentage of SUA capacity Allocated

Description: This KPI indicates how much requested airspace was effectively allocated, after taking the civil constraints into account.
Target: 100%
Due to technical constraints, this KPI could not be measured for the reference period. The introduction of LARA will allow the measurement of this KPI.

KPI #3 – Total Training Time vs Total Airborne Time

Description: The result provides a measure of the time actually spent in the SUA compared to the total time airborne. Data based on a matrix with airfields and Trg areas, and effectively flown missions data.
Target: Minimum 85%
KPI #6 for BAF: 85,58%

FRANCE

KPI #1 – Published SUA structure vs Optimum SUA dimension

At least as a starting point, this KPI is calculated according to the following assumptions :

- Calculations are made considering the lower limit of the areas at or above FL195. Areas, or part thereof, situated bellow FL195, are not considered
- When areas are published as "unlimited", the higher limit is FL660

KPI #2 – Percentage of SUA capacity Allocated

At least as a starting point, this KPI is calculated according to the following assumptions :

- Request is considered at D-1, 11h30 loc
- Allocation is considered at D-1, 16h00 loc (AUP release)

KPI #3 – Total Training Time vs Total Airborne Time

At least as a starting point, this KPI is calculated according to the following assumptions :

- Distance considered is the direct line from airbase to the area's border concerned
- Speed considered is fixed, and equal to 7 Nm/mn

These indicators will be monitored, with a view that the military mission effectiveness shall not be degraded

GERMANY

KPI #1 – Published SUA structure vs Optimum SUA dimension

Description: There are various mission profiles and the type of aircraft to be considered. Furthermore, there is SUA (e.g. TRA 312) which is not bookable independently or specific missions require that SUA or SUA elements are booked together (e.g. MVPA NE Basic 1+2, TRA 205 A+B, TRA 207 + TRA 307 +Ext. N + Ext. S). Following this, the calculation is very complex and the result may be misleading. For making a comparison possible, two mission types are selected for measurement in a first step well knowing that the result doesn't correctly reflect the real situation with all its aspects.

Target: The current situation shall not be degraded.

KPI #2 – Percentage of SUA capacity Allocated

Description: The calculation comprises all pretactical (D-1 11:00 loc) and tactical (H-3) booking requests. Rejections are considered starting with the data collection for the year 2011. Consequently, the result is 100% so far.

Target: 100%

KPI #3 – Total Training Time vs Total Airborne Time

Description: The average transit time for each individual SUA based on the distance from the different airfields to the SUA is taken into consideration for the calculation.

Target: The current situation shall not be degraded

NETHERLANDS

Due to the absence of data no targets or alerting levels can be indentified for the majority of the (K)PI's.

SWITZERLAND

Note: Since 2006, the Swiss Air Force has it's own system wide, fully integrated and net-centric computer system for all operations planning and execution. This system has already all the necessary data needed for the computation of the KPIs, but not sorted out as requested below or not in the proper format. These data will be inserted in the FABEC Military Performance Handbook.

KPI #1 – Published SUA structure vs Optimum SUA dimension

The evolution of the airspace structure in the last 10 years has been taken into account in the way the Swiss Air Force organize its training. The diminishing airspace allocated to the Air Force has the consequence that the SAF needs to go more and more abroad to fulfill its training needs.
This situation has so far been accepted among the military community.
This KPI will be monitored and the current situation of MME shall not be degraded.

KPI #2 – Percentage of SUA capacity Allocated

As in Switzerland, the airspace structure is given at level 1, with clear priorities to the military in the described airspace from 0800 LT-1700LT, we can say that we more or less get 100 % of what is requested within the given level 1 priorities.
This KPI will be monitored and the current situation of MME shall not be degraded.

KPI #3 – Total Training Time vs Total Airborne Time

Due to the small size of Switzerland, the SUAs are often above the airbase or close to it offering rather short transit times thus giving, combined with our average airborne time, rather good figures for this KPI.
This KPI will be monitored and the current situation of MME shall not be degraded.

(3) *Additional information regarding assumptions for calculation and monitoring for each MME PI at national level PIs*

BELGIUM

Notes: A complete, detailed description and results for 2008, 2009 and 2010 of the MME PI's can be found in the FABEC Military Performance Handbook.

The reference period for the PI's is 2009.

PI 1 – Percentage of SUA Requested

Description: This PI shows how much a SUA is requested compared to the time the SUA is available for booking (Mil flying window = approximately 2600 Hrs/Yr.
Rationale: This PI gives an indication how saturated the airspace is for Mil use, and the potential for Civil use.
Average PI 2 for BEL SUA: 15%

PI 2 – Percentage of SUA capacity Used

Description: The result provides the percentage of the allocated airspace that has actually been used.
Rationale: This PI gives an indication of the degree of technical, metrological, etc. cancellations and overbooking of SUA's. Measured via AMP II.
Average PI for BEL SUA: 54,49%

PI 3 – SUA Time Allocated vs Time Requested

Description: The result indicates the percentage of time a SUA has been allocated compared to the time it has been requested, due to civil constraints.
Rationale: This PI gives an indication of the time a SUA was unavailable for Mil use, due to civil constraints.
Due to technical constraints, this PI could not be measured for the reference period. The introduction of LARA will allow the measurement of this PI.

PI 4 – Average Transit Time

Description: This PI provides the average transit time per aircraft to and from the SUA.
Rationale: All time spent on transit can not be used for training. This PI gives a good indication of the time lost per mission on transit, and should be considered in the Airspace Design phase. Data based on a matrix with airfields and Trg areas, and effectively flown missions data.
Average PI 7 for BAF: 10 minutes.

FRANCE

PI 1 – Percentage of SUA capacity Allocated

This PI is calculated according to the following assumptions :

- Time available is 24 hours a day
- 250 days a year (Saturdays, Sundays and public holidays are considered out of the scope)

PI 2 – Percentage of SUA capacity Used

This PI is calculated according to the following assumptions :

- Allocation is considered at D-1, 16h00 loc (AUP release)
- SUA used is the one actually used the day of operation

PI 3 – SUA Time Allocated vs Time Requested

This PI is calculated according to the following assumptions :

- Request is considered at D-1, 11h30 loc
- Allocation is considered at D-1, 16h00 loc (AUP release)

PI 4 – Average Transit Time

This PI is calculated according to the following assumptions :

- Distance considered is the direct line from airbase to the area's border concerned
- Speed considered is fixed, and equal to 7 Nm/mn

GERMANY

PI 1 – Percentage of SUA capacity Allocated

Currently an average value comparable to Belgium is used for the available SUA time. With the new release PRISMIL will be able to consider the real SUA opening times.

PI 2 – Percentage of SUA capacity Used

The calculation comprises all pretactical (D-1 11:00 loc) allocations so far. Starting with the data collection for the year 2011 tactical (H-3) allocations are considered as well.

PI 3 – SUA Time Allocated vs Time Requested

The calculation comprises all pretactical (D-1 11:00 loc) and tactical (H-3) booking requests. Rejections are considered starting with the data collection for the year 2011.

PI 4 – Average Transit Time

The calculation is based on the distance as a direct line from the airbase to the SUA border concerned and the speed according to aircraft categories.

NETHERLANDS

Note: in absence of PRISMIL and the required data no data provided. Data provision is foreseen in line with the deployment of PRISMIL foreseen in 2011.

SWITZERLAND

Since 2006, the Swiss Air Force has its own system wide, fully integrated and net-centric computer system for all operations planning and execution. This system has already all the necessary data needed for the computation of the 4 described PIs, but not sorted out yet or not in the proper format.

FABEC Implementation Phase

Addendum to the FABEC Performance Plan RP1 2012 – 2014

EC Information

Attachment S.4

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DOCUMENT SUMMARY

Objective :	*This document describes the addendum of the FABEC Performance Plan for the first reference period (2012-2014) compliant to the EU 691/2010 (FABEC Performance Plan RP1 2012-2014_Vers0-1.pdf).*	
Origin :	*FABEC Financial & Performance Committee*	**Audience** : *FABEC - EC*

Title :	Addendum to the FABEC Performance Plan RP1 – 2012-2014
Reference :	FABEC_FPC_Addendum to FABEC Performance Plan_RP1

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DOCUMENT CHANGE RECORD

Version	Date	Reason for changes	Author of changes
1.0	13/12/2011	Addendum of FABEC Performance Plan RP1 for Submission to the European Commission	Ad van der Westen

TABLE OF CONTENTS

INTRODUCTION

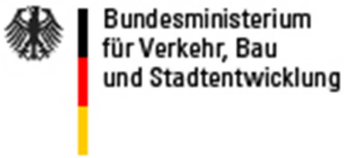
At the end of June 2011 FABEC has delivered its original FABEC Performance Plan for the first performance reference period 2012 – 2014 (dated 28th June 2011 as "version 0.1"). Considering the assessment of the PRB (September 2011) and the European Commission's recommendations on the revision of targets contained in the performance plans under Commission Regulation (EU) no 691/2011 as adopted by the Single Sky Committee in the ad hoc session of 24th October 2011 the objective of this Addendum to the FABEC Performance Plan is to include the changes in the original FABEC Performance Plan to enable the second review of that plan by the PRB during the first quarter of 2012.

The structure of this addendum is based on the Guidance Material of the PRU.

1. DOCUMENT SIGN OFF SHEETS

The documents sign off sheets of the individual FABEC Member States are included on the following pages.

Federal Republic of Germany



Federal Republic of Germany

Bundesrepublik Deutschland

Gerold Reichle
Director General of Civil Aviation and Aerospace
Leiter der Abteilung Luft- und Raumfahrt

Belgium

Belgium

Melchior WATHELET

State Secretary for Mobility

France

France

Le Directeur Général
de l'Aviation Civile

Patrick GANDIL

Grand Duchy of Luxembourg

Grand Duchy of Luxembourg

Claude WALTZING
Director CAA / NSA

The Netherlands

Ministerie van Infrastructuur en Milieu

The Netherlands

On behalf of
The STATE SECRETARY of INFRASTRUCTURE and the ENVIRONMENT,
JOOP ATSMA,

THE acting DIRECTOR GENERAL FOR CIVIL AVIATION AND MARITIME AFFAIRS,
Lidewijde Ongering

Switzerland

Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Federal Department of the
Environment, Transport, Energy and Communications DETEC

Federal Office of Civil Aviation FOCA
Directorate

SWITZERLAND

Director General
Federal Office of Civil Aviation

Dr. Peter Müller

2. REVISED CAPACITY TARGET

The numbers in this paragraph refer to the paragraphs in the FABEC Performance Plan**.**

2.1(3) Capacity

2.1(3).1 Key figures for the revised Capacity target

The key figures for the revised capacity target have not changed

		2009A	2010A	2011	2012	2013	2014
Reference value from the capacity planning process of EUROCONTROL (en-route ATFM delay min per flight)					0.52	0.47	0.40
En-route ATFM delay prior to RP1 (en-route ATFM delay min per flight)		0.61	2.12	n/a			
Initial Performance Plan	FABEC capacity target (en-route ATFM delay min per flight)						0.5
Revised Performance Plan	FABEC capacity target (en-route ATFM delay min per flight)						0.5

2.1(3).2 JUSTIFICATIONS FOR NOT REVISING THE CAPACITY TARGET

FABEC has decided not to change the FABEC capacity target, because it is not possible to take capacity measures in the short term on top of the measures already decided upon to meet the FABEC capacity target of an average delay of 0.4 minute per flight as set by the PRB and the European Commission. The initial capacity planning exercise run by FABEC led to a 0.55 minute delay per flight. The FABEC target was set at 0.5 by FABEC DGCAs.

The decision not to revise the target is motivated by the fact that capacity measures, be it the training of new controllers or the deployment of new investments, tend to have rather long lead times between the moment they are decided upon and the moment they are deployed. Usually this period is between 3 and 4 years.
An overview of all capacity measures already decided upon in the FABEC area for each ACC in the reference period 1 and their capacity performance improvements has been included in Annex B of the FABEC Performance Plan. Currently, no other capacity enhancement initiatives are foreseen as far as RP1 is concerned.

Further capacity enhancements may occur during RP1 and for RP2 as an effect of the Network Management activities. The Network Strategy Plan and the Network Operational Plan will give more insight in the possible capacity performance improvements. Possible additional capacity measures such as the mobility of controllers between ACCs with a controllers redundancy to ACCs with a controllers shortage will have only limited effects.

Currently there is no common methodology for the allocation of the capacity performance target to individual states, ANSPs and ACCs. Differences exist for bottom up versus top down approach, local conditions, theoretical capacity needed versus capacity delivered and other differences between the assumptions. FABEC suggests the establishment of a Working Group, including representatives from PRU, NMF, ANSPs, Eurocontrol CEF, FABEC NSAs, etc., which should analyse the currently used methodologies. This Working Group should attain a commonly acceptable and consistent method for setting FAB capacity targets, also taking into account the interdependencies between capacity and cost efficiency and the determination of an economic optimal capacity level. Such a Working Group should deliver its results at the end of 2012. Of course, FABEC is committing itself to this process and is also willing to participate in this Working Group.

A commonly agreed method for capacity target setting could possibly result in new capacity performance figures and thus could imply an adapted FABEC capacity performance target for 2014. In that case FABEC could agree on a reassessment of the 2014 capacity target. Of course, the actual capacity performance from the start of the performance reference period in 2012 until mid 2013 would have to be taken into account in this reassessment to set a revised and achievable target for 2014.

The ACC individual capacity indicative values or expectations for the first reference period are included in the table below. This table does not include obligatory targets but refers to the capacity planning exercise run by AFG/PMG using its bottom up approach model to achieve the 0.5 minute per flight target. ANSPs may underperform on capacity as long as another ANSP is overperforming and the achievement of the overall FABEC capacity target is not endangered. Thus, a mutual exchange of capacity values should enable the ANSPs to realise the overall FABEC capacity performance.

Centre	2012	2013	2014
Brussels	0.15	0.14	0.13
Bordeaux	0.17	0.14	0.12
Reims	0.37	0.33	0.27
Paris	0.37	0.33	0.27
Marseille	0.40	0.20	0.14
Brest	0.25	0.13	0.09
Langen	0.58	0.53	0.40
Munich	0.36	0.30	0.24
Karlsruhe	0.39	0.43	0.22
Bremen	0.24	0.22	0.18
MUAC	0.22	0.24	0.20
Amsterdam	0.20	0.19	0.16
Geneva	0.25	0.22	0.19
Zurich	0.28	0.25	0.21
FABEC	**0.77**	**0.68**	**0.50**

3. REVISED COST-EFFICIENCY TARGET

The numbers in this paragraph refer to the paragraphs in the FABEC Performance Plan**.**

2.1(4) Cost efficiency

2.1(4) Disregarding determined terminal costs for each year, description and justification of return on equity and the description of investments needed to achieve targets (Capex for each year, breakdown of projects, description of relevance and coherence):

To be added to the second section of paragraph 2.1:

“As there is no common FABEC ANSPs Business Plan and due to the fact that the cost efficiency KPA within FABEC is dealt with at national level, the information (if any) related to the determined terminal costs for each year, the description and justification of return on equity and the description of investments needed to achieve targets is included in the national contributions included as annexes to the FPP.”

4. OTHER INFORMATION

The numbers in this paragraph refer to the paragraphs in the FABEC Performance Plan.

1.1 NSA responsible for drawing up plan:

To be added to paragraph 1.1(a) General introduction:

"The FABEC NSAs are collectively responsible for the drawing up of the FABEC Performance Plan.

By its letter dated 25th June 2010 FABEC notified the European Commission on the creation of the FABEC Financial and Performance Committee (formerly the FABEC States Performance Task Force, comprising States and NSA representatives). This Committee is in charge of developing the FABEC Performance Plan. In its reply-letter dated 16th July 2010, the EC informed FABEC that it has taken note of this approach and that by doing so FABEC has fulfilled the obligation of Article 5.2b of the EC Regulation 691/2010. FABEC has installed the FABEC Financial and Performance Committee (FPC) in accordance with Article 5.2(b) of the EC Regulation 691/2010 in the autumn of 2011. This Committee will, albeit provisionally until the ratification of the States Treaty, be tasked with the development of the future Performance Plans. The NSAC will support the FPC in respect of the safety KPA and other safety related issues. The FPC will also coordinate within FABEC the States activities necessary for the monitoring of the FABEC Performance Plan in the first reference period and be responsible for the relations with the Commission on these activities.

In addition to the responsibilities within the FABEC Financial and Performance Committee and other FABEC Committees, each individual NSA is responsible and accountable for its national contribution to the FABEC Performance Plan (included in the FPP as Annexes). These contributions include the Key Performance Area Cost efficiency and possible additional national KPIs."

1.3(1) Consultation Process Description

To be added a new third section to paragraph 1.3.1 Consultation Process Description:

"To conduct the consultation process in a sustainable way, initial information was provided and discussed with the stakeholders in two workshops on 4th April (users) and 11th April (staff representatives). In addition, the consultation process including the time table and the web-based approach was discussed and agreed with the stakeholders. Based on the information provided in April and in accordance with EC regulation 691/2010, FABEC updated the information 3 working weeks (2nd May) in advance to the formal stakeholder consultation meeting (20th May)."

2.1(1) Safety

The FABEC NSAC will take care of all safety issues and will support the FPC on safety performance. A dedicated Safety Performance Task Force will be established shortly under the NSAC. The recommendations of the European Commission and PRB will be included in the Work Program 2012 – 2014 of the Safety Performance Task Force.

2.5 Description of risk sharing and incentives (Risk sharing not described):

To be added to the text of this paragraph:
"The risk sharing issue is not included in the FPP, but in the various national contributions, because the risk sharing is part of the KPA on cost efficiency and cost efficiency is dealt with in the national contributions to the FPP (see Annexes)."

5. Analysis of sensitivity to external assumptions

The table below will be included in this chapter:

Element/Aspect	Effect of a change	Mitigation and control measures
Safety		
No Safety Targets	No KPI is set for safety for the 1st RP. There is a risk that safety may be compromised in the efforts to meet the targets of the KPIs in the other KPAs.	• Safety is the overriding priority: Safety is included in the OIs and changes are accepted or rejected by the FABEC NSAC before their implementation according to Regulation EC 1034/2011 and Regulation EC 1035/2011. • Objectives will be set for the years 2013 and 2014 to ensure an early achievement of a baseline for EoSM at ANSP and States-level . •
Capacity		
Delay targets are based on a static capacity model (EUROCONTROL).	The capacity model takes no account of dynamic effects and regulation due to bunch forming, special events, etc. Therefore the model is not sufficiently able to work (predict/propagate) with smaller delay budgets. If an ANSP already works on a rather low average delay level with a high relative variety it is likely that the model will fail.	• FABEC FPC reports the delay cause and this should be taken into account by the EC when determining and assessing performance. • In case only individual unpredictable factors lead to an underperformance, the limit of the standard regulation will be reached.
Changes in major traffic flows	Changes outside managerial control can cause changes in traffic flows across Europe, which can lead to a higher than anticipated traffic demand, possibly jeopardizing the achievement of the ANSPs' capacity target. Reasons for traffic flow changes might be social unrest/industrial action, increased charges, etc.	• On the basis of the reported delay causes, the EC should take these special events into account when assessing the achieved performance. • Compare STATFOR/own forecast with actual traffic growth
Severe Weather Situations	Severe Weather can dramatically influence capacity performance and for the most part is clearly outside of ANSPs' control. Preparation is only useful to a certain extent which is	The share of weather delay in an annual aggregate delay figure needs to be noted and taken into account by the EC when determining/ assessing performance.

Element/Aspect	Effect of a change	Mitigation and control measures
	determined by its costs and the Weather phenomenon's frequency of occurrence.	
Environment		
Flight efficiency is optimised on a European level by the Network Manager. These flight efficiency solutions may cause deteriorated performances for other KPI's on FAB and local ANSP level.	Changes in route structure might decrease capacity locally, in particular when the new route structure, even if it is shorter, makes traffic handling in the en route, approach and departure phases more complex. Approach and adjacent en route sectors require time and space to sequence flights in order to maximise capacity at airports.	• Close cooperation between the Network Manager and the ANSPs. • Clear cause attribution in case network solutions lead to a decrease of ANSP performance.