



WORKING PAPER

TENTH SESSION OF THE STATISTICS DIVISION

Montréal, 23 to 27 November 2009

Agenda Item 1: Civil aviation statistics — ICAO classification and definition

DEVELOPMENTS SINCE THE NINTH SESSION OF THE STATISTICS DIVISION

(Presented by the Secretariat)

SUMMARY

This paper presents the level of implementation of the Recommendations adopted by the Ninth Session of the Statistics Division, as well as events within and outside the Organization which were the prime movers of determining the need to convene the Tenth Session of the Statistics Division to review the new data requirements of the Organization.

Action by the division is in paragraph 4.

1. INTRODUCTION

1.1 Based on the recommendations resulting from the Thirteenth meeting of the Statistics Panel (STAP/13), the Ninth Session of the Statistics Division (STA/9) was held in Montréal from 22 to 26 September 1997. Hence, eleven years have gone by since the last time States have had the opportunity to formally review the ICAO Statistics Programme. However, during the interim period, the Council managed this programme on behalf of States and monitored its validity every three years during the regular triennial review of the work programme of ICAO which it carries out during the preparation of the budget of the Organization.

1.2 STA/9 adopted nineteen Recommendations [*Report of the Ninth Session of the Statistics Division* (Doc 9703) refers]. The first five dealt with changes required for the reporting instructions brought about by changes in the economic regulatory environment affecting, in return, a number of reporting forms. The next nine recommendations dealt with changes to specific data collections, while the last five dealt with issues related to the management of the Statistics Programme.

1.3 The purpose of this paper is to provide background information on the implementation of the Recommendations of STA/9 as well as events within and outside the Organization which were the prime movers in determining the need to convene the Tenth Session of the Statistics Division (STA/10). The principal aim of this meeting is to review the new data requirements of the Organization in its new

pro-active role in the fields of aviation safety, efficiency and security, as well as in the protection of the environment.

2. ADOPTION AND IMPLEMENTATION OF THE RECOMMENDATIONS OF STA/9

2.1 On the advice of the Air Transport Committee (ATC) at its Sixth meeting of the 153rd Session, the Council approved all the Recommendation of STA/9 with the exception of the proposed merger of freight and mail traffic for airports (Air Transport Reporting Form I), which was retained in its disaggregated form. However, the Council decided to defer the implementation of some of the Recommendations until after it had finalized the Budget of the Organization for the period 1999, 2000 and 2001. These were finally approved in March 1999.

2.2 The paragraphs below briefly summarize the implementation of the Recommendations adopted by the Council. The Appendix to this working paper outlines the 19 Recommendations as well as their individual level of implementation.

2.3 *Changes to the Statistics Programme:* In 2000 the Secretariat issued a new edition of the Air Transport Reporting Forms, including two new Forms (Forms A-S and I-S), containing all the changes in the definitions, reporting instructions and, where necessary, in the structure of the Forms adopted by STA/9. Also, as part of the recommended changes, reporting Form G (aircraft accidents) was discontinued¹.

2.4 *Automation of the Statistics Programme:* In March 1999, the Council agreed to allocate funds to strengthen the ICAO Statistics Programme. The bulk of these funds was used to carry out the analysis and design of an integrated statistical database for ICAO based on the Oracle software. This task was completed by the end of October 2000.

2.5 On the basis of this work, in December 2000 the Council approved additional funds to carry out the development, testing and implementation of the new database. Work on this phase of the project began in June 2001 and the new Integrated Statistical Database (ISDB) of ICAO became fully operational in September 2002. A description of the main features of the ISDB, along with the current and planned updates, is contained in the information paper (STA/10-IP/1).

2.6 In February 2004, as Contracting States could now have on-line access to the ICAO statistics through the ICAO Secure Site, the Organization stopped the publication of the Digests of Statistics as a cost saving measure. (State letter EC 7/1.4-04/4, dated 27 February 2004 refers).

2.7 *Commercialization:* Following the adoption of Recommendation 19 on the commercialization of the statistical data, ICAO started charging third parties for ad-hoc data reports derived from the statistics the Organization regularly collects from States. However, the revenues flowing from these activities were relatively modest in part because it only charged customers for the time taken to prepare the data. In 2004 a new commercial policy was adopted when joint ventures for the sale of statistical data to third parties were initiated with commercial entities.

¹ The annual questionnaire on civil aviation activities and civilian pilot licences was subsequently discontinued by decision of the Council. New data collections on aircraft accidents and licensed personnel are being proposed to STA/10 for consideration.

2.8 In the year 2008, sales of ICAO statistics through these commercial activities generated some U.S.\$ 300 000 of additional income for the Organization.

3. **OTHER EVENTS HAVING AN IMPACT ON ICAO'S DATA NEEDS**

3.1 In recent years ICAO has taken a more pro-active role in monitoring through audits, the implementation by States of the Standards and Recommended Practices (SARPs) adopted by the Organization in its Annexes to the Convention on International Civil Aviation, in particular with regard to those Annexes which address safety and security issues.

3.2 In addition, during the preparation of the 2005-2007 triennium budget, in an effort to re-focus the work of the Organization and render ICAO more efficient and effective in its role, the Council adopted a number of Strategic Objectives for the Organization for the period 2005-2010. These are:

- A — Safety - Enhance global civil aviation safety;
- B — Security - Enhance global civil aviation security;
- C — Environmental Protection - Minimize the adverse effect of global civil aviation on the environment;
- D — Efficiency - Enhance the efficiency of aviation operations;
- E — Continuity - Maintain the continuity of aviation operations; and
- F — Rule of Law - Strengthen law governing international civil aviation.

Together with these objectives, the Council also adopted a number of high level indicators (HLIs) to monitor the progress made by the Organization in achieving its objectives. The indicators which have been developed are based on the statistical data currently available in ICAO and may not necessarily be the most effective ones. In addition to the HLIs, ICAO also requires other statistics to measure in more detail, the effectiveness of its actions in the field of air navigation planning and protection of the environment.

3.3 *Recommendation of the Fourteenth Meeting of the Statistics Panel (STAP/14)* — STAP/14 noted the recommendations adopted by the Ninth Session of the Statistics Division (STA/9) and their level of implementation.

4. **ACTION BY THE DIVISION**

4.1 The division is invited to note the information contained in this paper.

APPENDIX

LEVEL OF IMPLEMENTATION OF THE RECOMMENDATIONS ADOPTED BY THE NINTH SESSION OF THE STATISTICS DIVISION (STA/9)

(Montreal, 22-26 September 1997)

RECOMMENDATION 1

THE DIVISION RECOMMENDS THAT:

For the purpose of reporting statistics to ICAO a revenue passenger is defined as follows:

“Revenue passenger”: a passenger for whose transportation an air carrier receives commercial remuneration.

Notes:

- a) This definition **includes**, for example, (i) passengers travelling under publicly available promotional offers (for example “two-for-one”) or loyalty programmes (for example redemption of frequent flyer points); (ii) passengers travelling as compensation for denied boarding; (iii) passengers travelling at corporate discounts; (iv) passengers travelling on preferential fares (government, seamen, military, youth, student etc); and
- b) This definition **excludes**, for example, (i) persons travelling free; (ii) persons travelling at a fare or discount available only to employees of air carriers or their agents or only for travel on the business of the carriers; (iii) infants who do not occupy a seat.”.

Level of Implementation: Implemented in the 2000 edition of the relevant Air Transport Reporting Forms.

RECOMMENDATION 2

THE DIVISION RECOMMENDS THAT:

- a) for purposes of reporting air carrier statistics to ICAO, all operational and traffic items are to be reported by the operating carrier, including code-shared, franchised, pooled, blocked off charter, blocked space arrangements, joint services and leased aircraft services. In this context the term *operating carrier* refers to that carrier whose flight number is being used for air traffic control purposes; and
- b) definitions of all the terms specified in a) be included accordingly in the *Manual on the ICAO Statistics Programme*.

Level of Implementation:

- a) implemented in the 2000 edition of the relevant Air Transport Reporting Forms; and
- b) not implemented as currently there is no Manual. The intention was to create an on-line Manual which would be significantly different from the previous editions once the ISDB was fully implemented, but no funds have been available for this.

RECOMMENDATION 3

THE DIVISION RECOMMENDS THAT:

For the purposes of classifying flight stages when reporting air carrier statistical data to ICAO the following definitions apply:

“International” - A flight stage with one or both terminals in the territory of a State, other than the State in which the air carrier has its principal place of business, should be classified as international.

“Domestic” - A flight stage not classifiable as international. Domestic flight stages include all flight stages flown between points within the domestic boundaries of a State by an air carrier whose principal place of business is in that State. Flight stages between a State and territories belonging to it, as well as any flight stages between two such territories, should be classified as domestic. This applies even though a stage may cross international waters or over the territory of another State.

Note: In the case of multinational airlines owned by partner States, traffic within each partner State should be reported separately as domestic and all other traffic as international.”

Level of Implementation: Implemented in the 2000 edition of the relevant Air Transport Reporting Forms.

RECOMMENDATION 4

THE DIVISION RECOMMENDS THAT:

For the purpose of reporting air carrier statistics to ICAO, scheduled air services are defined as:

“Services provided by flights scheduled and performed for remuneration according to a published timetable, or so regular or frequent as to constitute a recognizably systematic series, which are open to direct booking by members of the public; and extra section flights occasioned by overflow traffic from scheduled flights”.

Level of Implementation: Implemented in the 2000 edition of the relevant Air Transport Reporting Forms.

RECOMMENDATION 5

THE DIVISION RECOMMENDS THAT:

- a) Air Transport Reporting Forms A-1 and A-2, currently in use, be merged into a single Air Transport Reporting Form A;
- b) this new form is to be completed on a monthly basis (to be reported monthly or for three consecutive months of each quarter at the discretion of the reporting entity):
 - (i) for each of a State's carriers having combined traffic (international plus domestic, scheduled plus non-scheduled) of at least 90 per cent of the State total tonne-kilometres (scheduled and non-scheduled) performed; and
 - (ii) for each carrier with a total traffic of at least 100 million total tonne-kilometres performed per year (based on the previous year's data);
- c) on an annual basis for each of the State's remaining carriers whose fleet exceed 200 tonnes aggregate maximum take-off mass; and
- d) a similar form to be developed by the Secretariat to be completed on an annual basis summarizing all carriers of a State including, where possible, those with smaller fleets (i.e. carriers with fleets not exceeding 200 tonnes aggregate maximum take-off mass).

Level of Implementation: Subparagraphs a) to c) were Implemented in the 2000 edition of the relevant Air Transport Reporting Forms; d) New reporting Form A-S introduced in 2000.

RECOMMENDATION 6

THE DIVISION RECOMMENDS THAT:

The new Air Transport Reporting Form A should be simplified by eliminating under non-scheduled services the need to identify separately the items related to inclusive tours, namely sub-items 15 a) and 17 a) in the current Form A-1 and 4 a) and 6 a) in the current Form A-2 dealing with passenger numbers and passenger-kilometres performed respectively.

Level of Implementation: Fully implemented in the 2000 edition of Air Transport Reporting Form A.

RECOMMENDATION 7

THE DIVISION RECOMMENDS THAT:

- a) "foreign" cabotage traffic (i.e traffic carried between city-pairs in a country other than the one where the reporting carrier has its principal place of business) should be included in the data reported to ICAO on Form B; and
- b) these data be published in the form of country totals, indicating for each country which foreign air carriers are involved in the traffic.

Level of Implementation: b) is not implemented. Insufficient data reported. They would not meet the publication restriction rules (see Recommendation 8).

RECOMMENDATION 8

THE DIVISION RECOMMENDS THAT:

In order to enhance the usefulness of the programme of On-Flight Origin and Destination (OFOD) statistics and to reduce publication delays, ICAO should:

- a) authorize the publication of data collected EITHER (i) when the threshold reporting level of a specified percentage of the world's international scheduled traffic is reached OR (ii) one year after the end of the quarterly reporting period concerned, whichever is earlier;
- b) make every effort to encourage States to agree to a reduction in the current reporting threshold of 84 per cent;
- c) encourage States to report in column e) of Form B those carriers involved in code shared traffic on flights operated by the carrier whose data are being reported;
- d) consider the publication of OFOD data by country-pair and sub-regional pair, in addition to publication by city-pair and applying the existing confidentiality criteria on a country or sub-regional rather than city-pair basis;
- e) explore the practicability of providing advance access to OFOD data for States and/or original reporting entities for which data have already been submitted for the period concerned; and
- f) keep the issues of reporting threshold and confidentiality under review with a view to their further liberalization.

Level of Implementation: a) and b) continue to be the rules guiding the publication of OFOD; c) a new column (e) was never implemented. Unlikely air carriers would be able to report these data which come directly from the air carriers own statistical systems; d) not implemented on-line due to shortage of funds, but available on request, e) not a practical option from a systems point of view, and f) this subject to be discussed in STAP/14.

RECOMMENDATION 9

THE DIVISION RECOMMENDS THAT:

- a) ICAO review the proposed new Air Transport Reporting Form EF-1 in Appendix F to this Report with a view to its refinement and adoption;
- b) the new Form EF-1 include a section where States can include the relevant operational and traffic data required to calculate unit revenues and costs when:
 - (i) the fiscal and calendar year are not the same when the annual Form A is being submitted; and/or

- (ii) the figures reported in Form A are not in accordance with the revenue and cost data reported in Form EF-1. In this case the reason for the difference between the two sets of capacity and traffic figures should be clearly stated; and
- c) ICAO develop a new data reporting form for smaller air carriers (those reported on an annual basis for traffic data) equivalent to the existing Form EF-2 in content but consistent with the revised Form EF-1.

Level of Implementation: Fully implemented in the 2000 edition of Air Transport Reporting Form EF.

RECOMMENDATION 10

THE DIVISION RECOMMENDS THAT:

- a) the current Air Transport Reporting Forms D-1 and D-2 be merged into a single Form D;
- b) in Part 1 of the new Form D two additional columns be included, one under “size of aircraft” showing the average payload capacity (tonnes) and another under “utilization” showing the number of total aircraft kilometres flown; and
- c) for smaller air carriers (i.e. those for which only annual traffic data is being reported on the new Form A, including, where possible those with fleets not exceeding 200 tonnes aggregate maximum take-off mass), personnel need only be reported in three categories: (i) pilots and co-pilots, (ii) cabin attendants, and (iii) all other personnel.

Level of Implementation: Fully implemented in the 2000 edition of Air Transport Reporting Form D.

RECOMMENDATION 11

THE DIVISION RECOMMENDS THAT:

- a) to the extent that the needs of ICAO to publish statistics on accidents and safety rates can be met by the data collected under the ADREP programme, the collection of information on civil aircraft accidents through Form G should be discontinued;
- b) the present time series of published safety data be continued without interruption in all the ICAO publications concerned; and
- c) ICAO continues to accord safety statistics priority consistent with the fundamental role of safety in the mandate of the Organization.

Level of Implementation: a) Form G was discontinued; b) data has continued to be published in the relevant ICAO publications; and c) deserved priority is being given to safety statistics.

RECOMMENDATION 12

THE DIVISION RECOMMENDS THAT:

With regard to Air Transport Reporting Form I:

- a) States should report on a monthly basis (for three consecutive months each quarter) individual airport traffic for those principal airports having a combined traffic of at least 90 per cent of total international commercial traffic (scheduled and non-scheduled) of all airports of the State or all those airports having no less than 1 000 international traffic units a year, whichever is less restrictive, where a traffic unit is defined as being equivalent to 1 000 passengers or 100 tonnes of freight or mail;
- b) States should report on an annual basis the total sum of the commercial air transport traffic figures for all airports of that State; and
- c) the figures for freight and mail tonnes loaded, unloaded and total be shown under a single combined "freight and mail" heading.

Level of Implementation: Implemented in the 2000 edition of Air Transport Reporting Form I, and the introduction of Form I-S. The proposed change in subparagraph c) was rejected by Council.

RECOMMENDATION 13

THE DIVISION RECOMMENDS THAT:

In Air Transport Reporting Form K:

- a) the elements in Part I (revenues) should be retained; and
- b) of the elements in Part II (expenses) only total expenses by expense item should be retained along with the total by facility or service (i.e. ATS, COM, MET, SAR, and AIS). Moreover, the allocation to en-route, airport and non-aeronautical utilization of the total of all the expenses by item should be reported whenever possible.
 - the elements in Part III (capital assets) should be retained.

Level of Implementation: Fully implemented in the 2000 edition of Air Transport Reporting Form K.

RECOMMENDATION 14

THE DIVISION RECOMMENDS THAT:

In the annual questionnaire on civil aviation activities and civilian pilot licences Section 2, dealing with commercial air transport operations not being reported on an ICAO Air Transport Reporting Form, be deleted.

Level of Implementation: Section 2 was deleted since these data were now to be captured through the new reporting Form AS. With regard to the annual questionnaire, this was subsequently deleted by the

Council when reviewing the results of the Ninth Meeting of the Statistics Division due to budgetary limitations (State Letter SD 13/1-99/48, dated 9 April 1999).

RECOMMENDATION 15

THE DIVISION RECOMMENDS THAT:

ICAO pursue as a matter of priority:

- a) the development of common airport, air carrier and other codes with IATA and other organizations concerned;
- b) in the short-term, or where common codes are not possible, the provision to States and other reporting entities of the correlations amongst the different codes existing; and
- c) more timely allocation of codes by the Organization to entities requesting them.

Level of Implementation: These codes are under the purview of the Air Navigation Bureau, who was duly informed of this Recommendation. Since January 2008, the *Location Indicators* (Doc 7910) published by ICAO contains both the ICAO codes as well as the corresponding IATA codes.

RECOMMENDATION 16

THE DIVISION RECOMMENDS THAT:

- a) ICAO should continue to pursue as a high priority the comprehensive programme for increased automation of the collection, analysis and transmission of aviation statistics amongst the Organization, aeronautical authorities, airports and other interested parties which was the subject of Recommendation 1 of the Eighth Session of the Statistics Division; and
- b) in particular, the Organization should:
 - (i) actively promote the submission of statistics in electronic form;
 - (ii) explore the practicability of providing electronic access to statistics prior to publication for States and/or original reporting entities for which statistics have already been submitted for the period concerned; and
 - (iii) give due attention to related training needs, both within the Organization and in many States.

Level of Implementation: a), b) (i) and b) (ii) were implemented when the new Integrated Statistics Database (ISDB) for the ICAO Statistics Programme became operational in September 2002; b) (iii) is covered through the regular informal Regional Statistics Workshops.

RECOMMENDATION 17

THE DIVISION RECOMMENDS THAT:

- a) ICAO remind States of the requirement to file statistical reports in accordance with Articles 54 (i), 55 (c) and 67 of the Convention on International Civil Aviation and Assembly Resolution A4-19;
- b) in so doing, ICAO draw attention to the fact that the transfer of operation of air carriers, airports and air navigation facilities from Governments to autonomous or privatized entities emphasizes the need for transparent and publicly disclosed traffic and financial statistics, notably to assure consumer protection and equitable charging consistent with Article 15 of the Convention; and
- c) ICAO to explore ways and means to give early access to statistical data to those reporting entities for which statistical data have been submitted in a timely manner.

Level of Implementation: The Secretary General drew to the attention of Contracting States a) and b) when reporting the results of the Ninth Session of the Statistics Division (State letter SD 13/1-98/19, dated 17 April 1998); c) Since data from the ISDB, are now available on-line, 80 per cent of the statistical data received by ICAO are loaded into the system within 10 working days of having been received.

RECOMMENDATION 18

THE DIVISION RECOMMENDS THAT:

For classification into ICAO statistical regions:

- a) Armenia, Azerbaijan, Belarus, Estonia, Georgia, Latvia, Lithuania, Republic of Moldova, Russian Federation, and Ukraine be assigned to Europe; and
- b) Kazakhstan, Kyrgyzstan, Tajikistan, Turkmenistan and Uzbekistan be assigned to Asia.

Level of Implementation: Implemented since 2000.

RECOMMENDATION 19

THE DIVISION RECOMMENDS THAT:

While maintaining the free entitlement of Contracting States to ICAO publications and the agreed free exchange of information with other international organizations, ICAO adopt a charging policy for the sale of statistics and responses to enquiries for statistics as follows:

- a) published statistics be provided, on request, to original reporting entities (such as air carriers and airports) for which data have been submitted for the period(s) concerned at solely an administrative handling fee;

- b) published statistics be provided to other entities and to the general public at the average cost of publication (including overhead costs) rather than at the marginal cost of printing or computer processing as at present;
- c) responses to *ad hoc* enquiries for statistics be provided at the average or opportunity cost of provision (including overhead costs) rather than as a free public service or at the marginal cost of printing or processing as at present; and
- d) revenues generated by the Statistics Programme be set against the cost of the Programme.

Level of Implementation: Commercialization of the statistical data was started immediately following the approval of these Recommendations by Council. In 2004, ICAO ceased to publish the Digests of Statistics in favour of an on-line product. At the same time, a new commercial policy was adopted when joint venture were initiated with commercial entities effectively discarding the recommendations contained in a), b) and c). With reference to d) above, since January 2008, all monies earned by ICAO through its commercial activities are deposited in the Ancillary Revenue Generation Fund (ARGF), and as such this recommendation is no more implemented.

— END —