International Civil Aviation Organization

Twenty-Sixth Meeting of the Regional Airspace Safety Monitoring Advisory Group (RASMAG/26)

Video Teleconference, 20 – 23 September 2021

Agenda Item 5: Airspace Safety Monitoring Activities/Requirements in the Asia/Pacific Region

CHINA RMA VERTICAL SAFETY REPORT

(Presented by China RMA)

SUMMARY

This paper presents the results of the airspace safety oversight for the RVSM operation in the airspace of the Chinese FIRs and Pyongyang FIR for the reporting period of January to December 2020. The report contains a summary of large height deviation reports received by the China Regional Monitoring Agency (China RMA) for the period and an update of the vertical collision risk.

1. INTRODUCTION

1.1 The China Regional Monitoring Agency (China RMA) delivers an annual report distributed to Civil Aviation Administration of China (CAAC) and other relevant stakeholders, for the RVSM (Reduced Vertical Separation Minimum) safety oversight in the Shenyang FIR, Beijing FIR, Shanghai FIR, Guangzhou FIR, Kunming FIR, Wuhan FIR, Lanzhou FIR, Urumqi FIR, Sanya Area Control Centers (ACC), and Pyongyang FIR.

2. DISCUSSION

2.1 From late 2014, China RMA started to conduct monthly risk assessments and analyzed the contribution of operational risk for each non-nil event to the total risk. This paper provides the results of the airspace safety oversight for the RVSM operation in the airspace of Chinese FIRs for the time of January 2020 to December 2020, as given in **Attachment A**. The analysis conducted for the airspace of China FIRs is based on one-month traffic sample data (TSD) collected in December 2020 and the latest 12-month Large Height Deviation (LHD) reports until December 2020. **Attachment B** presents the risk assessment for Pyongyang FIR of DPR Korea based on one-month TSD collected in December 2020.

Executive Summary-RVSM airspace of Chines FIRs

2.2 **Table 1** summarizes Chinese FIRs RVSM technical, operational, and total risks. **Figure 1** presents collision risk estimate trends during the period from January 2020 to December 2020.

The RVSM Airspace of Chinese FIRs – estimated annual flying hours = 2283671 hours *(note: estimated hours based on Dec 2020 traffic sample data)*			
Source of Risk	**Risk Estimation**	**TLS**	**Remarks**
RASMAG 25 Total Risk	*1.367×10^{-9}*	*5.0×10^{-9}*	*Below TLS*
Technical Risk	2.14×10^{-10}	2.5×10^{-9}	Below Technical TLS
Operational Risk	6.89×10^{-9}	-	-
Total Risk	**7.107×10^{-9}**	5.0×10^{-9}	**Above TLS**

Table 1: Risk Estimates for the RVSM airspace of Chinese FIRs

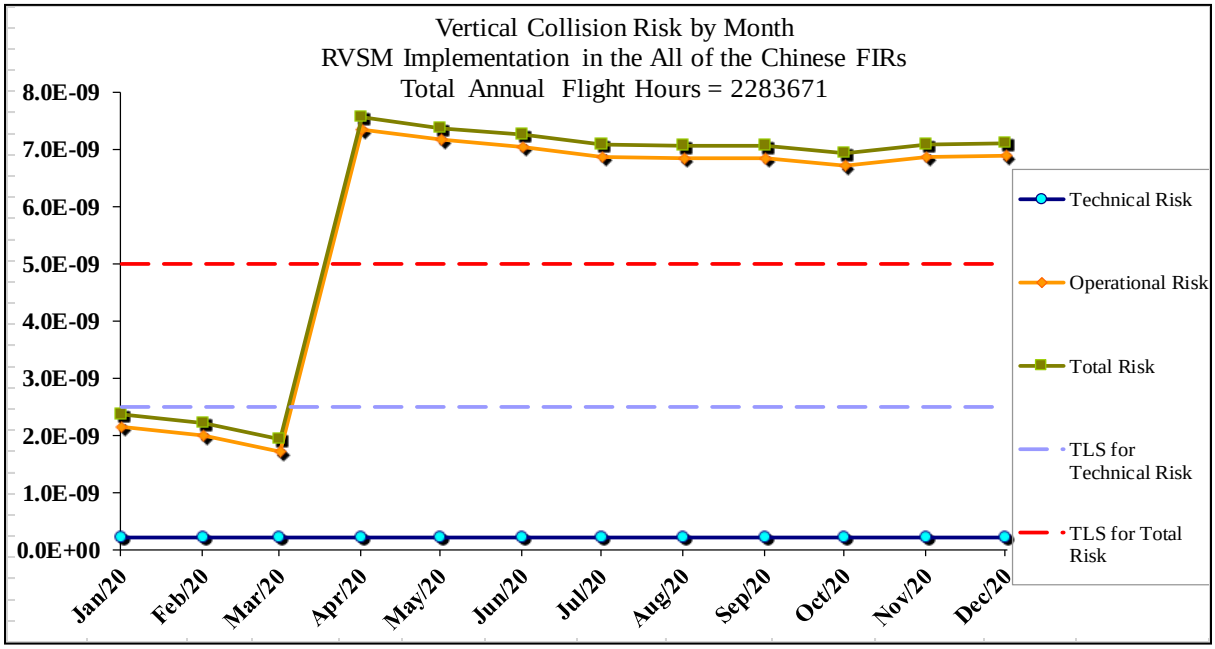

Figure 1: Chinese FIRs RVSM Risk Estimate Trends

2.3 **Table 2** presents a summary of the LHD causes within airspace of Chinese FIRs from January 2020 to December 2020.

Code	LHD Category Description	No.
A	Flight crew fails to climb or descend the aircraft as cleared	9
B	Flight crew climbing or descending without ATC clearance	2
C	Incorrect operation or interpretation of airborne equipment	0
D	ATC system loop error	4
E	Coordination errors in the ATC -to-ATC transfer of control responsibility as a result of human factors issues	10
F	ATC transfer of control coordination errors due to technical issues	0
G	Aircraft contingency leading to sudden inability to maintain level	3
H	Airborne equipment failure and unintentional or undetected level change	1
I	Turbulence or other weather related cause leading to unintentional or undetected change of flight level	34
J	TCAS resolution advisory; flight crew correctly climb or descend following the resolution advisory	2
K	TCAS resolution advisory; flight crew incorrectly climb or descend following the resolution advisory	0
L	An aircraft being provided with RVSM separation is not RVSM approved	1
M	Others	19
Total		85

Table 2: Summary of LHD Causes within Airspace of Chinese FIRs

2.4 **Figure 2** provides the geographic location of risk bearing LHD reports within Airspace of Chinese FIRs during the assessment period.

Figure 2: Airspace of Chinese FIRs – Risk Bearing LHD

Executive Summary-RVSM airspace of Pyongyang FIR

2.5 **Table 3** provides the Pyongyang FIR RVSM technical, operational, and total risk estimates. **Figure 3** presents the collision risk estimate trends during the period from January 2020 to December 2020.

RVSM Airspace of DPR Korea – estimated annual flying hours = 570.8 hours *(note: estimated hours based on Dec 2020 traffic sample data)*			
Risk	**Risk Estimation**	**TLS**	**Remarks**
RASMAG 25 Total Risk	*3.02 x 10^{-9}*	*5.0 x 10^{-9}*	*Below TLS*
Technical Risk	*1.04 x 10^{-9}*	*5.0 x 10^{-9}*	*Below TLS*
Operational Risk	**0**	--	--
Total Risk	**1.04 x 10^{-9}**	5.0 x 10^{-9}	**Below TLS**

Table 3: Airspace of Pyongyang FIR RVSM Risk Estimates

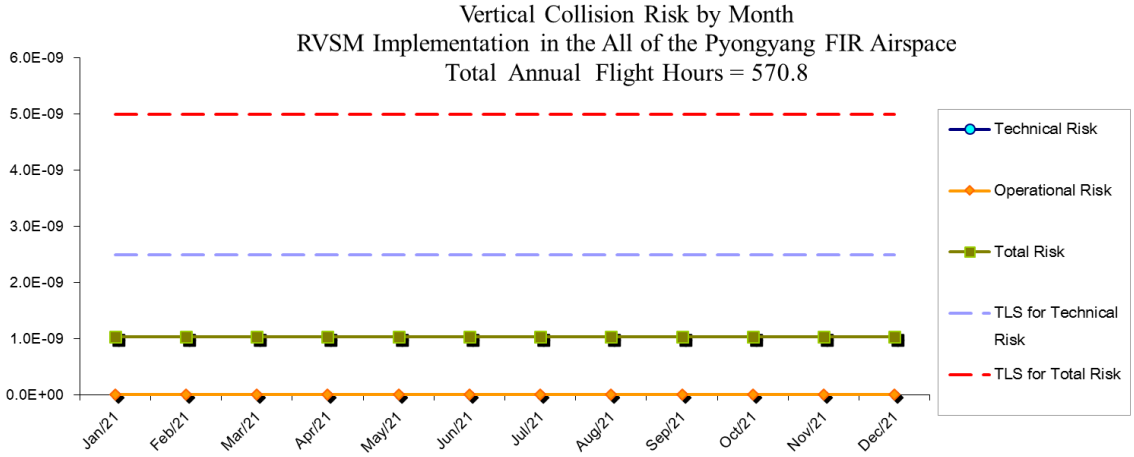

Figure 3: Airspace of Pyongyang FIR RVSM Risk Estimate Trends

2.6 There was no LHD report from Pyongyang FIR in 2020.

3. ACTION BY THE MEETING

3.1 The meeting is invited to:

a) note the information contained in this paper; and

b) discuss any relevant matters as appropriate.

…….

ATTACHMENT A

AIRSPACE SAFETY REVIEW FOR THE RVSM OPERATION IN THE AIRSPACE OF CHINESE FLIGHT INFORMATION REGIONS JANUARY 2020 – DECEMBER 2020

Presented by

中国地区监控组织
CHINA REGIONAL MONITORING AGENCY

September 2021

SUMMARY

This report presents the airspace safety oversight from China Regional Monitoring Agency (China RMA) for the reporting time from January to December 2020. The purpose of the report is to compare actual performance to safety goals related to the continued use of Reduced Vertical Separation Minimum (RVSM) in the Chinese FIRs. This report contains a summary of Large Height Deviation Reports received by the China RMA for the most recent reporting period of January 2020 -December 2020. This report also contains an update of the vertical collision risk. The vertical collision risk estimate for Chinese FIRs RVSM airspace in December 2020 is above the target level of safety (TLS) value of 5.0 x 10-9 fapfh.

1. Introduction

1.1 The China Regional Monitoring Agency (China RMA) delivers an annual report distributed to Civil Aviation Administration of China (CAAC) and other relevant stakeholders, for the RVSM (Reduced Vertical Separation Minimum) safety oversight in the Shenyang FIR, Beijing FIR, Shanghai FIR, Guangzhou FIR, Kunming FIR, Wuhan FIR, Lanzhou FIR, Urumqi FIR, Sanya Area Control Centers (ACC), and Pyongyang FIR.

1.2 The report covers the reporting period from January to December 2020 in the China RMA's responsible FIRs. Each year, China RMA produces two reports requested by the Regional Airspace Safety Monitoring Advisory Group (RASMAG).

1.3 It also summarizes the airspace safety oversight for the China domestic FIRs, including the Large Height Deviation (LHD) reports analysis and an update of the vertical collision risk estimate for the China Domestic Airspace.

2. Data Submissions

2.1. China RMA requests an annual one-month traffic movement sample and monthly large height deviation reports from the ATS providers in Chinese RVSM airspace. The second and third column of **Table 1** lists the Flight Information Regions (FIRs) and relevant Area Control Centers in China.

2.2. **Traffic Sample Data (TSD)**

2.2.1. Traffic sample data for December 2020 for the airspace of Chinese FIRs were used in the assessment of risk for the RVSM airspace. **Table 1** contains a summary of the traffic sample data received by China RMA for each FIR. Traffic sample data were received from all of the FIRs.

FIR Name	FIR Code	Data Collected in ACCs	Collecting Method	Status	Remarks
Shenyang	ZYSH	Shenyang	Automatic system	Received	Data completed
		Dalian	Automatic system	Received	Data completed
		Harbin	Automatic system	Received	Data completed
Beijing	ZBPE	Beijing	Automatic system	Received	Data completed
		Hohhot	Automatic system	Received	Data completed
Shanghai	ZSHA	Shanghai	Automatic system	Received	Data completed
		Qingdao	Automatic system	Received	Data completed
Guangzhou	ZGZU	Guangzhou	Automatic system	Received	Data completed
		Nanning	Automatic system	Received	Data completed
Kunming	ZPKM	Kunming	Automatic system	Received	Data completed
		Chengdu	Automatic system	Received	Data completed
		Lhasa	Automatic system	Received	Data completed
Wuhan	ZHWH	Included in Beijing and Guangzhou	--	--	Data completed
Lanzhou	ZLHW	Lanzhou	Automatic system	Received	Data completed
		Xi'an	Automatic system	Received	Data completed
Urumqi	ZWUQ	Urumqi	Automatic system	Received	Data completed
Sanya	ZJSA	Sanya	Automatic system	Received	Data completed

Table 1: Summary of Traffic Sample Data of December 2020 in the Airspace of Chinese FIRs

2.2.2. Please note that the traffic sample data template for Chinese FIRs was updated in 2021. The PBCS capability in flight plan has been included in the new template. Chinese FIRs will use the new template to provide TSD from this year.

2.3. **Large Height Deviation (LHD)**

2.3.1. Series of cumulative 12-month of LHD reports were used in this safety assessment starting from January 2020 to December 2020. **Table 2** provides the summary of LHD reports submitted by each FIR.

FIR Name	Beijing	Shanghai	Guangzhou	Nanning	Shenyang	Dalian	Lanzhou	Urumqi	Kunming	Chengdu	Sanya
Jan-20	1	X	4	X	X	X	X	X	3	X	X
Feb-20	1	X	X	X	X	X	X	X	X	X	X
Mar-20	X	4	X	X	X	X	1	1	X	X	X
Apr-20	1	1	3	X	X	X	X	1	X	X	X
May-20	2	X	4	1	2	2	X	X	X	X	X
Jun-20	2	2	2	X	X	X	1	X	X	1	X
Jul-20	4	1	4	X	X	X	X	X	X	3	X
Aug-20	1	2	5	X	X	X	X	1	X	1	X
Sep-20	X	X	5	1	X	X	1	X	X	X	X
Oct-20	X	X	1	X	X	X	X	1	X	X	X
Nov-20	1	X	3	X	1	X	X	3	X	X	X
Dec-20	X	X	X	X	5	X	X	X	1	X	X

Table 2. Summary of LHD Reports collected from Chinese FIRs

X = “NIL” event was received for the specified month

3. Summary of LHD Occurrences

3.1. Based on the LHD reports in **Table 2**, the LHD occurrences in 2020 are summarized as below.

3.2. **Table 3** and **Figure 1** summarize the number of LHD occurrences, associated LHD duration (in minutes) and the number of flight levels crossed without clearance by month in the Chinese FIRs in the reporting period:

Month-Year	No. of LHD Occurrences	LHD Duration (Minutes)	No. of flight levels transitioned without clearance
Jan-20	8	1	3
Feb-20	1	0	1
Mar-20	6	0	2
Apr-20	6	51	0
May-20	11	0	7
Jun-20	8	0	7
Jul-20	12	1	7
Aug-20	10	1	5
Sep-20	7	1	4
Oct-20	2	0	0
Nov-20	8	1	3
Dec-20	6	0	1
Total	85	56	40

Table 3. Summary of non-nil LHDs in Chinese FIRs in 2020.

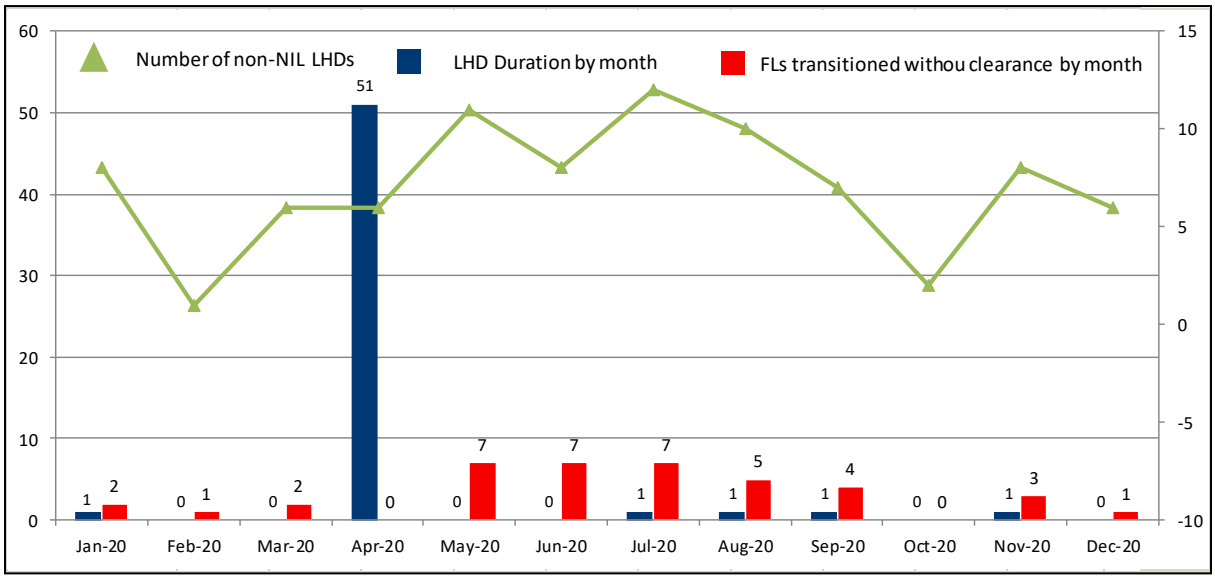

Figure 1. Illustrations of reported LHDs in Chinese FIRs between January 2020 and December 2020

3.3. The LHD reports are categorized by the description of the event. **Table 4**, **Figure 2** and **Figure 3** summarize the number of LHD occurrences inside Chinese airspace by the cause of the deviation.

LHD Code	LHD Category Description	No. of LHD Occurrences	LHD Duration (Min)	No. of flight levels transitioned without clearance
A	Flight crew failing to climb/descend the aircraft as cleared	9	0	4
B	Flight crew climbing/descending without Air Traffic Control (ATC) Clearance	2	0	2
C	Incorrect operation or interpretation of airborne equipment	0	0	0
D	ATC system loop error	4	46	3
E	ATC transfer of control coordination errors due to human factors	10	0	0
F	ATC transfer of control coordination errors due to technical issues	0	0	0
G	Aircraft contingency leading to sudden inability to maintain level	3	0	0
H	Airborne equipment failure and unintentional or undetected level change	1	0	1
I	Turbulence or other weather related cause	34	0	25
J	TCAS resolution advisory and flight crew correctly responds	2	0	5
K	TCAS resolution advisory and flight crew incorrectly responds	0	0	0
L	Non-approved aircraft is provided with RVSM separation	1	0	0
M	Other	19	10	0
Total		85	56	40

Table 4. Summary of LHD Categories during the reporting period

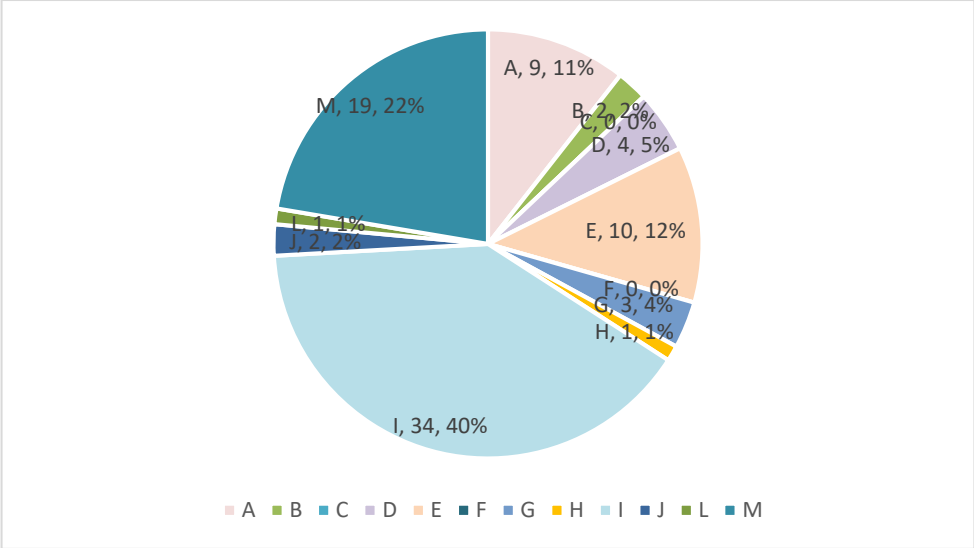

Figure 2. The LHD Events Sorted by Category

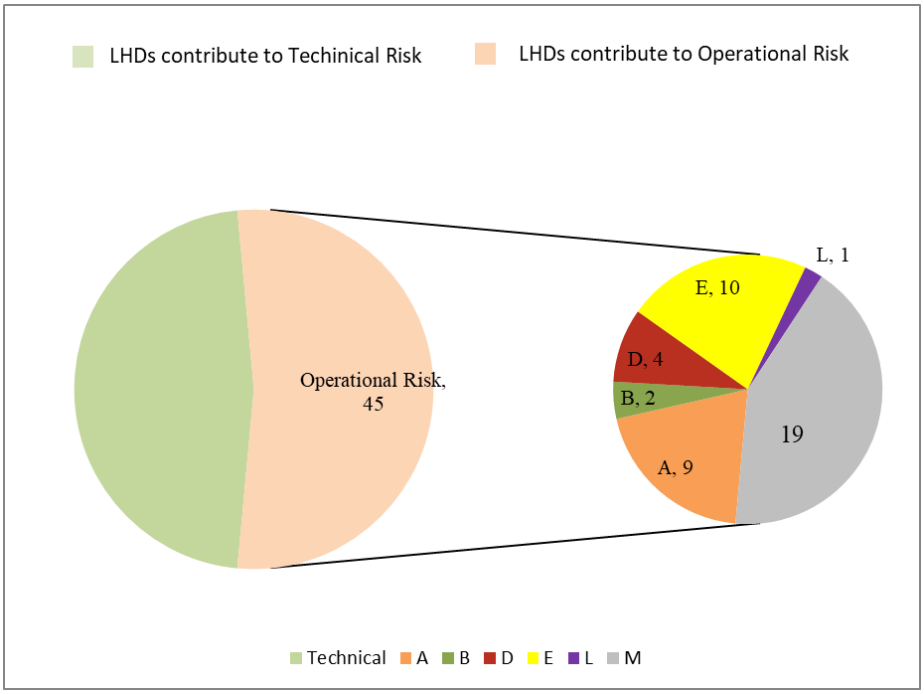

Figure 3. Breakdown of Operation Risk Contributors (Category and Number of Events)

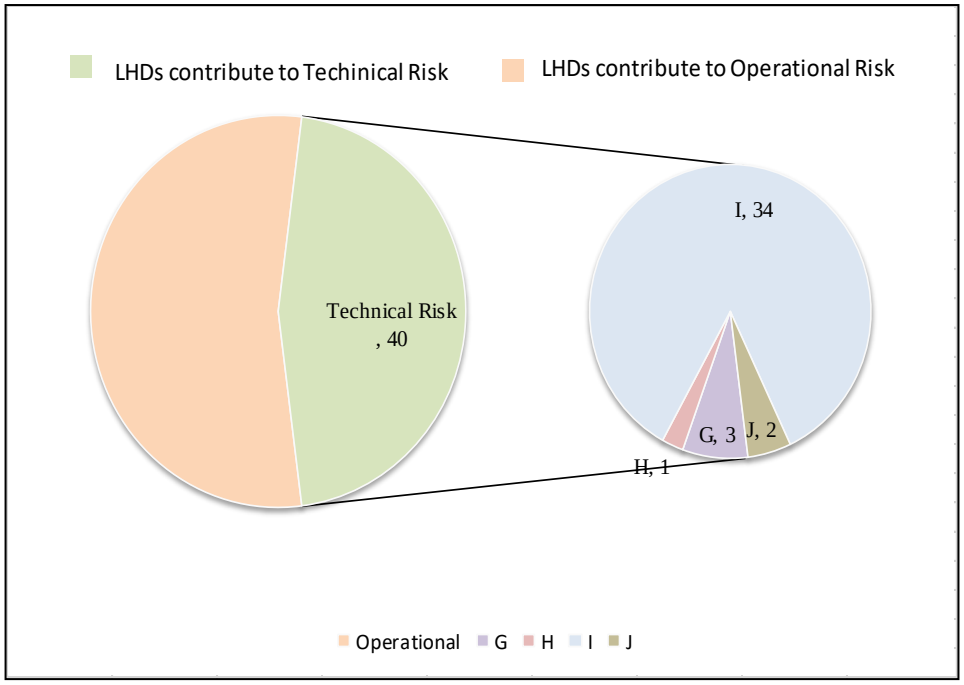

Figure 4. Breakdown of Technical Risk Contributors (Categories and Number of Events)

3.4. LHD Analysis and Safety Treatment of Identified LHDs

3.4.1. 85 LHD events were received during the reporting period. With China RMA's long-term efforts, the number of LHD events has increased compared with 2019.

3.4.2. All the LHD events were received from Chinese ATC units and there was 0 LHD event from Chinese operators. China RMA will continually improve the reporting mechanism of Chinese operators this year.

3.4.3. There were 10 category E events in 2020 which is much more than 4 events in 2019, 6 events occurred between Shanghai ACC and Fukuoka ACC, 4 events occurred between Urumqi ACC and Islamabad ACC. All events were transfer events, but there was no operational risk during these events, and all the events were confirmed by both transfer sides.

3.4.4. There was a long duration (46 minutes) category D event occurred in April 2020, which was the major contributor to the operational risk and lead to the high risk this year. During this event, a non-approved aircraft was provided with RVSM separation because the ATC controller misunderstand the RVSM approval state.

3.5. **Figure 5** demonstrates the monthly operational risk assessment and the individual event contribution, while **Figure 6** presents the operational risk estimate by categories visualizing the individual event contribution. The obvious high risk was in April and caused by the category D event.

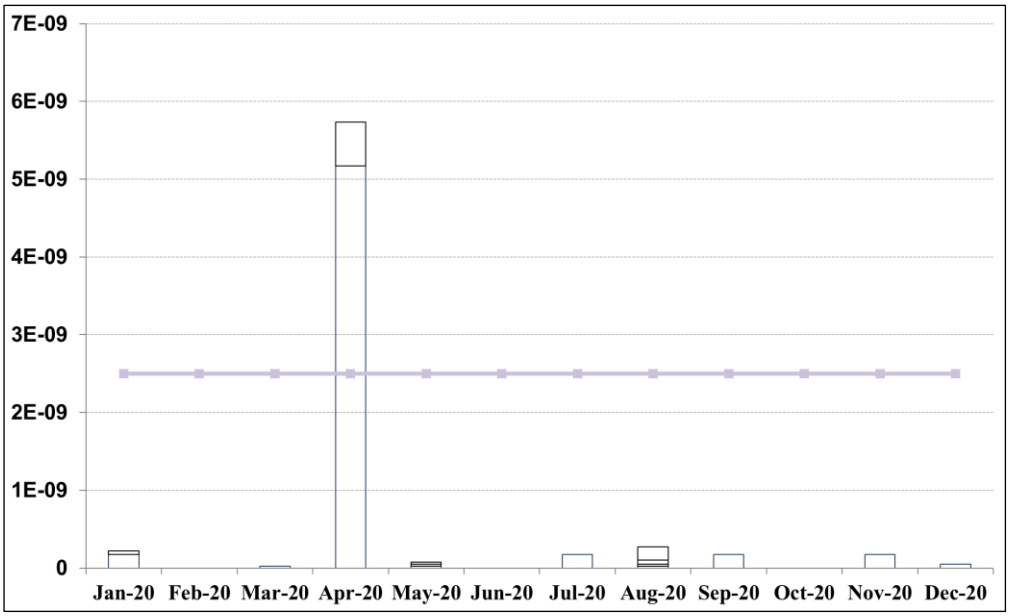

Figure 5. Monthly Assessed Risk Demonstrating the Individual Event Contribution

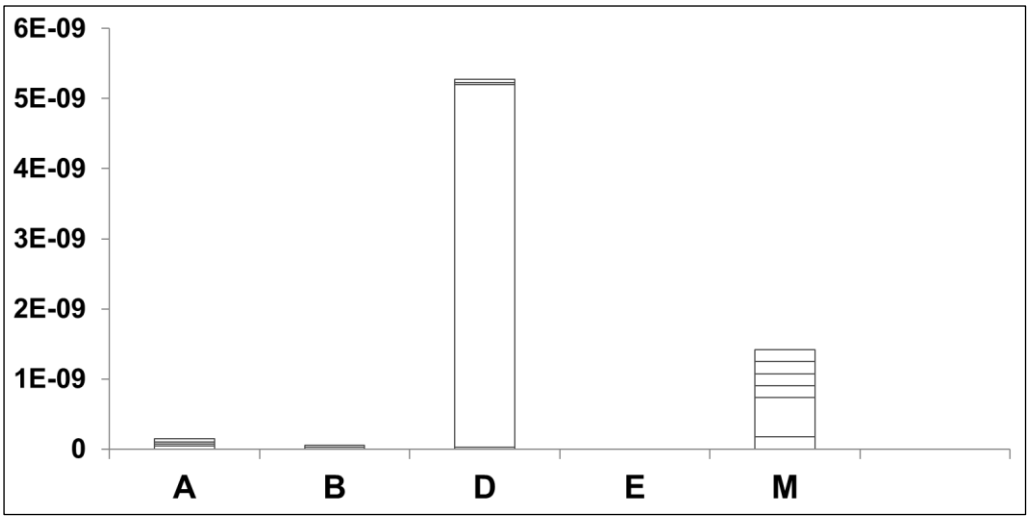

Figure 6. Operational Risk Estimate by Categories Demonstrating the Individual Event Contribution

4. Estimate of Vertical Collision Risk for Chinese RVSM Airspace

4.1. The vertical collision risk estimate is to determine whether the target level of safety (TLS) continued to be met in China Domestic airspace, thus supporting the ongoing safe application of RVSM.

4.2. This section updates the results of safety oversight for the RVSM implementation in the monitored airspace. Accordingly, the internationally accepted collision risk methodology is applied in the safety of the RVSM implementation assessment in the airspace.

4.3. The TSD of December 2020, the continuous LHD reports in the airspace of Chinese domestic airspace between January 2020 and December 2020 were adopted to produce the risk estimates presented in this report.

4.4. Collision Risk Model (CRM) parameters Estimate

4.4.1. **Table 5** summarizes the value and source material for values estimation of the empirical parameters of the CRM. The CRM is adopted for the risk assessment and the safety oversight for the RVSM implementation in the China domestic airspace.

Parameter Symbol	Parameter Definition	Parameter Value	Source for Value
S_x	Longitudinal separation standard for a region, or Length of longitudinal window used to calculate occupancy	80Nm	Standard value used in overall airspace
S_h	Planned Horizontal Separation	80Nm	Standard value used in overall airspace
$P_z(0)$	Probability of vertical overlap (with planned vertical separation equal to zero)	0.4026	Estimated based on the radar data form from Upper Control Area of Beijing, Guangzhou, Shanghai, August 2008
$P_z(S_z)$	Prob. that 2 aircraft nominally separated by the vertical separation minimum S_z are in vertical overlap.	5.604 x 10^{-9}	
$P_y(0)$	Probability of Lateral Overlap	0.025	Estimated by FAA Technical Center based on the proportion of GPS operations observed in the TSD data collected in China
$P_h(\theta)$	Probability of Horizontal Overlap	6.88 x 10^{-7}	Value used in the Western Pacific/South China Sea safety assessment
$\lvert\overline{h(\dot{\theta})}\rvert$	Average relative horizontal speed during overlap for aircraft pairs on routes with crossing angle θ (let θ=45°)	367.4 knots	Value used in Western Pacific/South China Sea safety assessment (corresponds to an average aircraft speed of 480 knots)
$\lvert\dot{\bar{y}}\rvert$	Average absolute relative cross track speed for an aircraft pair nominally on the same track	2.8 knots	Estimated by FAA Technical Center based on the proportion of GPS operations observed in the TSD data collected in China
$\lvert\dot{\bar{z}}\rvert$	Average absolute relative vertical speed of an aircraft pair that has lost all vertical separation	1.5 knots	Value used in NAT RVSM safety assessment
λ_x	Average aircraft length	0.02345Nm	Estimated based on the collected TSD
λ_y	Average aircraft wingspan	0.02073Nm	
λ_z	Average aircraft height	0.0070 Nm	
λ_h	Diameter of the disk representing the shape of an aircraft in the horizontal plane	0.02345Nm	

Table 5. Estimate of the empirical Parameters in the CRM

4.4.2. **Table 6** summarizes the value and source material for values estimate of the empirical parameters of the TSD. The TSD is adopted for the risk assessment and the safety oversight for the RVSM implementation in the airspace.

Parameter Symbol	Parameter	Parameter Definition
T	2283671.0	Annual flight hours
E_z(same)	0.1427	Same-direction vertical occupancies
E_z(opposite)	0.2021	Opposite-direction vertical occupancies
Crossing pairs	4396848	Annual estimate of crossing pairs in crossing route
$\overline{\lvert\Delta V\rvert}$	38.4196	Average relative along-track speed between aircraft on same direction routes
$\overline{\lvert V\rvert}$	440.7413	Average absolute aircraft ground speed

Table 6: Estimate of the Parameters Based on the Collected TSD

4.5. **Estimate of Vertical Collision Risk for Chinese RVSM Airspace**

4.5.1. This section summarizes the results of the safety assessment for the airspace of Chinese FIRs. **Figure 7** presents the Technical Risk computed by the TSD collected in December 2020.

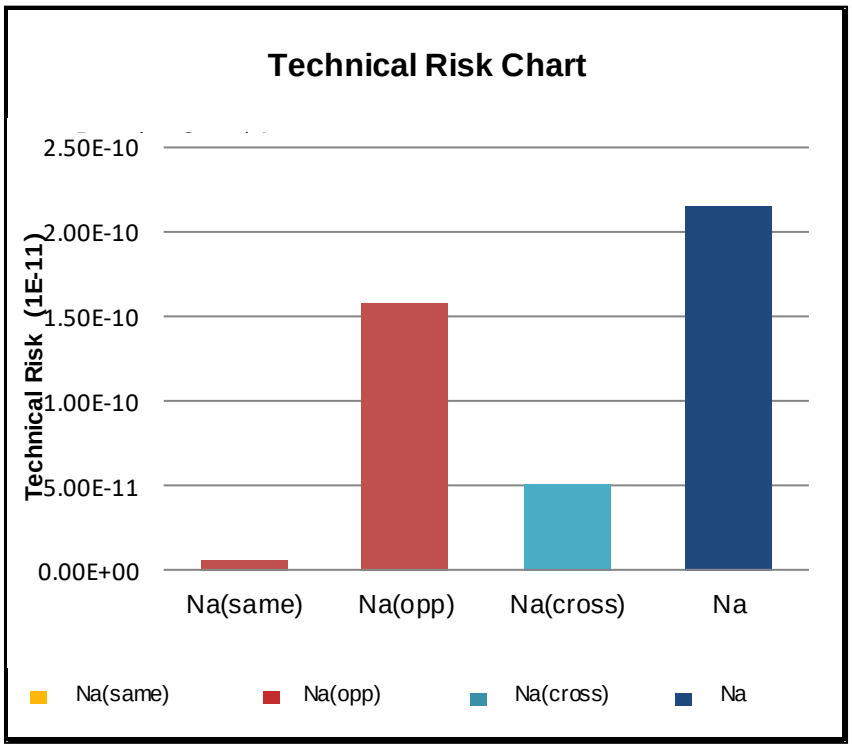

Figure 7. Technical Risk Bar Chart Computed by the TSD Collected in December 2020

4.5.2. **Table 7** presents the estimates of vertical collision risk for the airspace of Chinese FIRs, in terms of the technical, operational, and total risks. The technical risk is estimated to be 0.121 x 10^{-9} fapfh. The operational risk estimate is 1.063 x 10^{-9} fapfh. The estimate of the overall vertical collision risk is 1.184x 10^{-9} fapfh, which is below the overall TLS value of 5.0x 10^{-9} fapfh.

The RVSM Airspace of Chinese FIRs – estimated annual flying hours = 2620549 hours

(note: estimated hours based on Dec 2020 traffic sample data)			
Source of Risk	**Risk Estimation**	**TLS**	**Remarks**
Technical Risk	2.14×10^{-10}	2.5×10^{-9}	Below Technical TLS
Operational Risk	6.89×10^{-9}	--	--
Total Risk	**7.107×10^{-9}**	**5.0×10^{-9}**	**Above Overall TLS**

Table 7. Risk Estimates for the RVSM Implementation in the airspace of Chinese FIRs

4.5.3. **Figure 9** presents the trends of collision risk estimates for each month using the appropriate cumulative 12-month of LHD reports.

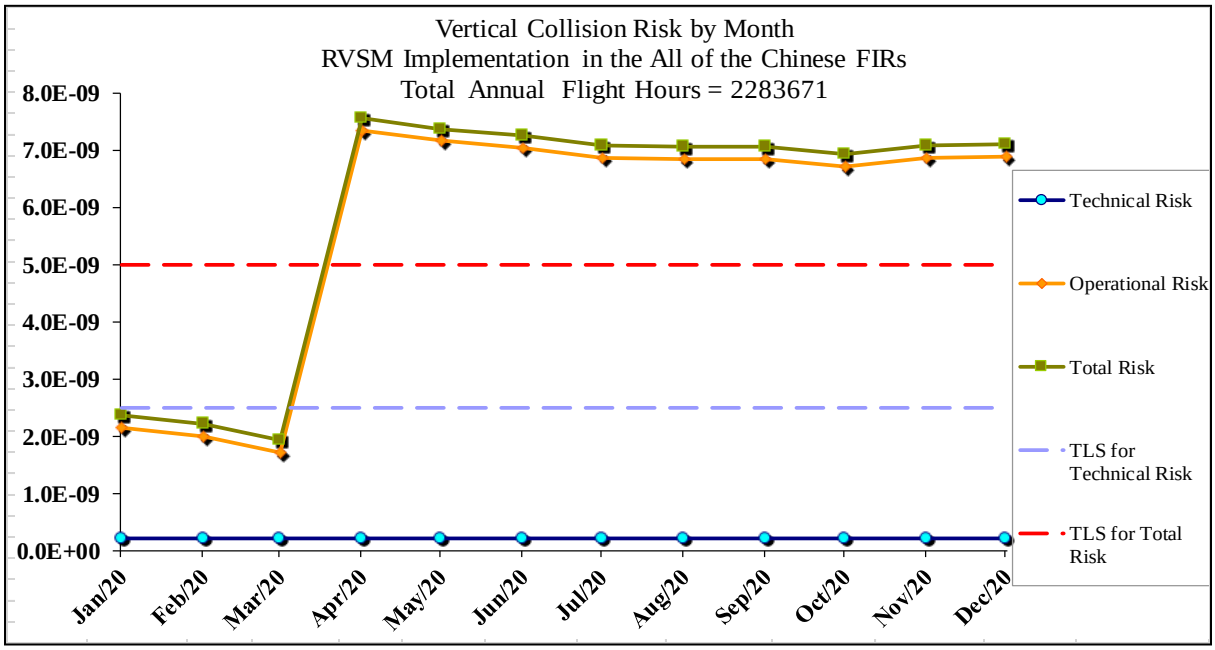

Figure 8: Trends of Risk Estimates for the Airspace of Chinese FIRs

4.5.4. Based on these collision risk estimates, the technical risk estimates from the available TSD and LHD reports satisfy the agreed TLS value of no more than 2.5×10^{-9}, but the total risk is above the TSL value which is 5.0×10^{-9} fapfh.

Appendix A Detail of LHDs inside Chinese FIRs from January 2020 to December 2020

No	EVENT DATE	SOURCE	LOCATION	DURATION (Min)	FLs TRANSITIONED WITHOUT CLEARANCE	CAUSE	CODE
1	04/01/2020	Kunming ACC	BIDRU		1	Bad weather	I
2	06/01/2020	Chengdu ACC	KWE		1	Turbulence	I
3	06/01/2020	Beijing ACC	AVMOS			Pilot not descend/climb the aircraft as cleared	A
4	07/01/2020	Guangzhou ACC	NODOG	1		Lose RVSM capability	M
5	09/01/2020	Guangzhou ACC	Unknown		0	Turbulence	I
6	13/01/2020	Guangzhou ACC	Unknown			Lose RVSM capability	M
7	18/01/2020	Guangzhou ACC	ZK			Lose RVSM capability due to TCAS failure	M
8	19/01/2020	Kunming ACC	MAKUL		1	Pilot not descend/climb the aircraft as cleared	A
9	15/02/2020	Beijing ACC	ATMEM		1	Turbulence	I
10	08/03/2020	Urumqi ACC	IDOPU		1	Turbulence	I
11	15/03/2020	Shanghai ACC	SADLI			Late transfer	E
12	22/03/2020	Lanzhou ACC	TUSLI		1	Pilot misunderstands clearance message	D
13	24/03/2020	Shanghai ACC	SADLI			Late transfer	E
14	27/03/2020	Shanghai ACC	SADLI			Late transfer	E
15	31/03/2020	Shanghai ACC	SADLI			Late transfer	E
16	02/04/2020	Guangzhou ACC	LKO			Lose RVSM capability	M
17	07/04/2020	Beijing ACC	TAMIX	46		ATC system loop error	D
18	15/04/2020	Urumqi ACC	SARIN			Not RVSM approval	L
19	17/04/2020	Guangzhou ACC	LAGEX	5		Lose RVSM capability due to TCAS failure	M
20	18/04/2020	Shanghai ACC	MIDOX			Pilot not descend/climb the aircraft as cleared	A
21	22/04/2020	Guangzhou ACC	LIN		0	Pilot not descend/climb the aircraft as cleared	A
22	01/05/2020	Nanning ACC	WUY		1	Pilot descend/climb the aircraft without ATC clearance	B
23	02/05/2020	Dalian ACC	SANKO		1	Pilot not descend/climb the aircraft as cleared	A
24	10/05/2020	Guangzhou ACC	Unknown		0	Pilot not descend/climb the aircraft as cleared	A
25	14/05/2020	Beijing ACC	SQ		1	Airborne equipment failure	H
26	14/05/2020	Beijing ACC	HUR			Turbulence	I
27	16/05/2020	Shenyang ACC	NUBKI		1	Turbulence	I

No	EVENT DATE	SOURCE	LOCATION	DURATION (Min)	FLs TRANSITIONED WITHOUT CLEARANCE	CAUSE	CODE
28	20/05/2020	Guangzhou ACC	MIDOX		1	Turbulence	I
29	20/05/2020	Guangzhou ACC	ONEMI		0	Turbulence	I
30	22/05/2020	Guangzhou ACC	BEMAG			Lose RVSM capability due to TCAS failure	M
31	23/05/2020	Dalian ACC	MAKNO		1	Bad weather	I
32	29/05/2020	Shenyang ACC	P26		1	Pilot not descend/climb the aircraft as cleared	A
33	04/06/2020	Shanghai ACC	UGAGO		1	TCAS RA and pilot correctly responded	J
34	05/06/2020	Guangzhou ACC	BEMAG			Lose RVSM capability	M
35	12/06/2020	Beijing ACC	PEGSO		4	TCAS RA and pilot correctly responded	J
36	17/06/2020	Chengdu ACC	QNX		0	Turbulence	I
37	20/06/2020	Lanzhou ACC	MULRU		1	Turbulence	I
38	22/06/2020	Guangzhou ACC	LIN			Turbulence	I
39	23/06/2020	Beijing ACC	DKO		1	Bad weather	I
40	24/06/2020	Shanghai ACC	SADLI			No transfer	E
41	05/07/2020	Chengdu ACC	UNRIX		1	Turbulence	I
42	08/07/2020	Guangzhou ACC	REVKU			Lose RVSM capability due to TCAS failure	M
43	08/07/2020	Chengdu ACC	Unknown		0	Turbulence	I
44	10/07/2020	Guangzhou ACC	LIG		1	Turbulence	I
45	10/07/2020	Beijing ACC	Unknown			Turbulence	I
46	10/07/2020	Beijing ACC	Unknown		1	Turbulence	I
47	16/07/2020	Chengdu ACC	KAMAX		1	Turbulence	I
48	18/07/2020	Guangzhou ACC	ENKUS	1		Lose RVSM capability due to TCAS failure	M
49	19/07/2020	Guangzhou ACC	ENKUS		1	Turbulence	I
50	19/07/2020	Beijing ACC	VADMO		1	Turbulence	I
51	23/07/2020	Shanghai ACC	SADLI			No transfer	E
52	30/07/2020	Beijing ACC	FYG		1	Bad weather	I
53	03/08/2020	Beijing ACC	TMR		1	ATC issues incorrect clearance	D
54	04/08/2020	Shanghai ACC	SADLI		0	Turbulence	I
55	08/08/2020	Shanghai ACC	NCH		1	Pilot descend/climb the aircraft without ATC clearance	B

No	EVENT DATE	SOURCE	LOCATION	DURATION (Min)	FLs TRANSITIONED WITHOUT CLEARANCE	CAUSE	CODE
56	08/08/2020	Chengdu ACC	IRVED		1	Pilot misunderstands clearance message	D
57	12/08/2020	Guangzhou ACC	BEKOL		1	Bad weather	I
58	15/08/2020	Guangzhou ACC	ONEMI	1		Lose RVSM capability due to TCAS failure	M
59	21/08/2020	Guangzhou ACC	PAVTU		1	Turbulence	I
60	27/08/2020	Guangzhou ACC	REVKU			Lose RVSM capability due to TCAS failure	M
61	28/08/2020	Guangzhou ACC	WHA			Lose RVSM capability due to TCAS failure	M
62	31/08/2020	Urumqi ACC	PURPA			No FL revision	E
63	05/09/2020	Guangzhou ACC	SUMDO		1	Turbulence	I
64	05/09/2020	Guangzhou ACC	Unknown	1		Lose RVSM capability	M
65	10/09/2020	Nanning ACC	BSE		1	Bad weather	I
66	14/09/2020	Guangzhou ACC	YIH		0	Pilot not descend/climb the aircraft as cleared	A
67	21/09/2020	Guangzhou ACC	POU		1	Turbulence	I
68	27/09/2020	Lanzhou ACC	OMGUP		1	Bad weather	I
69	27/09/2020	Guangzhou ACC	LKO			Lose RVSM capability due to TCAS failure	M
70	08/10/2020	Urumqi ACC	PURPA			No transfer	E
71	22/10/2020	Guangzhou ACC	PLT			Lose RVSM capability due to TCAS failure	M
72	02/11/2020	Guangzhou ACC	DAPRO	1		Lose RVSM capability due to TCAS failure	M
73	13/11/2020	Guangzhou ACC	NUVGA			Lose RVSM capability due to TCAS failure	M
74	15/11/2020	Urumqi ACC	PURPA			No FL revision	E
75	17/11/2020	Beijing ACC	IDULA		1	Turbulence	I
76	19/11/2020	Urumqi ACC	PURPA			No FL revision	E
77	20/11/2020	Urumqi ACC	PURPA		0	Turbulence	I
78	22/11/2020	Shenyang ACC	ISKEM		1	Turbulence	I
79	25/11/2020	Guangzhou ACC	XSH		1	Turbulence	I
80	01/12/2020	Shenyang ACC	MAGIT			Lose RVSM capability due to TCAS failure	M
81	03/12/2020	Shenyang ACC	ISKEM			Lose RVSM capability	M
82	06/12/2020	Kunming ACC	GMA		1	Pilot not descend/climb the aircraft as cleared	A
83	16/12/2020	Shenyang ACC	Unknown		0	Special situation	G

No	EVENT DATE	SOURCE	LOCATION	DURATION (Min)	FLs TRANSITIONED WITHOUT CLEARANCE	CAUSE	CODE
84	16/12/2020	Shenyang ACC	Unknown		0	Special situation	G
85	28/12/2020	Shenyang ACC	LEMOT		0	Special situation	G

Appendix C Geographic Location of Risk Bearing LHD within airspace of Chinese FIRs from January to December 2020

Figure 9 provides the geographic location of risk bearing LHD reports within Chinese FIRs during the reporting period.

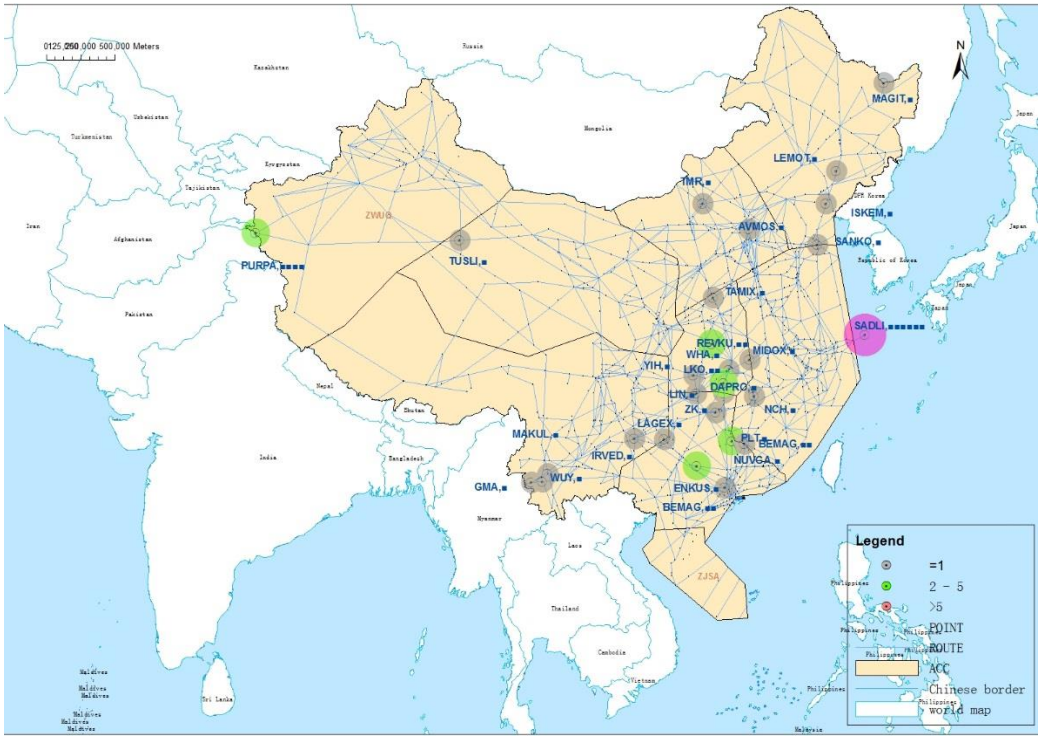

Figure 9: Geographic Location of Risk Bearing LHD Reports in the Region

ATTACHMENT B

AIRSPACE SAFETY REVIEW FOR THE RVSM OPERATION IN THE AIRSPACE OF PYONGYANG FLIGHT INFORMATION REGION JANUARY 2020 -DECEMBER 2020

Presented by

中国地区监控组织
CHINA REGIONAL MONITORING AGENCY

August 2021

SUMMARY

This report presents the airspace safety oversight from China Regional Monitoring Agency (China RMA) for the airspace of Democratic People's Republic of Korea (DPR Korea) for the time January 2020 -December 2020. The purpose of this report is to compare actual performance to safety goals related to continued use of Reduced Vertical Separation Minimum (RVSM) in the airspace of Pyongyang Flight Information Region (FIR). This report also contains an update of the vertical collision risk. The vertical collision risk estimate for the airspace of Pyongyang FIR is below the target level of safety (TLS) value of 5.0×10^{-9} fapfh.

1. Introduction

1.1 China Regional Monitoring Agency (China RMA) serves as the regional monitoring agency (RMA) for the airspace of Pyongyang FIR.

1.2 The report covers the reporting period from January to December 2020 in Pyongyang FIR. Each year, China RMA produces two reports requested by the Regional Airspace Safety Monitoring Advisory Group (RASMAG) on the FIR.

2. Data Submission

2.1. China RMA requests an annual one-month traffic movement sample and monthly Large Height Deviation (LHD) reports from the General Administration of Civil Aviation, DPR Korea.

2.2. Traffic Sample Data (TSD)

2.2.1. TSD for January 2020 for the RVSM airspace of DPR Korea was used in the assessment of risk. **Table 1** contains a summary of the traffic sample data received by China RMA for RVSM safety oversight of Pyongyang FIR.

FIR Name	FIR Code	Data Collected in ACC	Collecting Method	Status	Remarks
Pyongyang	ZKKP	Pyongyang	Automatic system	Received	Data completed

Table 1. Summary of Traffic Data of January 2020 in the DPR Korea's RVSM Airspace

2.3. **Large Height Deviation**

2.3.1. There was no LHD event occurred during the period from January 2020 to December 2020.

3. Estimate of Vertical Collision Risk for DPRK's RVSM Airspace

3.1. Estimate of the CRM parameters

3.1.1. **Table 2** summarizes the value and source material for estimating values for each of the empirical parameters of the internationally accepted Collision Risk Model (CRM), which is used to conduct the risk assessment and the safety oversight for the RVSM implementation in DPR of Korea's airspace.

Parameter Symbol	Parameter Definition	Parameter Value	Source for Value
S_x	Longitudinal separation standard for a region, or Length of longitudinal window used to calculate occupancy	80Nm	Standard value used in overall airspace
S_h	Planned Horizontal Separation	80Nm	Standard value used in overall airspace
$P_z(0)$	Probability of vertical overlap (with planned vertical separation equal to zero)	0.5380	Conservative value used in NAT, Pacific, Western Pacific/South China Sea RVSM safety assessments
$P_z(S_z)$	Prob. that 2 aircraft nominally separated by the vertical separation minimum S_z are in vertical overlap.	2.46 x 10^{-8}	
$P_y(0)$	Probability of Lateral Overlap	0.0835	Value used in NAT and average aircraft wingspan
$P_h(\theta)$	Probability of Horizontal Overlap	6.88 x10^{-7}	Value used in the Western Pacific/South China Sea safety assessment
$\left\lvert\overline{h(\dot{\theta})}\right\rvert$	Average relative horizontal speed during overlap for aircraft pairs on routes with crossing angle θ (let θ=45°)	367.4 knots	Value used in Western Pacific/South China Sea safety assessment (corresponds to an average aircraft speed of 480 knots)
$\lvert\overline{\dot{y}}\rvert$	Average absolute relative cross track speed for an aircraft pair nominally on the same track	4 knots	Value specified in ICAO Doc. 9574
$\lvert\overline{\dot{z}}\rvert$	Average absolute relative vertical speed of an aircraft	1.5 knots	Value used in NAT RVSM safety assessment

Parameter Symbol	Parameter Definition	Parameter Value	Source for Value
	pair that has lost all vertical separation		
λ_x	Average aircraft length	0.03162	Values used in the preliminary safety assessment report of DPR of Korea
λ_y	Average aircraft wingspan	0.02794	
λ_z	Average aircraft height	0.007	
λ_h	Diameter of the disk representing the shape of an aircraft in the horizontal plane	0.03162	

Table 2. Estimate of the empirical Parameters in the CRM

3.1.2. **Table 3** summarizes the values for estimating parameters in the CRM, which we estimated on the basis of TSD collected. They are demonstrated separately by air traffic control status.

Parameter Symbol	Parameter Value	Parameter Definition
T	570.8	Annual flight hours
E_z(same)	0.0	Same-direction vertical occupancies
E_z(opposite)	0.0789	Opposite-direction vertical occupancies
Crossing pairs	0	Annual estimate of crossing pairs in crossing route
$\overline{\lvert\Delta V\rvert}$	0	Average relative along-track speed between aircraft on same direction routes
$\overline{\lvert V\rvert}$	474.364	Average absolute aircraft ground speed

Table 3. Estimate of the Parameters based on the collected TSD

4. Estimate of Vertical Collision Risk for DPR Korea's RVSM Airspace

4.1. **Table 4** presents the estimates of vertical collision risk for the airspace of Pyongyang in terms of the technical, operational, and total risks. Since there was no LHD event occurred, the operational risk remains 0.0 x 10^{-9} fapfh, and the technical risk is 1.621 x 10^{-9} fapfh. The estimate of the overall vertical collision risk is 1.621 x 10^{-9} fapfh in December 2020. This estimate meets the regionally agreed TLS value of 5.0 x 10^{-9} fapfh.

RVSM Airspace of DPR Korea – estimated annual flying hours = 3358.0 hours *(note: estimated hours based on the Dec 2020 traffic sample data. Estimate represents the sum of total flying hours for Pyongyang FIR)*			
Source of Risk	**Lower Bound Risk Estimation**	**TLS**	**Remarks**
Technical Risk	1.04 x 10^{-9}	2.5 x 10^{-9}	Below Technical TLS
Operational Risk	0	-	-
Total Risk	**1.04 x 10^{-9}**	**5.0 x 10^{-9}**	**Below Overall TLS**

Table 4. Risk Estimates for the RVSM Implementation in the Airspace of DPR Korea

4.2. **Figure 1** presents the trends of collision risk estimates for each month using the estimated LHD data during the reporting period.

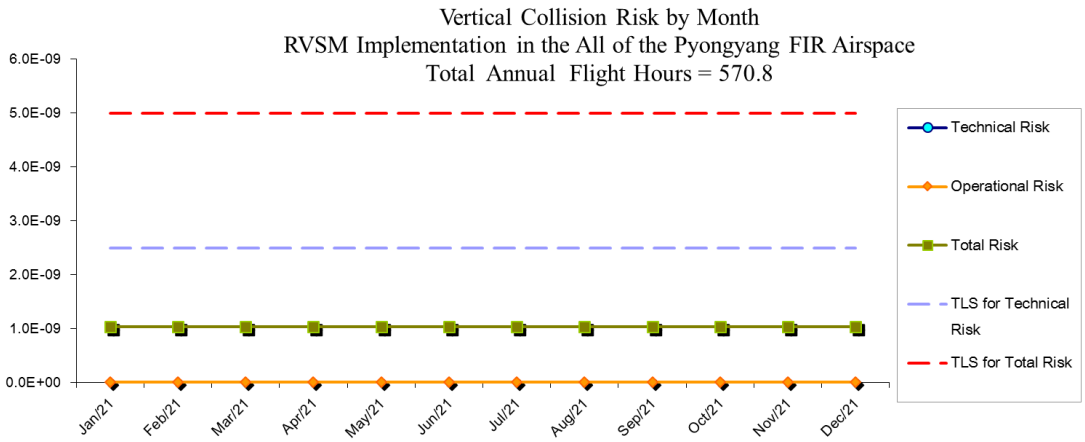

Figure 1. Trends of Risk Estimates for the Airspace of Pyongyang FIR

4.3. Based on these collision risk estimates, the estimates of both technical risk and total risk from the available TSD and LHD reports satisfy the agreed TLS value of no more than 2.5×10^{-9} and 5.0×10^{-9} fapfh.