



International Civil Aviation Organization
Western and Central African Office

**Eleventh Meeting of the Air Traffic Services/Aeronautical Information Service/Search and Rescue Sub-Group (ATS/AIS/SAR SG/11)
(Nairobi, Kenya, 26 - 30 April 2010)**

Agenda Item : 7 ATS Safety Management

Reporting of unsatisfactory conditions (UCRs) and the Doc 4444 model air traffic incident report form

(Presented by the Secretariat)

SUMMARY

This paper discusses the experience of unsatisfactory condition reporting within the context of the Tactical Action Group (TAG) and explores means to make the Doc 4444 model ATS incident reporting form more accessible and usable by all potential sources of the reports.

Action by the meeting is at **paragraph 3**.

REFERENCES

SP AFI RAN Report

TAG Meetings Reports

Doc 4444

This Working Paper is related to Strategic Objectives: **A**

1. INTRODUCTION

1.1 Section 16.3 of PANS-ATM Doc 4444 provides that an air traffic incident report shall be submitted, normally to the air traffic services unit concerned, for incidents specifically related to the provision of air traffic services involving such occurrences as aircraft proximity (AIRPROX), or other serious difficulty resulting in a hazard to aircraft, caused by, among others, faulty procedures, non-compliance with procedures, or failure of ground facilities.

1.2 In addition to that, the Special AFI RAN Meeting in Durban, South Africa 24-29 November 2010, taking advantage of experience gained through the RVSM implementation process formulated Recommendation 6/7 for the establishment of a Tactical Action Group (TAG) that will assess *"all aspects related to the operational environment in the AFI airspace above FL290 including but not limited to ATC loop errors, communications problems, navigation and surveillance, issues and any other item affecting the safety of operations"*.

1.3 The TAG is carrying out its tasks by bi-weekly teleconferences whereby, based on incident reports generally originated by airspace users, all safety related unsatisfactory conditions reported in the AFI Region are analysed, deficiencies identified and corrective actions proposed.

2. Discussion

2.1 On discussing the issues of supporting the work of IATA ATS Incident Analysis Group (AIAG) at the SP AFI RAN, concern was raised about the reporting of ATS incidents by users, who did not always file reports in a timely manner, following the ICAO model reporting form in PANS-ATM Doc 4444 Appendix 4. Based on the discussions, the SP AFI RAN agreed on the following Recommendation:

Recommendation 4/7: Reporting of air traffic services incidents

That air operators be reminded, by IATA and their State Authority, of their obligation to ensure that air traffic services incident reports are filed on a timely basis, following the ICAO model as contained in the Procedures for Air Navigation Services – Air Traffic Management (PANS-ATM, Doc 4444), Appendix 4, and provide sufficient relevant information to facilitate the ensuing investigation.

2.2 The TAG activities have confirmed that there is considerable safety data that can be collected through reporting of incidents related to the provision of air traffic services involving such occurrences as AIRPROX, or other serious difficulty as indicated above. The benefit of inclusiveness, the TAG has termed these unsatisfactory condition reports (UCRs) and these may be related to unsatisfactory conditions in the areas of communication, navigation and surveillance as well as in the provision of air traffic control services.

2.3 The most convenient mechanism for reporting incidents, whether in the context of Doc 4444 or TAG, have however, not always been those preferred by all concerned stakeholders (including CAAs) and have at time inadvertently not captured all available information that would be useful in investigating the incidents, achieving resolution and otherwise improving safety.

2.4 Many CAAs have adopted the model reporting form in Doc 4444 Appendix 4 (**Appendix B**) to this working paper) and provided it through such mechanisms as the Aeronautical Information Publication (AIP) for use by potential sources of information (typically ATS personnel and air crew). From experience, particularly within the TAG, most reports are not submitted through this form.

One of the five (5) basic traits of effective for effective safety reporting is “flexibility,” and condition in which people can adapt reporting when facing unusual circumstances, shifting from the established mode to a direct mode thus allowing information to quickly reach the appropriate decision-making level.

On one hand, having to use a form under all circumstances can be a constraint when circumstance do not permit its use; on the other hand, not using a mechanism that is aimed at achieving specific collection of data (such as the form in Appendix 4 of Doc 4444), can be cause for loss of valuable information. It should also be acknowledged that people are knowledgeable about the human, technical and organizational factors that determine the safety of the system as a whole. Consequently, the reporting mechanism should provide the necessary flexibility.

2.5 In order to increase availability and utility (user friendliness) of the Doc 4444 form, it is proposed that the AFI Region adopt an electronic format of the form taking into consideration the experience and objectives of the TAG. The proposed form at **Appendix C** is presented for review, adaptation and endorsement by the ATS/AIS/SAR SG/11 meeting, for further consideration by APIRG 17. The electronic form is an adaptation of the model form at Appendix 4 of Doc 4444, the objective being to facilitate completion with a PC and submission through email, thereby enabling higher utility of the form. The meeting may wish to acknowledge however, that radical adaptation of the form might defeat the purpose for which it was provided, as well as the interoperability between Regions.

2.6 In view of the foregoing, the meeting may wish to formulate the following Draft Conclusion:

DRAFT CONCLUSION 11/X: AFI ATS INCIDENT AND UNSATISFACTORY CONDITION REPORTING

That, in order to facilitate the reporting of ATS incidents and unsatisfactory conditions in the AFI airspaces,

- a) an adapted electronic format of the PANS-ATM Doc 4444 Appendix 4 incident reporting form is adopted as at Appendix X to the report on agenda item 7 (**Appendix C** to this working paper);*
- b) AFI States, ANSPs and international air operator organizations are urged to introduce and promote usage of the electronic form; and*
- c) AFI States designate focal points (with direct contact details) to whom operators may submit incident reports for investigation and resolution.*

3. ACTION BY THE MEETING

3.1 The meeting is invited to:

- a) note the information contained in this working paper;
- b) review, adapt and agree on an electronic format of the Doc 4444 Appendix 4 model incident reporting form including completion instruction thereto; and
- c) agree on Draft Conclusion 11/XX under paragraph 2.6 of this working paper.
