

V3.0 – approved, NCP performance WG, May 2019

1 Introduction

Background

Commission Implementing Regulation (EU) 390/2013 (Performance regulation) and associated Commission Implementing Decision 2014/132/EU setting the Union-wide performance targets define the performance scheme in RP2 (2015-2019).

As part of the performance scheme, RP2 targets were set for the capacity performance area as follows:

- En-route ATFM delay is subject to target setting at EU-wide and FAB-level, with a breakdown monitored at the most appropriate level (e.g. ANSP, ACC).
- Arrival ATFM delay is subject to target setting at National level with a breakdown at airport level.

In addition, incentive schemes on capacity (i.e. ATFM delay) are required both on en-route and arrival ATFM delay as per the Performance regulation Article 12.3 and the Charging Regulation IR EU 391/2013 Article 15.

Option offered in Article 15:

“(g) for the key performance area of capacity, the target levels of performance may be adjusted to cover only delay causes related to ATC capacity, ATC routing, ATC staffing, ATC equipment, airspace management and special event with the codes C, R, S, T, M and P of the ATFCM user manual.”

Two new regulations also provide the basis for the process:

NF IR: Commission Implementing Regulation (EU) 2019/123 of 24 January 2019 laying down detailed rules for the implementation of air traffic management (ATM) network functions and repealing Commission Regulation (EU) No 677/2011.

PC IR: Commission Implementing Regulation (EU) 2019/317 of 11 February 2019 laying down a performance and charging scheme in the single European sky and repealing Implementing Regulations (EU) No 390/2013 and (EU) No 391/2013.

Purpose

ANSPs and airports require a post ops performance adjustment process whereby they can notify NM and national and European authorities of issues that relate to ATFM delay measurement, classification and assignment. The term “delay issue” is used hereafter for such issues. These delay issues could impact the reporting of ANSP or airport performance and may need to be corrected.

The post operations adjustment process also supports NSAs in complying with the requirements of Regulation (EU) 390 (the Performance IR), specifically with Article 21(3) regarding data quality and validation. *Note: PCIR reference is Article 36(3).*

Scope

The post-ops adjustment process aims at ensuring an accurate and consistent classification of ATFM delays to avoid a number of undesirable situations. It is limited to adjustments of delay issues and concerns specifically:

- Incorrect use of regulation reason (delay code)
- Incorrect/misleading reference location (airport/en-route)
- Incorrect calculation of ATFM delay for a single or multiple flights subject to an ATFM regulation
- Incorrect application of network procedures leading to incurred ATFM delay.
- Delay incurred due to another party's actions and deemed wrongly assigned
- Delay incurred due to an exceptional event.
- Delay reattribution due to the NM ATFM delay reattribution CDM procedure¹.

Approval process

At the request of operational stakeholders, NM developed the post ops adjustment process and the Network Management Board (NMB/12 meeting of 26.03.2015) endorsed the adjustment process subject to NSA consultation.

The NCP Performance WG approved the process in November 2015 and the SSC noted it in December 2015.

NM proposed some process improvements in its annual review (November 2016²). The NCP Performance WG approved the updated process (version 2.0) at its November 2017 meeting and version 3.0 at its May 2019 meeting.

2. Post-ops performance adjustment process

Overview

The chart overleaf shows the process flow of the post ops performance adjustment process.

Objective

The objective of the post ops performance adjustment process is to ensure an accurate and consistent classification of ATFM delays in compliance with the Performance scheme, NF IR and other regulations and guidelines, such as the ATFM Handbook Guidance Material to enable constraints on European ATM to be correctly identified in terms of reason, responsibility and impact.

Stakeholders

Network Manager (NM)
Air Navigation Service Providers (ANSP), ATC units
Airports
Airspace users
National Supervisory Authority (NSA).

¹ See Network Cooperative Decision Making Processes, Version 2.3, NMD/D/4647, approved by NMB/24, 03.04.2019 and NM IR 2019/123, Article 7, 2 (h))

² Post ops performance adjustment process, NM status report 2016, presented to NCP Performance WG, November 2016.

Inputs

Controlled regulation delay data
Change requests and change register
Pre-ops agreements

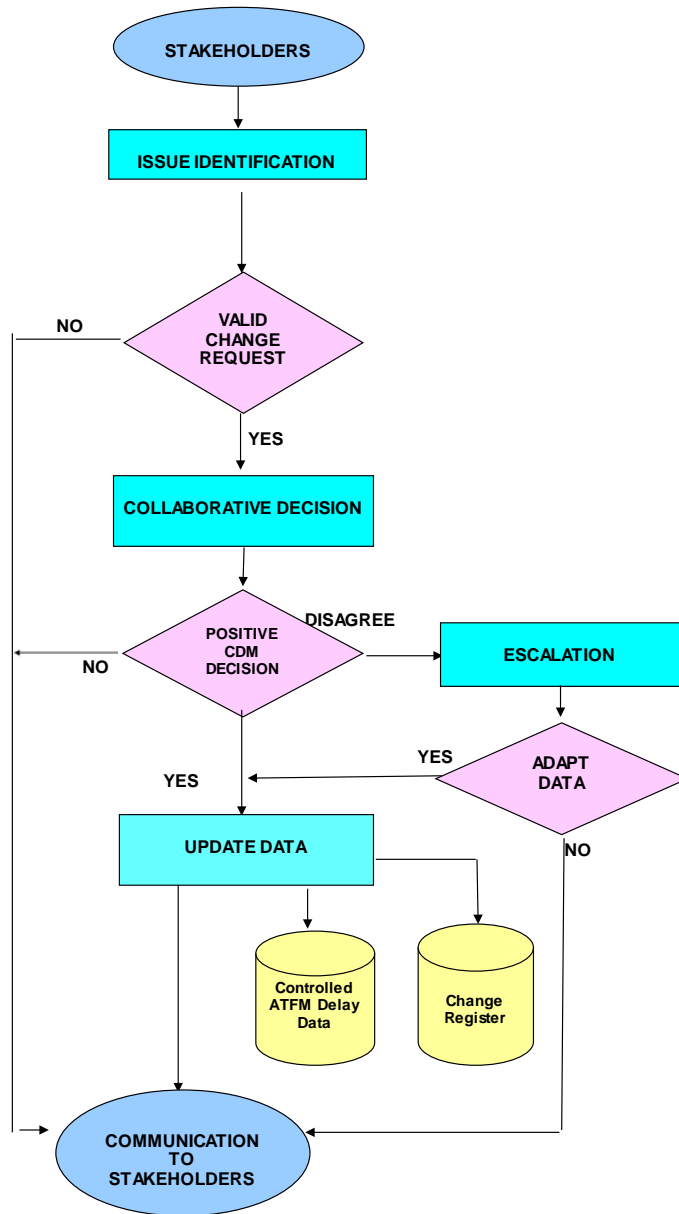
Steps

The post ops performance adjustment process consists of:

- Issue identification – stakeholders identify delay issues (an issue with ATFM delay measurement, classification or assignment) and initiate contact with NM;
- Collaborative decision – NM and stakeholders decide collaboratively whether the controlled regulation delay data should be changed. If there is no consensus NM will propose a decision.
- Data update – NM updates the controlled regulation delay data used for the performance scheme and NM informs stakeholders of the result of the adjustment process. NM will highlight any change to data where there was no consensus and the decision is contested.
- Escalation: stakeholders may challenge NM proposed decisions through the NSAs and NMB.
- Year end close

Output

Decision regarding the change request.
Updated change register.
Controlled regulation delay data - updated depending on the decision.



Issue identification

Objective

The objective is to identify valid delay issues that may give incorrect ATFM delay measurement, classification and/or assignment.

Process

An ATC unit may identify a delay issue. The person responsible for (airport/ANSP) ATC unit performance should judge the validity of the delay issue. That person raises the delay issue with NM. The unit must inform NM of the person responsible

through a formal letter (see web guidance³). NM will reject a submission after one month if no formal nomination is received.

The NM decides if there is a valid delay issue. NM informs the requester of a negative decision. The stakeholder formally notifies valid delay issues to NM using a defined change template (see section 4) that specifies the information required.

NM may identify a delay issue. NM raises the delay issue with the relevant stakeholders and leads the coordination with local ATC units. NM will log the delay issue using the change template.

NSAs, Airspace users and Airport Operators may raise a delay issue through NM.

NM will log pre-ops agreements automatically. This includes any agreement as part of the NM ATFM delay attribution CDM procedure.

NM may ask for supplementary information to support the submission before deciding if there is a valid delay issue.

NM will update the change register with received change requests

Timescale

NM will only accept formal change requests received by the end of the second month following the occurrence of the delay issue; no cases after 31 January for previous year.

NM will also submit change requests by the end of the second month following the occurrence of the delay issue, including for pre-ops agreements.

The submitter has 1 month to provide supplementary information requested by NM otherwise the case is rejected.

NSAs may submit change requests up to 31 March (of the year following the year of the delay issue).

Collaborative Decision

Objective

The objective is to decide collaboratively whether a notified delay issue gives incorrect ATFM delay measurement, classification and/or assignment taking into account all regulations and guidance material on delay classification - and should be corrected.

³ Post ops performance adjustment process guidance : EUROCONTROL website "We Offer".
<https://www.eurocontrol.int/service/post-operations-performance-adjustment>

Process

The NM and stakeholders coordinate to assess the following delay issues:

- regulation reason correction
- incorrect/misleading reference location (airport/en-route)
- calculation of delay value
- incorrect (NM) application of network procedures
- assigning delay to another party within the NSA responsibility.

Where the change proposal is for assigning delay to a party outside of the state's responsibility, the third party's (states) stakeholders must be included in the CDM.

NM will assess the delay issue using criteria outlined in the Attachment. Given the operational evidence, NM will form its opinion and share its analysis in cases of delay assignment.

NM and stakeholders will decide collaboratively on each change. NM will record each decision in the change register. Where there is disagreement, NM will propose a decision on whether the controlled regulation delay data is to be changed. Stakeholders will have the option to escalate the delay issue decision.

Where the delay issue is due to an exceptional event requiring the activation of the EACCC, NM will assess the impact and prepare a report that will include changes to the controlled regulation delay data. NMB will approved this.

NM considers NSA change requests as given and accepts them.

The output of the NM ATFM delay attribution CDM procedure is by definition "decided collaboratively".

Timescale

NM has one month to form its opinion.

A decision on each case is expected within two months following submission (taking account of request for more information and NM assessment).

Exceptional event report is to be submitted to NMB after the end of the month following the exceptional event, while respecting NMB deadlines for submission of papers.

Submitters have one month to respond to NM's position, otherwise it will be considered accepted.

Third parties have one month to respond to NM's position, otherwise it will be considered accepted.

Data update

Objective

The objective is to reflect changes in the controlled regulation delay data that is to be used in official reports and make it available to stakeholders.

Process

NM will identify the data items to be updated from the change template.

NM will update the controlled regulation delay data.

NM will publish the updated controlled regulation delay data.

NM will update the change register to indicate the status is “completed”.

NM will notify the stakeholders of the change status; and paying particular attention to NSA reporting.

Timescale

NM will update the controlled regulation delay data, the change register and notify the stakeholders of completion by the end of the week following a decision.

NM will publish twice the updated controlled regulation delay data (mid-July for current half-year; end April for final version of previous year).

Escalation

Objective

The objective is to, where necessary, seek higher level motivated opinion on NM's proposed decision on a specific change.

Process

Where a stakeholder is dissatisfied with NM's proposed decision to change (or not) the controlled regulation delay dataset, they may escalate their grievance to the NSA (for within national border issues) or NMB (under supervision of the NSAs concerned) for cross border issues. An NSA may request the support of the NM for national border issues.

The stakeholder shall submit a report to NSA or NMB stating the initial problem, justification and the desired outcome in terms of changes to the controlled regulation delay data.

- NSA will confirm or overturn NM's proposed decision.
- NMB Chair will decide whether to present the case to NMB or reject it. For tabled cases, NMB (under supervision of the NSAs concerned) will confirm or overturn NM's decision.

NM will update the controlled regulation delay data in accordance with NSA or NMB decisions.

Timescale

Escalation cases are to be submitted to

- the first available NMB after the end of the month following the NM's proposed decision, while respecting the deadline for submission of papers, and
- NSAs by the end of the month following NM's proposed decision.

NMB Chair through NM will inform the stakeholder of a rejection within 2 weeks of submission.

NM will inform the stakeholder of NSA or NMB decision within 2 weeks of a decision.

NM will update the controlled regulation delay data by the end of the week following a decision.

Year-end close

Objective

The objective is to publish the controlled regulation data for a full year in time for formal performance monitoring.

Process

NM will try to conclude all open cases up to the point it believes a collaborative decision will not be possible (before mid-April).

NM will complete a final update/validation of the full year controlled regulation data and publish.

NM will document all unfinished cases and inform the submitter, third parties, NSAs and EC.

These cases may be mentioned in formal NSA reporting to EC.

Timescale

The year-end (N) controlled regulation data should be published by end April (N+1).

3. Adjustment process review

Annual process operational review

NM will survey annually the stakeholders' views of the adjustment process. NM will produce an annual Process report that outlines the number of issues submitted and their status. It will provide statistics on:

- Number and percentage of accepted issues (received within 1 month).
- Number and percentage of cases responded to within 2 months of submission.
- Number and percentage of notifications of completion made within 1 week of a positive decision.
- The amount of ATFM delay corrected.

The NM will report annually to NSAs on the adjustment process and make recommendations where appropriate.

4. Definitions

Air Traffic Control unit (from IR EU 923/2012 Article 2 (31))

'air traffic control unit' means a generic term meaning variously, area control centre, approach control unit or aerodrome control tower;

Appropriate level

The level of detail of changed data needed for target setting and monitoring in order to identify remedial actions. This implies that proposed data changes will be applied to a regulation summary data and not to individual flights.

Change request

The delay issue submitted to NM. Each change will have an identifier and the register will be available online.

Change register

A catalogue recording all the change requests submitted to NM

Change template

The method by which stakeholders will notify NM of a change request. The web guidance⁴ explains which template to use depending on the nature of the issue and the level of explanation required.

Controlled regulation delay data

This is the archived operational data that is adjusted in line with post ops performance adjustment process decisions and is the basis of SES performance reporting. It includes: regulation identifier, reference location, regulation reason and delay amount.

Delay issue

Issue related to ATFM delay measurement, classification and/or assignment.

Exceptional event (from IR EU 390/2013 Article 2 (17))

'exceptional event' means circumstances under which ATM capacity is abnormally reduced so that the level of ATFM delays is abnormally high as a result of: a planned limitation induced through operational or technical change, major adverse weather circumstances, the unavailability of large airspace parts either through natural or political reasons, or industrial action and the activation of the EACCC by the Network Manager as a result of one or more of these causes.

Pre-ops agreement

Where operational practices lead to recurrent delay issues, these may be identified and be pre-agreed between stakeholders and NM so that they can be automatically processed.

⁴ Post ops performance adjustment process guidance : web link
<http://www.eurocontrol.int/publications/advice-post-operations-performance-adjustment-process>



Validity of delay issue: judgment of whether there is a delay issue and whether it warrants further action.

NM CDM process document¹ defines the NM ATFM delay attribution CDM procedure.



DELAY ISSUE ASSESSMENT CRITERIA

Incorrect use of regulation reason

Example	More often this will be a human error either by the ANSP requesting the ATFM measure or an input error by the ATFM operator on NM, e.g. the wrong reason selected from the regulation editor drop-down list.
Criteria	The stakeholder will be asked to justify the change to the regulation reason on the basis of the ATFM Handbook guidance material. This guidance was updated in 2014 and represents the industry understanding of how to use the regulation reasons.

Incorrect/misleading reference location (airport/en-route)

Example	The incorrect choice of traffic volume for the regulation.
Criteria	The stakeholder will be asked to explain the root cause/origin of the traffic issue that the ATFM measure was targeting. The correct reference location for the origin will be accepted.

Incorrect calculation of ATFM delay for a single or multiple flights subject to an ATFM regulation

Example	REA message
Criteria	The stakeholder will be asked to explain the calculation. ATFM delay error due to the impact of REA message has been identified and accepted by NMB for correction. It is deemed a pre-ops decision in the adjustment process .

Incorrect application of network procedures leading to incurred ATFM delay.

Example	NM action that incorrectly includes a flight in a regulation
Criteria	The stakeholder will inform NM of the reason why the flight was incorrectly captured. NM will need to justify the inclusion using the operational procedures/ATFM manual.

Delay incurred due to another party's actions and deemed wrongly assigned

Example	Delays requiring re-attribution to a different ANSP
Criteria	The stakeholder will be asked to explain the root cause/origin of the traffic issue that the ATFM measure was targeting. NM will assess the traffic handling capability of the complainant the week before and the week after the event. Delays due to high predicted traffic due to a single event (in excess 10% of normal capacity) would be accepted for delay re-attribution to the originator of the traffic issue.

Delay incurred due to an exceptional event. This would be a rare event, e.g. the Ash Cloud disruption. The NM post ops report would provide an assessment of any delay re-attribution.

Classification:DCC : Green