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ORGANISATION DE L'AVIATION CIVILE INTERNATIONALE
ORGANIZACIÓN DE AVIACIÓN CIVIL INTERNACIONAL
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Subject: Invitation, agenda and request for information
for the Conference on the Economics of Airports and
Air Navigation Services (ANSCConf 2000)

Action required: a) Note agenda at Attachment A;
b) Reply to questionnaire at Attachment B by **29 October 1999**;
c) Submit Air Transport Reporting Forms EF-1, I, J, K and L for 1998 as soon as possible;
d) Reply concerning attendance by **15 February 2000** and submit any working
papers by the same date

Sir/Madam,

I have the honour to extend to your Government/organization an invitation to the *Conference on the Economics of Airports and Air Navigation Services* which, together with a one and a half day preparatory seminar, will be held at ICAO Headquarters in Montreal from 19 to 28 June 2000.

The theme of the Conference is *Air transport infrastructure for the 21st century*. The Conference will be addressing both from a practical as well as a policy perspective the major economic challenges facing the provision of airports and air navigation services and the role of the State therein. The Conference is expected to deal with key policy matters and basic principles, with subsequent elaboration by the Council.

Conference agenda and documentation

The agenda for the Conference, as approved by the Council after consultation with Contracting States (my letter SR 167/1-98/99 dated 16 December 1998 refers) appears as **Attachment A** to this letter. Agenda Item 1, Economic situation of airports and air navigation service providers and their financial relationship with air carriers and other users, is intended as a vehicle for the provision and sharing of information as a basis for consideration of other Items. Agenda Items 2 through 5 are items from which the Conference is expected to draw conclusions and, where relevant, make recommendations addressed

to States or ICAO for consideration by the Council. Agenda Item 6 addresses guidance and assistance by ICAO. As regards policy on charges for airports and air navigation services, these will primarily be addressed under Agenda Item 5; in this regard, you may wish to note that while Item 5.1 includes provision for consideration of noise-related charges, the Conference is not expected to address emission charges since that subject is under active study by the ICAO Committee on Aviation Environmental Protection (CAEP) and the subject is also expected to be discussed at a Colloquium on Environmental Aspects of Aviation, which the Council is presently planning to convene in April 2001.

The Secretariat will prepare working papers addressing issues under all Agenda Items. For this purpose, and particularly in order to provide comprehensive background for Agenda Item 1, the Secretariat has designed the **Questionnaire for States at Attachment B**. The questionnaire is divided into three parts. Part 1- Airports, should be completed for those airports having a combined total of at least 90 per cent of the total international commercial traffic (scheduled and non-scheduled) of all airports in the State concerned; Part 2 - Air Navigation Services, should be completed with regard to all such services for which the State concerned has accepted the responsibility of providing; and Part 3 - Regulatory Aspects, should provide information pertaining to economic regulatory practices applicable to airports and air navigation services in the State concerned. To ensure that the relevant information, policies and practices for your State are fully reflected, I would appreciate receiving a comprehensive reply to the questionnaire to reach ICAO Headquarters **not later than 29 October 1999**. While the questionnaire is addressed to States, international organizations with related information on any of the aspects covered are encouraged to submit this, via the questionnaire or separately.

I would also appreciate attention to the need for submission of the following related statistical Reporting Forms covering 1998 as early as possible: EF-1 (air carrier finances), I (airport traffic), J (airport finances), K (en-route facility financial data) and L (en-route facility traffic). The submission of published annual financial statements for major airports and air navigation services providers would be of further assistance.

Working papers that you may wish to submit for the meeting should be sent to ICAO Headquarters as soon as practicable and **no later than 15 February 2000** in order to permit translation, reproduction and distribution in time for full consideration prior to the meeting. Papers received after that date will be processed as promptly as possible, but their distribution in advance of the meeting cannot be assured. Proposals for action should appear as a first element on a paper, followed by a concise statement of the purpose.

You will wish to note that, as a consequence of a heavy meetings programme and continuing resource constraints, the Organization can no longer translate working papers longer than six pages (including attachments), working papers presented by Observers (including international organizations), or any information paper. Such papers will therefore be produced in the original language only (unless a translation already exists or is provided by the State or organization concerned). Submission is encouraged on a computer diskette with identification of the word processing system used.

In preparing working papers you may wish to refer to current ICAO policy and practical guidance contained in the following reference documents for the Conference: *Statements by the Council to Contracting States on Charges for Airports and Air Navigation Services* (Doc 9082/5), the *Airport Economics Manual* (Doc 9562), the *Manual on Air Navigation Services Economics* (Doc 9161/3), and the Air Navigation Services Economics Panel's *Report on Financial and Related Organizational and Managerial Aspects of Global Navigation Satellite Systems (GNSS) Provision and Operation* (Doc 9660).

Preparatory seminar

A preparatory seminar will take place on Monday, 19 June and the morning of Tuesday, 20 June 2000, with the Conference *per se* commencing in the afternoon of 20 June. The intent of the seminar is to focus on some key issues to be addressed by the Conference, enabling delegates, in an informal setting, to obtain information and clarification regarding these issues, highlighting challenges in advance and paving the way for the Conference to arrive at its conclusions more efficiently. The seminar is thus intended to serve as an integral building block for the discussions but will be procedurally independent of the Conference itself.

The seminar will take the form of presentations and panel discussions by experts, with ample provision for questions and answers from the floor. Potential topics include: identification of circumstances which facilitate airports and air navigation services providers covering their costs; the significance of non-aeronautical airport revenues; the concept of charges vis-à-vis that of taxes; commercialization and privatization; multinational co-operation and joint ventures (including the emerging concept of airport alliances); attracting financing; airport slot allocation; and major challenges facing airport and air navigation services providers. The programme for the seminar will be distributed in March next year.

Organizational arrangements

The Council has decided that the Conference and the preparatory seminar will each work as a single body throughout. The working languages will be Arabic, English, French, Russian and Spanish with interpretation in Chinese. The Conference will be conducted in accordance with the *Standing Rules of Procedure for Meetings in the Air Transport Field* (Doc 8683), except that the Council has suspended Rule 26 which calls for the preparation of summary minutes. There is no provision for opening statements from States or Observers at either the seminar or the Conference.

There will be a small contact booth Exhibition at ICAO Headquarters held in association with the Conference from Wednesday, 21 June to Friday, 23 June (a separate letter is being dispatched on this subject).

Information concerning visa requirements, conveniently-located hotels and their rates, registration and other organizational arrangements will be sent to you in March next year.

Response to invitation

I would appreciate your advising me as early as possible and in any event no later than **15 February 2000** whether your Government/organization plans to participate in the Conference and seminar and, if so, the names of your representatives.

Accept, Sir/Madam, the assurances of my highest consideration.



R.C. Costa Pereira
Secretary General

Enclosures:

- Attachment A** - Agenda for the Conference on the
Economics of Airports and Air Navigation Services (ANSCConf 2000)
- Attachment B** - Questionnaire

**CONFERENCE ON THE ECONOMICS OF AIRPORTS
AND AIR NAVIGATION SERVICES**

AGENDA

1. Economic situation of airports, air navigation service providers and their financial relationships with air carriers and other users

Overview of: ownership and control (including transnational investment, ownership/management of multiple entities, alliances), financial and organizational structure in the provision of airports and air navigation services; and of the financial situation of providers in relation to that of air carriers and other users.

2. Organizational issues

Address of: commercialization, including private involvement (privatization and concessionary arrangements); obligations of autonomous entities; methods of regulating charges; setting performance standards and monitoring performance (including data requirements); and international co-operative or joint ventures (in financing, operations and/or charges collection), including joint financing, and related concepts addressed in Chapter XV of the *Convention on International Civil Aviation* and Assembly Resolution A16-10.

3. Funding issues

Evaluation of: needs, sources, capacity and mechanisms including public/private partnerships; preparatory requirements including sound and transparent accounting and cost recovery practices; economic planning, cost-benefit analysis including environmental cost effectiveness analysis; and development of business cases.

4. Determinants of the economic regulation of airports and air navigation services

Examination of: the role of the State; international obligations including those arising from Articles 15 and 28 of the *Convention on International Civil Aviation* (Doc 7300/7); the form of regulatory mechanisms and such features as protection from abuse of monopoly, particularly where it involves private interests, non-discrimination, scope of user charges, equity in cost recovery, competition in service provision (including, in the case of airports, ground handling), consultation with users and arbitration of disputes. Particular attention will be given in this context to capacity constraints and the issue of slot allocation.

Note: Issues that may be relevant specifically to airports or air navigation services will be addressed separately under individual agenda items following discussion of common issues.

5. ICAO policy

Broad-based evaluation and development of the principles contained in the *Statements by the Council to Contracting States on Charges for Airports and Air Navigation Services* (Doc 9082/5), encompassing:

5.1 Status, structure and form of ICAO policy

Clarity, precision and form of presentation of the *Statements*; dissemination and application of the principles in the *Statements*; need for transparency and publication of policy and practice on airport and air navigation service charges in States; related desirability for feedback and dissemination of application of the *Statements*.

5.2 Elements for consideration with regard to ICAO policy

Major principles such as non-discrimination; cost basis for charges; cost allocation; charging systems including currency aspects; and consultation with users; notably in the light of developments in, for example, marginal cost pricing, pre-funding of projects through charges, recovery of GNSS costs, costs of search and rescue services provided by the military, and reflection of the effect of organizational changes, with distinction where required to focus on:

5.2.1 Airport charging principles

Airport-specific charges such as landing, parking, passenger service, security and noise charges, and development of non-aeronautical revenues and their relevance in determining charges on air traffic.

5.2.2 Air navigation services charging principles

Charges specific to air navigation services such as route, and approach and aerodrome control charges.

6. Guidance and assistance by ICAO

Review of adequacy of activities and documents such as: Manuals and Circulars; workshop and seminar programme; assistance in cost-benefit analysis; development of business cases; seeking of financing; and co-operative cost-recovery, billing and collection schemes; also cooperation with other organizations.

Reply to reach ICAO by 29 October 1999

State: _____

**CONFERENCE ON THE ECONOMICS OF AIRPORTS
AND AIR NAVIGATION SERVICES (ANSCoF 2000)**

QUESTIONNAIRE

COVERAGE

This questionnaire is divided into three parts. Part 1 - Airports, should be completed for those airports having a combined total of at least 90 per cent of the total international commercial traffic (scheduled and non-scheduled) of all airports in your State; Part 2 - Air Navigation Services, should be completed with regard to all such services which your State has accepted the responsibility for providing; and Part 3 - Regulatory Aspects, should be completed with regard to economic regulatory practices applicable to airports and air navigation services in your State. Any additional input or comments you may wish to provide may be written on the questionnaire or supplied on a separate sheet.

PART 1 - AIRPORTS

To answer questions 1.1 to 1.9 please use, if possible (and practicable), one copy of this part of the questionnaire for each major international airport or for those international airports managed as a group, especially where there are differences in organization and ownership.

Airport(s): _____

ORGANIZATION

1.1 Indicate below the overall structure of ownership and operation of the airport(s), currently and as planned:

		Structure	
		Current	Planned
a)	Government owned autonomous airport entity	<input type="checkbox"/>	<input type="checkbox"/>
b)	Directorate of civil aviation	<input type="checkbox"/>	<input type="checkbox"/>
c)	Ministry or other national government department	<input type="checkbox"/>	<input type="checkbox"/>
d)	Regional or municipal government	<input type="checkbox"/>	<input type="checkbox"/>
e)	Private interests operating the airport(s) under a concession or leasing arrangement	<input type="checkbox"/>	<input type="checkbox"/>
f)	Privately owned airport entity	<input type="checkbox"/>	<input type="checkbox"/>
g)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>

- 1.2 If the ownership of the airport(s) currently includes, or is planned to include, private interests, indicate the percentage of capital owned by:

		Per cent of Capital	
		Current	Planned
a)	Private interests	_____	_____
b)	Government or other public interests	_____	_____

- 1.3 Indicate where private domestic and/or foreign interests own and/or operate any of the following major airport areas or services:

		Ownership/operation	
		Domestic	Foreign
a)	Passenger terminal facilities	<input type="checkbox"/>	<input type="checkbox"/>
b)	Cargo terminal facilities	<input type="checkbox"/>	<input type="checkbox"/>
c)	Ground handling	<input type="checkbox"/>	<input type="checkbox"/>
d)	Air traffic control (including communications)	<input type="checkbox"/>	<input type="checkbox"/>
e)	Security services	<input type="checkbox"/>	<input type="checkbox"/>
f)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>

CAPACITY MANAGEMENT

- 1.4 Where lack of capacity is being experienced, indicate where there are in effect or are plans to introduce any of the following measures to address capacity problems:

		Measures	
		In effect	Planned
a)	Increase capacity (runway/taxiway and/or terminal expansions)	<input type="checkbox"/>	<input type="checkbox"/>
b)	Assigning certain traffic (on basis of e.g. aircraft size or origin/destination) to another airport	<input type="checkbox"/>	<input type="checkbox"/>
c)	Slot allocations	<input type="checkbox"/>	<input type="checkbox"/>
d)	Peak charges	<input type="checkbox"/>	<input type="checkbox"/>
e)	High minimum charges	<input type="checkbox"/>	<input type="checkbox"/>
f)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>

FINANCING

- 1.5 Indicate the primary source(s) that are currently applied or are planned for financing airport infrastructure investment requirements (indicate maximum of four sources):

		Source	
		Applied	Planned
a)	Self-financing (e.g. retained earnings)	<input type="checkbox"/>	<input type="checkbox"/>
b)	National government	<input type="checkbox"/>	<input type="checkbox"/>
c)	Regional/municipal government	<input type="checkbox"/>	<input type="checkbox"/>
d)	Foreign government loans or aid	<input type="checkbox"/>	<input type="checkbox"/>
e)	Development banks or funds	<input type="checkbox"/>	<input type="checkbox"/>
f)	Commercial loans - domestic	<input type="checkbox"/>	<input type="checkbox"/>
g)	Commercial loans - foreign	<input type="checkbox"/>	<input type="checkbox"/>
h)	Bonds	<input type="checkbox"/>	<input type="checkbox"/>
i)	Share capital	<input type="checkbox"/>	<input type="checkbox"/>
j)	Other, please specify_____	<input type="checkbox"/>	<input type="checkbox"/>

FINANCIAL DATA

Note: Response to the following four questions need not be provided if ICAO Air Transport Reporting Form J - Airport Financial Data - for 1998 has already been filed with ICAO.

Airport(s): _____

Year: _____

Currency: _____

1.6 Income

- | | | |
|----|--|-------|
| a) | Air traffic operations (aircraft-related, passenger-related and other charges) | _____ |
| b) | Ground handling charges | _____ |
| c) | Concessions | _____ |
| | of which fuel and oil | _____ |
| | of which duty free shops | _____ |
| | of which automobile parking | _____ |
| d) | Rentals | _____ |
| e) | Other revenues | _____ |
| f) | Operating subsidies (if any) | _____ |
| g) | Total income (sum of above) | ===== |

1.7 Expenses

- | | | |
|----|---|-------|
| a) | Operation and maintenance (personnel costs, supplies, services contracted) | _____ |
| b) | Administrative overheads | _____ |
| c) | Other non-capital costs | _____ |
| d) | Capital costs (depreciation and/or amortization, interest, other capital costs) | _____ |
| e) | Total expenses (sum of above) | ===== |

1.8 Capital investments

Gross capital investments during the year _____

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- 1.9 Indicate whether all or nearly all the expenses associated with the airport areas or services listed below are included in the expense data reported in question 1.7 above.

		All or Nearly All Expenses Included	
		Yes	No
a)	Aircraft movement areas and their associated lighting	<input type="checkbox"/>	<input type="checkbox"/>
b)	Passenger and cargo terminal facilities	<input type="checkbox"/>	<input type="checkbox"/>
c)	Hangar and maintenance areas	<input type="checkbox"/>	<input type="checkbox"/>
d)	Approach and aerodrome control (including communications)	<input type="checkbox"/>	<input type="checkbox"/>
e)	Meteorological services	<input type="checkbox"/>	<input type="checkbox"/>
f)	Security	<input type="checkbox"/>	<input type="checkbox"/>
g)	Crash, firefighting and rescue services	<input type="checkbox"/>	<input type="checkbox"/>

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PART 2 - AIR NAVIGATION SERVICES

FIR(s)/UIR(s) (Flight information region(s)/upper flight information region(s)) covered: _____

ORGANIZATION

- 2.1 Indicate below the overall structure of ownership and operation under which air traffic services (ATS) en route (area control) are provided currently and as planned:

		Structure	
		Current	Planned
a)	Government owned autonomous entity	<input type="checkbox"/>	<input type="checkbox"/>
b)	Directorate of civil aviation	<input type="checkbox"/>	<input type="checkbox"/>
c)	Ministry or other national government department	<input type="checkbox"/>	<input type="checkbox"/>
d)	International operating agency	<input type="checkbox"/>	<input type="checkbox"/>
e)	Privately-owned entity	<input type="checkbox"/>	<input type="checkbox"/>
f)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>

- 2.2 Indicate whether approach and aerodrome control services, including communications, are currently provided by:

		Yes	No
a)	The airport administration itself	<input type="checkbox"/>	<input type="checkbox"/>
b)	The organization providing ATS en route	<input type="checkbox"/>	<input type="checkbox"/>
c)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>

- 2.3 Indicate whether the provider of ATS referred to in question 2.1 is also the principal provider of the following services:

		Yes	No
a)	COM (Aeronautical telecommunication services)	<input type="checkbox"/>	<input type="checkbox"/>
b)	MET (Meteorological services)	<input type="checkbox"/>	<input type="checkbox"/>
c)	SAR (Search and rescue services)	<input type="checkbox"/>	<input type="checkbox"/>
d)	AIS (Aeronautical information services)	<input type="checkbox"/>	<input type="checkbox"/>

COLLECTION OF AIR NAVIGATION SERVICES CHARGES

- 2.4 Indicate whether the body levying air navigation services charges collects them itself, or has contracted with another body/agency to perform the collection:

	Yes	No
a) Collects itself	<input type="checkbox"/>	<input type="checkbox"/>
b) Collected by another body/agency	<input type="checkbox"/>	<input type="checkbox"/>
c) If response to b) is "Yes", name of body/agency _____		

CAPACITY MANAGEMENT

- 2.5 Where lack of capacity is being experienced in the airspace for which your State has accepted the responsibility for providing air navigation services, indicate whether there are in effect or there are plans to introduce any of the following measures to address capacity problems:

		Measures	
		In effect	Planned
a)	At the approach and aerodrome control level:		
i)	Increase capacity (e.g. additional staff, facilities)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Slot allocations	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Peak charges	<input type="checkbox"/>	<input type="checkbox"/>
iv)	High minimum charges	<input type="checkbox"/>	<input type="checkbox"/>
v)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>
b)	At the en route level:		
	- National measures	<input type="checkbox"/>	<input type="checkbox"/>
i)	Increase capacity (e.g. additional staff, facilities)	<input type="checkbox"/>	<input type="checkbox"/>
ii)	Slot allocations	<input type="checkbox"/>	<input type="checkbox"/>
iii)	Charging mechanisms	<input type="checkbox"/>	<input type="checkbox"/>
iv)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>
	- International measures, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>

FINANCING

2.6 Indicate below the primary source(s) that are currently applied or planned for financing air navigation services infrastructure investment requirements(indicate maximum four sources):

		Source	
		Applied	Planned
a)	Self financing (e.g. retained earnings)	<input type="checkbox"/>	<input type="checkbox"/>
b)	National government	<input type="checkbox"/>	<input type="checkbox"/>
c)	Foreign government loans or aid	<input type="checkbox"/>	<input type="checkbox"/>
d)	Development banks or funds	<input type="checkbox"/>	<input type="checkbox"/>
e)	Commercial loans - domestic	<input type="checkbox"/>	<input type="checkbox"/>
f)	Commercial loans - foreign	<input type="checkbox"/>	<input type="checkbox"/>
g)	Share capital	<input type="checkbox"/>	<input type="checkbox"/>
h)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>

FINANCIAL AND TRAFFIC DATA

Note: Response to the following four questions need not be provided if ICAO Air Transport Reporting Forms K - En Route Facility Financial Data and L - En Route Facility Traffic Data for 1998 have already been filed with ICAO.

FIR(s)/UIR(s) (Flight information region(s)/upper flight information region(s)) covered: _____

Year: _____ **Currency:** _____

2.7 Income

a)	Route facility charges	_____
b)	Approach and aerodrome control charges	_____
c)	Grants and subsidies allocable to route facilities	_____
d)	Other revenues allocable to route facilities (including profits on assets sold)	_____
e)	Total income (sum of above)	=====

2.8 Expenses

- a) Operation and maintenance (e.g. labour, spares, materials, power, etc.) _____
- b) Administrative overheads _____
- c) Depreciation and/or amortization _____
- d) Interest _____
- e) Other expenses _____
- f) Total expenses (sum of above) _____

2.9 Indicate the estimated share (percentage or absolute figure) of the total expenses accounted for by the following major facilities and services:

- a) ATS (Air traffic services) _____
- b) COM (Aeronautical telecommunication services) _____
- c) MET (Meteorological services) _____
- d) SAR (Search and rescue services) _____
- e) AIS (Aeronautical information services) _____

Traffic Data

FIR(s)/UIR(s) (Flight information region(s)/upper flight information region(s)) covered: _____

Year ended: _____

2.10 Provide below, by category, the number of IFR (Instrument Flight Rules) flights or other flights for which flight plans were filed with the respective area control centre(s) or flight information centre(s):

- a) International civil flights (including international general aviation) _____
- b) Domestic civil flights (including general aviation) _____
- c) Other flights (State, including military flights) _____
- d) Total flights (sum of above) _____

PART 3 - REGULATORY ASPECTS

- 3.1 Indicate whether charges on air traffic (e.g. landing charges, parking charges, passenger service charges, route charges, and approach and aerodrome control charges) are determined by (check one box in each column only):

		Airport charges	Air Navigation Services Charges
a)	Airport/air navigation services provider independently	<input type="checkbox"/>	<input type="checkbox"/>
b)	Airport/air navigation services provider with government approval	<input type="checkbox"/>	<input type="checkbox"/>
c)	Government	<input type="checkbox"/>	<input type="checkbox"/>

- 3.2 Indicate the main determinants applied in setting airport/air navigation services charges:

		Airport charges	Air Navigation Services Charges
a)	Charges are cost-based	<input type="checkbox"/>	<input type="checkbox"/>
b)	Transparent accounting system clearly identifying sources of income and categories of expenses	<input type="checkbox"/>	<input type="checkbox"/>
c)	Mandatory consultation with users	<input type="checkbox"/>	<input type="checkbox"/>
d)	ICAO cost recovery policy	<input type="checkbox"/>	<input type="checkbox"/>
e)	Intergovernmental factors (e.g. obligations emanating from bilateral air services agreements; regional regulatory policy agreements)	<input type="checkbox"/>	<input type="checkbox"/>
f)	Other, please specify _____	<input type="checkbox"/>	<input type="checkbox"/>

3.3 Indicate if your government has or plans specific regulatory provisions with regard to:

	Airports		Air Navigation Services	
	In effect	Planned	In effect	Planned
Abuse of monopoly	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Ground handling arrangements (airports only)	<input type="checkbox"/>	<input type="checkbox"/>		

If you have checked one or more boxes under this question, provide below or attach brief details of the provisions.