

WORKSHOP ON AIRPORT AND ROUTE FACILITY MANAGEMENT

(Dakar, 5-7 February 2003)

Agenda Item 7: Financial management of air navigation services and air navigation services charges

**ICAO AIR TRANSPORT REPORTING FORMS "K" AIR NAVIGATION SERVICES FINANCIAL DATA
AND "L" EN-ROUTE SERVICES TRAFFIC STATISTICS**

(Presented by the Secretariat)

1. Attached are the forms used for the regular collection of air navigation services financial and en-route services traffic data by ICAO to which reference is made in the Secretariat Note provided on agenda item 7 in WARFM (Dakar) ! WP/1.

2. These forms are being presented to the Workshop so that participants may have an opportunity to examine them in detail, seek such clarifications as they might require and make general or specific comments relative to them.

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AIR NAVIGATION SERVICES FINANCIAL DATA

Page ____ of ____

State: _____

FIR/UIR(s) covered: _____

Estimated data, identified by an asterisk(*), may be used if exact data are not available.

Currency: _____

Revenues by function and item	Amounts	
	Subtotal	Total
1. En-route services		
1.1 Revenue from route charges		
1.2 Other revenues (e.g. from airport and approach and aerodrome control charges)		
2. Approach and aerodrome control services		
2.1 Revenue from approach and aerodrome control charges		
2.2 Other revenues (e.g. from airport or route charges)		
3. Grants and subsidies		
4. Other revenues		
5. TOTAL REVENUES		

PART II — EXPENSES

Expenses by item		Amounts
1.	Operation and maintenance (e.g. staff, supplies, services, etc.)	_____
2.	Administrative overhead	_____
3.	Depreciation and/or amortization	_____
4.	Interest	_____
5.	Other expenses	_____
6.	TOTAL EXPENSES	_____
Expense allocation by function (amounts or percentages of total expenses)		
6.1	En-route services	_____
6.2	Approach and aerodrome control services	_____
6.3	Non-aeronautical activities	_____

PART III — EXPENSES BY SERVICE

Service	Amounts
1. ATM — Air traffic management	_____
2. CNS — Communications, navigation and surveillance	_____
3. MET — Meteorological services	_____
4. SAR — Search and rescue services	_____
5. AIS — Aeronautical information services	_____
6. TOTAL	_____

PART IV — GROSS CAPITAL INVESTMENTS DURING THE YEAR BY SERVICE

Service	Gross capital investments
1. ATM — Air traffic management	_____
2. CNS — Communications, navigation and surveillance	_____
3. MET — Meteorological services	_____
4. SAR — Search and rescue services	_____
5. AIS — Aeronautical information services	_____
6. TOTAL	_____

Remarks (including a description of any unavoidable deviation(s) from the reporting instructions):

Form K — Air Navigation Services Financial Data

Reporting Instructions

FILING REQUIREMENTS

General

This form is to be used by ICAO Contracting States to report financial data for each entity that provides air navigation services, within their territory or externally to it, for international civil aviation.

The data reported should cover the calendar year January to December. However, if this is not practical, the report may cover a different twelve-month period (e.g. the entity's financial year).

In cases where more than one entity provides major air navigation services (ATM, CNS, MET, SAR and AIS), the financial data related to all such entities should, as far as possible, be combined and reported on a single Form K. Please submit any relevant data available, even if the form can only be partially completed.

Filing schedule

This form should be completed on an annual basis and filed with ICAO within six months of the end of the reporting period to which it refers.

Electronic filing

If possible, States should submit the requested data in electronic format, either by e-mail via the Internet (sta@icao.int) or through SITA (YULATYA), or on diskette. An electronic copy of this form, together with the relevant instructions, can be obtained from the ICAO Internet site (<http://www.icao.int>) or by contacting the ICAO Secretariat. States that are concerned about the security of the Internet should encode their data using digital identification (encryption).

DATA TO BE REPORTED

In cases where the same entity provides financial data for both this form and Form J (Airport Financial Data), it is essential that any revenues, expenses or investments which are reported on both forms be clearly identified and the amounts involved shown in the "Remarks" section.

General guidance on air navigation services cost accounting and cost allocation can be found in the *Manual on Air Navigation Services Economics* (Doc 9161).

Report all amounts in the currency in which the air navigation services financial accounts are maintained, and indicate that currency in the appropriate place at the top of the form.

Part I — Revenues

En-route services (Item 1). Enter the sum of Items 1.1 and 1.2.

Revenue from route charges (Item 1.1). Include any revenue from charges levied and fees collected specifically for the provision of en-route services.

Other revenues (Item 1.2). Include any other revenues collected for en-route facilities and services, including revenue from airport charges and from approach and aerodrome control charges allocated to en-route services.

Approach and aerodrome control services (Item 2). Enter the sum of Items 2.1 and 2.2.

Revenue from approach and aerodrome control charges (Item 2.1). Include any revenue from charges levied and fees collected specifically for the provision of approach and aerodrome control services.

Other revenues (Item 2.2). Include any other revenues collected for the provision of approach and aerodrome control services, including revenue from airport charges and from route charges allocated to approach and aerodrome control services.

Grants and subsidies (Item 3). Include any payments received to defray the cost of providing air navigation services and not requiring the transfer of assets or the provision of services in return.

Other revenues (Item 4). Include any revenues not already reported under Items 1 to 3 above, including, for example, revenue from consultancy, rentals, and bank and cash management.

Part II — Expenses

Report the expenses contained in the accounting system plus any additional costs that are included in the cost basis for air navigation services charging purposes.

Expenses by item

Operation and maintenance (staff, supplies, services, etc.) (Item 1). Include the cost of employing operating and maintenance personnel (i.e. direct remuneration, social and medical insurance, pensions, remuneration in kind, travel subsistence allowances, employee training, etc.); the cost of supplying power for operating and maintenance purposes; the cost of spare parts and materials incorporated or expended in maintaining equipment and buildings; rentals paid for premises and equipment, and charges for the operating and maintenance services provided by others. Also include the cost of services and supplies, such as heating, air conditioning, lighting, water, cleaning, laundry, sanitation, stationery and postage.

Administrative overhead (Item 2). Include the cost of common administrative services not already included under Item 1, such as overall management, economic planning, etc.

Depreciation and/or amortization (Item 3). Enter the amount by which the value of the assets has decreased during the year due to physical deterioration, obsolescence and other such factors that limit their productive life. Also include the amount by which intangible assets (e.g. investments in experimental research and training projects) have been written off during the year.

Interest (Item 4). Include interest paid or payable during the year on debts as well as any interest computed on capital assets.

Other expenses (Item 5). Report any expenses not already included under Items 1 to 4 above.

Expense allocation by function (amounts or percentages of total expenses). When reporting the allocation of total expenses for en-route services, approach and aerodrome control services, and non-aeronautical activities, approximate amounts or percentages may be given if the actual amounts are not available.

Part III — Expenses by Service

The total expenses for each of the services provided should be reported under Items 1 to 5. Enter the sum of Items 1 to 5 under Item 6.

Part IV — Gross Capital Investments During the Year by Service

The value of any fixed assets acquired during the year for each of the services provided should be reported under Items 1 to 5. Enter the sum of Items 1 to 5 under Item 6.

DEFINITION OF TERMS USED

AIS (aeronautical information services). Personnel and facilities employed to provide information pertaining to the availability of air navigation services and their associated procedures necessary for the safety, regularity and efficiency of air navigation (i.e. AIP, AIC, NOTAM, etc.).

ATM (air traffic management). Personnel and facilities employed to provide air traffic services (ATS), air traffic flow management and airspace management. ATS comprises air traffic control service (area control service, approach control service, or aerodrome control service), flight information service (including air traffic advisory service) and alerting service.

CNS (communications, navigation and surveillance). CNS includes communication facilities, navigation services and surveillance systems. Communication facilities may be broadly classified under two main categories: aeronautical fixed service and aeronautical mobile service.

Aeronautical fixed service (AFS). All facilities and personnel employed to provide telecommunication services between fixed points, such as AFTN/ATS, the ground part of ATN and ATS direct speech and data circuits.

Aeronautical mobile service (AMS). All ground-based facilities and personnel engaged in air-ground communications and radiotelephony broadcasts such as ATIS and VOLMET (i.e. VHF and HF transmitting and receiving stations). Implementation of AMSS, as well as other ATS air-ground links and other communications subnetworks of the future ATN, will add satellites or satellite transponders and associated ground earth stations.

Navigation services comprise ground-based radio navigation equipment (e.g. VOR, DME and NDB) and precision approach and landing aids (e.g. ILS equipment). Implementation of GNSS will add the satellite constellations providing the standard signal positioning service and the associated augmentation systems required, i.e. satellite-based (wide-area) and ground-based (local area) augmentations. Surveillance systems comprise primary surveillance radar (PSR), secondary surveillance radar (SSR), including SSR Mode S, surface movement radar (SMR) as well as automatic dependent surveillance (ADS), including the supporting network and maintenance personnel.

FIR/UIR. Flight information region/upper flight information region.

Fixed assets. All of the physical property that is of a lasting nature, such as land and improvements thereto, buildings and durable equipment (machinery, vehicles, furniture and fixtures, tools, etc.).When an asset, such as a building, is being completed gradually over a period of years, the capital expenditure incurred during the year should be reported rather than the accumulate total once the asset is put into commission.

MET (meteorological services). Meteorological services comprise those facilities and services that furnish aviation with meteorological forecasts, briefs and observations as well as SIGMET information, VOLMET broadcasting material and any other meteorological data provided by States for aeronautical use.

SAR (search and rescue services). Any permanent civil establishment of equipment and personnel maintained for the purposes of providing search and rescue services.

SYMBOLS

Please use the following symbols as necessary in completing this form:

- *

(blank)

na
- estimated data (asterisk immediately following the estimated figure)

category not applicable

data not available.

EN-ROUTE SERVICES TRAFFIC STATISTICS

State: _____

Year: _____

FIR/UIR(s) covered: _____

Data required are the totals at the foot of columns b through e. The breakdown by FIR/UIR is optional. Estimated data, identified by an asterisk (*), may be used if exact data are not available.

[illegible]

Remarks (including a description of any unavoidable deviation(s) from the reporting instructions):

Form L — En-route Services Traffic Statistics

Reporting Instructions

FILING REQUIREMENTS

General

This form is to be completed by ICAO Contracting States providing area control or flight information services for one or more FIRs/UIRs within their territory or externally to it. This form should include aggregated data for the twelve months of the calendar year.

Only IFR flights and flights for which flight plans have been filed with the respective area control centre(s) or flight information centre(s) should be reported. Flights should be counted separately for each FIR/UIR through which they move.

Filing schedule

This form should be completed on an annual basis and filed with ICAO within four months of the end of the year to which it refers.

Electronic filing

If possible, States should submit the requested data in electronic format, either by e-mail via the Internet (sta@icao.int) or through SITA (YULATYA), or on diskette. An electronic copy of this form, together with the relevant instructions, can be obtained from the ICAO Internet site (<http://www.icao.int>) or by contacting the ICAO Secretariat. States that are concerned about the security of the Internet should encode their data using digital identification (encryption).

DATA TO BE REPORTED

It is most important that the form be filed by all administrations concerned even if it is only possible to report part of the data requested.

DEFINITION OF TERMS USED

Domestic civil flights. All civil flights, including general aviation (GA) flights wholly within the territory of one State, except flights by State aircraft for other than civil purposes, which should be reported under Column d — Other flights.

FIR/UIR. Flight information region/upper flight information region.

Flight. The movement of an aircraft during its en-route phase through the airspace of an FIR/UIR. Each such movement following a landing within the FIR/UIR is to be counted as a separate flight. A flight is classified as either international or domestic based on the following definitions:

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.

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.

IFR flights. Flights conducted in accordance with instrument flight rules.

International civil flights. All international civil air transport flights, including all international general aviation flights (IGA).

Other flights. All flights not reported under Columns b and c.

SYMBOLS

Please use the following symbols as necessary in completing this form:

- * estimated data (asterisk immediately following the estimated figure)
- (blank) category not applicable
- na data not available.