

EUROPEAN ORGANISATION FOR THE SAFETY OF AIR NAVIGATION

EUROCONTROL

- Decisions of the Permanent Commission -

DECISION N° 88

on provision of economic and other related information by Member States' Air Navigation Service Providers.

THE PERMANENT COMMISSION FOR THE SAFETY OF AIR NAVIGATION:

Having regard to the EUROCONTROL International Convention relating to Co-operation for the Safety of Air Navigation, amended by the Protocol signed at Brussels on 12 February 1981, hereinafter referred to as "the amended Convention", and in particular Articles 2.1, 6.1(a) and 7.1 thereof;

Having regard to the Protocol consolidating the EUROCONTROL International Convention relating to Co-operation for the Safety of Air Navigation, which was opened for signature on 27 June 1997, and in particular the consolidated version of the Convention annexed thereto, hereinafter referred to as "the revised Convention", and in particular Articles 1.1.(c), and 2.1.(i) thereof;

Considering that information disclosure by Member States' Air Navigation Service (ANS) Providers of civil en-route ATM services is an essential component of the EUROCONTROL performance review system; to ensure ANS cost-effectiveness, to support target setting and performance review processes, and to meet the needs of the airspace users;

On the proposal of the Provisional Council and of the Performance Review Commission,

TAKES THE FOLLOWING DECISION:

Article 1

Member States shall require ANS Providers to provide EUROCONTROL's Performance Review Commission with information on a yearly basis, in conformity with the "Specification for Information Disclosure". The first submission relating to the year 2001 shall be due by 15 July 2002.

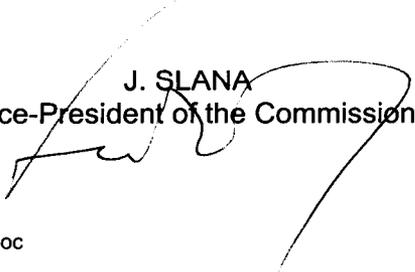
Article 2

The attached "Specification for Information Disclosure" is hereby approved. This Specification may be amended by the Provisional Council, which shall notify the Permanent Commission.

Done at Brussels on 9.11.2001

For the President of the Commission,

J. SLANA
Vice-President of the Commission



Performance Review Commission



Commission d'Examen des Performances

SPECIFICATION FOR INFORMATION DISCLOSURE

Specification for Information Disclosure -- Version 2, October 2001

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I. Introduction

Purpose

This Specification for Information Disclosure (the “Specification”) has been developed in order to assist Air Navigation Service Providers (ANSPs) in providing economic information to the Performance Review Commission (PRC).

It defines the necessary contextual, historical and forward-looking information that needs to be disclosed in order to implement a decision of the Provisional Council which is described below.

Information disclosure should be seen as a normal obligation imposed on a statutory monopoly as the counterpart of its monopoly rights. Information is required for effective consultation between users and ANSPs, and is necessary to ensure that both parties have a common understanding of cost drivers and performance. Information disclosure has a direct benefit to ANSPs and their regulators: it provides essential management information and best practice can be identified and promoted using benchmarking. Moreover, information disclosure is an essential component of a performance review system to ensure ANS cost-effectiveness, to support target setting and performance processes.

The data obtained in conformity with the Specification will be used by the PRC to provide advice, through the Provisional Council, to the EUROCONTROL Commission. This complies with the PRC’s Terms of Reference which require it to provide advice in order to *help “ensure the effective management of the European ATM system through a strong, transparent and independent performance review and target setting system”*.

It is likely that a few rounds of submissions may be required to gain full reliability of data provided. Initially, it is possible that not all data may be complete. The PRU will be available to assist ANSPs experiencing difficulties in complying with this Specification. The PRU will exercise caution with the analysis and dissemination of data until the process is well understood by all participants. In addition, the PRU will work with the ANSPs and EUROCONTROL stakeholders to analyse the data.

Background

In November 1999, the Sixth Session of the Provisional Council endorsed PRC proposals to develop information disclosure. Specifically, the Provisional Council:

- *“agreed that States should require ANSPs to provide the following information to users, other ANSPs and the PRC/PRU:*
 - *separate accounts for their air traffic management activities, prepared in accordance with Generally Accepted Accounting Principles (GAAP) and independently audited;*
 - *a limited separation of key revenue, cost and asset items into those for en-route and those for approach and airport activities, also independently audited; and*
 - *information on the physical inputs used by the ANSP and the outputs/capacity produced;*
- *agreed to ensure that States should require ANSPs to also provide plans which show how they will meet projected demand, covering staff, investment and training, and supported by appropriate resourcing plans including projected charges;*
- *encouraged ANSPs which are in the position to do so, to participate in a pilot project.”*

Accordingly, the PRC formally began working in early-2000 on implementation of the Provisional Council’s decision.

All ANSPs were invited to take part in both the “Pilot Project” (2000) and the subsequent “Validation Phase” (2001).

Development of the Specification

The Specification was developed and validated in co-operation with seventeen ANSPs who volunteered to participate:

• AENA, Spain*	• IAA, Ireland	• NAV EP, Portugal*
• ANS Sweden	• ENAV, Italy*	• NATAM, Norway
• ANS Czech Republic*	• DNA, France	• SLV, Denmark*
• Austro control*	• LPS Slovak Republic*	• Skyguide, Switzerland*
• Belgocontrol*	• LVNL, Netherlands	• UKNATS
• DFS, Germany*	• MUAC, Maastricht*	

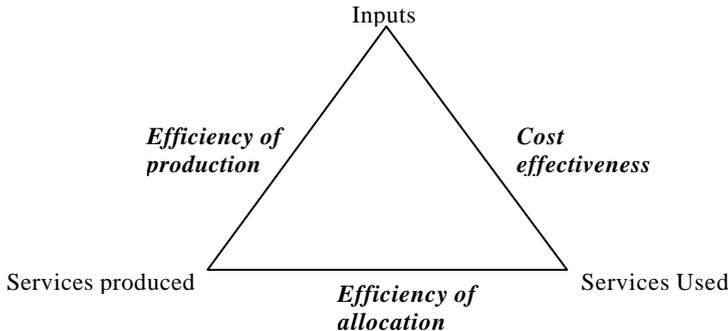
*ANSPs participating in the first “Pilot Project” phase

During the Validation Phase, experts drawn from the aforementioned ANSPs, including representatives of airspace users, regulatory authorities, and CANSO, took part in several workshops, as well as bilateral meetings, to develop and agree the Specification for Information Disclosure (Version 2).

In the perspective of a phased approach, the Specification has focused on short-term requirements. At some stage, further refinements of the Specification for information disclosure may be required. Subsequent versions of the Specification will be developed as experience is gained.

II. Scope of the Specification

The Specification aims at providing the necessary information for assessing economic performance and covers three elements: Inputs (staff and capital), Services produced, Services used and their relationships.



The relationship between inputs and services produced is described as “efficiency of production”. The relationship between the cost of inputs and the services used by airspace users

is described as “cost-effectiveness”. Finally, the relationship between the services produced and the services used is called “efficiency of allocation”. The Specification is designed to obtain reliable and comparable information about these relationships.

III. To whom does the Specification apply ?

The Specification applies to ANSPs whose ANS costs (partial or total) are recovered through the EUROCONTROL Route Charges System.

The Specification does **not** apply to military ANSPs because they mainly provide Air Traffic Services to Operational Air Traffic (OAT), and the PRC has no intention to assess cost-effectiveness for such services. For those civil/military integrated ANSPs, services provided to OAT (and not recovered through the EUROCONTROL Route Charges System) will be identified separately from the services provided to General Air Traffic (GAT). In such a case, services to OAT are treated as “other air navigation services” and will be outside the scope of PRC’s performance assessment (for further explanation, see page 7 “Other Services” Section).

IV. When/how should the information be provided?

ANSPs should provide the information requested in the Specification, on an annual basis, to the EUROCONTROL PRU on or before **15 July** of the following year (e.g. 15 July 2002 for 2001 data).

The Specification comprises two parts: Part I and Part II, both of which must be completed by the deadline given. Templates for Part I and Tables for Part II are attached to this document and are also available in electronic format:

- Templates for Part I are available as a Microsoft Word document;
- Tables for Part II are available as a Microsoft Excel workbook.

ANSPs should complete Part I and Part II using the above mentioned Word document and Excel workbook, respectively. All fields must be completed using N/A (not applicable) and comments fields where appropriate. Where there are no associated financial figures (e.g. no costs) the entry should read zero.

Further explanatory notes, describing what is required to complete Part I and Part II, as well as a Glossary of Terms & Definitions are provided in the attached document “Supplementary Guidance for Information Disclosure”.

ANSPs should aim for transparency of information at all times and should observe a spirit of openness. ANSPs should provide any additional explanation that will improve the clarity of the information and should document the rationale behind all decisions where more than one approach is available. This will ensure that the PRC/PRU can interpret and fairly compare the

data disclosed. This information should be given as comments to the tables, and a “text box” has been provided in the templates to facilitate this.

Part I

The information to be disclosed in Part I comprises **general and contextual information** about the organisation, its governance, responsibilities, and particular significant features of its operations. Part I will enable the PRC/PRU and other stakeholders to gain a good understanding of each organisation so that proper performance assessment and benchmarking can be subsequently performed. The range of general and contextual information about the ANSP comprises six templates:

- Template 1: The scope of services offered
- Template 2: The governance structure & regulatory framework
- Template 3: Accounting, auditing, taxation practices
- Template 4: Costs and asset allocation
- Template 5: Arrangements for training and recruitment
- Template 6: Other important influencing factors

Since no two ANSPs are the same, in order to compare performance and understand the reasons for differences between ANSPs’ apparent performance, it is necessary to understand a number of qualitative aspects of the context in which a particular ANSP operates. It is particularly necessary to understand the nature of the factors outside the ANSP’s control (the “uncontrollable factors”) that have an impact on its apparent performance.

This qualitative information should be supplemented with official ANSPs’ documents and publications such as Annual Reports and Business Plans or Forward Looking Plans. The PRC expects to receive a copy of such documents (or any other documents relating to the performance of the ANSP) on a regular basis.

Part II

The information to be disclosed in Part II comprises **quantitative information**. Part II comprises two categories of quantitative information: financial related information on the costs, revenues and assets of an ANSP; and operational related information on inputs and outputs, for both their en-route and their terminal services. Part II comprises the following six tables:

- Table A: Revenues & Costs
- Table B: Balance Sheet
- Table C: High level staff data
- Table D: High level operational data
- Table E: ACC data

- Table F: Forward-looking information

The financial related information has been designed in order to be consistent with the EUROCONTROL Route Charges Principles. A limited number of operational related information at the level of the ACC operational unit is also requested. Finally, Part II comprises disclosure of key forward-looking information for both financial and operational data.

V. Approach to information disclosure

Pragmatic approach for information disclosure

As ANS revenues are obtained separately for the different phases of a flight, the ANS provided are usually broken down into:

- **en-route navigation services**, as defined by ICAO (“Statements by the Council to Contracting States on Charges for Route Air Navigation Facilities”, ICAO document. 9082/5) and “Manual on Air Navigation Services Economics”, ICAO document 9161 – AR/724, 3rd edition, 1997); and,
- **terminal navigation services** (which comprise those navigation services provided to arriving or departing traffic at or on the approaches to a country’s aerodromes not included in en-route services);

For the purposes of information disclosure, this Specification will keep the above definitions used by ANSPs for charging purposes.

The boundaries between the various classes of ANS and, in particular, those between en-route ANS and terminal ANS, are not defined precisely, and different ANSPs’ operating and charging practices may make different boundaries appropriate or convenient. ANSPs should therefore state what definition of the various classes of services they wish to use in disclosing information, and the reasons for so doing.

“Other” services

ANSPs usually provide also other services that are not charged either through en-route or terminal charges. The PRC would like to gain some information on these “other” services in order to maintain stakeholders’ confidence in the integrity of the figures. This information will be captured under the heading “other”, so that the financial information will be reported in three separated columns: en-route ANS; terminal ANS; and, “other”.

The interpretation of the “other” column may differ, however, depending on the nature of the ANSPs activities outside ANS, so needs further explanation.

The Provisional Council has endorsed the PRC’s recommendation that ANSPs should produce “*separate accounts for their air traffic management activities (which this document has interpreted as all activities relating to the monopoly provision of ANS), prepared in accordance with Generally Accepted Accounting Principles (GAAP) and independently audited*”. It is recommended that all ANSPs produce separated accounts.

On a strict interpretation of this resolution, the information disclosed in the “other” column should relate only to monopoly ANS (so that, for example, training services provided to external organisations, airport ownership and management, certification and licensing, and the sale of information and services to parties other than airspace users, should be excluded). However, the PRC recognises that most ANSPs undertake a small proportion of activities that are not monopoly ANS, and that the burden of requiring separate audited accounts for ANS when other activities only constitute a small proportion of the organisation’s activities may be disproportionate to the benefits.

The PRC proposes to be pragmatic and to use the column “other” in the tables for any activity other than those charged for through en-route or terminal navigation charges. When these activities give rise to a significant portion of the organisation’s total costs, ANSPs should provide a comprehensive explanation of the nature of such activities. Eventually, though, should the portion of non-ANS business be important, ANSPs should be ready to produce separated accounts.

Activities that are monopoly ANS, but are **not** within the scope of information disclosure (such as UK NATS oceanic ANS in the North Atlantic) may either be treated for the purposes of information disclosure as “other”, or excluded from the audited accounts presented.

Finally, for those civil/military integrated ANSPs, figures relating to services provided to OAT will typically be treated for PRC purposes as “other” ANS, and will be outside the scope of PRC’s performance assessment.

Route Charges Principles versus GAAP

Route Charges submissions are prepared according to Route Charges Principles. ANSPs follow these principles to determine their en-route costs to be recovered. Similarly, most ANSPs statutory accounts are prepared according to **national** Generally Accepted Accounting Principles¹ (GAAP). Divergences between the two sets of principles might exist.

In order to maintain the confidence of stakeholders in the integrity of the figures, it is regarded as important to provide figures that could be easily reconciled to statutory, audited accounts². It is therefore expected that the “total ANS column” in the Specification for Information Disclosure could be easily reconciled to statutory accounts. Where material differences arise because the set of principles differ, ANSPs are expected to explain these differences in accounting practices and provide a reconciliation figure (see page 9, “Complementary Information” Section).

Information available from EUROCONTROL

In some cases, data will be available from the CFMU and/or the CRCO in EUROCONTROL. Where appropriate, the PRC will use this source of information in order to avoid an undue

¹ Note that since national GAAP differ from State to State, this might potentially reduce the comparability of performance measures. GAAP divergences can be dealt with by standardising to one recognised GAAP. The obvious choice is International Accounting Standards (IAS). For the time being, the PRC will not require standardisation of GAAPs as there would potentially be extra costs involved.

² For ANSPs which are not companies but Government bodies, audit by a Government auditor would not be ruled out, although the auditor would need to be independent.

burden for the ANSP. This should also ensure more consistency in the reporting of operational data among the various ANSPs. ANSPs should validate such data.

Complementary information

In some cases, additional information and/or succinct description will be necessary to ensure that the data can be interpreted and compared fairly. This information should be given as comments to the tables, and a “text box” has been provided in the Excel workbook to facilitate this. For example, accounting decisions where more than one approach is possible could be documented in the “text box”.

Part I - General and contextual information

ANSPs should complete Template 1- Template 6 using the materials provided in the document ‘Supplementary guidance for information disclosure’.

TEMPLATE 1: THE SCOPE OF SERVICES OFFERED

1.1 En - route

Does the data submitted for en-route ANS include resources required for:

		YES/ NO
1.	Airspace management (ASM) ?	
2.	Air traffic flow management (ATFM) ?	
3.	Air traffic control (ATC) ?	
4.	Flight information services (FIS)?	
5.	Weather data collection ?	
6.	Aviation weather briefing ?	
7.	Radar surveillance ?	
8.	Procedural control ?	
9.	Aeronautical information services (AIS) ?	
10.	Maintenance of ANS equipment ?	
11.	Navigation aids ?	
12.	Approach and landing aids ?	
13.	Air and ground communications ?	
14.	ANS equipment calibration ?	
15.	Telecommunication services ?	
16.	Search & Rescue services (SAR) ?	
17.	ANS services to OAT traffic?	

Please insert your comments on questions 1-17 in the “text box” below:

1.2 Terminal

Does the data submitted for terminal ANS include resources required for:

		YES/ NO
18.	Airport advisory services ?	
19.	Apron control ?	
20.	Maintenance of airport related equipment ?	

21.	Approach and landing aids ?	
22.	Airport management ?	
23.	Airport fire and rescue services ?	

Please insert your comments on questions 18-23 in the “text box” below:

1.3 Does the ANSP provide the following regulatory tasks:

		YES/ NO
24.	Development and monitoring of aviation regulations ?	
25.	ANS services certification ?	
26.	Safety monitoring and incident investigation ?	
27.	Other tasks ? Please specify :	

Please insert your comments on questions 24-27 in the “text box” below:

1.4 Other ANS

Please describe in the “text box” below the other ANS services that are provided by your organisation:

1.5 Non-ANS activities

Please describe in the “text box” below non-ANS services, if any, provided by your organisation:

1.6 Which model best characterises the ANSP’s relationship with the military with respect to:

A: En-route operational arrangements:

		YES/ NO
28.	Segregated ATC systems <u>and</u> segregated ATC units ?	
29.	Integrated ATC systems <u>and</u> segregated ATC units ?	
30.	Integrated ATC systems <u>and</u> co-located OAT and GAT ATC sectors ?	
31.	Single ATC sectors for OAT and GAT ?	

B: En-route service provision arrangements:

		YES/ NO
32.	Are you providing ATC services to both OAT and GAT [fully integrated civil/military ANS provider] ?	

Please insert your comments on questions 28-32 in the “text box” below:

1.7 Does the ANSP outsource:

		YES/ NO
33.	MET services ?	
34.	Most of the technical support services (e.g. engineers and other staff involved in operating/maintaining equipment and facilities) ?	
35.	Other services ? Please specify	

Please insert your comments on questions 33-35 in the “text box” below:

1.8 With respect to the area of controlled airspace (en-route):

		YES/ NO
36.	Has the ANSP delegated airspace over which it carries out ANS?	
37.	Are there any financial arrangements for this delegation of	

	services?	
38.	Are there any delegation of services in a region of airspace over which the ANSP/State has responsibility ?	
39.	Are there any financial arrangements for this delegation of services?	

Please insert your comments on questions 36-39 in the “text box” below:

TEMPLATE 2: THE GOVERNANCE STRUCTURE & REGULATORY FRAMEWORK

2.1 Which of the following options best characterises the current status of the ANSP?

		YES/ NO
1.	A government department that is subject to government accounting and treasury rules, and staff are employed under civil service pay and conditions ? [Government Agency]	
2.	A government department as in (1) but operating under an autonomous budget? [Government Agency with autonomous budget]	
3.	A company with special status, not governed by normal commercial law but by a specific founding law (and wholly owned by the government) ? [A government owned, contractor operated entity]	
4.	An autonomous public sector corporation/company that is separate from the executive arm of the government (but wholly owned by the government)? [National corporation]	
5.	A private sector company that is owned by private interests either totally, or with the government holding a minority share? [Private corporation]	
6.	Other, please specify	

Please insert your comments on questions 1-6 in the “text box” below:

2.2 Most corporatised ANSPs’ governance arrangements make provisions for an Executive Board and some kind of Supervisory Board. Which of the following options best characterises your current governance arrangements?

		YES/ NO
7.	Is the ANSP’s Executive Board ³ overseen by a Supervisory Board ⁴ ?	
8.	Is the Chairman of the Supervisory Board also the Chief Executive Officer (CEO) of the ANSP ?	
9.	Is the Government represented in the Supervisory Board ?	
10.	If the Government is represented in the Supervisory Board does it have a veto right?	
11.	Are the Staff represented in the Supervisory Board ?	
12.	Are civil airspace users represented in the Supervisory Board?	
13.	Is the military represented in the Supervisory Board ?	
14.	Is there an <u>alternative</u> organ/institution (to the Supervisory Board) with a supervisory function within the government (e.g. Cour des Comptes/ Government Accounting Office) ?	
15.	Is there an <u>additional</u> organ/institution that consults/advises the Supervisory Board and/or the Executive Board (e.g. Advisory Council) ?	

Please insert your comments on questions 7-15 in the “text box” below:

2.3 For each of the following questions please explain who is responsible for the final approval of the item.

The range of answers should include:

- a) the Government [GOV] (Ministry of Transport, Ministry of Finance, Ministry of Defence, CAA, etc);
- b) the Supervisory Board [SB] independent from the direct control of the Government;
- c) the Executive Board [EB] independent from the direct control of the Government;
- d) A different “Board” independent from the direct control of the Government (please include the name);
- e) An independent regulatory body (please include the name).

³ Also known as Management Board or Board of Managing Directors.
⁴ Also known as Board of Directors or Council of Administration.

	Who approves, sets (or is responsible for):	Include name or GOV, SB, EB
16.	The budget ?	
17.	Investment/business plan ?	
18.	Loans/financing policy ?	
19.	Human resources policy (including salary & hire policy)?	
20.	Statutory accounts ?	
21.	En-route charges ?	
22.	Terminal charges ?	
23.	Safety regulation ?	
24.	Airspace regulation ?	
25.	Economic regulation ?	

Please insert your comments on questions 16-25 in the “text box” below:

2.4 Publication/disclosure of information to stakeholders.

		YES/ NO
26.	Does the ANSP publish an annual report?	
27.	Does it contain financial information?	
28.	Does the ANSP produce a business/forward looking plan?	
29.	If yes, does it cover at least 3 years ?	
30.	Is the business/forward looking plan updated on a regular basis (each year) ?	
31.	Is the business/forward looking plan a public document ?	
32.	Does the ANSP discuss its business plan with airspace users ?	
33.	Does the business plan explicitly specify performance targets (e.g. in terms of quality of service, costs, etc)?	
34.	Does the ANSP undertake user surveys on a regular basis ?	
35.	Other publications? Please specify:	

Please insert your comments on questions 26-35 in the “text box” below:

- 2.5 What are the legal statutes that apply specifically to the ANSP, and to what areas of the ANSP’s services and activities do they apply?
- 2.6 Are there major constraints on operations or on how business is conducted?
- 2.7 What are the public policy objectives that the ANSP is obliged to, or chooses to follow?
- 2.8 What are the commercial criteria and performance targets that the ANSP is obliged to, or chooses to follow?
- 2.9 What are the non-commercial objectives that the ANSP is obliged to, or chooses to follow?

TEMPLATE 3: ACCOUNTING, AUDITING, TAXATION PRACTICES

3.1 Please provide details of any audit that the ANSP is currently obliged to undertake [This could be done by including a copy of the most recent audited accounts].

		YES/ NO
1.	Does the ANSP have its own statutory accounts ?	
2.	Is the ANSP obliged to undertake an accounting audit ?	
3.	Are the statutory accounts audited according to local GAAP ?	

Please insert your comments on questions 1-3 in the “text box” below:

3.2 In November 1999 the Provisional Council resolved that all ANSPs should be required to prepare audited accounts, and that those accounts should separate “ATM” business from other business. It also required that there should be a further separation of some of the elements of the accounts into en-route and other services.

		YES/ NO
4.	Do the ANSP accounts separate “ATM” business from other business ?	
5.	Do the ANSP accounts separate some elements into en-route and other ANS ?	
6.	Is the ANSP planning on changing its accounting conventions or systems at any point in the next 3 years?	

Please insert your comments on questions 4-6 in the “text box” below:

3.3 Please provide details of any information the ANSP is currently obliged to provide to the national regulator. [This could be done by including the most recent regulatory submissions].

3.4 Details about corporate tax applied to the ANSP.

		YES/ NO
7.	Does the ANSP pay a corporate tax on operating earnings to the Government ?	
8.	Is the tax regime applied the same as the one applied to “For-profit organisations”?	
9.	Does the ANSP pay a corporate tax on over-recovery from the Route Charges System?	

Please insert your comments on questions 7-9 in the “text box” below:

TEMPLATE 4: COST AND ASSET ALLOCATION

4.1 ANSPs should state the definition of the services that underlies the allocation of costs and assets between en-route and terminal.

4.2 ANSPs should state the practical techniques of allocating joint costs and assets between those services.

TEMPLATE 5: ARRANGEMENTS FOR TRAINING AND RECRUITMENT

5.1 ANSPs should describe the arrangements for training ATCOs in their territory.

		YES/ NO
1.	Are ATCOs cross-trained on en-route and approach?	
2.	Are ATCOs cross-trained on approach and aerodrome control?	
3.	Do the same set of ATCOs handle air and ground movements at aerodromes?	
4.	Is the training school fully part of the ANSP ?	
5.	Is the training school owned by the military ?	
6.	Is the training school shared with another ANSP ?	
7.	Is the training school independent, contracted in by the ANSP?	
8.	Does the ANSP experience any particular difficulties in recruitment because of particular national conditions or regulations?	

Please insert your comments on questions 1-8 in the “text box” below:

5.2 ANSPs should disclose the capacity of the training school as well as the length of the training period for its *Ab initio*⁵ trainee controllers in the following table:

	Institutional training ⁶		On-the-Job training ⁷	
	En-route	Terminal	En-route	Terminal
Max. training capacity (max. number of training places available per year)				
Used training capacity (average number of training places actually used per year)				
Average duration of training, including breaks and holidays (in weeks)				

TEMPLATE 6: OTHER IMPORTANT INFLUENCING FACTORS

6.1 Please provide here textual description of any additional factors that may influence the apparent performance of the ANSP.

⁵ *Ab initio* trainee controllers are selected individuals with no previous relevant qualifications entering training.

⁶ Institutional training for *ab initio* trainee controllers include technical subjects and ATC theory and practice including practical training conducted on simulators and pre-On-the-Job training (pre-OJT) to prepare a trainee for OJT.

⁷ On-the-Job training (OJT) is training conducted at an operational ATC position under the supervision of qualified instructors.

Part II - Quantitative information

YEAR: Name of ANSP:

Currency used: _____
Exchange rate (1 EUR=): _____

TABLE A: REVENUES & COSTS

Comments for items A1-A9

Comments for items A10-A12

	REVENUES	En-route	Terminal	Other	Total ANS
A1	Income from the Route Charges System				0
A2	Other income from civil airspace users				0
A3	Income from airport operators				0
A4	Income received from other States for delegation of ANS				0
A5	Income from the military				0
A6	Income from domestic government				0
A7	Other income				0
A8	Exceptional revenue items				0
A9	TOTAL REVENUES	0	0	0	0

	ADJUSTMENT MECHANISM	En-route	Terminal	Other	Total ANS
A10	Balance from previous year(s) carried over to current year				0
A11	Over recovery for current year (under recovery)				0
A12	Balance for current year to be carried forward	0	0	0	0

Comments for items A13-A25

COSTS		En-route	Terminal	Other	Total ANS
A13	Staff costs				0
A14	Direct operating costs (external outsourced services, facilities & maintenance, materials & supplies, others)				0
A15	Exceptional items				0
A16	TOTAL "Institutional Costs or Transfers"	0	0	0	0
A17	Payment for outsourced MET (if provided externally)				0
A18	Payment to national government for provision of services (e.g. regulator)				0
A19	EUROCONTROL costs				0
A20	TOTAL "Payments for Delegation of ANS"	0	0	0	0
A21	to other ANSPs/States				0
A22	for Maastricht/CEATS costs				0
A23	Depreciation costs				0
A24	Cost of capital (before financing and corporate tax)				0
A25	TOTAL COSTS	0	0	0	0

Comments for items A26-A31

BREAKDOWN OF MET COSTS		En-route	Terminal	Other	Total ANS
A26	Staff costs				0
A27	Direct operating costs (external outsourced services, facilities & maintenance, materials & supplies, others)				0
A28	Exceptional items				0
A29	Depreciation costs				0
A30	Cost of capital (before financing and corporate tax)				0
A31	TOTAL MET COSTS	0	0	0	0

TABLE B: BALANCE SHEET

		En-route	Terminal	Other	Total ANS
B1	TOTAL NBV FIXED ASSETS IN OPERATION	0	0	0	0
B2	Land & Buildings				0
B3	Systems & Equipments				0
B4	TOTAL NBV FIXED ASSETS UNDER CONSTRUCTION	0	0	0	0
B5	Land & Buildings				0
B6	Systems & Equipments				0
B7	WORKING CAPITAL				0
B8	Net provisions for under recovery (over recovery)				0
B9	TOTAL CAPITAL EMPLOYED	0	0	0	0
B10	OTHER ASSETS (including long term financial assets)				

Comments for items B1-B10

		En-route	Terminal	Other	Total ANS
B11	CAPITAL & RESERVES				
B12	TOTAL LONG TERM LIABILITIES				0
B13	Borrowings				
B14	Provisions for liabilities and charges				
B15	Other				

Comments for items B11-B15

TABLE C: HIGH LEVEL STAFF DATA

	En-route	Terminal	Other	Total ANS	
C1	Total staff in payroll (FTE)				0
C2	Total external staff under contract (FTE)				0
C3	TOTAL STAFF (FTE = full time equivalent)				0

Comments for items C1-C3

	En-route	Terminal	Other	Total ANS	
	STAFF BREAKDOWN PER CATEGORY				
C4	ATCOs in OPS				0
C5	ATCOs on Other Duties				0
C6	Ab-initio Trainees				0
C7	On-the-job Trainees				0
C8	ATC Assistants				0
C9	Technical support staff (e.g., electronic technicians, engineers, R&D)				0
C10	Administration				0
C11	Other				0
C12	TOTAL STAFF (FTE = full time equivalent)				0

Comments for items C4-C12

	En-route	Terminal	Other	Total ANS	
	STAFF COSTS PER CATEGORY				
C13	Staff costs for "ATCOs in OPS"				0

Comments for items C13-C13

	En-route	Terminal	Other	Total ANS	
	TOTAL STAFF COSTS PER TYPE				
C14	Gross wages and salaries				
C15	State social security scheme contributions				
C16	Pension contributions and other benefits				
C17	Other				
C18	TOTAL STAFF COSTS				0

Comments for items C14-C18

TABLE D: HIGH LEVEL OPERATIONAL DATA

STATE LEVEL DATA

		Continental ANS
D1	Size of the charging area in km ²	
D2	Total flights in the charging area	1)
D3	% Overflights	2)
D4	% Domestic flights	
D5	% Arrival/Departures international flights	
D6	Total distance (km) in charging area	
D7	Average distance (km)	#DIV/0!

Comments for items D1-D7

1) From CRCO System Report.
 2) Items D3 to D5 are from States Reporting Tables (CE/R/01/63/2784/FIN). This should in the near future be directly available from the CRCO.

GEOGRAPHICAL SCOPE OF SERVICES

		Continental ANS	Oceanic ANS
D8	Size of controlled airspace in km ²		
D9	Number of ACC operational units		
D10	Number of APP operational units		
D11	Number of TWR operational units		
D12	Number of AFIS		

Comments for items D8-D12

ANSP OUTPUT DATA (GAT)

		Continental ANS
D13	Total IFR flights controlled by the ANSP	

Comments for item D13

Information available from CFMU

TERMINAL OUTPUT DATA (GAT)

		Terminal
D14	IFR airport movements controlled by the ANSP	1)
D15	VFR airport movements controlled by the ANSP	
D16	Total airport movements controlled by the ANSP	0

Comments for items D14-D16

1) Information available from CFMU

DATA FOR "ATCO IN OPS"

		ACC(s)		APPs + TWRs
		Area Control	Approach control	
D17	ATCOs in OPS (FTE)			
D18	Sum of "ATCO in OPS" hours on duty			

ANNUAL WORKING HOURS PER "ATCO IN OPS"

		ACC(s)		APPs + TWRs
		Area Control	Approach control	
D19	Contractual working hours per "ATCO in OPS"			
D20	Average number of hours not on duty			
D21	Average overtime hours per "ATCO in OPS"			
D22	Average number of "ATCO in OPS" hours on duty (per year)	0	0	0

ACC DATA (Sum)

		ACC(s)
D23	Sum of ACC movements	
D24	Total IFR km controlled by the ANSP	
D25	Total flight hours controlled by the ANSP	
D26	Average ACC transit time (minute)	#DIV/0!

		ACC(s)	
		Area Control	Approach control
D27	Number of sectors		
D28	Sum sector hours		

Comments for items D17-D22

Comments for items D23-D26

All information from CFMU

Comments for items D27-D28

TABLE E: ACC DATA

ACC CHARACTERISTICS

E1	ACC Code		
E2	ACC name		
E3	Size of the controlled area (km ²)		1)
E4	Minimum Flight level		
E5	Maximum Flight level		
E6	Volume controlled (km ² x numbers of FL)		2)

ACC OUTPUT DATA

E7	IFR ACC movements controlled		
E8	Total flight hours controlled		
E9	Average transit time (minutes)		#DIV/0!

E10	Total IFR km controlled		3)
E11	Average distance flown		
E12	% Climb or descent		4)

ACC CAPACITY DATA

		Area Control	Approach control
E13	Number of sectors		
E14	Sum of sector hours		

ACC LEVEL STAFF DATA

		Area Control	Approach control
E15	ATCOs in OPS (FTE)		
E16	Sum of "ATCO in OPS" hours on duty (year)		

Comments for items E1-E6

1) Size of the controlled area may vary with altitude. The information reported here has been computed by the EUROCONTROL Experimental Centre (EEC) and corresponds to the maximum size.

2) Item E6 will be computed at a later stage.

Comments for items E7-E9

Items E7 and E8 are available from CFMU.

Comments for items E10-E12

3) Item E10 will be available from CFMU at a later stage.

4) Item E12 will be available from CFMU at a later stage.

Comments for items E13-E14

Comments for items E15-E16

STAFFING CHARACTERISTICS IN OPS AT MAXIMUM CONFIGURATION

Comments for items E17-E23

TYPICAL MANNING IN OPS AT MAX CONFIGURATION		Total staff on duty in OPS	Number of these staff that are "ATCOS in OPS"	Number of these staff that are "ATC assistants"
E17	Area control sector working positions			
E18	Approach control sector working positions			
E19	ATFM positions			
E20	Shift supervisor positions			
E21	FIS positions			
E22	Other positions, if any (please specify)			
E23	TOTAL IN OPS	0	0	0

TABLE F: FORWARD LOOKING INFORMATION

MACRO ECONOMIC INDICATORS

		N	N+1	N+2	N+3	N+4	N+5
F1	Inflation rate						
F2	Exchange rate (1 EURO=)						

PLANNED TRAFFIC DEMAND AND UNIT COSTS FOR THE ANSP

		N	N+1	N+2	N+3	N+4	N+5
F3	Planned demand km (or mvts) % n/n-1						
F4	Total en-route costs / km (or mvts) % n/n-1						
F5	Total terminal costs / IFR airport movements % n/n-1						

PLANNED STAFF DATA FOR EN-ROUTE

		N	N+1	N+2	N+3	N+4	N+5
F6	Number of additional "ATCOs in OPS" planned to start working in the OPS room						
F7	Number of "ATCOs in OPS" planned to stop working in the OPS room						
F8	Number of "ATCOs in OPS" planned to be operational at year end % n/n-1		0	0	0	0	0

PLANNED STAFF DATA FOR TERMINAL

		N	N+1	N+2	N+3	N+4	N+5
F9	Number of additional "ATCOs in OPS" planned to start working in the OPS room						
F10	Number of "ATCOs in OPS" planned to stop working in the OPS room						
F11	Number of "ATCOs in OPS" planned to be operational at year end % n/n-1		0	0	0	0	0

PLANNED COSTS FOR EN-ROUTE

		N	N+1	N+2	N+3	N+4	N+5
En-route							
F12	Staff costs % n/n-1						
F13	Direct operating costs (external outsourced services, facilities & maintenance, materials & supplies, others) % n/n-1						
F14	Exceptional items % n/n-1						
F15	Total "Institutional Costs or Transfers":	0	0	0	0	0	0
F16	Payment for outsourced MET (if provided externally) % n/n-1						
F17	Payment to national government for provision of services (e.g. regulator) % n/n-1						
F18	EUROCONTROL costs % n/n-1						
F19	Total payments for delegation of ANS:	0	0	0	0	0	0
F20	to other ANSPs/States % n/n-1						
F21	for Maastricht/CEATS costs % n/n-1						
F22	Depreciation costs % n/n-1						
F23	Cost of capital (before financing and corporate tax) % n/n-1						
F24	TOTAL COSTS % n/n-1	0	0	0	0	0	0

PLANNED CAPITAL EXPENDITURES FOR EN-ROUTE

		N	N+1	N+2	N+3	N+4	N+5
CAPEX for En-route							
F25	Land & Building % n/n-1						
F26	Systems & Equipments % n/n-1						
F27	TOTAL CAPEX % n/n-1	0	0	0	0	0	0

PLANNED CAPACITY FOR EN-ROUTE

		N	N+1	N+2	N+3	N+4	N+5
En-route							
F28	Number of sectors % n/n-1						
F29	Sum of sector hours % n/n-1						

Comments for Table F

Supplementary guidance

Introduction

This document provides supplementary guidance to facilitate the disclosure of information to the Performance Review Commission (PRC). It is supplementary to the document “Specification for Information Disclosure Version 2”, and should be read in conjunction with that document.

The Supplementary Guidance is intended to be of practical help in the completion of the tables/templates provided. The Supplementary Guidance also comprises a Glossary of Terms & Definitions. Some of the definitions have been drafted for the purpose of performance assessment, in particular in the area of staff categories. It is therefore important to read the Glossary of Terms & Definitions in conjunction with the document “Specification for Information Disclosure Version 2”.

The Supplementary Guidance comprises, like the main document, two parts:

Part I: General and contextual information:

Template 1: The scope of services offered

Template 2: The governance structure & regulatory framework

Template 3: Accounting, auditing, taxation practices

Template 4: Costs and asset allocation

Template 5: Arrangements for training and recruitment

Template 6: Other important influencing factors

Part II: Quantitative information

Table A: Revenues & Costs

Table B: Balance Sheet

Table C: High level staff data

Table D: High level operational data

Table E: ACC data

Table F: Forward-looking information

Templates for Part I - General and contextual information

Each template contains a set of questions. Air Navigation Service Providers (ANSPs) are encouraged to fill in each template so that the PRC/PRU will gain a good understanding of the organisation. It is likely that most responses to questions asked in this section will not change from year to year. For future submissions to the PRC/PRU, ANSPs can limit the disclosure to details of any significant changes or developments in the ANSP's situation.

Template 1: THE SCOPE OF SERVICES OFFERED

In order to provide comparable data and explain differences among ANSPs, the PRC needs to have a detailed understanding of the services provided by each ANSP.

ANSPs should provide textual information concerning the scope of the services they provide. According to ICAO definitions, air navigation services (ANS) can be broken down into the following components: ATM/CNS, AIS, MET and SAR. Furthermore, according to ICAO, ATM/CNS comprises ATS, ATFM and ASM ("Manual on Air Navigation Services Economics", ICAO Document 9161 – AR/724, 3rd edition, 1997).

Template 2: THE GOVERNANCE STRUCTURE & REGULATORY FRAMEWORK

A series of tables have been created for each ANSP to provide a description of the nature of their corporate structure and their ownership (for example, are they government agencies or state-owned companies; do they operate under their own statutory arrangements). The tables will enable ANSPs to describe the statutory governance arrangements, including arrangements by which government ownership is exercised, and the institutional and regulatory framework under which they operate. This template should enable the PRC to understand the status of the ANSP.

ANSPs should also give details of the publications they make available to their stakeholders (annual report, business plans, etc.). The PRU/PRC would like to receive a copy of such documents (or any other documents relevant to the performance of the ANSP) on a regular basis.

Template 3: ACCOUNTING, AUDITING, TAXATION PRACTICES

ANSPs should disclose details of any audit that they are currently obliged to undertake. ANSPs should also disclose their proposals for complying with the Provisional Council resolution that ANSPs should be required to prepare audited accounts in accordance with standards, and that those accounts should separate "ATM" business from other business.

Template 4: COST AND ASSET ALLOCATION

It is also necessary to understand the boundaries applied in the collection of financial information, specifically on costs and assets. ANSPs should allocate costs and assets between the various services provided, both for reporting en-route charges submissions and for PRC purposes, according to the 1999 Provisional Council resolution. To make fair comparisons, the PRC/PRU will need to understand the method used for cost allocation.

While all ANSPs recover revenue separately through en-route charges and terminal navigation charges, and allocate costs and assets between en-route and terminal navigation services, there is no clear and commonly applied definition of these services. The documentation of the Route Charges Principles ("Principles for establishing the cost-base for route facility charges and the calculation of the unit rate", EUROCONTROL document 9960.01/1, August 1999, and "Guidance on the rules and procedures of the route charges system - FIFU booklet", EUROCONTROL, July 1999) sets out what allocation methods may be used, but does not answer the prior question of how the services are defined.

Template 5: ARRANGEMENTS FOR TRAINING AND RECRUITMENT

ANSPs should describe the arrangements for training ATCOs in their territory. When ANSPs operate a training school, they should also disclose the capacity of the training school as well as the length of the training period for its *Ab initio*⁸ trainee controllers.

Template 6: OTHER IMPORTANT INFLUENCING FACTORS

ANSPs should give a textual description of any additional factors that may influence the apparent performance of the ANSP.

⁸ *Ab initio* trainee controllers are selected individuals with no previous relevant qualifications entering training.

Supplementary guidance to Part II – Quantitative information

The tables in Part II comprise two categories of quantitative information:

- Financial related information; and
- Operational related information.

The ANSP should disclose financial information in each of the columns, relating respectively to en-route ANS, terminal ANS and “other services”. Where it is unduly difficult or inappropriate to break-down the figures into these three activities, the ANSP may enter a figure in the total column. Operational related information should only be disclosed for en-route ANS and terminal ANS. ANSPs should also disclose operational related information at ACC level.

Some of the rows of the tables are related arithmetically to others. In these cases, the spreadsheet will calculate the figures automatically, and the ANSP should not enter them.

Some of the cells are grey-shaded. This is because no entry is applicable.

Each row of the table has a number, for ease of reference to the notes below.

The section below contains a comprehensive explanation of each of the items where information can be entered. In other cases, the notes are only provided to allow ANSPs to enter additional comments when a particular item is material. In order to allow ANSPs to enter additional qualitative and/or quantitative comments or notes to items, a “text box” next to each table has been created. It is recommended that ANSPs use these “text boxes” to provide supplementary information.

Explanation of individual items for Part II – Quantitative information

Table A: REVENUES & COSTS

ANSPs should specify which currency and exchange rate have been used. ANSPs should also specify if financial figures are expressed in ‘10, ‘100, or ‘1000.

Table A is designed so that any ANSP following the Route Charges Principles (“Principles for establishing the cost-base for route facility charges and the calculation of the unit rate”, EUROCONTROL document 9960.01/1, August 1999) could complete it.

The revenues and costs presented in Table A should be presented according to enlarged Committee for Route Charges’ Principles. Information should be disaggregated into costs relating to the provision of en-route ANS, terminal ANS, and “other ANS”, according to the ANSP definitions/boundaries of the various classes of services they wish to use in disclosing information. (see above Template 4 in Part I).

A consistent approach with what is done for en-route is sought for terminal ANS and “other ANS”. For terminal ANS and “other ANS”, therefore, the principles laid down for Route Charges should be applied in such areas of potential divergence as capitalisation of interest during construction.

Detailed explanations of the items in Table A are set out below.

REVENUES

A.1 Income from the Route Charges System

In all EUROCONTROL States, en-route revenues are recovered through the EUROCONTROL Route Charges System administered by the CRCO. In some States, a similar cost recovery system, administered by the CRCO, is also used to recover terminal navigation charges.

The income to be disclosed under item A1 is the revenue billed during the year without any adjustment for under/over recovery. [ANSPs should adopt a similar methodology to other sources of revenues below if relevant].

Where terminal navigation charges are also administered by the CRCO, they should be included in item A1 in the “terminal” column.

See also items A10-A12 for the adjustment mechanism and item B8 in the Balance sheet (Table B) for the treatment of under and over-recovery.

A.2 Other income from civil airspace users

This row should disclose revenues obtained from **civil** airspace users other than those recovered through the Route Charges System.

The en-route element of “Other income from civil airspace users” will generally be zero, except for States outside the Route Charges System. However, in some States, some en-route revenues are collected directly (for example VFR flights); these revenues should be disclosed here. In addition, many ANSPs collect terminal navigation charges directly from users. If this item is material, ANSPs should explain its nature in the nearby “text box”.

A.3 Income from airport operators

At some airports, an ANSP might be contracted by the airport operator to provide terminal ANS. The airport operator will pay the ANSP an agreed (contractual) sum, and the airport operator may recover charges from users. Such payment from the airport operators should be disclosed under item A3.

A.4 Income received from other States for delegation of ANS

In some cases, ANSPs directly receive an income in respect of ATC services provided in another State’s delegated airspace. ANSPs should disclose such income under item A4. In the case of Maastricht Upper Area Control Centre, revenues received from Belgium, the Netherlands, Luxembourg and Germany should be disclosed in this row.

In some cases, ANSPs may provide to another State services such as infrastructure equipment, training, information, etc. ANSPs should report such payments received from other States under A4 in the “Other” column. If this item is material, ANSPs should explain its nature in the nearby “text box”.

A.5 Income from the military

ANSPs should disclose in this row any revenue obtained from the military, excluding that obtained through the normal Route Charges System (military GAT traffic charged for through the Route Charges System will appear under item A1). Revenue from services to military OAT should be classified in the “Other” column, and it is expected that ANSPs report military OAT-related costs and staff in a consistent way.

A.6 Income from domestic government

This row should include any revenue from domestic government, whether in respect of services rendered or not. It should include revenue in respect of exempt flights such as VFR, air ticket taxes and all other receipts from the government. It should also include any explicit or implicit subsidy from the domestic government. For example, it is expected that those ANSPs that pay the EUROCONTROL Contribution direct, should treat any difference between the EUROCONTROL Contribution and the EUROCONTROL Costs as an implicit en-route revenue under item A6 (cf. discussion below for item A19). ANSPs should provide a breakdown of this revenue in the nearby “text box”.

A.7 Other income

This should include any other revenues obtained in respect of en-route, terminal, and “Other” services. It is expected that this item is not material for ANS but could be in respect of “Other” services. If the figure is material, it should be explained and a breakdown provided in the nearby “text box”. Notice that “Other income” may include financial revenues such as interest received on investment.

A.8 Exceptional revenue items

This should include any items that are not expected to recur from year to year. An example might be revenue from an asset disposal. If this item is material, it should be explained and a breakdown provided in the nearby “text box”.

A.9 Total revenues

A.10 Balance from previous year(s) carried over to current year

Under the full-cost recovery mechanism there will inevitably be cases of over- and under-recovery of costs, through past and/or current inaccurate forecasting of demand and/or costs. For example, the Route Charges System allows for the adjustment of allowed revenue in year n to take account of over- and under-recovery two years before in year n-2. Terminal navigation charges may also be calculated using a similar adjustment for over and under-recovery based on a one-year or two-year cycle.

ANSPs should disclose under item A10 the balance from previous year(s) carried over to the current year.

A.11 Over recovery for current year (under recovery)

Under the full-cost recovery mechanism any difference between the revenues and outturn costs for the current year (year n) will result in an over or under recovery for the current year.

ANSPs should disclose under item A11 the over recovery (under recovery) for the current year.

A.12 Balance for current year to be carried forward

Item A12 corresponds to the net balance for the current year to be carried forward. This net balance is computed as the sum of item A10 and item A11.

COSTS

A.13 Staff costs

Staff costs for all ANSP's staff should be disclosed under item A13. These costs will typically include gross wages and salaries (including payments for overtime), state social security scheme contributions, pension contributions and other benefits. ANSPs should explain in the "text box" if these costs only comprise costs for the staff on the payroll, or if they also include the costs of full-time external staff under contract (i.e., contractor staff). Mission related expenditures, including travel expenses, and training fees should be considered as operating costs (see A14 below).

A.14 Direct operating costs

"Operating costs" should include costs incurred through the purchase of goods and services directly used to provide ANS. This should include external outsourced services such as communications, IT and external staff with short term assignment (e.g. consultant). Other items that are usually included in "Operating costs" include materials, energy, rent, and facilities & maintenance. "Operating costs", in this context, should include increases in provisions for bad debts and business insurance costs. "Operating costs" should only include MET costs when they are provided internally. Payments for outsourced MET should be stated under item A17 (see below).

A.15 Exceptional items

This line should be used to disclose any non-recurring cost items that have occurred in the year. Such items might include, for example, contributions to top up a pension fund, or losses on the disposal of obsolete assets. Any material items should be explained in the "text box".

A.16 Total "Institutional Costs or Transfers"

This line is the sum of items A17-A19 (see below).

A.17 Payment for outsourced MET (if provided externally)

This line should be used to show payments made to any external meteorological agency for meteorological services. If meteorological services are provided internally within the ANSP, their costs will generally be part of "Staff costs", "Direct operating costs", "Depreciation costs" and "Cost of capital". An additional breakdown of costs by cost category to show MET costs whether internally or externally provided should be given under items A26-A31 (see below).

A.18 Payment to national government for provision of services (e.g. regulator)

This line should include any payments made to national government for services provided (for example, the costs of a regulator). It should not include MET services; these are disclosed separately. This number should show the gross

payments to the government for services provided by the government. Payments received from the government should be disclosed as income in item A6 (see above).

A.19 EUROCONTROL costs

This line should be used to disclose EUROCONTROL costs according to the cost-base. This is different from the EUROCONTROL contribution, where part of the difference is due to the internal tax collected by EUROCONTROL and paid back to the Member States. In some States the ANSP pays the EUROCONTROL contribution direct rather than the EUROCONTROL costs. For consistency purposes, ANSPs that pay the EUROCONTROL contribution direct should report the EUROCONTROL costs under item A19 and treat the difference as an implicit revenue to be reported under item A6 “Income from domestic government” (see above).

Where applicable, payments made in respect of Maastricht Upper Area Control Centre (MUAC) or Central European ATS (CEATS) should be reported under item A22 (see below).

A.20 Total “Payment for delegation of ANS”

This item corresponds to the sum of items A21 and A22 (see below).

A.21 Payments to other ANSPs/States

In some cases, ANSPs delegate the provision of ATC services to another ANSP. ANSPs should disclose the payments for the provision of the delegated ATC services under item A21. ANSPs should disclose in the “text box” to which ANSP/State the payment is made and to what it relates. Payments for MUAC and CEATS should be disclosed under item A22 (see below).

A.22 Payments for Maastricht/CEATS costs

ANSPs should disclose payments for MUAC and CEATS under item A22.

A.23 Depreciation costs

ANSPs should report under item A23 the depreciation costs related to the total fixed assets in operation. The depreciation method used should be the same method as is used for the establishment of the cost-base. The method selected should be applied consistently throughout the depreciation period of the asset. ANSPs may disclose in the “text box” the depreciation method used (for example, straight line, reducing balance or annuity).

A.24 Costs of capital (before financing and corporate tax)

Route Charges Principles provide for an ANSP to recover its costs related to the assets employed (notion of “economic cost of capital”). These assets, consisting of fixed assets (in operation and under construction) and working capital (current assets less current liabilities) constitute the asset base of an ANSP and are financed by the capital employed, consisting of long-term debt and/or equity. ANSPs should disclose under item A24 the cost of capital in relationship to the assets employed, before financing and corporate tax. In other words, this cost of capital will be used to cover financial costs paid on debt capital (i.e., interests charges), tax on operating earnings, and return on own capital invested (i.e., equity).

While the notion of economic cost of capital is well understood for en-route as it is one element of the cost-base, this might not necessarily be so for terminal ANS. For both consistency purpose and performance assessment purpose, the PRC would ask that ANSPs compute the economic cost of capital (before financing and corporate tax) for terminal ANS in a similar manner regardless of how terminal ANS charges are established.

A.25 Total costs

BREAKDOWN OF MET COSTS

An additional breakdown of cost by cost category to show MET costs whether internally or externally provided should be given under items A26-A31 (see below).

A.26 Staff costs

This line should show staff costs relating to the provision of MET services.

A.27 Direct operating costs

This line should show direct operating costs relating to the provision of MET services.

A.28 Exceptional items

This line should show exceptional items costs relating to the provision of MET services.

A.29 Depreciation costs

This line should show depreciation costs relating to the provision of MET services.

A.30 Cost of capital (before financing and corporate tax)

This line should show the cost of capital relating to the provision of MET services.

A.31 Total MET costs

This is the sum of items A26-A30. By definition, this sum should equal item A17 (see above) when MET services are outsourced.

Table B: BALANCE SHEET

Table B is designed so that any ANSP following the Route Charges Principles should be able to complete most of the items covered in Table B.

Balance sheet items should be prepared in a manner consistent with the cost and revenue items in Table A, according to Route Charges Principles. Fixed assets, and working capital should be disaggregated into those required for en-route ANS, terminal ANS, and “other ANS”. Liability items may be presented without disaggregation (the total ANS column only).

In addition, the treatment of over- and under-recovery of costs in national accounts varies from country to country. In several cases, there is a provision for over- and under-recovery. Some countries do not permit them and require revenues to be stated directly in the profit and loss account. For the purpose of both consistency and performance assessment, the PRC would wish that ANSPs disclose in this table the net provision for over- and under-recovery of costs.

Detailed explanations of the items in Table B are found below.

B.1 Total NBV fixed assets in operation

This line is the sum of items B2 and B3. The separation into assets in operation and assets under construction is to facilitate comparability between ANSPs, and to help understand any divergences between asset values determined for Route Charges purposes and Generally Accepted Accounting Practices (GAAP).

Assets items should be stated at Net Book Value [NBV] (i.e., historic costs less accumulated depreciation) in line with currently accepted practices.

B.2 Land & Buildings in operation

ANSPs should disclose the NBV of Land & Buildings in operation under item B2.

B.3 Systems & Equipment in operation

ANSPs should disclose the NBV of Systems & Equipment in operation under item B3. This will include intangible assets such as software development and intellectual property.

B.4 Total NBV fixed assets under construction

This line is the sum of items B5 and B6.

B.5 Land & Buildings under construction

ANSPs should disclose the NBV of Land & Buildings under construction in item B5.

B.6 Systems & Equipment under construction

ANSPs should disclose the NBV of Systems & Equipment under construction in item B6.

B.7 Working capital

ANSPs should disclose the amount of working capital under item B7. Working capital is defined as the difference between current assets and current liabilities.

Current assets mostly comprise raw materials & stocks, trade debtors, and liquid funds (essentially cash in hand). Liquid funds that arise from past over-recovery should appear under item B10 “Other assets”, as they should be considered as interest-bearing financial assets (i. e., should not be part of the capital employed to be remunerated through the cost of capital, see item A24 above and item B9 below).

Current liabilities should include all liabilities falling due within one year, with the exception of provisions for over-recovery of costs, which should be recorded separately in B8 (see below). Current liabilities mostly comprise trade creditors, and provisions for liabilities and charges.

Typically, working capital for en-route ANS would amount to the equivalent of one or two months of en-route revenues.

B.8 Net provisions for under recovery (over recovery)

The treatment of over- and under-recovery of costs in national accounts varies from country to country. In several cases, there is a provision for over- and under-recovery. Such a provision, by most accounting conventions, could either be an asset (under-recovery) or a liability (over-recovery) and might fall due within one year (short-term) or beyond one year (long-term). It might therefore appear in one of four places in a conventional balance sheet. Some countries do not permit them and require revenues to be stated directly in the profit and loss account.

For the purpose of both consistency and performance assessment, the PRC would wish that ANSPs account for any over- or under-recovery of costs using a provision. It should include provisions in respect of any case where charges are intended to recover costs, but do not exactly do so. This could apply to terminal ANS when a similar adjustment for over- and under-recovery exists (in some cases it is a one year cycle rather than the two years cycle used for en-route).

The PRC convention for presentation is to group together provisions for over- and under-recovery of costs under item B8. ANSPs are therefore asked to report in item B8 the net provisions for under recovery (over recovery). From the Route Charges System, this should correspond to the sum of the balance from current year (n) to be carried forward and the balance from year n-1 to be carried forward in n+1. Note that a net provision for over-recovery would have a negative entry, i.e., it would be deducted from the capital employed (see item B9 below).

Following the suggested PRC convention for presentation, it is expected that, where appropriate, necessary adjustments are made in the other items of the balance sheet (e.g. working capital, other assets, capital & reserves), in order to ensure its internal consistency.

B.9 Total capital employed

This is the sum of fixed assets (in operation and under construction), working capital, and net provision for under recovery.

B.10 Other assets (including long term financial assets)

ANSPs should list here financial assets such as investments in other companies. Such financial assets might be related to securities acquired due to legally required coverage of provisions for pensions. They might also include interest-bearing funds that arise from past over-recovery (see above item B7). As such, these other assets are not directly related to the provision of en-route and/or terminal ANS. Therefore, ANSPs should only disclose the total amount in the “Total ANS” column. If this item is material, ANSPs should explain its nature in the nearby “text box”.

B.11 Capital & Reserves

ANSPs should disclose the capital & reserves (i.e., equity) under item B11. This item should be reported from the statutory accounts, but adjusted accordingly given the suggested PRC convention for presentation of the net provision for under- and over-recovery of costs.

B.12 Total long term liabilities

This is the sum of items B13-B15 (see below).

B.13 Borrowings

ANSPs should disclose borrowings in respect to “Total ANS” under item B13.

B.14 Provisions for liabilities and charges

This row should show the total value of provisions for liabilities and charges falling due after more than one year in the ANSPs balance sheet, with the exception of any provisions for over- and under-recovery of costs, which should be recorded separately under item B8 (see above).

B.15 Other

ANSPs should disclose other long term liabilities with respect to “Total ANS” under item B15. If this item is material, ANSPs should explain its nature in the nearby “text box”.

Table C: HIGH LEVEL STAFF DATA

In this table, ANSPs should provide key data on the number/categories of staff and on related employment costs. The number of staff should be the "full-time equivalent" (FTE). For example, a staff member who works part time, say half the hours of a normal employee, should be counted as half when assessing FTE staff numbers. The categories proposed in Table C have been devised for the purpose of performance assessment. Definitions are provided in the Glossary of Terms. For consistency and comparability purposes, it would be useful if ANSPs use these definitions when completing Table C.

To be practical, staff numbers can be calculated as an average based on the FTE number at the start of the year and the FTE number at the end of the year.

Categories of staff should be split between en-route, terminal and "Other" according to the cost-allocation key used for Route Charges purposes. Consistency with the disclosure of staff costs is required. The same key to allocate staff costs could be used as a proxy.

Detailed explanations of the items in Table C are found below.

C.1 Total staff in payroll (FTE)

The number of FTE staff on the ANSP's payroll should be disclosed in item C1 (see Glossary of Terms for a definition of FTE). There should be consistency between the staff costs declared in Table A item A13 and the number of staff to be reported under item C1. If costs under item A13 comprise FTE external staff under contract (i.e. contractual staff that is not in the ANPS's payroll), then the number of external staff should be disclosed in item C2 (see below).

C.2 Total external staff under contract (FTE)

Item C2 is meant to capture FTE external staff under contract with the ANSP, who are not considered as staff on the payroll (see item C1) but whose costs are treated as internal staff. External staff working on special projects (i.e. consultants with a short term assignment) should not be considered under item C2, as those costs would mostly appear as direct operating costs.

C.3 Total staff (FTE)

This is the sum of items C1-C2.

STAFF BREAKDOWN PER CATEGORY

C.4 ATCOs in OPS

ANSPs should disclose the number of FTE “ATCOs in OPS” under this line. A definition of “ATCOs in OPS” is provided in the Glossary of Terms. For computation purposes, a full time ATCO working two thirds of his/her time

on duty in OPS and one third of his/her time on teaching at a training academy or participating in special projects would be counted as a 0.67 FTE “ATCO in OPS” and a 0.33 FTE “ATCO on other duties” (see item C5 below).

C.5 ATCOs on other duties

ANSPs should disclose the number of FTE “ATCOs on other duties” under this line. Using the PRC definition, an “ATCO on other duties” is an ATCO who is participating in an activity outside OPS such as special projects, teaching at a training academy, providing instruction in a simulator, working in a full time management position, etc.

C.6 Ab-initio trainees

ANSPs should disclose the number of “*ab-initio* trainees” under this line. Using the PRC definition, an “*ab initio* trainee” is a selected individual, with no previous relevant qualifications, who is given basic instruction and training to enable him or her to obtain theoretical qualifications. The *ab-initio* phase ends after institutional training, before entering into on-the-job training (OJT).

C.7 On-the-job trainees

ANSPs should disclose the number of FTE “on-the-job trainees” under this line. This training will enable student controllers to check out as ATCOs at a specific operational unit, and/or previously qualified ATCOs coming from another operational unit to acquire a new qualification.

C.8 ATC assistants

ANSPs should disclose the number of FTE “ATC assistants” under this line. ATC assistants are employees assigned to perform non-control functions in an ATC unit. This includes flight data assistants but excludes technical support staff.

C.9 Technical support staff

ANSPs should disclose the number of FTE “technical support staff” under this line. Technical support staff include, inter alia, electronic technicians, engineers, R & D staff, etc.

C.10 Administration

ANSPs should disclose the number of FTE “Administration related staff” under this line.

C.11 Other

ANSPs should disclose the number of any other staff under item C11. If this item is material, ANSPs should explain its nature in the nearby “text box”.

C.12 Total staff (FTE)

This is the sum of items C4-C11.

STAFF COSTS PER CATEGORY

C.13 Staff costs for “ATCOs in OPS”

ANSPs should disclose the total employment costs (including gross wages and salaries, payments for overtime, State social security scheme contributions, pension contributions and other benefits) for “ATCOs in OPS” under item C13. Similar information for all categories of staff is foreseen in a future version of this specification.

TOTAL STAFF COSTS PER TYPE

C.14 Gross wages and salaries

These should include income tax payable by employees but exclude pension or social security contributions payable by the employer. This should also include payments for overtime.

C.15 State social security scheme contributions

This should comprise all elements of staff costs, such as national insurance payments and social security costs, that represent a payment on behalf of employees to the State, for example, for health services. Where possible, this figure should exclude pension contributions; these should be stated under “Employers’ contributions to a pension scheme”.

C.16 Pension contributions and other benefits

This line should be used for employers’ contributions to a pension fund for their active employees. It should not be used where the organisation has a temporary contribution towards “topping up” a pension fund as such costs should be disclosed as “exceptional items” in item A15 (see above).

C.17 Other

ANSPs should specify the nature of “other” costs, if any.

C.18 Total staff costs

This is the sum of items C14-C17. It is expected that item C18 is consistent with item A13 (see above).

Table D: HIGH LEVEL OPERATIONAL DATA

In this table, ANSPs should provide key operational data at the level of the whole organisation. For most ANSPs their ANS activities are related to “Continental” Europe and the bulk of the information requested in Table D will refer to “Continental” Europe. Few ANSPs also provide Oceanic ANS. In order to understand the geographical scope of services provided by the ANSP, the PRC would like to obtain a limited amount of information relating to Oceanic ANS.

Some definitions are provided in the Glossary of Terms. For consistency and comparability purposes, it would be useful if ANSPs were to use these definitions when completing Table D.

In Table D, ANSPs should disclose the number of operational units for which they are responsible: these will include ACCs and may also include units dedicated to approach or terminal management (APPs), units based in towers at airports (TWRs) and Aerodrome Flight Information Services units (AFIS). Those figures indicate to some extent the size of the organisation. The size of the organisation is also measurable in terms of staff requirements and output delivered. ANSPs should also disclose in Table D measures of output such as airport movements controlled, km controlled and flight hours controlled for the whole organisation.

Depending on the case in hand, some data will be available from the CFMU and/or the CRCO in EUROCONTROL. Where appropriate, the PRC will use this source of information in order to avoid imposing an undue burden on the ANSP. This should also ensure more consistency in the reporting of operational data among the various ANSPs. The PRC will then ask each ANSP to validate these data.

Finally, ANSPs are requested to give a measure of the total number of “ATCOs in OPS” associated with the various operational units, and the volume of hours on duty for “ATCOs in OPS”.

Detailed explanations of the items in Table D are found below.

STATE LEVEL DATA FOR CONTINENTAL ANS

D.1 Size of the charging area in km²

ANSPs should disclose the surface of the charging area in km² as defined for charging purposes under the Route Charges System.

D.2 Total flights in the charging area

These are the flights in the airspace of the Flight Information Region(s) falling within the competence of the Contracting State to the Route Charges System. This figure is available from the CRCO System Report.

D.3 % Overflights

This figure is available from States reporting tables to the enlarged Committee for Route Charges. This figure should in the near future be directly available from the CRCO.

D.4 % Domestic flights⁹

This figure is available from States reporting tables to the enlarged Committee for Route Charges. This figure should in the near future be directly available from the CRCO.

D.5 % Arrival / departures international flights

This figure is available from States reporting tables to the enlarged Committee for Route Charges. This figure should in the near future be directly available from the CRCO.

D.6 Total distance (km) in charging area

These are the kilometres flown in the airspace of the Flight Information Region(s) falling within the competence of the Contracting State to the Route Charges System. This figure is available from the CRCO System Report.

D.7 Average distance (km)

This is the ratio between item D6 and item D2.

GEOGRAPHICAL SCOPE OF SERVICES

D.8 Size of controlled airspace in km²

ANSPs should disclose the size (i.e., surface) of the airspace for which they are responsible. This should include the area where ANS have been delegated to the ANSP by another provider, and exclude the area in which ANS have been delegated to another ANSP.

D.9 Number of ACC operational units

ANSPs should state the number of ACC operational units for which the ANSP is responsible. This corresponds to an ATC unit providing en-route (and possibly approach) ATC services in controlled areas under the ANSP's jurisdiction.

D.10 Number of APP operational units

ANSPs should state the number of APP operational units for which the ANSP is responsible. This corresponds to an ATC unit providing ATC services to arriving, departing and over-flying flights within the airspace in the vicinity of an aerodrome. One APP can provide ATC services for several aerodromes. The APP is generally located in the TWR building or co-located with an ACC. In both cases the APP should be counted as a separate operational unit. Small aerodromes, where the approach function is provided from a position within the TWR, do not have a separate APP unit.

D.11 Number of TWR operational unit

ANSPs should state the number of TWRs operational units for which the ANSP is responsible. This corresponds to an ATC unit at an aerodrome, responsible for the provision of ATC services in respect of flights that are landing and taking off, and other traffic that is on the active runway(s). Large airports may have more than one tower building but only one TWR control unit.

⁹ Where the ANSP is responsible and charges separately for two charging areas, "domestic" means within the charging area, while "international" includes flights between the charging areas.

D.12 Number of AFIS

ANSPs should state the number of AFIS for which the ANSP is responsible. This corresponds to a unit established to provide a flight information service to aerodrome traffic at an aerodrome.

ANSP OUTPUT DATA (GAT)

D.13 Total IFR flights controlled by the ANSP

This figure is available from CFMU. It should relate to GAT flights only. “IFR flights controlled by the ANSP” will be different than the sum of ACC movements as a flight might cross several ACCs under an ANSP’s jurisdiction (see item D23 below).

TERMINAL OUTPUT DATA (GAT)

D.14 IFR airport movements controlled by the ANSP

This figure is available from CFMU. It should include only movements where the ANSP provides terminal ANS. For terminal and airport traffic purposes, one arrival and one departure is counted as two movements.

D.15 VFR airport movements controlled by the ANSP

ANSPs should state the number of VFR airport movements controlled by the ANSP.

D.16 Total airport movements controlled by the ANSP

This is the sum of items D14 and D15.

DATA FOR “ATCOS in OPS”

For the purpose of this template, ANSPs should disclose the sum of “ATCOs in OPS” and associated sum of hours on duty and provide a breakdown in line with operational units rather than cost-allocation purposes (see Table C: HIGH LEVEL STAFF DATA for a breakdown in line with cost-allocation purposes). The operational units ACC(s), APPs and TWRs have been combined into two columns: “ACC(s)”, and “APPs+TWRs”. In addition, in order to capture the possibility that an ACC unit might also provide approach control functions, the “ACC(s)” column has been split into area control and approach control.

D.17 ATCOs in OPS (FTE)

ANSPs should disclose the number of FTE “ATCOs in OPS” under this line. A definition of “ATCOs in OPS” is provided in the Glossary of Terms.

The figure under item D17 should be consistent with the figures (sum of items E15) reported at ACC level in Table E: ACC Data (see below).

D.18 Sum of “ATCO in OPS” hours on duty

This is the number of hours “ATCOs in OPS” spend on duty in OPS, including breaks and overtime in OPS. This figure could be available from a time recording system (clock-in and clock-out times); it could be computed from the roster plan; or it could be calculated by adding the average overtime worked in OPS to the contractual working hours and subtracting the average time an ATCO is not on duty in OPS. For a pragmatic implementation of the latter method, see items D19-D22 below.

The figure under item D18 should be consistent with the figures (sum of items E16) reported at ACC level in Table E: ACC Data.

ANNUAL WORKING HOURS PER “ATCO in OPS”

D.19 Contractual working hours per “ATCO in OPS”

This figure refers to the regular number of hours per year an ATCO in OPS is at work. It excludes public holidays and leave entitlement. These hours are either on duty in OPS, or not on duty in OPS.

D.20 Average number of hours not on duty

This figure refers to the total number of hours an ATCO in OPS is not on duty in OPS (i.e. on sick leave, receiving refresher training, other). The time spent on activities outside OPS (i.e. as an “ATCO on Other Duties”) should not be reported here. Similarly, time spent receiving on-the-job training should not be counted here as on-the-job trainees are not counted as ATCOs in OPS.

D.21 Average overtime hours per “ATCO in OPS”

This figure refers to the average time during which an “ATCO in OPS” is on duty in OPS in addition to the contractual working hours.

D.22 Average number of “ATCO in OPS” hours on duty (per year)

This is the sum of items D19 and D21, less item D20.

ACC DATA (Sum)

D.23 Sum of ACC movements

This figure is available from CFMU. For those ANSP’s which are responsible for several ACCs, this will be the sum of each ACC movements.

D.24 Total IFR km controlled by the ANSP

This figure will be shortly available from CFMU. ANSPs who already record this figure could report it here.

D.25 Total flight hours controlled by the ANSP

This figure is available from CFMU. It is obtained as the sum of the flight hours controlled over the year by one or several ACC(s) under an ANSP’s jurisdiction. For any given flight, the flight hours controlled is derived from CFMU information as the difference between the entry time and the exit time in the controlled airspace based on the last flight plan received.

D.26 Average ACC transit time (minute)

This is the ratio between item D25 (expressed in minutes) and item D23.

D.27 Number of sectors

ANSPs should indicate the number of sectors at maximum configuration under the ANSP’s jurisdiction. This figure should be consistent with the figures (sum of items E13) reported at ACC level in Table E: ACC Data (see below). It corresponds to the configuration that has been used during the year in which the greatest number of sectors has been open. To avoid unrepresentative extreme situations this configuration should have been used for a minimum of 50 hours per year (out of a total of 8760).

In order to capture the possibility that an ACC unit might also provide approach control functions, a split into area control sectors and approach control sectors is provided.

D.28 Sum of sector hours

ANSPs should indicate the sum of sector hours under the ANSP’s jurisdiction. This measure is obtained by adding the number of hours during which each sector has been open during the year. This figure should be consistent with the figures (sum of items E14) reported at ACC level in Table E: ACC Data (see below).

Table E: ACC DATA

ANSPs should disclose in this table key operational and staff data at ACC level. ANSPs responsible for several ACCs are required to fill in one table for each ACC. For comparability purposes, it is expected that this should be consistently done throughout the different ACCs.

Some data will be available from the CFMU and/or the CRCO in EUROCONTROL. Where appropriate, the PRC will use this source of information. The PRC will then ask each ANSP to validate these data.

Detailed explanations of the items in Table E follow.

ACC CHARACTERISTICS

E.1 ACC code

This is the 4 letters operational code for the ACC.

E.2 ACC name

This is the full name of the ACC.

E.3 Size of the controlled area (km²)

At ACC level, the size (i.e. the surface covered) of the controlled area may vary with altitude (Flight levels), and may change in function of airspace redesign within the ANSP's jurisdiction. This figure is available from the EUROCONTROL Experimental Centre (EEC) and has been calculated at the maximum size of the ACC.

E.4 Minimum Flight Level

This is the reference minimum Flight Level for the ACC.

E.5 Maximum Flight Level

This is the reference maximum Flight Level for the ACC. If there is no reference maximum Flight Level (FL), then it will be "unlimited" [UNL].

E.6 Volume controlled (km²×numbers of FL)

The volume of airspace controlled by an ACC should be disclosed under item E6. ANSPs could compute the volume as the sum of the areas controlled at each FL (each FL corresponds to 1000ft). If the reference maximum FL is "unlimited" then FL 450 could be considered.

ACC OUTPUT DATA

E.7 IFR ACC movements controlled

This figure is available from the CFMU. It corresponds to the number of IFR flights that have been controlled over the year by the ACC.

E.8 Total flight hours controlled

This figure is available from the CFMU. It corresponds to the sum of the flight hours controlled over the year by an ACC. For any given flight, the flight hours controlled is derived from CFMU information as the difference between the entry time and the exit time in the controlled airspace based on the last flight plan received.

E.9 Average transit time (minutes)

This is the ratio between item E8 (expressed in minutes) and item E7.

E.10 Total IFR km controlled

This figure will be shortly available from CFMU. ANSPs who already record this figure could report it here.

E.11 Average distance flown

This is the ratio between item E10 and item E7. It will be available when item E10 will be provided by the CFMU.

E.12 % climb or descent

A precise definition for item E12 will be provided when this figure becomes available from the EEC or the CFMU. Vertical evolution of flights is considered as an important factor influencing complexity. ANSPs who already record this figure could report it here (as well as including the definition used).

ACC CAPACITY DATA

E.13 Number of sectors

ANSPs should indicate the number of en-route sectors at maximum configuration. It corresponds to the configuration that has been used during the year in which the greatest number of sectors has been open. To avoid unrepresentative extreme situations this configuration should have been used for a minimum of 50 hours per year (out of a total of 8760).

In order to capture the possibility that an ACC unit might also provide approach control functions, a split into area control sectors and approach control sectors is provided.

E.14 Sum of sector hours

ANSPs should indicate the sum of en-route sector hours for the ACC. This measure is obtained by adding the number of hours each sector has been open during the year.

ACC LEVEL STAFF DATA

E.15 ATCOs in OPS (FTE)

ANSPs should disclose the number of FTE “ATCOs in OPS” in the ACC. A definition of “ATCOs in OPS” is provided in the Glossary of Terms.

In order to capture the possibility that an ACC unit might also provide approach control functions, a split into area control sectors and approach control sectors is provided.

E.16 Sum of “ATCO in OPS” hours on duty (year)

This is the number of hours “ATCOs in OPS” spend on duty in OPS, including breaks and overtime in OPS (see item D18 and items D19-D22 for a pragmatic method to compute this figure).

STAFFING CHARACTERISTICS IN OPS AT MAXIMUM CONFIGURATION

This table should be used to disclose the staffing characteristics of an ACC when it is operating at maximum configuration. Maximum configuration is the configuration that has been used during the year in which the greatest number of sectors has been open. To avoid unrepresentative extreme situations this configuration should have been used for a minimum of 50 hours per year (out of a total of 8760). The table should be consistent with item E13 above.

E.17 Area control sector working positions

These are positions equipped for providing area control ATC services. Each position corresponds to a one person work area (workstation). ANSPs should disclose how many staff during maximum configuration are on duty in OPS on area control sector working positions, and how many of these staff are “ATCOs in OPS” and “ATC assistants”.

E.18 Approach control sector working positions

These are positions equipped for providing approach control ATC services when such services are provided by the ACC. Each position corresponds to a one person work area (workstation). ANSPs should disclose how many staff during maximum configuration are on duty in OPS on approach control sector working positions, and how many of these staff are “ATCOs in OPS” and “ATC assistants”.

E.19 ATFM positions

These are positions established within an ACC to ensure the necessary interface with the CFMU on matters concerning the provision of ATFM Service and the interface with national AMCs on matters concerning ASM Service. ANSPs should disclose how many staff during maximum configuration are on duty in OPS for ATFM positions, and how many of these staff are “ATCOs in OPS” and “ATC assistants”.

E.20 Shift supervisor positions

These are positions established within an ACC to supervise activities in OPS. ANSPs should disclose how many staff during maximum configuration are on duty in OPS for shift supervisor positions, and how many of these staff are “ATCOs in OPS”.

E.21 FIS positions

These are positions within an ACC providing services to non controlled flights for the purpose of giving advice and information useful for the safe and efficient conduct of flights. ANSPs should disclose how many staff during maximum configuration are on duty in OPS for FIS positions, and how many of these staff are “ATCOs in OPS” and “ATC assistants”.

E.22 Other positions

If any, please specify.

E.23 Total in OPS

This is the sum of items E17-E22.

Table F: FORWARD-LOOKING INFORMATION

In Table F ANSPs should provide both operational and financial forward-looking information about their organisation. The time span should cover a five-year period from year n+1 to year n+5. For comparability purpose, figures for n should also be reported. It is expected that the figures for year n be consistent with those reported in the previous tables in Part II of this document.

It is also expected that the figures and projections disclosed in Table F be consistent with the business plan produced by each ANSP. This business plan should be submitted to the PRC as supporting material to the economic information disclosed (see also Part I).

ANSPs should provide their forecast in terms of traffic demand, as well as their expected unit costs. It is expected that these figures be consistent with the other templates in Table F.

Planning for staff is a key component of the forward-looking process. ANSPs should disclose in Table F the number of “ATCOs in OPS” that are planned to be operational over the five year period. This will include forecast on recruitment and training needs, as well as forecast on retirement planning.

ANSPs should disclose information on their planned costs. ANSPs should express all projected financial data in **real** terms, that is, with prices excluding inflation. For comparability purposes, cost information should be consistent with the information reported in Table A, that is, where possible, ANSPs should use the financial concepts and breakdown structure provided in Table A. In addition, ANSPs should disclose information on planned capital expenditure (investment) for en-route ANS.

Finally, ANSPs should also report the planned capacity for en-route in terms of sum of sectors and sum of sector hours. It is expected that this information should be consistent with the information reported in Table D.

Detailed explanations of the items in Table F are found below.

MACRO ECONOMIC INDICATORS

F.1 Inflation rate

F.2 Exchange rate (1 EUR=)

PLANNED TRAFFIC DEMAND AND UNIT COSTS FOR THE ANSP

F.3 Planned demand km (or movements)

ANSPs should report their planned demand in terms of km or movements to be serviced.

F.4 Total en-route costs / km (or movements)

ANSPs should report their planned unit cost for en-route. The planned unit cost should be expressed in terms of km or movements and be consistent with planned demand (item F3 above) and planned total costs (see item F24 below).

F.5 Total terminal costs / IFR airport movements

ANSPs should report their planned unit cost for terminal ANS. The planned unit cost should be expressed in terms of airport movements. Total airport movements (i.e., IFR and VFR movements) could also be used if ANSPs do record this number (the importance is to be consistent with what is reported under items D14-D16 above).

PLANNED STAFF DATA FOR EN-ROUTE

The number of staff should be expressed in terms of “full-time equivalent” (FTE).

F.6 Number of additional “ATCOs in OPS” planned to start working in the OPS room

F.7 Number of “ATCOs in OPS” planned to stop working in the OPS room

F.8 Number of “ATCOs in OPS” planned to be operational at year end

ANSPs should report the total number of “ATCOs in OPS” for the reporting period (year n). The figures for the following years are automatically computed as the stock of “ATCOs in OPS” for the previous year, plus item F6, minus item F7.

PLANNED STAFF DATA FOR TERMINAL

F.9 Number of additional “ATCOs in OPS” planned to start working in the OPS room

F.10 Number of “ATCOs in OPS” planned to stop working in the OPS room

F.11 Number of “ATCOs in OPS” planned to be operational at year end

This figure is automatically computed as the stock of “ATCOs in OPS” for the previous year, plus item F9, minus item F10.

PLANNED COSTS FOR EN-ROUTE

Planned costs should be disclosed along the costs by type dimension. For comparability purposes, cost information should be consistent with the financial concepts and breakdown structure provided in Table A: REVENUES & COSTS. For the sake of conciseness, these concepts and definitions are not restated below.

F.12 Staff costs - (see A13 for definition)

F.13 Direct operating costs - (see A14 for definition)

F.14 Exceptional items - (see A15 for definition)

- F.15** Total “Institutional costs or transfers” - (see A16 for definition)
- F.16** Payment for outsourced MET (if provided externally) - (see A17 for definition)
- F.17** Payment to national government for provision of services (e.g., regulator) - (see A18 for definition)
- F.18** EUROCONTROL costs - (see A19 for definition)
- F.19** Total payments for delegation of ANS: - (see A20 for definition)
- F.20** to other ANSPs/States - (see A21 for definition)
- F.21** for Maastricht/CEATS costs - (see A22 for definition)
- F.22** Depreciation costs - (see A23 for definition)
- F.23** Cost of capital (before financing and corporate tax) - (see A24 for definition)
- F.24** Total costs

PLANNED CAPITAL EXPENDITURES FOR EN-ROUTE

For comparability purposes, ANSPs should report capital expenditures for Land & Building and System & Equipment that are consistent with figures reported in Table B: BALANCE SHEET.

- F.25** Land & Building
- F.26** Systems & Equipment
- F.27** Total capital expenditures (CAPEX)

PLANNED CAPACITY FOR EN-ROUTE

For comparability purposes, the figures below should be consistent with Table D: HIGH LEVEL OPERATIONAL DATA (items D27-D28).

- F.28** Number of sectors

The number of ACC(s) sectors includes area control sectors and approach control sectors.

- F.29** Sum of sector hours

Glossary of Terms and Definitions

Definitions relating to staff categories

Ab Initio Trainee Controller: A selected individual, with no previous relevant qualifications, who is given basic instruction and training to enable him or her to obtain theoretical qualifications. The *ab initio* phase ends after institutional training, before entering into on-the-job training (OJT).

Air Traffic Control Assistant: An employee assigned to perform non-control functions in an ATC unit. This includes flight data assistants but excludes technical support staff.

ATCO: The holder of a licence which permits the individual to control traffic at a specific operational unit. Executive controllers, planning controllers, and supervisors are ATCOs. For the purpose of performance assessment, the following definitions should be used:

ATCO in OPS: An ATCO who is participating in an activity that is either directly related to the control of traffic or is a necessary requirement for an ATCO to be able to control traffic. Such activities include manning a position, refresher training and supervising on the job trainee controllers, but do not include participating in special projects, teaching at a training academy, or providing instruction in a simulator.

ATCO on other duties: An ATCO who is participating in an activity outside OPS such as special projects, teaching at a training academy, providing instruction in a simulator, working in a full time management position, etc.

Licence: An ATC licence indicates a controller's qualifications and includes a record of his competence at a particular unit together with his medical classification.

On-the-Job Training (OJT): The integration in practice of previously acquired job related routines and skills under the supervision of a qualified coach in a live traffic situation. The training enables student controllers to check out as ATCOs at a specific operational unit, and/or previously qualified ATCOs coming from another operational unit to acquire a new qualification.

Definitions relating to the counting of staff and working hours

Break: The time in a shift when an individual or group of individuals is not at the workplace. This includes lunch breaks, rest breaks, and relief breaks.

Full Time Equivalent (FTE): The equivalent of a single person carrying out a particular job or activity working on a full time basis during a year. A part time employee working half time would be counted as a 0.5 FTE. A full time ATCO working two thirds of his time on duty in OPS and one third of his time on teaching at a training academy would be counted as a 0.67 FTE ATCO in OPS and a 0.33 FTE ATCO on Other Duties.

Hours related to ATCOs in OPS:

Contractual working hours: The regular number of hours per year an ATCO in OPS is at work. It excludes public holidays and leave entitlement. These hours are either on duty in OPS, or not on duty in OPS.

Hours on duty: The actual number of hours spent by ATCOs in OPS on duty in OPS, including breaks and including overtime in OPS. The figure could come from direct measurement (clock-in and clock-out times), be computed from the roster plan, or be approximated from contractual working hours after subtracting the average time an ATCO is not available in OPS (see "Hours not on duty") and adding on the average overtime worked in OPS.

Hours not on duty: The total number of hours an ATCO in OPS is not on duty in OPS (i.e. on sick leave, receiving refresher training, other). The time spent on activities outside OPS (i.e. as an ATCO on Other

Duties) should not be reported here but should be computed in the consideration of FTE (e.g. an ATCO working half time on special projects should be considered as a 0.5 FTE in OPS). In the same way, time spent receiving on-the-job training should not be counted here, as on-the-job trainees are not counted as ATCOs in OPS.

Overtime: The time during which a person works at a job in addition to the contractual working hours.

Definitions relating to operations

Air navigation services (ANS). This term includes five broad categories of facilities and services; i.e. air traffic services (ATS), aeronautical telecommunications services (COM), meteorological services for air navigation (MET), search and rescue (SAR) and aeronautical information services (AIS). These services are provided to air traffic during all phases of operations (en-route, approach and aerodrome control). With the implementation of CNS / ATM systems, ATS and COM will be replaced by respectively ATM and CNS which are broader in scope.

Airspace management (ASM). A planning function with the primary objective of maximising the utilisation of available airspace by dynamic time-sharing and, at times, the segregation of airspace among various categories of users based on short-term needs. In future systems, airspace management will also have a strategic function associated with infrastructure planning.

Aeronautical information service (AIS). Aeronautical information services have the objective of ensuring the flow of information necessary for the safety, regularity and efficiency of air navigation. Included are the preparation and dissemination of Aeronautical Information Publications (AIPs), Notices to Airmen (NOTAMs), Aeronautical Information Circulars (AICs) and other relevant information.

Air traffic control service (ATC). A service provided for the purpose of (1) preventing collisions between aircraft and on the manoeuvring area between aircraft and obstructions; and (2) expediting and maintaining an orderly flow of air traffic.

Air traffic flow management (ATFM). A service of tactical and strategic planning activities with the objective of ensuring an optimum flow of air traffic to or through areas during times when demand exceeds or is expected to exceed the available capacity of the air traffic control system.

Air traffic management (ATM). A systems approach with the objective of enabling aircraft operators to meet their planned times of departure and arrival and adhere to their preferred flight profiles with minimum constraints, without compromising agreed levels of safety. It comprises ground elements and airborne elements which, when functionally integrated, form a total ATM system. The airborne part consists of the elements necessary to allow functional integration with the ground part. The ground part comprises air traffic services (ATS), air traffic flow management (ATFM) and airspace management (ASM), where ATS is the primary component.

Air traffic services (ATS): ATS consists of the 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.

AFIS unit: A unit established to provide a flight information service to aerodrome traffic at an aerodrome designated for use by International General Aviation (IGA) and where the provision of an aerodrome control service is not justified, or is not justified on a 24 hour basis.

Airspace sector: A part of airspace controlled by a sector. During a low traffic period, several airspace sectors can be collapsed and controlled by a single sector.

Approach control unit (APP): The ATC unit providing ATC services to arriving, departing and over-flying flights within the airspace in the vicinity of an aerodrome. One APP can provide approach services for several aerodromes. The APP is generally located in the tower building or co-located with an ACC. In both cases the APP should be counted as a separate unit. Small aerodromes, where the approach function is provided from a position within the TWR, do not have a separate APP unit.

Area control centre (ACC): The ATC unit providing ATC services to en-route traffic in control areas under its jurisdiction. Part of an ACC might also supply approach services.

FIS position: Position within an ACC providing services to non controlled flights for the purpose of giving advice and information useful for the safe and efficient conduct of flights.

Flow management position: Position established within an ACC to ensure the necessary interface with the CFMU on matters concerning the provision of ATFM Service and the interface with national Airspace Management Cells (AMCs) on matters concerning ASM Service.

Number of sectors: This is the number of sectors at maximum configuration. It corresponds to the configuration that has been used during the year in which the greatest number of sectors has been open. To avoid unrepresentative extreme situations this configuration should have been used for a minimum of 50 hours per year.

Position: A one person work area (workstation) equipped for providing ATC services.

Sector: A group of positions required to provide ATC services in airspace sector(s) (typically two positions, one radar and one planning controller).

Sector hours: Measure obtained by adding the number of hours during which each sector has been open during the year.

Tower control unit (TWR): The ATC unit at an aerodrome, responsible for the provision of ATC services in respect of flights that are landing and taking off and other traffic that is on the active runway(s). Large airports may have more than one tower building but only one tower control unit.

Flight information region (FIR). An airspace of defined dimensions within which flight information service and alerting service are provided.

Definitions related to traffic

Airport movement: An aircraft take-off or landing at an airport. For airport traffic purposes one arrival and one departure is counted as two movements (Definition ICAO Doc 9713). A touch-and-go is counted as one movement.

Flight: The operation of an aircraft from take-off to its next landing.

Movement: The number of IFR flights that have been controlled over the year by the ANSP. A flight may cross several ACCs; therefore the number of movements controlled by the ANSP can be different from the sum of ACC movements.

ACC movement: The number of IFR flights that have been controlled over the year by the ACC.

Flight hours controlled: The sum of the flight hours controlled over the year by an ACC. For any given flight, the flight hours controlled is derived from CFMU information as the difference between the entry time and the exit time in the controlled airspace based on the last flight plan received.

Flight hours controlled (en-route): For a given ANSP, this is obtained as the sum of the flight hours controlled over the year by one or several ACC(s).

General air traffic (GAT). Civil and military air traffic operating in accordance with ICAO rules and regulations, as opposed to Operational Air Traffic (OAT).

Operational air traffic (OAT). Military air traffic, which due to its nature does not comply with the ICAO rules and regulations.