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Ref.: EC 2/101-10/15

2 March 2010

**Subject:** Survey on funding of oversight functions

**Action required:** Reply to the attached questionnaire by  
14 May 2010

Sir/Madam,

I have the honour to inform you of the decision taken by the Air Transport Committee, at its First Meeting of the 189th Session, which requests ICAO to develop guidance on ways to fund various oversight functions, at national and regional levels.

In order to assist States and Regional Safety Oversight Organizations (RSOOs) develop funding mechanisms to support their oversight activities, States are requested to complete the questionnaire in **Attachment A** and RSOOs are requested to complete the questionnaire in **Attachment B**. The responses will form the basis of a study on the practices on funding of oversight functions, which will serve to develop guidance material for States and RSOOs. Please be assured that the individual data received will be kept confidential and only consolidated results will be included in the study.

I would appreciate receiving your reply to the questionnaire by mail, facsimile (+1 514 954-6744) or e-mail (eap@icao.int) by 14 May 2010.

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

Raymond Benjamin  
Secretary General

**Enclosures:**

- A — Questionnaire on funding of safety, security and economic oversight functions at the national level
- B — Questionnaire on funding of safety oversight at the regional level

ATTACHMENT A to State letter EC 2/101-10/15

**QUESTIONNAIRE ON FUNDING OF SAFETY, SECURITY AND  
ECONOMIC OVERSIGHT FUNCTIONS  
AT THE NATIONAL LEVEL**

(to be completed and returned to reach ICAO Headquarters **no later than 14 May 2010**)

**State:** \_\_\_\_\_

[N.B.: At the national level, the separation of regulatory and operational (airport and/or air navigation services) functions has led in some cases to difficulties to fund various oversight functions within the regulatory authority. Current ICAO's guidance on the issue of funding of oversight functions is limited to one single sentence in paragraph 6.22 of the *Manual on Air Navigation Services Economics* (Doc 9161): "The costs for safety or economic oversight directly related to the provision of air navigation services may be included in the cost basis for charges provided that such costs are imposed on the providers of services".]

**PART 1 – GENERAL**

(1.1) Which oversight functions are performed in your State at the national level?

- |   |     |                          |    |                          |
|---|-----|--------------------------|----|--------------------------|
| (1.1.1) Safety oversight                              | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (1.1.2) Security oversight                            | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (1.1.3) Economic oversight of airports                | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (1.1.4) Economic oversight of air navigation services | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |

(1.2) Are regulatory and operational (airport/air navigation services) functions separated in your State?

- |   |     |                          |    |                          |
|---|-----|--------------------------|----|--------------------------|
| (1.2.1) Regulatory functions are separated from airport and ANS provision | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (1.2.2) Regulatory functions are separated from airport provision only    | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |
| (1.2.3) Regulatory functions are separated from ANS provision only        | Yes | <input type="checkbox"/> | No | <input type="checkbox"/> |

(1.3) Is your State a member of a regional organization<sup>1</sup> that assists with safety oversight functions? If so, what organization does your State belong to and what functions do they provide?

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

<sup>1</sup> Regional organization refers to any mechanism in which States can economize their resources in order to enhance their safety oversight capability, i.e.: Regional Safety Oversight Organizations (RSOOs), Cooperative Development of Operational Safety, Continuing Airworthiness Programmes (COSCAPs), etc.

(1.4) **Comments:**

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**PART 2 – FUNDING OF SAFETY OVERSIGHT FUNCTION**

(2.1) If you answered Yes to question (1.1.1) above, who performs the safety oversight function in your State?

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(2.2) What are the sources of funding for the safety oversight function in your State and what is the percentage share of each source of income?

Treasury (central budget, i.e. tax-payers)	___ %
Services and products (e.g. licensing, certification, manuals, etc)	___ %
Fuel fees/taxes	___ %
Airport charges/fees	___ %
ANS charges/fees	___ %
Other sources (please specify)	___ %
Total	100 %

(2.3) Are there any plans to modify the funding method and/or sources of revenue in the future?

Yes

No

(2.4) Please elaborate if you have answered Yes to question (2.3)

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(2.5) **Comments:**

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**PART 3 – FUNDING OF SECURITY OVERSIGHT FUNCTION**

(3.1) If you answered Yes to question (1.1.2) above, who performs the security oversight function in your State?

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(3.2) What are the sources of funding for the security oversight function in your State and what is the percentage share of each source of income?

Treasury (central budget, i.e. tax-payers)	___ %
Airport charges/fees	___ %
ANS charges/fees	___ %
Other sources (please specify)	___ %
Total	100 %

(3.3) Are there any plans to modify the funding method and/or sources of revenue in the future? Yes  No

(3.4) Please elaborate if you have answered Yes to question (3.3)

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(3.5) **Comments:** \_\_\_\_\_

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**PART 4 – FUNDING OF ECONOMIC OVERSIGHT FUNCTION FOR AIRPORTS**

(4.1) If you answered Yes to question (1.1.3) above, who performs the economic oversight function for airports in your State? Is it an independent body (e.g. Regulating Committee), a unit in the CAA, or another arrangement?

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(4.2) What are the sources of funding for economic oversight of airports in your State and what is the percentage share of each source of income?

Treasury (central budget, i.e. tax-payers)	___ %
Services and products	___ %
Airport charges/fees	___ %
Other sources (please specify)	___ %
Total	100 %

(4.3) Are there any plans to modify the funding method and/or sources of revenue in the future?

Yes  No

(4.4) Please elaborate if you have answered Yes to question (4.3)

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(4.5) **Comments:** \_\_\_\_\_  
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**PART 5 – FUNDING OF ECONOMIC OVERSIGHT FUNCTION FOR AIR NAVIGATION SERVICES PROVIDERS**

(5.1) If you answered Yes to question (1.1.4) above, who performs the economic oversight function for air navigation services in your State? Is it an independent body (e.g. Regulating Committee), a unit in the CAA, or another arrangement?

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(5.2) What are the sources of funding for economic oversight of air navigation services in your State and what is the percentage share of each source of income?

Treasury (central budget, i.e. tax-payers)	___ %
Services and products	___ %
ANS charges/fees	___ %
Other sources (please specify)	___ %
Total	100 %

(5.3) Are there any plans to modify the funding method and/or sources of revenue in the future?

Yes  No

(5.4) Please elaborate if you have answered Yes to question (5.3)

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(5.5) **Comments:**

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**QUESTIONNAIRE ON FUNDING OF  
SAFETY OVERSIGHT AT THE REGIONAL LEVEL**

(to be completed and returned to reach ICAO Headquarters **no later than 14 May 2010**)

**Regional Safety Oversight Organization:** \_\_\_\_\_

[N.B.: At the regional level, safety oversight organizations need to ensure that sufficient funds are available to perform their work, because the lack of funds may jeopardize their continued existence, which could have serious implications on aviation safety. Chapter 4 of ICAO's *Safety Oversight Manual* (Doc 9734B, *The Establishment and Management of a Regional Safety Oversight System*) addresses the issue of financing regional safety oversight organizations. However, guidance on how to fund such organizations is limited to one sentence in paragraph 4.5.1: "*It is possible that the financial requirements of an RSOO may not be fully met by the contributions from Member States, and it may have to devise a system to generate additional funds*".]

**PART 1 – GENERAL**

- (1.1) Which States are Members of your regional organization? (Please list in alphabetical order and indicate where the Head Office is located.)

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- (1.2) What legal arrangement (i.e. Treaty, Memorandum of Agreement, etc.) is in place that allows States to form the regional organization? Additionally, does this arrangement include financial requirements and obligations of the States to support the regional organization?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- (1.3) In addition to safety oversight, does your regional organization perform any other function(s)?

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- (1.4) How many people are assigned to work for your regional organization?

\_\_\_\_\_  
\_\_\_\_\_

(1.5) **Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**PART 2 – FUNDING OF REGIONAL SAFETY OVERSIGHT ORGANIZATIONS**

(2.1) What are the sources of funding of your regional organization and what is the percentage share of each source of income?

Member States' contributions	_____ %
Services and products offered by the regional organization	_____ %
Member States' airport charges/fees	_____ %
Member States' ANS charges/fees	_____ %
Other sources (please specify)	_____ %
Total	100 %

(2.2) **Comments:** \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

— END —