



| ICAO

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ASSEMBLY
FORTIETH SESSION

Montréal, 24 September – 4 October 2019

**EXECUTIVE
COMMITTEE**

REPORT AND MINUTES

*Approved by the Executive Committee of the Assembly
and published by authority of the Secretary General*



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EXECUTIVE COMMITTEE
REPORT AND MINUTES
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SCHEDULE OF ITEMS DISCUSSED BY THE EXECUTIVE COMMITTEE

DATE AND NUMBER OF MEETINGS														
ITEM		SEPTEMBER									OCTOBER			
		25 AM 1	26 AM 2	26 PM 3	28 PM 4	29 AM 5	29 PM 6	30 AM 7	30 PM 8	1 AM 9	2 AM 10	2 PM 11	3 PM 12	4 AM 13
10.	Contributions in arrears	X												
11.	Annual Reports of the Council to the Assembly for 2016, 2017 and 2018		X								X			
12.	Aviation Security – Policy			X	X						X			
13.	Audit Programmes – Continuous Monitoring Approach				X						X			
14.	Facilitation Programmes						X				X			
15.	Environmental Protection – General provisions, Aircraft Noise and Local Air Quality – Policy and Standardization					X						X		
16.	Environmental Protection – International Aviation and Climate Change – Policy and Standardization					X	X					X	X	X
17.	Environmental Protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)						X					X	X	X
18.	Multilingualism at ICAO		X								X			
19.	Increasing the efficiency and effectiveness of ICAO							X	X			X	X	
20.	<i>No Country Left Behind</i> Initiative		X								X			
21.	United Nations 2030 Agenda – Sustainable Development Goals (SDGs)		X								X			
22.	Resource Mobilization and Voluntary Funds		X								X			
23.	Technical Assistance Programme								X			X		
24.	Technical Cooperation – Policy and Activities								X			X		
25.	ICAO Civil Aviation Training Policy and Capacity Building							X			X			
26.	Other high-level policy issues to be considered by the Executive Committee								X		X	X		

PART I
REPORT OF
THE EXECUTIVE COMMITTEE

REPORT OF THE EXECUTIVE COMMITTEE TO THE ASSEMBLY

General

1. The Executive Committee of the 40th Session of the Assembly held 13 meetings from 24 September to 4 October 2019. The meetings were convened under the chairmanship of the President of the Assembly, Mr. Nari Williams-Singh (Jamaica).

States and Observer Delegations Represented

2. The following 184 Member States were represented at all or some of the meetings of the Committee:

Afghanistan	Chad	Germany
Albania	Chile	Ghana
Algeria	China	Greece
Andorra	Colombia	Guatemala
Angola	Comoros	Guinea
Antigua and Barbuda	Congo	Guinea-Bissau
Argentina	Cook Islands	Guyana
Armenia	Costa Rica	Haiti
Australia	Côte d'Ivoire	Honduras
Austria	Croatia	Hungary
Azerbaijan	Cuba	Iceland
Bahamas	Cyprus	India
Bahrain	Czechia	Indonesia
Bangladesh	Democratic People's	Iran (Islamic Republic of)
Barbados	Republic of Korea	Iraq
Belarus	Democratic Republic of	Ireland
Belgium	the Congo	Israel
Belize	Denmark	Italy
Benin	Djibouti	Jamaica
Bhutan	Dominican Republic	Japan
Bolivia (Plurinational State of)	Ecuador	Jordan
Bosnia and Herzegovina	Egypt	Kazakhstan
Botswana	El Salvador	Kenya
Brazil	Equatorial Guinea	Kiribati
Brunei Darussalam	Eritrea	Kuwait
Bulgaria	Estonia	Kyrgyzstan
Burkina Faso	Eswatini	Lao People's Democratic Republic
Burundi	Ethiopia	Latvia
Cabo Verde	Fiji	Lebanon
Cambodia	Finland	Lesotho
Cameroon	France	Liberia
Canada	Gabon	Libya
Central African Republic	Gambia	Lithuania
	Georgia	

Luxembourg	Paraguay	Sri Lanka
Madagascar	Peru	Sudan
Malaysia	Philippines	Sweden
Maldives	Poland	Switzerland
Mali	Portugal	Thailand
Malta	Qatar	Timor-Leste
Marshall Islands	Republic of Korea	Togo
Mauritania	Republic of Moldova	Tonga
Mauritius	Romania	Trinidad and Tobago
Mexico	Russian Federation	Tunisia
Monaco	Rwanda	Turkey
Mongolia	Saint Kitts and Nevis	Turkmenistan
Montenegro	Saint Lucia	Tuvalu
Morocco	Saint Vincent and the Grenadines	Uganda
Mozambique	Samoa	Ukraine
Myanmar	San Marino	United Arab Emirates
Namibia	Saudi Arabia	United Kingdom
Nepal	Senegal	United Republic of Tanzania
Netherlands	Serbia	United States
New Zealand	Seychelles	Uruguay
Nicaragua	Sierra Leone	Uzbekistan
Niger	Singapore	Vanuatu
Nigeria	Slovakia	Venezuela (Bolivarian Republic of)
North Macedonia	Slovenia	Viet Nam
Norway	Solomon Islands	Yemen
Oman	Somalia	Zambia
Pakistan	South Africa	Zimbabwe
Palau	South Sudan	
Panama	Spain	
Papua New Guinea		

3. Observers from the following 55 international organizations were also represented at one or more meetings:

African Civil Aviation Commission (AFCAC)
African Development Bank (AfDB)
Agence de Supervision de la Sécurité Aérienne en Afrique Centrale (ASSA-AC)
Agency for Air Navigation Safety in Africa and Madagascar (ASECNA)
Air Crash Victims' Families' Federation International (ACVFFI)
Airports Council International (ACI)
Arab Air Carriers' Organization (AACO)
Arab Civil Aviation Organization (ACAO)
Association of African Aviation Training Organizations (AATO)
Autorités Africaines et Malgaches de l'Aviation Civile (AAMAC)
Aviation Working Group (AWG)
Caribbean Aviation Safety and Security Oversight System (CASSOS)
Central American Corporation for Air Navigation Services (COCESNA)
Civil Air Navigation Services Organisation (CANSO)

East African Community Civil Aviation Safety and Security Oversight Agency (EAC CASSOA)
European Aviation Safety Agency (EASA)
European Civil Aviation Conference (ECAC)
European Organisation for Civil Aviation Equipment (EUROCAE)
European Organisation for the Safety of Air Navigation (EUROCONTROL)
European Union (EU)
Flight Safety Foundation (FSF)
Global Express Association (GEA)
Hermes – Air Transport Organisation (HERMES)
International Academy of Aviation and Space Medicine (IAASM)
International Air Transport Association (IATA)
International Business Aviation Council (IBAC)
International Coalition for Sustainable Aviation (ICSA)
International Coordinating Council of Aerospace Industries Associations (ICCAIA)
International Cospas-Sarsat Programme (COSPAS SARSAT)
International Council of Aircraft Owner and Pilot Associations (IAOPA)
International Federation of Air Line Pilots' Associations (IFALPA)
International Federation of Air Traffic Controllers' Associations (IFATCA)
International Federation of Air Traffic Safety Electronics Associations (IFATSEA)
International Federation of Freight Forwarders Associations (FIATA)
International Geographic Union (IGU)
International Law Association (ILA)
International Mobile Satellite Organization (IMSO)
International Petroleum Industry Environmental Conservation Association (IPIECA)
International Transport Forum
International Transport Workers' Federation (ITF)
Interstate Aviation Committee (IAC)
Joint Aviation Authorities – Training Organisation (JAA-TO)
Latin American Association of Air and Space Law (ALADA)
Latin American Civil Aviation Commission (LACAC)
Pacific Aviation Safety Office (PASO)
Pacific Islands Forum
RTCA, Inc. (RTCA)
Society of Automotive Engineers (SAE) International
The Banjul Accord Group Aviation Safety Oversight Organization (BAGASOO)
The International Air Cargo Association (TIACA)
United Nations Framework Convention on Climate Change (UNFCCC)
West African Economic and Monetary Union (UEMOA)
World Bank Group (WB)
World Meteorological Organization (WMO)
Worldwide Airport Coordinators Group (WWACG)

4. The President of the Council, Dr. O.B. Aliu, and the Secretary General, Dr. Fang Liu, took part in all meetings of the Committee. Mr. J. Huang, Director of the Legal Affairs and External Relations Bureau, was Secretary of the Committee. Mr. H. Gourджи was the Deputy Secretary. Mr. M. Belayneh, Mr. S.P. Creamer, Mrs. T. De Bodt, Mr. A. Detchou, Mr. B. Djibo, Mr. D. Guindon, Mr. T. Hasegawa, Mrs. J. Hupe, Mr. E. Lassooij, Mr. S. Lefoyer, Mr. R. Macfarlane, Mr. C. Radu, Mr. J. Vargas and Mr. J. Wan were Assistant Secretaries. The Précis-writers were: Ms. S. Black, Ms. A. Borsellino, Mrs. S. Browning, Mrs. D.J. Cooper, Ms. J. Park and Miss Y. Que.

5. The Minutes of the Meetings are being published as A40-Min. EX/1-13.

Agenda

6. The following items were referred by the Plenary to the Executive Committee for its consideration:

- Agenda Item 10: Contributions in arrears
- Agenda Item 11: Annual Reports of the Council to the Assembly for 2016, 2017 and 2018
- Agenda Item 12: Aviation Security – Policy
- Agenda Item 13: Audit Programmes – Continuous Monitoring Approach
- Agenda Item 14: Facilitation Programmes
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- Agenda Item 19: Increasing the efficiency and effectiveness of ICAO
- Agenda Item 20: *No Country Left Behind* Initiative
- Agenda Item 21: United Nations 2030 Agenda – Sustainable Development Goals (SDGs)
- Agenda Item 22: Resource Mobilization and Voluntary Funds
- Agenda Item 23: Technical Assistance Programme
- Agenda Item 24: Technical Cooperation – Policy and Activities
- Agenda Item 25: ICAO Civil Aviation Training Policy and Capacity Building
- Agenda Item 26: Other high-level policy issues to be considered by the Executive Committee

7. All documents and working papers considered by the Committee are listed by Agenda Item on the ICAO Assembly website <https://www.icao.int/Meetings/A40/Pages/wp.aspx>.

Agenda Item 11: Annual Reports of the Council to the Assembly for 2016, 2017 and 2018

11.1 At the second meeting of the Executive Committee, the President of the Council presented an overview of the Annual Reports of the Council to the Assembly for 2016, 2017 and 2018, and the supplementary report covering the first six months of 2019.

11.2 In the course of the overview given by the President of the Council, the Executive Committee was informed that the Council had been particularly active during this period in consolidating transformational changes and achievements of the Organization during the past triennium, in regard to all ICAO Strategic Objectives and Supporting Strategies, as well as in positioning ICAO to positively respond to its future challenges.

11.3 Finally, it was noted by the Executive Committee that each Commission, which had been established during this 40th Session of the Assembly, would be reviewing parts of the Annual Reports falling within the relevant field of competence of each of the subsidiary bodies and that the full text of these reports, which had previously been distributed to all Member States, could also be accessed on the ICAO public website.

Agenda Item 12: Aviation Security — Policy

12.1 At its third and fourth meeting, the Executive Committee considered the subject of aviation security (AVSEC) policy based on the Council report on the *Implementation of the Global Aviation Security Plan (GASeP)* (WP/25), and on the *Outcome of the Second High-level Conference on Aviation Security (HLCAS/2)* (WP/26). Based on this information, the Committee also considered the Council's proposal for updating the *Consolidated Statement on Continuing ICAO Policies Related to Aviation Security* (WP/27), and a proposal for an updated Resolution on Addressing cybersecurity in civil aviation as well as its strategy (WP/28). In addition, there were 44 papers submitted by States and Observers: WPs/112, 141, 148, 165, 171, 172, 178, 219, 221, 243, 248, 250, 251, 253, 254, 283, 285, 286, 315, 328, 344, 348, 355, 357, 373, 386, 394, 395, 400, 405, 427, 466, 473, 489, 490, 491, 494, 495, 517, 528, 532, 543, 567 and 569.

12.2 Qatar addresses in WP/141 the subject of differentiation of airport screening for passengers and non-passengers and advocates that more work needs to be undertaken by the Aviation Security Panel (AVSECP) to achieve a more effective and efficient screening system.

12.3 United Arab Emirates discusses in WP/148 the need for and importance of strengthening cooperation and collaboration between States regarding sharing of relevant AVSEC information.

12.4 The African Civil Aviation Commission (AFCAC) on behalf of 54 Member States in WP/165 highlights the global challenges facing the implementation of AVSEC quality control obligations and proposes the enhancement of the AVSEC quality control programme and effective implementation thereof.

12.5 WPs/171 and 355 presented by Kazakhstan and the Russian Federation, respectively, provides information regarding the work done by the ICAO European and North Atlantic (EUR/NAT Office) and the need to strengthen the workforce in the EUR/NAT Office.

12.6 The Civil Air Navigation Services Organisation (CANSO) in WP/172 proposes that the current Secretariat Study Group on Cybersecurity (SSGC) be upgraded to an ICAO Panel under the ICAO Council, and that the newly formed "Trust Framework Study Group" should be placed under this new Panel

as a working group. The newly created Cyber Resilience, Safety and Security Panel (CRSSP) should discuss and propose any new or adapted Standards and Recommended Practices (SARPs) and guidance material to ensure the consistency and coherency of all aviation cyber-related activities in ICAO Panels and various experts groups.

12.7 The International Air Transport Association (IATA) in WP/178 presents the need to rapidly undertake concrete actions for establishing clear, harmonized and holistic security taxonomies, timely and practical tools for effectively reporting AVSEC incidents.

12.8 The International Coordinating Council of Aerospace Industries Associations (ICCAIA) in WP/219 calls for the establishment of an ICAO entity, governed by Member States with support from industry, which is not constrained by the existing ICAO organizational structure. This entity should have the ability to ensure that all cybersecurity activities are effectively coordinated across ICAO and that interfaces of cybersecurity with other disciplines are appropriately managed, as well as align the work being performed by existing panels and study groups.

12.9 The United Arab Emirates in WP/221 calls for the aviation community to work hand in hand to address cybersecurity. It recommends that ICAO address the multidimensional aspect of cybersecurity with the establishment of an appropriate structure for cybersecurity – in line with the Council instructions to conduct a feasibility study and gap analysis for the future structure of the ICAO cybersecurity work programme.

12.10 Airports Council International (ACI) in WP/243 suggests that a Cybersecurity Panel, if correctly resourced, could potentially address some issues by bringing a greater range of expertise and experience in membership, specifically on the topic of cybersecurity; a holistic approach to risk assessment with methodologies agreed and mutually understood by all stakeholders, drawing on regional and national experience; the ability to create working groups to dedicate more time and resources to the development of guidance material, programmes, capacity building, assistance and training, as required; and consideration of air navigation, safety and security issues in a single place.

12.11 Canada, on behalf of Australia, Jamaica, Japan, New Zealand, Singapore, United Arab Emirates, United States, Global Express Association, IATA, International Federation of Airline Pilots Associations (IFALPA), in WP/248 recognizes that the integration of outcome-focused and risk-based principles into the fabric of an organization and its AVSEC programmes is both complex and continually evolving. To support the priority objectives of the GAsEP, the sharing of such experiences with the global community, and developing tangible methods to further recognize and integrate such practices, principles and policies, is central to providing for a more sustainable and innovative global AVSEC ecosystem.

12.12 ACI in WP/250 reports that industry is working on urgent AVSEC innovations, ranging from incremental improvements to breakthrough innovations – such as a full rethink of passenger screening through Smart Security. Recognizing that both incremental and breakthrough solutions require a climate of innovation, ACI suggests specific steps which Member States and ICAO can take to help industry address the major challenges of tomorrow.

12.13 Australia, United Arab Emirates and United Kingdom in WP/251 encourage States to enter into collaborative arrangements and implement one-stop security arrangements, in order to increase the sustainability of the AVSEC system by avoiding unnecessary duplication of security controls, where determined to be equivalent and where consistent with ICAO guidance.

12.14 Argentina, Australia, Belgium, Brazil, Canada, China, France, Gambia, Germany, Ghana, Ireland, Italy, Japan, Jordan, Kenya, the Netherlands, New Zealand, Nigeria, North Macedonia, Portugal, Qatar, Romania, Saudi Arabia, Sierra Leone, Singapore, Switzerland, Turkey, United Arab Emirates, United Kingdom, United States, ACI and IATA in WP/253 recommend that States, industry and ICAO take practical actions to embed security culture into the aviation environment in alignment with the priority outcomes of the GAsEP which includes the implementation of security culture campaigns.

12.15 South Africa in WP/254 provides the South African experience in dealing with a number of crimes affecting air travellers through the establishment of a collaborative structure and suggests that one agency or department cannot shoulder the responsibility for protection of the aviation system against threats.

12.16 France in WP/283 shares its experience in ensuring an effective cybersecurity coordination mechanism through the creation of an Air Transport Cybersecurity Council, which already provides key outputs to protect civil aviation against cyber-attacks, and suggests that ICAO's strategy on this subject should be welcomed and encouraged as well as the creation of a dedicated collaborative and transversal body.

12.17 Argentina and Brazil, with the support of the Latin American Aviation Commission (LACAC) Member States, in WP/285 share experiences in GAsEP implementation, and suggest a platform to follow on the GAsEP Roadmap achievements. Specifically, it is suggested that the creation of a global sharing platform, in which the GAsEP Roadmap catalogue would be included, could be beneficial for States to identify solutions to achieve compliance with AVSEC Standards.

12.18 The United States in WP/286 recognizes positive progress in global AVSEC since the 39th Session of the Assembly, but suggests the 40th Session of the Assembly set an AVSEC agenda for the next triennium that is even more ambitious. Specifically, while the last triennium has set the framework via the development of the GAsEP and related tools, there must now be focus on action, effective implementation, monitoring, and improvement.

12.19 In WP/315, Finland on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC) draws attention to the GAsEP implementation experience in the European Region, and urges ICAO, States and aviation entities to maintain the momentum so that the objectives of the GAsEP can, without delay, be turned into real world results, raising the global bar for AVSEC implementation.

12.20 Singapore, co-sponsored by Argentina, Armenia, Belgium, Brazil, Cambodia, Canada, China, Fiji, France, Italy, Japan, Jordan, Lao Peoples Democratic Republic, Marshall Islands, Nauru, New Zealand, Nigeria, Palau, Papua New Guinea, Philippines, Portugal, Russian Federation, Senegal, Switzerland, Thailand, Trinidad and Tobago, United Arab Emirates, and United Kingdom in WP/328 discusses the importance of promoting awareness of AVSEC to other agencies and organizations.

12.21 The Russian Federation in WP/344 presents information related to an integrated approach to further improve States' oversight activities, using new methods aimed at preventing people from violating AVSEC requirements and elevating the culture of passenger security.

12.22 Venezuela in WP/348 proposes that ICAO design and implement a network of Cybersecurity Points of Contact (PoCs), to encourage the development of a common understanding among Member States of cyber threats and risks and of common criteria to determine the criticality of the assets and systems that need to be protected.

12.23 Venezuela in WP/357 recalls the Regional Roadmap for the North American, Central American and the Caribbean (NACC), and South American (SAM) Regions to address challenges in the implementation of the GAsEP, and draws attention to a regionally-developed assessment system to determine the level of GAsEP implementation.

12.24 China in WP/373 shares its experience in implementing the GAsEP and the Asia Pacific (APAC) Regional Roadmap and suggests that a national AVSEC plan template be published.

12.25 Venezuela in WP/394 invites the Assembly to recognize that States need more information and guidance material to assist in the implementation of international standards, the design of strategies, and the application of best practices for protecting critical Information and Communication Technology (ICT) systems from acts of unlawful interference that could threaten the safety of civil aviation.

12.26 The Dominican Republic in WP/405 highlights the need to develop a matrix model for setting out priorities and frequency in respect of State AVSEC oversight activities. Such matrices would serve to identify mechanisms and methodologies for orderly and systematic compliance oversight, and ensure effective implementation of the National Civil Aviation Security Programme.

12.27 The United States in WP/427 recommends that ICAO establish a Council Technical Committee on Cybersecurity and Resiliency to centralize governance and properly address cybersecurity and resiliency in a holistic approach. The Committee will manage policy and integration of industry standards while evaluating potential development of technical SARPs.

12.28 In an information paper (WP/112), Finland on behalf of the European Union (EU) and its Member States describes the EU security oversight regime that is consistent with the objectives of the GAsEP. It outlines how EU AVSEC legislation, via Regulation (EC) No 300/2008 on common rules in the field of civil AVSEC, and its implementing legislation, requires EU Member States to regularly monitor all airports, operators and other entities applying AVSEC standards.

12.29 In an information paper (WP/386), the Interstate Aviation Committee (IAC) outlines the course of the implementation of the provisions of the GAsEP and the EUR/NAT AVSEC Roadmap.

12.30 In an information paper (WP/395), IATA presents its views on the need for coordinated, proactive and tangible progress on gaining visibility and managing aviation cybersecurity risks, and supports ICAO as the most appropriate organization to drive coherent global dialogue and action.

12.31 In an information paper (WP/400), the Dominican Republic presents a summary of progress in the aspects of regulation, technology, quality control, AVSEC training, and the cooperation provided to the global civil AVSEC system, as well as the intention of supporting the ICAO *No Country Left Behind* (NCLB) initiative.

12.32 In an information paper (WP/466), the Islamic Republic of Iran emphasizes the importance that future amendments to Annex 17 incorporate critical elements of State's aviation security oversight system.

12.33 In an information paper (WP/473), the Islamic Republic of Iran highlights the need for ICAO to adopt comprehensive and binding rules to be implemented by Member States, including addressing security threats of unmanned aerial vehicles in Annex 17.

12.34 In an information paper (WP/489), Venezuela (Bolivarian Republic of) informs progress in implementing the AVSEC Modernization Plan carried out by the “Simón Bolívar” Maiquetía International Airport.

12.35 In an information paper (WP/490), Venezuela (Bolivarian Republic of) shares its experience in the development of a Work Plan that seeks to implement Annex 17 SARPs particularly those related to cybersecurity.

12.36 In an information paper (WP/491), Cameroon informs of progress in developing and implementing tools for promoting security culture in airports.

12.37 In an information paper (WP/494), Dominican Republic informs of measures adopted by the States related to the identification of certified AVSEC personnel.

12.38 In an information paper (WP/495), Dominican Republic describes Law No. 188-11 providing regulatory framework for the prosecution of crimes and crimes against Dominican civil aviation.

12.39 In an information paper (WP/517), Indonesia outlines the importance placed on aviation security by Indonesia, and shares its National Civil Aviation Security Programme implementation experiences.

12.40 In an information paper (WP/528), Finland on behalf of the European Union and its Member States, and the other Member States of the European Civil Aviation Conference; and Nigeria, Qatar, United Arab Emirates and Saudi Arabia presents text in the Appendix of the information paper that could form the basis for a new Declaration on Aviation Security.

12.41 In an information paper (WP/532), Qatar describes its approach to introducing aviation cybersecurity guidelines and aviation cybersecurity policy within the National Civil Aviation Security Programme.

12.42 In an information paper (WP/543), Oman illustrates its experience to update and amend national legislation in accordance with Annex 17 SARPs and security-related provisions in Annex 9. It encourages Member States to establish an internal mechanism to ensure compliance with international AVSEC and facilitation commitments.

12.43 In an information paper (WP/567), India presents the progress made in the implementation of registration and monitoring Remotely Piloted Aircraft and their security programme in 2018.

12.44 In an information paper (WP/569), India presents information on the implementation of two tier background screening system based on robust Biometric Data authentication.

Discussion

Strategic priorities for the next triennium

12.45 In WP/26, the Secretariat reported on actions as a result of the recommendations made by the Second High-level Conference on Aviation Security (HLCAS/2) held in Montréal in November 2018. The Committee noted with satisfaction the high level of State/industry participation in and the outcome of the HLCAS/2. Delegates also expressed appreciation to the ICAO Secretariat for the successful convening of the event. In reviewing the conference outcomes and follow-up actions, the Committee endorsed all

recommendations of HLCAS/2 and supported actions taken by the ICAO Council and Secretariat. However, the Committee also encouraged continued attention to items that are still in progress, such as: the need to review the current cybersecurity coordinating mechanism, prioritization of aviation security within ICAO, and the potential formation of an Aviation Security and Facilitation Bureau.

12.46 Having noted with satisfaction that much work has been completed on the key points of United Nations Security Council Resolution (UNSCR) 2309 by the Secretariat, the Committee underscored the importance of Council ensuring that appropriate bodies (such as the Aviation Security Panel) continue to undertake work focused on the tenets of UNSCR 2309. These include areas such as: risk management and related guidance on risk-based policy and operational decision making; technology and innovative techniques; and quality control and oversight. Furthermore, delegates expressed the need to examine the process by which security Standards and supporting tools are developed and adopted, including how policy is scrutinized, the desired security outcomes articulated, and the impacts assessed.

Global Aviation Security Plan

12.47 In WP/25, the Secretariat provided an overview of the extensive activity undertaken to develop and implement the Global Aviation Security Plan (GASeP) priority actions and tasks.

12.48 The efforts to fast-track the development of the GASeP as requested by the 39th Session of the Assembly were commended. Note was taken of the varying degrees of implementation in the different Regions and, in that context, the Committee urged States to continue to take action towards improvement, including in meeting the global targets, while recognizing the importance of the Universal Security Audit Programme and its ongoing reforms to effectively measure implementation.

12.49 In terms of implementation, delegates welcomed experiences shared by States in implementing the GASeP. There were many proposals for ICAO to consider creating a platform for reporting progress in the implementation of agreed priority actions, measures and tasks in the GASeP and to demonstrate progress made towards GASeP targets, such as through a GASeP repository on the Secure Portal, whereby the information therein will be updated as new data and material becomes available. The Committee also highlighted the importance of mapping existing aviation security capacity building activities to applicable Annex 17 – *Security* SARPs and attack methods identified in the ICAO *Aviation Security Global Risk Context Statement* (Doc 10108). Delegates also highlighted the important role played by Regional Offices and commended Regional Offices for the proactive support provided to Member States in facilitating the achievement of the global and regional targets through the effective implementation of the GASeP.

12.50 Concerning the future evolution of the GASeP, the Committee acknowledged that, as a “living document”, the GASeP would be revised as necessary and appropriate, and supported a triennial revision schedule. These revisions may address how to better link the GASeP with Annex 17 – *Security* SARPs, where appropriate. However, the Committee considered that the proposal to incorporate in the next edition of the GASeP Roadmap security-related provisions of Annex 9 – *Facilitation* would need further discussion.

Regulatory Policy

12.51 Recalling the conclusions of HLCAS/2, and in keeping with the GASeP priority outcomes and relevant ICAO Assembly Resolutions, and also UNSCR 2309, the Committee agreed that outcome-focused and risk-based principles could inform the development of proposed amendments to Annex 17 – *Security* provisions and associated best practices. To that end, the Committee requested that the Aviation

Security Panel consider the development of tangible methods to recognize and integrate such principles in decision-making processes as appropriate, with the goal of further strengthening the effectiveness, efficiency and sustainability of aviation security programmes.

12.52 Furthermore, the Committee expressed broad support for fostering innovation in aviation security, and called on Member States to coordinate with industry partners in order to facilitate the operational trials of new technologies and innovative techniques. In particular, the subject of passenger differentiation in the application of screening measures was raised as a possible evolution of screening activities when considering a risk-based and outcome-focused approach to aviation security. However, the Committee emphasized that, while alternative means of compliance exist, some of which can be found in the ICAO *Aviation Security Manual* (Doc 8973), the implementation of baseline security measures remains paramount to a robust aviation security system.

Cybersecurity

12.53 In an effort to further promote a consistent and coherent approach in managing cyber threats and risks, the Council, in WP/28, proposed a draft Resolution on how to best address cybersecurity in civil aviation. The Resolution aims to address cybersecurity through a horizontal, cross-cutting and functional approach, reaffirming the importance and urgency of protecting civil aviation's critical infrastructure systems and data against cyber threats. It also sought to obtain global commitment to action by ICAO, its Member States and industry stakeholders, with a view to collaboratively and systematically addressing cybersecurity in civil aviation and mitigating the associated threats and risks.

12.54 Delegates commended the work of ICAO and its Secretariat Study Group on Cybersecurity (SSGC) in addressing cybersecurity in civil aviation. In particular, the Assembly welcomed and endorsed the ICAO Cybersecurity Strategy, underlining the importance of developing a sustainable and comprehensive action plan for the implementation of the strategy, as well as continuing the work for the development of a robust cybersecurity framework. In an effort to further promote a consistent and coherent approach in managing cyber threats and risks, the Committee agreed to adopt the Assembly Resolution as included in Appendix A of A40-WP/28. This resolution will supersede Assembly Resolution A39-19 on *Addressing Cybersecurity in Civil Aviation*. The Committee agreed to submit the Resolution for adoption by the Plenary.

Resolution A40-12/1 Addressing Cybersecurity in Civil Aviation

Whereas the global aviation system is a highly complex and integrated system that comprises information and communications technology critical for the safety and security of civil aviation operations;

Noting that the aviation sector is increasingly reliant on the availability of information and communications technology systems, as well as on the integrity and confidentiality of data;

Mindful that the threat posed by cyber incidents on civil aviation is rapidly and continuously evolving, that threat actors are focused on malicious intent, disruption of business continuity and theft of information for political, financial or other motivations, and that the threat can easily evolve to affect critical civil aviation systems worldwide;

Recognizing that not all cybersecurity issues affecting the safety of civil aviation are unlawful and/or intentional, and should therefore be addressed through the application of safety management systems;

Recognizing the multi-faceted and multi-disciplinary nature of cybersecurity challenges and solutions and noting that cyber risks can simultaneously affect a wide range of areas and spread rapidly;

Reaffirming the obligations under the *Convention on International Civil Aviation* (Chicago Convention) to ensure the safety, security and continuity of civil aviation;

Considering that the *Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation* (Beijing Convention) and *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft* (Beijing Protocol) would enhance the global legal framework for dealing with cyberattacks on international civil aviation as crimes and therefore wide ratification by States of those instruments would ensure that such attacks would be deterred and punished wherever in the world they occur;

Reaffirming the importance and urgency of protecting civil aviation's critical infrastructure systems and data against cyber threats;

Considering the need to work collaboratively towards the development of an effective and coordinated global framework for civil aviation stakeholders to address the challenges of cybersecurity, along with short-term actions to increase the resilience of the global aviation system to cyber threats that may jeopardize the safety of civil aviation;

Recognizing the work of the Secretariat Study Group on Cybersecurity, which greatly contributed to the format of the Cybersecurity Strategy by linking safety and security characteristics of cybersecurity;

Recognizing that aviation cybersecurity needs to be harmonized at the global, regional and national levels in order to promote global coherence and to ensure full interoperability of protection measures and risk management systems; and

Acknowledging the value of relevant initiatives, action plans, publications and other media designed to address cybersecurity issues in a collaborative and comprehensive manner.

The Assembly:

1. *Urges* Member States and ICAO to promote the universal adoption and implementation of the *Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation* (Beijing Convention) and *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft* (Beijing Protocol) as a means for dealing with cyberattacks against civil aviation;
2. *Calls upon* States and industry stakeholders to take the following actions to counter cyber threats to civil aviation:
 - a) Implement the Cybersecurity Strategy;
 - b) Identify the threats and risks from possible cyber incidents on civil aviation operations and critical systems, and the serious consequences that can arise from such incidents;
 - c) Define the responsibilities of national agencies and industry stakeholders with regard to cybersecurity in civil aviation;

- d) Encourage the development of a common understanding among Member States of cyber threats and risks, and of common criteria to determine the criticality of the assets and systems that need to be protected;
- e) Encourage government/industry coordination with regard to aviation cybersecurity strategies, policies, and plans, as well as sharing of information to help identify critical vulnerabilities that need to be addressed;
- f) Develop and participate in government/industry partnerships and mechanisms, nationally and internationally, for the systematic sharing of information on cyber threats, incidents, trends and mitigation efforts;
- g) Based on a common understanding of cyber threats and risks, adopt a flexible, risk-based approach to protecting critical aviation systems through the implementation of cybersecurity management systems;
- h) Encourage a robust all-round cybersecurity culture within national agencies and across the aviation sector;
- i) Promote the development and implementation of international standards, strategies and best practices on the protection of critical information and communications technology systems used for civil aviation purposes from interference that may jeopardize the safety of civil aviation;
- j) Establish policies and allocate resources when needed to ensure that, for critical aviation systems: system architectures are secure by design; systems are resilient; methods for data transfer are secured, ensuring integrity and confidentiality of data; system monitoring, and incident detection and reporting, methods are implemented; and forensic analysis of cyber incidents is carried out; and
- k) Collaborate in the development of ICAO's cybersecurity framework according to a horizontal, cross-cutting and functional approach involving air navigation, communication, surveillance, aircraft operations and airworthiness and other relevant disciplines.

3. *Instructs* the Secretary General to:

- a) develop an action plan to support States and industry in the adoption of the Cybersecurity Strategy; and
- b) continue to ensure that cybersecurity matters are considered and coordinated in a crosscutting manner through the appropriate mechanisms in the spirit of the Strategy.

12.55 Recognizing there is the need to continue the work of the SSGC in a more formalized manner, thereby allowing for the structured coordination with other expert groups of ICAO, the Committee welcomed the various proposals for governance structures in cybersecurity aimed to effectively coordinate cybersecurity activities across ICAO, ensure a multi-disciplinary approach to cybersecurity, and foster the sharing of information. The Committee discussed appropriate criteria which could underpin a governance structure, including: transparency across all aviation domains; bringing the work of the Secretariat Study Group on Cybersecurity (SSGC) and the Trust Framework Study Group (TFSG) under the aegis of an

overarching structure; consistency across all relevant Annexes to the Convention on International Civil Aviation; managed by States and ensuring involvement of industry stakeholders; and keeping the number of experts to a manageable level. Accordingly, it instructed ICAO to swiftly conduct a feasibility study and gap analysis for consideration by the Council, in order to identify the most appropriate cybersecurity governance structure and coordinating mechanism, considering the above criteria.

12.56 The Committee welcomed implementation experiences shared by States and industry, acknowledging the importance of information sharing and guidance for all stakeholders. ICAO should therefore ensure the continued cybersecurity point of contact network development currently in progress, as well as continued maintenance and updating of the Repository for Cybersecurity.

Collaboration and cooperation

12.57 When considering the need for increased cooperation and collaboration between States, as called for by some Member States, the Committee supported the conclusion of the HLCAS/2 that one-stop security arrangements between like-minded States based on the recognition of equivalence of security measures can benefit the aviation security system by bringing about increased efficiency and more effective use of resources. The Committee therefore encouraged States to enter into collaborative arrangements and implement one-stop security arrangements in order to increase the sustainability of the aviation security system by avoiding unnecessary duplication of security controls, where consistent with the guidance material found in the ICAO *Aviation Security Manual* (Doc 8973) and relevant risk assessment.

12.58 While one-stop security arrangements may be challenging for some States to engage in, the Committee recognized that other approaches exist to achieve greater efficiency in aviation security. Such approaches include enhanced collaboration between States and among government agencies and aviation stakeholders by way of information sharing arrangements, multilateral agreements (e.g. memoranda of understanding) and cooperation mechanisms. In that regard, the Committee welcomed the initiative by a Member State, and encouraged other States to further explore similar approaches and collaborative arrangements.

Security Culture

12.59 Taking into account the second priority objective of the GAsEP, develop security culture and human capability, the Committee agreed that the establishment of a robust and comprehensive security culture is imperative to the effective implementation and sustainability of aviation security measures over the long-term. Human factors play a critical role in mitigating threats to civil aviation. Promoting a positive security culture educates staff regarding aviation security threats and their impact and helps to mitigate against both insider threats and external threats, as personnel think and act in more security conscious ways and identify and report behaviours or activities of concern. In turn, this results in all personnel within the civil aviation realm feeling that they play a critical role within a security regime. The Committee recognized that in order to successfully develop a security culture, stakeholders must promote aviation security to all agencies involved in civil aviation, thereby supporting the initiatives put forth by several Member States, which encourage States and industry organizations to develop security culture and awareness programmes for all civil aviation stakeholders. In addition, the development of security culture also requires the support and direction of senior leadership to embed aviation security principles in all aspects of civil aviation operations.

12.60 The Committee also acknowledged that political support for security culture must be turned into practical actions and welcomed the various initiatives reported by Member States to develop and implement practical campaigns that highlight the importance of security at the airport and its surrounds.

Building upon the recommendation of the HLCAS/2 calling for States and industry to take practical steps to develop security culture programmes, such as high profile campaigns, the Committee supported the development of flyers, posters, workshops, briefings, and handouts, among other targeted outreach mechanisms to embed aviation security awareness into all civil aviation operations. Additionally, the Committee noted the importance of both practical tools for reporting security incidents and recurring security awareness training, as presented by States and industry. The Committee requested that ICAO continue work on the development of tools to enhance security awareness and security culture, making it a priority and designating 2020 as the “Year of Security Culture”.

State oversight activities

12.61 The Committee underscored the critical importance of quality control for sustainability in aviation security. Given the required improvements necessary in the area of quality control as indicated by the Universal Security Audit Programme-Continuous Monitoring Approach (USAP-CMA) audits, there was wide consensus among delegates that States should be encouraged to give priority to devoting adequate resources and putting in place an appropriate organization to ensure the effective implementation of quality control activities.

12.62 Moreover, the Committee took note of the need to assist States in determining priority and frequency of oversight activities and recommended that the Aviation Security Panel consider including in its work programme the development of guidance material on this matter.

Strengthening regional implementation

12.63 The Assembly recognized the important role ICAO Regional Offices play in assisting Member States to address common issues and challenges in implementing both Annex 9 - *Facilitation* and Annex 17 - *Security*, the GASeP, corrective action plans, facilitating assistance missions, supporting regional group meetings, and helping address other issues specific to each ICAO Region. With regard to the level of staffing in these ICAO Regional Offices, the Assembly determined that it should be based on needs and left at the discretion of the Secretary General who will take into account the levels of implementation in the Region.

Assembly Resolutions and Declaration on Aviation Security

12.64 In WP/27, the Council proposes revisions to Resolution A39-18 to reflect developments in aviation security since the last Assembly and to provide aviation security policy direction to Member States and ICAO for the next triennium. The text of the revised Resolution received broad support and was considered appropriate for adoption, following which it would be reviewed again by the Aviation Security Panel ahead of the 41st Session of the Assembly.

12.65 The Committee considered the draft Declaration on Aviation Security, proposed by some Member States, including those Member States of the European Union (EU), and of the European Civil Aviation Conference (ECAC) as a means of demonstrating States’ political will to strengthen aviation security worldwide. Delegates considered it important that the draft Declaration reflects significant developments in the field of aviation security in the past three years, and considers the critical role of ICAO in the global effort to engage the international civil aviation community towards further enhancing aviation security.

12.66 Completing its work on this agenda item, the Committee agreed to submit for adoption by the Plenary a revised *Consolidated statement on continuing ICAO policies related to aviation security*

taking into account comments received. The Committee also expressed appreciation to South Africa for leading the “Friends of the Chairperson” drafting group tasked by the Committee to refine the text of the global Declaration on Aviation Security, which now supersedes the previous Declaration adopted during the 37th Session of the ICAO Assembly (2010). This new declaration can be found after A40-12/2 as Resolution A40-12/3.

Resolution A40-12/2: Consolidated statement on continuing ICAO policies related to aviation security

Whereas it is considered desirable to consolidate Assembly resolutions on continuing ICAO policies related to aviation security in order to facilitate their implementation and practical application by making their texts more readily available, understandable and logically organized;

Whereas in Resolution A39-18 the Assembly resolved to adopt at each session a consolidated statement on continuing ICAO policies related to aviation security; and

Whereas the Assembly has reviewed proposals by the Council for the amendment of the consolidated statement on continuing ICAO policies related to aviation security in Resolution A39-18, Appendices A to H inclusive, and has amended the statement to reflect the decisions taken during the 40th Session.

The Assembly:

1. *Resolves* that the Appendices attached to this resolution constitute the consolidated statement on continuing ICAO policies related to aviation security, as these policies exist at the close of the 40th Session of the Assembly;
2. *Resolves* to request that the Council submit for review at each ordinary session a consolidated statement on continuing ICAO policies related to aviation security; and
3. *Declares* that this resolution supersedes Resolution A39-18.

APPENDIX A

General policy

Whereas the development of international civil aviation can greatly help to create and preserve friendship and understanding among the nations and peoples of the world, yet its abuse can become a threat to general security;

Whereas acts of unlawful interference against civil aviation have become the main threat to its safe and orderly development;

Whereas the evolving nature of the threat of terrorist acts, including those posed by concealed explosive devices, landside attacks, man-portable air defence systems (MANPADS), other surface-to-air missiles systems, chemical threats, attacks using Remotely Piloted Aircraft Systems (RPAS), abuse of the air cargo system for terrorist purposes, cyber-attacks and other acts of unlawful interference against civil aviation, including, in particular, the developing insider threat, has a serious adverse effect on the safety, efficiency and regularity of international civil aviation, endangering the lives of persons on board and on the ground and undermining the confidence of the peoples of the world in the safety of international civil aviation;

Whereas all acts of unlawful interference against international civil aviation constitute a grave offence in violation of international law;

Recalling that Resolutions A27-12 and A29-16 remain in force;

Recognizing the exploitation of the aviation sector by a variety of criminal activities, including the illicit transport of narcotics and psychotropic substances by air;

Recalling the Declaration on Aviation Security that was adopted by the 37th Session of the Assembly;

Recalling the Joint Communiqués issued by the ICAO-World Customs Organization (WCO) Joint Conferences on Enhancing Air Cargo Security and Facilitation, held in Singapore in July 2012, in Manama, Bahrain in April 2014, and in Kuala Lumpur, Malaysia in July 2016;

Mindful of United Nations Security Council resolutions (UNSCR) 2309 (2016), 2395 (2017) and 2396 (2017) related to threats to international peace and security caused by terrorist acts;

Recognizing that global consultations and outreach efforts with Member States to elaborate and refine the elements of the Global Aviation Security Plan (GASeP) successfully led to the adoption of the Plan by the Council in November 2017;

Recognizing the strong support for the GASeP and continued efforts made by States to implement the GASeP since it was approved for implementation;

Recognizing the importance of the implementation and promotion of global security practices, by both ICAO and Member States, that are risk-based, appropriate and proportionate to the threat;

Mindful of the Regional Roadmaps adopted at Regional Conferences on Aviation Security held in Egypt, Panama, Portugal and Thailand between 2017 and 2018;

Recalling the Communiqué of the High-level Conference on Aviation Security held in Montréal in November 2018, and the conference conclusions and recommendations; and

Recalling the importance of States taking a comprehensive view of aviation security and other aviation disciplines, maintaining effective coordination among their different bodies to ensure consideration of all appropriate information, and assessment of the consequences of any measures on civil aviation activities, in particular on aviation safety.

The Assembly:

1. *Strongly condemns* all acts of unlawful interference against civil aviation wherever and by whomsoever and for whatever reason they are perpetrated;
2. *Notes with abhorrence* all acts and attempted acts of unlawful interference aimed at the destruction in flight of civil aircraft including any attack on civil airports by ballistic missiles or drones, and misuse of civil aircraft as a weapon of destruction and the death of persons on board and on the ground;
3. *Reaffirms* that aviation security must continue to be treated as a matter of highest priority and appropriate resources should be made available by ICAO and its Member States;

4. *Calls upon* all Member States to confirm their resolute support for the established policy of ICAO by applying the most effective security measures, individually and in cooperation with one another, to prevent acts of unlawful interference and to punish the perpetrators, planners, sponsors, and financiers of conspirators in any such acts;
5. *Reaffirms* ICAO's responsibility to facilitate the consistent and uniform resolution of questions which may arise between Member States in matters affecting the safe and orderly operation of international civil aviation throughout the world;
6. *Directs* the Council to continue, as an urgent priority, its work relating to measures for prevention of acts of unlawful interference, and ensure that this work is carried out with the highest efficiency and responsiveness;
7. *Calls upon* ICAO and its Member States to implement UNSCR 2309, 2395 and 2396 in accordance with the respective competencies and collectively demonstrate ICAO's global leadership in safeguarding international civil aviation against acts of unlawful interference;
8. *Recognizing* the leadership role of ICAO in the area of aviation security, requests the Council to ensure the long-term sustainability of the Organization's aviation security programme within the context of the Regular Programme Budget;
9. *Urges* all Member States to continue to financially support the Organization's aviation security activities with voluntary contributions in the form of human and financial resources beyond those budgeted for under the regular programme;
10. *Expresses appreciation* to the Aviation Security Panel for expeditiously developing the GASeP and presenting the Plan to the Council for approval in consultation with Member States;
11. *Directs* the Council to consider the lessons learned from the implementation of the GASeP when making refinements to the Plan, ensuring it reflects clear and collective aviation security goals and targets, and is supported by concrete and measurable indicators to guide ICAO, States and stakeholders in ensuring continuous improvement in aviation security; and
12. *Urges* all Member States to take active participation in global and regional efforts towards meeting the GASeP objectives, goals, targets and priorities at the national and regional levels.

APPENDIX B

International legal instruments, enactment of national legislation and conclusion of appropriate agreements for the suppression of acts of unlawful interference with civil aviation

a) *International air law instruments*

Whereas the protection of civil aviation from acts of unlawful interference has been enhanced by the *Convention on Offences and Certain Other Acts Committed on Board Aircraft* (Tokyo, 1963), by the *Convention for the Suppression of Unlawful Seizure of Aircraft* (The Hague, 1970), by the *Convention for the Suppression of Unlawful Acts Against the Safety of Civil Aviation* (Montréal, 1971), by the *Protocol for the Suppression of Unlawful Acts of Violence at Airports Serving International Civil Aviation, Supplementary to the Convention for the Suppression of Unlawful Acts Against the Safety of Civil Aviation* (Montréal, 1988), by the *Convention on the Marking of Plastic Explosives for the Purpose of Detection*

(Montréal, 1991), by the *Convention for the Suppression of Unlawful Acts Relating to International Civil Aviation* (Beijing, 2010)¹, by the *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft* (Beijing, 2010), by the *Protocol to Amend the Convention on Offences and Certain Other Acts Committed on Board Aircraft* (Montréal, 2014), and by bilateral agreements for the suppression of such acts;

The Assembly:

1. *Urges* Member States which have not yet done so to become parties to the *Convention on Offences and Certain Other Acts Committed on Board Aircraft* (Tokyo, 1963), to the *Convention for the Suppression of Unlawful Seizure of Aircraft* (The Hague, 1970), to the *Convention for the Suppression of Unlawful Acts Against the Safety of Civil Aviation* (Montréal, 1971) and the 1988 *Supplementary Protocol to the Montréal Convention*, to the *Convention on the Marking of Plastic Explosives for the Purpose of Detection* (Montréal, 1991), to the *Convention for the Suppression of Unlawful Acts Relating to International Civil Aviation* (Beijing, 2010), to the *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft* (Beijing, 2010), and to the *Protocol to Amend the Convention on Offences and Certain Other Acts Committed on Board Aircraft* (Montréal, 2014)²;

2. *Calls upon* States not yet parties to the above-mentioned air law instruments to give effect, even before ratification, acceptance, approval or accession, to the principles of those instruments and calls upon States which manufacture plastic explosives to implement the marking of such explosives as soon as possible; and

3. *Requests* the Council to direct the Secretary General to continue to remind States of the importance of becoming parties to the Tokyo, The Hague, Montréal and Beijing Conventions, to the 1988 *Supplementary Protocol to the Montréal Convention*, to the 2010 *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft*, to the 2014 *Protocol to Amend the Convention on Offences and Certain Other Acts Committed on Board Aircraft*, and to the *Convention on the Marking of Plastic Explosives for the Purpose of Detection*, and to provide assistance requested by States encountering any difficulties in becoming parties to these instruments.

b) *Enactment of national legislation and conclusion of appropriate agreements*

Whereas deterrence of acts of unlawful interference with civil aviation can be greatly facilitated through the enactment by Member States of national criminal laws providing severe penalties for such acts;

The Assembly:

1. *Calls upon* Member States to give special attention to the adoption of adequate measures against persons committing, planning, sponsoring, financing or facilitating acts of unlawful interference against civil aviation, and in particular to include in their legislation rules for the severe punishment of such persons; and

2. *Calls upon* Member States to take adequate measures relating to the extradition or prosecution of persons committing acts of unlawful interference against civil aviation by adopting appropriate provisions in law or treaty for that purpose and by concluding appropriate agreements to provide for the extradition of persons committing criminal attacks on international civil aviation.

¹ The *Convention on the Suppression of Unlawful Acts Relating to International Civil Aviation* (Beijing, 2010) became effective in 2018.

² Lists of States Parties to aviation security legal instruments can be found at www.icao.int under the ICAO Treaty Collection.

APPENDIX C

Implementation of technical security measures

Whereas protection of civil aviation against acts of unlawful interference requires continued vigilance and development and implementation of positive safeguarding action by the Organization and its Member States;

Whereas a clear need exists for the strengthening of security to be applied to all phases and processes associated with the carriage of persons, their cabin and hold baggage, cargo, mail, courier and express parcels, and in protecting civil aviation against cyber-attacks, and threats to the landside areas of airports, as well as attacks carried out or facilitated by insiders;

Whereas Machine Readable Travel Documents strengthen security by improving the integrity of documents which verify the identity of travellers and air crew;

Whereas such Machine Readable Travel Documents also enable high-level cooperation among States to strengthen resistance to passport fraud, including the forgery or counterfeiting of passports, the use of valid passports by impostors, the use of expired or revoked passports, and the use of fraudulently obtained passports;

Whereas the use of Machine Readable Travel Documents and other passenger information tools can also be employed for security purposes, adding an important layer to the international civil aviation system, in order to detect terrorists and prevent acts of unlawful interference well before the aircraft boarding process;

Whereas threats to the air cargo and mail systems as a whole require a global approach in the development and implementation of security requirements and best practices, including cooperation with relevant international organizations such as the World Customs Organization (WCO), Universal Postal Union (UPU), and International Maritime Organization (IMO);

Whereas the responsibility for ensuring that security measures are applied by government agencies, airport authorities and aircraft operators rests with the Member States;

Whereas the effective implementation of the security measures advocated by ICAO is an effective means of preventing acts of unlawful interference with civil aviation;

Whereas a broad set of risk management strategies and tools must be employed to align security measures with security risk in order to ensure the effectiveness and sustainability of aviation security measures;

Whereas countermeasures for protection of civil aviation can only be effective through employment of highly trained security personnel, in addition to background checks, certification and quality control;

Whereas the integration of a robust security culture for all personnel, in both security and non-security functions, at all levels, is imperative to the development and sustainability of an effective security environment; and

Whereas technology, process innovations and appropriate training are required to achieve effective and efficient aviation security and facilitation measures, and in defining the future of security screening regimes.

The Assembly:

1. *Urges* the Council to continue to attach the highest priority to the adoption of effective, risk-based and operationally-viable measures for the prevention of acts of unlawful interference commensurate with the current threat to the security of international civil aviation, to take into account the innovative and evolving nature of that threat, and to keep up to date the provisions of Annex 17 to the Chicago Convention from a threat and risk perspective;
2. *Urges* the Council to adopt Standards to strengthen the response to insider threat;
3. *Urges* all States on an individual basis and in cooperation with other States to take all possible measures for the prevention of acts of unlawful interference, in particular, those required or recommended in Annex 17 as well as those recommended by the Council;
4. *Reiterates* the responsibility of all States for the implementation of effective aviation security measures within their territory, taking into account the evolving threat;
5. *Urges* Member States to fully and sustainably implement Annex 17 — *Security* and the security-related provisions of Annex 9 — *Facilitation*, to intensify their efforts for the implementation of existing Standards and Recommended Practices (SARPs), and procedures relating to aviation security, to monitor such implementation, to rectify any gaps or deficiencies as a matter of urgency, to take all necessary steps to prevent acts of unlawful interference against international civil aviation and to give appropriate attention to the guidance material contained in the ICAO *Aviation Security Manual* (Doc 8973) and other security-related guidance material available on the ICAO restricted website;
6. *Encourages* Member States to promote aviation security as a fundamental component of national, social and economic priorities, planning and operations;
7. *Encourages* Member States to work in partnership with industry to develop, conduct operational trials of, and implement effective security measures;
8. *Encourages* Member States and industry organizations to take practical steps to develop and organize campaigns to implement security culture and security awareness programmes among workforces, raise public awareness to further address the insider threat, and implement these programmes in partnership with all stakeholders within the aviation environment;
9. *Encourages* Member States and industry organizations investing in the development of cybersecurity strategies to continue to develop a comprehensive Cybersecurity Strategy as well as mechanisms to identify and manage risk, including the sharing of appropriate information related to cybersecurity;
10. *Encourages* Member States to implement effective oversight over all aspects of their aviation security regime in order to ensure that security measures are effectively and sustainably implemented.
11. *Encourages* Member States, pursuant to their domestic laws, regulations and aviation security programmes, and in accordance with applicable SARPs and the capacity of each State, to promote the implementation of aviation security measures in a practical manner to:
 - a) broaden existing cooperation mechanisms amongst States and industry, as appropriate, for information exchange and the early detection of security threats to civil aviation operations;

- b) share expertise, best practices and information relating to preventive security measures, including screening and inspection techniques, the detection of explosives, airport security behavioural detection, screening and credentialing of airport staff, human resource development and the research and development of relevant technologies;
- c) use modern technologies to detect prohibited materials and to prevent the carriage of such materials on board aircraft while respecting the privacy and safety of individuals;
- d) define aviation security measures that are risk-based, appropriate and proportionate to the threat, effective, efficient, multi-layered, operationally viable, economically and operationally sustainable, and take into account the impact on passengers and on legitimate trade;
- e) intensify efforts in securing the air cargo and mail security system by:
 - i. developing a strong, sustainable and resilient air cargo security framework;
 - ii. implementing robust security standards effectively and sustainably;
 - iii. adopting a total supply chain approach to air cargo and mail security, if appropriate;
 - iv. establishing and strengthening oversight and quality control of air cargo and mail security;
 - v. engaging in bilateral and multilateral cooperative efforts to coordinate actions to harmonize and enhance air cargo and mail security and secure the global air cargo supply chain;
 - vi. sharing best practices and lessons learned with other States to enhance the overall level of air cargo and mail security; and
 - vii. strengthening initiatives to intensify capacity-building in air cargo and mail security;
- f) give consideration to the potential misuse of RPAS, and apply security measures in order to prevent their use in acts of unlawful interference;
- g) ensure that civil aviation threat and risk assessments within their respective territories and airspace are performed, and that States provide information to relevant stakeholders in a timely manner on all possible risks to civil aviation;
- h) address the risk of attacks in landside areas, including terminal buildings, by working with all stakeholders to:
 - i. maintain a practical balance between the needs of effective and sustainable security measures and passenger facilitation;
 - ii. implement a set of risk-based measures that are flexible and practical, with clearly defined responsibilities among relevant actors;
 - iii. avoid, to the extent possible, the creation of vulnerabilities from the generation of areas of mass gathering either inside or proximate to the terminal; and
 - iv. sustain a culture of constant vigilance, deterrence, prevention, response and resilience in a coordinated manner in the face of evolving threats;
- i) ensure the protection of civil aviation against cyber-attacks and cyber threats; and
- j) address the risk posed by insiders through the exploitation of staff and their privileged access to secure areas and sensitive security information.

12. *Calls upon* Member States to enhance their use of information exchange mechanisms, particularly Advance Passenger Information (API) and Passenger Name Record (PNR) data provided by air carriers, to strengthen aviation security and reduce the risk to passengers, while ensuring the protection of privacy and civil liberties;

13. *Calls upon* Member States to support and contribute to ICAO's work on the development and implementation of a PNR Standard in line with UNSCR 2396;

14. *Calls upon* Member States, while respecting their sovereignty, to minimize disruption to air travel resulting from confusion or inconsistent interpretation of standards by cooperating and coordinating actions in order to implement SARPs and guidance consistently, efficiently and effectively and by providing clear, well-timed and readily available information to the travelling public;

15. *Calls upon* Member States, when requesting another State to apply security measures to protect aircraft flying into its territory, to take fully into account the security measures already in place in the requested State and, where appropriate, to recognize those measures as equivalent;

16. *Requests* the Council to direct the Secretary General to:

- a) ensure that the provisions of Annex 17 — *Security* and Annex 9 — *Facilitation* are compatible with and complementary to each other;
- b) continue to promote the development of effective and innovative security processes and concepts, through awareness-raising regional and subregional aviation security events at the request of States concerned, including in cooperation with industry stakeholders and equipment manufacturers to develop the next generation of passenger and cargo screening processes;
- c) continue to support the work of the Aviation Security Panel in addressing new and existing threats to civil aviation, and to develop appropriate preventive measures;
- d) promote the development of mutual recognition processes with the goal of assisting States in achieving mutually beneficial arrangements, including one-stop security arrangements, which recognize the equivalence of their aviation security measures where these achieve the same outcomes, consistent with Annex 17 requirements, and which are based on an agreed comprehensive and continuous validation process and effective exchange of information regarding their respective aviation security systems; and
- e) continue to address other threats and risks, including cyber threats to aviation security, risks to landside areas of airports and air traffic management security, in consultation with the Aviation Security Panel;

17. *Directs* the Council to require the Secretary General to update and amend at appropriate intervals the ICAO *Aviation Security Manual* (Doc 8973) and develop new guidance material designed to assist Member States in responding to new and existing threats to aviation and implementing the specifications and procedures related to civil aviation security;

18. *Directs* the Council to instruct the Secretary General and the Aviation Security Panel to ensure the periodic review and updating of the ICAO *Global Risk Context Statement* (Doc 10108), which provides a risk assessment methodology for aviation security which may be considered by Member States for use in further developing their own national risk assessments and to include risk-based assessments with any

recommendations for the adoption of new or amended aviation security measures in Annex 17 or in any other ICAO document;

19. *Directs* the Council to instruct the Secretary General and the Aviation Security Panel to ensure that appropriate fields of expertise are engaged in the assessment of aviation security risks and the development of SARPs, specifications, guidance material, and other mean to address issues of aviation security, including coordination with other panels; and

20. *Directs* the Council to instruct the Aviation Security Panel to continually assess its terms of reference and governing procedures to ensure there are no constraints on the Panel's ability to consider the full scope of aviation security issues.

APPENDIX D

The ICAO Universal Security Audit Programme

Whereas the ICAO Universal Security Audit Programme (USAP) has been successful in meeting the mandate of Resolution A39-18, Appendix E;

Whereas one of the primary objectives of the Organization continues to be ensuring the security of international civil aviation worldwide;

Whereas Member States are committed to compliance with Annex 17 – *Security Standards*, and the security-related provisions of Annex 9 – *Facilitation*;

Whereas the establishment of an effective security oversight system by States supports the implementation of international aviation security Standards and Recommended Practices (SARPs) and contributes to this objective;

Recalling that the ultimate responsibility to ensure the security of civil aviation rests with Member States;

Considering that the USAP has proven to be instrumental in the identification of aviation security concerns and in providing recommendations for their resolution, and that the Programme continues to enjoy the support of States, serving as a catalyst for their continued efforts to meet their international obligations in the field of aviation security;

Considering that USAP-Continuous Monitoring Approach (CMA) audit results make an important contribution to the understanding of the aviation security posture globally, regionally, and in individual States; and that the GAsEP relies on the compiled USAP-CMA data to ascertain whether States are meeting the targeted levels of security;

Recognizing that the effective implementation of State corrective action plans to address deficiencies identified through USAP audits is an integral and crucial part of the monitoring process in order to achieve the overall objective of enhancing global aviation security;

Recognizing the importance of a limited level of disclosure with respect to ICAO aviation security audit results, balancing the need for States to be aware of unresolved security concerns with the need to keep sensitive security information out of the public realm;

Considering the approval by the Council of a mechanism to address significant security concerns (SSeCs) in a timely manner;

Recognizing the importance of a coordinated strategy for facilitating assistance to States through the high-level Secretariat Monitoring and Assistance Review Board;

Recognizing that the continuation of the USAP is essential to create mutual confidence in the level of aviation security between Member States and to encourage the adequate implementation of security-related Standards;

Considering that full implementation of the USAP-CMA began on 1 January 2015;

Recalling that the 39th Session of the Assembly requested the Council to report on the overall implementation of the USAP-CMA;

The Assembly:

1. *Notes with satisfaction* that the USAP has proven to be instrumental in the identification of aviation security concerns and in providing recommendations for their resolution;
2. *Expresses its appreciation* to Member States for their cooperation in the audit process and for making available security experts to be certified as USAP auditors to serve as short-term experts in the conduct of audits, as well as long-term experts to act as USAP audit team leaders;
3. *Requests* the Council to ensure the continuation of the USAP-CMA and to oversee its activities, as it monitors States' ability to sustainably implement their aviation security systems, compliance with the ICAO security-related Standards, and implementation of State corrective action plans;
4. *Notes* the work carried out by the ICAO Secretariat, in consultation with Member States, to review the scope and methodology of the USAP-CMA;
5. *Requests* the Council to direct the Secretary General to implement improvements aimed at ensuring consistent interpretation of Annex 17 Standards, a more operational focus to the USAP-CMA programme, addressing serious deficiencies in a timely manner; and applying a risk-based approach to audit prioritization, thus ensuring effective reporting of Member States' risk-based and outcomes-focused compliance with relevant security objectives; and to evaluate the implementation of these improvements;
6. *Endorses* the policy of a limited level of disclosure of security audit results for the USAP-CMA, particularly relating to the prompt notification of the existence of significant security concerns;
7. *Urges* all Member States to give full support to ICAO by:
 - a) signing the Memorandum of Understanding regarding the USAP-CMA;
 - b) accepting USAP-CMA missions as scheduled by the Organization, in coordination with relevant States;
 - c) facilitating the work of USAP-CMA teams;
 - d) preparing and submitting to ICAO all required documentation; and

- e) preparing and submitting an appropriate corrective action plan to address deficiencies identified during USAP-CMA activities;
8. *Requests* the Council to direct the Secretary General to ensure the long-term financial sustainability of the USAP by taking measures to incorporate the funding requirements for its activities within the Regular Programme Budget as soon as possible and to the extent practicable;
9. *Urges* all Member States to share, as appropriate, and consistent with their sovereignty, the results of audits and other USAP-CMA activities carried out by ICAO and the corrective actions taken by the audited State; and
10. *Requests* that the Council report to the next ordinary session of the Assembly on the overall implementation of the USAP-CMA.

APPENDIX E

The ICAO Implementation Support and Development – Security Programme (ISD-SEC)

Whereas the implementation of technical measures for prevention of acts of unlawful interference with international civil aviation requires financial resources and training of personnel; and

Whereas notwithstanding assistance given, some countries, in particular developing countries, lack aviation security oversight capacity and still face difficulties in fully implementing preventive measures due to insufficient financial, technical and material resources;

The Assembly:

1. *Directs* the Council to request the Secretary General to use the Organization's influence to promote efforts worldwide by States and other aviation entities to deliver coordinated technical assistance and support for States that need to improve their aviation security oversight, including through the development of a coordinated, targeted and effective international aviation security capacity-building framework;
2. *Urges* Member States to voluntarily contribute financial and in-kind resources to increase the reach and impact of ICAO aviation security enhancement activities;
3. *Directs* the Council to request the Secretary General to ensure that contributions received for ISD-SEC be fully committed to ISD-SEC activities only;
4. *Urges* States able to do so to assist in the delivery of effective and targeted capacity development, training and other necessary resources, technical assistance, technology transfers and programmes, where it is needed to enable all States to achieve an enhanced and effective aviation security regime;
5. *Invites* Member States to take advantage of ICAO's capacity to provide, facilitate or coordinate short-term remedial assistance and long-term assistance to remedy deficiencies in their implementation of Annex 17 SARPs, and ICAO's capacity to make best use of USAP audit results for defining and targeting aviation security capacity-building activities for the benefit of Member States in need;
6. *Invites* Member States to also consider requesting assistance from other international and regional organizations to meet their technical assistance requirements arising from the need to protect international civil aviation;

7. *Urges* ICAO, Member States and organizations to share with ICAO information on their assistance programmes and activities in order to promote the efficient and effective use of resources;
8. *Directs* the Council to request the Secretary General to facilitate the coordination of assistance programmes and activities by collecting information on such initiatives;
9. *Directs* the Council to request the Secretary General to monitor and evaluate the quality and effectiveness of ICAO assistance projects and to provide regular reports on the use of financial and in-kind resources and on the measured impacts of such contributions;
10. *Urges* Member States and relevant stakeholders to partner for the organization and delivery of capacity-building activities, documenting the commitments made by each party;
11. *Requests* the Council to direct the Secretary General to update and enhance the ICAO Training Programme for Aviation Security, Aviation Security Training Packages (ASTPs) and Aviation Security Workshops, and promote other methods of aviation security training such as e-learning and blended learning;
12. *Urges* Member States to contribute to the ICAO Aviation Security Training initiatives;
13. *Requests* the Council to direct the Secretary General to oversee, develop, promote, support and regularly re-evaluate the ICAO Aviation Security Training Centre (ASTC) network to ensure that training standards are maintained and sound levels of cooperation are achieved; and
14. *Urges* Member States to use ICAO ASTCs for security training.

APPENDIX F

Action by the Council with respect to multilateral and bilateral cooperation in different regions of the world

Whereas the rights and obligations of States under the international legal instruments on aviation security and under the SARPs adopted by the Council on aviation security could be complemented and reinforced in multilateral and bilateral cooperation between States;

Whereas the multilateral and bilateral agreements on air services represent the main legal basis or international commercial carriage by air of passengers, baggage, cargo and mail;

Whereas provisions on aviation security should form an integral part of the multilateral and bilateral agreements on air services; and

Whereas focusing on security outcomes, recognition of equivalence and one-stop security, and respecting the spirit of cooperation defined in multilateral and/or bilateral air services agreements are policy principles whose implementation can contribute significantly to aviation security sustainability;

The Assembly:

1. *Recognizes* that success in eliminating threats to civil aviation can only be achieved through the concerted effort of everyone concerned and a close working relationship between national agencies and aviation security regulators of all Member States;

2. *Urges* all Member States to insert into their multilateral and bilateral agreements on air services a clause on aviation security, taking into account the model clause adopted by the Council on 25 June 1986 and the model agreement adopted by the Council on 30 June 1989;
3. *Urges* all Member States to adopt the following key principles as the basis for international cooperation in aviation security and to ensure effective aviation security cooperation amongst States, ICAO and other relevant international organizations:
 - a) respect for the spirit of cooperation defined in bilateral and/or multilateral air services agreements;
 - b) recognition of equivalent security measures; and
 - c) focus on security outcomes;
4. *Urges* all Member States, who have not yet done so, to participate in the ICAO Aviation Security Point of Contact (PoC) Network, established for the communication of imminent threats to civil air transport operations, with the objective of providing a network of international aviation security contacts within each State, and to intensify their coordination and cooperation to ensure the exchange of best practices through the AVSECPaedia;
5. *Urges* the Council to request the Secretary General to promote initiatives which enable the establishment of technological platforms for the exchange of aviation security information among Member States;
6. *Requests* that the Council continue to:
 - a) gather the results of States' experience in cooperating with each other to prevent acts of unlawful interference with international civil aviation;
 - b) analyse differing circumstances and trends in preventing threats to international civil aviation in different regions of the world; and
 - c) prepare recommendations for strengthening measures to deter and prevent such acts of unlawful interference;
7. *Directs* the Council to act with the requisite urgency and expedition to address new and existing threats to civil aviation, seeking to mitigate unnecessary disruption to air travel as a result of confusion or inconsistent implementation or interpretation of necessary measures, facilitating a common and consistent response by States, and encouraging clear communication by States to the travelling public.

APPENDIX G

International and regional cooperation in the field of aviation security

Recognizing that the threat posed to civil aviation requires development of an effective global response by States and concerned international and regional organizations;

The Assembly:

1. *Invites* the Civil Air Navigation Services Organization (CANSO), the International Atomic Energy Agency (IAEA), the International Criminal Police Organization (ICPO/INTERPOL), the International Maritime Organization (IMO), the Organization for Security and Cooperation for Europe (OSCE), the United Nations Counter-Terrorism Committee Executive Directorate (UNCTED), the United Nations Counter-Terrorism Implementation Task Force (UNCTITF), United Nations Office of Counter-Terrorism (UNOCT), the United Nations Office on Drugs and Crime (UNODC), the Universal Postal Union (UPU), the World Customs Organization (WCO), the African Union (AU), the European Union (EU), the Arab Civil Aviation Commission (ACAC), the African Civil Aviation Commission (AFCAC), the European Civil Aviation Conference (ECAC), the Latin American Civil Aviation Commission (LACAC), the International Air Transport Association (IATA), Airports Council International (ACI), the International Federation of Airline Pilots' Associations (IFALPA), the International Business Aviation Council (IBAC), the International Coordinating Council of Aerospace Industries Associations (ICCAIA), the Global Express Association (GEA), the International Federation of Freight Forwarders Associations (FIATA), The International Air Cargo Association (TIACA), and other stakeholders to continue their cooperation with ICAO, to the maximum extent possible, to safeguard international civil aviation against acts of unlawful interference;
2. *Directs* the Council to take into account the G8 Secure and Facilitated International Travel Initiative (SAFTI) and to continue its collaboration with this group and other relevant groups of States such as the Asia-Pacific Economic Cooperation Secure Trade in the Asia and Pacific Region (STAR) initiative in its work relating to development of countermeasures against the threat posed by man-portable air defence systems (MANPADS) and encourage their implementation by all Member States; and
3. *Directs* the Council to continue its cooperation with the United Nations Counter-Terrorism Committee (CTC), in the global effort to combat terrorism.

Resolution A40-12/3: Declaration on aviation security – affirming global commitment to strengthening implementation

The Assembly, *recognizing* the need to strengthen aviation security worldwide, in light of the continuing threat to civil aviation since the Declaration on Aviation Security of the 37th Session of the ICAO Assembly, including recent attacks on Metrojet flight 7K9268 on 31 October 2015 and of Daallo Airlines flight DA0159 on 2 February 2016, and the armed attacks at Brussels airport on 22 March 2016 and at Istanbul Ataturk airport on 28 June 2016; *acknowledging* the importance of United Nations Security Council resolution (UNSCR) 2309 adopted on 22 September 2016 and the development of the Global Aviation Security Plan (GASeP) endorsed by the ICAO Council on 15 November 2017; and *noting* with appreciation regional aviation security conferences hosted by Egypt, Panama, Portugal and Thailand to promote the implementation of the GASeP; and the Second High-level Conference on Aviation Security held in Montréal in 2018, hereby *urges* Member States and stakeholders to take the following actions to enhance security and strengthen international cooperation to counter threats to civil aviation:

- 1) place greater efforts to implement UNSCR 2309, 2341, 2395, 2396 and 2482 in accordance with the respective competencies and affirm ICAO's global leadership in matters relating to safeguarding international civil aviation against acts of unlawful interference;

- 2) promote awareness of threats and risks to civil aviation through information sharing between States and with stakeholders, and through continued attention to the ICAO *Global Risk Context Statement* (Doc 10108);
- 3) further strengthen and promote the effective development, adoption and implementation of ICAO Standards and Recommended Practices, with particular focus on Annex 17 — *Security*;
- 4) continue to develop and share new and innovative approaches to strengthen aviation security and counter ongoing and emerging threats and risks;
- 5) ensure the swift implementation of Assembly Resolution A40-12/2 on *Addressing Cybersecurity in Civil Aviation*;
- 6) take practical steps to promote security culture and security awareness programmes in partnership with all stakeholders within the aviation environment;
- 7) encourage effective coordination and cooperation between aviation security and other disciplines to ensure a holistic and coordinated approach to aviation security, facilitation and safety matters to deliver robust national and global aviation systems;
- 8) take active participation in global and regional efforts towards fully meeting the GAsEP objectives, goals, aspirational targets and priorities at the national and regional levels, and share experiences and lessons learned in implementing these actions with ICAO;
- 9) ensure the effective implementation of the security-related provisions of Annex 9 — *Facilitation*;
- 10) implement obligations relating to the use of Advance Passenger Information (API) and Passenger Name Record (PNR) data, with full respect for human rights and fundamental freedoms, in accordance with objectives of UNSCR 2396 and 2482;
- 11) provide technical assistance to States in need, including funding, capacity-building, access to technology, that is sustainable and effectively addresses security threats and risks to civil aviation, in cooperation with other States, international organizations and industry partners, consistent with the *No Country Left Behind initiative*;
- 12) support the Organization in its development of further cooperation and coordination with other UN agencies and other relevant international organizations to contribute towards strengthening global aviation security efforts;
- 13) through increased participation and active engagement, enhance the Organization's capacity and capabilities to effectively address global aviation security threats and risks, including through the prioritization of aviation security matters in both Headquarters and Regional Offices; and
- 14) support the work of the Organization's Regional Offices to promote aviation security development and collaboration amongst Member States and stakeholders.

Agenda Item 13: Audit Programmes – Continuous Monitoring Approach

13.1 At its fourth meeting, the Executive Committee considered the subject of the implementation, latest developments and evolution of the Universal Audit Programmes – Continuous Monitoring Approach, on the basis of the Council's *Report on the Evolution of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)* (A40-WP/11), the report on the *Implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes* (A40-WP/23), and on the *Report on the Review of the Scope and Methodology of the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA)* (A40-WP/32).

Discussion

Implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes

13.2 The Committee noted with satisfaction the implementation of the USOAP CMA and the USAP-CMA during the 2016-2018 triennium, and urged States to continue with their full engagement with and support for the audit programmes. The Committee acknowledged the coordination between the programmes and called for enhanced synergies, and sharing of best practices and lessons learned.

Evolution of the USOAP CMA

13.3 The Committee acknowledged the relevance of the USOAP CMA, the safety improvements it generates and the evolution with accompanying timeline proposed in A40-WP/11 aimed at maintaining the status of the USOAP CMA as a global aviation monitoring system of the safety oversight and aircraft accident and incident investigation capabilities of ICAO Member States, as well as of their maturity in implementing State safety programmes. The Committee noted the work undertaken by the Group of Experts for a USOAP CMA Structured Review (GEUSR) and the status of the implementation of its recommendations. The establishment by the Council of an ad hoc USOAP CMA Advisory Group (USOAP-AG) was acknowledged as a means to accomplish another stream of work in the evolution of the USOAP CMA. The steps taken by ICAO to improve its internal organization to support the evolution of the programme, as well as its effective, efficient and sustainable operation, were also noted. The Committee expressed interest in the three streams of work of the USOAP CMA evolution. The Committee was advised that progress on the work would be reported in the Annual Report of the Council and possibly at the High-Level Safety Conference to be held in 2021.

13.4 The Committee supported A40-WP/114 presented by Finland, on behalf of the European Union and its Member States³, the other Member States of the European Civil Aviation Conference⁴, EUROCONTROL and New Zealand, calling for the evolution of the USOAP CMA into an agile, responsive, risk-based and robust monitoring system, and proposed for consideration certain high-level aspects for its future evolution. These include aspects such as databases, cross-fertilization and interfaces with other programmes, the applied auditing techniques and methods. The Committee was advised by the Secretariat that some of the areas of interest for the evolution are now being addressed with the implementation of GEUSR recommendations and organizational activities, including the planning of activities, indicators, training, as well as the USOAP online framework, databases and tools.

³ Austria, Belgium, Bulgaria, Croatia, Cyprus, Czechia, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, the Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and the United Kingdom.

⁴ Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Georgia, Iceland, Republic of Moldova, Monaco, Montenegro, North Macedonia, Norway, San Marino, Serbia, Switzerland, Turkey and Ukraine.

13.5 The Committee supported A40-WP/133, presented by Australia and New Zealand and co-sponsored by Singapore, the United Kingdom, and Finland on behalf of the European Union and its Member States, which endorsed the evolution of the USOAP CMA and proposed accelerating the implementation of GEUSR recommendations, with priority given to recommendations contained in Group A (Structured revision of Protocol Questions (PQs)) and Group B (Priority PQs). The Committee noted that the Secretariat has developed a detailed action plan that is consistent with the timeline presented in A40-WP/11 covering each group of GEUSR recommendations and that the implementation of this plan is reflected in the budget that has been presented for approval by the Assembly.

13.6 Venezuela, in A40-WP/259, presented information on follow-up and control of occurrences that can support the identification of safety improvements. The Committee took note of the information and called the Secretariat to pass this information to the relevant expert groups for their consideration.

13.7 The Committee reviewed A40-WP/324, presented by the United Arab Emirates, which supported the evolution of the USOAP CMA and introduced further enhancements to the programme. The Committee noted that the proposals to make traditional PQs objective instead of prescriptive and to enhance synergies among National Continuous Monitoring Coordinators (NCMCs) may bring benefits to Member States but acknowledged that the proposals are being addressed with the implementation of GEUSR recommendations, in particular Groups A, B, E and F. The Committee also noted that PQs undergo a thorough development process that includes broad coordination within the Secretariat which reflects the objectives of provisions adopted on which States had already been consulted. Further, the Committee recommended that States continue to provide comments on PQs to support their continuous improvement.

13.8 Brazil presented A40-WP/326, highlighting the benefits of the USOAP self-assessment and peer assessments as well as sharing its experience in this regard. The Committee acknowledged the benefits from these types of assessments, and encouraged States to engage in and champion peer assessments, especially at the regional level, with a view to enhancing States' safety oversight systems. It was also noted that with the implementation of the GEUSR recommendations, States would have more guidance and training on self-assessments that can support these types of initiatives by States. The benefits of these initiatives and enhanced guidance and training will be reflected in USOAP outcomes as a result of States' efforts in keeping their self-assessments current.

13.9 The Committee discussed A40-WP/337, presented by the Dominican Republic, which called for certification of a "percentage of aerodromes" to be considered sufficient for the related PQs to be marked as satisfactory, rather than the current practice of requiring all aerodromes to be certified. The Committee noted that Annex 14 — *Aerodromes* requires all international aerodromes to be certified. Further, the Committee noted that identifying a suitable percentage of certified aerodromes needed to meet the Standard requirement would challenge principles of universality and uniformity given that certain States have only one aerodrome whereas others have hundreds of aerodromes.

13.10 The Committee reviewed A40-WP/433, presented by Qatar, which proposed that the USOAP conduct separate activities to assess a State's capabilities for aircraft accident or incident investigation and that its statistical results be presented separately from other areas. The Committee noted that the assessment of States' capabilities on this area are determined using a set of PQs designed for this purpose and that results can be obtained through iSTARS or the USOAP online framework (OLF). The Committee was advised that the information in the working paper will be considered for the enhancement of visibility of results by technical area in USOAP reporting tools and recommended that the information be provided to the relevant expert groups for their consideration.

13.11 Peru presented A40-WP/438, sponsored by Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela, and sharing its experience, which called for the support of States in developing a regional framework to cooperate and collaborate in addressing safety operational and risk issues, and asked the Assembly to evaluate alternative means of measuring effective implementation so that results will be updated in a timelier manner once States have implemented their action plans. The Committee noted that GEUSR recommendations already create additional means and opportunities for States to measure the status of their safety oversight systems and to validate corrective actions taken to address deficiencies.

13.12 The Committee reviewed A40-WP/439, presented by Peru and sponsored by Belize, Bolivia, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela, that proposed to enhance standardization of the criteria used by USOAP airworthiness auditors tasked with reviewing the qualifications and experience of airworthiness inspectors to whom authority is delegated on the basis of an agreement signed by a State with other States in its region. The Committee noted that the information provided in the working paper would be used when conducting regular updates of the USOAP tools, would serve to improve training to the auditors, and would serve to enhance the assessments of tasks performed by regional safety oversight organizations on behalf of States; these measures were expected to enhance standardization.

13.13 Venezuela presented A40-WP/440, sponsored by Belize, Bolivia, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Peru and Uruguay, that shared the challenges and strategies for the sustainable integration of State safety oversight systems into State Safety Programmes (SSP) that should be considered in developing and applying the Global Aviation Safety Plan (GASP) and activities for its effective implementation. The Committee called for this information to be passed on to the relevant expert groups for their consideration.

13.14 Peru presented A40-WP/448, sponsored by Belize, Bolivia, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela, that shared its experience undergoing USOAP activities. Two mechanisms were proposed: one to assess the effectiveness of the USOAP activities and the second to validate safety improvements made by States for which no USOAP activity was planned. With respect to the first mechanism, the Committee noted that the USOAP is ISO 9001 certified enabling the assessment of the feedback of States on the audit experience. This feedback and other sources of information feed continuous improvements of the USOAP CMA. The Committee further noted that action c) is addressed within the implementation of the GEUSR recommendations referenced in A40-WP/11.

13.15 The Committee supported A40-WP/463, presented by Peru and sponsored by Belize, Bolivia, Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela, which included observations derived from completing the gap analysis questionnaire available on iSTARS and the development of SSP PQs. The Committee was informed that the USOAP CMA developed and is implementing a plan for assessing and measuring the effective implementation of SSPs. The plan includes the development of SSP PQs. The initial set of these PQs is posted on the OLF and will be complemented with a maturity model and associated guidance to be applied to each PQ. The complete set of SSP PQs including maturity model and guidance will be fully developed and integrated into the OLF for self-assessments and for monitoring activities in January 2021. Relevant applications on iSTARS will be amended based on the evolution of the USOAP CMA. The Committee recommended that the information be provided to the relevant expert groups for their consideration, and that the development of the related guidance material be supported where appropriate.

13.16 In summary, the Committee endorsed ICAO actions to evolve and ensure the effective and efficient management and sustainable operation of the USOAP CMA. It noted the status of implementation of the GEUSR recommendations, which already address some initiatives raised by the Assembly. The Committee also acknowledged the upcoming work to be undertaken by the USOAP-AG as mandated by the Thirteenth Air Navigation Conference (AN-Conf/13, 2018), the organizational improvements, and the timeline to realize the USOAP CMA evolution, as outlined in sections 2.2, 2.3, 2.4 and Appendix B of A40-WP/11. The Committee agreed to recommend that all proposals related to the USOAP under this agenda item that are not already addressed by the GEUSR recommendations or ICAO's organizational improvements should be shared with the appropriate expert groups for consideration.

13.17 The Commission agreed to submit, for adoption by the Plenary, the following resolution to supersede Assembly Resolution A37-5.

Resolution 13/1: The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)

Whereas the primary objective of the Organization continues to be that of ensuring the safety of international civil aviation worldwide;

Whereas Article 37 of the Convention requires each Contracting State to collaborate in securing the highest practicable degree of uniformity in regulations, standards, procedures and organization in relation to all matters in which such uniformity will facilitate and improve air navigation;

Whereas safety oversight, and the safety of international civil aviation in general, is the responsibility of Member States, both collectively and individually, it also depends on the active collaboration of ICAO, Member States, industry and all other stakeholders in the implementation of the Global Aviation Safety Plan (GASP);

Whereas the DGCA/06 Conference made recommendations to allow public access to appropriate information on safety oversight audits and to develop an additional mechanism to rapidly resolve significant safety concerns (SSCs) identified under the ICAO Universal Safety Oversight Audit Programme (USOAP);

Whereas the High-level Safety Conference 2010 (HLSC 2010) made recommendations for ICAO to develop criteria for the sharing of SSCs with interested stakeholders and to assess how the information on SSCs could be shared with the public in a form which would allow them to make an informed decision about the safety of air transportation;

Whereas the HLSC 2010 made recommendations for ICAO to enter into new agreements and amend existing agreements for the sharing of confidential safety information with international entities and organizations in order to reduce the burden on States caused by repetitive audits or inspections and to decrease the duplication of monitoring activities;

Whereas the Thirteenth Air Navigation Conference (AN-Conf/13) made recommendations that were agreed by the Council to continue evolving the USOAP methodology, processes and tools, as well as to ensure that the continuous monitoring of the States remains robust, relevant and up to date;

Recalling that the 32nd Session of the Assembly resolved that a universal safety oversight audit programme be established, comprising regular, mandatory, systematic and harmonized safety oversight audits to be carried out by ICAO;

Whereas the 39th Session of the Assembly agreed that ICAO establish an independent group to perform a structured review to identify adjustments to USOAP CMA with a view of further evolution and strengthening of the programme, taking into consideration the evolving safety strategy of ICAO and States' progress in implementing Annex 19 — *Safety Management*, in particular SSP requirements, and that the Council agreed to the recommendations resulting from that review with certain caveats to continue evolving the USOAP CMA;

Whereas the implementation of USOAP has been a major achievement for aviation safety, successfully meeting the mandate given by Resolutions A32-11 and A35-6 and providing the ability to evaluate Member States' oversight capabilities and identify areas of improvement;

Recalling that Assembly Resolution A33-8 requested the Council to ensure the long-term financial sustainability of USOAP, phasing in all of its activities into the Regular Programme budget;

Recalling the objectives of USOAP, which seeks to ensure that Member States are adequately discharging their responsibilities for safety oversight;

Recognizing that it is essential that USOAP continues to cover all safety-related Annex provisions in order to promote the adequate implementation of safety-related Standards and Recommended Practices;

Recognizing that the Secretary General has taken appropriate steps to ensure the establishment of an independent quality assurance mechanism to monitor and assess programme quality;

Recognizing that the effective implementation of State action plans is essential to enhance the overall safety of global air navigation;

Recognizing the safety enhancement contributions resulting from audits, inspections, reviews, evaluations and/or assessments conducted by international and regional organizations, including those organizations that have agreements with ICAO such as the Airports Council International (ACI), the European Union Aviation Safety Agency (EASA), the European Commission (EC), the Flight Safety Foundation (FSF), the International Air Transport Association (IATA) and the European Organisation for the Safety of Air Navigation (EUROCONTROL);

Recognizing that transparency and the sharing of safety information are among the fundamental tenets of a safe air transportation system; and

Recognizing that regional safety oversight organizations (RSOOs) have an important role in the USOAP CMA and that, wherever applicable, the word "States" below should be read to include RSOOs where an appropriately enabling legal framework is in place;

The Assembly:

1. *Expresses its appreciation* to the Secretary General on the successful implementation of the USOAP Continuous Monitoring Approach (CMA);

2. *Directs* the Secretary General to continue evolving the USOAP CMA into a more evidence-based, risk-informed and result-oriented programme to be applied on a universal basis in order to assess the effectiveness and sustainability of States' safety oversight systems, as well as the progress of States in implementing safety management requirements, in particular State safety programmes (SSPs);

3. *Directs* the Secretary General to implement organizational improvements necessary to successfully manage the changes brought about by the long-term evolution of the programme, in line with the recommendations of the GEUSR as agreed by the Council and of the AN-Conf/13;

4. *Directs* the Secretary General to ensure that the USOAP CMA continues to maintain as core elements the key safety provisions contained in Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft*, Annex 8 — *Airworthiness of Aircraft*, Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation*, Annex 14 — *Aerodromes*, and Annex 19 — *Safety Management*;
5. *Directs* the Secretary General to ensure that the USOAP CMA abides by the principles of, inter alia, independence, universality, standardization and transparency to further strengthen global acceptance of the programme and its results;
6. *Directs* the Secretary General to continue to ensure the maintenance of the quality assurance mechanism established to monitor and assess programme quality, and the transparency of all aspects of the continuous monitoring process;
7. *Directs* the Secretary General to continue the sharing of SSCs, in accordance with established procedures on the sharing of safety information, with interested stakeholders and the public to allow them to make an informed decision about the safety of air transportation;
8. *Directs* the Secretary General to make all safety oversight-related information generated by the USOAP CMA available to all Member States through the ICAO restricted website;
9. *Directs* the Secretary General to continue to foster coordination and cooperation between USOAP CMA and the audit programmes of other organizations related to aviation safety for the purpose of sharing confidential safety information in order to reduce the burden on States caused by repetitive audits or inspections, to decrease the duplication of efforts and find synergies to enhance the efficiency of the USOAP CMA;
10. *Directs* the Secretary General to continue facilitating the sharing of safety-critical information with Member States, industry and other stakeholders, through appropriate secure websites;
11. *Urges* all Member States to support ICAO in the evolution of the USOAP CMA and, for those able to do so, to second qualified and experienced technical staff to ICAO on a long- or short-term basis, with a view to enabling the Organization to continue to successfully operate the programme;
12. *Urges* all Member States to submit to ICAO, in a timely manner, and keep up to date all the information and documentation requested by ICAO for the purpose of ensuring the effective operation of the USOAP CMA;
13. *Urges* all Member States to cooperate with ICAO and as much as practicable to accept USOAP CMA activities, including audits, validation missions, off-site validation activities and SSP implementation assessments, in order to facilitate the smooth functioning of the USOAP CMA;
14. *Urges* all Member States to implement corrective action plans to address the findings identified during USOAP CMA activities;
15. *Urges* all Member States to share with other Member States critical safety information which may have an impact on the safety of international air navigation and to facilitate access to all relevant safety information;
16. *Encourages* Member States to make full use of available safety information when performing their safety oversight functions, including during inspections as provided for in Article 16 of the Convention;
17. *Reminds* Member States of the need for surveillance of all aircraft operations, including foreign aircraft within their territory, and to take appropriate action when necessary to preserve safety;

18. *Directs* the Council to prioritize the work on the evolution of the USOAP CMA and strive for adequate human and financial resources to be made available to the programme as well as to report to the next ordinary session of the Assembly on the evolution and performance of the USOAP CMA; and

19. *Declares* that this resolution supersedes Resolution A37-5.

13.18 Information papers, provided by Bolivia (A40-WP/435) and the Republic of Korea (A40-WP/447), were noted.

Review of the Scope and Methodology of the USAP-CMA

13.19 The Committee recognized the excellent work carried out by the Secretariat Study Group on the USAP-CMA (SSG), as presented in WP/32, including the 26 recommendations developed for the improvement of the programme. It was highlighted that these recommendations should focus on the operational implementation of Annex 17 Standards and should be implemented as quickly as feasible, thereby improving confidence in the international aviation security system and improving local, regional and global compliance with Annex 17 Standards. In this regard, the Council was directed to prioritize the proposed recommendations and ensure sufficient resources are allocated to the USAP. The USAP-CMA should also take on board relevant best practices from States and industry.

13.20 The African Civil Aviation Commission (AFCAC), on behalf of its 54 Member States, in A40-WP/187, expressed concerns regarding the implementation of the USAP-CMA, more specifically with regard to the methodology employed to select States for audit activities; the shortage of audit team leaders which limits the effective implementation of the programme; the desirability of facilitating re-assessments of States' Aviation security performance on a continuous basis through the use of a technological monitoring mechanism; and the need to plan additional training programmes or workshops for national coordinators. While many of these proposals are already addressed in the recommendations included in WP/32, the Committee agreed that they should be presented to the SSG for further consideration. It was also noted that, in the past, the creation of an OLF for the USAP similar to that used by the USOAP was not supported due to data security considerations and the workload it would impose on States and the ICAO Secretariat.

13.21 In A40-WP/390, Cuba expressed concerns regarding the implementation of the USAP-CMA, requesting clearer expectations for States through the delivery of enhanced training on the programme methodology, more detailed audit plans to optimize audit preparation and coordination at the national level, standardized interpretation of Standards and further revision of the USAP-CMA Protocol Questions to ensure clarity and a common understanding between auditor and auditee. The Committee agreed that the proposals made by Cuba should be considered by the SSG in order to further improve the programme, and that participation in the SSG's work should be encouraged for any State that is willing to contribute its expertise.

13.22 The Committee also expressed support for the reform and continuous improvement of the programme through ongoing consultation with the SSG and called upon States to support the USAP-CMA by signing the Memorandum of Understanding, accepting audits as scheduled and allocating sufficient financial and human resources to enable the implementation and ongoing evolution of the programme so that it supplies well qualified auditors; assesses the operational implementation of security measures; addresses serious deficiencies in a timely manner; and has a risk-based approach to audit prioritization.

Agenda Item 14: Facilitation Programmes

14.1 At its sixth meeting, the Executive Committee considered developments in the areas of the Public Key Directory (PKD), the ICAO Traveller Identification Programme (TRIP) Strategy and the Annex 9 — *Facilitation* as well as the Consolidated statement of continuing ICAO policies related to facilitation, on the basis of reports by the Council presented in WPs/5, 6, 8, 60 and 61 respectively. In addition, 11 papers were submitted by States and Observers: WPs/127, 134, 284, 297, 301, 305, 322, 346, 389, 399, and 471. The following Information Papers were also presented under this agenda item: WPs/7, 462, 509, 524, 530, 533 and 550.

14.2 The Executive Committee considered Working Papers under this agenda item under the topics that follow.

ICAO Public Key Directory

14.3 The Council, in WP/6, described developments pertaining to the ICAO Public Key Directory (PKD) and its use since the 39th Session of the ICAO Assembly, and proposed priorities for the ICAO PKD work programme and the expected outcome of its work during the next triennium.

14.4 The Committee complimented the work of ICAO in developing the PKD as reported and overwhelmingly endorsed the work programme for the ICAO PKD as set out in the working paper. It urged all Member States to join and implement use of the ICAO PKD to validate and authenticate ePassports. One delegation indicated in particular the importance of improving the PKD exchange process in the context of the ICAO TRIP strategy.

ICAO Traveller Identification Programme (TRIP) Strategy

14.5 In WP/8, the Council, in highlighting the mandate and current priorities of the ICAO TRIP Strategy, reported on developments in the Programme since the last Assembly. It concluded by proposing priorities for the ICAO TRIP Strategy and outlined the expected outcomes of its work during the next triennium.

14.6 With regards to paragraph 2.6 of WP/8 that addressed the development of an ePassport Standard roadmap, some delegations expressed the view that the introduction of an ePassport might not be economically viable for some small States and the ATC will consider these concerns as part of its work on the development of the roadmap. A technical correction was made in Appendix B of WP/8. The Committee was asked to take note of the information contained in WP/550, a United States information paper, reporting the value of Passenger Name Record (PNR) in security and facilitation. Following the discussions, the Committee endorsed the proposed priorities for the ICAO TRIP Strategy and expected outcomes for the 2020-2022 triennium, as presented in Appendix A of WP/8.

14.7 In WP/301, the International Air Transport Association (IATA) and Airports Council International (ACI), reported on their joint One ID project which aims to achieve the vision of a paperless travel experience where passengers can fly safely and securely only using their biometric data.

14.8 With regard to the proposal set out in WP/301, the Committee endorsed the IATA One ID project which highlights the benefits of biometric recognition to secure and facilitate the passenger clearance process and some delegations stressed the importance of implementing robust data protection policies. One delegation drew attention to the information presented in WP/533 on the bi-national

cooperation between Canada and the Netherlands on the World Economic Forum (WEF) project called the Known Traveller Digital Identity (KTDI).

Annex 9 — Facilitation

14.9 The Council, in WP/5, reported on progress made, since the 39th Session of the Assembly, on ICAO's work with the World Health Organization (WHO) on developing guidance on preventing the spread of disease caused by mosquitos and other vectors through international aviation, and on the implementation of Resolution A39-28. The Committee noted that WP/5, *Report on Aircraft Disinsection and Vector Control Measures*, presented under Agenda Items 14 and 26, would be taken up under Agenda Item 14.

14.10 Following a discussion on the matter, the Committee, noting the work being undertaken in this regard, especially the ongoing cooperation between ICAO and the WHO, agreed to submit, for adoption by the Plenary, the following resolution, which should supersede Resolution A39-28:

Resolution 14/1: Mitigation of the spread of disease through, inter alia, aircraft disinsection and vector control methods, and the importance of CAPSCA (Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation) for implementation

Whereas Article 14 of the International Convention on Civil Aviation requires Member States to take effective measures to prevent the spread of communicable diseases by means of air navigation;

Whereas Annex 9 — *Facilitation* contains provisions on communicable disease outbreak national aviation plans, aircraft disinsection, implementation of international health regulations and facilities required for implementation of public health measures, and *The Facilitation Manual* (Doc 9957) provides guidance on aircraft disinsection, public health measures and facilitation programmes;

Whereas the most recent outbreaks of vector-borne diseases have resulted in Contracting States imposing chemical disinsection requirements;

Whereas the World Health Organization has not issued recommendations regarding non-chemical disinsection methods;

Whereas there is strong evidence that chemicals are becoming increasingly ineffective in combatting vector-borne diseases as insect resistance to chemicals increases;

Whereas the lack of World Health Organization-recommended non-chemical disinsection methods leads to Contracting States continuing to require only chemical disinsection methods;

Whereas despite past Assemblies having encouraged development of performance-based criteria for disinsection requirements, in collaboration with the World Health Organization, insufficient progress has been made in this regard;

Whereas there is an increased risk in the global transmission of communicable diseases;

Whereas a need for cross-sector information sharing and collaboration in the prevention and management of public health emergencies has been identified at various international meetings and conferences;

The Assembly:

1. Directs that the Council continue to engage with the World Health Organization to develop:
 - a) performance-based criteria to evaluate all disinsection methods, including non-chemical means of disinsection;
 - b) recommendations regarding non-chemical disinsection methods; and
 - c) guidance on the components of a scientifically-based risk assessment model for Contracting States to use in determining whether to employ vector control measures that include but are not limited to aircraft disinsection;
2. Urges Contracting States to:
 - a) become members of The Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation (CAPSCA) programme;
 - b) become involved in the CAPSCA Programme and any other related programmes that ICAO might introduce in future;
 - c) support ICAO and WHO in implementing this Assembly Resolution by considering the recommendations included in ICAO, WHO and CAPSCA publications and guidance material;
 - d) require pest management control programmes around airports and related facilities, which would mitigate the need to impose aircraft disinsection requirements;
 - e) encourage airport reporting to the ICAO Airport Vector Control Registry and to keep the information current;
3. Requests the Council to report on the implementation of this resolution at the next Assembly; and
4. Declares that this resolution supersedes Resolution A39-28.

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14.11 The Council, in WP/60, presented a report on developments in Annex 9 — *Facilitation* since the last Assembly and the current priorities of the Facilitation (FAL) Programme's work on Annex 9. It concluded by proposing work priorities for Annex 9, and expected outcomes, for the next triennium.

14.12 The Committee endorsed the proposed priorities for the FAL Programme related to Annex 9 – *Facilitation* and expected outcomes for the 2020-2022 triennium, as set out in Appendix A of WP/60, with one delegate expressing reservations on the possible inclusion of Annex 9 SARPs *vis-à-vis* the FAL-related aspect of Remotely Piloted Aircraft Systems (RPAS).

14.13 ACI, in WP/399, in providing information on areas in which the aviation industry is working on innovative technologies, such as automation and biometric recognition, and drawing attention to areas where significant opportunities exist within the control of national authorities to encourage such innovation, suggested that progress could be made by breaking down silos between aviation security (covered under Annex 17) and border management (covered under Annex 9).

14.14 The Committee did not support the proposals set out in WP/399 and one State mentioned notably that the security elements of passports and border procedures cannot be separated from the overall border and passport features as regulated in Annex 9. In commenting on information papers submitted, one delegation noted that WP/462 contained a number of proposals and that the subject should be considered in the ICAO work programme; some delegations drew attention to the work being undertaken by the European Union (EU) on PNR, as reflected in WP/530; and, another delegation drew attention to WP/509 that presented views on issues relating to Annex 9's SARPs on "unaccompanied minors".

Assistance to Aircraft Accident Victims and their Families

14.15 In WP/127, Spain on behalf of the European Union and its Member States, the other Member States of the European Civil Aviation Conference (ECAC) and EUROCONTROL, pointed out that it was highly desirable to achieve a greater implementation of plans for the assistance of aircraft accident victims, and progress towards the harmonisation of the practices of States in this matter.

14.16 In WP/297, the Air Crash Victims' Families' Federation International (ACVFFI), noted that since ICAO began issuing, in 2001, guidance material on Assistance to Aircraft Accidents Victims and their Families, the treatment to civil air accidents victims and their families has not been reflected in the data recognized in the Universal Safety Oversight and Audit Programme (USOAP).

14.17 In endorsing the proposals set out in WPs/127 and 297, the Committee's overwhelming majority agreed that: a) States should be reminded of Assembly Resolution A39-27 and be urged to take the appropriate measures to implement as soon as possible ICAO Annex 9 — *Facilitation* provisions on assistance to victims of aircraft accidents, as well as to give due consideration to Docs 9998 and Doc 9973, in their implementation of such provisions; b) States be urged, when adopting such measures, to include adequate and specialized psychosocial training for aircraft and airport operators, and all those involved in the assistance to victims and their families; c) the Council should be requested to consider upgrading Annex 9 Recommended Practice 8.46 into an international Standard, as well as to consider introducing a new Annex 9 Recommended Practice, addressed to aircraft and airport operators on the development of appropriate plans to provide timely and effective assistance to aircraft accident victims and their families and to communicate them to ICAO. To emphasize the importance of this upgrade of RP 8.46, one delegation mentioned the side event held during the thirteenth Air Navigation Conference that showed a high degree of consensus among States for ICAO to move forward in everything that helps its global implementation, while another State pointed out that such International Standard would underline the international community's commitment to those affected. Regarding information paper WP/297, following an oral request by ACVFFI, the Committee also agreed that the Council should designate a particular day of the year (e.g., 20 February) as The International Day of Air Crash Victims and their Families.

14.17.1 While supporting WP/127, one delegation commented that paragraph 4.1 b), ICAO should urge States to develop comprehensive programs, and not single out psychological training, for addressing the fundamental concerns of victims and their families as well as how agencies and organizations can work collaboratively to meet those concerns. It was also mentioned that there should be initial and recurrent training. Another delegation noted that the issue crossed over several Annexes and should be discussed in a separate group. An international organization, in supporting this last intervention, invited the Assembly to take note of existing ACI guidance on the subject, and that airports are already required to develop Emergency Response Plans, which include provisions regarding assistance to victims.

Human Trafficking in Aviation

14.18 The United States, in WP/305, pointed out that aviation personnel and the travelling public can play an important role in intercepting and stopping human trafficking when equipped with the ability to recognize indicators of human trafficking and information on how to report suspected instances of such trafficking to the proper authorities. Accordingly, the Assembly was invited to support a Resolution, found in Appendix A to the paper, underscoring aviation's role in combatting human trafficking and encouraging the continuation of ICAO's efforts to assist States in their initiatives to combat human trafficking.

14.19 The Committee agreed to submit, for adoption by the Plenary, the following resolution:

Resolution 14/2: Development and implementation of facilitation provisions — combatting human trafficking

Whereas the Protocol to Prevent, Suppress and Punish Trafficking in Persons Especially Women and Children, supplementing the United Nations Convention against Transnational Organized Crime, adopted in November 2000 by the United Nations General Assembly and entered into force on 28 January 2004, provides an international framework and enjoys ratification by a majority of countries;

Whereas the joint ICAO and United Nations Human Rights Office of the High Commissioner Circular 352 on Guidelines for Training Cabin Crew on Identifying and Responding to Trafficking in Persons released in May 2018 underscores the important role of international aviation in combatting human trafficking;

Whereas training customer-facing employees and other aviation personnel to identify and respond to suspected instances of human trafficking can help stop this crime;

Whereas Recommended Practice 8.47 in Annex 9 — *Facilitation* encourages Contracting states to take measures to ensure that procedures are in place to combat trafficking in persons, including clear reporting systems and relevant competent authorities' points of contact for airport and aircraft operators;

Whereas Recommended Practice 8.48 in Annex 9 encourages Contracting States to take measures to ensure that airport and aircraft operators' personnel in direct contact with the traveling public are provided with awareness training on trafficking in persons;

Whereas conducting awareness campaigns among aviation personnel and the traveling public can help to increase recognition and reporting of suspected instances of human trafficking; and

Whereas ICAO should foster the development of clear human trafficking guidelines for each State to implement, including model reporting protocols and a victim-centered and trauma-informed law enforcement response;

The Assembly:

1. *Urges* Member States to give attention to adopting and promptly implementing Annex 9's Recommended Practices 8.47 and 8.48;

2. *Calls on* Member States to give due regard to Circular 352, *Guidelines for Training Cabin Crew on Identifying and Responding to Trafficking in Persons*, in their implementation of the relevant provisions of Annex 9; and

3. *Requests* that the Council ensure that relevant guidance material related to the issue of combatting human trafficking is current and responsive to the needs of Member States.

14.20 In WP/134, ACI and IATA, reporting on their work to support their members assist in the fight against human trafficking, noted that suspicions of trafficking should be communicated to competent authorities in time for them to take action. States should ensure that clear reporting systems are in place and to communicate points of contact within competent authorities to airport and aircraft operators. One delegation mentioned the outstanding work of ACI and IATA on incorporating awareness training in the operational training programmes.

14.21 The Committee, in noting the work undertaken by these organizations on the matter of human trafficking, endorsed the proposal that States should be encouraged to implement Recommended Practice 8.47 of Annex 9 – *Facilitation* at the earliest opportunity.

Persons with Disabilities/Accessibility in Aviation

14.22 The Dominican Republic, in WP/389, in reporting on progress made by the State in the implementation of the continuing ICAO policies in the area of air transport facilitation and the provisions related to facilitation in matters such as accessibility to and universal design of its air terminals, invited the Assembly to urge ICAO to take into account the recommendations from Doc 9984, *Manual on Access to Air Transport by Persons with Disabilities*, and from Chapter 8, Section H of Annex 9 — *Facilitation*, and to convert them into Standards.

14.23 The Dominican Republic also presented WP/471, that provided information on several initiatives undertaken by the State relating to accessibility and universal design, towards the implementation of Resolution A39-20 and concomitant compliance with Doc 9984, and, as well, invited the Assembly to: a) urge ICAO to conduct studies and compile background information to be used by States for analysing the usefulness of updating Doc 9984; and, b) urge ICAO to incorporate a portion of the content of Doc 9984 into Annex 9 as Standards or Recommended Practices.

14.24 In its consideration of WPs/389 and 471, the Committee agreed that the Council should be requested to consider undertaking a study to update Doc 9984. The Committee's view with regard to the recommendation to incorporate elements of the document into Annex 9 — *Facilitation*, as Standards or Recommended Practices was that it was premature to determine whether anything further is required in terms of SARPs, and that only after a case-by-case approach, and after a discussion among experts, should proposals to convert relevant Recommended Practices in Annex 9 to Standards be made.

14.25 Canada, on behalf of Australia, ACI and IATA, noted, in WP/284, that medical advances and new assistive and other technologies are making it more feasible for people with disabilities to travel, including by air and that barrier-free air services play an important role in allowing persons with disabilities to live with independence and dignity. In order that such barriers to air travel are reduced, the Assembly was invited to: a) recognize the importance of increasing awareness and continuing to collaborate to advance accessibility in aviation; and b) encourage Member States to provide information to ICAO to support the development of a compendium of regulation, statutes, and policies relating to accessibility in aviation.

14.26 The Committee, in recognizing the importance of increasing awareness and continuing to collaborate to advance accessibility in aviation, endorsed the proposal that Member States should be

encouraged to provide information to ICAO to support the development of a compendium of regulation, statutes, and policies relating to accessibility in aviation.

14.27 Brazil, on behalf of a group of LACAC Member States, shared, in WP/322, the Brazilian Standard Procedures Manual for Persons with Reduced Mobility Assistance (SPM-PDRM), based on experiences of Rio 2016 Paralympic Games at the main Brazilian airports.

14.28 The Committee, in noting the information provided by Brazil regarding its experience on implementing accessibility measures based on Doc 9984, agreed with the proposals that: a) Member States should be encouraged to submit to the FAL Panel their procedures relating to accessibility, for subsequent publication; and, (b) the Council be requested to promote, as appropriate, the exchange of experiences and best practices for the application of Doc 9984.

14.29 In WP/346, IATA, informed that the aviation industry is experiencing a steady increase in national/regional disability policies that are either not harmonized or are in direct conflict with each other, in spite of Annex 9's provisions on the matter and that IATA has developed a set of core principles (set out in Appendix A to the paper), which support the harmonized implementation of legislation and policies on disability.

14.30 In its consideration of WP/346, the Committee recognizing that a harmonised approach to the work on accessibility in aviation is a contributor to the achievement of the UN Sustainable Development Goals (SDGs), agreed that where appropriate, Member States should be invited to consider the IATA core principles on passengers with disabilities when developing and implementing regulations in this area. The Committee supported the global objectives set out in WP/346.

14.31 Completing its work on this agenda item, the Committee considered the proposed revisions to the *Consolidated statement of continuing ICAO policies and practices related to Facilitation* as presented in WP/61, which contained a revised version of a draft resolution for adoption by the Assembly (Resolution 14/2).

14.32 Having reviewed the revised version of the draft resolution, and having amended Appendix D, the Committee agreed to recommend to the Plenary to adopt the following resolution which should supersede Resolution A39-20:

Resolution 14/3: Consolidated statement of continuing ICAO policies related to facilitation

Whereas Annex 9 — *Facilitation*, was developed as a means of articulating the obligations of Member States under Articles 22, 23 and 24 of the Convention and standardizing procedures for meeting the legal requirements referred to in Articles 10, 13, 14, 29 and 35;

Whereas implementation of the Standards and Recommended Practices in Annex 9 is essential to facilitate the clearance of aircraft, passengers and their baggage, cargo and mail and manage challenges in border controls and airport processes so as to maintain the efficiency of air transport operations;

Whereas it is essential that Member States continue to pursue the objective of maximizing efficiency and security in such clearance operations; and

Whereas United Nations Security Council resolutions stress the continuing importance of ICAO's work on border control management and security of travel documents in the fight against terrorism.

The Assembly:

1. *Resolves* that the Appendices attached to this resolution and listed below constitute the consolidated statement of continuing ICAO policies related to facilitation, as these policies exist at the close of the 40th Session of the Assembly:

Appendix A — Development and implementation of facilitation provisions

Appendix B — National and international action in ensuring the security and integrity of traveller identification and border controls

Appendix C — National and international action and cooperation on facilitation matters

Appendix D — Passenger Data Exchange Systems

2. *Requests* the Council to keep the consolidated statement related to facilitation under review and advise the Assembly as appropriate when changes are needed to the statement; and

3. *Declares* that this resolution supersedes Resolution A39-20: Consolidated statement of continuing policies related to facilitation.

APPENDIX A

Development and implementation of facilitation provisions

Whereas the *Convention on the Rights of Persons with Disabilities* and its Optional Protocol, that had been adopted in December 2006 by the United Nations General Assembly, entered into force on 3 May 2008;

Whereas the development of specifications for machine readable travel documents by the Organization has proved effective in the development of systems that expedite the movement of international passengers and crew members through clearance control at airports while enhancing immigration and other border control authorities compliance programmes;

Whereas the development of a set of standard signs to facilitate the efficient use of airport terminals by travellers and other users has proved effective and beneficial;

Whereas making air travel accessible for all passengers is a key contributor to the achievement of the UN Sustainable Development Goals (SDGs);

Whereas Machine Readable Travel Documents strengthen the border control management process and enhance security by improving the integrity of documents which verify the identity of travellers and air crew;

Whereas the 38th Session of the ICAO Assembly in 2013 resolved that Members States should be encouraged to use the Electronic Filing of Differences (EFOD) System that was developed to address the need for a more efficient means of reporting and researching differences to Standards and Recommended Practices and for replacing the existing paper-based mechanism;

Mindful of the Annex 9 — *Facilitation* components that support both border management and border security objectives which are audited under the ICAO Universal Security Audit Programme (USAP); and

Recalling the Communique of the High-Level Conference on Aviation Security held in Montréal in November 2018, and the conference's conclusions and recommendations related to border control management.

The Assembly:

1. *Urges* Member States to give special attention to increasing their efforts to implement Annex 9 Standards and Recommended Practices;
2. *Urges* Member States to give due regard to Doc 9984, *Manual on Access to Air Transport by Persons with Disabilities*, in their implementation of the relevant provisions of Annex 9;
3. *Requests* the Council to develop a work programme on accessibility for passengers with disability in order to reach for a disability-inclusive air transport system;
4. *Requests* the Council to ensure that Annex 9 — *Facilitation*, is current and addresses the contemporary requirements of Member States as well as their appropriate obligations towards the United Nations Security Council resolutions with respect to border control management and security of travel documents, in addition to Member States' requirements relating to the administration of cargo and passengers; and advances in technologies related to such administration; cargo facilitation; the handling of and responses to health-related and other disruptive events to aviation; and unaccompanied minors;
5. *Requests* the Council to ensure that relevant guidance material is current and responsive to the requirements of Member States;
6. *Requests* the Council to ensure that the provisions of Annex 9 — *Facilitation* relating to border control management, and Annex 17 — *Security*, are compatible with and complementary to each other;
7. *Urges* Member States to give due regard to existing guidance material and best practices on wayfinding and signage, including Doc 9636, *International Signs to Provide Guidance to Persons at Airports and Marine Terminals*, to the extent it remains applicable;
8. *Urges* Member States to ensure that all relevant agencies and departments that have a role in the implementation of Annex 9 — *Facilitation*, including but not limited to, civil aviation administrations, immigration, customs, health, quarantine, travel document-issuing authorities, air traffic control, law enforcement, postal authorities, border police, and foreign affairs, collaborate and coordinate their efforts through the national air transport facilitation committee or similar arrangements, , in order that the Annex 9 Compliance Checklist is comprehensively completed in the Electronic Filing of Differences (EFOD) System;
9. *Reaffirms* that the Facilitation Programmes must continue to be treated as a matter of highest priority and appropriate resources should be made available by ICAO and its Member States;
10. *Urges* all Member States to continue to financially support the Organization's facilitation activities with voluntary contributions in the form of human and financial resources beyond those budgeted for under the regular programme; and
11. *Recognizing* the leadership role of ICAO in the area of facilitation activities, requests the Council and the Secretary General to ensure the long term sustainability of the Organization's facilitation programmes, by taking measures to incorporate the funding requirements within the Regular Programme Budget as soon as possible and to the extent practicable.

APPENDIX B

National and international action in ensuring the integrity of traveller identification and border controls and enhancing security

Whereas Member States recognize the relevance of traveller identification and border control management to the ICAO Strategic Objective of aviation security and facilitation;

Whereas Member States recognize that the ability to uniquely identify individuals requires a holistic and coordinated approach, which links the following five interdependent elements of traveller identification and border control management into a coherent framework:

- a) Foundational documents, tools and processes required to ensure authentic evidence of identity;
- b) The design and manufacture of standardized Machine Readable Travel Documents (MRTDs), especially ePassports, that comply with ICAO specifications defined in Doc 9303, *Machine Readable Travel Documents*;
- c) Processes and protocols for document issuance by appropriate authorities to authorized holders, and controls to combat theft, tampering and loss;
- d) Inspection systems and tools for the efficient and secure reading and verification of MRTDs at borders, including use of the ICAO Public Key Directory (PKD); and
- e) Interoperable applications that provide for timely, secure and reliable linkage of MRTDs and their holders to available and relevant data in the course of inspection operations;

Whereas Member States require capacity to uniquely identify individuals and require tools and mechanisms available to establish and confirm the identity of travellers;

Whereas the ICAO Traveller Identification Programme (ICAO TRIP) Strategy provides the global framework for achieving the maximum benefits of travel documents and border controls by bringing together the elements of the traveller identification management;

Whereas Member States of the United Nations have resolved, under resolution 70/1 adopted on 25 September 2015 to adopt a 2030 Agenda for Sustainable Development that includes a set of 17 Sustainable Development Goals (SDGs) supported by 169 targets, the target 16.9 being to provide legal identity for all, including birth registration by 2030;

Whereas the United Nations Security Council, in resolutions 1373 (2001), 2178 (2014) and 2396 (2017) decided that all Member States shall prevent the movement of terrorists or terrorist groups by effective border controls and controls on issuance of identity papers and travel documents, and through measures for preventing counterfeiting, forgery or fraudulent use of identity papers and travel documents;

Whereas the veracity and validity of machine readable travel documents (MRTDs) depends on the readability and protection of these documents, physical securities contributing to them, and electronic securities guaranteeing them;

Whereas the limitation of the number of possible civil status for a person depends on the documentation used to establish identity, confirm citizenship or nationality and assess entitlement of the passport applicant (i.e. breeder documentation);

Whereas the passport is the main official travel document that denotes a person's identity and citizenship and is intended to inform the State of transit or destination that the bearer can return to the State which issued the passport;

Whereas international confidence in the integrity of the passport is essential to the functioning of the international travel system;

Whereas the use of stolen blank passports, by those attempting to enter a country under a false identity, is increasing worldwide;

Whereas reporting promptly accurate information about stolen, lost or revoked travel documents issued by each Member State to the International Criminal Police Organization (INTERPOL) Stolen and Lost Travel Documents (SLTD) database is an Annex 9 – *Facilitation* Standard;

Whereas the security of traveller identification and border controls depends on a robust identification management system and the integrity of the travel document issuance process;

Whereas high-level cooperation among Member States is required in order to strengthen resistance to passport fraud, including the forgery or counterfeiting of passports, the use of forged or counterfeit passports, the use of valid passports by impostors, the use of expired or revoked passports, and the use of fraudulently obtained passports;

Whereas Member States of the United Nations have resolved, under the Global Counter-Terrorism Strategy adopted on 8 September 2006, to step up efforts and cooperation at every level, as appropriate, to improve the security of manufacturing and issuing identity and travel documents and to prevent and detect their alteration or fraudulent use;

Whereas enhanced and intensified cooperation among Member States is required in order to combat and prevent identification and travel document fraud;

Whereas the criminal focus worldwide has been increasingly shifting from travel document fraud to identity fraud;

Whereas Convention Travel Documents (CTDs) are travel documents that States Parties to the 1951 Convention Relating to the Status of Refugees ("the 1951 Convention") and the 1954 Convention Relating to the Status of Stateless Persons ("the 1954 Convention") shall issue to refugees or stateless persons lawfully staying on their territory (see respective Article 28 of both Conventions), and as such are travel documents foreseen in two international treaties for persons benefitting from an internationally recognized status;

Whereas ICAO has set up the Public Key Directory (PKD) to verify, validate and authenticate biometrically-enhanced Machine Readable Passports (MRPs) also known as ePassports, thereby strengthening their security and the integrity of border controls;

Whereas Member States request from ICAO Programmes technical assistance and capacity-building support in strengthening their traveller identification and border control management; and

Whereas cooperation on human trafficking matters amongst Member States and with the various national, regional, international parties and other stakeholders interested in this area has brought benefits to procedures to combat trafficking in persons.

The Assembly:

1. *Urges* Member States, through their travel document and border control management, to uniquely identify individuals to maximize facilitation and aviation security benefits, including preventing acts of unlawful interference and other threats to civil aviation;
2. *Urges* Member States to implement rigorous processes and tools to safeguard the integrity and security of breeder documentation by notably applying evidence of identity principles such as ensuring that identity exists and is living through the verification against two different data sources, the applicant links to identity and is unique to the system through the provision of confidence of the applicant's "social footprint" meaning how a person interacts with society's stakeholders during the life cycle and the check against agency record or by associating the record with one or more biometrics;
3. *Urges* Member States to intensify their efforts in developing and implementing a robust identification management system and safeguard the security and integrity of the travel document issuance process;
4. *Urges* Member States to intensify their efforts in establishing and implementing a solid verification system of the integrity of electronic passports, in particular by reading their electronic signatures and verifying their validity;
5. *Requests* the Council to direct the Secretary General to maintain up to date the roadmap for the implementation of the ICAO TRIP Strategy to assist Member States to uniquely identify individuals, and to enhance the security and integrity of their travel documents and border controls;
6. *Requests* Member States to intensify their efforts to safeguard the security and integrity of traveller identification and border controls, and to assist one another in these matters;
7. *Urges* those Member States that have not already done so, to issue machine readable passports in accordance with the specifications of Doc 9303;
8. *Reminds* Member States to ensure that non-machine readable passports are withdrawn from circulation;
9. *Urges* Member States to ensure that when issuing travel documents for refugees and stateless persons ("Convention Travel Documents (CTDs)"), these CTDs are machine readable, in accordance with the specifications of Doc 9303;
10. *Reminds* Member States to establish controls to safeguard against the theft of blank travel documents and the misappropriation of newly issued travel documents;
11. *Urges* those Member States requiring assistance in building effective and efficient traveller identification and border control systems to contact ICAO without delay;
12. *Requests* the Council to ensure that specifications and guidance material contained in Doc 9303, *Machine Readable Travel Documents*, remain up to date in the light of technological advances;
13. *Urges* Member States to reinforce their border control management processes as also required by the relevant United Nations Security Council resolutions, by implementing the related Annex 9 — *Facilitation Standards*.

14. *Calls* upon Member States to implement technological solutions aimed at enhancing security and facilitation of border controls while improving clearance procedures, such as the joint use of Automated Border Control (ABC) gates and the ICAO Public Key Directory when checking ePassports;
15. *Requests* the Secretary General to continue to explore technological solutions aimed at enhancing security and facilitation of border controls while improving clearance procedures;
16. *Requests* the Council to continue the work on further strengthening the integrity of traveller identification and border controls management and enhancing security, and developing guidance material to assist Member States to further those objectives;
17. *Urges* the Council to explore ways of intensifying assistance and capacity-building support to Member States in the traveller identification and border control areas, including a proactive leadership role for ICAO in facilitating and coordinating such assistance in the international community;
18. *Urges* all Member States to join the ICAO PKD and to use the information available from the ICAO PKD to validate eMRTDs at border controls;
19. *Urges* those Member States that are not already doing so to promptly report accurate information about stolen, lost, and revoked travel documents issued by their State, to INTERPOL for inclusion in their Stolen and Lost Travel Document (SLTD) Database;
20. *Calls* upon those Member States that are not already doing so to query, at entry and departure border control points, the travel documents of individuals travelling internationally against the INTERPOL Stolen and Lost Travel Documents (SLTD) database;
21. *Urges* Member States to establish efficient and effective mechanisms in order to implement submissions to and queries of, the SLTD database.
22. *Urges* Member States to establish between all involved stakeholders an efficient information sharing and collaboration system in the prevention of human trafficking; and
23. *Requests* the Secretary General to ensure the development of relevant guidance material on procedures to implement to combat trafficking in persons in order to support Member States in their implementation of the provisions of Annex 9 – *Facilitation* related to trafficking in persons.

APPENDIX C

National and international action and cooperation on facilitation matters

Whereas there is a need for continuing action by Member States to improve the effectiveness and efficiency of clearance control formalities;

Whereas the establishment and active operation of national air transport facilitation programmes and facilitation committees is a proven means of effecting needed improvements;

Whereas cooperation on facilitation matters amongst Member States and with the various national, regional and international parties interested in facilitation matters has brought benefits to all concerned;

Whereas such cooperation has become vital in the light of the proliferation of non-uniform passenger data exchange systems that adversely affect the viability of the air transport industry, and the increasing requests by border control authorities for exchange of passenger data;

Whereas the threat of worldwide transmission of communicable diseases by means of air transport has increased in past years; and

Whereas Annex 9 provides for the facilitation of assistance to aircraft accident victims and their families;

The Assembly:

1. *Urges* Member States to establish and utilize national air transport facilitation programmes and facilitation committees and adopt policies of cooperation on a regional basis among neighbouring States;
2. *Urges* Member States to participate in regional and subregional air transport facilitation programmes of other intergovernmental aviation organizations;
3. *Urges* Member States to take all necessary steps, through national air transport facilitation programmes and facilitation committees or other appropriate means, for:
 - a) regularly calling the attention of all interested departments of their governments to the need for:
 - i. making the national regulations and practices conform to the provisions and intent of Annex 9; and
 - ii. working out satisfactory solutions for day-to-day problems in the facilitation field;
 - b) taking the initiative in any follow-up action required; and
 - c) ensuring that the appropriate coordination is in place for the effective implementation of the ICAO TRIP Strategy.
4. *Urges* Member States to encourage the study of facilitation problems by their national and other facilitation programmes and committees and to coordinate the findings of their committees on facilitation problems with those of other Member States with which they have air links;
5. *Urges* neighbouring and bordering Member States to consult one another about common problems that they may have in the facilitation field whenever it appears that these consultations may lead to a uniform solution of such problems;
6. *Urges* Member States, aircraft operators and airport operators to continue to cooperate intensively as regards:
 - a) identification and solution of facilitation problems; and
 - b) developing cooperative arrangements for the prevention of illicit narcotics trafficking, illegal immigration, the spread of communicable diseases and other threats to national interests;

7. *Urges* Member States to call upon aircraft and airport operators and their associations to participate in electronic data interchange systems in order to achieve maximum efficiency levels in the processing of cargo traffic at international terminals;
8. *Urges* Member States to implement the provisions of Annex 9 to facilitate assistance to aircraft accident victims and their families;
9. *Requests* the Council to consider upgrading Annex 9 Recommended Practice 8.46 into an international Standard, as well as to consider introducing a new Annex 9 Recommended Practice, addressed to aircraft and airport operators on the development of appropriate plans to provide timely and effective assistance to aircraft accident victims and their families and to communicate them to ICAO;
10. *Urges* Member States and aircraft and airport operators, in cooperation with interested international organizations, to make all possible efforts to speed up the handling and clearance of air cargo, while ensuring the security of the international supply chain;
11. *Urges* Member States to undertake dialogue and cooperation between national, regional and international, border control and security-related bodies regarding their obligations towards Annex 9 - *Facilitation* and relevant United Nations Security Council resolutions; and
12. *Requests* the Secretary General to ensure ICAO continues its work on border control management and security of travel documents in the fight against terrorism, and to strengthen its cooperation and collaboration with relevant United Nations (UN) agencies, such as UN Office of Counter Terrorism (UNOCT) and UN Office on Drugs and Crime (UNODC).

APPENDIX D

Passenger Data Exchange Systems

Whereas there is a need for continuing action by Member States to improve the effectiveness and efficiency of clearance control formalities;

Whereas UN Security Council, in resolution 2396 (2017), in welcoming ICAO's decision to establish a standard under Annex 9 — *Facilitation*, regarding the use of Advance Passenger Information (API) systems by its Member States, and recognizing that many ICAO Member States have yet to implement this standard, has decided, in paragraph 11, that in furtherance of paragraph 9 of resolution 2178 (2014) and the ICAO standard, its Member States are, inter alia, to establish API systems and shall require airlines operating in their territories to provide API to the appropriate national authorities.

Whereas UN Security Council, also in resolution 2396, at paragraph 12, has decided that Member States shall develop the capability to collect, process and analyse, in furtherance of ICAO standards and recommended practices, PNR data and to ensure PNR data is used by and shared with all their competent national authorities, with full respect for human rights and fundamental freedoms for the purpose of preventing, detecting and investigating terrorist offenses and related travel, further calls upon Member States, the UN, and other international, regional, and subregional entities to provide technical assistance, resources and capacity building to Member States in order to implement such capabilities, and, where appropriate, encourages Member States to share PNR data with relevant or concerned Member States to detect foreign terrorist fighters returning to their countries of origin or nationality, or traveling or relocating to a third country, with particular regard for all individuals designated by the Committee established

pursuant to resolutions 1267 (1999), 1989 (2011), and 2253 (2015), and also urges ICAO to work with its Member States to establish a standard for the collection, use, processing and protection of PNR data.

Whereas the UN Security Council, in resolution 2482 (2019), has called upon Member States to implement obligations to collect and analyze API and develop the ability to collect, process and analyse, in furtherance of International Civil Aviation Organization (ICAO) standards recommended practices, PNR data and to ensure PNR data is used by and shared with competent national authorities, with full respect for human rights and fundamental freedoms, which will help security officials make connections between individuals associated to organized crime, whether domestic or transnational, and terrorists, to stop terrorist travel and prosecute terrorism and organized crime, whether domestic or transnational, including by making use of capacity building programmes; and

Whereas the use of both API and PNR data as mentioned in the ICAO TRIP Strategy can also be employed for security purposes, adding an important layer to the international civil aviation system, in order to detect terrorists and prevent acts of unlawful interference well before the aircraft boarding process;

The Assembly:

1. *Urges* Member States to call upon aircraft operators offering international air transport services to participate in electronic data interchange systems by providing advance passenger information in order to achieve maximum efficiency levels in the processing of passenger traffic at international airports;
2. *Urges* Member States, in the use of electronic passenger data exchange systems, to ensure that the passenger data requirements conform to international standards adopted by relevant United Nations agencies for this purpose, and to ensure the security, fair processing and safeguarding of such data with full respect for human rights;
3. *Urges* Member States to assist and share best practices, as appropriate, with other Member States in the establishment of passenger data exchange systems; and
4. *Requests* Member States that have not already done so, to develop the capability to collect, process and analyse PNR data and to ensure that PNR data is used by and shared with their competent national authorities, with full respect for human rights and fundamental freedoms for the purpose of preventing, detecting and investigating terrorist offences and related travel.

Agenda Item 15: Environmental Protection – General provisions, Aircraft Noise and Local Air Quality – Policy and Standardization

15.1 At its fifth meeting, the Executive Committee considered the subject of environmental protection on the basis of progress reports by the Council on the Organization's work on general provisions, aircraft noise, and local air quality (WPs 54 and 57). Based on these progress reports, the Executive Committee considered the Council's proposals to update Resolution A39-1, Consolidated Statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality (WP/57). In addition, there were 15 papers submitted by States and Observers: WPs 81, 103, 104, 140, 175, 225, 226, 260, 261, 354, 372, 374, 409, 412 and 474.

15.2 As requested by the 39th Session of the Assembly, the Council submitted WP/54, which reports on the latest update to the ICAO global environmental trends assessment for the present and future impact of aircraft noise and aircraft engine emissions. From 2015 to 2045, it is expected that despite an

anticipated increase of 3.3 times in international air traffic, fuel consumption will increase by only 2.2 to 3.1 times over the same period. A number of scenarios evaluated indicate that up to 2.6% of fuel consumption could potentially consist of SAF by 2025, and that by 2050 it would be physically possible to meet 100% of international aviation jet fuel demand with sustainable aviation fuels (SAF), corresponding to a 63% reduction in emissions. However, this level of fuel production could only be achieved with extremely large capital investments in SAF production infrastructure, and substantial policy framework. Regarding aircraft noise and emissions that affect local air quality, the trends show that the aviation environmental impact is expected to continue to grow in the future, but at a rate slower than the traffic growth. In the case of aircraft noise, from about 2030, aircraft noise may no longer increase with an increase in air traffic. A number of ambitious actions would need to be carried out on the part of Member States for that noise scenario to be realized.

15.3 The Committee recognized that it is important to have a single, robust information basis for sound discussion and decision-making. The Committee recommended that the environmental trends be endorsed as the basis for decision-making on environmental matters, and that the next Assembly be updated thereon. Two States suggested that there should be enhanced transparency with regard to the technical work underlying the development of the ICAO global environmental trends.

15.4 The Council submitted a report (WP/57) on progress made by ICAO since the 39th Session of the Assembly on issues related to civil aviation and the environment. The paper outlined the new non-volatile Particulate Matter (nvPM) mass and number Standard for aircraft engines in Annex 16 — *Environmental Protection*, Volume II — *Aircraft Engine Emissions*, and included information on the Independent Expert Integrated Review of aircraft and engine technologies as well as the latest developments on ICAO work on aircraft noise. Regarding operational improvements, the paper highlighted the work on “Eco-Airport Toolkit e-collection”; the analysis of fuel burn and CO₂ emissions reductions from the implementation of Aviation System Block Upgrades (ASBU) Block 0 and Block 1 modules by 2025; and the community engagement aspects of Performance-Based Navigations (PBN) implementation. Information was also provided on ICAO’s cooperation with the United Nations Framework Convention on Climate Change (UNFCCC), the World Health Organization (WHO), the Intergovernmental Panel on Climate Change (IPCC), the United Nations Environmental Management Group (EMG) and the UN Sustainable Mobility For All (SUM4ALL) initiative.

15.5 The Committee recognized the substantial progress made by ICAO in addressing the impact of noise and emissions during this triennium. It also recognized the importance for ICAO to closely follow-up innovative environmentally-driven technologies, and others that may impact the environment, including new energy sources for aviation, assessing their impact on noise and emissions, and maintaining and developing relevant ICAO environmental Standards and Recommended Practices (SARPs) and guidance, where necessary. Following the suggestion of a State, the Committee agreed to an editorial correction to the text of Assembly Resolution A39-1 to reflect the title of ICAO Doc 10127 which reads “*Independent Expert Integrated Technology Goals Assessment and Review for Engines and Aircraft*”.

15.6 In WP/57, the Council also submitted a proposal for the revision of Assembly Resolution A39-1, Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality, in light of the developments since the 39th Session of the Assembly. The revisions, presented below in paragraph 15.26, arise mainly from the activities of the Secretariat and work conducted by CAEP.

15.7 In WP/103, presented by Switzerland on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC), while acknowledging the importance of technological innovation, emphasized the importance of ensuring that civil supersonic aeroplane development does not undermine the considerable efforts made over many years to reduce aviation’s environmental impact, and does not have adverse or disproportionate effects on safety,

capacity and operations. The paper proposed to review ICAO Standards and Recommended Practices (SARPs) in order to take into account the problems and impacts which could emerge with the introduction into service of the new supersonic aeroplanes, while the corresponding mitigation actions should be elaborated, where appropriate. It also proposed to ensure that no unacceptable situation for the public is created by operations from supersonic civil aeroplanes at both supersonic and subsonic speeds.

15.8 In WP/104, presented by Poland on behalf of the EU and its Member States and the other Member States of ECAC, underlined that improvements in the environmental performance of aviation are crucial in order to achieve the ICAO environmental goals on noise and air quality, and thereby to manage the environmental impacts around airports. The paper highlighted that the ICAO Balanced Approach to aircraft noise management needs to be properly implemented and that each of its four pillars has to be kept updated to ensure they can contribute as part of the overall approach. In this regard, the paper proposed further updates of Resolution A39-1, Appendix E, “Local noise-related operating restrictions at airports” on the basis of Annex 16 — Environmental Protection, Volume I — Aircraft Noise, Chapter 4. In addition, the paper claimed that a comprehensive approach should be developed for the management of air quality around airports. While supporting the new nvPM mass and number Standard as it reinforces the control of engine emissions at source, the paper emphasized that the implementation of environmental management systems at airports should also provide essential processes to address air quality issues.

15.9 In WP/226, Australia and New Zealand acknowledged the progress made by ICAO in relation to Remotely Piloted Aircraft System (RPAS), especially in relation to aviation safety, air navigation and aviation security. The paper shared concerns on emerging issues of the community noise impact from RPAS operations, especially in built-up and residential areas. In this regard, the paper encouraged States to share their experiences in responding to aircraft noise issues related to RPAS operations.

15.10 In WP/412, Costa Rica, sponsored by the Member States of the Latin American Civil Aviation Commission (LACAC) presented progress achieved by the Latin American States in the environmental field, regarding noise and local air quality, pursuant to Annex 16 and Resolution A39-1. The paper informed that Member States of LACAC have proactively promoted initiatives to improve environmental performance by taking action to reduce noise and improve local air quality, reduce greenhouse gas emissions, and plan airport facilities, among other things, which have led to aeronautical regulations and major activities that have had successful results.

15.11 In WP/140, Qatar proposed to establish the Aviation Environmental Protection, Planning and Implementation Regional Groups (AEPPIRGs), which would provide a platform for regional cooperation in addressing current aviation environmental developments and future challenges. The paper noted that this would ensure a coherent development and implementation of the Aviation Environmental Protection programs as well as relevant international and regional documentation in a manner that is harmonized within the regions and consistent with ICAO SARPs.

15.12 In WP/261, the United States expressed their commitment to advancing the development of supersonic aircraft, as part of the broader efforts to support innovation in transportation. The paper also acknowledged the work in the Committee on Aviation Environmental Protection (CAEP) to develop landing and take-off noise certification Standards for supersonic aircraft, and stated that it is critical that recent progress in this area continues. Policies and regulations concerning supersonic aircraft noise and engine emissions are being examined, and the paper proposed that technical discussions in CAEP must continue towards the development of landing and take-off noise SARPs to enable industry to proceed with the development of supersonic aircraft. It expressed that it is essential that a data-driven process be undertaken for the development of noise SARPs for supersonic aircraft.

15.13 In WP/374, the Russian Federation noted the work under ICAO on the timely development of international Standards for all types of civil aviation aircraft, in particular for supersonic transport (SST) and that several companies have already made great strides in developing supersonic airplanes. Taking into account the need for close and effective coordination of CAEP and ANC expert teams it has been suggested to the Council to consider the possibility of prioritizing the development of ICAO SARPs for SST. The paper highlighted that the Russian Federation is actively participating in comprehensive research for future SST and their propulsion systems, and will provide resources, if necessary, to support this activity in ICAO.

15.14 In WP/260, Airports Council International (ACI) and the Civil Air Navigation Services Organisation (CANSO) presented views on the management of noise at airports, including the relevance of considering non-acoustic factors to define strategies to manage noise and develop appropriate policies which address noise sound exposure levels, and aircraft noise-related annoyance. The paper also proposed the addition of Community Engagement as a cross-cutting element of the ICAO Balanced Approach to aircraft noise management.

15.15 In WP/175, the International Air Transport Association (IATA) shared its view on the need for a coherent and uniform approach to developing global standards and policies in order to ensure that aviation's impact on the environment is addressed. The paper highlighted the need for ICAO to continue to ensure the integrity and independence of the technical processes and criteria that may provide context for ICAO policy decisions and invited the Assembly to reiterate its support for the ICAO Balanced Approach to aircraft noise management. The paper also shared concerns about the proliferation of environmental taxes, which do not address aviation's environmental impact in an effective manner.

15.16 In WP/225, ACI acknowledged the progress made by ICAO and welcomed the ongoing exploratory study by CAEP on supersonic aircraft to inform on potential noise and emissions impacts. The paper also shared the views of ACI on noise characteristics of new civil supersonic market entrants and their compliance with current and future noise and emissions subsonic-equivalent SARPs. Additionally, the paper addressed the issues of sonic boom and the impact of supersonic aircraft operations to the general public and the operational traffic integration.

15.17 The Committee acknowledged five working papers submitted for information purposes. They were not presented to the meeting but are summarized below:

15.18 In WP/81, the Central American Corporation for Air Navigation Services (COCESNA) presented its work to improve the environment, thus establishing guidelines called "The Green Paper." The scope of this document is based on the United Nations Sustainable Development Goals (SDGs), specifically on environmental management, energy, water, comprehensive waste treatment, and material management.

15.19 In WP/372, India outlined its commitment towards an inclusive and sustainable growth of the aviation sector in India, the intent and endeavour to develop the National Green Aviation Policy, the vision, mission, strategic objectives and the key policy areas. The paper stressed that the aim of the policy is to mitigate the impact of the growth of aviation on the environment and ensure sustainable development of the aviation sector in India through a comprehensive approach to address the current and anticipated environmental issues of the future.

15.20 In WP/409, South Africa reported on its activities undertaken in support of the ICAO's environmental work, such as its contributions to CAEP activities and hosting of the CAEP Steering Group meeting in December 2019 in South Africa, and its contributions to ICAO capacity building activities for the implementation of the Carbon Offsetting and Reduction Scheme for International Aviation (CORSA) (Agenda Item 17 refers).

15.21 In WP/474, Chile recognized the importance of targeting the use of clean, renewable and sustainable sources of energy in airport infrastructure in order to reach carbon neutral standards. Chile urged other States to design and implement existing technologies to transform airport infrastructure in a sustainable way to reduce the impact of local environmental pollution.

15.22 In WP/354, ACI provided background information on airports and ACI's views on environmental protection, including local air quality, noise, and sustainability, as well as emphasized ACI's support for the work of ICAO on environmental protection through CAEP and by other means.

15.23 Regarding ICAO work on the development of supersonic aircraft standards, the Committee recommended that the Assembly invite the Council to request CAEP to continue its ongoing work on supersonic aeroplanes, prioritizing the Exploratory Study. One State suggested that CAEP should consider supersonic operations in highly-populated areas during the Exploratory Study. The Committee also noted the divergent views regarding the standard-setting approach and the relation between existing subsonic standards and the basis to develop new supersonic standards, as well as the issue of public acceptability and the need to take into account safety, air navigation and other aspects.

15.24 Regarding the "ICAO Balanced Approach for Aircraft Noise Management", the Committee noted the divergent views regarding the need for a possible update of the "Local noise-related operating restrictions", as defined in Resolution A39-1, Appendix E, in light of the purpose of noise standards in Annex 16, Volume I. The Committee noted that exploration of non-acoustic factors is already included in the CAEP work programme for the next triennium, which was already approved by the Council. It was also noted that the proposals regarding community engagement are properly addressed in the Council proposed update to Resolution A39-1, Appendix C in WP/57.

15.25 Regarding noise issues related to RPAS operations, the Committee recommended that the Assembly requests the Council to task CAEP to work on these issues, by inviting States to share their experiences in responding to aircraft noise issues from RPAS operations, and to consolidate these experiences as a potential best practice guidance for States.

15.26 The Committee agreed to recommend that the Assembly adopt the following Resolution:

Resolution 15/1: Consolidated statement of continuing ICAO policies and practices related to environmental protection - General provisions, noise and local air quality

Whereas in Resolution A39-1 the Assembly resolved to continue to adopt at each ordinary Session a consolidated statement of continuing ICAO policies and practices related to environmental protection;

Whereas Resolution A39-1 consists of an introductory text and a number of Appendices concerning specific but interrelated subjects; and

Considering the need to reflect developments that have taken place since the 39th Session of the Assembly in the field of aircraft noise and engine emissions;

The Assembly:

1. *Resolves* that the Appendices attached to this Resolution and listed below, together with A40-18: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change* and A40-19: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)*,

constitute the consolidated statement of continuing ICAO policies and practices related to environmental protection, as these policies exist at the close of the 40th Session of the Assembly:

Appendix A — General

Appendix B — Development of Standards, Recommended Practices and Procedures and/or guidance material relating to the quality of the environment

Appendix C — Policies and programmes based on a “balanced approach” to aircraft noise management

Appendix D — Phase-out of subsonic jet aircraft which exceed the noise levels in Volume I of Annex 16

Appendix E — Local noise-related operating restrictions at airports

Appendix F — Land-use planning and management

Appendix G — Supersonic aircraft — The problem of sonic boom

Appendix H — Aviation impact on local air quality

2. *Requests* the Council to submit the ICAO policies and practices related to environmental protection for review at each ordinary session of the Assembly; and

3. *Declares* that this resolution, together with A40-18: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change*, and A40-19: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)*, supersede Resolutions A39-1, A39-2 and A39-3.

APPENDIX A

General

Whereas the preamble to the *Convention on International Civil Aviation* states that “the future development of international civil aviation can greatly help to create and preserve friendship and understanding among the nations and peoples of the world . . .” and Article 44 of that Convention states that ICAO should “develop the principles and techniques of international air navigation and . . . foster the planning and development of international air transport so as to . . . meet the needs of the peoples of the world for safe, regular, efficient and economical air transport”;

Whereas many of the adverse environmental effects of civil aviation activity can be reduced by the application of comprehensive measures embracing technological improvements, more efficient air traffic management and operational procedures, aircraft recycling, the use of clean, renewable and sustainable energy sources, the appropriate use of airport planning, land-use planning and management, community engagement and market-based measures;

Whereas all ICAO Member States agreed to continue to pursue all aviation matters related to the environment and also maintain the initiative in developing policy guidance on these matters, and not leave such initiatives to other organizations;

Whereas other international organizations are emphasizing the importance of environmental policies affecting air transport;

Whereas the sustainable growth of aviation is important for future economic growth and development, trade and commerce, cultural exchange and understanding among peoples and nations; therefore prompt action must be taken to ensure that it is compatible with the quality of the environment and develops in ways that alleviate adverse impacts;

Recognizing that the work of the Organization on the environment contributes to 14 of 17 United Nations Sustainable Development Goals (SDGs);

Whereas reliable and best available information on the environmental effects of aviation is essential for the development of policy by ICAO and its Member States;

Acknowledging that substantial progress has been achieved in addressing the effects of aviation on the environment, and that aircraft produced today are 80 per cent more fuel efficient and 75 per cent quieter than they were in the 1960s;

Recognizing that new innovative technologies and energy sources for aviation are under development in a fast pace, and much work by ICAO will be required to keep pace with the timely environmental certification of such new technologies, as appropriate;

Whereas as far as there are recognized interdependencies of the environmental effects from aviation, such as noise and engine emissions, they need to be considered when defining source control and operational mitigation policies;

Whereas airspace management and design can play a role in addressing the impacts of aviation greenhouse gas emissions on the global climate, and the related economic and institutional issues need to be addressed by States, either individually or collectively on a regional basis;

Whereas cooperation with other international organizations is important to progress the understanding of aviation's impacts on the environment and in order to develop the appropriate policies to address these impacts; and

Recognizing the importance of research and development in fuel efficiency and aviation fuels that will enable international air transport operations with a lower environmental impact, both in terms of local air quality and the global climate;

Noting the importance of updated information on the present and future impact of aircraft noise and aircraft emissions, as provided in the ICAO global environmental trends, to support decision-making on environmental matters;

The Assembly:

1. *Declares* that ICAO, as the lead United Nations (UN) Agency in matters involving international civil aviation, is conscious of and will continue to address the adverse environmental impacts that may be related to civil aviation activity and acknowledges its responsibility and that of its Member States to achieve maximum compatibility between the safe and orderly development of civil aviation and the quality of the environment. In carrying out its responsibilities, ICAO and its Member States will strive to:

- a) limit or reduce the number of people affected by significant aircraft noise;
 - b) limit or reduce the impact of aviation emissions on local air quality; and
 - c) limit or reduce the impact of aviation greenhouse gas emissions on the global climate;
2. *Emphasizes* the importance of ICAO continuing to demonstrate its leadership role on all international civil aviation matters related to the environment and *requests* the Council to maintain the initiative in developing policy guidance on these matters, which recognizes the seriousness of the challenges which the sector faces;
 3. *Requests* the Council to continue to assess regularly the present and future impact of aircraft noise and aircraft engine emissions and to continue to develop tools for this purpose;
 4. *Requests* the Council to closely follow-up innovative technologies and new energy sources for aviation to prepare for the timely environmental certification of such technologies, as appropriate;
 5. *Requests* the Council to maintain and update knowledge of the interdependencies and trade-offs related to measures to mitigate the impact of aviation on the environment so as to optimize decision-making;
 6. *Requests* the Council to establish a set of aviation environmental indicators which States could use to evaluate the performance of aviation operations and the effectiveness of standards, policies and measures to mitigate aviation's impacts on the environment;
 7. *Requests* the Council to disseminate information on the present and future impact and trends of aircraft noise, aircraft fuel consumption, aviation system fuel efficiency, and aircraft engine Particulate Matter (PM) and Oxides of Nitrogen (NO_x) emissions, reflecting the work of the Organization, action plans submitted by States, the ICAO Global Air Navigation Plan, ICAO Standards and Recommended Practices, and ICAO policy and guidance material in the environmental field, in an appropriate manner, such as through regular reporting and workshops, including through the coordination with the ICAO Regional Offices;
 8. *Invites* States to continue their active support for ICAO's environment-related activities, and urges Member States to support activities not foreseen in the budget by providing a reasonable level of voluntary contributions;
 9. *Invites* States and international organizations to provide the necessary scientific information and data to enable ICAO to substantiate its work in this field;
 10. *Encourages* the Council to continue to cooperate closely with international organizations and other UN bodies on the understanding of aviation impacts on the environment and on the establishment of policies to address such impacts; and
 11. *Urges* States to refrain from environmental measures that would adversely affect the orderly and sustainable development of international civil aviation.

APPENDIX B

Development of Standards, Recommended Practices and Procedures and/or guidance material relating to the quality of the environment

Whereas the problem of aircraft noise in the vicinity of many of the world's airports, which continues to arouse public concern and limit airport infrastructure development, requires appropriate action;

Whereas the scientific community is improving the understanding of uncertainties associated with the environmental impact of aircraft emissions at both the local and global levels, this impact remains a cause of concern and requires appropriate action;

Recognizing that there are interdependencies related to technology, design and operations of aircraft when addressing concerns related to noise, local air quality, and climate change;

Whereas the Council has established a Committee on Aviation Environmental Protection (CAEP) for the purpose of assisting in the further development of Standards, Recommended Practices and Procedures and/or guidance material on aircraft noise and engine emissions;

Whereas the Council has adopted Annex 16, Volume I — *Aircraft Noise*, which comprises noise certification Standards for subsonic aircraft (except short take-off and landing/vertical take-off and landing aeroplanes) and has notified Member States of this action;

Whereas the Council has adopted Annex 16, Volume II — *Aircraft Engine Emissions*, which comprises emissions certification Standards for aircraft engines and has notified Member States of this action;

Whereas the Council has adopted Annex 16, Volume III — *Aeroplane CO₂ Emissions*, which comprises CO₂ emissions certification Standards for aeroplanes and has notified Member States of this action;

Recognizing the recommendation by CAEP on a new mass and number standard for non-volatile particulate matter (nvPM) emissions that, once adopted, will be part of Annex 16, Volume II;

Recognizing that the nvPM emissions certification Standard and CO₂ emissions certification standard are a technical comparison of aviation technologies designed for use in nvPM emissions certification and CO₂ emissions certification processes, respectively, and were not designed to serve as a basis for operating restrictions or emissions levies;

Whereas ICAO policy guidance on measures to address environmental concerns related to aircraft noise and engine emissions has been developed, amended and published; and

Recognizing the work of CAEP on its first independent expert integrated review of aircraft and engine technologies and the development of medium-term (2027) and long-term (2037) technology goals for noise, fuel burn and emissions;

Recognizing new innovative technologies and energy sources for aviation being under development in a fast pace, including hybrid and electric aircraft;

The Assembly:

1. *Welcomes* the continuing benefits of the more stringent aircraft noise Standard in Annex 16, Volume I, Chapter 4 that took effect on 1 January 2006;
2. *Welcomes* the adoption by the Council in March 2014 of the new, more stringent Standard for noise which became applicable on or after 31 December 2017 and to become applicable on or after 31 December 2020 for aircraft less than 55 tonnes Maximum Take-off Mass (MTOM);
3. *Welcomes* the adoption by the Council in March 2014 of the new Standard for noise which became applicable for Tilt-rotors on or after 1 January 2018;
4. *Welcomes* the adoption by the Council in March 2017 of the new aeroplane CO₂ Standard to become applicable on or after 1 January 2020 for new aeroplane types, except those new aeroplane types of less than or equal to 60 tonnes MTOM and with a maximum passenger seating capacity of 19 seats or less, which would have an applicability date of on or after 1 January 2023;
5. *Welcomes* the adoption by the Council in March 2017 of the new aeroplane CO₂ Standard to become applicable on or after 1 January 2023 for in-production aeroplanes with a production cut-off date of 1 January 2028;
6. *Welcomes* the adoption by the Council in March 2017 of the initial nvPM mass emissions Standard for all turbofan and turbojet aircraft engines with rated thrust greater than 26.7kN and for which the date of manufacture of the individual engine is on or after 1 January 2020, and further development by CAEP of the new nvPM mass and number emissions Standard for all turbofan and turbojet aircraft engines with rated thrust greater than 26.7kN with the applicability date of 1 January 2023;
7. *Urges States* to recognize that the nvPM and CO₂ emissions certification Standards were not designed to serve as a basis for operating restrictions or emissions levies;
8. *Requests* the Council, with the assistance and cooperation of other bodies of the Organization and of other international organizations, to continue with vigour the work related to the development of Standards, Recommended Practices and Procedures and/or guidance material dealing with the impact of aviation on the environment;
9. *Requests* the Council to closely follow-up innovative technologies and new energy sources for aviation to prepare for the timely environmental certification of such technologies, as appropriate;
10. *Requests* the Council to ensure that CAEP pursues its work programme in the noise and emissions fields expeditiously in order that appropriate solutions can be developed as quickly as possible, and that the necessary resources are made available to do so;
11. *Urges Member States* from regions of the world that are currently under-represented in CAEP to participate in the Committee's work;
12. *Requests* the Council to provide States and International Organizations information on available measures to reduce the impact of aviation operations on the environment so that action can be taken using the appropriate measures;

13. *Urges* Member States to follow, where appropriate, the ICAO provisions developed pursuant to Resolving Clause 8 of this Appendix; and

14. *Requests* the Council to continue the work on developing and employing scenarios for assessing the future environmental impact of aviation emissions and to cooperate with other international organizations in this area.

APPENDIX C

Policies and programmes based on a “balanced approach” to aircraft noise management

Whereas a goal of ICAO is to promote the highest practicable degree of consistency in international civil aviation, including environmental regulations;

Whereas the uncoordinated development of national and regional policies and programmes for the alleviation of aircraft noise could hinder the role of civil aviation in economic development;

Whereas the severity of the aircraft noise problem at many airports has given rise to measures which limit aircraft operations and has provoked vigorous opposition to the expansion of existing airports or construction of new airports;

Whereas ICAO has accepted full responsibility for pursuing a course aimed at achieving maximum compatibility between the safe, economically effective and orderly development of civil aviation and the quality of the environment, and is actively pursuing the concept of a “balanced approach” for the reduction of aircraft noise and guidance on how States might apply such an approach;

Whereas the balanced approach to noise management developed by ICAO consists of identifying the noise problem at an airport and then analysing the various measures available to reduce noise through the exploration of four principal elements, namely reduction at source, land-use planning and management, noise abatement operational procedures and operating restrictions, with the goal of addressing the noise problem in the most cost-effective manner;

Whereas the assessment of present and future impact of aviation noise is an essential tool for the development of policy by ICAO and its Member States;

Whereas the process for implementation and decisions between elements of the balanced approach is for Member States and it is ultimately the responsibility of individual States to develop appropriate solutions to the noise problems at their airports, with due regard to ICAO rules and policies;

Whereas ICAO Circular 351, *Community Engagement for Aviation Environmental Management*, highlights the role of community engagement as an essential component of a comprehensive noise management policy;

Whereas the ICAO guidance developed to assist States in implementing the balanced approach [Guidance on the Balanced Approach to Aircraft Noise Management (Doc 9829)] has been subsequently updated;

Recognizing that solutions to noise problems need to be tailored to the specific characteristics of the airport concerned, which calls for an airport-by-airport approach, and that similar solutions could be applied if similar noise problems are identified at airports;

Recognizing that measures to address noise may have significant cost implications for operators and other stakeholders, particularly those from developing countries;

Recognizing that States have relevant legal obligations, existing agreements, current laws and established policies which may influence their implementation of the ICAO “balanced approach”;

Recognizing that some States may also have wider policies on noise management;

Considering that the improvements in the noise climate achieved at many airports through the replacement of Chapter 2 compliant aircraft (aircraft which comply with the noise certification Standards in Volume I, Chapter 2 of Annex 16 but which exceed the noise levels in Volume I, Chapter 3 of Annex 16) by quieter aircraft should be safeguarded by taking account of the sustainability of future growth and should not be eroded by incompatible urban encroachment around airports; and

Take note that the CAEP analysis of Trends in aircraft noise show that, under an advanced technology improvements scenario, an increase in aircraft operations may no longer result in an increase in noise contour area after 2030, if a number of ambitious actions are carried out by ICAO Member States to realize this scenario;

The Assembly:

1. *Calls upon* all ICAO Member States and international organizations to recognize the leading role of ICAO in dealing with the problems of aircraft noise;
2. *Welcomes* the progress achieved to date in addressing aircraft noise and encourages States, manufacturers and operators to continue to engage in the work of ICAO in addressing aircraft noise, and to continue to pursue technologies and policies that reduce the impact of aircraft noise in the communities that surround airports;
3. *Urges* States to:
 - a) adopt a balanced approach to noise management, taking full account of ICAO guidance (Doc 9829), relevant legal obligations, existing agreements, current laws and established policies, when addressing noise problems at their international airports;
 - b) institute or oversee a transparent process when considering measures to alleviate noise, including:
 - 1) assessment of the noise problem at the airport concerned based on objective, measurable criteria and other relevant factors;
 - 2) evaluation of the likely costs and benefits of the various measures available and, based on that evaluation, selection of measures with the goal to achieve maximum environmental benefit most cost-effectively; and
 - 3) provision for dissemination of the evaluation results, for consultation with stakeholders and for dispute resolution;

4. *Encourages* States to:

- a) promote and support studies, research and technology programmes aimed at reducing noise at source or by other means taking into account interdependencies with other environmental concerns;
- b) apply land-use planning and management policies to limit the encroachment of incompatible development into noise-sensitive areas and mitigation measures for areas affected by noise, consistent with Appendix F to this Resolution;
- c) apply noise abatement operational procedures, to the extent possible without affecting safety and considering interdependencies with other environmental concerns; and
- d) not apply operating restrictions as a first resort but only after consideration of the benefits to be gained from other elements of the balanced approach and in a manner which is consistent with Appendix E to this Resolution and taking into account the possible impact of such restrictions at other airports;

5. *Requests* States to:

- a) work closely together to ensure the harmonization of programmes, plans and policies to the extent possible;
- b) engage with communities on a timely and consistent basis, as per the principles defined in ICAO Circular 351;
- c) ensure that the application of any measures to alleviate noise are consistent with the non-discrimination principle in Article 15 of the Chicago Convention; and
- d) take into consideration the particular economic conditions of developing countries;

6. *Invites* States to keep the Council informed of their policies and programmes to alleviate the problem of aircraft noise in international civil aviation;

7. *Requests* the Council to:

- a) assess continuously the evolution of the impact of aircraft noise;
- b) ensure that the guidance on the balanced approach in Doc 9829 is current and responsive to the requirements of States;
- c) ensure that appropriate guidance on community engagement is made available to States and maintained; and
- d) promote the use of the balanced approach, for example through workshops; and

8. *Calls upon* States to provide appropriate support for this work on ICAO guidance and any additional work on methodologies, and for the assessment of the impact or effectiveness of measures under the balanced approach as necessary.

APPENDIX D

Phase-out of subsonic jet aircraft which exceed the noise levels in Volume I of Annex 16

Whereas certification standards for subsonic jet aircraft noise levels are specified in Volume I of Annex 16;

Whereas for the purpose of this Appendix, a phase-out is defined as withdrawal of a noise-based category of aircraft from international operations at all airports in one or more States;

Whereas the Committee on Aviation Environmental Protection has concluded that a general phase-out of Chapter 3 aircraft operations by all the countries which imposed a phase-out on operations of Chapter 2 aircraft is not supported on cost-benefit grounds and had undertaken the work that led to the recommendation of a new noise certification standard in Volume I of Annex 16 on the understanding that a new phase-out should not be considered;

Whereas some States have implemented or initiated phase-outs of aircraft which exceed the noise levels in Volume I, Chapter 3 of Annex 16, or are considering so doing;

Recognizing that the noise standards in Annex 16 are not intended to introduce operating restrictions on aircraft;

Recognizing that operating restrictions on existing aircraft may increase the costs of airlines and could impose a heavy economic burden, particularly on aircraft operators which may not have the financial resources to re-equip their fleets, such as those from developing countries; and

Considering that resolution of problems due to aircraft noise must be based on the mutual recognition of the difficulties encountered by States and a balance among their different concerns;

The Assembly:

1. *Urges* States not to introduce any phase-outs of aircraft which exceed the noise levels in Volume I, Chapter 3 of Annex 16 before considering:
 - a) whether the normal attrition of existing fleets of such aircraft will provide the necessary protection of noise climates around their airports;
 - b) whether the necessary protection can be achieved by regulations preventing their operators from adding such aircraft to their fleets through either purchase, or lease/charter/interchange, or alternatively by incentives to accelerate fleet modernization;
 - c) whether the necessary protection can be achieved through restrictions limited to airports and runways the use of which has been identified and declared by them as generating noise problems and limited to time periods when greater noise disturbance is caused; and
 - d) the implications of any restrictions for other States concerned, consulting these States and giving them reasonable notice of intention;
2. *Urges* States which, despite the considerations in Resolving Clause 1 above, decide to phase out aircraft which comply with the noise certification standards in Volume I, Chapter 2 of Annex 16 but which exceed the noise levels in Volume I, Chapter 3 of Annex 16:

- a) to frame any restrictions so that Chapter 2 compliant aircraft of an individual operator which are presently operating to their territories may be withdrawn from these operations gradually over a period of not less than 7 years;
 - b) not to restrict before the end of the above period the operations of any aircraft less than 25 years after the date of issue of its first individual certificate of airworthiness;
 - c) not to restrict before the end of the period the operations of any presently existing wide-body aircraft or of any fitted with engines that have a by-pass ratio higher than 2 to 1; and
 - d) to inform ICAO, as well as the other States concerned, of all restrictions imposed;
3. *Strongly encourages* States to continue to cooperate bilaterally, regionally and inter-regionally with a view to:
- a) alleviating the noise burden on communities around airports without imposing severe economic hardship on aircraft operators; and
 - b) taking into account the problems of operators of developing countries with regard to Chapter 2 aircraft presently on their register, where they cannot be replaced before the end of the phase-out period, provided that there is proof of a purchase order or leasing contract placed for a replacement Chapter 3 compliant aircraft and the first date of delivery of the aircraft has been accepted;
4. *Urges* States not to introduce measures to phase out aircraft which comply, through original certification or recertification, with the noise certification standards in Volume I, Chapters 3, 4 or any more recent Chapter of Annex 16;
5. *Urges* States not to impose any operating restrictions on Chapter 3 compliant aircraft, except as part of the balanced approach to noise management developed by ICAO and in accordance with Appendices C and E to this Resolution; and
6. *Urges* States to assist aircraft operators in their efforts to accelerate fleet modernization and thereby prevent obstacles and permit all States to have access to lease or purchase aircraft compliant with Chapter 3, including the provision of multilateral technical assistance where appropriate.

APPENDIX E

Local noise-related operating restrictions at airports

Whereas certification standards for subsonic jet aircraft noise are specified in Volume I of Annex 16;

Whereas for the purposes of this Appendix an operating restriction is defined as any noise-related action that limits or reduces an aircraft's access to an airport;

Whereas Appendix C to this Resolution calls for States to adopt a balanced approach to noise management when addressing noise problems at their international airports;

Whereas further reductions in noise at source are expected as a result of the adoption of new noise certification standards in Volume I of Annex 16 and through the assimilation of noise reduction technology in the fleet;

Whereas at many airports, land-use planning and management and noise abatement operational procedures are already being used and other noise mitigation measures are in place, although urban encroachment continues in certain cases;

Whereas implementation of the phase-out of aircraft which comply with the noise certification standards in Volume I, Chapter 2 of Annex 16 but which exceed the noise levels in Volume I, Chapter 3 of Annex 16 (as provided for in Appendix D to this Resolution) has been completed in some States and, assuming continued growth in aviation activity, without further action the number of people exposed to aircraft noise at some airports in those States may increase;

Whereas there are significant regional differences in the extent to which aircraft noise is expected to be a problem over the next two decades and some States have consequently been considering placing operating restrictions on certain aircraft which comply with the noise certification standards in Volume I, Chapter 3 of Annex 16;

Whereas if operating restrictions on Chapter 3 aircraft are introduced at certain airports, this should be based on the balanced approach and relevant ICAO guidance (Doc 9829) and should be tailored to the specific requirements of the airport concerned;

Whereas these restrictions could have a significant economic impact on fleet investments of aircraft operators from States other than those in which the restrictions are imposed;

Recognizing that these restrictions go beyond the policy established in Appendix D to this Resolution and other relevant policy guidance developed by ICAO;

Recognizing that ICAO places no obligation on States to impose operating restrictions on Chapter 3 aircraft;

Recognizing that the noise standards in Annex 16 were not intended to introduce operating restrictions on aircraft and, specifically, that the standards contained in Annex 16, Volume I, Chapter 4 and Chapter 14, and any further stringency levels adopted by the Council, are based on the understanding that it is for certification purposes only; and

Recognizing in particular that States have legal obligations, laws, existing arrangements and established policies which may govern the management of noise problems at their airports and could affect the implementation of this Appendix;

The Assembly:

1. *Urges* States to ensure, wherever possible, that any operating restrictions be adopted only where such action is supported by a prior assessment of anticipated benefits and of possible adverse impacts;
2. *Urges* States not to introduce any operating restrictions at any airport on aircraft which comply with Volume I, Chapter 3 of Annex 16 before:

- a) completing the phase-out of aircraft which exceed the noise levels in Volume I, Chapter 3 of Annex 16, at the airport concerned; and
 - b) fully assessing available measures to address the noise problem at the airport concerned in accordance with the balanced approach described in Appendix C;
3. *Urges* States which, despite the considerations in Resolving Clause 2 above, permit the introduction of restrictions at an airport on the operations of aircraft which comply, either through original certification or recertification, with Volume I, Chapter 3 of Annex 16:
- a) to base such restrictions on the noise performance of the aircraft, as determined by the certification procedure conducted consistent with Annex 16, Volume I;
 - b) to tailor such restrictions to the noise problem of the airport concerned in accordance with the balanced approach;
 - c) to limit such restrictions to those of a partial nature wherever possible, rather than the complete withdrawal of operations at an airport;
 - d) to take into account possible consequences for air transport services for which there are no suitable alternatives (for example, long-haul services);
 - e) to consider the special circumstances of operators from developing countries, in order to avoid undue hardship for such operators, by granting exemptions;
 - f) to introduce such restrictions gradually over time, where possible, in order to take into account the economic impact on operators of the affected aircraft;
 - g) to give operators a reasonable period of advance notice;
 - h) to take account of the economic and environmental impact on civil aviation; and
 - i) to inform ICAO, as well as the other States concerned, of all such restrictions imposed; and
4. *Further urges* States not to permit the introduction of any operating restrictions aimed at the withdrawal of aircraft that comply, through either original certification or recertification, with the noise standards in Volume I, Chapter 4 and Chapter 14 of Annex 16 and any further stringency levels adopted by the Council.

APPENDIX F

Land-use planning and management

Whereas land-use planning and management is one of the four principal elements of the balanced approach to noise management;

Whereas the number of people affected by aircraft noise is dependent on the way in which the use of land surrounding an airport is planned and managed, and in particular the extent to which residential development and other noise sensitive activities are controlled;

Whereas activity may increase significantly at most airports and there is a risk that future growth may be constrained by inappropriate land use near airports;

Whereas the phase-out of subsonic jet aircraft which comply with the noise certification standards in Volume I, Chapter 2 of Annex 16 but which exceed the noise levels in Volume I, Chapter 3 of Annex 16 has succeeded at many airports in reducing the size of the noise contours depicting the areas where people are exposed to unacceptable noise levels as well as in reducing the total number of people exposed to noise;

Considering it essential that these improvements should be preserved to the greatest extent practicable for the benefit of local communities;

Recognizing that the standard contained in Annex 16, Volume I, Chapter 4 has increased the opportunities for operators to replace aircraft in their fleets by quieter aircraft;

Recognizing that the standard contained in Annex 16, Volume I, Chapter 14, when implemented, will increase the opportunities for operators to replace aircraft in their fleets by quieter aircraft;

Recognizing that while land-use management includes planning activities that may primarily be the responsibility of local authorities, it nevertheless affects airport capacity, which in turn has implications for civil aviation;

Recognizing that the update of the guidance material on appropriate land-use planning and noise mitigation measures is included in the *Airport Planning Manual* (Doc 9184), Part 2 — *Land Use and Environmental Management*;

Recognizing that the ICAO Circular 351 *Community Engagement on Aviation Environmental Management* complements the current policy of aircraft noise management at and around airports; and

Recognizing the Eco-Airport Toolkit e-collection as a useful resource for environmentally sound management policies at and around airports;

The Assembly:

1. *Urges* States that have phased out operations of Chapter 2 aircraft at their airports as provided for in Appendix D to this Resolution, whilst preserving the benefits for local communities to the greatest extent practicable, to avoid inappropriate land use or encroachment whenever possible in areas where reductions in noise levels have been achieved;
2. *Urges* States to ensure that the potential reductions in noise levels to be gained from the introduction of quieter aircraft, particularly those complying with the Chapter 4 standard, are also not avoidably compromised by inappropriate land use or encroachment;
3. *Urges* States, where the opportunity still exists to minimize aircraft noise problems through preventive measures, to:
 - a) locate new airports at an appropriate place, such as away from noise-sensitive areas;
 - b) take the appropriate measures so that land-use planning is taken fully into account at the initial stage of any new airport or of development at an existing airport;

- c) define zones around airports associated with different noise levels taking into account population levels and growth as well as forecasts of traffic growth and establish criteria for the appropriate use of such land, taking account of ICAO guidance;
 - d) enact legislation, establish guidance or other appropriate means to achieve compliance with those criteria for land use; and
 - e) ensure that reader-friendly information on aircraft operations and their environmental effects is available to communities near airports; and
4. *Requests* the Council to:
- a) ensure that the guidance on land use in Doc 9184 is current and responsive to the requirements of States; and
 - b) consider what steps might be taken to promote land-use management, particularly in those parts of the world where the opportunity may exist to avoid aircraft noise problems in the future, including through the Eco-Airport Toolkit e-collection.

APPENDIX G

Supersonic aircraft — The problem of sonic boom

Whereas since the introduction of supersonic aircraft in commercial service action has been taken to avoid creating unacceptable situations for the public due to sonic boom, such as interference with sleep and injurious effects to persons and property on land and at sea caused by the magnification of the sonic boom; and

Whereas the States involved in the manufacture of such supersonic aircraft, as well as other States, continue to carry out research into the physical, physiological and sociological effects of sonic boom;

Recognizing the ongoing work to develop a new supersonic noise Standard for future aircraft, and the work to understand the current state of sonic boom knowledge, research and supersonic aeroplane projects;

Recognizing that the airworthiness certification of a supersonic aeroplane could occur in the 2020-2025 timeframe, and the need for an exploratory study to provide better understanding of airport noise impacts resulting from the introduction of supersonic aircraft;

The Assembly:

1. *Reaffirms* the importance it attaches to ensuring that no unacceptable situation for the public is created by sonic boom from supersonic aircraft;
2. *Instructs* the Council, in the light of the available information and availing itself of the appropriate machinery, to review the Annexes and other relevant documents, so as to ensure that they take due account of the problems which the operation of supersonic aircraft may create for the public and, in particular, as

regards sonic boom, to take action to achieve international agreement on measurement of the sonic boom, the definition in quantitative or qualitative terms of the expression “unacceptable situations for the public” and the establishment of the corresponding limits; and

3. *Invites* the States involved in the manufacture of supersonic aircraft to furnish ICAO in due course with proposals on the manner in which any specifications established by ICAO could be met.

APPENDIX H

Aviation impact on local air quality

Whereas there are growing concerns about the impact of aviation on the atmosphere with respect to local air quality and the associated human health and welfare impacts;

Whereas the evidence of this impact from emissions of NO_x and particulate matter (PM) from aircraft engines on local surface and regional air quality is now more compelling;

Recognizing that the scientific community is improving the understanding of uncertainties associated with the impact from emissions of NO_x and PM from aircraft engines on the global climate;

Recognizing that there are interdependencies related to design and operations of aircraft when addressing concerns related to noise, local air quality, and climate change;

Recognizing that ICAO has established technical Standards and fostered the development of operational procedures that have reduced significantly local air quality pollution from aircraft;

Recognizing the work of CAEP on its first independent expert integrated review of aircraft and engine technologies and the development of medium-term (2027) and long-term (2037) technology goals for noise, fuel burn and emissions;

Whereas many pollutants such as soot and unburned hydrocarbons from aircraft engines affecting local and regional air quality, have declined dramatically over the last few decades;

Whereas progress in operational procedures such as continuous descent operations has resulted in further reduction of emissions from aircraft;

Whereas an assessment of trends in aviation emissions of NO_x, PM, and other gaseous emissions shows increasing global emissions values;

Whereas the impacts of aviation emissions of NO_x, PM, and other gaseous emissions need to be further assessed and understood;

Recognizing the robust progress made in understanding impacts of non-volatile components of PM emissions while the scientific and technical work continues on better assessment of volatile components of PM emissions;

Whereas the impacts of aviation emissions on local and regional air quality are part of the total emissions in the affected area and should be considered in the broader context of all sources that contribute to the air quality concerns;

Whereas the actual local air quality and health impacts of aviation emissions depend on a series of factors among which are the contribution to the total concentrations and the number of people exposed in the area being considered;

Whereas Article 15 of the *Convention on International Civil Aviation* contains provisions regarding airport and similar charges, including the principle of non-discrimination, and ICAO has developed policy guidance for Member States regarding charges (*ICAO's Policies on Charges for Airports and Air Navigation Services*, Doc 9082) including specific guidance on noise-related charges and emissions-related charges for local air quality;

Whereas the ICAO Council had adopted on 9 December 1996 a policy statement of an interim nature on emissions-related charges and taxes in the form of a resolution wherein the Council strongly recommends that any such levies be in the form of charges rather than taxes, and that the funds collected should be applied in the first instance to mitigating the environmental impact of aircraft engine emissions;

Whereas such charges should be based on the costs of mitigating the environmental impact of aircraft engine emissions to the extent that such costs can be properly identified and directly attributed to air transport;

Whereas the ICAO Council has adopted policy and guidance material related to the use of emissions-related charges to address the impact of aircraft engine emissions at or around airports;

Noting that the ICAO Council has published information on environmental management systems (EMS) that are in use by aviation stakeholders; and

Noting that the ICAO Council has developed an Airport Air Quality Manual which has been subsequently updated;

The Assembly:

1. *Requests* the Council to monitor and develop its knowledge of, in cooperation with other relevant international organizations such as WHO, the effects of aviation emissions of PM, NO_x and other gases on human welfare and health, and to disseminate information in this regard;
2. *Requests* the Council to continue its work to develop technologically feasible, environmentally beneficial and economically reasonable standards to further reduce the impact of local air pollution from aircraft;
3. *Requests* the Council to continue to monitor progress in scientific and technical understanding of volatile and non-volatile components of PM emissions;
4. *Requests* the Council to ensure that the interdependencies between measures to reduce aircraft noise and engine emissions that affect local air quality as well as global climate are given due consideration;
5. *Requests* the Council to continue its work to develop integrated medium and long-term technology goals for the reduction of fuel burn, noise and aircraft engine emission of NO_x and nvPM; and operational goals for the reduction of fuel burn;

6. *Requests* the Council to continue to foster operational and air traffic improvements that reduce the impact of local air pollution from aircraft;
7. *Encourages* action by Member States, and other parties involved, to limit or reduce international aviation emissions affecting local air quality through voluntary measures and to keep ICAO informed;
8. *Welcomes* the development and promotion of guidance material on issues related to the assessment of airport-related air quality;
9. *Requests* the Council to work with States and stakeholders in promoting and sharing best practices applied at airports in reducing the adverse effects of aviation emissions on local air quality;
10. *Welcomes* the development of the guidance on emissions charges related to local air quality and *requests* the Council to keep up to date such guidance and *urges* Member States to share information on the implementation of such charges; and
11. *Urges* Member States to ensure the highest practical level of consistency and take due account of ICAO policies and guidance on emissions charges related to local air quality.

Agenda Item 16: Environmental Protection – International Aviation and Climate Change — Policy and Standardization

16.1 At its fifth, sixth, tenth, eleventh and twelfth meetings, the Executive Committee considered the subject of environmental protection on the basis of progress reports by the Council on the Organization's work on international aviation and climate change (WPs 55 and 58). Based on these progress reports, the Executive Committee considered the Council's proposals to update Assembly Resolution A39-2, *Consolidated Statement of continuing ICAO policies and practices related to environmental protection – Climate change* (WP/58). In addition, there were 21 papers submitted by States and Observers: WPs 80 Revision No. 1, 81, 102, 176, 194, 266, 269, 273, 274, 277, 323, 354, 411, 413, 510, 525, 526, 531, 560 Revision No. 1, 561 and 605.

16.2 The Council submitted a report (WP/55) on progress made by ICAO on the basket of CO₂ mitigation measures related to aircraft technology and Standards, operational improvements, and sustainable aviation fuels, as well as updates on the State Action Plans and associated ICAO assistance projects in partnerships with other international organizations.

16.3 For example, WP/55 highlighted the adoption of the new Aeroplane CO₂ emissions Standard as the new Annex 16 — *Environmental Protection, Volume III — Aeroplane CO₂ Emissions*. It also summarized the key findings from the analysis on potential CO₂ reduction benefits from the implementation of the Aviation System Block Upgrades (ASBUs) Strategy – Block 0 and Block 1 modules, and the results of the first global horizontal flight efficiency analysis. It also noted the convening of the ICAO Seminars on Green Airports to share best practices on ground handling, land/air-side mobility, renewable energy, community engagement and sustainability reporting. The results of the Second Conference on Aviation and Alternative Fuels (CAAF/2) was highlighted, in particular the 2050 ICAO Vision on Sustainable Aviation Fuels toward a significant proportion of aviation fuels to be substituted with sustainable aviation fuels by 2050, as well as the convening of the first ICAO stocktaking seminar in 2019.

16.4 WP/55 also provided an update on the ICAO State Action Plan initiative. ICAO has continued to work with Member States to support the development and update of their Action Plans, and to date 116 Member States had voluntarily submitted their action plans to ICAO. In this regard, the paper highlighted various capacity-building activities, including the convening of seven ICAO Seminars, and the update of *Guidance on the Development of States' Action Plans on CO₂ Emissions Reduction Activities* (Doc 9988). The paper also reported on successful completion of two ICAO assistance projects in partnership with the European Union (EU) and with the United Nations Development Programme and the Global Environment Facility (UNDP-GEF).

16.5 The Committee was informed of ICAO's continuing cooperation with other international organizations involved in policy making on climate change, including with the United Nations Framework Convention on Climate Change (UNFCCC). In this regard, the Committee also noted that the UN Climate Action Summit was convened on 23 September 2019, with the aim of raising the global level of ambition and galvanize action to address climate change, and that ICAO attended the summit.

16.6 The Committee recognized the progress achieved in each of the elements of the basket of measures to reduce CO₂ emissions from international aviation since the 39th Assembly, and agreed that the Organization should be supported in coordinating, facilitating and monitoring actions to reduce international aviation CO₂ emissions and reporting on progress by the next Assembly.

16.7 The Committee also agreed that the Assembly can encourage ICAO to continue to cooperate with other United Nations bodies and international organizations, providing information on current and future activities, including on CO₂ emissions, and ensuring ICAO's leadership in all matters related to international civil aviation.

16.8 In WP/58, the Council submitted a proposal for the revision of Assembly Resolution A39-2, *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change*, which has been revised in light of developments described in WP/55 on international aviation and climate change since the 39th Session of the Assembly.

16.9 In WP/80 Revision No. 1, Costa Rica on behalf of the Member States of the Central American Corporation for Air Navigation Services (COCESNA) described the work carried out on updating the Central American Action Plan for emissions reduction from international aviation. It provided an estimate of the emissions generated by air operators with an Air Operator Certificate (AOC) issued by one of the States of the region, and identified the application potential of a set of measures that will be gradually implemented in the region.

16.10 In WP/102, presented by France on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC), expressed their support for the ICAO basket of measures, recognizing that the use of sustainable aviation fuels, complemented by the emergence of fully electric and hybrid electric aircraft, has the potential to significantly reduce aviation's climate footprint. The paper also welcomed the progress made and encouraged the Assembly to take steps towards updating the 2050 ICAO Vision to include an aspirational quantified goal by 2050. The paper described the key challenges as regards the deployment of sustainable aviation fuels and urged for ICAO and its Member States to consider taking stronger policy actions to incentivize investments and contribute to the development of a cost-competitive sustainable aviation fuels market. The paper underlined the importance of addressing the impact of international aviation on climate change with an ambitious long-term perspective and called for ICAO to agree on a long-term goal for international aviation, consistent with the 1.5°C temperature goal of the Paris Agreement.

16.11 In WP/176, the Member States of the African Civil Aviation Commission (AFCAC) highlighted that twelve African Member States benefitted from the joint assistance project of ICAO and

the EU, which demonstrated the importance of assistance programmes to successfully achieve the goal on environmental protection. Through the ICAO-EU assistance project, these twelve African Member States submitted robust State Action Plans for CO₂ mitigation to ICAO. The paper noted that other African Member States are yet to benefit from such assistance programmes and for the implementation of selected mitigation measures, and encouraged Member States and the ICAO Secretariat to finance similar programmes and establish a permanent assistance and capacity-building programme in Environmental Protection for Member States.

16.12 In WP/411, Guatemala, sponsored by the Member States of the Latin American Civil Aviation Commission (LACAC) highlighted the progress made regarding the preparation and update of State Action Plans as well as the development of synergy between civil aviation authorities and key stakeholders as they work together to reduce emissions. They also noted that States in the region will implement various mitigation measures to minimize fuel consumption and reduce emissions, as well as their support for the outcome of CAAF/2 and the need to connect various links of the production chain for sustainable aviation fuels, which requires appropriate coordinated actions between public and private sectors.

16.13 In WP/266, Kenya outlined its experience and progress in the collection, monitoring and reporting of data related to CO₂ emissions from international aviation. This was part of a set of initiatives undertaken by Kenya to update and strengthen its voluntary action plan for CO₂ mitigation from the aviation sector. Kenya highlighted its achievements to date, and the key role that should continue to be played by ICAO's capacity-building programme.

16.14 In WP/269, Mexico expressed its support to the progress over the last triennium for each element of the ICAO basket of measures. It highlighted its support for annual ICAO stocktaking seminars to support the quantification of the 2050 ICAO Vision for Sustainable Aviation Fuels, as well as ICAO's work to promote and foster innovative CO₂ emissions reduction technologies, such as electric and hybrid aircraft, which are a crucial component to explore long-term emissions reduction opportunities for the international aviation sector. Mexico encouraged other Member States to communicate their efforts to reduce aviation CO₂ emissions by the development and refinement of State Action Plans, with assistance and capacity building to be provided by ICAO.

16.15 In WP/323, Dominican Republic highlighted the role of ICAO in assisting States under a successful cooperation model that can be adapted for other Member States, primarily developing States. It noted that the capacity-building project of ICAO and the EU, together with the UNDP and GEF, among others, has demonstrated the importance of assistance programmes to the successful achievement of the global environmental protection objectives and goals. Dominican Republic urged Member States and the ICAO Secretariat to establish a permanent assistance and capacity-building programme in environmental protection for Member States.

16.16 In WP/413, Dominican Republic welcomed ICAO's initiative on State Action Plans, and shared its experience with submission of three versions of its Action Plan to ICAO, thus displaying leadership in environmental management and in the adoption of various mitigation measures, such as at airports.

16.17 In WP/194, the Airports Council International (ACI), the Civil Air Navigation Services Organisation (CANSO), the International Air Transport Association (IATA), the International Business Aviation Council (IBAC) and the International Coordinating Council of Aerospace Industries Associations (ICCAIA), coordinated by the Air Transport Action Group (ATAG), expressed their determination to reduce emissions through technology, sustainable aviation fuels, operational measures and better infrastructure and highlighted the efforts made by the industry in exceeding its short-term climate action

goal. Views were expressed that the Council should develop, with the full support and collaboration of industry, a long-term climate goal for international civil aviation for adoption at the 41st Session of the ICAO Assembly.

16.18 In WP/273, IBAC highlighted that business aviation has launched initiatives to promote the use of sustainable aviation fuels, and that a series of information and demonstration events, together with the publication of an Operator's User Guide, have sought to improve understanding and awareness of sustainable aviation fuels and to encourage the increased production of sustainable aviation fuels and their use by business aircraft operators. IBAC also requested that ICAO facilitate and Member States implement appropriate policies to encourage the production of SAF in greater quantities.

16.19 The Committee acknowledged 11 working papers submitted for information purposes. They were not presented to the meeting but are summarized below:

16.20 In WP/81, the Member States of the Central American Corporation for Air Navigation Services (COCESNA) described the work to improve the environment, by establishing guidelines called "The Green Paper."

16.21 In WP/605, China and Russian Federation submitted the joint statement on the establishment of an equitable and effective global mechanism on international aviation and climate change, as well as to develop an alternative global economic incentive system aimed at real reduction of CO₂ emission in the international civil aviation sector through the global technical modernization of the industry in order to improve flight safety and implementation of the UN Sustainable Development Goals. China and the Russian Federation also invited the Assembly to ask the President of the ICAO Council to inform the Secretary General of this position of the States that accede to the statement.

16.22 In WP/274, Dominican Republic showcased its strategic planning to advance sustainable development in the State's aviation sector.

16.23 In WP/510, Indonesia outlined the importance of the progress made in the area of environmental protection.

16.24 In WP/525, Japan presented its adaptation plans and efforts to establish environmental measures to prevent climate change, as well as shared significant points in promoting relevant policies.

16.25 In WP/526, Germany provided a current overview of the concept of producing sustainable jet fuel using additional renewable electricity, so-called Power-to-Liquids (PtL).

16.26 In WP/531, the United States provided information on its historical improvements of aviation's efficiency, and on ongoing research and development of improvements in technology, operations, and sustainable aviation fuels by the State's government and aviation sector.

16.27 In WP/277, the International Coalition for Sustainable Aviation (ICSA) requested the urgent need for all States and sectors to contribute to the achievements of objectives set forth by the Paris Agreement, reinforced by the recent IPCC Special Report on the impacts of global warming of 1.5° C, while noting that International Maritime Organization (IMO) recently agreed on a long-term climate goal for the international maritime sector. ICSA also elaborated a proposed timetable for ICAO to agree on a long-term goal for the international aviation sector, no later than the 41st Assembly in 2022.

16.28 In WP/354, ACI provided background information on airports and ACI's views on environmental protection, including CO₂ emissions and climate change adaptation, as well as emphasised ACI's support for the work of ICAO on environmental protection through CAEP and by other means.

16.29 In WP/560 Revision No. 1, ICSA provided information it developed on a bottom-up, global aviation CO₂ inventory for calendar year 2018.

16.30 In WP/561, ICSA set out its vision for a “zero climate impact” international aviation pathway towards 2050.

16.31 The Committee acknowledged the results achieved under the ICAO State Action Plans initiative, and agreed that the ICAO Secretariat should continue to enhance ICAO’s capacity building and assistance activities for preparation and implementation of States’ Action Plans to reduce aviation CO₂ emissions, including the organization of seminars and training, provision of guidance and tools, facilitating access to financial resources and experts, and the establishment of additional feasibility studies, particularly in developing States and Small Island Developing States.

16.32 The Committee also agreed that more partnerships among States should be encouraged to assist those that have not yet prepared or improved their State Action Plans, including through the ICAO’s State Action Plan Buddy Programme.

16.33 The Committee also noted proposals from some Member States that additional resources should be made available for the development of State Action Plans to reduce aviation CO₂ emissions, and for feasibility studies and implementation of CO₂ emissions mitigations measures, for example, through the establishment of additional partnerships between ICAO, Member States and international organizations.

16.34 Regarding sustainable aviation fuels, the Committee noted that several challenges remain as regards the commercial-scale deployment of sustainable aviation fuels. In this regard, it agreed that Member States should support work on the 2050 ICAO Vision for Sustainable Aviation Fuels (SAF), including the organization of annual ICAO stocktaking seminars, while recognizing divergent views regarding whether it is necessary to set a quantified proportion of SAF to be used by 2050 and regarding approaches for how to develop such a quantified proportion goal (either top-down or bottom-up approach). The Committee also highlighted the need for ICAO to provide a forum to exchange information and facilitate better understanding of lower carbon aviation fuel.

16.35 Regarding a long-term global aspirational goal for international aviation, the Committee noted that WP/55 from the ICAO Council included a request that further work on the feasibility of a long-term global aspirational goal, as requested by Resolution A39-2, paragraph 9, be presented at the 41st Session of the Assembly. It also noted a clear majority of States proposed that the work on a long-term global aspirational goal should be prioritized toward the 41st Session of the ICAO Assembly but others opposed such proposals, while recognizing some divergence of views regarding whether it is necessary to develop another long-term aspirational goal and regarding the approaches for how to develop such a long-term aspirational goal (either by top-down or bottom-up approach).

16.36 The Committee recalled the convening of the UN Climate Summit by the UN Secretary General to raise more ambition for climate actions by all countries and all sectors, and that ICAO participated to highlight the importance of coalitions and partnerships to accelerate the implementation of green technologies and innovations that will further reduce aviation emissions in a longer term. The Committee was reminded that the ICAO Innovation Fair that took place in Montréal from 22 to 23 September 2019 showcased environment-driven innovative technologies and renewable energy solutions, which are important components to explore long term emissions reduction opportunities for the international aviation sector.

16.37 Further views were expressed on the need for providing a clear message in paragraph 9 of Resolution A39-2 to emphasize the urgency for adoption of a long-term global aspirational goal, in light of

the call for more ambition and urgent action arising from the UN Climate Summit and the recent Youth Climate Strikes, including the one held in Montréal on 27 September 2019. However, other States pointed to the need to take the opportunity to implement ambitious goals that had already been set as a first step. Some States were of the view that, if changes to Resolution A39-2 were introduced, amendments to other paragraphs, not only to paragraph 9, would also need to be considered. In this regard, the Delegation of the Russian Federation asked to set up an ad-hoc working group to reach an agreement on some points of the draft climate change resolution, which was supported by some States, but the proposal was not accepted.

16.38 A clear majority of States agreed that additional clarity should be given to the Council to prioritize the work on the feasibility of a long-term global aspirational goal for international aviation CO₂ emissions reduction, and present options, followed by a roadmap for implementation, for consideration by the 41st Session of the ICAO Assembly. They expressed that the work should be done with the technical support of CAEP and in consultation with States, the industry and other relevant stakeholders, building upon ongoing and planned initiatives and actions, including innovative technologies, and partnerships amongst States and industry, and whilst providing the necessary support, including capacity building and technical assistance to States under the *No Country Left Behind* initiative. Other States rejected to prioritize this work on the feasibility of a long-term global aspirational goal, and requested the Council to take stock of the implementation of national plans of States in terms of their respective long-term visions, and to get better understanding of the resources available for assistance to developing countries in terms of technology, capacity building and finance, as well as ensure the fairness in light of special circumstances and respective capabilities of States.

16.39 In considering the updated Resolution A39-2, a clear majority of States expressed their support to the draft Resolution text proposed in the Appendix to WP/58 without any further change, while other States insisted that the draft Resolution should be modified and submitted their specific suggestions for amendments. Following oral statements made by some Member States, written input to the meeting was submitted by three Member States, posted on the ICAO website (https://www.icao.int/Meetings/a40/Documents/consolidated_statement_continuing_ICAO_policies_practices_wp_058_en.pdf) and presented to the Committee.

16.40 China and the Russian Federation proposed to move the Annex *The guiding principles for the design and implementation of market-based measures (MBMs) for international aviation* from the draft resolution under consideration to the draft resolution presented in the WP/59. However, the proposal was rejected.

16.41 Despite the objections of a few States, the Committee agreed, by majority, to recommend that the Assembly adopt the following Resolution:

Resolution 16/1: Consolidated statement of continuing ICAO policies and practices related to environmental protection - Climate change

Whereas ICAO and its member States recognize the critical importance of providing continuous leadership to international civil aviation in limiting or reducing its emissions that contribute to global climate change;

Reemphasizing the vital role which international aviation plays in global economic and social development and the need to ensure that international aviation continues to develop in a sustainable manner;

Acknowledging that the work of the Organization on the environment contributes to 14 of the 17 United Nations Sustainable Development Goals (SDGs), including SDG 13 “*Take urgent action to combat climate change and its impacts*”;

Whereas a comprehensive assessment of aviation’s impact on the atmosphere is contained in the special report on *Aviation and the Global Atmosphere*, published in 1999, which was prepared at ICAO’s request by the Intergovernmental Panel on Climate Change (IPCC);

Whereas the IPCC special report recognized that the effects of some types of aircraft emissions are well understood, it revealed that the effects of others are not, and identified a number of key areas of scientific uncertainty that limit the ability to project aviation’s full impacts on climate and ozone; the Organization will update the information contained in the IPCC special report;

Acknowledging that international aviation emissions, currently accounting for less than 2 per cent of total global CO₂ emissions, are projected to increase as a result of the continued growth of air transport;

Whereas the ultimate objective of the United Nations Framework Convention on Climate Change (UNFCCC) is to achieve stabilization of greenhouse gas (GHG) concentrations in the atmosphere at a level that would prevent dangerous anthropogenic interference with the climate system;

Whereas the Kyoto Protocol, which was adopted by the Conference of the Parties to the UNFCCC in December 1997 and entered into force on 16 February 2005, calls for developed countries (Annex I Parties) to pursue limitation or reduction of greenhouse gases from “aviation bunker fuels” (international aviation) working through ICAO (Article 2.2);

Whereas the Paris Agreement, which was adopted by the Conference of the Parties to the UNFCCC in December 2015, enhances the implementation of the UNFCCC including its objective, and aims to strengthen the global response to the threat of climate change, in the context of sustainable development and efforts to eradicate poverty, including by holding the increase in the global average temperature to well below 2 °C above pre-industrial levels and pursuing efforts to limit the temperature increase to 1.5 °C above pre-industrial levels, recognizing that this would significantly reduce the risks and impacts of climate change;

Recognizing the global aspirational goals for the international aviation sector of improving fuel efficiency by 2 per cent per annum and keeping the net carbon emissions from 2020 at the same level, as adopted by the ICAO Assembly at its 37th Session in 2010 and reaffirmed at its 38th and 39th Sessions in 2013 and 2016, as well as the work being undertaken to explore a long-term global aspirational goal for international aviation in light of the 2 °C and 1.5 °C temperature goals of the Paris Agreement;

Recognizing that the aspirational goal of 2 per cent annual fuel efficiency improvement is unlikely to deliver the level of reduction necessary to stabilize and then reduce aviation’s absolute emissions contribution to climate change, and that goals of more ambition are needed to deliver a sustainable path for aviation;

Affirming that addressing GHG emissions from international aviation requires the active engagement and cooperation of States and the industry, and *noting* the collective commitments announced by Airports Council International (ACI), Civil Air Navigation Services Organisation (CANSO), International Air Transport Association (IATA), International Business Aviation Council (IBAC) and International Coordinating Council of Aerospace Industries Associations (ICCAIA) on behalf of the international air transport industry, to continuously improve CO₂ efficiency by an average of 1.5 per cent

per annum from 2009 until 2020, to achieve carbon neutral growth from 2020 and to reduce its carbon emissions by 50 per cent by 2050 compared to 2005 levels;

Recalling the UNFCCC and the Paris Agreement and *acknowledging* its principle of common but differentiated responsibilities and respective capabilities, in light of different national circumstances;

Also acknowledging the principles of non-discrimination and equal and fair opportunities to develop international aviation set forth in the Chicago Convention;

Recognizing that this Resolution does not set a precedent for or prejudice the outcome of negotiations under the UNFCCC or the Paris Agreement, nor represent the position of the Parties to those agreements;

Noting that, to promote sustainable growth of international aviation and to achieve its global aspirational goals, a comprehensive approach, consisting of a basket of measures including technology and standards, sustainable aviation fuels, operational improvements and market-based measures to reduce emissions is necessary;

Acknowledging the significant technological progress made in the aviation sector, with aircraft produced today being about 80 per cent more fuel efficient per passenger kilometre than in the 1960's;

Welcoming the adoption of the CO₂ emissions certification Standard for aeroplanes by the Council in March 2017;

Recognizing the work being undertaken to consider the environmental aspects of aircraft end-of-life such as through aircraft recycling;

Recognizing that air traffic management (ATM) measures under the ICAO's Global Air Navigation Plan contribute to enhanced operational efficiency and the reduction of aircraft CO₂ emissions;

Welcoming the assessment of the environmental benefits of the Aviation System Block Upgrades (ASBUs) completed for Block 0 and Block 1, and the results of the first global horizontal flight efficiency analysis;

Welcoming the convening of the ICAO Seminars on Green Airports in November 2017 and May 2019;

Noting that the first Conference on Aviation and Alternative Fuels in November 2009 (CAAF/1) endorsed the use of sustainable aviation fuels, particularly the use of drop-in fuels in the short to mid-term, as an important means of reducing aviation emissions;

Also noting that the CAAF/1 established an ICAO Global Framework for Aviation Alternative Fuels (GFAAF) through which progress has been registered, with six pathways for the certification of sustainable aviation fuels to date, and more airports regularly distributing such fuels;

Further noting that the second Conference on Aviation and Alternative Fuels in October 2017 (CAAF/2) adopted recommendations and approved a declaration, including the 2050 ICAO Vision for Sustainable Aviation Fuels, as a living inspirational path for a significant proportion of aviation fuels to be substituted with sustainable aviation fuels by 2050;

Recognizing that the technological feasibility of drop-in sustainable aviation fuels is proven and that the introduction of appropriate policies and incentives to create a long-term market perspective is required;

Acknowledging the need for such fuels to be developed and deployed in an economically feasible, socially and environmentally acceptable manner and the progress achieved in the harmonization of the approaches to sustainability;

Recognizing that sustainability criteria, sustainability certification, and the assessment of life cycle emissions of such fuels are considered as part of work for the implementation of Carbon Offsetting and Reduction for International Aviation (CORSA);

Acknowledging the need to explore and facilitate the civil aviation sector's access to renewable energy including through its cooperation with the Sustainable Energy for All (SE4ALL) initiative, as part of the Organization's contribution to SDG 7 "*Ensure access to affordable, reliable, sustainable and modern energy for all*";

Recalling that Assembly Resolution A37-19 requested the Council, with the support of member States, to undertake work to develop a framework for market-based measures (MBMs) in international aviation, including further elaboration of the guiding principles listed in the Annex to A37-19, and that the guiding principles were elaborated as listed in the Annex to Assembly Resolutions A38-18 and A39-2, which are reproduced in the Annex to this Resolution;

Noting that, consistent with Assembly Resolution A39-2, a substantial strategy for capacity building and other technical and financial assistance was undertaken by the Organization, in line with the No Country Left Behind (NCLB) initiative, to assist the preparation and submission of States' action plans, including the holding of regional seminars, the development and update of ICAO Doc 9988, *Guidance on the development of States' Action Plans on CO₂ Emissions Reduction Activities*, an interactive web-interface, the ICAO Fuel Savings Estimation Tool (IFSET), the ICAO Environmental Benefits Tool (EBT) and a Marginal Abatement Cost (MAC) curve tool;

Welcoming that, as of June 2019, 114 member States that represent more than 93 per cent of global international air traffic voluntarily prepared and submitted action plans to ICAO;

Recognizing the different circumstances among States in their capacity to respond to the challenges associated with climate change and the need to provide necessary support, in particular to developing countries and States having particular needs;

Affirming that specific measures to assist developing States as well as to facilitate access to financial support, technology transfer and capacity building should be initiated as soon as possible;

Recognizing the assistance provided by ICAO in partnership with other organizations to facilitate Member States' action to reduce aviation emissions, as well as continuous search for potential assistance partnerships with other organizations;

Recognizing the importance of work being undertaken to identify the potential impacts of climate change on international aviation operations and related infrastructure; and

Recognizing the progress made by ICAO in its implementation of the Climate Neutral UN initiative and the significant support provided by ICAO to the initiative, in particular through the development of the

ICAO Carbon Emissions Calculator, to support the assessment of emissions from passengers travelling by air and welcoming its expansion to add air cargo emissions;

The Assembly:

1. *Resolves* that this Resolution, together with Resolution A40-17: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality* and Resolution A40-19: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)*, supersede Resolutions A39-1, A39-2 and A39-3 and constitute the consolidated statement of continuing ICAO policies and practices related to environmental protection;
2. *Requests* the Council to:
 - a) ensure that ICAO exercise continuous leadership on environmental issues relating to international civil aviation, including GHG emissions;
 - b) continue to study policy options to limit or reduce the environmental impact of aircraft engine emissions and to develop concrete proposals, encompassing technical solutions and market-based measures, and taking into account potential implications of such measures for developing as well as developed countries; and
 - c) continue to cooperate with organizations involved in policy-making in this field, notably with the Conference of the Parties to the UNFCCC;
3. *Reiterates* that:
 - a) ICAO should continue to take initiatives to promote information on scientific understanding of aviation's impact and action undertaken to address aviation emissions and continue to provide the forum to facilitate discussions on solutions to address aviation emissions; and
 - b) emphasis should be on those policy options that will reduce aircraft engine emissions without negatively impacting the growth of air transport especially in developing economies;
4. *Resolves* that States and relevant organizations will work through ICAO to achieve a global annual average fuel efficiency improvement of 2 per cent until 2020 and an aspirational global fuel efficiency improvement rate of 2 per cent per annum from 2021 to 2050, calculated on the basis of volume of fuel used per revenue tonne kilometre performed;
5. *Agrees* that the goals mentioned in paragraph 4 above would not attribute specific obligations to individual States, and the different circumstances, respective capabilities and contribution of developing and developed States to the concentration of aviation GHG emissions in the atmosphere will determine how each State may voluntarily contribute to achieving the global aspirational goals;
6. *Also resolves* that, without any attribution of specific obligations to individual States, ICAO and its Member States with relevant organizations will work together to strive to achieve a collective medium-term global aspirational goal of keeping the global net carbon emissions from international aviation from 2020 at the same level, taking into account: the special circumstances and respective capabilities of States, in particular developing countries; the maturity of aviation markets; the sustainable growth of the international aviation industry; and that emissions may increase due to the expected growth

in international air traffic until lower emitting technologies and fuels and other mitigating measures are developed and deployed;

7. *Recognizes* the many actions that ICAO Member States have taken and intend to take in support of the achievement of the collective aspirational goals, including air traffic management modernization, acceleration of the use of fuel-efficient aircraft technologies, and the development and deployment of sustainable aviation fuels, and *encourages* further such efforts;

8. *Agrees* to review, at its 41st Session, the goal outlined in paragraph 6 above in light of progress towards the goal, studies regarding the feasibility of achieving the goal, and relevant information from States;

9. *Requests* the Council to continue to explore the feasibility of a long-term global aspirational goal for international aviation, through conducting detailed studies assessing the attainability and impacts of any goals proposed, including the impact on growth as well as costs in all countries, especially developing countries, for the progress of the work to be presented to the 41st Session of the ICAO Assembly. Assessment of long-term goals should include information from Member States on their experiences working towards the medium term goal;

10. *Further encourages* States to submit voluntary action plans outlining respective policies and actions, and annual reporting on international aviation CO₂ emissions to ICAO;

11. *Invites* those States that choose to prepare or update action plans to submit them to ICAO as soon as possible preferably by the end of June 2021 and once every three years thereafter, in order that ICAO can continue to compile the quantified information in relation to achieving the global aspirational goals, and the action plans should include information on the basket of measures considered by States, reflecting respective national capacities and circumstances, quantified information on the expected environmental benefits from the implementation of the measures chosen from the basket, and information on any specific assistance needs;

12. *Encourages* States that have already submitted action plans to share information contained in action plans and build partnerships with other Member States in order to support those States that have not prepared action plans, and to make the submitted action plans available to the public, taking into account the commercial sensitivity of information contained in States' action plans;

13. *Requests* the Council to facilitate the dissemination of economic and technical studies and best practices related to aspirational goals and to continue to provide guidance and other technical assistance for the preparation and update of States' action plans prior to the end of June 2021, in order for States to conduct necessary studies and to voluntarily submit action plans to ICAO;

14. *Requests* the Council to maintain and enhance appropriate standard, methodologies and a mechanism to measure/estimate, monitor and verify global GHG emissions from international aviation, and States support the work of ICAO on measuring progress through the reporting of annual data on traffic, fuel consumption and CO₂ emissions;

15. *Requests* the Council to request States to continue to support the efforts of ICAO on enhancing the reliability of measuring/estimating global GHG emissions from international aviation, and to regularly report CO₂ emissions from international aviation to the UNFCCC, as part of its contribution to assessing progress made in the implementation actions in the sector based on information approved by its Member States;

16. While recognizing that no effort should be spared to obtain means to support the reduction and stabilization of CO₂ emissions from all sources, *urges* that ICAO and its Member States express a clear concern, through the UNFCCC process, on the use of international aviation as a potential source for the mobilization of revenue for climate finance to the other sectors, in order to ensure that international aviation would not be targeted as a source of such revenue in a disproportionate manner;

17. *Requests* the Council to:

- a) continue to play a pivotal role in providing assistance to its Member States through the dissemination of the latest information on best practices and the provision of guidance and other technical assistance to enhance capacity building and technology transfer, including through the ICAO Technical Cooperation Programme;
- b) build further partnerships with other international organizations to meet the assistance needs of ICAO's Member States, including through the ICAO Action Plan Buddy Programme, and facilitate access to existing and new financial resources, technology transfer and capacity building, to developing countries and report on results achieved as well as further recommendations, preliminarily by the end of 2021 and at the 41st Session of the Assembly; and
- c) continue to initiate specific measures to assist developing States as well as to facilitate access to financial resources, technology transfer and capacity building;

18. *Requests* States to promote scientific research aimed at continuing to address the uncertainties identified in the IPCC special report on Aviation and the Global Atmosphere and in the Assessment reports, and ensure that future assessments undertaken by IPCC and other relevant United Nations bodies include updated information, if any, on aircraft-induced effects on the atmosphere;

19. *Requests* the Council to:

- a) continue to develop and keep up-to-date the guidance for Member States on the application of policies and measures aimed at reducing or limiting the environmental impact of emissions from international aviation, and conduct further studies with respect to mitigating the impact of international aviation on climate change;
- b) encourage States to cooperate in the development of predictive analytical models for the assessment of aviation impacts;
- c) continue evaluating the costs and benefits of the various measures, including existing measures, with the goal of addressing aircraft engine emissions in the most cost-effective manner, taking into account the interests of all parties concerned, including potential impacts on the developing world; and
- d) assist Member States with studies, evaluations and development of procedures, in collaboration with other States in the region, to limit or reduce GHG emissions on a global basis and work together collaboratively to optimize the environmental benefits that can be achieved through various programmes;

20. *Requests States to:*

- a) consider policies to encourage the introduction of more fuel efficient aircraft into the market, and work together through ICAO to exchange information and develop guidance for best practices on aircraft end-of-life such as through aircraft recycling; and
- b) accelerate investments on research and development to bring to market more efficient technology;

21. *Requests the Council to:*

- a) update the CO₂ emissions certification Standard for aeroplanes, as appropriate; and
- b) update medium- and long-term technological goals for aircraft fuel burn;

22. *Requests States to:*

- a) accelerate the development and implementation of fuel efficient routings and air navigation procedures to reduce aviation emissions, and work with ICAO to bring the environmental benefits to all regions and States, taking into account the Aviation System Block Upgrades (ASBUs) strategy;
- b) reduce legal, security, economic and other institutional barriers to enable implementation of the new air traffic management operating concepts for the environmentally efficient use of airspace; and
- c) work together through ICAO to exchange information and best practices on Green Airports;

23. *Requests the Council to:*

- a) maintain and update guidance on operational measures to reduce international aviation emissions, and place emphasis on increasing fuel efficiency in all aspects of the ICAO's Global Air Navigation Plan (GANP); encourage States and stakeholders to develop air traffic management that optimizes environmental benefits;
- b) continue to develop and update the necessary tools and guidance to assess the benefits associated with air traffic management improvements, and assess the environmental benefits associated with the implementation of the Aviation System Block Upgrades (ASBUs) strategy;
- c) continue to provide the forum to exchange information on best practices for Green Airports, covering such subjects as smart buildings, renewable energy, green mobility, climate change resilience, community engagement and sustainability reporting, aiming at sharing lessons learned and best practices amongst airports; and
- d) publish and maintain guidance material on the implementation of environmentally sustainable practices at airports, including the publication of the remaining parts of the Eco-Airport Toolkit e-collection;

24. *Requests States to:*

- a) set a coordinated approach in national administrations for policy actions and investment to accelerate the appropriate development, deployment and use of clean and renewable energy sources for aviation, including the use of sustainable aviation fuels, in accordance with their national circumstances;
- b) consider the use of incentives to encourage the deployment of clean and renewable energies sources for aviation, including sustainable aviation fuels;
- c) consider measures to support research and development as well as processing technology and feedstock production in order to decrease costs and support scale-up of sustainable production pathways up to commercial scale, taking into account the sustainable development of States;
- d) recognize existing approaches to assess the sustainability of all fuels in general, including those for use in aviation which should achieve net GHG emissions reduction on a life cycle basis, contribute to local social and economic development; competition with food and water should be avoided; and
- e) adopt measures to ensure the sustainability of aviation fuels, building on existing approaches or combination of approaches, and monitor their production at a national level;

25. *Requests the Council to:*

- a) encourage Member States and invite industry, financial institutions and other international organizations to actively participate in exchange of information and best practices, and facilitate the establishment of partnerships and the definition of policies that will further promote the transition to clean, renewable sources of energy for aviation, including sustainable aviation fuels, through regional seminars;
- b) continue to maintain the ICAO Global Framework for Aviation Alternative Fuels (GFAAF);
- c) continue to give a global view of the future use of sustainable aviation fuels and to account for changes in life cycle GHG emissions in order to assess progress toward achieving global aspirational goals;
- d) work with financial institutions to facilitate access to financing infrastructure development projects dedicated to sustainable aviation fuels and incentives to overcome initial market hurdles;
- e) cooperate with other relevant international initiatives, including the Sustainable Energy for All (SE4ALL) initiative, to facilitate the aviation's access to renewable energy; and
- f) continue to undertake a stocktaking process to continuously assess progress on the development and deployment of sustainable aviation fuels, including regular workshops and seminars, leading up to the convening of the CAAF/3 no later than 2025, with a view to updating the 2050 ICAO Vision for Sustainable Aviation Fuels to include a quantified proportion of SAF to be used by 2050;

26. *Requests* the Council to identify the potential impacts of climate change on international aviation operations and related infrastructure, identify adaptation measures to address the potential climate change impacts and develop guidance on climate change risk assessment for international aviation, in cooperation with other relevant international organizations and the industry; and
27. *Requests* the Council to continue to cooperate with the Climate Neutral UN initiative, remain at the forefront of developing methods and tools for quantifying aviation's GHG emissions with respect to the initiative, including the ICAO Carbon Emissions Calculator that also incorporates cargo emissions, and further develop and implement the strategy for reducing GHG emissions and enhancing in-house sustainability management practices of the Organization.

Annex

The guiding principles for the design and implementation of market-based measures (MBMs) for international aviation:

- a) MBMs should support sustainable development of the international aviation sector;
- b) MBMs should support the mitigation of GHG emissions from international aviation;
- c) MBMs should contribute towards achieving global aspirational goals;
- d) MBMs should be transparent and administratively simple;
- e) MBMs should be cost-effective;
- f) MBMs should not be duplicative and international aviation CO₂ emissions should be accounted for only once;
- g) MBMs should minimize carbon leakage and market distortions;
- h) MBMs should ensure the fair treatment of the international aviation sector in relation to other sectors;
- i) MBMs should recognize past and future achievements and investments in aviation fuel efficiency and in other measures to reduce aviation emissions;
- j) MBMs should not impose inappropriate economic burden on international aviation;
- k) MBMs should facilitate appropriate access to all carbon markets;
- l) MBMs should be assessed in relation to various measures on the basis of performance measured in terms of CO₂ emissions reductions or avoidance, where appropriate;
- m) MBMs should include *de minimis* provisions;
- n) where revenues are generated from MBMs, it is strongly recommended that they should be applied in the first instance to mitigating the environmental impact of aircraft engine emissions, including mitigation and adaptation, as well as assistance to and support for developing States;
- o) where emissions reductions are achieved through MBMs, they should be identified in States' emissions reporting; and
- p) MBMs should take into account the principle of common but differentiated responsibilities and respective capabilities, the special circumstances and respective capabilities, and the principle of non-discrimination and equal and fair opportunities.

Agenda Item 17: Environmental Protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)

17.1 At its fifth, sixth, eleventh, twelfth and thirteenth meetings, the Executive Committee considered the subject of environmental protection on the basis of progress reports by the Council on the Organization's work on the Carbon Offsetting and Reduction Scheme for International Aviation (CORSA) (WPs 56 and 59) and considered the Council's proposals to update Assembly Resolution A39-3, *Consolidated Statement of continuing ICAO policies and practices related to environmental protection – Global Market-based Measure (MBM) Scheme* (WP/59). In addition, there were 25 papers submitted by States and Observers: WPs 79 Revision No. 1, 102, 139, 159, 177, 193, 227, 228 Revision No. 1, 229, 265, 266, 267, 289, 290, 291, 306, 338, 339, 407, 409, 411, 472, 482, 527 Revision No. 1 and 529 Revision No. 1.

17.2 In WP/56, the Council reported on progress made by ICAO since the 39th Session of the Assembly on issues related to CORSA. In response to the request by the Assembly, the Council adopted Standards and Recommended Practices (SARPs) for CORSA as the First Edition of Annex 16 — *Environmental Protection, Volume IV — Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)* in June 2018, which became applicable as of 1 January 2019. It also informed that the First Edition of the *Environmental Technical Manual* (Doc 9501), Volume IV was issued in August 2018. Regarding the CORSA Implementation Elements, the paper reported on progress made regarding the ICAO CORSA CO₂ Estimation and Reporting Tool (CERT), CORSA eligible fuels, CORSA eligible emissions units and CORSA central registry (CCR) as well as on next steps.

17.3 Regarding CORSA outreach and capacity-building activities, WP/56 reported on the organization of ICAO regional seminars and workshops during the triennium to help build capacity in States for the development of their Monitoring, Reporting and Verification (MRV) systems. The paper also highlights the activities under ACT-CORSA (Assistance, Capacity Building and Training for CORSA) Programme, in particular the CORSA Buddy Partnerships which have involved 15 donor States and 98 recipient States. Other related activities of work highlighted in the paper was the ICAO Training Course on CORSA Verification that provides training for potential verification bodies on how to verify CO₂ Emissions Reports.

17.4 WP/56 also provided background information regarding the Council discussion and decision on operative paragraph 18 of the revised Assembly Resolution A39-3, on the basis of wording used in preambular paragraphs 7, 8 and 9, as presented in the Appendix to WP/59 (see below).

17.5 In WP/59, the Council submitted a proposal for the revision of Resolution A39-3 in light of the developments since the 39th Session of the Assembly on CORSA as described in WP/56.

17.6 In WP/79 Revision No. 1, the Member States of the Central American Corporation for Air Navigation Services (COCESNA) summarized the findings of an analysis undertaken regarding the importance of the widest possible participation of States in CORSA from its outset.

17.7 In WP/102, presented by France on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC), expressed their strong support for the ICAO basket of measures including CORSA, and acknowledged the achievements already made. All ECAC Member States have volunteered to participate from the pilot phase, and are fully engaged and supportive in CORSA implementation. It also expressed the crucial importance for all States and regions to effectively implement CORSA and participate in CORSA from the pilot phase.

17.8 In WP/177, the Member States of the African Civil Aviation Commission (AFCAC) expressed the necessity for States to join CORSA voluntarily from the pilot phase to experience the

implementation challenges and benefits, and be prepared for the mandatory phases. The paper also highlighted the need to increase capacity building programmes, building upon the successful experience of the ICAO-EU assistance project, and further facilitate States' access to financial resources, technical expertise and technology transfer through effective collaboration and partnerships.

17.9 In WP/229, Singapore, Australia, Canada, Fiji, Indonesia, Japan, Marshall Islands, Nauru, New Zealand, Palau, Papua New Guinea, Samoa, Trinidad and Tobago, and the United States highlighted that the successful implementation of CORSIA requires the voluntary participation of a significant and large enough group of States, and that the strong partnership between ICAO, States and industry in CORSIA MRV implementation demonstrates the committed and united front the aviation community is taking to ensure a consistent approach to CORSIA implementation. It also included suggestions for further improvement, including: enhanced capacity building through ACT-CORSIA; access to accredited verification bodies through enhanced training; and timely guidance on CORSIA eligible emissions units and CORSIA eligible fuels.

17.10 In WP/289, Brazil and Guatemala with support of the Latin American Civil Aviation Commission (LACAC) Member States highlighted the importance of all elements of the basket of measures to achieve the sustainable development of civil aviation. It was also stressed the relevance of appropriate implementation of the CORSIA MRV, and expressed the support for the ICAO ACT-CORSIA programme and its continuation. The paper also underlined the importance for the periodic review of CORSIA foreseen for 2022, and requested that CAEP carry out the studies necessary to support this review.

17.11 In WP/306, China and the Russian Federation explained their view that ICAO has not given balanced consideration to the concerns and positions of various Parties in the course of facilitating CORSIA implementation. The paper argues that only by ensuring procedural justice in decision-making and moral fairness in the design elements of the mechanism, can countries, particularly developing countries, become more confident in ICAO's effort in international aviation and climate change and show more willingness to engage in international cooperation in CORSIA implementation. The paper also proposed to allow States to implement the CORSIA in a nationally determined approach complemented with a mechanism of international dialogue and consultation between the ICAO Council and the State(s) concerned, and proposed to request the Council, with relevant information from States, to undertake the periodic review of CORSIA, on the basis of guiding principles listed in the Annex to Resolution A39-2.

17.12 In WP/411, Guatemala, sponsored by LACAC Member States, highlighted the urgent need to regulate the implementation of CORSIA MRV, while several Latin American States have issued relevant regulations and others are working on it on the basis of approved Annex 16, Volume IV. It also emphasized the importance of ICAO ACT-CORSIA programme, including the benefits of inter-State alliances such as CORSIA Buddy Partnerships.

17.13 In WP/228 Revision No. 1, India proposed the adoption of a "Member State driven" principle of establishing aviation emissions and to attribute responsibility of emissions reduction to Member States instead of airline operators as the basis of CORSIA. In particular, it highlighted the need for fair and equitable baseline year criterion and suggested an alternative to such criterion. It emphasized the potential implications of the 100 per cent sectoral approach on operators with a small share in global emission growth. It also expressed the view that restrictions as regards the type or vintage of eligible offsets may reduce availability and increase the cost of compliance. The paper also noted the lack of legal guidance to enforce the SARPs, and the need to ensure that requirements are in synchronization with the UNFCCC rules.

17.14 In WP/227, Canada highlighted the importance of capacity building and training, and reiterated its continued support to ICAO ACT-CORSIA programme. It emphasized the time taken to establish the required infrastructure and procedures for accrediting verification bodies. The paper expressed

that CORSIA periodic reviews will help ensure the continued relevance and improvement of CORSIA over time, and highlighted the importance of having approved programmes and, potentially, project types, confirmed ahead of the start of offsetting requirements from 2021.

17.15 In WP/265, Guyana discussed its efforts on environment and highlighted its commitment to participate in the pilot phase of CORSIA. The paper also expressed Guyana's full support for ICAO's efforts under the ACT-CORSIA Buddy Partnerships.

17.16 In WP/266, Kenya described its contributions to CORSIA-related activities, including its participation in the Small Scale Implementation Project to test the MRV provisions of the CORSIA SARPs, decision to voluntarily participate in CORSIA from the pilot phase, efforts to ensure the implementation of SARPs, and support to the ICAO ACT-CORSIA programme as a donor State.

17.17 In WP/267, Mexico expressed its support on the significant progress made for the timely implementation of CORSIA, including the ICAO ACT-CORSIA programme and CORSIA buddy partnerships among States, underscoring the critical importance of a coordinated approach under ICAO in facilitating global cooperation to provide assistance and capacity building for CORSIA implementation.

17.18 In WP/290, Brazil highlighted the need to develop a criterion for calculating the new entrants' baseline; and for a decision by the Council on eligible units and recognition of special circumstances of the UNFCCC mechanisms. Brazil was of the view that the CDM and the mechanism to be established under Article 6, paragraph 4 of the Paris Agreement, are key for the successful implementation of CORSIA as they can provide units at scale, while ensuring environmental integrity.

17.19 In WP/291, Brazil highlighted its concerns about the means of achieving ICAO's long-term climate goals, which will require increasing proportions of sustainable aviation fuels, ensuring a smooth and predictable path to the phase-out of CORSIA by 2035. To address these concerns, Brazil proposed that the Council study and propose a mechanism to promote a smooth transition from CORSIA to sustainable aviation fuels.

17.20 In WP/529 Revision No. 1, Russian Federation presented an analysis of the negative environmental and economic impacts of the introduction of the CORSIA, particularly for developing and emerging economies, which calls into question the advisability of CORSIA further implementation. Also, the Russian Federation, in the alternative draft of Assembly resolution included in WP/529, proposed that the ICAO Council should consider developing a global economic incentive system in the form of the Clean Development Mechanism for International Civil Aviation (ACDM). In addition, the Russian Federation invited the Assembly to consider as a reasonable alternative to CORSIA implementation the possibility of initiating the creation under the auspices of the UN mobile aviation forces to fight forest fires and other natural disasters that could fully meet the Sustainable Development Goals of the United Nations as a real contribution to reducing global CO₂ emission.

17.21 In WP/193, the Airports Council International (ACI), the Civil Air Navigation Services Organisation (CANSO), the International Air Transport Association (IATA), the International Business Aviation Council (IBAC) and the International Coordinating Council of Aerospace Industries Associations (ICCAIA), coordinated by the Air Transport Action Group (ATAG), expressed the industry's strong support for CORSIA. The paper also noted that the implementation of CORSIA avoids the need for duplicative carbon pricing measures to be applied to international aviation emissions on a regional, national or subnational basis, and underlined the fact that CORSIA was adopted with a broad recognition that it should be the only market-based measure applied to international flights on the basis that emissions should not be accounted for more than once. The paper also discussed the concerns of the industry that the implementation and effectiveness of CORSIA could be undermined by the policies of individual States and

groups of States applying or considering the application of a carbon pricing instrument or ticket tax to address emissions from international aviation, in addition to CORSIA.

17.22 In WP/139, IATA highlighted the utmost importance for all ICAO Member States to comply in all respects with Annex 16, Volume IV and to ensure that their own domestic regulations are fully aligned with the CORSIA SARPs. It also expressed the support of IATA on the work by the Council on CORSIA eligible emissions units.

17.23 The Committee acknowledged ten working papers submitted for information purposes. They were not presented to the meeting but are summarized below:

17.24 In WP/159, the Arab Civil Aviation Organization (ACAO) highlighted its support for the implementation of CORSIA, and expressed its view that CORSIA is the only global standard for the calculation of CO₂ emissions from international flights, noting that a “mix” of regulatory measures would increase the administrative burdens on the appropriate authorities and air operators.

17.25 In WP/472, Australia and New Zealand, co-sponsored by Fiji, Indonesia and Samoa, informed of their actions to collectively assist Pacific States through CORSIA buddy partnerships.

17.26 In WP/338, Caribbean Aviation Safety and Security Oversight System (CASSOS) provided a summary of the CORSIA implementation in its Member States.

17.27 In WP/339, CASSOS highlighted that ICAO ACT-CORSIA programme has been well received, with four CASSOS States having received on-site training.

17.28 In WP/407, IATA shared information on IATA FRED+, which is a system to facilitate the reporting of emissions data between aeroplane operators and States, and between aeroplane operators and verification bodies.

17.29 In WP/409, South Africa reported on its activities in support of the CORSIA implementation, including its contribution to CORSIA buddy partnerships.

17.30 In WP/482, Japan introduced how it has implemented CORSIA MRV in line with the timeline recommended by the Environmental Technical Manual, Volume IV.

17.31 In WP/527 Revision No. 1, Argentina described the steps taken to implement the CORSIA MRV, and ongoing discussions within the Government to consider the possibility of voluntarily joining CORSIA.

17.32 In WP/547, Saudi Arabia presented its view of the potential contribution of lower carbon aviation fuels (LCAF) to GHG emissions reductions under CORSIA.

17.33 In WP/548, Indonesia requested sharing knowledge and experiences on the implementation of various measures to address emissions from international aviation, such as CORSIA.

17.34 The Committee noted the successful development of CORSIA-related Standards and Recommended Practices (SARPs) and guidance by ICAO, as well as the progress in developing various CORSIA Implementation Elements. It also recognized that while CORSIA implementation is on track, there is a need to further develop and update the CORSIA-related SARPs, guidance and remaining CORSIA Implementation Elements such as CORSIA eligible fuels and CORSIA eligible emissions units.

17.35 The Committee noted the views and perspectives of some States that expressed serious concerns with and opposition to keeping the global net CO₂ emission from the international aviation from 2020 at the same level as the baseline for the CORSIA.

17.36 On the subject of CORSIA eligible emissions units, the Committee noted the views and perspectives presented by some States on the need for the timely decision by the Council, and the need to recognize the special circumstances of UNFCCC mechanisms, flexibility and broad access for operators to eligible units while ensuring the environmental integrity of CORSIA. In this regard, the Committee recalled WP/56, which reported on the ongoing work of the Technical Advisory Body (TAB) in assessing emissions units programmes against the approved criteria, and that its first recommendations are expected to be forwarded for the consideration by the Council in March 2020. The Committee also noted the views and perspectives presented by some other States that it should be States rather than the ICAO Council that decide on the eligibility of emission units and sustainable aviation fuels for use by the CORSIA.

17.37 Regarding the issue of verification under CORSIA, the Committee took note of the views of States and acknowledged the importance of ICAO, Member States and their National Accreditation Bodies working together to increase the availability of accredited verification bodies, for access by aeroplane operators. In this regard, the Committee recognized that the ICAO Secretariat provided the CORSIA verification training courses to facilitate accreditation of verification bodies, and was also working with the International Accreditation Forum (IAF) to facilitate accreditation activities by National Accreditation Bodies.

17.38 The Committee took note of the views of States on the participation of more States in the work of CAEP in a geographically balanced manner. In this regard, the Committee recalled that the Council, in 2018, reviewed and revised the CAEP Directives, including the removal of the maximum number of CAEP members or observers to be nominated as experts from States.

17.39 The Committee noted that as regards the specific request to define the criteria for new entrants' baseline emissions under CORSIA, the Council had already requested CAEP to include this specific area of work in its work programme for the next triennium.

17.40 The Committee noted that many States welcomed the successful implementation of the ICAO ACT-CORSIA programme. It also expressed its appreciation for the contributions of Member States to establish CORSIA buddy partnerships to assist CORSIA implementation by States. The Committee also emphasized the importance of a coordinated approach to ICAO training, and expressed its support for the continuation of the programme in the future.

17.41 The Committee noted that 81 States had announced their voluntary participation in CORSIA from its outset. That number increased from 65 States since the CORSIA was agreed at the last Assembly in October 2016. The Committee agreed that this increasing number was a very positive sign, and recognized the importance and benefits of capacity-building and assistance activities to enable more States to join. Member States that are ready to announce their voluntary participation in CORSIA were encouraged to do so as soon as possible.

17.42 On the issue of the periodic review of CORSIA, the Committee noted the views of States, including on the potential approaches and analyses, the consideration of transition from CORSIA into the use of sustainable aviation fuels, and that the review should be on the basis of guiding principles listed in Annex to Resolution A39-2. In this regard, the Committee highlighted that paragraphs 9 g) and 18 of Assembly Resolution A39-3 provided clear guidance and requests to the Council to undertake the periodic review of CORSIA every three years from 2022, and for recommendations to be made for consideration by the Assembly. It also noted that CAEP had already included a task to develop methodologies and procedures for the CORSIA periodic review in its work programme over the next triennium, which was approved by the Council.

17.43 In considering the revised Assembly Resolution A39-3 on CORSIA, a clear majority of States expressed their support for the draft Assembly Resolution text proposed in the Appendix to WP/59 without any further change, while other States insisted that the draft Resolution should be modified and submitted their specific suggestions for amendments. Following oral statements made by some Member States, written input to the meeting was submitted by three Member States and posted on the ICAO website. (https://www.icao.int/Meetings/a40/Documents/consolidated_statement_continuing_ICAO_policies_practices_wp_059_en.pdf)

17.44 Three States highlighted their view that the CORSIA should be implemented in accordance with principles of the Paris Agreement in a nationally determined approach based on Member States' contribution rather than aircraft operators' offsetting obligations, and that each State is allowed to adopt its own baselines and standards to certify emissions units and SAF. The three States proposed that the ICAO Council should develop a mechanism of international dialogue and consultation with States concerned to enhance the harmonization among States' national plans to implement the CORSIA. The three States do not agree in principle to the draft Resolution submitted by the Council in WP/59 because their proposed changes to the Resolution (https://www.icao.int/Meetings/a40/Documents/consolidated_statement_continuing_ICAO_policies_practices_wp_059_en.pdf) were not incorporated, as a clear majority of States expressed their support not to change the Resolution text as proposed in the Appendix to WP/59.

17.45 Despite the objections of a few States, the Committee agreed, by majority, to recommend that the Assembly adopt the following Resolution:

Resolution 17/1: Consolidated statement of continuing ICAO policies and practices related to environmental protection - Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)

Whereas Assembly Resolution A38-18 decided to develop a global market-based measure (GMBM) scheme for international aviation, for decision by the 39th Session of the Assembly;

Recalling that Assembly Resolution A38-18 requested the Council, with the support of Member States, to identify the major issues and problems, including for Member States, and make a recommendation on a GMBM scheme that appropriately addresses them and key design elements, including a means to take into account special circumstances and respective capabilities, and the mechanisms for the implementation of the scheme from 2020 as part of a basket of measures which also include technologies, operational improvements and sustainable aviation fuels to achieve ICAO's global aspirational goals;

Whereas Assembly Resolution A39-3 decided to implement a GMBM scheme in the form of the Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA) as part of a basket of measures which also include aircraft technologies, operational improvements and sustainable aviation fuels to achieve ICAO's global aspirational goals;

Recognizing that ICAO is the appropriate forum to address emissions from international aviation, and the significant amount of work undertaken by the Council, its Advisory Group on CORSIA (AGC), its Technical Advisory Body (TAB) and its Committee on Aviation Environmental Protection (CAEP) to support the implementation of CORSIA;

Welcoming the adoption of the first edition of Annex 16 – *Environmental Protection*, Volume IV – *CORSIA*, the provisions of which include Monitoring, Reporting and Verification (MRV) procedures for *CORSIA*;

Also welcoming the publication of the first edition of *Environmental Technical Manual* (ETM, Doc 9501), Volume IV – *Procedures for demonstrating compliance with the CORSIA*;

Welcoming the progress made for the development of ICAO *CORSIA* Implementation Elements, which are reflected in 14 ICAO documents directly referenced in Annex 16, Volume IV, containing materials that are approved by the Council, and are essential for the implementation of *CORSIA*;

Also welcoming the establishment by the Council of the Technical Advisory Body (TAB), with the mandate to make recommendations to the Council on the *CORSIA* eligible emissions units;

Recognizing the importance of a coordinated approach for capacity building activities by ICAO and its Member States, in cooperation with the aviation industry, to support the implementation of *CORSIA*, in particular through the ICAO Assistance, Capacity-building and Training for *CORSIA* (ACT-*CORSIA*) programme that includes the organization of seminars, development of outreach materials, and establishment of *CORSIA* partnerships among States;

Welcoming the increasing number of announcements by Member States of their intention to voluntarily participate in *CORSIA* in the pilot phase from 2021;

Recognizing that strong capacity-building activities can facilitate the decision of Member States to voluntarily participate in *CORSIA*;

Noting the support of the aviation industry for *CORSIA* as a single global carbon offsetting scheme, as opposed to a patchwork of State and regional MBMs, as a cost effective measure to complement a broader package of measures including technology, operations and infrastructure measures;

Recognizing that MBMs should not be duplicative and international aviation CO₂ emissions should be accounted for only once;

Emphasizing that the decision by the 39th Session of the Assembly to implement the *CORSIA* reflects the strong support of Member States for a global solution for the international aviation industry, as opposed to a possible patchwork of State and regional MBMs;

Reaffirming the concern with the use of international civil aviation as a potential source for the mobilization of revenue for climate finance to the other sectors, and that MBMs should ensure the fair treatment of the international aviation sector in relation to other sectors;

Recalling the United Nations Framework Convention on Climate Change (UNFCCC) and the Paris Agreement and *acknowledging* its principle of common but differentiated responsibilities and respective capabilities, in light of different national circumstances;

Also acknowledging the principles of non-discrimination and equal and fair opportunities to develop international aviation set forth in the Chicago Convention;

Recognizing that the work related to *CORSIA* and its implementation will contribute to the achievement of the goals set out in the Paris Agreement adopted under the UNFCCC;

Whereas the UNFCCC and the Paris Agreement provide for mechanisms, such as the Clean Development Mechanism (CDM) and a new market mechanism under the Paris Agreement, to contribute to the mitigation of GHG emissions to support sustainable development, which benefit developing States in particular;

Welcoming the cooperation between the UNFCCC and ICAO on the development of CDM methodologies for aviation;

Recognizing that this Resolution does not set a precedent for or prejudice the outcome of negotiations under the UNFCCC, the Paris Agreement, or other international agreements, nor represent the position of the Parties to the UNFCCC, the Paris Agreement, or other international agreements;

The Assembly:

1. *Resolves* that this Resolution, together with Resolution A40-17: *Consolidated statement of continuing ICAO policies and practices related to environmental protection - General provisions, noise and local air quality* and Resolution A40-18: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change*, supersede Resolutions A39-1, A39-2 and A39-3 and constitute the consolidated statement of continuing ICAO policies and practices related to environmental protection;
2. *Acknowledges* the progress achieved on all elements of the basket of measures available to address CO₂ emissions from international aviation, including aircraft technologies, operational improvements, sustainable aviation fuels and CORSIA, and *affirms* the preference for the use of aircraft technologies, operational improvements and sustainable aviation fuels that provide the environmental benefits within the aviation sector;
3. *Also acknowledges* that, despite this progress, the environmental benefits from aircraft technologies, operational improvements and sustainable aviation fuels may not deliver sufficient CO₂ emissions reductions to address the growth of international air traffic, in time to achieve the global aspirational goal of keeping the global net CO₂ emissions from international aviation from 2020 at the same level;
4. *Emphasizes* the role of CORSIA to complement a broader package of measures to achieve the global aspirational goal, without imposing inappropriate economic burden on international aviation;
5. *Recalls* its decision at the 39th Session to implement a GMBM scheme in the form of the Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA) to address any annual increase in total CO₂ emissions from international civil aviation (i.e. civil aviation flights that depart in one country and arrive in a different country) above the 2020 levels, taking into account special circumstances and respective capabilities;
6. *Requests* the Council to continue to ensure all efforts to make further progress on aircraft technologies, operational improvements and sustainable aviation fuels be taken by Member States and reflected in their action plans to address CO₂ emissions from international aviation, and to monitor and report the progress on implementation of action plans, and that a methodology should be developed to ensure that an aeroplane operator's offsetting requirements under the scheme in a given year can be reduced through the use of CORSIA eligible fuels (i.e., CORSIA sustainable aviation fuels and CORSIA lower carbon aviation fuels), so that all elements of the basket of measures are reflected;

7. *Requests* the Council to continuously monitor the implementation of all elements of the basket of measures, and consider the necessary policies and actions to ensure that progress is achieved in all of the elements in a balanced way with an increasing percentage of emissions reductions accruing from non-MBM measures over time;
8. *Acknowledges* special circumstances and respective capabilities of States, in particular developing States, in terms of vulnerability to the impacts of climate change, economic development levels, and contributions to international aviation emissions, among other things, while minimizing market distortion;
9. *Recalls* its decision at the 39th Session on the use of a phased implementation for the CORSIA to accommodate the special circumstances and respective capabilities of States, in particular developing States, while minimizing market distortion, as follows:
 - a) Pilot phase applies from 2021 through 2023 to States that have volunteered to participate in the scheme. States participating in this phase may determine the basis of their aeroplane operator's offsetting requirements from paragraph 11 e) i) below;
 - b) First phase applies from 2024 through 2026 to States that voluntarily participate in the pilot phase, as well as any other States that volunteer to participate in this phase, with the calculation of offsetting requirements in paragraph 11 a) below;
 - c) All States are strongly encouraged to voluntarily participate in the pilot phase and the first phase, noting that developed States, which have already volunteered, are taking the lead, and that several other States have also volunteered;
 - d) The Secretariat will make public on the ICAO website updated information on the States that volunteered to participate in the pilot phase and first phase;
 - e) Second phase applies from 2027 through 2035 to all States that have an individual share of international aviation activities in RTKs in year 2018 above 0.5 per cent of total RTKs or whose cumulative share in the list of States from the highest to the lowest amount of RTKs reaches 90 per cent of total RTKs, except Least Developed Countries (LDCs), Small Island Developing States (SIDS) and Landlocked Developing Countries (LLDCs) unless they volunteer to participate in this phase;
 - f) States that are exempted or have not yet participated are strongly encouraged to voluntarily participate in the scheme as early as possible, in particular those States that are members of a regional economic integration organization. States who decide to voluntarily participate in the scheme, or decide to discontinue the voluntary participation from the scheme, may only do so from 1 January in any given year and they shall notify ICAO of their decision by no later than 30 June of the preceding year;
 - g) Starting in 2022, the Council will conduct a review of the implementation of the CORSIA every three years, including its impact on the growth of international aviation, which serves as an important basis for the Council to consider whether it is necessary to make adjustments to the next phase or compliance cycle and, as appropriate, to recommend such adjustments to the Assembly for its decision;
10. *Recalls* its decision at the 39th Session that the CORSIA shall apply to all aeroplane operators on the same routes between States with a view to minimizing market distortion, as follows:

- a) all international flights on the routes between States, both of which are included in the CORSIA by paragraph 9 above, are covered by the offsetting requirements of the CORSIA;
- b) all international flights on the routes between a State that is included in the CORSIA and another State that is not included in the CORSIA by paragraph 9 above are exempted from the offsetting requirements of the CORSIA, while retaining simplified reporting requirements; and
- c) all international flights on the routes between States, both of which are not included in the CORSIA by paragraph 9 above, are exempted from the offsetting requirements of the CORSIA, while retaining simplified reporting requirements;

11. *Recalls* its decision at the 39th Session that the amount of CO₂ emissions required to be offset by an aeroplane operator in a given year from 2021 is calculated every year as follows:

- a) an aeroplane operator's offset requirement = [% Sectoral × (an aeroplane operator's emissions covered by CORSIA in a given year × the sector's growth factor in the given year)] + [% Individual × (an aeroplane operator's emissions covered by CORSIA in a given year × that aeroplane operator's growth factor in the given year);
- b) where the sector's growth factor = (total emissions covered by CORSIA in the given year – average of total emissions covered by CORSIA between 2019 and 2020) / total emissions covered by CORSIA in the given year;
- c) where the aeroplane operator's growth factor = (the aeroplane operator's emissions covered by CORSIA in the given year – average of the aeroplane operator's emissions covered by CORSIA between 2019 and 2020) / the aeroplane operator's emissions covered by CORSIA in the given year;
- d) where the % Sectoral = (100% – % Individual) and;
- e) where the % Sectoral and % Individual will be applied as follows:
 - i) from 2021 through 2023, 100% sectoral and 0% individual, though each participating State may choose during this pilot phase whether to apply this to:
 - a) an aeroplane operator's emissions covered by CORSIA in a given year, as stated above, or
 - b) an aeroplane operator's emissions covered by CORSIA in 2020;
 - ii) from 2024 through 2026, 100 % sectoral and 0% individual;
 - iii) from 2027 through 2029, 100 % sectoral and 0% individual;
 - iv) from 2030 through 2032, at least 20% individual, with the Council recommending to the Assembly in 2028 whether and to what extent to adjust the individual percentage;
 - v) from 2033 through 2035, at least 70% individual, with the Council recommending to the Assembly in 2028 whether and to what extent to adjust the individual percentage;

- f) the aeroplane operator's emissions and the total emissions covered by CORSIA in the given year do not include emissions exempted from the scheme in that year;
- g) the scope of emissions in paragraphs 11 b) and 11 c) above will be recalculated at the start of each year to take into account routes to and from all States that will be added due to their voluntary participation or the start of a new phase or compliance cycle;

12. *Recalls* its decision at the 39th Session that a new entrant⁵ is exempted from the application of the CORSIA for three years or until the year in which its annual emissions exceed 0.1 per cent of total emissions in 2020, whichever occurs earlier. From the subsequent year, the new entrant is included in the scheme and treated in the same way as the other aeroplane operators;

13. *Recalls* its decision at the 39th Session that, notwithstanding with the provisions above, the CORSIA does not apply to low levels of international aviation activity with a view to avoiding administrative burden: aeroplane operators emitting less than 10,000 metric tonnes of CO₂ emissions from international aviation per year; aeroplane with less than 5,700 kg of Maximum Take Off Mass (MTOM); or humanitarian, medical and firefighting operations;

14. *Recalls* its decision at the 39th Session that the emissions that are not covered by the scheme, as the results of phased implementation and exemptions, are not assigned as offsetting requirements of any aeroplane operators included in the scheme;

15. *Recalls* its decision at the 39th Session on a three year compliance cycle, starting with the first cycle from 2021 to 2023, for aeroplane operators to reconcile their offsetting requirements under the scheme, while they report the required data to the authority designated by the aeroplane operator's State of registry every year;

16. *Recalls* its decision at the 39th Session on the need to provide for safeguards in the CORSIA to ensure the sustainable development of the international aviation sector and against inappropriate economic burden on international aviation, and *requests* the Council to decide the basis and criteria for triggering such action and identify possible means to address these issues;

17. *Recalls* its decision at the 39th Session that a periodic review of the CORSIA is undertaken by the Council, with the technical contribution of CAEP, for consideration by the Assembly, every three years from 2022 for the purpose referred to in paragraph 9 g) above and to contribute to the sustainable development of the international aviation sector and the effectiveness of the scheme. This will involve, inter alia:

- a) assessment of: progress towards achieving the ICAO's global aspirational goal; the scheme's market and cost impact on States and aeroplane operators and on international aviation; and the functioning of the scheme's design elements;
- b) consideration of the scheme's improvements that would support the purpose of the Paris Agreement, in particular its long-term temperature goals; and update the scheme's design elements to improve implementation, increase effectiveness, and minimize market distortion, taking into

⁵ A new entrant is defined as any aeroplane operator that commences an aviation activity falling within the scope of Annex 16, Volume IV on or after its entry into force and whose activity is not in whole or in part a continuation of an aviation activity previously performed by another aeroplane operator.

account the consequential impact of changing the scheme's design elements, e.g., to MRV requirements; and

- c) a special review by the end of 2032 on termination of the scheme, its extension or any other improvements of the scheme beyond 2035, including consideration of the contribution made by aircraft technologies, operational improvements and sustainable aviation fuels towards achieving the ICAO's environmental objectives;

18. *Determines* that the CORSIA is the only global market-based measure applying to CO₂ emissions from international aviation so as to avoid a possible patchwork of duplicative State or regional MBMs, thus ensuring that international aviation CO₂ emissions should be accounted for only once;

19. *Requests* the following actions be taken for implementation of the CORSIA:

- a) the Council, with the technical contribution of CAEP, to update the Annex 16, Volume IV and Environmental Technical Manual, Volume IV, as appropriate;
- b) the Council, with the technical contribution of CAEP, to continue to develop and update the ICAO CORSIA documents referenced in Annex 16, Volume IV related to: ICAO CORSIA CO₂ Estimation and Reporting Tool; CORSIA eligible fuels; CORSIA emissions units criteria (EUC); and CORSIA Central Registry, as appropriate;
- c) the Council to develop and update the ICAO CORSIA document referenced in Annex 16, Volume IV related to the eligible emissions units for use by the CORSIA, considering the recommendations of the TAB;
- d) the Council to establish, by early 2020, and maintain the CORSIA Central Registry under the auspices of ICAO to enable the reporting of relevant information from Member States to ICAO;
- e) the Council to continue to oversee the implementation of the CORSIA, with support provided by the AGC and CAEP, as appropriate; and
- f) Member States to take the necessary action to ensure that national policies and regulatory frameworks are established for the compliance and enforcement of the CORSIA, in accordance with the timeline set forth by Annex 16, Volume IV;

20. *Recalls* its decision at the 39th Session that emissions units generated from mechanisms established under the UNFCCC and the Paris Agreement are eligible for use in CORSIA, provided that they align with decisions by the Council, with the technical contribution of TAB and CAEP, including on avoiding double counting and on eligible vintage and timeframe;

21. *Decides* that ICAO and Member States take all necessary actions in providing the capacity building and assistance and building partnerships for implementation of the CORSIA, in accordance with the timeline set forth in Annex 16, Volume IV, including through the ICAO Assistance, Capacity-building and Training for CORSIA (ACT-CORSIA) programme that includes the organization of seminars, development of outreach materials, and establishment of CORSIA partnerships among States, while emphasizing the importance of a coordinated approach under the umbrella of ICAO for undertaking capacity building and assistance activities;

22. *Recalls* its decision at the 39th Session that the CORSIA will use emissions units that meet the Emissions Unit Criteria (EUC) in paragraph 19 above;
23. *Requests* the Council to promote the use of emissions units generated that benefit developing States, and *encourages* States to develop domestic aviation-related projects; and
24. *Requests* the Council to explore further development of aviation-related methodologies for use in offsetting programmes, including mechanisms or other programmes under the UNFCCC, and *encourages* States to use such methodologies in taking actions to reduce aviation CO₂ emissions, which could further enable the use of credits generated from the implementation of such programmes by the CORSIA, without double-counting of emissions reduction.

Agenda Item 18: Multilingualism at ICAO

18.1 At its second meeting, the Executive Committee considered three working papers (A40-WP/62, 451, 464) under the agenda item “Multilingualism at ICAO”.

18.2 A40-WP/62 contained the report of the Council recognizing multilingualism as a fundamental principle to achieve ICAO’s objectives. It reports on the implementation of the policies and decisions adopted to enhance the efficiency and effectiveness of language services. In particular, the paper states that measures implemented in the past two triennia have enabled the Secretariat to cope with a high demand for translation and interpretation services. These measures include: designing a new Language Services Management System, training Junior Language Officers, reorganizing support services, increasing versatility of the work force, and allocating additional funds from other ICAO sources, or from efficiencies achieved within Languages and Publications.

18.3 A40-WP/451, presented by Paraguay supported by the Member States of the Latin American Civil Aviation Commission (LACAC)⁶ and by the Community of Civil Aviation Authorities of Portuguese-Speaking Countries⁷ (CAACL⁸), underscored that the unavailability of some ICAO publications and documents, specifically Manuals and Circulars, in all official languages hinders Member States’ access to information and knowledge, and that the Organization should strive to enable a dynamic response to the need for translation and interpretation. The paper also emphasizes the importance of multilingualism as the Organization deals with regulatory frameworks and civil aviation rules. It concludes that it is essential for ICAO to provide high-quality services to Member States in all official languages, irrespective of the means of communication and/or dissemination of information established by the Organization to achieve its objectives, considering that adequate service will no doubt contribute primarily to achieving those objectives, as well as providing support for translation and interpretation activities to lusophone countries.

18.4 A40-WP/464, presented by the Russian Federation, recalls that the 37th Session of the Assembly unanimously adopted Resolution A37 25: “ICAO Policy on language services”. It states that language services are an integral part of every ICAO programme and are essential to the fulfilment of the Strategic Objectives of the Organization and to the implementation of SARPs and PANS. Hence the need for the Organization to secure sufficient staff with the right technical skills and to ensure the consistency of its knowledge base. It deplores the fact that some documents are not available in all languages and some meetings are held in English only. Multilingualism should therefore be viewed as a significant factor in

⁶ Aruba, Belize, Bolivia (Plurinational State of), Brazil, Colombia, Costa Rica, Equator, El Salvador, Guatemala, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru, Uruguay and Venezuela (Bolivarian Republic of)

⁷ Angola, Brazil, Cabo Verde, Bissau Guinea, Equatorial Guinea, Mozambique, Portugal, Saint Tomé and Prince and Timor-Lest

⁸ Comunidade das Autoridades de Aviação Civil Lusófonas (CAACL)

harmonious communication among nations and as an investment in the development of a safe, secure and reliable civil aviation system.

18.5 The Committee noted the Council working paper as well as those submitted by States.

18.6 The Committee emphasized that multilingualism is a fundamental principle to achieve the goals of ICAO in accordance with Assembly Resolution A37-25. Language services are an integral part of every ICAO programme and are essential to the fulfilment of the Strategic Objectives of the Organization and to the implementation of SARPs and PANS. Furthermore, language services are a key requirement of the No Country Left Behind (NCLB) initiative and of ICAO's communications with Member States.

18.7 It also noted that the ICAO Secretariat has fully endorsed multilingualism as a principal objective of the Organization, and that a number of initiatives have been implemented to improve efficiency in the delivery of language services. New initiatives foreseen in the next triennium include the development of a comprehensive strategy for the promotion of multilingualism in the Organization with a view to providing quality language services in a timely and efficient manner while strengthening linguistic capabilities both at Headquarters and in Regional Offices. The strategy would also encourage the use of innovative technologies and UN best practices to manage workload and further enhance quality and efficiency.

18.8 The Committee noted that, to ensure multilingualism, the draft budget proposal provides for the same level of language services as in the current triennium, provided that the established capacity is respected, and that the efficiency measures endorsed by Council during its 208th session for the current budget (C-DEC 208/5, May 2016) continue to be applied in 2020-2022. However, some States indicated that the emphasis in future budget discussions should not be on reducing language services, but on striking a better balance for a more efficient utilization of the resources allocated for language services.

18.9 Many Member States took the floor to support multilingualism as a fundamental principle to achieve ICAO goals. They emphasized that multilingualism is a cross-cutting imperative for efficiency and transparency in the work of the Organization, both politically and operationally, and also a fundamental pillar of multilateralism. It is crucial in communications with and between States to achieve progress under the NCLB initiative. Other States highlighted the need for making quality ICAO documentation available on a timely basis in all working languages, not only those related to SARPs, PANS, safety and security, but also guidance material required for the implementation of SARPs. To that end, consideration was given to the importance of prioritising this item in the 2023-2025 triennium budget. It was also noted that multilingualism should not just be considered as a cost to the Organization, but as an investment into the development of safe and secure civil aviation worldwide.

18.10 Several States requested the addition of Portuguese as a working language to support ICAO's work and communications with lusophone countries. The Secretariat acknowledged the request, but pointed out the difficulty of addressing it in a context of budgetary restraint. Stressing the constant efforts to optimize human, material and financial resources, the Secretariat added that other cooperation mechanisms can be explored to sponsor the translation of ICAO publications and the interpretation of ICAO meetings on a cost-recovery basis. Voluntary contributions from Member States in the form of secondments of language specialists and support for special projects are also welcome.

18.11 Having considered A40-WP/62, 451 and 464, and in light of the discussions, the Committee recommends that the Assembly, recognizing multilingualism as a fundamental principle to achieve the goals of ICAO:

- a) request the Council to closely monitor the implementation of the policies and decisions it has adopted to enhance efficiency and effectiveness on language service matters;
- b) request the Secretary General to develop a comprehensive strategy for the promotion of multilingualism in the Organization, with a view to providing quality language services in a timely and efficient manner while strengthening linguistic capabilities both at Headquarters and in Regional Offices; and
- c) urge Member States to actively collaborate with the ICAO Secretariat to promote multilingualism as an integral part of the Organization's programmes and activities.

Agenda Item 19: Increasing the efficiency and effectiveness of ICAO

Improving working methods at ICAO

19.1 The Committee noted A40-WP/48, presented by the Council and appreciated the achievements made by the Organization and its leadership to increase efficiency and effectiveness in the last triennium.

19.2 The Committee also noted the Oral briefing on the examination of the current structure of the ICAO Secretariat, presented by the Secretariat. The Committee acknowledged that the outcome of this process would be presented as part of a consultation process with Member States via the State Letter consultation mechanism and will aim for a balanced and pragmatic solution, which will put the realization of the ICAO's Strategic Objectives and Member States' interests at the centre of its consideration, in order to ensure the continuous relevance of the Organization.

19.3 The Committee considered A40-WP/423, presented by the United States, which highlighted the need to modernize ICAO's working methods, management and oversight, and to develop innovative partnerships with a broader range of stakeholders, in order to better meet the needs of Members States and keep pace with the changing environment.

19.4 Recognizing the principles of good governance, transparency and highest ethical standards, it was acknowledged that further improvements and efforts needed to be made to make the Organization more resilient to the fast changing environment, and to improve the organizational effectiveness, enhance coordination mechanisms and restructure, where appropriate.

19.5 As there was a general support for A40-WP/48 and A40-WP/423, the Committee agreed to merge both draft resolutions under the title Increasing the efficiency and effectiveness of ICAO. The Committee agreed that the Secretariat would continue to provide regular updates on this subject to the Council and that the Council report back to the 41st Session of the Assembly.

19.6 In light of the discussion, the Committee agreed to submit for adoption by the Plenary, the following resolution:

Resolution 19-1: Increasing the efficiency and effectiveness of ICAO

Whereas ICAO has ~~for over 50 years~~ effectively and efficiently fulfilled its functions in accordance with Part II of the *Convention on International Civil Aviation* (the Chicago Convention);

Whereas the fundamental objectives of the Organization expressed in Article 44 of the Chicago Convention and the functions of the Council expressed in Articles 54 and 55 remain paramount;

Whereas the Organization is facing new and rapidly evolving challenges of a technological, economic, environmental, social and legal nature; and

Whereas there is a need for the Organization to respond efficiently and effectively to these challenges ~~at a time of financial difficulties being experienced by the aviation community;~~

Whereas ICAO needs to recruit, cultivate, and retain a highly-qualified, flexible, motivated, and high-performing workforce to address traditional and emerging issues and meet States changing needs,

Whereas ICAO needs innovative new partnerships with stakeholders who can apply complementary information, expertise, viewpoints, and resources toward ICAO's strategic objectives,

Whereas ICAO's organizational performance and ability to access additional funding from public and private sources are key factors affecting its delivery of programs, training, capacity building, and assistance to States,

Whereas States, stakeholders, and funding organizations require timely, accurate, and comprehensive information about ICAO's activities, policies, and performance,

The Assembly:

1. *Expresses appreciation* to the Council and the Secretary General for the progress made in developing ~~a Strategic Action Plan for the Organization~~ *the ICAO Business Plan;*
2. *Endorses* the decisions already ~~taken~~ *made* by the Council ~~to continue~~ *to develop the Strategic Action Plan* ~~a Business plan on a triennial basis, to continue its efforts to transition ICAO towards a Results Based Management (RBM) organization and to establish an oversight mechanism which includes an annual review of progress through the Corporate Management Reporting Tool (CMRT);~~
3. *Directs* the Council and the Secretary General, within their respective competencies, to:
 - a) ~~intensify efforts to develop the Strategic Action~~ *prepare a Business Plan on a continuing basis once every triennium* in association with a systematic planning process and a RBM approach which improves effectiveness, transparency and accountability and which drives the ~~evolution~~ *development* of the *Regular Programme Budget;* ~~and~~
 - b) ~~make the Strategic Action Business Plan available to Contracting States and present the current version, along with a progress report on implementation during the triennium concerned, to each ordinary session of the Assembly;~~
 - c) *take further concrete steps to increase transparency, improve the work place environment, develop innovative new partnerships with external stakeholders, increase organizational effectiveness and assure that consensus-based results remain a core value and objective of ICAO and its subject matter expert bodies, and mobilize additional resources for greater delivery; and*
 - d) *avoid any potential conflict of interest when developing partnerships and accessing voluntary funding.*

4. *Directs* the Council to:
 - a) ~~continue to streamline the working methods and procedures of the Assembly with a view to increased transparency and efficiency, and reduced duration of Assembly Sessions, for effect commencing with the next ordinary session;~~
 - b) undertake an intensive review of the decision-making processes, working methods and procedures of the Council and its subsidiary bodies with a view to streamlining, delegating authority and improving the cost-effectiveness of the Organization; and
 - c) ensure the effectiveness of the oversight mechanism, with independent reporting procedure to the Council, to provide programme effectiveness, transparency and accountability.
5. *Invites* the Secretary General, within his or her competence, to continue to take initiatives for improving the effectiveness and efficiency of the Organization through procedural, managerial and administrative reforms, and to report thereon to the Council;
6. *Invites* the Council and the Secretary General, in implementing Clauses 3 through 5 above, to take due account of the non-exhaustive list of considerations in the **Appendix** to this resolution; and
- ~~7. *Invites* the Council to inform States of progress on implementation of Clauses 3 through 5 of this resolution by 1 May 1997, and to provide a full report to the next ordinary session of the Assembly.~~
7. *Declares* that this Resolution supersedes A31-2 on Increasing the effectiveness of ICAO.

APPENDIX

List of considerations for achieving a more efficient and effective ICAO

Systematic planning process (Clause 3 a) of the resolution)

- a) establish a direct and transparent linkage between the ~~Strategic Action~~ **Business** Plan and the **Regular** Programme Budget;
- b) establish procedures for the development of the **Regular** Programme Budget which focus on the allocation of resources at a strategic and expected results level rather than on administrative detail (“top down” rather than “bottom up”);
- c) establish procedures for setting **Strategic** objectives, expected results, key activities, deliverables ~~priorities~~ and targets, together with the application of performance indicators;
- d) develop, within the framework of the ~~Strategic Action~~ **Business** Plan, more specific plans by **Strategic Objective** the relevant subsidiary bodies (for example by adapting the ~~Technical Work Programme in the air navigation field~~) and by the various offices of the Secretariat;
- e) undertake reviews of progress on implementation of the ~~Strategic Action~~ **Business** Plan on an ongoing basis within the Secretariat and on a periodic basis by the Council and subsidiary bodies; and
- f) update and roll forward the ~~Strategic Action~~ **Business** Plan itself at least triennially.

Working methods and procedures of the Assembly (Clause 4 a) of the resolution)

- a) simplify the Agenda and reduce documentation, with focus on matters of strategy and high-level policy, main areas of priority and allocation of resources;
- b) respect deadlines set for preparing and distributing documentation;
- c) provide more extensive briefing to elected officers;
- d) streamline reporting procedures, in particular avoiding non-essential duplication of presentation and consideration of the same documents in different bodies;

- e) eliminate the requirement for minutes of meetings of Commissions (as with suspension in the present Session);
- f) improve the procedures for presenting general statements and the observance of indicated meeting hours; and
- g) introduce more modern and efficient voting procedures, especially for the election of the Council.

Note— Where amendments to the Standing Rules of Procedure of the Assembly (Doc 7600) are required, States need to be advised well in advance of the next ordinary session of the Assembly in order that the amendments can be adopted at the outset of the Session for immediate effect.

Decision-making processes, working methods and procedures of the Council (Clause 4 b) of the resolution)

The review should have as its central themes:

- a) the concept of the Council continuing to discharge its functions and mandate in accordance with the Chicago Convention, and focusing particularly on high policy issues; and
- b) the Secretary General carrying out his or her responsibilities in taking managerial actions and decisions as chief executive officer of the Organization in accordance with Article 54(h) of the Chicago Convention.

Oversight mechanism (Clause 4 c) of the resolution)

The emphasis here is on a vigorous **procedure** for reporting **independently and directly** to the Council on the effectiveness, transparency and accountability of all ICAO programmes. In accordance with common audit practice, the Secretary General would have the opportunity to comment on the independent reports, but not to alter them.

Other measures for improving the effectiveness and efficiency of the Organization (Clause 5 of the resolution)

- a) introduce procedures for more timely development or amendment as required of instruments of air law, ICAO Standards and Recommended Practices, and Regional Air Navigation Plans;
- b) increase emphasis on encouraging national ratification of instruments of air law and implementation of ICAO Standards and Recommended Practices to the greatest extent possible worldwide;
- c) improve and speed up communications with Contracting States, particularly as they relate to Standards and Recommended Practices, including more widespread use of electronic transmission;
- d) strengthen the degree of autonomy given to the regional planning process and the associated authority and resources given to the ICAO Regional Offices, while ensuring adequate coordination at the global level;
- e) examine the relationship between ICAO and other bodies (aviation and relevant non-aviation, global and regional) with a view to defining respective areas of responsibility, eliminating overlap and establishing joint programmes where relevant;
- f) provide for adequate participation in ICAO activities by all interested parties in the aviation community, including service providers and industry;
- g) streamline the scheduling and documentation, and reduce the duration, of ICAO meetings in general; and
- h) consider the advisability and feasibility of calling on external expertise as required to assist in any of the above.

Improving structure and response to State letters for better implementation of SARPs, PANS and Global plans

19.7 The Committee considered A40-WP/461, presented by Cuba and sponsored by Argentina, Aruba, Belize, Bolivia, Brazil, Colombia, Costa Rica, Dominican Republic, El Salvador, Guatemala, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru and Venezuela (the Bolivarian Republic of), and supported by a wide number of other States, regarding the structure of the text of SARPs amendments adopted by the ICAO Council, featuring different applicability dates. The Committee recognized the benefits of the increased visibility for SARPs with different applicability dates in the new editorial practices, but also recognized the concerns expressed with the new format and in particular with complications in filing of differences. The Committee recommended that ICAO consider the complications identified and make any necessary adjustments to address them.

19.8 The Committee considered A40-WP/467, presented by Cameroon. The Committee recognized the concern with the low response rate to State letter consultations and the lack of feedback to States that submitted comments, and that the development of the online system for responses to proposed amendments to SARPs and PANS was not fully completed, and further noted that the activities referred to in the paper will be subject to the resources available in the 2020-2022 Regular Programme Budget and the availability of extra-budgetary resources. The Committee was also informed that the Council had considered an evaluation report on the ICAO Standard Setting process and that the Secretariat will take the information in the working paper into account as it implements the recommendations of the report.

19.9 The Committee considered A40-WP/245, presented by the United Arab Emirates. The Committee welcomed the information in the working paper and acknowledged that, while significant progress has been made by ICAO to move towards a results-based management framework, there was still some work to be done. The Committee recognized that the new processes established by the Global Air Navigation Plan (GANP) and Global Aviation Safety Plan (GASP) aimed at keeping the global plans relevant and the results, focused, and agreed that the recommendation of the paper should be referred to the GANP and GASP Working Groups, for their consideration and action. The Committee further noted that the Secretariat is in the process of implementing a project-oriented approach that links the work programmes of Headquarters and Regional Offices with the GANP, the GASP, as well as the Sustainable Development Goals (SDGs).

Agenda Item 20: No Country Left Behind Initiative

No Country Left Behind (NCLB) Initiative

20.1 The ICAO Secretariat presented A40-WP/49 *Report on the ICAO No Country Left Behind (NCLB) initiative*, highlighting the measures taken during the last triennium to promote this initiative and to incentivize capacity-building and assistance projects. The Executive Committee recognized the crucial importance of the NCLB initiative to support ICAO Member States in the effective implementation of the ICAO SARPs, policies, plans and programmes which support a safe, secure, efficient, economically viable and environmentally sound air transport system.

20.2 The Committee expressed strong appreciation for the initiative of the President of the Council of ICAO, in creating NCLB; and for ICAO's positive efforts in providing technical assistance to its Members States in order to enhance the implementation of SARPs and increase the effective implementation (EI) rates in safety and security in each Region, in support of the NCLB initiative.

20.3 The Committee noted A40-WP/88, presented by Azerbaijan, and recognized the role of ICAO Regional Offices in providing direct support to ICAO Member States in the effective implementation of SARPs and in coordinating this assistance therein, under the auspices of the NCLB initiative.

20.4 The Committee noted A40-WP/107, presented by the European Union on behalf of the European Union and its Member States, the other Member States of the European Civil Aviation Conference; and by EUROCONTROL and co-sponsored by New Zealand and Canada, and reaffirmed its support to the No Country Left Behind Initiative and acknowledged the contributions to this initiative to improve the overall performance of aviation at the global level. In order to enhance the effectiveness of capacity-building activities, the Committee invited ICAO to intensify its support to its Member States in the implementation of SARPs, with associated indicators on the success of SARPs implementation. Recognizing the added value and complementarity of capacity-building activities undertaken by ICAO, individual States, regional organizations and industry, the Committee requested ICAO to hold a coordinating and information sharing role between the various stakeholders involved in the provision of assistance and to encourage the use of existing coordination mechanisms for the planning and implementation of such targeted assistance, such as ASIAP for aviation safety and air navigation. The ICAO Secretariat informed the Committee that a database mapping of all capacity-building and assistance projects in the area of aviation security and an ASIAP Technical Assistance Project Database had been developed, and these tools could be enhanced and could be expanded to other Strategic Objectives. A40-WP/107 was complemented with the information provided in A40-WP/106, listing the various capacity-building and assistance projects across ICAO's strategic objectives.

20.5 Mexico presented A40-WP/437, describing its experience as a beneficiary of the Systemic Assistance Programme (SAP) established by ICAO's Regional Office for North America, Central America and the Caribbean (NACC). The Committee recognized the existence of similar capacity-building and assistance activities undertaken in all ICAO Regional Offices and invited the exchange of best practices and experience in the implementation of SARPs among States thereon, while taking into account the specificities and priorities of the States accredited to each Regional Office.

20.6 The Committee considered A40-WP/220, presented by South Africa, and encouraged States in intensifying their direct assistance to other States, for instance at the regional level, in order to enhance the implementation of SARPs, with associated monitoring activities. The ICAO Secretariat informed the Committee that the promotion of regional coordination through close partnerships with regional organizations and regional civil aviation bodies is aligned with ICAO's Policy on Regional Cooperation. Such efforts complement the programmes initiated by ICAO with the view to enhancing the effectiveness of capacity-building and assistance activities, such as ASIAP, in the area of aviation safety. ICAO Member States were encouraged to consider their active participation in such programmes as a means to better coordinate technical assistance activities. Such activities can contribute to achieving the objectives of ICAO's Global Aviation Plans and sustain ICAO's capacity-building and assistance activities and, consistently with the recommendations of A40-WP/107, ICAO Secretariat should be informed accordingly. In light of the extensive support expressed for the Working Papers presented, the Committee agreed to recommend the Assembly to:

- a) urge the Council to continue its work to raise global awareness on the importance of the effective implementation of ICAO's SARPs, policies, plans and programmes which support a safe, secure, efficient, economically viable and environmentally sound air transport system;

- b) urge the Secretary General to continue intensifying technical assistance and technical cooperation activities to further implement the NCLB initiative, notably the general implementation support activities following the publication of new SARPs;
- c) recognize the role of ICAO Regional Offices in ensuring the continuous support of ICAO Member States in the effective implementation of Standards and Recommended Practices (SARPS), through the coordination of lessons learned and the exchange of experience in the implementation of SARPs among States;
- d) invite ICAO to apply a systemic approach to its targeted State support activities and to intensify the implementation support, technical support and assistance activities of the Secretariat;
- e) recognize the added value and complementarity of capacity-building activities undertaken by ICAO, individual States, regional organizations and industry and request ICAO to coordinate targeted regional or State support with other partners via ASIAP, for aviation safety and air navigation;
- f) encourage States and regional organisations to keep ICAO informed about their assistance activities in order to allow a coordinated approach to technical assistance activities, ensuring the best use of existing resources and to reduce duplication of efforts;
- g) support the exchange of information between the ICAO Regional Offices on the best practices in relation to capacity-building and assistance, reminding that due consideration should be given to the specificities and priorities of the States accredited to each Regional Office; and
- h) encourage States to work with ICAO to proactively plan, coordinate, and implement Regional Cooperation, and to monitor the results against the impacts of achieving improved aviation safety and security.

20.6.1 It should be noted that the actions addressed to ICAO will be undertaken subject to the resources available in the 2020-2022 regular programme budget and/from extra budgetary contributions.

20.7 A40-WP/233 from Indonesia and A40-WP/452 from Uruguay were submitted for information.

Pacific Island Developing States (PSIDS)

20.8 In A40-WP/47, the Council provided an update on the feasibility study related to the Pacific Small Island Developing States aviation needs analysis (PSIDS Study), following-up on a decision of the 39th Session of the Assembly documented in A39-WP/501, Report of the Executive Committee on Agenda Item 28. The Executive Committee noted the information on the scope, purpose, methodology and principles of the study and extended its appreciation to Australia, Chile, China, Fiji, Singapore, the United Kingdom and the United States for their in-kind and financial contributions. Furthermore, the Executive Committee was informed that due consultation had taken place on the study's draft conclusions and recommendations with the fourteen States included in the PSIDS Study. The Executive Committee also noted that the ICAO Secretariat would present the final report to the 218th Session of the Council, which would be directed to review the recommendations and develop an implementation roadmap. It was noted that the recommendations may require the mobilization of resources and expansion of partnerships with Governments, the private sector and the relevant United Nations organizations.

20.9 The Committee considered A40-WP/210, presented by Australia and co-sponsored by New Zealand, the Pacific Aviation Safety Office (PASO), Samoa, Singapore and Tonga, and noted the challenging demographic and operational conditions of the small island States located in the Asia-Pacific Region. A40-WP/210 called for adequate support to enhance the implementation of SARPs in the area of safety, as well as air navigation capacity and efficiency, with a particular focus on the PSIDS, in line with the Beijing Declaration and the findings of the ICAO PSIDS Needs Analysis Study.

20.10 A40-WP/310 was presented by Papua New Guinea, on behalf of the Cook Islands, Fiji, Kiribati, the Marshall Islands, the Federated States of Micronesia, Nauru, Palau, Papua New Guinea, the Solomon Islands, Samoa, Singapore, Tonga, Tuvalu and Vanuatu. The Working Paper highlighted the unique set of challenges faced by the PSIDS, linked in particular to their limited resources, remoteness, and susceptibility to natural disasters, but also the key importance of aviation for these States' socio-economic development. In this context, A40-WP/310 welcomes the efforts undertaken by ICAO and donor States to enable the conduct of the PSIDS Study.

20.11 New Zealand presented A40-WP/385, highlighting the numerous activities it has undertaken to support the PSIDS in the areas of aviation safety and security. New Zealand further emphasized the importance of the ICAO PSIDS Needs Analysis Study in promoting a regional approach to support PSIDS and in facilitating their ownership of the subsequent recommendations. Being mindful of the challenges faced by most small PSID States, New Zealand encouraged the actions of the PSIDS study to ensure its recommendations are practical, proportionate and cost-effective.

20.12 The Executive Committee noted the wide support expressed by States for the recommendations included in the Working Papers. It was also acknowledged that the lessons learned through the development of the PSIDS study could benefit other SIDS.

20.13 In particular, the Committee noted that a number of States drew attention on the necessity to devote appropriate resources to the ICAO APAC Regional Office, in light of the specific characteristics of the Pacific Small Island Developing States. The Committee also noted that additional support would be needed for the implementation of the recommendations stemming from the PSIDS Study. In this respect, the Executive Committee recommends the Assembly to:

- a) call for the results of the PSIDS study to be duly taken into consideration in the strategic planning of ICAO activities;

- b) direct the Council to review the recommendations contained therein and develop an implementation roadmap; and
- c) direct the Council to determine how the lessons learned and recommendations stemming from the PSIDS study could benefit other Small Island Developing States (SIDS).

20.14 It is recommended that all ICAO actions aimed at better supporting the implementation of the Beijing Declaration (at the regional and national levels), helping progress towards ICAO global targets, and supporting the implementation of recommendations stemming from the PSIDS study be considered with respect to existing priorities funded through the 2020-2022 Budget and the availability of extra-budgetary resources.

Agenda Item 21: United Nations 2030 Agenda - Sustainable Development Goals (SDGs)

21.1 The Committee noted A40-WP/45, which provides an overview of the major efforts undertaken by ICAO in support of the Sustainable Development Goals (SDGs) presented by the Council. The Committee appreciated how ICAO advocated the benefits of aviation in support of the SDGs as well as the increased reflection of aviation in the Voluntary National Reviews to report on progress towards the achievement of the SDGs. It particularly welcomed ICAO's mapping against the SDGs, the outcomes of the yearly ICAO World Aviation Forum (IWAF) and the outreach done by the Aviation Partnerships for Sustainable Development. The Committee acknowledged the development of guidance for States to establish a National Aviation Planning Framework, and the development of a Partnership Framework to better manage partnerships in support of the SDGs. It commended ICAO's work on innovation.

21.2 The Committee also appreciated ICAO's monitoring efforts of the SDGs, as an official observer on the Inter-agency and Expert Group on Sustainable Development Goal Indicators (IAEG-SDGs), as well as the custodian agency of SDG indicator 9.1.2, *Passenger and Freight Volumes, by Mode of Transport*. The Committee supported the revised Resolution included in A40-WP/45, which invited the Assembly to encourage Member States to report on aviation, as an enabler of sustainable development, within their National Voluntary Review delivered at the UN High Level Political Forum on Sustainable Development (HLPF); and encouraged States to include clear references to the SDGs in their national aviation plans, with the objective of showcasing the contribution of aviation to the UN SDGs and national economies. The Committee encouraged ICAO to strengthen outreach and collaboration with Stakeholders and international organizations to raise visibility on aviation and the SDGs.

21.3 The actions requested by A40-WP/45 will be undertaken, subject to the resources available in the 2020-2022 regular programme budget and from extra budgetary contributions.

21.4 The Committee noted A40-WP/189, in which the Airports Council International (ACI), the Civil Air Navigation Services Organisation (CANSO), the International Air Transport Association (IATA), the International Business Aviation Council (IBAC), and the International Coordinating Council of Aerospace Industries Associations (ICCAIA), illustrate air transport as a significant contributor to global economic growth and social development.

21.5 The Committee appreciated the actions contained in A40-WP/189. These invited the Assembly to note the Air Transport Action Group (ATAG) report *Aviation: Benefits Beyond Borders 2018* and its findings on how aviation supports the global society and the SDGs. Member States should also make use of data wherever and whenever possible to highlight aviation's contributions to the SDGs.

21.6 The Committee also noted A40-WP/199, presented for information by IATA, and A40-WP/488, presented by ACI, also for information.

21.7 In light of the discussion, the Committee agreed to submit for adoption by the Plenary, the following resolution:

Resolution 21/1: Aviation's contribution towards the United Nations 2030 Agenda for Sustainable Development

Recognizing that air transport is a catalyst for sustainable development and that it represents an essential lifeline for Least Developed Countries (LDCs), and especially for Landlocked Developing Countries (LLDCs) and Small Island Developing States (SIDS) to connect to the world;

Recognizing that air transport connectivity is of utmost importance for the economic, social and territorial cohesion of Member States and their populations;

Recognizing that the benefits enabled by air transportation can only materialize if States have a safe, efficient, secure, economically viable and environmentally sound air transport system;

Whereas the *No Country Left Behind* (NCLB) initiative aims at assisting States in effectively implementing ICAO Standards and Recommended Practices (SARPs) plans, policies and programmes, as well as addressing Significant Safety and Security Concerns so as to ensure that all States have access to the significant socio-economic benefits of air transport;

Whereas the General Assembly of the United Nations adopted the *Transforming our World: The 2030 Agenda for Sustainable Development* that includes a set of seventeen universal and transformative goals supported by 169 targets that balance the economic, social and environmental dimensions of sustainable development;

Recalling that the scale and ambition of the 2030 Agenda for Sustainable Development call for a global partnership that will bring together Governments, the private sector, civil society, the United Nations system and other actors to mobilize all available resources for its implementation;

Whereas the delivery of ICAO Strategic Objectives on safety, air navigation capacity and efficiency, security and facilitation, economic development of air transport, and environmental protection contribute to the attainment of the United Nation Sustainable Development Goals (SDGs);

Recognizing that the UN High Level Political Forum on Sustainable Development is the prime venue where States, through the Voluntary National Reviews (VNRs), deliver an update on annual progress and challenges on implementation towards the achievement of the SDGs at a national level;

Recognizing the importance of global frameworks to support the Strategic Objectives of ICAO;

Recognizing the importance of effective implementation of regional and national plans and initiatives based on the global frameworks;

The Assembly:

1. *Urges* Member States to recognize the significant contributions of aviation to sustainable development realized by stimulating employment, trade, tourism and other areas of economic development at the national, regional and global levels, as well as by facilitating humanitarian and disaster response to crises and public health emergencies;
2. *Directs* the Council and the Secretary General, within their respective competencies, to demonstrate that ICAO continues to serve as an advocate for aviation by raising awareness among Member States, including relevant authorities beyond the air transport sector, the United Nations system, the donor community and all relevant stakeholders about aviation's contributions to sustainable development and the attainment of the SDGs;
3. *Urges* Member States to report on aviation, as an enabler of sustainable development, within their VNRs, through establishing linkages with other relevant SDGs;
4. *Encourages* Member States to include clear references to the UN SDGs in their relevant national plans, with the objective of showcasing the contribution of aviation to the UN SDGs and national economies;
5. *Urges* Member States to enhance their air transport systems by effectively implementing SARPs and policies while at the same time including and elevating the priority of the aviation sector into their national development plans supported by robust air transport sector strategic plans and civil aviation master plans, thereby leading to the attainment of the SDGs;
6. *Directs* the Secretary General to consider the special needs and characteristics of LDCs, LLDCs and SIDS, identified within the framework of the United Nations, in the coordination, prioritization, facilitation and implementation of assistance programmes aimed at enhancing their air transport systems;
7. *Directs* the Secretary General to continue monitoring and reviewing, when applicable, the contributions made towards the attainment of the SDGs through the implementation of ICAO Strategic Objectives and work programmes;
8. *Directs* the Secretary General to ensure that ICAO participate, when applicable and in alignment with its Strategic Objectives, in appropriate mechanisms put in place to support the implementation of the 2030 Agenda for Sustainable Development so that aviation is recognized and prioritized as such by Member States in their development plans; ~~and~~
9. *Requests* the Secretary General to enhance existing and establish new partnerships with Member States, the aviation industry, the United Nations system, international and regional organizations, financial institutions, donors and other actors to assist Member States in enhancing their air transport systems with a view to contributing, consequently, to the attainment of the SDGs; ~~and~~
10. *Declares that* this Resolution supersedes A39-25 on United Nations 2030 Agenda- Sustainable Development Goals.

Agenda Item 22: Resource Mobilization and Voluntary Funds

22.1 The Committee noted A40-WP/50 presented by ICAO. It noted the 123 per cent increase between 2013-2015 and 2016-2018 in ICAO voluntary funds cumulatively received. The Committee acknowledged with gratitude the US, China and Canada as being ICAO's top 3 State donors. It also welcomed the 133 States that supported ICAO through the deployment of gratis personnel, including short or long term secondees, and/or the organization of conferences, events, summits, meetings and workshops.

22.2 The Committee acknowledged the invaluable contribution provided by Member States who host ICAO Offices, from Headquarters to Regional Offices, namely Canada, Mexico, Peru, France, Egypt, Senegal, Kenya, Thailand and the Sub-Regional Office – China.

22.3 The Committee noted with interest the different Funds and their purpose, as well as details on each of the voluntary fund contributions and expenditures, and applauded the tools and procedures created to further enhance the mobilization of voluntary resources.

22.4 It appreciated the need to diversify the donor landscape and welcomed the opportunity to strategically engage with financial institutions to support the aviation sector. These actions are subject to the resources available in the 2020-2022 regular programme budget and from extra budgetary contributions. As such the Committee supported the updated resolution included in A40-WP/50.

22.5 In closing, the Executive Committee appreciated the Secretariat's initiatives and achievements in the mobilization of voluntary resources. Furthermore, the Committee welcomed the Secretariat's efforts to strengthen accountability, efficiency in management and transparency as this will enhance ICAO's resource mobilization efforts with donors.

22.6 In light of the discussion, the Committee agreed to submit for adoption by the Plenary, the following resolution:

Resolution 22/1: Resource Mobilization

Recognizing that air transport is a catalyst for sustainable development and that despite its socio-economic significance, it receives limited funds from existing international funding mechanisms to support its development;

Recognizing that the successful implementation of the *No Country Left Behind* (NCLB) initiative will rely on an increased level of funding and investments supported by all Member States;

Considering that, in some cases, Member States may not have access to the necessary resources to remedy the deficiencies identified through ICAO audit programmes and to enhance their air transport systems;

Whereas most developing States experience difficulties in gaining access to many financial market sources, particularly foreign capital markets, for funding sustainable development of civil aviation;

Whereas the Council has established, based on ICAO Strategic Objectives, thematic and multi-donor trust funds with the objective of assisting Member States in enhancing civil aviation;

Recalling that several Assembly resolutions, including A39-12, A39-14, A39-16, 39-18, ~~A38-2, A38-5, A38-7, A38-15, A37-16, A36-17, A36-18, A35-15, A33-1, A33-9, A29-13 and A22-19~~, urge States,

international organizations and financial institutions to establish partnerships, mobilize resources for technical assistance and make voluntary contributions to ICAO Funds;

Acknowledging Member States, international and regional organizations and other donors' significant contributions to ICAO Funds associated with the fulfilment of the objectives of ICAO;

Recognizing that a holistic and purposeful resource mobilization capacity has the potential for increasing ICAO's support to States in facilitating access to funds to enhance their civil aviation systems;

Whereas ICAO has a Resource Mobilization Policy aimed at achieving adequate, more predictable and sustainable voluntary contributions to realize the Organization's mission, to complement the ICAO Regular Programme Budget, and to assist States in facilitating access to funds to enhance their safe, efficient, secure, economically viable and environmentally sound air transport system;

The Assembly:

1. *Directs* the Council and Secretary General, within their respective competencies, to ensure that ICAO continue its role as an advocate for aviation by raising awareness among Member States, the United Nations system, international and regional organizations, financial institutions, the private sector and the donor community about the benefits of mobilizing resources for and investing in the sustainable development of air transport systems of all Member States;

2. *Urges* Member States, the industry, international and regional organizations, financial institutions, donors and other stakeholders to support the implementation of assistance activities in line with the global and regional aviation plans and priorities established by ICAO while avoiding duplication of efforts;

3. *Requests* the Secretary General to develop guidance material to assist States in including and elevating the priority of the aviation sector into their national development plans and developing robust air transport sector strategic plans and civil aviation master plans;

4. *Urges* Member States to work with financial institutions, to prioritize the aviation sector for funding to implement assistance and national projects, in support of the NCLB Initiative;

5. *Urges* Member States to secure national funding for the sustainable development of air transport and *encourages* them to seek assistance from ICAO when appropriate;

6. *Urges* all Member States providing Official Development Assistance (ODA) to recognize the significant contributions of aviation to sustainable development by considering commitments and disbursements of financial flows to the enhancements of air transport of States in need and *encourages* the Secretary General to assist them in realizing this endeavour;

7. *Urges* all Member States, the industry, international and regional organizations, financial institutions, donors and other stakeholders able to do so to continue making voluntary contributions to ICAO Funds and to partner with States in need with a view to providing financial and technical resources to assist in enhancing their civil aviation systems, including their oversight capabilities;

8. *Directs* the Council and Secretary General, with their respective competencies, to continue fostering ICAO's partnership with financial institutions seeking the prioritization or inclusion of aviation in their agendas and work programmes in order to facilitate States' access to fund or finance their aviation development projects;

9. *Directs* the Secretary General to develop strategies and means to mobilize resources among Member States, the UN system, international and regional organizations, financial institutions, the private sector and related mechanisms to assist States in need, especially Least Developed Countries (LDCs), Landlocked Developing Countries (LLDCs) and Small Island Developing States (SIDS), in enhancing their air transport systems when appropriate and consistent with the NCLB initiative;

10. *Directs* the Secretary General to work with international organizations to ensure that aviation priorities and opportunities are properly represented in global and regional initiatives related to the mobilization of resources for the development of air transport; ~~and~~

11. *Directs* the Secretary General to work with international organizations to ensure that ICAO Resource Mobilization initiatives are harmonized and integrated in relevant funding and development frameworks; ~~and~~

12. Declares that this resolution supersedes A39-26 on Resource Management

Agenda Item 23: Technical Assistance Programme

ICAO Technical Assistance

23.1 The Committee reviewed A40-WP/4, presented by the Council, which reported on the ICAO Technical Assistance Programme in the fields of aviation safety, air navigation capacity and efficiency, security and facilitation, economic development of air transport and environment for the current triennium (2017 – 2019). The Committee noted the implementation work undertaken by ICAO during the current triennium covering all Strategic Objectives and encouraged States to continue to support ICAO's work in partnership with all stakeholders concerned. A40-WP/4 reaffirms ICAO's continued commitment to providing assistance for States that have not met targets for enhancing their aviation systems, a crucial element of the *No Country Left Behind (NCLB) initiative*. Globally, over the current triennium, States have improved the effective implementation (EI) of critical elements for the establishment of an aviation safety and security oversight system by 3.07 and 0.67 per cent, respectively. The Committee concluded that continued support and contributions from States and industry play a leading role in elevating a State's aviation system and in resolving imminent and major deficiencies such as Significant Safety Concerns (SSCs) and Significant Security Concerns (SSeCs). In this connection, the Committee urged the Assembly to support and continue to contribute for the benefit of States in need of assistance.

23.2 The Committee reviewed A40-WP/129, presented by Canada and New Zealand, which called for strengthened and synchronized technical assistance efforts and increased Regional Office involvement in technical assistance matters, in particular regarding the Asia and Pacific (APAC) Regional Office as emphasized by some States. The Committee recognized the importance of a harmonized and synchronized approach by all stakeholders, including ICAO, in regard to technical assistance activities designed for States. The Committee endorsed the recommendations in the paper which would strengthen technical assistance for States in a safe, secure, sustainable and efficient way. Additionally, the Committee acknowledged the benefits that came from technical assistance initiatives and, as was also expressed, the benefits of activities arising from the Aviation Safety Implementation Assistance Partnership (ASIAP) and regional safety oversight organizations (RSOs).

23.3 The Committee reviewed A40-WP/319, presented by the African Civil Aviation Commission (AFCAC) on behalf of its 54 Member States⁹, and noted the achievements in improving safety in the Africa-Indian Ocean (AFI) Region through the implementation of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) during the current triennium. The Committee supported the continuation of the AFI Plan over the next triennium, based on the achievements registered to date, not only to sustain the achieved progress, but also to further enhance aviation safety in the region.

23.4 Information papers by Canada (A40-WP/441), the Member States of the Central American Corporation of Air Services (COCESNA¹⁰) (A40-WP/77 Revision No. 1), Indonesia (A40-WP/511) and Venezuela (A40-WP/493 Revision No. 1), were noted.

AFI SECFAL Plan

23.5 The Committee reviewed A40-WP/63, presented by the Council, and noted the progress made in the implementation of the Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL Plan). The Committee stressed the importance of establishing regional mechanisms to address aviation security and facilitation challenges in Africa, the need to reinforce and coordinate technical assistance missions in Africa through the AFI Region Security and Facilitation Collaborative Experts Scheme (AFI-CES) and to work collaboratively in avoiding duplication of work in assisting African States while implementing the GAsEP and the Regional Targets, and the efforts made to raise political commitment. The Committee endorsed the proposal to update Assembly Resolution A39-38 on AFI SECFAL Plan, urging Member States of the AFI Region to commit to the achievement of the goals and objectives of the AFI SECFAL Plan. It further noted the need for continuing the resource mobilization strategy, coupled with the campaign by the ICAO Council and ICAO Secretariat to increase financial resources to ensure a sustainable funding mechanism to effectively implement the Plan.

23.6 The Committee agreed to submit for adoption by the Plenary the following resolution to supersede Assembly Resolution A39-38:

Resolution 23/1: Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa

Whereas it is essential that there be increased coordinated efforts under ICAO leadership to reduce serious aviation security and facilitation deficiencies in the Africa-Indian Ocean (AFI) Region which are detrimental to the functioning and further development of international civil aviation;

Whereas UN Security Council, in resolution 2396 (2017), in welcoming ICAO's decision to establish a standard under Annex 9 — *Facilitation*, regarding the use of Advance Passenger Information (API) systems by its Member States, and recognizing that many ICAO Member States have yet to implement this standard, has decided, in paragraph 11, that in furtherance of paragraph 9 of resolution 2178 (2014) and the ICAO standard, its Member States are, inter alia, to establish API systems and shall require airlines operating in their territories to provide API to the appropriate national authorities;

⁹ Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Central African Republic, Chad, Comoros, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Djibouti, Egypt, Equatorial Guinea, Eritrea, Eswatini, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Togo, Tunisia, Uganda, United Republic of Tanzania, Zambia, Zimbabwe.

¹⁰ Belize, Costa Rica, El Salvador, Guatemala, Honduras and Nicaragua.

Whereas UN Security Council, also in resolution 2396 (2017), at paragraph 12, has decided that “Member States shall develop the capability to collect, process and analyze, in furtherance of ICAO standards and recommended practices, passenger name record (PNR) data and to ensure PNR data is used by and shared with all their competent national authorities, with full respect for human rights and fundamental freedoms for the purpose of preventing, detecting and investigating terrorist offenses and related travel, further calls upon Member States, the UN, and other international, regional, and sub regional entities to provide technical assistance, resources and capacity building to Member States in order to implement such capabilities, and, where appropriate, encourages Member States to share PNR data with relevant or concerned Member States to detect foreign terrorist fighters returning to their countries of origin or nationality, or travelling or relocating to a third country, with particular regard for all individuals designated by the Committee established pursuant to resolutions 1267 (1999), 1989 (2011), and 2253 (2015), and also urges ICAO to work with its Member States to establish a standard for the collection, use, processing and protection of PNR data”;

Noting that the Council of ICAO has taken steps to address aviation security and facilitation issues through the development of a Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (the AFI SECFAL Plan) as an ICAO Programme;

Noting that significant effort has been made towards reaffirming political commitment in Africa, in collaboration with the African Union Commission (AUC) and African Civil Aviation Commission (AFCAC), and that the Windhoek Declaration and specific targets adopted by the Ministerial Conference on Aviation Security and Facilitation in Africa held in April 2016 in Windhoek, Namibia have been endorsed by the African Union (AU) Summit of Heads of States and Government on 1 July 2017 in Addis Ababa, Ethiopia;

Recognizing that many Contracting States in the AFI Region may not have sufficient technical or financial resources to comply with the requirements of the Chicago Convention and its Annexes and therefore rely on ICAO, development partners, industry and other stakeholders for expertise and assistance;

Recognizing the need to coordinate, under the ICAO umbrella, activities of all stakeholders providing assistance to States in the AFI Region;

Recognizing that ICAO may require additional resources to successfully carry out its coordination role; and

Considering the willingness of the international community to assist the AFI Region in giving, as soon as possible, a concrete and substantial commitment to the AFI SECFAL Plan;

The Assembly:

1. *Urges* Member States of the AFI Region to commit to the achievement of the goals and objectives of the AFI SECFAL Plan;

2. *Urges* Member States to call upon aircraft operators offering international air transport services to participate in electronic data interchange systems by providing advance passenger information in order to achieve maximum efficiency levels in the processing of passenger traffic at international airports;

3. *Requests* Member States that have not already done so, to develop the capability to collect, process and analyze passenger name record (PNR) data and to ensure that PNR data is used by and shared with their competent national authorities, with full respect for human rights and fundamental freedoms for the purpose of preventing, detecting and investigating terrorist offences and related travel;

4. *Encourages* Member States of the AFI Region to strengthen cooperation across the region in order to optimize the use and sharing of available resources through regional and sub regional projects and the AFI Collaborative Experts Scheme (CES) in all aspects of aviation security and facilitation oversight;
5. *Encourages* all Member States, UN Organizations (especially UNDP, UNODC, Security Council Counter Terrorism Committee, and others), aviation industry, and financial and other donors to support the AFI SECFAL Plan and work with ICAO for its implementation;
6. *Instructs* the Council to ensure a strong ICAO leadership role in coordinating activities, initiatives and implementation strategies aimed specifically at meeting the goals and objectives of the Plan, in order to achieve sustained improvement of aviation security and facilitation in the AFI Region and to allocate resources to the Plan under the Regular budget and to relevant Regional Offices accordingly;
7. *Instructs* the Council to implement the AFI SECFAL Plan in line with business plan principles, programme management practices and available resources; and
8. *Instructs* the Council to monitor and measure the status of implementation in the AFI Region throughout the triennium and to report to the next Assembly on the progress made; and
9. Declares that this resolution supersedes Resolution A39-38.

23.7 The Committee reviewed A40-WP/288 (Revision No. 1, English only), presented by the African Civil Aviation Commission (AFCAC) on behalf of its 54 Member States¹¹ and commended the progress made in the implementation of the AFI SECFAL Plan. In particular, the committee stressed the importance of the establishment of the AFI Region Security and Facilitation Collaborative Experts Scheme (AFI-CES) as a vehicle for delivering assistance to States, and supported the implementation of the Work Programme, namely the contribution of the team of experts to the AFI SECFAL Plan activities and to AFCAC in assisting States through technical missions on existing or potential Significant Security Concerns (SSeCs) and other aviation security and facilitation deficiencies.

Agenda Item 24: Technical Cooperation - Policy and Activities

24.1 At its eighth meeting, the Executive Committee considered the subject of *Technical Cooperation – Policy and activities on technical cooperation* on the basis of A40-WP/66 presented by the ICAO Council and one Information Paper presented by the Interstate Aviation Committee (A40-WP/109).

24.2 In A40-WP/66, the Council provided an update on ICAO's policy and strategy for technical cooperation and technical assistance. The Report underscored that the Organization maintains, on the one hand, a Technical Assistance Programme which supports States with Regular Budget resources and contributions to ICAO Voluntary Funds allocated in accordance with established principles and priority criteria, concentrating mainly on remedying deficiencies identified through ICAO audits. On the other, the Technical Cooperation Programme supports States and other entities in the development and implementation of their civil aviation projects funded by governments themselves, donors, financing institutions and private sector entities on a cost recovery basis. Recalling that the Technical Cooperation Programme is a permanent priority activity of the Organization, the Report presented, in its Appendix A, an analysis of the Programme's financial and operational performance results in the 2016 to 2018 triennium,

¹¹ Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Central African Republic, Chad, Comoros, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Djibouti, Egypt, Equatorial Guinea, Eritrea, Eswatini, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco, Mozambique, Namibia, Niger, Nigeria, Rwanda, Sao Tome and Principe, Senegal, Seychelles, Sierra Leone, Somalia, South Africa, South Sudan, Sudan, Togo, Tunisia, Uganda, United Republic of Tanzania, Zambia, Zimbabwe.

offering a comparison with the two preceding triennia, and provided the Administrative and Operational Services Cost (AOSC) Fund results for the reporting period in its Appendix B. This was complemented by a summary of achievements by Strategic Objective in Appendix C. The Report also provided information on significant developments within the Technical Cooperation Bureau (TCB) in the triennium which reinforced ICAO's commitment to continually improve the Bureau's role as a value-added service provider, including the successful transition of its Quality Management System to the ISO 9001:2015 Standard and the ongoing development of a Business Process Management System (BPMS) for process automation and optimization to facilitate the real-time monitoring of, and detailed reporting on, all ongoing projects. It also recalled the approval by the Council of the ICAO Vendor Sanction Policy, strengthening oversight over procurement activities, and reported on the development of a Talent Outreach Plan to address the existing shortfall of core competencies in aviation, and continued implementation of the ICAO Programme for Aviation Volunteers (IPAV). At the strategic level, the Report underscored the development of an enhanced Quality Assurance Process with the participation of relevant Bureaus and new outreach functions assigned to the Regional Offices, as a result of a holistic review of the existing institutional and administrative mechanisms governing the provision of technical cooperation and technical assistance in the Organization. The Report also informed on the Council's approval of the integration of the Global Aviation Training Office (GAT) into TCB's structure and the alignment of technical cooperation and technical assistance activities to be implemented by the end of 2020. Appendix D to the working paper proposed a slight update to Assembly Resolution A39-16 - *Consolidated Statement of ICAO Policies on Technical Cooperation and Technical Assistance*, to take into account required editorial changes, for adoption by the Assembly.

24.3 A40-WP/109, presented by the Interstate Aviation Committee (IAC), provided information on the technical cooperation project "Cooperative Development of Operational Safety and Continuing Airworthiness in the Commonwealth of Independent States" (COSCAP-CIS). It highlighted the results achieved in the last 20 years in the field of training through multilateral cooperation with Airbus, the Boeing Company, General Electric and Ilyushin in over 150 events, such as seminars, conferences and training courses for a total of around 11000 aviation experts from 20 States and ten international organizations. Training delivered under the project related to flight safety and airworthiness.

24.4 The Executive Committee noted that the ICAO Technical Cooperation Programme's performance in the 2016-2018 reporting period had enjoyed the continued interest of States, donors and private entities, with a total Programme delivery of USD 356.2 million and implementation of an average of 107 projects per year in over 138 States and ten organizations across all regions. On the operational side, the Programme played an instrumental role in supporting Member States with the deployment of 1061 international field experts, the recruitment of 2566 national experts, the provision of training to 19565 civil aviation personnel and the procurement of major civil aviation equipment in the amount of USD 217.3 million.

24.5 The Committee was encouraged by the efforts made by the Technical Cooperation Bureau in the triennium to enhance service delivery through greater transparency, accountability and the highest standard of quality for the benefit of Member States. Of particular relevance, this period saw the transition of the Bureau's Quality Management System to the 9001:2015 Standard and the establishment of a strengthened Quality Assurance Process for technical cooperation and technical assistance projects, with an enhanced scope, redefined roles and responsibilities, participation of key ICAO stakeholders and a new outreach role for the Regional Offices. The Committee was informed of the upcoming implementation of an online platform accessible to States which shall facilitate the real-time financial and operational monitoring of project milestones.

24.6 Recognizing the importance of information sharing, prioritization of needs and resource mobilization for capacity-building activities, the Committee recommended that the Assembly encourage States, international organizations and donors to join efforts in providing targeted regional or State support

through collaborative initiatives such as the Aviation Safety Implementation Assistance Partnership (ASIAP), and supported a proposal for centralized coordination and oversight within ICAO.

24.7 Considering ICAO's standard-setting, auditing and technical support functions, the Committee recognized that further alignment between technical assistance and technical cooperation activities is required in order to ensure a harmonized, consistent and efficient approach amongst the various entities within the Organization involved in implementation support, thereby avoiding unnecessary duplication, conflict of interest and competition for limited resources.

24.8 The Executive Committee acknowledged that the priority remained to promote global harmonization of the implementation of ICAO Standards and Recommended Practices (SARPs), so that all States have access to the significant socio-economic benefits of safe, reliable and sustainable air transport. Enhanced efforts will be made by the Secretariat to provide support to developing countries through ICAO's Technical Cooperation Programme as part of the No Country Left Behind (NCLB) initiative. The Committee therefore recommended that the Assembly continue to support the Programme by recognizing its importance for cooperation and capacity-building activities centered on assisting States in the enhancement of their civil aviation systems and related infrastructure, as well as strengthening their human resource capabilities.

24.9 In light of its deliberations, the Executive Committee invites the Assembly to:

- a) remind Contracting States contemplating the development or enhancement of their civil aviation infrastructures, to consider the advantages of using the ICAO Technical Cooperation Programme for their civil aviation projects;
- b) urge Contracting States, when implementing civil aviation development projects through ICAO, to give priority to Universal Safety Oversight Audit Programme (USOAP) and Universal Security Audit Programme (USAP) findings and recommendations as well as other sources, such as the conclusions and decisions by Planning and Implementation Regional Groups (PIRGS) and Regional Aviation Safety Groups (RASGs), with a view to rectifying identified deficiencies, resolving Significant Safety and Security Concerns (SSCs and SSCes) and addressing opportunities for improvement in all civil aviation fields, while directly contributing to the achievement of all ICAO's Strategic Objectives;
- c) urge Contracting States, financing institutions, the aviation industry and other stakeholders to provide sustained financial and human resource support through the ICAO Programme for Aviation Volunteers (IPAV) to develop capabilities within beneficiary States in the implementation of ICAO SARPs, as well as fostering self-reliance and growth;
- d) request the Secretary General to continue to raise the awareness of States, private sector entities and donors as to the advantages of having recourse to ICAO for the implementation of capacity-building and infrastructure development projects in the civil aviation field; and
- e) request the Secretary General to improve coordination and alignment between technical assistance and technical cooperation activities in order to ensure a harmonized, consistent and efficient approach amongst the various entities within the Organization involved in implementation support, thereby avoiding unnecessary duplication, conflict of interest and competition for limited resources.

24.10 The Committee also agreed to submit, for adoption by the Plenary the following Resolution as presented by the Council in A40-WP/66 – *Consolidated Statement of ICAO Policies on Technical Cooperation and Technical Assistance*:

Resolution 24/1: Consolidated statement of ICAO policies on technical cooperation and technical assistance

Whereas new policies have been approved by the Council for technical support, in the form of technical assistance and technical cooperation and endorsed by the 38th Session of the Assembly;

Whereas “Technical Assistance” is any assistance provided by ICAO to States, which is funded by the Regular Budget and/or Voluntary Funds, and implemented through any Bureau/Office depending on the nature and duration of the project;

Whereas “Technical Cooperation” is any project requested and funded by States and/or Organizations and implemented through the Technical Cooperation Bureau on a cost-recovery basis, where all the direct and indirect costs related to the project are recovered;

The Assembly:

1. *Resolves* that the Appendices attached to this Resolution constitute the consolidated statement of ICAO policies on technical cooperation and technical assistance, as these policies exist at the close of the 40th Session of the Assembly;
2. *Declares that* this Resolution supersedes A39-16.

APPENDIX A

The ICAO Technical Cooperation and Technical Assistance Programmes

Whereas the growth and improvement of civil aviation can make an important contribution to the economic development of States;

Whereas civil aviation is important to the technological, economic, social and cultural advancement of all countries and especially of developing countries and their subregional, regional and global cooperation;

Whereas ICAO can assist States in advancing their civil aviation and at the same time promote the realization of its Strategic Objectives;

Whereas Resolution 222 (IX)A of 15 August 1949 of the United Nations Economic and Social Council, approved by the General Assembly in its Resolution of 16 November 1949 and endorsed by the ICAO Assembly in its Resolution A4-20, entrusted all Organizations of the United Nations system to participate fully in the Expanded Programme of Technical Assistance for Economic Development, and that ICAO, as the United Nations specialized agency for civil aviation, began the execution of technical cooperation and technical assistance projects in 1951 with funding from the United Nations Special Account for Technical Assistance, established pursuant to the above Resolution;

Whereas the large deficits experienced from 1983 to 1995 required the definition of a new policy on technical cooperation and technical assistance and a new organizational structure for the Technical Cooperation Bureau;

Whereas the implementation of the New Policy on technical cooperation and technical assistance, endorsed by the 31st Session of the Assembly, based on the progressive implementation of the core staff concept, the integration of the Technical Cooperation Bureau into the Organization's structure, and the establishment of the ICAO Objectives Implementation Funding Mechanism, as well as the new organizational structure for the Technical Cooperation Bureau implemented in the 1990s, significantly reduced costs and substantially improved the financial situation of the Technical Cooperation and Technical Assistance Programmes;

Whereas the objectives of the New Policy emphasized the importance of the Technical Cooperation and Technical Assistance Programmes in the global implementation of ICAO Standards and Recommended Practices (SARPs) and Air Navigation Plans (ANPs) as well as the development of the civil aviation infrastructure and human resources of developing States in need of technical cooperation or technical assistance from ICAO;

Whereas standardization and monitoring of SARPs implementation remain important functions of the Organization and emphasis has been placed on ICAO's role towards implementation and support to Contracting States;

Whereas A35-21 encouraged the Council and the Secretary General to adopt a structure and mechanism that would use commercially oriented practices to allow fruitful partnerships with funding partners and recipient States;

Whereas A39-23 urged Member States, the industry, financial institutions, donors and other stakeholders to coordinate and cooperate amongst themselves and to support the implementation of assistance activities in line with the global and regional priorities established by ICAO, thereby avoiding duplication of efforts;

Whereas the Council agreed that greater operational flexibility should be accorded to the Technical Cooperation Bureau with the appropriate oversight and control over technical cooperation and technical assistance activities;

Whereas all technical cooperation activities of the Organization continue to be based on the principle of cost recovery and measures continue to be taken to minimize administrative and operational costs to the extent possible;

Whereas the Technical Cooperation and Technical Assistance Programmes and related Administrative and Operational Services Cost (AOSC) Fund income for the triennium and beyond cannot be estimated with precision and can vary substantially based on various factors outside ICAO's control;

Whereas the Council adopted a policy on cost recovery concerning the apportionment of costs between the Regular Budget and the AOSC Fund for services provided by the Regular Programme to the Technical Cooperation Bureau and for services provided by the Technical Cooperation Bureau to the Regular Programme;

The Assembly:

Technical Cooperation and Technical Assistance Programmes

1. *Recognizes* the importance of the Technical Cooperation and Technical Assistance Programmes for promoting the achievement of the Strategic Objectives of the Organization;
2. *Reaffirms* that the Technical Cooperation and Technical Assistance Programmes, implemented within the rules, regulations and procedures of ICAO, are a permanent priority activity of ICAO that

complements the role of the Regular Programme in providing support to States in the effective implementation of SARPs and ANPs as well as in the development of their civil aviation administration infrastructure and human resources;

3. *Reaffirms* that, within the existing financial means, the ICAO Technical Cooperation and Assistance Programmes should be strengthened, at Regional Office and field level, in order to allow the Technical Cooperation Bureau to play its role more efficiently and effectively with the understanding that no increase in project costs will be incurred;

4. *Reaffirms* that the Technical Cooperation Bureau is one of the main instruments of ICAO to assist States in remedying their deficiencies in the field of civil aviation for the benefit of the international civil aviation community as a whole;

5. *Affirms* that improved cooperation and coordination of ICAO's technical cooperation and technical assistance activities should be achieved through clear delineation of each Bureau's mandate and activities to avoid duplication and redundancy;

6. *Reaffirms* that, in the event that the AOSC operation for any given financial year ends in a financial deficit, such deficit should first be met from the accumulated surplus of the AOSC Fund and, as a last resort, a call for support from the Regular Programme Budget;

7. *Requests* the Secretary General to implement greater efficiency measures leading to a gradual reduction of administrative support costs charged to technical cooperation and technical assistance projects;

8. *Reaffirms* that costs recovered by the Organization for support services provided to the Technical Cooperation Bureau must be directly and exclusively related to project operations in order to keep administrative support costs to a minimum;

ICAO as the recognized agency for civil aviation

9. *Recommends* to donor States, financing institutions and other development partners, including the aviation industry and the private sector, wherever appropriate, to give preference to ICAO for the identification, formulation, analysis, implementation and evaluation of civil aviation projects in the field of technical cooperation and technical assistance, and *requests* the Secretary General to continue communicating with such entities and with potential recipient States, with a view to allocating funds for the development of civil aviation, using ICAO as the executing agency;

10. *Recommends* to States receiving bilateral or other government-sponsored aid to consider the value of using the ICAO Technical Cooperation and Technical Assistance Programmes to support the implementation of their programmes related to civil aviation;

Expansion of ICAO Technical Cooperation and Technical Assistance Activities

11. *Reaffirms* that in adopting commercially oriented practices for the Technical Cooperation Bureau, there is a need to ensure that the good reputation of ICAO is maintained;

12. *Reaffirms* the need to expand the provision of technical cooperation and technical assistance by ICAO to the non-State entities (public or private) directly involved in civil aviation, in furtherance of ICAO Strategic Objectives, such cooperation and assistance to encompass, *inter alia*, those activities that were traditionally provided by national civil aviation administrations and are being privatized to some degree, where the State shall, nonetheless, continue to be responsible under the Chicago Convention for the quality

of the services provided and their compliance with ICAO SARPs, and *requests* the Secretary General to inform the civil aviation authority concerned of the technical aspects of the project immediately upon the start of negotiations with non-State entities;

13. *Reaffirms* that ICAO should expand the provision of technical cooperation and technical assistance services, upon request, to non-State entities (public and private) that are implementing projects in Contracting States in the field of civil aviation which aim at enhancing aviation safety, air navigation capacity and efficiency, security and facilitation, environmental protection and economic development of international air transport, and *directs* the Secretary General to consider, on a case-by-case basis, the requests of such entities for ICAO cooperation and assistance in the traditional technical cooperation and technical assistance areas, with particular regard to project compliance with ICAO SARPs and, as applicable, to relevant national policies and regulations promulgated by the recipient State;

Technical Cooperation and Technical Assistance Agreements

14. *Reaffirms* that ICAO, within the framework of its Technical Cooperation and Technical Assistance Programmes, uses Trust Fund (TF) Agreements, Management Services Agreements (MSA), the Civil Aviation Purchasing Service (CAPS) and other framework agreements and funding arrangements as may be necessary to provide maximum cooperation and assistance to stakeholders implementing civil aviation projects; and

15. *Views with satisfaction* the initiative of States to make greater use of these arrangements to obtain technical cooperation and technical assistance in the field of civil aviation.

APPENDIX B

Funding of the Technical Cooperation and Technical Assistance Programmes

Whereas funds available for technical cooperation and technical assistance in the field of civil aviation are insufficient to meet the needs of civil aviation, especially in the developing countries;

Whereas the Technical Cooperation Programme, with few exceptions, is funded by developing countries providing funds for their own projects;

Whereas the Technical Assistance Programme is funded through ICAO Voluntary Funds and through the Regular Budget of the Organization;

Whereas civil aviation administrations of Least Developed Countries (LDCs) are, in particular, those needing the most support while, at the same time, relying mostly on financial institutions and sector industry to fund their technical cooperation projects;

Whereas UNDP funding is directed mainly to development sectors other than civil aviation, and its financial contribution to civil aviation activities has considerably decreased to a level where it represents less than one per cent of the ICAO Technical Cooperation and Technical Assistance Programmes, but UNDP continues to provide administrative support to ICAO at the country level;

Whereas rapid technical development in civil aviation requires from developing States substantial expenditures in aviation ground facilities to match that development, and continues to increase requirements for training of national aeronautical personnel that are beyond their financial resources and training facilities;

Whereas the Assembly introduced the ICAO Objectives Implementation Funding Mechanism with a view to mobilizing additional resources for technical cooperation and technical assistance projects identified as required to support the implementation of SARPs and the facilities and services listed in the ANPs, as well as the implementation of ICAO audit-related recommendations and the rectification of identified deficiencies;

Whereas funding institutions expect from those implementing the projects they finance, expedient and effective project execution as well as detailed and real-time information on project activities and finances;

The Assembly:

1. *Requests* that financing institutions, donor States and other development partners, including the industry and the private sector, give higher priority to the development of the air transport sub-sector in developing countries and *requests* the President of the Council, the Secretary General and the Secretariat to intensify their contacts with the United Nations, including UNDP, to increase their contribution to ICAO's technical cooperation and technical assistance projects;
2. *Draws the attention* of financing institutions, donor States and other development partners to the fact that ICAO is the Specialized Agency of the United Nations concerned with civil aviation and, as such, is accepted by the United Nations as the expert authority in carrying out technical cooperation and technical assistance for developing countries in civil aviation projects;
3. *Urges* Contracting States that are associated with funding sources to draw the attention of their representatives to these organizations towards the value of providing cooperation and assistance to civil aviation projects, particularly where these are necessary for the provision of ~~the~~ vital air transport infrastructure and/or the economic development of a country;
4. *Urges* Contracting States to give high priority to civil aviation development and, when seeking external cooperation and assistance for this purpose, to stipulate to financing institutions through an appropriate level of government that they wish ICAO to be associated as the executing agency with civil aviation projects which may be funded;
5. *Encourages* the actions of developing countries in seeking funds for the development of their civil aviation from all appropriate sources to complement funds available from national budgets, financial institutions, donor States and other development partners so that such development may progress at the maximum feasible rate;
6. *Recognizes* that extra-budgetary contributions from donors will allow the Technical Cooperation and Technical Assistance Programmes to expand their services to States in relation to aviation safety, air navigation capacity and efficiency, security and facilitation, economic development and environmental protection, thus further contributing to the achievement of the Strategic Objectives, in particular to the implementation of SARPs and the rectification of deficiencies identified by audits;
7. *Authorizes* the Secretary General to receive, on behalf of the ICAO Technical Cooperation and Technical Assistance Programmes, financial and in-kind contributions to technical cooperation and technical assistance projects, including voluntary contributions in the form of scholarships, fellowships, training equipment and funds for training, from States, financing institutions and other public and private sources and to act as an intermediary between States regarding the granting of scholarships, fellowships and provision of training equipment;

8. *Urges* those States which are in a position to do so to provide additional funds to the ICAO Technical Cooperation and Technical Assistance Programmes through the ICAO Voluntary Funds for the implementation of civil aviation projects;

9. *Encourages* States and other development partners, including the industry and the private sector, to contribute to the ICAO Objectives Implementation Funding Mechanism which allows them to participate in the implementation of ICAO's civil aviation projects; and

10. *Requests* the Council to advise and assist developing countries to secure the support of financing institutions, donor States and other development partners in implementing ICAO regional and subregional safety and security programmes, such as the Cooperative Development of Operational Safety and Continuing Airworthiness Programme (COSCAP) and Cooperative Aviation Security Programme (CASP).

APPENDIX C

Implementation of the Technical Cooperation and Technical Assistance Programmes

Whereas the aim of ICAO is to ensure the safe and orderly growth of international civil aviation throughout the world;

Whereas the implementation of technical cooperation and technical assistance projects complements the Regular Programme efforts towards the achievements of ICAO's Strategic Objectives;

Whereas Contracting States increasingly call upon ICAO to provide advice, technical cooperation and technical assistance to implement SARPs and develop their civil aviation through the strengthening of their administration, the modernization of their infrastructure and the development of their human resources;

Whereas, on an urgent basis, there is a need for effective follow-up and remedial action as a result of the ICAO Universal Safety Oversight Audit Programme/Continuous Monitoring Approach (USOAP/CMA) and Universal Security Audit Programme (USAP) audits in order to provide support to States in addressing identified deficiencies, including Significant Safety and Security Concerns;

Whereas extra-budgetary funding provided to the Technical Cooperation and Technical Assistance Programmes allows ICAO, through its Technical Cooperation Bureau, to provide initial support to States to address the deficiencies identified through the USOAP CMA, ICAO Coordinated Validation Missions (ICVMs) and USAP audits;

Whereas implementation of projects in compliance with ICAO SARPs by the Technical Cooperation Bureau or any other third party outside ICAO results in substantially enhanced safety, security and efficiency of civil aviation worldwide;

Whereas ex-post evaluations could constitute a valuable tool for establishing the impact of projects on aviation and for the planning of future projects;

Whereas non-State entities (public and private) implementing projects for Contracting States in the field of civil aviation increasingly call upon ICAO, through the Technical Cooperation Bureau, to provide advice, technical cooperation and technical assistance in the traditional technical cooperation and technical assistance fields and ensure project compliance with ICAO SARPs;

The Assembly:

1. *Draws the attention* of Contracting States requesting technical cooperation and technical assistance to the advantages to be derived from well-defined projects based on civil aviation master plans;
2. *Draws the attention* of Contracting States to the cooperation and assistance provided through subregional and regional projects executed by ICAO, such as COSCAPs and CASPs and *urges* the Council to continue to give high priority to management and implementation of such projects through the Technical Cooperation and Technical Assistance Programmes in view of the great benefit such projects represent;
3. *Requests* the Secretary General to reinforce the Organization's application of a systemic approach to targeted technical support activities with the objective of building robust and sustainable State oversight systems;
4. *Urges* States to give high priority to the training of their national civil aviation technical, operational and management personnel through the development of a comprehensive training programme and *reminds* States of the importance of making adequate provision for such training and of the need to provide suitable incentives to retain the services, in their respective fields, of such personnel after they have completed their training;
5. *Encourages* States to concentrate their efforts upon the further development of existing training centres and to support Regional Training Centres which are located in their area for the advanced training of their national civil aviation personnel where such training is not available nationally, so as to promote a self-reliant capability within that region;
6. *Urges* States receiving technical cooperation and technical assistance through ICAO to avoid project implementation delays by ensuring timely decisions regarding experts, training and procurement components in accordance with the terms of the project agreements;
7. *Draws the attention* of Contracting States to the Civil Aviation Purchasing Service (CAPS), which is a facility provided by ICAO to developing countries to purchase high value items of civil aviation equipment and to contract for technical services, offering a complete procurement process;
8. *Requests* that Contracting States, in particular, developing countries, encourage fully qualified technical experts to apply for inclusion in ICAO's Technical Cooperation and Technical Assistance Programmes' roster of experts;
9. *Requests* the Secretary General to promote the widespread use of performance indicators for the objective assessment of technical cooperation and technical assistance activities' impact on the implementation of ICAO SARPs;
10. *Encourages* States to make use of the quality assurance services offered by the Technical Cooperation Bureau, on a cost-recovery basis, for the supervision of projects implemented by third parties outside the Technical Cooperation and Technical Assistance Programmes of ICAO, including the review of their compliance with ICAO SARPs; and
11. *Encourages* States and donors to include, and provide funding for, ex-post evaluations of their civil aviation projects as an integral part of project planning and implementation.

Agenda Item 25: ICAO Civil Aviation Training and Capacity Building

25.1 For Agenda Item 25, the Executive Committee considered A40-WP/64 regarding *ICAO Civil Aviation Training and Capacity Building*, which provides a summary of activities and achievements of the ICAO Civil Aviation Training since the 39th Session of the Assembly. It also provides information on the implementation of the ICAO Civil Aviation Training Policy, the activities of the Aviation Security Training Centre (ASTC) network, as well as the contribution of the Global Aviation Training Office to the Next Generation of Aviation professionals (NGAP) Programme. The Committee endorsed this WP and encouraged Member States to support ICAO in the pursuit of new training partnerships across all regions; the development of alternative training modalities to facilitate access, such as distance learning, and promotion of these new modalities to their civil aviation stakeholders. The Committee recommended Member States to benefit from the ICAO TRAINAIR PLUS Programme (TPP) and supported the expansion of the network of Members in order to develop, share and deliver training programmes to enhance the qualification of aviation professionals; and encouraged the Council to actively engage in promoting ICAO training activities to Member States in order to increase outreach across all regions.

25.2 The Working Papers submitted by ICAO, Member States and International Organizations were divided into three batches, and presented to the Committee, as follows:

- a) Batch 1 on Training and Capacity Building: A40-WP/64, A40-WP/67, A40-WP/163, A40-WP/164, A40-WP/237, A40-WP/414;
- b) Batch 2 on Training Competency Development: A40-WP/131, A40-WP/238, A40-WP/477; and
- c) Batch 3 on Training related to Air Navigation and Air Transport: A40-WP/115, A40-WP/130, A40-WP/206, A40-WP/239, A40-WP/240, A40-WP/444, A40-WP/408, A40-WP/497, A40-WP/512, A40-WP/565.

25.3 The Committee reviewed A40-WP/67, presented by COCESNA on behalf of Belize, Costa Rica, El Salvador, Guatemala, Honduras, and Nicaragua, under the title of *Management Model of Aeronautical Training in Central America*, this Paper informs the Assembly on the management model of aeronautical training in Central America. The Paper is in line with ICAO training activities undertaken by the Global Aviation Training (GAT) Office, such as cooperation among the TPP Network, and the use of automation in training, such as the TRAINAIR PLUS Electronic Management System, and other tools included in the aviation training intelligence concept.

25.4 A40-WP/163, presented by Ethiopia, provides an overview of shortcomings in Civil Aviation due to insufficient training and capacity building, mainly as a result of inadequate training centres, trained manpower, finance and material resources. Therefore, it encourages ICAO to support the implementation of its Aviation Training and Capacity Building Roadmap for States, in order for States to achieve their national and global obligations in air transport. ICAO will work with Regional Offices to organize workshops on the implementation of the Roadmap and ensure that competency-based training criteria and procedures are followed.

25.5 A40-WP/164, presented by 54 Member States¹² of the African Civil Aviation Commission (AFCAC), under the title of *Harmonization of Training in Africa: The Aviation Training Roadmap*, urges

¹² Algeria, Angola, Benin, Botswana, Burkina Faso, Burundi, Cabo Verde, Cameroon, Central African Republic, Chad, Comoros, Congo, Côte d'Ivoire, Democratic Republic of the Congo, Djibouti, Egypt, Equatorial Guinea, Eritrea, Ethiopia, Gabon, Gambia, Ghana, Guinea, Guinea-Bissau, Kenya, Lesotho, Liberia, Libya, Madagascar, Malawi, Mali, Mauritania, Mauritius, Morocco,

Member States to provide technical and financial support to the projects, programmes, and Roadmap related activities. ICAO will work with its Regional Offices in Africa to support the rollout of the African Aviation Training Roadmap. The Committee acknowledged the challenges related to human capital development and training in Africa; and encouraged stakeholders such as Civil Aviation Authorities, Aviation Training Institutions, Industry partners etc. to continue submitting training related information to the African Aviation Training Organization (AATO) for the continuous improvement of the roadmap.

25.6 A40-WP/237, presented by Kenya, under the title of *Aviation Training and Capacity-Building Strategies*, encourages Member States, in particular from the African-Indian Ocean Region (AFI), to implement aviation training and capacity-building roadmaps and to join the TRAINAIR PLUS Programme (TPP). Following consideration of Agenda Item 25, the Executive Committee agreed to recommend to the Plenary for adoption the following new Assembly Resolution on *Implementing Aviation Training and Capacity-Building Strategies*:

Resolution 25/1: Implementing Aviation Training and Capacity-Building Strategies

Whereas sustainable, safe and secure global aviation development relies on the availability of qualified and competent employees, supervisors and managers to operate, maintain, plan, coordinate, manage, and oversee all complex operations in various airports, airspaces, aircraft, maintenance facilities, etc.;

Considering that the International Civil Aviation Organization (ICAO) Council has approved the *ICAO Civil Aviation Training Policy* identifying ICAO's objectives and role in aviation training to "support the Human Resources Development strategies established by Member States and the aviation community to ensure that they have access to a sufficient number of qualified and competent personnel to operate, manage and maintain the current and future air transport system at prescribed international standards for Safety, Air Navigation Capacity and Efficiency, Security and Facilitation, Economic Development of Air Transport, and Environmental Protection";

The Assembly:

1. *Resolves that* ICAO shall assist Member States in achieving and maintaining competency of aviation personnel through the ICAO training activities, in order to ensure ICAO Member States have sufficient human resources and capacity for the implementation of ICAO provisions and programmes.
2. *Resolves that* the ICAO training activities shall be guided by the following principles:
 - a) qualification of aviation professionals is the responsibility of Member States;
 - b) the highest priority should be placed on learning activities that support the implementation of Standards and Recommended Practices (SARPs) and ICAO programmes using a competency-based training and Instructional Systems Design (ISD) approach;
 - c) ICAO should advise operators of training facilities but does not participate in the operation of such facilities;
 - d) a high priority shall be placed on the support for the ICAO Next Generation of Aviation Professionals (NGAP) and the implementation of human performance and talent

management strategies and frameworks that include attracting, training, cultivating, nurturing and retaining the next generation;

- e) the Global Aviation Training (GAT) activities should guide and support the training and learning opportunities offered to States by ICAO to ensure quality, standardization, effectiveness and efficiency of the deliverables; and
 - f) the ICAO Secretary General should strengthen self-sustainable GAT activities, with a clear governance structure, including mechanisms for financial, technical and managerial mandates and Key Performance Indicators towards supporting learning and development needs of States.
3. *Urges* States to share their strategic plans addressing learning and development in aviation including the practical application of the ICAO *Aviation Training and Capacity-Building Roadmap*, and assist each other to optimize access to learning activities for their aviation professionals.
4. *Calls upon States to:*
- a) encourage the implementation of aviation learning and development associations; and
 - b) build partnerships on training and learning related matters through regional cooperation and knowledge exchange, including but not limited to, sharing available training resources, instructors, curriculum designers, courseware and implementing a roster of aviation training experts.
5. *Instructs* the Council to establish a monitoring and an evaluation mechanism addressing quality, efficiency and effectiveness of the ICAO GAT activities, and to report to Member States accordingly.

Associated practices

1. The Council should strengthen the assistance for its Member States to harmonize aviation professionals' levels of competency including establishment of competency-frameworks for all aviation related jobs. These efforts should be based on:
- a) data analysis to determine job requirements, expected human performance, priorities and needs;
 - b) identified training needs for the implementation of ICAO provisions; and
 - c) a competency-based training approach.

25.7 A40-WP/414, presented by Cameroon, urges ICAO to provide assistance to Member States that are experiencing difficulties in developing and implementing the Aviation Training and Capacity Building Roadmap for States. The Secretariat informed the Committee that workshops, in coordination with Regional Offices will be organized to implement the Aviation Training and Capacity Building Roadmap for States and ensure that competency-based training criteria and procedures are followed.

25.8 A40-WP/131, presented by the United Arab Emirates, presents the Virtual Reality/Augmented Reality (VR/AR) Technology and the relevance to adopt it in aviation training. The Committee urged States to recognize VR technology, and encouraged Member States to adopt the use of such technology relevant to the aircraft maintenance licence holder and airworthiness requirements. While this is a positive development, there is a need to conduct further study on cost-benefit, effectiveness and viability. It also requires harmonization and standardization.

25.9 A40-WP/238, presented by the Dominican Republic, refers to the concept of integration of training processes, which envisages the conduct of an assessment on specific training that is needed in each area, and the development of a curriculum that clearly establishes the relationship between these concepts. The Committee noted the request for ICAO's support to promote this and other strategies aimed at achieving integration of training concepts and effectiveness.

25.10 A40-WP/477, presented by Cameroon, proposes a new direction for instructor qualification in the field of civil aviation safety under the ICAO TPP. According to this Paper, the existing GAT instructor qualification procedure limits the possibility of having a sufficient number of multi-skilled instructors available to deliver several training packages given the time and cost required for its implementation. The GAT Office was requested to develop generic training courses for the On-the-Job Training (OJT) for instructors in the field of safety. The Secretariat clarified that the GAT Office develops training courses for specific training needs, taking into account the performance problems, competency framework, and target audience. Once a course is developed, the qualification requirements for instructors are established and include OJT in the qualification process. This process ensures the quality of course deliveries. The Committee endorsed this position, as clarified by the Secretariat.

25.11 A40-WP/115, presented by Romania on behalf of the European Union and its Member States¹³, the other Member States of the European Civil Aviation Conference¹⁴, and by EUROCONTROL, supported the continued expansion of ICAO's Next Generation of Aviation Professionals (NGAP) Programme and the development of a new NGAP strategy for ICAO. In reviewing this Paper, the Committee expressed support of non-discriminatory access to the aviation industry for women and men. The Committee noted the wide concurrence with this Paper, and that of A40-WP 239, presented by Canada, which also supported ICAO's initiatives that aimed to attract, educate and retain the next generation of aviation professionals. Noting that the continuation of the NGAP Programme is contingent on receiving extra support outside the regular programme in the 2020-2022 Budget, the Committee agreed that States should be urged to volunteer extra-budgetary resources. The Committee recommended that the Council review the expanded NGAP Programme proposals with respect to existing priorities funded through the 2020-2022 Budget and the availability of extra-budgetary resources. Also subject to 2020-2022 Budget priorities, the Committee also recommended that Annexes, in particular Annex 1 — *Personnel Licensing*, be reviewed to ensure that they adequately address current and future skill needs and provide non-discriminatory access for women and men to aviation.

25.12 A40-WP/130, presented by the United Arab Emirates, made a request for consideration of the concept of an 'international competency-based training framework for search and rescue operations.' The Committee recommended that the Council consider the development for an international competency-based training framework for search and rescue operations with respect to existing priorities funded through

¹³ Austria, Belgium, Bulgaria, Croatia, Cyprus, Czechia, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxemburg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

¹⁴ Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Georgia, Iceland, Republic of Moldova, Monaco, Montenegro, North Macedonia, Norway, San Marino, Serbia, Switzerland, Turkey and Ukraine.

the 2020-2022 Budget, noting that ICAO would determine the appropriate body to develop such a framework.

25.13 A40-WP/206, presented by Singapore and co-sponsored by Fiji, Marshalls Islands, Nauru, Nigeria, North Macedonia, Palau, and the United Kingdom, discusses the need to embrace learner-centered pedagogies and encourages shifting the focus of instruction from the trainer to the learner. The Committee recognised the need to adopt learner-centered pedagogies to enhance competency training to equip NGAP to meet the aviation needs of the future and requested that ICAO develop guidelines to select technological training tools that support competency-based training, using learner-centered pedagogies. This is in line with ICAO's competency-based methodology. Whilst the paper makes a recommendation as to who should look into the concept, ICAO would determine the appropriate body for the task.

25.14 A40-WP/240, presented by the Dominican Republic, emphasized the need for change management training at all levels of aviation organisations, and requested ICAO to develop new provisions and guidance material to assist States in building capacity in this regard. The Committee noted ICAO's Civil Aviation Authority Senior Middle Managers training course, developed in cooperation with China, which launched in 2018 and supported the proposal for further work to be done to address change management.

25.15 A40-WP/444, presented by the Dominican Republic, regarding training in the management of performance-based navigation (PBN) to allow follow up on PBN implementation with a review of effectiveness, operator satisfaction and compliance. The Committee noted the importance of this type of training and supported the development of guidance material on PBN management, and recommended that the Council review this proposal with respect to existing priorities funded through the 2020-2022 Budget.

25.16 A40-WP/408 – The Committee noted the Information Paper, presented by Hermes Air Transport Organisation, on *Education and Performance in Aviation: Realising and Sustaining Benefits*. The WP highlights education and training as an investment, outlines the challenges faced by the aviation industry in recruiting and retaining personnel, and provides recommended actions that may be undertaken to improve training and educational strategy in aviation.

25.17 A40-WP/497 –The Committee noted the Information Paper, presented by the People's Republic of China, under the title *Latest Progress of China's Aviation Security Training*, which provides a summary report of its aviation security training activities, implemented in response to China's Belt and Road Initiative, ICAO's *No Country Left Behind Initiative*, and the ICAO Global Aviation Security Plan (GASeP).

25.18 A40-WP512 – The Committee noted the Information Paper, presented by Bangladesh, highlights an effort to examine the importance of training for the development of air transport worldwide. It also reports on ICAO online training courses and their limits due to the lack of interaction typically provided by classroom training.

25.19 A40-WP/565 – The Committee noted the Information Paper, presented by Rwanda, under the title of *Experimental Drone Builders and Innovation Labs in Rwanda*, which outlines the journey and achievements by Innovation Labs based in Kigali, Rwanda, and the collaboration with the Rwanda Civil Aviation Authority and other entities.

Agenda Item 26: Other high-level policy issues to be considered by the Executive Committee

Commercial space

26.1 A40-WP/15 presented by the Council provided an overview of the emergence of commercial space transport (CST) and its overlap with the existing air transport sector. While CST operations do not yet occur on a regular basis, the Committee considered it important to monitor their development as they may become regular in the next decade. The Committee noted the work already undertaken by ICAO as described in A40-WP/15 and agreed that the number of operations was increasing, as was the effect of those operations on international civil aviation. It was noted that the activities referred to in A40-WP/15 will be subject to the resources available in the 2020-2022 Regular Programme Budget and/or from extra budgetary contributions.

26.2 The Committee agreed that the proposed resolution, contained in A40-WP/15, should be amended to reflect the need for ICAO to coordinate with the United Nations system, in particular with the United Nations Office for Outer Space Affairs (UNOOSA) and the United Nations Committee on the Peaceful Uses of Outer Space (COPUOS) and that the actions of the Secretariat should be coordinated with both offices. The resolution was amended as follows:

Resolution 26/1: Commercial space transport (CST):

Whereas Article 44 of the Convention on International Civil Aviation states that among the aims and objectives of ICAO are development of the principles and techniques of international air navigation and fostering of the planning and development of international air transport so as to meet the needs of the people of the world for safe, regular and economical air transport;

Whereas Article 37 of the Convention on International Civil Aviation states that the Organization “...shall adopt and amend from time to time, as may be necessary, international standards and recommended practices and procedures dealing with [...] and such other matters concerned with the safety, regularity, and efficiency of air navigation as may from time to time appear appropriate.”

Whereas the Thirteenth Air Navigation Conference (AN-Conf/13) considered the technical aspects of commercial space transport (CST), in particular its intersection with aviation and the Council endorsed the AN-Conf/13 Recommendation on CST;

Recognizing the interrelation between international air and outer space law principles in regards to CST operations;

Recognizing the relevance of ICAO’s mandate in: the accommodation of CST in air space; the joint use of infrastructure; the co-location of airports and spaceports; the use of aircraft as launchers; and the phases of flight of space vehicles that use the interaction with the atmosphere to derive lift;

Recognizing the need to work closely with various United Nations entities, in particular the United Nations Office for Outer Space Affairs and the United Nations Committee on Peaceful Uses of Outer Space

The Assembly:

1. *Reaffirms* the role of ICAO in developing policy guidance in the areas where international CST operations intersect with international civil aviation in coordination with the United Nations Office of Outer space;

2. *Directs* the Council to instruct the Secretary General to consult States on the role of ICAO and to further coordinate with States, governmental and non-governmental organizations, the private sector, academia and the relevant United Nations system entities to monitor the progress and evolution of commercial space transport and to address emerging issues, including the impact on international civil aviation operations.

26.3 The Committee reviewed A40-WP/126, presented by the International Federation of Air Traffic Controllers' Association (IFATCA), the International Federation of Air Line Pilots' Associations (IFALPA) and the International Air Transport Association (IATA) considered concerns over the continued impact by Commercial Space operations on airspace access and the request to formalize the development of provisions for the integration of commercial space operations into controlled airspace. The Committee noted that this was already discussed during the 13th Air Navigation Conference which concluded that at this time, there is no ICAO State that has mature provisions that would form the basis of such provisions. However, ANConf/13 did encourage States to share any relevant practices in relation to the overlap between Space and Aviation operations so that safety is maintained at the highest degree possible. The Committee agreed with the position of the 13th Air Navigation Conference.

Innovation

26.4 A40-WP/14, presented by the Council, recognized that new technologies and concepts of operations are rapidly becoming available across the aviation industry sector. These innovations carry significant potential in improving aviation safety, security, sustainability, accessibility and affordability across the globe. They can also lead to more efficient and streamlined aviation regulatory processes. It is therefore vital that the global international civil aviation sector take timely action to monitor and evaluate these developments in order for them to deliver on their potential benefits, and for ICAO to do so in a manner that leaves no country behind from the start. The Committee agreed with the assessment provided in A40/WP/14. The Committee noted that the budget of the Organization was limited and presented a significant constraint to its ability to keep pace with innovations. The Committee agreed that an assessment of the process of ICAO with respect to the uptake of innovation was required.

26.5 The Committee reviewed A40-WP/113, presented by France, Italy and Sweden, recognizes that the aviation sector is undergoing increasingly rapid changes in terms of technology, threats and public expectations and that States and the Organization are finding it increasingly difficult to keep pace with the acceleration of these developments. It recommended that a closer association with the aeronautics industry, not only at the expert level but also at the strategic level, could enable States and ICAO to react more quickly

26.6 The Committee agreed with the spirit of the paper, that a closer association with the industry at the executive level could indeed have potential benefits to the organization; however, it noted that there would need to be clear terms of reference with such an engagement and that more study and reflection is required. In this context, the Committee did not support the draft Assembly Resolution as drafted. The Committee did however agree that the dialogue between industry and ICAO should be intensified and that the Council should be directed to address the matter. In line with this, the Committee agreed to add an additional resolving clause to the draft resolution of A40-WP/14.

Resolution 26/2: Innovation in aviation

Whereas Article 44 of the *Convention on International Civil Aviation* states that among the aims and objectives of ICAO are development of the principles and techniques of international air navigation and fostering of the planning and development of international air transport so as to meet the needs of the people of the world for safe, regular and economical air transport;

Whereas Article 37 of the Convention stipulates that ICAO shall adopt and amend from time to time, as may be necessary, international standards and recommended practices and procedures dealing with [...] and such other matters concerned with the safety, regularity, and efficiency of air navigation as may from time to time appear appropriate;

Whereas several ICAO Conferences have recognized the real and potential benefits and challenges that innovation can bring to the safety, efficiency, security, facilitation and to the economic and environmental sustainability of air transport and that Member States should be provided the opportunity to realize these benefits in a manner that leaves no country behind;

Recognizing that ICAO provisions apply to all civil airspace users, and the absence of normative activity at the global level may hamper the realization of innovative technological solutions and prevent the materialization of their benefits in aviation; and to that end ICAO can benefit from continued interaction with industry to identify the latest technological developments their timely integration;

Recognizing that the nature and pace of innovations require regulators at the national, regional and global level avail themselves of new methodologies that facilitate the timely evaluation and assessment of technological developments;

The Assembly:

1. *Urges* all Member States that have experience in facilitating the introduction of innovation in civil aviation, and that have evolved their regulatory methods to better evaluate and assess the application of such innovations, to share their experience with other States through ICAO;
2. *Directs* the Council to assess the need, as well as the resources required, to evolve the processes of the Organization, including its working methods with the industry in order to keep pace with innovations that affect the sustainable development of civil aviation;
3. *Directs* the Council on the basis of the conclusions arising from the assessment to be undertaken pursuant to operative clause 2, to develop, high-level policies to address the findings of the aforementioned assessment and subsequently provide a framework that will help ensure the timely development of global policies and standards that support the continuing improvement of safety, efficiency, security, facilitation, economic and environmental performance;
4. *Directs* the Council to instruct the Secretary General to further liaise with States, governmental and non-governmental organizations, the private sector, academia and the relevant United Nations system entities in order to establish an inclusive dialogue at strategic level that will encourage further collaboration and sharing of experience in relation to innovation; and
5. *Directs* the Council to urgently consider the establishment of a high-level body with the industry to regularly provide strategic advice to the Council concerning innovation in aviation.

26.7 A40-WP/383, presented by the Dominican Republic, outlined the potential of free and open-source software (FOSS) for the development of the global air navigation system, as well as the importance for ICAO to consider partnerships with open-source software foundations, as well as other in the sector, to assist in this process. The Committee noted the importance of FOSS in the innovation community and that it would be part of the Assembly requests submitted for the consideration of the Council.

26.8 The Committee reviewed A40-WP/320, presented by Singapore and co-sponsored by Australia, Cook Islands, Fiji, Lao PDR, Marshall Islands, Nauru, North Macedonia, Palau, Papua New Guinea, Samoa, Trinidad and Tobago, the United Kingdom and CANSO reported on the 7th World Civil Aviation Chief Executive Forum (WCACEF/7), held in Singapore in 2019, which discussed the approach to technology adoption in aviation. The forum was attended by 115 leaders in international aviation from 75 States and 14 International Organizations. Delegates agreed on the need to leverage on technology for the advancement of aviation, especially in air traffic management. They also recognized challenges faced with the fast pace of technological advancement, requiring collaborative partnerships to reap optimal benefits for the whole aviation ecosystem. The Forum affirmed the need for long-term collaboration among partners and stakeholders to optimize the aviation ecosystem, and reiterated the importance of the long-standing ICAO framework of principles and policies to promote and integrate technological advances. The Committee welcomed A40-WP/320 and noted the actions suggested in the paper. The Committee agreed that the content of the paper be considered by the Council in its assessment of the ICAO process with respect to the uptake of innovation.

26.9 The Committee reviewed A40-WP/342, presented by the Civil Air Navigation Services Organization (CANSO), the International Air Transport Association (IATA) and the International Federation of Air Line Pilots' Associations (IFALPA), which outlined the expected growth of the Unmanned Aircraft Systems (UAS) sector, and requested ICAO to consider establishing a framework through which it can work with industry on developing provisions for new airspace entrants. The Committee noted that this was consistent with the outcome of the 13th Air Navigation Conference, as well as with A40-WP/14, presented by the Council. The Committee agreed that UAS should be a key focus under the assessment that the Assembly will submit for the consideration of the Council.

26.10 The Committee reviewed A40-WP/268, presented by ICCAIA and CANSO on Artificial Intelligence and Digitalization in Aviation, as well as A40-WP/327 on New Operational Concepts Involving Autonomous Systems; A40-WP/317 on Automated Formation Flight, and A40-WP/459 on Innovation in Aviation, presented by ICCAIA. The four papers provided an overview of various emerging and potential operational uses of their respective subjects and called on ICAO to explore options for allowing the industry and other stakeholders to address the demand for new provisions that would support them. The Committee noted the contents of the papers and the depth and breadth of technical work still required to develop such Standards and Recommended Practices (SARPs). The Committee further noted that the Legal Committee is already looking into an RPAS study and that interested parties might consider submitting a paper during the next session of the Legal Committee on the issue of studying the legal implications of autonomy in flight.

26.11 The Committee reviewed A40-WP/292, presented by the United Arab Emirates, which described challenges related to the development of regulatory provisions to enable urban air mobility operations. A40-WP/292 requested ICAO to prioritize work on this subject, including the development of SARPs and guidance material, and to develop associated processes. The Committee agreed that the information in the paper will be considered by the Council in its assessment of its procedures, as well as in its established processes for the prioritization of its work programme.

26.12 The Committee noted that all activities grouped under the Innovation batch are unfunded and may not be undertaken without additional resources. The Committee recommended that the proposals be reviewed, taking into consideration existing priorities funded through the 2020-2022 Budget and the availability of extra-budgetary resources. In this regard, the Committee also encouraged ICAO to consider new methods to enable ICAO access to extra budgetary resources and expertise.

Regional cooperation

26.13 The Committee reviewed A40-WP/136, presented by Qatar, which recognized a need to ensure better harmonization and consistency across geographical areas delineated as ICAO Regions in terms of national regulations, operational requirements and procedures, based on SARPs. It is proposed that ICAO review the existing regional cooperation policy originally developed a decade ago, taking into account that existing regional organizations and regional civil aviation bodies may cover States belonging to two or more regional offices and have been established on the basis of a common culture, history and language. The Committee agreed that to ensure better cooperation between ICAO and regional organizations, as well as regional civil aviation bodies, ICAO should review the existing regional cooperation policy originally developed nearly a decade ago.

26.14 The Information paper WP/424 on Technical cooperation with the Civil Aviation Organization and Civil aviation international and regional organizations provided by the Arab Civil Aviation Organization was noted.

Pandemics, health events and aircraft disinfection

26.15 The Committee noted that A40-WP/5, presented by the Council, on the Report on aircraft disinfection and vector control measures was already discussed under Agenda item 14: Facilitation programmes.

26.16 The Committee reviewed A40-WP/132, presented by the International Air Transport Association (IATA), calling for collaboration by all parties in preparing for and responding to pandemics and public health emergencies; especially with regard to States adhering to the World Health Organization (WHO) guidance during these events. It further requests the Council to continue to work with international parties and further develop the work of the Collaborative Arrangement for the Prevention and management of public health events in Civil Aviation (CAPSCA). The Committee supported IATA's proposals, recognized that several initiatives were in place that address the issues raised in the paper and urged States to collaborate with CAPSCA and WHO. The Committee agreed that ICAO should further develop the work of CAPSCA, subject to existing priorities funded through the 2020-2022 Budget and the availability of extra-budgetary resources.

26.17 Information paper A40-WP/546 from Canada and Information paper A40-WP/90 from IAC were noted.

Miscellaneous

26.18 The Committee reviewed A40-WP/318, presented by Indonesia, inviting the Assembly to instruct ICAO to review provisions related to aerodromes and identify and develop ICAO provisions to support airport operational procedures in disaster management. The Committee noted the effort of the Directorate General of Civil Aviation (DGCA) Indonesia, in cooperation with other national agencies and the United Nations Development Programme (UNDP), for airport preparedness in case of natural disaster, and acknowledged that ICAO Annexes provide SARPs relating to emergency planning and response, as

well as border control formalities relating to relief flights following natural or man-made disasters. However, the Committee noted that the current provisions are mostly limited to preparing an aerodrome to cope with an emergency occurring at the aerodrome or in its vicinity. The Committee also noted that ICAO and the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) are co-chairing a group of aviation and humanitarian stakeholders in order to ensure that relevant guidance and tools are available to provide timely and coordinated airborne assistance after a natural disaster. The Committee recommended that the Council review the proposal, considering existing priorities funded through the 2020-2022 Budget and the availability of extra-budgetary resources.

26.19 The Committee supported the concerns raised in A40-WP/442 relating to the difficulties that some Member States may experience with obtaining entry visa to participate to ICAO meetings in Headquarters, the Regional Offices, as well as in any other States. With regard to meetings organized in Headquarters, the Committee was informed that these concerns were immediately brought to the attention of the Canadian authorities upon receipt of A40-WP/442, and that the Canadian authorities, in coordination with the immigration authorities concerned, committed to further facilitate the issuance of the appropriate entry visa to the delegates of ICAO meetings. The Canadian delegation re-assured that all possible efforts would be made towards timely issuance of the entry visas to duly nominated delegates, subject to timely coordination with to ICAO. The same facilitation shall be provided by the Secretariat to the delegates of ICAO meetings held in the host States of ICAO Regional Offices, as well as in other States, on the condition that formal requests for visa-related support will be received by the Secretariat at ICAO Regional Offices, in coordination with Headquarters, as may be required.

26.20 The Committee reviewed A40-WP/135, presented by Qatar, which emphasized the usefulness of ICAO's Global Plans and associated roadmaps, as established in the current and future ICAO Business Plan in support of the realization of the five Strategic Objectives. A40-WP/135 calls for the development of global plans in support of all ICAO's Strategic Objectives, i.e. develop new global plans in support of the Economic Development of Air Transport and Environmental Protection Objectives and their consistency with the already existing three global plans. The working paper emphasizes the importance of linking these global plans to the ICAO Business Plan. The Committee noted that the possible development of Global Plans in the Strategic Objectives of Economic Development of Air Transport (GATP) and Environmental Protection has been discussed by the Council (refer to A40-WP/22-EC/7 for a possible GATP) and that further discussion by the Council on this subject would be needed.

26.21 The Committee reviewed A40-WP/167, presented by the International Transport Workers' Federation (ITF), containing a proposal for an international cabin crew day as a means to recognize and promote the critical safety role of cabin crew members in aviation and as a way to attract and retain the next generation of cabin crew. The paper noted the existing date of 31 May as a cabin crew day, which was celebrated by many States, international organizations and operators. In this respect, the Committee noted information paper A40-WP/500 on an international Air Crash Victims day. Considering the request for several international aviation days, the Committee recommended that the Council assess these requests in a holistic manner and report back to the next Assembly.

26.22 Information paper A40-WP/541 by Saudi Arabia; information paper A40-WP/480 by ACI; information paper A40-WP/483 by Honduras, Belize, Guatemala, El Salvador, Nicaragua and Costa Rica, members of COCESNA; information paper A40-WP/500 by the Air Crash Victims Families Group; and information paper A40-WP/501 by ITF, were noted.

PART II
MINUTES OF
THE EXECUTIVE COMMITTEE

Minutes of the First Meeting
(Wednesday, 25 September 2019 at 0900 hours)

SUBJECTS DISCUSSED

Closed Meeting

1. Agenda Item 10: Contributions in arrears
 - Financial aspects of the question of contributions in arrears
 - Approval of oral report to the Plenary

SUMMARY OF DISCUSSIONS

1. Opening the meeting, the Chairperson of the Executive Committee stated that Agenda Item 10 would be taken in closed session, with attendance restricted to Delegations of ICAO Member States.

Agenda Item 10: Contributions in arrears

Financial aspects of the question of contributions in arrears

2. The Secretary of the Administrative Commission, the Chief, Finance Branch (C/FIN), introduced WP/46 Revision No. 1 (with Addendum No. 1), which dealt with the financial aspects of the question of contributions in arrears. The paper provided information relating to: the status of contributions in arrears and of Member States that had their voting rights deemed suspended; the impact of delays in receipt of contributions; measures in dealing with contributions in arrears; and the Incentive Scheme for the Settlement of Long-outstanding Arrears the status of contributions in arrears. Addendum No. 1 contained an updated Appendix C to the paper regarding Member States that had their voting rights deemed suspended as at 23 September 2019.

3. Drawing attention to paragraph 2.3.1 of the paper on the impact of non-payment or delayed payment of contributions on the cash flow of the Organization, the Secretary of the Administrative Commission highlighted that the total outstanding contributions in arrears as at 16 September 2019 was CAD 12.3 million, which was 1.1 times the level of the Working Capital Fund (WCF), which currently stood at USD 8.0 million. In terms of outstanding commitments, it represented approximately 11 per cent of ICAO's assessed budget for 2019.

4. Referring to Section 3 on measures taken by ICAO to encourage Member States to pay their annual assessed contributions in a timely manner, the Secretary of the Administrative Commission emphasized that great efforts had been made by the Secretariat to bring down the amount of outstanding arrears. She recalled that State letters were issued by the Secretary General three times a year advising Member States of their status of contributions and that starting from November 2015 electronic monthly statements of account were dispatched to Members States with outstanding balances. Additionally, Member States were able to check their status of contributions online through a password-protected website. The

Secretary of the Administrative Commission highlighted that, during the Secretary General's missions to Member States, mission briefings were prepared by FIN and the issue of outstanding contributions in arrears was routinely brought up and discussed. She emphasized that the Secretariat had redoubled its efforts in the collection of arrears from Member States by involving the ICAO Regional Directors, who had ongoing contacts with Directors General of Civil Aviation (DGCAs) within their respective regions. Furthermore, prior to the 40th Session of the Assembly the Secretary General had written individual letters to Member States that were at risk of losing their voting rights, advising them of the consequences of non-payment and urging them to fulfil their financial obligations to the Organization.

5. The Secretary of the Administrative Commission was pleased to report that as a result of these efforts one State had submitted a proposal to conclude an agreement for the settlement of its arrears and the agreement had been signed. She underscored that ICAO continued to collect some of the long-outstanding arrears from States that had not made payments in several years.

6. With reference to updated Appendix C in Addendum No. 1 to the paper, the Secretary of the Administrative Commission reported that, as at 23 September 2019, the voting privileges of 11 Member States remained suspended under Article 62 of the *Convention on International Civil Aviation*, as compared to 12 Member States at the time of the last Assembly in 2016. Any changes that might occur to the status of voting privileges during the 40th Session of the Assembly would be notified by means of further addenda to WP/46 Revision 1. The Secretary of the Administrative Commission highlighted that no new Assembly Resolution was being submitted by the Council for approval as all of the proposed changes had already been incorporated in Assembly Resolution A39-31 (*Discharge by Member States of financial obligations to the Organization and action to be taken in case of their failure to do so*).

7. In the absence of comments, the Executive Committee: noted the information provided in WP/46 Revision No. 1 (with Addendum No. 1) relating to the status of contributions in arrears and of Member States that had their voting rights deemed suspended, the impact of delays in receipt of contributions, measures in dealing with contributions in arrears, and the Incentive Scheme for the Settlement of Long-outstanding Arrears; and agreed to invite the Assembly to note the progress made in the collection of long-outstanding arrears as described therein.

Approval of oral report on Agenda Item 10

8. The Chairperson proposed the following summary of the above introduction of WP/46 Revision No. 1 (with Addendum No. 1) as the Executive Committee's oral report to the Plenary on Agenda Item 10: The paper presented the financial aspects of the question of contributions in arrears. Revision No. 1 to WP/46 provided the status of contributions in arrears and of Member States that had their voting rights deemed suspended as at 16 September 2019. The recently-distributed Addendum No. 1 presented an update of Appendix C regarding Member States that had their voting rights deemed suspended as at 23 September 2019. It was important to note that the *Financial implications* section of the executive summary of WP/46 Revision No. 1 indicated that "the delay in the receipt of contribution impacts the cash resources of the Organization and could impact programme delivery". The executive summary specified the action proposed by the Council, which was for the Assembly to note the progress made in the collection of long-outstanding arrears.

9. There being no comments, the Committee approved the Chairperson's proposed oral report to the Plenary on Agenda Item 10.

10. The Chairperson thanked all those Member States that had paid their contributions on time and those that were making every effort not to be in arrears by concluding agreements with ICAO to settle

their arrears. He urged those Member States that had thus far not paid their arrears or concluded such agreements for their settlement to do so as early as possible.

11. The meeting adjourned at 0920 hours to enable the Committee to reconvene as the Plenary and continue deliberations on Agenda Item 10 and other Agenda Items.

Minutes of the Second Meeting
(Thursday, 26 September 2019 at 0900 hours)

SUBJECTS DISCUSSED

1. Agenda Item 20: *No Country Left Behind* (NCLB) initiative

- *Report on the ICAO No Country Left Behind (NCLB) initiative*
- Paper presented by Azerbaijan
- Paper presented by Finland on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC), by the European Organisation for the Safety of Air Navigation (EUROCONTROL) and co-sponsored by New Zealand and Canada
- Paper presented by Mexico
- Paper presented by South Africa
- Information paper presented by Finland on behalf of the EU and its Member States, the other Member States of ECAC, and by EUROCONTROL
- Information paper presented by Indonesia
- Information paper presented by Uruguay and supported by the Member States of the South American (SAM) region and by the Member States of the Latin American Civil Aviation Commission (LACAC)

Pacific Small Island Developing States (PSIDS) study

- *Update on the feasibility study – Pacific Small Island Developing States (PSIDS) aviation needs analysis*
- Paper presented by Australia and co-sponsored by New Zealand, the Pacific Aviation Safety Office (PASO), Samoa, Singapore and Tonga
- Paper presented by the Cook Islands, Fiji, the Marshall Islands, Micronesia (Federated States of), Nauru, Palau, Papua New Guinea, Samoa, Singapore, the Solomon Islands, Tonga, Tuvalu and Vanuatu
- Paper presented by New Zealand

2. Agenda Item 11: Annual Reports of the Council to the Assembly for 2016, 2017 and 2018

3. Agenda Item 21: United Nations 2030 Agenda – Sustainable Development Goals

- *ICAO's activities in support of the United Nations 2030 Agenda – Sustainable Development Goals (SDGs)*
- Paper presented by Airports Council International (ACI), Civil Air Navigation Services Organisation (CANSO), International Air Transport Association (IATA), International Business Aviation Council (IBAC) and International Coordinating Council of Aerospace Industries Associations (ICCAIA), as coordinated by the Air Transport Action Group (ATAG)

- Information paper presented by IATA
 - Information paper presented by ACI
4. Agenda Item 22: Resource Mobilization and Voluntary Funds
- *Report on Resource Mobilization and Voluntary Funds*
5. Agenda Item 18: Multilingualism at ICAO
- *Multilingualism at ICAO*
 - Paper presented by Paraguay and supported by LACAC Member States and by the community of Civil Aviation Authorities of Portuguese-Speaking Countries (CAACL)
 - Paper presented by the Russian Federation

SUMMARY OF DISCUSSIONS

Agenda Item 20: *No Country Left Behind* (NCLB) initiative

1. The Executive Committee considered Agenda Item 20 on the basis of two main working papers presented by the Council [WP/49 (with Corrigendum No. 1) and WP/47] and related papers presented by States and international organizations.

NCLB initiative

2. The Chief, Strategic Planning and Regional Affairs Coordination (C/PRC) introduced WP/49 (with Corrigendum No. 1), in which the Council reported on measures taken during the last triennium to promote the NCLB initiative and incentivize capacity building and assistance projects, and their outcomes, and outlined the priority areas for 2020-2022. The paper highlighted that improved civil aviation systems would help to support sustainable socio-economic development at national and regional levels. The Assembly was invited to:

- a) urge the Council to continue its work to raise global awareness of the importance of the effective implementation of ICAO's Standards and Recommended Practices (SARPs), policies, plans and programmes which support a safe, secure, efficient, economically viable and environmentally sound air transport system; and
- b) urge the Secretary General to continue intensifying technical assistance and technical cooperation activities to further implement the NCLB initiative.

3. The Delegate of Azerbaijan presented WP/88 (*Coordinating the exchange of experience on the implementation of Standards and Recommended Practices*). He recalled that in view of the low effective implementation (EI) score which Azerbaijan had received during its initial Universal Safety Oversight Audit Programme (USOAP) audit in 2015 it had concluded a technical assistance agreement with ICAO in July 2016 (EUR/NAT AZE 16001 project). Accordingly, over the next two years four missions to Azerbaijan had been undertaken by highly-qualified staff of the ICAO European and North Atlantic (EUR/NAT) Regional Office (Paris), as well as by experts from States in the region having a high EI score, including Israel and Ukraine, to assist the Azerbaijani civil aviation authority in rectifying its identified safety oversight-related deficiencies. In addition, Azerbaijani aviation personnel had participated

in relevant workshops and training courses held in Georgia, Turkey and Austria, inter alia. As a result, an ICAO Coordinated Validation Mission (ICVM) had been successfully conducted in July 2018. In light of the substantial progress made by Azerbaijan in resolving its safety oversight-related deficiencies and in improving its EI score it had been awarded a *Council President Certificate in Aviation Safety* in 2018.

4. Azerbaijan supported ICAO's NCLB initiative as there was a significant number of States which lacked the financial and human resources required to effectively implement ICAO SARPs. It considered that the sharing of experiences of States having a higher EI level with those States having safety oversight-related deficiencies as identified during their USOAP audits was key to improving SARPs implementation in all regions. Azerbaijan therefore proposed that the ICAO Regional Offices play the role of coordinator in such exchanges of experiences in SARPs implementation. It considered that by focusing on States with Significant Safety Concerns (SSCs) ICAO would be able to assist in minimizing inherent safety risks and in State implementation of SARPs. The Assembly was invited in WP/88 to recognize the role of ICAO Regional Offices in ensuring the continuous support of ICAO Member States in the effective implementation of SARPs through the coordination of lessons learned and the exchange of experiences in the implementation of SARPs among States.

5. The Delegate of Finland introduced WP/107 Revision No. 1 (*Support to ICAO No Country Left Behind Initiative*), presented by the EU and its Member States, the other Member States of ECAC, by EUROCONTROL and co-sponsored by New Zealand and Canada. He emphasized that Europe considered that the NCLB was both an essential ICAO initiative to support the global implementation of the Organization's SARPs, policies, plans and programmes and a key driver of Europe's own activities for the support of its national and regional partners. Europe had been a proactive and vocal supporter of the NCLB initiative right from the very beginning, when it had been launched by the President of the Council, Dr. Olumuyiwa Benard Aliu, in December 2014. Europe fully embraced the NCLB initiative since its ultimate goal was to make sure that all regions of the world would benefit from a safe and resilient aviation system. Europe had contributed to the success of that initiative through very concrete actions and investments. Information paper WP/106 provided a detailed overview of recent activities, initiatives and projects delivered by EU institutions as well as by the European ICAO Member States in support of ICAO's highly valuable NCLB initiative. The Delegate of Finland underscored, in this regard, that in support of the NCLB initiative Europe was always seeking to establish partnerships with other States and regions which should, in turn, be fully used to build capacity and further develop resilience. Europe had been able to support good partners across the globe in all key areas of aviation policy such as the safety, security and sustainability of air navigation services.

6. In affirming that Europe would continuously contribute to the advancement of the NCLB initiative and ensure that it remained one of the key drivers and policies for ICAO activities for the years to come, the Delegate of Finland indicated that in order to reinforce that message WP/107 Revision No. 1 contained a number of concrete suggestions to further improve the implementation of the NCLB initiative, and highlighted the importance of more cooperation and coordination in order to make the NCLB policy even more successful and effective.

7. The Assembly was invited in WP/107 Revision No. 1 to:

- a) reiterate its support of the NCLB initiative and acknowledge the contribution of this initiative to improve the overall performance of aviation at the global level;
- b) invite ICAO to apply a systemic approach to its targeted State support activities and to intensify the implementation support, technical support and assistance activities of the Secretariat;

- c) recognize the added value and complementarity of capacity building activities undertaken by ICAO, individual States, regional organizations and industry;
- d) request ICAO to coordinate targeted regional or State support with other partners, via the Aviation Safety Implementation Assistance Partnership (ASIAP), for aviation safety and air navigation;
- e) encourage ICAO to continue its general implementation support activities following the publication of new SARPs, including the assessment of indicators on the success of the SARPs implementation;
- f) invite States and regional organizations to keep ICAO informed about key projects in order to allow a coordinated approach, ensuring the best use of existing resources; and
- g) note the willingness of the co-presenters of WP/107 Revision No. 1 to support the NCLB initiative in the past triennium, including through the projects summarized in information paper WP/106.

8. The Delegate of Mexico presented WP/437 on the ICAO North America, Central America and the Caribbean (NACC) Regional Office's Systemic Assistance Programme (SAP), which had been established as a way to implement the NCLB initiative in NACC Member States. The SAP focused on the priorities identified in collaboration between the NACC Regional Office and the individual States relating to increasing their effective implementation of ICAO SARPs and resolving any SSCs. That global approach comprised a monitoring methodology that addressed areas of the civil aviation system such as air navigation, safety, facilitation, aerodrome certification and environment.

9. As Mexico hosted the NACC Regional Office, it had been selected as the first beneficiary of the SAP. The Government of Mexico had formalized its participation in that Programme by signing the arrangement submitted by the NACC Regional Office establishing the Technical Assistance Mission to Mexico, designating those responsible for each of the SAP Critical Elements and presenting the corresponding Action Plan. The SAP had been harmonized for homogeneous application in all of the States in the NAM/CAR region, which consisted of five phases: political commitment; data gathering and analysis; joint State/ICAO action plan development; implementation and monitoring; and follow-up and sustainability. It represented an unbeatable tool for the Mexican Civil Aviation Authority to continue strengthening its responsibilities in the application of ICAO SARPs and a lever that drove the continuity of the activities aimed at increasing Mexico's EI level.

10. The Assembly was invited in WP/437 to:

- a) note the information provided in the paper;
- b) recognize the SAP as an innovative programme that has brought significant benefits to the States participating therein, highlighting the work done by the NACC Regional Office in implementing and monitoring the Programme; and
- c) consider the replication of the SAP in other regions through knowledge exchange and cooperation between Regional Offices.

11. The Delegate of South Africa introduced WP/220, which outlined the technical assistance missions undertaken by South Africa in recent years at the request of various African States, and elaborated on the Regional Cooperation Strategy which it had established with other Southern African Development Community (SADC) States to provide the best applicable resources of assistance, cooperation and collaboration in improving aviation safety and security in the region, in line with ICAO's NCLB initiative.

12. The Assembly was invited in WP/220 to note the paper's contents and to encourage those States which had not already done so to proactively plan, coordinate and implement regional cooperation, and to monitor the results against the impacts of achieving improved aviation safety and security.

13. It was noted that the following information papers had also been submitted: WP/106 [*Support to ICAO No Country Left Behind Initiative (List of Projects)*] presented by Finland on behalf of the EU and its Member States, the other Member States of ECAC and by EUROCONTROL; WP/233 [*Sharing of information and lessons learnt amongst archipelagic States*] presented by Indonesia; and WP/452 [*La experiencia de Uruguay con la Iniciativa Ningún país se queda atrás*] presented by Uruguay and supported by Member States of the SAM region and LACAC Member States.

Discussion

14. Voicing support for WP/437 (Mexico), the Delegate of Nicaragua affirmed that the NACC Regional Office's SAP was a very worthy initiative.

15. In also endorsing WP/437, the Delegate of Venezuela (Bolivarian Republic of) acknowledged the importance of the SAP and the benefits derived therefrom as described in the paper, particularly with respect to the USOAP, the National Performance-based Navigation (PBN) Implementation Programme and the State Safety Programme (SSP). He called for the active participation of all NACC States in the SAP and urged interested parties to continue contributing to strengthening aviation safety and security in that region and around the world.

16. Underscoring that the NCLB initiative was very important for States, as well as for ICAO as a whole, the Delegate of Uruguay indicated that it was in that spirit that her State supported that initiative, as well as WP/437. She invited Delegates to consult information paper WP/452, which highlighted the results of the technical assistance provided under the NCLB initiative to Uruguay by ICAO, through the SAM Regional Office and the Sistema Regional de Cooperación para la Vigilancia de la Seguridad Operacional (SRVSOP), in order to rectify the safety oversight-related deficiencies identified during its USOAP audit.

17. The Delegate of Italy emphasized that commercial air transport was a global phenomenon which had to be managed with a global approach in order to ensure that it was safe, secure, efficient and trustworthy. He stressed that it could only be deployed if all Member States were in a position to ensure the harmonized implementation of ICAO SARPs globally. In expressing strong support for ICAO's NCLB initiative and related WP/107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada), the Delegate of Italy highlighted the significant value of the capacity building efforts of ICAO, individual States, regional organizations and industry under the auspices of the NCLB initiative. He underscored that the provision of financial and technical resources within that framework was of paramount importance for the global growth of the commercial air transport system, and requested ICAO to enhance its prominent role in coordinating all phases of the NCLB initiative.

18. Referring to WP/49 (Council), the Delegate of Greece voiced strong support for ICAO's work under the NCLB initiative, which provided direct assistance to developing States. In noting that it was necessary to have the political will of States to pool resources, she affirmed that the NCLB initiative could be further enhanced through the establishment of robust coordination mechanisms allowing for the optimum use of resources and the maximized impact of capacity building activities, as recommended in WP/107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada). Recalling that it was also recommended in that paper that ICAO apply a systemic

approach to its targeted State support activities, the Delegate of Greece underscored that such an approach would help build strong regulatory oversight systems in beneficiary States.

19. The Delegate of Canada emphasized that his State stood behind ICAO's NCLB initiative and would continue to support it. He agreed with all of the comments made by the previous speakers. With reference to WP/107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada) and WP/437 (Mexico), the Delegate of Canada highlighted that WP/129 (*Strengthening technical assistance initiatives*) and WP/276 (*Increasing efficiency of ICAO Regional Groups*) jointly presented by his State and New Zealand would be tabled for discussion in the Technical Commission with a view to further enhancing the NCLB initiative and making it even more successful.

20. The Delegate of the Republic of Moldova expressed support for WP/107 Revision No. 1. In light of the excellent collaboration between his State and the EUR/NAT Regional Office, he also endorsed WP/88 (Azerbaijan), in which the Assembly was invited to recognize the role of ICAO Regional Offices in ensuring the continuous support of ICAO Member States in the effective implementation of SARPs through the coordination of lessons learned and the exchange of experiences in the implementation of SARPs among States.

21. Endorsing WP/49 (Council), the Delegate of Cuba voiced support for ICAO's NCLB initiative and commended the leadership role played by the President of the Council, Dr. Aliu, in that regard. In also expressing support for WP/437 (Mexico), she highlighted that Cuba had greatly benefitted from the NACC Regional Office's SAP and considered that it would be extremely useful to replicate that Programme in other regions of the world, as recommended in the paper. The Delegate of Cuba likewise endorsed WP/220 (South Africa), which encouraged States to proactively plan, coordinate and implement regional cooperation, and to monitor the results against the impacts of achieving improved aviation safety and security.

22. Referring to WP/88 (Azerbaijan), the Delegate of the United States indicated that her State supported recognizing ICAO Regional Offices as the primary bodies to coordinate and disseminate information on best practices to Member States. The United States also supported efforts by Regional Offices to share guidance material among themselves.

23. In expressing support for WP/49 (Council), the Delegate of France affirmed that the NCLB initiative was one of the great ICAO successes in recent years, due first and foremost to the President of the Council, Dr. Aliu, who had strongly promoted it. France would seek to ensure that it would be his lasting legacy. France had been strongly committed to the NCLB initiative ever since its inception in 2014 and had partnered with other European States to provide capacity building to developing countries as highlighted in WP/107 Revision No. 1. In addition, France had worked bilaterally with many other States in order to provide technical assistance on all continents.

24. The question now facing the Assembly was what could ICAO do to do more and to do better in providing support to developing countries under the NCLB initiative? France considered that the Organization could make progress in various areas, such as coordination between public and private donors, information-sharing among the beneficiary States, streamlining and centralizing the coordination of State support activities in the Secretariat, and monitoring over the long term the effectiveness of the measures adopted. Such actions would ensure that States intervened collectively at the right time and the right place with the appropriate resources, as was currently done in the field of environmental protection through ICAO's successful Assistance, Capacity-building and Training (ACT) – CORSIA Programme. ICAO should better enable States to fulfil their political duty to assist those States facing difficulties and challenges with respect to civil aviation so that no country was left behind.

25. In also endorsing WP/49, the Delegate of Singapore underscored that the NCLB initiative had been effective in garnering the cooperation and collaboration of States and industry towards building aviation capabilities globally. The tangible improvements to the aviation system were a clear demonstration of how States, as a community, could work as one united team. For that Singapore thanked the President of the Council, Dr. Aliu, for his vision and leadership and the ICAO Secretariat for its diligent efforts in implementing the NCLB initiative, as well as States and the industry for their strong collaboration. Singapore urged ICAO to continue together with States and the industry to support the extensive NCLB initiative to strengthen the overall aviation system.

26. The Delegate of Sweden indicated that it was with the overarching goal of ensuring harmonized implementation of ICAO SARPs globally that his State fully supported the NCLB initiative so that all States would have access to the significant socio-economic benefits of safe and reliable air transport. As highlighted in WP/107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada), Sweden was convinced that the NCLB initiative would benefit from the application by ICAO of a systemic approach to its targeted State support activities to build an efficient oversight system and to coordinate with other stakeholders to avoid duplication of efforts. In that context, Sweden reiterated its support for that paper.

27. The Delegate of Georgia voiced support for WP/49 (Council), WP/88 (Azerbaijan) and WP/107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada). Underscoring that Georgia had greatly benefitted from assistance provided under ICAO's NCLB initiative, he noted that during the last few years it had undergone crucial reforms and had made substantial progress in the field of civil aviation with the support of partners. In this context, the Delegate of Georgia thanked the EUR/NAT Regional Office, the EU and the European Aviation Safety Agency (EASA), as well as France, Germany, Austria and Croatia which had provided assistance at the bilateral level. Georgia had been transformed from a beneficiary State to a contributing State to the NCLB initiative and was fully committed to supporting that very successful programme. Recalling that during the First Plenary Meeting on 24 September 2019 Georgia had been awarded a *Council President Certificate in Aviation Safety* as well as an inaugural *Council President Certificate in Aviation Security* based on its achievements, he affirmed that that big success story was attributable to ICAO's NCLB initiative.

28. The Delegate of Paraguay endorsed WP/437 (Mexico) and WP/107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada). Noting that the NCLB initiative was focused on ensuring that all Member States could enjoy the success of ICAO's Strategic Objectives, policies, plans and programmes, she joined previous speakers in expressing support therefor.

29. The Delegate of Ukraine reiterated his State's commitment to engage in effective international cooperation with ICAO and in particular to provide ICAO with the resources necessary to meet its future challenges. In endorsing WP/107 Revision No. 1, he highlighted that ICAO's NCLB initiative had enabled Ukrainian aviation personnel to strengthen their competencies through participation in multiple training events and study programmes. Underscoring how the exchange of experiences in the implementation of SARPs with other States built confidence, the Delegate of Ukraine also endorsed WP/88 (Azerbaijan).

30. In reaffirming her State's strong support of ICAO's NCLB initiative, the Delegate of Serbia likewise endorsed WPs/107 Revision No. 1 and WP/88. She noted that Serbia, similar to Azerbaijan, had been a beneficiary of a technical assistance and capacity building project and considered itself to be a good example of how such well-organized and targeted projects could contribute to the improvement of overall performance of aviation and of States' fulfilment of their obligations under the Chicago Convention.

Recalling that her State had received an EI score of 70.26 per cent during its 2009 USOAP audit, the Delegate of Serbia emphasized that its EI score had increased to 93.3 per cent as a result of the said technical assistance and capacity building project, as confirmed by its 2019 ICVM.

31. Voicing support for WP/220 (South Africa), the Delegate of the United Republic of Tanzania underscored the importance of regional cooperation in achieving the goals of the NCLB initiative and reiterated the need to establish a Regional Cooperation Strategy to build partnerships and/or assist States in their prioritized needs to improve the effective implementation of ICAO SARPs. He also endorsed WPs/49 (Council), /107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada), and /437 (Mexico).

32. In likewise endorsing WP/437, the Delegate of Costa Rica highlighted the efforts made by the NACC Regional Office to support the States to which it was accredited. He also endorsed WP/107 Revision No. 1 in view of the need to make optimum use of resources. The Delegate of Costa Rica underscored that both regional and global cooperation were extremely important in order to increase aviation safety in all States.

33. The Delegate of Togo emphasized that the President of the Council, Dr. Aliu, would go down in history for the critical role he had played in promoting the outstanding NCLB initiative. He voiced support for WPs/49 (Council), /437 (Mexico), /107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada) and /437 (Mexico). Referring to WP/220 on the technical assistance missions which South Africa had undertaken at the request of various African States, the Delegate of Togo suggested that ICAO issue guidance on the various means available to States to receive technical assistance so as to avoid duplication of efforts.

34. Endorsing WP/49 (Council), the Delegate of Mexico commended the President of the Council, Dr. Aliu, for the leadership role he had played in the establishment of the NCLB initiative and for the great momentum which he had given to its implementation. In also expressing support for WP/107 Revision No. 1, he affirmed that the recommended application by ICAO of a systemic approach to its targeted State support would further enhance the capacity of beneficiary States to resolve their identified deficiencies and effectively implement SARPs. The Delegate of Mexico further underscored the importance of ICAO coordinating targeted regional or State support with other partners, as recommended in that paper. In endorsing WP/220 (South Africa), he reiterated the importance of monitoring the results of the envisaged regional cooperation.

35. The Delegate of Saudi Arabia also expressed appreciation to the President of the Council, Dr. Aliu, for the excellent NCLB initiative, which his State had supported from the outset and to which it had made voluntary contributions in 2016 and 2019. He emphasized that the NCLB initiative had enhanced aviation safety and security in developing countries and least developed countries. The Delegate of Saudi Arabia nevertheless agreed with the comments made by the Delegate of France on various areas for improvement in providing support to countries under the NCLB initiative.

36. Affirming that the NCLB initiative had achieved tremendous results worldwide under the leadership of the President of the Council, Dr. Aliu, the Delegate of Colombia voiced support for WP/49 (Council), as well as WP/107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada). In also endorsing WP/437 (Mexico), he reiterated that the NACC Regional Office's SAP was an innovative and effective Programme which should be replicated in other regions.

37. The Delegate of Egypt indicated that he also supported WPs/49 and /107 Revision No. 1 as they highlighted the importance of cooperation between ICAO, individual States, regional organizations and industry in providing support to States under the NCLB initiative in order to ensure a successful outcome. He welcomed WP/220 (South Africa), as well as WP/88 (Azerbaijan), which stressed the importance of increasing the expertise of aviation personnel. The Delegate of Egypt also endorsed WP/437 (Mexico), which called for the replication of the SAP in other regionals through knowledge exchange and cooperation between Regional Offices.

38. The Delegate of Peru underscored that his State had greatly benefitted from the NCLB initiative to the extent that it had been awarded a *Council President Certificate in Aviation Safety* during the First Plenary Meeting on 24 September 2019. He voiced support for WPs/49 (Council), /437 (Mexico), 107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada) and WP/220 (South Africa).

39. Reiterating that the NCLB initiative had been driven by the President of the Council, Dr. Aliu, the Delegate of Nigeria likewise endorsed WPs/49, /107 Revision No. 1 and /220. He also supported WP/437 as he considered that the NACC Regional Office's SAP was a worthwhile Programme which should be replicated in other regions.

40. The Delegate of Lebanon endorsed WP/220 (South Africa) as it encouraged States to implement regional cooperation in order to achieve the main goal, which was NCLB.

41. The Delegate of Viet Nam expressed support for WP/49 (Council) in recognition of the importance of the NCLB initiative. He highlighted that Viet Nam had benefited therefrom through the ICAO Technical Cooperation Programme and the provision of technical assistance by the ICAO Asia and Pacific (APAC) Regional Office (Bangkok), which had enhanced his State's safety oversight capability.

42. The Delegate of Mozambique thanked the President of the Council, Dr. Aliu, for launching the NCLB initiative, which was reaping huge benefits, and voiced strong support for WPs/49 (Council), /220 (South Africa) and /107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada).

43. The Delegate of China noted that his State also supported the NCLB initiative, in which it actively took part, and appreciated the activities carried out under its auspices and Dr. Aliu's leadership. Emphasizing that the NCLB initiative contributed to the enhancement of the safety, efficiency and security of international civil aviation, he congratulated ICAO on that achievement and endorsed WPs/49 and /107 Revision No. 1.

44. The Observer from CANSO expressed support for the four papers which had been presented. Referring to WP/49 (Council), she affirmed that ICAO's NCLB initiative was of great benefit to many States in the world. The Observer from CANSO thanked ICAO for the work it was doing in that regard and reiterated her organization's full support for Assembly Resolution A39-23 on the NCLB initiative. She emphasized that CANSO was ready to support not only States but also regions in effectively implementing ICAO SARPs, policies, plans and programmes in a globally-harmonized manner. CANSO would work closely with ICAO's Technical Cooperation Bureau (TCB) in the regions to coordinate implementation in light of the NCLB initiative.

45. With respect to WP/88 (Azerbaijan), CANSO agreed that the sharing of experience in the implementation of SARPs among States was helpful in order to obtain sustainable and predictable funding

for technical and intellectual support. CANSO also supported the role of ICAO Regional Offices as coordinators between States in their respective regions for the sharing of such experience.

46. CANSO endorsed WP/107 Revision No.1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada). With respect to WP/220 (South Africa), CANSO supported and encouraged States to proactively plan, coordinate and implement regional cooperation and to monitor the results against the impacts of achieving improved aviation safety and security as recommended in that paper.

47. The Observer from ACI voiced strong support for ICAO's NCLB initiative and the four related papers which had been presented. She highlighted that ACI had a corollary programme in cooperation with ICAO to leave no airport behind, namely, the Airport Excellence (APEX) in Safety Programme, which directly assisted ACI's member airports to improve their levels of safety. ACI encouraged States to work with it on that very hands-on approach to improving aviation safety around the world, not least because ACI could help airports achieve certification. The Observer from ACI affirmed that that was a prime example of the value of cooperation between States and industry.

48. Referring to WP/107 Revision No. 1 (Finland on behalf of EU, ECAC, EUROCONTROL and co-sponsored by New Zealand and Canada), action paragraph f), C/PRC informed the Executive Committee that a database mapping of all capacity building and assistance projects in the area of aviation security and an ASIAP Technical Assistance Project Database had been developed, and that those tools could be enhanced and expanded to cover other Strategic Objectives.

49. In then drawing attention to WP/437 (Mexico), C/PRC underscored that the promotion of regional coordination through close partnerships with regional organizations and regional civil aviation bodies was aligned with ICAO's Policy on Regional Cooperation. Such efforts complemented the programmes initiated by ICAO with a view to enhancing the effectiveness of capacity building and assistance activities, such as ASIAP in the area of aviation safety. ICAO Member States were encouraged to consider their active participation in such programmes as a means to better coordinate technical assistance activities. Such activities could contribute to achieving the objectives of ICAO's Global Plans as well as to sustaining ICAO's capacity building and assistance activities and, consistent with the recommendations contained in WP/107 Revision No. 1, the ICAO Secretariat should be informed accordingly.

50. The Chairperson indicated that in light of the unanimous support expressed for the continuation of capacity building and assistance activities in international aviation, the Executive Committee invited the Assembly to reaffirm its support for the provisions of Assembly Resolution A39-23: *No Country Left Behind (NCLB) Initiative*.

51. In noting WP/49 presented by the Council, the Executive Committee recognized the crucial importance of the NCLB initiative to support ICAO Member States in the effective implementation of ICAO SARPs, policies, plans and programmes which support a safe, secure, efficient, economically viable and environmentally sound air transport system. The Executive Committee also expressed strong appreciation for: the initiative of the President of the Council, Dr. Aliu, in creating the NCLB initiative; and for ICAO's positive efforts in providing technical assistance to its Members States in order to enhance the implementation of SARPs and increase the EI scores in safety and security in each region, in support of the NCLB initiative.

52. The Executive Committee noted WP/88 presented by Azerbaijan, and recognized the role of ICAO Regional Offices in providing direct support to ICAO Member States in the effective implementation of SARPs and in coordinating that assistance, under the auspices of the NCLB initiative.

53. The Executive Committee also noted WP/107 Revision No. 1, presented by Finland on behalf of the EU and its Member States, the other Member States of ECAC and by EUROCONTROL and co-sponsored by New Zealand and Canada, which was complemented with the information provided in WP/106 on Europe's various capacity building and assistance projects across ICAO's Strategic Objectives. The Executive Committee reaffirmed its support of the NCLB initiative and acknowledged the contributions to that initiative to improve the overall performance of aviation at the global level. In order to enhance the effectiveness of capacity building activities, the Executive Committee invited ICAO to intensify its support to its Member States in the implementation of SARPs, with associated indicators on the success of SARPs implementation. Recognizing the added value and complementarity of capacity building activities undertaken by ICAO, individual States, regional organizations and industry, the Executive Committee requested ICAO to hold a coordinating and information-sharing role between the various stakeholders involved in the provision of assistance and to encourage the use of existing coordination mechanisms for the planning and implementation of such targeted assistance, such as ASIAP for aviation safety and air navigation.

54. In noting WP/437 presented by Mexico, the Executive Committee recognized the existence of similar capacity building and assistance activities undertaken in all ICAO Regional Offices and invited the exchange of best practices and experience in the implementation of SARPs among States, while taking into account the specificities and priorities of the States accredited to each Regional Office.

55. The Executive Committee also noted WP/220 presented by South Africa and encouraged States in intensifying their direct assistance to other States, for instance at the regional level, in order to enhance the implementation of SARPs, with associated monitoring activities.

56. In light of the extensive support expressed for WPs/49, /88, /107 Revision No. 1, /437 and /220, the Executive Committee agreed to recommend to the Assembly to:

- a) urge the Council to continue its work to raise global awareness on the importance of the effective implementation of ICAO's SARPs, policies, plans and programmes which support a safe, secure, efficient, economically viable and environmentally sound air transport system;
- b) urge the Secretary General to continue intensifying technical assistance and technical cooperation activities to further implement the NCLB initiative, notably the general implementation support activities following the publication of new SARPs;
- c) recognize the role of ICAO Regional Offices in ensuring the continuous support of ICAO Member States in the effective implementation of SARPs, through the coordination of lessons learned and the exchange of experience in the implementation of SARPs among States;
- d) invite ICAO to apply a systemic approach to its targeted State support activities and to intensify the implementation support, technical support and assistance activities of the Secretariat;

- e) recognize the added value and complementarity of capacity building activities undertaken by ICAO, individual States, regional organizations and industry and request ICAO to coordinate targeted regional or State support with other partners, via ASIAP, for aviation safety and air navigation;
- f) encourage States and regional organizations to keep ICAO informed about their assistance activities in order to allow a coordinated approach to technical assistance activities, ensuring the best use of existing resources and to reduce duplication of efforts;
- g) support the exchange of information between the ICAO Regional Offices on the best practices in relation to capacity building and assistance, reminding that due consideration should be given to the specificities and priorities of the States accredited to each Regional Office; and
- h) encourage States to work with ICAO to proactively plan, coordinate, and implement regional cooperation, and to monitor the results against the impacts of achieving improved aviation safety and security.

57. The Executive Committee noted that the actions addressed to ICAO would be undertaken subject to the resources available in the 2020-2022 Regular Programme Budget and/or from extra-budgetary contributions.

Pacific Small Island Developing States (PSIDS) study

58. C/PRC introduced WP/47, in which the Council provided an update on the feasibility study related to the PSIDS aviation needs analysis undertaken pursuant to the decision of the 39th Session of the Assembly (cf. A39-WP/501). The paper included information on the scope, purpose, methodology of the PSIDS study and extended ICAO's appreciation to Australia, Chile, China, Fiji, Singapore, the United Kingdom and the United States for their in-kind and financial contributions. C/PRC informed the Executive Committee that due consultation had taken place on the study's draft conclusions and recommendations with the fourteen States included in the study, and that the ICAO Secretariat would present the final report to the 218th Session of the Council, which would be directed to review the recommendations and develop an implementation roadmap. C/PRC underscored that the said recommendations might require the mobilization of resources and the expansion of partnerships with Governments, the private sector and the relevant UN organizations.

59. The Assembly was invited in WP/47 to:

- a) note the information provided in the paper;
- b) express its appreciation to the States that have provided voluntary funds and in-kind support for the conduct of the PSIDS Needs Analysis Study; and
- c) direct the Council to review the recommendations contained in the Report of the study and to develop an implementation roadmap for the recommendations, as may be amended by the Council.

60. The Delegate of Australia introduced WP/210 presented by his State and co-sponsored by New Zealand, PASO, Samoa, Singapore and Tonga. He indicated that Australia was pleased to join with those co-sponsors to call on ICAO to strengthen its ongoing engagement within the APAC region consistent with the outcomes of the 2018 Thirteenth Air Navigation Conference (AN-Conf/13). The APAC region was the world's largest in terms of the total percentage of global traffic and comprised 49 flight information regions. It was now home to 60 per cent of the world's population – some 4.3 billion people. Like anywhere else in the world, trade and tourism in the APAC region were critical and needed to be provided by safe,

secure and reliable aviation services. As the APAC market continued to grow, so did the challenges. While the 2018 Beijing Declaration had marked an important milestone for aviation in the APAC region, demonstrating regional commitment to achieving ICAO's goals relating to aviation safety, air navigation and human resources, its implementation remained a challenge for many APAC States.

61. Since 2018 Australia and the co-sponsors had recorded the work of ICAO and welcomed the PSIDS Aviation Needs Analysis Study (WP/47). They stressed the importance of maintaining the momentum that had laid the foundation for the Beijing Declaration and for the outcomes of the PSIDS Needs Analysis Study, which would require long-term coordination, collaboration and resources. The APAC Regional Office in Bangkok was a core pathway for ICAO to assist the States. While Australia and the co-sponsors recognized the good work which ICAO had already done, they considered that the Organization needed to give priority to the appropriate resourcing of the APAC Regional Office in the future to enable it to better coordinate, monitor and report on implementation of the Beijing Declaration and on responses to the outcomes of the PSIDS Needs Analysis Study.

62. The Assembly was invited in WP/210 to:

- a) acknowledge the growing demands on the APAC region and the particular challenges for Pacific Island States in implementing ICAO SARPs; and
- b) recommend, consistent with the recommendations of AN-Conf/13, that ICAO give priority to appropriate resourcing of the APAC Regional Office in Bangkok to better support regional and State implementation of the Beijing Declaration and progress towards ICAO global targets; and help the region and States respond to the outcomes of the PSIDS Needs Analysis Study.

63. The Delegate of Papua New Guinea introduced WP/310 on behalf of the Cook Islands, Fiji, the Marshall Islands, Micronesia (Federated States of), Nauru, Palau, Papua New Guinea, Samoa, Singapore, the Solomon Islands, Tonga, Tuvalu and Vanuatu. In the paper, the co-presenters expressed appreciation for the efforts of ICAO and donor States in the PSIDS Aviation Needs Analysis Study, without prejudice to the outcome of Phase 2 thereof, to conduct the necessary prioritization of resources under the Regular Programme Budget and/or apportion a sufficient amount of extra-budgetary resources, as well as the necessary assistance to implement the recommendations and the solutions.

64. In WP/310 the Assembly was invited to:

- a) recognize the unique and diverse challenges the PSIDS face in international civil aviation development; and
- b) urge ICAO to apportion a sufficient amount from the ICAO Regular Programme Budget and/or extra-budgetary resources, as well as the necessary assistance to implement the recommendations and solutions from the PSIDS Aviation Needs Analysis Study.

65. The Delegate of New Zealand presented WP/385 which described New Zealand's numerous activities to improve aviation safety and security in the PSIDS. She underscored that while PSIDS were working hard to improve their EI scores they faced numerous challenges to achieve such improvements. New Zealand continued to support its PSIDS neighbours to overcome those challenges by providing technical assistance and capacity building programmes to help improve the effectiveness of aviation safety and security oversight across the Pacific region. New Zealand's recent support had been targeted towards building capacity around the hands-on use of the USOAP Online Framework (OLF) and also working closely with PASO to improve its performance so as to be in a viable position to coordinate

Pacific projects. New Zealand recognized, however, that more fundamental changes were needed to improve aviation safety and security across the Pacific region and therefore supported the work that had been undertaken by the PSIDS Needs Analysis Study. New Zealand encouraged ICAO to ensure that the recommendations from the Study would directly address the challenges faced by PSIDS in a practical, proportionate and cost-effective way and that ICAO provided sufficient funding and commitment to fully implement the Study's recommendations.

66. The Assembly was invited in WP/385 to:
- a) note the significant amount of work that is occurring within the PSIDS to improve aviation safety and security and EI scores; and
 - b) agree to the importance of an enduring commitment from ICAO to the Pacific region to work collaboratively with States to improve aviation safety and security.

Discussion

67. The Delegate of Papua New Guinea endorsed WPs/47 (Council) and /210 (Australia and co-sponsors).

68. In expressing support for WP/310 (Papua New Guinea and co-presenters), the Delegate of the United States indicated that her State recognized the many civil aviation challenges faced by the PSIDS. It also recognized the efforts by ICAO, in coordination with the PSIDS and donor States, to develop meaningful and actionable recommendations through the PSIDS Aviation Needs Analysis Study. Furthermore, the United States supported WP/385 and appreciated New Zealand's efforts to improve aviation safety and security in the Pacific region. It recognized the important role of New Zealand's technical assistance and capacity building programmes, including the multiple USOAP CMA training workshops held in that region, and New Zealand's continued support for PASO. The United States agreed that a collaborative approach was key to improving the effectiveness of aviation safety and security oversight throughout the Pacific region and looked forward to working with ICAO and its Member States to implement solutions once the PSIDS Needs Analysis Study was finalized.

69. Endorsing WP/47 (Council), the Delegate of Singapore noted that his State was pleased that ICAO had recognized the critical importance of supporting the urgent needs of the PSIDS. Singapore urged ICAO to continue to consult closely with the PSIDS during the ongoing Study and to take into consideration their views on the implementation roadmap for the Study's recommendations. Since the purpose of the Study was to ensure that there was practical and effective help for the PSIDS, Singapore also urged ICAO to allocate sufficient resources to support the needs of the Pacific region, including for technical experts for the APAC Regional Office and the provision of technical assistance to the PSIDS.

70. The Delegate of the Republic of Korea indicated that his State supported ICAO's efforts to assist PSIDS as outlined in WP/47 and was happy to contribute support to enhance the PSIDS' implementation of SARPs in the areas of aviation safety, air navigation capacity and efficiency, and aviation security.

71. The Delegate of the Russian Federation endorsed the four papers which had been presented, in particular, WP/210 (Australia and co-sponsors). He recalled that the Russian Federation had repeatedly underscored the need to strengthen ICAO's Regional Offices, such as the APAC Regional Office in Bangkok. Highlighting that a similar situation existed in the EUR/NAT Regional Office in Paris, the Delegate of the Russian Federation reiterated the importance of bolstering the resources of all Regional Offices in order to attain the goals of ICAO's NCLB initiative.

72. In reiterating support for the NCLB initiative, the Delegate of Togo welcomed the various forms of assistance for PSIDS which had been highlighted during the discussion.

73. The Delegate of Cabo Verde took this opportunity to acknowledge ICAO's leadership in developing civil aviation around the globe, in particular, that evinced by the President of the Council, Dr. Aliu. As a SID in the Atlantic Cabo Verde recognized the Organization's efforts and endorsed all initiatives for cooperation in supporting SIDS. It suggested that ICAO and its Member States allocate resources to build capacity in the various regions in order to ensure that no country was left behind. Cabo Verde supported the four papers which had been presented.

74. The Delegate of Nigeria also endorsed the four papers in view of the difficulties and challenges facing PSIDS with respect to civil aviation and in recognition of States' collaborative efforts in providing assistance to those States.

75. In voicing support for WP/47 (Council), the Delegate of Australia stressed the need for pragmatic measures to assist Pacific Small Island Developing States, ones that could be implemented together with the PSIDS' aviation personnel. He underscored that measures which worked in other regions of the world might not be appropriate for the PSIDS. The Delegate of Australia also expressed support for WP/310 (Papua New Guinea and co-presenters) and WP/385 (New Zealand). In congratulating New Zealand on its many activities in support of the PSIDS, he emphasized that Australia had a long and successful relationship with New Zealand that would continue through the PSIDS Study process.

76. The Delegate of Cuba indicated that her State, an island State in the Caribbean, acknowledged the needs of the PSIDS and the challenges they faced with respect to civil aviation and supported all initiatives to assist them in developing their aviation sectors. Cuba endorsed all four papers which had been presented, in particular, WP/47 (Council), and urged the Council to continue conducting the PSIDS Needs Analysis Study.

77. Referring to WP/210, in which Australia and the co-sponsors of the paper requested that ICAO give priority to appropriate resourcing of the APAC Regional Office in Bangkok, C/PRC highlighted the creation of the Beijing Regional Sub-office in June 2013, hosted by the Civil Aviation Administration of China (CAC), which was aimed at enhancing the provision of support to all States accredited to the APAC Regional Office.

78. The President of the Council, Dr. Aliu, congratulated the Secretariat, in particular, the Senior Advisor, Mr. N. Rallo, and his team, on their excellent PSIDS Needs Analysis Study, which had been conducted in a very comprehensive manner. While noting that the Study was specific to the Pacific Small Island Developing States and the challenges they faced, and that it would be necessary for the Council to implement the Study's recommendations and provide support to those States, he considered, after listening to the interventions by the Delegates of Cuba and Cabo Verde, that the lessons learned from the PSIDS Study should be applied to the extent possible to other groups of island States. The President of the Council cited, as an example, the island States in the Caribbean, which were facing their own specific challenges. He highlighted, in this regard, Hurricane Dorian's devastating effect on the Bahamas at the beginning of September 2019. The President of the Council underscored that while, unlike the PSIDS, those island States were not remote from ICAO Headquarters, they could still benefit from the lessons learned through the PSIDS Study, as could the group of island States in the Indian Ocean comprising Comoros, Seychelles, Maldives, Mayotte, Réunion, Madagascar and Mauritius. He proposed that the Executive Committee recommend to the Assembly that the Council be directed to determine how the lessons learned from the PSIDS Needs Analysis Study could be applied to other groups of SIDS.

79. In fully supporting this proposal, the Delegate of Colombia emphasized that the results of the successful PSIDS Study should be used as a basis for meeting the aviation needs of other SIDS around the world, including in his region, South America. The Delegates of Egypt, Mauritius, Nigeria, China and Argentina shared this view.

80. The Secretary General also endorsed the President of the Council's proposal. She took this opportunity to thank Member States for their voluntary contributions in support of the important PSIDS Needs Analysis Study, and the Senior Advisor, and his team, as well as all the other staff members at ICAO Headquarters and the APAC Regional Office who had been involved therein, for their hard work and dedication. The Secretary General expressed the hope that the Council would endorse the recommendations stemming from the PSIDS Study and that Member States would provide the necessary resources to ensure the project's sustainability.

81. In summarizing the discussion, the Chairperson indicated that Executive Committee noted the information provided by the Council in WP/47 on the scope, purpose, methodology and principles of the PSIDS Needs Analysis Study, and extended its appreciation to Australia, Chile, China, Fiji, Singapore, the United Kingdom and the United States for their in-kind and financial contributions. The Executive Committee also noted that the ICAO Secretariat would present the final report to the 218th Session of the Council, which would be directed to review the recommendations and develop an implementation roadmap. It further noted that the recommendations might require the mobilization of resources and expansion of partnerships with Governments, the private sector and the relevant UN organizations.

82. In addition, the Executive Committee noted: WP/210 presented by Australia and co-sponsored by New Zealand, PASO, Samoa, Singapore and Tonga on the challenging demographic and operational conditions of the PSIDS; WP/310 presented by the Cook Islands, Fiji, the Marshall Islands, Micronesia (Federated States of), Nauru, Palau, Papua New Guinea, Samoa, Singapore, the Solomon Islands, Tonga, Tuvalu and Vanuatu, which highlighted the unique set of challenges faced by the PSIDS, linked in particular to their limited resources, remoteness, and susceptibility to natural disasters, as well as the key importance of aviation for those States' socio-economic development; and WP/385 presented by New Zealand, which emphasized the importance of the ICAO PSIDS Needs Analysis Study in promoting a regional approach to support PSIDS and in facilitating their ownership of the subsequent recommendations.

83. The Executive Committee noted the wide support expressed by States for the recommendations included in WPs/47, /210, /310 and /385. It acknowledged that the lessons learned through the development of the PSIDS Needs Analysis Study could benefit other SIDS. In particular, the Executive Committee noted that a number of States had drawn attention on the need to devote appropriate resources to the ICAO APAC Regional Office, in light of the specific characteristics of the PSIDS. It also noted that additional support would be needed for the implementation of the recommendations stemming from the PSIDS Needs Analysis Study. In this respect, the Executive Committee recommended that the Assembly:

- a) call for the results of the PSIDS Study to be duly taken into consideration in the strategic planning of ICAO activities;
- b) direct the Council to review the recommendations contained therein and develop an implementation roadmap; and
- c) direct the Council to determine how the lessons learned and recommendations stemming from the PSIDS Study could benefit other SIDS.

84. The Executive Committee recommended that all ICAO actions aimed at better supporting the implementation of the Beijing Declaration (at the regional and national levels), helping progress towards ICAO global targets, and supporting the implementation of recommendations stemming from the PSIDS Study be considered with respect to existing priorities funded through the 2020-2022 Regular Programme Budget and the availability of extra-budgetary resources.

Agenda Item 11: Annual Reports of the Council to the Assembly for 2016, 2017 and 2018

85. The President of the Council, Dr. Aliu, presented an overview of the Annual Reports of the Council to the Assembly for 2016, 2017 and 2018, and the Supplementary Report covering the first six months of 2019, which were available on the ICAO public website. He recalled that during his opening address to the Plenary on 24 September 2019 (P/1) he had outlined the transformational changes and achievements of ICAO over the last triennium with regard to all of its Strategic Objectives and Supporting Strategies, as well as the Organization's future challenges.

86. Reiterating that 2016 had been a tremendous milestone in the history of ICAO and international civil aviation governance, the President of the Council emphasized that the major ICAO accomplishment of that year had been reflected in the endorsement by the 39th Session of the Assembly of the landmark Resolution A39-3 on the new Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA). Affirming that that was one of the most significant environmental achievements in the history of civil aviation, he underscored that CORSIA represented not only a new benchmark for international emissions governance, but also the very first market-based measure to address the global CO₂ emissions from any industry sector.

87. The President of the Council highlighted that ICAO's technical cooperation and technical assistance activities had been reinvigorated during the triennium, mainly through the development of new tools. The Organization had progressed work on the ICAO Programme for Aviation Volunteers (IPAV) and in the area of Global Aviation Training and related human resources development capacity building through the GAT Office. ICAO had continued to encourage the best and brightest through its Young Aviation Professionals Programme (YAPP).

88. ICAO's safety and security audit programmes, under the continuous monitoring approach, were being optimized to ensure timely validation of States' corrective actions to address identified deficiencies, which helped to ensure robust feedback that further enhanced the overall Standard-setting process. Most importantly, under the NCLB initiative, and with a more active, engaged and accountable role for ICAO's Regional Offices, the Organization had enjoyed robust success in helping States understand that their commitment to the effective implementation of ICAO SARPs was the most important factor in their ability to realize aviation's benefits. The ICAO World Aviation Forum (IWAF) events had been instrumental in helping States better integrate their aviation and national development strategies and plans and to develop improved business cases and more attractive investment climates. Taken together, those developments underscored how the NCLB initiative had achieved an assistance and coordination framework which had literally transformed some States in terms of their overall compliance with ICAO SARPs.

89. The President of the Council noted that recent revisions to ICAO's Global Plan for Aviation Safety (GASP) and Global Plan for Air Navigation (GANP) had also been focused on making the implementation of their targets more achievable. In highlighting the development of the first-ever Global Aviation Security Plan (GASeP), aided by regional implementation roadmaps, he indicated that it had also been augmented through ICAO's continuing facilitation, border control and identity management support to States through the ICAO Traveller Identification Programme (TRIP) Strategy.

90. With respect to aviation environmental protection, the President of the Council underscored that during the triennium the roll-out of CORSIA had proceed on course and the technology and operational improvements had continued to progress on pace, including the adoption of the CO₂, NO_x and non-volatile Particulate Matter (nvPM) Standards. A long-term vision on the development and deployment of sustainable aviation fuels had also been adopted.

91. The President of the Council noted that other developments had included the Organization's renewed focus on the Next Generation of Aviation Professionals (NGAP) Programme and gender equality. He emphasized that by focusing its attention on those types of issues over the last triennium, in addition to enhancing the effective implementation and attainment of ICAO SARPs and Global Plan targets, ICAO had also sought to bridge the gap among States due to local shortfalls in technical capacity and expertise and in managing safety securely and efficiently with the rapid growth of air transport.

92. With these priorities and accomplishments in mind, the President of the Council invited all Delegates to review the said Reports which were posted on the ICAO public website.

93. In the absence of comments, the Executive Committee noted the above overview of the Annual Reports of the Council for 2016, 2017 and 2018, and the Supplementary Report covering the first six months of 2019, and that each Commission would be reviewing those parts of the Reports that fell within its respective field of competence.

Agenda Item 21: United Nations 2030 Agenda – Sustainable Development Goals

94. The Executive Committee then considered Agenda Item 21 on the basis of one main working paper presented by the Council (WP/45) and a related paper presented by international organizations.

95. The Chief, Partnerships and Resource Mobilization Section (C/PRM) introduced WP/45, in which the Council reported on the major efforts undertaken by ICAO during the last triennium in support of the United Nations 2030 Agenda – Sustainable Development Goals (SDGs), as well as on the cooperation and partnerships with States and other UN bodies to achieve related targets. The paper also proposed updates to related Assembly Resolution A39-25, which demonstrated how the delivery of the results of ICAO's Strategic Objectives, especially through the implementation of the NCLB initiative, contributed significantly to the realization of the United Nations 2030 Agenda. C/PRM highlighted the analytical mapping illustrating that ICAO was facilitating 15 out of the 17 UN SDGs, and the increased reflection of aviation in States' Voluntary National Reviews (VNRs), which was the prime mechanism for voluntarily reporting their progress towards the achievement of the UN SDGs. C/PRM also underscored the importance of States including references to the UN SDGs in their national aviation plans. She noted that the activities outlined in WP/45 would be undertaken subject to the resources available in the 2020-2022 Regular Programme Budget and/or from extra-budgetary contributions.

96. The Chairperson of the Executive Committee observed that WP/45 clearly illustrated the great achievements obtained in profiling aviation as a catalyst towards achieving the UN SDGs.

97. The Observer from IATA then introduced WP/189 [with Corrigendum No. 1 – English only] (*Aviation's contribution towards the United Nations 2030 Agenda for Sustainable Development*), presented by ACI, CANSO, IATA, IBAC and ICCAIA, as coordinated by ATAG. He emphasized that aviation helped to power the world by being a vital economic contributor. Stressing, however, that aviation's influence went well beyond dollars and cents alone, the Observer from IATA highlighted that it

connected people, businesses, opportunities and communities and that for some parts of the world it was a vital lifeline to education and healthcare, as well as to families and friends. Noting that the UN SDGs set the framework for the delivery of future global and sustainable progress, he affirmed that the aviation sector was playing a fundamental role in helping to deliver the UN SDGs. In that vein, the co-presenters of WP/189 were delighted to commend to Delegates the ATAG Report *Aviation: Benefits Beyond Borders 2018* (available on the ATAG website), which provided key data supporting and highlighting aviation's contribution to the UN SDGs. All Delegates were encouraged to make use of the said ATAG Report in their inter-agency consultations to ensure that government officials had a good understanding of how aviation could help change lives and economies all over the world.

98. The co-presenters of WP/189 also urged all States to work together with industry to recognize the benefits of the aviation sector and to embrace policies that encouraged the further development of aviation as a driver of economic and social benefits. Such collaboration was both essential and pressing, particularly given the need to recognize the vital sustainability aspects of all future development. The Observer from IATA emphasized that the industry was convinced that it could help the world to grow economically and culturally while doing so in a responsible and environmentally aware manner. It hoped to continue that journey with all States.

99. In thanking IATA for the insights provided in WP/189, the Chairperson of the Executive Committee remarked that they certainly complemented the information provided by the Council in WP/45. He underscored that the data provided in WP/189 was essential to strategically advocate and conduct outreach for aviation as an enabler of the UN SDGs.

100. It was noted that the following information papers had also been submitted: WP/199 (*Prevention of illegal wildlife trafficking via commercial aviation*) presented by IATA; and WP/488 (*Airports' efforts against wildlife trafficking*) presented by ACI.

Discussion

101. The Delegates of Colombia and Singapore endorsed WPs/45 and /189. In so doing the Delegate of Singapore underscored that WP/189 constituted an important consolidation of the benefits of aviation and spoke in favour of using the data contained therein to recognize and emphasize aviation's important role in sustainable development.

102. In expressing full support for WP/45, the Delegate of China reiterated that aviation was a key driver of global socio-economic development. He encouraged ICAO to enhance its communications with relevant international organizations and other stakeholders to improve the implementation of the UN SDGs. Voicing appreciation for the work done by ICAO during the last triennium in implementing the NCLB initiative under the leadership of the President of the Council and the Secretary General, the Delegate of China affirmed that it had enhanced the sustainable development of aviation.

103. Welcoming WP/189, the Delegate of the United States thanked the co-presenters for raising the important role of international aviation as a key driver of economic and social development and its support for the UN SDGs. She concurred that the unique connectivity of air travel had helped to change the world for the better. The Delegate of the United States also agreed that aviation, as a sector, had a clear and wide-ranging programme to address its environmental impacts. She encouraged all States to join the United States in implementing CORSIA and the other elements of the basket of measures to reduce CO₂ emissions from international aviation. The Delegate of the United States further agreed that moves toward protection or fragmentation in the sector risked the significant benefits provided by aviation. She urged all

States to continue to work through ICAO on global solutions to continue the progress of international aviation.

104. In voicing support for WP/45, the Delegate of Egypt noted, from paragraph 2.1.2, that CORSIA was the first-ever market-based measure to address the CO₂ emissions of a major industrial sector at the global level. He underscored that CORSIA should be the only such global market-based measure for the aviation sector. Referring to paragraph 2.1.7, the Delegate of Egypt applauded the substantial progress made during the last triennium with regard to submission of VNRs referencing aviation as an enabler of sustainable development and highlighted that his State was one of the 98 UN Member States which had done so in its yearly VNRs.

105. While expressing appreciation for WP/189, the Delegate of Egypt suggested that action paragraph c) be amended by deleting the phrase “and to embrace this proactively in policies that” as policies were subject to each State’s respective priorities, based on agreed principles such as common but differentiated responsibilities (CBDR) and special circumstances and respective capabilities (SCRC).

106. Summarizing the discussion, the Chairperson indicated that the Executive Committee noted WP/45 presented by the Council and appreciated how ICAO advocated the benefits of aviation in support of the UN SDGs, as well as the increased reflection of aviation in the VNRs to report on progress towards the achievement of the UN SDGs. The Executive Committee particularly welcomed ICAO’s analytical mapping against the UN SDGs, the outcomes of the yearly IWAFs and the outreach done by the Aviation Partnerships for Sustainable Development (APSD). It acknowledged the development of guidance for States to establish a National Aviation Planning Framework, and the development of a Partnership Framework to better manage partnerships in support of the UN SDGs. The Executive Committee commended ICAO’s work on innovation.

107. The Executive Committee also appreciated ICAO’s monitoring efforts of the UN SDGs, as an official observer on the Inter-agency and Expert Group on Sustainable Development Goal Indicators (IAEG-SDGs), as well as the custodian agency of UN SDG indicator 9.1.2, *Passenger and Freight Volumes, by Mode of Transport*.

108. The Executive Committee supported, and recommended to the Plenary for adoption, the proposed revised Assembly Resolution on aviation’s contribution towards the United Nations 2030 Agenda for Sustainable Development set forth in Appendix A to WP/45, which invited the Assembly to encourage Member States to report on aviation, as an enabler of sustainable development, within their NVRs delivered at the UN High Level Political Forum on Sustainable Development (HLPF); and encouraged States to include clear references to the UN SDGs in their national aviation plans, with the objective of showcasing the contribution of aviation to the UN SDGs and national economies. Furthermore, the Executive Committee encouraged ICAO to strengthen outreach and collaboration with stakeholders and international organizations to raise visibility on aviation and the UN SDGs. It noted that the activities outlined in WP/45 would be undertaken subject to the resources available in the 2020-2022 Regular Programme Budget and/or from extra-budgetary contributions.

109. In addition, the Executive Committee noted WP/189 and appreciated the actions proposed by the co-presenters, namely that the Assembly:

- a) note the ATAG Report *Aviation: Benefits Beyond Borders 2018*, which explored the role aviation played for the global society and how air transport supported the UN sustainable development framework;

- b) request the Council to urge Member States to make use of the data wherever and whenever possible to highlight aviation's contributions to the UN SDGs; and
- c) invite Member States to recognize the global, regional and national benefits of aviation and to embrace this proactively in policies that encouraged the further development of aviation as a driver of economic and social benefits.

Agenda Item 22: Resource Mobilization and Voluntary Funds

110. C/PRM introduced WP/50, in which the Council reported on the progress achieved by ICAO in mobilizing voluntary resources over the last triennium and presented details on the status of the eight ICAO Voluntary Funds used to advance specific technical assistance projects and programmes in States in support of an air transport which was safe, secure, efficient, economically viable and environmentally responsible. The paper also proposed updates to related Assembly Resolution A39-26, which set the objectives in building a resource mobilization capacity that aimed to achieve adequate, more predictable and sustainable voluntary contributions to realize ICAO's mission by broadening the donor base and facilitating the consolidation of available and projected resources within an integrated Business Plan for the Organization.

111. In highlighting that ICAO had mobilized a record CAD 32.4 million in voluntary resources during the period 2016-2018, C/PRM emphasized that ICAO greatly appreciated donors' continued support of ICAO's mission and Strategic Objectives in promotion of its NCLB initiative. She also underscored that those voluntary contributions which were not earmarked for a specific use provided ICAO with greater flexibility to prioritize the funding needs of activities in ICAO's Work Programme that were either unfunded or underfunded. C/PRM noted that the activities referred to in the paper would be undertaken subject to the resources available in the 2020-2022 Regular Programme Budget and/or from extra-budgetary contributions.

112. In the absence of comments, the Chairperson indicated that the Executive Committee noted WP/50 presented by the Council. In particular, it noted the 123 per cent increase in ICAO Voluntary Funds cumulatively received in 2016-2018 over the amount received in 2013-2015. The Executive Committee acknowledged with gratitude the United States, China and Canada as being ICAO's top three donor States. It also welcomed the 133 States that supported ICAO through the deployment of gratis personnel, including short- or long-term secondees, and/or the organization of conferences, events, summits, meetings and workshops.

113. The Executive Committee acknowledged the invaluable contribution of those States which hosted ICAO Offices, from Headquarters to Regional Offices, namely, Canada, Mexico, Peru, France, Egypt, Senegal, Kenya, Thailand, as well as the Sub-Regional Office, namely, China.

114. The Executive Committee noted with interest the different ICAO Voluntary Funds and their respective purposes, as well as the details on the contributions and expenditures of each of the Voluntary Funds, and applauded the tools and procedures created to further enhance the mobilization of voluntary resources.

115. The Executive Committee appreciated the need to diversify the donor landscape and welcomed the opportunity to strategically engage with financial institutions to support the aviation sector. Those activities were subject to the resources available in the 2020-2022 Regular Programme Budget and/or from extra-budgetary contributions. The Executive Committee thus supported the proposed updates to Assembly Resolution A39-26 set forth in Appendix D to WP/50.

116. The Executive Committee appreciated the Secretariat's initiatives and achievements in the mobilization of voluntary resources and welcomed its work to strengthen accountability, efficiency in management, and transparency as that would enhance ICAO's resource mobilization efforts with donors.

117. In light of the discussion, the Executive Committee agreed to recommend that the Assembly take the action proposed in the executive summary of WP/50 and:

- a) express its appreciation for the voluntary contributions received from Member States, donors and relevant stakeholders;
- b) urge Member States, international organizations, industry, donors, relevant stakeholders and financial institutions to continue to contribute to ICAO Voluntary Funds to realize ICAO's mission to support the NCLB initiative, supplement ICAO's work programmes that were not covered or were under-funded by the Regular Programme Budget for 2020-2022, and assist States in enhancing their air transport systems; and
- c) adopt the revised Assembly Resolution on resource mobilization contained in Appendix D to the paper.

Agenda Item 18: Multilingualism at ICAO

118. The Executive Committee then considered Agenda Item 18 on the basis of one main working paper presented by the Council (WP/62) and related papers presented by States.

119. The Deputy Director, Languages and Publications (DD/LP) introduced WP/62, in which the Council, recognizing that multilingualism was a fundamental principle to achieve ICAO's objectives, reported on the implementation of the policies and decisions adopted to enhance the efficiency and effectiveness of language services. The paper highlighted that the Secretariat had been able to cope with the high demand for translation and interpretation services through the implementation of measures over the past two triennia, including a new Language Services Management System (LSMS), training Junior Language Officers (JLOs), reorganizing support services, increasing versatility of the workforce, and allocating additional funds from other ICAO sources or from efficiencies achieved within LP.

120. The Assembly was invited in WP/62 to:

- a) note ICAO activities supporting multilingualism;
- b) request the Secretary General to develop a comprehensive strategy for the promotion of multilingualism in the Organization, with a view to providing quality language services in a timely and efficient manner while strengthening linguistic capabilities both at Headquarters and in the Regional Offices; and
- c) urge Member States to actively collaborate with the ICAO Secretariat to promote multilingualism as an integral part of the Organization's programmes and activities.

121. The Delegate of Paraguay introduced WP/451 (*ICAO Policy on Language Services*) presented by her State and supported by LACAC Member States and CAACL. The paper focused on the importance of multilingualism since it was transversal to all ICAO activities. The availability of ICAO publications and documents in all of the Organization's official languages was essential given the repercussions of language barriers, which hindered access to information and acquisition of knowledge. That was fundamental considering ICAO's vision and mission, as well as its Strategic Objectives and Global Plans, which were reflected in several Assembly Resolutions. This commitment to multilingualism

was not the exclusive responsibility of Member States and was a fundamental objective of the Organization to have elements that gave a dynamic response to the needs of translation and interpretation.

122. The paper emphasized that multilingualism was a cardinal principle for ICAO's purposes given that the Organization's objective was to guarantee the safety, security and economic and environmental sustainability of civil aviation for all Member States. Maintaining a commitment to multilingualism was imperative from a political and operational point of view. ICAO dealt with the regulatory framework for international civil aviation and it was extremely important that translation of SARPs be a priority. Interpretation services were provided in ICAO's six official languages for meetings of the Assembly, the Council and the Air Navigation Commission (ANC), as well as for air navigation and air transport conferences, diplomatic conferences and symposia. The paper noted that ICAO was limiting translation services depending on the category of meetings.

123. WP/451 also underscored that although multilingualism was recognized by the Organization as a fundamental pillar, not all ICAO publications were translated. In particular, certain important documents that addressed technical, operational and planning aspects had not yet been translated, contrary to Article VII of the *ICAO Publications Regulations* (Doc 7231), which established that publications of a worldwide character such as manuals and circulars were to be issued in the Organization's six official languages. It was no less important to consider financial aspects. It was of concern that the proposed Regular Programme Budget of the Organization for the 2020-2022 triennium allocated the same level of funding for language services as had been allocated for the two previous triennia, which might pose a risk for multilingualism by affecting the ability to respond to increases in the demand for language services. Multilingualism should not be affected by budgetary constraints. It was necessary for ICAO to find mechanisms to increase the efficiency and effectiveness of language services in order to meet fundamental requirements. Above all, there should not be long delays in the availability of ICAO documentation in all the Organization's official languages.

124. The paper also highlighted that the Portuguese language was accepted and used by LACAC as a working tool in its meetings, and recalled that CAACL members had repeatedly expressed concern in their meetings, as well as in a meeting held in 2015 with the President of the Council and the Secretariat, about the problems they faced by not having the Portuguese language as one of ICAO's official languages.

125. The paper further emphasized that every effort should be made to evaluate any potential loss in quality assurance of translated documentation, taking into account the technical nature of the material and the need for Member States to have a clear understanding of ICAO documents. Given that language services were an integral part of every ICAO programme, they were essential for the fulfilment of all of the Organization's Strategic Objectives and for the correct implementation of SARPs and Procedures for Air Navigation Services (PANS) at the global level. Language services were also a fundamental requirement of ICAO's NCLB initiative and of all of the Organization's communications with Member States. It was essential that language services be provided in all of the different languages recognized by ICAO without making any exception in the various means of communication and/or dissemination of information established by the Organization. Adequate language services undoubtedly contributed greatly to the achievement of ICAO's Strategic Objectives, as well as to the support of the Organization by all States, including the Portuguese-speaking States.

126. The Assembly was invited in WP/451 to:

- a) support multilingualism in all ICAO documents, publications and work;

- b) review budget allocations and mechanisms that increase efficiency to ensure that ICAO can continue to provide effective services to all its Member States;
- c) continue to implement decisively the actions formulated in Assembly Resolutions A24-21, A37-25, A39-22 and A39-23 and follow up on the activities aimed at their fulfilment; and
- d) evaluate and analyze other considerations in this regard that are deemed necessary.

127. The Delegate of the Russian Federation presented WP/464 (*Multilingualism is one of the fundamental principles for ICAO to achieve its goals as a UN Specialized Agency*). The paper emphasized that as a significant factor in the harmonious communication between peoples multilingualism had a special meaning for the UN, as well as for ICAO as one of its Specialized Agencies. By promoting tolerance, multilingualism enabled more active and effective participation in ICAO's work. It played a fundamental role, enabling States to, inter alia, respect Article 37 of the Chicago Convention, according to which "Each Contracting State undertakes to collaborate in securing the highest practicable degree of uniformity in regulations, standards, procedures and organization in relation to aircraft, personnel, airways and auxiliary services in all matters in which such uniformity will facilitate and improve air navigation.". The paper underscored that the use of only one language did not allow ICAO to fully take advantage of the best experience of many Member States in the field of international civil aviation. It was recalled that the Preamble of the Chicago Convention stated that "*Whereas* the future development of international civil aviation can greatly help to create and preserve friendship and understanding among the nations and peoples of the world, yet its abuse can become a threat to general security;".

128. The paper also stressed that ICAO, which developed SARPs for the entire international aviation community and provided assistance to facilitate their implementation in States and regions, could not work effectively without adequately staffed language services comprising highly-professional translators and interpreters who were well-versed in the subject of aviation and its terminology and who were fully committed to the goals and objectives of the Organization.

129. The Assembly was invited in WP/464 to:

- a) request that the Council of ICAO ensure on an ongoing basis that ICAO Assembly Resolutions relating to language services are enforced;
- b) assign the Council of ICAO to conduct further analysis and reassessment of human and financial resources necessary for ensuring the timely preparation of ICAO documents related to the implementation of Standards in all ICAO working languages, and also conduct a further reassessment of the amount of outsourced work needed to achieve these goals, mindful meanwhile of the best practices of the other Specialized Agencies of the UN;
- c) assign the Council of ICAO to thoroughly observe the implementation of policies and decisions taken by it in order to improve efficiency and effectiveness in matters of language services, acknowledging that multilingualism is a fundamental principle in reaching ICAO's objectives;
- d) request that the Secretary General redouble her efforts to ensure the highest quality of interpretation and translation services in all six official languages; and
- e) encourage ICAO Member States to actively cooperate with the Secretariat in advancing multilingualism as an integral part of the programmes within the Organization's work.

Discussion

130. The Delegate of the Russian Federation expressed support for WPs/62 (Council) and WP/451 (Paraguay supported by LACAC Member States and CAACL).

131. In underscoring that multilingualism was a fundamental principle of the UN, the Delegate of France highlighted that every two years its General Assembly reviewed and adopted a Resolution thereon, the most recent one being UNGA Resolution A/RES/73/346 adopted on 16 September 2019. Reiterating that multilingualism was likewise a fundamental principle of ICAO, he emphasized that there was a very strong link between multilingualism and efficiency and transparency in the Organization. The Delegate of France underscored that multilingualism was important not only for ICAO's work but also for the entire aviation sector and the international aviation community as it served to enhance aviation safety and air navigation capacity and efficiency, inter alia. He stressed the need for ICAO's NCLB initiative to be implemented in all of the Organization's official languages and for multilingualism to go hand-in-hand with multilateralism. In further emphasizing that multilingualism should not be viewed solely as an expense but also as a strength which lay at the core of ICAO's founding principle to bring the nations and peoples of the world closer together through the development of international civil aviation, the Delegate of France expressed support for WP/464 (Russian Federation).

132. Underscoring the need to be more active and ambitious in fostering multilingualism in ICAO, the Delegate of France also voiced support for WP/62 (Council) and the proposed development by the Secretary General of a comprehensive strategy for the promotion of multilingualism in the Organization which could be presented to the Council for adoption. He emphasized that such a strategy would set the course for ICAO and enable it to mobilize the requisite resources. In reiterating support for Assembly Resolution A37-25: *ICAO Policy on the language services*, the Delegate of France highlighted that multilingualism was a means to respect the diversity of languages and cultures and to promote international understanding through dialogue.

133. In concluding his remarks, the Delegate of France informed the Executive Committee that former French President Jacques Chirac (1995-2007) had regrettably passed away earlier that day, 26 September 2019.

134. On behalf of the Executive Committee and the Assembly as a whole, the Chairperson extended deepest condolences to the Delegation of France, as well as to Government and people of France.

135. In endorsing WP/62 (Council), the Delegate of China reiterated that multilingualism was essential to the achievement of ICAO's objectives. While expressing appreciation for the excellent language services provided over the course of the last three years, he encouraged the Secretary General to redouble her efforts to ensure the highest quality of language services as called for in WP/464 (Russian Federation), which paper he fully supported.

136. Referring to WP/451 (Paraguay supported by LACAC Member States and CAACL), of which his State was a co-sponsor, the Delegate of Portugal reiterated the importance of multilingualism at ICAO given the complexity of the international aviation system, in particular, the high degree of specificity and technicality of aviation regulations. He underscored that multilingualism enabled comprehension of ICAO's SARPs, related manuals and other guidance material, which was fundamental for their effective implementation, as well as for the effective implementation of ICAO's Global Plans. Multilingualism was also a key pillar for the effective implementation of the Organization's NCLB initiative. The Delegate of Portugal looked forward to the Assembly recognizing the need to include Portuguese among ICAO's working languages.

137. The Delegate of Venezuela (Bolivarian Republic of) expressed support for WP/451, as well as for WP/464 (Russian Federation). In emphasizing the importance of the effective dissemination of ICAO publications and documents in all of ICAO's official languages, he recalled the commitments made regarding multilingualism and language services in Assembly Resolutions A24-21, A37-25, A39-22 and A39-23. The Delegate of Venezuela (Bolivarian Republic of) underscored the need to take measures to further strengthen language services in ICAO as they had a direct impact on SARPs implementation in States and regions and thus on the success of the NCLB initiative.

138. In recognizing the importance of multilingualism as an essential enabler of multilateralism, the Delegate of Cuba endorsed the comments made by the Delegate of France in that regard. She welcomed Brazil's generous provision of Portuguese interpretation services for Plenary meetings of the Assembly, and voiced support for WPs/62 (Council), /451 (Paraguay supported by LACAC Member States and CAACL), and /464 (Russian Federation). Recalling that Cuba had been a Council Member State for the 2016-2019 triennium, the Delegate of Cuba noted that budgetary constraints and the lack of an increase in States' assessed contributions had directly impacted multilingualism at ICAO. In agreeing with the co-sponsors of WP/451 that there should not be long delays in the availability of ICAO documentation in all of the Organization's official languages, she indicated that in her experience guidance material was not published simultaneously in all six languages. While aware of the Secretariat's efforts to ensure that that did not have a negative impact on SARPs and PANS implementation, the Delegate of Cuba affirmed that guidance material was vitally important to ensuring their effective implementation by States. However, guidance material was unfortunately not accorded the same priority in the Organization's Regular Programme Budget as other ICAO publications and documents. She stressed that delays in the availability of guidance material in all ICAO official languages resulted in delays in States' implementation of SARPs and PANS, which in turn was reflected in the results of States' Universal Safety Oversight Audit Programme (USOAP) and Universal Security Audit Programme (USAP) audits. The Delegate of Cuba therefore suggested that consideration be given to including in future triennial Budgets a specific allocation for the translation of guidance material into all of the Organization's official languages.

139. Recalling the Executive Committee's earlier discussion on the importance of ICAO's NCLB initiative in ensuring that all States could effectively implement ICAO SARPs, the Delegate of Nicaragua reiterated that multilingualism was an essential factor in achieving that goal. He emphasized that it was crucial that States had access to the relevant ICAO publications and documents in all of the Organization's official languages to enable them to comply with ICAO SARPs as they had committed to do when they became party to the Chicago Convention. The Delegate of Nicaragua therefore agreed with the Delegate of France and others that multilingualism, in particular the translation of ICAO publications and documents, should not be viewed solely as an expense but also as a strength. He thus strongly supported WPs/451 (Paraguay supported by LACAC Member States and CAACL) and /464 (Russian Federation).

140. Underscoring that multilingualism enabled effective communications between ICAO and its Member States, especially on technical aviation matters, the Delegate of Chile concurred that it should be considered not only as a cost but also as an investment. He endorsed all three papers which had been presented.

141. The Delegate of Peru noted that WP/451 (Paraguay supported by LACAC Member States and CAACL) had highlighted two important issues: the need for publications of a worldwide character such as manuals and circulars to be issued in the Organization's six official languages; and the need to give the opportunity to lusophone countries to use Portuguese as an official language of ICAO. He expressed strong support for that paper, as well as for WP/62 (Council) and WP/464 (Russian Federation).

142. In also voicing strong support for WP/62, the Delegate of Canada reiterated that multilingualism contributed to achieving ICAO's objectives, as well as to the successful implementation of its NCLB initiative. He emphasized that multilingualism was essential to enable participation by all States in ICAO's work and to ensure that full benefit was derived from all available forms of expertise. The Delegate of Canada underscored that holding technical aviation-related discussions in the official languages of the Organization ensured that ICAO's objectives were duly taken into account, whether in the areas of aviation safety, security or the environment. He recalled, in this context, the success of the ACT-CORSIA Programme. The Delegate of Canada stressed that ensuring access to all ICAO technical documentation in the Organization's six official languages must remain a key concern in order to enable greater harmonization of SARPs implementation worldwide, which in turn would enhance aviation safety, ICAO's fundamental objective.

143. The Delegates of Cabo Verde, Costa Rica, Senegal, Mexico, Spain, Uruguay, Colombia, Argentina, Algeria, Monaco, Mozambique, Bangladesh, Papua New Guinea, Jamaica, Equatorial Guinea, Lebanon, Egypt, Honduras and Timor-Leste endorsed WP/62 (Council), as well as WP/451 (Paraguay supported by LACAC Member States and CAACL) and /464 (Russian Federation), for the reasons cited by previous speakers. In so doing, the Delegate of Cabo Verde emphasized that multilingualism served to unite the nations and peoples of the world as called for in the Preamble of the Chicago Convention as it enabled multilateralism, while also promoting and protecting diversity of languages and cultures globally.

144. The Delegate of Costa Rica expressed support for the interventions made by the Delegates of France and Nicaragua.

145. The Delegate of Senegal underscored that multilingualism, a fundamental principle of ICAO, enabled equal access to the Organization's crucial aviation information by all States and thus enabled them to comply with its SARPs in a timely manner.

146. The Delegate of Mexico highlighted the need to reflect the contents of WP/62 (Council) in the Executive Committee's Report to the Plenary on Agenda Item 18, together with the comments made thereon by Delegates. He suggested that the Report also indicate that the emphasis of future Budget discussions should not be on reducing language services, which had been the trend in previous triennia, but on striking a better balance for a more efficient utilization of the resources allocated therefor. The Delegate of Mexico affirmed that language services were extremely important for ensuring a common understanding of the discussions which took place in ICAO's various bodies and of the Organization's SARPs, policies, plans and programmes.

147. In agreeing that language services should not be seen as a cost reduction item in future Budget discussions, the Delegate of Spain underscored that although the draft Budget proposal for 2020-2022 provided for the same level of language services as in the current triennium, there was always the risk that budgetary allocations for language services could be decreased in future. He reiterated the importance of the development by the Secretary General of a comprehensive strategy for the promotion of multilingualism in the Organization, with a view to providing quality language services in a timely and efficient manner as proposed in WP/62.

148. The Delegates of Uruguay and Argentina reiterated that multilingualism was a core value of the UN system, in particular, of ICAO, and was an essential enabler of multilateralism. The Delegates of Monaco, Jamaica and Equatorial Guinea endorsed the intervention by the Delegate of France, especially with regard to the development of a comprehensive strategy to promote multilingualism in ICAO. The Delegate of Equatorial Guinea stressed the need to strengthen linguistic capabilities at the Regional Offices as they served as a direct link between States in their respective regions and ICAO Headquarters.

149. With regard to WP/451 (Paraguay supported by LACAC Member States and CAACL), the Delegate of Mozambique highlighted the importance of the timely availability of multilingual ICAO publications and documents relating to aviation safety and security to lusophone countries whose airports were experiencing a growth in air traffic. He endorsed the interventions by previous speakers, in particular, the comments made by the Delegate of Portugal on multilingualism and recognition by the Assembly of the need to include Portuguese among ICAO's working languages.

150. In underscoring that Portuguese was the sixth world language in terms of the number of speakers, the Delegate of Bangladesh voiced support for its inclusion among the working languages of the Organization. He affirmed that the dissemination of ICAO publications and documents in the Portuguese language would help promote aviation safety and security.

151. The Delegate of Egypt took this opportunity to express his deepest gratitude to ICAO for the language services provided by its interpreters and translators who worked behind the scenes in order to help Delegates overcome language barriers, which constituted one of the major obstacles to effective communication and rapprochement between nations and peoples of the world.

152. DD/LP noted that most of the points raised by Delegates were captured in WP/62 presented by the Council. With regard to WP/451 (Paraguay supported by LACAC Member States and CAACL), he underscored that ICAO was committed to the parity and the quality of services in all six working languages, to give all Member States a fair and equal opportunity to consult the documents produced by ICAO and to participate meaningfully in the Organization's meetings. While acknowledging the request made in the paper and by several States during the discussion that Portuguese be added as a working language to support ICAO's work and communications with lusophone countries, DD/LP highlighted the difficulty of addressing it in a context of budgetary restraint. Stressing the constant efforts to optimize human, material and financial resources, he emphasized that other cooperation mechanisms could be explored to sponsor the translation of ICAO publications and the interpretation of ICAO meetings on a cost-recovery basis. DD/LP underscored that voluntary contributions from Member States in the form of secondments of language specialists and support for special projects were also welcome.

153. The Secretary General reiterated that multilingualism was a fundamental principle to achieve ICAO's objectives and a key priority. She affirmed that the Secretariat fully implemented the principle of multilingualism and would continue to enhance its implementation throughout the Organization. The Secretary General underscored that the modernization of the Secretariat's business processes and the use of innovative technologies had resulted in the enhanced management, efficiency and effectiveness of language services and had thus enabled the Secretariat to provide better language services with reduced resources during the current triennium. In commending the contributions made by LP staff members to that endeavour, she assured the Executive Committee that the Secretariat was committed to providing quality services to ICAO Member States in all working languages.

154. In summarizing the discussion, the Chairperson indicated that the Executive Committee noted WP/62 (Council), as well as WP/451 (Paraguay supported by LACAC Member States and CAACL) and WP/464 (Russian Federation). It emphasized that multilingualism was a fundamental principle to achieve the goals of ICAO in accordance with Assembly Resolution A37-25. Language services were an integral part of every ICAO programme and were essential to the fulfilment of the Strategic Objectives of the Organization and to the implementation of SARPs and PANS. Furthermore, language services were a key requirement of the NCLB initiative and of ICAO's communications with Member States.

155. The Executive Committee also noted that the ICAO Secretariat had fully endorsed multilingualism as a principal objective of the Organization, and that a number of initiatives had been

implemented to improve efficiency in the delivery of language services. New initiatives foreseen in the next triennium included the development of a comprehensive strategy for the promotion of multilingualism in the Organization with a view to providing quality language services in a timely and efficient manner while strengthening linguistic capabilities both at Headquarters and in Regional Offices. The strategy would also encourage the use of innovative technologies and UN best practices to manage workload and further enhance quality and efficiency.

156. The Executive Committee further noted that, to ensure multilingualism, the draft Budget proposal provided for the same level of language services as in the current triennium, provided that the established capacity was respected, and that the efficiency measures endorsed by Council during its 208th Session for the current Budget (C-DEC 208/5, May 2016) would continue to be applied in 2020-2022. However, some States had indicated that the emphasis in future Budget discussions should not be on reducing language services, but on striking a better balance for a more efficient utilization of the resources allocated for language services.

157. In light of the discussions, the Executive Committee recommended that the Assembly, recognizing multilingualism as a fundamental principle to achieve the goals of ICAO:

- a) request the Council to closely monitor the implementation of the policies and decisions it has adopted to enhance efficiency and effectiveness on language service matters;
- b) request the Secretary General to develop a comprehensive strategy for the promotion of multilingualism in the Organization, with a view to providing quality language services in a timely and efficient manner while strengthening linguistic capabilities both at Headquarters and in Regional Offices; and
- c) urge Member States to actively collaborate with the ICAO Secretariat to promote multilingualism as an integral part of the Organization's programmes and activities.

158. The meeting adjourned at 1200 hours.

Minutes of the Third Meeting
(Thursday, 26 September 2019 at 1400 hours)

SUBJECTS DISCUSSED

1. Agenda Item 12: Aviation Security — Policy

Strategic priorities for the next triennium

- *Outcome of the Second High-level Conference on Aviation Security (HLCAS/2)*
- Paper presented by the United States

Global Aviation Security Plan (GASeP)

- *Implementation of the Global Aviation Security Plan (GASeP)*
- Paper presented by Brazil and Argentina, with the support of Latin American Civil Aviation Commission (LACAC) Member States
- Paper presented by China
- Paper presented by Finland on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC)
- Paper presented by the Russian Federation
- Paper presented by Venezuela (Bolivarian Republic of)
- Information paper presented by the Dominican Republic
- Information paper presented by the Interstate Aviation Committee (IAC)

Regulatory policy

- Paper presented by Canada, on behalf of Australia, Jamaica, Japan, New Zealand, Singapore, the United Arab Emirates, the United States, Global Express Association (GEA), International Air Transport Association (IATA), International Federation of Air Line Pilots' Associations (IFALPA)
- Paper presented by Qatar
- Paper presented by Airports Council International (ACI)
- Information paper presented by India
- Information paper presented by Iran (Islamic Republic of)

Cybersecurity

Cybersecurity Strategy and Assembly Resolution for adoption

- *ICAO Cybersecurity Strategy*
- Paper presented by the United Arab Emirates
- Information paper presented by IATA

Governance structure, implementation and guidance and other updates to the Assembly

- Paper presented by France
- Paper presented by the United States
- Paper presented by ACI
- Paper presented by the Civil Air Navigation Services Organisation (CANSO)
- Paper presented by the International Coordinating Council of Aerospace Industries Associations (ICCAIA)
- Papers presented by Venezuela (Bolivarian Republic of)
- Information paper presented by Venezuela (Bolivarian Republic of)
- Information paper presented by Qatar

Collaboration and cooperation

- Paper presented by Australia, the United Arab Emirates and the United Kingdom
- Paper presented by the United Arab Emirates
- Paper presented by South Africa

2. Any other business

SUMMARY OF DISCUSSIONS

Agenda Item 12: Aviation Security — Policy

1. The Executive Committee commenced consideration of Agenda Item 12. Discussion focussed on the issues of strategic priorities for the next triennium, the Global Aviation Security Plan (GASeP), regulatory policy, cybersecurity, and collaboration and cooperation, which were documented in three main working papers presented by the Council, WP/26 [*Outcome of the Second High-level Conference on Aviation Security (HLCAS/2)*], WP/25 [*Implementation of the Global Aviation Security Plan (GASeP)*], and WP/28 [*ICAO Cybersecurity Strategy*], and related papers presented by States and international organizations.

Strategic priorities for the next triennium

2. The Director, Air Transport Bureau (D/ATB) introduced WP/26, in which the Council reported on actions – those completed and those in progress – as a result of the recommendations made by the Second High-level Conference on Aviation Security (HLCAS/2) (Montréal, 29-30 November 2018). In highlighting that 21 recommendations had been adopted by the Conference, approved by the Council, and were currently being implemented, he noted that the Appendix to the paper provided a status update as at June 2019. D/ATB indicated that where no timeframe for a particular HLCAS/2 recommendation was specified in the Appendix the item was being carried out as part of ICAO's ongoing work. The Assembly was invited in WP/26 to note the outcomes of HLCAS/2 and endorse the current and future actions to implement the Conference recommendations as listed in the Appendix thereto.

3. The Delegate of the United States presented WP/286 [*Continued implementation of United Nations Security Council Resolution 2309 (2016)*], which recognized the progress made in global aviation security since the 39th Session of the Assembly (A39) and the adoption of UNSCR 2309 but suggested that the present Assembly set an even more ambitious aviation security agenda for the next triennium to

effectively counter emerging and evolving threats to international civil aviation. In particular, while the last triennium had set the framework for a stronger global aviation security system through the development of the GAsEP and related tools, the focus now needed to be on concrete action, effective implementation of aviation security programmes and counter-measures, monitoring, and continuous improvement.

4. The Assembly was invited in WP/286 to:

- a) acknowledge progress in implementing UNSCR 2309 (2016);
- b) urge the Council to continue work on how to better resource and prioritize the aviation security portfolio of the Organization, including performance of a feasibility study examining the potential formation of an Aviation Security and Facilitation Bureau, as called for in the conclusions of HLCAS/2;
- c) direct the appropriate bodies [such as the Aviation Security Panel (AVSECP)] to undertake work programmes focused on the tenets of UNSCR 2309, including risk management (including guidance on risk-based policy and operation decision-making), technology and innovative techniques, and quality control and oversight; and
- d) direct appropriate bodies (such as the AVSECP) to examine the process by which security Standards and supporting tools are developed and adopted, including how policy is scrutinized, the desired security outcomes are clearly articulated, and the impacts assessed.

5. The Delegate of the United States underscored that all of the above-mentioned actions were within the scope of UNSCR 2309, as well as ICAO's mandate. Furthermore, they all encompassed work programmes that ICAO had already acknowledged as being advantageous to its Member States. He emphasized that the proposed actions were focused on ICAO's evolution into a more agile, expedient and outcome-focused organization that could provide States with more than aviation security roadmaps, plans and declarations, as it was time for ICAO to improve its governance in the execution of its essential aviation security programmes. It was necessary for ICAO to lead by example in the way it prioritized aviation security so that Member States could emulate the Organization, as well as to demonstrate that it could manage its aviation security resources for the maximum benefit of Member States, which would enable new calls by the Secretary General for additional resources to be considered without scepticism.

Discussion

6. Expressing support for WP/286 (United States), the Delegate of Australia underscored that the evolving threat environment and the rising number of air travellers meant that aviation security and facilitation issues would require increasing attention within ICAO. Australia acknowledged the work that had already been done to raise their profile, as well as the global commitment to aviation security. It commended ICAO on the action it had taken to facilitate that, including the development and promotion of the GAsEP, and emphasized that fundamental to continuing that good work was ensuring that those responsible for taking forward aviation security matters in ICAO could engage with equivalent influence and authority to those managing aviation safety issues.

7. In endorsing WP/26 (Council), the Delegate of Portugal voiced support for the key outcomes of HLCAS/2, in particular, the strengthening of several security measures, the revision of the Universal Security Audit Programme - Continuous Monitoring Approach (USAP-CMA), the effective implementation of the GAsEP, better regional cooperation and coordination, and enhancing the security culture. He proposed that the Assembly encourage ICAO to implement those HLCAS/2 recommendations on which follow-up action had not yet been taken. The Delegate of Portugal also endorsed the actions proposed in WP/286 (United States) which would give better visibility and importance to aviation security

at ICAO, such as through the formation of an Aviation Security and Facilitation Bureau as recommended by HLCAS/2. In that context, and in support of the GAsEP and UNSCR 2309, he advocated adopting a new Declaration on Aviation Security, the basis for which could be information paper WP/528 Revision no. 1 (*Declaration on Aviation Security*) presented by Lebanon, Mexico, Nigeria, Qatar, Saudi Arabia, Singapore, the United Arab Emirates and by Finland on behalf of the EU and its Member States and the other Member States of ECAC.

8. The Delegates of Togo, the Russian Federation, Argentina and South Africa also expressed support for both papers. In so doing, the Delegate of Togo enquired as to the procedure for requesting assistance for implementation of the GAsEP.

9. The Delegate of the Russian Federation commended the Council and the Secretariat for the current and future follow-up actions to implement the HLCAS/2 recommendations as reflected in WP/26. With reference to WP/286, he proposed that the AVSECP be tasked with studying the technical requirements of an Aviation Security and Facilitation Bureau to facilitate the Council's deliberations and decision-making.

10. The Delegate of Argentina reiterated the need to consider how to better resource and prioritize ICAO's aviation security portfolio and to examine the potential formation of an Aviation Security and Facilitation Bureau.

11. The Delegate of South Africa noted, with pleasure, the follow-up actions to implement the HLCAS/2 recommendations as outlined in WP/26 and urged ICAO to continue its work in that regard. Underscoring that the elevation of aviation security within ICAO referred to in both papers was an important task, he agreed with the approach taken by the Council, which following consideration of a report on the study of an Aviation Security and Facilitation Bureau had decided, on 21 June 2019, to establish a working group to examine the overall structure of the Secretariat with a view to determining options for the restructure of the Secretariat, taking into account aspects related to aviation security and facilitation, as well as technical cooperation. The Delegate of South Africa recognized the expansive nature of that work and looked forward to receiving the final report thereon in due course.

12. In endorsing WP/26 (Council), the Delegate of Brazil noted that all States were working together to enhance aviation security worldwide.

13. The Delegate of the United Kingdom voiced strong support for WP/286 (United States), welcoming the progress made while agreeing on the need to maintain momentum and further enhance aviation security. He also agreed with the principle that aviation security should be as important as aviation safety within the Organization and that the structure of the ICAO Secretariat might need to reflect the evolution of ICAO's tasks and priorities over time. Emphasizing that the HLCAS/2 recommendation to establish an Aviation Security and Facilitation Bureau was very constructive, the Delegate of the United Kingdom urged the Council to complete its ongoing review of the structure of the Secretariat.

14. In also expressing full support for WP/286, the Delegate of Canada acknowledged the progress being made in implementing UNSCR 2309 and supported continuation of the necessary work in respect of the potential formation of an Aviation Security and Facilitation Bureau. Furthermore, he supported focussing on the tenets of UNSCR 2309, particularly risk management and the review of the processes, tools and policy development to that effect.

15. Highlighting that aviation security was one of the three main pillars of ICAO's work programme, the Delegate of China endorsed WP/26 and the current and future follow-up actions to implement the highly important HLCAS/2 recommendations to strengthen aviation security. Recalling that

during the current triennium the Organization had held three annual Global Aviation Security Symposia in addition to the HLCAS/2, he expressed support for the aviation security-related work of the Council and the Secretariat.

16. In endorsing WP/286 (United States), the Delegate of Guyana emphasized that aviation security was extremely important, particularly as the volume of air traffic was expected to double within the next fifteen years, and underscored the consequent need to look ahead.

17. In summarizing the discussion, the Chairperson indicated that the Executive Committee noted with satisfaction the high level of State/industry participation in, and the outcomes of, HLCAS/2. Delegates also expressed appreciation to the ICAO Secretariat for the successful convening of the event. In reviewing the Conference outcomes and follow-up actions (WP/26), the Executive Committee endorsed all HLCAS/2 recommendations and supported the actions taken by the ICAO Council and the Secretariat. However, the Executive Committee also encouraged continued attention to items that were still in progress, such as: the need to review the current cybersecurity coordinating mechanism, prioritization of aviation security within ICAO, and the potential formation of an Aviation Security and Facilitation Bureau.

18. Having noted with satisfaction that much work had been completed on the key points of UNSCR 2309 by the Secretariat, the Executive Committee underscored the importance of the Council ensuring that appropriate bodies (such as the AVSECP) continue to undertake work focused on the tenets of UNSCR 2309. Those included areas such as: risk management and related guidance on risk-based policy and operational decision-making; technology and innovative techniques; and quality control and oversight. Furthermore, Delegates expressed the need to examine the process by which security Standards and supporting tools were developed and adopted, including how policy was scrutinized, the desired security outcomes articulated, and the impacts assessed.

Global Aviation Security Plan (GASeP)

19. D/ATB introduced WP/25 [*Implementation of the Global Aviation Security Plan (GASeP)*], in which the Council provided an overview of the extensive activity undertaken to develop and implement the GASeP priority actions and tasks.

20. The Assembly was invited in WP/25 to:

- a) acknowledge the extensive efforts undertaken to date and that are currently underway to accomplish GASeP priority actions and tasks;
- b) urge States to take action to improve the effective implementation of Annex 17 – *Security* in order to achieve the targets identified in the GASeP;
- c) request the Council to implement a triennial revision schedule for the GASeP; and
- d) request the Council to incorporate in the next edition of the GASeP actions and tasks that relate to certain Annex 9 – *Facilitation* components that also support both aviation security and border security objectives, including Advance Passenger Information (API) and Passenger Name Record (PNR).

21. The Delegate of Brazil then introduced WP/285 (*GASeP – The benefits of a global agenda and the need for continuous monitoring of its achievements*), which was presented by his State and Argentina, with the support of LACAC Member States. The paper noted that the creation of the GASeP represented an important step forward in security and facilitation, and that the GASeP Roadmap had brought more objectivity to the Plan, being a remarkable evolution from the ICAO Comprehensive Aviation Security Strategy (ICASS). It also highlighted that the GASeP Roadmap was now in its implementation phase, with some tasks already completed. To further foster implementation, the paper proposed the

creation of a methodology to notify stakeholders about new achievements, promote an exchange of knowledge and experience, and provide updates on effective implementation in a dynamic way using USAP-CMA results to quantify the progress of the GAsEP. Considering that USAP-CMA audits might have a time lag between activities, the paper suggested that ICAO consider States' evidence as provided in their Corrective Action Plans (CAPs) to update the status of effective implementation in a continuous way.

22. The Assembly was invited in WP/285 to:

- a) note the experience of Brazil with the GAsEP in the creation of a technical collaborative group to coordinate the implementation of the Plan and develop joint actions and projects with the industry and all relevant aviation stakeholders;
- b) recognize the importance of the GAsEP for the enhancement of aviation security around the world, as an international agenda for the sector;
- c) suggest to ICAO to discuss the possible gains and the viability of creating a platform to follow on the GAsEP Roadmap achievements; and
- d) request ICAO to evaluate the possibility of updating some USAP-CMA results (effective implementation) based on the States' submission of documented evidence as part of their CAPs.

23. The Delegate of China presented WP/373 (*Promoting the development of national plans for GAsEP implementation and the sharing of best practices*) which outlined his State's experience in implementing the GAsEP and the Asia Pacific (APAC) Regional GAsEP Roadmap. He underscored that although risks to aviation security were on the rise since 2016, resources to address them were increasingly limited. In recent years, the Civil Aviation Administration of China (CAAC) had worked to enhance security and cooperation in conjunction with the Government of China and ICAO. That had involved investing in security enhancements and making proactive contributions to take pragmatic action, including formulation of a national implementation plan with five priorities involving regulatory bodies, industries, enterprises, associations and academia. The paper called for the ICAO Secretariat and relevant platforms to contribute to enhancing cooperation at the international level to take a proactive approach, including publication of a national AVSEC plan template.

24. The Assembly was invited in WP/373 to:

- a) encourage Member States to collaborate with the Secretariat in updating expeditiously the GAsEP and regional roadmaps;
- b) encourage Member States to develop and update their national aviation security plans in a more proactive and timely manner under the guidance of GAsEP and regional roadmaps;
- c) encourage Member States to cooperate with the Secretariat in undertaking more best practices sharing activities regarding the development and implementation of GAsEP, regional roadmaps and national aviation security plans; and
- d) encourage Member States to cooperate with the Secretariat in developing and publishing, on the basis of sharing the best practices on national aviation security plans, multiple types of national aviation security plan templates tailored for different national situations for Member States' reference.

25. The Delegate of Turkey introduced WP/315 (*Fostering the implementation of the GAsEP*), which had been presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC. The paper highlighted the crucial importance of maintaining momentum to build on and improve the global response to aviation security threats by implementing the GAsEP in light of UNSCR 2309. It also underscored that success in meeting the targets set by the ICAO Council for the

effective implementation of Annex 17 Standards would be dependent not only on improved performance by individual States but also on the ability of ICAO to continuously monitor progress in a harmonized manner. To that end, the Council's proposal to reform the USAP-CMA set out in WP/32 [*Report on the review of the scope and methodology of the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA)*] (to be considered under Agenda Item 13 at EX/4) was very welcome.

26. The paper emphasized that it was important that States supported not only each other in the implementation of the GAsEP but also ICAO. That meant effective use of the resources available in ICAO's Regular Programme Budget for the 2020-2022 triennium, as well as the active participation of States and aviation entities, such as regional and sub-regional organizations and industry stakeholders, in providing expertise and material and non-material support. EU and ECAC Member States had taken numerous steps and initiatives to strengthen aviation security regimes and to actively cooperate with all ICAO Member States, international partners and the ICAO Secretariat to foster the effective implementation of Annex 17 Standards, in support of GAsEP and ICAO's *No Country Left Behind* (NCLB) initiative. Examples included the EU-funded CASE project and ECAC's capacity building programme, as well as the wide-range of capacity building activities undertaken by individual European States and organizations.

27. The Assembly was invited in WP/315 to:

- a) welcome the expeditious launch of the GAsEP following the adoption by the 39th Session of the ICAO Assembly of Resolution A39-18;
- b) reaffirm its commitment to achievement of the global targets for effective implementation as set out in the GAsEP Roadmap;
- c) request the ICAO Secretariat to establish a progress reporting mechanism that encourages States to maintain momentum in the implementation of the agreed priority actions, measures and tasks set out in the GAsEP and to demonstrate the progress made towards GAsEP targets;
- d) recognize the work conducted by the ICAO Secretariat in consultation with Member States to review the scope and methodology of the USAP-CMA and urge the ICAO Secretariat to implement the reforms to the USAP-CMA set out in WP/32 as a matter of priority;
- e) urge the ICAO Secretariat to make resources available to carry out all of the audits required to effectively measure implementation against the globally-agreed targets in the GAsEP Roadmap and encourage States to support ICAO in its aviation security audit work through the provision of additional resources;
- f) urge the ICAO Secretariat to implement the recommendations of HLCAS/2, in particular in building a comprehensive overview of capacity building activities and in conducting high-level actions to trigger political commitment from beneficiary States, as noted in paragraph 4.1 of WP/315;
- g) encourage States to support each other in the implementation of the GAsEP; and
- h) recognize the European region's efforts to implement the GAsEP and its support to other regions and States in effective GAsEP implementation.

28. The Delegate of the Russian Federation presented WP/344 (*Elevating the culture of aviation security in the ICAO USAP-CMA and Global Aviation Security Plan*), which highlighted the need to enhance the aviation security culture and the role of the USAP-CMA in ensuring implementation of the GAsEP. It underscored that effective monitoring and oversight was the best way to ensure compliance with ICAO Standards, and proposed that a conference be held in order to exchange information and new technologies in the field of oversight and dealing with unruly passengers.

29. The Assembly was invited in WP/344 to:
- a) take under advisement the information provided in the paper;
 - b) agree with the relevance of the question of improving legal mechanisms to elevate the effectiveness of oversight activities by States for unruly passengers who commit acts of unlawful interference against civil aviation that threaten aviation security and flight safety;
 - c) encourage States and interested organizations to hold a conference to exchange experiences and new technologies for practical and legal actions vis-a-vis unruly passengers and to elevate the passenger security culture;
 - d) arrange for the drafting of methodological recommendations about the sequence of information exchange about unruly passengers facing administrative or criminal action in ICAO Member States; and
 - e) consider the possibility of including in USAP-CMA the issue of actions of a State to prevent offences and to elevate the security culture.

30. The Delegate of Venezuela (Bolivarian Republic of) presented WP/357 [*Proposal for monitoring the implementation of the ICAO Global Aviation Security Plan (GASeP)*], which highlighted the Regional Roadmap for the North American, Central American and the Caribbean (NACC) and South American (SAM) Regions to address challenges faced in GASeP implementation, and drew attention to a regionally-developed assessment system to determine the level of GASeP implementation.

31. The Assembly was invited in WP/357 to:
- a) take into account the regional experience (NACC and SAM) of ways and means of tackling challenges relating to the implementation of the GASeP; and
 - b) consider the establishment worldwide of mechanisms that provide tools to assist States in designing self-evaluation and needs identification processes to improve GASeP implementation, which is monitored by ICAO Regional Offices, and support for States in implementing ICAO's GASeP objectives and Annex 17 – *Security*.

32. It was noted that the following information papers had also been submitted: WP/400 (*Avances de la República Dominicana en materia de seguridad de la aviación civil*) presented by the Dominican Republic; and WP/386 (*On the course of the implementation of the provisions of the ICAO GASeP in the Member States of the Agreement on Civil Aviation and Use of Airspace*) presented by IAC.

Discussion

33. The Delegates of Brazil, Nepal, Indonesia, Peru, Japan and Oman expressed support for WP/25 and effective implementation of the GASeP, an important ICAO initiative to strengthen aviation security worldwide. In so doing, the Delegate of Nepal underscored that the commitment of ICAO, States, industry and other stakeholders was required for the effective implementation of the GASeP. He urged ICAO to provide implementation assistance to those States in need thereof to enable them to meet the GASeP's targets.

34. Affirming the importance of ICAO, States, industry and other stakeholders working collaboratively to effectively implement the GASeP, the Delegate of Indonesia underscored that that would enable not only the achievement of the GASeP's targets but also an improvement in the USAP-CMA effective implementation status at the global level.

35. The Delegate of Peru reiterated the need for internal State mechanisms for measuring progress in GAsEP implementation.

36. The Delegate of Japan noted that his State continued to support the revision of the GAsEP, a “living document”, as necessary and appropriate.

37. Indicating that his State likewise supported the revision of the GAsEP, the Delegate of Oman underscored that any changes made to the Global Plan should be reflected in Annex 17 – *Security* and Annex 9 – *Facilitation*, as appropriate.

38. Referring to WP/285 (Brazil and Argentina with the support of LACAC Member States), the Delegate of Portugal underscored the importance of monitoring the implementation of the GAsEP Roadmap and encouraged ICAO to regularly report thereon to Member States. Recognizing that the GAsEP enhanced aviation security worldwide, he reiterated its importance as an international agenda for the sector. The Delegate of Portugal suggested that action paragraph c), in which ICAO was requested to evaluate the possibility of updating some USAP-CMA results (effective implementation) based on the States’ submission of documented evidence as part of their CAPs, be referred to the Secretariat Study Group on the USAP-CMA for further consideration.

39. In endorsing WP/315 (Finland on behalf of EU Member States and other Member States of ECAC), the Delegate of Greece emphasized that in the world of ever-evolving threats it was essential that States, international organizations and all entities involved remained fully committed to the achievement of the global targets as set out in the GAsEP Roadmap in order to enhance the effectiveness of global aviation security and address evolving threats. She underscored that ICAO’s role in ensuring effective implementation in that regard was crucial, and that the establishment of mechanisms to measure progress towards GAsEP targets, as well as an updated risk-based USAP-CMA Programme which addressed serious deficiencies in a timely manner, would provide better clarity and confidence in the global aviation security system. The Delegate of Greece stressed that to meet increased needs for proper monitoring, more resources were needed for conducting USAP-CMA audits, both through the Organization’s Regular Programme Budget for the 2020-2022 triennium and through States’ voluntary contributions.

40. The Delegate of Greece confirmed that European States were in full support of the GAsEP’s aims and had taken specific actions, which were fully consistent with its priorities through amendments to European legislation, as well as through the development of the ECAC work programme for the next triennium. Furthermore, European States and organizations were contributing to the required international cooperation and support by providing capacity building activities in States in the region and in other partner States. She underscored that the actions proposed in WP/315 would contribute to attaining the GAsEP’s objectives and enhancing global aviation security.

41. In also supporting WP/315, the Delegate of Italy affirmed that the implementation and the strengthening of the GAsEP represented a major step forward for the world to build on and improve the global response to aviation security threats. Recognizing the importance of achieving the global targets for effective implementation as set out in the GAsEP Roadmap, he underscored that the achievement of those goals depended both on the commitment of individual States and the capacity of ICAO to continue to monitor the ongoing progress by all Member States. The Delegate of Italy thus appreciated the work done by the Secretariat and the Secretariat Study Group on the USAP-CMA, in consultation with Member States, in comprehensively reviewing the scope and methodology of the USAP-CMA as outlined in WP/32 (to be considered under Agenda Item 13 at EX/4), and recommended that the Secretariat implement the related Council-approved recommendations to streamline the Programme as a matter of priority. He urged the

Secretariat to devote available resources to carry out all of the USAP-CMA audits required to effectively measure implementation against the globally-agreed targets in the GAsEP Roadmap.

42. The Delegate of Singapore expressed support for the GAsEP and its objectives as it provided a group platform and structured plan for States to identify key security gaps and priority areas that needed to be enhanced. As aviation security was the responsibility of all stakeholders, he supported the thrust of all of the six papers presented. The Delegate of Singapore strongly encouraged regulators, industry and other stakeholders to work closely together to develop practical and sensible approaches and measures to address aviation security vulnerabilities and concerns in order to enhance the level of aviation security in line with the intent of the GAsEP. He also encouraged training and capacity building efforts to help those in need of assistance to enable Annex 17 Standards to be effectively implemented globally and the GAsEP's key priorities to be achieved worldwide. The Delegate of Singapore also supported the work of various States to raise awareness of the wider importance of aviation security, developing national plans, and sharing best practices, including the work outlined in the papers presented.

43. Endorsing WP/315 (Finland on behalf of the EU and its Member States and the other Member States of ECAC), the Delegate of Ireland highlighted the approval of the GAsEP in 2017 as a major step forward in enhancing ICAO's efforts to build on and improve the global response to aviation security threats in line with UNSCRs 2309 and 2396. Emphasizing that the GAsEP Roadmap was an important tool for States, he noted with pleasure that all regions had adopted regional GAsEP Roadmaps. The Delegate of Ireland underscored that, in line with WP/373 (China), he supported active engagement with the Secretariat to share activities regarding GAsEP implementation. He also supported proposals which gave States tools to monitor national implementation, as raised in WP/357 [Venezuela (Bolivarian Republic of)]. The Delegate of Ireland emphasized, however, that it was equally important to monitor GAsEP implementation at the global level in order to have an overall picture for all entities involved. It was therefore imperative that ICAO now establish a reporting mechanism to monitor GAsEP implementation in a standardized manner and to encourage States to maintain momentum in implementation of the agreed priority actions, measures and tasks and to demonstrate the progress made towards GAsEP's targets.

44. Observing that the review of the scope and methodology of the USAP-CMA was closely related to the GAsEP, the Delegate of Ireland reiterated that the reforms to the Programme set forth in WP/32 should be implemented as a matter of priority. Noting that capacity building and State-to-State support were extremely important to the success of the GAsEP, he underscored that Ireland, along with many other European States and organizations, supported GAsEP implementation in other regions. The Delegate of Ireland urged the Assembly to maintain the momentum with the GAsEP and to continue raising aviation security Standards globally.

45. Drawing attention to WP/25 (Council), the Delegate of Sweden expressed full support for the implementation of the GAsEP and the work undertaken by ICAO in that regard. Referring to action paragraph d), he indicated that while he supported adding to the next edition of the GAsEP actions and tasks relating to certain components of Annex 9 – *Facilitation* as an alternative to creating a separate global aviation facilitation plan, it was important to ensure that that did not affect security priority areas. In raising some concerns regarding the potential impact on aviation security and border security objectives, the Delegate of Sweden underscored that further study was required, together with the assessment of potential consequences and synergies.

46. In endorsing the six papers presented, the Delegate of Nicaragua affirmed that GAsEP implementation and the USAP-CMA would benefit from: the methodology to notify stakeholders about new achievements, promote an exchange of knowledge and experience, and provide updates on effective implementation in a dynamic way using USAP-CMA results to quantify the progress of the GAsEP,

proposed in WP/285 (Brazil and Argentina with the support of LACAC Member States); and from a regionally-developed assessment system to determine the level of GAsEP implementation, proposed in WP/357 [Venezuela (Bolivarian Republic of)].

47. The Delegate of Saudi Arabia also voiced support for the papers presented. With regard to WP/25 (Council), he emphasized the importance of continuing to implement and update the GAsEP, taking into account concerns raised, and urged Member States to implement the Global Plan in coordination with the ICAO Regional Offices. While recognizing that the USAP-CMA was the main instrument for gauging progress in implementing the GAsEP, he endorsed the establishment worldwide of mechanisms that provide tools to assist States in designing self-evaluation and needs identification processes to improve GAsEP implementation and support for States in implementing ICAO's GAsEP objectives and Annex 17, as proposed in action paragraph b) of WP/357 [Venezuela (Bolivarian Republic of)].

48. The Delegate of Canada expressed full support for the GAsEP, which was intended to be a strategic plan to help guide and direct ICAO Member States and industry partners in achieving the intended outcomes of global aviation security Standards set forth in Annex 17. With respect to WP/357 [Venezuela (Bolivarian Republic of)], he looked forward to, and encouraged, continued collaboration between ICAO Headquarters and the Regional Offices to leverage existing USAP-CMA tools and associated guidance for States to use for self-evaluation. The Delegate of Canada noted, however, that existing tools might need to be adapted to clearly link Standards and Recommended Practices (SARPs) to each GAsEP activity and priority. With regard to WP/285 (Brazil and Argentina with the support of LACAC Member States), he emphasized the need to recognize that there were limited resources available and emphasized that the USAP-CMA should remain focused on assessing State compliance with ICAO's international aviation security Standards as contained in Annex 17, which in turn, directly reflected the progress being made on GAsEP activities and targets. The Delegate of Canada underscored that further work was needed to ensure that the tools being used by ICAO and/or Member States included clear outcome-focused performance measures that aligned with Annex 17 SARPs.

49. The Delegate of the United States expressed appreciation for the six papers presented as they demonstrated that States and stakeholders had taken to heart the hard work to develop and implement the GAsEP. He emphasized that the GAsEP was integral to improving global aviation security, and that it was a "living document" which provided a strategy and a work plan i.e. a means to an end. Noting that the end that was being sought was improved effective, appropriate and sustainable implementation of the global aviation security Standards contained in Annex 17, the Delegate of the United States underscored that integral to success were: the provision of continued support and expertise to assist the Secretariat in monitoring GAsEP implementation; the execution of regional GAsEP Roadmaps; and the provision of critical information and data on global aviation security via the USAP-CMA.

50. The Delegate of Argentina also expressed full support for all of the papers presented and for the implementation of the GAsEP. He emphasized that it was important to have not only the GAsEP with a Roadmap establishing aspirational global targets for effective implementation for 2020, 2023 and 2030 but also regional GAsEP Roadmaps establishing regional targets. It was likewise important to monitor the overall implementation of the GAsEP. The Delegate of Argentina spoke in favour of the proposals made in WP/285 (Brazil and Argentina with the support of LACAC Member States), /315 (Finland on behalf of the EU and its Member States and the other Member States of ECAC) and WP/25 (Council) for measuring GAsEP implementation. With regard to WP/285, he endorsed the Delegate of Portugal's suggestion that action paragraph c), in which ICAO was requested to evaluate the possibility of updating some USAP-CMA results (effective implementation) based on the States' submission of documented evidence as part of their CAPs, be referred for further consideration to the Secretariat Study Group on the USAP-CMA, of which both Argentina and Brazil were members.

51. With respect to WP/25, action paragraph d), the Delegate of Argentina indicated that he had some concerns regarding the proposed incorporation in the next edition of the GAsEP actions and tasks that relate to certain Annex 9 – *Facilitation* components that also support both aviation security and border security objectives. Emphasizing that not all of the provisions of Annex 9 were of relevance for the GAsEP, he stressed the need to take into account the views of the Facilitation Panel (FALP).

52. Likewise endorsing all of the papers presented, the Delegate of China emphasized the need for States to focus on implementing the GAsEP through Annex 17 and the *Aviation Security Manual* (Doc 8973). In advocating the amendment of Annex 17 SARPs to reflect the contents of the 2010 *Convention on the Suppression of Unlawful Acts relating to International Civil Aviation* (Beijing Convention) and *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft* (Beijing Protocol), as well as of the 2014 *Protocol to Amend the Convention on Offences and Certain Other Acts Committed on Board Aircraft* (Montréal Protocol), he stressed the importance of international cooperation in addressing threats to civil aviation. The Delegate of China also underscored that in amending the Annex 17 SARPs it was necessary to focus on quality control, as well as on the relationship between security and facilitation. He reiterated the need to encourage States to increase their investment in aviation security in terms of financial resources, human resources and capacity building.

53. The Delegate of South Africa affirmed his State's support for the GAsEP as an important tool in achieving improved Annex 17 effective implementation levels, and its commitment to implementing that Global Plan. South Africa urged other States to work towards achievement of the GAsEP's targets. South Africa also supported the implementation of a triennial revision schedule for the GAsEP as proposed by the Council in WP/25 and was committed to participating therein. Recognizing that facilitation was becoming more critical to border security, South Africa agreed to the Council's proposal to incorporate in the next edition of the GAsEP actions and tasks that relate to certain Annex 9 – *Facilitation* components that also support both aviation security and border security objectives.

54. The Delegate of the Russian Federation expressed support for all of the papers presented. He suggested that the Executive Committee's Report on Agenda Item 12 reflect a number of the proposals made, including with regard to strengthening cooperation between States and the ICAO Secretariat with regarding implementation of the GAsEP, regional roadmaps and national aviation security plans, as highlighted in WP/373 (China). Referring to WP/285 (Brazil and Argentina with the support of LACAC Member States), the Delegate of the Russian Federation commended Brazil's creation of a technical collaborative group to coordinate the implementation of the GAsEP and develop joint actions and projects with the industry and all relevant aviation stakeholders. He highlighted, in this regard, the establishment, in 2012, of the European and North Atlantic (EUR/NAT) AVSEC Group (ENAVSECG) to facilitate the exchange of information and sharing of best practices and achievements regarding AVSEC matters, and the subsequent creation of a sub-group to monitor GAsEP implementation. The Delegate of the Russian Federation indicated that the Executive Committee's Report should also emphasize that such groups had already been put in place in some Regional Offices.

55. The Delegate of the Russian Federation then congratulated the United Arab Emirates on the historic spaceflight of its first astronaut, Hazzaa Ali Almansoori, who had launched on 25 September 2019 onboard a Soyuz spacecraft with NASA astronaut Jessica Meir and Russian cosmonaut Oleg Skripochka for an eight-day mission to the International Space Station. Noting that the spacecraft's name, "Soyuz" had a symbolic meaning, "union", he highlighted that 2019 marked the 70th Anniversary of its first flight. The Delegate of the Russian Federation underscored, in this context, that unlike the other papers presented, WP/315 (Finland on behalf of the EU and its Member States and the other Member States of ECAC) made no mention of cooperation between the 56 European States and the EUR/NAT Regional Office regarding GAsEP implementation, the EUR/NAT regional roadmap adopted on 1 June 2018 at the ICAO Regional Aviation Security Conference held in Lisbon, Portugal, or the said ENAVSECG.

Emphasizing that the Russian Federation continued to fully support the strengthening of the ICAO Regional Offices in line with the Council's decisions, he indicated that the Executive Committee's Report should also reflect the importance of taking such action.

56. In voicing support for the six papers presented, the Delegate of the Solomon Islands reiterated that aviation security was a global issue and that it was necessary for all States, industry and other stakeholders to work together to ensure that aviation security was achieved worldwide. He emphasized that as a Pacific Small Island Developing States (PSID), the Solomon Islands relied on ICAO's leadership in coordinating the provision of support by developed States to PSIDs to build their aviation human resource capacity and strengthen their aviation institutions so that aviation security was assured throughout the region.

57. The Delegate of Paraguay expressed strong support for WP/285 (Brazil and Argentina with the support of LACAC Member States), in particular action paragraph d) requesting ICAO to evaluate the possibility of updating some USAP-CMA results (effective implementation) based on the States' submission of documented evidence as part of their CAPs. He suggested that the experience gained under the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) in that regard be applied to the USAP-CMA. The Delegate of Paraguay also strongly supported WP/357 [Venezuela (Bolivarian Republic of)], notably action paragraph b) on the establishment worldwide of mechanisms that provide tools to assist States in designing self-evaluation and needs identification processes to improve GASeP implementation and support for States in implementing ICAO's GASeP objectives and Annex 17.

58. The Delegate of Switzerland expressed full support for GASeP implementation as proposed in WP/25 (Council), as well as for elevating the security culture as proposed in WP/344 (Russian Federation). With regard to WP/357 [Venezuela (Bolivarian Republic of)], he recognized the importance of regional implementation of the GASeP in cooperation with the ICAO Regional Offices, but underscored that ultimately it was necessary to have a global overview of GASeP implementation. Drawing attention to WP/25 (Council), action paragraph d), the Delegate of Switzerland indicated that he fully shared the view that some components of Annex 9 – *Facilitation* that supported both aviation security and border security objectives could be incorporated in the next edition of the GASeP. Nevertheless, he had doubts whether there was an urgent need to also implement a global aviation facilitation plan and did not see the added value of such a global plan for the time being. The Delegate of Switzerland voiced preference for referring action paragraph d) to the FALP for consideration.

59. The Delegate of Eritrea voiced support for all of the papers presented. Noting that it was sometimes beyond the scope of the Assembly to realize the objectives that it set, he urged Delegates to seek the political commitment of their respective leaders to achieve the GASeP's targets in order to ensure national, regional and global aviation security.

60. The Delegates of Georgia and Romania expressed full support for the implementation of the GASeP and welcomed any initiatives in that regard. They also endorsed WP/315 (Finland on behalf of the EU and its Member States and the other Member States of ECAC).

61. In summarizing the discussion, the Chairperson indicated that the Executive Committee commended the efforts to fast-track the development of the GASeP as requested by the 39th Session of the Assembly. Note was taken of the varying degrees of implementation in the different regions and, in that context, the Executive Committee urged States to continue to take action towards improvement, including in meeting the global targets, while recognizing the importance of the USAP-CMA and its ongoing reforms to effectively measure implementation.

62. In terms of implementation, Delegates welcomed experiences shared by States in implementing the GAsEP. It noted that there had been many proposals for ICAO to consider creating a platform for reporting and sharing information on GAsEP Roadmap achievements, such as through a GAsEP repository on the secure portal, whereby the information therein would be updated as new data and material became available. The Executive Committee also highlighted the importance of mapping existing aviation security capacity building activities to applicable Annex 17 – *Security SARPs* and attack methods identified in the ICAO *Aviation Security Global Risk Context Statement* (Doc 10108). Delegates also highlighted the important role played by the ICAO Regional Offices and commended the latter for the proactive support they provided to Member States in facilitating the achievement of the global and regional targets through the effective implementation of the GAsEP.

63. Concerning the future evolution of the GAsEP, the Executive Committee acknowledged that, as a “living document”, the GAsEP would be revised as necessary and appropriate, and supported a triennial revision schedule. Those revisions may address how to better link the GAsEP with Annex 17 – *Security SARPs*, where appropriate. However, the Executive Committee considered that further discussion was needed of the proposal made by the Council in WP/25 to incorporate in the next edition of the GAsEP actions and tasks that related to certain Annex 9 – *Facilitation* components that also supported both aviation security and border security objectives, including API and PNR.

Regulatory Policy

64. The Delegate of Canada introduced WP/248 (*Enhancing global aviation security through evidence-based risk-informed decision-making*), which was presented by his State on behalf of Australia, Jamaica, Japan, New Zealand, Singapore, the United Arab Emirates, the United States, GEA, IATA and IFALPA. The co-presenters strongly believed that outcome-focused principles naturally led to evidence-based, risk-informed decisions. They recognized, however, that in practice integrating such principles into the fabric of an organization and its decision-making processes could be challenging. To manage the increasingly complex aviation security environment, decision-makers needed to be able to identify, analyze and prioritize security-related issues within the context of their aviation security ecosystem. Leaders must be focused on security and organizational objectives in order to develop and implement aviation security policies and practices that were effective, proportionate to risk and sustainable while balancing the impact on passengers and legitimate trade. Decision-makers could examine various approaches and, depending on the evidence, could select either a performance-based or prescriptive standard. Either way, the co-presenters considered that when based on evidence, the intended security outcome would be achieved and the effectiveness of the global baseline of aviation security Standards would be enhanced.

65. The Assembly was invited in WP/248 to:

- a) recall the conclusions and outcomes of the High-level Conferences on Aviation Security 2012 and 2018, Aviation Security Panels, Assembly Resolution A39-18 and UNSCR 2309, in respect of outcome-focused and/or risk-based principles and measures;
- b) encourage Member States, the ICAO Secretariat, and industry partners to promote and share practical experiences, as outlined in paragraph 3.2 of the paper, in respect of the design, implementation and maintenance of organizational frameworks, National Civil Aviation Security Programmes and aviation security programmes, as appropriate; and
- c) direct the Council to task the AVSECP, as well as the ICAO Secretariat, to advance risk awareness and response by developing tangible methods to further recognize and integrate outcome-focused and risk-based practices, principles and policies that lead to evidence-based, risk-informed decision-making, provide for a stronger security

culture, and strengthen the effectiveness, efficiency and sustainability of aviation security programmes and practices of ICAO, Member States and industry partners.

66. The Delegate of Qatar presented in WP/141 (*Airport security screening differentiation*) which addressed the subject of differentiation of airport screening for passengers and non-passengers and highlighted that more work needed to be undertaken by the AVSECP to achieve a more effective and efficient screening system that reflected current and future challenges facing the aviation system. The Assembly was invited to request that the Council direct the AVSECP to consider the issues raised in the paper, with a view to reaching consensus on the future concept for screening activities and provide for its harmonized implementation through appropriate specifications in Annex 17 and appropriate guidance material.

67. The Observer from ACI introduced WP/250 (*Fostering security innovation through effective regulatory policy*), which proposed ways in which States could support innovation and encourage a climate of innovation for aviation security. The paper complemented WP/14, in which the Council presented a draft Assembly Resolution on innovation in aviation (to be considered under Agenda Item 26 at EX/8 and EX/9). Underscoring that innovation such as artificial intelligence, connectivity, big data and stand-off detection could radically transform the approach to aviation security, she highlighted that ACI was working with airports, airlines and governments within its Smart Security initiative to develop a 2040 vision of passenger screening that could inspire and trigger change. The Observer from ACI emphasized that making change happen would depend on the action taken by States and ICAO in the coming years, and the support of the Assembly.

68. The Assembly was invited in WP/250 to:

- a) urge States to make regulation less prescriptive, conduct impact assessments, consult with industry, allow for new technology trials and review the way technology is certified and approved for use;
- b) request that the Council allow for different means of compliance with Annex 17 SARPs that achieve the same objective, based on a risk assessment and justification; and
- c) request that the Council consider the development of a separate document listing alternative means of compliance with Annex 17 SARPs.

69. It was noted that the following information papers had also been submitted: WP/567 (*Remotely piloted aircraft – security programme*) presented by India; and WP/473 (*Necessity to anticipate strategies to tackle the security challenges and dangers of drone use in Annex 17*) presented by Iran (Islamic Republic of).

Discussion

70. The Delegate of Greece underscored that the risk-based approaches to airport security screening and the views of unpredictable and random measures set forth in WP/141 (Qatar) needed to be further explored in order to better address identified vulnerabilities without compromising overall aviation security. She noted that the concept of airport security screening differentiation outlined in the paper relied on the proper use and evaluation of data, which would drive and support relevant decisions. The tools for collecting and evaluating such data, as well as for conducting risk analyses, were key components for any success of such systems. Consideration of personal rights regarding privacy and data protection was also of paramount importance. The Delegate of Greece emphasized, in that regard, that more expert discussions on the topic needed to be held within the AVSECP. She stressed that any such airport screening differentiation policies should not undermine the implementation of baseline global aviation security

measures as defined in Annex 17, which ensured the required harmonized global approach to the basic aviation security mitigation measures and facilitated mutual recognition by States of equivalent aviation security measures.

71. In endorsing WP/248 (Canada), of which her State was a co-sponsor, the Delegate of Australia affirmed that outcome-focused and risk-based approaches provided States with the flexibility to deliver security outcomes in a way that was best suited to their operating environment and risk context. Furthermore, flexibility allowed States to deliver security outcomes more efficiently and provided scope for innovative new approaches. The Delegate of Australia urged ICAO and its Member States to support the actions proposed in WP/248 to ensure that those important principles were embedded in global aviation security Standards and national policy.

72. The Delegate of Australia also supported the recommendations made by ACI in WP/250 as practical steps to achieve a more risk-based, outcome-focused approach to achieving aviation security outcomes. In addition, the Delegate of Australia agreed with the position expressed by Qatar in WP/141 that the proposed amendment to Annex 17, Standard 4.2.6 on insider screening warranted further consideration with a view to achieving genuine consensus, keeping in mind the need for Standards to be risk-based and outcome-focused.

73. The Delegates of Qatar and the United Arab Emirates also endorsed WP/250 (ACI). In so doing, the Delegate of the United Arab Emirates suggested that ACI's recommendations be considered by the AVSECP and the Council, as appropriate. He also voiced support for WP/141 (Qatar) in general, and agreed with the proposal that the Council request the AVSECP to consider the issues raised in the paper with a view to reaching consensus on the future concept for screening activities and provide for its harmonized implementation through appropriate specifications in Annex 17 and appropriate guidance material, as did the Delegate of Senegal.

74. In expressing strong support for WP/248 (Canada), of which his State was a co-sponsor, the Delegate of the United States reiterated the call for more work to be done in developing and providing guidance on risk-based decision-making. While noting that ICAO had made considerable progress in ensuring that States had the tools with which to perform risk analyses, he underscored that the next step was to work towards ensuring that such analyses were actually used to inform decision-making for aviation security policy and operations in order to truly realize the aims of being risk-based and outcome-focused.

75. The Delegate of the United States also supported the recommendations contained in WP/141 (Qatar) to make differentiated screening a priority work area. He highlighted that the United States had used differentiated screening for many years and was continuing to develop and further expand on that concept. The Delegate of the United States also agreed, in principle, with the concepts of performance-based regulation and the need to foster innovation described in WP/250 (ACI). He emphasized that innovation was a key priority as it was essential to aviation security and facilitation objectives. He endorsed the Delegate of the United Arab Emirates' suggestion that ACI's recommendations be referred to the AVSECP and the Council for consideration, as appropriate.

76. The Delegate of Canada endorsed WP/141 (Qatar), including the conclusions and recommendations set forth in Section 3. He agreed that the concept of differentiated screening should be a priority issue for ICAO and the AVSECP and its relevant working groups, and most importantly for the Council at this time, as it considered proposed Amendment 17 to Annex 17. The Delegate of Canada emphasized that since ICAO and States aimed to promote innovative and sustainable aviation security systems, risk-based, outcome-focused approaches such as differentiated screening were becoming increasingly important in delivering effective risk response and global aviation security solutions. He echoed the comments made by the Delegate of the United States with respect to WP/250 (ACI).

77. With reference to WP/141 (Qatar), the Delegate of Brazil agreed that some kind of airport security differentiated screening was possible for passengers and non-passengers. He emphasized, however, that such differentiation should not be used as a basis for not applying certain screening procedures given the considerable inherent risks. The Delegate of Brazil underscored that historic information regarding the behaviour of passengers and non-passengers was valuable in deciding which screening procedure to apply. He also voiced support for WP/250 (ACI).

78. In endorsing WP/248 (Canada), the Delegate of Peru reiterated the importance of implementing aviation security policies and practices that were effective, proportionate to risk and sustainable while balancing the impact on passengers and legitimate trade.

79. Expressing appreciation for WPs/141 (Qatar), /248 (Canada) and /250 (ACI), the Delegate of the United Kingdom observed that their common theme of the importance of innovative approaches to aviation security should be supported, based on risk assessments. The United Kingdom strongly supported the work done through the AVSECP and its working groups to pursue that important topic, while being mindful of the need to have baseline global aviation security measures that all States understood and implemented that would provide the foundation for confidence in the global aviation security system. It was only on that foundation that creative innovative approaches could be developed to further enhance the quality and efficiency of aviation security measures. The United Kingdom urged States to actively promote innovation in aviation security, building on the baseline Standards that Annex 17 provided, and to continue to work together in close partnership towards a consensus.

80. The Delegate of Togo commended the progress made by ICAO in developing new Annex 17 SARPs for combating terrorism, as well as the GAsEP. He also endorsed the three papers which had been presented.

81. In echoing the comments made by the Delegate of the United Kingdom, the Delegate of France underscored that while differentiated screening was an interesting approach, in order to ensure that it would not impair the aviation security system it was necessary to have in place robust baseline global measures predicated on two critical pillars, systematic screening of personnel and thorough and efficient background checks of the same personnel.

82. The Delegate of the Russian Federation emphasized that his State supported innovation in airport security screening procedures. He noted that, as indicated in paragraph 3.1 of WP/141 (Qatar), the AVSECP, at its 30th Meeting held in Montréal from 13-17 May 2019, had considered the concept of differentiated screening during discussion of proposed amendments to Annex 17 relating to the screening of non-passengers but had not reached consensus on the way forward. A majority had favoured a non-flexible approach, arguing that 100 per cent screening of non-passengers should be the baseline for all States, particularly when trying to mitigate against the insider threat. A minority had favoured a more flexible approach consisting of a combination of some level of screening of non-passengers with various other security control measures and vetting processes. The Delegate of the Russian Federation underscored that the majority view had taken into consideration Operative Clause 6 of UNSCR 2309 (2016), which called upon all States, as part of their efforts to prevent and counter terrorist threats to civil aviation, to, inter alia, strengthen security screening procedures and take into account the potential role of those with privileged access to areas, knowledge or information that may assist terrorists in planning or conducting attacks i.e. the insider threat. He stressed the need to also take that into account in any future work to improve technologies for screening non-passengers.

83. The Delegate of the Russian Federation expressed concern regarding action paragraph a) of WP/250 in which ACI proposed, in order to foster security innovation, that States be urged to make regulation less prescriptive, allow for new technology trials and that they simplify the way technology is

certified and approved for use. He underscored the need to strike a balance between not over-burdening the system with new regulations and ensuring that all States successfully completed USAP-CMA audits.

84. The Delegate of South Africa supported the principles of evidence-based, risk-informed decision-making, airport security screening differentiation and fostering security innovation through regulatory policy set forth in WPs/248 (Canada), /141 (Qatar) and /250 (ACI), respectively. While agreeing with the Delegates of Greece, the United Kingdom and France on the importance of baseline global aviation security measures, he emphasized that screening differentiation did not mean that there was no baseline. Referring to action paragraphs b) and c) of WP/250 (ACI), the Delegate of South Africa highlighted that Annex 17 SARPs already allowed for different means of compliance that achieved the same objective and averred that the proposed separate document listing alternative means of compliance with Annex 17 SARPs would be restrictive. He underscored that these issues should continue to be discussed in future so that consensus could be reached. The Delegate of Nigeria shared this view.

85. The Delegate of Lebanon voiced support for WP/141 (Qatar).

86. The Delegate of Nicaragua agreed that decision-making must be evidence-based and risk-informed. He emphasized that the metrics used to determine the level of risk was of key importance as the risk level would be used to determine the aviation security measures to be applied to address the threat in compliance with the relevant Annex 17 SARPs. The Delegate of Nicaragua stressed the need to take a cautious approach to innovation in aviation security as it would entail new equipment and technologies which many States might not have the capacity or the human capability to deploy.

87. With reference to WP/141, the Delegate of Spain indicated that he welcomed any initiative that was aimed at introducing innovative elements in aviation security. However, he cautioned against adopting measures which would constitute a step backwards in dealing with the insider threat as the latter had been identified as a global problem, as borne out by many recent incidents. The Delegate of Spain thus supported the interventions by the Delegates of Brazil, the United Kingdom and France on that issue.

88. The Delegate of Argentina noted that while no one could oppose innovation in aviation security, it was necessary to take a careful approach, as highlighted by the Delegates of Greece, Brazil, France, the Russian Federation, South Africa and Spain. He affirmed that the AVSECP was the best forum for considering that issue and addressing any related concerns.

89. In welcoming the three papers, the Delegate of Mexico endorsed the comments made by the Delegates of the United Kingdom, France, the Russian Federation and Spain, among others, regarding the importance of having baseline global aviation security measures and of not backsliding in dealing with the insider threat. He underscored the need to take into account the concern raised by the Delegate of Nicaragua regarding innovative equipment and technologies as it was necessary for the latter to be properly deployed so as to meet the requirements of Annex 17.

90. In voicing support for WP/248 (Canada), the Delegate of Indonesia affirmed that the actions proposed therein would facilitate the achievement of the GAsEP's five key priority outcomes, in particular, priority outcomes 1) enhance risk awareness and response and 2) develop security culture and human capability.

91. The Delegate of Chile likewise endorsed WP/248 as he considered that evidence-based risk-informed decision-making was useful in addressing emerging threats to civil aviation. He also supported WP/250 (ACI).

92. Expressing appreciation for the three papers, the Delegate of Oman emphasized that any future innovations should be evaluated by aviation security experts before being deployed. He recommended that ICAO develop and publish guidance material regarding any new aviation security innovations to facilitate implementation by States.

93. In elaborating on his State's experience with differentiated screening, the Delegate of Monaco highlighted that the innovative visible security measures which had been applied to passengers had been very poorly received. Consequently, Monaco considered that focus should be on innovative security measures which were as invisible as possible to the traveling public, such as screening of hold baggage.

94. The Delegate of Eritrea shared the views expressed by previous speakers regarding the need for baseline global aviation security measures as defined in Annex 17. He emphasized that, despite the work done by Qatar, ACI and Canada as outlined in their respective papers, the time was not yet ripe to consider certain issues raised therein.

95. The Observer from IFALPA voiced strong support for the action proposed in WP/141 (Qatar).

96. The Observer from ACI endorsed both WP/141 and WP/248 (Canada).

97. The Observer from IBAC underscored that the global business aviation community supported the data-driven, risk-based approaches described in the three papers presented, and considered that the best approach to addressing the range of security risks was through coordinated government and industry efforts that developed solutions tailored for each sector. The said papers presented strongly suggested that a cooperative approach yielded the best results and IBAC agreed. It considered that a "one-size-fits-all" approach was not consistent with the principles advanced in the papers, and that the impact of applying non-tailored approaches to a wide variety of operational sectors was burdensome and unnecessary. The global business aviation community encouraged Member States to consider the wide range of operations, unique risks, available data and industry impact before pressing forward with requirements that did not incorporate meaningful industry consultation.

98. In summarizing the discussion, the Chairperson indicated that the Executive Committee, in recalling the conclusions of HLCAS/2, and in keeping with the GAsEP priority outcomes and relevant Assembly Resolutions, agreed that outcome-focused and risk-based principles could inform the development of proposed amendments to Annex 17 – *Security* provisions and associated best practices. To that end, it requested that the AVSECP consider the development of tangible methods to recognize and integrate such principles in decision-making processes as appropriate, with the goal of further strengthening the effectiveness, efficiency and sustainability of aviation security programmes.

99. Furthermore, the Executive Committee expressed broad support for fostering innovation in aviation security, and called on Member States to coordinate with industry partners in order to facilitate the operational trials of new technologies and innovative techniques. In particular, the subject of passenger differentiation in the application of screening measures had been raised as a possible evolution of screening activities when considering a risk-based and outcome-focused approach to aviation security. However, the Executive Committee emphasized that, while alternative means of compliance existed, some of which could be found in the ICAO *Aviation Security Manual* (Doc 8973), the implementation of baseline security measures remained paramount to a robust aviation security system.

Cybersecurity

Cybersecurity Strategy and Assembly Resolution for adoption

100. The Deputy Director, Aviation Security and Facilitation (DD/ASF) introduced WP/28 (*ICAO Cybersecurity Strategy*) containing a comprehensive Aviation Cybersecurity Strategy developed to meet the requirements of Assembly Resolution A39-19, which called on Member States to address cybersecurity through a horizontal, cross-cutting and functional approach, and called on ICAO to develop a structure for supporting States in that regard. The paper also proposed updates to Assembly Resolution 39-19 to highlight the urgency and importance of the Cybersecurity Strategy and to promote its implementation by Member States based on a global cybersecurity vision so that their aviation sectors would be resilient to cyberattacks and be able to grow. The paper emphasized that the Cybersecurity Strategy would need to be supported by an action plan, which was currently under development and involved consideration of appropriate mechanisms to continue the work on cybersecurity within ICAO.

101. The Assembly was invited in WP/28 to:

- a) adopt the proposed updated Assembly Resolution on addressing cybersecurity in civil aviation presented in Appendix A to the paper, which would supersede Assembly Resolution A39-19;
- b) endorse the Cybersecurity Strategy presented in Appendix B to the paper; and
- c) urge States to ratify the 2010 *Convention on the Suppression of Unlawful Acts relating to International Civil Aviation* (Beijing Convention) and the *Protocol Supplementary to the Convention for the Suppression of Unlawful Seizure of Aircraft* (Beijing Protocol).

102. The Delegate of the United Arab Emirates presented WP/221 (*Cybersecurity*), which highlighted that cybersecurity remained a threat to civil aviation, although ICAO and other international organizations were actively working to ensure that the likelihood and consequences of cyberattacks were reduced to a minimum. It noted that the ICAO Cybersecurity Strategy was built on ICAO's vision for global cybersecurity and underscored that the aviation sector should be resilient to cyberattacks and remain safe and trusted globally. The Delegate of the United Arab Emirates recalled that his State had hosted the ICAO Cybersecurity Summit in Dubai in April 2017, which had demonstrated the importance of cyber-resilience and the need for a more effective way of addressing cybersecurity issues, including enhancing awareness of those issues in the aviation safety community.

103. The Assembly was invited in WP/221 to:

- a) acknowledge that the 39th Session of the Assembly and the *Dubai Declaration on Cybersecurity in Civil Aviation* have been key in the design of the Cybersecurity Strategy and the proposed updated Assembly Resolution on addressing cybersecurity in civil aviation which was presented by the Council in Appendix A to WP/28;
- b) instruct ICAO to ensure that cybersecurity-related SARPs are developed for each Annex with the active engagement of aviation safety experts; and
- c) encourage States to participate in information-sharing frameworks as outlined in the Cybersecurity Strategy presented by the Council in Appendix B to WP/28.

104. It was noted that the following information paper had also been submitted: WP/395 (*Aviation cybersecurity – moving forwards*) presented by IATA.

Discussion

The Delegate of Romania emphasized that the digital revolution was profoundly transforming society, with the result that the modern aviation system was globally interconnected and increasingly dependent on information communication technology and digital infrastructure. However, that interconnectivity also created interdependency and vulnerabilities to emerging threats that needed to be managed. Highlighting that global information security breaches were increasing significantly, both in frequency and sophistication, he underscored that it was therefore essential to develop an efficient and coordinated response which would enhance cybersecurity resilience and protect aviation's critical information infrastructure. The Delegate of Romania commended the work done by ICAO in that area through its Secretariat Study Group on Cybersecurity (SSGC), and welcomed the Cybersecurity Strategy presented by the Council in WP/28 as a first comprehensive and holistic response. He recalled that it was the result of collaboration within the SSGC and via the ICAO Cyber Summit held in Dubai, United Arab Emirates from 4-6 April 2017, the ICAO Europe, Middle East and Africa (EMEA) Cybersecurity Summit held in Bucharest, Romania from 7-9 May 2018 and other events. The Delegate of Romania stressed the need to ensure that in addressing cybersecurity no country was left behind.

104. The Delegate of Romania therefore supported WP/28 containing the proposed Cybersecurity Strategy and the draft updated Assembly Resolution on addressing cybersecurity in civil aviation. He emphasized that the Cybersecurity Strategy needed to be completed by a multidisciplinary and concrete action plan to be developed through the appropriate mechanisms, ensuring effective and efficient management, as well as full transparency.

105. Noting that the issue of an ICAO governance structure for cybersecurity was addressed in WP/219 (ICCAIA), as well as in WPs/172 (CANSO), /221 (United Arab Emirates), /243 (ACI), /283 (France) and /427 (United States), the Delegate of Romania indicated that, in his view, the current split of cybersecurity activities within ICAO did not allow for an efficient and holistic approach on these critical issues for the further development of aviation. He considered that further governance structure should meet the following criteria: i) work transparently across all aviation domains such as safety, air navigation, and security; ii) ongoing work under the SSGC and the TFSG should be continued under the aegis of an overarching new governance structure; iii) consistency between all relevant Annexes to the *Convention on International Civil Aviation* potentially impacted by cybersecurity and other related ICAO documents; iv) relevant experts were kept to a manageable number; and v) the structure was managed by Member States, as advocated in WP/219 (ICCAIA).

106. In expressing support for WP/221 (United Arab Emirates), the Delegate of Romania reiterated the importance of ensuring full consistency between cybersecurity-related SARPs in each of the relevant Annexes. He underscored, in this regard, that cybersecurity-related SARPs would not need to be developed for all Annexes.

107. The Delegates of Denmark, Indonesia, Singapore, and Trinidad and Tobago and the Observer from IATA endorsed the Cybersecurity Strategy presented in WP/28 (Council) and agreed that work needed to be done to develop a comprehensive action plan in support thereof, including policies, relevant SARPs, guidance and best practices that considered risk-based decision-making and a holistic perspective, taking into account safety issues.

108. The Delegate of New Zealand expressed support for the development of consistent and agreed principles to govern aviation cybersecurity as outlined in WP/28, and emphasized the importance of States working to ensure national organizations and sectors achieved high levels of cybersecurity, and of ICAO guidance material being developed to assist States in creating national cybersecurity frameworks. He advocated a performance or principles-based approach.

109. The Delegate of Zambia endorsed both WPs/28 (Council) and /221 (United Arab Emirates), emphasizing the need to develop cybersecurity-related SARPs.

110. The Delegate of Switzerland expressed support for the proposed updated Assembly Resolution on addressing cybersecurity in civil aviation as presented in Appendix A to WP/28. With respect to WP/221 (United Arab Emirates), he agreed with the Delegate of Romania that cybersecurity-related SARPs were not necessary for every Annex and should only be included where relevant, and suggested that resources be devoted for the development of such SARPs.

111. In voicing support for both WP/28 and WP/221, the Delegate of the Russian Federation commended the Cybersecurity Strategy, emphasizing that it presented important points on security culture in the context of cybersecurity. He underscored that States could start implementing the Cybersecurity Strategy immediately and did not need to wait for the development of related ICAO SARPs. The Delegate of the Russian Federation noted that while his State had not yet ratified the Beijing Protocol, the process was underway, and amendments to its national legislation had already been introduced which effectively implemented the Beijing Protocol's provisions.

112. Echoing the comments made by the Delegate of Romania regarding WPs/28 (Council), /219 (ICCAIA) and /221 (United Arab Emirates), the Delegate of the Netherlands reiterated the importance of developing an action plan to ensure that the Cybersecurity Strategy would be implemented in an effective, efficient and fully transparent way. He further emphasized that cybersecurity challenges should be addressed by ICAO in an efficient, coordinated and holistic manner.

113. In summarizing the discussion, the Chairperson indicated that the Executive Committee commended the work of ICAO and its Secretariat Study Group on Cybersecurity (SSGC) in addressing cybersecurity in civil aviation. In particular, it welcomed and endorsed the ICAO Cybersecurity Strategy, underscoring the importance of developing a sustainable and comprehensive action plan for the implementation of the Strategy, as well as continuing the work for the development of a robust cybersecurity framework. In an effort to further promote a consistent and coherent approach in managing cyber threats and risks, the Executive Committee agreed to recommend to the Plenary for adoption the proposed updated Assembly Resolution on addressing cybersecurity in civil aviation presented in Appendix A to WP/28, which would supersede Assembly Resolution A39-19.

Cybersecurity – Governance structure, implementation and guidance and other updates to the Assembly

114. The Delegate of France presented WP/283 (*Strategic approach to aviation cybersecurity*), which highlighted the establishment by France in April 2018 of the Council for Cybersecurity in Air Transport to ensure effective coordination in addressing all matters relating to cybersecurity in civil aviation and elaborated on its experience with the CCTA. The paper underscored that the ICAO Cybersecurity Strategy proposed by the Council in WP/28 should be welcomed and encouraged with the creation of a dedicated collaborative and transversal body.

115. The Assembly was invited in WP/283 to:

- a) recommend all States to establish an efficient national coordination between their civil aviation authority and their relevant agencies in charge of cybersecurity comprising coordination mechanisms at both strategic and operational levels with all service providers and industry stakeholders;
- b) emphasize the importance of effective cross-domain work and coordination between the Security and Safety branches of the ICAO Secretariat, and their associated groups and panels; and

- c) urge the ICAO Council to define and create a cross-domain civil aviation cybersecurity body within ICAO, such as a panel established following the *Directives for Panels of the Air Transport Committee and the Committee on Unlawful Interference* (Doc 9482), to consolidate and harmonize all cybersecurity-related activities and documentation, including the Trust Framework.

116. The Delegate of the United States introduced WP/427 (*Proposal for ICAO governance of cybersecurity and resiliency*), which highlighted that cybersecurity and resiliency in the aviation ecosystem was a multidisciplinary issue that affected nearly every aspect of global aviation. As acknowledged by the Assembly in Resolutions A39-18 and A39-19, the global aviation system was becoming more complex and integrated through information and communication technology. Due to the complexities and reliance on shared digital information and communication, the need for cybersecurity and resiliency became more vital with every advancement in technology and the continuous modernization of the aviation ecosystem. While the Delegate of the United States recognized that ICAO was making great progress by developing the aviation Cybersecurity Strategy (cf. WP/28, Appendix B), he underscored that the governance of cybersecurity and resiliency needed emphasis within ICAO. He noted that good governance provided efficiencies in information-sharing to better address cybersecurity and resiliency in a more holistic manner, whereas the current governance created a division between security and resiliency that negatively affected the holistic aviation ecosystem.

117. The Delegate of the United States noted that many States and industry organizations had recognized that problem and had submitted to the Assembly recommendations to establish a new panel on cybersecurity. He emphasized, however, that an ICAO panel had a specific purpose, namely, to advance the solution of specialized problems or the development of Standards for the planned evolution of air navigation, as stated in paragraph 1.2 of the *Directives for Panels of the Air Navigation Commission* (Doc 7984). The Delegate of the United States underscored that cybersecurity and resiliency were more comprehensive than a specialized problem and that at the present time industry-based standards for cybersecurity should be used instead of developing new ICAO SARPs or a new ICAO Annex. He highlighted that the Technical Committee proposed by the United States in WP/427 would work under the direct control of the Council, which would also develop its Terms of Reference and membership through new *Directives for the Committee on Cybersecurity and Resiliency*. The SSGC and the Trust Framework Study Group (TFSG) would be reorganized under the new Technical Committee in full consideration of the tasks, the efforts and costs involved for proper management of the latter. The Technical Committee would utilize subject matter experts from various cross-cutting disciplines without the added bureaucracy of multiple Bureaus, Offices and priorities.

118. The Assembly was invited in WP/427 to:

- a) request that the ICAO Council establish a new Council Technical Committee on Cybersecurity and Resiliency as proposed in the paper;
- b) urge States to support the proposed Cybersecurity Strategy developed by the SSGC (cf. WP/28, Appendix B); and
- c) urge States to support the work of the TFSG.

119. The Observer from ACI presented WP/243 (*Cybersecurity*), which highlighted the importance of addressing cybersecurity risks and the need for international cooperation, “joined up” governance and coherent and practical policies. It complemented WP/28 in which the Council proposed an aviation Cybersecurity Strategy, as well as the other papers submitted. The Observer from ACI emphasized that cybersecurity had become a real risk for the aviation sector, requiring resilient systems and robust and efficient defences. To address that risk, ACI was working with airports to promote best practices, but

recognized that cooperation was required among ICAO, States and industry, along with a clear ICAO vision and strategy and multidisciplinary collaboration.

120. The Assembly was invited in WP/243 to:

- a) support the Cybersecurity Strategy (cf. WP/28, Appendix B) and require that ICAO work with States and industry to develop an action plan in support thereof;
- b) recognize the immediate need for a multidisciplinary approach to cybersecurity;
- c) request that ICAO rapidly complete an assessment of the current governance structure for cybersecurity, with serious consideration for a panel responsible for cybersecurity that considered security, safety, resilience and operational continuity issues together. The panel must include appropriate skilled resources from States and industry to progress the work identified in the Cybersecurity Strategy and should be jointly governed by the Air Navigation Commission (ANC) and either the Committee on Unlawful Interference (UIC) or the Air Transport Committee (ATC); and
- d) request that the Council involve the industry as well as States when defining policy, a strategy, plans and standards for aviation cybersecurity.

121. The Observer from CANSO introduced WP/172 (*Cyber resilience*), which discussed the critical issue of cybersecurity and the need for a more effective way of addressing it, and requested that ICAO accelerate the process to provide guidance and direction to States and industry stakeholders in the regions on cyber protection. The paper highlighted that the digitalization of aviation in the near future and the global connection of aviation and air traffic management systems would pose challenges to secure the system, as failures at, or attacks on, individual systems might affect the whole aviation system. For that reason, ICAO should provide leadership in providing guidance, coordination and regulations. While noting that ICAO was currently working with the SSGC and the TFSG to evaluate the problems, CANSO considered that a well-governed body, working directly under the ICAO Council, would provide the efficiency and pace that was needed to continue the cybersecurity work, and presented a proposal for a “Cyber Resilience, Safety and Security Panel” (CRSSP). The SSGC and the TFSG would remain as working groups under that panel.

122. The Assembly was invited in WP/172 to:

- a) recognize the need for a speedy, well-governed multidisciplinary approach to cybersecurity;
- b) urge the ICAO Council to create a “Cyber Resilience, Safety and Security Panel” (CRSSP) under governance of the ICAO Council and the ATC; and
- c) urge the ICAO Council to create a working group under the newly-formed CRSSP for the establishment of a framework for an aviation Trust Framework.

123. The Observer from ICCAIA presented WP/219 (*Proposal regarding ICAO governance structure for cybersecurity*), which proposed the creation of a unified and multidisciplinary single ICAO entity, governed by Member States with the direct involvement of industry. The paper recognized that the ICAO vision for global cybersecurity identified the need for the aviation ecosystem to be resilient to cyberattacks, while continuing to innovate and grow. The Observer from ICCAIA explained that current cybersecurity panels and study groups were not sufficiently effective in coordinating ICAO activities for cybersecurity; a centralized cybersecurity entity would have the potential to address some of the issues identified by supporting the need for global aviation cross-domain governance of cybersecurity activities. The creation of a new ICAO entity needed to achieve the needs and objectives of the global civil aviation community, including airlines, airports, States and aviation manufacturers. The advantages and disadvantages of the different bodies, such as a panel or technical committee, should be weighed carefully

against their needs and objectives. The Observer from ICCAIA emphasized that industry had much to contribute and asked that its direct participation and role be considered as part of the final ICAO decision.

124. The Observer from ICCAIA highlighted that WP/219 shared the same fundamental proposals as WPs/283 (France), /427 (United States), /243 (ACI) and /172 (CANSO). He underscored the importance of taking into account WP/369 which the ICCAIA had submitted to the Technical Commission for consideration regarding the need to link the TFSG's activities to the ICAO Cybersecurity Strategy and the need for transversal coordination across ICAO in addressing cybersecurity.

125. The Assembly was invited in WP/219 to:

- a) request the Council to establish a civil aviation cybersecurity entity, governed by Member States with the support from industry, that could work transversally to consolidate and harmonize cybersecurity related activities across ICAO;
- b) request the Council to approve the Cybersecurity Strategy developed by the SSGC (cf. WP/28, Appendix B), while recognizing that the SSGC was not structured to address the horizontal and cross-cutting nature of cybersecurity;
- c) instruct the Secretary General to coordinate with States and industry to harmonize the cybersecurity risk management processes, taking into account the harmonization work already done at regional or national levels; and
- d) request the Council to urge States of various regions to develop cybersecurity crisis management capacities and to coordinate at the international level to prevent the loss of passengers' trust due to a local aviation cybersecurity incident.

126. The Delegate of Venezuela (Bolivarian Republic of) presented WP/348 [*Proposal for the creation of cybersecurity points of contact (PoC)*], which called on States to develop and implement a reliable communication mechanism to ensure that civil aviation was not disrupted by cyberattacks. The Assembly was invited to instruct the Council to request that the Secretariat design and implement a network of Cybersecurity Points of Contact (PoC) that quickly, efficiently and securely addressed the global challenges of cyber threats, and implemented the specifications in Annex 17 – *Security*.

127. The Delegate of Venezuela (Bolivarian Republic of) then introduced WP/394 (*Design of technical guidance for States for to implement ICAO cybersecurity requirements*), which requested information and guidance material for States to assist in the implementation of international Standards, the design of strategies, and the application of best practices for protecting critical infrastructure and communications systems from acts of unlawful interference that could threaten the safety of civil aviation. The Assembly was invited to instruct Council to request that the Secretariat develop guidance material, to be amended at appropriate intervals as needed, in order to assist Member States in addressing cyber threats and in implementing the specifications and procedures for aviation security contained in Annex 17 – *Security*.

128. It was noted that the following information papers had also been submitted: WP/490 (*Experiencia en la implementación de medidas de ciberseguridad en la aviación civil*) presented by Venezuela (Bolivarian Republic of); and WP/532 (*Aviation cybersecurity*) presented by Qatar.

Discussion

129. In expressing support for WP/283 (France), as well as for the other papers presented, the Delegate of Norway underscored that it was necessary to move forward in addressing the challenges in cybersecurity and affirmed that ICAO was the right forum for driving forward action at the global level. She emphasized the need for a more holistic approach to address the different aspects of cybersecurity, and

reiterated the importance of effective cross-domain work and coordination between the Security and Safety branches of the ICAO Secretariat, and their associated groups and panels. The Delegate of Norway also voiced appreciation for the information provided by France in WP/283 regarding its internal State coordination of public and private stakeholders involved in cybersecurity.

130. The Delegate of Israel also voiced support for WP/283, in particular, for France's approach regarding the establishment of efficient national coordination between civil aviation authorities and other relevant authorities in order to address cybersecurity. He highlighted that the Civil Aviation Authority of Israel, recognizing that aviation cybersecurity was a common challenge for aviation regulators and security agencies, had concluded a Memorandum of Understanding (MoU) with the Israeli National Cybersecurity Director in order to facilitate all aviation sub-cybersecurity activities, including oversight and research and development activities. The Delegate of Israel underscored that since the conclusion of the MOU, they had managed to cooperate much more efficiently and effectively together and to launch several national projects and international initiatives as well. Israel's experience thus showed that this trans-sectoral holistic approach, in close collaboration between agencies, was crucial for ensuring effectiveness and was very important for all industry.

131. Emphasizing that cybersecurity was an emerging threat that went well beyond civil aviation, the Delegate of Italy welcomed the strategic approach presented by France in WP/283 as it highlighted the fundamental aspects to be developed and implemented to ensure the safety and security of air transport and the efficient coordination among various national authorities. He noted, in this regard, that there was a lack of effective coordination between the Security and Safety branches of the ICAO Secretariat and associated groups and panels. In underscoring the need for a holistic approach to aviation cybersecurity, the Delegate of Italy emphasized that it would contribute to building a robust system that was resilient to cybersecurity threats and to preserving the continuity of air transport services. He expressed support for WP/243 (ACI), in particular, for the development of an action plan in support of the ICAO Cybersecurity Strategy.

132. The Delegate of Paraguay reiterated the importance of protecting civil aviation's critical infrastructure systems and data against cyber threats and stressed the need for ICAO, its Member States and other stakeholders to work collaboratively to establish an effective and coordinated global framework to address the cybersecurity challenges. He voiced support for WPs/348 and /349 [Venezuela (Bolivarian Republic of)].

133. The Delegate of Nicaragua endorsed all of the papers presented, in particular, WP/348 which proposed the establishment of a network of Cybersecurity PoC that quickly, efficiently and securely addressed the global challenges of cyber threats, and implemented the specifications in Annex 17. He stressed the need for the ICAO Regional Offices to provide support to States in implementing the proposed ICAO Cybersecurity Strategy (cf. WP/28, Appendix B).

134. In expressing support for WP/283 (France), the Delegate of Spain emphasized the need for an effective coordination of aviation cybersecurity globally with the support of States, industry and other stakeholders, as well as for a governance structure which spanned all policy-making aspects of aviation. He agreed that the governance structure should meet the criteria cited earlier by the Delegate of Romania (cf. paragraph 107 above) and underscored the need to take into account the points raised by the latter in his intervention.

135. The Delegate of the Netherlands shared this view. He underscored that before deciding on the governance structure it was crucial to have a clear vision of the role of the cybersecurity body, for example, whether it would only have an advisory role with respect to Annexes and panels potentially impacted by cybersecurity or would be tasked with proposing cybersecurity-related SARPs. The Delegate

of the Netherlands supported WP/221 (United Arab Emirates), subject to the remark made by the Delegate of Romania that cybersecurity-related SARPs need not necessarily be developed for all Annexes. He suggested that action paragraph b) of that paper be amended accordingly by inserting the word “relevant” before the word “Annex” so as to read “instruct ICAO to ensure that cybersecurity-related SARPs are developed for each relevant Annex with the active engagement of aviation safety experts”.

136. Fully supporting these comments, the Delegate of Switzerland noted that WP/427 (United States) contained some interesting elements which could be used for the further development of a governance structure, in particular the idea of establishing a new Council Technical Committee on Cybersecurity and Resiliency. He very much favoured such a bottom-up approach to the matter.

137. In voicing support for WPs/172 (CANSO), /283 (France) and /427 (United States), the Delegate of Brazil emphasized that he preferred the aviation cybersecurity governance structure proposed by the United States in the latter paper.

138. The Delegate of Cameroon endorsed the actions proposed in WPs/243 (ACI), /283 (France), /427 (United States) and /219 (ICCAIA) regarding the improvement of the governance of cybersecurity-related issues. In emphasizing that cybersecurity and resilience issues should be addressed holistically, she advocated the establishment of an entity comprising experts from Member States working hand-in-hand with ICAO’s Air Navigation Bureau (ANB) and Air Transport Bureau (ATB) to address cross-cutting issues related to cybersecurity, in particular, safety, security, resilience and operational continuity.

139. The Delegate of Canada echoed the comments made by the Delegate of Brazil in support of the United States’ vision for an aviation cybersecurity governance structure (WP/427), and agreed with the interventions by the Delegates of Switzerland and the Netherlands. He emphasized that, whatever the outcome of the discussion, it was necessary to ensure that there was adequate and appropriate governance at the appropriate level which recognized the multidisciplinary nature of cybersecurity and bridged the gap between safety and security.

140. The Delegate of Lebanon underscored the importance of cybersecurity in safeguarding data, airports’ electronic systems, aircraft’s electronic systems, air navigation systems, meteorological systems and instrument landing systems and thus in combatting terrorism. He cited, as an example, how a cyber attack by terrorists on the ILS could lead to catastrophic results.

141. In summarizing the discussion, the Chairperson indicated that the Executive Committee recognized the need to continue the work of the SSGC in a more formalized manner, thereby allowing for the structured coordination with other expert groups of ICAO. It thus welcomed the various proposals for governance structures in cybersecurity aimed to effectively coordinate cybersecurity activities across ICAO, ensure a multidisciplinary approach to cybersecurity, and foster the sharing of information. The Executive Committee had discussed appropriate criteria which could underpin a governance structure, including: i) work transparently across all aviation domains such as safety, air navigation, and security; ii) ongoing work under the SSGS and the TFSG should be continued under the aegis of an overarching new governance structure; iii) consistency between all relevant Annexes to the *Convention on international civil aviation* potentially impacted by cybersecurity and other related ICAO documents; iv) relevant experts were kept to a manageable number; and v) the structure was managed by Member States and ensured the involvement of industry stakeholders. Accordingly, the Executive Committee agreed that ICAO should swiftly conduct a feasibility study and gap analysis for consideration by the Council, in order to identify the most appropriate cybersecurity governance structure and coordinating mechanism, considering appropriate criteria.

142. The Executive Committee welcomed the implementation experiences shared by States and industry, acknowledging the importance of information-sharing and guidance for all stakeholders. ICAO should therefore ensure the continued cybersecurity PoC network development currently in progress, as well as continued maintenance and updating of the Repository for Cybersecurity.

Collaboration and cooperation

143. The Delegate of the United Arab Emirates introduced WP/251 (*Implementation of one-stop security recognition of equivalence of security measures*), which was presented by Australia, the United Kingdom and his State. The paper underscored that one-stop security arrangements increased cooperation and collaboration between States when implemented in accordance with Annex 17 SARPs, and highlighted the trilateral Memorandum of Understanding on Aviation Security Measures Applicable to Transfer Hold Baggage on routes between the said three States signed in March 2018 in Dubai in order to promote increased cooperation and collaboration on aviation security. The agreement was rooted in new principles regarding international cooperation for aviation security as developed by ICAO, and was one of the first of its kind to be concluded. The paper emphasized that as the implementation of one-stop security was still sporadic worldwide, States should be further encouraged to enter into collaborative arrangements and implement one-stop security to increase the sustainability of the aviation security system.

144. The Assembly was invited in WP/251 to:

- a) request States to further adopt the principles of international cooperation as defined in air services agreements and the recognition of equivalent security measures; and
- b) support the need for States to enter into collaborative arrangements, such as bilateral and/or multilateral agreements, and implement one-stop security arrangements in accordance with the specific regulatory language of Annex 17 and the ICAO *Aviation Security Manual* (Doc 8973) in order to increase the sustainability of the aviation security system by avoiding unnecessary duplication of security controls, where consistent with their assessment of risk.

145. The Delegate of the United Arab Emirates then presented WP/148 (*Collaborative arrangements between states in mitigating security risks to civil aviation*), which discussed the need and importance of strengthening cooperation and collaboration between States regarding sharing of relevant aviation security information in order to enhance effectiveness and efficiency of risk-based aviation security measures at the national, regional and global level. The paper highlighted that Egypt, Jordan, Oman, Saudi Arabia, Sudan and the United Arab Emirates had decided to sign a multilateral MoU regarding the sharing and protection of sensitive aviation security information and that other Member States of ICAO and the Arab Civil Aviation Organization (ACAO) had been invited to join the agreement as appropriate. The objective of that multilateral MoU was to enhance effectiveness and efficiency of risk-based aviation security measures. The Assembly was invited in WP/148 to urge States to enter into bilateral/multilateral collaborative arrangements for the sharing of aviation security information in order to enhance effectiveness of aviation security measures and efficiently address new and emerging threats.

146. The Delegate of South Africa introduced WP/254 (*Collaboration between security agencies*) which underscored that aviation security was not the responsibility of only one agency or department within a State and provided information of the establishment of a collaborative structure at OR Tambo International Airport (ORTIA) in South Africa in order to counter crimes affecting air travellers. The paper highlighted that the results had been beneficial for landside security, intelligence sharing and security culture and that political will had been critical to the success of that initiative as it required close collaboration between, and support from, relevant South African Government Ministers.

147. The Assembly was invited in WP/254 to:

- a) note the contents of the paper; and
- b) encourage other States, that have not already done so, to establish cooperation and collaboration strategies and to build partnerships, in order to improve the effective implementation of SARPs.

Discussion

148. In voicing support for WP/148 (United Arab Emirates), the Delegate of Spain reiterated that the sharing of relevant aviation security information would enhance the effectiveness and efficiency of risk-based aviation security measures at the national, regional and global level.

149. The Delegate of Switzerland also endorsed WP/148. Referring to WP/251 (Australia, the United Arab Emirates and the United Kingdom), he cautioned that it was the State of departure which bore full responsibility for security measures at airports and that it would require sufficient assurance prior to the implementation of one-stop security arrangements. He thanked South Africa for sharing its experience regarding the collaborative structure put in place at ORTIA to counter crimes, which was a very important element of landside security.

150. The Delegate of Australia noted that her State was pleased to be a co-presenter of WP/251. In light of the increasing travel and trade volumes, Australia acknowledged the significant benefits to be gained from one-stop security arrangements as they offered a range of benefits, including reduced costs for industry by eliminating unnecessary duplication of security controls, providing a more seamless travel experience for passengers, and helping to build stronger and more collaborative relationships between governments. However, as with any mechanism, in streamlining security it was important to ensure that security outcomes were maintained or strengthened.

151. In voicing supporting for WP/254 (South Africa), the Delegate of Italy welcomed the development of an integrated multidisciplinary tactical security plan for airports and emphasized that such collaboration among government agencies and aviation stakeholders was a key factor in achieving major security objectives quickly and efficiently. Noting that that fact was also acknowledged in the GASeP, one of its fundamental principles being cooperation and information-sharing, he expressed appreciation for the model implemented at ORTIA and encouraged increased collaboration between and within States, as also advocated in WP/148 (United Arab Emirates), which paper he likewise endorsed.

152. The Delegate of Senegal also expressed support for WP/148, particularly the strengthening of cooperation and collaboration between States for the sharing of relevant aviation security information to mitigate threats to civil aviation. He thanked South Africa for sharing its related experience in WP/254.

153. In endorsing WP/254, the Delegate of Saudi Arabia reiterated the importance of collaboration between security agencies in protecting the aviation system against threats. Referring to WP/148, he expressed appreciation to the United Arab Emirates for its efforts in concluding a multilateral MoU between that State and Egypt, Jordan, Oman, Saudi Arabia and Sudan regarding the sharing and protection of sensitive aviation security information. The Delegate of Saudi Arabia affirmed that the MoU would have a beneficial effect on aviation security in the region.

154. The Delegate of the United Kingdom welcomed all three papers presented, which had the common theme of working better together. He emphasized that working better together was something all must strive for, whether through ICAO, or on a State-to-State basis, or within States, or with industry. Drawing attention to WP/251 (Australia, the United Kingdom and the United Arab Emirates), which

outlined the benefits of one-stop security between States which had equivalent aviation security regimes, the Delegate of the United Kingdom highlighted that one-stop security arrangements could lead to a more efficient aviation security system and the avoidance of duplication i.e. working better by working together. He nevertheless agreed with the Delegate of Switzerland that equivalence of measures and arrangements for oversight of those measures were key to protecting the system in any one-stop security arrangement. Noting that aviation was a network which involved many different government and industry entities, the Delegate of the United Kingdom affirmed that it was vital that all of the entities worked collaboratively to protect the network from malicious acts. He therefore supported the actions proposed in WP/254 (South Africa) and WP/148 (United Arab Emirates).

155. In endorsing WPs/148 and /251, the Delegate of Nigeria encouraged States to share relevant information related to threats to civil aviation using collaborative arrangements. He also expressed support for WP/254, in particular action paragraph b) in which the Assembly was invited to encourage other States, that have not already done so, to establish cooperation and collaboration strategies and to build partnerships, in order to improve the effective implementation of SARPs. The Delegate of Nigeria expressed appreciation to South Africa for sharing its experience in that regard.

156. In summarizing the discussion, the Chairperson indicated that when considering the need for increased cooperation and collaboration between States, as called for by some Member States, the Executive Committee supported the HLCAS/2 conclusion that one-stop security arrangements between like-minded States based on the recognition of equivalence of security measures could benefit the aviation security system by bringing about increased efficiency and more effective use of resources. The Executive Committee therefore encouraged States to enter into collaborative arrangements and implement one-stop security arrangements in order to increase the sustainability of the aviation security system by avoiding unnecessary duplication of security controls, where consistent with the guidance material found in the ICAO *Aviation Security Manual* (Doc 8973) and relevant risk assessment. While one-stop security arrangements might be challenging for some States to engage in, the Executive Committee recognized that other approaches existed to achieve greater efficiency in aviation security. Such approaches included enhanced collaboration between States and among government agencies and aviation stakeholders by way of information-sharing arrangements, multilateral agreements (e.g. MoU) and cooperation mechanisms. In that regard, the Executive Committee welcomed the initiative by a Member State (South Africa; WP/254), and encouraged other States to further explore similar approaches and collaborative arrangements.

Any other business

157. The Chairperson informed the Executive Committee that due to the youth Climate Strike march scheduled to take place in downtown Montréal on Friday, 27 September 2019, ICAO premises would be closed that day, with no delegations or personnel allowed into the building. Meetings of the Executive Committee, the Technical Commission and the Economic Commission would be scheduled for Saturday, 28 September 2019, in the afternoon, and additional meetings of the Executive Committee would be scheduled for Sunday, 29 September 2019, in the morning and afternoon. A revised timetable (WP/10) would be issued shortly.

158. The Chairperson further indicated that only essential staff members designated by the Bureau Directors/Chiefs of Office were required to come to work for the said meetings, and that managers should plan and provide instructions to staff members working the night shift.

159. The meeting adjourned at 1700 hours.

Minutes of the Fourth Meeting
(Saturday, 28 September 2019 at 1415 hours)

SUBJECTS DISCUSSED

1. Agenda Item 12: Aviation Security – Policy (continued)

Security culture

- Paper presented by Argentina, Australia, Belgium, Brazil, Canada, China, France, Gambia, Germany, Ghana, Ireland, Italy, Japan, Jordan, Kenya, the Netherlands, New Zealand, Nigeria, North Macedonia, Portugal, Qatar, Romania, Saudi Arabia, Sierra Leone, Singapore, Switzerland, Turkey, the United Arab Emirates, the United Kingdom, the United States, Airports Council International (ACI) and International Air Transport Association (IATA)
- Paper presented by Argentina, Qatar, Switzerland, the United Arab Emirates and IATA
- Paper presented by Singapore and co-sponsored by Argentina, Armenia, Belgium, Brazil, Cambodia, Canada, China, Fiji, France, Italy, Japan, Jordan, Lao People's Democratic Republic, Marshall Islands, Nauru, New Zealand, Nigeria, Palau, Papua New Guinea, Philippines, Portugal, the Russian Federation, Senegal, Switzerland, Thailand, Trinidad and Tobago, the United Arab Emirates and the United Kingdom
- Information paper presented by Cameroon

State oversight activities

- Paper presented by the Dominican Republic
- Paper presented by the African Civil Aviation Commission (AFCAC) on behalf of the 54 Member States
- Information paper presented by Finland on behalf of the European Union (EU) and its Member States
- Information paper presented by Iran (Islamic Republic of)

Strengthening regional implementation

- Paper presented by Kazakhstan
- Paper presented by the Russian Federation

Other updates to the Assembly

- Information papers presented by the Dominican Republic
- Information paper presented by India
- Information paper presented by Indonesia
- Information paper presented by Oman
- Information paper presented by Venezuela (Bolivarian Republic of)

Resolutions to be adopted by the Assembly

- *Consolidated statement on continuing ICAO policies related to aviation security*
- Information paper presented by Lebanon, Mexico, Nigeria, Qatar, Saudi Arabia, Singapore, the United Arab Emirates and by Finland on behalf of the EU and its Member States and the other Member States of the European Civil Aviation Conference (ECAC)

2. Agenda Item 13: Audit Programmes – Continuous Monitoring Approach

- *Implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes*

Evolution of the USOAP CMA

- *Report on the evolution of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)*
- Paper presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC and by the European Organisation for the Safety of Air Navigation (EUROCONTROL) and co-sponsored by New Zealand
- Paper presented by Australia and New Zealand and co-sponsored by Singapore, the United Kingdom and Finland on behalf of the EU and its Member States
- Paper presented by the United Arab Emirates
- Paper presented by Brazil
- Paper presented by the Dominican Republic
- Paper presented by Qatar
- Paper presented by Peru and co-sponsored by Belize, Bolivia (Plurinational State of), Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela (Bolivarian Republic of)
- Papers presented by Peru and co-sponsored by Belize, Bolivia (Plurinational State of), Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela (Bolivarian Republic of)
- Paper presented by Peru and supported by the Member States of the South American (SAM) region and by the Member States of the Latin American Civil Aviation Commission (LACAC)
- Paper presented by Venezuela (Bolivarian Republic of)
- Paper presented by Venezuela (Bolivarian Republic of) and co-sponsored by Belize, Bolivia (Plurinational State of), Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Peru and Uruguay
- Information paper presented by Bolivia (Plurinational State of) and supported by Member States of the SAM region and LACAC Member States
- Information paper presented by the Republic of Korea

Report on the review of the scope and methodology of the USAP-CMA

- *Report on the review of the scope and methodology of the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA)*
- Paper presented by AFCAC on behalf of the 54 Member States
- Paper presented by Cuba

3. Any other business

SUMMARY OF DISCUSSIONS

Agenda Item 12: Aviation Security – Policy

1. The Executive Committee resumed (EX/3) and completed its consideration of Agenda Item 12. Discussion focussed on the issues of security culture, State oversight activities, strengthening regional implementation, other updates to the Assembly, and Resolutions to be adopted by the Assembly, which were documented in one main paper presented by the Council, WP/27 (*Consolidated statement on continuing ICAO policies related to aviation security*), and related papers presented by States and international organizations.

Security culture

2. The Delegate of Brazil introduced WP/253 (*Practical campaigns to transform security culture*) presented by Argentina, Australia, Belgium, Brazil, Canada, China, France, Gambia, Germany, Ghana, Ireland, Italy, Japan, Jordan, Kenya, the Netherlands, New Zealand, Nigeria, North Macedonia, Portugal, Qatar, Romania, Saudi Arabia, Sierra Leone, Singapore, Switzerland, Turkey, the United Arab Emirates, the United Kingdom, the United States, ACI and IATA. The paper underscored that establishing a comprehensive security culture was imperative to long-term, effective aviation security as it helped to mitigate both insider threats and external threats. While there was a broad consensus on the importance of security culture, the transformation in security culture behaviour and awareness could be challenging to deliver in aviation operations. The paper therefore encouraged States, organizations, and industry to work together in partnership to actively embrace and embed a positive security culture. It was necessary to vigorously promote a positive security culture with employees motivated and held accountable to follow security procedures and regulations. Support for a security culture needed to be turned into practical actions, as outlined in paragraphs 2.3 and 4.3 of the paper. That included security culture campaigns that highlighted the importance of security at the airport and in its surroundings. A campaign should focus on all personnel at all levels and on key departments such as human resources and marketing which would understand the best ways to communicate security messages to employees. Existing ICAO guidance material and tools on security culture would assist, as would the production of the security culture campaign Starter Pack by the ICAO Aviation Security Panel (AVSECP) Working Group on Training (WGT). It was hoped that ICAO would make more resources available to deliver security culture initiatives with high profile security campaigns conducted all over the world in the next year (2020) and beyond.

3. The Assembly was invited in WP/253 to:
 - a) call upon all Member States, organizations and industry to implement practical campaigns to enhance security culture within their respective jurisdictions or organizations;
 - b) encourage Member States in collaboration with organizations and industry to promote and share security culture practices and benefits with stakeholders;
 - c) urge the ICAO Secretariat to make resources available to deliver a “Global Security Culture Campaign” and associated workshops to support the efforts of States, organizations and industry; and
 - d) support the continuing work being undertaken by ICAO to identify and develop tangible methods for States to implement and sustain a strong security culture.

4. The Observer from IATA presented WP/178 [*Integrated Risk Management (IRM) approach – Security culture*] on behalf of Argentina, Qatar, Switzerland, the United Arab Emirates and IATA. The paper advocated a more integrated approach to aviation security including risk management, risk-focused actions, and a more effective security culture, which was one of the most important aspects of the ICAO Global Aviation Security Plan (GASeP). It underscored that each State and each industry stakeholder should develop, maintain, and continuously reinforce a robust security culture to encourage all employees to think and act in a security conscious manner. A security culture was essential to handle one of the most challenging threats, insider threats, as most of the vulnerabilities and loopholes in security systems were known or visible to all employees working in a civil aviation environment. Educating employees about the threats and their impact and the essential role which they could play in security aimed at increasing the level of security consciousness, thus reducing the potential risks for a successful attack with proactive detection at the earliest stage. The paper recalled that provisions had already been introduced in the IATA Operational Safety Audit (IOSA) Programme Standard Manual for initial and recurrent security awareness training, as well as for incidents reporting, and underscored that proposed Amendment 17 to Annex 17 – *Security* would further reinforce those two essential elements for security alertness, consciousness, and culture. The paper also highlighted that ICAO was developing a new safety and security incident reporting mechanism, including a widely-recognized security incident taxonomy, through a Sub-group of an AVSECP Task Force which was chaired by the United Arab Emirates.

5. The Assembly was invited in WP/178 to:
 - a) request that ICAO promote and assist in the rapid development of an extensive and inclusive security taxonomy, as well as information-sharing processes, to be used by all States and stakeholders; and
 - b) request States and encourage all industry stakeholders to review and update national requirements and syllabus of existing initial and recurrent security awareness training programmes to include incident reporting awareness and processes and familiarize themselves with other equivalent tools already developed by States and the industry.

6. The Delegate of Singapore introduced WP/328 (*Promoting awareness on aviation security to other agencies and organizations*) (with Corrigendum No. 1) presented by his State and co-sponsored by Argentina, Armenia, Belgium, Brazil, Cambodia, Canada, China, Fiji, France, Italy, Japan, Jordan, Lao People’s Democratic Republic, Marshall Islands, Nauru, New Zealand, Nigeria, Palau, Papua New Guinea, Philippines, Portugal, the Russian Federation, Senegal, Switzerland, Thailand, Trinidad and Tobago, the United Arab Emirates and the United Kingdom. The paper underscored that aviation security was a critical pillar in the global civil aviation system. Unfortunately security threats to civil aviation remained a constant challenge and those threats continued to evolve and had become sophisticated. Human factors thus continued to be an essential component to address those threats.

7. WP/328 highlighted that the civil aviation ecosystem comprised many organizations which had a part to play in the safe and secure movement of aircraft, people, and goods by air across the world where security was everyone's responsibility. The paper emphasized, in that regard, that promoting and raising security awareness of aviation security to other agencies and organizations, especially to those which had a role in the civil aviation ecosystem, would be useful and beneficial to all stakeholders. Those could include, for example, law enforcement agencies, air navigation service providers, immigration and customs personnel, airport emergency services, airlines, ground handling agents, and personnel working within the airside of the airports, from top management down. It emphasized that non-aviation security personnel could also play important roles to strengthen aviation security, citing, as an example, that they could act as eyes and ears to alert for suspicious persons or items in an airport or aircraft, which could prevent an incident from occurring. They could also assist in the event of a security incident to help minimize casualties and damage. In summary, the paper encouraged States and stakeholders to consider the importance of promoting awareness on aviation security and developing a security culture for all agencies, including from top management down, and across agencies whose primary responsibility was not aviation security but which were involved in, or responsible for, the implementation of various aspects of the State's National Civil Aviation Security Programme (NCASP), the Airport Security Programme (ASP), and those personnel authorized to have unescorted access to airside areas. The paper affirmed that those efforts would strengthen the security of the global aviation system and protect civil aviation operations worldwide.

8. The Assembly was invited in WP/328 to encourage States and industry organizations to enhance coordination and promote awareness on aviation security for all entities within their civil aviation ecosystem, including non-AVSEC agencies, aligned with the new GASeP provisions for continual vigilance on aviation security.

9. It was noted that the following information paper had also been submitted: WP/491 (*Promotion de la culture de sûreté en milieu aéroportuaire*) presented by Cameroon.

State oversight activities

10. The Delegate of the Dominican Republic presented WP/405 (*Proposal for the implementation of matrices to determine the priority and frequency of State oversight activities*), in which his State highlighted the need to develop a matrix model for setting out priorities and frequency in respect of State aviation security oversight activities. Such matrices would serve to identify mechanisms and methodologies for orderly and systematic compliance oversight, ensure effective implementation of the NCASP, and enable the prioritization of resources for oversight on the basis of risk assessments. The proposal was related to the following two Standards of Annex 17 – *Security*: Standard 3.4.5, which stated “Each Contracting State shall ensure that the implementation of security measures is regularly subjected to verification of compliance with the national civil aviation security programme. The priorities and frequency of monitoring shall be determined on the basis of risk assessment carried out by the relevant authorities.”; and Standard 3.4.6, which stated “Each Contracting State shall arrange for security audits, tests, surveys and inspections to be conducted on a regular basis, to verify compliance with the national civil aviation security programme and to provide for the rapid and effective rectification of any deficiencies.”. The matrix should be developed taking into account the components listed in paragraph 2.6 of the paper, as a minimum. Those components included, inter alia: specific security measures for flights that were high-risk or were on a heightened alert for threats; the response capacity for acts of unlawful interference; performance of agents implementing security controls; security equipment purchasing needs; and findings from AVSEC quality control activities. A model matrix for State oversight activities was set forth in the Appendix to the paper.

11. The Assembly was invited in WP/405 to develop a matrix model for aviation security oversight that States could use as a reference in determining the priorities and frequency of their respective aviation security oversight system activities.

12. The Observer from AFCAC introduced WP/165 Revision No. 1 (*Challenges facing the aviation security quality control and rectification of identified deficiencies*) on behalf of the 54 AFCAC Member States. The paper highlighted the global challenges being faced in the implementation of the aviation security quality control programme and proposed the enhancement of that programme and its effective implementation in order to ensure a safe and secure civil aviation system in a sustainable manner.

13. The Assembly was invited in WP/165 Revision No. 1 to:

- a) note the information contained in the paper;
- b) urge Member States to include quality control in their lists of priorities;
- c) urge Member States to devote adequate resources and put in place appropriate organization to ensure effective implementation of quality control activities; and
- d) request ICAO to include quality control in the list of priorities to be outlined at this Assembly.

14. It was noted that the following information papers had also been submitted: WP/112 (*European Union aviation security oversight*) presented by Finland on behalf of the EU and its Member States; and /466 [*Incorporation of security oversight eight Critical Elements (CE) into Annex 17*] presented by Iran (Islamic Republic of).

Strengthening regional implementation

15. The Delegate of Kazakhstan presented WP/171 [*States' work and work results in the area of aviation security (AVSEC) and facilitation (FAL) in cooperation with the ICAO EUR/NAT Office and the need for enlarged and appropriate staffing of the EUR/NAT Office*], which emphasized that the ICAO European and North Atlantic (EUR/NAT) Office in Paris was a major platform for cooperation and information exchange in the region for aviation security and facilitation. The paper underscored that the EUR/NAT Office played a key role in coordinating the activities of its 56 States and in providing them with assistance and capacity building to implement the Standards and Recommended Practices (SARPS) of Annex 17 – *Security* and Annex 9 – *Facilitation*, as well as the GASeP. It also highlighted the EUR/NAT AVSEC Group (ENAVSECG), which was the largest platform for cooperation, coordination and exchange of information in the region, encompassing all 56 States in the area of accreditation, as well as industry and regional and international organizations.

16. The Assembly was invited in WP/171 to:

- a) note the information provided in the paper;
- b) support the request to adequately equip the ICAO EUR/NAT Office with two Regional Officers AVSEC/FAL to continue the excellent support to States in their endeavour to implement Annex 17 and Annex 9 in a harmonized manner and enable States to improve as necessary to be in the position to achieve the aspirational regional targets established in the EUR/NAT Regional GASeP Roadmap endorsed by the EUR/NAT-DGCA; and
- c) recognize the risk deriving from inadequate staffing of the ICAO EUR/NAT Office.

17. The Delegate of the Russian Federation presented WP/355 (*On measures to improve the workforce status with aviation security employees in the EUR/NAT Office*) which highlighted that in view of the growing threat of acts of unlawful interference against civil aviation, recent terrorist acts at civil aviation facilities, increasing extremist and terrorist activity in the world, there was a growing need to strengthen the regulatory actions to improve measures to ensure aviation security both globally and regionally and to increase coordination between ICAO and Member States. To that end, ICAO was pursuing a policy of strengthening the AVSEC workforce in each of the ICAO regions. The Russian Federation had concerns, however, regarding the situation at the ICAO EUR/NAT Office, which had the largest number of accredited States (56). Currently there was only one AVSEC employee position and it was funded not through the Organization's Regular Programme Budget but rather from voluntary contributions from the AVSEC Fund.

18. The Assembly was invited in WP/171 to:

- a) acknowledge the need to strengthen the AVSEC workforce at the ICAO EUR/NAT Office;
- b) propose that the Secretary General commit within the ICAO Regular Programme Budget for the next triennium 2020-2022 additional funds for two staff AVSEC employees in addition to the EUR/NAT positions funded from the ICAO Regular Programme Budget, while retaining the extra-budgetary AVSEC employee position, which is currently funded by voluntary contributions; and
- c) urgently recommend that the Council of ICAO in the ICAO Regular Programme Budget for 2023-2025 convert the aforementioned extra-budgetary AVSEC employee position into a staff position within the Regular Programme so that the ICAO EUR/NAT Office would soon have no fewer than two (2) AVSEC staff positions and later would have no fewer than three (3) staff positions funded by the Regular Programme Budget.

Other updates to the Assembly

19. It was noted that the following information papers had also been submitted: WP/494 (*Licencias del personal certificado en seguridad de la aviación civil en la República Dominicana*) and WP/495 (*Ley 188-11, que regula la seguridad aeroportuaria y de la aviación civil en la República Dominicana*), both presented by the Dominican Republic; WP/569 (*Biometric access control system for staff working at airports*), presented by India; WP/517 (*Aviation security in Indonesia*), presented by Indonesia; WP/543 (*Oman's experience in updating and amending its national legislation in accordance with Annex 17 SARPs and the security-related provisions of Annex 9*), presented by Oman; and WP/489 (*Modernización del sistema de seguridad de la aviación del estado venezolano*), presented by Venezuela (Bolivarian Republic of).

Discussion

20. The Delegate of the Republic of Korea reiterated the need for a practical campaign to enhance the security culture as highlighted in WP/253 (Argentina and others). He also voiced full support for WP/178 (Argentina and others) and expressed appreciation for the efforts by ICAO, in particular, by the AVSECP, its Task Force on Aviation Safety Data and Aviation Security Incident Reporting and the latter's Sub-Group on Aviation Security Incidents Reporting, to develop an aviation security incident reporting system. The Delegate of the Republic of Korea underscored the importance of promoting awareness of aviation security and developing a security culture both for both aviation security and non-aviation security personnel as outlined in WP/328 (Singapore and others). He also voiced support for

both WP/165 Revision No. 1 (AFCAC) and WP/405 (Dominican Republic) relating to the enhancement of the Aviation Security Quality Control Programme and its effective implementation.

21. The Delegate of Italy expressed her State's deep appreciation for the common principles enunciated in the papers which had been presented and reaffirmed its commitment to work on the grounds of fruitful collaboration for their implementation. Italy strongly supported the GAsEP, especially with regard to improving risk awareness and developing security culture and human capability, which ideas were fully described in WPs/178 and /253 (Argentina and others) and WP/328 (Singapore and others). Italy appreciated the ongoing efforts to achieve an effective security regime and to increase security culture behaviour and awareness, and considered that to reach those comprehensive goals it was necessary to implement practical and concrete actions undertaken by States within their organizations and in collaboration with industry and stakeholders. Italy also supported WP/165 Revision No. 1 (AFCAC) which underscored the importance of monitoring the effective implementation of aviation security measures.

22. The Delegate of Zambia, whose State was a Member of AFCAC, fully endorsed the recommendations set forth in WP/165 Revision No. 1, in particular, that States prioritize aviation security quality control activities.

23. The Delegate of Spain expressed support for WP/253 (Argentina and others) on implementing practical campaigns to enhance security culture, as well as for WP/328 (Singapore and others) on raising awareness of the need for aviation security to remain a priority for States and the entire international community in view of the threats and risks to global civil aviation. He emphasized that the constant growth in air traffic necessitated an appropriate framework at both the national and international levels to manage that increase in a safe and efficient way. The Delegate of Spain underscored, in this regard, that aviation security incidents had worldwide repercussions and that the promotion of a security culture was one of the five key priorities of the GAsEP which were essential to achieve in order to ensure confidence in the global air transport system.

24. The Delegate of Portugal indicated that his State fully supported WP/253 (Argentina and others) and WP/328 (Singapore and others) as it considered that security culture was an essential component for the mitigation of the insider threat in organizations. Personnel that thought and acted in a more security-conscious way were one of the pillars of a strong, robust, and risk-resilient aviation security system. The latter was achieved if people knew that they had a critical role to play within a security regime. Portugal was a Member of the ICAO AVSECP Working Group on Training and wished to highlight the work done by the WGT in its efforts to achieve the tasks outlined in the GAsEP regarding security culture, in particular, the ICAO Toolkit on Enhancing Security Culture and the development of the ICAO Security Culture Workshop. Portugal was one of the States which had taken the initiative to propose the development of new Annex 17 SARPs on security culture and considered that the implementation of an internal security culture policy by the relevant entities in the aviation environment would decisively contribute to consolidation of a robust security culture in the civil aviation sector. Portugal urged the Assembly to endorse practical campaigns by States, industry, and ICAO to transform security culture at airports around the world, which could include targeted airport communications that highlighted the importance of good security, security culture workshops and training, and staff briefings and handouts which enabled continuous awareness of security measures. In emphasizing the importance of senior leaders embedding security into airport operations, Portugal welcomed the work done by the AVSECP WGT to help that become a reality.

25. The Delegate of Senegal, whose State was a Member of AFCAC, endorsed WP/165 Revision No. 1 in view of the importance of aviation security quality control. He also expressed support for WPs/178 and /253 (Argentina and others) and WP/328 (Singapore and others) relating to security culture.

26. In also supporting WPs/178 and /253, the Delegate of South Africa affirmed the importance of security culture and expressed appreciation for the practical steps proposed in the latter paper. In agreeing with the views expressed in WP/178 regarding the harmonization of security taxonomy and the reporting of security incidents, he underscored that they were similar to the views expressed by South Africa in WP/220 (*Regional Cooperation*), discussed previously by the Executive Committee under Agenda Item 20 (EX/2). South Africa considered that enhancing aviation security awareness was important and was in everyone's interest and therefore supported it. The Delegate of South Africa endorsed WP/165 Revision No. 1, his State being an AFCAC Member, and reiterated that aviation security quality control should be prioritized as it would have positive impacts. He also voiced support for WP/405 (Dominican Republic) which highlighted the importance of prioritizing State aviation security oversight activities.

27. The Delegate of China indicated that his State endorsed WP/253, of which it was a co-presenter. China actively participated in the implementation of the GASeP and considered that the development of a strong security culture was very important for ensuring long-term, effective aviation security. It was necessary for both aviation security and non-aviation security personnel to take part in creating and sustaining such a security culture. China also supported WP/328 as one of the paper's co-sponsors. It reiterated the need to promote awareness of aviation security to other agencies, including non-aviation security entities, through measures such as AVSEC training awareness programmes, and to increase capacity building.

28. The Delegate of China recalled, in this regard, that ICAO, in cooperation with the Singapore Aviation Academy (SAA), had held a very successful Directors General of Civil Aviation (DGCAs) Programme on Aviation Security on 1 and 2 December 2018 at ICAO Headquarters, immediately after the Second High-Level Conference on Aviation Security (HLCAS/2). He then drew attention to information paper WP/497 (*Latest progress of China's aviation security training*), which China had submitted under Agenda Item 25 (EX/7). The paper highlighted that from 2011 to 2019 China's Kunming Aviation Security Training Center (ASTC Kunming) had trained 157 AVSEC professionals, under ICAO's leadership. Furthermore, in 2017 and 2018 China had held the ICAO National Aviation Security Instructor Training Course (in English) and the ICAO National Inspector Training Course (in Chinese), respectively, which had improved the implementation of relevant ICAO SARPs. The paper also highlighted that from 2013 to the present China had organized various activities of cooperation under its "Belt and Road" Initiative, including, since 2016, three seminars on aviation security quality control in "Belt and Road" States, which had provided a platform for 43 aviation personnel from more than ten States in Africa, Southeast Asia, Central Asia and other regions to carry out study and research on aviation security. The Delegate of China emphasized that all of his State's said aviation security training activities had enhanced the implementation of the GASeP, as well as of ICAO's *No Country Left Behind* (NCLB) initiative.

29. In reiterating that effective aviation security required the efforts of all stakeholders, the Delegate of Chile affirmed that the development of a strong security culture was a useful tool to achieve that end. He therefore supported the actions proposed in WP/253 (Argentina and others), in particular, the promotion and sharing of security culture practices and benefits by States, organizations and industry, which would further strengthen aviation security globally.

30. The Delegate of the United Kingdom endorsed both WPs/253 and /328 on security culture, which had been co-sponsored by his State and many others from around the world. Emphasizing that now was the time to transform security culture at airports in view of the rapidly evolving threats, he underscored that it was essential that political support to promote security culture be turned into concrete actions of the kind mentioned in WP/253. It was vital that practical campaigns to raise the profile of, and enhance, security culture were implemented by States and industry. The Delegate of the United Kingdom noted, however, that such campaigns would need the support and strategic direction of senior leaders. Budgets and resources to run a campaign were important, but so were the attitudes of personnel. It was important to

lead from the front and have policies and procedures in place to define a security culture. A campaign should seek to raise aviation security awareness and embed a security culture into everything that was done across the entire aviation sector. While acknowledging that change in behaviour took time, the Delegate of the United Kingdom recalled that such changes had been successfully achieved previously in other disciplines such as aviation safety. He indicated that the Assembly should take heart from that and draw on the lessons of those successes in taking an equally proactive approach to security culture. Affirming that ICAO had an important role to play, the Delegate of the United Kingdom indicated that he fully supported the ICAO Secretariat delivering a “Global Security Culture Campaign” as proposed in action paragraph c) of WP/253, and suggested that 2020 could be designated the *Year of Security Culture*.

31. The Delegate of Nigeria, whose State was also one of the co-sponsors of WPs/253 and /328, likewise expressed full support therefor. In reiterating that security culture was an essential component of an effective aviation security system, he emphasized that promoting it would help to mitigate against both insider threats and external threats. As his State was a Member of AFCAC, the Delegate of Nigeria endorsed WP/165 Revision No. 1 and underscored that implementation of aviation security quality control obligations had become difficult for some States due to the insufficiency of regulatory provisions, adequately trained personnel, and resources. He also voiced support for WP/405 (Dominican Republic).

32. The Delegate of Costa Rica noted that his State’s recent USAP-CMA audit had posed a big challenge, one that it would have to meet in the coming years. In voicing support for WP/165 Revision No. 1 (AFCAC), he highlighted paragraph 1.4, which quoted Annex 17 Standard 3.4.7 a), as follows: “ensure that the personnel carrying out security audits, tests, surveys and inspections are trained to appropriate standards for these tasks in accordance with the national civil aviation security programme;”. The Delegate of Costa Rica reiterated the importance of ensuring that aviation security personnel were sufficiently trained. In endorsing WP/405 (Dominican Republic), he affirmed that the proposed model matrix for State oversight activities was an excellent tool which States should use to enhance their oversight activities. The Delegate of Costa Rica also supported WP/253 (Argentina and others) on practical campaigns to transform security culture.

33. In endorsing WP/178 (Argentina and others) and /328 (Singapore and others), the Delegate of Peru emphasized the importance of promoting security awareness and developing a security culture for all agencies through sound practices such as training programmes in order to ensure the implementation of the aviation security measures set forth in NCASPs.

34. The Delegate of Switzerland expressed support for the three papers relating to security culture (WPs/178, /253, and /328), as well as for the paper relating to aviation security quality control (WP/165 Revision No. 1) (AFCAC). Referring to WP/171 (Kazakhstan) and WP/355 (Russian Federation), he indicated that while he fully appreciated the paramount importance of the work of the Regional Offices, particularly with regard to GASeP implementation, he nevertheless considered that the attribution of staff to the Regional Offices should be left to the discretion of the Secretary General. The Delegate of Switzerland noted that the level of GASeP implementation in each region was a good indicator of where the biggest needs for assistance were.

35. The Delegate of Argentina emphasized that security culture was not just a good strategy – it was the only way to achieve an effective aviation security system which was able to prevent, and respond to, illicit incidents at the local, regional, and international levels. It was for that reason that it was important for security culture to be implemented at all levels and in all organizations involved in civil aviation, as highlighted in WPs/178, /253 and /328, of which Argentina was a co-presenter. In commending and supporting the Delegate of the United Kingdom’s proposal to designate 2020 the *Year of Security Culture*, the Delegate of Argentina underscored that not only States but also industry and other stakeholders should be invited to commemorate it.

36. Referring to WP/171 (Kazakhstan) and WP/355 (Russian Federation), the Delegate of Argentina underscored that his State firmly supported ICAO's Regional Offices in view of the important role they played in assisting States and supporting regional group meetings, and suggested that the Secretariat at Headquarters be more involved in regional group meetings to foster close ties and ensure consistency in the work. He noted that Argentina also endorsed WP/405 (Dominican Republic) as it considered that the proposed model matrix for State aviation security oversight represented best practices and procedures.

37. The Delegate of Côte d'Ivoire, whose State was an AFCAC Member, expressed full support for WP/165 Revision No. 1 on aviation security quality control, which was one of the GASeP's five priorities. He noted that quality control currently constituted a weak link in the chain of measures taken by States to ensure an effective aviation security system.

38. In voicing strong support for WP/328 (Singapore and others), the Delegate of Myanmar underscored that the growing complexity of aviation security challenges faced globally by all States and stakeholders warranted that all levels of personnel from non-AVSEC agencies possess at least a baseline appreciation and understanding of the importance of aviation security and the implications of preventing, and effectively dealing with, acts of unlawful interference against civil aviation.

39. The Delegate of the Democratic Republic of Congo joined other Delegates in supporting all of the enhancements achieved in aviation security as a result of States' effective oversight activities. In endorsing WP/405 (Dominican Republic), as well as WP/165 Revision No. 1 (AFCAC, of which his State was Member), he emphasized the need to prioritize aviation security quality control as USAP-CMA audits had revealed a low average EI score at the global level for Critical Element 7 of a State aviation security oversight system (CE-7) relating to quality control obligations.

40. The Delegate of Panama voiced support for WP/405 (Dominican Republic) and affirmed that the proposed model matrix for State oversight activities would serve as a very useful reference for other States seeking to enhance their oversight activities.

41. In commending and supporting WP/165 Revision No. 1 (AFCAC), the Delegate of Singapore emphasized that aviation security quality control and the rectification of identified security deficiencies were critical aspects of enhancing compliance with ICAO's security Standards. Furthermore, they enabled the sustainability of implementing practical and effective security measures. The Delegate of Singapore also endorsed WPs/178 and /253 (Argentina and others) on promoting security culture since a strong security culture would certainly be critical in supporting the development of good aviation security quality control regimes. He also spoke in favour of the Delegate of the United Kingdom's proposal to designate 2020 the *Year of Security Culture*.

42. In stressing the need for concerted efforts on the part of all aviation stakeholders to ensure an effective global aviation security system, the Delegate of Colombia expressed support for WPs/178 and /253 (Argentina and others), as well as WP/328 (Singapore and others), WP/405 (Dominican Republic) and WP/355 (Russian Federation) as they all contributed to developing a security culture.

43. The Delegate of Cuba likewise endorsed WPs/178 and /405.

44. While also supporting WP/178, the Delegate of Canada stressed that it was important for his State that: participation in the proposed information-sharing processes be on a voluntary basis and not mandatory; all aspects of confidentiality, data protection, incident report validations, system security and the ability to interfere with existing national reporting platforms be taken into account; and actions taken be included in ICAO prioritization and planning activities using a risk-based approach.

45. The Delegate of the United Republic of Tanzania, whose State was an AFCAC Member, endorsed WP/165 Revision No. 1, emphasizing that since quality control was a critical component of aviation security systems it was important that States put in place an appropriate mechanism to implement it. He also endorsed WP/253 (Argentina and others), WP/328 (Singapore and others) and WP/405 (Dominican Republic).

46. In expressing support for all of the papers relating to the promotion of security culture, the Delegate of Papua New Guinea indicated that emphasis should be placed on non-AVSEC personnel and agencies involved in the civil aviation ecosystem. He underscored that the promotion of a security culture should be embedded in the training of both ground and air crew.

47. Affirming that aviation security was everyone's business, the Observer from CANSO agreed with the action proposed in WP/328 (Singapore and others) that the Assembly encourage States and industry organizations to enhance coordination and promote awareness on aviation security for all entities within their civil aviation ecosystem, including non-AVSEC agencies, aligned with the new GASep provisions for continued vigilance on aviation security.

48. In summarizing the discussion on **security culture**, the Chairperson indicated that, taking into account the second priority objective of the GASep, develop security culture and human capability, the Executive Committee agreed that the establishment of a robust and comprehensive security culture was imperative to the effective implementation and sustainability of aviation security measures over the long-term. Human factors played a critical role in mitigating threats to civil aviation. Promoting a positive security culture educated staff regarding aviation security threats and their impact and helped to mitigate against both insider threats and external threats, as personnel thought and acted in more security conscious ways and identified and reported behaviours or activities of concern. In turn, that resulted in all personnel within the civil aviation realm feeling that they played a critical role within a security regime. The Executive Committee recognized that in order to successfully develop a security culture, stakeholders must promote aviation security to all agencies involved in civil aviation, thereby supporting the initiatives put forth by several Member States, which encouraged States and industry organizations to develop security culture and awareness programmes for all civil aviation stakeholders. In addition, the development of security culture also required the support and direction of senior leadership to embed aviation security principles in all aspects of airport operations.

49. The Executive Committee also acknowledged that political support for security culture must be turned into practical actions and welcomed the various initiatives reported by Member States to develop and implement practical campaigns for security awareness. Building upon the recommendation of the HLCAS/2 calling for States and industry to take practical steps to develop security culture programmes, such as high profile campaigns, the Executive Committee supported the development of flyers, posters, workshops, briefings, and handouts, among other targeted outreach mechanisms to embed aviation security awareness into all civil aviation operations. Additionally, the Executive Committee noted the importance of both practical tools for reporting security incidents and recurring security awareness training, as presented by States and industry. The Executive Committee requested that ICAO continue work on the development of tools to enhance security awareness and security culture, making it a priority and designating 2020 as the *Year of Security Culture*.

50. In then offering a summary of the discussion on **State oversight activities**, the Chairperson indicated that the Executive Committee underscored the critical importance of quality control for sustainability in aviation security. Given the required improvements necessary in the area of quality control as indicated by the USAP-CMA audits, there was wide consensus among Delegates that States should be encouraged to give priority to devoting adequate resources and putting in place an appropriate organization to ensure the effective implementation of quality control activities.

51. Moreover, the Executive Committee took note of the need to assist States in determining priority and frequency of oversight activities and recommended that the AVSECP consider including in its work programme the development of guidance material on this matter.

52. In summarizing the discussion on **strengthening regional implementation**, the Chairperson indicated that the Executive Committee recognized the important role ICAO Regional Offices played in assisting Member States to address common issues and challenges in implementing both Annex 9 - *Facilitation* and Annex 17 - *Security*, the GAsEP, corrective action plans, facilitating assistance missions, supporting regional group meetings, and helping address other issues specific to each ICAO region. With regard to the level of staffing in the ICAO Regional Offices, the Executive Committee determined that it should be based on needs and left at the discretion of the Secretary General, who would take into account the levels of implementation in the regions.

Resolutions to be adopted by the Assembly

53. The Deputy Director, Aviation Security and Facilitation (DD/ASF) introduced WP/27, in which the Council proposed revisions to Resolution A39-18: *Consolidated statement on continuing ICAO policies related to aviation security* to reflect developments in aviation security since the last Assembly in 2016 and to provide aviation security policy direction to Member States and ICAO for the next triennium.

54. It was noted that the following information paper had also been submitted: WP/528 Revision No. 1 (*Declaration on Aviation Security*) presented by Lebanon, Mexico, Nigeria, Qatar, Saudi Arabia, Singapore, the United Arab Emirates and by Finland on behalf of the EU and its Member States and the other Member States of ECAC.

Discussion

55. In expressing support for the proposed updated Consolidated statement on continuing ICAO policies related to aviation security (WP/27), the Delegate of Saudi Arabia drew attention to Appendix A (General policy), Preambular Clause 3, which highlighted that the evolving nature of the threat of terrorist acts, including those posed by, inter alia, surface-to-air missiles and attacks using Remotely Piloted Aircraft Systems (RPAS), and other acts of unlawful interference against civil aviation, had a “serious adverse effect on the safety, efficiency and regularity of international civil aviation, endangering the lives of persons on board and on the ground and undermining the confidence of the peoples of the world in the safety of international civil aviation”, and Operative Clause 1, in which the Assembly “strongly condemns all acts of unlawful interference against civil aviation wherever and by whomsoever and for whatever reason they are perpetrated;”. He stressed the need for States to take action both individually and in cooperation with one another to combat all such acts of unlawful interference, in particular those perpetrated against aerodromes using surface-to-air missiles and RPAS (drones).

56. The Delegate of the United Kingdom also supported the proposed Consolidated statement, which provided the basis for continuing work in aviation security. While noting that it appropriately reflected the state of continuing ICAO policies related to aviation security and had the benefit of being shorter in length and more readable than the previous version, Assembly Resolution A39-18, he averred that it could still benefit from a review to ensure that it was as clear and up-to-date as possible. The Delegate of the United Kingdom therefore suggested that the Assembly recommend that the Council task the AVSECP with conducting such a review ahead of the 41st Session of the Assembly in 2022.

57. The Delegate of the United Kingdom also drew attention to the proposed text for a new Declaration on Aviation Security contained in information paper WP/528 Revision No. 1, of which his

State was a co-presenter. He emphasized that now was a good opportunity for the Assembly to adopt a new Declaration based thereon for the following reasons: 1) a great deal had been achieved in the last three years, from the first United Nations Security Council Resolution on Aviation Security [UNSCR Resolution 2309 (2016)] to the rapid development of the GASeP to the positive proposals to be agreed at the present Assembly; 2) the current Declaration which had been adopted at the 37th Session of the Assembly in 2010 and which appeared in WP/27 after the proposed revised Consolidated statement was rather dated and did not reflect the current situation. Given the importance of aviation security, it was necessary to ensure that the messages sent by ICAO were up-to-date and reflected the current situation; and 3) it was very timely, in order to maintain the momentum of the GASeP, to renew the call to States to redouble their efforts in relation to aviation security in support of the NCLB initiative. In short, the Assembly had an opportunity to give a public boost to ICAO's work on aviation security and should not waste it. The Delegate of the United Kingdom suggested that the best way to take the matter forward would be for a small group to work on a final draft text of a new Declaration on Aviation Security to be presented to the Assembly for consideration in the second week, taking into account Delegates' comments. He expressed the hope that the Assembly could include among its achievements the adoption of such a new Declaration.

58. The Delegate of New Zealand noted the good progress that had been made by ICAO and the wider aviation community on aviation security matters over the past three years and agreed that a new Declaration on Aviation Security should be adopted as proposed in WP/528 Revision No. 1. Affirming that a new Declaration was important to address new developments and challenges to global aviation security and to encourage stronger actions to enhance international cooperation to counter threats to civil aviation, she indicated that New Zealand would be pleased to work on the text of such a Declaration as suggested by the Delegate of the United Kingdom.

59. The Delegate of Italy, whose State was a co-presenter of WP/528 Revision No. 1, strongly recommended that the Assembly adopt a new Declaration in the same vein as the Delegate of the United Kingdom had proposed. He noted that such a Declaration would highlight and promote many topics in the aviation security field, and would, in particular, recognize the need to strengthen aviation security worldwide through even more effective implementation of the GASeP's objectives and through increased efforts by States, industry, and the key players in the security chain to address the aviation security threats and risks.

60. The Delegate of Argentina strongly endorsed the intervention by the Delegate of the United Kingdom, as well as those by the Delegates of New Zealand and Italy.

61. In expressing support for the Consolidated statement proposed in WP/27, the Delegate of China emphasized that a Security Management System should be established along the lines of the Global Aviation Safety Plan's (GASP's) Safety Management System (SMS) and incorporated into the GASeP in order to deal with the security-related threats and risks to civil aviation in a comprehensive way. He considered that that new element should also be introduced into the said Consolidated statement.

62. The Delegate of the United States supported the intervention by the Delegate of the United Kingdom, particularly with respect to tasking the AVSECP with undertaking a comprehensive review of the Consolidated statement ahead of the next Assembly. Agreeing that it was time for an update of the existing Declaration on Aviation Security, she also spoke in favour of the establishment of a small group to review the text put forward in WP/528 Revision No. 1 and indicated that the United States would be pleased to participate therein.

63. Sharing this position, the Delegate of Canada indicated that his State also wished to participate in such a group.

64. The Executive Committee agreed to a proposal then made by the Director, Air Transport Bureau (D/ATB) to establish a “Friends of the Chairperson” drafting group chaired by the Second Vice-President, Ms. Poppy Khoza (South Africa), to refine the text of the global *Declaration on Aviation Security* set forth in information paper WP/528 Revision No. 1, which would replace the existing Declaration adopted by the 37th Session of the Assembly in 2010.

65. The Chairperson indicated that he would suspend his summary of the discussion on WP/27 pending the Executive Committee’s consideration of the drafting group’s report.

Agenda Item 13: Audit Programmes – Continuous Monitoring Approach

66. The Executive Committee then considered Agenda Item 13 and the issues of the implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes, the evolution of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) and the Report on the review of the scope and methodology of the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA), which were documented in three main working papers presented by the Council (WPs/23, /11 and /32) and related papers presented by States and international organizations.

Implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes

67. The Deputy Director, Monitoring and Oversight (DD/MO) introduced WP/23, in which the Council reported on the overall implementation of the USOAP CMA and the USAP-CMA, as well as on notable developments since the last Assembly in 2016. With regard to the USOAP-CMA, he noted that detailed information on activities and developments during the 2016-2018 triennium was contained in Appendix A to the paper. The paper highlighted that USOAP activities performed in the reporting period included 36 audits, 53 ICAO Coordinated Validation Missions (ICVMs), 5 State Safety Programme Implementation Assessments (SSPIAs), and 62 off-site validation activities. As such, the average effective implementation (EI) score at the global level had been 67.68 percent as of 31 December 2018, summarized by audit areas and critical elements in Figures A-1 and A-2. DD/MO noted that Appendix C to the paper outlined a number of critical deficiencies and challenges related to safety oversight and accident/incident investigation identified during USOAP CMA activities. The paper underscored that during the reporting period ICAO had identified a new Significant Safety Concern (SSC) in one State, while nine States had resolved their SSCs.

68. WP/23 further highlighted that, pursuant to the decision taken at the 39th Session of the Assembly, the Group of Experts for a USOAP CMA Structured Review (GEUSR) had completed its independent review of the Programme and had developed 37 recommendations, which had been presented and approved by the Council (C-DEC 214/5) and subsequently agreed by the Thirteenth Air Navigation Conference (AN-Conf/13). As recommended by AN-Conf/13 the ICAO Council had established an Ad Hoc USOAP CMA Advisory Group (USOAP-AG) to advise on efficiency improvements to the Programme. To support the work of the said two groups ICAO was undertaking organizational improvements. Details on the evolution of the USOAP CMA were presented by the Council in WP/11 (cf. paragraph 80 below).

69. WP/23 emphasized that in the reporting period the USOAP CMA had successfully completed its transition audit to the ISO 9001:2015 standard without any findings and had subsequently implemented new mechanisms to strengthen the risk management methodology, enhance effectiveness, and improve timelines in risk mitigation. Data collected by ICAO through the USOAP CMA Quality Management System (QMS) indicated an overall satisfaction rate of above 90 per cent from States which had provided feedback on CMA activities conducted in the years 2016 to 2018.

70. With regard to the USAP-CMA, DD/ASF noted that detailed information on activities and developments during the 2016-2018 triennium was contained in Appendix B to WP/23. The paper highlighted that USAP activities performed in the reporting period had included 79 audits, 7 validation missions, 2 auditor training courses and 7 regional seminars. Figure B-1 provided a graphical summary of the average global level of sustainability of a State's aviation security oversight system by Critical Element (CE), and Figure B-1, a graphical summary of the average level of compliance by audit area. The paper emphasized that the current average EI score at the global level was 72.69 per cent as of 31 December 2018, and that ongoing efforts would continue to improve that EI score. The paper also underscored that during the reporting period ICAO had identified new Significant Security Concerns (SSeCs) in five States, while three States had resolved their SSeCs. Appendix D to the paper outlined a number of critical deficiencies and challenges related to aviation security and oversight systems.

71. In accordance with Assembly Resolution A39-18, Appendix E, and the recommendations of the HLCAS/2, a Secretariat Study Group on the USAP-CMA (SSG) had been established to conduct a comprehensive review of the Programme's scope and methodology. The review, its recommendations, the action plan developed to address the recommendations and additional information on the evolution of the USAP-CMA based on the outcome of the HLCAS/2 were outlined in WP/32 (cf. paragraph 151 below). The approved recommendations would be implemented in the coming triennium.

72. WP/23 also highlighted two challenges faced by the USAP CMA which had been identified by the Evaluation and Internal Audit Office (EAO) in its 2018 internal audit of the Aviation Security Audit Section (IA/2018/4). The first challenge was that more than 30 per cent of planned USAP-CMA audits had not been carried out in 2016 and 2017, largely as a result of requests from States to postpone them. In order to address that challenge, the ICAO Secretariat regularly discouraged States from deferring planned audits and relevant text had been included in the Council's proposed revised *Consolidated statement on continuing ICAO policies related to aviation security* (WP/27). The second challenge facing the Programme was that two of the five USAP-CMA audit team leaders were secondees. EAO had indicated in its internal audit report that that was not an optimal resource situation as secondees were in principle appointed for a very limited time (i.e. two years) and needed to undergo on-the-job training in order to be able to carry out the responsibilities of an audit team leader. To address that challenge, the Assembly was invited to consider how best to regularize all USAP-CMA team leader positions within the audit Programme.

73. The Assembly was invited in WP/23 to:

- a) note the progress reports on the implementation and activities of the USOAP CMA and USAP-CMA;
- b) urge States to continue with their full engagement in the USOAP CMA and USAP-CMA; and
- c) encourage States to continue their support of the USOAP CMA and USAP-CMA by, among others, seconding long-term experts and participating in relevant training courses and seminars.

Discussion

74. In expressing appreciation for the consolidated progress report presented in WP/23, the Delegate of Austria encouraged the exchange between the USOAP CMA and the USAP-CMA of the experiences gained through their implementation, including their best practices and lessons learned, for further improvement of those two audit Programmes. Noting that States and Regional Safety Oversight

Organizations (RSOOs) had contributed substantially to the work of the GEUSR, she emphasized the need for ICAO to make the best use of the outcome of that effort.

75. Agreeing on the importance of sharing the knowledge gained through the Programmes' implementation, DD/MO highlighted the recent publication of the USOAP CMA Results Report for the three-year period 2016-2018, which included information on, inter alia, the challenges faced by States in satisfactorily answering the Protocol Questions (PQs) in the eight audit areas, which could be of relevance to the USAP-CMA.

76. The Delegate of Senegal congratulated ICAO for the results achieved through the implementation of the USOAP CMA and USAP-CMA during the past triennium as described in WP/23. He noted, however, from paragraph 2.2.6 thereof, that a concern had been raised regarding the standardization of interpretation of the Standards audited under the USAP-CMA using the associated PQs. The Delegate of Senegal affirmed that uniform interpretation of the Standards was critical in order for States to have confidence in the Programme's audit methodology. He took note that to address that problem: the auditor training course had been revised in 2017 to include a detailed module on the interpretation of Standards; refresher training was provided during each USAP-CMA's audit's preparation day; and additional notes and guidance for the auditors' use was regularly added to the PQs to assist in ensuring uniformity during USAP-CMA audits. The Delegate of Senegal suggested that, in addition, the SSG should improve the performance indicators for USAP-CMA PQs to minimize the possibility of auditors interpreting the level of implementation of an audited Standard differently.

77. In commending the substantial progress achieved through the USOAP CMA, the Delegate of China underscored that his State closely followed the Programme and had nominated an expert to participate in the work of the USOAP-AG. DD/MO expressed appreciation to China for its support of the USOAP CMA.

78. The Delegate of Peru endorsed the actions proposed in WP/23 given the importance of implementing the two audit Programmes.

79. In summarizing the discussion, the Chairperson indicated that the Executive Committee noted with satisfaction the implementation of the USOAP CMA and the USAP-CMA during the 2016-2018 triennium, and urged States to continue their full engagement with, and support for, the audit Programmes. The Executive Committee acknowledged the coordination between the Programmes and called for enhanced synergies, and sharing of best practices and lessons learned

Evolution of the USOAP CMA

80. DD/MO then introduced WP/11, in which the Council reported on the evolution of the ICAO USOAP CMA and proposed transformational activities. Launched 20 years ago ICAO's USOAP had evolved from the initial limited cycle of audits assessing compliance of provisions contained in Annex 1 – *Personnel Licensing*, Annex 6 – *Operation of Aircraft* and Annex 8 – *Airworthiness of Aircraft* into a continuous monitoring approach and information-driven, risk-based, and result-oriented global system that monitored State safety oversight, aircraft accident and incident investigation capabilities, as well as their maturity in implementing State Safety Programmes. The USOAP also monitored RSOOs that performed safety responsibilities delegated by States. The USOAP performed a variety of audits and interventions that validated States' progress in addressing identified deficiencies.

81. WP/11 presented the evolution of the USOAP CMA, which was driven by three main workstreams: the implementation of the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR), which had been established pursuant to the decision taken at the 39th Session

of the Assembly; the upcoming work requested by AN-Conf/13, which would be undertaken by the recently-established Ad Hoc USOAP CMA Advisory Group (USOAP-AG); and organizational improvements which ICAO was undertaking to support those initiatives. With regard to the first workstream, the paper highlighted that, as agreed by the Council, the Secretariat had developed a detailed action plan to implement the GEUSR's 37 recommendations (consolidated in six groups) which was consistent with the USOAP CMA evolution timeline presented in Appendix B to WP/11. The Secretary General had allocated resources to support their implementation in the Organization's Regular Programme Budget for 2020-2022, which was being presented to the Assembly for approval. Furthermore, the USOAP CMA had given priority to implementing the GEUSR recommendations contained in Group A: Structured revision of the Protocol Questions (PQs) and Group B: Priority Protocol Questions. In that regard, DD/MO was pleased to inform the Executive Committee that ICAO had completed the first milestone of that work the previous week. Following the structured revision of PQs and priority PQs the initial draft PQ set had been identified. The next step for those PQs would be to undergo technical coordination. That set of PQs was expected to be posted on the USOAP CMA Online Framework (OLF) in July 2020 and to be applicable for USOAP CMA activities in January 2021.

82. In respect to the second workstream, the paper highlighted that the Council had recently established the USOAP-AG to support a further evolution of the Programme beyond the GEUSR recommendations to address duplication of effort and find synergies to enhance the efficiency of the USOAP CMA while maintaining safeguards to guarantee the independence, universality, standardization, and global acceptance in the implementation of the Programme. Invitations to nominate experts to serve on the Advisory Group had been issued to selected ICAO Member States and international organizations and the Secretariat has started to receive nominations.

83. With regard to the third workstream, WP/11 highlighted that the implementation of the GEUSR recommendations and the outcomes of the Advisory Group would initiate a review of the working methods of USOAP. Following the global changes in technology, aviation activities, regulatory practices and quality management systems and further to ISO 9001 certification, a review of processes and management systems was expected, along with continuous adaptation to the changing operating environment. Those organizational improvements were necessary to successfully manage the changes brought about by the long-term evolution of the Programme and to better serve ICAO's mission and vision.

84. DD/MO emphasized that progress on the said three workstreams would be reported in the Annual Report of the Council and possibly at the High-Level Safety Conference (HLSC) envisaged to be held in 2021.

85. The Assembly was invited in WP/11 to:

- a) note the status of implementation of the GEUSR recommendations, as outlined in Section 2.2 of the paper;
- b) adopt the Resolution on the USOAP CMA contained in Appendix A to the paper, to supersede Assembly Resolution A37-5; and
- c) note the upcoming work requested by AN-Conf/13, the organizational improvements and the timeline to realize the evolution of the USOAP CMA, as outlined in Sections 2.3 and 2.4 and Appendix B of the paper.

86. The Delegate of Ireland introduced WP/114 (*Relevant, robust and up-to-date USOAP CMA*) presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL and co-sponsored by New Zealand. The paper underscored that the USOAP CMA was one of ICAO's most important aviation safety programmes, allowing States, regional organizations, and ICAO to measure compliance with the relevant SARPs and to have a global view of the

situation. It recalled that AN-Conf/13 had recommended that ICAO ensure that the USOAP CMA remain robust, relevant, and up-to-date so that it provided relevant, credible, and current information that could be used in an effective manner. AN-Conf/13 had emphasized that the USOAP CMA should be prioritized for further development and resourcing and had made several recommendations for its improvement, including in particular the work done by the GEUSR. Priority should be given therefore to implementing the work of the GEUSR, as outlined in WP/133 presented by Australia and New Zealand and co-sponsored by Singapore, the United Kingdom and Finland on behalf of the EU and its Member States. Mid- to long-term improvements to the USOAP CMA beyond the GEUSR recommendations should also be considered. That would include aspects such as: the data basis and planning, indicators, training and staff competency, interfaces with other programmes, effective use of resources, the applied auditing techniques and methods, and improvement of technology tools, in particular the USOAP CMA OLF.

87. Regarding the further evolution of the USOAP CMA, the presenters and co-sponsor of WP/114 also drew attention to information paper WP/447 [*Considerations for the evolution of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) ensuing from the introduction of Annex 19 – Safety Management*] presented by the Republic of Korea, in particular, the proposal to ensure the proper undertaking of State Safety Programme implementation assessment. They considered that merging the assessment of the State safety oversight system and the State Safety Programme under the USOAP CMA would be an essential step.

88. The Assembly was invited in WP/114 to:

- a) ensure that the evolution of the USOAP CMA provides more relevant, robust, accurate and up-to-date information and is managed in a risk-based manner;
- b) recognize that the USOAP CMA should be continued and further strengthened towards an agile, responsive, risk-based and robust system;
- c) recommend that the further evolution should review aspects such as the data basis and planning, indicators, training and staff competency, cross-fertilization, interfaces with other programmes, effective use of resources of ICAO and Member States, the applied auditing techniques and methods, and improvement of technology tools, in particular the USOAP CMA OLF;
- d) call upon all ICAO Member States, international and regional organizations to support ICAO in improving the USOAP CMA;
- e) direct the Council to prioritize the work on the evolution of the USOAP CMA and ensure that adequate human and financial resources are allocated to the Programme;

Instruct the ICAO Secretary General to:

- f) implement the AN-Conf/13 recommendations, and in particular those referring to the future evolution of the USOAP CMA; and
- g) continue ensuring the effective and efficient management and implementation of the Programme.

89. In line with the above actions, the presenters and co-sponsor of WP/114 suggested to reflect in the proposed Assembly Resolution on the USOAP CMA contained in Appendix A to WP/11 the following three actions: i) that ICAO prioritize the work on the evolution of the USOAP CMA and ensure that adequate human and financial resources were made available to the Programme; ii) that the Secretariat implement organizational improvements necessary to successfully manage the changes brought about by the long-term evolution of the Programme in line with recommendations of AN-Conf/13; and iii) that the Secretariat avoid duplication of effort and find synergies to enhance the efficiency of the USOAP CMA.

90. The Delegate of Australia introduced WP/133, which was presented by his State and New Zealand and co-sponsored by Singapore, the United Kingdom and Finland on behalf of the EU and its Member States. The paper expressed support for ICAO's efforts to improve and streamline the USOAP CMA methodology, tools and processes to encourage Member States' continued and effective participation in the Programme. That included the establishment of the USOAP-AG and the development of a high-level action plan to support evolution of the Programme over the coming triennium. The paper also underscored that implementing the AN-Conf/13 and GEUSR recommendations would provide relief to Member States by reducing the administrative workload of ICAO audits, ICVMs and off-site validations, which was particularly important for Member States with smaller aviation systems and in preparation for upcoming USOAP CMA audit activities, to improve safety governance and system performance.

91. The Assembly was invited in WP/133 to:

- a) recommend, consistent with the outcomes of AN-Conf/13, that ICAO continue its efforts to accelerate implementation of the GEUSR recommendations for the mutual benefit of Member States and ICAO, with priority given to Group A: Structured revision of the Protocol Questions (PQs) and Group B: Priority Protocol Questions recommendations; and
- b) recommend that this work be supported by a detailed implementation plan covering each main workstream and key policy elements, and sufficient human and financial resources.

92. The Delegate of the United Arab Emirates presented WP/324 (*Enhancement of Protocol Questions under the USOAP Programme*), in which her State, while recognizing and supporting the GEUSR recommendations as validated by the Council and presented in WP/11, proposed additional enhancements of the PQs tool used by ICAO in assessing States' compliance with SARPs under the USOAP CMA.

93. The Assembly was invited in WP/324 to:

- a) recommend to ICAO to enhance its assessment of the level of States' compliance with SARPs by ensuring that the PQs are premised on the objective to be achieved rather than being prescriptive;
- b) recommend to ICAO that PQs should be communicated to States for consultation prior to adoption, as part of quality enhancement. This consultation could be achieved by utilizing the State letter process; and
- c) request ICAO to create a better synergy among National Continuous Monitoring Coordinators (NCMCs), by establishing an online network of these experts which will facilitate exchange and sharing with others.

94. The Delegate of Brazil presented WP/326 (*USOAP CMA Readiness Programme*) on his State's experience in establishing a USOAP CMA Readiness Programme within its National Civil Aviation Agency (ANAC) and the benefits that could be achieved by performing simulated USOAP CMA audits. Those initiatives enhanced awareness of the safety level, making the State's civil aviation system more secure over time. The paper highlighted the advantages of independent peer and self-assessment methodologies which could help States to have an updated view of their actual EI level, not substituting ICAO's USOAP CMA but rather giving States the opportunity to cooperate with each other and to mutually exchange knowledge and experiences in order to avoid having their civil aviation system degrade to an unsafe level.

95. The Assembly was invited in WP/326 to:
- a) recognize the benefits of the USOAP CMA self-assessment and peer assessment, through recognition of a USOAP CMA Readiness Programme and its results as a proactive methodology to prevent the degradation of States' safety level;
 - b) request the Air Navigation Commission (ANC) to discuss guidelines for the development by Member States of their USOAP CMA Readiness Programmes; and
 - c) encourage support among Member States for the conduct of simulated USOAP CMA audits.

96. The Delegate of the Dominican Republic presented WP/337 (*Establishment of a minimum percentage of certified aerodromes for satisfactory status in Protocol Questions on the certification of aerodromes*), in which his State averred that it was unfair that a State's status be rated as unsatisfactory for all PQs on the certification of aerodromes, pending certification by all aerodromes, even though it had undergone a USOAP CMA audit, ICVM or off-site validation activities and had demonstrated that it had instituted a separate safety oversight entity, a well-defined safety oversight mechanism, a regulatory system for aerodrome certification, advisory circulars, aerodrome certification processes and procedures and, moreover, had already certified a considerable percentage of aerodromes. The Dominican Republic underscored in the paper that during any of the said activities the USOAP CMA auditor would be able to review one or more certification processes, which would have revealed whether the regulations and processes had been implemented correctly as the aerodromes complied with ICAO SARPs, even though some aerodromes were yet to be certified.

97. The Assembly was invited in WP/337 to:
- a) assess the information presented in the paper;
 - b) assess States' efforts to comply with SARPs;
 - c) request the establishment of a minimum percentage of certified aerodromes required for satisfactory status in PQs on the certification of aerodromes; and
 - d) recommend any further action that it considers relevant.

98. The Delegate of Qatar presented WP/433 (*Specific accident investigation system audits and the presentation of results separate from other USOAP domains*), which emphasized that he USOAP CMA helped States to identify the strengths and areas for improvements of their safety oversight system, and provided both ICAO and States with a global view, benchmarks, and detailed assessments to support national, regional and global activities and decisions. Each USOAP CMA audit assessed a State's civil aviation safety system, addressing the civil aviation authority's safety oversight system, as well as the State's accident investigation organization (AIG), which ICAO required to be fully independent. Noting, however, that the results of the AIG domain were presented together with the safety oversight domain results and combined to provide an overall EI score, Qatar underscored in the paper that that blending of results obscured the performance of each independent entity and made it difficult for the combined results to be used in addressing the strengths and weaknesses of each independent entity. A high score achieved primarily due to the effective implementation of the safety oversight domains might hide the fact that the AIG domain at a global level was low and therefore extra attention at ICAO's level was required. Qatar considered that an independent audit and a separate presentation of the results of the AIG domain would thus better reflect the current situation of the AIG and any need for specific attention with appropriate actions to develop the Aircraft Accident Investigation Authority and establish effectively its full independence. It would also emphasize the importance of comprehensive results of independent investigations for the improvement of safety.

99. The Assembly was invited in WP/433 to request the Council to ensure that:
- a) ICAO audits of States' accident investigation systems be performed independently from the other domains with the USOAP CMA; and
 - b) AIG statistical results be presented separately from the results of the other USOAP CMA domains.
100. The Delegate of Peru then introduced WPs/438, /439, /448 and /463. WP/438 (*Safety performance of the SAM region within the USOAP CMA framework*), which was co-sponsored by Belize, Bolivia (Plurinational State of), Brazil, Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela (Bolivarian Republic of), described how the SAM region had updated its Safety Plan in line with the 2020-2022 edition of the GASP. It outlined the progress achieved to date and the setting of objectives, targets, indicators and evaluation metrics in order to pursue the process of continuous safety improvement, while coordinating and integrating the various State and industry tiers, and ensuring implementation of ICAO's NCLB initiative.
101. The Assembly was invited in WP/438 to:
- a) take note of the information provided in the paper;
 - b) continue to support this type of regional initiative in which the ICAO Regional Offices must participate actively; and
 - c) evaluate alternative means of measuring effective implementation so that results will be updated in a more timely manner once States have implemented their action plans.
102. WP/439 (*Competencies required for delegated entities*), which was co-sponsored by Belize, Bolivia (Plurinational State of), Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela (Bolivarian Republic of), presented a proposal for the standardization of the criteria used by USOAP CMA airworthiness auditors tasked with reviewing the qualifications and experience of airworthiness inspectors to whom authority was delegated on the basis of an agreement signed by a State with other States in its region. The Assembly was invited to act to ensure that USOAP auditors maintain standardized and objective criteria in processing similar PQs, by taking into account all substantiating documents provided by the State, as well as the potential impact on the RSOO.
103. WP/448 (*Proposal by the Peruvian State for a post-USOAP safety oversight audit review*), which was co-sponsored by Belize, Bolivia (Plurinational State of), Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela (Bolivarian Republic of), presented the experience gained by Peru in its various activities under the USOAP CMA, in particular the ICVM conducted by ICAO in August 2018.
104. The Assembly was invited in WP/448 to:
- a) recognize the importance of USOAP CMA over and above the actual audit, in particular during the post-audit phase, as it must result in safety improvements in States;
 - b) request ICAO to propose a mechanism for assessing the efficiency of USOAP CMA audits in meeting the primary objective of raising safety levels;
 - c) request ICAO to propose a mechanism for identifying safety improvements made by States owing to USOAP CMA audits; and

- d) request ICAO to notify States of the implementation of the said mechanism and report on the results of the review conducted.

105. WP/463 (*Beginning of the audit cycle based on SSP/SMS PQs*), which was supported by Member States of the SAM region and LACAC Member States, presented observations made when completing the gap analysis questionnaire in the iSTARS application and during the development of PQs for SSP implementation with reference to the *Safety Management Manual* (SMM) (Doc 9859), fourth edition, for the beginning of the audit cycle.

106. The Assembly was invited in WP/463 to:

- a) propose that ICAO restructure the iSTARS gap analysis questionnaire and the SSP PQs in such a way so as to ensure that they are connected, making it possible to address the PQs for SSP implementation when the gap analysis is carried out, thus avoiding duplication of work; and
- b) propose that ICAO draw up guidance that facilitates the development of SSP PQs with more specific guiding references in order to specify the actions to be taken by States to ensure that subjective criteria are not adopted when defining the evidence required to close a PQ finding.

107. The Delegate of Venezuela (Bolivarian Republic of) introduced WPs/259 [*Follow-up and control of aviation occurrences related to ATS and aerial works (agricultural aviation) presented to ECCAIRS, contributing to USOAP safety oversight audits*] and /440 (*Sustainability of an efficient State safety oversight system as a State and a USOAP CMA objective*). WP/259 reflected the experiences gained by Venezuela (Bolivarian Republic of) through the implementation of the USOAP CMA, starting with its audit in 2009 up to its ICVM in 2013. The paper presented improvements for strengthening the USOAP CMA process for verifying and ensuring compliance with ICAO SARPs, bringing the results from air traffic services (ATS) and aerial work (agricultural) occurrences to the reality of States and for directly and immediately guiding the actions to be taken to address the audit findings related to compliance with, and handling of, PQs, as well as the impact that could be generated within RSOOs in order to address the safety deficiencies within States.

108. The Assembly was invited in WP/259 to recognize the importance of the follow-up and control of aviation occurrences related to ATS and aerial works (agricultural aviation) through the use of the European Co-ordination Centre for Aviation Incident Reporting System (ECCAIRS) platform, contributing to the USOAP CMA beyond the audit process, which should account for improvements in increased safety levels of States.

109. WP/440, which was co-sponsored by Belize, Bolivia (Plurinational State of), Chile, Colombia, Costa Rica, Cuba, Ecuador, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Peru and Uruguay, presented the challenges and strategies for the sustainable integration of State safety oversight systems into SSPs that should be considered in developing global safety improvement strategies in order to draw support from favourable results of effective USOAP implementation and contribute to the achievement of goals relating to the effective implementation of GASP SSPs.

110. The Assembly was invited in WP/440 to:

- a) take note of the information presented in the paper; and
- b) take these considerations into account in developing and applying GASP strategies and activities for its effective implementation.

111. It was noted that the following information papers had also been submitted: WP/435 (*Establishment of working groups to support USOAP CMA activities*) presented by Bolivia (Plurinational State of) and supported by Member States of the SAM region and LACAC Member States; and /447 [*Considerations for the evolution of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) ensuing from the introduction of Annex 19 – Safety Management*] presented by the Republic of Korea.

Discussion

112. DD/MO then provided clarifications and/or supplementary information regarding some of the actions proposed in the presented papers. With regard to WP/114 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL and co-sponsored by New Zealand), he underscored that some of the areas of interest for the evolution of the USOAP CMA were now being addressed with the implementation of the GEUSR recommendations and organizational improvements, including the planning of activities, indicators, training, as well as the USOAP CMA OLF, databases and tools. Those areas of interest which were not so addressed, such as cross-fertilization and interfaces with other programmes, would be referred to the USOAP-AG for consideration.

113. Referring to WP/133 (Australia and New Zealand and co-sponsored by Singapore, the United Kingdom and Finland on behalf of the EU and its Member States), DD/MO highlighted that the Secretariat had developed a detailed action plan that was consistent with the USOAP CMA evolution timeline presented in Appendix B to WP/11 (Council) covering each group of the GEUSR recommendations and that its implementation was reflected in the Draft Budget of the Organization for 2020-2021-2022 (WP/34) which had been presented to the Assembly for approval.

114. With respect to WP/324 (United Arab Emirates), action paragraphs a) and c), DD/MO indicated that the proposals to make traditional USOAP CMA PQs objective instead of prescriptive and to enhance synergies among NCMCs were being addressed with the implementation of the GEUSR recommendations, in particular those in Group A: Structured revision of the Protocol Questions (PQs), Group B: Priority Protocol Questions, Group E: Training and guidance and Group F: Tools enhancement (OLF). With regard to action paragraph b), he clarified that USOAP CMA PQs underwent a thorough development process that included broad coordination within the Secretariat which reflected the objectives of provisions adopted on which States had already been consulted.

115. Regarding WP/326 (Brazil), action paragraph b), DD/MO highlighted that with the implementation of the GEUSR recommendations, States would have more guidance and training on self-assessments that could support those types of initiatives by States. The benefits of those initiatives and enhanced guidance and training would be reflected in USOAP CMA outcomes as a result of States' efforts in keeping their self-assessments current.

116. With reference to WP/337 (Dominican Republic), DD/MO emphasized that as Annex 14 – *Aerodromes* required all international aerodromes to be certified, it would be a deviation if the assessment of related USOAP CMA PQs was considered a certification of a percentage of international aerodromes as proposed in the paper. He further underscored that identifying a suitable percentage of certified aerodromes needed to meet the Standard requirement would challenge the principles of universality and uniformity given that certain States had only one aerodrome whereas others had hundreds of aerodromes.

117. With respect to WP/433 (Qatar), DD/MO recalled that the assessment of States' capabilities on the AIG area was determined using a set of USOAP CMA PQs designed for that purpose

and that results could be obtained through iSTARS or the USOAP CMA OLF. The information contained in the paper would be considered for the enhancement of visibility of results by technical area in USOAP CMA reporting tools.

118. Regarding WP/438 (Peru), DD/MO highlighted that GEUSR recommendations already created additional means and opportunities for States to measure the status of their safety oversight systems and to validate corrective actions taken to address deficiencies.

119. Referring to WP/439 (Peru), DD/MO indicated that the Secretariat had noted the information contained therein, which would be used when conducting regular updates of the USOAP CMA tools and would serve to improve training to the auditors, and to enhance the assessments of tasks performed by RSOOs on behalf of States. Those measures were expected to enhance standardization.

120. With respect to WP/448 (Peru), action paragraph b), DD/MO recalled that the USOAP CMA was ISO 9001 certified, enabling the assessment of the feedback of States on the audit experience. He underscored that such feedback and other sources of information fed continuous improvements of the USOAP CMA. DD/MO emphasized that action paragraph c) was addressed within the implementation of the GEUSR recommendations referred to in WP /11 (Council). In particular, States would have additional means and opportunities to measure the status of a State safety oversight system and validate corrective actions taken to address deficiencies. He further noted, with regard to action paragraph d), that the draft Assembly Resolution on the USOAP CMA in WP/11 already called for a report on the evolution and performance of the Programme to be presented at the next Assembly.

121. With reference to WP/463 (Peru), DD/MO noted that the USOAP CMA had developed and was implementing a plan for assessing and measuring the effective implementation of SSPs. That plan included the development of SSP PQs. The initial set of those PQs had been posted on the OLF and would be complemented with a maturity model and associated guidance to be applied to each PQ. The complete set of SSP PQs, including the maturity model and guidance, would be fully developed and integrated into the OLF for self-assessments and for monitoring activities in January 2021. Relevant applications on iSTARS would be amended based on the evolution of the USOAP CMA.

122. In conclusion, DD/MO indicated that the information presented in WPs/259 and /440 [Venezuela (Bolivarian Republic of)] and in WP/447 (Republic of Korea) had been noted by the Secretariat and would be shared with the relevant expert groups for their consideration.

123. The Executive Committee noted the above clarifications and supplementary information.

124. In endorsing the actions proposed in WP/463 (Peru), of which his State was a sponsor, the Delegate of Brazil reiterated the need for ICAO to ensure that the USOAP CMA and SSP implementation assessment were more performance-based. He noted that ICAO already had very capable groups of experts which could develop additional guidance material for the SSP PQs to support SSP implementation by States.

125. Referring to WP/337 (Dominican Republic), the Delegate of Brazil indicated that his State discouraged the proposal to establish a minimum percentage of certified aerodromes required for satisfactory status in PQs on the certification of aerodromes over concerns that it would constitute a deviation from the current airport certification process as set forth in Annex 14 – *Aerodromes*. He highlighted, in this context, information paper WP/535 [*Airport certification based on Corrective Action Plan (CAP) as a kick-off for a new regulatory approach for safety oversight: The case of Brazil*] which Brazil had submitted for consideration by the Technical Commission. The Delegate of Brazil emphasized that his State used tools such as a CAP as a transitional instrument between a non-certified airport and a

new level of safety oversight based not only on generic requirements but also on the airport operator's commitments as reflected in the CAP.

126. With regard to WP/114 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL and co-sponsored by New Zealand), the Delegate of Brazil noted that his State agreed on the need for ICAO to consider enhancing USOAP CMA auditor training to ensure that auditors focused on identifying whether a State had achieved the objective of enhancing aviation safety instead of on more prescriptive PQs. He underscored that Brazil's ANAC had recently changed its regulatory framework from a prescriptive approach to an objective approach, which would reduce costs and promote innovation without jeopardizing safety standards. Brazil considered that PQs were a significant tool to assess States' level of compliance with ICAO SARPs and that the enhancements of the USOAP CMA PQs as presented in WP/11 would have a positive impact on safety standards overall.

127. The Delegate of New Zealand endorsed the changes to the draft Assembly Resolution on the USOAP CMA contained in Appendix A to WP/11 suggested by the Delegate of Ireland during his introduction of WP/114, of which his State was a co-sponsor (cf. paragraph 86 above).

128. Expressing support for WP/440 [Venezuela (Bolivarian Republic of)], the Delegate of Spain underscored that the proposed integration of State safety oversight systems into SSPs would ensure a better allocation of resources for those activities, both by ICAO and by States. He indicated that the USOAP-AG might be the appropriate body to conduct the necessary analysis of the proposal. In also voicing support for WP/463 (Peru supported by ICAO SAM States and LACAC Member States), the Delegate of Spain affirmed that the proposed restructuring of the iSTARS gap analysis questionnaire and the SSP PQs and preparation by ICAO of guidance material for the development of SSP PQs would facilitate the effective implementation of SSPs in all States and avoid the duplication of efforts. He emphasized the need for ICAO to commence work thereon as soon as possible. Referring to WP/259 [Venezuela (Bolivarian Republic of)], the Delegate of Spain indicated that the proposal to monitor aviation occurrences related to ATS and aerial works (agricultural aviation) through the use of ECCAIRS would be interesting if it was compatible with the actions being taken in other regional fora.

129. The Delegate of the Republic of Korea endorsed WP/11 (Council), WP/114 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL and co-sponsored by New Zealand) and WP/133 (Australia and New Zealand and co-sponsored by Singapore, the United Kingdom and Finland on behalf of the EU and its Member States). He underscored that the Republic of Korea welcomed the efforts of the Council and States with regard to improving the efficiency of the USOAP CMA as well as with regard to the future evolution of that Programme, and supported the activities and considerations by ICAO and the GEUSR to expand the scope of the USOAP CMA audits to include the SSP. The Delegate of the Republic of Korea highlighted information paper WP/447 [*Considerations for the evolution of the Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA) ensuing from the introduction of Annex 19 – Safety Management*], in which his State invited the Assembly to suggest that ICAO consider a merged audit system that combined both the State Safety Oversight System and the SSP as a single implementation item in the long-term, for effective use of the limited resources for the USOAP CMA and to reduce the administrative burden on States.

130. The Delegate of the United States indicated that his State supported WP/11 (Council) and looked forward to further discussion regarding the future evolution of the USOAP CMA and forthcoming action on the recommendations resulting from AN-Conf/13. The United States also supported the adoption of the draft Assembly Resolution on the USOAP CMA contained in Appendix A to that paper, with the modifications proposed by the Delegate of Ireland in introducing WP/114 (cf. paragraph 86 above). Like

Australia and New Zealand, the United States supported the recommendations of the GEUSR and the AN-Conf/13 to enhance the USOAP CMA, as well as the actions proposed by those States in WP/133. The United States recommended, as a further action, that ICAO prepare a report not only on USOAP CMA activities in general but specifically on the implementation of the GEUSR recommendations and present that report to the envisaged HLSC. The evaluation of those proposals should include determining which were already addressed in the GEUSR recommendations.

131. With regard to WPs/259, /324, /433, /438, /440, /448, and /463, the United States noted that those papers offered a number of proposals which could be considered to sustain the viability and effectiveness of the USOAP CMA, some of which were complex and not necessarily complementary to other recommendations in the various papers presented under Agenda Item 13. It considered that those topics would benefit from dedicated discussion and analysis and that it would be premature to agree on solutions before the expert group recommended by the AN-Conf/13 had begun its work. The United States therefore recommended that ICAO take note of the points identified in the said papers for evaluation by the USOAP-AG referred to in WP/11.

132. The Delegate of Portugal indicated that his State supported WP/11 and thanked the Council for reporting the activities and progress of the USOAP Programme in both WPs/11 and /23. Portugal encouraged ICAO to use relevant synergies and efficiencies for both audit Programmes, as well as the exchange of the experiences gained through their implementation, including their best practices and lessons learned, for further improvement of those two audit Programmes, as suggested by the Delegate of Austria. Portugal considered at this stage, however, that significant progress had not been achieved since AN-Conf/13 regarding the implementation of the GEUSR recommendations and wished to highlight that WP/11 was written at a very general level, unlike WP/32, which reported in detail on the accomplishments achieved through the review of the scope and methodology of the USAP-CMA. Portugal also wished to point out that although Appendix B to WP/11 on the USOAP CMA evolution timeline indicated, under organizational improvements, that the “Lean review” and “Risk management review” had been completed prior to the Assembly, the paper itself did not explain what those reviews had entailed and what kinds of improvements they had brought to the USOAP CMA. Portugal further highlighted that the important issue of including SSP assessments, which were presently done on a voluntary basis, in the USOAP CMA and the changes that it implied, was not described in the implementation plan.

133. Portugal noted from WP/34 (*Draft Budget of the Organization for 2020-2021-2022*) presented by the Council that there were not sufficient resources to support the USOAP CMA in the next triennium and therefore urged ICAO to sufficiently prioritize that important audit Programme.

134. To conclude, Portugal considered that there was a need to further evolve and strengthen the USOAP CMA audit process. It wished to be sure that the work was carried out and that the Programme was one of the Secretariat’s highest priorities. Portugal underscored that an early outcome of the USOAP-AG’s work should be a clearly-identified project plan indicating precise actions and timelines. In that regard, Portugal wished to suggest an amendment to the proposed Assembly Resolution on the USOAP CMA contained in Appendix A to WP/11 in order to have a stronger mandate for the Programme’s further evolution in Preambular Clauses 9, 13, 15, 16, and in Operative Clauses 2 a), 2 b), 5, 8, 8 a), and 9. Portugal would provide the Secretariat with the text of its proposal for distribution to Executive Committee Members in order to expedite consideration thereof.

135. The Delegate of Italy expressed strong support for WP/133 (Australia and New Zealand and co-sponsored by Singapore, the United Kingdom and Finland on behalf of the EU and its Member States) concerning the implementation of priority recommendations developed by the GEUSR. Italy considered that the current USOAP CMA presented a significant administrative workload for States and ICAO in order to validate the information required and keep the EI scores up-to-date. As specified in

WP/133, it was necessary to change the USOAP CMA towards an audit process which was more proportionate and tailored to the size and complexity of States' aviation systems and more focused on higher risk areas. Italy was of the view that that approach would reduce the administrative burden required to manage the USOAP CMA process and increase the Programme's effectiveness, with significant benefits for ICAO and States. For these reasons, Italy appreciated the developments and improvements to the USOAP CMA process described in WP/133 and strongly supported the paper in the context of the USOAP CMA review.

136. The Delegate of Romania indicated that her State also fully supported WP/133, as well as WP/114 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL and co-sponsored by New Zealand). Bearing in mind the information presented by the Secretariat, Romania expected progress to be made in the near future with regard to the implementation of the GEUSR recommendations as the latter had been available for more than one year. In order to ensure a transparent and efficient process, it considered that the USOAP-AG should assist the Secretariat in that work and that States and international organizations should also support ICAO in that endeavour, providing the appropriate resources to ensure that new principles were developed so as to provide important safety improvements to the USOAP CMA. Romania also considered that it was imperative to optimize the way in which resources were allocated to that audit Programme to ensure that they were used in the most efficient manner.

137. Referring to WP/114, the Delegate of Finland reiterated the importance of proceeding with the future evolution of the USOAP CMA in accordance with the outcomes of the AN-Conf/13. He clarified that the reference made therein to "cross-fertilization" meant that the two audit Programmes should learn from each other, use similar tools and methodologies, and exchange information on best practices.

138. The Delegate of Canada noted that his State fully supported WP/114, as well as WP/133 and the continuous improvement of the USOAP CMA. Canada agreed that as proposed in the latter paper the GEUSR recommendations contained in Group A: Structured revision of the Protocol Questions (PQs) and Group B: Priority Protocol Questions should be prioritized in order to realize quick results. Canada was pleased to hear the updates provided by the Secretariat and looked forward to seeing the good work completed by the GEUSR being put into action and the resulting benefits to the USOAP CMA.

139. The Delegate of Canada underscored that his State fully supported the contents and proposed actions of WP/326 (Brazil) as it had been directly involved in Brazil's USOAP CMA Readiness Programme and had performed simulated audits in various areas of its Aviation Safety Programme. Canada had found the experience and information exchange with Brazil in that peer simulated audit to be very beneficial to both parties and saw many benefits of continuing and encouraging other States to continue that practice.

140. The Delegate of Georgia acknowledged the good work done by ICAO with regard to the USOAP CMA and USAP-CMA as described in WPs/23, /11 and /32. In expressing support for WP/114, she urged ICAO to prioritize the USOAP CMA and ensure continuous evolution of that audit Programme as it constituted not only a credible source of information regarding the safety situation of other States but also helped States to identify shortcomings in their own safety oversight system while preparing for the audits. The Delegate of Georgia also endorsed WP/324 (United Arab Emirates), in particular, enhancing cooperation between NCMCs.

141. In expressing support for WPs/11, /133 and /326, the Delegate of Peru noted that his State considered that the PQs were an essential means to have an effective USOAP CMA and to develop SSPs which were critical for implementing ICAO SARPs. Peru fully agreed with the actions proposed in those

papers, notably that the GEUSR recommendations contained in Group A: Structured revision of the Protocol Questions (PQs) and Group B: Priority Protocol Questions should be prioritized.

142. The Delegate of Denmark welcomed WP/324 (United Arab Emirates) and sympathized with the proposal that ICAO enhance its assessment of the level of States' compliance with SARPs by ensuring that the USOAP CMA PQs were premised on the objective to be achieved rather than being prescriptive. He nevertheless considered that it might be difficult to achieve given the variety of States' circumstances. Since the proposal had a number of implications, the Delegate of Denmark suggested that it be referred to the USOAP-AG for further consideration. In observing that the paper also raised the point that ICAO guidance might at times be too prescriptive and did not allow for alternative means of compliance, he underscored the need for the Programme to take into account that States were moving to a performance-based and a risk-based environment, in part by implementing new performance-based ICAO Standards. The Delegate of Denmark therefore suggested that that issue likewise be referred to the USOAP-AG for further consideration. With regard to the proposal that the USOAP CMA PQs should be communicated to States for consultation prior to adoption, as part of quality enhancement, he averred that it was not necessarily practical. The Delegate of Denmark agreed, however, that it should be possible to have a quick exchange on the USOAP CMA PQs or to adopt them in a transparent manner.

143. Referring to WP/433 (Qatar), the Delegate of Denmark indicated that while the issue of how to include States' accident investigation systems in the USOAP CMA was an interesting one, he did not consider it necessary to establish a separate audit programme for the AIG domain as implied in the paper. He thus suggested that this issue also be referred to the USOAP-AG for further consideration

144. In welcoming WP/326 (Brazil), the Delegate of Greece emphasized that States should be encouraged to maintain their USOAP CMA self-assessment up-to-date since it was a valuable tool for reviewing their relevant processes and procedures. Noting that the idea of an independent peer review by other States as presented in the paper was an interesting one, he underscored that RSOOs such as the European Aviation Safety Agency (EASA) could provide added value in that regard. The Delegate of Greece therefore suggested that the USOAP-AG consider both Brazil's proposal and the European model in its work. Referring to action paragraph b) of the paper, the Delegate of Greece indicated that he was not convinced that there was a need to prepare guidelines for the development by Member States of their USOAP-CMA Readiness Programmes as proposed.

145. The Delegate of the United Arab Emirates expressed support for WP/114 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL and co-sponsored by New Zealand), in particular, the proposed risk-based approach to the management of the evolution of the USOAP CMA. In reiterating that USOAP CMA PQs should be premised on the objective to be achieved rather than being prescriptive, as proposed in WP/324 presented by her State, she affirmed that that objective-based approach would yield positive results from the point of view of the GASP as it would enhance the level of aviation safety around the world.

146. In endorsing WP/326 (Brazil), the Delegate of Costa Rica emphasized that it provided a good opportunity for other States to learn about the benefits of conducting USOAP CMA self-assessment and peer assessment under a Readiness Programme. In underscoring that such assessments were particularly important given the Organization's limited resources for USOAP CMA activities, he noted that they could enhance the sustainability of safety oversight systems, especially for those States which had to wait a long time before receiving a complete USOAP CMA audit. The Delegate of Costa Rica indicated that the proposals made by Brazil in WP/326 should therefore be given further consideration.

147. The Delegate of Nicaragua voiced support for WP/259 [Venezuela (Bolivarian Republic of)] and WP/324 (United Arab Emirates).

148. In affirming that the USOAP CMA was an excellent tool to evaluate and enhance aviation safety, the Observer from CANSO underscored that the strengthening and updating of that audit Programme would provide more relevant, robust, accurate, and up-to-date information, especially if managed in a risk-based manner. For that reason CANSO was pleased to have been invited by ICAO to be a member of the USOAP-AG.

149. Responding to some of the points raised, DD/MO noted that a progress report on the implementation of the USOAP CMA was provided to the Council on a yearly basis. With regard to synergies between the USOAP CMA and the USAP-CMA, he affirmed that the fact that WP/23 presented a consolidated progress report on both audit Programmes was a good indication that there was close cooperation and coordination within the Secretariat. With respect to the timeline for the implementation of the GEUSR recommendations, DD/MO highlighted that the Secretary General had allocated some resources so that it could be completed within a two-year period, which was the Secretariat's plan at this point in time. He noted that the Secretariat was currently tackling the implementation of the Group A and Group B GEUSR recommendations, which was a very difficult task. With reference to the integration of the SSP into the USOAP CMA, DD/MO noted that while it did make sense to the Secretariat it needed to be carefully evaluated to make sure that the Secretariat was able to do it in the right manner.

150. In summarizing the discussion, the Chairperson indicated that the Executive Committee endorsed ICAO actions to evolve and ensure the effective and efficient management and sustainable operation of the USOAP CMA. It noted the status of implementation of the GEUSR recommendations, which already addressed some of the initiatives raised by the Assembly. The Executive Committee also acknowledged the upcoming work to be undertaken by the USOAP-AG as mandated by AN-Conf/13, the organizational improvements, and the timeline to realize the USOAP CMA evolution, as outlined in Sections 2.2, 2.3, 2.4 and Appendix B of WP/11 (Council). The Executive Committee agreed to recommend that all proposals related to the USOAP CMA under Agenda Item 13 that were not already addressed by the GEUSR recommendations or ICAO's organizational improvements should be shared with the appropriate expert groups for consideration.

Report on the review of the scope and methodology of the USAP-CMA

151. DD/ASF introduced WP/32, in which the Council reported on the work carried out during the past triennium by the Secretariat, in collaboration with the Secretariat Study Group on the USAP-CMA (SSG), in conducting a comprehensive review of the scope and methodology of the Programme, pursuant to the request of the 39th Session of the Assembly as supported by HLCAS/2. The review had led to the development of 27 recommendations for the improvement of the USAP-CMA, which had been subsequently endorsed at the Thirtieth Meeting of the AVSECP (AVSECP/30), with a few modifications. Following consideration by the Committee on Unlawful Interference (UIC), the resultant 26 recommendations had been approved by the Council and were presented in the Appendix to the paper. A number of those recommendations had either already been implemented or were in the process of implementation.

152. The Assembly was invited in WP/32 to:

- a) note the work carried out in conducting the review of the scope and methodology of the USAP-CMA, as requested by the 39th Session of the ICAO Assembly and supported by HLCAS/2;
- b) direct the Council to ensure the Secretariat undertakes a prioritization of these recommendations, based on their feasibility and resource availability;

- c) direct the Council to ensure the continuous improvement of the Programme, through the ongoing consultation between the Secretariat and the Secretariat Study Group on the USAP-CMA (SSG);
- d) call upon all States to support the USAP-CMA by signing the Memorandum of Understanding (MoU) and accepting audits as scheduled; and
- e) call upon States to allocate sufficient financial and human resources to the USAP-CMA to enable the implementation of these proposals and the ongoing evolution of the USAP-CMA.

153. The Observer from AFCAC, on behalf of the 54 Member States, presented WP/187 Revision No. 1 [*The need for the enhancement of the Universal Security Audit Programme – Continuous Monitoring Approach (USAP-CMA)*], which highlighted their concerns regarding the implementation of the USAP-CMA relating to the continuous monitoring approach aspect, the methodology applied, the number of audit team leaders, and training for NCMCs.

154. The Assembly was invited in WP/187 Revision No.1 to:

- a) note the information contained in the paper;
- b) direct the Secretariat to continue the excellent work that the SSG was doing in conducting the review of the scope and methodology of the USAP-CMA to ensure the continuous improvement of the Programme;
- c) direct the Council to apply a more clear and transparent selection criteria for the USAP-CMA activities, which is consistent with its principles;
- d) instruct the Secretariat to develop and implement a technological monitoring mechanism, similar to the OLF that is implemented in the USOAP CMA and that will allow ICAO to obtain and analyze data continuously on Member States' aviation security performance;
- e) instruct the Secretariat to consider increasing the number of USAP-CMA team leaders to include aviation security auditors from the regions; and
- f) instruct the Secretariat to set up regular training programmes or workshops on the USAP-CMA for NCMCs, at the regional level, and encourage Member States to take advantage of this initiative

155. The Delegate of Cuba presented WP/390, which set out her State's considerations regarding the findings of its last USAP-CMA audit in March 2019, the execution thereof, and the methodology used for the USAP-CMA.

156. The Assembly was invited in WP/390 to:

- a) take note of the information contained in the paper;
- b) request ICAO to consider the aspects included in paragraph 3.2 a) to e) of the paper in order to revise and improve the USAP-CMA; and
- c) support the ICAO Council's recommendations contained in its Report on the review of the scope and methodology of the USAP-CMA (WP/32).

Discussion

157. The Delegate of Spain expressed appreciation for the proposals made by Cuba in WP/390 to enhance the USAP-CMA, in particular with regard to further improving the training of auditors to ensure consistency in the interpretation of the audited Standards. He suggested that Cuba be invited to contribute to the ongoing work of the SSG.

158. The Delegate of Italy thanked the Secretariat and the SSG for their efforts which had enabled the comprehensive review of the USAP-CMA scope and methodology and voiced deep appreciation and support for the approved recommendations set forth in the Appendix to WP/32. He affirmed that the said review would provide enhanced confidence in the global aviation security system and better clarity with regard to operational compliance. The Delegate of Italy also expressed support for the strengthening of the risk-based approach for the purpose of prioritizing USAP-CMA activities and the compliance indicator matrix. He also endorsed WP/187 Revision No. 1 (AFCAC), in particular, its proposal for regular training programmes or workshops on the USAP-CMA for NCMCs at the regional level.

159. The Delegate of Mali voiced support for the three papers presented by the Council under Agenda Item 13 (WPs/23, /11 and /32). In also endorsing WP/187 Revision No. 1, his State being a Member of AFCAC, he reiterated the importance of increasing the number of USAP-CMA team leaders to include aviation security auditors from the regions pursuant to action paragraph e). The Delegate of Mali emphasized that the USAP-CMA audits would lead to an increase in the average EI score at the global level. He noted that Mali, which had received an EI score of 64 per cent during its 2009 USAP-CMA audit, had been requesting another audit for the last three years without success and sought clarification.

160. The Delegate of the United States indicated that his State supported WP/32 (Council) and recognized the efforts that were being undertaken to improve the USAP-CMA. It emphasized, however, that speed to action was required as it had taken an entire triennium to produce the approved recommendations for the comprehensive review of the USAP-CMA set forth in the Appendix to the paper and it could not take another triennium to implement them. The United States also underscored that those recommendations represented a starting point for needed reform of the USAP-CMA, and not the end point. The United States remained committed to lending support to the Secretariat in its efforts to further improve the USAP-CMA.

161. Recalling that HLCAS/2 had called for a fundamental and holistic review of the USAP-CMA to ensure that it provided confidence in the international aviation security system, the Delegate of the United Kingdom congratulated ICAO on the excellent work carried out by the SSG to review the scope and the methodology of the USAP-CMA and to take forward the ambition of that high-level Conference. He highlighted that the United Kingdom welcomed the list of recommendations for reform as approved by the Council based on the recommendations of AVSECP/30 and appended to WP/32, and urged the Assembly to take them all forward at an accelerated rate, embracing innovation and flexibility in order to overcome obstacles, and also to embed audit best practice from States and industry into the Programme, especially best practices to rectify deficiencies in a timely manner. The United Kingdom also urged the Secretariat to focus on operational implementation of Annex 17 – *Security Standards* rather than on compliance on paper. An operational focus would enable States and airports to accurately identify and address their greatest vulnerabilities, which in turn would help raise security standards around the world, protecting passengers and airlines. The United Kingdom urged the Assembly to be positive and ambitious about reforming the USAP-CMA, and was pleased to make further resources available to the Secretariat to take forward the next phase of the work.

162. In expressing support for WP/32 (Council), the Delegate of the United Arab Emirates recommended that the interpretation of audited Standards be developed in the form of technical instructions or other acceptable means of compliance which could be used by States and USAP-CMA auditors. He also endorsed WP/187 Revision No. 1 (AFCAC). Referring to action paragraph d) thereof on the development and implementation of a technological monitoring mechanism for the USAP-CMA which was similar to the USAP CMA OLF, the Delegate of the United Arab Emirates underscored the need to consider the resources required therefor, as well as ways to protect such a mechanism.

163. The Delegate of Sudan, whose State was an AFCAC Member, also voiced support for WP/187 Revision No. 1.

164. Endorsing WP/32 which presented the approved recommendations for the comprehensive review of the USAP-CMA, the Delegate of France underscored that reforming the Programme was a top priority for his State, as it had highlighted at the last Assembly, as well as at HLCAS/2. France considered that it was essential to conduct USAP-CMA audits which provided reliable information regarding the effective implementation of aviation security measures on the ground and which assisted the audited States to make any necessary improvements thereto, as that contributed to increasing aviation security not only at the State level, but also at the regional and global levels and enhanced the Programme's credibility.

165. The Delegate of France commended the outcomes achieved by the Secretariat and the SSG, of which his State was a Member, and emphasized the need for the Group's work to be supported by the Assembly and to continue. Underscoring the need for the reform of the USAP-CMA to be implemented without delay, he urged the Secretariat and the SSG, with the support of States, to pursue their efforts in that regard. The Delegate of France stressed that it should be possible to measure the results of the Programme's reform, which included better auditor training to ensure consistent interpretation of Annex 17 Standards and reinforcement of the risk-based approach to prioritization of audit activities and identifying audit scope and duration.

166. The Delegate of South Africa expressed strong support and appreciation for the work accomplished by the Secretariat, with the SSG, in carrying out the comprehensive review of the scope and methodology of the USAP-CMA as described in WP/32. As South Africa deemed that work to be very important and urgent, it supported its continuation, as well as its prioritization. Being an AFCAC Member, South Africa considered that WP/187 Revision No. 1 also raised some very important issues which needed to be addressed and suggested that they be referred to the SSG for further consideration. It likewise suggested that the proposals made by Cuba in WP/390 be referred to the SSG.

167. The Delegate of Nigeria, another AFCAC Member, likewise endorsed WP/187 Revision No. 1 on the need for the enhancement of USAP-CMA. He recalled that the Programme had been introduced to promote global aviation security such that all Member States would comply with the Annex 17 Standards and implement them effectively. While Nigeria appreciated the work accomplished thus far with regard to enhancing the USAP-CMA, it considered that there was still a need to strengthen the Programme and ensure its continuous improvement. It thus strongly supported the actions proposed in the paper, including the areas for improvement outlined in Section 2 thereof. Nigeria also endorsed WP/32 (Council).

168. The Delegate of Colombia expressed support for WP/32, as well as for the comments made by the Delegates of the United States and France with regard to the need to expedite implementation of the 26 approved recommendations for the comprehensive review of the USAP-CMA appended to WP/32. He also voiced support for WP/390 (Cuba).

169. The Delegate of the Republic of Korea indicated that his State also supported the said approved recommendations, the implementation of which was expected to provide enhanced confidence in the global aviation security system and to enable the accurate measurement of the GAsEP implementation targets. In addition, the Republic of Korea supported WP/187 Revision No. 1 (AFCAC).

170. Voicing support for the USAP-CMA, the Delegate of Argentina applauded the work done by the Secretariat and the SSG in reviewing the scope and methodology of the Programme and endorsed the approved recommendations arising therefrom. She also expressed support for WP/390 (Cuba) and agreed that it should be referred to the SSG for further consideration in order to improve the USAP-CMA.

Recalling DD/ASF's introduction of WP/23, the Delegate of Argentina underscored the importance of regularizing all USAP-CMA team leader positions within the audit Programme.

171. Noting that the Assembly had already had three rounds of discussion on the USAP-CMA since the Programme's inception in 2013, the Delegate of China made the following three suggestions: that summaries of States' experiences of successful USAP-CMA audits be compiled by ICAO and made available, while respecting confidentiality; that a Security Management System be established along the lines of the GASP's Safety Management System (SMS) and incorporated into the GAsEP; and the ultimate goal be for each State to be able to implement its own aviation security audits and to have its own quality assurance measures.

172. The Delegate of Peru expressed support for the USAP-CMA and related WP/32 (Council).

173. The Delegate of the United Republic of Tanzania also endorsed WP/32, in particular, action paragraph e), which called upon States to allocate sufficient financial and human resources to the USAP-CMA to enable the implementation of the proposals set forth in the paper and the ongoing evolution of the USAP-CMA. As his State was a Member of AFCAC, he likewise endorsed WP/187 Revision No. 1 and underscored the importance of that paper.

174. The Delegate of Nicaragua voiced support for WP/390 (Cuba), as well as for WP/32 (Council).

175. The Delegate of the Democratic Republic of Congo congratulated the Secretariat and SSG for their excellent work in reviewing the scope and methodology of the USAP-CMA as described in WP/32, which he supported. Since his State was an AFCAC Member, he also supported WP/187 Revision No. 1, particularly action paragraph f) which called for regular training programmes or workshops on the USAP-CMA for NCMCs, along the same lines as was currently done for the USOAP CMA.

176. DD/ASF noted, with appreciation, the support expressed for the work of the SSG, which was comprised mainly of States' highly-qualified aviation security experts. He underscored that although the vast majority of the 26 approved recommendations for the comprehensive review of the USAP-CMA had either already been implemented or were in the process of implementation, the SSG's work was still ongoing, given the wide expectation for the continuous improvement of the Programme. Remarking that the SSG was open to receiving new contributions, DD/ASF indicated that the proposals presented by Cuba and AFCAC in WPs/390 and /187 Revision No. 1, respectively, were very interesting and would be duly considered. He clarified, in this regard, that the only proposal made by AFCAC which was not already addressed by the said approved recommendations was the one relating to the development and implementation of a technological monitoring mechanism similar to the USOAP CMA OLF. DD/ASF recalled that such a mechanism for the USAP-CMA had previously been discussed and firmly rejected by States due to data security concerns, given the confidential nature of the information to be processed, and the workload which it would impose on States and the Secretariat.

177. In summarizing the discussion, the Chairperson indicated that the Executive Committee recognized the excellent work carried out by the SSG as presented in WP/32, including the 26 recommendations developed for the improvement of the USAP-CMA. The Executive Committee highlighted that those recommendations should be implemented as quickly as feasible, thereby improving confidence in the effectiveness of the audit methodology and improving local, regional and global compliance with Annex 17 Standards. In that regard, the Council was directed to prioritize the said recommendations and ensure sufficient resources were allocated to the USAP-CMA.

178. The Executive Committee agreed that while many of the proposals contained in WP/187 Revision No. 1 (AFCAC) were already addressed in the recommendations included in WP/32 they should be presented to the SSG for further consideration. It further agreed that the proposals set forth in WP/390 (Cuba) should also be considered by the SSG in order to further improve the Programme, and that participation in the SSG's work should be encouraged for any State that was willing to contribute its expertise.

179. In addition, the Executive Committee expressed support for the continuous improvement of the USAP-CMA through ongoing consultation with the SSG and called upon States to support the Programme by signing the MoU, accepting audits as scheduled and allocating sufficient financial and human resources to enable the implementation and ongoing evolution of the USAP-CMA.

Any other business

Agenda Item 14: Facilitation Programmes

180. The Chairperson agreed to a special request from the Observer of the Air Crash Victims' Families' Federation International (ACVFFI) to introduce WP/297 (*Assistance to air accident victims and their families*) as it was necessary for her to depart prior to the Executive Committee's consideration of Agenda Item 14 (EX/6).

181. The Observer from ACVFFI noted that WP/297 recalled that in response to Assembly Resolution A32-7 ICAO had issued Circular 285 – *Guidance on Assistance to Aircraft Accident Victims and their Families*, which had subsequently been replaced by Doc 9998 – *ICAO Policy on Assistance to Aircraft Accident Victims and their Families* and the associated manual (Doc 9973). The paper highlighted that while the treatment of aircraft accident victims and their families had come a long way since 2001, that progress was not reflected in the USOAP data, and underscored the need to continue going forward along the lines established by the said ICAO Policy and the NCLB initiative.

182. The Assembly was invited in WP/297 to:

- a) again request the Council to consider upgrading Recommended Practice 8.46 of Annex 9 – *Facilitation* on the establishment of legislation, regulation, and/or policies in support of assistance to aircraft accident victims and their families to an international Standard in order to stimulate and facilitate global implementation;
- b) urge the Council to maintain its level of monitoring of implementation through the USOAP CMA;
- c) request the Council to consider establishing a new Annex 9 provision so that aircraft and airport operators develop appropriate plans to provide timely and effective assistance to aircraft accident victims and their families.

183. In addition, the Observer from ACVFFI proposed, on behalf of her Federation, that the Council designate a particular day of the year (e.g. 20 February) as *The International Day of Air Crash Victims and their Families* to promote awareness regarding both the prevention of aircraft accidents and the *ICAO Policy on Assistance to Aircraft Accident Victims and their Families* (Doc 9998) and the associated manual (Doc 9973). Recalling that the ACVFFI's motto was *Victims Helping Victims*, she urged the Executive Committee to recommend the actions in WP/297 as well as the ACVFFI's additional proposal to the Plenary for approval.

184. The above intervention of the Observer from ACVFFI was noted and would be taken into account when the Executive Committee considered Agenda Item 14.

185. The meeting adjourned at 1700 hours.

Minutes of the Fifth Meeting
(Sunday, 29 September 2019 at 0900 hours)

SUBJECTS DISCUSSED

1. Agenda Item 15: Environmental protection – General provisions, aircraft noise and local air quality– Policy and standardization
 - *ICAO global environmental trends – Present and future aircraft noise and emissions*
 - *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality*
 - Papers presented by Finland on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC)
 - Paper presented by Australia and co-sponsored by New Zealand
 - Paper presented by Costa Rica and co-sponsored by Latin America Civil Aviation Commission (LACAC) Member States
 - Paper presented Qatar
 - Paper presented by the United States
 - Paper presented by the Russian Federation
 - Paper presented by Airports Council International (ACI) and the Civil Air Navigation Services Organisation (CANSO)
 - Paper presented by the International Air Transport Association (IATA)
 - Paper presented by ACI
 - Information paper presented by Corporación Centroamericana de Servicios de Navegación Aérea (COCESNA) Member States
 - Information paper presented by India
 - Information paper presented by South Africa
 - Information paper presented by Chile
 - Information paper presented by ACI

2. Agenda Item 16: Environmental protection – International aviation and climate change — Policy and standardization
 - *International aviation and climate change*
 - *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change*
 - Paper presented by COCESNA Member States
 - Paper presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC

- Paper presented by the African Civil Aviation Commission (AFCAC) on behalf of 54 Member States
- Paper presented by Guatemala and co-sponsored by LACAC Member States
- Paper presented by Kenya
- Paper presented by Mexico
- Paper presented by the Dominican Republic
- Paper presented by ACI, CANSO, IATA, the International Business Aviation Council (IBAC), the International Coordinating Council of Aerospace Industries Associations (ICCAIA), coordinated by Air Transport Action Group (ATAG)
- Paper presented by IBAC
- Information paper presented by COCESNA Member States
- Information paper presented by the Russian Federation and China
- Information paper presented by the Dominican Republic
- Information paper presented by Indonesia
- Information paper presented by Japan
- Information paper presented by Germany
- Information paper presented by the United States
- Information papers presented by International Coalition for Sustainable Aviation (ICSA)
- Information paper presented by ACI

SUMMARY OF DISCUSSIONS

Agenda Item 15: Environmental Protection – General provisions, Aircraft Noise and Local Air Quality– Policy and Standardization

1. The Executive Committee considered Agenda Item 15 on the basis of two main working papers presented by the Council [WPs/54 and /57] and related papers presented by States and international organizations.

Present and future aircraft noise and emission trends

2. The Deputy Director, Environment (DD/ENV) introduced WP/54, which reported on the environmental trends assessment undertaken by the ICAO Committee on Aviation Environmental Protection (CAEP) for the present and future impact of aircraft noise and aircraft engine emissions. Overall, the trends showed that aircraft noise and aircraft engine emissions were expected to continue to grow, but at a rate slower than the growth in air traffic. These trends were being presented to the Assembly for enforcement as the basis for decision-making on matters related to environment. The Assembly was invited to endorse the use of the ICAO global environmental trends, as provided in WP/54, as the single, robust information basis for decision-making on environmental matters, and that the next Assembly be updated thereon.

3. The Chairperson noted that, in line with the said proposed action, the Executive Committee: recognized the importance of having a single, robust information basis for sound discussion and decision-making; emphasized that the ICAO global environment trends represented a consensus agreement among all stakeholders; and recommended that the environmental trends presented in WP/54 be endorsed as the basis for decision-making on environmental matters, and that the next Assembly be provided with updated environmental trends.

Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality

4. DD/ENV next presented WP/57, which reported on the progress made by ICAO since the 39th Session of the Assembly (A39) on issues related to civil aviation and environment with a view to contextualizing the proposed revisions to Assembly Resolution A39-1: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality*.

5. The paper highlighted elements of the progress made, such as, the CAEP/11 agreement on proposed new Annex 16, Volume II Standard on non-volatile particulate matter (nvPM) mass and number for aircraft engines; the Independent Expert Integrated Review of aircraft and engines technologies, details of which were provided in Appendix A to WP/57; the work on the Eco-Airport Toolkit e-collection and on issues related to community engagement aspects of performance-based navigation (PBN); the work on aircraft noise, including progress on the development of supersonic noise Standards for future aircraft and a Supersonic Exploratory Study being undertaken by the CAEP. The Executive Committee was invited to recommend that the Plenary adopt the proposed revised *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality* as presented in Appendix B to WP/57.

6. The Committee recognized the substantial progress made by ICAO in addressing the impact of noise and emissions, and emphasized the importance for ICAO to continue to follow-up on innovative, environmentally-friendly driven technologies and other technologies that may impact the environment, including the search for new energy sources for aviation and assessment of its impacts on noise and emissions.

7. The Delegate of Switzerland then introduced WP/103 (*Development of supersonic aeroplanes subject to public acceptability based on subsonic standards*), which was presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC. The paper highlighted that while the European States acknowledged the importance of technological innovation, they considered that it was very important to ensure that civil supersonic aircraft development did not undermine the considerable efforts made over many years to reduce aviation's environmental impact in the field of noise and emissions, and did not have adverse or disproportionate effects on safety, capacity and operations. WP/103 thus presented a review of standards and stringency levels that newly-developed supersonic aircraft should meet to ensure air transport prosperity. It underscored that if the aviation sector wished to continue to be allowed to grow, it was fundamental to ensure that aircraft noise and emissions standards safeguarded the current level of environmental protection. While recognizing the technological differences between subsonic and supersonic aircraft, the European States believed that those two classes of aircraft were fundamentally similar and that they would compete for the same passengers, airspace and access to airports using the same aviation system. Therefore, these two classes' operations should be subject to the same set of environmental standards.

8. In concluding his presentation, the Delegate of Switzerland noted that the European States considered that the creation of a package of regulations, standards and recommended practices on noise, emissions, safety and operations was required for the introduction of supersonic aircraft. They thus welcomed the Supersonic Exploratory Study being undertaken by the CAEP and would await the results. The Delegate of Switzerland highlighted that his State, among others, had banned supersonic flights over its territory by law many years ago and that the legislative bodies would only be willing to consider lifting that ban when it could be clearly demonstrated that operations at supersonic speeds would not create an additional and unacceptable burden to the public.

9. The Assembly was invited in WP/103 to:
- a) reaffirm that limiting or reducing the number of people affected by aircraft noise is a permanent and joint responsibility of all stakeholders in the aviation sector;
 - b) reaffirm that any supersonic aircraft project needs to aim to comply with the most recent noise standards for subsonic aircraft to avoid a step backwards from efforts achieved so far to reduce aircraft noise at source;
 - c) reaffirm that a CO₂ standard is to be developed based on the standard for subsonic aircraft and that the existing Annex 16, Volume II, Chapter 3 addressing emissions is to be updated;
 - d) instruct the Council, in the light of the available information and availing itself of the appropriate machinery, to review the Annexes and other relevant documents, so as to ensure that they take account of the problems which the operation of supersonic aircraft may create for the public;
 - e) reaffirm the importance it attaches to ensuring that no unacceptable situation for the public is created by operations from civil supersonic aircraft at both supersonic and subsonic speeds;
 - f) reaffirm that the integration of civil supersonic aircraft at airports and into the ATM system should not cause adverse impacts on operations, safety and the environment; and
 - g) instruct the Council, with the contribution of the Air Navigation Commission (ANC) and the CAEP, to assess the performance impacts (safety, operational and environmental) of the integration of supersonic operations into the air navigation system, at and around airports, and propose any mitigation actions, where appropriate.
10. The Delegate of Poland introduced WP/104 (*Management of environmental impacts around airports*), which was also presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC. The paper noted that despite the significant progress achieved by the aviation sector in mitigating environmental impacts, noise and emissions were a growing cause of health issues. It recognized that the *ICAO Balanced Approach to Aircraft Noise Management* was the most cost-effective way to manage noise issues and underscored that in order to remain an effective tool it had to be properly implemented and each of its four pillars had to be kept up-to-date to ensure that they could contribute as part of the overall Balanced Approach. Those updates should take into account technological improvements, the growing demand for air transport, urbanization and protection of human health.
11. The Assembly was invited in WP/104 to:
- a) reaffirm that mitigation measures to address noise and air quality impacts around airports should remain central to future international, national and regional policies;
 - b) reaffirm the importance of the ICAO environmental goals to (1) limit or reduce the number of people affected by significant aircraft noise and (2) limit or reduce the impact of aviation emissions on local air quality;
 - c) support the ICAO Balanced Approach and the need for all four pillars to be maintained [up-to-date] in order to ensure it remains an effective tool to manage airport noise;
 - d) note that the composition of the global fleet has evolved over time with new technology penetrating the market, such that only 2.5 per cent of total operations in Europe during 2017 were made by Chapter 3 aircraft, and that certain airports have already implemented operating restrictions on aircraft that are Chapter 3 compliant;
 - e) conclude that consideration shall be given to updating the statement in the “Local noise-related operating restrictions” section of ICAO Assembly Resolution A39-1, as presented in Appendix E, which originates from 2001, such that operating restrictions

are permitted on Chapter 4 aircraft of Maximum Take-Off Mass (MTOM) of 55 000 kg and over, as well as those certified to earlier standards, if justified under the ICAO Balanced Approach; and

- f) note the increasing importance of a comprehensive approach for managing air quality around airports, especially those impacts from aircraft and airport equipment emissions.

12. The Delegate of Australia then introduced WP/226 [*Aircraft noise – Remotely piloted aircraft (RPA)*], which was co-sponsored by New Zealand. The paper acknowledged the range of work being progressed in ICAO with regard to RPA, especially in relation to aviation safety, air navigation and aviation security, and highlighted the emerging issue of the community impacts of RPA operations, particularly in terms of noise. The paper described the experience of Australia, which in 2019 had approved limited flights by RPA for residential deliveries in a few of its cities, and outlined the challenges facing regulators worldwide, particularly as there were no ICAO noise standards for RPA at present. The Assembly was invited to encourage States to share their experiences in responding to aircraft noise issues related to RPA operations, especially in built-up and residential areas.

13. The Delegate of Costa Rica introduced WP/412 (*Contributions and advances in civil aviation in Latin America in terms of noise and local air quality*), which was co-sponsored by LACAC Member States. The paper presented the progress achieved by the Latin American region in the environmental field regarding noise and local air quality pursuant to Annex 16 and Assembly Resolution A39-1. It highlighted that LACAC Member States had proactively promoted initiatives to improve environmental performance by taking actions to reduce noise, improve local air quality, reduce greenhouse gas emissions and plan airport facilities, which had led to aeronautical regulations and major activities that had yielded successful results.

14. The Assembly was invited in WP/412 to:

- a) take note of the information presented in the paper;
- b) take into account the progress achieved by Latin American States in environmental protection and initiatives to implement ICAO Standards on the subject;
- c) continue to build States' capacities through seminars and workshops on the environment; and
- d) promote specific action to give developing States access to funding and technology transfers.

15. The Delegate of Qatar presented WP/140 (*Proposal to establish Aviation Environmental Protection Planning and Implementation Regional Groups*), which underscored that in view of the rapidly growing environmental activity within the global aviation industry, it was essential to have a comprehensive approach to address the environmental impacts of aviation. That would ensure the coherent development and implementation of aviation environmental protection programmes, as well as relevant international regional documentation in a manner that was harmonized within the regions and consistent with ICAO Standards and Recommended Practices (SARPs). The paper proposed the establishment of Aviation Environmental Protection Planning and Implementation Regional Groups (AEPPIRGS) to provide a platform for regional cooperation in addressing current aviation environmental developments and future challenges. The Assembly was thus invited to request the Council to establish AEPPIRGS to ensure the coordinated development of the aviation environmental protection action plans in the ICAO regions.

16. In his introduction of WP/261 (*Views of the United States on civil supersonic flight*), the Delegate of the United States noted that efforts were underway in his State to develop innovative civil

supersonic aircraft. He underscored that the United States supported those efforts, as well as the data-driven Supersonic Exploratory Study by the CAEP to help enable the aircraft's eventual entry into service. The United States was concerned, however, by some proposals presented to the Assembly by other States to introduce non-technical and subjective concepts, such as public acceptability, into the environmental standard-setting process. The United States strongly supported the CAEP's proven data-driven standard-setting approach which addressed environmental considerations (i.e. technological feasibility, economic reasonableness and environmental benefit). Similarly, the United States did not support proposals to apply subsonic noise standards to supersonic aircraft or to develop a CO₂ standard for supersonic aircraft based on the standard for subsonic aircraft. The United States considered that ICAO was most effective when it followed a data-driven standard-setting approach for any new and innovative technology, including supersonic aircraft.

17. The Assembly was invited in WP/261 to:

- a) reaffirm the data-driven standard-setting approach for new and innovative technologies like supersonic aircraft, which also address environmental considerations (i.e. technological feasibility, economic reasonableness, and environmental benefit of the technology);
- b) agree that any decision on noise and emissions standards for new supersonic aircraft should be based on data and analysis by the CAEP, and that existing subsonic noise and emissions standards may not be the appropriate benchmark for supersonic aircraft in light of technological feasibility; and
- c) agree that the Council should prioritize the work on the Supersonic Exploratory Study being conducted by the CAEP in order to enable technical discussions on future landing and take-off standards in the very near term.

18. The Delegate of the Russian Federation presented WP/374 (*Position of the Russian Federation on the problem of developing ICAO Standards for promising supersonic passenger airplanes*), which noted that several companies had already made great strides in developing supersonic aircraft, which could be certified as early as 2023-2025. The paper highlighted that the Russian Federation was actively participating in comprehensive research for future supersonic transport (SST) and their propulsion systems, both within that State and within the CAEP.

19. The Assembly was invited in WP/374 to:

- a) assign the Council to consider the possibility of prioritizing the development of ICAO SARPs for SST, considering the need, meanwhile, for the CAEP and the ANC expert teams to have close and effective coordination; and
- b) note that the Russian Federation, relying on its rich experience of building first-generation SST and the results of subsequent research into promising new-generation SST [high-speed supersonic aircraft (HISAC) and regulation and norm for low sonic boom levels (RUMBLE) projects], is prepared, if necessary, to provide resources to support this important ICAO direction.

20. The Observer from ACI introduced WP/260 (*Management of noise*), presented by ACI and CANSO. The paper highlighted that both organizations welcomed WP/57, in particular, the Council's proposal to include a reference to community engagement and to ICAO Circular 351 (*Community Engagement for Aviation Environmental Management*) in the draft updated *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality* appended thereto. ACI and CANSO proposed that, in addition, the text in Appendix C,

Preambular Paragraph 5, be adjusted to include community engagement as a cross-cutting element of the *ICAO Balanced Approach to Aircraft Noise Management*.

21. The paper underscored, in this regard, that more individuals and communities were expressing negative attitudes towards airports and aviation activities. Moreover, recent developments, such as the implementation of PBN and the possible introduction of new supersonic aircraft, may increase the complexity of aircraft noise management. The aviation industry thus needed to provide effective noise management with workable solutions for all stakeholders. The paper emphasized that although absolute noise was important, research had shown that acoustic factors were only responsible for some 30 per cent of noise-related community annoyance. ACI and CANSO recommended that States and the industry need to better understand the remaining 70 per cent so policies and actions could be developed and planned accordingly.

22. WP/260 paper recognized that the *ICAO Balanced Approach to Aircraft Noise Management* was a locally-driven policy solution which identified measures to reduce noise at and around airports. ACI and CANSO believed that it should remain the foundation of aircraft noise management worldwide, as it provided for the globally harmonized framework, suitable for aviation as an international industry, while also recognizing the varying local situations of airports and offering the necessary flexibility to address them.

23. The Assembly was invited in WP/260 to:

- a) note ACI's and CANSO's views on noise management around airports;
- b) request the Council to explore further the understanding of non-acoustic factors as a means to potentially support policy development which properly addresses community aircraft noise annoyance; and
- c) request the Council to include community engagement as a cross-cutting element of the ICAO Balanced Approach.

24. In presenting WP/175, the Observer from IATA emphasized that ICAO's work in addressing aviation's impact on the environment, notably the development of international standards were fundamental for the sustainability of air transport. ICAO's Standards had been an important means for securing technological improvements and creating regulatory predictability for airlines. Considering the international nature of air transport and the long lifespan of aircraft, airlines needed the assurance that aircraft certified in accordance with all applicable ICAO Standards would be able to operate worldwide and without undue restrictions which would hamper international air transport.

25. The Assembly was invited in WP/175 to:

- a) reiterate that ICAO's environmental certification standards had been developed for certification purposes and are not designed to serve as a basis for operating restrictions or emissions levies;
- b) note IATA's view that any decisions on certification limits for supersonic aircraft need to be data-driven and informed by analysis to ensure they are aligned with the CAEP's Terms of Reference;
- c) reiterate its support for the ICAO Balanced Approach and to urge States to adopt it when addressing noise problems at their airports;
- d) reaffirm the previously-agreed principles on the phase-out of subsonic jet aircraft which exceed noise levels in Annex 16, Volume I, and the introduction of local noise-related operating restrictions; and

- e) note IATA's support for ICAO's policies which recognize that environmental levies should only be applied at airports experiencing a defined noise or LAQ problem and that, if introduced, they should be in the form of a charge rather than a tax and that the funds collected should be applied, in the first instance, to mitigating the environmental impact of aviation.

26. The Observer from ACI prefaced her introduction of WP/225 (*ACI's views on the reintroduction of supersonic aircraft and the development of appropriate SARPs*) with an expression of support for WP/103 (Finland on behalf of the EU and its Member States and the other Member States of ECAC). WP/225 highlighted that ACI supported the work of the CAEP to develop noise and emissions SARPs for supersonic aircraft and recognized the need for ICAO to develop timely SARPs which would promote the harmonized sustainable development of international aviation. It underscored that the reintroduction of supersonic aircraft must not undermine the efforts and achievements of the industry over the past decades, and that supersonic aircraft must meet the latest ICAO noise and emission standards as their subsonic counterparts of the same MTOM. The paper further emphasized that the aviation world must respond to the latest report by the UN's Intergovernmental Panel on Climate Change (IPCC), which confirmed the need to limit global warming to 1.5°C above pre-industrial levels.

27. Regarding noise from supersonic aircraft, the paper highlighted ACI's concern that their operational characteristics may not be fully captured using current subsonic noise certification methodologies of ICAO. It was necessary for ICAO to address that challenge properly as not doing so would undermine the achievements and efforts of the aviation community to address noise at and around the airports. ACI supported the CAEP's Supersonic Exploratory Study and affirmed its full participation therein to deliver an assessment of the likely impact on communities.

28. The Assembly was invited in WP/225 to:

- a) recognize ACI's views on supersonic SARPs development;
- b) amend Assembly Resolution A39-1, Appendix G, to remove the specific reference to sonic boom;
- c) request the Council to develop noise and emissions SARPs for supersonic aircraft which promote the sustainable development of international aviation; and
- d) recognize that the reintroduction of supersonic aircraft should not disrupt traffic flow of other aircraft, lead to loss of capacity, or unintentionally reduce efficiency or environmental impact elsewhere in the system.

29. It was noted that the following five information papers had also been submitted: WP/81 [*Green paper of the Central American Corporation for Air Navigation Services (COCESNA)*] presented by COCESNA Member States; WP/372 (*National green aviation policy*) presented by India; WP/409 (*Contribution and views of South Africa on the environmental protection work done by ICAO*) presented by South Africa; WP/474 (*Promotion of green airports*) presented by Chile; and WP/354 (*Airports' contribution to environmental protection*) presented by ACI.

Discussion

In summarizing the presentations, the Chairperson of the Executive Committee observed that a number of papers (WPs/103, /261, /374, /175, and /225) addressed the issue of supersonic aircraft. In highlighting the broad support expressed for the CAEP's ongoing work with regard to supersonic aircraft, he proposed that the Executive Committee recommend to the Assembly that it request the Council to continue the CAEP's said ongoing work, prioritizing the CAEP's Supersonic Exploratory Study. The Chairperson recognized that divergent views were expressed in some of the presented papers regarding ICAO's standard-setting

approach, the relationship between existing standards for subsonic aircraft and the basis for developing new standards for supersonic aircraft, the issue of public acceptability, as well as the need to take into account safety, air navigation, security and other aspects. He therefore proposed that the Executive Committee recommend to the Assembly to take note of those divergent views, which would be considered by the Council after the completion of the technical work by the CAEP.

29. The Delegate of Egypt averred that the amount of time allocated for the introduction of the papers and for comments was not commensurate with the sensitive nature of these important issues and that there should not be any time limits for the Executive Committee's discussion thereof. He endorsed WPs/226 (Australia), /374 (the Russian Federation) and /412 (Costa Rica), and expressed concern with respect to WPs/104 and /225 (ACI).

30. Referring to WP/175 (IATA), the Delegate of Malta underscored that although the CO₂ and nvPM certification standards were not intended to be used as a basis for operating restrictions or emissions levies, noise and engine certification data were used by many States to address those issues and States would continue to use the best available data. He agreed with IATA that the development of SARPs relating to certification limits for supersonic aircraft would need to yield actual environmental benefits substantiated by data, in line with the CAEP's terms of reference. In sharing IATA's view that the four pillars of the ICAO Balanced Approach needed to be kept up-to-date, the Delegate of Malta noted that the first three pillars were being reviewed and underscored that the fourth pillar should also be reviewed.

31. The Delegate of Greece shared the view expressed by European States in WP/104 that the *ICAO Balanced Approach to Aircraft Noise Management* was a key element to meeting ICAO's environmental goals for noise to ensure that it continued to provide the means to protect public health. She reiterated that it was of paramount importance that all four principal elements of the ICAO Balanced Approach remain up-to-date and relevant in order to promote the future development of aviation, and affirmed that it was now time to update of element relating to operating restrictions taking into account the latest developments in the aviation industry.

32. The Delegate of Greece also endorsed action paragraph b) of WP/260 (ACI and CANSO), in which the Assembly was invited to request the Council to explore further the understanding of non-acoustic factors as a means to potentially support policy development which properly addresses community aircraft noise annoyance.

33. Commenting on WP/261 (United States) and WP/374 (the Russian Federation), the Delegate of France voiced support for the Chairperson's proposal to recommend to the Assembly to request the Council to continue the CAEP's ongoing work, prioritizing the CAEP's Supersonic Exploratory Study, while emphasizing the sensitive nature of the topic of supersonic aircraft, in particular with regard to the delicate matter of public opinion related to noise as described by ACI in WP/225.

34. In reiterating the comments made by Egypt regarding the amount of time allotted to speakers, the Delegate of the Russian Federation drew attention to WP/103, action paragraph b), in which the Assembly was invited to reaffirm that any supersonic aircraft project needed to aim to comply with the most recent noise standards for subsonic aircraft to avoid a step backwards from efforts achieved so far to reduce aircraft noise at source. He noted that the standards for supersonic aircraft would have to be based on ecological effectiveness and cost-effective standards substantiated by data, and on the economic and technological characteristics of the supersonic aircraft.

35. The Delegate of Norway voiced support for WP/103 (Finland on behalf of the EU and its Member States and the other Member States of ECAC) and underscored the importance of limiting, and

not increasing, the number of people affected by aircraft noise, especially from sonic booms. He emphasized that while subsonic aircraft mainly caused noise around airports, supersonic aircraft produced sonic booms along their flightpaths as long as they maintained a supersonic speed. The Delegate of Norway emphasized that if sonic booms were allowed over the high seas, then it would be necessary to ensure that there would be no significant noise therefrom in inhabited areas near coastlines. He highlighted that if supersonic flights were allowed over inhabited areas on land, then a large number of people could be affected, including in areas where there was currently no aircraft noise or manmade noise. The Delegate of Norway stressed that it was therefore important to have relevant standards relating to en-route noise and flights at supersonic speed in order to limit those issues and protect the general public.

36. The President of the Council, Dr. Olumuyiwa Benard Aliu, noted the divergent views on the topic of supersonic aircraft. However, in light of time constraints and in order to move forward, he invited Delegates to agree to the Chairperson's proposal to allow the CAEP to continue its technical work thereon and to instruct the Council to consider those divergent views once that work had been completed (cf. paragraph 30 above).

37. The Delegates of Austria, Bangladesh, Canada, China, Colombia, Egypt, Eritrea, Indonesia, Slovakia, Switzerland, Turkey, the United States and the Observer from IBAC voiced support for the Chairperson's said proposal. In so doing, the Delegate of Slovakia endorsed WP/54 (Council).

38. The Delegate of Indonesia highlighted that as a data-driven approach was essential to ensuring that the noise and emission standards for supersonic aircraft were formulated in a proper and scientific way he agreed that the related technical work be carried out by the CAEP.

39. Drawing attention to WP/54 (Council), the Delegate of China expressed concern regarding the transparency of the ICAO Global Environmental Trends Report and the data and modelling used therein. He averred that the Report was presented without explanation as to which modelling had been used and how the numbers had been derived. The Delegate of China contended that there were discrepancies in the Report and underscored that the sources of those discrepancies needed to be identified and depending on the data used, an adjustment to the modelling itself would be necessary.

40. Referring to the draft *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality* (WP/57), the Delegate of China suggested that Preambular Paragraph 11 of Appendix B be amended to read as follows to recognize that the CAEP's work was being undertaken by independent experts: "**Recognizing** the work of CAEP on its first **independent expert** integrated review of aircraft and engine technologies and the development of medium-term (2027) and long-term (2037) technology goals for noise, fuel burn and emissions;" (new text appears in bold). DD/ENV, who also served as the Secretary of the CAEP, endorsed this suggestion as it was in line with the title of related ICAO Doc 10127, *Independent Expert Integrated Technology Goals Assessment and Review for Engines and Aircraft*.

41. In concluding his remarks, the Delegate of China drew attention to action paragraph e) of WP/104 (Finland on behalf of the EU and its Member States and the other Member States of ECAC), and indicated that the limit of MTOM of 55 000 kg was not necessary.

42. The Delegate of Egypt shared the concerns expressed by the Delegate of China and endorsed his proposed amendment to Preambular Paragraph 11 of Appendix B to the *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality* (WP/57).

43. In expressing full support for WPs/54 and /57, the Delegate of Bangladesh stressed the need for the CAEP, in conducting its Supersonic Exploratory Study, to take into consideration supersonic operations in highly-populated areas.

44. Attention then turned to the *ICAO Balanced Approach to Aircraft Noise Management*. The Chairperson observed that there were divergent views regarding the need for a possible update of the “Local noise-related operating restrictions” as defined in Assembly Resolution A39-1, Appendix E (WPs/104 and /175). While noting the useful information provided in WP/104 (Finland on behalf of the EU and its Member States and the other Member States of ECAC), he underscored that the current text of Appendix E was based on the CAEP’s assessments and recommendations in light of the purpose of noise standards in Annex 16, Volume I. Without an agreement at the global level regarding the European States’ proposed update to Assembly Resolution A39-1, Appendix E, the Chairperson would not recommend that the text be changed. He thus proposed, and it was agreed, that the Executive Committee recommend to the Assembly that it only take note of the divergent views regarding the need for a possible update of the “Local noise-related operating restrictions” as defined in Assembly Resolution A39-1, Appendix E, in light of the purpose of noise standards in Annex 16, Volume I. The Delegate of Poland, who had introduced WP/104, objected to this decision on behalf of the European States concerned. He indicated that the Executive Committee should have recommended to the Assembly that it request the Council to ensure that the CAEP, as part of its current work programme, conduct an impact assessment of operating restrictions on Chapter 4 aircraft with a MTOM of 50 000 kg and over, as well as those certified to earlier standards.

45. The Chairperson further observed that WP/260 (ACI and CANSO) and WP/175 (IATA) had highlighted the need to consider non-acoustic factors as part of noise-related policy. The Executive Committee noted that the relevant technical work was already included in the CAEP work programme for the next triennium, approved by the Council.

46. In relation to the inclusion of community engagement as a cross-cutting element for the *ICAO Balanced Approach to Aircraft Noise Management*, the Executive Committee noted that community engagement was a cross-cutting issue and had to be applied to the Balanced Approach’s four principal elements. The Executive Committee recommended the Assembly to update the Assembly Resolution A39-1, Appendix C, as set forth in WP/57 (Council).

47. With respect to WP/226 (Australia, co-sponsored by New Zealand), the Executive Committee noted that ICAO should closely follow aircraft noise issues related to RPA operations and take action as appropriate. It recommended that the Assembly request the Council to encourage States to share their experiences in responding to aircraft noise issues from RPA operations and to consolidate these experiences into a potential best practice guidance for States.

48. Regarding the proposal set forth in WP/140 (Qatar) to establish AEPPIRGS to increase regional cooperation in addressing environment-related challenges, the Executive Committee observed that, bearing in mind the existing capacity building activities, as well as the importance of a global coordinated approach for consistent and coherent assistance to be provided to all regions, a more holistic consideration was needed.

49. While noting WP/412 (Costa Rica, co-sponsored by LACAC Member States), the Executive Committee agreed to continue the discussion on the issue of assistance and capacity building in the field of environment in the ensuing agenda items.

50. In response to a point raised by the Observer from ACI regarding the draft *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General*

provisions, noise and local air quality (WP/57), DD/ENV clarified that the proposed inclusion in Appendix B of references to the nvPM emissions certification standard was consistent with Doc 9082 – *ICAO's policies on charges for airports and air navigation services*. This was noted by the Executive Committee.

51. The Executive Committee agreed to the Delegate of China's suggested amendment to Appendix B, Preambular Paragraph 11, of the said draft *Consolidated statement* to specify that the work of the CAEP was being undertaken by independent experts.

52. In highlighting the broad support expressed for the ongoing work by the CAEP on supersonics, the Executive Committee recommended the Assembly to request the Council to continue the ongoing work being undertaken by the CAEP on supersonic aircraft, prioritizing the exploratory study. The Committee also noted the divergent views expressed with respect to the standard-setting approach and recommended the Assembly to note these views and instruct the Council to continue the discussion after the completion of the relevant technical work by the CAEP.

53. The Executive Committee agreed to recommend to the Plenary for adoption the draft *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality* set forth in WP/57, as amended during the discussion.

Agenda Item 16: Environmental protection – International aviation and climate change — Policy and standardization

54. The Executive Committee commenced its consideration of Agenda Item 16, which was documented in two working papers presented by the Council [WPs/55 and /58] and related papers presented by States and international organizations.

55. The Secretary General provided a brief report on ICAO's participation to the United Nations (UN) Climate Action Summit which had been convened by the UN Secretary-General on 23 September 2019 at the UN Headquarters in New York. The aim of the Summit had been to raise the global level of ambition and galvanize action by all States and all sectors to address climate change. It had focussed on 9 thematic areas related to climate change, such as mitigation strategy, energy transition, resilience and adaptation, climate finance and carbon pricing, and industry partnerships. ICAO had attended the Climate Action Summit as part of its cooperation with other UN bodies, with the aim of maintaining ICAO's leadership role in all issues related to international aviation and climate change. At various events, ICAO had highlighted the Organization's decisions and important achievements in addressing international aviation CO₂ emissions and the importance of coalitions and partnerships among ICAO Member States, aviation industry and other stakeholders to accelerate the implementation of green technologies and innovations that would further reduce aviation emissions in the longer term.

56. In addition, the Secretary General expressed appreciation to all those who had participated at the ICAO Innovation Fair held at ICAO Headquarters in Montréal on 22-23 September 2019. The Innovation Fair had proved to be an excellent opportunity to showcase environment-driven innovative technologies and renewable energy solutions, which were important components in exploring long-term emissions reduction opportunities for international aviation. The Secretary General underscored that both the UN Climate Action Summit and the ICAO Innovation Fair had provided food for thought as States were moving forward with their work on international aviation and climate change.

International aviation and climate change

57. The Secretary General then introduced WP/55, in which the Council reported on the work of the Organization on activities relating to international aviation and climate change since A39, including the progress on the basket of CO₂ mitigation measures related to aircraft technology and Standards, operational improvements, and sustainable aviation fuels (SAF), as well as updates on States' Action Plans for CO₂ emissions reduction activities and associated ICAO projects in partnerships with other international organizations. The paper also reported on ICAO's cooperation with other UN bodies and international organizations in the field of international aviation and climate change. The Secretary General highlighted that ICAO had continued to work closely with Member States to support the development and update of their State Action Plans, and that as a result 116 Member States had thus far voluntarily submitted their Action Plans to the Organization.

58. The Assembly was invited in WP/55 to:

- a) recognize the good progress achieved in each of the elements of the basket of measures to reduce CO₂ emissions since the 39th Session of the Assembly;
- b) continue to support the Organization in coordinating, facilitating and monitoring action to reduce aviation CO₂ emissions and to report on progress by the next Assembly;
- c) acknowledge the progress achieved under the ICAO State Action Plans for CO₂ emissions reduction initiative, and to encourage States that have not yet developed an Action Plan to engage in this initiative as soon as possible, with the support of ICAO;
- d) request that further work on the feasibility of a long-term global aspirational goal, as requested by Assembly Resolution A39-2, Operative Paragraph 9, be presented at the next Assembly; and
- e) encourage ICAO to cooperate with other UN bodies and international organizations, providing information on current and future activities, including on CO₂ emissions, and ensuring ICAO's leadership in all matters related to international civil aviation.

59. The Chairperson indicated that the Executive Committee recognized the progress achieved in each of the elements of the basket of measures to reduce CO₂ emissions from international aviation since A39 and agreed that the Organization should be supported in coordinating, facilitating and monitoring actions to reduce international aviation CO₂ emissions and reporting on progress by the next Assembly. The Executive Committee also agreed that the Assembly can encourage ICAO to continue to cooperate with other UN bodies and international organizations, providing information on current and future activities, including on CO₂ emissions, and ensuring ICAO's leadership in all matters related to international civil aviation and climate change.

Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change

60. The Secretary General then presented WP/58, whereby the Council proposed revisions to Assembly Resolution A39-2: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change* in light of developments since the last Assembly as described in WP/55. The Assembly was invited to adopt the proposed revised Consolidated statement appended to WP/58.

61. On behalf of COCESNA, the Delegate of Costa Rica introduced WP/80 Revision No. 1 (*Updating of the Central American Action Plan for Emissions Reduction from International Aviation – CAAPER 2.0*). CAAPER 2.0 provided updated information on the emissions generated by air operators with an Air Operator Certificate (AOC) issued by COCESNA Member States, and reflected the selected set of measures to be gradually implemented by those States to reduce emissions from international aviation, taking into consideration their special circumstances and respective capabilities. The Delegate of Costa Rica affirmed that his State, as a recipient of one of the 2019 *Champions of the Earth Awards* bestowed by the United Nations Environment Programme (UNEP) for its commitment to fight climate change, would bring added value to ICAO's discussion of environmental issues if it was elected to the Council during the current Assembly.

62. The Assembly was invited in WP/80 Revision No. 1 to:

- a) examine the information presented in the paper, including the progress made to date;
- b) consider the experience of COCESNA in the preparation of the *Central American Action Plan for Emissions Reduction from International Aviation* (CAAPER 2.0) using strategic alliances between States; and
- c) request ICAO to provide technical assistance and aid in obtaining financial support for the gradual implementation of the set of measures selected for the Central American region.

63. The Delegate of France introduced WP/102 (*Perspectives on sustainable aviation*) presented by Finland on behalf of the EU and its Member States and other Member States of ECAC. He noted that the European States wished to send a message of hope to the international community, particularly in view of the youth Climate Strike march which had taken place in Montréal and in other cities around the globe on 27 September 2019. The paper underscored that the European States strongly supported the ICAO basket of measures to reduce CO₂ emissions from international aviation, including CORSIA, and acknowledged the achievements already made. It further emphasized the need to ensure that CORSIA had a solid foundation as it was the main course of action for reducing such emissions in the short-term, and stressed that it was crucial that all States and regions effectively implement CORSIA and participate in CORSIA offsetting requirements from the pilot phase (2021-2023) to achieve ICAO's medium-term global aspirational goal of carbon neutral growth from 2020 (CNG2020).

64. The paper highlighted the essential role of SAF in that endeavour and noted that the European States acknowledged the leading role of ICAO in SAF promotion and the significant progress achieved thus far, especially in developing global standards for its use and demonstrating its safety and technical feasibility. It outlined the remaining significant challenges in turning SAF into an operational reality for aviation and proposed related actions. In addition, the paper underscored the importance of addressing the impact of international aviation on the global climate with an ambitious long-term perspective and called for ICAO to agree on a long-term global aspirational goal for international aviation, consistent with the 1.5°C temperature goal of the Paris Agreement, before the next Session of the Assembly.

65. In concluding his introduction, the Delegate of France indicated that the European States supported the draft *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change* appended to WP/58 while suggesting that the text relating to SAF and a long-term global aspirational goal for international aviation be strengthened. They were willing to work with other States in that regard.

66. The Assembly was invited in WP/102 to:

- a) support the development of a broad range of policy measures under the ICAO basket of measures to support States with practical ways of effectively addressing climate impacts from the aviation sector;
- b) request Member States to build on the work of ICAO by taking action to ensure that CORSIA is implemented comprehensively, early and worldwide, putting in place the necessary national policies and regulatory frameworks for the compliance and enforcement of CORSIA;
- c) note the remaining challenges in turning sustainable aviation fuels into an operational reality, and invite ICAO and States to develop more ambitious measures to support their uptake in line with the *2050 ICAO Vision for Sustainable Aviation Fuels*;
- d) support work on a long-term emissions reduction goal for international aviation, in the light of the recent reports and developments, for example, within the United Nations General Assembly (UNGA), the Intergovernmental Panel on Climate Change (IPCC), the United Nations Framework Convention on Climate Change (UNFCCC) and the International Maritime Organisation (IMO), building on the commitments from the industry and the technical possibilities; and
- e) note Europe's commitment to building capacity for environmental protection with a view to ICAO's *No Country Left Behind* (NCLB) initiative.

67. On behalf of the 54 AFCAC Member States, the Delegate of Nigeria introduced WP/176 (*Assistance for development and implementation of State Action Plans for CO₂ emissions mitigations for international aviation and future approach*). The paper highlighted the role of ICAO in assisting States under a successful cooperation model, which may also be appropriate for other, mainly developing, Member States. It underscored that as of 31 July 2019, 25 AFCAC Member States (45.4 per cent) had voluntarily submitted their respective State Action Plan on CO₂ emissions reduction activities to ICAO, with 12 out of the said 25 States having been able to submit robust Action Plans as a result of the joint ICAO-EU assistance project. The paper stressed that it was imperative to encourage Member States, ICAO, international organizations and development partners to continue to support and strengthen capacity building on CO₂ emissions reduction, building upon the successful experience of the ICAO-EU assistance project. It also emphasized the need for financial resources, technical support, technology transfer and collaboration between ICAO and AFCAC in the development and implementation of programmes for Africa.

68. The Assembly was invited in WP/176 to:

- a) note the information contained in the paper;
- b) encourage Member States and ICAO to support States in the development and updating of State Action Plans for CO₂ emissions mitigation and implementation of selected measures;
- c) encourage Member States, ICAO, regional and international organizations to promote and support initiatives to finance environmental protection programmes and establish a permanent assistance and capacity building programme for the Member States in close coordination with ICAO's Environment Office;
- d) instruct the Secretary General to support and strengthen capacity building on CO₂ emissions reduction, building upon the successful experience of the ICAO-EU assistance project and provide technical support and technology transfer; and
- e) instruct the Secretary General to collaborate with AFCAC in the development and implementation of programmes for AFCAC Member States.

69. The Delegate of Guatemala introduced WP/411 (*Contributions of the Latin American region to climate change matters and the implementation of CORSIA*), which was co-sponsored by LACAC Member States. The paper highlighted LACAC Member States' proactiveness in tackling climate change through the development and implementation of State Action Plans on CO₂ emissions reduction activities, which were based on the entire basket of measures, including fleet renewal, and active participation in the design and implementation of CORSIA.

70. The Assembly was invited in /411 to:

- a) take note of the information presented in the paper;
- b) take into account the contributions of Latin American States to climate change matters and to the implementation of CORSIA;
- c) request that ICAO continue to build and strengthen States' capacities through seminars and workshops on climate change and the implementation of CORSIA; and
- d) request that ICAO continue to promote concrete action to give access to funding and technology transfer to developing States.

71. The Delegate of Kenya presented WP/266 (*Recent developments in the collection, monitoring and reporting of CO₂ emissions from international aviation*) which elaborated on his State's experience and progress in the collection, monitoring and reporting of data related to CO₂ emissions from international aviation, which were part of its initiatives to update and strengthen its voluntary State Action Plan for CO₂ emissions reduction submitted to ICAO in December 2015. The paper highlighted that under the ICAO-EU assistance project a ground-mounted 507 kW solar photovoltaic (PV) system and electric ground power unit and a preconditioned air unit had been installed at Moi International Airport in Mombasa, which was expected to generate 820 000 kWh per year and offset 1 300 tonnes of CO₂ annually. It also underscored that Kenya had participated in the CORSIA Small Scale Implementation Project spearheaded by the Government of Germany and ICAO to test the MRV provisions of the CORSIA SARPs. Kenya had decided to voluntarily participate in the pilot phase of CORSIA and an Aeronautical Information Circular (AIC) had been issued to all national airlines requesting them to implement CORSIA from 1 January 2019 by preparing and submitting their Emission Monitoring Plans. Draft national civil aviation regulations on CORSIA were in the final stage of approval.

72. The Assembly was invited in WP/266 to:

- a) note the information provided in the paper;
- b) support States in implementing an efficient and sustainable data Monitoring, Reporting and Verification (MRV) strategy;
- c) support and strengthen capacity building on CO₂ emissions reduction, building upon the successful experience of the ongoing ICAO-EU assistance project, and further facilitate States' access to financial resources, technical support and technology transfer;
- d) support and encourage Member States to participate in CORSIA; and
- e) encourage Member States to build partnerships on climate change-related matters and foster cooperation and knowledge exchange at the regional and global levels.

73. The Delegate of Mexico introduced WP/269 (*International aviation and climate change*), in which his State expressed full support for the progress made over the last triennium in each element of the ICAO basket of measures to reduce CO₂ emissions from international aviation. The Assembly was invited to:

- a) urge ICAO and Member States to make further progress in all the elements of the ICAO basket of measure in the next triennium;
- b) request ICAO to hold annual ICAO stocktaking seminars to foster the global development of aviation sustainable fuels and support the quantification of the *2050 ICAO Vision for Sustainable Aviation Fuels*;
- c) request ICAO to provide a forum to promote and foster innovative CO₂ emissions reduction technologies, such as electric and hybrid aircraft, which is a crucial component to explore long-term emissions reduction opportunities for the international aviation sector;
- d) urge ICAO to provide further assistance and capacity building for the development and refinement of State Action Plans, which reflect and communicate the efforts of Member States to reduce CO₂ emissions from international aviation; and
- e) encourage ICAO to cooperate with other UN bodies to maintain the leadership role of ICAO in the field of international aviation and climate change.

74. The Delegate of the Dominican Republic introduced WP/323 (*Assistance and capacity building to reduce CO₂ emissions from international aviation*), which highlighted the role of ICAO in assisting States under a successful cooperation model that could be adapted for other Member States, primarily developing States. It underscored that the ICAO-EU assistance project, in which the Dominican Republic had taken part, as well as the ICAO-United Nations Development Programme (UNDP)-Global Environment Facility (GEF) assistance project and the ICAO ACT-CORSIA Programme, among others, had demonstrated the importance of assistance to the successful achievement of the global environmental protection objectives and goals. The paper noted, however, that those assistance programmes, which were led by ICAO's Environment Office (ENV) and Technical Cooperation Bureau (TCB), were temporary and not open to all States. The paper underscored the importance of establishing a permanent assistance and capacity building programme related to environmental protection.

75. The Assembly was invited in WP/323 to:

- a) request the Council to allocate resources specifically for environment capacity building (assistance to States);
- b) request the Council to continue the task of supporting Member States by disseminating important information and guidance material, and providing technical assistance;
- c) request the Council to establish, under the ICAO Regular Programme, a specific programme/project and an organizational structure on environment assistance and capacity building in support of Member State, primarily developing States; and
- d) request the Council to continue the task of building alliances with other States and international organizations in order to cover Member States' needs for assistance, including access to financial resources, technology transfer and capacity building for CO₂ emissions mitigation in the aviation sector.

76. The Delegate of the Dominican Republic next presented WP/413 (*Analysis of the achievement of sustainable airports in island States*), which summarized the progress achieved by her State in terms of mitigating greenhouse gases and formulating and updating its State Action Plan on CO₂ emissions reduction activities. The paper underscored the progress achieved by international airports in the Dominican Republic between 2013 and 2019, including accreditation under the Airport Carbon Accreditation (ACA) Programme. It also highlighted that the success of the positive steps taken by the Dominican Republic to mitigate the effects of climate change was clear evidence of its commitment to

meet ICAO's Strategic Objective pertaining to environmental protection, and was reflected in green aviation, by which the goal of carbon neutral growth at airport terminals could be achieved.

77. The Assembly was invited in WP/413 to:

- a) urge ICAO to continue detailed feasibility studies in assessing proposed goals, their impact on the system, and their effect on growth and costs in all countries, in particular island developing countries; and
- b) urge States to promote among their airport operators the achievement of sustainable airports in order to reduce CO₂ emissions.

78. The Observer from ATAG introduced WP/194 (*Industry views on the basket of measures and a long-term goal*), presented by ACI, CANSO, IATA, IBAC and ICCAIA and coordinated by ATAG. The paper recalled the three global goals set by the civil aviation industry in 2009 to address its climate impact: a short-term efficiency improvement goal of 1.5 per cent per annum; a mid-term goal to cap net CO₂ emissions through carbon neutral growth from 2020; and a long-term goal to halve net aviation CO₂ emissions by 2050 when compared with 2005 levels. While recognizing that the focus was currently on ensuring the success of CORSIA and that CORSIA-related work was pressing, he emphasized that the industry also needed long-term certainty and a long-term climate goal, supported by government policies, to solidify climate action. In affirming that it was time for governments meeting at ICAO to work alongside industry and civil society partners on a comprehensive long-term goal for the air transport sector, the Observer from ATAG emphasized that collectively the industry was willing to play its part in the technical discussions which could inform that goal.

79. The Observer from ATAG highlighted that at the UN Climate Action Summit (New York, 23 September 2019) commitments to solid climate action had been heard from nations around the world with an inspiring level of cross-cutting support from industries everywhere. Furthermore, at the Climate Strike march (Montréal, 27 September 2019) the voices of young people had been heard declaring that they would take charge if adults did not. He noted that the industry took inspiration from their voices and from its own technical expertise. The Observer from ATAG underscored that while climate change was a particularly challenging issue, it was one which the industry was ready to address, and expressed the hope that ICAO would join the industry in solving that issue with a comprehensive long-term climate goal for international civil aviation.

80. The Assembly was invited in WP/194 to:

- a) recognize the efforts made by the industry in exceeding its short-term climate action goal of improving its annual fuel efficiency by an average of 1.5 per cent;
- b) recognize the commitment made by the industry to pursuing carbon neutral growth from 2020 through a range of emissions reduction measures underpinned by CORSIA; and
- c) request the Council to develop, with the full support and collaboration of industry, a long-term climate goal for international civil aviation for adoption at the 41st Session of the ICAO Assembly.

81. The Observer from IBAC presented WP/273 (*Business aviation activities on the use of sustainable aviation fuel*), which outlined IBAC's efforts to inform and demonstrate to the business aviation industry that SAF could and should be used to help industry meet its long-term goal of halving net aviation CO₂ emissions by 2050 when compared with 2005 levels. The paper underscored the increasing interest and enthusiasm within the industry toward SAF.

82. The Assembly was invited in WP/273 to:
- a) recognize and support the efforts made by the business aviation sector to raise awareness of SAF and to encourage an increase in the production and wider use of SAF; and
 - b) request that ICAO facilitate, and that Member States implement, appropriate policies, including incentives, to encourage (i) the production and blending of SAF in greater quantities and (ii) the consumption of SAF by aircraft operators in order for business aviation to make further, meaningful progress toward its long-term aspirational goal to reduce carbon emissions.

83. It was noted that the following 11 information papers had also been submitted: WP/81 [*Green paper of the Central American Corporation for Air Navigation Services (COCESNA)*] presented by COCESNA Member States; WP/274 (*Importancia para los estados integrar desde la planificación estratégica la protección al medio ambiente*) presented by the Dominican Republic; WP/510 (*Indonesia environmental protection program*) presented by Indonesia; WP/525 (*Adaptation plans at Japanese airports against climate change*) presented by Japan; WP/526 [*Power-to-liquids (PTL): Sustainable fuels for aviation*] presented by Germany; WP/531 (*United States' efforts to address aviation's climate impact*) presented by the United States; WP/605 (*The Joint Statement of the Ministry of Transport of the Russian Federation and Civil Aviation Administration of China on the establishment of an equitable and effective global mechanism on international aviation and climate change*) presented by the Russian Federation and China; WPs/277 (*Setting a long-term climate change goal for international aviation*), /560 Revision No. 1 (*CO₂ emissions from commercial aviation, 2018*) and /561 (*Envisioning a "zero climate impact" international aviation pathway towards 2050: How governments and the aviation industry can step-up amidst the climate emergency for a sustainable aviation future*) presented by ICSA; and WP/354 (*Airports' contribution to environmental protection*) presented by ACI.

Discussion

84. In summarizing the presentations, the Chairperson of the Executive Committee observed that a number of papers (WPs/80 Revision No. 1, /102, /176, /266, /269, /323, /411 and /413) supported ICAO's work on State Action Plans and capacity building and assistance initiatives. Based on their convergence of views, he recommended the following action: the Executive Committee acknowledge the progress achieved under the ICAO State Action Plans initiative and agree that the ICAO Secretariat should continue to enhance ICAO's capacity building and assistance activities for the preparation and implementation of States' Action Plans to reduce aviation CO₂ emissions, including: the organization of seminars and training; provision of guidance and tools; facilitating access to financial resources and experts; and the establishment of additional feasibility studies, particularly in developing States and SIDS. The Executive Committee also agree that more partnerships among States should be encouraged to assist those that have not yet prepared or improved their State Action Plans, including through ICAO's State Action Plan Buddy Programme. The Executive Committee also note proposals from some Member States that additional resources should be made available for the development of State Action Plans to reduce aviation CO₂ emissions, and for feasibility studies and implementation of CO₂ emissions mitigations measures, for example, through the establishment of additional partnerships between ICAO, Member States and international organizations, and through the establishment of a permanent assistance and capacity building programme within ICAO/ATB/ENV.

85. Noting that there were also several papers which supported the *2050 ICAO Vision for Sustainable Aviation Fuels* and the related sustainable aviation fuel stocktaking process (WPs/102, /269, /273 and /411), the Chairperson further recommended the following action based on their convergence of

views: the Executive Committee note that several challenges remain as regards the commercial-scale deployment of sustainable aviation fuels and Member States should adopt more ambitious measures in order to support the *2050 ICAO Vision for Sustainable Aviation Fuels*, including the organization of annual ICAO stocktaking seminars. ICAO should facilitate the establishment of important building blocks toward the quantification of the ICAO 2050 Vision as requested by the ICAO Conference on Aviation and Alternative Fuels (CAAF/2) in 2017 and organize annual sustainable aviation fuel stocktaking seminars

86. The Chairperson noted that the issue of a long-term global aspirational goal for international aviation has also been raised in some working papers (WPs55, /102, /194, /227, /269 and /562). He recommended the following action: the Executive Committee note that the Council, in action paragraph d) of WP/55, invited the Assembly to request that further work on the feasibility of a long-term global aspirational goal, as requested by Assembly Resolution A39-2, Operative Paragraph 9, be presented at the 41st Session of the Assembly. It also note the convergence of views among States that the work on a long-term global aspirational goal should be prioritized toward the 41st Session of the Assembly, while recognizing some divergence of views regarding the approaches for how to develop such a long-term aspirational goal (either by top-down or bottom-up approach). The Executive Committee recall the convening of the UN Climate Action Summit by the UN Secretary-General to raise more ambition for climate actions by all countries and all sectors, and that ICAO participated to highlight the importance of coalitions and partnerships to accelerate the implementation of green technologies and innovations that will further reduce aviation emissions in the longer term. The Executive Committee was reminded that the ICAO Innovation Fair that took place in Montréal on 22 September 2019 showcased environment-driven innovative technologies and renewable energy solutions, which are important components to explore long-term emissions reduction opportunities for the international aviation sector.

87. The Chairperson then opened the floor for discussion regarding the long-term global aspirational goal for international aviation, inter alia.

88. The Delegate of the United States noted that although his State was a strong proponent of SAF and had worked thereon for many years, it had concerns about the Assembly requesting Member States to take more ambitious actions in order to support the *2050 ICAO Vision for Sustainable Aviation Fuels* as they were at different levels of development and had different national capacities and circumstances. Recalling that the wording regarding the quantification of sustainable aviation fuels to be used by 2050 had been carefully negotiated during the second ICAO Conference on Aviation and Alternative Fuels (CAAF/2) (Mexico City, 11-13 October 2017), he underscored that while the United States did not support such a quantification at this time, it recommended maintaining the related text of the draft updated Assembly Resolution on climate change as presented in WP/58.

89. Noting that the major announcements made by governments and private sector leaders during the UN Climate Action Summit in New York City, as well as the statements made by youth during the Climate Strike march in Montréal, had boosted climate action momentum, the Delegate of Norway voiced support for WP/194 (ACI, CANSO, IATA, IBAC and ICCAIA and coordinated by ATAG), in particular, the request that the Council develop, with the full support and collaboration of industry, a long-term climate goal for international civil aviation for adoption at the 41st Session of the ICAO Assembly. In urging ICAO to start that process, Norway affirmed that a more ambitious goal for emissions reduction from international aviation was achievable based on a full set of the elements of ICAO's basket of measures. Norway welcomed policies and incentives that would create a market for SAF, and had decided to introduce a quota requirement starting from 0.5 per cent of SAF in aviation from 2020, with the ambition of increasing that percentage to 30 per cent by 2030. Norway considered that the use of electric and hybrid electric aircraft for regional travel appeared to be a realistic goal in the near future and was well-suited to Norwegian and other markets which had a significant share of regional travel.

90. The Delegate of Denmark welcomed the proposed changes to Assembly Resolution A39-2 as set forth in the revised text appended to WP/58. Recalling that the aviation industry had already demonstrated its ambition with its 2050 emissions reduction commitment, he reiterated the view expressed by the European States in WP/102 that it was now time to begin developing a long-term climate goal for international aviation which would build upon, and go beyond, the success of CORSIA and ICAO's medium-term global aspirational goal of CNG2020. The Delegate of Denmark invited all States to work with Denmark and the other European States to agree on a programme of work to facilitate a decision on such a long-term goal as soon as possible and before the next Assembly in 2022.

91. The Delegate of Germany underscored that, in light of recent reports and developments within other fora, such as the UNGA, the IPCC, the UNFCCC and the IMO, her State likewise supported work on a long-term emissions reduction goal for international aviation. She highlighted that Germany considered that SAF was an important pillar of ICAO's basket of measures which had the potential to contribute to absolute emissions reduction in the aviation sector, notably through the use of synthetic fuels produced from additional renewable energy. The Delegate of Germany drew attention to information paper WP/526, in which her State provided an overview of the "Power-to-Liquids" (PtL) concept of producing sustainable jet fuel using additional renewable electricity.

92. In expressing support for WP/194 (ACI, CANSO, IATA, IBAC and ICCAIA and coordinated by ATAG), the Delegate of the Republic of Korea observed that the international aviation sector had established itself as the leading industry responding to climate change by implementing CORSIA and emphasized that it was highly desirable to continue that effort. He cautioned, however, that if the international aviation sector outpaced other sectors and become overburdened, then it was likely that there would be a negative impact on the global economy and not solely on the aviation industry.

93. With reference to action paragraph d) of WP/55 (Council), the Delegate of the Russian Federation expressed doubt regarding the need to establish a long-term global aspirational goal. In emphasizing the need to be pragmatic and to first achieve the climate goals set earlier by ICAO, he averred that in that process the way forward would become clearer. Noting that China, India and the Russian Federation had submitted to the Secretariat their jointly proposed changes to the draft updated Assembly Resolution on climate change appended to WP/58, the Delegate of the Russian Federation highlighted that one of their proposed changes was to relocate the Annex containing the guiding principles for the design and implementation of market-based measures (MBMs) for international aviation to the draft updated Assembly Resolution on CORSIA appended to WP/59.

94. In voicing support for WP/176 (AFCAC Member States) and WP/55 (Council), the Delegate of Cameroon recalled that his State had been among the first to have voluntarily submitted its State Action Plan for CO₂ emissions reduction to ICAO. In highlighting that Cameroon had been one of the African States which had benefitted from the ICAO-EU assistance project, he noted that a ground-mounted 507 kW solar photovoltaic (PV) system and electric ground power unit and a preconditioned air unit had been installed at the Douana International Airport. In also expressing support for WP/266 (Kenya) and WP/59 (Council), the Delegate of Cameroon stressed the need for ICAO to provide additional assistance, particularly to developing States, regarding the training of potential verification bodies on how to verify CO₂ Emissions Reports under CORSIA, and their accreditation.

95. Sharing the views expressed by the Delegate of the Russian Federation, the Delegate of China averred that it was unnecessary to establish a long-term global aspirational goal for international aviation. He maintained that the existing goals set forth in Assembly Resolution A39-2, Operative Paragraph 4, were sufficiently ambitious and aspirational, namely, achieving a global annual average fuel efficiency improvement of 2 per cent until 2020 and an aspirational global fuel efficiency improvement

rate of 2 per cent per annum from 2021 to 2050, calculated on the basis of volume of fuel used per revenue tonne kilometre performed. The Delegate of China stressed that if some States believed that there was a need to establish a new long-term aspirational goal, then they could do so on a voluntary basis. Other States should not be compelled to accept such a long-term aspirational goal. Recalling that ICAO was an international organization which represented and served its Member States, he emphasized that it should therefore listen to the concerns expressed by its Member States and not rush to take a decision and not sacrifice the interest of developing States. The Delegate of China underscored that his State and other developing States had the potential to grow at a faster pace. He averred, however, that a long-term global aspirational goal for international aviation would negatively impact their right to develop their respective aviation industries. Moreover, it would affect the sustainable development of other resources (e.g. water, land, etc.). Stressing that further studies were required, the Delegate of China indicated that the Assembly could perhaps start discussing the issue of a long-term global aspirational goal for international aviation from 2037.

96. The Delegate of Zimbabwe commended ICAO and development partners for their assistance in the formulation and implementation of State Action Plans on CO₂ emissions reduction activities. He expressed full support for WP/176 (AFCAC Member States), WP/55 (Council), WP/266 (Kenya), WP/59 (Council), as well as for WP/323 (the Dominican Republic) which underscored the importance of establishing a permanent assistance and capacity building programme related to environmental protection. The Delegate of Zimbabwe affirmed that such a permanent programme would help developing States, including African States, which had not previously received such support, in the spirit of ICAO's NCLB initiative.

97. The Delegate of Egypt voiced support for the draft updated Assembly Resolution on climate change as presented in WP/58, without any changes. While concurring with the views expressed by the Delegates of the Russian Federation and China regarding a long-term global aspirational goal for international aviation, he emphasized that it was necessary to make progress despite the divergent views on that issue. The Delegate of Egypt thus agreed that, in accordance with Operative Paragraph 9 of the said Assembly Resolution, the Council continue to explore the feasibility of such a long-term global aspirational goal and that the CAEP, as a priority, conduct detailed studies assessing the attainability and impacts of any goals proposed pursuant to its work programme. He reaffirmed Egypt's support for the leadership role played by ICAO, the Council, and the CAEP in addressing this matter.

98. The Delegate of Brazil indicated that his State agreed to Operative Paragraph 9 of the Assembly Resolution in the form presented in WP/58. Brazil considered that a long-term global aspirational goal for international aviation would have to be defined and combined with clear emissions reduction pathways compatible with in-sector measures such as SAF and technologies. Brazil maintained that without consideration of such measures a long-term goal would merely be an extension of CORSIA and would not lead to an effective decarbonization of the aviation industry.

99. The Delegate of Mexico underscored that in order to ensure that the aviation sector did not lag behind other sectors in mitigating climate change, the Assembly had adopted policies, as well as a basket of measures to reduce CO₂ emissions from international aviation, which included technology and Standards, SAF, operational improvements and CORSIA. He underscored that to enable the sustainable development of international aviation it was necessary for the Assembly to at least allow the Council to continue to explore the feasibility of a long-term global aspirational goal for international aviation and to allow the CAEP to conduct detailed studies assessing the attainability and impacts of any goals proposed, with the Council presenting the progress of work to the 41st Session of the Assembly, as called for in Operative Paragraph 9 of the draft updated Assembly Resolution on climate change (WP/58).

100. The Delegate of India drew attention to WP/228 Revision No. 1 (*CORSIA – Implementation challenges & need for review of the baseline emission criteria*) submitted under Agenda Item 17, in which India raised two concerns regarding the basic architecture of CORSIA: who should be responsible for emissions management, airline operators or States; and how should the baseline be fixed. As implementation of CORSIA had not yet started yet, India considered that it would be wise to observe its implementation, note any difficulties, and then formulate a long-term global aspirational goal for international aviation. India agreed that, as indicated by the Delegates of the Russian Federation and China, the Assembly should not rush to establish such a long-term goal at this moment.

101. The Delegate of Finland voiced strong support for WP/102, which his State had presented on behalf of the EU and its Member States and other Member States of ECAC, as well as for CORSIA and all the other elements of the ICAO basket of measures to reduce CO₂ emissions from international aviation. He reiterated that the use of SAF had huge potential to be one of the key measures to significantly reduce aviation's carbon footprint. The Delegate of Finland highlighted that his State was taking the necessary steps to make the relevant ICAO SARPs an operational reality and hoped that other Member States would do the same. He emphasized that in addition to the current action being taken to reduce aviation's carbon footprint Member States should demonstrate ambition for the longer term and at this time prepare for the adoption of an ambitious long-term global aspirational goal for international aviation as soon as possible and at the latest by the next Assembly. The Delegate of Finland endorsed the interventions by the Delegates of Cameroon and Zimbabwe regarding the provision of assistance and capacity building.

102. The Delegate of Japan spoke in favour of the Council continuing to explore the feasibility of a long-term global aspirational goal for international aviation as called for in Operative Paragraph 9 of the draft updated Assembly Resolution on climate change appended to WP/58. He emphasized that future discussion of such a long-term goal should be fully based on the envisaged detailed studies assessing the attainability and impacts of any goals proposed and should take into consideration the entire basket of measures. The Delegate of Japan supported the Delegate of the United States' intervention regarding SAF.

103. In endorsing the comments made by the Delegates of the Russian Federation, China, Egypt and India with respect to a long-term global aspirational goal for international aviation, the Delegate of Saudi Arabia indicated that his State did not support establishing such a long-term goal, at least for the time being. Saudi Arabia considered that ICAO and its Member States should move forward with the existing climate goals set forth in Assembly Resolution A39-2, Operative Paragraph 4, namely, achieving a global annual average fuel efficiency improvement of 2 per cent until 2020 and an aspirational global fuel efficiency improvement rate of 2 per cent per annum from 2021 to 2050, calculated on the basis of volume of fuel used per revenue tonne kilometre performed. Saudi Arabia therefore did not support WP/102 (Finland on behalf of the EU and its Member States and other Member States of ECAC). Nonetheless, Saudi Arabia considered that it would be necessary to take a bottom-up approach to the development of any ambitious long-term global aspirational goal for international aviation, with all States working together in a comprehensive manner. It was of the view that any such goal should cover all types of aviation fuel and that the different circumstances, respective capabilities and contribution of developing and developed States to the concentration of aviation GHG emissions in the atmosphere should determine how each State may voluntarily contribute to its achievement, as was the case with the said two climate goals.

104. The Delegate of Canada endorsed the draft updated Assembly Resolution on climate change as presented in WP/58. She also expressed support for the work currently underway by the CAEP to allow for an informed discussion on a long-term global aspirational goal for international aviation and for the Delegate of Denmark's invitation to develop a programme of work that would facilitate a decision thereon. The Delegate of Canada acknowledged the efforts made by the business aviation sector to raise

awareness of sustainable aviation fuels and encourage their production and use, as outlined in WP/273 (IBAC). With regard to the papers on assistance and capacity building to reduce CO₂ emissions from international aviation [WP/176 (AFCAC Member States) and WP/323 (the Dominican Republic)], she indicated that while Canada fully supported further work in that area, it believed that more information was needed before it could support agreeing to funding a permanent assistance and capacity building programme related to environmental protection. Canada therefore considered that in the meantime, States should continue to rely on existing procedures.

105. Having previously expressed views regarding SAF (cf. paragraph 90), the Delegate of the United States now provided comments on a long-term global aspirational goal for international aviation, noting that they applied to both Agenda Item 16 on climate change and Agenda Item 17 on CORSIA, which were inextricably linked. He recalled ICAO's significant achievement in deciding on CORSIA and undertaking the difficult implementation work. Underscoring that ICAO Member States were committed to addressing aviation's impact on climate change, the Delegate of the United States noted that one of the most significant aspects of the work on CORSIA was that it had been undertaken by ICAO Member States together and with broad support. He emphasized that it would not have been possible to have progressed this far without a collective commitment and without taking into consideration a variety of views and the different national circumstances of States. With respect to further work and increased action beyond CORSIA, the Delegate of the United States underscored that it was important to reflect on the continued work ahead to implement CORSIA and stressed that under no circumstances should the success of that collective effort be jeopardized. At the same time, the United States recognized that there was an opportunity during this Assembly for ICAO Member States to collectively demonstrate not only their commitment to implementing the commitments they had previously made but also a continued effort to explore additional options for consideration. In that regard, the United States was willing to consider a modest change to the Operative Paragraph 9 of the draft updated Assembly Resolution on climate change (WP/58) to prioritize the ongoing work to explore the feasibility of a long-term global aspirational goal for international aviation and to allow consideration of a concrete set of options for the next Assembly.

106. While generally supporting the draft updated Assembly Resolution on climate change (WP/58), the Delegate of Guatemala proposed that the text of Operative Paragraph 9 be strengthened by making the following changes to the first sentence: replace the words "to continue to explore" with the words "as a priority to explore" and replace the words "for the progress of work" with the words "in order to come up with options for a long-term global aspirational goal" so as to read along the lines of "*Requests the Council as a priority to explore the feasibility of a long-term global aspirational goal for international aviation ... especially developing countries, in order to come up with options for a long-term global aspirational goal to be presented to the 41st Session of the ICAO Assembly.*".

107. In endorsing the comments made by the Delegates of China, Brazil, India and Saudi Arabia, the Delegate of the Russian Federation enquired whether he could present information paper WP/605 which contained a Joint Statement of the Ministry of Transport of the Russian Federation and Civil Aviation Administration of China on the establishment of an equitable and effective global mechanism on international aviation and climate change.

108. The President of the Council recalled that, in addition to information paper WP/605, there were related proposals jointly presented by the Russian Federation, China and India to amend the draft updated Assembly Resolutions on climate change (WP/58) and CORSIA (WP/59). Noting that it was the right of every Member State to propose amendments to draft Assembly Resolutions, he indicated that there were two possible ways forward for the Executive Committee: to submit to the Plenary the draft updated Assembly Resolutions on climate change and CORSIA in the form presented by the Council in WPs/58 and /59, respectively; or to consider the changes thereto proposed by each and every Member State. In the latter case, it would be necessary to decide on the mechanism by which the proposed changes would be

reviewed as that could not be done during the Executive Committee's meetings. He suggested that in order to determine how to proceed in this matter the Chairperson open the floor to comments on the draft updated Assembly Resolutions on climate change and CORSIA. This was agreed.

109. The Delegate of Portugal endorsed WP/102 (Finland on behalf of the EU and its Member States and other Member States of ECAC), which acknowledged the efforts made by ICAO to provide the aviation sector with the necessary tools to tackle the climate change impacts of international aviation. In also endorsing WP/55, he expressed appreciation for the value which the Council attached to the State Action Plans submitted by European States which contained a fully quantified estimation of their baseline scenario and CO₂ mitigation measures for international aviation, aggregated at a regional level, as a way to complement State-specific information (cf. paragraph 2.1.2). The Delegate of Portugal also voiced strong support for the *2050 ICAO Vision for Sustainable Aviation Fuels* and recalled the measures which the European States were taking in order to substitute a significant proportion of conventional aviation fuel with SAF.

110. In underscoring that work on the feasibility of a long-term global aspirational goal for international aviation should be enhanced in the period prior to the next Assembly, the Delegate of Portugal suggested that the work be complemented with the development of a timeline and roadmap for decisions, consistent with the targets of the Paris Agreement.

111. With regard to capacity building, the Delegate of Portugal highlighted the achievements made possible through the assistance which his State had provided to other Portuguese-speaking countries' civil aviation authorities and underscored that it looked forward to using the ACT-CORSIA framework to continue to pursue aviation environmental goals.

112. In expressing support for WP/58, the Delegate of Chile spoke in favour of discussing within ICAO a long-term global aspirational goal for international aviation. Emphasizing that it was a joint responsibility of all Member States which entailed technical participative work, he stressed the need to strike a balance between that work and continuation of the work to implement the ICAO basket of measures, which included CORSIA and SAF. In endorsing WP/411 (Guatemala, co-sponsored by LACAC Member States), the Delegate of Chile highlighted that his State had recently developed a State Action Plan on CO₂ emissions reduction activities and called upon other Latin American States to do the same.

113. Acknowledging the importance of the climate change issue, the Delegate of Cuba emphasized the need for the international aviation community to continue to enhance its efforts to combat the climate crisis and to ensure the sustainable development of the aviation industry. He underscored that it was also necessary to provide capacity building to States, as well as access to financing and technology transfer. In expressing support for the draft updated Assembly Resolution on climate change (WP/58), in particular, the continued exploration of the feasibility of a long-term global aspirational goal for international aviation the Delegate of Cuba stressed the importance of taking into consideration the impacts on any goals proposed on developing States.

114. Sharing the views expressed by the Delegate of Norway regarding WP/194 (ACI, CANSO, IATA, IBAC and ICCAIA and coordinated by ATAG), the Delegate of North Macedonia stressed that need to work actively towards the adoption of an ambitious long-term global aspirational goal for international aviation while actively supporting an enhanced use of the full set of the ICAO basket of measures to reduce CO₂ emissions from international aviation.

115. In expressing broad support for the CORSIA mechanism, a long-term global aspirational goal for international aviation, and the responsible use of SAF, the Delegate of Poland endorsed related

WP/55 (Council) and WP/102 (Finland on behalf of the EU and its Member States and other Member States of ECAC). He agreed with the Delegate of Germany that SAF was an important pillar of ICAO's basket of measures which had the potential to contribute to absolute emissions reduction in the aviation sector, notably through the use of synthetic fuels produced from additional renewable energy.

116. The Delegate of Colombia voiced support for the draft updated Assembly Resolution on climate change (WP/58) and called upon all Member States to support CORSIA, which he affirmed was one of ICAO's major successes. In sharing the views expressed by, inter alia, the Delegates of Brazil, the United States, Canada and Cuba, as well as the Observer from IBAC, he spoke in favour of focussing efforts on SAF and hybrid aircraft at the present time, while concurrently working on a long-term global aspirational goal for international aviation.

117. The Delegate of Spain expressed support for the presentation of a concrete set of options for a long-term global aspirational goal to the next Assembly as referred to by the Delegate of the United States. Highlighting that the first transatlantic flight using bio jet fuel had taken place between Mexico City and Madrid in August 2011, and that Mexico City had hosted CAAF/2 in October 2017, he applauded Mexico for its efforts to promote the development, production and use of SAF. In expressing appreciation to ICAO for organizing various seminars and workshops on that subject, he underscored the need for ICAO to provide a forum to promote and foster innovative CO₂ emissions reduction technologies as highlighted by Mexico in WP/269. The Delegate of Spain was pleased to note from WP/80 Revision No. 1 that the Central American region was working to implement CORSIA, a process to which Spain was contributing through the ACT-CORSIA Buddy Partnerships.

118. The Delegate of the Netherlands acknowledged the work achieved over the past years by ICAO, Member States and the aviation industry aimed at reducing CO₂ emissions from international aviation. In welcoming the immense efforts made by States to ensure a sustainable future for their aviation industry, such as those made by Latin American States as described in WP/411, he underscored that those efforts should continue to be supported. The Delegate of the Netherlands also acknowledged the work done by the aviation industry itself, in particular that done by the business aviation sector to raise awareness of SAF and to encourage an increase in the production and wider use of SAF as outlined in WP/273.

119. In order to ensure that all the work achieved thus far had not been in vain, the Delegate of the Netherlands endorsed WP/102 (Finland on behalf of the EU and its Member States and other Member States of ECAC) and other papers which highlighted that it was necessary and important to develop an ambitious long-term global aspirational goal for international aviation which would form a basis on which to work and enhance the progress that was crucial not only for international aviation but also for society as a whole. He indicated that the Netherlands was ready to consider the Chairperson's proposal to prioritize work on a long-term global aspirational goal to expeditiously work on options. It considered that areas of work, a long-term goal and the development of CORSIA, to be fundamental for the future of international aviation and that they should both be given appropriate and careful consideration.

120. The Delegate of Nigeria endorsed WP/55 with regard to further work to be presented on the feasibility of a long-term global aspirational goal for international aviation. He also supported WP/58 and the draft Consolidated statement on climate change therein, as proposed by the Council, without any amendment, as well as WPs/266 and /323 presented by Kenya and the Dominican Republic respectively, pertaining to the reinforcement of partnerships on climate change-related matters.

121. Recalling the recent Climate Strike march whereby hundreds of thousands of young people had demonstrated their concerns over climate change, the Delegate of New Zealand fully supported that ICAO work on a long-term global aspirational goal for international aviation and that it be progressed before the next Assembly. Emphasizing the impact of climate change on the Pacific Island States, she

stressed that it was necessary to develop and agree on the long-term goals for the sector and take actions consistent with the Paris agreement, as waiting to address the climate change would put the livelihood of these islands at risk. Three years had passed since the agreement on the medium-term goal of CORSIA, and the next three years should be used to consider long-term goals. She suggested to amend the draft Resolution to highlight the importance and urgency of the long-term goals in order to have concrete options by the next Assembly.

122. In endorsing WPs/102, /103 and /104 (Finland on behalf of the EU and its Member States and the other Member States of ECAC), the Delegate of Monaco highlighted that her State fully supported all of the decisions taken by the Assembly in favour of environmental protection and hoped to see CORSIA implemented worldwide. She emphasized that ICAO should not be distracted by minor problems and should forge ahead with its work on SAF and on an ambitious long-term global aspirational goal for international aviation.

123. The Delegate of Slovakia expressed support for WP/269 (Mexico) and fully agreed with the interventions by the Delegate of Spain and the Delegates of other European States regarding a long-term global aspirational goal and actions to be taken to reduce CO₂ emissions from international aviation.

124. Recalling that in 2016 the Assembly had adopted CORSIA, which aimed to achieve the medium-term global aspirational goal of CNG2020, the Delegate of the United Kingdom indicated that his State wholeheartedly supported CORSIA and was pleased to hear the strongly supportive comments made regarding the scheme. It was nevertheless necessary to look even further ahead, toward 2050, and to consider a long-term global aspirational goal for international aviation. The Climate Strike march of 27 September 2019, during which hundreds of thousands of young people had marched in the streets of Montréal and in the streets of other cities around the world, was a sobering reminder that the present generation held the future of the next generation in its hands. The United Kingdom therefore urged the Assembly to inspire the next generation and demonstrate by its decisions that it could be trusted to invest in its future.

125. In this context, the United Kingdom highlighted that the aviation industry's goal of halving net aviation CO₂ emissions by 2050 had been set a decade ago, during which time evidence about climate change had improved significantly, and that consequently the aviation industry was undertaking a thorough analysis of the potential pathways to its own long-term goal, as outlined in WP/194. The Assembly thus had a unique opportunity to shape and be part of that discussion. The United Kingdom hoped that the Assembly would grasp that challenge with both hands and set to work towards a clear long-term global aspirational goal for international aviation to be adopted at its 41st Session. For that reason, the United Kingdom supported the European States' related proposal in WP/102, as well as establishment of a small group to consider the text of the draft updated Assembly Resolution on climate change relating to SAF and a long-term global aspirational goal. The United Kingdom endorsed the supportive comments made by the Delegates of New Zealand, Denmark, Mexico and the United States regarding a long-term global aspirational goal for international aviation and welcomed the positive message from aviation industry partners in WP/194. The United Kingdom also endorsed the interventions by the Delegates of Cameroon, the Dominican Republic and Kenya, among others, regarding capacity building for environmental protection.

126. The Delegate of Singapore expressed support for the continued implementation of CORSIA. At the same time, he agreed with the comments made by the Delegates of Brazil and the United States that there was an opportunity to give greater clarity to work to develop a set of balanced and practical options for a long-term global aspirational goal for international aviation for consideration by the next Assembly. The Delegate of Singapore also echoed the comments made by many other speakers that such

a long-term goal should be accompanied by appropriate capacity building measures and technical assistance for all developing States.

127. The Delegate of Malta recalled the aviation industry's request in WP/194 that the Council develop, with its full support and collaboration, a long-term climate goal for international civil aviation for adoption at the 41st Session of the Assembly. Highlighting that Malta shared the same climate risks as other Small Island Developing States (SIDS) around the world as referred to by the Delegate of New Zealand, inter alia, he indicated that it therefore supported the strengthened effort to determine such a long-term goal on the basis of the CAEP's analysis by the next Assembly.

128. The Delegate of the Russian Federation suggested that a small drafting group be established to review the texts of the draft Assembly Resolutions on climate change (WP/58) and CORSIA (WP/59) taking into account the various proposed changes and report thereon to the Executive Committee, which would consider the matter after it had completed its discussion of Agenda Item 17. The Delegates of Costa Rica and India supported this suggestion. The Delegates of the United States, Canada and Guatemala did not consider it necessary to establish such a drafting group.

129. The Delegate of Costa Rica voiced support WPs/55 (Council), /269 (Mexico), /323 (the Dominican Republic) and /411 (Guatemala, co-sponsored by LACAC Member States), inter alia, as well as the comments made by the Delegates of Mexico and Cuba. In also speaking in favour of the Delegate of Guatemala's proposed changes to the first sentence of Operative Paragraph 9 of the draft updated Assembly Resolution on climate change (WP/58), he endorsed the Delegate of the Russian Federation's above-mentioned suggestion to establish a drafting group.

130. The Delegate of Sweden noted that his State endorsed WPs/55 (Council) and /102 (Finland on behalf of the EU and its Member States and other Member States of ECAC) and fully supported the development and global implementation of CORSIA. Sweden commended the great work done by ICAO with regard to the CORSIA SARPs and the CORSIA Implementation Elements. As Sweden considered that change was necessary in both the short-term and the long run, it joined Mexico, Japan, Canada and other States in supporting the proposal to adopt a long-term global aspirational goal for international aviation at the next Assembly at the latest.

131. The Delegate of Iceland indicated that his State likewise endorsed WPs/55 and /102 and agreed with many States, including Mexico, Japan, Denmark and New Zealand, that it was now time to begin the process of moving towards a long-term climate goal for international aviation.

132. The Delegate of Uruguay underscored that his State supported ICAO's leadership role in all matters related to international aviation and climate change and endorsed the draft updated Assembly Resolution on climate change (WP/58). Uruguay also supported the adoption of any measures which would strengthen States' capacity to meet ICAO's climate goals.

133. The Delegate of Canada reiterated her State's support for the said Assembly Resolution on climate change in the form presented by the Council in WP/58. Canada considered that the Council's proposed changes were modest in nature and reflected the consensus that ICAO and Member States had spent years building, and that consequently there was no need to reopen that Assembly Resolution or to create a drafting group to make what would likely be very minor amendments. Canada did recognize, however, that there was a desire to reflect in the relevant Assembly document the areas of convergence identified during the present discussion, in particular, the convergence on the need to advance ICAO's work on a long-term global aspirational goal for international aviation, and suggested that they be reflected in the Executive Committee's Report to the Plenary on Agenda Item 16. The Council could then direct the

CAEP to propose a concrete programme of work to accelerate the development of such a long-term global aspirational goal. Canada considered that the CAEP was the appropriate forum for performing that work.

134. The Delegate of France emphasized that in order to enable the sustainable development of international aviation it was necessary to reduce the latter's environmental footprint, which in turn necessitated the establishment of a long-term global aspirational goal, as requested by the aviation industry and the general public. Noting that other sectors of the economy had been able to set their respective long-term goals, he queried why the aviation sector could not. The Delegate of France underscored that although the aviation sector had been ahead of other sectors with the adoption of CORSIA, it risked falling behind them in the absence of such a long-term goal. Highlighting that the Assembly had an historic opportunity to take a decision on the course to be followed in that regard over the next three years, he cautioned that if during that time the Council only continued to explore the feasibility of a long-term global aspirational goal for international aviation and if only progress of that work was presented at the next Assembly, as currently called for in Operative Paragraph 9 of the draft updated Assembly Resolution on climate change (WP/58), then the aviation sector would lose the lead which it had over the other sectors. The Delegate of France stressed the need to mobilize efforts in the next triennium so that ICAO could agree on a long-term global aspirational goal for international aviation, consistent with the 1.5° C temperature goal of the Paris Agreement, before the next Session of the Assembly.

135. The Delegate of South Africa emphasized that his State wholeheartedly supported CORSIA, as could be seen in its information paper WP/409. South Africa considered that the work done prior to the 39th Session of the Assembly had been important in ensuring that ICAO Member States moved together as a unit in addressing the issue of international aviation and climate change and underscored the need to continue to do so. South Africa thus endorsed the draft updated Assembly Resolution on climate change as presented by the Council in WP/58, affirming that the proposed text, which it deemed balanced and inclusive, would enable more strides forward to be made.

136. In disagreeing with the Delegate of the Russian Federation's proposal to establish a small drafting group, the Delegate of the United States highlighted that WP/58 containing the draft updated Assembly Resolution on climate change had been available for several months prior to the opening of the Assembly and that many Member States had taken the time to submit related working papers presenting their views by the deadline. He found it very hard to understand why information paper WP/605 containing *The Joint Statement of the Ministry of Transport of the Russian Federation and Civil Aviation Administration of China on the establishment of an equitable and effective global mechanism on international aviation and climate change* had been presented so late.

137. In commending ICAO for the massive amount of good work been done under its environmental programme, the Delegate of Guyana endorsed WP/55 (Council). He also supported WP/102 (Finland on behalf of the EU and its Member States and the other Member States of ECAC), which called for decisive action in terms of setting a long-term global aspirational goal for international aviation.

138. The Delegate of China indicated that in addition to the changes to the draft updated Assembly Resolution on climate change (WP/58) proposed jointly by the Russian Federation, China and India which had been submitted to the Secretariat, his State had many comments on WP/55. He did not consider, however, that he could present those comments within the one minute allocated to each speaker, and sought clarification regarding the procedure to be followed to deal with those comments, as well as with the said jointly proposed changes to the Assembly Resolution on climate change. Noting that ICAO was comprised of Member State and that Assemblies were held to enable them to fully express their views and jointly adopt Resolutions, the Delegate of China averred that if the draft updated Assembly Resolutions on climate change and CORSIA (WPs/58 and /59) were adopted without full consideration of the views of

all Member States, then it would disrupt the sense of harmony between them, cause division among them, and be harmful to future cooperation and to ICAO's reputation.

139. The Delegate of India indicated that since differences of opinion had emerged regarding the said two Assembly Resolutions, he supported the Delegate of the Russian Federation's suggestion to establish a small drafting group to review the texts taking into account the proposed changes in order to facilitate the adoption of the Assembly Resolutions by consensus.

140. The Delegate of Saudi Arabia joined the Delegates of Egypt, Canada, South Africa, Nigeria and others in advocating moving forward with the draft updated Assembly Resolution on climate change in the form presented by the Council in WP/58. He highlighted, in this regard, that the Council's composition reflected equitable geographical representation and that Council Member States worked in the interest of all ICAO Member States. Noting that the Council had worked for a long period of time on the text of the Assembly Resolution, the Delegate of Saudi Arabia affirmed that it was well-balanced, including the text of Operative Paragraph 9. Recalling, however, that Saudi Arabia had had some concerns regarding other provisions but had set them aside and compromised in the Council in order to reach consensus on the text presented in WP/58, he indicated that if the Executive Committee decided to establish a small drafting group as suggested by the Delegate of the Russian Federation, then Saudi Arabia would have additional comments to make on the draft updated Assembly Resolution on climate change during that wide-ranging discussion.

141. Agreeing that the proposed text was well-balanced, the Delegate of Argentina also endorsed the said Assembly Resolution in its current form (WP/58).

142. Echoing the views expressed by the two previous speakers, the Delegate of Mexico stressed that most of the proposed text was existing text to which the Assembly had already agreed in adopting Assembly Resolution A39-2. He therefore did not see the need to review the proposed text, particularly as it was likely that only minimal changes would be made thereto, as indicated by the Delegate of Canada. Observing, however, that some proposals had been made with regard to Operative Paragraph 9 relating to a long-term global aspirational goal for international aviation, the Delegate of Mexico indicated that its text could be reopened for discussion, if the Executive Committee so decided. In that event, he would prefer leaving it to the Secretariat to consider the various proposals and to make a recommendation to the Executive Committee rather than to a drafting group as suggested by the Delegate of the Russian Federation. The Delegate of Mexico reiterated that he supported the current text of the draft updated Assembly Resolution on climate change as presented in WP/58. The Delegate of Colombia shared this view.

143. In voicing support for WPs/55 and /58 (Council), /269 (Mexico), /411 (Guatemala, co-sponsored by LACAC Member States) and /323 and /413 (the Dominican Republic), the Delegate of Paraguay emphasized that the environment was the common heritage of humankind and that it was necessary to support the good progress achieved thus far and to move forward.

144. The Delegate of Egypt shared the views expressed by the Delegate of Saudi Arabia. He highlighted that while proposals had been made during the discussion to amend Operative Paragraph 9 of the draft updated Assembly Resolution on climate change, no corresponding working papers had been submitted for the Executive Committee's consideration. The Delegate of Egypt further underscored that reopening the text of Operative Paragraph 9 for discussion would lead to the reopening of the text of the other provisions, which he found unacceptable in light of the time constraints. He therefore supported the text of Operative Paragraph 9 as presented in WP/58.

145. Agreeing with the Delegate of Mexico that the draft updated Assembly Resolution on climate change had been discussed at great length by the Council, the Delegate of Guatemala averred that it was thus unnecessary to establish a small drafting group to further discuss it and advocated moving forward on the basis of the current text as presented in WP/58.

146. In supporting the statements made in favour of a more ambitious approach to a long-term global aspirational goal for international aviation, the Delegate of Austria emphasized that she was convinced that climate change would not wait for the outcome of ICAO's envisaged feasibility study.

147. The Delegate of Costa Rica congratulated ICAO on the good work done thus far with respect to environmental protection and CORSIA and endorsed the interventions by the Delegates of Mexico and Guatemala.

148. Averring that it would not be possible to make progress unless the concerns raised by some States regarding CORSIA had been addressed, the Delegate of Algeria expressed support for establishing a small drafting group with a view to reaching consensus. He underscored that in order to move forward with CORSIA it was necessary to have the support of all States.

149. The Delegate of Finland stressed that it was extremely important that the Assembly set a clear timetable for the swift adoption of an ambitious long-term global aspirational goal for international aviation. Highlighting that the youth Climate Strike march which had taken place in Montréal and in other cities around the world on 27 September 2019 reflected society's growing demand for ambitious climate action in view of the serious concerns raised in recent environmental reports, such as the IPCC's Special Report on the impacts of global warming of 1.5°C above pre-industrial levels, he emphasized the need for ICAO to respond to the global climate crisis.

150. While noting that there was a broad consensus not to reopen the draft updated Assembly Resolution on climate change for discussion, the Delegate of France considered that the discussion on a long-term global aspirational goal for international aviation should continue and suggested that the Chairperson hold consultations with States to ascertain whether their positions were flexible enough to allow for the amendment of Operative Paragraph 9. He averred that the Executive Committee would not be able to produce a better text than the Council had formulated for the other provisions.

151. The Delegate of Saudi Arabia reiterated that reopening Operative Paragraph 9 for discussion would effectively reopen the rest of the draft updated Assembly Resolution on climate change for discussion, and that his State would have additional comments to make on other provisions.

152. Endorsing the Delegate of France's suggestion, the Delegate of Netherlands indicated that consideration could be given to slight changes to the text of Operative Paragraph 9 which could have a significant positive impact in terms of determining when and how ICAO would achieve the options for a long-term global aspirational goal for international aviation.

153. In noting that the said suggestion was also acceptable to him, the Delegate of Egypt questioned why some Delegates would object to discussing amendments to other paragraphs of the draft updated Assembly Resolution on climate change given that all provisions were to be treated equally.

154. Affirming that public opinion regarding the urgent need to tackle climate change was at an all-time high and was backed by scientific consensus, the Observer from ICSA emphasized that international aviation was a significant and growing part of the climate problem and must demonstrate that it was also part of the solution. Given the limited amount of time to put emissions on a sustainable

trajectory, it was necessary for the Assembly to conclude with a clear message. ICSA considered that the immediate task for the Assembly was to agree on a timetable which would allow ICAO Member States to reach a decision on an effective and ambitious long-term global aspirational goal for international aviation no later than the 41st Session, allowing for the fact that an expedient response might require the convening of an Extraordinary Session of the Assembly before then. ICSA supported amending Operative Paragraph 9 of the draft updated Assembly Resolution on climate change (WP/58) to reflect that. The technical work needed to present such an important proposal could address the different views on how to formulate such long-term global aspirational goal but should not delay setting a timetable for that important task. The Observer from ICSA concluded by drawing attention to information papers WPs/277, /560 Revision No. 1 and /561 submitted by his Organization.

155. The President of the Council noted that while none of the working papers which had been submitted under Agenda Item 16 proposed specific changes to the draft updated Assembly Resolution on climate change (WP/58), some had contained comments thereon. In addition, some comments on the said Assembly Resolution had been provided to the Secretariat, and other comments had been made during the Executive Committee's current discussion. He emphasized that all Member States had equal rights and equal opportunity to present their comments and that their comments were afforded equal treatment.

156. The President of the Council noted that there was convergence of views on the need to accord some level of priority to work on the feasibility of a long-term global aspirational goal for international aviation toward the 41st Session of the Assembly, with the expectation that if such a goal were deemed feasible then options would be presented for consideration by A41. Recalling that related Operative Paragraph 9 of the said Assembly Resolution was directed to the Council, and not States, the President of the Council highlighted that there were two ways in which the Assembly could give instructions to the Council: in the body of the Assembly Resolution or in the Report on Agenda Item 16. With regard to the first option, he indicated that if the Executive Committee wished to amend the text of the Assembly Resolution, then it would be necessary to decide on the mechanism by which proposed changes would be reviewed. The President of the Council stressed that the Executive Committee could not deny any Member State which desired to amend provisions other than Operative Paragraph 9 its right to present a proposal for consideration. With respect to the second option, he indicated that, as previously suggested by the Delegate of Canada, the Executive Committee could clarify in its Report to the Plenary on Agenda Item 16 the importance and priority of the work on the feasibility of a long-term global aspirational goal for international aviation, as well as the expectation that options for such a long-term goal would be presented for consideration by A41. The President of the Council proposed that the Executive Committee leave this matter to the Chairperson, the Secretariat and him and they would consult with States regarding the text of both the draft updated Assembly Resolution on climate change and the draft updated Assembly Resolution on CORSIA and report thereon.

157. With regard to the issue of SAF, the President of the Council observed that the current text in the draft updated Assembly Resolution on climate change was sufficiently broad. However, the importance and the role of SAF could perhaps be emphasized in the Report on Agenda Item 16 as well. He proposed that the Executive Committee likewise leave this matter to the Chairperson, the Secretariat and him and they would engage in further discussion with the various States which had expressed interest therein. The President of the Council reiterated the need to ensure that all States received equal opportunity and treatment.

158. In concluding his remarks, the President of the Council recalled that during his opening address to the Plenary (P/1) he had highlighted that CORSIA had been adopted at the last Assembly after very difficult negotiations and to avoid a cumbersome patchwork of national measures for operators such as taxes which can impede global connectivity, and had emphasized that it would therefore be counterproductive to aviation and climate change progress if the present Assembly failed to assure

CORSIA's continuing launch as a truly global offsetting scheme for international flight emissions. He reiterated the need to focus attention on that top priority of ensuring that CORSIA implementation proceeded.

159. The Chairperson of the Executive Committee enquired whether there was support for the President of the Council's suggested way forward.

160. In congratulating the Council and the Secretariat on the well-balanced draft updated Assembly Resolution on climate change, the Delegate of Australia observed that there were three schools of thought regarding its text as expressed during the Executive Committee's discussion. The vast majority of States favoured retaining the text in the form presented by the Council in WP/58. A group of States (the Russian Federation, China and India) had raised concerns and wished to amend the text accordingly, and another group of States (including European States) wished to strengthen the text regarding SAR and a long-term global aspirational goal for international aviation. The Delegate of Australia suggested that those two groups of States be given the opportunity to circulate their proposed amendments to the said Assembly Resolution and have them considered when the Executive Committee reviewed the draft Report to the Plenary on Agenda Item 16.

161. In thanking the President of the Council for his remarks regarding States' equal opportunity to propose amendments and the equal treatment afforded such proposals, the Delegate of China sought a reply to the procedural issue which he had raised previously (cf. paragraph 140 above).

162. Endorsing these comments, the Delegate of the Russian Federation indicated that further to his earlier query, information paper WP/605 (*The Joint Statement of the Ministry of Transport of the Russian Federation and Civil Aviation Administration of China on the establishment of an equitable and effective global mechanism on international aviation and climate change*) could be presented during the Executive Committee's consideration of Agenda Item 17 on CORSIA (cf. paragraph 109 above). He expressed appreciation for the President of the Council's wisdom in proposing a way forward, which he supported.

163. The Delegate of Mexico affirmed that the President of the Council's proposal for consultations with States was reasonable and would enable the Executive Committee to reach consensus on the draft updated Assembly Resolution on climate change. He preferred it to the Delegate of Australia's proposal, whereby a full-scale discussion of the two group's respective proposals would take place in the Executive Committee, which would still need to reconcile their points of view regarding the text of the Assembly Resolution.

164. The Delegates of Algeria, Colombia, Costa Rica, Eritrea, Ethiopia, France, Georgia, Guatemala, the Netherlands, Nigeria, Oman, Poland, Saudi Arabia, Switzerland, Turkey and the United States also expressed support for the President of the Council's proposal. In so doing, the Delegate of Georgia highlighted that his State was in favour of a more ambitious long-term global aspirational goal for international aviation.

165. The Delegate of Saudi Arabia emphasized that during the envisaged consultation process his State would propose for consideration amendments to provisions other than Operative Paragraph 9 of the draft updated Assembly Resolution on climate change.

166. The Delegate of Brazil reiterated that his State agreed to the text of Operative Paragraph 9 of the said Assembly Resolution on climate change in the form presented by the Council in WP/58 and underscored that it considered that reopening the discussion thereon would not be appropriate at the present

time. Brazil was of the view that the best time to discuss possible improvements to the Assembly Resolution's text would be when preparing suitable indicators for the 2022 CORSIA review process based on the CAEP's work.

167. Noting that there was overwhelming support for the excellent proposal by the President of the Council, the Chairperson of the Executive Committee indicated that they would proceed accordingly. He requested that States submit their suggested amendments to the draft updated Assembly Resolution on climate change (WP/58) to the Secretariat, which would circulate them to all Delegations for consideration.

168. The Executive Committee noted that the Chairperson, together with the President of the Council and the Secretariat, would consult with some States with a view to discussing possible improvements to the draft Assembly Resolution on climate change (WP/58) relating to SAF and a long-term global aspirational goal for international aviation, without impacting the support garnered thus far for the text.

169. The Executive Committee agreed to the action proposed earlier by the Chairperson (cf. paragraphs 86-88) as amended in light of the discussion.

Any other business

Agenda Item 12: Aviation security – Policy

170. The Director, Air Transport Bureau (ATB) informed the Executive Committee that pursuant to its earlier decision (EX/4), the “Friends of the Chairperson” drafting group had further refined the text of the global *Declaration on Aviation Security* contained in information paper WP/528 Revision No. 1 (Lebanon, Mexico, Nigeria, Qatar, Saudi Arabia, Singapore, the United Arab Emirates, and Finland on behalf of the EU and its Member States and other Member States of ECAC) taking into account the comments received. The drafting group's proposed English text was now posted on the A40 website under *Reference Documents* and Delegates were invited to send their comments thereon to the Secretariat at ASF@icao.int by close of business on 30 September 2019 at the latest. Following the drafting group's review of the comments, its proposed revised text of the Declaration would be issued as Addendum No. 1 to WP/596 (Draft Report to the Plenary on Agenda Item 12), which would be tabled for discussion later in the session.

171. The Chairperson of the Executive Committee expressed appreciation for the work done by the said drafting group, which had been led by South Africa and included members from the following States and organizations: Argentina, Brazil, Canada, New Zealand, Nigeria, Portugal, Saudi Arabia, Senegal, Singapore, Togo, the United Kingdom, the United States, AFCAC and ACI.

172. The meeting adjourned at 1205 hours.

Minutes of the Sixth Meeting
(Sunday, 29 September 2019 at 1415 hours)

SUBJECTS DISCUSSED

1. Agenda Item 17: Environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)
- *Update on the Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)*
 - *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)*
 - Paper presented by Corporación Centroamericana de Servicios de Navegación Aérea (COCESNA) Member States
 - Paper presented by Finland on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC)
 - Paper presented by the African Civil Aviation Commission (AFCAC) on behalf of the 54 Member States
 - Paper presented by Singapore and co-sponsored by Australia, Canada, Fiji, Indonesia, Japan, Marshall Islands, Nauru, New Zealand, Palau, Papua New Guinea, Samoa, Trinidad and Tobago and the United States
 - Paper presented by Brazil and Guatemala and supported by the Member States of the Latin American Civil Aviation Commission (LACAC)
 - Paper presented by China and the Russian Federation
 - Paper presented by Guatemala and co-sponsored by LACAC Member States
 - Paper presented by India
 - Paper presented by Canada
 - Paper presented by Guyana
 - Paper presented by Kenya
 - Paper presented by Mexico
 - Papers presented by Brazil
 - Paper presented by the Russian Federation

 - Paper presented by Airports Council International (ACI), Civil Air Navigation Services Organisation (CANSO), International Air Transport Association (IATA), International Business Aviation Council (IBAC), International Coordinating Council of Aerospace Industries Associations (ICCAIA), as coordinated by the Air Transport Action Group (ATAG)
 - Paper presented by IATA
 - Information paper presented by the Arab Civil Aviation Organization (ACAO)

- Information paper presented by Australia and New Zealand and co-sponsored by Fiji, Indonesia and Samoa
- Information papers presented by the Caribbean Aviation Safety and Security Oversight System (CASSOS)
- Information paper presented by South Africa
- Information paper presented by Japan
- Information paper presented by Argentina
- Information paper presented by Saudi Arabia
- Information paper presented by Indonesia
- Information paper presented by IATA

2. Agenda Item 16: Environmental protection – International aviation and climate change – Policy and standardization (continued)

- *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change*

3. Agenda Item 14: Facilitation Programmes

ICAO Public Key Directory (PKD)

- *Developments pertaining to the ICAO Public Key Directory (PKD)*
- *Benefits of participation in the Public Key Director (PKD)*

ICAO Traveller Identification Programme (TRIP) Strategy

- *Developments pertaining to the ICAO Traveller Identification Programme (ICAO TRIP) Strategy*
- Paper presented by IATA and ACI
- Information paper presented by the Netherlands and Canada

Annex 9 – Facilitation

- *Report on aircraft disinsection and vector control measures*
- *Developments pertaining Annex 9 – Facilitation*
- Paper presented by ACI
- Information paper presented by Singapore and co-sponsored by the United Kingdom
- Information paper presented by Chile and supported by all LACAC Member States
- Information paper presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC
- Information paper presented by the United States

Assistance to aircraft accident victims and their families

- Paper presented by Finland on behalf of the EU and its Member States, the other Member States of ECAC and the European Organisation for the Safety of Air Navigation (EUROCONTROL)
- Paper presented by Air Crash Victims' Families' Federation International (ACVFFI)

Human trafficking in aviation

- Paper presented by the United States
- Paper presented by ACI and IATA

Persons with disabilities/Accessibility in aviation

- Papers presented by the Dominican Republic
- Paper presented by Brazil on behalf of a group of LACAC Member States
- Paper presented by Canada on behalf of Australia, ACI and IATA
- Paper presented by IATA
- Information paper by China

Resolution to be adopted by the Assembly

- *Consolidated statement of continuing ICAO policies related to facilitation*

SUMMARY OF DISCUSSIONS

Agenda Item 17: Environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)

6. The Executive Committee considered Agenda Item 17 on the basis of two main papers presented by the Council (WPs/56 and /59) and related papers presented by States and international organizations.

7. The Director, Air Transport Bureau (D/ATB) introduced WP/56, which reported on progress made by ICAO since the 39th Session of the Assembly on issues related to the implementation of CORSIA, including: the development and adoption of Standards and Recommended Practices (SARPs) for CORSIA as the First Edition of Annex 16 – *Environmental Protection*, Volume IV – *Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)* in June 2018, which became applicable as of 1 January 2019; the development and issuance, in August 2018, of the First Edition of the *Environmental Technical Manual* (Doc 9501), Volume IV; various CORSIA Implementation Elements [ICAO CORSIA CO₂ Estimation and Reporting Tool (CERT), CORSIA eligible fuels, CORSIA eligible emissions units and CORSIA central registry (CCR)]. The paper also reported on next steps.

8. With respect to CORSIA outreach and capacity building activities to support CORSIA implementation, WP/56 reported on the organization of ICAO regional seminars and workshops during the past triennium to help build capacity in States for the development of their Monitoring, Reporting and Verification (MRV) systems. The paper also highlighted the activities carried out under the ACT-CORSIA (Assistance, Capacity Building and Training for CORSIA) Programme, in particular, the successful establishment of CORSIA Buddy Partnerships which to date had involved 15 donor States and 98 recipient States; and the ICAO Training Course on CORSIA Verification which provided training for potential verification bodies on how to verify CO₂ Emissions Reports.

9. WP/56 also provided background information regarding the Council discussion and decision on Operative Paragraph 18 of the proposed updated *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (WP/59)*, on the basis of wording used in Preambular Paragraphs 7, 8 and 9 of Assembly Resolution A39-3.

10. D/ATB then introduced WP/59, in which the Council proposed revisions to Assembly Resolution A39-3 in light of the developments regarding CORSIA described in WP/56.

11. The Chairperson of the Executive Committee observed that almost all of the 25 papers submitted by States and international organizations under this Agenda Item referred to the important progress achieved over the last triennium with regard to the implementation of CORSIA, such as the development of CORSIA-related SARPs and guidance and the capacity building activities through CORSIA Buddy Partnerships among Member States in close coordination with ICAO. He indicated that it was a very good time to congratulate one another on the significant progress achieved with the unprecedented level of efforts and contributions made by ICAO Member States and the aviation industry for the timely implementation of CORSIA. Recalling that the last Assembly had decided on a very ambitious implementation plan, the Chairperson noted that all Member States, regardless of their participation in the voluntary pilot phase of CORSIA, had delivered on necessary steps to-date. Member States needed to have regulations in place and operators had to collect information on CO₂ emissions and that was all happening around the world as he spoke. He emphasized that this very important step had been successfully reached due to the excellent capacity building and support strategy put in place by ICAO, the ACT-CORSIA Programme, as well as to the training of operators which the aviation industry was doing in parallel. Noting that aviation was a global activity, the Chairperson underscored that this was one of the best examples of implementation of a global measure and of ICAO's *No Country Left Behind (NCLB)* initiative.

12. The Delegate of Mexico presented WP/267 (*CORSIA implementation*), in which his State highly welcomed the significant progress made in the timely implementation of CORSIA due to the ACT-CORSIA Programme and CORSIA Buddy Partnerships. It also proposed next steps for the successful implementation of CORSIA and highlighted the critical importance of ICAO's said coordinated approach in facilitating global cooperation to provide assistance and capacity building therefor.

13. The Assembly was invited in WP/267 to:

- a) request the ICAO Council to make further progress to develop and update CORSIA-related SARPs and guidance, including the development of remaining CORSIA Implementation Elements related to CORSIA eligible fuels and CORSIA eligible emissions units;
- b) request Member States to continue to take necessary actions, including necessary national policies and regulatory frameworks for the compliance of the CORSIA, in accordance with the timeline set forth by Annex 16, Volume IV;

- c) underscore the critical importance of a coordinated approach under ICAO in facilitating global cooperation to provide assistance and capacity building for CORSIA implementation, through ICAO ACT-CORSIA and Buddy Partnerships among Member States; and
- d) encourage more States to voluntarily participate in CORSIA from 2021.

14. The Observer from COCESNA introduced WP/79 Revision No. 1 [*Central American contributions in the implementation of the Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)*], which underscored that climate change posed a contradictory situation for Central America as the isthmus was responsible for less than 0.5 per cent of global greenhouse gas (GHG) emissions, but at the same time was recognized as the most prominent “hot spot” in the tropics i.e. it might be the most impact-vulnerable area of the world. COCESNA Member States had therefore developed the Central American Action Plan, CAAPER, to reduce emissions from international civil aviation. In addition, Guatemala, El Salvador and Costa Rica had announced their intention to voluntarily participate in CORSIA from the outset i.e. the pilot phase (2021-2023), with the expectation that as voluntary participants they would have priority in terms of ICAO-provided capacity building and assistance.

15. The Assembly was invited in WP/79 Revision No. 1 to:

- a) take note of the information provided in the paper; and
- b) encourage ICAO to generate specific assistance programmes for countries most affected by climate change, such as Central American countries.

16. The Observer from AFCAC presented WP/177 [*African States’ contribution in the implementation of Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA) & assistance requested*], which emphasized the importance of African States voluntarily participating in CORSIA from the pilot phase to ensure wider coverage of more routes which would generate more offsets. The paper further detailed the necessity for financial support for the acquisition of a robust system for data capture and management tools for monitoring, reporting and verification (MRV) of CO₂ emissions from international flights through effective collaboration and partnerships with other international organizations.

17. Recalling that during the 39th Session of the Assembly African Member States had declared their full support for CORSIA as set forth in Assembly Resolution A39-3 without any further amendment, the paper highlighted that as at 31 July 2019 13 African Member States, representing 23.6 percent of the 54 African Member States, had volunteered to participate in CORSIA from its outset. Furthermore, African States were encouraged to join CORSIA voluntarily during the pilot phase to experience the implementation challenges and benefits and to be prepared for the mandatory phase (2027-2035). The paper underscored that it was of critical importance to continue providing African States with the necessary assistance and capacity building. It was noted that key feedbacks from the CORSIA regional workshops by most participating African States were challenges relating to the awareness, technical, and the human capacity to implement Annex 16, Volume IV, establishment of national regulatory framework, and availability of data capture and management tools, as well as of verification bodies in the region.

18. The Observer from AFCAC took this opportunity to express appreciation to the Eastern and Southern African Regional Office (ESAF) (Nairobi), the Western and Central African Regional Office (WACAF) (Dakar) and the Middle East Regional Office (MID) in Cairo for hosting CORSIA regional workshops and thanked the Secretary General for the excellent coordination in response to the outcomes of those workshops.

19. The Assembly was invited in WP/177 to:
- a) note the information presented in the paper;
 - b) support and encourage Member States to participate in the pilot phase of CORSIA (2021-2023);
 - c) encourage Member States to support and continue to collaborate with ICAO on its ACT-CORSIA capacity building initiative for the implementation of Annex 16, Volume IV;
 - d) encourage Member States to build partnerships on climate change-related matters and foster cooperation and knowledge exchange at the regional and global levels;
 - e) encourage Member States to facilitate the registration and accreditation of verification bodies for CORSIA;
 - f) support Member States to acquire and implement a robust system for Monitoring, Reporting and Verification (MRV) of data in accordance with ICAO Annex 16, Volume IV;
 - g) encourage and facilitate Member States to join and participate in the Committee on Aviation Environmental Protection (CAEP);
 - h) instruct the Secretary General to facilitate training of verification bodies on CORSIA for African Member States; and
 - i) instruct the Secretary General to provide information to all Member States and facilitate the accreditation of CORSIA eligible emissions units programmes.

15. The Delegate of Singapore introduced WP/229 (*Ensuring the success of CORSIA implementation*), which was presented by his State and co-sponsored by Australia, Canada, Fiji, Indonesia, Japan, Marshall Islands, Nauru, New Zealand, Palau, Papua New Guinea, Samoa, Trinidad and Tobago and the United States. The paper reaffirmed ICAO's leadership on aviation environmental issues and for CORSIA to be the global market-based measure (MBM) for international aviation. It identified three areas to meet challenges brought about by the fast pace of CORSIA implementation: capacity building, verification bodies, and guidance. With regard to capacity building, the paper highlighted that, beyond ACT-CORSIA, ICAO could work closely with other industry organizations offering CORSIA technical assistance to optimize resource allocation and ensure consistency and wider access to capacity building. With respect to verification bodies, it underscored that there were limited or even no accredited verification bodies in some regions and proposed that ICAO supplement its CORSIA Verification Courses with a targeted outreach to States in underserved regions to accredit more verification bodies. With regard to the third area, the paper emphasized that timely guidance on CORSIA emissions unit eligibility and eligible fuels would facilitate operators' business decisions in meeting CORSIA's future offsetting requirements and allow project developers and fuel suppliers to respond to the expected demand for offsets from CORSIA.

16. The Assembly was invited in WP/229 to:
- a) reaffirm ICAO's continuous leadership on environmental issues relating to international aviation emissions and the Assembly's decision to implement a global market-based measure scheme in the form of CORSIA, determining it to be the MBM applying to CO₂ emissions from international aviation;
 - b) acknowledge the good efforts of ICAO, States, and industry in bringing CORSIA up to the current state of implementation;
 - c) acknowledge the key role of ACT-CORSIA in supporting States with the implementation of CORSIA and request ICAO to align the technical assistance provided to States for CORSIA to ensure consistency in its implementation;

- d) request ICAO to work with interested States and the International Accreditation Forum (IAF) to increase the number of accredited verification bodies for CORSIA to meet the industry demand, including through the provision of CORSIA Verification Courses by the ICAO Global Aviation Training (GAT) Office; and
- e) recognize the importance of timely ICAO guidance on CORSIA eligible emissions units and CORSIA eligible fuels for emissions offsetting in CORSIA.

17. The Delegate of Brazil introduced WP/289 (*The perspective of the countries of LACAC about ICAO measures related to aviation and climate change*), which was presented by his State and Guatemala, with the support of LACAC Member States. While recognizing that CORSIA was an important scheme which complemented, on a provisional basis, the other elements of the basket of measures to address CO₂ emissions from international aviation, the paper emphasized that it was essential to find ways to explore and to make feasible those other elements as long-term, effective solutions. With respect to CORSIA, the paper underscored that LACAC Member States were committed to the implementation of the CORSIA MRV, a key pillar of the scheme, there were some common concerns which needed to be addressed by the Assembly.

18. The Assembly was invited in WP/289 to:

- a) take note of the region's considerations on the importance of all elements of the basket of measures, including sustainable aviation fuels;
- b) request the Council to continue the work of strengthening the capacities of States through seminars and workshops on MRV, within the framework of ACT-CORSIA;
- c) invite the Council to take measures to increase geographical representation in the technical discussions on CORSIA within the scope of the CAEP; and
- d) call upon the Council to formulate, through the CAEP, the cost-benefit and cost-effectiveness analyses of CORSIA, considering environmental integrity and impacts on different types of air operators, which will support the review process in 2022.

19. The Delegate of China introduced WP/306 (*Perspectives on the fair and equitable CORSIA implementation pathway*) presented by his State and the Russian Federation, both of which had been consistent advocates for the establishment of a full consultation-based CORSIA implementation pathway featuring broad participation, with every country making its contribution to the best of its ability, fairness and justness, as well as win-win cooperation, so as to promote the sustainable development of international aviation worldwide. The paper underscored, however, that ICAO had not given balanced consideration to the concerns and positions of various parties in the course of facilitating CORSIA implementation. It further emphasized that it was only by ensuring procedural justice in decision-making and moral fairness in the design elements of the mechanism, that countries, particularly developing countries, could become more confident in ICAO's efforts to address the issue of international aviation and climate change and show more willingness to engage in international cooperation in CORSIA implementation. The paper also highlighted, in Appendix A, that most of the growth in international aviation between 2017 and 2037 would occur in developing countries.

20. The Assembly was invited in WP/306 to:

- a) recognize that the issues raised in paragraphs 2 and 3 of the paper will undermine the leadership role sought by ICAO and be detrimental to the confidence and willingness

- of countries, in particular developing countries and emerging economies, to work together to address international aviation emissions through ICAO;
- b) provide countries with sufficient opportunities to resolve differences and controversies through dialogue and negotiations;
 - c) request the Council, with the assistance of Member States, to take immediate actions, including giving serious consideration to paragraph 4.3 of the paper and promoting the establishment of a fair and equitable CORSIA implementation pathway featuring fairness and equity, and countries' concerted efforts and respective capabilities; and
 - d) request the Council to develop, in accordance with the principles listed in the Annex to Assembly Resolution A39-2, the indicators for the periodic review of the CORSIA and the criteria triggering the suspension of the CORSIA implementation, for consultation and approval by a provisional high-level meeting in 2021.

21. The Delegate of India presented WP/228 Revision No. 1 (*CORSIA – Implementation challenges & need for review of the baseline emission criteria*), which raised two concerns regarding the basic architecture of CORSIA: who should be responsible for emissions management, aeroplane operators or States; and how should the baseline be fixed. With respect to the first concern, the paper emphasized that pursuant to the internationally-agreed principles of accounting of GHG emissions as laid down by the United Nations Framework Convention on Climate Change (UNFCCC), the responsibility for mitigation of GHG emissions rested with the Member States and not with the sectoral sources of emissions. Accordingly, each country was held responsible under UNFCCC principles for the production and regulation of GHG emissions produced within its boundary. The paper emphasized that a similar principle of Member State-driven mitigation in the aviation sector should also be adopted by ICAO. If the same concept were applied to aviation, the logical result would be to hold a country responsible for the GHG emissions it produced by way of international travel undertaken by its nationals, irrespective of the airline on which they travelled. However, under CORSIA, as agreed in Assembly Resolution A39-3, the emissions of each aeroplane operator formed the basis of the scheme.

22. With regard to the second concern, the paper highlighted that the airlines of developing countries were in an expansion phase, whereas the airlines of advanced countries had already reached very high volumes of international operations. If the baseline emissions threshold were kept at 2019-2020 it would be very unfair for the airlines of developing countries since the entire expansion of their operations from 2020-2026 would become liable for the offsetting requirement under CORSIA. Hence the baseline needed to be determined more scientifically.

23. The Assembly was invited in WP/228 Revision No. 1 to:

- a) consider the Member State-driven principle of stabilizing aviation emissions and to attribute responsibility of emissions reduction to Member States instead of to airline operators;
- b) request the Council to consider modifying the baseline criterion as suggested above, and to postpone the baseline years to 2025-2026 for those airlines which will join in the second phase of CORSIA;
- c) consider simple and cost effective criteria for selecting emissions units with a certain level of flexibility for the aeroplane operators from developing countries, in keeping with the principle of common but differentiated responsibilities (CBDR);
- d) provide more clarity on SARPs relating to legal aspects and enforcement actions under CORSIA to assist the States in ensuring the proper implementation of CORSIA;

- e) ensure that the operators are not required to comply with different sets of requirements for emissions mitigation under various regional schemes and only one global MBM exists to address the emissions from international aviation and to fulfill ICAO's global aspirational goal of carbon neutral growth in a true sense;
- f) establish a procedure of technical dialogue and consultation between Member States and ICAO on States' implementation of CORSIA, in a facilitative manner and respectful of national sovereignty, aiming for the harmonization and synergies among different States' approaches; and
- g) ensure that the emissions unit criteria are fully in sync with the UNFCCC principles and the criteria for international trading in offsets developed under Article 6 of the UNFCCC.

24. The Delegate of Canada presented WP/227 (*Canada's views on CORSIA implementation and capacity building*), which underscored her State's continued support for CORSIA as the global MBM for CO₂ emissions from international aviation and for ACT-CORSIA as a capacity building forum. While recognizing that CORSIA has been a tremendous success thus far, the paper noted that work remained to be completed and outlined some considerations for future work. It also highlighted the importance of capacity building and training.

25. The Assembly was invited in WP/227 to:

- a) note Canada's continued support for CORSIA as the global MBM to address CO₂ emissions from international aviation and support for capacity building through the ACT-CORSIA initiative;
- b) acknowledge the importance of Member States working with their National Accreditation Bodies, where possible, to enhance availability of accredited verification bodies as soon as possible;
- c) acknowledge the importance of the established review process and encourage Member States to provide input to ICAO on issues encountered during implementation of CORSIA so that additional guidance can be developed;
- d) emphasize the importance of the Council approving Emissions Units Programmes, and potentially project types, in a timely manner after the conclusion of the Technical Advisory Body's (TAB's) first review process; and
- e) note Canada's encouragement of all ICAO Member States to indicate their intention to participate in CORSIA as early as possible.

26. The Delegate of Guyana presented WP/265 (*Progress on aviation environmental protection in the Cooperative Republic of Guyana*), which examined Guyana's efforts to comply with CORSIA and discussed the need for ICAO to accommodate the limited capacity of small States. The paper highlighted that despite Guyana's classification as a Small Island Developing State (SID), it had pledged its commitment to voluntarily participate in the pilot phase of CORSIA. It also emphasized that ICAO should continue to recognize small States' vulnerabilities to the effects of climate change and their limitations in ensuring environmental security. Those limitations manifested in areas such as lack of technological capacity, inadequate human capital, and financial constraints. The paper underscored that ICAO and developed States must not ignore the non-participation of SIDS in CORSIA or the non-submission/completion of SIDS' CO₂ Action Plans but rather continue to encourage and lend assistance to ensure that "No Country is Left Behind", in line with ICAO's NCLB initiative.

27. The Assembly was invited in WP/265 to:
- a) recommend ICAO's continued provision of capacity building and technical assistance to developing States; and
 - b) request ICAO to continually recognize and adjust for the minimal CO₂ contributions of small States to global CO₂ emissions level, bearing in mind their vulnerability to the effects of climate change.
28. The Delegate of Brazil presented WP/290 (*CORSIA: Necessary future work*), which, while expressing his State's support for CORSIA, identified two aspects that required special attention from the Council in order to ensure the successful implementation of the scheme. The first aspect was a criterion for calculating the new entrants' baseline. The definition of the new entrants' baseline was an issue unresolved by the ICAO technical bodies that would have practical implications when the individual approach was in place. The second aspect was a decision by the Council on eligible emissions units, which should be made as soon as possible, recognizing the importance of the UNFCCC mechanism on providing units at scale while ensuring environmental integrity.
29. The Assembly was invited in WP/290 to:
- a) acknowledge that ICAO shall decide on the criterion for the new entrants' baseline, considering the impacts of the lack of a robust criterion for when the individual approach is in place;
 - b) request the Council to provide the guidance for the new entrants' baseline definition, which shall avoid anti-competitive practices; and
 - c) welcome the establishment of the standing TAB and request the Council to consider its recommendations as soon as possible, while recognizing the special circumstances of UNFCCC mechanisms.
30. The Delegate of Brazil then presented WP/291 (*The need for a smooth transition from CORSIA MBM to SAF: Proposal of a way forward*), which highlighted his State's concerns regarding: i) the means of achieving ICAO's long-term climate goals, which will require increasing proportions of sustainable aviation fuels (SAF); and ii) the lack of a clear way of ensuring a smooth and predictable path to the phase-out of CORSIA by 2035. To address those concerns, the paper proposed to mandate the Council, with the technical support of the CAEP, to study and propose a mechanism to promote a gradual transition from offsets to SAF and other technologies.
31. The Assembly was invited in WP/291 to:
- a) agree on the need for further action to assure an orderly and gradual phase-out from the reliance on market-based measures in CORSIA, as part of ICAO's *2050 Vision for Sustainable Aviation Fuels* and as a means to achieve ICAO's long-term global aspirational climate goals; and
 - b) request the Council, with the technical contribution of the CAEP, to study and develop a mechanism to guarantee a smooth transition from the use of global market-based measures to the use of SAF and other measures from the ICAO basket of measures to ensure the long-term feasibility of ICAO's global aspirational climate goals.
32. The Delegate of the Russian Federation introduced WP/529 (Revision No. 1 – Chinese only) (*Impact of CORSIA implementation on the increase of CO₂ emissions growth rates in the sector of international civil aviation and on decrease of the global safety level. Alternative scenarios of ICAO climate action in the context of the Sustainable Development Goals of the United Nations*). He highlighted

the catastrophic impact of climate change on the environment, citing, as examples, the recent forest fires in Canada and the Russian Federation, as well as hurricanes and other natural disasters, and the consequent loss of life. The Delegate of the Russian Federation emphasized that the issue under discussion was thus of high importance not only to ICAO but for all of humanity. WP/529 explained why CORSIA would lead to an increase in aviation emissions and would negatively impact the implementation of ICAO's Strategic Objectives, including safety, environmental protection and the economic development of air transport. It underscored that CORSIA would lead to market distortions and unfair competition, contrary to the *Convention on International Civil Aviation* and the UN SDGs. Furthermore, there were concerns over the use of international civil aviation as a potential source for the mobilization of revenue for climate finance to the other sectors.

33. The Assembly was invited in WP/529 to:

- a) consider the appended alternative draft ICAO Assembly Resolution: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change*, which provided for global market-based measures implementation based on the *Clean Development Mechanism for International Civil Aviation (ACDM)*; and
- b) request the ICAO Council to examine the possibility of establishing under the auspices of the UN “an aviation’s mobile forces to fight forest fires and other natural disasters” funded under the ICAO International Environment Fund (IEF) that is fully compliant with the UN SDGs (Resolution A/RES/70/1 of the United Nations General Assembly *Transforming our world: the 2030 Agenda for Sustainable Development*).

34. Recalling that there had been some 500 000 participants in the youth Climate Strike march in Montréal on 27 September 2019, the Delegate of the Russian Federation stressed that now was the time for real action.

35. The Observer from IATA introduced WP/139 (*IATA views on CORSIA MRV and emissions units*), which stressed that uniformity in the implementation of the CORSIA SARPs with respect to MRV and emissions units was critical as it would not only prevent market distortions but also preserve the environmental integrity of the scheme. In the paper IATA welcomed the progress that had been made over the last few months with the establishment of the TAB and the formal adoption of the emissions units criteria, and underscored that a clear Council decision on emissions units was critical in the early part of 2020 to allow aeroplane operators to start planning for their offsetting requirements.

36. The Assembly was invited in WP/139 to:

- a) reaffirm the importance of minimizing market distortions under CORSIA;
- b) call on Member States to take the necessary actions for the compliance and enforcement of CORSIA, in accordance with Annex 16, Volume IV;
- c) note IATA’s view that maintaining broad access for aeroplane operators to the carbon market is important, while ensuring the environmental integrity of eligible emissions units; and
- d) note IATA’s view that it is critical that the ICAO Council reaches a decision on CORSIA eligible emissions units in 2020 at the very latest.

37. The Observer from IATA then drew attention to the Resolution on CORSIA which had been overwhelmingly approved at IATA's 75th Annual General Meeting (AGM) (Seoul, Republic of Korea, 1-3 June 2019), in which the AGM:

“1. REITERATES the strong support of IATA member airlines for CORSIA and their commitment to comply fully with the scheme's applicable MRV and offsetting requirements;

“2. URGES IATA member airlines to implement all available fuel efficiency measures to continue the industry's efficiency improvement history, including investing in fleet replacement, undertaking operational measures and working with industry partners to make greater strides in infrastructure measures;

“3. URGES all IATA members to take part in the long-term energy transition of air transport towards sustainable aviation fuels;

“4. URGES all ICAO Member States to reiterate their support for CORSIA at the 40th Session of the ICAO Assembly and to reaffirm that CORSIA is to be the market-based measure applied to international flights to the exclusion of overlapping or duplicative unilateral measures;

“5. DISAGREES with the decisions of a number of ICAO Member States to apply national or regional taxes and carbon pricing instruments to international aviation, in addition to CORSIA, and views such decisions as disregarding the commitments made at the 39th ICAO Assembly;

“6. ENCOURAGES all ICAO Member States to demonstrate climate and aviation leadership;

“7. ENCOURAGES all ICAO Member States to consider participating in the Pilot Phase and First Phase of CORSIA's offsetting requirements on a voluntary basis; and

“8. URGES all ICAO Member States to ensure that their own domestic MRV regulations are fully aligned with Annex 16, Volume IV, with the aim of preventing market distortions and multiplicity of MRV requirements.”.

38. The Observer from IATA also introduced WP/193 (*Industry views on CORSIA*), which was presented by ACI, CANSO, IATA, IBAC and ICCAIA, as coordinated by ATAG. The paper expressed the aviation industry's strong support for CORSIA and noted that its implementation avoided the need for duplicative carbon pricing measures to be applied to international aviation emissions on a regional, national or sub-national basis. It underscored the fact that CORSIA had been adopted with a broad recognition that it should be the only MBM applied to international flights on the basis that emissions should not be accounted for more than once. The paper also discussed the concerns of the aviation industry that CORSIA's implementation and effectiveness could be undermined by the policies of individual States and groups of States applying, or considering the application of, a carbon pricing instrument or ticket tax to address emissions from international aviation, in addition to CORSIA.

39. The Chairperson recalled that the following three working papers had been introduced during the Executive Committee's earlier consideration of Agenda Item 16: *Environmental protection – International aviation and climate change – Policy and standardization* (EX/5): WP/102 (*Perspectives on sustainable aviation*) presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC; WP/266 (*Recent developments in the collection, monitoring and reporting of CO₂ emissions from international aviation*) presented by Kenya; and WP/411 (*Contributions of the Latin*

American region to climate change matters and the implementation of CORSIA) presented by Guatemala and co-sponsored by LACAC Member States.

40. It was noted that the following 10 information papers had also been submitted under Agenda Item 17: WP/159 (*Reassertion of the Arab Civil Aviation Organization's acknowledgement that the "CORSIA Plan" is the only Global Market-based Measure applied to CO₂ emissions from international aviation*) presented by ACAO; WP/472 (*ACT-CORSIA and the Pacific*) presented by Australia and New Zealand and co-sponsored by Fiji, Indonesia and Samoa; WP/338 [*CORSIA implementation in Member States of the Caribbean Aviation Safety and Security Oversight System (CASSOS)*] and WP/339 [*ICAO ACT-CORSIA Programme in Member States of the Caribbean Aviation Safety and Security Oversight System (CASSOS)*] presented by CASSOS; WP/409 (*Contribution and views of South Africa on the environmental protection work done by ICAO*) presented by South Africa; WP/482 (*Japan's experience of CORSIA implementation*) presented by Japan; WP/527 Revision No. 1 (*Experiencia de la República Argentina en la implementación del CORSIA*) presented by Argentina; WP/547 (*Potential contribution of lower carbon aviation fuel to GHG emissions reductions*) presented by Saudi Arabia; WP/548 (*Indonesia's priority measures in reducing carbon emissions in aviation sector*) presented by Indonesia; and WP/407 (*IATA support for the implementation of CORSIA through FRED+*) presented by IATA.

Discussion

41. With reference to WP/306 (China and the Russian Federation), WP/228 Revision No. 1 (India) and WP/529 (Revision No. 1 – Chinese only) (Russian Federation) in which concerns were expressed regarding CORSIA and suggestions were made for specific actions and approaches, the Chairperson reminded the Executive Committee that ICAO had been working on the issue of a global MBM for international aviation more than ten years with the involvement of the Council, with the technical support of the CAEP, and all ICAO Member States, as well as through the convening of high level meetings at various points in time. He emphasized that the process followed had been consultative and transparent, and that information on different phases of the development of CORSIA and the CORSIA SARPs had been presented to all Member States and relevant stakeholders during the two rounds of the Global Aviation Dialogues (GLADs) and annual regional workshops that had taken place between 2015 and 2019. Feedback received from those events had been taken into consideration in the finalization of the provisions of CORSIA and the CORSIA SARPs. The Chairperson underscored that at the last Assembly in 2016 CORSIA had been adopted, enjoying the widest possible consensus during the closing Plenary meeting. That had also been reflected in the fact that no Member State had expressed a reservation on Assembly Resolution A39-3 as a whole, and only a handful of Member States had expressed reservations on some specific provisions of that Resolution. Noting that ICAO was taking the lead in the area of international aviation and environmental protection, ensuring that "No Country is Left Behind", the Chairperson stressed that that was, and would continue to be, the motto of ICAO's work. He therefore suggested that the Executive Committee recommend that the draft updated Assembly Resolution on CORSIA contained in the Appendix to WP/59 be forwarded to the Plenary for adoption.

42. The Delegate of Tuvalu began by noting that it was the first time that Tuvalu was attending the ICAO Assembly since becoming a Member State on 18 November 2017 and that it looked forward to participating in, and learning from, future ICAO undertakings. Tuvalu recognized that CORSIA was an extremely important matter. Although as a SID it had a low level of economic activity, including international aviation activity, and therefore did not contribute in any substantial way to global GHG emissions, Tuvalu strongly supported the full implementation of CORSIA without any changes, as well as a more ambitious long-term global aspirational climate goal, as the impact of climate change was a reality for it and for other SIDs. The Delegate of Tuvalu highlighted, in this regard, that during the 50th Pacific Islands Forum (PIF) Summit held in his State's capital, Funafuti, from 13-16 August 2019, the Pacific

Leaders had adopted a strong declaration, the *Kainaki II Declaration on Urgent Climate Change Action Now*. He emphasized that, in line with that Declaration, urgent action was key, as not doing enough, or doing nothing, would have significant impacts on Pacific Islands' livelihoods and very existence.

43. On behalf of ICAO, the President of the Council, Dr. Olumuyiwa Benard Aliu, warmly welcomed Tuvalu as its 192nd Member State and expressed appreciation to that State for making the effort to participate in the 40th Session of the Assembly.

44. In thanking Singapore for presenting WP/229, of which his State was a co-sponsor, the Delegate of Australia recalled that there was an international expression that was used whenever it was desired to do something difficult and necessary to continue doing it, "Stay the course". He emphasized that Australia wanted the Assembly to "Stay the CORSIA".

45. The Delegate of Bangladesh underscored that one matter of concern to his State was that CORSIA implementation not halt the growth of developing countries' aviation sectors, which might negatively impact their socio-economic development. He therefore endorsed WP/229 (Singapore), WP/265 (Guyana) and WP/228 Revision No. 1 (India).

46. In affirming that ICAO was the appropriate organization to effectively address CO₂ emissions from international aviation, the Delegate of Chile expressed support for the timely implementation of CORSIA worldwide. He highlighted that Chile, with ICAO's assistance, had established its MRV Programme on 1 January 2019, together with the necessary regulatory framework.

47. The Delegate of Nigeria underscored that her State commended the progress made by ICAO on CORSIA, as well as the success of its ACT-CORSIA Programme, of which Nigeria was a donor State. Nigeria endorsed WPs/56 and /59 (Council). In particular, it supported: all the proposed amendments to Assembly Resolution A39-3 set forth in the latter paper; and that CORSIA be the only global MBM applying to CO₂ emissions from international aviation so as to avoid a possible patchwork of duplicative State and regional MBMs, thus ensuring that international aviation CO₂ emissions would be accounted for only once. In the same vein, Nigeria endorsed WP/177 (AFCAC) and WP/139 (IATA).

48. Recalling the intervention by the Delegate of Tuvalu, the Delegate of France reiterated that for many ICAO Member States climate change was a crisis and that it was absolutely vital to take urgent action to address it. He thanked Canada for having presented WP/227, which highlighted that during the first phase of ACT-CORSIA, which had focused on the preparation of Emissions Monitoring Plans and legal frameworks, Canada, in partnership with France, had engaged with States members of the Francophonie, and in partnership with both France and Spain, had assisted several Middle Eastern States. The Delegate of France underscored that his State would enthusiastically participate in the second phase of ACT-CORSIA. He congratulated AFCAC on the activities it had carried out in the African continent to facilitate CORSIA implementation, as described in WP/177. In addition, the Delegate of France advocated recommending that the Plenary adopt the draft updated Assembly Resolution on CORSIA as presented in the Appendix to WP/59.

49. Reiterating that CORSIA was the finely-balanced outcome of extensive negotiations and compromises among all ICAO Member States, the Delegate of Singapore underscored that his State did not support a substantial revision of CORSIA now as opening one part risked opening another part. As the credibility of ICAO and the international aviation community to address climate change was very closely tied to the successful implementation of CORSIA, Singapore considered that emphasis should therefore be placed on the scheme's successful and timely implementation. Thereafter, on the basis of the practical experience gained in implementing CORSIA, ICAO and the international aviation community could be

more ambitious and seek to make improvements thereto. With respect to the other CORSIA implementation elements, Singapore affirmed that it was appropriate to continue work on emerging areas such as CORSIA eligible emissions units and CORSIA eligible fuels.

50. The Delegate of Japan indicated that his State shared the Delegate of Australia's view that ICAO should "Stay the CORSIA". Japan endorsed WP/56 and /59 (Council) and fully supported CORSIA, which constituted a big achievement of the last Assembly, as well as of the Council since that time. Many States were now proceeding to take the necessary action to implement CORSIA in accordance with Annex 16, Volume IV, and Japan considered that CORSIA's progress should not be stopped since climate change was an urgent issue. Japan therefore could not support substantial changes to CORSIA. It would continue to support CORSIA-related discussions in the Council and the CAEP, inter alia, as well as ICAO's ACT-CORSIA Programme.

51. The Delegate of Guatemala also expressed support for WPs/56 and /59, as well as for the CORSIA-related work which the CAEP would be carrying out in the coming triennium. In emphasizing the importance of nature, he stressed the need to have a united approach to addressing CO₂ emissions from international aviation and to invest in a whole range of different projects to reduce such emissions, particularly in developing countries. The Delegate of Guatemala reiterated that it was crucial for States to voluntarily participate in the pilot phase of CORSIA. He took this opportunity to highlight information paper WP/81 [*Green Paper of the Central American Corporation for Air Navigation Services (COCESNA)*] which had been submitted by COCESNA Member States and taken into consideration by the Executive Committee during its earlier discussion (EX/5) of Agenda Item 16: *Environmental protection – International aviation and climate change – Policy and standardization*. COCESNA's Green Paper was based on the United Nations 2030 Agenda for Sustainable Development and its SDGs, specifically those related to environmental management, energy, water, comprehensive waste treatment and material management. It was expected to become the Corporate Environmental Manual to prevent, correct and repair the potential impacts on environmental systems of the facilities and regular activities of COCESNA. Guatemala recommended that ICAO include the said principles in its various Programmes.

52. In reiterating the concerns raised by his State in WP/228 Revision No. 1 (*CORSIA – Implementation challenges & need for review of the baseline emission criteria*) (cf. paragraphs 21-23 above), the Delegate of India affirmed that they should be duly factored in by the Assembly when adopting the draft updated Assembly Resolution on CORSIA appended to WP/59 as that would strengthen CORSIA and make it more fair and equitable.

53. The Delegate of the Russian Federation noted that his State associated itself with India's position as set forth in WP/228 Revision No. 1 and considered that India's proposal would enable the issue of new entrants to be resolved. In reiterating support for WP/306 (China and the Russian Federation), he indicated that it was his understanding that the views expressed in the said two papers would be reflected in the Executive Committee's Report on Agenda Item 17. Referring to WP/59 containing the draft updated Assembly Resolution on CORSIA, the Delegate of the Russian Federation underscored that his State could not support action paragraphs b), c) and d). Recalling that China, India and the Russian Federation had submitted to the Secretariat their jointly proposed changes to that Assembly Resolution, he emphasized that the Russian Federation could not support the latter until they were taken into account.

54. The Delegate of China endorsed this intervention, as well as the previous statements made by the Delegates of India, the Russian Federation and Brazil. In emphasizing that the provision of assistance and capacity building to developing States was of great importance to CORSIA implementation, he stressed that it should focus on improving their capacity for sustainable development. Noting that many of the papers presented highlighted that States would face numerous challenges in implementing CORSIA in its current

form, the Delegate of China cautioned that if the Assembly were to rush to adopt the draft updated Assembly Resolution on CORSIA without a full understanding of States' respective national circumstances, then its implementation could not be guaranteed.

55. The Delegate of China averred that ICAO's SAF policy was not rational and was not successful. He underscored that as each of ICAO's 193 Member States was at a different level of economic development, the Organization should not have a one-size-fits-all policy; rather, it should take into account States' respective national circumstances. The Delegate of China emphasized that it would be incorrect for ICAO to follow the wrong path i.e. proceeding with CORSIA in its current form, without making any changes thereto. Reiterating that China, India and the Russian Federation had submitted to the Secretariat their jointly proposed changes to that draft updated Assembly Resolution on CORSIA (WP/59), the Delegate of China expressed the hope that the Assembly would take into consideration all of the feedback provided during the 40th Session to push forward for the effective and fair implementation of CORSIA.

56. Drawing attention to WP/177 (AFCAC), the Delegate of Benin commended ICAO's efforts to facilitate CORSIA implementation, and expressed appreciation for the training to be provided from 21-25 October 2019 to his State, as well as to Burkina Faso, Burundi, Congo, the Democratic Republic of the Congo, Gabon, Niger, Senegal and Togo, under Phase Two of the ACT-CORSIA Buddy Partnership with Canada and France.

57. In endorsing WPs/56 and /59 (Council), the Delegate of Colombia affirmed that CORSIA should be the only global MBM to be applied to CO₂ emissions from international aviation and that it should be implemented as outlined in those two papers.

58. The Delegate of Switzerland emphasized that his State and other European States strongly supported the activities undertaken by ICAO, together with States from various regions across the globe, to facilitate CORSIA implementation and to build capacities and capabilities where needed, and would continue to do so. Switzerland and other European States invited other States to follow their example and declare their willingness to voluntarily participate in CORSIA from the beginning of the pilot phase. Highlighting that there were more than 100 States which had not yet volunteered, the Delegate of Switzerland emphasized that there thus remained much room for participation in that great scheme from the outset.

59. The Delegate of Ethiopia underscored that the effective and efficient functioning of the international air transport system relied on a high degree of uniformity, regulations, standards, and procedures and that the imposition by individual States or groups of States of unilateral measures undermined those functions. He noted that it had been on that basis that CORSIA had been adopted at the last Assembly, with broad recognition that it should be the only global MBM applied to CO₂ emissions from international aviation. The Delegate of Ethiopia stressed that any extra duplicative MBM to reduce the impact of international aviation's CO₂ emissions would only create a major obstacle to the sound, economical, and orderly development of international air transport. For these reasons, he supported the aviation industry's views on CORSIA as set forth in WP/193 (ACI, CANSO, IATA, IBAC and ICCAIA, as coordinated by ATAG).

60. The Delegate of Egypt thanked all those States which were working hard to reduce CO₂ emissions from international aviation. Noting that the Assembly was in the hands of its President to ensure that it reached consensus on that important issue, he stressed the need to take into account geographical representation and to ensure that there were no contradictions between ICAO's policy in terms of CORSIA and the broader decisions taken at the level of the UN. The Delegate of Egypt further underscored the need to take into consideration sustainable development based on the UN SDGs and the

ability of each country to participate in CORSIA, and to involve civil society in the decision-making process. He therefore supported: WPs/56 and /59 (Council); action paragraphs d), e), f), and g) of WP/228 Revision No. 1 (India); WP/139 (IATA); and the various papers which referred to the provision of CORSIA implementation assistance in line with ICAO's NCLB initiative.

61. The Delegate of Brazil indicated that his State shared the concern expressed by Canada in WP/227 over the small number of accredited verification bodies, as well as its opinion regarding the importance of the CORSIA review process during the scheme's implementation. In addition, Brazil supported WP/411 (Guatemala), WP/229 (Singapore) and WP/139 (IATA). With respect to WP/306 (China and the Russian Federation), Brazil considered that the co-presenters had raised an important concern regarding the high burden which CORSIA implementation placed on developing markets and underscored that it should be taken into account during the CORSIA review process in order to improve the regulatory equality of the scheme.

62. Noting that his State endorsed WPs/56 and /59 (Council), the Delegate of the Republic of Korea indicated that it deemed the CORSIA-related activities carried out since the last Assembly to be very meaningful, including the support for Member States promoted by the Council and the Secretariat to ensure CORSIA's successful implementation. The Republic of Korea considered that, despite tight time constraints, the scheme's successful implementation would foster further efforts on the part of the international community to address climate change. The Republic of Korea was actively carrying out ICAO's CORSIA-related activities through ICAO regional workshops/seminars and planned to continue to cooperate with ICAO and its Member States in that regard.

63. The Delegate of the United States underscored that his State supported the Chairperson's proposal that the draft updated Assembly Resolution on CORSIA (WP/59) be forwarded to the Plenary for adoption, which was also reflected in WP/229 (Singapore). In appreciating the remarks made by the Delegate of Australia regarding CORSIA, the United States recognized that at the moment CORSIA implementation was difficult, tedious, and delicate: some States wished to go faster, while others were questioning some of the tenets which had been agreed at the last Assembly in 2016. The United States fully supported the notion of staying the course with regard to CORSIA. It agreed with the remarks made by the Delegate of Brazil regarding future work in addressing the issues of new entrants and eligible emissions units. The United States recognized that there was hard work ahead and was committed to completing it.

64. In likewise appreciating the Chairperson's remarks regarding the careful considerations that were built into CORSIA, the United States wished to highlight the voluntary nature of the pilot and first phases, the bottom-up approach whereby States could choose to participate therein if they so desired, the dynamic distribution which had a change in allocation between sectoral and individual growth to address concerns about the baseline, and most importantly, as reflected by the Delegate of Brazil in his intervention, the review process which allowed for consideration and updating of CORSIA as appropriate once the scheme was implemented. In view of the above, the United States fully supported continuing forward and staying the course with regard to CORSIA.

65. The Delegate of Italy noted that his State supported the CORSIA-related work done by ICAO over the past three years and endorsed WPs/56 and /59 (Council). In addition, Italy acknowledged and welcomed WP/177 (AFCAC), and supported the interventions by the Delegates of France, Australia, Japan and others.

66. The Delegate of Ireland noted that her State supported the basket of measures approach to meet ICAO's global aspirational goal of carbon neutral growth from 2020, of which CORSIA was a fundamental element. She recalled that all aviation stakeholders had worked long and hard to achieve the

historic agreement on CORSIA and that the 39th Session of the Assembly had delivered the consensus needed to move forward with that scheme. Furthermore, in the last three years the ICAO Council and its relevant bodies had put in place the rules and procedures necessary to implement CORSIA. It was on track and at an advanced stage. As Ireland considered that it was necessary to maintain the momentum and to keep moving together in one direction, it did not consider that ICAO should shift its focus away from CORSIA, as suggested in some of the papers which had been presented. Ireland agreed with the views expressed by the Delegates of Australia and the United States – “Stay the CORSIA”.

67. In also advocating staying the course, the Delegate of Georgia reiterated that CORSIA was already on track for implementation and at an advanced stage. As he considered that initiating any new work on alternative measures would risk derailing the progress needed on CORSIA, he agreed with those Delegates who had spoken in favour of retaining CORSIA in its present form. The Delegate of Georgia expressed full support for WPs/56 and /59 in that regard.

68. The Delegate of North Macedonia voiced full support for ICAO’s work on CORSIA and its commitment to ensuring the scheme’s effective implementation by States. Cautioning that any attempts to introduce some changes or individual flexibility into CORSIA would run counter to ICAO’s basic principle of non-discrimination and would open the door for severe market distortions, he stressed that they must therefore be rejected by the Assembly.

69. The Delegate of the Netherlands observed that the Chairperson’s excellent summary made perfectly clear the delicate process which ICAO had undertaken to address all concerns previously raised regarding CORSIA, which had been followed by enormous efforts over the past three years to put measures into place to implement the scheme. All of that work formed the basis for further development of CORSIA, aiming for the start of the voluntary pilot phase in 2021. While the Netherlands acknowledged the need for further support and to take into account States’ specific circumstances, it also saw the need for wider participation to make CORSIA a truly global MBM.

70. The Delegate of Cameroon indicated that his State supported WPs/56 and /59 (Council), as well as WP/177 (AFCAC). While Cameroon would be voluntarily participating in CORSIA from the outset, it emphasized the need for ICAO to provide more capacity building, as well as guidance material, on the issue of verification of CO₂ Emissions Reports as most developing States lacked an accredited verification body.

71. The Delegate of New Zealand noted that her State supported CORSIA as the only global MBM for the international aviation sector and encouraged other States to participate therein. New Zealand endorsed the position expressed by the Delegates of France, Singapore, and others that the draft updated Assembly Resolution on CORSIA (WP/59) be forwarded, without substantive change, to the Plenary for adoption. In observing that climate change made no differentiation, the Delegate of New Zealand emphasized that the Assembly should not differentiate. As she had highlighted earlier during the Executive Committee’s discussion of Agenda Item 16 (EX/5), and as other Delegates had subsequently reiterated, the impact of climate change on Pacific Island States and other SIDS would be extreme. Underscoring that some of the islands would disappear if the Assembly did not act now on CORSIA, the Delegate of New Zealand stressed that the Assembly could not afford to wait to take action. It must make every effort to ensure that the international aviation sector played its part in mitigating CO₂ emissions to ensure that no country disappeared. CORSIA was the first step to achieving that.

72. Affirming that CORSIA was one of the greatest achievements of the last Assembly, the Delegate of the United Republic of Tanzania indicated that his State fully supported the scheme’s effective implementation and agreed with President of the Council’s earlier statement (EX/5) that the number one

priority was to not jeopardize CORSIA and to move forward with it. The United Republic of Tanzania also fully supported WP/177 (AFCAC). It reiterated that data collection, monitoring, reporting and verification remained a key challenge in most States, in particular developing countries, and that in order to promote the development of a robust system and a readiness to address MRV requirements it was necessary to increase the capacity building programme on CO₂ emissions reduction, building upon the successful experience of the ICAO-EU Assistance Project.

73. Agreeing with many of the previous speakers that the Assembly should not be side-tracked in the final preparation phase of CORSIA, the Delegate of Finland voiced support for the draft updated Assembly Resolution on CORSIA in the form presented in the Appendix to WP/59.

74. The Delegate of Saudi Arabia likewise supported the current text of the said Assembly Resolution on CORSIA. In addition, he supported WP/177 (AFCAC), as well as WP/229 (Singapore). Noting that the issue of the periodic review of CORSIA was very important to his State, the Delegate of Saudi Arabia indicated that while he was open to the various suggestions made in that regard during the discussion, he considered that the periodic review must be based on the Annex to the draft updated Assembly Resolution on climate change (WP/58) setting forth the guiding principles for the design and implementation of market-based measures for international aviation.

75. The Delegate of Canada indicated that her State also supported the Assembly Resolution on CORSIA as presented in WP/59. Canada noted that the work needed to address key CORSIA implementation issues, such as eligible emissions units, a baseline for new entrants, and the review process, were sufficiently underway or planned as needed. Canada did not support any action items that would reopen for discussion any of the fundamental elements of CORSIA that all had worked so hard to reach consensus on.

76. The Delegate of Argentina highlighted that her State supported the implementation of CORSIA and all of the related measures taken thus far as summarized in WPs/56 and /59 (Council). Argentina favoured proceeding with the scheme's implementation as it considered that CORSIA was the only global MBM to be applied to CO₂ emissions from international aviation and was implementing it itself. Argentina agreed on the importance of taking into consideration during the CORSIA review process all of the concerns raised, as well as the implementation challenges encountered during the pilot phase. Argentina endorsed the draft updated Assembly Resolution on CORSIA in the form presented in the Appendix to WP/59.

77. In voicing full support for ICAO's CORSIA-related work as described in WP/56 (Council), the Delegate of Albania shared the view expressed by the Delegate of Australia and many others that the Assembly should "Stay the CORSIA".

78. The Delegate of the United Arab Emirates reiterated that ICAO and its Member States had worked very hard over the past ten years to reach a consensus on CORSIA, which had been adopted by the last Assembly in Resolution A39-3. She congratulated all those States which had taken the lead and participated in the 2019 implementation phase. While noting that her State had regretfully not taken part in Phase I of the ACT-CORSIA Programme, the Delegate of the United Arab Emirates thanked all those donor States which had participated therein and provided support to other States. She highlighted that, based on its current experience with CORSIA implementation, the United Arab Emirates was now able to be one of the ACT-CORSIA donor States and to support other States in its region with its expertise. Underscoring that CORSIA was a very concise compromise solution, the Delegate of the United Arab Emirates advocated maintaining the text of the draft updated Assembly Resolution on CORSIA as presented in the Appendix to WP/59.

79. Endorsing WPs/56 and /59 (Council), the Delegate of Mexico agreed with the Delegate of Australia and many other previous speakers that the Assembly should stay the course with regard to CORSIA.

80. In expressing support for CORSIA, the Delegate of Guatemala emphasized the need for the Assembly to have a more coherent approach, as it was urging States to support CORSIA as the only global MBM to be applied to CO₂ emissions from international aviation while indicating that participation in that scheme was on a voluntary basis. Stressing that it was important that all States join CORSIA, he proposed that an extraordinary session of the Assembly be held in a year or a year-and-a-half specifically on CORSIA in order to discuss States' views thereon and encourage their participation in the scheme.

81. The Delegate of the Russian Federation endorsed this proposal, as well as the intervention by the Delegate of China. Recalling that China, India and the Russian Federation had submitted to the Secretariat their jointly proposed changes to the draft updated Assembly Resolution on climate change appended to WP/58 (cf. A40-Min. EX/5, paragraph 94), he reiterated their proposal to relocate the Annex containing the guiding principles for the design and implementation of market-based measures (MBMs) for international aviation to the draft updated Assembly Resolution on CORSIA appended to WP/59. In addition, the Delegate of the Russian Federation enquired again whether he could present information paper WP/605 which contained a Joint Statement of the Ministry of Transport of the Russian Federation and Civil Aviation Administration of China on the establishment of an equitable and effective global mechanism on international aviation and climate change (cf. A40-Min. EX/5, paragraphs 108 and 163).

82. Endorsing these comments, the Delegate of China emphasized that it was his State's sincere intention to support CORSIA and not to prevent ICAO or any of its Member States from moving forward with its implementation. Affirming that the efforts made by China in that regard over the last three years were no less than the efforts made by any developed country, he underscored that China's position was to promote the contribution of every country to the implementation of CORSIA to the best of its ability. The Delegate of China expressed the hope that the Chairperson would provide adequate opportunities to all parties to fully express their views on CORSIA.

83. Responding to the first point raised by the Delegate of the Russian Federation, the President of the Council clarified that the said Annex set forth the guiding principles to be applied for the design and implementation of any type of MBM for international aviation and was included in the draft updated Assembly Resolution on climate change as the latter related to all of the elements of the basket of measures to reduce CO₂ emissions from international aviation, one element of which was MBMs. He underscored that the draft updated Assembly Resolution on CORSIA related solely to that specific scheme. The President of the Council thus did not see any reason to relocate the Annex and asked the Russian Federation, China and India to accept that it remain part of the draft updated Assembly Resolution on climate change.

84. Replying to the second point raised by the Delegate of the Russian Federation, the Chairperson of the Executive Committee indicated that above-mentioned information paper WP/605 could be presented at the end of the interventions under Agenda Item 17 (cf. paragraph 98 below).

85. Underscoring that her State had long been a strong supporter of ICAO's efforts to ensure that the aviation sector contributed effectively to tackling climate change, the Delegate of the United Kingdom emphasized that it firmly believed that CORSIA was an excellent foundation for the global community to build upon to continue addressing the negative impacts of international aviation emissions on the climate. She therefore agreed with the Delegate of Australia that the Assembly must "Stay the

CORSIA” and supported the draft updated Assembly Resolution on CORSIA in the form presented in WP/59.

86. The Delegate of Turkey also voiced support for the current text of the draft updated Assembly Resolution on CORSIA as presented in the Appendix to WP/59 and maintained that no other alternative measures should be applied to CO₂ emissions from international aviation. Reiterating that a great compromise had been reached on CORSIA at the last Assembly in 2016, he stressed the need to focus on the implementation of that scheme.

87. The Delegate of Costa Rica endorsed the Chairperson’s summary regarding CORSIA. Noting that Costa Rica was a pioneer in the protection of peace and nature, he highlighted that, in line with the Paris Agreement and the UN SDGs, it had established a national plan to decarbonize its economy by 2050 which included bold mid- and long-term targets to reform transportation, energy use, waste management and land use. Costa Rica called upon all States to develop such national decarbonization plans.

88. In expressing support for WP/56 and the draft updated Assembly Resolution on CORSIA as presented in the Appendix to WP/59, the Delegate of Iceland emphasized that the Assembly should not go backwards but rather forwards, for the environment.

89. The Delegate of Malta endorsed WP/229 (Singapore), as well as the Chairperson’s proposal that the Executive Committee forward the draft updated Assembly Resolution on CORSIA (WP/59) to the Plenary for adoption. He spoke in favour of retaining that Assembly Resolution and the draft updated Assembly Resolution on climate change (WP/58) in their current form.

90. The Delegate of Greece underscored that her State supported ICAO’s work on CORSIA as outlined in WP/56 and was committed to ensuring the scheme’s successful implementation. In that regard, Greece called upon other States to join CORSIA. It endorsed the draft updated Assembly Resolution on CORSIA in the form presented in WP/59 and agreed that the Assembly should “Stay the CORSIA”.

91. In endorsing the President of the Council’s intervention, the Delegate of France emphasized that the existing text was a compromise which had been negotiated down to the very letter and that it was very important to avoid the risk of re-opening it. He affirmed that it was necessary to “Stay the CORSIA” as there was much more work to do on the basis of that scheme.

92. Congratulating ICAO for the work it had accomplished with regard to CORSIA, the Delegate of Algeria agreed that the Assembly should “Stay the CORSIA” by providing implementation assistance to States so that they could put in place appropriate national action plans.

93. The Delegate of Norway voiced support for WPs/56 and /59 (Council), as well as for the comments made by the Delegate of France, inter alia.

94. The Delegate of Slovakia underscored that her State, like the other EU and ECAC Member States, strongly supported the ICAO basket of measures, including CORSIA, as the key tool to achieving ICAO’s carbon neutral growth target. She spoke in favour of going forward with CORSIA implementation and carrying out further work to improve what was now on the table.

95. The Delegate of Indonesia noted that his State fully acknowledged the systematic and significant work of ICAO on CORSIA-related matters as reflected in WP/56, and supported the draft updated Assembly Resolution on CORSIA as contained in WP/59. In addition, Indonesia expressed

appreciation for the ICAO ACT-CORSIA Programme, in particular, for the contributions of the donor States in assisting other States in preparing for CORSIA implementation.

96. The Observer from CASSOS underscored that CASSOS also supported WP/56 and the draft updated Assembly Resolution on CORSIA appended to WP/59. Highlighting that CASSOS States had benefited from the ACT-CORSIA Programme, she thanked ICAO and the donor States which participated therein. The Observer from CASSOS noted that while much had been accomplished with regard to CORSIA, much remained to be done, as some States were still reluctant to participate in the scheme. She agreed with the Delegate of Australia and many others that the Assembly should “Stay the CORSIA”.

97. The Observer from the International Transport Workers’ Federation (ITF) welcomed the action being taken by ICAO, the aviation industry and a good number of States to mitigate some of the CO₂ emissions from international civil aviation through CORSIA and the other elements of the basket of measures. He averred that they were not doing enough, however, as climate change presented the most serious threat of this generation’s lifetime and the lifetimes of generations to come. ITF Members had long campaigned to ensure that the transition to a more sustainable economy was economically and socially fair for workers. A just transition was a key requirement in the International Labour Organization’s (ILO’s) *Guidelines for a just transition towards environmentally sustainable economies and societies for all*. Trade unions had accepted that it was necessary to consider how to fairly transition jobs to save the planet, and had recognized that that would take work. As aviation workers needed jobs on a sustainable planet, the ITF Members welcomed ICAO’s leadership in reducing the aviation industry’s carbon footprint. It was necessary, however, to have the support and commitment of all States and stakeholders to make the difference. That difference needed to be sustainable, substantial, and revolutionary to make major progress in such a short period of time.

98. The Delegate of the Russian Federation then presented information paper WP/605 on behalf of his State and China. The Joint Statement of the Ministry of Transport of the Russian Federation and Civil Aviation Administration of China on the establishment of an equitable and effective global mechanism on international aviation and climate change read as follows:

“The Ministry of Transport of the Russian Federation and Civil Aviation Administration of China (hereafter as ‘Parties’) have been actively and constructively engaged in the global campaign on international aviation and climate change. The Parties,

“*Recognizing* that the international civil aviation should be developed in a safe and orderly manner and that the international air transport services should be established on the basis of equality of opportunity and operated soundly and economically,

“*Recognizing* the CNG2020 goal places undue cost and burden on the developing countries and emerging market countries, whose international aviation would see a more rapid growth, to address the international aviation and climate change, which hasn’t taken into full account the legitimate priority needs of those countries for the achievement of sustained economic growth and the improvement in the living standards of their people,

“*Reiterating* that the international civil aviation shall not be used as a potential source for the mobilization of revenue for climate finance to other sectors and that ICAO market-based measures should ensure the fair treatment of the international aviation sector in relation to other sectors,

“*Recalling* that the Parties, among others, have serious concerns as to challenges and problems in terms of legitimacy, fairness, feasibility and effectiveness in the development of the CORSIA, which would create considerable obstacles for the consolidated efforts of States to tackle the international aviation and climate change in a harmonized manner,

“*Reaffirming* that to obtain financial and technical support for capacity building is essential for developing countries and emerging market countries to implement the CORSIA,

“*Reiterating* their continuous intention to join hands with others, and to contribute to the achievement of the UN Sustainable Development Goals and to the establishment of an equitable and effective global mechanism on international aviation and climate change.

“Having agreed that the 40th session of the ICAO Assembly is invited to:

“a) *Reaffirm* that ICAO’s efforts on environment issues relating to international civil aviation, including GHG emissions, shall not authorize the Organization to intervene in matters which are essentially within the domestic jurisdiction of States;

“b) *Recognize* that UNFCCC with its Paris Agreement is the main platform for States to tackle all anthropogenic GHG emissions, whose principles and modalities shall not be violated in ICAO’s response to international aviation and climate change;

“c) *Respect* differences among States in domestic policies, capacity building and economic structure and *Refrain* from a one-size-fits-all approach to implement the CORSIA;

“d) *Allow individual States to seek* their own solutions to address international aviation and climate change, including a nationally determined implementation plan for the CORSIA, that best suit their respective national conditions; and *Request* individual States to update their solutions periodically;

“e) *Reiterate* that States’ individual contribution to a green, circular, low-carbon aviation shall not apply to aircraft registered in another State without mutual consensus and should not lead to negative consequences for the sustainable growth of the international civil aviation;

“f) *Request* the Council, with the support of the CAEP, to make institutional arrangement of international dialogue and consultation, respectful of national sovereignty and drawing valuable inspiration from what the Convention on International Civil Aviation provides on the improvement of air navigation facilities, so as to enhance gradually the harmonization and comparability in States’ ambitions and methodologies/standards to address aviation emissions;

“g) *Also request* the Council, with the support of the CAEP, to develop alternative system of provision of economic incentives on real reduction of CO₂ emission in international aviation sector on the basis of global technical modernization of the industry, aiming to contribute to the improvement of aviation safety and the achievement of the UN Sustainable Development Goals in all ICAO Member States;

“h) *Encourage* the President of ICAO Council to inform the UN Secretary-General about the position of States which acceded to this Joint Statement.

“The Parties welcome other States’ support and/or acceding to the Joint Statement.”.

99. The Delegate of India underscored that her State fully supported, in principle, the above Joint Statement by the Ministry of Transport of the Russian Federation and Civil Aviation Administration of China (WP/605), which brought into focus many issues that it wished to highlight. She emphasized that India would like to work within ICAO to deal with climate change and would like other countries to seriously consider the issues raised in that Joint Statement.

100. In summarizing the discussion, the Chairperson indicated that the Executive Committee acknowledged the successful development of CORSIA-related SARPs and guidance by ICAO, as well as the progress in developing various CORSIA Implementation Elements. It also recognized that while CORSIA implementation is on track, there was a need to further develop and update the CORSIA-related SARPs, guidance and remaining CORSIA Implementation Elements, such as CORSIA eligible fuels and CORSIA eligible emissions units.

101. With regard to CORSIA eligible emissions units, the Executive Committee noted the views and perspectives presented by States on the need for the timely decision by the Council, and the need to recognize the special circumstances of UNFCCC mechanisms, flexibility and broad access for operators to eligible units while ensuring the environmental integrity of CORSIA. In that respect, the Executive Committee recalled WP/56 (Council), which reported on the ongoing work of the TAB in assessing emissions units programmes against the approved criteria, and that its first recommendations were expected to be forwarded for the Council's consideration in March 2020.

102. Regarding the issue of verification under CORSIA, the Executive Committee took note of the views of States and acknowledged the importance of ICAO, Member States and their National Accreditation Bodies working together to increase the availability of accredited verification bodies, for access by aeroplane operators. In that respect, the Executive Committee recognized that the ICAO Secretariat provided the CORSIA verification training courses to facilitate accreditation of verification bodies, and was also working with the International Accreditation Forum (IAF) to facilitate accreditation activities by National Accreditation Bodies.

103. The Executive Committee took note of the views of States on the participation of more States in the work of the CAEP in a geographically balanced manner. In that regard, the Executive Committee recalled that the Council, in 2018, had reviewed and revised the CAEP Directives, including the removal of the maximum number of CAEP Members or Observers to be nominated as experts from States.

104. The Executive Committee noted that as regards the specific request to define the criteria for new entrants' baseline emissions under CORSIA, the Council had already requested the CAEP to include that specific area of work in its work programme for the next triennium.

105. The Executive Committee noted that many States welcomed the successful implementation of the ICAO ACT-CORSIA Programme. It also expressed its appreciation for the contributions of Member States to establish CORSIA Buddy Partnerships to assist CORSIA implementation by States. The Executive Committee also emphasized the importance of a coordinated approach to ICAO training, and expressed its support for the continuation of the ICAO ACT-CORSIA Programme in the future.

106. The Executive Committee noted that 81 States had announced their voluntary participation in CORSIA from its outset. That number had increased from 65 States since the CORSIA had been adopted at the last Assembly in October 2016. The Executive Committee agreed that this increasing number was a very positive sign, and recognized the importance and benefits of capacity building and assistance activities

to enable more States to join CORSIA. Member States that were ready to announce their voluntary participation in CORSIA were encouraged to do so as soon as possible.

107. On the issue of the periodic review of CORSIA, the Executive Committee noted the views of States, including on the potential approaches and analyses, and the consideration of transition from CORSIA into the use of sustainable aviation fuels (SAF). In that regard, the Executive Committee highlighted that Operative Paragraphs 9 g) and 18 of Assembly Resolution A39-3 provided clear guidance and requested the Council to undertake the periodic review of CORSIA every three years from 2022, and for recommendations to be made for consideration by the Assembly. It also noted that the CAEP had already included a task to develop methodologies and procedures for the CORSIA periodic review in its work programme over the next triennium, which had been approved by the Council.

108. In considering the revised Assembly Resolution A39-3 on CORSIA, a clear majority of States expressed their support for the draft updated Assembly Resolution text proposed in the Appendix to WP/59 without any further change, while the Executive Committee noted concerns expressed by a few States, including those reflected in WP/306 (China and the Russian Federation), WP/228 Revision No. 1 (India) and WP/529 (Revision No. 1 – Chinese only) (Russian Federation). Following oral statements made by some Member States, written input to the meeting was submitted by three Member States (China, India and the Russian Federation) and posted on the ICAO website.

109. The Executive Committee therefore agreed to recommend to the Plenary that it adopt the draft updated Assembly Resolution text proposed in the Appendix to WP/59 without any further change.

110. Responding to a query by the Delegate of China, the Chairperson confirmed that there would not be any additional opportunities to discuss WP/59 in the Executive Committee. In expressing regret at this decision, the Delegate of China hoped that views expressed during the present meeting would be reflected in the records and minutes of the Executive Committee and in its Report to the Plenary on Agenda Item 17. The Delegates of the Russian Federation and India strongly supported this statement.

Agenda Item 16: Environmental protection – International aviation and climate change – Policy and standardization (continued)

Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change

111. The Executive Committee then returned (EX/5) to Agenda Item 16, with the President of the Council reporting on the outcome of the informal consultations which he, the Chairperson of the Executive Committee and the Secretariat had undertaken with States regarding the draft updated Assembly Resolution on climate change presented by the Council in WP/58.

112. The President of the Council indicated that following a review of the amendments to the said Assembly Resolution arising from WP/102 (Finland on behalf of the EU and its Member States and other Member States of ECAC) and other relevant working papers, the changes proposed jointly by China, India and the Russian Federation, and the comments made during the said informal consultation process, it was proposed that the Executive Committee accept the text as presented in WP/58 and agree not to make any further change thereto. He highlighted that rather than merely recommending that the Assembly “request that further work on the feasibility of a long-term global aspirational goal, as requested by Assembly Resolution A39-2, Operative Paragraph 9, be presented at the next Assembly” in line with action paragraph d) of WP/55 (Council), the Report of the Executive Committee would reflect the comments made that such work on the feasibility of a long-term global aspirational goal should be prioritized and that if the CAEP were to determine that such a goal was feasible, then it should bring forward options for

consideration. Furthermore, the Council should prepare an implementation roadmap for such options on the basis of ongoing or planned initiatives and actions, including innovative technologies and partnerships, in order to make such an endeavour possible. In addition, consistent with ICAO's NCLB initiative, support should be provided to States in need, particularly capacity building and assistance. The President of the Council emphasized that a long-term global aspirational goal for international aviation could not be considered in isolation and that it was necessary to include all of the boundary conditions that would make it achievable.

113. DD/ENV indicated that the proposed text to be included in the Executive Committee's Report on Agenda Item 16 was as follows:

“The Council, with the technical support of CAEP and in consultation with States, the industry and other relevant stakeholders, should prioritize the work on the feasibility of a long-term global aspirational goal for international aviation CO₂ emissions reduction, and present options for consideration by the 41st Session of the ICAO Assembly. In doing so, the Council should also prepare a roadmap for the implementation of the options for a long-term global aspirational goal, building upon ongoing and planned initiatives and actions, including innovative technologies, and partnerships amongst States and industry, and whilst providing the necessary support to States in need under the ‘No Country Left Behind’ initiative, in particular on the capacity building and assistance needed.”.

114. The Chairperson of the Executive Committee affirmed that it was a very reasonable proposal and endorsed it as the way to move forward.

115. While expressing appreciation for the efforts made by the President of the Council, the Chairperson and the Secretariat, the Delegate of China voiced opposition to closing the discussion on the draft updated Assembly Resolution on climate change and strongly recommended that the Executive Committee have a detailed discussion thereon. Recalling that the Russian Federation, China and India had submitted to the Secretariat their jointly proposed changes to the Assembly Resolution, he highlighted their proposal to amend Operative Paragraph 9 to read as follows: “*Requests the Council to take stock of States’ long-term green growth visions listed in their respective national plans and continue to explore the fairness and feasibility of a long-term global aspirational goal for international aviation ...*” (new text appears in grey shading).

116. The Chairperson clarified that the President of the Council's proposal had not included any amendment to Operative Paragraph 9 of the draft updated Assembly Resolution on climate change (WP/58). The text read by DD/ENV was proposed to be incorporated in the Executive Committee's Report on Agenda Item 16.

117. The Delegate of China emphasized that he desired to have the changes jointly proposed by the Russian Federation, China and India reflected in the Assembly Resolution itself rather than in the body of said Report.

118. The Delegates of Singapore, Egypt, the Netherlands, the United States, the United Republic of Tanzania, the United Kingdom, Italy and Colombia expressed full support for the President of the Council's proposal, as did the Observers from IATA and ICCAIA. In so doing, the Delegate of Singapore indicated that the changes jointly proposed by the Russian Federation, China and India to the draft updated Assembly Resolution could be considered during ICAO's continuing discussion of the issue of international aviation and climate change over the course of the next three years. The Delegate of Egypt agreed.

119. In endorsing the intervention by the Delegate of China, the Delegate of the Russian Federation voiced appreciation to the Delegate of Singapore for highlighting that the changes jointly proposed by his State, China and India could be discussed during the coming triennium. He requested that all of the statements made during the present discussion be reflected in the Executive Committee's Report and that the term "overwhelming support" be used instead of the term "unanimous support" as there was not 100 per cent support for the decisions and actions contained therein.

120. The Delegate of Egypt reaffirmed that his State was not opposed to a long-term global aspirational goal for international aviation. Egypt considered, however, that it was necessary for the CAEP, as a priority, to conduct detailed studies assessing the attainability and impacts of any goals proposed pursuant to Operative Paragraph 9 of the draft updated Assembly Resolution on climate change in order to ensure their feasibility and credibility.

121. The Delegate of Saudi Arabia asked that the President of the Council's proposed text be circulated so that it could be studied in depth. He underscored that Saudi Arabia, which had made great progress in the field of clean energy, desired that ICAO provide a forum to exchange information and facilitate better understanding of lower carbon aviation fuel, and that that be duly reflected in the Executive Committee's Report.

122. The Chairperson noted that the President of the Council's proposed text would be circulated so that all Delegates would have the opportunity to review it. He confirmed that the Executive Committee's Report would highlight the need for ICAO to provide such a forum on lower carbon aviation fuel so that the Council and the Secretariat would take the necessary follow-up actions.

123. The Delegate of China remarked that he wished to read the text of the 24 changes to the Assembly Resolution jointly proposed by his State, the Russian Federation and India for reference purposes. He highlighted the following: the proposed inclusion of a new Preambular Paragraph 11 reading "*Also recognizing* that some States have concerns on the fairness and feasibility of the goal of keeping the net carbon emissions from 2020 at the same level and have filed reservations on the goal;", and the proposed amendment of Preambular Paragraph 13 (renumbered 14), whereby the phrase "on behalf of the international air transport industry" would be deleted and the phrase "and *also noting* that such commitments are in great need of robust research on equity, feasibility and affordability in light of States' different national conditions and realities;" would be added at the end. The Delegate of the Russian Federation endorsed this intervention.

124. While indicating that it would not be possible for the Delegate of China to read out all of the jointly proposed changes at this juncture, the Chairperson of the Executive Committee emphasized that they had been posted on the A40 website under *Reference Documents* for Delegates' review and assimilation. Responding to a query by the Delegate of the Russian Federation, D/ATB clarified that the changes jointly proposed by the Russian Federation, China and India to the draft updated Assembly Resolution on CORSIA had likewise been posted under *Refence Documents*, as had the *Summary Listing of Reservations to Resolutions A39-2 and A39-3*.

125. The President of the Council clarified that the proposal was that no amendments be made by anyone to the two draft updated Assembly Resolutions on climate change and CORSIA and that the Executive Committee recommend that the Plenary adopt them in the form presented by the Council in WPs/58 and /59, respectively. Comments made regarding the two Assembly Resolutions would be reflected in the Executive Committee's Report, as would his proposed text on the issue of a long-term global aspirational goal for international aviation.

126. In welcoming the approach articulated by the President of the Council, the Observer from IATA acknowledged that any work to develop such a long-term goal required thorough work and analysis. He recalled that the aviation industry had set a long-term goal in 2009, namely, to halve net aviation CO₂ emissions by 2050 when compared with 2005 levels. The Observer from IATA emphasized that in setting that target ten years ago an extensive amount of analysis had been done on the full basket of measures to reduce CO₂ emissions that had been included in all of ICAO's policies over the last few years, including aircraft technologies, operational improvements and SAF. Consideration had then been given to how to fill the gap using a MBM. The Observer from IATA thus fully supported the President of the Council's proposed approach to a long-term global aspirational goal for international aviation, and was sure that his aviation industry colleagues did as well. He underscored that from the aviation industry's point of view there was an urgency in moving forward in the development by ICAO of such a long-term global aspirational goal.

127. Affirming that the President of the Council's proposal reflected well stakeholders' different interests, the Delegate of the Netherlands indicated that his State was comfortable with his approach to a long-term global aspirational goal, although it might not be so comfortable with the amount of work which it entailed. He emphasized that ICAO could learn from the experience gained by the aviation industry in establishing its long-term goal.

128. While agreeing that it would not be possible for him to read all of the jointly proposed changes to the draft updated Assembly Resolution on climate change due to time constraints, the Delegate of China asked that the Chairperson give all Delegates time to review them before the Executive Committee took a decision regarding that Assembly Resolution. He underscored that China could only agree to the President of the Council's proposal if the Executive Committee approved its Report on Agenda Item 16 without the said Assembly Resolution. Recalling that the President of the Council had wisely pointed out that the views of different States were to be afforded equal treatment and that the Delegate of Guatemala had previously proposed an amendment to Operative Paragraph 9 of the Assembly Resolution (EX/5), the Delegate of China suggested that the said jointly proposed changes also be considered. The Delegate of the Russian Federation supported this intervention.

129. The Chairperson observed from the discussion that the overwhelming majority of States were in agreement with the President of the Council's proposal that the draft updated Assembly Resolution on climate change be accepted in the form presented by the Council in WP/58. The President of the Council's proposed text for the Executive Committee's Report on the issue of a long-term global aspirational goal for international aviation would be circulated for review immediately following the present meeting in order to also obtain States' agreement thereto.

130. Underscoring that his State did not agree to the Executive Committee accepting the said Assembly Resolution without any amendments, the Delegate of China strongly requested that Delegates be given time to review the changes jointly proposed by the Russian Federation, China and India before the Executive Committee took a decision thereon.

131. Reiterating that the jointly proposed changes were posted on the A40 website under *Reference Documents*, the Chairperson indicated that it was anticipated that Delegates would review them and inform him if they were in support thereof. He would gauge the level of support and, if necessary, the Executive Committee could return to the matter.

Agenda Item 14: Facilitation Programmes

132. Under Agenda Item 14, the Executive Committee considered the ICAO Public Key Directory (PKD), the ICAO Traveller Identification Programme (TRIP) Strategy, Annex 9 – *Facilitation*, assistance to aircraft accident victims and their families, human trafficking in aviation, persons with disabilities/accessibility in aviation, and the Resolution to be adopted by the Assembly, which were documented in five main papers and one information paper presented by the Council (WPs/6, /8, /5, /60 and /61 and IP/7) and related papers presented by States and international organizations:

ICAO Public Key Directory (PKD)

133. The Secretary General introduced WP/6, which reported on developments pertaining to the ICAO PKD since the last Assembly and proposed priorities for its work programme and the expected outcomes thereof during the next triennium. The paper also outlined the current status of participation, and described some promotional efforts undertaken. Appendix C thereto contained a list of ICAO PKD participating States and entities, which included the 12 States which had become members since A39. The Secretary General highlighted that after the issuance of WP/6, three additional States, namely Bosnia and Herzegovina, Egypt, and Indonesia, had also joined the ICAO PKD, bringing the total number of PKD participants to 69. There nevertheless remained a significant gap between the number of ePassport-issuing States and the number of PKD participants, with approximately one in two ePassport-issuing States not yet being a PKD member. The paper underscored that it was essential that Member States issuing ePassports, as well as those implementing checks on ePassports at border controls, join the ICAO PKD in order to facilitate cross-border travel and enhance security in accordance with Annex 9 – *Facilitation*, Recommended Practices 3.9.1 and 3.9.2, respectively.

134. The Assembly was invited in WP/6 to:

- a) support the ICAO PKD operation and development priorities for the next triennium as indicated in paragraph 5.1 of the paper; and
- b) urge all ICAO Member States to join and actively use the ICAO PKD.

135. It was noted that the Council had also submitted information paper WP/7 [*Benefits of participation in the ICAO Public Key Directory (PKD)*].

ICAO Traveller Identification Programme (TRIP) Strategy

136. The Secretary General next presented WP/8 which described the progress made to date in the five elements of the TRIP Strategy, namely: Evidence of Identity; Machine Readable Travel Documents (MRTDs); Document Issuance and Control (DIC); Inspection Systems and Tools (IST); and Interoperable Applications (IA), including Advance Passenger Information (API) and Passenger Name Record (PNR). The paper included an update on: the coordination with the United Nations Security Council regarding a global strategy on counter-terrorism matters; the TRIP-related assistance activities undertaken by ICAO; and the steps taken to promote traveller identification management. A revised ICAO TRIP Strategy Implementation Roadmap for Member States was contained in Appendix B to the paper. The Assembly was invited to endorse the proposed priorities for the ICAO TRIP Strategy and expected outcomes for the 2020-2022 triennium, as presented in Appendix A to WP/8.

137. The Observer from IATA introduced WP/301 (*One ID and standardization of identity management solutions*) presented by IATA and ACI. The paper highlighted that during the IATA 75th Annual General Assembly (Seoul, Republic of Korea, 1-3 June 2019) a Resolution had been adopted

recognizing the importance for all stakeholders to continue to work together to achieve the One ID vision. A similar position had been expressed earlier during the Tenth Meeting of ICAO's Facilitation Panel (FALP) in September 2018. The paper emphasized that One ID was aimed at simplifying airport processes by replacing the manual verification of passengers' credentials with biometric processing at each touch point, and that the use of passengers' information in accordance with data privacy rules and regulations was at its core. It also underscored the important work of ICAO's New Technologies Working Group (NTWG) in developing the Digital Travel Credential (DTC) concept. That digital representation of the traveller's passport would fulfil one of the pillars of One ID, namely, the use of a trusted digital identity. The early authentication of that digital identity was expected to strengthen aviation facilitation and security and also border controls. Furthermore, One ID provided for technical innovation called for in the *Consolidated statement of continuing ICAO policies related to facilitation* (WP/61). The Observer from IATA indicated that it was encouraging to see that some States had engaged together with airports and airlines to try innovative identity management schemes to ensure the swift and orderly development of these solutions on a global scale.

138. The Assembly was invited in WP/301 to:

- a) request the Council to continue to develop a global policy and technical specifications for the Digital Travel Credential (DTC) concept through the ICAO NTWG;
- b) encourage States to support initiatives which contribute to the enhancement of global standards for securing the access and interchange of passenger digital identity information;
- c) encourage States to explore the benefits of biometric recognition to secure and facilitate the passenger process; and
- d) request the Council to further explore new and innovative ways to authenticate passengers' identity information for the benefit of all aviation stakeholders.

139. It was noted that the following information paper had also been submitted: WP/533 (*Bi-national cooperation on the World Economic Forum's Known Traveller Digital Identity*) presented by the Netherlands and Canada.

Annex 9 – Facilitation

140. The Secretary General then introduced WP/5, which reported on progress made since the last Assembly on ICAO's work with the World Health Organization (WHO) on developing guidance on preventing the spread of disease caused by mosquitos and other vectors through international aviation, as well as on the implementation of Assembly Resolution A39-28, which had directed the Council to engage with the WHO to develop: a) performance-based criteria to evaluate disinsection methods, both chemical and non-chemical; b) recommendations regarding non-chemical disinsection methods; and c) guidance on the components of a scientifically-based risk assessment model for Member States to determine which vector control measures to use in aviation. Assembly Resolution A39-28 had further urged Member States to require pest management control programmes around airports and related facilities; and to encourage airports to report to the ICAO Airport Vector Control Registry.

141. The Assembly was invited in WP/5 to:

- a) note the work undertaken since the 39th Session of the Assembly;
- b) acknowledge the cooperative efforts of ICAO and WHO in mitigating the risk of aviation-related spread of disease-bearing vectors and the spread of communicable disease by means of air navigation in general;

- c) adopt the proposed updated Assembly Resolution in the Appendix to the paper to supersede Assembly Resolution A39-28;
- d) urge Member States to become members of the Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation (CAPSCA) Programme;
- e) urge Member States to support ICAO and WHO in implementing relevant Assembly Resolutions by considering the recommendations included in ICAO, WHO and CAPSCA publications and guidance material.

142. The Secretary General next introduced WP/60, which reported on developments in Annex 9 – *Facilitation* since the last Assembly and the current priorities of the Facilitation (FAL) Programme’s work, as well as on its expected outcomes for the next triennium. Those priorities and outcomes fell under two categories. Under Category A “Working better with what we have”, it was proposed that the FAL Programme examine issues relating to non-compliance with the SARPs of Annex 9 – *Facilitation*. The priorities in the second Category B “Planning for the future” involved preparing responses to new and emerging issues and continuous engagement with advances in relevant technologies. The Assembly was invited to endorse the proposed priorities for the Annex 9-related FAL Programme and expected outcomes for the 2020-2022 triennium as set out in Appendix A to WP/60.

143. In presenting WP/399 (*Fostering facilitation innovation through effective regulatory policy*), the Observer from ACI noted that capacity was one of the airports’ most pressing challenges and underscored that innovation and airport facilitation would be key to help them do better with less, with solutions such as robotics, automation, and biometrics. Making change happen would depend on States and ICAO, however. She emphasized that many opportunities existed for national authorities to encourage innovation, including adopting automated and electronic border control processes for passengers and simplifying inspection points throughout their journey. Visionary leadership was also needed from ICAO, which should include exploring how to bring Annex 17 – *Security* and the security-related border management provisions of Annex 9 – *Facilitation* closer together.

144. The Assembly was invited in WP/399 to:

- a) request that the Council bring its border and aviation security activities closer together by moving the border security elements of Annex 9 – *Facilitation* into Annex 17 – *Security*, and thus ensure that the full range of security threats at airports are addressed in a holistic manner; and
- b) urge the Council to develop Annex 9 to focus on issues related to accessibility, simplified and automated passenger clearance systems, and interoperable identity management solutions.

145. It was noted that the following information papers had also been submitted: WP/462 (*Accommodating more passenger traffic through more efficient facilitation*) presented by Singapore and co-sponsored by the United Kingdom; /509 (*Concept of “minor” in Annex 9 – Facilitation of the Convention on International Civil Aviation*) presented by Chile and supported by all LACAC Member States; /530 [*Standards and principles on the collection, use, processing and protection of Passenger Name Record (PNR) data*] presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC; and /550 Revision No. 1 (*Passenger Name Record data in security and facilitation*) presented by the United States.

Assistance to aircraft accident victims and their families

146. The Delegate of Spain introduced WP/127 (*Assistance to aircraft accident victims and their families*) presented by Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL. The paper underscored that significant progress had been made in the last three years, with ICAO having focussed its attention on assistance to aircraft accident victims and having promoted numerous actions so that victims' associations could be heard in international fora and their concerns taken into account in the development of guidance material and international regulations. However, it was necessary to make much more progress. It was recalled that in June 2015 the Council had adopted Amendment 25 to Annex 9 – *Facilitation* containing new Recommended Practice 8.46, which provided that Member States should establish legislation, regulations, and/or policies in support of assistance to aircraft accident victims and their families. The paper proposed that Recommended Practice 8.46 be upgraded to a Standard to reflect the importance which ICAO attached to this subject and to encourage those Member States which still had not yet done so to implement appropriate assistance plans and to communicate them to ICAO. Such assistance plans should include adequate and specialized psychosocial training for aircraft and airport operators and all those involved in the provision of assistance to aircraft accident victims and their families. The paper further proposed that a new Annex 9 Recommended Practice be introduced for aircraft and airport operators so that they develop appropriate plans to provide timely and effective assistance to aircraft accident victims and their families. Such plans should be approved by the States concerned and should include drills to prove the effectiveness of the coordination measures.

147. In concluding, the Delegate of Spain emphasized that international civil aviation was much more than flying and that all had obligations as passengers and as aviation professionals. He affirmed that the actions proposed in WP/127 would help alleviate the pain and suffering of aircraft accident victims and their families. The Delegate of Spain then thanked the Air Crash Victims' Families' Federation International (ACVFFI) for the extraordinary work which it had done and continued to do in this field.

148. The Assembly was invited in WP/127 to:

- a) remind States of Assembly Resolution A39-27 and urge them to take the appropriate measures to implement, as soon as possible, ICAO Annex 9 – *Facilitation* provisions on assistance to aircraft accident victims and the *ICAO Policy on Assistance to Aircraft Accident Victims and their Families* (Doc 9998), as well as to give due consideration to the *Manual on Assistance to Aircraft Accident Victims and their Families* (Doc 9973);
- b) urge States, when adopting such measures, to include adequate and specialized psychosocial training for aircraft and airport operators, and all those involved in the provision of assistance to aircraft accident victims and their families;
- c) request the Council to consider upgrading Annex 9 Recommended Practice 8.46 for the establishment of legislation, regulations, and/or policies by States to provide assistance to aircraft accident victims and their families to an international Standard, so as to encourage global implementation; and
- d) request the Council to consider introducing a new Annex 9 Recommended Practice so that aircraft and airport operators develop appropriate plans to provide timely and effective assistance to aircraft accident victims and their families.

149. It was recalled that during the Executive Committee's Fourth Meeting (EX/4) on 28 September 2019 the Chairperson had agreed to a special request from the Observer of ACVFFI to introduce WP/297 (*Assistance to air accident victims and their families*) as it had been necessary for her to

depart prior to consideration of Agenda Item 14 (cf. A40-Min. EX/4, paragraphs 180-184). The intervention by the Observer from ACVFFI had been noted and was to be taken into account during the Executive Committee's current deliberations.

Human trafficking in aviation

150. The Delegate of the United States presented WP/305 [Revision No. 1– Chinese only] (*The critical need to combat human trafficking in aviation*), which noted that human trafficking was a multi-billion dollar enterprise affecting 24.9 million men, women, and children globally and underscored that it was critically important that ICAO was addressing aviation's role in human trafficking, in particular, the role aviation personnel – whether flight attendants, pilots or other public-facing staff – could play in combating it by reporting potential instances of human trafficking to law enforcement. The paper highlighted, in this regard: the publication in May 2018 of the joint ICAO and United Nations Human Rights Office of the High Commissioner Circular 352 (*Guidelines for Training Cabin Crew on Identifying and Responding to Trafficking in Persons*); and proposed Annex 9 Recommended Practice 8.47 encouraging States to establish procedures to combat trafficking in persons, including clear reporting systems and relevant competent authorities' points of contact for airport and aircraft operators to ensure proper law enforcement follow-up and proposed Recommended Practice 8.48 encouraging States to ensure that airport and aircraft operators' personnel in direct contact with the travelling public are provided with awareness training on trafficking in persons.

151. As the 20th Anniversary of the adoption of the *Protocol to Prevent, Suppress and Punish Trafficking in Persons, especially Women and Children* (Palermo Protocol) approached, the United States urged the Assembly to adopt the proposed draft Resolution contained in Appendix A to WP/305, which: urged States to give attention to adopting and promptly implementing the new Annex 9 Recommended Practices 8.47 and 8.48 (once formally adopted by the Council); called on States to give due regard to Circular 352 in their implementation of the relevant provisions of Annex 9; and requested that the Council ensure that relevant guidance material related to the issue of human trafficking was current and responsive to States' needs.

152. In introducing WP/134 (*The role of aviation in preventing trafficking in persons and the need for multi-stakeholder collaboration in reporting suspected cases*) presented by ACI and IATA, the Observer from ACI highlighted that in the next 24 hours, 12 million passengers would fly safely on over 120 000 flights between 20 000 city pairs. He underscored that while that global connectivity delivered huge social and economic benefits, the services that ACI and IATA provided could unfortunately also be misused by those who wanted to deny the freedom of others and exploit them through the crime of human trafficking i.e. trafficking in persons. The Observer from ACI emphasized, however, that when trained in the behavioural science of potential trafficking situations, aviation personnel could be an additional set of eyes and ears to provide valuable information to law enforcement, who could determine how to respond. WP/134 outlined how ACI and IATA were taking proactive measures to mobilize airports and airlines in the fight against human trafficking and to support governments and law enforcement, including the provision of human trafficking behavioural awareness and response training. The paper highlighted that human trafficking behavioural awareness would only be effective if the information was reported in a timely fashion to law enforcement agencies so they could determine how to respond. Practically that meant that operators and airports needed clear, simple, and discreet reporting procedures and points of contact with relevant competent authorities. The Assembly was invited in WP/134 to: ensure effectiveness of human trafficking awareness training for airport-based staff and cabin crew as envisaged in Circular 352; and urge States to implement Recommended Practice 8.47 of Annex 9 – *Facilitation* at the earliest opportunity.

Persons with disabilities/Accessibility in aviation

153. The Delegate of the Dominican Republic presented WP/389 (*Progress made by the Dominican Republic in the area of air transport facilitation*), which reported on the progress made by his State in the implementation of the continuing ICAO policies in the area of air transport facilitation and the provisions related to facilitation in matters such as accessibility to, and the universal design of, air terminals. The paper highlighted the many benefits to be gained by all users of the aviation system without distinction, such as improved access to air travel and minimization of confusion and frustration for persons with disabilities, reduced compliance costs and difficulties for operators, and simplification of the development and implementation of accessibility standards by States. The Assembly was invited in WP/389 to urge ICAO to take into account the recommendations contained in the *Manual on Access to Air Transport by Persons with Disabilities* (Doc 9984) and in Chapter 8, Section H. *Facilitation of the Transport of Persons with Disabilities* of Annex 9 – *Facilitation* and to convert them into Standards.

154. The Delegate of the Dominican Republic also presented WP/471 (*Implementation of accessibility and universal design measures*), which reported on several initiatives undertaken by his State relating to accessibility and universal design of its airports as part of its commitment to implementing Assembly Resolution A39-20 and to complying with Doc 9984. The Dominican Republic's experience would enable others to assess the usefulness of the concrete air transport facilitation measures it had taken for the population affected by impairments, disabilities or mobility issues, which represented an increasingly large group of people at the global level.

155. The Assembly was invited in WP/471 to:

- a) urge ICAO to conduct studies and compile background information to be used by States for analyzing the usefulness of updating Doc 9984, which dated back to 2013; and
- b) urge ICAO to incorporate a portion of the contents of Doc 9984 into Annex 9 – *Facilitation* as Standards or Recommended Practices.

156. The Delegate of Brazil introduced WP/322 (*Access to air transport by persons with disabilities – Promoting the implementation of Doc 9984*) on behalf of a group of LACAC Member States [Argentina, Belize, Bolivia (Plurinational State of), Colombia, Costa Rica, El Salvador, Guatemala, Honduras, Nicaragua, Paraguay, Peru and Venezuela (Bolivarian Republic of)]. The paper underscored that pursuant to Annex 9 Recommended Practice 8.23, ICAO Member States should cooperate with a view to taking necessary measures to make accessible for passengers with disabilities or reduced mobility (PDRM) all the elements of the chain of the journey, from the arrival at the airport of departure to leaving the airport of destination. It affirmed that it was a matter of human rights to transport people with disabilities with dignity and that it should be a priority for the aviation sector. The paper highlighted that the Paralympic Games hosted by Brazil in Rio de Janeiro in 2016 had posed a major challenge for promoting accessibility throughout Brazilian airports and that in order to address that challenge, Brazil had developed the Standard Procedures Manual for PDRM's Assistance (SPM-PDRM), which reflected the practical use of procedures based on ICAO's *Manual on Assistance to Aircraft Accident Victims and their Families* (Doc 9984). Brazil wished to share its SPM-PDRM with all ICAO Member States, and encouraged other States to voluntarily share their PDRM assistance procedures in order to promote deeper discussions regarding the application in practice of Doc 9984 within the FALP.

157. The Assembly was invited in WP/322 to:

- a) note the information provided by Brazil regarding its experience in implementing accessibility measures for PDRM, based on Doc 9984;
- b) encourage ICAO Member States to voluntarily submit to FALP their procedures related to PDRM accessibility and to make them available publicly; and
- c) request the Council, with the support of the Air Transport Committee (ATC) and of the FALP, to promote the exchange of experiences and best practices for the application of Doc 9984

158. The Delegate of Canada presented WP/284 (*Advancement of accessibility in aviation*) on behalf of Australia, Canada, ACI and IATA. The paper emphasized that barrier-free air services played an important role in allowing persons with disabilities to live with independence and dignity. What remained to be done was to further reduce the barriers to such travel, which continued to exist despite the ongoing efforts of – and many significant improvements made by – various ICAO Member States and their aviation industries. Subject matter experts from various Member States, along with international partners, had been working together through an ICAO FALP Working Group to develop a compendium of information that highlighted the efforts of Member States and the industry to address accessibility in aviation, collect relevant data, and identify gaps so as to identify areas where additional guidance may prove useful. On behalf of the paper's co-presenters, the Delegate of Canada thanked all those Member States and their aviation industries which had contributed to that Working Group and hoped for their continued support in that important initiative.

159. The Assembly was invited in WP/284 to:

- a) recognize the importance of increasing awareness and continuing to collaborate to advance accessibility in aviation; and
- b) encourage Member States to provide information to ICAO to support the development of a compendium of regulation, statutes and policies relating to accessibility in aviation.

160. The Observer from IATA then presented WP/346 (*Accessibility for passengers with disabilities in aviation*), in which IATA underscored that accessible travel for all could only be possible if barriers were properly identified and a consistent global approach for their elimination was fostered so that no country and no one was left behind. The paper highlighted that IATA airline members had demonstrated their commitment to disability-inclusive travel through the adoption of a Resolution at IATA's 75th Annual General Meeting (Seoul, Republic of Korea, 1-3 June 2019) which was founded on a set of guiding principles that promoted a collaborative approach between States, regulators, and the aviation industry. The *IATA Core Principles on Passengers with Disabilities* were set forth in Appendix A to WP/346. The paper underscored that such a collaborative approach would entail tangible benefits for States, the aviation industry, and most importantly, passengers with disabilities. More specifically, it would: a) facilitate safe and dignified air travel for all; b) drive the development and consistent use of a set of practical processes across the air transport sector; and c) provide a foundation for sustainable and transformative change on disability-inclusion in aviation.

161. The Assembly was invited in WP/346 to:

- a) recognize that a harmonized approach to the work on accessibility in aviation is a contributor to the achievement of the UN Sustainable Development Goals (SDGs);

- b) recommend that ICAO develop a work programme on accessibility for passengers with disabilities in aviation that includes a review of relevant SARPs and policy manuals with due consideration to the IATA core principles outlined in Appendix A to the paper; and
- c) invite Member States, where appropriate, to consider the *IATA Core Principles on Passengers with Disabilities* when developing and implementing regulations in this area.

162. It was noted that the following information paper had also been submitted: WP/524 (*Air transport for persons with disabilities by Chinese civil aviation*) presented by China.

Resolution to be adopted by the Assembly

163. The Secretary General introduced WP/61, in which the Council proposed revisions to Assembly Resolution A39-20: *Consolidated statement of continuing ICAO policies related to facilitation*. The updated Consolidated statement reflected matters of continuing importance, as well as recent developments and the future focus of ICAO's work in the field of facilitation, including: the development and implementation of facilitation provisions, key elements of the ICAO TRIP Strategy (WP/8), and national and international action and cooperation on facilitation matters. The Assembly was invited to adopt the proposed updated Consolidated statement presented in the Appendix to WP/61.

Discussion

164. The Delegate of New Zealand underscored that while her State was supportive of most of the ICAO TRIP Strategy outlined in WP/8, it was concerned that the cost and infrastructure involved in implementing ePassport Standards might not be economically viable for some small States with low numbers of passports and might only provide limited benefit to them. New Zealand considered that it might be preferable for those smaller States to use that money to invest in the integrity of the issuing systems as those improvements were more likely to drive border visa waiver access to these citizens. New Zealand suggested that the Air Transport Committee (ATC) consider affordability issues for small States in the development of its roadmap on ePassport Standards.

165. The Delegate of South Africa indicated that her State supported WP/346 (IATA), WP/284 (Canada on behalf of Australia, Canada, ACI and IATA), WP/322 (Brazil on behalf of a group of LACAC Member States), WP/471 (Dominican Republic), and information paper WP/524 (China) on the issue of persons with disabilities as Chapter 2 of its constitution forbade discrimination, directly or indirectly, against and amongst others. South Africa thus urged the Assembly to instruct the Council and Member States to ensure that the matters of accessibility in aviation and aviation facility were taken seriously. To that end, South Africa urged the Assembly to ensure that the recommendations contained in the said papers were actioned by the Council, the Secretariat, and the FALP, as may be applicable. In addition, South Africa thanked the States concerned for having shared their best practices in the papers so that others could learn from, and emulate, their examples. South Africa was also in the process of reviewing its regulations in this area to ensure that people living with disabilities were not discriminated against, directly or indirectly, and echoed the call made in the said papers for other States to share their best practices in that area with the FALP.

166. The Delegate of Austria expressed support for WPs/60 and /61 (Council), particularly with regard to the RPAS issue. With respect to WP/61, she suggested that Appendix D (*Passenger Data Exchange Systems*) of the proposed updated *Consolidated statement of continuing ICAO policies related to facilitation* be amended to include a reference to Operative Paragraph 15 c) of UN Security Council

Resolution 2482 (2019) which highlighted the use of PNR data not only to fight terrorism but also to counter organized crime.

167. The Delegate of Belgium shared this position. With regard to the work in progress on PNR outlined in WP/60, she highlighted information paper WP/530 (Finland on behalf of the EU and its Member States and the other Member States of ECAC) which presented core principles for the collection, use, processing, and protection of PNR data.

168. The Delegate of Portugal welcomed and endorsed WPs/8 and /5 (Council), WP/134 (ACI and IATA), WP/305 (United States) and WP/471 (Dominican Republic). However, she disagreed with the proposal made by ACI in WP/399 to move the border security elements of Annex 9 – *Facilitation* into Annex 17 – *Security*.

169. In likewise disagreeing with ACI's proposal, the Delegate of Australia affirmed that it would not achieve the required multidisciplinary approach. He also had concerns regarding WP/127 (Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL) on assistance to aircraft accident victims and their families and did not support it. The Delegate of Australia emphasized that different States had different approaches to that issue and that the best way to achieve the establishment of legislation, regulations, and/or policies by States to provide such assistance was through existing Annex 9 Recommended Practice 8.46 and not a Standard as proposed in that paper.

170. The Delegate of Bangladesh welcomed the efforts being made to enhance accessibility in aviation as described in WP/284 (Canada on behalf of Australia, Canada, ACI and IATA), WP/322 (Brazil on behalf of a group of LACAC Member States) and WP/346 (IATA). In congratulating those States and organizations for having raised that most pertinent issue at the Assembly, he requested that ICAO recognize the need for, and in turn urge States to develop, unified regulations for persons with disabilities and special needs to ensure that their air travel would be easy, comfortable and dignified and that the air travel of the flight attendants providing assistance to such passengers would be anxiety-free.

171. The Delegate of the United Arab Emirates voiced support for WP/127 (Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL), in particular for the proposal for adequate and specialized psychosocial training for aircraft and airport operators, and all those involved in the provision of assistance to aircraft accident victims and their families. In highlighting that the United Arab Emirates had developed special policies and regulations relating to the provision of such assistance, he invited all Member States to benefit from its experience in that field.

172. Noting that the Executive Committee was extremely short of time, the Delegate of the United Kingdom commented only on WP/6 (Council). He emphasized that, as an ICAO PKD Board Member and active participant in the New Technologies Working Group (NTWG) of the Technical Advisory Group on TRIP (TAG/TRIP), the United Kingdom fully supported the ICAO PKD and its current objectives. In particular, the United Kingdom welcomed the new PKD Members and endorsed the actions proposed in the paper.

173. In expressing support for the Secretariat's work regarding the ICAO TRIP Strategy, the Delegate of Benin underscored that his State was actively engaged in the TRIP and had hosted an ICAO TRIP Regional Seminar in Cotonou from 12-14 February 2019. Noting that Benin, like other States, was having difficulties in ensuring that aviation was accessible for persons with disabilities, he stressed the need for the Assembly to address that issue.

174. The Delegate of Chile endorsed WP/127 (Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL) on assistance to aircraft accident victims and their families, as well as WP/60 (Council) on the proposed priorities for the Annex 9-related FAL Programme and expected outcomes for the 2020-2022 triennium, and WP/61 (Council) on the proposed updated *Consolidated statement of continuing ICAO policies related to facilitation*. With respect to WP/60, he highlighted that information paper WP/509 (*Concept of "minor" in Annex 9 – Facilitation of the Convention on International Civil Aviation*) presented by Chile and supported by all LACAC Member States called for the harmonization of the terminology used in Annex 9 to refer to children and adolescents with the terminology used in the 1989 UN *Convention on the Rights of the Child*.

175. The Delegate of Italy voiced support for all of the papers presented by the Council under Agenda Item 14 (WPs/6, /7, /8, /5, /60 and /61), as well as WP/471 (Dominican Republic) on persons with disabilities, WP/134 (ACI and IATA) on human trafficking in aviation and WP/127 (Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL) on assistance to aircraft accident victims and their families.

176. The Delegate of Nicaragua indicated that he supported all of the various papers presented, in particular, WP/127. In endorsing the comments made by the Delegate of New Zealand with regard to WP/8 on the ICAO TRIP Strategy, he reiterated that the cost and infrastructure involved in implementing ePassport Standards might not be economically viable for some small States with low numbers of passports.

177. Applauding ICAO's work over the past triennium in the field of facilitation, including the work relating to the ICAO PKD, the Delegate of China expressed support for all of the papers presented by the Council (WPs/6, /7, /8, /5, /60 and /61). He highlighted information paper WP/524, in which China elaborated on its experience regarding air transport for persons with disabilities, and expressed support for WP/322 (Brazil on behalf of a group of LACAC Member States), WPs/389 and /471 (Dominican Republic) and WP/284 (Canada on behalf of Australia, Canada, ACI and IATA) relating to accessibility in aviation for such persons. The Delegate of China also endorsed the statement made by the Delegate of South Africa on that issue.

178. The Delegate of Greece indicated that as her State was particularly interested in combatting human trafficking, including in aviation, it supported WP/134 (ACI and IATA) and WP/305 (United States). Greece was of the view that a global coordinated effort at the level of frontline professionals in the public and private sectors, e.g. competent authorities, air carriers, airport operators and ground handlers, was of critical importance in that fight. Greece considered that their awareness of the issue of human trafficking could hinder and contain that modern slavery which involved groups of vulnerable persons, including unaccompanied minors.

179. The Delegate of Nigeria endorsed all of the papers presented by the Council (WPs/6, /7, /8, /5, /60 and /61), in particular WP/61 proposing an updated *Consolidated statement of continuing ICAO policies related to facilitation*. She also voiced support for WP/134 (ACI and IATA) on human trafficking in aviation and WP/301 (IATA) on the ICAO TRIP Strategy.

180. The Delegate of Brazil indicated that his State fully supported WP/127 (Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL) and WP/297 (ACVFFI) on assistance to aircraft accident victims and their families, an issue of great importance for aviation. As it considered that the FALP was not the appropriate panel to discuss that issue, and that none of the other existing ICAO panels was suitable, Brazil urged the Council to consider establishing a proper permanent forum for an effective discussion of family assistance in the case of aircraft accidents. The Delegate of Brazil noted that his State also endorsed: all of the papers presented by the Council (WPs/6,

/7, /8, /5, /60 and /61); WP/284 (Canada on behalf of Australia, Canada, ACI and IATA), information paper WP/524 (China) and WP/346 (IATA) on persons with disabilities/accessibility in aviation; WP/301 (IATA and ACI) on the ICAO TRIP Strategy; and WP/305 (United States) and WP/134 (ACI and IATA) on human trafficking in aviation.

181. The Delegate of the Netherlands echoed the comments made by the Delegate of Portugal with regard to the proposal made by ACI in WP/399 to move the border security elements of Annex 9 – *Facilitation* into Annex 17 – *Security*. Referring to WP/127 (Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL) on assistance to aircraft accident victims and their families, he recalled that the Netherlands had first-hand experience with the aftermath of some major aircraft accidents. Based on its experience, the Netherlands considered that it was essential that all ICAO Member States: be adequately equipped to deal with the consequences of an aircraft accident; and able to ensure the provision of assistance to the victims and their families no matter where in the world the accident occurred and which nationalities were on board the aircraft. As the Netherlands deemed it highly desirable to achieve worldwide implementation of plans for the assistance of aircraft accident victims and their families and progress towards the harmonization of those practices, it fully supported the actions proposed in WP/127.

182. In expressing support for WP/301 (IATA and ACI) on One ID, the Delegate of France emphasized the need to have robust protection of PNR data, an issue which was addressed in information paper WP/530 [*Standards and principles on the collection, use, processing and protection of Passenger Name Record (PNR) data*] presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC. He also voiced support for WP/305 (United States) and WP/134 (ACI and IATA) on human trafficking in aviation, as well as for WP/284 (Canada on behalf of Australia, Canada, ACI and IATA), WP/471 (Dominican Republic) and WP/322 (Brazil on behalf of a group of LACAC Member States) on persons with disabilities/accessibility in aviation.

183. The Delegate of the Republic of Korea likewise endorsed WP/322. In also voicing support for WP/301, he highlighted that the One ID concept pilot programme would be implemented in the Republic of Korea in 2021 to expedite passenger flow and to strengthen border security. The Delegate of the Republic of Korea emphasized that his State was willing to share its experience with One ID with any other States interested in its implementation.

184. In expressing support for WP/127 (Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL), the Delegate of Singapore indicated that his State considered that States should have plans and procedures to provide effective assistance to aircraft accident victims and their families and exercise those procedures on a regular basis. He also voiced support for: WP/305 (United States) and WP/134 (ACI and IATA) on the training of airport staff and crew regarding combatting human trafficking; all of the papers relating to persons with disabilities/accessibility in aviation (WPs/389, /471, /322, /284, /346 and /524); all of the papers presented by the Council (WPs/6, /7, /8, /5, /60 and /61). In addition, the Delegate of Singapore endorsed the views expressed by the Delegate of Portugal regarding the proposal made by ACI in WP/399 to move the border security elements of Annex 9 – *Facilitation* into Annex 17 – *Security*.

185. The Delegate of Colombia expressed support for all of the papers presented under Agenda Item 14, in particular those relating to assistance to aircraft accident victims and their families (WPs/127 and /297), human trafficking in aviation (WPs/305 and /134), and persons with disabilities/accessibility in aviation (WP/322, /284, /346, /524 and especially WPs/389 and WP/471 presented by the Dominican Republic).

186. The Delegate of Argentina likewise endorsed the said papers on assistance to aircraft accident victims and their families, human trafficking in aviation, and persons with disabilities/accessibility in aviation.

187. The Delegate of the United States indicated that his State supported WP/6 (Council) on the ICAO PKD. The United States also supported WP/8 (Council) on the ICAO TRIP Strategy, subject to a technical correction to Appendix B (*Revised ICAO TRIP Strategy Implementation Roadmap for Member States*) which would be submitted by e-mail to the Secretariat, and related WP/301 (IATA and ACI). In noting that it also supported WP/5 (Council) on aircraft disinsection and vector control measures, the Delegate of the United States drew attention to information paper WP/550 Revision No. 1 (*Passenger Name Record data in security and facilitation*) presented by his State. He highlighted that the United States objected to WP/399, in which ACI proposed, inter alia, to move the border security elements of Annex 9 – *Facilitation* into Annex 17 – *Security*.

188. The Delegate of the United States underscored that his State supported WP/127 (Finland on behalf of the EU and its Member States, the other Member States of ECAC and EUROCONTROL) and WP/297 (ACVFFI) on assistance to aircraft accident victims and their families with one caveat: not to single out psychosocial training but rather to provide comprehensive training for aircraft and airport operators, and all those involved in assisting aircraft accident victims and their families. With regard to the issue of persons with disabilities/accessibility in aviation, the United States supported WP/284 (Canada on behalf of Australia, Canada, ACI and IATA) and WP/322 (Brazil on behalf of a group of LACAC Member States) but not WP/389 or WP/471 (Dominican Republic) as it considered that it was inappropriate to implement Standards or Recommended Practices to address that issue. With respect to Appendix A (*Priorities and Outcomes 2020-2022*), Category B, Item 2, of WP/60 (Council), the United States expressed a reservation regarding the possible inclusion of SARPs in Annex 9 vis-à-vis FAL-related aspects of RPAS (drones).

189. As time constraints prevented other Delegates from expressing their views on the various papers presented under Agenda Item 14, D/ATB suggested, and the Executive Committee agreed, that any additional comments and inputs be e-mailed to the Secretariat at fal@icao.int by noon on Monday, 30 September 2019, at the latest. The Secretariat would review them and take them into account in preparing the Executive Committee's draft Report to the Plenary on this Agenda Item.

190. The meeting adjourned at 1710 hours.

Minutes of the Seventh Meeting
(Monday, 30 September 2019 at 0900 hours)

SUBJECTS DISCUSSED

1. Agenda Item 25: ICAO Civil Aviation Training and Capacity Building

Training and capacity building

- ICAO Civil Aviation Training and Capacity Building
- Paper presented by the Corporación Centroamericana de Servicios de Navegación Aérea (COCESNA) Member States
- Paper presented by Ethiopia
- Paper presented by the African Civil Aviation Commission (AFCAC)
- Paper presented by Cameroon
- Paper presented by Kenya

Training competencies and development

- Paper presented by the United Arab Emirates
- Paper presented by the Dominican Republic
- Paper presented by Cameroon

Issues related to air navigation and air transport

- Paper presented by Finland on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC) and by the European Organisation for the Safety of Air Navigation (EUROCONTROL)
- Paper presented by the United Arab Emirates
- Paper presented by Singapore and co-sponsored by Fiji, the Marshall Islands, Nauru, Nigeria, North Macedonia, Palau and the United Kingdom
- Paper presented by Canada
- Papers presented by the Dominican Republic
- Information paper presented by the Hermes Air Transport Organisation
- Information paper presented by China

- Information paper presented by Bangladesh
- Information paper presented by Rwanda

2. Agenda Item 19: Increasing the efficiency and effectiveness of ICAO

Improving working methods at ICAO

- *Increasing the efficiency and effectiveness of ICAO*
- *Oral report on the examination of the current structure of the ICAO Secretariat*
- Paper presented by the United States

SUMMARY OF DISCUSSIONS

Agenda Item 25: ICAO Civil Aviation Training and Capacity Building

1. Under Agenda Item 25, the Executive Committee considered training and capacity building, training competencies development and issues related to air navigation and air transport on the basis of one main paper presented by the Council, WP/64 (*ICAO Civil Aviation Training and Capacity Building*), and related papers presented by States and international organizations.

Training and capacity building

2. The Chief, Global Aviation Training Office (C/GAT) introduced WP/64, which provided a summary of the training activities and achievements of the GAT Office since the 39th Session of Assembly (A39), including information on the implementation of the *ICAO Civil Aviation Training Policy*, the activities of the TRAINAIR PLUS Programme (TPP) and the Aviation Security Training Centres (ASTCs) Network, as well as professional training and higher education activities contributing to the Next Generation of Aviation Professionals (NGAP) Programme. The paper also outlined the priorities for the next triennium (2020-2022), underscoring that ICAO would enhance its collaboration with training organizations and industry partners to ensure that ICAO training continued to be high quality, user-friendly, accessible and cost-effective. The paper highlighted that: a new cost structure would be introduced in order to apply a differentiation of course fees for trainees originating from civil aviation regulatory bodies versus those originating from non-regulatory bodies; additional online and blended training courses would be developed in various aviation disciplines; and innovative training tools and methodologies would be undertaken to optimize aviation training solutions.

3. The Assembly was invited in WP/64 to:

- a) encourage Member States to support ICAO in the pursuit of new training partnerships across all regions;
- b) endorse the development of alternative training modalities to facilitate access, such as distance learning, and promote these new modalities to their civil aviation stakeholders;
- c) recommend Member States to benefit from the ICAO TRAINAIR PLUS Programme (TPP) and support the expansion of the network of Members in order to develop, share and deliver training programmes to enhance the qualifications of aviation professionals; and
- d) encourage the Council to actively engage in promoting ICAO training activities to Member States in order to increase outreach across all regions.

4. On behalf of COCESNA Member States, the Delegate of Nicaragua introduced WP/67 (*Management model of aeronautical training in Central America*). The paper highlighted that the management model on the aeronautical training in Central America had been first developed to meet the training and instruction needs in the field of air navigation and had subsequently been extended to the field of operational safety, as well as to the training of specialists from institutions and related entities such as airlines, airport operators and maintenance organizations. The paper noted that COCESNA's Central American Institute for Specialized Aeronautical Training (ICCAE) served as a regional platform for training, technical assistance and technological services, which was in line with ICAO's NGAP Programme and its *Civil Aviation Training Policy*, the TPP, the trends and projections of civil aviation by 2030, as well as the national regulations.

5. The Assembly was invited in WP/67 to:

- a) take into consideration the contents of the paper;
- b) assess the extrapolation of the Central American training management system to other ICAO regions;
- c) promote the cooperation initiative and/or strategic alliances for the institutional strengthening of civil aviation training centres; and
- d) encourage the implementation of training management intelligence systems at a regional and global level.

6. The Delegate of Ethiopia presented WP/163 (*Training and capacity building challenges in civil aviation*), which provided an overview of the lack of skilled manpower in civil aviation due to insufficient training and capacity building, mainly as a result of inadequate training centres, trained manpower, financial and material resources, which caused some Member States not to comply with ICAO Standards and Recommended Practices (SARPs). The paper further suggested possible solutions to enhance the implementation of training and capacity building strategies, which were considered as key for the improvement of States' safety oversight performance.

7. The Assembly was invited in WP/163 to:

- a) note the information contained in the paper;
- b) request the Secretary General to approach and coordinate all voluntary-funding States and international organizations in support of training and capacity building;
- c) encourage GAT to conduct assessments of the Aviation Training Centres in Member States and enhance their capacity in all aspects;
- d) encourage GAT to support the implementation of the *ICAO Aviation Training and Capacity Building Roadmap for States – A Practical Guide*, initiated in 2017;
- e) encourage Member States to establish and strengthen their own Aviation Training Centre to meet the growing capacity demand of the industry; and
- f) encourage Member States to allocate sufficient resources to resolve the identified deficiencies, particularly with respect to Critical Element 4 (CE-4) (qualified technical personnel) of a State's safety oversight system (cf. Annex 19 – *Safety Management*, Appendix 1).

8. On behalf of the 54 AFCAC Member States, the Delegate of Sudan introduced WP/164 (*Harmonization of training in Africa: the Aviation Training Roadmap*), which highlighted key activities relating to the development and review of the African Aviation Training Roadmap. The paper recalled that, taking into consideration the critical skills shortages that Africa faced in key areas of civil aviation to plan, coordinate, manage, operate and oversee a wide range of complex aviation operations, the Steering Committee of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) had, in October 2014, recommended that the African Aviation Training Organization (AATO), in collaboration with GAT and Morocco, carry out a training needs analysis and produce a draft training needs roadmap. The results of AATO's two training needs surveys conducted in 2014 and 2015 had been used to develop a final African Aviation Training Roadmap, which had subsequently been endorsed by the Twenty-Second Meeting of the AFI Plan Steering Committee held in Kampala, Uganda on 15 May 2019. The paper emphasized that the said Roadmap provided viable steps necessary to address the skills gap in Africa.

9. The Assembly was invited in WP/164 to:

- a) note the challenges related to human capital development and training in Africa;
- b) encourage stakeholders such as civil aviation authorities, aviation training institutions, industry partners, etc. to continue submitting training-related information to AATO for the continuous improvement of the African Aviation Training Roadmap; and

- c) urge Member States to provide technical and financial support to the projects, programmes and Roadmap-related activities.

10. In presenting WP/414 (*Support for States in the preparation of roadmaps for capacity building in aviation*), the Delegate of Cameroon noted that it was a follow-up to A39-WP/349 Revision No. 1 presented by his State at the last Assembly in 2016, in which it had, inter alia, requested the Council to ensure that ICAO assisted Member States in implementing a roadmap for capacity development in aviation. While in WP/414 Cameroon welcomed the publication on the ICAO website of the *Aviation Training and Capacity Building Roadmap for States: A Practical Guide* (2017), it underscored that it should be officially disseminated in order to be of real use to Member States.

11. The Assembly was invited in WP/414 to:

- a) take note of the information contained in the paper;
- b) request ICAO to organize workshops, in coordination with the Regional Offices, to disseminate the *Aviation Training and Capacity Building Roadmap for States: A Practical Guide* (2017); and
- c) invite ICAO and Member States with expertise in this area to provide assistance to Member States that are experiencing difficulties in developing and implementing a roadmap for capacity building in aviation.

12. The Delegate of Kenya introduced WP/237 Revision No. 1 (*Aviation training and capacity building strategies*), which elaborated on her State's experience and progress in developing qualified and competent aviation personnel. The paper highlighted Kenya's implementation of a training and capacity building roadmap in aviation in July 2017, which included a programme to cultivate the next generation of aviation professionals.

13. The Assembly was invited in WP/237 Revision No. 1 to:

- a) note the information provided in the paper;
- b) encourage Member States to implement aviation training and capacity building roadmaps;
- c) support and encourage Member States to join the ICAO TPP;
- d) encourage Member States to build partnerships on capacity building-related matters and foster exchange and cooperation in learning and development at the regional and global levels; and
- e) adopt the proposed new Assembly Resolution *Implementing Aviation Training and Capacity Building Strategies* as presented in the Appendix to the paper.

Discussion

14. The Delegates of Cabo Verde, Nicaragua, Turkey, Saudi Arabia, Mozambique, South Africa, Egypt, Cuba and South Sudan endorsed all six papers which had been presented. In so doing, the Delegate of Cabo Verde recognized the efforts undertaken by ICAO to promote its various training and capacity building programmes and encouraged the Organization to continue to demonstrate leadership in that area and to involve the Regional Offices to ensure the effectiveness of those programmes. The Delegate of Nicaragua emphasized that it was of critical importance to provide aviation personnel within States' civil aviation authorities with the requisite training so that they could ensure the safety of international civil aviation and thus enable its continued development. The Delegate of Turkey underscored that his State attached utmost importance to aviation training and capacity building activities and was doing its best in

that regard. The Delegate of Mozambique emphasized that the provision of aviation training and capacity building was the only way to ensure that no country would be left behind, in line with ICAO's *No Country Left Behind* (NCLB) initiative. The Delegate of South Africa affirmed that aviation training and capacity building was crucial for the effective implementation of ICAO SARPs. The Delegate of Cuba indicated that her State also recognized the extreme importance of aviation training and capacity building and congratulated ICAO on the results achieved through its many activities during the current triennium as described in WP/64. The Delegate of South Sudan highlighted that the actions proposed in WP/237 Revision No. 1 (Kenya) would enhance the provision to States of much-needed aviation training and capacity building, in accordance with ICAO's NCLB initiative.

15. In voicing support for WPs/64 (Council) and /237 Revision No. 1, the Delegate of Singapore commended ICAO and Kenya's efforts to support and encourage capacity building in Member States. Noting that the TPP had various processes and systems in place to promote capacity building-related matters and foster exchanges and cooperation in learning and development, both at the regional and global levels, he encouraged Member States to leverage the TPP accordingly.

16. The Delegate of the United Arab Emirates noted that his State supported WPs/164 (AFCAC) and /414 (Cameroon) and wished to support African States within the TPP framework, in line with ICAO's NCLB initiative.

17. The Delegate of Eritrea endorsed WPs/163 (Ethiopia), /164 (AFCAC), /414 (Cameroon) and /237 Revision No. 1 (Kenya), fully aware of the fact that the critical shortage of skilled manpower in developing countries necessitated intensive aviation training and capacity building in order to enhance, maintain and sustain the safety and security of international civil aviation and to effectively and efficiently implement ICAO's related strategies.

18. The Delegates of Nigeria and Senegal also expressed support for the said four papers, as well as for WP/64 (Council).

19. The Delegate of Brazil voiced support for WPs/64 (Council), /163 (Ethiopia) and /414 (Cameroon). He also informed about his State's current collaborative project with Uruguay, Paraguay, Argentina and Bolivia (Plurinational State of) and stressed the importance of ICAO's support of that project.

20. Drawing attention to WP/237 Revision No. 1 (Kenya), the Delegate of the United States commended the proposal to encourage Member States to build partnerships on capacity building-related matters and fostering exchange and cooperation in learning and development at the regional and global levels. Referring to Operative Clause 5 of the proposed new Assembly Resolution appended to the paper ("*Instructs* the Council to establish a monitoring and an evaluation mechanism addressing quality, efficiency and effectiveness of the ICAO GAT activities, and to report to Member States accordingly."), she maintained that the activities should be limited to the oversight already performed by ICAO for TRAINAIR PLUS Members, to which the States agreed when they became Members of that Programme.

21. With regard to WP/163 (Ethiopia), the Delegate of the United States agreed with the principle that more attention needed to be given to aviation training and capacity building. However, she cautioned against mandating GAT to conduct assessments of the Aviation Training Centres in Member States as proposed in action paragraph c). In expressing support for the actions proposed in WP/164 (AFCAC), the Delegate of the United States urged Member States to provide technical support to Aviation Training Roadmap-related projects and programmes.

22. The Delegate of Indonesia voiced full support for WP/64 (Council), as well as for WP/414 (Cameroon).
23. Endorsing WPs/64 (Council) and /164 (AFCAC), the Delegate of the Republic of Korea affirmed her State's commitment to continuously contribute to NGAP in the areas of safety, air navigation capacity and efficiency, security and facilitation and environmental protection in line with ICAO's SARPs and policies, especially its NCLB initiative.
24. In voicing support for WPs/64 (Council), /164 (AFCAC), /414 (Cameroon), /237 Revision No. 1 (Kenya) and /67 (COCESNA), the Delegate of Ecuador underscored that his State was very satisfied with the results achieved through the ICAO training activities conducted by the GAT and the progress made under the TPP and commended all of the Organization's efforts in that regard. Ecuador joined other States in encouraging more exchanges and cooperation in the field of aviation training.
25. The Delegate of France reiterated his State's commitment to aviation training and capacity building, which was essential, as had been highlighted in the papers presented. Stressing the need for a structured approach in order to make progress, he encouraged the Assembly to take the actions proposed in WP/414 (Cameroon).
26. The Delegate of the Dominican Republic expressed support for the actions proposed in WPs/64 (Council), /67 (COCESNA) and /237 Revision No. 1 (Kenya) as they would ensure the efficient provision of high-quality aviation training and capacity building.
27. The Delegate of Algeria endorsed WPs/64 (Council), /163 (Ethiopia), /164 (AFCAC), /414 (Cameroon) and /237 Revision No. 1 (Kenya).
28. Commenting on WP/237 Revision No. 1 (Kenya), the Delegate of Greece agreed on the importance of States implementing aviation training and capacity building roadmaps in order to ensure that the aviation community had a sufficient number of qualified and competent personnel to operate the current and future air transport system. He emphasized that, within the framework of ICAO's NCLB and NGAP initiatives, the focus should be on practical tools to help States implement human resources strategies. Those tools should include, but not be limited to, training courses on risk management and methodologies for effective safety oversight. While supporting action paragraphs a) to d) of the paper, the Delegate of Greece indicated that he required further information before he could agree to action paragraph e) on the adoption of the proposed new Assembly Resolution *Implementing Aviation Training and Capacity Building Strategies* appended to the paper.
29. Affirming that in the fast-changing world of aviation where training and capacity building was an important element, particularly for small States, the Delegate of Guyana endorsed WPs/64 (Council), /163 (Ethiopia), /164 (AFCAC) and /414 (Cameroon).
30. In expressing support for WPs/64 (Council), /164 (AFCAC), /414 (Cameroon) and /237 Revision No. 1 (Kenya), the Delegate of the United Republic of Tanzania encouraged all Member States to support those papers in the pursuit of new training partnerships on capacity building-related matters and foster exchange and cooperation in learning and development across all regions. He reiterated that aviation training was fundamental to achieving the effective implementation of ICAO SARPs.
31. The Delegate from Panama voiced support for WP/67 (COCESNA), as did the Observer from CANSO, who thanked COCESNA and its Member States for their excellent work in enhancing aviation training in Central America, which exemplified how coordination between States could enhance safety and air navigation capacity and efficiency.

32. C/GAT took note of the overwhelming support for the papers presented. With regard to WPs/163 (Ethiopia) and /414 (Cameroon), he informed the Executive Committee that the Secretariat, in coordination with the Regional Offices, would organize workshops to implement the ICAO *Aviation Training and Capacity Building Roadmap for States: A Practical Guide* (2017) and ensure that competency-based training criteria and procedures were followed.

33. In summarizing the discussion on **training and capacity building**, the Chairperson indicated that the Executive Committee endorsed the actions proposed in WP/64 (Council) and: encouraged Member States to support ICAO in the pursuit of new training partnerships across all regions; endorsed the development of alternative training modalities to facilitate access, such as distance learning, and promotion of these new modalities to their civil aviation stakeholders; recommended Member States to benefit from the ICAO TRAINAIR PLUS Programme (TPP) and support the expansion of the network of Members in order to develop, share and deliver training programmes to enhance the qualifications of aviation professionals; and encouraged the Council to actively engage in promoting ICAO training activities to Member States in order to increase outreach across all regions.

34. The Executive Committee noted the positions and contributions of States and international organizations with regard to the challenges faced by the aviation community in the qualification of aviation professionals for the implementation of ICAO SARPs, as well as the proposed initiatives to address those challenges. With respect to WP/164 (AFCAC), the Executive Committee acknowledged the challenges related to human capital development and training in Africa; and encouraged stakeholders such as civil aviation authorities, aviation training institutions, industry partners, etc. to continue submitting training-related information to AATO for the continuous improvement of the African Aviation Training Roadmap. It noted that ICAO would work with its Regional Offices in Africa to support the rollout of that Roadmap.

35. With regard to WP/237 Revision No. 1 (Kenya), the Executive Committee agreed to recommend to the Plenary for adoption the new Assembly Resolution *Implementing Aviation Training and Capacity Building Strategies* as presented in the Appendix to the paper.

Training competencies and development

36. The Delegate of the United Arab Emirates presented WP/131 (*VR/AR technology applied to personnel training*), which highlighted that Virtual Reality (VR)/Augmented Reality (AR) technology could enhance the aviation personnel's training system by offering an efficient and effective training means. The paper noted, however, that while the aviation industry appeared to be ready to accept that technological revolution in training techniques, international acceptance and standards were missing to ensure that States and the aviation industry could smoothly adopt the VR/AR technology for aviation personnel training.

37. The Assembly was invited in WP/131 to:

- a) urge States to recognize VR technology to build up basic practical experience required as per ICAO's *Training Manual* (Doc 7192), Part D-1 – *Aircraft Maintenance (Technician/Engineer/Mechanic)*, which could build an effective and efficient knowledge within licence holders;
- b) urge States to use VR technology to prove and demonstrate the ability to perform the function applicable to the engineering licence to be granted;
- c) promulgate guidance to States to encourage them to embark on VR technology;
- d) encourage the State of Design to participate in the success of adoption of VR technology since such methods are highly dependent on Original Equipment Manufacturers (OEMs) data; and

- e) urge States and OEMs to adopt the use of VR technology relevant to the aircraft maintenance licence holder and airworthiness requirements.

38. The Delegate of the Dominican Republic introduced WP/238 (*Integration of training processes – A new strategy for making training more effective*), which underscored that in the dynamic context of numerous air navigation projects being carried out at the same time, appropriate basic and ongoing training were key elements in strengthening the human factor and reducing the potential impact of error and carelessness that could result from a lack of awareness about the interrelationship between certain operational concepts. The paper highlighted the concept of integration of training processes, which envisaged the conduct of an assessment of the specific training needed in each area and the development of a curriculum that clearly established the relationship between the areas.

39. The Assembly was invited in WP/238 to:

- a) analyze and discuss the contents of the paper;
- b) request the usual support of the GAT to promote the concept of integration of training processes and other strategies aimed at achieving integration and effectiveness;
- c) support training centres in developing comprehensive strategies to meet training challenges by assisting them to integrate training processes;
- d) empower local authorities to evaluate projects to be implemented in the short-term with the aim of coordinating appropriately with training departments in preparing training that incorporates this vision; and
- e) include any other action that is recommended.

40. The Delegate of Cameroon presented WP/477 Revision No. 1 (*Instructor qualification in the field of civil aviation safety*), which highlighted that the existing GAT instructor qualification procedure limited the possibility of having a sufficient number of multi-skilled instructors available to deliver several training packages given the time and cost required for its implementation. The paper emphasized that in order to enable training institutions to have instructors available in the field of aviation safety it would be useful to develop a generic training module for each specialized area of aviation safety as part of the On-the-Job Training (OJT) of instructors under the TPP.

41. The Assembly was invited in WP/477 Revision No. 1 to:

- a) take note of the information contained in the paper; and
- b) request ICAO to develop generic training courses for each specialized area of aviation safety for the OJT of instructors under the TPP.

Discussion

42. With regard to WP/477 Revision No. 1 (Cameroon), C/GAT clarified that the GAT developed training courses for specific training needs, taking into account the performance problems, competency framework, and target audience. Once a course was developed, the qualification requirements for instructors were established and included OJT in the qualification process. He emphasized that that process ensured the quality of course deliveries.

43. The Delegate of the United States indicated that her State objected to action paragraph b) of WP/477 Revision No. 1. While the United States recognized that having each instructor apply to ICAO individually for each course that s/he wished to teach was cumbersome, there were specific experience requirements needed by instructors for each course in order to maximize learning. To remove that requirement might reduce matching experience to outcomes. The United States objected to developing

generic training courses for each specialized area of aviation safety for the OJT of instructors under the TPP and requested to have each instructor apply as currently.

44. With regard to WP/238 (Dominican Republic), the Delegate of the United States noted that her State agreed on the need for a more integrated, collaborative approach to training and looked forward to understanding further the concepts outlined in the paper.

45. In voicing support for WP/131 (United Arab Emirates), the Delegate of Romania recalled that the Personnel Training and Licensing Exploratory Meeting held at ICAO Headquarters from 8-12 July 2019 had agreed that ICAO should consider establishing a Personnel Training and Licensing Panel (PTLP) to undertake the work stemming from the EM's recommendations. He emphasized that while it was very important to have the new opportunity for the training of aircraft maintenance personnel described in WP/131, it was necessary to pay attention to the practical aspects of enhanced user-experience technology and to be aware of the limits of technology used for training. The Delegate of Romania further underscored that all aspects of training must be supported by the new technology.

46. The Delegates of Nicaragua, Uruguay, Venezuela (Bolivarian Republic of), Ecuador, Colombia and Cuba endorsed WP/238 (Dominican Republic). In so doing, the Delegate of Nicaragua affirmed that the integration of training processes would build capacity and effectiveness. The Delegate of Uruguay emphasized the need for States to provide aviation professionals with the requisite training in order to ensure the safety of international civil aviation. She underscored the importance of the conclusion set forth in paragraph 3.3 of the paper, that: "Aviation is a system whose success depends upon the harmonious relationship between all its constituent sub-systems. Accordingly, we need to focus on ensuring that the best technologies and procedures reach operational personnel in an orderly and coherent manner so that the application of those technologies and procedures achieves its intended purpose, in the light of the Strategic Objectives of the Organization and of aviation as a global system.". The Delegate of Cuba noted that while the actions proposed in WP/328 could have financial implications they would be useful in enhancing the performance of aircraft maintenance licence holders.

47. The Delegates of Ecuador and Colombia expressed support for C/GAT's intervention regarding WP/477 Revision No. 1 (Cameroon). The Delegate of Cuba emphasized the importance of making every effort to strengthen aviation safety.

48. Endorsing all three papers presented, the Delegate of South Sudan reiterated the importance of providing States, including his, with much-needed aviation training and capacity building, in line with ICAO's NCLB initiative.

49. In summarizing the discussion on **training competencies and development**, the Chairperson indicated that the Executive Committee noted the interest expressed in embracing new technologies and innovative tools in aviation training to enhance the personnel licensing system. With regard to WP/131 (United Arab Emirates), the Executive Committee urged Member States to recognize VR technology and encouraged them to adopt the use of such technology relevant to the aircraft maintenance licence holder and airworthiness requirements. The Executive Committee underscored that, while such technology was a positive development, there was a need to conduct further study on its costs/benefits, effectiveness and viability. It also required harmonization and standardization.

50. With respect to WP/238 (Dominican Republic), the Executive Committee noted the request for ICAO's support to promote the concept of integration of training processes and other strategies aimed at achieving integration and effectiveness. Furthermore, with regard to WP/477 Revision No. 1

(Cameroon), the Executive Committee endorsed the position expressed by C/GAT (cf. paragraph 42 above).

Issues related to air navigation and air transport

51. The Delegate of Romania introduced WP/115 [*Designing a new strategy for Next Generation of Aviation Professionals (NGAP)*], which was presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL. She emphasized that aviation was crucial for promoting global connectivity and supported global economic development and growth around the world. The international aviation community recognized, however, that there was an existing shortage of skilled professionals in some areas of aviation and that the problem could worsen over time if no action was taken. Thus while the paper fully acknowledged the success of ICAO's NGAP initiative over the last ten years, it supported ICAO's intention to give the NGAP initiative fresh impetus with a new, ambitious and holistic strategy capable of delivering effective tools to deal with the anticipated shortage of aviation professionals. It underscored that such a strategy should be based on a comprehensive data-driven assessment of the problem to then propose a range of effective tools capable of assisting States in making the aviation profession an attractive career choice for a diverse range of professionals while maintaining a global outlook. The paper presented some considerations and proposals regarding the new NGAP strategy.

52. The Assembly was invited in WP/115 to:

- a) urge all Member States to facilitate removing barriers to the free flow of aviation skills across borders, through standardization and harmonization of qualifications, licenses and administrative procedures;
- b) call upon States, international and regional organizations, academia and industry to support the NGAP Programme, as one of the integral elements of capacity building, by providing technical expertise and guidance, and resources to help achieve the Programme's objectives;
- c) direct the Council to adopt a new NGAP strategy for ICAO that is holistic, data-driven and takes into account the rapid technological change;

Instruct the Secretary General to:

- d) assess and report to the Council in accordance with the NGAP strategy on whether the existing ICAO framework, in particular Annex 1 – *Personnel Licensing*, provides adequate opportunity and a non-discriminatory unbiased access to the aviation sector for women and men;
- e) assess and report to the Council in accordance with the NGAP strategy on whether the existing ICAO framework, in particular Annex 1, is effective in providing aviation professionals with skills needed by the market now and in the future; and
- f) ensure that all research and data gathered in the context of NGAP is shared with, and accessible to, all ICAO Member States and the industry stakeholders.

53. The Delegate of the United Arab Emirates introduced WP/130 (*Standardization of search and rescue training*), which noted that some recent high profile accidents had emphasized the need for improved interoperability in search and rescue (SAR) operations in order to support timely and effective operations. The paper highlighted that the National Search and Rescue Centre (NSRC) of the United Arab Emirates had hosted an international workshop on the standardization of SAR training on 12-13 June 2019, which had been attended by 55 representatives from aeronautical and maritime agencies from the Russian Federation, Kuwait, New Zealand, the United Arab Emirates, Saudi Arabia and the United States. The

primary aim of the workshop had been to identify current SAR challenges and determine if the international standardization of training and the certification of SAR personnel could address those challenges. Consensus had been reached on at least five items where the international standardization of SAR training offered the opportunity to enhance the provision of SAR operations.

54. The Assembly was invited in WP/130 to:

- a) note the contents of the paper;
- b) consider other issues that could be addressed by the international standardization of SAR training; and
- c) request the Secretary General to consider the concept of an “international competency-based training framework for search and rescue operations” in cooperation with other agencies such as the International Maritime Organization (IMO).

55. The Delegate of Singapore introduced WP/206 (*Building aviation competencies for the future*), which was co-sponsored by Fiji, the Marshall Islands, Nauru, Nigeria, North Macedonia, Palau and the United Kingdom. The paper noted that under the auspices of ICAO’s NGAP Programme States had been embarking on various initiatives to attract, train and retain young professionals in the aviation industry. The paper highlighted the need to recognize the changing learning styles of the next generation of aviation professionals and to embrace learner-centred pedagogies, which encompassed training methods that shifted the focus of instruction from the trainer to the learners. It was pointed out that studies had shown that learner-centred pedagogies were more effective than traditional instructor-led methodologies for both Millennials and Generation Z trainees and that harnessing the right learning technology could provide effective support for learner-centred pedagogies. Noting that Millennials and Generation Z workforce were accustomed to, and exposed to, technology as their main interface in life, the paper emphasized that as technology advanced and became more accessible and affordable it would be beneficial for the aviation industry to have available more training tools that integrated with learner-centred pedagogies. Through the TPP, ICAO was encouraged to look into providing such guidelines to help promote technology and learner-centred pedagogies to build up aviation competencies for the future.

56. The Assembly was invited in WP/206 to:

- a) recognize the need to adopt learner-centred pedagogies to enhance competency-based training to equip the next generation of aviation professionals to meet the aviation needs of the future; and
- b) request that ICAO develop guidelines to select technological training tools that support competency-based training, using learner-centred pedagogies under the ICAO TPP.

57. The Delegate of Canada introduced WP/239 (*Addressing the shortage of pilots and aviation professionals – A global approach to a global problem*), which presented a brief overview of the emerging global shortage of pilots and aviation professionals and detailed several ICAO initiatives currently underway to address that challenge. The paper underscored that the said labour shortage affected the entirety of the international aviation industry. It highlighted that well-trained, experienced pools of pilots, engineers, air traffic controllers, maintenance technicians, safety inspectors and more were essential to maintaining the safety and viability of international aviation, and that it would therefore require a collective effort, both on the local and global levels, to effectively overcome its increasing effects. The paper emphasized that if not adequately addressed, those labour shortages could represent critical challenges to aviation safety around the world. Canada called on all ICAO Member States to work with key stakeholders, both domestically and internationally, to develop approaches to help alleviate the global labour shortage and promote greater inclusiveness across the international aviation industry. It stressed that

collaboration between States, through sharing of best practices and lessons learned, would be critical in addressing this challenge for the future.

58. The Assembly was invited in WP/239 to:

- a) support ICAO's initiatives, such as the NGAP Programme, in promoting careers in aviation to future generations in order to ensure that enough qualified and competent aviation professionals are available to operate, manage and maintain the future international air transport system; and
- b) urge ICAO Member States to collaborate through the sharing of best practices and lessons learned regarding the implementation of their own policies and legislation addressing the global shortage of aviation professionals and alleviating its wide-ranging effects.

59. The Delegate of the Dominican Republic introduced WP/240 (*Implementing change management in the development of projects for air navigation services*), which recommended introducing training for change management as part of the process to implement ICAO's Global Plans and the aviation technical projects which must be managed at the lowest possible safety risk. Change management was defined as the implementation of a proactive framework that took into account the needs of those involved in a process to modify or introduce new activities, with strategies to ensure that all points of views were heard and considered. Joint decision-making ensured that all people affected by the new process would actively participate in its implementation. The paper underscored that change management training would ensure collaborative decision-making and precautionary transition and familiarization phases, and would enhance the development and delivery of aviation technical projects.

60. The Assembly was invited in WP/240 to:

- a) support the contents of the paper, urging States to introduce change management training and make it a fundamental part of project planning and delivery;
- b) request ICAO entities to develop new provisions and guidance material to assist States in building capacity for change management;
- c) review ongoing projects and consider making special funding available to incorporate change management tools, for effective implementation; and
- d) consolidate projects that improve safety through collaborative decision-making, and consider change management as a prerequisite for success.

61. The Delegate of the Dominican Republic then presented WP/444 (*Training in the management of Performance-based Navigation*), which underscored that to ensure the effective monitoring of the implementation of PBN it was essential to develop and implement a training programme for managerial staff of air navigation services to acquire the requisite knowledge and skills. The paper emphasized that such training in PBN management was a key factor in ensuring that the process went smoothly and accurately in order to achieve an acceptable level of safety, using the tools and procedures proposed by ICAO. Training in PBN management sought to develop a special curriculum providing a clear understanding of the new concepts associated with PBN, in both theoretical and practical terms. The paper highlighted that the Dominican Republic was the first Spanish-speaking country to produce a standardized training package for PBN implementation to develop the requisite knowledge and skills.

62. The Assembly was invited in WP/444 to:

- a) analyze and endorse the contents of the paper;

- b) instruct the Secretary General to draft and promote the development of other guidance materials on PBN management;
- c) give priority to training in PBN management as a tool for promoting and strengthening aviation safety in air navigation systems worldwide, thereby ensuring successful monitoring of PBN implementation; and
- d) include the need for PBN management training in processes linked to change management.

63. It was noted that the following information papers had also been submitted: WP/408 (*Education and performance in aviation: Realizing and sustaining benefits*), presented by the Hermes Air Transport Organisation; WP/497 (*Latest progress of China's Aviation Security Training*), presented by China; WP/512 (*Training on air transport economics and regulations*), presented by Bangladesh; and WP/565 (*Experimental drone builders and innovation labs in Rwanda*), presented by Rwanda.

Discussion

64. The Delegates of Colombia, Uruguay, Cuba, Venezuela (Bolivarian Republic of), Zambia and Eritrea expressed support for all six papers presented. In so doing, the Delegate of Colombia affirmed his State's continuing support of ICAO's NGAP Programme.

65. Endorsing WP/206 (Singapore and co-sponsors), the Delegate of Italy stressed that attracting, training and retaining the next generation of aviation professionals was a global priority for aviation. He emphasized that when more than half of the young people who registered for aviation programme did not successfully complete the training, it was necessary to rethink the method of instruction. Affirming that competency-based training could produce better results if the focus was shifted from the trainer to the trainee, the Delegate of Italy encouraged the Assembly to take the action proposed in the paper, in particular, to request that ICAO develop guidelines to select technological training tools that support competency-based training, using learner-centred pedagogies under the ICAO TPP.

66. In voicing support for WP/239 (Canada), the Delegate of the United Arab Emirates reiterated the importance of States collaborating through the sharing of best practices and lessons learned regarding the implementation of their own policies and legislation in order to address the global shortage of aviation professionals. He also endorsed WP/115 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL), stressing the need to remove any obstacles to the training and employment of young aviation professionals to ensure a bright future for the aviation sector.

67. The Delegate of the United States expressed support for the recommendations contained in WP/115 for a new NGAP strategy that would benefit the future of global aviation with continuously adapted methods and tools based on data-driven analysis. She also endorsed the actions proposed in WP/239 and affirmed the United States' support for ICAO's initiatives to promote careers in aviation to future generations, such as the NGAP Programme.

68. Highlighting the successful implementation by ICAO of its NGAP Programme in conjunction with its NCLB initiative, the Delegate of Ecuador endorsed the actions proposed in WP/206 (Singapore and co-sponsors) and underscored the need to have the right technological tools that supported competency-based training using learner-centred pedagogies under the ICAO TPP. He also supported the actions proposed in WP/444 (Dominican Republic) relating to PBN management training.

69. Noting that the proposals set forth in the six papers were interesting, the Delegate of Spain highlighted that the concept of NGAP was closely-related to the issues of innovation in aviation and increased collaboration with industry. Furthermore, it provided an excellent opportunity to pursue gender equality, to which Spain was strongly committed. Recognizing that sufficient funds were not available in ICAO's Regular Programme Budget for the 2020-2022 triennium for all of those initiatives, he underscored that NGAP was a matter on which ICAO Member States and the aviation industry could join efforts to have one consolidated Programme in which participation would be voluntary. The Delegate of Zambia endorsed these comments.

70. The Delegate of Nigeria lent support to WPs/206 (Singapore and co-sponsors) and /239 (Canada), as well as to /240 and /444 (Dominican Republic).

71. The Delegate of Nicaragua endorsed WPs/239, /240 and /444, as well as WP/115 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL), which called upon States to, inter alia, support ICAO's NGAP Programme by providing technical expertise, guidance and resources to help achieve the Programme's objectives.

72. The Delegate of Sweden welcomed the NGAP initiative as part of a solution to address the shortage of skilled and qualified aviation professionals, as well as ICAO's announcement, at the end of 2018, to extend and strengthen the NGAP Programme. Noting that gender disparity still existed in certain aviation professions, where women were under-represented, he emphasized that the NGAP Programme could promote increased participation by women in the aviation sector. The Delegate of Sweden underscored that since women comprised half of the world's population, any effective strategy to address the global shortage of aviation professionals should aim to increase their participation. He noted that WP/115 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL), which he endorsed, highlighted that a new NGAP strategy should develop a range of effective tools capable of assisting States in making the aviation profession an attractive and discrimination-free career choice for both women and men.

73. The Delegates of Cuba, Portugal, Australia and Eritrea supported this intervention. In so doing, the Delegate of Cuba indicated that as there was currently no proposal to amend Annex 1 – *Personnel Licensing* to reflect the principles of gender equality and non-discrimination in the aviation sector, she favoured implementing those principles effectively through air transport policies.

74. The Delegate of Portugal stressed the importance of investing in the next generation of aviation professionals and to promote aviation at the level of schools and academia. In addition, Member States and civil aviation authorities should be encouraged to take adequate measures to retain aviation professionals. Last, but not with least, all stakeholders should be encouraged to incentivize gender equality in the aviation sector.

75. The Delegate of Australia also expressed support for the general spirit of all of the papers presented, in particular, WP/239 (Canada). He emphasized that investing in the next generation of aviation professionals to meet the future needs of aviation was essential. Furthermore, addressing the challenges which would arise in the coming decades required engaging 100 per cent of the potential workforce so that the aviation sector could reach 100 per cent of its potential.

76. In expressing support for WPs/240 and /444 (Dominican Republic), the Delegate of Paraguay emphasized the importance of promoting change management training and PBN management training to ensure the safety of international civil aviation. The Delegate of Panama also endorsed the said two papers, as well as WP/206 (Singapore and co-sponsors). The Delegate of Mexico supported WPs/240 and /444, as well as WP/239 (Canada).

77. Endorsing WPs/115 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL) and /206 (Singapore and co-sponsors), the Delegate of Canada noted that his State was a long-time supporter of ICAO's NGAP Programme and fully supported the two papers' recommendations for enhancing its effectiveness. Canada recognized that the recruitment, training and retention of talent were key factors in addressing the emerging labour shortages across international aviation.

78. The Delegates of the Republic of Korea, and Poland also voiced support for WP/115. In so doing, the Delegate of Poland reiterated that the development of a new, robust, ambitious and holistic NGAP strategy capable of delivering effective tools to deal with the anticipated global shortage of aviation professionals was of paramount importance.

79. The Delegates of Turkey, the Dominican Republic and Sudan endorsed WPs/115, /206 (Singapore and co-sponsors) and /239 (Canada), with the latter also expressing support for WP/130 (United Arab Emirates). The Delegate of the Dominican Republic commended the work being carried out by the GAT and the NGAP Task Force to develop a global NGAP implementation strategy.

80. In expressing full support for WP/206 (Singapore and co-sponsors), the Delegate of Myanmar emphasized that as technology advanced and became more accessible and affordable, it would be beneficial for the aviation industry to have available additional training tools and equipment that integrated with learner-centred pedagogies, such as blended learning, which was a combination of e-learning and classroom learning, and virtual reality, which enabled a simulated training environment. The Delegate of Saint Vincent and the Grenadines shared this view.

81. The Delegate of Oman endorsed WPs/115 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL) and /130 (United Arab Emirates).

82. The Delegate of France also expressed support for WP/115. With regard to WP/130, which advocated the international standardization of SAR training, he expressed concern about including a related Recommended Practice in Annex 12 – *Search and Rescue*. The Delegate of France emphasized that it was the responsibility of each State to provide prompt and effective SAR services in its territory. He highlighted that useful documents on SAR operations already existed, such as the *International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual, Volume II – Mission Coordination*, which was jointly published by ICAO and the IMO (cf. ICAO Doc 9731) and regularly updated. In addition to those documents, the Delegate of France proposed the implementation of transboundary regional cooperation on SAR and expressed his State's willingness to share its experiences in that area.

83. While respecting this view, the Delegate of Eritrea maintained that no State could, on its own, overcome the difficulties associated with providing SAR services and therefore recommended that an international competency-based training framework for SAR be developed in cooperation with other relevant agencies as proposed by the United Arab Emirates in WP/130.

84. The Delegate of Trinidad and Tobago expressed support for WPs/115 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL), /206 (Singapore and co-sponsors), /239 (Canada), as well as for /240 and /444 (Dominican Republic).

85. Stressing that aviation training was not a cost but an investment which helped ensure the safety and security of international civil aviation, the Delegate of Peru encouraged States to share their training tools with others. He underscored that Peru was committed to sharing with other States in the South

American (SAM) region the PBN-related tool which it had developed in 2017 and which had proved to be very valuable in terms of optimizing the utilization of available airspace.

86. The Observer of CANSO endorsed WP/115 (Finland on behalf of the EU and its Member States and the other Member States of ECAC and by EUROCONTROL) and expressed support for ICAO's plan to give the NGAP initiative fresh impetus with a new, ambitious and holistic strategy capable of delivering effective tools to deal with anticipated shortage of aviation professionals. He emphasized that the free flow of aviation skills across borders through standardization and mutual recognition of qualifications, licences and administrative procedures was a key enabler for retaining competent and qualified aviation professionals. The Observer from CANSO highlighted that focus should also be placed on regional collaboration since innovation, new entrants and new business models in business aviation were leading to increased cross-border operations.

87. In likewise supporting WP/115, the Observer from the International Federation of Air Traffic Controllers' Associations underscored that IFATCA had been a strong supporter of ICAO's NGAP initiative since its inception in 2009. IFATCA nevertheless wished to stress that harmonization of qualifications and licences at the global level could only be achieved with a solid mandatory licensing scheme for all ICAO Member States. That was essential to ensure that the same standard level of competence among aviation professionals, especially air traffic controllers, was achieved and maintained globally. To that end, a thorough assessment of the provisions of Chapter 4 of Annex 1 – *Personnel Licensing* relating to air traffic controllers was long overdue. IFATCA welcomed the recent initiative of the ICAO Electronic Personnel License Task Force (EPL-TF) and affirmed its commitment to continue to support the work of ICAO regarding qualification and licensing issues.

88. The Secretary General welcomed the comments made in support of ICAO's NGAP Programme. She noted, however, that the latter had not been funded by the Organization's Regular Programme Budget for the 2016-2019 triennium and that the services delivered by the Secretariat to enhance the NGAP Programme, as well as the Gender Equality Programme, had been funded through efficiency gains and improved management. The Secretary General looked forward to Member States supporting and sustaining the NGAP Programme by making voluntary contributions thereto. For its part, the Secretariat would continue to enhance its efficiency and effectiveness in order to advance the Programme.

89. In addition, the Secretary General thanked Member States for their recognition of ICAO's achievements in the area of civil aviation training and capacity building over the current triennium. She emphasized that the Secretariat was committed to continuing to work with Member States to enhance their capacity to effectively implement ICAO SARPs, programmes and policies. She also highlighted that both the NGAP Programme and the civil aviation training programme were of strategic importance for the global aviation sector in order to meet the needs and expectations of Member States in the coming years taking into account the anticipated doubling in the volume of air traffic by 2030.

90. The Delegate of Spain underscored that the Executive Committee's Report on Agenda Item 25 should place emphasis on the Secretary General's comments regarding the need for Member States to make voluntary contributions to support and sustain the NGAP Programme as no provision was made therefor in the Organization's Regular Programme Budget for the 2020-2022 triennium. He recalled that the Council's Message on the Budget (WP/34) had indicated that the funding gap between the desired ICAO Business Plan and the Regular Programme Budget for the 2020-2022 triennium could be narrowed by the introduction of Optional Programmes to which interested Member States and even the aviation industry could participate and contribute to, but which were not aimed at developing SARPs, and had cited the NGAP Programme as a current example.

91. In summarizing the discussion on **issues related to air navigation and air transport**, the Chairperson indicated that the Executive Committee noted the papers on the NGAP Programme. With regard to WP/115 (Finland on behalf of the EU and its Member States and other Member States of ECAC and by EUROCONTROL), the Executive Committee expressed support for non-discriminatory access to the aviation industry for women and men. It noted the wide concurrence with WP/115 and with WP/239 (Canada), which also supported ICAO's initiatives that aimed to attract, educate and retain the next generation of aviation professionals. Noting that the continuation of the NGAP Programme was contingent on receiving extra support outside the Regular Programme Budget for 2020-2022, the Executive Committee agreed that States should be urged to make voluntary contributions of extra-budgetary resources. It recommended that the Council review the expanded NGAP Programme proposals with respect to existing priorities funded through the Regular Programme Budget for 2020-2022 and the availability of extra-budgetary resources. Also subject to the 2020-2022 Budget priorities, the Executive Committee recommended that the Annexes, in particular, Annex 1 – *Personnel Licensing*, be reviewed to ensure that they adequately addressed current and future skill needs and provide non-discriminatory access for women and men to the aviation industry.

92. With regard to WP/130 (United Arab Emirates), the Executive Committee recommended that the Council consider the development of an international competency-based training framework for search and rescue operations with respect to existing priorities funded through the Regular Programme Budget for 2020-2022, noting that ICAO would determine the appropriate body to develop such a framework.

93. With respect to WP/206 (Singapore and co-sponsors), the Executive Committee recognized the need to adopt learner-centered pedagogies to enhance competency-based training to equip NGAP to meet the aviation needs of the future and requested that ICAO develop guidelines to select technological training tools that support competency-based training, using learner-centred pedagogies, in line with ICAO's competency-based methodology. The Executive Committee noted that while the paper made a recommendation as to which entity should look into that concept (ICAO/IMO Joint Working Group on SAR), ICAO would determine the appropriate body for the task.

94. With reference to WP/240 (Dominican Republic), the Executive Committee noted ICAO's Civil Aviation Authority Senior Middle Managers Training Course, developed in cooperation with China and launched in 2018, and supported the proposal for further work to be done to address change management.

95. With respect to WP/444 (Dominican Republic), the Executive Committee noted the importance of training in the management of PBN and supported the development of guidance material thereon. It recommended that the Council review the proposal with respect to existing priorities funded through the Regular Programme Budget for 2020-2022.

Agenda Item 19: Increasing the efficiency and effectiveness of ICAO

96. The Executive Committee commenced consideration of Agenda Item 19. Discussion focused on improving working methods at ICAO, which was documented in one main working paper presented by the Council, WP/48 (*Increasing the efficiency and effectiveness of ICAO*) and an oral report on the examination of the current structure of the ICAO Secretariat, as well as a related paper presented by a State.

Improving working methods at ICAO

97. The Chief, Strategic Planning and Regional Affairs Coordination (C/PRC) introduced WP/48, in which the Council reported on the key achievements and progress made by the governing bodies and the Secretariat to improve the efficiency and effectiveness of ICAO in the current triennium in order to meet the evolving needs of the Organization in support of Member States and the international aviation community. The paper also presented ongoing actions relating to, inter alia, the ICAO Business Plan, the results-based Budget, and the Corporate Management Reporting Tool (CMRT), and identified measures for further improvements during the 2020-2022 triennium. In addition, the paper proposed updates to Assembly Resolution A31-2 on increasing the effectiveness of ICAO.

98. The Assembly was invited in WP/48 to:

- a) note the progress made in improving the efficiency and effectiveness of the Organization;
- b) endorse the measures for further improvements during the 2020-2022 triennium as identified in the paper; and
- c) adopt the proposed Assembly Resolution *Increasing the efficiency and effectiveness of ICAO* contained in the Appendix to WP/48, which would supersede Assembly Resolution A31-2.

96. The Head, Strategic Planning, Coordination and Partnerships Office (H/SPCP) presented an oral report on the ongoing efforts being undertaken by ICAO which might result in adjustments to the current structure of the Secretariat. He recalled that the Second High-level Conference on Aviation Security (HLCAS/2) (Montréal, 29-30 November 2018) had recommended that the Council strive to ensure parity between aviation security and aviation safety within ICAO and provide guidance on the conduct of a feasibility study regarding the potential formation of an Aviation Security and Facilitation Bureau, taking into account inputs from States and using a holistic approach to determine options therefor under a Zero Nominal Growth Budget. H/SPCP noted that, to advance that work, the Council's Implementation Strategy and Planning Group (ISPG) had formed a Sub-group to conduct a feasibility study, the results of which had been presented to the Council in June 2019. The Council had decided (C-DEC 217/17) that the recommendations of the HLCAS/2 could not be supported in isolation and that it was necessary to examine the overall structure of the Secretariat with a view to determining options for possible restructuring, taking into account aspects related to aviation security and facilitation as well as technical cooperation, so as to maximize the efficiency and effectiveness of the Organization. It had accordingly established a working group which was tasked with developing a roadmap and options pertaining to a possible restructure of the Organization, following which a consultation process would be undertaken with Member States via State letter to obtain their views. Given the expansive nature of the task, the working group's final report might not be finalized until the 219th Session of the Council in February/March 2020. The Council had agreed that recommendations that would fundamentally change the nature of the existing five-Bureau structure of the Organization would be subject to consideration by the Assembly.

97. H/SPCP noted that while that work was ongoing, a number of actions had already been initiated to strengthen ICAO in the areas of aviation security and facilitation. He highlighted, in this regard, the creation of new dedicated staff positions at ICAO Headquarters and the Regional Offices and the conversion of existing posts in the Secretariat to be funded from the Regular Programme Budget. H/SPCP emphasized that these actions had been carried out in order to raise ICAO's profile in the area of aviation security and facilitation.

98. The Delegate of the United States observed that this was one of the most important issues before the Assembly. He prefaced his introduction of WP/423 (*Innovating at ICAO to more effectively*

respond to emerging issues, mobilize resources, and ensure no country is left behind) by recalling the heavy investments which the United States had made in ICAO over the last 75 years, from hosting the Diplomatic Conference at which the Chicago Convention had been adopted in 1944 to being the leading source of ICAO's assessed contributions and technical expertise. Observing that it was 30 September, the end of the United States' fiscal year, the Delegate of the United States announced that unlike its past practice of paying half of its assessed contribution by this time, the United States would not be paying that assessed contribution and that all further assessed contributions to ICAO were on hold until further notice. He emphasized that the United States had given much to ICAO so that the Organization would benefit the world and it had seen many significant results. In turn, the United States expected much from ICAO: ethical and efficient management; transparent and trustworthy governance; introduction of the necessary technical expertise to address emerging issues; wise use of Member States' assessed contributions, which would convince external partners to apply their own resources toward ICAO's Strategic Objectives; and accountability for performance and conduct. He underscored that on all of those accounts ICAO could be, and must become, a standard of excellence in the United Nations (UN) system. The United States wished to see a better ICAO, one where best practices, ethical conduct, transparency, trustworthiness, efficiency, and timely results were standard operating procedures. The Delegate of the United States stressed that aviation safety and security systems depended on these principles, as did ICAO's credibility and its ability to deliver to Member States.

99. The Delegate of the United States emphasized that WP/423 was being offered in a constructive and optimistic spirit of cooperation. Member States were invited to join the United States in effort to modernize ICAO and improve implementation globally. It started with the present Assembly sending a clear, compelling signal to the Council and the Secretariat about what must be accomplished in the coming triennium. The Delegate of the United States underscored that ICAO could be better or ICAO could be left behind. The United States appreciated this opportunity to outline, in WP/423, a positive vision of ICAO for the 21st century.

100. The Assembly was invited in WP/423 to:

- a) consider the proposal in Part 3 of the paper to modernize ICAO's management and oversight; and
- b) adopt the draft Assembly Resolution as set out in the Appendix to the paper.

101. In response, H/SPCP underscored that the Secretariat had achieved great progress during the current triennium in improving the efficiency, effectiveness and transparency of the Organization and was committed to making further improvements in that regard and would continue its efforts. In this context, he highlighted the proposed updated Assembly Resolutions *Increasing the efficiency and effectiveness of ICAO* and *Resource mobilization* presented in WPs/48 and /50, respectively and the approval by the Council of a revised *ICAO Framework on Ethics* in 2018 and a new policy of protection against retaliation in 2019. H/SPCP also noted that the Secretariat would soon roll out a partnership framework and a resource mobilization platform, which were essential to support the efficient and effective management of partnerships and voluntary resources.

102. The Chairperson of the Executive Committee observed that the Secretariat had provided some important clarifications regarding existing Assembly Resolutions which addressed some of the points raised in WP/423. He further noted that as the Assembly Resolution proposed in WP/423 was already covered by those Resolutions and related ICAO policies there might not be a need for that new Resolution. The Chairperson indicated, however, that it would be important for the Executive Committee's Report on Agenda Item 19 to reflect the points raised in WP/423. He underscored that the Council had previously

had, and would continue to have, discussions on a number of policy-related issues raised in WP/423 and that those matters should continue to be addressed at the level of the Council.

Discussion

103. While expressing support for WP/48 (Council), the Delegate of Egypt emphasized the need for experts to conduct an indepth study of the possible restructuring of the Secretariat, including the potential formation of an Aviation Security and Facilitation Bureau as recommended by HLCAS/2. He underscored that careful consideration should be given to any proposed restructuring, which should be done in such a way as to not disturb the administration of the related work. With regard to WP/423 (United States), the Delegate of Egypt commended the efforts made by the President of the Council, Dr. Olumuyiwa Benard Aliu, and the Secretary General, Dr. Fang Liu, over the current triennium to increase the efficiency and effectiveness of ICAO, which had resulted in improved working methods. Noting that the latter had, in turn, increased the level of transparency and the Organization's credibility, he called on the President of the Council and the Secretary General to continue those efforts in the next triennium in order to further enhance international civil aviation.

104. The Delegate of South Africa indicated that her State endorsed WP/48 (Council), including H/SPCP's clarification regarding the establishment of a working group to develop a roadmap and options pertaining to a possible restructure of the Organization, and the subsequent consultation process with Member States. South Africa also supported the principles contained in the proposed updated Assembly Resolution *Increasing the efficiency and effectiveness of ICAO* appended to the paper. In line with the general statement delivered by its Minister of Transport during the Third Plenary Meeting (P/3) on 25 September 2019, in which he had expressed confidence in the President of the Council, as well as in the Secretariat under the leadership of the Secretary General, South Africa appreciated, and recognized, the actions taken throughout the triennium to improve ICAO's efficiency and effectiveness. South Africa urged the Secretariat, consistent with a growing, evolving and dynamic Organization, to take and implement additional measures to improve systems and processes which would ensure that ICAO continued to be a resilient and functioning organization. The world depended on ICAO to continue its good work. South Africa considered that the additional measures proposed in WP/48 to improve the efficiency and effectiveness of the Organization were key and looked forward to receiving a report on their implementation at the next Assembly. With respect to WP/423 (United States), South Africa called upon the Secretariat to consider its useful elements as part of the Organization's work programme for the next triennium.

105. In voicing full support for WP/48, the Delegate of Nigeria endorsed the comments made by the Delegate of Egypt on the need for an indepth study by experts of the possible restructuring of the Organization. He also expressed full support for H/SPCP's comments on the issues raised in WP/423 (United States). The Delegate of Nigeria emphasized that as all of those issues were already being addressed by the Council, in conjunction with the Secretary General and the Secretariat, there was no need for an Assembly Resolution thereon as proposed in that paper. Recalling the general statement delivered by the Minister of Transport of Nigeria during the said Third Plenary Meeting (P/3), he reiterated that his State had full confidence in, and fully supported, the leadership of the President of the Council and the Secretary General.

106. The Delegate of Saudi Arabia noted that his State appreciated the tremendous efforts made by the governing bodies and the Secretariat to enhance the Organization's efficiency and effectiveness over the last three years and thus supported WP/48 (Council). Saudi Arabia also endorsed WP/423 (United States) as it called for, inter alia: transparency for inclusiveness and better decision-making; leveraging partnerships for a better future; and using all available resources for the greatest benefit to Member States and the aviation sector in a cost-effective manner.

107. The Delegate of Ireland indicated that his State likewise endorsed WP/423, including the draft Assembly Resolution appended thereto, as it was of the view that in an ever-changing world ICAO, as an organization, must also be open to change. Ireland supported in particular the United States' proposal for new and strengthened partnerships with industry. It agreed that ICAO should consider how industry partners could better support its work by bringing their resources and expertise to bear in well-defined cooperative initiatives. Ireland also supported the United States' proposal regarding transparency. It considered that there was an opportunity for ICAO to better tell the story of the important work it did and that one way to do that was to increase access to the Organization's decision-making records. Noting that the Council had taken important steps during the current triennium in developing the *ICAO Framework on Ethics* and adopting a policy on protection against retaliation and that work was ongoing on the first-ever *ICAO People Strategy*, Ireland emphasized that that work to create a positive working environment should continue and be supported and strengthened. Ireland also supported the United States' call for the Council and the Secretary General to take concrete steps during the next triennium in each of the areas covered in WP/423, including in the Assembly Resolution appended thereto.

108. The Delegate of Japan expressed his State's support for WP/423, as well as for the comments made thereon by the Delegates of Saudi Arabia and Ireland. Japan recognized that good governance was indispensable, including with regard to the issue of increasing the efficiency and effectiveness of ICAO so as to ensure independence and neutrality in adopting the necessary measures. As the third largest financial contributor to ICAO, Japan considered that the actions proposed in WP/423 would enable the Organization to greatly improve its management and to guarantee transparency for better decision-making.

109. The Delegate of the Netherlands underscored that his State attached the greatest importance to respecting the basic principles of good governance, as had been highlighted in the general statement delivered by the Minister of Infrastructure and Water Management of the Netherlands at the Third Plenary Meeting (P/3). The Netherlands was of the view that WP/423 (United States) contained many ideas which merited further consideration and follow-up action during the next triennium. While recognizing that it would not be an easy task to meet all of the challenges and the new priorities given the Organization's limited resources and budgetary constraints, the Netherlands considered that it was necessary to strive to do so. It stressed that in order for ICAO to perform at its best it was necessary to have maximum transparency in its decision-making process. The Netherlands was also of the view that an inclusive approach which involved strengthened partnerships with stakeholders, solid financial management and a just culture in the workplace would all contribute to enhancing the efficiency and effectiveness of ICAO. The Netherlands firmly believed in the importance of mutual respect and cooperation to ensuring a bright future for ICAO and therefore called on the ICAO leadership and all Member States to join forces in working towards an organizational structure and *ICAO Framework on Ethics* that were fit for purpose. Acknowledging that changing the culture of an organization was not an easy task, the Netherlands stressed the need to do it together, step-by-step, to ensure that ICAO showed vision, courage and leadership now and would be fit to meet the great aviation challenges which lay ahead.

110. The Delegate of Germany voiced full support for WP/423 (United States), in particular for all of the actions proposed in Part 3 of the paper to modernize ICAO's management and oversight. He emphasized that ICAO must demonstrate that it delivered what Member States needed on a much more timely basis and used all available resources for the greatest benefit to Member States in the aviation sector in a cost-effective manner.

111. The Delegate of Singapore underscored that his State was a firm advocate of the importance of good governance principles and believed that good governance underpinned the effectiveness of any organization, with ICAO being no exception. He observed that the United States'

proposed Assembly Resolution (WP/423) enunciated several important principles for transparency, improved workplace environment, development of innovative partnerships with industry, increased organizational effectiveness, consensus building and expansion of resources, which were also the basis of WP/48 (Council). While Singapore fully supported those principles, it recognized that ICAO was a complex organization and that careful consideration would have to be given to how they were translated into policies and actions and implemented in order to ensure that they led to the best possible outcomes in terms of a just culture, fairness, efficiency and effectiveness. The Council and the Secretariat would need to follow up together on this matter to work out the details.

112. The Delegate of the Russian Federation expressed support for WP/48 (Council). In thanking the United States for presenting WP/423, he stressed that the Russian Federation had a stake in a more efficient and effective ICAO. It was also interested in ensuring that ICAO remained a technical organization and did not become a forum for discussion of political issues. At the same time, the Russian Federation considered that it was essential that proper attention be paid to expanding access to relevant ICAO information as proposed in paragraph 3.1 a) of WP/423. It agreed, however, that security-related and industrial proprietary information shared with ICAO must continue to be protected. The Russian Federation also supported the proposal in paragraph 3.1 b) on promoting a safe, healthy, ethical and friendly workplace that valued cultural and gender diversity and was free of abuse, bullying, harassment, retaliation and corruption. It expressed confidence that under the leadership of the President of the Council and the Secretary General a healthy work environment would continue to exist and thus facilitate the achievement of ICAO's Strategic Objectives.

113. Drawing attention to paragraph 3.1 d) of WP/423, the Delegate of the Russian Federation indicated that his State disagreed with the United States' proposal that ICAO invite the Multilateral Organization Performance Assessment Network (MOPAN) to conduct an independent assessment of its organizational effectiveness in 2021. Taking into account the informal briefing on MOPAN partnerships which had been given to the Council on 6 June 2019, the Russian Federation deemed that it was premature to take any decision regarding employing the services of MOPAN.

114. The Delegate of Indonesia voiced full support for WP/48 (Council), including the proposed measures for further improving ICAO's efficiency and effectiveness in the next triennium and the proposed updated Assembly Resolution appended to the paper.

115. The Delegate of Romania commended the general focus of both papers on increasing the efficiency and effectiveness of ICAO to ensure the achievement of all desired outcomes in the next triennium. She lauded the efforts made and the results achieved by the Secretariat, under the leadership of the Secretary General, to improve ICAO's efficiency, effectiveness and transparency and to modernize its management and programme activities as outlined in WP/48 and voiced confidence in their continuous endeavours in those areas for the benefit of Member States and other stakeholders. The Delegate of Romania expressed appreciation in particular for the review process, with a cost-benefit and gap analysis, which would be initiated to develop a proposal, including cost implications, for a financial management system (cf. paragraph 3.6). Turning to WP/423, she acknowledged the United States' recommendations, which emphasized the importance of ICAO's commitment to a programme of financial and management reform which would ensure optimal use of ICAO's funds, prioritized towards the Organization's core mission and Strategic Objectives.

116. The Delegate of Canada stressed that her State took issues of governance, transparency and ethics very seriously in ICAO and in the UN system as a whole. She recalled the address delivered by the Deputy Minister of Transport of Canada during the First Plenary Meeting (P/1) on 24 September 2019, during which he had highlighted the value that Canada placed on international collaboration and the importance of the global forum for international civil aviation which ICAO provided in that regard. The

Delegate of Canada emphasized that ICAO must function well to deliver on matters of global importance, namely, safe, secure, efficient and sustainable air travel for all of its Member States. That was essential in order to ensure that ICAO remained relevant. As a Council Member State, Canada supported all efforts by ICAO to enhance its business practices, borrowing from the best practices of international organizations as suggested in WP/423, but considered that more needed to be done. As such, Canada fully supported WP/423 as a constructive and positive way forward. It also supported the draft Assembly Resolution appended thereto.

117. Referring to WP/48 (Council), the Delegate of Chile acknowledged the efforts made by the Secretariat and the Council to enhance ICAO's efficiency and effectiveness, including the implementation of results-based management. In addition, he expressed support for the actions proposed in WP/423 (United States), which he considered to be reasonable and in line with current developments in international civil aviation, in particular, the projected doubling in the volume of air traffic by 2030 and the innovations taking place in the aviation industry worldwide. The Delegate of Chile underscored that the proposed actions also reflected the general principles of transparency, equal opportunity and mutual responsibility, which fostered a positive working environment, as well as efficiency and effectiveness, including in implementing new technologies, and thus facilitated the achievement of ICAO's Strategic Objectives. While agreeing with the proposal made in paragraph 3.1 c) of the paper that ICAO should develop innovative partnerships with stakeholders to collaborate more closely on existing and emerging aviation issues, he emphasized the need to conduct an indepth analysis of the role of the private sector in such partnerships in order to avoid conflict of interest. The Delegate of Chile reiterated that the partnerships should be well-defined, with specific goals and outcomes, which should be made known to stakeholders well in advance.

118. In endorsing WP/48 (Council), the Delegate of Algeria expressed strong support for the work carried out by the Secretariat and the Council to enhance ICAO's efficiency and effectiveness during the current triennium and voiced full confidence in their continuing efforts in that regard. In that context, he encouraged the restructuring of the Organization in order to enhance ICAO in the near future. The Delegate of Algeria also thanked the United States for presenting WP/423.

119. The Delegate of China stressed that, as the second largest contributor to ICAO's Regular Programme Budget, his State had always actively promoted and supported ICAO in enhancing its effectiveness and efficiency. China highly appreciated ICAO's efforts in that regard over the last three years and commended the Secretary General for leading the Secretariat's work to modernize ICAO's management and so enhance its capability and transparency, as well as efficiency and effectiveness. China had full confidence that the Secretary General and the President of the Council would continue to guide the Secretariat as it forged ahead with its ongoing efforts to modernize the Organization's management in the next triennium. For these reasons, China supported WP/48 (Council) and the draft Assembly Resolution appended thereto.

120. Turning to WP/423 (United States), the Delegate of China observed that the principles set forth therein were already expressed in WP/48. He further noted that some of the actions proposed by the United States, such as demonstrating that ICAO used all available resources in a cost-effective manner, updating the policy of protection against retaliation and inviting MOPAN to conduct an independent assessment of ICAO's organizational effectiveness in 2021, had been discussed in the Council on many occasions without, however, reaching consensus. Moreover, certain elements of WP/423 were not well-balanced. Citing, as an example, the proposal to develop innovative new partnerships with stakeholders, the Delegate of China stressed the need to consider how to effectively avoid conflict of interest. It was also necessary to ensure that ICAO's existing policies and decision-making process, which were driven by its Member States, were not negatively affected. China therefore deemed it necessary for

those specific issues to be further studied by the Council with a view to taking a consensus-based decision. China endorsed the Chairperson's intervention regarding WP/423 (cf. paragraph 105 above).

121. The Delegate of Tunisia lent his full support to WP/48 (Council). He commended the leadership role played by ICAO in implementing its five Strategic Objectives and its NCLB initiative, which provided valuable support to Member States, to the benefit of international civil aviation.

122. In also endorsing WP/48, the Delegate of Cabo Verde commended the initiatives undertaken during the past three years to enhance ICAO's efficiency and effectiveness and emphasized the need for them to continue in the next triennium, in particular, the NCLB initiative. Stressing the need to accord preferential treatment to developing countries, especially Small Island Developing States (SIDS), he recalled that during the Executive Committee's discussion of Agenda Item 20 (EX/2) the President of Council had underscored that the lessons learned from the Pacific Small Island Developing States (PSIDS) Aviation Needs Analysis (WP/47) should be applied to the extent possible to other groups of island States, such as those in the Caribbean and in the Indian Ocean. The Delegate of Cabo Verde encouraged ICAO to promote tools and procedures to improve the efficiency and effectiveness of the Organization, including that of its audit programmes, again with preferential treatment being given to developing countries. He also underscored the need to widely publicize information on the positive results achieved through ICAO's various programmes and activities in order to maintain the Organization's prestigious reputation. In addition, the Delegate of Cabo Verde highlighted the need to always take into account the principle of multilingualism. With respect to WP/423 (United States), he acknowledged the principles set forth therein. Regarding paragraph 3.1 d) and the possible restructuring of the Organization, the Delegate of Cabo Verde reiterated the need for an indepth study of the current situation so as to have a holistic perspective and avoid having certain areas of aviation put aside in favour of other areas. He stressed the need to retain all relevant ICAO programmes and activities.

123. Expressing support for WP/48 and the general approach outlined in WP/423, the Delegate of Argentina highlighted that the two papers were complementary: WP/48 summarized the important progress which had been made during the past three years in increasing ICAO's efficiency and effectiveness and the work that would continue to be carried out in the next triennium, and WP/423 proposed a number of actions which were in the same vein as those currently being pursued and which should be considered by the Secretary General and the Council.

124. Thanking the United States for presenting WP/423, the Delegate of Greece highlighted certain points relating to efficiency and effectiveness which were at the heart of any international organization's achievements and were constantly under discussion, such as properly addressing cross-cutting issues while avoiding duplication of effort, facilitating international cooperation and coordination and increasing the flow of information in order to respond to new and emerging challenges in a more timely manner. She underscored that with the current societal dynamics, the work environment was inevitably expected to adhere to the highest standards and to implement robust frameworks in order to attract and retain highly-skilled personnel. The Delegate of Greece emphasized that efficiency and effectiveness could best be achieved by regular self-assessment and adaptation, as well as adoption of best practices. Observing that there was always room for improvement, she underscored that ICAO could rely on the assistance and active cooperation of its Member States to achieve the best possible results. Recalling that Greece had had observer status on the Council for many years and had been following its important work, she noted that it aspired to be elected a Council Member State at the present Assembly, which entailed, among other responsibilities, a commitment to contribute to those ongoing efforts to enhance ICAO's efficiency and effectiveness.

125. In expressing full support for WP/423, the Delegate of Finland highlighted the importance of modernizing ICAO's management as the aviation industry was becoming increasingly dynamic and

ICAO needed to be able to react accordingly. Sharing this view, the Delegate of Norway endorsed the comments made by the Delegate of Ireland in the same vein.

126. The Delegate of Italy underscored the achievements reported in WP/48 (Council) relating to increasing the Organization's efficiency and effectiveness and noted, with appreciation, Operative Clause 4 of the proposed updated Assembly Resolution appended to the paper, which directed the Council to: "a) continue to streamline the working methods and procedures of the Assembly with a view to increased transparency and efficiency; b) undertake an intensive review of the decision-making processes, working methods and procedures of the Council and its subsidiary bodies with a view to streamlining, delegating authority and improving the cost-effectiveness of the Organization; and c) ensure the effectiveness of the oversight mechanism, with independent reporting procedure to the Council, to provide programme effectiveness, transparency and accountability." He also expressed support for WP/423 (United States), which outlined the steps required to modernize ICAO's management and oversight in order to keep pace with the rapid evolution of the aviation sector and to maintain international high-level Standards. Agreeing with the Delegate of Argentina that WP/423 complemented WP/48 and was not an alternative to that paper, the Delegate of Italy accordingly supported the principles set forth in the draft Assembly Resolution appended to WP/423 and the concrete steps which the Council and the Secretary General were requested to implement during the next three years, including, inter alia: increasing transparency and access to information on ICAO's activities, policies and performance; improving the workplace environment; and developing innovative new partnerships with external stakeholders within clear frameworks.

127. Commenting on WP/423, the Delegate of Sweden noted that an important theme for this Assembly was innovation in aviation. The aviation sector was evolving at a rapid pace, and new challenges were being faced, not only in the traditional areas such as aviation safety and aviation security, but also in the areas of environmental protection and cybersecurity. He affirmed that, in that context, it was crucial that ICAO, as an organization, work as efficiently and as effectively as possible to meet those challenges. The Delegate of Sweden emphasized that his State, like Japan and many others, attached great importance to good governance. It was an issue which all States needed to address at the national, regional and international levels, including in the UN system. Noting that a modern organization was characterized by a governance culture based on transparency and efficiency, the Delegate of Sweden indicated that his State strongly supported the *ICAO Framework on Ethics* approved by the Council in 2018, as well as the new policy on protection against retaliation approved by the Council in 2019, which it strongly urged the Secretariat to implement as a matter of priority.

128. The Delegate of Australia indicated that his State supported all efforts to ensure that ICAO was well-placed to undertake its core business of improving aviation safety, security, capacity and efficiency and sustainability and was able to do so in the spirit of its NCLB initiative. None of that, however, was possible without the highest standards of governance and accountability. Australia welcomed the initiatives undertaken during the current triennium, including the introduction of results-based budgeting, strengthening of the *ICAO Framework on Ethics*, updating the charter of the Evaluation and Audit Advisory Committee (EAAC), developing an *ICAO People Strategy*, and launching various campaigns within the Secretariat to improve the workplace environment. In applauding that work, which had been carried out under the leadership of the Secretary General and the President of the Council, Australia stressed the need for it to continue to ensure that ICAO could be an employer of choice and was able to be a trusted partner that could mobilize resources. This was the same view that Australia held with regard to other UN Specialized Agencies, such as the IMO.

129. The Delegate of Australia noted that his State supported, in principle, the direction of WP/423 (United States), which it deemed to be complementary to WP/48. Australia considered that it was

important for the Assembly not to get caught up in the details of the specific proposals contained in WP/423 and that the Council was best placed to discuss them based on a general instruction given by the Assembly. Australia therefore urged the Assembly to adopt a decision or an Assembly Resolution along the lines proposed in WP/423. While it appreciated the comments that had been made to the effect that the initiatives outlined in that paper were already underway, Australia considered that extra emphasis in a further and specific instruction from the Assembly to the Council to deliver and report back by the next Assembly was warranted to underscore the importance of these key issues.

130. The Delegate of Ecuador also welcomed the substantial progress made during the last three years in enhancing ICAO's efficiency and effectiveness as outlined in WP/48 (Council) and expressed appreciation to the President of the Council, as well as to the Secretary General and the Secretariat, for their efforts in that regard. With regard to WP/423 (United States), he agreed with the Delegates of Argentina, Italy and Australia that it complemented WP/48 and that the proposed actions, which were in the same vein as those currently being pursued, should be considered by the Secretary General and the Council. The Delegate of South Sudan endorsed these comments

131. The Delegate of Brazil noted that his State shared the concerns raised by many States regarding ICAO's governance and supported WP/423. Like Sweden, Brazil fully supported the new *ICAO Framework on Ethics* and the recently-approved policy on protection against retaliation. It considered that improving and strengthening ICAO's governance and transparency was of the utmost importance and that WP/423 offered a very good starting point to modernize ICAO's management and oversight. However, Brazil was of the view that the proposal made in paragraph 3.1 c) on leveraging partnerships for a better future required refinement to ensure that the role of private sector participants in such partnerships was clear and avoided conflicts of interest and that ICAO's role as an effective and independent regulator of the aviation sector was preserved.

132. The Delegate of Bangladesh voiced full support for WP/48 (Council) and expressed appreciation for the guidance provided in WP/423 (United States). He emphasized that Bangladesh valued the work that ICAO was performing, in collaboration with States and other UN Specialized Agencies, to help achieve the UN's visionary socio-economic and environmental Sustainable Development Goals (SDGs) set forth in its Agenda 2030. Bangladesh deeply appreciated the dynamic leadership and hard work of the President of the Council and the Secretary General which had brought success to ICAO, the premier aviation organization. In particular, it was grateful to Dr. Fang Liu, the first woman Secretary General of ICAO, and the Secretariat for their efficient conduct of business, particularly for promoting the ICAO Gender Equality Programme and female empowerment in ICAO and across the international aviation sector, as well as for the NGAP Programme. Bangladesh also expressed its sincere thanks to ICAO for its NCLB initiative, civil aviation training and capacity-building and technical cooperation in line with ICAO's Strategic Objectives relating to aviation safety, air navigation capacity and efficiency, security and facilitation, the economic development of air transport and environmental protection. Bangladesh underscored the importance of ensuring that ICAO's priorities were aligned with the targets and timelines presented in those Strategic Objectives.

133. The Delegate of France recalled the statement made recently by his State's Minister for Europe and Foreign Affairs at the 74th Session of the United Nations General Assembly (UNGA) that multilateralism was not merely a slogan and that it was necessary to put words into action. He noted that France was as a major financial contributor to ICAO, and had a very strong attachment to the Organization. Consequently, it wanted ICAO to be exemplary and to be at the forefront of efforts in the UN system to strengthen transparency, ethics, effectiveness, good governance and accountability. France thus supported, in general, the actions proposed in WP/423 (United States). Noting that ICAO had recently gone through some turbulent times, particularly in the area of information security, France emphasized the need to strengthen the corrective actions which had been taken in order to ensure that ICAO remained the reference

point for all aviation stakeholders. As had been highlighted in the general statement which the Delegate of France had delivered at the Second Plenary Meeting (P/2) on 24 September 2019 (cf. WP/612), it was essential that ICAO reform its organizational structure and working methods in order to meet the challenges which would face the international aviation sector in the next 75 years and beyond. France encouraged the Council to adopt its approach and to undertake that work with ambition and a spirit of cooperation.

134. The Delegate of Mozambique voiced strong support for WP/48 (Council) and the draft Assembly Resolution set forth in the Appendix thereto, as well as for H/SPCP's oral report and clarifications. While recognizing ICAO's leadership in the field of international civil aviation, he also endorsed WP/423 (United States), in particular the actions proposed in paragraph 3.1 a) - d) and the draft Assembly Resolution appended to the paper.

135. The Delegate of Mexico likewise expressed support for WP/48 and the appended draft Assembly Resolution. He emphasized that his State was firmly committed to the principles of efficiency and effectiveness, transparency and accountability and to having an ethical framework, issues which were also raised in WP/423 (United States). The Delegate of Mexico concurred with previous speakers that the actions proposed in that paper, which were in the same vein as those put forward in the said draft Assembly Resolution, should be considered by the Council during the ongoing work to enhance the efficiency and effectiveness of ICAO, taking into account the principles enshrined in the Chicago Convention and relevant ICAO policies.

136. In echoing the comments made by the Delegate of Singapore, the Delegate of Colombia voiced support for WP/423, which complemented WP/48. He affirmed that the best ethical practices, such as good governance, transparency, and efficiency and effectiveness, should guide ICAO in forging ahead into the future.

137. The Delegate of the United Kingdom welcomed the work outlined in WP/48, as well as H/SPCP's oral report on the ongoing review of the structure of the ICAO Secretariat. He emphasized that the work streams, organization and priorities of ICAO should continue to reflect the demands of its stakeholders but be flexible enough to adapt to those challenges organically. Noting that the Secretary General and the Secretariat had already taken steps in that direction and implemented several initiatives, the Delegate of the United Kingdom underscored the need to do everything possible to support them and enable them to continue to make those changes as rapidly as possible.

138. With that in mind, the Delegate of the United Kingdom joined many other Delegates in supporting WP/423 (United States). He underscored that the pace of change in the aviation sector in the 21st century was astonishing, as had been illustrated during the ICAO Innovation Fair, which had taken place on 22-23 September 2019 prior to the opening of the 40th Session of the Assembly. It was necessary for ICAO, like other organizations, to adapt, evolve and modernize in order for the increasingly complex and changing air transport system to be efficient, agile and responsive to new challenges and be at the forefront of innovation in the aviation sector. The Delegate of the United Kingdom recalled that his State had already strongly supported the work done by the Secretariat in many areas, including the examination of the Regular Programme Budget, where it was looking forward to working closely with the Secretariat on modernizing the financial management of the Organization.

139. Noting that his State had also strongly supported the initiatives to increase ICAO's engagement with stakeholders, the Delegate of the United Kingdom emphasized that while much good work was currently being done with the aviation industry, more could be done. Noting the increase in non-traditional aviation actors engaging with the aviation sector, he stressed the need for ICAO to be more outward facing in order to gain valuable insights and to work in concert with those at the cutting-edge of

technology. The Delegate of the United Kingdom underscored that ICAO could also do more to better communicate what it did beyond the specialist aviation press to the mainstream media. He noted that the youth Climate Strike march which had taken place in Montréal and in other cities around the globe on 27 September 2019 had highlighted the need for ICAO to reach out to a new audience. The Delegate of the United Kingdom stressed that ICAO should champion the good work which the Executive Committee had done at its previous meeting (EX/6) regarding aviation's impact on the global climate and should showcase the work being done to ensure that aviation was more safe and secure than ever before, as well as its capacity-building efforts around the globe, which should be a source of pride. He emphasized that ICAO should also follow the practice of other organizations in the UN family and open up more of its discussions to the general public. Recalling that that was already possible under existing rules of procedure, the Delegate of the United Kingdom indicated that it was necessary to work out how best to use that possibility to benefit the public perception of ICAO.

140. Reiterating that the core purpose of ICAO was to provide a safe, efficient, secure, economically sustainable and environmentally responsible civil aviation sector, the Delegate of the United Kingdom emphasized that in order to do so it was necessary for the Organization to continue to attract the best people from around the globe, selected on the basis of their experience and expertise, whether from the aviation sector or from other sectors from which ICAO could learn. He stressed that as ICAO personnel needed to be supported and kept happy it was necessary to consider what actions could be taken to continually modernize and update the Organization's human resources management practices in order to be in line with the best approaches of the UN system and States around the world, including in relation to the *ICAO Framework on Ethics* and the policy on protection against retaliation.

141. In conclusion, the Delegate of the United Kingdom emphasized that his State firmly supported the evolution and modernization of ICAO and considered that that should be treated as a priority over the coming months and years, working hand-in-hand in cooperation with Member States and the Secretariat to ensure that ICAO continued to spearhead civil aviation over the next 75 years and beyond.

142. The Delegates of Qatar, Denmark and the Republic of Korea also expressed support for WP/423, including the appended draft Assembly Resolution. In so doing, the Delegate of Qatar highlighted that ICAO had a history of keeping up with, and even staying ahead of, the remarkable advances in civil aviation which had occurred since the adoption of the Chicago Convention 75 years ago and which would relentlessly continue. He underscored that this provided an opportunity to re-examine the current working methods and practices of ICAO to ensure that the Organization continued to meet the expectations of the international aviation community which it served.

143. The Delegate of Denmark recognized the need for ICAO to renew its commitment to a continuation of the Organization's consensus-based tradition, while at the same time adjusting its working methods in order to meet the challenges associated with the accelerating pace of developments in the dynamic civil aviation sector. Noting that effectiveness was a key word, he underscored that to meet those challenges it was very important that ICAO strengthen its policies on transparency, accountability and ethics, including the protection of whistleblowers.

144. The Delegate of Cuba voiced support for WP/48 (Council). Recalling that Cuba had served as a Council Member State during the current triennium, she indicated that it considered that the restructuring of the Organization should be addressed in a more holistic manner. Cuba agreed with the view expressed by the Delegate of the Russian Federation that ICAO needed to remain a technical organization and not become a forum for discussion of political issues. As such, ICAO should continue its work to achieve its five Strategic Objectives, as well as the targets and objectives of its Global Plans. Cuba also shared the view expressed by the Delegate of South Africa that the useful elements of WP/423 (United States) relating to increasing ICAO's efficiency and effectiveness should be considered by the

newly-elected Council as part of the Organization's work programme for the next triennium. In concluding, the Delegate of Cuba noted that her State applauded the results achieved by ICAO during the last three years under the leadership of the President of the Council and the Secretary General and would continue to work constructively with the newly-elected Council in order to achieve all that had been proposed during the present Assembly.

145. Noting that good governance, efficiency and effectiveness and the achievement of ICAO's Strategic Objectives were of the utmost importance, the Delegate of Turkey expressed confidence that the Secretariat would sustain those principles and Strategic Objectives in carrying out the measures outlined in WP/48 during the next triennium. At the same time, he considered that WP/423 (United States) contained very significant proposals to modernize ICAO's management and oversight which should be assessed by the Council and put to best use by the Secretariat.

146. The Delegate of Uruguay endorsed WP/48, as well as the principles set forth in WP/423 insofar as they contributed to increasing the efficiency and effectiveness of ICAO in a constructive manner.

147. The Delegate of Malaysia voiced support for WP/423 and agreed with previous speakers that the Council should consider the actions proposed therein. With regard to WP/48, he expressed appreciation for the hard work done by the Secretariat during the current triennium to improve ICAO's efficiency and effectiveness in many areas, including: the development of the ICAO Business Plan, the results-based Budget and the CMRT; enhancing communication with Member States through widespread dissemination of information; improving working methods and procedures through the use of automation and IT tools; and enhancing public information and outreach. The Delegate of Malaysia affirmed that those actions were vital to meet the evolving needs of the Organization, its Member States, and the international aviation community. He also endorsed the additional measures to further modernize ICAO's procedures and processes during the 2020-2022 triennium as outlined in WP/48.

148. Congratulating ICAO on its achievements during the current triennium, the Delegate of Mali expressed support for WP/48 and the appended draft Assembly Resolution. Agreeing with previous speakers that WP/423 (United States) complemented that paper, he joined them in calling for its proposals to modernize ICAO's management and oversight to be considered as part of the Organization's work programme for the next triennium.

149. The Delegate of Panama lent his support to the measures proposed in WP/48, as well as to those proposed in WP/423, which had the same goal of increasing ICAO's efficiency and effectiveness.

150. In observing that it was necessary for every organization to continuously modernize, the Delegate of Spain underscored that in ICAO's case such modernization was to serve the interests of its Member States. Emphasizing that good governance practices were essential and formed the cornerstone of ICAO's corporate culture, he voiced strong support for the actions proposed in WP/48 (Council) to further improve the Organization's efficiency and effectiveness during the 2020-2022 triennium. Noting, however, that they might not be sufficient, the Delegate of Spain agreed with previous speakers that the complementary proposals set forth in WP/423 (United States) should be considered as part of the Organization's work programme for the next triennium. With regard to the draft Assembly Resolution appended to that paper, the Delegate of Spain suggested that Operative Clause 1 be revised to only request the Council to take the concrete steps referred to therein as it was the responsibility of the Council to achieve the set objectives, with the assistance of the Secretary General and the Secretariat, and to report to the next Assembly on the implementation of the measures and their impact.

151. Highlighting that ICAO would soon be celebrating its 75th Anniversary, the Delegate of India indicated that she was proud that the Organization had successfully met the challenges it had faced over the years in working to ensure the safety of air transport. Noting that the President of the Council and the Secretary General had worked extremely hard during the current triennium to enhance ICAO's efficiency and effectiveness, she expressed gratitude to them, and endorsed the measures for further improvements proposed in WP/48 (Council). In light of the new challenges posed by innovation in aviation and technology and the need for ICAO to be prepared for the next 75 years and beyond, the Delegate of India also supported the actions proposed in WP/423 (United States).

152. The Delegate of Cameroon also endorsed WP/48. Expressing appreciation for the measures proposed by the United States in WP/423 to modernize ICAO's management and oversight, and recognizing a certain convergence between them and the measures proposed by the Council in WP/48, she suggested that the basic elements be combined and considered as part of the Organization's work programme for the next triennium.

153. In likewise endorsing WP/48, the Delegate of Mauritania voiced appreciation for the significant efforts made during the current triennium to increase ICAO's efficiency and effectiveness. Noting, however, that further progress could be made in that regard, he also expressed support for the actions proposed in WP/423. Drawing attention to the other measures for improving the effectiveness and efficiency of the Organization listed in the Appendix to the draft Assembly Resolution contained in WP/48, the Delegate of Mauritania spoke in favour of any measures that would strengthen the degree of autonomy given to the regional planning process and the associated authority and resources given to the ICAO Regional Offices, while ensuring adequate coordination at the global level [cf. paragraph d)]. He emphasized that it was important to strengthen the Regional Offices' resources in order to enable them to provide the assistance requested on a regular basis by Member States.

154. The Delegate of New Zealand welcomed the information contained in WP/48 (Council) and endorsed the actions proposed in the paper. In also expressing support for WP/423 (United States) and the principles set forth therein, he agreed with previous speakers that the two papers were complementary. The Delegate of New Zealand thus endorsed the interventions by the Delegates of Australia, Singapore and European States in that regard.

155. In expressing full support for WP/48 and complementary WP/423, the Delegate of Eritrea emphasized that the actions proposed in both papers should be considered and implemented, as appropriate, as part of the Organization's work programme for the next triennium. He endorsed the comments made by the Delegates of China and Singapore in that respect. The Delegate of Eritrea underscored that ethics, efficiency and effectiveness, transparency, accountability, credibility and neutrality were of fundamental importance to ICAO's corporate health and future development.

156. Also endorsing both papers, the Delegate of Costa Rica concurred with the comments made by the Delegates of Mexico, Spain and Australia. Referring to paragraph 2.5.3 of WP/48 on the development by several ICAO Regional Offices of institutional strategies to implement NCLB activities, he congratulated the ICAO North American, Central American and Caribbean Regional Office on the fact that all States within the NACC region had signed the *Declaration of Intent for Implementing the NACC NCLB Strategy*. The Delegate of Costa Rica underscored that his State was testimony to the fact that in the NACC region no country was being left behind and that each one was receiving the support it required to implement ICAO SARPs. Noting that the aviation sector was an important pillar of the global economy, currently providing more than 390 000 jobs worldwide, and that it was growing and evolving at a rapid pace, he stressed the need for the Council to continue to show, in the next triennium, transformational leadership in a transparent way and to enhance access to ICAO information.

157. Voicing support for WP/423 (United States), the Delegate of the United Arab Emirates indicated that his State looked forward to cooperating with other States and ICAO in modernizing the Organization's management and oversight, which would in turn enhance the effective implementation of ICAO's SARPs, policies and programmes.

158. Expressing support for WP/48 (Council), the Observer from CANSO affirmed that increasing the efficiency and effectiveness of ICAO was essential in this period of important and rapid innovations in aviation. He also endorsed complementary WP/423 (United States) and the appended draft Assembly Resolution, which called for concrete steps to be taken by the Council and the Secretary General to "increase transparency, improve the workplace environment, develop innovative new partnerships with external stakeholders, increase organizational effectiveness, and assure that consensus-based results remain a core value and objective of ICAO and its subject matter expert bodies, and mobilize additional resources for greater delivery." The Observer from CANSO underscored that his organization was committed to assisting with improving the efficiency and effectiveness of ICAO. He further emphasized that the rapid pace of innovations in aviation created the need for ICAO to be proactive and to produce the required regulatory framework and guidance material.

159. The Secretary General thanked Member States for their recognition of the progress made by the Secretariat, under her leadership, in improving ICAO's efficiency and effectiveness during the current triennium. As some Member States had indicated, without such progress it would not have been possible for ICAO to deliver an increased volume of enhanced services over the course of the last three years. The Secretary General noted that the Executive Committee's discussions during the past week had clearly demonstrated that Member States were satisfied with the services provided by ICAO.

160. Underscoring that efficiency and effectiveness, transparency and an ethics culture had been her priority in the current triennium and would continue to be her priority in the next triennium, the Secretary General reaffirmed her commitment to work thereon, together with her Senior Managers and Member States. In that context, she welcomed the recommendations made by the United States in WP/423, and would review those which fell within her competency with her Senior Managers to determine how they could be implemented as part of the ongoing efforts to further enhance ICAO's efficiency and effectiveness in order to be able to deliver even better services to Member States. The Secretary General welcomed Member States' recommendations in that regard and called for their support to make ICAO one of the best organizations within the UN system. She also called on Member States to provide ICAO with additional resources to enable the Secretariat to carry out the related tasks. Reiterating that organizational transformation could not be achieved overnight, the Secretary General emphasized that efforts in that regard had accelerated during the current triennium. She noted, however, that the rapidly changing world of aviation, with the introduction of new technologies and the anticipated doubling in the volume of air traffic by 2030, necessitated a redoubling of efforts to enhance the Organization's efficiency and effectiveness. The Secretary General expressed confidence that with the support of her Senior Managers and Member States, ICAO could become more efficient and effective and transparent in delivering the services which Member States expected.

161. The President of the Council, Dr. Aliu, thanked all Member States for their comments and constructive engagement in the present discussion. He noted that increasing the efficiency and effectiveness of ICAO had been a recurring Agenda Item over several Assembly sessions as it was a work in progress. It was his belief, notwithstanding the discussion, that ICAO was one of the most efficient and effective organizations in the UN system. That being said, every organization was subject to continuous improvement. Out of its desire to remain the lead organization for addressing issues relating to international civil aviation, ICAO had continuously improved over the years, taking bold decisions and transforming the Organization to the benefit of Member States and the aviation industry. Dispelling any misconception that

might have arisen from the discussion that ICAO was a broken Organization, the President of the Council affirmed that it was an efficient and effective organization seeking to become more efficient and effective.

162. The President of the Council cited, as examples, two initiatives which he had inspired during his six years in office, namely the NCLB initiative and the Innovation Fair. He highlighted that the inaugural Innovation Fair had been held from 22-23 September 2019 in conjunction with the Fifth ICAO World Aviation Forum, whose theme had been *Innovation in Aviation*. The President of the Council noted that IWAF/5 had focused on two aspects: providing the high-level government officials in attendance with insights into the ways in which innovations could be implemented for aviation development; and innovating legacy regulatory processes and frameworks in order to meet the needs of emerging technologies. The President of the Council viewed the present discussion within that context.

163. The President of the Council noted that during the current triennium the Council had concentrated on the issue of governance and had made, and would continue to make, decisions to assist the Secretariat in its work to ensure that ICAO remained the most efficient and effective organization in the UN system. He recalled that in presenting WP/423 the Delegate of the United States had stated that increasing the Organization's efficiency and effectiveness was one of the most important issues before this Assembly. Observing that it was a question of priority, the President of the Council indicated that while all of the work undertaken by ICAO was important, it was necessary to prioritize as there were insufficient resources to carry out all of the activities in the Organization's Business Plan. While recognizing the importance of the issue of governance, he enjoined Member States to ensure that in prioritizing the work of the Organization for the next triennium they continued to accord priority to the important issues of aviation safety, security and facilitation, air navigation capacity and efficiency, the economic development of air transport and environmental protection. The President of the Council highlighted ICAO's achievements in those areas during the last three years, citing: enhanced aviation safety and effective implementation; lower accident rates; implementation of the Global Aviation Safety Plan (GASP), the Global Air Navigation Plan (GANP) and the Global Aviation Security Plan (GASeP) to the benefit of Member States; improved communications with Member States; and the NCLB initiative.

164. The President of the Council all enjoined the major financial contributors to ICAO to continue to support the Organization in order to meet the needs of developed and developing countries to ensure that the global aviation network continued to flourish in every region of the world. In addition, he appealed to the newly-elected Council to allocate time and resources not only to the issues of governance and increasing the efficiency and effectiveness of ICAO but also to the issues which supported the development of international civil aviation all over the world, namely, aviation safety, security and facilitation, air navigation capacity and efficiency, the economic development of air transport and environmental protection.

165. Recalling the earlier announcement by the Delegate of the United States that unlike its past practice of paying half of its assessed contribution by 30 September, the end of its fiscal year, the United States would not be paying that assessed contribution and that all further assessed contributions to ICAO were on hold until further notice (cf. paragraph 101 above), the President of the Council also appealed to the United States not to step away from ICAO. He urged the United States to continue to provide support to the Organization in such a way that the great work that the experts from the United States' Federal Aviation Administration (FAA) and Transportation Security Administration (TSA) were doing in ICAO's various technical panels to enhance aviation safety and security globally would continue while the said issues of governance and increasing the efficiency and effectiveness of ICAO were being addressed by the Council. The President of the Council emphasized that without all of the resources which the United States contributed to ICAO it would not be possible to achieve all of the lofty programmes enunciated by the United States' Secretary of Transportation in the general statement which she had delivered at the Second Plenary Meeting (P/2) (cf. WP/603).

166. The President of the Council encouraged the Secretary General and the Secretariat to take on board some of the important issues which had been raised during the discussion on increasing ICAO's efficiency and effectiveness. With respect to the question of an Assembly Resolution, he clarified that ICAO's traditional approach was to have only one Assembly Resolution relating to a given Agenda Item so as to avoid confusion. In speaking in favour of the action suggested by the Delegate of Australia with regard to WP/423 (United States), the President of the Council proposed that the Assembly draw the Council's attention to the key elements of that paper and instruct it to give them careful consideration with a view to incorporating them in the ongoing efforts to increase the Organization's efficiency and effectiveness.

167. In summarizing the discussion, the Chairperson indicated that the Executive Committee noted WP/48 presented by the Council and appreciated the achievements realized to increase the efficiency and effectiveness of ICAO in the current triennium. The Executive Committee also noted the information presented in H/SPCP's oral report on the examination of the current structure of the ICAO Secretariat. It acknowledged that this process would be presented as part of a consultation process with Member States via the State letter consultation mechanism and would aim for a balanced and pragmatic solution, which would put the realization of ICAO's Strategic Objectives and Member States' interests at the centre of its consideration, in order to ensure the continuous relevance of the Organization.

168. The Executive Committee noted that WP/48 (Council) and WP/423 (United States) were complementary and supported the adoption by the Assembly of the proposed updated Assembly Resolution on increasing the efficiency and effectiveness of ICAO appended to WP/48.

169. The Executive Committee supported the recommendations stemming from WP/423 that highlighted that it was necessary to pursue efforts to further modernize ICAO's working methods, management and oversight to better meet the needs of the Member States and keep pace with the changing environment. Those efforts should focus on increasing transparency for better decision-making, providing a positive environment for higher performance in line with the *ICAO Framework on Ethics*, leveraging partnerships and mobilizing resources, and improving organizational effectiveness through better programming, enhanced coordination mechanisms, and restructuring where appropriate. While the Executive Committee supported WP/423, it was agreed that the proposed draft Assembly Resolution appended thereto was already covered by existing Assembly Resolutions and policies on this subject. The Executive Committee proposed that ICAO continue to pursue its efforts to increase the efficiency and effectiveness of the Organization. It also agreed that the Secretariat would continue to provide regular updates on this subject to the Council and report back to the 41st Session of the Assembly.

170. Responding to the Chairperson's summary, the Delegate of the United States disagreed with the statement that all of the concerns raised in his State's proposed draft Assembly Resolution (WP/423) were already covered by existing Assembly Resolutions and policies. Reiterating that the United States wanted ICAO to be effective, he emphasized that it would not compromise on the core principles set forth in WP/423. Noting that he had prepared a proposal for incorporating the text of the draft Assembly Resolution appended to that paper into the Council's proposed updated Assembly Resolution appended to WP/48, the Delegate of the United States asked that it be given consideration.

171. Recalling the clarification which he had provided during the Executive Committee's previous discussion of Agenda Item 16 (EX/5), the President of the Council highlighted that there were two ways in which the Assembly could give instructions to the Council on this subject: in the body of the Assembly Resolution or in the Report on Agenda Item 19. He proposed that the key elements of WP/423 (United States), in particular, of Operative Clause 1 of the appended draft Assembly Resolution, be reflected in the Executive Committee's Report on Agenda Item 19.

172. Noting the points raised by the Delegate of the United States, the Chairperson of the Executive Committee indicated that he and the President of the Council, as well as relevant Secretariat staff members, would meet with him immediately after the present meeting to discuss his proposal. The Executive Committee would be informed of the outcome at its next meeting, when it would resume consideration of Agenda Item 19.

173. The meeting adjourned at 1230 hours.

Minutes of the Eighth Meeting
(Monday, 30 September 2019 at 1430 hours)

SUBJECTS DISCUSSED

1. Agenda Item 19: Increasing the efficiency and effectiveness of ICAO (continued)

Improving structure and response to State letters for better implementation of SARPs, PANS and Global Plans
 - Paper presented by Cameroon
 - Paper presented by the United Arab Emirates
 - Paper presented by Cuba and co-sponsored by Argentina, Aruba, Belize, Bolivia (Plurinational State of), Brazil, Colombia, Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru and Venezuela (Bolivarian Republic of)

2. Agenda Item 23: Technical Assistance Programme

Technical Assistance
 - *Report on ICAO's Technical Assistance Programme*
 - Paper presented by Canada and New Zealand
 - Paper presented by the African Civil Aviation Commission (AFCAC)
 - Information paper presented by the Corporación Centroamericana de Servicios de Navegación Aérea (COCESNA) Member States
 - Information paper presented by Canada
 - Information paper presented by Indonesia
 - Information paper presented by Venezuela (Bolivarian Republic of)
AFI SECFAL Plan
 - *Progress report on the implementation of the Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL PLAN)*
 - Paper presented by AFCAC

3. Agenda Item 24: Policy and Activities on Technical Cooperation
 - *Policy and activities on technical cooperation during the period 2016-2018*
 - Information paper presented by the Interstate Aviation Committee (IAC)

4. Agenda Item 26: Other high-level policy issues to be considered by the Executive Committee

Commercial Space

- *Report on Commercial Space Transport (CST)*
- Paper presented by the International Federation of Air Traffic Controllers' Associations (IFATCA), the International Federation of Air Line Pilots' Associations (IFALPA) and the International Air Transport Association (IATA)

Innovation

- *Innovation in Aviation*
- Paper presented by the Dominican Republic
- Paper presented by France, Italy and Sweden
- Paper presented by Singapore and co-sponsored by Australia, the Cook Islands, Fiji, Indonesia, the Lao People's Democratic Republic, the Marshall Islands, Nauru, North Macedonia, Palau, Papua New Guinea, Samoa, Trinidad and Tobago, the United Kingdom and the Civil Air Navigation Services Organisation (CANSO)
- Paper presented by the United Arab Emirates
- Paper presented by CANSO, IATA and IFALPA
- Paper presented by the International Coordinating Council of Aerospace Industries Associations (ICCAIA) and CANSO
- Papers presented by ICCAIA

SUMMARY OF DISCUSSIONS

Agenda Item 19: Increasing the efficiency and effectiveness of ICAO

1. The Executive Committee resumed (EX/7) and completed its consideration of Agenda Item 19. An update was provided regarding the outcome of the meeting held immediately after EX/7 between the Chairperson, the President of the Council, relevant Secretariat staff members and the Delegate of the United States regarding the latter's proposal to incorporate text of the draft Assembly Resolution appended to WP/423 to the Council's proposed updated Assembly Resolution on increasing the efficiency and effectiveness of ICAO appended to WP/48. Thereafter discussion focussed on the issue of improving structure and response to State letters for better implementation of SARPs, PANS and Global Plans, which was documented in three papers presented by States.

Update regarding the draft Assembly Resolutions appended to WP/48 (Council) and WP/423 (United States)

2. The Chairperson informed the Executive Committee that during the said meeting with the Delegate of the United States the draft Assembly Resolutions appended to WP/48 (Council) and WP/423 (United States) had been reviewed. Since the recommendations included in the two papers were complementary, as had been generally recognized during the Executive Committee's previous discussion (EX/7), it had been possible to merge the two draft Assembly Resolutions under the title *Increasing the efficiency and effectiveness of ICAO*. The Executive Committee would have the opportunity to review the resulting text of the Assembly Resolution when it considered the draft Report on Agenda Item 19 (WP/582).

Improving structure and response to State letters for better implementation of SARPs, PANS and Global Plans

3. The Delegate of Cameroon presented WP/467 (*Improving response tools to ICAO State letters regarding amendments to Annexes and PANS*), which underscored the need for Member States to have effective tools for responding to ICAO State letters relating to amendments to Annexes and Procedures for Air Navigation Services (PANS) in order to address the low response rate which had been observed for a number of years. The paper emphasized that consideration of proposed Annex and PANS amendments by Member States must also involve relevant stakeholders, especially industry, and noted that that could be facilitated by establishing collaborative tools to share ICAO State letters and gather observations. The paper recalled, in that regard, the presentation at ICAO meetings held at Headquarters and in some regions in 2014 of the tool entitled *Electronic Notice of Proposed Amendment (ENOPA)* as part of ICAO's electronic safety tools package. ENOPA enabled Member States to, inter alia, receive ICAO State letters on amendment proposals, provide comments thereon to ICAO, and invite experts to collaborate online to consider amendment proposals by filing comments or holding teleconferences. The paper highlighted that ICAO had not subsequently deployed ENOPA for the benefit of Member States and underscored that in light of Assembly Resolution A39-21, Operative Clause 4, ICAO must focus on finalizing and effectively deploying ENOPA or any other similar platform aimed at facilitating the response to ICAO State letters.

4. The Assembly was invited in WP/467 to:

- a) take note of the information contained in the paper; and
- b) request ICAO to finalize the development of an online collaborative tool to facilitate the response to State letters on amendments to Annexes and PANS.

5. The Delegate of the United Arab Emirates introduced WP/245 (*Exploring new methods of work for ICAO*). The paper reiterated the growing concern regarding the challenges faced by Member States as a result of the volume of ICAO correspondence, raised at the last Assembly by the United Arab Emirates in information paper A39-WP/320. It called for ICAO to evaluate the volume and frequency of update of its publications and to assess if the expected results were actually achieved.

6. The Assembly was invited in WP/245 to:

- a) take note of the Evaluation and Internal Audit Office's (EAO's) Report on the evaluation of the ICAO Standard-setting Process (EV/2018/01);
- b) instruct the ICAO Council to evaluate ICAO's methods of work for more outcome-oriented outputs rather than prescriptive outputs, in particular when dealing with the promulgation process of publications; and
- c) instruct ICAO to implement a measurement and monitoring system of ICAO methods that would indeed encourage the development of game-changing work approaches that will facilitate the implementation of Standards and Recommended Practices (SARPs), the Global Aviation Safety Plan (GASP) and the Global Air Navigation Plan (GANP) within States.

7. The Delegate of Cuba introduced WP/461 (*Structure recommended for the text of SARPs amendments, with different content applicability dates adopted by the ICAO Council*), which was co-sponsored by Argentina, Aruba, Belize, Bolivia (Plurinational State of), Brazil, Colombia, Costa Rica, the Dominican Republic, El Salvador, Guatemala, Honduras, Jamaica, Mexico, Nicaragua, Panama, Paraguay, Peru and Venezuela (Bolivarian Republic of). The paper highlighted that ICAO's new editorial

practices for SARPs which had different applicability dates complicated the process for incorporating the SARPs into States' national regulations and for the filing of differences. The Assembly was accordingly invited to recommend that ICAO structure the text of SARPs amendments adopted by the ICAO Council, should each requirement become applicable on a different date, by dividing the content into parts (A, B, C, etc.), by applicability date, as in the specific case shown in paragraph 1.7 a) of the paper, which would simplify the notification of differences and enable a clearer interpretation of the differences filed for each applicability date.

Discussion

8. The Delegates of Chile, Nicaragua, Venezuela (Bolivarian Republic of), Colombia, Uruguay, Argentina, Nigeria, Congo, Algeria, and Cameroon endorsed the action proposed in WP/461 (Cuba and co-sponsors) which they considered would simplify the format of SARPs with different applicability dates, rendering them more comprehensible and thus facilitating their implementation, as well as the notification of differences. In addition, the Delegates of Argentina, Nigeria, Congo and Algeria expressed support for the action proposed in WP/467 (Cameroon) since it would enhance SARPs development and implementation. The Delegates of France, Senegal, Benin, South Africa, Mali and Cuba likewise voiced support for WP/467. In so doing, the Delegate of Senegal reiterated that the action proposed in that paper was in line with Assembly Resolution A39-21, Operative Clause 4, in which the Secretary General was requested to investigate and, as necessary, introduce new communications tools, including web-based solutions, as a means to improve communication and interaction with Member States and other recipients of State letters and the recording of replies in the ICAO Records Management System.

9. The Delegates of Switzerland, Turkey and Spain also endorsed the actions proposed in both WP/461 (Cuba and co-sponsors) and /467 (Cameroon), with the Delegate of Spain underscoring that they should be referred to the Council for consideration, with the support of the Air Navigation Commission (ANC).

10. The Delegate of the United States indicated that while her State supported ICAO looking at ways to improve the structure for the text of SARPs amendments with different applicability dates, it suggested that the Secretariat consider not only the method proposed in WP/461 but also other methods.

11. Highlighting that today, 30 September, was *International Translation Day*, the Delegate of Cuba congratulated ICAO's interpretation and translation teams for their excellent work in facilitating the Assembly's deliberations. Referring to the Executive Committee's earlier consideration of Agenda Item 18: *Multilingualism at ICAO*, she reiterated her concern that ICAO guidance material for the implementation of SARPs and PANS was not published simultaneously in all six languages and repeated her suggestion that consideration be given to including in future triennial Budgets a specific allocation for the translation of guidance material into all of the Organization's official languages (cf. A40-Min. EX/2, paragraph 137).

12. In expressing full support for WP/467 (Cameroon), the Delegate of Cuba affirmed that the action proposed would improve the response rate to State letters on amendments to Annexes and PANS, which in 2018 had only been 40 per cent i.e. only some 77 Member States had replied thereto (cf. WP/48, paragraph 2.5.1; EX/7). Furthermore, it would address the concerns which she had previously expressed in the Council that although Article 90 a) of the Chicago Convention specified that the adoption of an Annex amendment required the vote of two-thirds of the Council, there was no requirement for a minimum number of replies to State letters on Annex amendment proposals to be received prior to the submission of the latter to the Council for adoption (cf. C-MIN 217/2, paragraph 10). The Delegate of Cuba recognized that it was difficult to obtain responses to such State letters from a majority of Member States and averred that often the comments that were received were not accepted by ICAO. She expressed the hope that the action

proposed in WP/467 would be taken into account by the Secretary General in implementing further measures to improve ICAO's efficiency and effectiveness during the next triennium.

13. In offering clarifications, the Chief, Strategic Planning and Regional Affairs Coordination (C/PRC) noted, with regard to WP/467 (Cameroon), that ICAO had not yet fully completed the production of ENOPA due to resource constraints. He underscored that the Council had recently considered EAO's Report on the evaluation of the ICAO Standard-setting Process (EV/2018/01) and that the Secretariat would consider the information provided in WP/467 when implementing the Report's recommendations.

14. Referring to WP/245 (United Arab Emirates), C/PRC highlighted that the GANP and the GASP had instituted new processes to ensure that both Global Plans remained focused on delivering results. Noting that that included the establishment of the GANP and GASP Working Groups, which would continuously monitor the Global Plans' efficiency and effectiveness and make recommendations for improvement, he suggested that the recommendations made in WP/245 be referred to those two Working Groups for consideration. In addition, C/PRC highlighted that the Secretariat was in the process of implementing a project-oriented approach linking the work programmes of Headquarters and the Regional Offices with the GANP and the GASP, as well as with the United Nations Sustainable Development Goals (SDGs).

15. With respect to WP/461 (Cuba and co-sponsors), C/PRC welcomed the feedback provided on the new editorial practices for SARPs with different applicability dates. He emphasized, however, that reverting to the previous editorial practices would eliminate the visibility requested by Member States. He nevertheless agreed on the need for further review of the new format's unintended complications for the filing of differences by Member States.

16. In summarizing the discussion on the issue of improving structure and response to State letters for better implementation of SARPs, PANS and Global Plans, the Chairperson indicated, with regard to WP/467 (Cameroon), that the Executive Committee recognized that the development of the online system for responses to proposed amendments to SARPs and PANS was not fully completed, and further noted that the activities referred to in the paper would be subject to the resources available in the 2020-2022 Regular Programme Budget and the availability of extra-budgetary resources. The Executive Committee was also informed that the Council had considered EAO's Report on the evaluation of the ICAO Standard-setting Process (EV/2018/01) and that the Secretariat would take the information contained in WP/467 into account as it implemented the Report's recommendations.

17. With regard to WP/245, the Executive Committee welcomed the information provided therein and acknowledged that, while significant progress had been made by ICAO to move towards a results-based management framework, there was still some work to be done. It recognized that the new processes established by the GANP and the GASP were aimed at keeping those Global Plans relevant and the results, focused and agreed that the recommendations set forth in WP/245 should be referred to the GANP and GASP Working Groups, for their consideration and action. The Executive Committee further noted that the Secretariat was in the process of implementing a project-oriented approach that linked the work programmes of Headquarters and the Regional Offices with the GANP and the GASP, as well as with the UN SDGs.

18. With respect to WP/461 (Cuba and co-sponsors), that the Executive Committee recognized the benefits of the increased visibility of SARPs with delayed applicability dates in ICAO's new editorial practices, but also recognized the concerns expressed about complications in the filing of differences when using the new format. The Executive Committee recommended that ICAO consider the said complications and make any necessary adjustments to address them.

Agenda Item 23: Technical Assistance Programme

19. Under Agenda Item 23, the Executive Committee considered technical assistance and the AFI SECFAL Plan on the basis of two main papers presented by the Council, WPs/4 and /63, and related papers presented by States and international organizations.

Technical Assistance

20. The Chief, Global Aviation Training Office (C/GAT) introduced WP/4 (*Report on ICAO's Technical Assistance Programme*), which reported on the ICAO technical assistance programme in the fields of aviation safety, air navigation capacity and efficiency, security and facilitation, economic development of air transport and environment for the current triennium. It highlighted that during that period, a number of States had made concerted efforts to address their deficiencies pertaining to their aviation systems, which had resulted in positive outcomes as evidenced through the ICAO Universal Safety Oversight Audit Programme (USOAP) and the Universal Security Audit Programme (USAP). The paper stressed, however, that for States which had not met targets for enhancing their aviation systems, ICAO's continued commitment to provide assistance was crucial and fully in line with the Organization's *No Country Left Behind* (NCLB) initiative. It was therefore of paramount importance that ICAO and all stakeholders, particularly aviation partners, put forward their efforts in a coordinated and collaborative manner, thus avoiding a duplication of efforts.

21. The paper further emphasized that given that building State aviation system capacity often demanded tremendous resources which many States could not afford, continuous support and contributions from States and industry played a leading role not only in elevating a State's aviation system but also in resolving imminent and major deficiencies, such as Significant Safety Concerns (SSCs) and Significant Security Concerns (SSeCs). To that end, ICAO anticipated that support and contributions from all stakeholders would continue, for the benefit of the States in need of assistance.

22. The Council was invited in WP/4 to:

- a) encourage States to support ICAO's technical assistance activities; and
- b) request that ICAO continue its work on the development and implementation of technical assistance under the respective Strategic Objectives, in partnership with States, international and regional organizations, and industry.

23. The Delegate of Canada introduced WP/129 (*Strengthening technical assistance initiatives*), which was presented by his State and New Zealand. Recognizing that technical assistance was a vehicle for helping to ensure that all States may reap the benefits of a safe and secure civil aviation system, the paper encouraged the Assembly to harmonize its technical assistance efforts and support increased ICAO Regional Office involvement in technical assistance matters. In order to uphold the NCLB's objectives, it further recommended that technical assistance projects include performance measurement components, wherever possible, to assist in ensuring the greatest effectiveness of the assistance activity. The paper acknowledged that ICAO had recently commenced various activities to that effect and encouraged the Assembly to support those efforts and to take further actions to strengthen technical assistance activities around the world.

24. The Assembly was invited in WP/129 to:

- a) encourage Member States and other entities to synchronize their technical assistance efforts, coordinating projects multilaterally among donors and recipients for the timely and sustainable realization of technical assistance activities where possible;

- b) support increased ICAO Regional Office involvement in technical assistance matters, including greater cooperation, efficient implementation of activities, as well as harmonization of technical assistance projects when applicable; and
- c) strengthen measures to evaluate technical assistance efforts and their contributions to international air transport by ensuring development projects contain a performance measurement component.

25. On behalf of the 54 AFCAC Member States, the Delegate of Côte d'Ivoire introduced WP/319 [*Support to the continuation of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan)*], which highlighted the progress made in improving aviation safety in Africa through the implementation of the AFI Plan. Based on the recorded achievements, AFCAC and African States supported the objectives of the AFI Plan and were convinced that its continuation would contribute to further enhancing aviation safety in Africa, as well as assist in accelerating and sustainably maintain the progress made thus far by African States. The paper emphasized the need to harmonize the various initiatives in the continent to optimize resources and reduce duplication of efforts.

26. The Assembly was invited in WP/319 to:

- a) note the progress made by the AFI Plan and the commitment of African States in the implementation of the AFI Plan and its objectives;
- b) support the continuation of AFI Plan activities and project-based approach;
- c) request ICAO, Member States, international organizations and industry partners to support the Programme and the associated projects;
- d) request ICAO to harmonize the various initiatives with AFCAC and partners to avoid duplication of efforts and enhance transparency in the use of resources pledged under that safety plan; and
- e) encourage other regions to consider adopting an approach similar to the AFI Plan to address safety deficiencies and challenges.

27. It was noted that the following information papers had also been submitted: WP/77 Revision No. 1 [*Recognition to the Regional Office for North America, Central America and the Caribbean (NACC)*] presented by COCESNA Member States; WP/441 (*Tailored assistance to Haiti*) presented by Canada; WP/493 Revision No. 1 (*Experiencia de Asistencia Técnica a Estados de la Región Suramericana en Materia de Seguridad de la Aviación Civil*) presented by Venezuela (Bolivarian Republic of); and WP/511 (*Indonesia Funding of Aviation Training*) presented by Indonesia.

Discussion

28. The Delegates of the Republic of Korea, Sweden and Venezuela (Bolivarian Republic of) expressed support for WP/4 (Council). In so doing, the Delegate of the Republic of Korea emphasized that State implementation of SARPs was essential for the safe, secure, sustainable and efficient development of international civil aviation. Underscoring that the implementation support provided under ICAO's technical assistance programme, in line with its NCLB initiative, contributed significantly to the achievement of ICAO's Strategic Objectives, he reiterated the Republic of Korea's commitment to continuously contribute to ICAO's Voluntary Funds, particularly those pertaining to safety, air navigation capacity and efficiency, and security, in order to enable the Organization to attain its related Strategic Objectives.

29. In welcoming and supporting the recommendations contained in WP/4, the Delegate of Sweden drew attention to WP/107 Revision No. 1 (*Support to ICAO No Country Left Behind Initiative*), presented by Finland on behalf of the European Union (EU) and its Member States and the other Member

States of the European Civil Aviation Conference (ECAC), by the European Organisation for the Safety of Air Navigation (EUROCONTROL) and co-sponsored by New Zealand and Canada, which had been discussed during the Executive Committee's earlier consideration of Agenda Item 20 (EX/2). He underscored that the paper contained a number of concrete suggestions to further improve the implementation of the NCLB initiative, and highlighted the importance of increased cooperation and coordination in order to make the NCLB policy even more successful and effective. In particular, the paper recommended that ICAO, in collaboration with partners and the beneficiary States, coordinate its technical assistance, technical cooperation and capacity building activities with those of its partners in order to maximize their impact.

30. Acknowledging the important technical assistance and capacity building activities carried out by ICAO during the current triennium as described in WP/4, which had enhanced aviation safety and security, the Delegate of Venezuela (Bolivarian Republic of) reaffirmed his State's willingness to take part in such activities in coordination with ICAO's South American Regional Office (SAM) (Lima). He highlighted, in this context, information paper WP/493 Revision No. 1 (*Experiencia de Asistencia Técnica a Estados de la Región Suramericana en Materia de Seguridad de la Aviación Civil*) which elaborated on the aviation security-related technical assistance which his State had provided, through the SAM Regional Office, to Paraguay, Ecuador, Bolivia (Plurinational State of), Colombia and Guyana during the current triennium.

31. In voicing support for the recommendations contained in WP/129 (Canada and New Zealand), the Delegate of Portugal welcomed a regional coordinating role in technical assistance matters for the ICAO Regional Offices to avoid duplication of efforts. He highlighted that the initiatives and actions referred to in the paper were part of the Aviation Safety Implementation Assistance Partnership (ASIAP) established by the Secretariat, and encouraged States to share their projects and support activities with ASIAP. The Delegate of Portugal underscored that supporting and working together with Regional Safety Oversight Organizations (RSOOs) would also be a means to provide technical assistance to States.

32. In also endorsing WP/129, the Delegate of Australia agreed with the co-presenters that the ICAO Regional Office network was a core pathway for ICAO to assist Member States in achieving the Organization's Strategic Objectives and expressed support for increased ICAO Regional Office involvement in technical assistance matters, including greater cooperation and efficient implementation of activities. He emphasized that that was particularly relevant in the Asia-Pacific (APAC) region where States were working towards meeting the ambitious 2018 Beijing Declaration commitments and would soon consider how to respond to the Pacific Small Island Developing States (PSIDS) Aviation Needs Analysis which had been discussed previously by the Executive Committee under Agenda Item 20 (EX/2). The Delegate of Australia agreed that there was also a role for Member States and other entities to coordinate their assistance efforts to ensure value for money and deliver positive and sustainable outcomes for Member States. To that end, he continued to encourage ICAO to ensure that the Regional Offices were adequately and appropriately resourced in order to be best placed to meet the needs of Member States within each entire region.

33. Lending support to WP/319 (AFCAC), the Delegate of Italy highlighted that, in line with the aims of Assembly Resolution A36-1, the AFI Plan had proven its validity by progressing in all focus areas during the current triennium. Affirming that the achievements had been quite positive, he cited the significant improvement in all of the performance indicators and the measurable enhancement in the average level of effective implementation of the eight Critical Elements of a State safety oversight system. The Delegate of Italy noted, however, that there were still major needs for training in areas such as State Safety Programme (SSP) implementation and safety oversight capacity. In light of the above, he invited the Assembly to support the continuation of the AFI Plan. The Delegate of Italy noted that his State, as a Member of the EU, welcomed the European Commission's renewed allocation of resources to the AFI Plan

for the next three years and invited all Member States and industry to intensify their efforts in that regard. He underscored that the AFI Plan was a concrete example of ICAO's NCLB initiative and must be preserved.

34. The Delegates of Chad, Senegal and Congo also voiced support for WP/319. In so doing, the Delegate of Chad expressed appreciation for the technical assistance which ICAO had provided to his State through the Western and Central African Regional Office (WACAF) (Dakar). The Delegates of Senegal and Congo reiterated the importance of the Assembly supporting the continuation of the AFI Plan and of ICAO, Member States, international organizations and industry partners supporting the AFI Plan and its associated projects.

35. The Delegates of Botswana, the Democratic Republic of the Congo and Togo endorsed both WP/4 (Council) and WP/319 (AFCAC).

36. The Delegates of South Africa, Nicaragua, South Sudan, Nigeria, the United Arab Emirates, the United Republic of Tanzania, Bangladesh and China endorsed all three papers which had been presented. In so doing, the Delegate of South Africa expressed support for the continuation of ICAO's technical assistance programme. He nevertheless agreed that the lack of coordination in the provision of technical assistance highlighted in WPs/129 (Canada and New Zealand) and /139 (AFCAC) could lead to duplication and wasted efforts. The Delegate of South Africa thus concurred that there was a need for coordination and leadership by ICAO, with the Regional Offices playing a key role in technical assistance matters as proposed in WP/129. He also agreed on the need to strengthen measures to evaluate technical assistance efforts and their contributions to international air transport by ensuring development projects contained a performance measurement component as proposed in that paper. Highlighting the coordination between ICAO and AFCAC in implementing the AFI Plan, the Delegate of South Africa thanked the two organizations for the assistance provided thereunder.

37. The Delegate of Nicaragua highlighted that the Central American Agency of Aviation Safety (ACSA) provided safety-related implementation support to the States in his region. He expressed appreciation for: the technical assistance provided by ICAO to all States in the fields of safety, air navigation capacity and efficiency, security and facilitation, economic development of air transport and environment in order to meet the Organization's Strategic Objectives, as well as the Global Plans' targets; and the support provided by ICAO to the AFI Plan and its associated projects.

38. The Delegate of the United Arab Emirates reiterated the need for ICAO, Member States and other entities to synchronize their technical assistance activities in order to enhance their effectiveness. He highlighted that the United Arab Emirates was prepared to provide additional support to ICAO's technical assistance programme, whose activities were fully in line with the Organization's NCLB initiative.

39. The Delegate of the United Republic of Tanzania expressed support for ICAO's technical assistance programme, as well as for the AFI Plan. In view of the significant progress achieved through the AFI Plan's implementation, he advocated its continuation and affirmed that it was a good model for other regions to follow in order to address safety deficiencies and challenges.

40. The Delegate of Bangladesh reiterated the need to coordinate the various technical assistance activities undertaken by ICAO, Member States and other entities in order to ensure that the needs of the beneficiary States were met and that no country was left behind.

41. The Delegate of China agreed on the importance of ensuring that no country was left behind through the coordinated provision of technical assistance. He endorsed the comments made by the Delegate of Australia regarding increased ICAO Regional Office involvement in technical assistance matters, including greater cooperation and efficient implementation of activities, which was particularly relevant in the APAC regions where States were working towards meeting the ambitious 2018 Beijing Declaration commitments and would soon consider how to respond to the PSIDS Aviation Needs Analysis.

42. Endorsing WP/129 (Canada and New Zealand), the Observer from CANSO underscored that his organization supported strengthening technical assistance programmes and stood ready to assist where possible. In also endorsing WP/319 (AFCAC), he noted that CANSO considered that the AFI Plan was of the utmost importance in enhancing aviation safety in the African region and highlighted that it currently assisted in its implementation and would continue to do so.

43. In summarizing the discussion on technical assistance, the Chairperson indicated that the Executive Committee noted from WP/4 (Council) the implementation support provided by ICAO under its technical assistance programme during the current triennium covering all Strategic Objectives and encouraged States to continue to support ICAO's work in partnership with all stakeholders concerned. The Executive Committee concluded that continued support and contributions from States and industry played a leading role in elevating a State's aviation system and in resolving imminent and major deficiencies such as SSCs and SSeCs. In that connection, it urged the Assembly to support, and continue to contribute to, ICAO's technical assistance programme for the benefit of States in need of assistance.

44. With respect to WP/129 (Canada and New Zealand), which called for strengthened and synchronized technical assistance efforts and increased Regional Office involvement in technical assistance matters, in particular regarding the APAC Regional Office as emphasized by some States, the Executive Committee recognized the importance of a harmonized and synchronized approach by all stakeholders involved, including ICAO, with regard to technical assistance activities designed for States. It endorsed the paper's recommendations which would strengthen technical assistance for States in a safe, secure, sustainable and efficient way. Additionally, the Executive Committee acknowledged the benefits that came from technical assistance initiatives, as well as from the ASIAP and RSOOs.

45. With regard to WP/319 (AFCAC), the Executive Committee noted the achievements in improving aviation safety in the AFI region through the implementation of the AFI Plan during the current triennium. It supported the continuation of the AFI Plan over the next triennium, based on the achievements registered to date, not only to sustain the progress achieved, but also to further enhance aviation safety in the region.

AFI SECFAL Plan

46. The Director, Air Transport Bureau (D/ATB) introduced WP/63 [*Progress report on the implementation of the Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL PLAN)*], which underscored that the threat of potential acts of unlawful interference against civil aviation continued to manifest itself due to the presence of active terrorist groups and events in the African region. The paper further emphasized that although the overall level of effective implementation of relevant ICAO SARPs indicated that progress had been achieved in the last three years as evidenced by the results of the ICAO USAP-CMA activities, more needed to be done to realize the targets established in the Global Aviation Security Plan (GASeP) and the associated regional plans.

47. The paper highlighted that since its inception in 2015 in Maputo, Mozambique, the AFI SECFAL Plan had made significant progress under the guidance of the Steering Committee, with the assistance of the ICAO Secretariat. It presented the progress made in the implementation of the

AFI SECFAL Plan and its work programme since the last Assembly in 2016, and proposed updates to Assembly Resolution A39-38 considering the importance of the AFI SECFAL Plan in enhancing aviation security and facilitation in Africa in a sustainable manner. The paper underscored that the Plan's short-term phase had ended on 31 December 2017, having largely achieved the planned activities and goals and provided a good platform for implementation of the medium and long-term phases (2018-2020 and 2021-2023, respectively). It stressed, however, that the AFI SECFAL Plan continued to face funding challenges that might hinder its ability to achieve all of the Plan's objectives and the full implementation of the Windhoek Declaration and the GAsEP targets. States, development partners, and industry were thus strongly urged to continue to contribute financially and/or in kind and also to provide political support to the implementation of the important AFI SECFAL Plan. Furthermore, consideration should be given to the Plan's implementation being supported and funded under the Regular Programme Budget to ensure a sustainable funding mechanism.

48. The Assembly was invited in WP/63 to:

- a) review the progress made in the implementation of Assembly Resolution A39-38 on the AFI SECFAL Plan as outlined in the paper;
- b) support the continued implementation of the AFI SECFAL Plan;
- c) adopt the proposed updated Assembly Resolution on the AFI SECFAL Plan as presented in Appendix C to the paper;
- d) urge States to make financial, in-kind and/or other contributions to support the implementation of the AFI SECFAL Plan; and
- e) urge States to coordinate assistance efforts and activities through the AFI SECFAL Plan and to share information with the AFI SECFAL Plan regarding their assistance activities.

49. On behalf of the 54 AFCAC Member States, the Delegate of Zambia introduced WP/288 Revision No. 1 [*Support to the continuation of the Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa (AFI SECFAL PLAN)*], which highlighted and supported the significant progress and achievements made in the implementation of the AFI SECFAL Plan work programme since its inception in 2015, including the realization of the Windhoek Declaration and Targets and the establishment of the AFI Region Security and Facilitation Collaborative Experts Scheme (AFI-CES). The paper also highlighted the existence of regional cooperation and collaboration between ICAO and AFCAC to resolve African States' SSeCs.

50. The paper underscored that one of the main challenges being faced in the implementation of the AFI SECFAL's work programme and the Steering Committee's recommendations and decisions was the lack of funding and the minimum resources available to fulfil the set objectives. It noted that the results of the ICAO USAP-CMA audits and the deliberations during the various regional meetings had revealed that there was still some work to be done and emphasized that through sustainable funding the objectives of the AFI SECFAL Plan could be fully realized.

51. The Assembly was invited in WP/288 Revision No. 1 to:

- a) urge ICAO to continue to provide its leadership and support to the AFI SECFAL Plan;
- b) note the decisions of the Steering Committee of the AFI-SECFAL Plan and the AFI-DG Resolution on the establishment, operationalization and funding of the AFI-CES;

- c) note the need to reinforce and coordinate technical assistance missions in Africa through the AFI-CES and to work collaboratively in avoiding duplication of work in assisting African States while implementing the GAsEP and the regional targets; and
- d) encourage Member States, international organizations and partners to contribute in supporting the AFI-CES activities.

Discussion

52. All of the Delegates who took the floor expressed support for both WP/63 (Council) and WP/288 Revision No. 1 (AFCAC). In so doing, Delegate of Nigeria noted the significant progress achieved through the implementation of the AFI SECFAL Plan and reiterated the call for continued assistance from Member States, international organizations and partners to support the Programme.

53. The Delegate of Italy indicated that his State welcomed the progress achieved in the implementation of the AFI SECFAL Plan and supported its ongoing work. Italy recognized the positive impact of the Plan on aviation security systems, improving compliance with the relevant SARPs of Annex 17 – *Security* and Annex 9 – *Facilitation* and helping to strengthen the level of global aviation security. Italy considered that all capacity building activities in the areas of security and facilitation carried out within the NCLB framework were positive and congratulated ICAO for its important role in coordinating such initiatives. In order to maintain the momentum, Italy supported the proposed updated Assembly Resolution on the AFI SECFAL Plan as presented in Appendix C to WP/63 (Council). The Delegate of Nicaragua likewise endorsed the said Assembly Resolution.

54. In thanking those States and stakeholders which had contributed to the AFI SECFAL Plan's implementation, the Delegate of South Africa emphasized that the Plan was an important project which needed to be supported as it would lead to improved effective implementation of relevant Annex 17 and Annex 9 SARPs in the African continent. He underscored that in continuing to implement the AFI SECFAL Plan it was necessary to consider the sustainability of the measures which African States had taken thereunder.

55. The Delegate of the United Republic of Tanzania shared this view. He expressed appreciation to ICAO for the leadership and support it provided to the AFI SECFAL Plan and endorsed the proposed updated Assembly Resolution of the AFI SECFAL Plan as presented in Appendix C to WP/63 (Council).

56. Emphasizing that acts of unlawful interference against civil aviation affected all States, the Delegate of Mozambique affirmed his State's continuing support for the AFI SECFAL Plan. Referring to paragraph 3.4 of WP/288 Revision No. 1 (AFCAC), he reiterated the need to harmonize the various technical assistance activities in the AFI region and to enhance collaboration among stakeholders and partners to optimize the available resources and reduce duplication of efforts.

57. In view of the positive impact which the AFI SECFAL Plan's implementation was having on the security situation of African States, the Delegate of Senegal echoed the call made in WP/288 Revision No. 1 for ICAO to continue to provide its leadership and support to the Plan.

58. The Delegate of Mali indicated that he fully supported the actions proposed in both papers in view of the continuing terrorist threat in the AFI region.

59. In expressing support for WP/288 Revision No. 1 (AFCAC), the Observer from CANSO applauded the coordination of assistance efforts and activities within Africa, of which the AFI SECFAL

Plan was a prime example. He encouraged ICAO and States to provide maximum support to the AFI SECFAL Plan to ensure its continued progress and success.

60. In summarizing the discussion on the AFI SECFAL Plan, the Chairperson indicated that the Executive Committee noted the progress made in the Plan's implementation as presented in WP/63 (Council). It stressed: the importance of establishing regional mechanisms to address aviation security and facilitation challenges in Africa; the need to reinforce and coordinate technical assistance missions in Africa through the AFI-CES and to work collaboratively to avoid duplication of work in assisting African States while implementing the GAsEP and the regional targets, and the efforts made to raise political commitment. The Executive Committee endorsed the Council's proposal to update Assembly Resolution A39-38 on the AFI SECFAL Plan, urging Member States of the AFI region to commit to the achievement of the Plan's goals and objectives. It further noted the need for continuing the resource mobilization strategy, coupled with the campaign by the ICAO Council and ICAO Secretariat to increase financial resources to ensure a sustainable funding mechanism to effectively implement the AFI SECFAL Plan.

61. With regard to WP/288 Revision No. 1 (AFCAC), the Executive Committee commended the progress made in implementing the AFI SECFAL Plan. In particular, it stressed the importance of the establishment of the AFI-CES as a vehicle for delivering assistance to African States, and supported the implementation of the Work Programme, namely the contribution of the team of experts to the AFI SECFAL Plan activities and to AFCAC in assisting African States through technical missions on existing or potential SSeCs and other aviation security and facilitation deficiencies.

Agenda Item 24: Technical Cooperation – Policies and Activities

62. The Executive Committee considered Agenda Item 24 on the basis of one main paper presented by the Council, WP/66 (*Policy and activities on technical cooperation during the period 2016-2018*).

63. The Director, Technical Cooperation Bureau (D/TCB) introduced WP/66, which provided a general overview of the ICAO Technical Cooperation Programme activities undertaken during the current triennium, as well as an update on ICAO's policies and strategy for technical cooperation and technical assistance. Recalling that the Technical Cooperation Programme was a permanent priority activity of ICAO, the paper also provided, in Appendix A, an analysis of the Programme's financial and operational performance results for the current triennium, the Administrative and Operational Services Cost (AOSC) Fund results for the reporting period in Appendix B, and a summary of achievements by Strategic Objective in Appendix C. The paper also provided information on significant developments within TCB during the said triennium which reinforced ICAO's commitment to continually improve the Bureau's role as a value-added service provider, including the successful transition of its Quality Management System to the ISO 9001:2015 Standard and the ongoing development of a Business Process Management System (BPMS) for process automation and optimization to facilitate the real-time monitoring of, and detailed reporting on, all ongoing projects. The paper also recalled the Council's approval of the *ICAO Vendor Sanction Policy*, strengthening oversight over procurement activities, and reported on the development of a Talent Outreach Plan to address the existing shortfall of core competencies in aviation, and the continued implementation of the ICAO Programme for Aviation Volunteers (IPAV).

64. At the strategic level, the paper underscored the development of an enhanced Quality Assurance Process with the participation of relevant Bureaus and new outreach functions assigned to the Regional Offices as a result of a holistic review of the existing institutional and administrative mechanisms governing the provision of technical cooperation and technical assistance in ICAO. It also highlighted the Council's approval of the integration of the Global Aviation Training Office (GAT) into TCB's structure

and the alignment of technical cooperation and technical assistance activities to be implemented by the end of 2020.

65. At the operational level, the paper emphasized that the priority of the ICAO Technical Cooperation Programme remained to promote global harmonization of the implementation of ICAO SARPs so that all States have access to the significant socio-economic benefits of safe, reliable and sustainable air transport. It also underscored that enhanced efforts would be made by the Secretariat to provide support to developing countries through ICAO's Technical Cooperation Programme as part of the Organization's NCLB initiative.

66. In addition, the paper proposed a slight update to Assembly Resolution A39-16: *Consolidated statement of ICAO policies on technical cooperation and technical assistance* to take into account required editorial changes, for adoption by the Assembly.

67. The Assembly was invited in WP/66 to:

- a) remind Member States contemplating the development or enhancement of their civil aviation infrastructures to consider the advantages of using the ICAO Technical Cooperation Programme for their civil aviation projects;
- b) urge Member States, when implementing civil aviation development projects through ICAO, to give priority to USOAP and USAP findings and recommendations, as well as other sources, such as the conclusions and decisions by Planning and Implementation Regional Groups (PIRGs) and Regional Aviation Safety Groups (RASGs), with a view to rectifying identified deficiencies, resolving SSCs and SSeCs, and addressing opportunities for improvement in all civil aviation fields, while directly contributing to the achievement of all ICAO's Strategic Objectives;
- c) urge Member States to provide sustained financial and human resource support through the IPAV to develop capabilities within beneficiary States in the implementation of ICAO SARPs, as well as foster self-reliance and growth;
- d) request the Secretary General to continue to raise the awareness of States, private sector entities and donors as to the advantages of having recourse to ICAO for the implementation of capacity building and infrastructure development projects in the civil aviation field; and
- e) adopt the revised *Consolidated statement of ICAO policies on technical cooperation and technical assistance* set forth in Appendix D to the paper, which supersedes Assembly Resolution A39-16.

68. It was noted that the following information paper had also been submitted: WP/109 (*Main results of the ICAO-IAC regional project in the last 20 years*) presented by IAC.

Discussion

69. In relation to WP/66 (Council), the Delegate of Portugal drew attention to WP/107 Revision No. 1 (*Support to ICAO No Country Left Behind Initiative*), presented by Finland on behalf of the EU and its Member States and the other Member States of ECAC, by EUROCONTROL and co-sponsored by New Zealand and Canada, which had been discussed during the Executive Committee's earlier consideration of Agenda Item 20 (EX/2). She noted that that paper called for better coordination of all technical cooperation and technical assistance activities to enhance efficiency and avoid overlap. It also highlighted the need for coordination of such activities with donors via ASIAP, inter alia.

70. The Delegate of Portugal recalled that action paragraph b) of WP/66 urged Member States, when implementing their civil aviation development projects through ICAO, to give priority to USOAP and USAP findings and recommendations, as well as the conclusions and decisions of PIRGs and RASGs, inter alia. The Delegate of Portugal emphasized while the authors and the co-sponsors of WP/107 Revision No. 1 agreed that USOAP findings and recommendations should be used as a starting point in such projects, they recommended a more realistic approach which addressed States' civil aviation administration infrastructure and human resources as it was desirable to build robust safety oversight systems which were sustainable and adaptable. They supported focusing on implementing the safety priorities as determined by the PIRGs and RASGs. The Delegate of Portugal requested that consideration be given to reflecting these recommendations in the proposed revised *Consolidated statement of ICAO policies on technical cooperation and technical assistance* set forth in Appendix D to WP/66.

71. The Delegates of Colombia, Nicaragua, Mexico, Uruguay, the Republic of Korea, Panama, Cuba, Peru, Spain, Costa Rica and Guatemala expressed support, for WP/66 (Council). In so doing, the Delegate of Colombia voiced appreciation for the effective work carried out by TCB in implementing the ICAO Technical Cooperation Programme during the current triennium.

72. The Delegate of Nicaragua commended the enhanced format of the paper, which provided a more detailed description of the implementation of ICAO's policies and strategy for technical cooperation and technical assistance than previously.

73. Affirming that TCB had an excellent reputation, the Delegate of Mexico emphasized that his State was well-satisfied with the services it provided. Mexico supported the actions proposed in WP/66, including the adoption of the proposed revised Consolidated statement, and encouraged those States which had not yet used the ICAO Technical Cooperation Programme to do so.

74. In noting that her State supported the Programme, the Delegate of Uruguay highlighted the technical cooperation project carried out thereunder in 2018-2019 relating to the preparation of a Uruguayan Civil Aviation Master Plan (CAMP) to guide the modernization of its civil aviation system (Project URU17801). Uruguay considered that the strategy put forward in WP/66 would place TCB in an even better position to meet the future needs and requirements of Member States.

75. The Delegate of the Republic of Korea highlighted that his State supported the IPAV and was committed to continuously participating in ICAO's Voluntary Funds such as the ICAO Safety Fund (SAFE) and Aviation Security Fund (AVSEC) to support the implementation of the Organization's Strategic Objectives.

76. The Delegate of Panama underscored that his State supported ICAO's technical cooperation and technical assistance activities as described in WP/66 as they enhanced the capacity of States to implement SARPs, which was key to ensuring a safe, reliable and sustainable air transport system.

77. The Delegate of Cuba emphasized that technical cooperation and technical assistance were extremely important and that States could derive many benefits therefrom.

78. While recognizing the high quality of the services provided by TCB, the Delegate of Peru underscored the need to pursue the process of continual improvement under its Quality Management System as outlined in paragraph 1.6 of WP/66.

79. The Delegate of Spain observed that the provision of technical cooperation and technical assistance was one of the three main functions of ICAO, the other two being Standard-setting and the

conduct of USOAP and USAP audits. Noting, however, that the Assembly was considering technical cooperation and technical assistance under two separate Agenda Items, he highlighted the importance of ICAO addressing those two issues in a coordinated manner.

80. In commending the Technical Cooperation Programme activities carried out by TCB during the current triennium as detailed in WP/66, the Delegate of Costa Rica encouraged ICAO to continue to promote TCB's services, including through the Regional Offices which worked closely with States' civil aviation authorities.

81. The Delegate of Guatemala encouraged TCB to continue to provide support to States under the ICAO Technical Cooperation Programme, in particular, to developing countries in his region (NACC).

82. D/TCB indicated that the Secretariat would consider ways to enhance coordination between technical cooperation and technical assistance in order to increase efficiency and effectiveness, taking into account the comments made. He emphasized that the Secretariat welcomed the opportunity to work with States to provide long-lasting solutions to their USOAP and USAP findings, as well as to further strengthen their oversight capabilities.

83. The Secretary General thanked Member States for placing their trust in TCB to execute their civil aviation projects and for their expressions of satisfaction with TCB's services. Recalling the measures implemented during the current triennium to enhance the quality and accountability of the projects executed by TCB, she expressed confidence that even better results would be achieved in the coming triennium in terms of service delivery to States.

84. Noting that the newly-appointed D/TCB had introduced the concept of streamlining TCB's activities, the Secretary General indicated that a number of initiatives were underway. She highlighted, in this regard, the upcoming implementation of an online platform accessible to States which would facilitate the real-time financial and operational monitoring of project milestones and thus enhance transparency for both the beneficiary States and the donors. The Secretary General noted that, on the basis of the experience gained therewith, the Secretariat planned to explore the development of a similar online platform for voluntary contributions in the next triennium in order to increase transparency.

85. In summarizing the discussion, the Chairperson indicated that the Executive Committee noted that the ICAO Technical Cooperation Programme's performance in the 2016-2018 reporting period had enjoyed the continued interest of States, donors and private entities, with a total Programme delivery of USD 356.2 million and implementation of an average of 107 projects per year in over 138 States and ten organizations across all regions. On the operational side, the Programme had played an instrumental role in supporting Member States with the deployment of 1 061 international field experts, the recruitment of 2 566 national experts, the provision of training to 19 565 civil aviation personnel and the procurement of major civil aviation equipment in the amount of USD 217.3 million.

86. The Executive Committee was encouraged by the efforts made by TCB in the triennium to enhance service delivery through greater transparency, accountability and the highest standard of quality for the benefit of Member States. Of particular relevance, this reporting period had seen the transition of the Bureau's Quality Management System to the ISO 9001:2015 Standard and the establishment of a strengthened Quality Assurance Process for technical cooperation and technical assistance projects, with an enhanced scope, redefined roles and responsibilities, participation of key ICAO stakeholders and a new outreach role for the Regional Offices. The Executive Committee had been informed of the upcoming implementation of an online platform accessible to States which shall facilitate the real-time financial and operational monitoring of project milestones.

87. Recognizing the importance of information-sharing, prioritization of needs and resource mobilization for capacity building activities, the Executive Committee recommended that the Assembly encourage States, international organizations and donors to join efforts in providing targeted regional or State support through collaborative initiatives such as the ASIAP, and supported a proposal for centralized coordination and oversight within ICAO.

88. Considering ICAO's Standard-setting, auditing and technical support functions, the Executive Committee recognized that further alignment between technical assistance and technical cooperation activities was required in order to ensure a harmonized, consistent and efficient approach amongst the various entities within the Organization involved in implementation support, thereby avoiding unnecessary duplication, conflict of interest and competition for limited resources.

89. The Executive Committee acknowledged that the priority remained to promote global harmonization of the implementation of ICAO SARPs so that all States had access to the significant socio-economic benefits of safe, reliable and sustainable air transport. Enhanced efforts would be made by the Secretariat to provide support to developing countries through ICAO's Technical Cooperation Programme as part of the Organization's NCLB initiative. The Executive Committee therefore recommended that the Assembly continue to support the Programme by recognizing the importance for cooperation and capacity building activities centred on assisting States in the enhancement of their civil aviation systems and related infrastructure, as well as strengthening their human resource capabilities.

90. The Executive Committee invited the Assembly to take the actions proposed by the Council in WP/66 (cf. paragraph 67 above), as expanded to include the following new action paragraph e): "request the Secretary General to improve coordination and alignment between technical assistance and technical cooperation activities in order to ensure a harmonized, consistent and efficient approach amongst the various entities within the Organization involved in implementation support, thereby avoiding unnecessary duplication, conflict of interest and competition for limited resources.". In so doing, the Executive Committee agreed to submit, for adoption by the Plenary, the revised *Consolidated statement of ICAO policies on technical cooperation and technical assistance* set forth in Appendix D to WP/66, which supersedes Assembly Resolution A39-16, subject to consideration of the changes proposed by the Delegate of Portugal (cf. paragraph 70 above).

Agenda Item 26: Other high-level policy issues to be considered by the Executive Committee

91. The Executive Committee commenced consideration of Agenda Item 26. Discussion focussed on the issues of commercial space and innovation, which were documented in two main papers presented by the Council, WPs/15 and /14, and related papers presented by States and international organizations.

Commercial Space

92. C/PRC presented WP/15 [*Report on Commercial Space Transport (CST)*], which provided an overview of the emergence of CST and its overlap with the existing air transport sector. The paper underscored that while CST operations did not yet occur on a regular basis, it was important to consider and monitor their development as they might become regular in the next decade, and described the related work already undertaken by ICAO. It highlighted that the matter had been considered by the Thirteenth Air Navigation Conference (AN-Conf/13), with particular attention having been given to the areas where the two sectors overlapped. As the overall issue was not purely technical in nature, it was important to reaffirm the outcome of AN-Conf/13 at the policy level. To that end, the Assembly was invited to consider and adopt the draft Resolution on CST set forth in the Appendix to WP/15. It was highlighted that the activities

referred to in the paper would be subject to the resources available in the 2020–2022 Regular Programme Budget and/or from extra-budgetary contributions.

93. The Observer from IATA introduced WP/126 (*Commercial space operations integration*), which was presented by IFATCA, IFALPA and IATA. The paper noted that developments in the area of commercial space travel and the growth projections for both air traffic and commercial space operations had raised significant concerns within the aviation community. It highlighted that the nature of commercial spacecraft launches and recovery would result in a closure of significant volumes of airspace for varied periods of times, and underscored that such operations should thus not be seen as acceptable in light of the projected growth in both sectors. It also emphasized that if no change took place, that would hinder efficient operations and disproportionately affect commercial aviation and other airspace users. Furthermore, the manner in which the airspace restrictions surrounding those operations had been used had created an imbalance, promoting one industry over another. The paper stressed that in order to ensure that all activities were safely and efficiently integrated into the existing airspace, especially the high seas portion which was allocated to the States, it was necessary for ICAO, with the support of industry, to develop Standards, guidance material and policies addressing issues such as separation, airspace restrictions and charging fees.

94. The Assembly was invited in WP/126 to:

- a) invite States to note the developments in commercial space activities, and to recognize that these activities need to be safely and efficiently integrated within the existing airspace; and
- b) request ICAO to formalize the development of provisions for the integration of commercial space operations into controlled airspace.

Discussion

95. With regard to WP/15 (Council), the Delegate of New Zealand supported ICAO's proposal to monitor the progress and evolution of CST in order to address emerging issues as the intersection between CST and international civil aviation grew. He recognized that ICAO and the aviation sector had extensive experience in a fulsome regulatory and cooperation framework to deal with commercial operators and the relevant interfaces. The Delegate of New Zealand also noted that the United Nations Committee on the Peaceful Uses of Outer Space (UNCOPUOS) was the primary forum for international space norms and guidelines and had developed extensive experience in this area. He therefore considered that a key component of ICAO's role in CST should be a continued coordination and cooperation between ICAO, the United Nations Office for Outer Space Affairs (UNOOSA) and the UNCOUOS.

96. Turning to WP/126 (IFATCA, IFALPA, IATA), the Delegate of New Zealand stressed that as a launching State and regulator, New Zealand took the impacts of commercial space operations on aviation activities seriously. It recognized that exclusion zones might have adverse impacts on the aviation sector and on the efficient use of airspace. New Zealand looked forward to engaging with ICAO and others to ensure that airspace was managed safely and efficiently, and would welcome guidance and best practice information on how best to manage the conflicting demands on airspace as commercial space operations continued to grow.

97. The Delegate of Canada indicated that while his State fully supported the shared use of existing airspace between commercial space and space operations in a safe and efficient manner, it considered that it was premature and that ICAO should study the matter more carefully before developing provisions for the integration of commercial space operations into controlled airspace. Canada thus could not support action paragraph b) of WP/126 (IFATCA, IFALPA, IATA) until a more detailed assessment of the intersection of commercial space activities and the safety of international air navigation and air traffic

control in relationship to the mandate of ICAO and other international organizations, agencies and committees such as the International Telecommunications Union (ITU) and the UNCOPUOS was completed. Canada therefore recommended that ICAO undertake that work prior to committing resources to the development of any provisions or guidelines relating to commercial space operations.

98. The Delegate of France noted that his State endorsed both papers, which were compatible with the European position set forth WP/86 (*New entrants*) presented by Finland on behalf of the EU and its Member States, the other Member States of ECAC and by EUROCONTROL. The paper, which included a proposed Assembly Resolution on new entrants, had been submitted to the Technical Commission for consideration. Drawing attention to action paragraph b) of WP/126 (IFATCA, IFALPA, IATA), the Delegate of France reiterated that commercial space operations presented a challenge in an already congested airspace and indicated that while the goal was ultimately the “integration” of commercial space operations into controlled airspace, his State considered that it was more appropriate at this point in time to refer to their “accommodation” in airspace, the term used in AN-Conf/13 Recommendation 5.5/2 – *Commercial space transport (CST)* (cf. WP/15, paragraph 1.3). He underscored that France supported further analysis and the development by ICAO of policy guidance in the areas where international CST intersected with international civil aviation in order to enable the accommodation of CST. It suggested that in carrying out that work ICAO coordinate with the UNOOSA and use national and sub-national regulations already in place.

99. The Delegate of Australia reiterated that it was essential that the interaction between conventional aviation and the increasing levels of commercial space activities be carefully managed in the interest of the safety of conventional civil aviation. He emphasized that it was that interaction which should be the focus of ICAO’s engagement, rather than any expansion of the Organization’s mandate or activities. For that reason, Australia considered that the focus of ICAO’s activities should be on the sharing of information and the dissemination of best practices and at this point in time should stop short of developing rules or regulations in the area of CST.

100. The Delegate of Brazil endorsed this intervention, as well as the intervention by the Delegate of Canada.

101. The Delegate of the United States noted that his State supported, in principle, WP/15 (Council) and WP/126 (IFATCA, IFALPA, IATA) and endorsed the position expressed by the Delegate of Canada. The United States recognized that in order to expand globally commercial space operations must be conducted through existing airspace as safely and efficiently as possible, and that ICAO was the forum to develop global provisions related to the safety and efficiency of civil controlled airspace. It nevertheless considered that ICAO was not the appropriate forum to develop provisions for specific commercial space operations. The United States shared the view expressed by many States that ICAO should instead focus on a safe and efficient integration of commercial space vehicles as they transited through civil controlled airspace.

102. In voicing support for WP/15, the Delegate of Mexico averred that at the present time ICAO should not go beyond the actions called for in the draft Assembly Resolution on CST appended to the paper, namely, consultation with States on the role of ICAO vis-à-vis CST and coordination with States, governmental and non-governmental organizations, the private sector, academia and the relevant UN system entities to monitor the progress and evolution of CST and to address emerging issues, including the impact on international civil aviation operations. He maintained that action paragraph b) of WP/126 (IFATCA, IFALPA, IATA) requesting ICAO to develop provisions for the integration of commercial space operations into controlled airspace was too ambitious. In suggesting that such action be put on hold for the

moment, the Delegate of Mexico indicated that the next Assembly could consider that issue in more depth, if necessary, taking into account developments during the triennium.

103. The Delegate of Nigeria also endorsed WP/15.

104. The Delegate of Austria expressed appreciation for the overview of the emergence of CST provided in WP/15. He suggested that in order to emphasize the importance of maintaining close links between ICAO and the UNOOSA to avoid any divergence in addressing the issue of CST, the appended draft Assembly Resolution be amended as follows: a new Preambular Clause be added to reflect the relevance of the mandates of UNOOSA and UNCOPOUS in addressing that issue; and Operative Clause 1 be amended to identify the need for ICAO to develop policy guidance in the areas where international CST operations intersected with international civil aviation in coordination with UNOOSA, in line with AN-Conf/13 Recommendation 5.5/2, paragraph c) (cf. WP/15, paragraph 1.3). C/PRC voiced support for these proposed amendments to the draft Assembly Resolution.

105. In endorsing WP/15 (Council), the Delegate of Spain indicated that he shared the views expressed by the Delegates of Mexico and Austria. With regard to WP/126 (IFATCA, IFALPA, IATA), he suggested that action paragraph b) be amended to request ICAO, as part of its Work Programme for the next triennium, to evaluate the developments in commercial space activities on the basis of information provided to the Organization with a view to the possible integration of commercial space operations into controlled airspace.

106. Referring to the Technical Commission's related discussion, the Delegate of the Russian Federation maintained that the legal aspects of commercial space flights should be considered by ICAO, in coordination with UNOOSA.

107. In expressing support for WP/126 (IFATCA, IFALPA, IATA), the Observer from CANSO emphasized that his organization, as the recognized global voice of the air traffic management industry, had the expertise to assist ICAO and its Member States in integrating commercial space operations into the existing airspace.

108. The President of the Council recalled that the Council had had substantive discussion on the draft text of WP/15 prior to approving it for submission to the Assembly and had agreed on the importance of ICAO providing a policy framework for the discussion of the technical aspects of CST which had taken place at AN-Conf/13. Drawing attention to the draft Assembly Resolution appended to the paper, he emphasized that it was intended to provide a policy framework for the technical work relating to CST, which at this stage was limited to the sharing of guidance material, best practices and national provisions related to commercial space operations through controlled airspace. With respect to the Delegate of Austria's proposal for a new Preambular Clause, the President of the Council indicated that rather than referring to the relevance of the mandates of UNOOSA and UNCOPOUS in addressing the issue of CST, which might not be captured appropriately, it should refer to the need for collaboration between ICAO and those UN entities in order to be consistent with Operative Clause 2 of the draft Assembly Resolution. He clarified that the reference made in Operative Clause 2 to further coordination with, inter alia, the relevant UN system entities encompassed UNCOPOUS, UNOOSA and ITU. The President of the Council supported the Delegate of Austria's proposed amendment to Operative Clause 1 to identify the need for ICAO to develop policy guidance in coordination with UNOOSA.

109. With regard to action paragraph b) of WP/126 (IFATCA, IFALPA, IATA), the President of the Council indicated that while he understood the concerns of the industry in requesting ICAO to formalize the development of provisions for the integration of commercial space operations into controlled airspace, AN-Conf/13 had concluded that at present no ICAO Member State had mature regulations that

could form the basis for such provisions. Noting that this issue would continue to evolve between now and the next Assembly in 2022, he reiterated the importance of ICAO providing a policy framework for the technical work relating to CST in the form of the said amended Assembly Resolution.

110. In summarizing the discussion on commercial space, the Chairperson indicated that the Executive Committee considered that it was important to monitor CST operations as they may become regular in the next decade. It noted the work already undertaken by ICAO as described in WP/15 (Council) and agreed that the number of commercial space operations was increasing, as was the effect of those operations on international civil aviation. The Executive Committee further noted that the activities referred to in WP/15 would be subject to the resources available in the 2020-2022 Regular Programme Budget and/or from extrabudgetary contributions.

111. The Executive Committee agreed that the draft Assembly Resolution on CST appended to WP/15 should be amended as proposed by the President of the Council (cf. paragraph 108 above).

112. With regard to WP/126 (IFATCA, IFALPA, IATA), the Executive Committee noted that AN-Conf/13 had discussed the development by ICAO of provisions for the integration of commercial space operations into controlled airspace and had concluded that at present no ICAO Member State had mature regulations that could form the basis for such provisions. However, the Conference had encouraged States to share any relevant practices in relation to the overlap between space and aviation operations so that safety was maintained at the highest degree possible. The Executive Committee agreed with the position of AN-Conf/13.

Innovation

113. C/PRC introduced WP/14 (*Innovation in aviation*), which highlighted that new technologies and concepts of operations were rapidly becoming available across the aviation industry sector, and underscored that those innovations carried significant potential for improving aviation safety, security, sustainability, accessibility and affordability across the globe. The paper further emphasized that they could also lead to more efficient and streamlined aviation regulatory processes. It was therefore vital that the global international civil aviation sector take timely action to monitor and evaluate those developments in order for them to deliver on their potential benefits and for ICAO to do so in a manner that left no country behind from the start. To that end, a new draft Assembly Resolution on innovation in aviation was proposed for adoption, a key element being Operative Clause 2 directing the Council to “assess the need, as well as the resources required, to evolve the processes of the Organization, in order to keep pace with innovations that affect the sustainable development of civil aviation;”. C/PRC noted that that most of the papers on innovation in aviation which had been submitted contained relevant information which the Council should take into account when performing the said assessment.

114. The Delegate of the Dominican Republic presented WP/383 (*The potential of open-source software for the implementation of the global air navigation system*), which outlined the potential of free and open-source software (FOSS) for the development of the global air navigation system, as well as the importance for ICAO to consider partnerships with open-source software foundations to assist in that process.

115. The Assembly was invited in WP/383 to:

- a) request ICAO to consider open-source projects to support the implementation of future air navigation systems; and

- b) request ICAO to consider partnerships with open-source software foundations to assist in the planning, development and/or implementation of open-source software for the global aviation system.

116. The Delegate of France introduced WP/113 (*Enabling a new deal between ICAO and the aeronautics industry*), which was presented by France, Italy and Sweden. The paper highlighted that the aviation sector was undergoing increasingly rapid changes in terms of technology, threats and public expectations and that States and ICAO were finding it increasingly difficult to keep pace with those developments. To that end, it was proposed that the Council urgently establish a regular high-level dialogue with industry through an Innovation Consultative Board (ICB) that would provide strategic advice to the Council concerning innovation in aviation. The paper proposed key principles for governance arrangements, including the Presidency, membership, frequency of meetings, costs and outcomes. In emphasizing that it would be for the Council to decide on such arrangements, the Delegate of France noted that it was envisaged that the ICB's reports and recommendations would be submitted to the Council for review and decision. He affirmed that ICAO could only gain from receiving the strategic expertise of senior aviation industry representatives who were at the forefront of innovation and its integration into civil aviation. The Delegate of France further noted that the creation of the ICB was a way to implement the Outcome Statement of the recent Fifth ICAO World Aviation Forum (IWAF/5), which called for the establishment of an inclusive dialogue at a strategic level that will encourage further collaboration in relation to innovation.

117. The Delegate of France suggested that, in line with WP/113, the draft Assembly Resolution on innovation in aviation appended to WP/14 (Council) be expanded to include a new Operative Clause that would read along the following lines: “*Directs* the Council to urgently consider the establishment of a regular high-level body with industry to provide strategic advice to the Council concerning innovation in aviation.”.

118. The Assembly was invited in WP/113 to:

- a) consider the proposal detailed in Parts 4 and 5 of the paper to strengthen the aviation industry's involvement in ICAO's work in order to help ICAO respond more quickly to new challenges in the sector; and
- b) adopt the Assembly Resolution on establishing an Innovation Consultative Board (ICB) chaired by the industry as set out in the Appendix to the paper.

119. The Delegate of Singapore introduced WP/320 (*One Aviation in facing technological advancement*), which was co-sponsored by Australia, the Cook Islands, Fiji, Indonesia, the Lao People's Democratic Republic, the Marshall Islands, Nauru, North Macedonia, Palau, Papua New Guinea, Samoa, Trinidad and Tobago, the United Kingdom and CANSO. The paper summarized the discussions among international aviation leaders at the Seventh World Civil Aviation Chief Executives Forum (WCACEF/7) (Singapore, 8-10 April 2019), whose theme had been *Advancing Aviation: Building Our Future Together*. The paper noted that there had been consensus at the Forum that technology was becoming more pervasive and accessible and that restricting its use deprived the public of the benefits to safety and efficiency and retarded sustainable global development. Participants had agreed that new technology and innovation brought new capabilities and opportunities to further advance aviation development, including addressing capacity demands that were expected to exceed projected air traffic growth. There had been consensus that new technologies were relevant and applicable to all States, ensuring that no country was left behind. In particular, developing and least developed States could tap on such technologies to leapfrog the constraints of legacy systems.

120. Participants had acknowledged that there were also challenges and risks, including disruptive technology by non-traditional aviation players and inadequacies of current systems and processes to adapt to a new digital world. It had also been recognized that regulation was not keeping pace with technology and innovation. In order to harness technology and innovation to build a sustainable international aviation ecosystem the Forum had recommended that: policy makers and regulators adopt a balanced, risk-based approach and a robust risk assessment and mitigation framework; the fundamental principles and norms underpinning civil aviation be maintained to guide the development and adoption of new technology and innovations; collaboration be increased among regulators and between regulators and industry to develop communities of practice to share their expertise, best practices, and experience, working together in regulatory sandboxes and engaging in forums to co-develop rules. The Forum had also highlighted that ICAO had an important role to play in building a circle of trust within the community and creating platforms for the sharing of privileged information.

121. The Assembly was invited in WP/320 to:

- a) urge aviation stakeholders to work together to harness new technology and innovation through collaborative partnerships to achieve optimal benefits for the whole aviation ecosystem;
- b) reaffirm the importance of ICAO's longstanding principles and norms, including those on air traffic management, air navigation and technical cooperation (Assembly Resolutions A35-15, A38-12 and A39-16, respectively), and emphasize that the development and adoption of new technologies and innovation for the sector should be guided by these principles and norms;
- c) recommend that ICAO establish new platforms to tap on the resources and expertise of the industry, and a trust-based framework for knowledge and data-sharing amongst States to keep pace with technology and innovation; and
- d) recommend that ICAO explore the establishment of industry technical forums to directly update industry and pursue the States' endorsed technical recommendations emanating from ICAO high-level meetings such as Air Navigation Conferences or High-level Safety Conferences.

122. The Delegate of the United Arab Emirates presented WP/292 (*Urban air mobility*), which outlined the concept of urban air mobility as a new mode of air transport to overcome ever-increasing road traffic congestion. While noting the associated challenges, such as the lack of established regulations due to non-availability of ICAO SARPs and different certification approaches among States of Design, the paper emphasized that that type of operation would eventually expand to international commercial air transport due to its potential operations between border cities of two neighbouring States. It highlighted that the United Arab Emirates was developing a feasible regulatory framework to oversee the safe operation of urban air mobility.

123. The Assembly was invited in WP/292 to:

- a) request ICAO to invoke its established processes to assess this novel mode of air transport with a view to establish the scope and priority of the work required by ICAO on this subject (including SARPs and guidance material);
- b) request ICAO to develop new processes as necessary to keep pace with the developments in this new area; and
- c) direct ICAO to consider potential unmanned operations (remotely piloted) while developing the SARPs and guidance for urban air mobility.

124. The Observer from IATA introduced WP/342 [*The safe and efficient integration of unmanned aircraft system (UAS) into airspace*], which was presented by CANSO, IATA and IFALPA. The paper highlighted the recent accelerated influx of automation, digital application, robotics, and artificial intelligence allowing for the development of new vehicles and modes of operation and underscored that if such technological advancements were properly managed they could provide a positive transformation of the air transport sector. The paper recognized ICAO's efforts in addressing the priorities and concerns pertaining to UAS, including the establishment of the Unmanned Aircraft Systems Advisory Group (UAS-AG). However, additional work was required, especially in light of existing and planned trials and demonstrations. The paper emphasized that with the forecasted growth in the commercial use of UAS the long-term vision must focus on integration rather than segregation. It was therefore proposed to create a framework which, in collaboration with the UAS industry, would identify areas that required development of guidance material, as well as draft provisions for the safe and efficient integration of UAS into airspace. That work would be based on a pre-agreed scope with ICAO including, but not limited to, the definition and performance requirements for UAS traffic management (UTM), requirements for UTM/air traffic management (ATM) interface, and transformation in ATM. Such coordinated work with the industry and possible proposals, when completed, would be evaluated under the regular ICAO review process. The paper underscored that the proposal would reduce the onus on ICAO's resources and complement existing programmes.

125. The Observer from IATA highlighted that her organization volunteered to initiate that effort by working with ICAO and other industry partners to progress the safe and efficient integration of UAS into airspace. She noted that that effort would take advantage of work already developed under existing platforms and groups and would cover both manned and unmanned operations.

126. The Assembly was invited in WP/342 to:

- a) note the contents of the paper; and
- b) request that ICAO consider establishing a framework through which it can work with industry on developing provisions for new airspace entrants.

127. The Observer from ICCAIA introduced the following four papers in a single statement in view of time constraints: WP/268 (*Artificial intelligence and digitalization in aviation*) which was co-presented by CANSO; WP/459 (*Innovation in aviation*); WP/327 (*New operational concepts involving autonomous systems*); and WP/317 (*Automated formation flight*), all of which dealt with new concepts in innovation in aviation. He emphasized that the significant advances in automation, digitization, machine learning, artificial intelligence and information technology which were occurring in various commercial industries could be used in civil aviation to enable increases in efficiency, reduction of environmental impact, and improvements in safety and capacity. The Observer from ICCAIA underscored that while the potential benefits were great, issues existed. He stressed that it was necessary for the aviation industry to strive for the expeditious integration of new technologies while at the same time exercising prudence to ensure that the long tradition of safety in civil aviation continued. The Observer from ICCAIA further emphasized that a new way of working collaboratively with industry partners could provide timely benefits, while also adhering to the hallmark of the State-based consensus approach used today.

124. The Observer from ICCAIA noted that WP/459 was an overarching paper of the said papers and presented a proposal that ICAO explore options that would allow industry and other stakeholders to assist ICAO in addressing challenges posed by new and emerging aviation technologies. He emphasized that the aerospace manufacturing industry was committed to assisting ICAO in facilitating a global environment that allowed new and emerging technologies in aviation to flourish. It proposed that new approaches be established that would respond to ICAO's needs and direction yet allow the industry to advance issues in a more agile fashion while respecting the need for transparency and accountability.

125. The Observer from ICCAIA highlighted that the approach proposed in WP/459 would allow the industry, subject matter experts and other stakeholders to assist ICAO by addressing issues which the Organization might not have the necessary expertise or resources to address by itself. Underscoring that there were precedents for that type of approach within the UN system, he cited, as an example, how the ITU employed a variety of industry focus groups to undertake additional work for expeditious development of Standards in defined areas. Those bodies were ultimately responsible to a specific area within ITU but had a high degree of freedom in determining appropriate working methods. ICCAIA proposed a similar construct as ITU in which arms-length groups would still be accountable to ICAO. The proposal was intended to assist ICAO by using industry's and other stakeholders' resources where they were better positioned to address these issues, while respecting ICAO's role in terms of promoting best practices and in the ultimate decision-making process that supported safe, efficient, secure, economically sustainable and environmentally responsible international civil aviation.

Discussion

126. In expressing support for WP/14 (Council), the Delegate of Mexico highlighted its conclusion in paragraphs 5.1 and 5.2 that: "Given that the growth of innovation in aviation is expected to increase, it is important for the global aviation community to develop new regulatory policies in order to evaluate innovations in a timely manner. These policies should not be technology specific but rather should provide a high-level framework through which innovations can be assessed and, where relevant, be brought under global policies and Standards. The technology-specific elements will, of course, continue to be reviewed under the existing expert groups. To that end, it is important for the Assembly to recognize the need for, and endorse the development of, such a framework.". He underscored that the said high-level framework would reduce risks and enhance the potential benefits of innovation in aviation. The Delegate of Mexico affirmed that the draft Assembly Resolution appended to WP/14 was well-balanced and would enable consultations between ICAO and other interested parties.

127. While welcoming the constructive proposals contained in the other papers presented, the Delegate of Mexico underscored that it was difficult to agree to them at the present time as more indepth analysis was required to determine how the envisaged work, which would involve the Air Navigation Commission (ANC) and its panels, could be incorporated into the work outlined in WP/14. He suggested that the said proposals be referred to the Council for review and decision

128. Recalling the IWAF/5 Outcome Statement, which called for the establishment of an inclusive dialogue at a strategic level that would encourage further collaboration in relation to innovation, the Delegate of Mexico emphasized that ICAO needed to have such strategic guidance for its future work. While noting that the proposal for an ICB set forth in WP/113 (France, Italy, Sweden) was interesting, he questioned whether establishing such a body fell within the Assembly's remit. In seeking clarification on how that would dovetail with the Council's remit, he advocated taking instead the action called for in Operative Clause 4 of the draft Assembly Resolution appended to WP/14, whereby the Assembly "*Directs* the Council to instruct the Secretary General to further liaise with States, governmental and non-governmental organizations, the private sector, academia and the relevant United Nations system entities in order to establish an inclusive dialogue at strategic level that will encourage further collaboration and sharing of experience in relation to innovation."

129. The Delegate of Spain observed that WP/383 (Dominican Republic), WP/320 (Singapore and co-sponsors) and WP/292 (United Arab Emirates) put forward very interesting ideas which could be assessed by ICAO and possibly included, at an appropriate time, in ICAO's work programme for future consideration. He further noted that WP/342 (CANSO, IATA, IFALPA) and WP/459 (ICCAIA) expressed industry's interest in having a framework for collaboration with ICAO, and that WP/14 (Council) and the

appended draft Assembly Resolution highlighted the need to establish an inclusive dialogue at the strategic level that would encourage further collaboration and sharing of experience in relation to innovation. The Delegate of Spain agreed on the need for closer cooperation and collaboration with the aviation industry, particularly at the executive/strategic level, which would benefit ICAO and the civil aviation system in general.

130. The Delegate of Spain remarked that the proposal for an ICB set forth in WP/113 (France, Italy, Sweden) was very much in line with the proposals presented in WPs/342 and /459, as well as with Operative Clause 4 of the draft Assembly Resolution appended to WP/14, as indicated by the Delegate of Mexico. He emphasized, however, that it was not within the Assembly's remit to take a decision regarding the governance arrangements put forward in WP/113 for the proposed ICB (presidency, membership, meetings, costs, outcomes). The Delegate of Spain then elaborated on the main parameters that should govern the launching of this type of initiative: i) the innovation body should be consultative in nature; ii) it should work at the executive/strategic level as otherwise it would not serve ICAO's purpose as the Organization already had many technical groups fulfilling specific tasks; iii) it should be inclusive, comprising not only known sectors of the industry but also new entrants; iv) it should present the Council with advice, as well as with an appropriate work programme for its approval; and v) there should be minimal financial implications for ICAO.

131. The Delegate of Spain noted that the said parameters were not completely covered in Operative Clause 4 of the draft Assembly Resolution appended to WP/14 and underscored that as the envisaged dialogue would be at the strategic level, it should be reported on to the Council. He highlighted that that element was not reflected in the draft Assembly Resolution appended to WP/113.

132. Commenting on WP/113, the Delegate of Canada indicated that his State supported the principle of establishing more effective cooperation between the aviation industry and ICAO. Canada recognized that the pace of technological change necessitated close coordination and the provision of effective support to ICAO to help it meet the challenges of accelerated technological innovation and the transformation of technical, operational, economic and commercial models. That being said, Canada considered that the proposal contained in WP/113 and reflected in the appended draft Assembly Resolution on the creation of an Innovation Consultative Board (ICB) chaired by industry raised some questions regarding ICAO's governance and the way in which it conducted its business. For example, it was proposed that the ICB's membership would comprise representatives of industry and senior ICAO officers (the President of the Council, the President of the ANC, the Secretary General and the Directors of the Air Navigation and Air Transport Bureaus) and that the ICB's reports and recommendations would be submitted directly to the Council. Canada considered that some pause for reflection was needed before the Executive Committee and the Plenary could endorse such an approach, particularly as it related to the potential for, or perception of, governance challenges, conflicts of interest and regulatory capture. Thus while Canada supported the principle of industry cooperation with ICAO, it did not support the draft Assembly Resolution proposed in WP/113.

133. Canada was of the view that WP/113 was too specific regarding the structure and reporting of an ICB and urged more study and reflection, along with a clear articulation of the problem, so that States could consider options to address those issues through fulsome discussion and with consideration of the impacts that they might have on ICAO governance.

134. While expressing support for the long-term objectives of WP/342 (CANSO, IATA, IFALPA) relating to the integration of UAS into airspace, the Delegate of Finland underscored that ICAO's work should be limited to items pertaining to international aviation pursuant to the Chicago Convention and that part of the paper's proposed plan might fall outside ICAO's responsibility. He stressed that any ICAO involvement therein should be undertaken by the Organization's existing Remotely Piloted Aircraft

System (RPAS) Panel and should build on the efforts already initiated by different regions around the world to address the problem as it could take too long for ICAO to solve it from scratch. The Delegate of Finland noted that unmanned aviation was a good example of activities where ICAO processes should be much more dynamic.

135. Turning to WP/292 (United Arab Emirates), on urban air mobility, the Delegate of Finland advocated that ICAO base its work on frameworks established at regional and local levels. Averring that UTM and, in particular, urban air mobility, was more of a national and regional issue than an international one, he questioned whether ICAO was the relevant body to address that matter.

136. Referring to WPs/317 and /327 (ICCAIA), the Delegate of Greece acknowledged the progress achieved in the area of automation, the development of digital technologies and the increasing robustness of artificial intelligence. He underscored, however, that significant work was still being undertaken with regard to air traffic management (ATM) modernization programmes and that additional research and validation were required. Drawing attention to WP/84 (*GANP: Enabling timely ATM modernization*) presented by Finland on behalf of the EU and its Member States, the other Member States of ECAC, and by EUROCONTROL, which had been submitted to the Technical Commission for consideration, the Delegate of Greece reiterated the paper's proposal that ICAO work with States, as well as with the regional ATM modernization and safety improvement programmes, to develop the appropriate provisions, as necessary.

137. The Delegate of Italy highlighted the contents of WP/113, of which his State was a co-presenter with France and Sweden, as they could contribute to foster a safe and secure development of technological innovation in civil aviation by benefitting from industry's technical expertise. He reiterated that in the emerging high technology sectors such as drones, cybersecurity and commercial sub-orbital flights, constant support from industry was essential to establishing compatible risk-based and performance-based regulations which were flexible and able to allow the development of a new aviation ecosystem and at the same time ensure an acceptable level of safety. For that reason, Italy considered that the creation of a high-level Innovation Consultative Board (ICB) managed by the aviation industry could facilitate the rapid adoption of efficient and effective policies to safely phase in the implementation of technological innovation in civil aviation. The Delegate of Italy noted that his State also supported WP/320 (Singapore and co-sponsors).

138. The Delegate of Australia highlighted that further engagement by ICAO with industry, current and emerging, would be important in the future to promote strategic collaboration, harness new technology and encourage, and not hamper or stifle, innovation. He underscored that as new technology evolved so too should ICAO SARPs, guidance material and working methods in order to ensure that the benefits of new technology could be fully realized. To that end, the Delegate of Australia recommended that the Assembly endorse the actions proposed in WP/14 (Council), welcome all of the other proposals contained in the papers presented, and specifically request the Council to consider that range of proposals as it undertook its work in response to WP/14. He emphasized that that process would enable full consideration of all of the issues raised, including the very important concerns raised by the Delegate of Canada, which he and his State shared.

139. Endorsing all of the principles contained in WP/14 (Council), WP/113 (France, Italy, Sweden) and WP/320 (Singapore and co-sponsors), the Delegate of Cameroon affirmed that in view of the rapid technological advances that were occurring they could be beneficial to the entire aviation community. She reiterated that it was of the utmost importance to have the industry involved in ICAO's efforts to address the related challenges, above and beyond the Organization's existing structures as indicated in

WP/113. The Delegate of Cameroon underscored the need for the Council to define the said principles in greater depth and to facilitate dialogue between all of the actors.

140. The Observer from ICCAIA expressed support for the proposal for regular strategic dialogue between the Council and industry set forth in WP/113 (France, Italy, Sweden), which was complementary to ICCAIA's proposal presented in WP/459 that the Council explore the options for allowing industry and other stakeholders to address challenges posed by new aviation technologies in a new arms-length body authorized by ICAO. He highlighted that ICCAIA, as the international organization representing the global aerospace manufacturing industry, offered its support to the Council in realizing the benefits of both proposals if they were accepted by the Assembly.

141. The Observer from IFATCA welcomed WP/342 (CANSO, IATA, IFALPA). In reiterating that a strong set of SARPs and PANS provisions would be required in the domain of UAS, he underscored that global harmonization from the onset was desirable not only because cross-border UAS operations would soon become a reality, but also to avoid future interoperability issues. He emphasized that IFATCA was willing to contribute to that effort with its expertise in the domain of ATM and airspace.

142. The Observer from CANSO thanked ICAO and the Council for their work to enhance ICAO's preparedness for innovation in aviation as described in WP/14 (Council). He indicated that CANSO agreed that those innovations carried significant potential in improving aviation safety, security, sustainability, accessibility and affordability across the globe and had the potential to lead to more efficient and streamlined aviation regulatory processes. CANSO considered that the industry could and should play a role in that process and stood ready to assist ICAO and States, where applicable. With regard to WP/383 (Dominican Republic), CANSO agreed that the protection of navigational aids (NAVAIDS), especially instrument landing system (ILS) equipment, was essential for safe operations. CANSO supported a review of ICAO Annexes and related documents in order to have clear guidance on NAVAIDS protection rules that could be implemented in existing aerodromes, taking into account the ILS efficiency against normal urban extensions. CANSO encouraged States and regions to share their experiences to help progress that effort.

143. In light of time constraints, the Executive Committee agreed to continue its discussion of innovation at the next meeting, at which time it would also consider, under Agenda Item 26, the issues regional cooperation and pandemics, health events and aircraft disinsection, as well as other high-level policy issues.

Any other business

International Translation Day

144. In reiterating that today was *International Translation Day*, the Secretary General recalled that on 24 May 2017 the United Nations General Assembly had adopted Resolution 71/288. *The role of professional translation in connecting nations and fostering peace, understanding and development*, in which it declared 30 September *International Translation Day*. She noted that *International Translation Day* was an opportunity to pay tribute to the work of language professionals which played an important role in bringing nations together, facilitating dialogue, understanding, and cooperation, contributing to the development and strengthening of world peace and security. The Secretary General took this opportunity to salute all of the ICAO language services staff members who were supporting the work of the 40th Session of the Assembly and warmly wished them a very happy *International Translation Day*. Recalling that following the consideration of Agenda Item 18: *Multilingualism at ICAO* at its Second Meeting (EX/2) the Executive Committee had recommended, inter alia, that the Assembly recognize multilingualism as a

fundamental principle to achieve the goals of ICAO, she reaffirmed that the Organization would continue to uphold that principle.

Agenda Item 12: Aviation security – Policy

Declaration on Aviation Security

145. The Chairperson recalled that, at its Fourth Meeting (EX/4) on 28 September 2019, the Executive Committee had agreed to establish a “Friends of the Chairperson” drafting group chaired by the Second Vice-President, Ms. Poppy Khoza (South Africa), to refine the text of the global *Declaration on Aviation Security* set forth in information paper WP/528 Revision No. 1, which would replace the existing Declaration adopted by the 37th Session of the Assembly in 2010. Noting that the drafting group’s proposed *Declaration on Aviation Security* had been posted on the A40 website under *Reference Documents* at: <https://www.icao.int/Meetings/a40/Pages/documentation-reference-documents.aspx>, he reiterated (EX/5) his invitation to Delegates to e-mail their comments thereon to the Secretariat at ASF@icao.int by close of business today, 30 September 2019, at the latest. The comments received would be taken into account by the “Friends of the Chairperson” drafting group, whose revised text of the said Declaration would be issued as Addendum No. 1 to WP/596 (Draft Report to the Plenary on Agenda Item 12), to be considered at the next meeting

146. The meeting adjourned at 1700 hours.

Minutes of the Ninth Meeting
(Tuesday, 1 October 2019 at 0900 hours)

SUBJECTS DISCUSSED

1. Agenda Item 26: Other high-level policy issues to be considered by the Executive Committee (continued)

Innovation

— *Innovation in Aviation*

- Paper presented by the Dominican Republic
- Paper presented by France, Italy and Sweden
- Paper presented by Singapore and co-sponsored by Australia, the Cook Islands, Fiji, the Lao People's Democratic Republic, the Marshall Islands, Nauru, North Macedonia, Palau, Papua New Guinea, Samoa, Trinidad and Tobago, the United Kingdom and the Civil Air Navigation Services Organisation (CANSO)
- Paper presented by the United Arab Emirates
- Paper presented by CANSO
- Paper presented by the International Coordination Council of Aerospace Industries Associations (ICCAIA) and CANSO
- Papers presented by ICCAIA

Regional cooperation

- Paper presented by Qatar
- Information paper presented by the Arab Civil Aviation Organization (ACAO)

Pandemics, health events and aircraft disinsection

— *Report on aircraft disinsection and vector control measures*

- Paper presented by the International Air Transport Association (IATA)
- Information paper presented by Canada
- Information paper presented by the Interstate Aviation Committee (IAC)

Other papers

- Paper presented by Indonesia
- Paper presented by Kiribati
- Paper presented by Qatar
- Paper presented by the International Transport Workers' Federation (ITF)
- Information paper presented by Saudi Arabia
- Information paper presented by Airports Council International (ACI)
- Information paper presented by the Corporación Centroamericana de Servicios de Navegación Aérea (COCESNA) Member States
- Information paper presented by Air Crash Victims' Families' Federation International (ACVFFI)
- Information paper presented by ITF

2. Agenda Item 11: Annual Reports of the Council to the Assembly for 2016, 2017 and 2018
— Approval of draft text for the Report to the Plenary
3. Agenda Item 12: Aviation Security – Policy
— Approval of draft text for the Report to the Plenary
4. Agenda Item 13: Audit Programmes – Continuous Monitoring Approach
— Approval of draft text for the Report to the Plenary
5. Agenda Item 14: Facilitation Programmes
— Approval of draft text for the Report to the Plenary
6. Agenda Item 18: Multilingualism at ICAO
— Approval of draft text for the Report to the Plenary
7. Agenda Item 20: No Country Left Behind Initiative
— Approval of draft text for the Report to the Plenary
8. Agenda Item 21: United Nations 2030 Agenda – Sustainable Developments Goals (SDGs)
— Approval of draft text for the Report to the Plenary
9. Agenda Item 22: Resource Mobilization and Voluntary Funds
— Approval of draft text for the Report to the Plenary
10. Agenda Item 25: ICAO Civil Aviation Training and Capacity Building
— Approval of draft text for the Report to the Plenary

SUMMARY OF DISCUSSIONS

Agenda Item 26: Other high-level policy issues to be considered by the Executive Committee (continued)

1. The Executive Committee resumed (EX/8) and completed its consideration of Agenda Item 26. It continued its discussion on the issue of innovation, which was documented in one main paper presented by the Council, WP/14 (*Innovation in aviation*), and related papers presented by States and international organizations. Thereafter discussion focussed on the issues of regional cooperation and pandemics, health events and aircraft disinsection, and other high-level policy issues, which were documented in one main paper presented by the Council, WP/5 (*Report on aircraft disinsection and vector control measures*), and related papers presented by States and international organizations.

Innovation

Discussion (continued)

1. Commenting on some of the papers presented at the previous meeting, the Chief, Strategic Planning and Regional Affairs Coordination (C/PRC) noted that WP/113 (*Enabling a new deal between ICAO and the aeronautics industry*) presented by France, Italy and Sweden highlighted some very relevant issues. He underscored, however, that regardless of the format used by ICAO to collaborate with the aviation industry, all recommendations arising from such collaboration should be submitted to the Council for consideration and endorsement. Thus in order to enable a new deal between ICAO and the aviation industry as proposed in WP/113, it was important that the Council, with the assistance of the Secretariat, review the details and operating modalities of such collaboration to determine how best to put that concept into practice before the adoption of the draft Assembly Resolution on the creation of an Innovation Consultative Board (ICN) appended to the paper. C/PRC emphasized that no such Assembly Resolution should prescribe how ICAO engaged with the aviation industry.

2. With regard to WP/268 (*Artificial intelligence and digitalization in aviation*) presented by ICCAIA and CANSO, and WPs/459 (*Innovation in aviation*), /327 (*New operational concepts involving autonomous systems*) and /317 (*Automated formation flight*) presented by ICCAIA, C/PRC recalled that the Council-approved General Work Programme of the Legal Committee already included, as its first item, “International legal aspects of unmanned (pilotless) aircraft operations and integration into civil aviation” (cf. WP/78). He highlighted that interested parties could submit papers relating to that item to the 38th Session of the Legal Committee.

3. With respect to WP/292 (*Urban air mobility*) presented by the United Arab Emirates, C/PRC noted that ICAO was already developing Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS), and guidance material for remotely piloted aircraft systems (RPAS). Accordingly, the development of additional provisions for urban air mobility operations called for in the paper should be considered through the established processes for the prioritization of the ICAO work programme.

4. The Delegate of France recalled that during his introduction of WP/113 at the previous meeting (EX/8) he had emphasized that it would be for the Council to decide on the paper’s proposed key principles for governance arrangements, including the Presidency, membership, frequency of meetings, costs and outcomes, and that it was envisaged that the ICB’s reports and recommendations would be submitted to the Council for review and decision. He thus agreed with the comments made by C/PRC. The Delegate of France reiterated his suggestion that, in line with WP/113, the draft Assembly Resolution on innovation in aviation appended to WP/14 (Council) be expanded to include a new Operative Clause that would read along the following lines: “*Directs* the Council to urgently consider the establishment of a regular high-level body with industry to provide strategic advice to the Council concerning innovation in aviation.”. He indicated that, as an alternative, the said text could be reflected in the Executive Committee’s Report on Agenda Item 26. He underscored that it was very important to capture that concept as it reflected the Executive Committee’s discussion on innovation.

5. The Delegates of Spain, Germany, Turkey and Argentina , as well as the Observers from IATA and ICCAIA, expressed support for including the text in either the draft Assembly Resolution or in the Executive Committee’s Report to ensure that the concept was not overlooked, while the Delegate of Sweden spoke in favour of including it in the Report. In so doing, the Delegate of Argentina also endorsed WP/320 (Singapore and co-sponsors). The Observer from IATA noted that the intent behind all of the papers which requested more interaction with the aviation industry was not to go into the details at the

Assembly but to refer the matter to the Council for consideration and decision. The Observer from ICCAIA, representing aerospace manufacturers globally, underscored that the Delegate of France's suggestions addressed the need for strategic industry engagement with the Council without being overly prescriptive.

6. C/PRC agreed to the Delegate of France's suggestion to include the said new Operative Clause in the draft Assembly Resolution appended to WP/14 (Council).

7. The Observer from ICCAIA suggested that Operative Clause 2 of the said Assembly Resolution be amended by inserting after the word "Organization" the phrase "including its working methods with the industry," so as to imply how the technical work would proceed without being too prescriptive. The provision would thus read: "*Directs* the Council to assess the need, as well as the resources required, to evolve the processes of the Organization, including its working methods with the industry, in order to keep pace with innovations that affect the sustainable development of civil aviation;". He emphasized that this proposed additional text was in line with C/PRC's comments and was consistent with the strategic approach proposed in WP/113 and supported by several Delegates. C/PRC agreed to the suggested amendment to Operative Clause 2.

8. Referring to WP/383 (Dominican Republic), the Observer from ICCAIA indicated that while his organization recognized the appeal of the open-source software concept, it urged caution in its use in air navigation system software in light of concerns regarding the protection of intellectual property rights and long-term investment incentives by the industry stakeholders.

9. The Delegate of Bangladesh expressed concern that the use of open-source software for air navigation systems might give rise to interoperability issues, creating the risk of non-compliance by airline operators. He suggested that this matter be further studied.

10. The Observer from the International Federation of Air Line Pilots' Associations (IFALPA) drew attention to action paragraph c) of WP/327 (ICCAIA), in which the Assembly was invited to "request ICAO to explore the options for allowing industry, and other stakeholders, to address emerging operational concepts such as single-pilot operations, reduced-crew operations, high altitude pseudo-satellites (HAPS) operations, and partially autonomous operations;"; highlighting that it had not only legal implications but also safety implications. He indicated that IFALPA fully supported any developments that improved the current safety Standards for commercial air transport. It considered that aviation's enviable safety record and culture was based upon properly two properly rested, fully qualified, and well-trained pilots. It was imperative that any future evolution of this benchmark improved upon it and did not degrade the safety and security level in any area. Given the complexities of flight crew duties that had accompanied the ever-increasing levels of automation, the challenges of maintaining manual flying skills, and the significant advances in the level of safety due to cockpit resource management and human factors training, IFALPA opposed the development of reduced-crew or single-pilot operations. It considered that the limited resources available to advance safety would be far better invested in more robust pilot training initiatives in multi-crew operations. It was IFALPA's position that because reduced-crew operations carried significant additional risks over dual-pilot operations they would result in a serious reduction in flight safety. The Observer from IFALPA noted that his organization's views thereon were presented in detail in WP/426 (*Reduced-crew operations*) which it had submitted to the Technical Commission for consideration.

11. In summarizing the discussion on innovation, the Chairperson indicated that the Executive Committee agreed with the assessment provided in WP/14 (Council). It noted that the Organization's Regular Programme Budget was limited and presented a significant constraint to its ability to keep pace with innovations. The Executive Committee agreed that an assessment of the process of ICAO with respect to the uptake of innovation was required. While agreeing with the spirit of WP/113 (France, Italy, Sweden) that a closer association with the aviation industry at the executive level could indeed have potential

benefits for the Organization, it noted that there would need to be clear terms of reference with such an engagement and that more study and reflection was required. In this context, the Executive Committee did not support the draft Assembly Resolution appended to WP/113 as it was considered too prescriptive and premature. It did, however, agree that the dialogue between industry and ICAO should be intensified and that the Council should be directed to address the matter. In line with this, the Executive Committee agreed to add an additional Operative Clause to the draft Assembly Resolution on innovation in aviation appended to WP/14.

12. With regard to WP/383 (Dominican Republic), the Executive Committee noted the importance of free and open-source software (FOSS) in the innovation community and that it would be part of the Assembly requests submitted for the consideration of the Council. The Executive Committee welcomed WP/320 (Singapore and co-sponsors) and noted the actions suggested in the paper. It agreed that the contents of the paper be considered by the Council in its assessment of the ICAO process with respect to the uptake of innovation.

13. With regard to WP/342 (CANSO, IATA, IFALPA), the Executive Committee noted that the request that ICAO consider establishing a framework through which it could work with industry on developing provisions for new airspace entrants was consistent with the outcome of AN-Conf/13, as well as with WP/14 (Council). It agreed that UAS should be a key focus under the assessment that the Assembly would submit for the consideration of the Council.

14. The Executive Committee noted the contents of WP/268 (ICCAIA and CANSO) and WPs/317, /327 and /459 (ICCAIA), and the depth and breadth of technical work still required to develop SARPs to facilitate the development of new, emerging and yet unforeseen aviation technologies. It further noted that the Legal Committee was already looking into an RPAS study and that interested parties might consider submitting a paper during the next (38th) session of the Legal Committee on the issue of studying the legal implications of autonomy in flight. The Executive Committee agreed that the information provided in WP/292 (United Arab Emirates) regarding the issue of urban air mobility would be considered by the Council in its assessment of its procedures, as well as in its established processes for the prioritization of its Work Programme.

15. The Executive Committee noted that all of the activities proposed in the papers on innovation were unfunded and may not be undertaken without additional resources. It recommended that the proposals be reviewed, taking into consideration existing priorities funded through the 2020-2022 Regular Programme Budget and the availability of extra-budgetary resources. In this regard, the Executive Committee also encouraged ICAO to consider new methods to enable ICAO access to extra-budgetary resources and expertise.

Regional cooperation

16. The Delegate of Qatar presented WP/136 (*Amendment to ICAO policy on regional cooperation*), which highlighted the need to improve the ICAO Policy and Framework for Regional Cooperation adopted by the 37th Session of the Assembly in light of the experience gained in its implementation between ICAO (both Headquarters and Regional Offices) and regional organizations as well as regional civil aviation bodies, in order to better serve its main objective, namely “to avoid duplication and achieve harmonization in all regions”. The main idea was to ensure better harmonization and consistency across geographical areas delineated as ICAO regions in terms of national regulations, operational requirements and procedures based on SARPs. While acknowledging that an important effort had been made towards harmonization between States accredited to the same Regional Office, the paper underscored that efforts should be heightened between geographical areas and delineated ICAO regions,

especially when existing regional organizations and regional civil aviation bodies were covering States belonging to two or more Regional Offices and had been established on the basis of a common culture, history and language which would foster the harmonization process.

17. The Assembly was invited in WP/136 to request the Council to amend ICAO's Policy on Regional Cooperation by adding the following measures:

- a) encourage the regional organizations and regional civil aviation bodies to organize multi-regional events (seminars, workshops, training, etc.) with two or more Regional Offices depending on the geographical distribution of their Member States;
- b) request the ICAO Regional Offices to improve their participation in these multi-regional events in order to allow better harmonization across all the regions;
- c) encourage the States to participate in these multi-regional events with the regional organization or regional civil aviation body to which they belong, to be cost effective in their use of human resources and their spending and good governance of human resources.

18. It was noted that the following information paper had also been submitted: WP/424 (*Technical cooperation with the International Civil Aviation Organization and civil aviation international and regional organizations*) presented by ACAO.

Discussion

19. C/PRC noted that the Secretariat agreed with the actions proposed in WP/136 and that ICAO should review the existing regional cooperation policy.

20. In the absence of further comments, the Chairperson indicated that the Executive Committee agreed that, to ensure better cooperation between ICAO and regional organizations, as well as regional civil aviation bodies, ICAO should review the existing regional cooperation policy originally developed nearly a decade ago.

Pandemics, health events and aircraft disinsection

21. The Chairperson recalled that WP/5 (*Report on aircraft disinsection and vector control measures*) presented by the Council had been discussed by the Executive Committee at its Sixth Meeting on 29 September 2019 under Agenda Item 14: *Facilitation Programmes*.

22. The Observer from IATA presented WP/132 (*IATA views on response to pandemics and public health events*), which highlighted the importance of an effective and appropriate response to major public health events, including pandemics, and the important relationship between such events and international travel. The paper underscored that aviation could play a vital role in responding to outbreaks, for example, by facilitating the supply of medical expertise and medicines to affected groups. It recalled that the World Health Organization (WHO) and other internationally-focused public health agencies provided measured advice on the appropriate response to outbreaks and emphasized that it was crucial that States follow the guidance of the WHO and other relevant health bodies in responding to pandemics and other major public health events. In particular, the paper stressed that unilateral decisions by States to introduce measures which impeded the movement of passengers and goods had the potential to cause massive disruption to airline travel and trade, and unnecessarily jeopardize the ability of the State to respond to an outbreak, for example, by impeding the arrival of health experts or the transport of biological specimens. The paper noted that IATA had been a supporter of the *Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation* (CAPSCA) since its inception under

the leadership of ICAO and that it considered that reliable public/private cooperation was essential for an effective global response to public health emergencies.

23. The Assembly was invited in WP/132 to:
- a) reaffirm the importance of a coherent/partnership approach by all parties in preparing for, and responding to, pandemics or public health emergencies;
 - b) urge all States to adhere to the guidance of WHO during public health outbreaks, following the International Health Regulations and, in particular, avoiding unilateral decisions to introduce border controls, screening requirements and vaccinations requirements or other measures impeding travel, which are not aligned with WHO guidance;
 - c) request that the Council continue to work with the World Economic Forum (WEF) and other international parties on developing the “Epidemic Readiness Accelerator” to facilitate a coordinated response to outbreaks of international concern; and
 - d) request that the Council further develop the work of CAPSCA.
24. It was noted that the following information papers had been submitted: WP/546 (*International travellers could be carriers of African swine fever*) presented by Canada; and WP/90 [*Global cooperation mechanism in civil aviation on the prevention and overcoming of threats to the population health (CAPSCA)*] presented by IAC.

Discussion

25. Commenting on WP/132, C/PRC indicated that the Secretariat appreciated, and agreed with, IATA’s views on the response to pandemics and public health events and urged States to collaborate with CAPSCA and adhere to WHO guidance during public health outbreaks. However, the Secretariat had concerns regarding the availability of resources to further develop the work of CAPSCA.

26. In the absence of further comments, the Chairperson indicated that the Executive Committee supported IATA’s proposals as presented in WP/132, recognized that several initiatives were in place that addressed the issues raised in the paper, and urged States to collaborate with CAPSCA and WHO. The Executive Committee agreed that ICAO should further develop the work of CAPSCA, subject to existing priorities funded through the 2020-2022 Regular Programme Budget and the availability of extra-budgetary resources.

Other papers

27. The Delegate of Indonesia presented WP/318 (*Get airport ready for disaster*), which emphasized that airport preparedness in case of disaster was important in order to enhance the ability to evacuate people and to manage incoming relief aid as efficiently as possible. The paper highlighted Indonesia’s related aviation regulations, including: Law Number 24 Year 2007 on Disaster Management, Article 4, paragraph 3, of which stipulated that the goal of disaster management was to “ensure that the conduct of disaster management is planned, integrated, coordinated, and comprehensive”. It also elaborated on the Indonesian national master plan developed in accordance with Article 194 of Aviation Law Number 1 Year 2009, which identified 74 airports suitable for the use of aircraft to assist in case of disaster, as well as hub-airports to support operations in managing incoming relief aid and evacuation.

28. The Assembly was invited in WP/318 to:

- a) request the Council to review existing SARPs related to aerodromes; and
- b) identify and develop ICAO provisions to support airport operational procedures in disaster management.

29. The Delegate of Kiribati introduced WP/442 (*Facilitation for attendance at ICAO meetings*), which highlighted that smaller States experienced difficulty and greatly increased costs in obtaining visas and travel documents to participate in ICAO events and meetings as a result of restrictions in consular access and the need to obtain single entry visas for each ICAO-related trip. As that reduced the States' ability to fully participate in desired ICAO meetings and events, assistance was sought from the ICAO Secretariat and the Regional Offices to request the relevant agencies in Canada and the host States of the Regional Offices to facilitate the visa and entry process for delegates from smaller States by enabling the issue of multiple entry visa documents for accredited delegates attending ICAO meetings and events.

30. The Assembly was invited in WP/442 to:

- a) note the difficulties experienced by the smaller States in participating in regional and international ICAO events and meetings; and
- b) seek the assistance of the Regional Offices and the ICAO Secretariat in approaching the relevant Foreign Ministries to facilitate the regular entry of aviation officials from smaller States to attend ICAO events and meetings.

31. The Delegate of Qatar presented WP/135 (*Consistency across ICAO Strategic Objectives*), which noted that ICAO's Business Plan established five comprehensive Strategic Objectives and priorities to guide the activities of the Organization and enable Member States to attain a safe, secure, efficient, economically viable and environmentally responsible air transport network. The paper underscored that only three of the five Strategic Objectives were supported by Global Plans [i.e. Global Aviation Safety Plan (GASP), Global Air Navigation Plan (GANP) and Global Aviation Security Plan (GASeP)] and associated Roadmaps, which served to assist the aviation community in achieving the goals of each Global Plan through a structured, common frame of reference for all relevant stakeholders.

32. The Assembly was invited in WP/135 to request the Council and the Secretariat to:

- a) develop Global Plans and associated Roadmaps for the Strategic Objectives *Environmental protection* and *Economic development of air transport* to ensure consistency among all Strategic Objectives; and
- b) link the Global Plans to the ICAO Business Plan.

33. The Observer from ITF introduced WP/167 (*Promotion of the critical safety role of cabin crew members through recognition of an International Cabin Crew Day*), which highlighted that according to ICAO's forecast, the global aviation industry would require more than 1 185 000 cabin crew by 2037, the biggest number in all categories of workers in aviation. The paper underscored that the ITF, as the only global organization representing unions gathering hundreds of thousands of cabin crews in more than 100 States, and with its ten Regional Offices was willing to work with ICAO and all stakeholders to use one day in the year as a focal point to promote safety in the cabin and the safety role of cabin crew. The opportunity would also be taken to advertise ICAO's work and the industry.

34. The paper noted that as cabin crews was a role which had the highest percentage of women's employment, the promotion of the safety critical role of a cabin crew has a strong gender equality aspect that would assist ICAO in contributing to the United Nations Sustainable Development Goal 5, and

promote a gender-balanced workforce in aviation, which was also a priority for ICAO's Next Generation of Aviation Professionals (NGAP) Programme. The Observer from ITF drew attention to information paper WP/501 (*Creation of a formal International Cabin Crew Day*) submitted by his Federation, which highlighted that for the last five years 31st May has been celebrated as an informal International Cabin Crew Day by many airlines and organizations around the world.

35. The Assembly was invited in WP/167 to:

- a) request the Council to establish an annual *International Cabin Crew Day* to enhance the awareness of the cabin crew role in order to attract future aviation professionals to the industry through the NGAP Programme, as well as to raise the awareness of Member States of the ICAO Cabin Crew Safety Training Manual and other ICAO cabin safety-related provisions; and
- b) note the existing date of 31st May as an informal International Cabin Crew Day, which had been celebrated by airlines and organizations from at least 32 Member States in 2019.

36. It was noted that the following information papers had also been submitted: WP/541 (*Global Aviation Summit, 2019*) presented by Saudi Arabia; WP/480 (*State of the airport industry: working for a more sustainable airport business*) presented by ACI; WP/483 [*Central American Corporation for Air Navigation Services (COCESNA) 60 years of service to international air transport*] presented by COCESNA Member States; WP/500 (*International Air Crash Victims and their Families Day*) presented by ACVFFI; and WP/501 (*Creation of a formal International Cabin Crew Day*) presented by ITF.

Discussion

37. The Delegates of Mexico, Spain, Bangladesh, Myanmar and Mozambique endorsed WP/318 (Indonesia). In so doing, the Delegate of Spain stressed the need for the Council to consider the development of provisions to support airport operational procedures in disaster management in a holistic manner, taking into account the various initiatives already underway in ICAO.

38. Noting that the paper was very pertinent to his State as it experienced many natural disasters as a result of climate change, the Delegate of Bangladesh requested that ICAO study the matter and ensure that any proposed provisions did not infringe on State sovereignty.

39. In expressing strong support for the actions proposed in the paper, the Delegate of Mozambique recalled that on 14 March 2019 Cyclone Idai had made landfall near Beira city in his State, causing an estimated 700 deaths, as well as massive destruction of property and crops.

40. Noting that his organization welcomed the general principle of the importance of preparing airports to deal with disasters, the Observer from ACI highlighted that it cooperated with ICAO and other industry partners in assisting in that regard. ACI deemed it essential that the services were prioritized and that they themselves did not pose new burdens on an already stretched infrastructure. He noted that ACI Members had a number of initiatives in that area. Affirming his organization's willingness to continue to work with ICAO and others to take this matter further, the Observer from ACI highlighted that it had already published handbooks on emergency planning and business continuity. Referring to the executive summary of WP/318, the Observer from ACI indicated that while his organization supported action paragraph b) which would take the work forward, it did not consider that action paragraph a) was necessary at this stage since that related to potential changes to ICAO SARPs. ACI was of the view that a voluntary way forward was better.

41. C/PRC highlighted that pursuant to Assembly Resolution A39-24 (*Strategy on Disaster Risk Reduction and Response Mechanisms in Aviation*), ICAO and the United Nations Office for the Coordination of Humanitarian Affairs (OCHA) were co-chairing a group of aviation and humanitarian stakeholders in order to ensure that relevant guidance and tools were available to provide timely and coordinated airborne assistance after a natural disaster. They endeavoured to build upon the existing available material and good practices to provide States and all interested stakeholders with a repository of useful and practical information. C/PRC also underscored that the actions proposed in WP/318 might have resource implications as the proposed work was not included in the AN Work Programme as part of the Regular Programme Budget for the 2020-2022 triennium.

42. Voicing support for WP/442 (Kiribati), the Delegate of Mexico emphasized that many States, and not only the smaller ones, experienced difficulty and greatly increased costs in obtaining visa and travel documents to participate in ICAO events and meetings and were consequently unable to attend. He underscored that it was thus necessary to seek the assistance of the Regional Offices and the ICAO Secretariat in approaching the relevant Foreign Ministries to facilitate the regular entry of aviation officials from all States concerned to attend ICAO events and meetings.

43. Noting that his State also supported that paper, the Delegate of Australia highlighted that while the issue had been raised almost a year ago at the 55th Conference of Directors General of Civil Aviation (DGCAs) of the Asia-Pacific region, no action had thus far been taken to address it. He highlighted that although many States encountered similar issues, the problem was particularly challenging for Small Island Developing States (SIDS) due to the limited footprint of the host States' diplomatic missions and ability to issue visas.

44. The Delegate of Canada underscored that her Government strove to deliver high quality services to all of its clients and realized that there were some challenges with smaller States attending ICAO meetings and events. She stressed that Canada was committed to improving the services offered, as exemplified by its extensive visa applications centres or VAC networks. There were currently 153 VACs in 104 States, with the number growing, and they provided access to approximately 96 to 98 per cent of applicants with their country of residence. The Delegate of Canada assured the Executive Committee that her Government would continue to review the issue brought forward in WP/442 and would work to find a solution to best deliver services to States like Kiribati.

45. The Delegates of France, Spain, Tuvalu, Singapore, the Russian Federation, Turkey, Niger, Greece and Eritrea joined the Delegates of Mexico and Australia in supporting WP/442 (Kiribati). The Delegate of Tuvalu noted, in this regard, that his experience in coming to Montréal for this triennial Assembly had not been quite favourable as he had had to travel all the way to Sydney to have his Canadian visa fixed, despite the fact that it had been approved online. In emphasizing that attending ICAO meetings and events was extremely expensive for small States like Tuvalu and Kiribati, he stressed that better facilitation of visas and travel documents would certainly help them attend, and participate more effectively in, ICAO meetings.

46. In sharing the view expressed by the Delegate of Australia, the Delegate of Singapore suggested that one possible solution would be for all host States of ICAO meetings and events to facilitate the provision of entry visas for delegates. She thanked the Government of Canada for its efforts to facilitate visa applications of Delegates attending the 40th Session of the Assembly.

47. Recalling his State's experience in facilitating the participation of soccer players in the 2018 FIFA World Cup through the issuance of electronic visas, the Delegate of the Russian Federation suggested that other States hosting ICAO meetings and events consider that solution.

48. While highly appreciating the Canadian Government's efforts to facilitate visa applications for Delegates attending ICAO meetings and events, the Delegate of Turkey endorsed the actions proposed in WP/442 in view of the difficulties being encountered by smaller States as described in the paper. He emphasized that mitigating measures should be implemented globally.

49. The Delegate of Niger expressed appreciation to the Embassy of Canada in Dakar, Senegal for the diligent way in which it had processed visas for the members of her Delegation so that they could travel to Montréal for the Assembly.

50. C/PRC noted that the ICAO Secretariat provided visa-related support to the delegates and participants of ICAO meetings and events, in line with the Headquarters Agreement with the Host State, Canada. Such visa-related support was provided by the Legal Affairs and External Relations Bureau (LEB) on the basis of a formal request from the official authorities of the Member States concerned. However, the Secretariat was aware of certain difficulties which some Member States may experience with obtaining Canadian entry visas, due not only to the time needed to go through the applicable immigration procedures, but also to logistics issues since sometimes the Canadian missions processing visa-requests were located not in the State of the applicants, but in a different State. C/PRC emphasized that upon receipt of WP/442 the concerns raised therein had immediately been brought to the attention of the Canadian authorities, which, in coordination with the immigration authorities concerned, had committed to further facilitate the issuance of the appropriate entry visas to the delegates of ICAO meetings and events. The Canadian Delegation had reassured the Secretariat that all possible efforts would be made towards timely issuance of the entry visas to duly nominated delegates, subject to timely coordination with ICAO, including those from Kiribati.

51. C/PRC availed himself of this opportunity to remind all Member States to duly advise ICAO regarding their delegates nominated to attend ICAO meetings and events at Headquarters and to request from the Secretariat pertinent visa-related support, so that necessary visa-related facilitation could be provided in their favour in cooperation with the Canadian authorities. He underscored that the same facilitation shall be provided by the Secretariat to the delegates of ICAO meetings and events held in the host States of ICAO Regional Offices, as well as in other States, on the condition that formal requests for visa-related support were received by the Secretariat at ICAO Regional Offices, in coordination with Headquarters, as may be required.

52. Referring to WP/135 (Qatar), the Delegate of Australia indicated that his State did not support the proposal to develop Global Plans and associated Roadmaps for the Strategic Objectives *Environmental protection* and *Economic development of air transport*. Australia noted, in this regard, that while the three existing Global Plans related to areas with binding Standards, clear Recommended Practices, and quantifiable targets, the field of air transport was one in which States remained free to make decisions about their policies and to take measures appropriate to their own situation. Australia considered that part of the success of the GASP, the GANP and potentially the GASeP was the universality of their targets and their measurability. In its view, other Global Plans could not hope to have the same level of global agreement. Australia was also conscious that the creation and maintenance of Global Plans required resources, and it would rather focus ICAO's limited resources on assisting States rather than on developing new Global Plans and monitoring their implementation.

53. The Delegate of Singapore shared this view, as did the Delegate of Mexico, who noted that the possible development of additional Global Plans for the Strategic Objectives *Environmental protection* and *Economic development of air transport* had already been discussed by the Council, which had decided that the subject matter was not sufficiently mature and that further consideration was required.

54. The Delegate of France averred that the establishment of additional Global Plans should be done on a case-by-case basis.

55. The Observer from CANSO voiced support for the actions proposed in WP/135, agreeing with Qatar that ICAO Global Plans and associated Roadmaps were an excellent tool to assist States and the aviation industry. He affirmed that aligning the Global Plans to ensure consistency was the best way to improve implementation.

56. Attention then turned to WP/167 (ITF), with the Delegates of Australia, Argentina, France, Papua New Guinea, Nigeria, Spain, Singapore, Algeria, the Russian Federation, Turkey, Niger, Lebanon, Ireland, Mozambique, Greece and Eritrea, as well as the Observer from IATA expressing support for the proposal to establish an annual *International Cabin Crew Day*. In so doing, the Delegate of Argentina acknowledged the critical safety role played by cabin crews in protecting passengers, particularly in the event of aircraft accidents and incidents, and agreed on the need to promote awareness of that role through the establishment of an annual *International Cabin Crew Day*. She expressed appreciation to ITF for highlighting the strong gender equality aspect in its introduction of the paper.

57. The Delegate of Papua New Guinea underscored that once the aircraft's doors were closed and the aircraft was moving under its own power the cabin crew were the frontline people who ensured the safety of the flight operations.

58. The Delegate of Nigeria emphasized that the role of the cabin crew was key to the achievement of safety in the aviation industry.

59. The Delegate of Spain underscored that when the Council considered ITF's proposal for an annual *International Cabin Crew Day* it should also consider the proposal made by ACVFFI in information paper WP/500 for an *International Day of Air Crash Victims*.

60. The Delegate of the Russian Federation noted that, having served previously as a member of a cabin crew, he could only support ITF's proposal.

61. The Delegate of Turkey indicated that he endorsed the proposal in view of the extremely important safety role played by cabin crews.

62. The Delegate of Niger noted that the establishment of an annual *International Cabin Crew Day* would recognize crew members' devotion to ensuring flight safety and would encourage them in their ongoing efforts in that regard.

63. Reiterating that cabin crews played a vital role in ensuring passenger safety during aircraft accidents and incidents, particularly during evacuations of the aircraft, the Delegate of Lebanon proposed that ICAO USOAP audits be expanded to encompass the audit of States' airline operators' cabin crews.

64. The Observer from IATA underscored that the establishment of an annual *International Cabin Crew Day* would be helpful in motivating the younger generation to choose a career in aviation.

65. Recalling the intervention by the Delegate of Spain, C/PRC suggested that the Council assess all of the requests for international aviation days in a holistic manner and report back to the next Assembly.

66. In summarizing the discussion, the Chairperson indicated, with regard to WP/318 (Indonesia), that the Executive Committee noted the effort of the Directorate General of Civil Aviation (DGCA) of Indonesia, in cooperation with other national agencies and the United Nations Development Programme (UNDP), for airport preparedness in case of natural disaster, and acknowledged that ICAO Annexes provide SARPs relating to emergency planning and response, as well as border control formalities relating to relief flights following natural or man-made disasters. However, the Executive Committee noted that the current provisions are mostly limited to preparing an aerodrome to cope with an emergency occurring at the aerodrome or in its vicinity. It also noted that ICAO and OCHA were co-chairing a group of aviation and humanitarian stakeholders in order to ensure that relevant guidance and tools were available to provide timely and coordinated airborne assistance after a natural disaster. The Executive Committee recommended that the Council review the proposal, considering existing priorities funded through the 2020-2022 Regular Programme Budget and the availability of extra-budgetary resources.

67. With respect to WP/442 (Kiribati), the Executive Committee supported the concerns raised therein relating to the difficulties that some Member States might experience with obtaining entry visas to participate in ICAO meetings and events at Headquarters, the Regional Offices, as well as in any other States. It noted that the said concerns had been immediately brought to the attention of the Canadian authorities upon receipt of WP/442, and that the Canadian authorities, in coordination with the immigration authorities concerned, had committed to further facilitate the issuance of the appropriate entry visas to the delegates of ICAO meetings and events. The Canadian Delegation had reassured the Secretariat that all possible efforts would be made towards timely issuance of the entry visas to duly nominated delegates, subject to timely coordination with ICAO. The same facilitation shall be provided by the Secretariat to the delegates of ICAO meetings and events held in the host States of ICAO Regional Offices, as well as in other States, on the condition that formal requests for visa-related support were received by the Secretariat at ICAO Regional Offices, in coordination with Headquarters as may be required.

68. With regard to WP/135 (Qatar), the Executive Committee noted that the possible development of Global Plans for the Strategic Objectives *Economic development of air transport* and *Environmental protection* has been discussed by the Council [cf. A40-WP/22-EC/7 for a possible Global Air Transport Plan GATP)] and that further discussion by the Council on this subject would be needed.

69. With respect to WP/167 (ITF) and the proposal to establish an annual *International Cabin Crew Day*, the Executive Committee, considering the requests for several international aviation days, including an *International Day of Air Crash Victims* (WP/500), recommended that the Council assess these requests in a holistic manner and report back to the next Assembly.

Agenda Item 11: Annual Reports of the Council to the Assembly for 2016, 2017 and 2018

Approval of draft text for the Report to the Plenary

70. The Executive Committee reviewed and approved without change, for submission to the Plenary, the draft text of its Report on Agenda Item 11 as presented in WP/584.

Agenda Item 12: Aviation Security – Policy

Approval of draft text for the Report to the Plenary

71. The Executive Committee had for consideration WP/596 setting forth the draft text of its Report on Agenda Item 12, which included draft Resolution 12/1: *Addressing Cybersecurity in Civil Aviation* and draft Resolution 12/2: *Consolidated statement on continuing ICAO policies related to*

aviation, and Addendum No. 1, which contained draft Resolution 12/3: *Declaration on aviation security – affirming global commitment to strengthening implementation.*

72. The Chairperson recalled that, at its Fourth Meeting (EX/4) on 28 September 2019, the Executive Committee had agreed to establish a “Friends of the Chairperson” drafting group chaired by the Second Vice-President, Ms. Poppy Khoza (South Africa), to refine the text of the global *Declaration on Aviation Security* set forth in information paper WP/528 Revision No. 1, which would replace the existing Declaration adopted by the 37th Session of the Assembly in 2010. In addition to the Delegate of South Africa, the drafting group comprised members from the following Member States and organizations: Argentina, Brazil, Canada, New Zealand, Nigeria, Portugal, Saudi Arabia, Senegal, Singapore, Togo, the United Kingdom, the United States, AFCAC and ACI. As the Chairperson had indicated at the previous meeting (EX/8), the drafting group’s proposed *Declaration on Aviation Security* had been posted on the A40 website under *Reference Documents* at: <https://www.icao.int/Meetings/a40/Pages/documentation-reference-documents.aspx>, and Delegates had been invited to e-mail their comments thereon to the Secretariat at asf@icao.int by close of business on 30 September 2019 at the latest. The Chairperson noted that the comments received had been taken into account by the drafting group and were reflected in its revised text of the Declaration presented in Addendum No. 1 to WP/596 as draft Resolution 12/3.

73. On behalf of the Executive Committee, the Chairperson expressed sincere appreciation to the Chairperson and Members of the drafting group for their valuable work in refining the text of the said Declaration.

74. The Delegate of South Africa, as Chairperson of the drafting group, confirmed that the comments received had been duly considered and accommodated.

75. During the Executive Committee’s ensuing review of the revised Declaration presented as draft Resolution 12/3 in Addendum No. 1 to WP/596, it was agreed:

- that further to suggestions made by the Delegate of Romania and the Deputy Director, Aviation Security and Facilitation (DD/ASF), a new action paragraph 5) be inserted which would read as follows:

“5) ensure the swift implementation of Assembly Resolution A40-12/1 on *Addressing Cybersecurity in Civil Aviation*;”

- that further to suggestions made by the Delegates of Portugal and Singapore and supported by the Chairperson of the drafting group, existing action paragraph 8) [renumbered 9)] be amended to read:

“9) ensure the effective implementation of the security-related provisions of Annex 9 — Facilitation—provisions having benefit for Aviation Security.”.

76. The Executive Committee then reviewed the draft text of its Report contained in WP/596 and agreed:

- that as suggested by the Delegate of Canada, paragraph 12.11 be amended by adding the United Arab Emirates to the list of co-sponsors of WP/248

- that as suggested by the Delegate of Belgium, the last sentence of paragraph 12.14 be amended to read:

“... recommend that States, industry and ICAO take practical actions steps to embed security culture into the aviation environment in alignment with the priority outcomes of the GAsEP which includes the implementation of security culture campaigns.”

- that as suggested by the Delegate of Singapore, paragraph 20.20 be amended by adding Fiji, the Marshall Islands, Papua New Guinea, Switzerland and Trinidad and Tobago to the list of co-sponsors of WP/328
- that as suggested by the Delegate of the United Kingdom, the second sentence of paragraph 12.49 be amended to read:

“There were many proposals for ICAO to consider creating a platform for reporting ~~and sharing information on GAsEP Roadmap achievements~~ progress in the implementation of agreed priority actions, measures and tasks in the GAsEP and to demonstrate progress made towards GAsEP targets, such as through a GAsEP repository on the Secure Portal, whereby the information therein will be updated as new data and material becomes available.”

- that paragraph 12.55 be expanded to include a new second sentence as suggested by the Delegate of Romania and that the last sentence be amended as suggested by the Delegate of France, with the revised text reading as follows:

“... ensure a multi-disciplinary approach to cybersecurity, and foster the sharing of information. The Committee discussed appropriate criteria which could underpin a governance structure, including: transparency across all aviation domains; bringing the work of the Secretariat Study Group on Cybersecurity (SSGC) and the Trust Framework Study Group (TFSG) under the aegis of an overarching structure; consistency across all relevant Annexes to the Convention on International Civil Aviation; managed by States and ensuring involvement of industry stakeholders; and keeping the number of experts to a manageable level. Accordingly, it instructed ICAO to swiftly conduct a feasibility study and gap analysis for consideration by the Council, in order to identify the most appropriate cybersecurity governance structure and coordinating mechanism, considering the above appropriate criteria.”

- that as suggested by the Delegate of Singapore, the last sentence of paragraph 12.59 be amended by inserting the word “civil” before the word “aviation” so as to read: “... embed aviation security principles in all aspects of civil aviation operations.”.

78. A suggestion made by the Delegate of Canada to amend paragraph 12.51 of the draft Report was not accepted.

79. The Executive Committee next considered, and approved without change, draft Resolution 12/1.

80. During its review of draft Resolution 12/2, the Executive Committee agreed:

- that further to a suggestion made by the Delegate of Singapore and supported by the Delegates of Senegal, Switzerland, Saudi Arabia, Egypt and the Russian Federation, Operative Clause 5 of Appendix C be amended to read:

“5. *Urges* Member States to fully and sustainably implement Annex 17 – *Security* and the ~~border security-related~~ provisions of Annex 9 – *Facilitation* ~~that have benefits for aviation security~~, to intensify their efforts ...”

- that, as suggested by the Delegate of Singapore, Preambular Clause 3 of Appendix D be amended to read:

“*Whereas* Member States are committed to compliance with Annex 17 – *Security* Standards, and the security-related provisions of Annex 9 – *Facilitation* ~~Standards that support both border management and aviation security objectives~~;”.

81. A suggestion made by the Delegate of Canada to amend Operative Clause 2 of Appendix C of draft Resolution 12/2 was not accepted.

82. The Executive Committee then approved, for submission to the Plenary, the draft text of its Report on Agenda Item 12 contained in WP/596, subject to the amendments recorded above. It agreed to recommend that the Plenary adopt: draft Resolution 12/1: *Addressing Cybersecurity in Civil Aviation*; draft Resolution 12/2: *Consolidated statement on continuing ICAO policies related to aviation*, as amended above; and draft Resolution 12/3: *Declaration on aviation security – affirming global commitment to strengthening implementation* presented in Addendum No. 1, as amended above.

Agenda Item 13: Audit Programmes – Continuous Monitoring Approach

Approval of draft text for the Report to the Plenary

83. The Executive Committee then considered WP/595 setting forth the draft text of its Report on Agenda Item 13, which included draft Resolution 13/1: *The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)*.

84. It agreed to the following changes:

- that as suggested by the Delegate of Ireland, the fourth sentence of paragraph 13.3 be amended to read:

“The steps taken by ICAO to improve its internal organization to support the evolution of the programme, as well as its effective, efficient and sustainable operation, were also noted ~~commended~~.”

- that further to suggestions made by the Delegate of Ireland and the Deputy Director, Monitoring and Oversight (DD/MO), paragraph 13.4 be amended to read:

“The Committee supported ~~discussed~~ A40-WP/114 presented by Finland, on behalf of the European Union and its Member States, the other Member

States of the European Civil Aviation Conference, EUROCONTROL and New Zealand, calling for supporting the evolution of the USOAP CMA into an agile, responsive, risk-based and robust monitoring system, and proposed for consideration certain high-level aspects for its future evolution. These include aspects such as databases, cross-fertilization and interfaces with other programmes, the applied auditing techniques and methods. The Committee was advised by the Secretariat ~~It was also recognized~~ that some of the areas of interest for the evolution are now being addressed ...”

- that in addition the French text of the first sentence of paragraph 13.4 be amended by replacing the words “La Commission” with the words “Le Comité” as suggested by the Delegate of Guinea

- that as suggested by the Delegate of Costa Rica, the Spanish text of paragraph 13.7 be reviewed and aligned with the English text, and that the English text of paragraph 13.8 be amended to read:

“Brazil presented A40-WP/326, highlighting the benefits of the USOAP self-assessment and peer assessments as well as sharing its experience in this regard. The Committee acknowledged the benefits from these ~~this~~ types of assessments ~~initiative~~, and encouraged States to engage in and champion peer assessments, especially at the regional level, ~~in similar initiatives to further enhance their~~ with a view to enhancing States’ safety oversight systems.”

- that, as suggested by the Delegate of Brazil, the last sentence to paragraph 13.15 be expanded to read:

“The Committee recommended that the information be provided to the relevant expert groups for their consideration, and that the development of the related guidance material be supported where appropriate.”

- that further to suggestions made by the Delegates of Portugal and Singapore and supported by the Delegates of Belgium, Turkey, Egypt and Saudi Arabia, paragraph 13.19 be amended to read:

“... It was highlighted that these recommendations should focus on the operational implementation of Annex 17 Standards and should be implemented as quickly as feasible, thereby improving confidence in the international aviation security system ~~the effectiveness of the audit methodology~~ and improving local, regional and global compliance with Annex 17 Standards. In this regard, the Council was directed to prioritize the proposed recommendations and ensure sufficient resources are allocated to the USAP. The USAP-CMA should also take on board relevant best practices from States and industry.”

- that further to a suggestion made by the Delegate of Portugal and supported by the Delegate of Belgium, paragraph 13.22 be amended to read:

“The Committee also expressed support for the reform and continuous improvement of the programme through ongoing consultation with the SSG and called upon States to support the USAP-CMA by signing the Memorandum of Understanding, accepting audits as scheduled and allocating sufficient financial and human resources to enable the implementation and ongoing evolution of the programme so that it supplies well qualified auditors; assesses the operational implementation of security measures; addresses serious deficiencies in a timely manner; and has a risk-based approach to audit prioritization.”.

85. During the review of draft Resolution 13/1 the Executive Committee agreed:

- that as suggested by the Delegate of Ireland, Operative Clause 9 be amended to read:

“9. *Directs* the Secretary General to continue to foster coordination and cooperation between USOAP CMA and the audit programmes of other organizations related to aviation safety for the purpose of sharing confidential safety information in order to reduce the burden on States caused by repetitive audits or inspections, to decrease the duplication of efforts and find synergies to ~~monitoring activities as well as~~ enhance the efficiency of the USOAP CMA;”.

86. It was noted that, further to a request by the Observer from CANSO, the Secretariat would verify whether his organization had concluded an agreement with ICAO for the sharing of safety information arising from the conduct of audits, inspections, reviews, evaluations and/or assessments and in the affirmative would amend Preambular Clause 16 of draft Resolution 13/1 accordingly.

87. On this basis, the Executive Committee approved, for submission to the Plenary, the draft text of its Report on Agenda Item 13 contained in WP/595, subject to the amendments recorded above. It agreed to recommend that the Plenary adopt Resolution 13/1: *The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)*, as amended above and subject to verification of Preambular Clause 16.

Agenda Item 14: Facilitation Programmes

Approval of draft text for the Report to the Plenary

88. The Executive Committee next reviewed WP/594 containing the draft text of its Report on Agenda Item 14, which included draft Resolution 14/1: *Mitigation of the spread of disease through, inter alia, aircraft disinsection and vector control methods, and the importance of CAPSCA (Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation) for implementation*, draft Resolution 14/2: *Development and implementation of facilitation provisions – combatting human trafficking*, and draft Resolution 14/3: *Consolidated statement of continuing ICAO policies related to facilitation*.

89. It agreed to the following changes:

- that further to suggestions made by the Delegates of the United States and New Zealand, paragraph 14.6 be amended to read:

“With regards to paragraph 2.6 of WP/8 that addressed the development of an ePassport Standard roadmap, some delegations expressed the view that the introduction of an ePassport might not be economically viable for some small States and the ATC will consider these concerns as part of its work on the development of the roadmap. A technical correction was made in Appendix B of WP/8. The Committee was asked to take note of the information contained in WP/550, a United States information paper, reporting the value of Passenger Name Record (PNR) in security and facilitation. Following the discussions, the Committee endorsed the proposed priorities for the ICAO TRIP Strategy and expected outcomes for the 2020-2022 triennium, as presented in Appendix A of WP/8.”

- that as suggested by the Delegate of Spain, the second sentence of paragraph 14.14 be amended to read:

“In commenting on information papers submitted, one delegation noted that WP/462 contained a number of proposals and that the subject should be considered in the ICAO work programme ~~that were of great importance for the future work of ICAO in the field of facilitation;~~”

- that as suggested by the Observer from ACI, the last sentence of paragraph 14.17.1 be amended to read “... invite the Assembly to take note of existing ACI guidance on the subject ...”
- that as suggested by the Observer from ACI, the last sentence of paragraph 14.20 be amended to read:

“One delegation mentioned the outstanding work of ACI ICAO and IATA on incorporating awareness training in the operational training programmes.”

- that as suggested by the Observer from IATA, the second sentence of paragraph 14.30 be amended to read as follows, and that the third sentence be deleted:

~~“... However, although the The Committee supported the global objectives set out in WP/346, it did not agree to the proposal that Annex 9 SARPs should rely on a single reference, as suggested in action item (b), as this was too restrictive and counter-productive. The approach proposed in WP/284 was preferred (paragraphs 14.25 and 14.26, above, refer).”~~

90. The Executive Committee next considered, and approved without change, draft Resolution 14/1.

91. During its review of draft Resolution 14/2, the Executive Committee agreed:

- that as suggested by the Delegate of Greece, Operative Clause 3 be amended to read:

“3. *Requests* that the Council ensure that relevant guidance material related to the issue of combatting human trafficking is current and responsive to the needs of Member States.”

92. In the course of reviewing draft Resolution 14/3, the Executive Committee agreed:
- that further to suggestions made by the Delegate of France and supported by the Observer from IATA, a new Preambular Clause 4 and a new Operative Clause 3 be inserted in Appendix A which would read as follows:

“*Whereas* making air travel accessible for all passengers is a key contributor to the achievement of the UN Sustainable Development Goals (SDGs);” and

“3. *Requests* the Council to develop a work programme on accessibility for passengers with disability in order to reach for a disability-inclusive air transport system;”
 - that further to a suggestion made by the Delegate of Italy and supported by the Delegate of Spain, a new Operative Clause 9 be inserted in Appendix C which would read as follows:

“9. *Requests* the Council to consider upgrading Annex 9 Recommended Practice 8.46 into an international Standard, as well as to consider introducing a new Annex 9 Recommended Practice, addressed to aircraft and airport operators on the development of appropriate plans to provide timely and effective assistance to aircraft accident victims and their families and to communicate them to ICAO;”.

93. The Executive Committee then approved, for submission to the Plenary, the draft text of its Report on Agenda Item 14 contained in WP/594, subject to the amendments recorded above. It agreed to recommend that the Plenary adopt: Resolution 14/1: *Mitigation of the spread of disease through, inter alia, aircraft disinsection and vector control methods, and the importance of CAPSCA (Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation) for implementation*; Resolution 14/2: *Development and implementation of facilitation provisions – combatting human trafficking*, as amended above; and Resolution 14/3: *Consolidated statement of continuing ICAO policies related to facilitation*, as amended above.

Agenda Item 18: Multilingualism at ICAO

Approval of draft text for the Report to the Plenary

94. The Executive Committee next considered WP/599 Revision No. 1, which set forth the draft text of its Report on Agenda Item 18.

95. It agreed to the following changes:
- that further to a suggestion made by the Delegate of Paraguay and supported by the Delegate of Portugal, paragraph 18.3 be amended to read:

“A40-WP/451, presented by Paraguay supported by the Member States of the Latin American Civil Aviation Commission (LACAC)¹ and by the Community of Civil Aviation Authorities of Portuguese-Speaking Countries² (CAACL)³, underscored that the unavailability of some ICAO publications and documents, **specifically Manuals and Circulars**, in all

official languages hinders Member States' access to information and knowledge, and that the Organization should strive to enable a dynamic response to the need for translation and interpretation. ... It concludes that it is essential for ICAO to provide high-quality services to Member States in all official languages, irrespective of the means of communication and/or dissemination of information established by the Organization to achieve its objectives, considering that adequate service will no doubt contribute primarily to achieving those objectives, as well as providing support for translation and interpretation to lusophone countries.”

- that further to a suggestion made by the Delegate of Cuba and supported by the Delegates of Paraguay, the Russian Federation and Peru, paragraph 18.9 be expanded to include a new fifth sentence which would read as follows:

“To that end, consideration was given to the importance of prioritising this item in the 2023-2025 triennium budget.”.

96. The Executive Committee approved, for submission to the Plenary, the draft text of its Report on Agenda Item 18 contained in WP/599 Revision No. 1, subject to the amendments recorded above.

Agenda Item 20: No Country Left Behind Initiative

Approval of draft text for the Report to the Plenary

97. The Executive Committee reviewed, and approved, for submission to the Plenary, the draft text of its Report on Agenda Item 20 contained in WP/581, subject to paragraph 20.9 being amended to read as follows, as suggested by the Delegate of Australia:

“... and noted the challenging demographic and operational conditions of the small island States located in to the Asia-Pacific Region ~~Regional Office~~. A40-WP/210 called for adequate support to enhance the implementation of SARPs in the area of safety, as well as air navigation capacity and efficiency, ~~as well as aviation safety~~, with a particular focus on the PSIDS.”.

Agenda Item 21: United Nations 2030 Agenda – Sustainable Developments Goals (SDGs)

Approval of draft text for the Report to the Plenary

98. The Executive Committee considered and approved without change, for submission to the Plenary, the draft text of its Report on Agenda Item 21 as presented in WP/585.

Agenda Item 22: Resource Mobilization and Voluntary Funds

Approval of draft text for the Report to the Plenary

99. The Executive Committee next considered and approved without change, for submission to the Plenary, the draft text of its Report on Agenda Item 22 as presented in WP/586.

Agenda Item 25: ICAO Civil Aviation Training and Capacity Building

Approval of draft text for the Report to the Plenary

100. The Executive Committee then reviewed, and approved, for submission to the Plenary, the draft text of its Report on Agenda Item 25 contained in WP/616, subject to paragraph 25.13 being amended by adding Fiji, the Marshall Islands and North Macedonia to the list of co-sponsors of WP/206, as suggested by the Delegate of Singapore.

101. The meeting adjourned at 1100 hours.

Minutes of the Tenth Meeting
(Wednesday, 2 October 2019 at 0900 hours)

SUBJECTS DISCUSSED

1. Agenda Item 19: Increasing the efficiency and effectiveness of ICAO
— Approval of draft text for the Report to the Plenary

2. Agenda Item 23: Technical Assistance Programme
— Approval of draft text for the Report to the Plenary

3. Agenda Item 24: Technical Cooperation – Policy and Activities
— Approval of draft text for the Report to the Plenary

4. Agenda Item 26: Other high-level policy issues to be considered by the Executive Committee
— Approval of draft text for the Report to the Plenary

5. Agenda Item 15: Environmental protection – General provisions, aircraft noise and local air quality – Policy and standardization
— Approval of draft text for the Report to the Plenary

6. Agenda Item 16: Environmental protection – International aviation and climate change — Policy and standardization
— Approval of draft text for the Report to the Plenary

SUMMARY OF DISCUSSIONS

Agenda Item 19: Increasing the efficiency and effectiveness of ICAO

Approval of draft text for the Report to the Plenary

1. The Executive Committee commenced its consideration of its draft Report to the Plenary on Agenda Item 19 (WP/582).

2. Note was taken of an editorial amendment to the second sentence of paragraph 19.5 highlighted by the Chief, Strategic Planning and Regional Affairs (C/PRC) whereby the words “that the Council” were to be inserted after the word “and” so as to read “The Committee agreed that the Secretariat

would continue to provide regular updates on this subject to the Council and that the Council report back on the 41st Session of the Assembly.”.

3. The Delegate of the United States noted, with pleasure, that pursuant to the agreement reached by the Executive Committee during its earlier consideration of this Agenda Item (EX/8) the draft Resolution contained in WP/423 presented by his State had been merged with the draft Resolution contained in WP/48 presented by the Council to form a single Resolution 19/1: *Increasing the efficiency and effectiveness of ICAO*, as set forth in the draft Report (WP/582). While endorsing the above-mentioned editorial amendment to paragraph 19.5, he suggested that the latter be further amended to reflect that WP/423 had enjoyed broad support, in order to more accurately reflect the discussion.

4. Referring to the first phrase of paragraph 19.4, the Delegate of the United States underscored that while it was true that some Delegates had appreciated the leadership and expressed support in both the President of the Council and the Secretary General of ICAO for the progress realized to date, there had not been unanimity in the Executive Committee on that point. A number of Delegates had specifically expressed dissatisfaction with the progress which had been achieved over the last triennium, which in fact had been the impetus for the United States to present WP/423. As the existing text was imbalanced, he suggested that paragraph 19.4 be amended to represent both points of view expressed during the Executive Committee’s discussion.

5. The Delegates of the Russian Federation, Canada, Colombia, Germany, Spain, the Republic of Korea, Sweden, the Netherlands, Greece, Japan, Italy, New Zealand, Ireland, Eritrea, the United Kingdom, Cyprus, Brazil, Austria, France, Portugal, Finland, Argentina, Norway and Mozambique endorsed the above-mentioned proposed changes to paragraphs 19.5 and 19.4.

6. While supporting the Delegate of the United States’ suggested amendment to paragraph 19.4, the Delegate of China averred that it would be inaccurate to indicate in paragraph 19.5 that there had been broad support for WP/423 as a whole as divergent views had been expressed regarding some of the detailed measures set forth in that paper. The Delegates of Algeria, Cabo Verde and the Democratic People’s Republic of Korea shared this view.

7. Although the Delegate of South Africa supported the existing text of paragraph 19.5 since she considered that it fairly represented the discussion, she indicated that if it were amended as suggested by the Delegate of the United States then it should reflect that not only WP/423 but also WP/48 had enjoyed broad support.

8. While supporting the comments made by the Delegate of the United States, the Delegate of Australia proposed, in light of the views expressed, that the first phrase of paragraph 19.4 be instead amended to read “While Delegations appreciated the leadership and expressed support for the President of the Council and the Secretary General” and that paragraph 19.5 be instead amended to read “As there was general support for recommendations included in WP/48 and WP/423”.

9. The Delegates of France, Argentina, South Africa, Saudi Arabia, Peru, Vanuatu, Lebanon, Paraguay, Singapore, Cabo Verde, Tunisia and Algeria voiced support for the Delegate of Australia’s proposals.

10. The Delegate of the United States endorsed the Delegate of Australia’s proposed amendment to paragraph 19.5 as it better reflected the broad support for both papers as highlighted by the Delegate of South Africa. However, he considered that the proposed amendment to paragraph 19.4 still did not provide balance since it did not make it clear that while there had been some Delegates who had been satisfied with the level of progress realized to date, there had been other Delegates who had expressed

dissatisfaction. Such dissatisfaction had been the impetus for the presentation by the United States of WP/423. Averring that further work on the wording of paragraph 19.4 was necessary, the Delegate of the United States indicated that he would be pleased to join the Chairperson and the Delegate of Australia, inter alia, after the present meeting to refine paragraph 19.4.

11. While the Delegates of Germany, Canada, Sweden and Colombia agreed that paragraph 19.4 should be redrafted, the Delegates of the Russian Federation and China spoke in favour of retaining its existing text.

12. Emphasizing the need to reach consensus on this issue as it related to organizational efficiency and effectiveness, the Delegate of South Africa indicated that if that could be done by slightly refining paragraph 19.4 to take into account the comments made by the Representative of the United States then she would be in favour. She underscored, however, that it was necessary for the text of paragraph 19.4 to reflect the discussions of the day. The Delegate of South Africa advocated having a small drafting group review that text and report on the outcome.

13. In light of the discussion, the Chairperson proposed the establishment of such a small drafting group comprising the Delegates of the United States, Australia, and South Africa to review paragraph 19.4 and report thereon to the Executive Committee.

14. The Delegates of Colombia, Nigeria, China, Algeria, Mozambique, Tunisia, the United Republic of Tanzania, Eritrea, the Russian Federation, Peru and Canada voiced support for this proposal, with the Delegates of China, the Russian Federation and Canada requesting to participate in the said drafting group. The Chairperson so agreed.

15. The Delegate of the United States then suggested that paragraph 19.4 simply be deleted. The Delegates of Brazil and Canada agreed, noting that that would obviate the need for a drafting group. In reiterating her position, the Delegate of South Africa strongly recommended that a drafting group be established to refine paragraph 19.4. She cautioned that deleting that paragraph in its entirety would result in the loss of important information.

16. While welcoming paragraph 19.7 on WP/461 presented by her State, and paragraph 19.8 on WP/467 presented by Cameroon, the Delegate of Cuba suggested the following amendments thereto in light of the Executive Committee's earlier discussion: in paragraph 19.7, the first sentence be amended by adding the phrase “, and supported by a wide number of other States,” before the word “regarding” and that the second sentence be amended to read “... SARPs with different applicability dates ... concerns expressed with the new format and in particular with complications in filing of differences; and in paragraph 19.8, the second sentence be amended to read “The Committee recognized the concern with the low response rate to State letter consultations and the lack of feedback to States that submitted comments and ...”.

17. Drawing attention to draft Resolution 19/1 (WP/582), the Delegate of China suggested the insertion of a new sub-paragraph d) in Operative Paragraph 3 which would read as follows: “avoid any potential conflict of interest when developing partnerships and accessing voluntary funding”. The Delegate of the United States voiced objection, averring that the text had neither been proposed in any of the papers presented under Agenda Item 19 nor discussed by the Executive Committee.

18. Referring to his earlier proposal (cf. paragraph 13), the Chairperson of the Executive Committee indicated that in light of the additional comments made a small drafting group comprising the Delegates of Australia, Canada, China, the Russian Federation, South Africa and the United States would

be established to review the proposed amendments to the draft text of the Committee's Report to the Plenary on Agenda Item 19 and draft Resolution 19/1 and would report at the next meeting.

Agenda Item 23: Technical Assistance Programme

Approval of draft text for the Report to the Plenary

19. The Executive Committee reviewed and approved without change, for submission to the Plenary, the draft text of its Report on Agenda Item 23 as contained in WP/572. It agreed to recommend that the Plenary adopt draft Resolution 23/1: *Comprehensive Regional Implementation Plan for Aviation Security and Facilitation in Africa* as presented therein.

Agenda Item 24: Technical Cooperation – Policy and Activities

Approval of draft text for the Report to the Plenary

20. The Executive Committee reviewed and approved without change, for submission to the Plenary, the draft text of its Report on Agenda Item 24 as contained in WP/624. It agreed to recommend that the Plenary adopt draft Resolution 24/1: *Consolidated statement of ICAO policies on technical cooperation and technical assistance* presented therein, subject to the following amendments proposed by the Delegate of Portugal in order to reflect the recommendations made by the Council in WP/66 (*Policy and activities on technical cooperation during the period 2016-2018*), which had been discussed previously under this Agenda Item (EX/7):

- in Appendix A, a new Preambular Clause 10 be inserted which would read as follows:

“Whereas A39-23 urged Member States, the industry, financial institutions, donors and other stakeholders to coordinate and cooperate amongst themselves and to support the implementation of assistance activities in line with the global and regional priorities established by ICAO, thereby avoiding duplication of efforts;”
- in Appendix C, a new Operative Clause 3 be inserted which would read as follows:

“Requests the Secretary General to reinforce the Organization’s application of a systemic approach to targeted technical support activities with the objective of building robust and sustainable State oversight systems;”; and
- in that same Appendix C, a new Operative Clause 9 be inserted which would read as follows:

“Requests the Secretary General to promote the widespread use of performance indicators for the objective assessment of technical cooperation and technical assistance activities’ impact on the implementation of ICAO SARPs;”.

Agenda Item 26: Other high-level policy issues to be considered by the Executive Committee

Approval of draft text for the Report to the Plenary

21. The Executive Committee next considered its draft Report to the Plenary on Agenda Item 26 (WP/587).

22. The Executive Committee agreed: that as suggested by the Delegate of Spain, the second sentence of paragraph 26.5 be amended by replacing the words “executive management” with the word “strategic” so as to read “It recommended that a closer association with the aeronautics industry, not only at the expert level but also at the strategic level, could enable States and ICAO to react more quickly.”; and that as suggested by the Delegate of France, the second sentence of paragraph 26.6 be amended by replacing the phrase “as it was considered too prescriptive and premature” with the words “as drafted” so as to read “In this context, the Committee did not support the draft Assembly Resolution as drafted.”.

23. Drawing attention to draft Resolution 26/2: *Innovation in aviation*, C/PRC indicated that in order to reflect the intervention made by the Observer from the International Coordinating Council of Aerospace Industries Associations (ICCAIA) during the Committee’s earlier consideration (EX/7) of WP/14 on that subject presented by the Council and related WP/113, Operative Clause 2 should be amended by inserting the phrase “including its working methods with the industry” after the word “Organization,” so as to read “*Directs* the Council to assess the need, as well as the resources required, to evolve the processes of the Organization, including its working methods with the industry, in order to keep pace with innovations that affect the sustainable development of civil aviation;”.

24. C/PRC further indicated that in order to emphasize that the envisaged high-level body with industry would provide strategic advice to the Council on a regular basis, Operative Clause 5 of draft Resolution 26/2 should be amended by inserting the word “regularly” before the word “strategic” so as to read “*Directs* the Council to urgently consider the establishment of a regular high-level body with the industry to provide regularly strategic advice to the Council concerning innovation in aviation.”. The Delegate of France suggested, as an alternative, that the word “regular” be deleted and that the word “regularly” be relocated to before the word “provide” so as to read “*Directs* the Council to urgently consider the establishment of a high-level body with the industry to regularly provide strategic advice to the Council concerning innovation in aviation.”. The Delegate of Spain endorsed these proposals, which were agreed to by the Executive Committee. A proposal by the Delegate of Brazil that the word “urgently” be deleted from Operative Clause 5 of draft Resolution 26/2 was not accepted in the absence of any expression of support.

25. The Chairperson concluded that the Executive Committee approved, for submission to the Plenary, the draft text of its Report on Agenda Item 26 contained in WP/587, subject to the above-mentioned amendments; and agreed to recommend that the Plenary adopt draft Resolution 26/1: *Commercial space transport (CST)* as presented therein, and draft Resolution 26/2: *Innovation in aviation*, subject to the aforesaid amendments.

Agenda Item 15: Environmental protection – General provisions, aircraft noise and local air quality – Policy and standardization

Approval of draft text for the Report to the Plenary

26. The Executive Committee then reviewed its draft Report to the Plenary on Agenda Item 15 (WP/573).

27. Referring to paragraph 15.13 relating to WP/374 presented by his State, the Delegate of the Russian Federation suggested that a new second sentence be added in line with action paragraph a) and paragraph 3.2 of that paper which would read as follows: “Taking into account the need for close and effective coordination of CAEP and ANC expert teams it has been suggested to the Council to consider the possibility of prioritizing the development of ICAO SARPs for SST.” [supersonic transport]. He further suggested that the last sentence of paragraph 15.13 be amended by inserting the words “this activity in”

before the word “ICAO” so as to read “The paper highlighted that the Russian Federation is actively participating in comprehensive research for future SST and their propulsion systems, and will provide resources, if necessary, to support this activity in ICAO.”. The Executive Committee agreed to these proposed changes.

28. The Observer from Airports Council International (ACI) referred to paragraph 15.26 of WP/573, which stated that the Committee agreed to recommend that the Assembly adopt draft Resolution 15/1: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality*. He suggested that it be expanded to indicate that an Observer had stated that the proposed inclusion of Operative Clause 7 in Appendix B to that Resolution was inconsistent with ICAO Doc 9082 – *ICAO’s policies on charges for airports and air navigation services*.

29. The Director, Air Transport Bureau (D/ATB) indicated that while the Secretariat had noted the intervention by the Observer from ACI during the Executive Committee’s earlier consideration of draft Resolution 15/1 (WP/57; EX/5), it had been unclear which provision of ICAO Doc 9082 he had been referring to. He suggested, and it was agreed, that the Secretariat meet with the Observer from ACI after the present meeting to clarify the matter, on the understanding that if it was determined that there was no inconsistency between Operative Clause 7 in Appendix B to draft Resolution 15/1 and ICAO Doc 9082, then the existing text of paragraph 15.26 would be retained; otherwise it would be amended as appropriate.

30. On this basis, the Executive Committee approved, for submission to the Plenary, the draft text of its Report on Agenda Item 15 contained in WP/573, subject to the above-mentioned amendments. It agreed to recommend that the Plenary adopt draft Resolution 15/1: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – General provisions, noise and local air quality* as presented therein.

Agenda Item 16: Environmental protection – International aviation and climate change – Policy and standardization

Approval of draft text for the Report to the Plenary

31. Prior to the commencement of the consideration of the draft Report to the Plenary on Agenda Item 16 (WP/574), the Delegate of China raised his Delegation’s serious concern and complaint regarding the conduct of the Secretariat who had provided services to the Executive Committee during its Fifth and Sixth Meetings on Sunday, 29 September 2019 when environment-related issues had been discussed under Agenda Items 15, 16 and 17. He highlighted that, following the Executive Committee’s decision that the two documents submitted by China on behalf of the Russian Federation and India setting forth their jointly proposed changes to draft Resolutions 16/1 and 17/1 should be uploaded to ICAO’s A40 website, there had been a long delay in posting them; furthermore, contrary to that decision, the two documents had been quickly removed from the A40 website, even before the Executive Committee had adjourned for the day. The Delegate of China averred that that had seriously affected the proceedings, with the Executive Committee having been unable to conclude its consideration of Agenda Items 16 and 17 that day. He underscored that although he had immediately asked the President of the Council to take care of the incident, he had not been confident that the Secretariat would re-upload the two documents to the A40 website and as a last resort had made arrangements through the Chinese Delegation’s office to print hundreds of copies for distribution. The Delegate of China had, however, been informed by another Delegate later that night that the said two documents had been posted again on the A40 website.

32. In expressing high appreciation to the President of the Council for his successful efforts in that regard, the Delegate of China noted that despite the said incident he would not to give an overall

negative evaluation of the Secretariat in view of the high quality services and reports which it had provided to the Technical Commission over the past two weeks.

33. Underscoring that it was necessary for all staff members to comply with ICAO's *Standards of Conduct* (cf. Personnel Instruction PI/1.4), the Delegate of China highlighted that according to Article 27 the Secretariat had the responsibility for providing services to ICAO Contracting States, and the Secretariat's main function was to assist legislative bodies in their work and to carry out their decisions. Furthermore, according to Article 33 staff members shall not either individually or collectively discredit a government or undertake any activity to undermine a government. However, the Delegate of China considered that his Delegation had experienced such kind of discrediting and undermining due to the Secretariat's delay in carrying out the Executive Committee's decision and posting the said two documents on the A40 website and to its subsequent removal of those documents contrary to that decision.

34. The Delegate of China averred that while Article 29 of ICAO's Standards of Conduct stipulated that the Secretariat must refrain from promoting or lobbying in favour of a particular State, the removal of the said two documents from the A40 website had had the effect of favouring those States which did not support the changes to draft Resolutions 16/1 and 17/1 proposed therein. He underscored that the Secretariat's said conduct had damaged its reputation and caused a loss of confidence and trust in the reports which it prepared on behalf of the Executive Committee. The Delegate of China emphasized that although his Delegation had come to ICAO with a sincere willingness to engage in the Assembly's discussion on climate change issues, its positions and opinions as reflected in the said two documents had been neglected for a long period of time, a situation which had been observed by all participants. In averring that the Secretariat's conduct had also violated the basic principles of impartiality and non-discrimination enshrined in ICAO's Standards of Conduct, he recalled that Article 13 stipulated that "international civil servants do not have the freedom of private persons to take sides or to express their convictions publicly on controversial matters, either individually or as members of a group", and that Article 22 stipulated that "international civil servants have to follow the instructions they receive in connection with their official functions", and that any doubts or challenges should not delay carrying out the instructions. The Delegate of China considered that there was still a long way to go for some staff members to meet those requirements.

35. Noting that his Delegation was highly respectful of ICAO's rules and regulations, and considered that ICAO had a strong willingness to carry out its functions in accordance with its rules and regulations, the Delegate of China indicated that it therefore humbly requested the Council, through its President, to investigate the said incident and verify whether there had been any misconduct as defined in *The ICAO Service Code* (Doc 7350) i.e. non-compliance by a staff member with his/her obligations thereunder, through acts or omissions, by malice or by gross negligence, or non-observance of the Standards of Conduct expected from an international civil servant. The Delegate of China emphasized that until his Delegation received a satisfactory response from the Council regarding its thorough investigation into the incident, with a detailed report on the actions which had been taken and would be taken to avoid a recurrence of such kind of incident, it reserved the right to report to the ICAO Ethics Officer regarding any possible lack of impartiality, discrimination, conflict of interest or misconduct by any Secretariat staff members involved.

36. In fully supporting the Delegate of China's intervention, the Delegate of the Russian Federation asked that it be reflected in the Executive Committee's Report on Agenda Item 16. He reiterated the need to respect ICAO's rules and regulations relating to the conduct of work for the Assembly, the Executive Committee and Commissions.

37. In noting the comments made by the Delegates of China and the Russian Federation, D/ATB indicated that after having been informed by the Office of the President of the Council of the

incident the Secretariat had taken immediate action to determine the cause. While it seemed to have been a technical matter relating to the A40 website, he was not able to provide confirmation at the present time. D/ATB would be reporting to the Secretary General and communicating with the Delegate of China officially during the course of the Assembly. In the meantime, D/ATB offered a sincere apology on behalf of all Secretariat staff members who might have been involved in this unfortunate incident which had resulted in the said two documents submitted by China on behalf of the Russian Federation and India setting forth their jointly proposed changes to draft Resolutions 16/1 and 17/1 being temporarily unavailable on the A40 website.

38. The Executive Committee then proceeded with its review of WP/574 containing its draft Report to the Plenary on Agenda Item 16.

39. The Deputy Director, Environment (DD/ENV) highlighted that the first sentence of paragraph 16.10 should be amended by replacing “Finland” with “France” to correctly reflect the State which had presented WP/102 on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC). The same change was also to be made to the first sentence of paragraph 17.7 of the draft Report to the Plenary on Agenda Item 17 (WP/575).

40. Referring to paragraph 16.18 relating to WP/273 presented by his organization, the Observer from the International Business Aviation Council (IBAC) suggested, and it was agreed, that a new second sentence be added in line with action paragraph b) of that paper which would read as follows: “IBAC also requested that ICAO facilitate and Member States implement appropriate policies to encourage the production of SAF in greater quantities.”.

41. The Delegate of the Russian Federation then proposed the following changes to the draft Report:

- in paragraph 16.21, relating to the joint statement by his State and China contained in WP/605: the first sentence be expanded by adding, at the end, the phrase “, as well as to develop an alternative global economic incentive system aimed at real reduction of CO₂ emission in the international civil aviation sector through the global technical modernization of the industry in order to improve flight safety and implementation of the UN Sustainable Goals”; and a new second sentence be added which would read “China and the Russian Federation also invited the Assembly to ask the President of the ICAO Council to inform the Secretary General of this position of the States that have acceded to the statement
- in paragraph 16.31, the word “progress” be replaced with the word “results” so as to read “The Committee acknowledged the results achieved under the ICAO State Action Plans initiative ...”;
- in paragraph 16.34, the last sentence should be amended by replacing the term “lower carbon aviation fuel” with the term “sustainably produced aviation fuel” (this proposal was later withdrawn; see paragraph 68 below);
- in paragraph 16.37: a new second sentence be added which would read “However, other States pointed to the need to take the opportunity to implement ambitious goals that had already been set as a first step.”; and a new fourth sentence be added which would read “In this regard, the Delegation of the Russian Federation asked to set up an ad-hoc working

group to reach an agreement on some points of the draft climate change resolution, which was supported by some States, but the proposal was not accepted.”;

- paragraph 16.38 on work on the feasibility of a long-term global aspirational goal for international aviation CO₂ emissions reduction be deleted in its entirety, as in his view it had not been discussed (this proposal was later withdrawn; see paragraph 62 below); and
- a new paragraph 16.40 be inserted which would read “China and the Russian Federation proposed to move the Annex *The guiding principles for the design and implementation of market-based measures (MBMs) for international aviation* from the draft resolution under consideration to the draft resolution presented in WP/59. However, the proposal was rejected.”, with the existing paragraph 16.40 being renumbered 16.41.”.

42. In expressing full support for these proposed changes, the Delegate of China emphasized that the Report should reflect the Committee’s discussion in a fair and balanced way. He then suggested the following additional changes:

- in paragraph 16.34, the second sentence be amended by adding, at the end, the phrase “, while recognizing divergent views regarding whether it is necessary to set a quantified proportion of SAF to be used by 2050 and regarding approaches for how to develop such a quantified proportion goal (either top-down or bottom-up approach).”;
- in paragraph 16.35, the second sentence be amended: by replacing the words “convergence of views among States” with words which reflected the actual situation, it being his understanding that there had not been such convergence during the Committee’s discussion (EX/5); and by adding the phrase “regarding whether it is necessary to develop another long-term aspirational goal and” before the word “regarding”; and
- paragraph 16.37 on the need for providing a clear message in Operative Paragraph 9 of updated Resolution A39-2 to emphasize the urgency for adoption of a long-term global aspirational goal be deleted in its entirety.

43. The Delegate of Saudi Arabia underscored that the way in which paragraph 16.38 was drafted seemed to imply that all Committee Members had agreed on the given text directing the Council to work on concrete proposals for a long-term global aspirational goal. He considered, however, that it did not reflect the Committee’s actual discussion (EX/5). The Delegate of Saudi Arabia averred that the text was not in line with Operative Paragraph 9 of updated Resolution A39-2 presented in WP/58. In emphasizing that in the event that the said text were subsequently approved by the Assembly as its decision it would require immediate implementation, he sought clarification regarding the relationship between an Assembly resolution and an Assembly decision as contained in a Committee Report approved by the Plenary. In echoing this request, the Delegate of the United Arab Emirates noted that clarification regarding the procedural implications of paragraph 16.38 would facilitate the Committee’s decision to accept, amend or delete that paragraph. The Delegate of the United States also sought further clarification regarding paragraph 16.38 in order to better understand its status.

44. Endorsing the comments made by the Delegates of China and Saudi Arabia, the Delegate of the Russian Federation emphasized that all of the above-mentioned proposals to amend the draft Report had been made in order to ensure that all views expressed during the Committee’s discussion were objectively reflected therein. He underscored that the said proposals did not introduce any new elements.

Recalling his proposal to delete paragraph 16.38 (cf. paragraph 41), the Delegate of the Russian Federation enquired as to the origins of the text and when it had been discussed by the Executive Committee.

45. In also supporting the interventions by the Delegates of China and Saudi Arabia, the Delegate of Egypt reiterated the need for the Report to fairly represent the views of all Delegates. He emphasized that paragraph 16.38 did not reflect that there had been some divergent views regarding the prioritization of work on the feasibility of a long-term global aspirational goal. The Delegate of Egypt noted, however, that the text of Operative Paragraph 9 of the updated Resolution A39-2 (WP/574) did accurately reflect the consensus reached in the Committee.

46. Echoing the Delegate of the Russian Federation's query regarding the origins of paragraph 16.38, the Delegate of Cuba underscored that in order to be able to approve the entire Report on Agenda Item 16 she would need to have a better understanding of the paragraph's legal implications vis-à-vis draft Resolution 16/1.

47. In offering his opinion on a strictly legal, technical ground for the Executive Committee's consideration, the Director, Legal Affairs and External Relations (D/LEB) indicated that the Assembly was the supreme body of ICAO and that, subject to the fundamental observance of the legal principles enshrined in the Chicago Convention and of its Rules of Procedure (Doc 7600), it was sovereign to take any decision. He noted that ICAO's customary practice was to embody the most important Assembly decisions in a Resolution. Secondly, a decision by the Executive Committee or the Commissions could be embodied in the Report to the Plenary and subsequently endorsed by the Assembly, without the need for a Resolution. D/LEB noted that while issues should normally be addressed in the Resolution itself, if the majority of Delegates still had views to express outside the Resolution, then they could express them, as a majority, in the related Report.

48. In supporting the position expressed by the Delegates of the Russian Federation, China and Saudi Arabia, the Delegate of India reiterated the need for the Executive Committee's Report to reflect that that had not been any convergence of views during its discussion of Agenda Item 16.

49. The Delegate of Australia maintained that paragraph 16.38 was an accurate reflection of the outcome of the Executive Committee's discussion (EX/5), namely, that it had agreed not to make any further change to updated Resolution A39-2 and to instead have a statement in its Report to provide clarity on the importance for the Council to work on concrete proposals for a long-term global aspirational goal. He suggested that the Delegates of China and the Russian Federation propose a stand-alone paragraph setting forth all of their concerns as described in their joint statement (WP/605) rather than proposing amendments to various paragraphs of the Report to reflect those concerns.

50. Indicating that she did not support the proposed changes to paragraphs 16.37 and 16.38, the Delegate of New Zealand emphasized that those paragraphs should be retained in the form presented in WP/574 as they accurately reflected the Committee's earlier discussion (EX/5). In endorsing the Delegate of Australia's suggestion, she recommended that if the Delegates of China and the Russian Federation considered that their views were not adequately reflected in the Executive Committee's Report then a separate paragraph should be provided which accurately reflected their views rather than deleting key paragraphs of the Report which reflected the views of other Delegates.

51. Referring to paragraph 16.38, the Delegate of Cuba indicated that although she considered that the Council could undertake the said work relating to a long-term global aspirational goal, it was necessary to place greater emphasis on providing support to developing States, including capacity building and technical assistance to States under the *No Country Left Behind* (NCLB) initiative.

52. Agreeing on the need for the Report on Agenda Item 16 to clearly reflect the Committee's discussion (EX/5), the Delegate of France noted that there had been a very strong divergence of opinion which was not captured therein. He underscored that although he considered that the Report was not perfect, with there being text which he would have wished to add, he could nevertheless accept it in the form presented in WP/574 in the spirit of compromise. However, the Delegate of France would not object if some Delegates considered that it was necessary to include their views in the Report. He affirmed, in that regard, that the Delegate of Australia's suggestion was a good way forward. The Delegate of France underscored that he could not accept any other changes to the Report apart from those already proposed during the current discussion.

53. Referring to the points raised regarding paragraph 16.38, the Delegate of France recalled that it had been the President of the Council who had proposed not making any further change to updated Resolution A39-2 and to instead have a statement in the Committee's Report to provide clarity on the importance for the Council to work on concrete proposals for a long-term global aspirational goal. Emphasizing that all Delegates had had the opportunity to comment on that proposal, he noted that the Chairperson had subsequently indicated that there was overwhelming support therefor and that the Committee would proceed accordingly.

54. The Delegates of Spain, Norway, Austria, the Netherlands, Greece, Germany, Slovakia, Finland, the Russian Federation, Italy, Malta, Cuba and Monaco also endorsed the Delegate of Australia's proposal, as well as the comments made by the Delegates of New Zealand and France, inter alia.

55. In so doing, the Delegate of Spain indicated that while paragraph 16.38 reflected the President of the Council's proposed compromise solution, the second sentence thereof could be revised to place greater emphasis on providing support to developing States, including capacity building and technical assistance to States under the NCLB initiative, as suggested by the Delegate of Cuba.

56. Endorsing the intervention by the Delegate of France and the way forward proposed by the Delegate of Australia, the Delegate of the Netherlands indicated that he respected and understood the concerns of other States and agreed that they could be reflected in a stand-alone paragraph in the Executive Committee's Report as proposed. While he considered that the Report reflected the Committee's proceedings in a fair and balanced way, including the text in paragraph 16.38, he suggested that the second sentence of paragraph 16.35 be amended by replacing the reference to the "convergence of views among States" with a reference to "a clear majority of States".

57. The Delegate of Italy noted that although he was satisfied with the Report as presented in WP/574 and believed that the text of paragraph 16.38 reflected the Committee's decision, he agreed with the Delegate of Australia's constructive proposal to add a stand-alone paragraph to reflect the views of the Delegates of China and the Russian Federation which they considered were not properly highlighted.

58. The Delegate of Canada indicated that he shared the views expressed by the Delegates of Australia, France, Spain, New Zealand and the Netherlands on this matter.

59. In reiterating his full support for draft Resolution 16/1, the Delegate of the United States emphasized that it contained the same language as the two previous Assembly Resolutions on international aviation and climate change, Resolutions A38-18 and A39-2, with minor updates. He observed that there was clearly broad support for draft Resolution 16/1. Noting that what was now under consideration was the Committee's draft Report on its discussion of Agenda Item 16, the Delegate of the United States stressed that it was important that all Delegates felt that their views had been heard and were duly reflected therein. He was unsure, however, if the Delegate of Australia's proposal was the right approach as he did not know

the contents of the envisaged stand-alone paragraph reflecting the views of the Delegates of China and the Russian Federation.

60. Recalling the Delegate of China's proposal to amend the second sentence of paragraph 16.34 to recognize divergent views regarding the need to set a quantified proportion of SAF to be used by 2050 and approaches to developing such a quantified proportion goal, the Delegate of the United States highlighted that his State had urged caution about establishing such a quantitative goal for SAF. He indicated that if the Delegate of China was willing to accept the Delegate of the Netherlands' proposal to amend paragraph 16.35 then he would also accept it as it had been his impression that a clear majority of the Delegates who had intervened had supported prioritizing work on a long-term global aspirational goal.

61. In expressing appreciation for D/LEB's clarification, the Delegate of Egypt noted that the Committee's decision in paragraph 16.38 regarding work on the feasibility of a long-term global aspirational goal merely complemented the provisions relating to that issue in draft Resolution 16/1. He therefore suggested that the chapeau of paragraph 16.38 be amended by replacing the words "The Committee concluded that" with the words "Most of the States concluded", and that the divergent views expressed be reflected in that same paragraph 16.38.

62. In agreeing to this proposal, the Delegate of the Russian Federation indicated that it was therefore unnecessary to delete paragraph 16.38 as he has previously suggested (cf. paragraph 41). Noting that it was still unclear to him whether paragraph 16.38 would only appear in the Executive Committee's Report or whether it would also be incorporated into draft Resolution 16/1, either as a new provision or as an amendment to an existing provision, he sought further explanation.

63. Observing that most of the misunderstanding regarding paragraph 16.38 arose from the chapeau, the Delegate of Argentina suggested that it be deleted to avoid future misinterpretation, and that the first sentence of the remaining text be amended to reflect that a clear majority of States agreed that additional clarity should be given to the Council to prioritize the work on the feasibility of a long-term global aspirational goal.

64. Indicating that he was very encouraged by this spirit of collaboration, the Delegate of China agreed to the suggestion made by the Delegate of Egypt and supported by the Delegate of the Russian Federation that paragraph 16.38 reflect both the views of the majority of States and the divergent views of States.

65. The Delegates of Colombia and Cuba expressed support for the comments and suggestions by the Delegates of Egypt, the Russian Federation, China and Argentina.

66. In offering clarification regarding paragraph 16.38, which reflected the proposal which he had presented during the Executive Committee's previous discussion of Agenda Item 16 (EX/5), the President of the Council emphasized that the text appearing in an indented paragraph after the chapeau ("The Council, with the technical support of CAEP ... assistance needed.") was not intended to replace Operative Paragraph 9 of draft Resolution 16/1 contained in WP/574, which all agreed should be retained; rather, it was intended to complement Operative Paragraph 9 by outlining how it would be implemented, namely: that work on the feasibility of a long-term global aspirational goal should be prioritized, with options being presented to the next Assembly for consideration, together with a roadmap for implementation; that in carrying out that work the Council should build upon ongoing and planned initiatives and actions, including innovative technologies and partnerships amongst States and industry, while taking into account ICAO's NCLB initiative, in particular the capacity building and technical assistance to States that was required, which had also been highlighted by the Delegate of Cuba.

67. The President of the Council noted that confusion had arisen due not only to the chapeau of paragraph 16.38 but also to the visual presentation of the subsequent text in an indented paragraph, which created the mistaken impression that it was meant to replace Operative Paragraph 9 of Resolution 16/1. He indicated that it would be necessary to either reword the chapeau or delete it. Furthermore, the remaining text should be redrafted to reflect not only the majority view regarding the said work relating to a long-term global aspirational goal but also the view of other Delegates who were not in favour of prioritizing that work. Underscoring that time was needed to do that redrafting, as well as to review the other proposed amendments to the draft Report, the President of the Council requested those Delegates who had suggested changes, including the Delegates of the Russian Federation, China and Cuba, to submit their texts to the Secretariat for consideration. He suggested that, in the event that the proposed amendments to individual paragraphs or the new stand-alone paragraph proposed by the Delegate of Australia could not be easily captured in the draft Report on Agenda Item 16 and required negotiation, then the Executive Committee could use the drafting group which had been established to review proposed amendments to the draft Report on Agenda Item 19 and to draft Resolution 19/1 (WP/582) to consider them, assuming that the drafting group had been successful in reaching a compromise solution with regard to Agenda Item 19; alternatively, a second drafting group could be created. The President of the Council suggested that since European Delegates had been actively involved in the discussion of Agenda Item 16 and had raised a number of issues, the Delegate of France be added to the drafting group's membership. He further suggested that the Delegate of Argentina likewise be added.

68. The Delegate of the Russian Federation expressed satisfaction with the President of the Council's explanation. He underscored that, in light of his discussion with the Delegate of Saudi Arabia during the coffee break, he was withdrawing his purely editorial proposal to amend the last sentence of paragraph 16.34 by replacing the term "lower carbon aviation fuel" with the term "sustainably produced aviation fuel", which had been supported by the Delegate of China (cf. paragraph 41). The Delegate of the Russian Federation noted that he continued to support the latter's suggested amendment to paragraph 16.34 (cf. paragraph 42). He then suggested that renumbered paragraph 16.41 be amended to reflect that some States objected to recommending the adoption of draft Resolution 16/1 and that Committee made that recommendation based on the majority view, so as to read: "Despite the objections of a few States, the Committee agreed, by majority, to recommend that the Assembly adopt the following Resolution:".

69. The Delegate of China suggested that paragraph 16.39 be amended as follows: that in the first sentence the phrase " , while the Committee noted concerns expressed by a few States including those reflected in WP/605" with the phrase " , while other countries insisted that the draft Resolution should be modified and submitted their specific suggestions for amendments"; and that the second sentence be replaced with a sentence which would read along the following lines: "Because the Committee had not had enough time to discuss these suggestions the Committee decided to submit this draft document to the Assembly for further discussion.".

70. In voicing support to the President's proposed way forward, the Delegates of Brazil, France, Singapore, Egypt, Saudi Arabia, Japan, the Russian Federation and Germany volunteered to participate in the small drafting group which would review the proposed amendments to the draft Report on Agenda Item 16 (WP/574).

71. Taking note of their expressions of interest, the Chairperson of the Executive Committee indicated that in constituting the drafting group he would select two States from each region in order to ensure equitable geographical representation.

72. It was agreed to return to the draft Report on Agenda Item 16 and draft Resolution 16/1 (WP/574) at the next meeting.

73. The meeting adjourned at 1215 hours.

Minutes of the Eleventh Meeting
(Wednesday, 2 October 2019 at 1400 hours)

SUBJECTS DISCUSSED

1. Agenda Item 16: Environmental protection – International aviation and climate change — Policy and standardization

— Establishment of a second small drafting group
2. Approval of draft text for the General Section of the Executive Committee’s Report to the Plenary
3. Agenda Item 19: Increasing the efficiency and effectiveness of ICAO

— Approval of draft text for the Report to the Plenary (*in continuation*)
4. Agenda Item 16: Environmental protection – International aviation and climate change — Policy and standardization

— Approval of draft text for the Report to the Plenary (*in continuation*)
5. Agenda Item 17: Environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)

— Approval of draft text for the Report to the Plenary

SUMMARY OF DISCUSSIONS

Agenda Item 16: Environmental protection – International aviation and climate change – Policy and standardization

Establishment of a second small drafting group

1. Further to the agreement reached during the Executive Committee’s initial consideration of its draft Report to the Plenary on Agenda Item 16 (WP/574) (EX/10) that a second small drafting group be established to review the proposed amendments thereto, the Chairperson announced that it would be comprised of the Delegates of Argentina, Brazil, Saudi Arabia, Egypt, Singapore, Australia, Germany, France, South Africa, Nigeria, the United States, Canada, China, the Russian Federation and India. The drafting group would now meet with the Secretariat in the Conference Room adjoining the Office of the President of the Council and would report to the Executive Committee later in the current meeting.

Approval of the General Section of the Executive Committee’s Report to the Plenary

2. The Executive Committee reviewed and approved without change, for submission to the Plenary, the draft text of the General Section of its Report as presented in WP/598.

Agenda Item 19: Increasing the efficiency and effectiveness of ICAO***Approval of draft text for the Report to the Plenary (in continuation)***

3. The Executive Committee then resumed (EX/10) and completed consideration of its draft Report on Agenda Item 19 (WP/582).

4. The Head, Strategic Planning, Coordination and Partnerships Office (H/SPCP) highlighted that the first small drafting group which had been established to review the proposed amendments to the draft text of the Report and draft Resolution 19/1 had met earlier that morning and proposed the following changes:

- paragraph 19.1 be amended to read “The Committee noted A40-WP/48, presented by the Council and appreciated the achievements made by the Organization and its leadership to increase efficiency and effectiveness in the last triennium.”;
- paragraph 19.4 be amended by deleting the first phrase “While appreciating the leadership and expressing support in both the President of the Council and the Secretary General of ICAO for the progress realized to date, and”;
- the first sentence of paragraph 19.5 be amended to read “As there was a general support for A40-WP/48 and A40-WP/423, the Committee agreed to merge both draft resolutions under the title Increasing the efficiency and effectiveness of ICAO.”;
- the first sentence of paragraph 19.7 be amended by adding the phrase “, and supported by a wide number of other States,” before the word “regarding” and that the second sentence be amended to read “The Committee recognized the benefits of the increased visibility of SARPs with different applicability dates in the new editorial practices, but also recognized the concerns expressed with the new format and in particular with complications in filing of differences.”;
- that the second sentence of paragraph 19.8 be amended by adding the phrase “the concern with the low response rate to State letter consultations and the lack of feedback to States that submitted comments and” before the word “that”; and
- draft Resolution 19/1 be amended by inserting a new sub-paragraph d) in Operative Paragraph 3 which would read as follows: “avoid any potential conflict of interest when developing partnerships and accessing voluntary funding.”.

5. H/SPCP recalled that the second sentence of paragraph 19.5 had previously been amended to read “The Committee agreed that the Secretariat would continue to provide regular updates on this subject to the Council and that the Council report back on the 41st Session of the Assembly.”

6. Subject to the aforesaid amendments, the Executive Committee approved, for submission to the Plenary, the draft text of its Report on Agenda Item 19 presented in WP/582. In addition, it agreed to recommend to the Plenary the adoption of the draft Resolution 19/1: *Increasing the efficiency and effectiveness of ICAO*, as amended above.

Agenda Item 16: Environmental protection – International aviation and climate change – Policy and standardization

Approval of draft text for the Report to the Plenary (in continuation)

7. The Executive Committee resumed consideration (EX/10) of its draft Report to the Plenary on Agenda Item 16 (WP/574). In presenting the outcome of the second drafting group's review of the suggested amendments thereto, the Deputy Director, Environment (DD/ENV) highlighted that the following text was proposed for paragraph 16.38 in replacement of the chapeau:

“A clear majority of States agreed that additional clarity should be given to the Council to prioritize the work on the feasibility of a long-term global aspirational goal for international aviation CO₂ emissions reduction, and present options, followed by a roadmap for implementation, for consideration by the 41st Session of the ICAO Assembly. They expressed that the work should be done with the technical support of CAEP and in consultation with States, the industry and other relevant stakeholders, building upon ongoing and planned initiatives and actions, including innovative technologies, and partnerships amongst States and industry, and whilst providing the necessary support, including capacity building and technical assistance to States under the *No Country Left Behind* initiative. Other States rejected to prioritize this work on the feasibility of a long-term global aspirational goal, and requested the Council to take stock of the implementation of national plans of States in terms of their respective long-term visions, and to get better understanding of the resources available for assistance to developing countries in terms of technology, capacity building and finance, as well as ensure the fairness in light of special circumstances and respective capabilities of States.”

8. DD/ENV noted that while the drafting group also proposed text for paragraphs 16.39, 16.40 and 16.41 of the draft Report, some of it was in parentheses as it was dependent upon the Executive Committee's further discussion of draft Resolution 16/1.

9. The Delegate of Egypt voiced support for the proposed text of paragraph 16.38.

10. The Delegate of China then presented the following changes to draft Resolution 16/1 which were jointly proposed by China, India and the Russian Federation (document posted on the A40 website under *Reference Documents*, available at https://www.icao.int/Meetings/a40/Documents/consolidated_statement_continuing_ICAO_policies_practices_wp_058_en.pdf).

- to amend Preambular Paragraph 10 by deleting the phrase “as well as the work being undertaken to explore a long-term global aspirational goal for international aviation in light of the 2°C and 1.5°C temperature goals of the Paris Agreement”, and by inserting the following new Preambular Paragraph:

“*Also recognizing* that some States have concerns on the fairness and feasibility of the goal of keeping the net carbon emissions from 2020 at the same level and have filed reservations on the goal;”;

- to separate Preambular Paragraph 12 into two paragraphs after the words “cooperation of States and the industry”, with the second paragraph beginning with the words “*Noting* the collective commitments”; and in that second paragraph to delete the words “on behalf of the international air transport industry” and to add the phrase “and *also noting* that such

commitments are in great need of robust research on equity, feasibility and affordability in light of States' different national conditions and realities" at the end;

- to amend Preambular Paragraphs 21 and 22 by replacing the word "*Welcoming*" with the word "*Noting*";
- to amend Preambular Paragraph 23 by replacing the words "an important" with the words "a potential";
- to amend Preambular Paragraph 25 by deleting the phrase "as a living inspirational path for a significant proportion of aviation fuels to be substituted with sustainable aviation fuels by 2050"; and
- to amend Preambular Paragraph 28 by replacing the words "are considered as part of work" with the words "provide flexibility".

11. The following changes to the Operative Paragraphs of draft Resolution 16/1 were also jointly proposed by China, India and the Russian Federation:

- to insert a new Operative Paragraph 1bis which would read "*Reaffirms* the principle of sovereignty of States in the international cooperation to address climate change";
- to amend Operative Paragraph 2 a) by replacing the words "ensure that ICAO exercise continuous leadership" with the words "continue to enhance synergies between ICAO and other relevant UN agencies";
- to amend Operative Paragraph 7 by replacing the words "the collective aspirational goals" with the words "the sustainable growth of international aviation";
- to amend Operative Paragraph 8 to read "*Recognizes* that some States have concerns on the goal outlined in paragraph 6 above; and *requests* the Council to report to the 41st Session the fairness and the feasibility of the goal in light of the collective efforts to develop green aviation and relevant data-driven research initiated by States and, as appropriate, by the CAEP studies regarding the feasibility of achieving the goal, and relevant information from States;"
- to amend the beginning of Operative Paragraph 9 to read "*Requests* the Council to take stock of States' long-term green growth visions listed in their respective national plans and continue to explore the fairness and feasibility of a long-term global aspirational goal for international aviation ...";
- to amend Operative Paragraph 13 to read "*Requests* the Council to continue to provide guidance and other technical assistance for the preparation and update of States' Action Plans prior to the end of June 2021 in order for States to conduct necessary studies and to voluntarily submit Action Plans to ICAO, and *encourages* States' dissemination of economic and technical studies and best practices related to aspirational goals";
- to amend the beginning of Operative Paragraph 15 to read "*Requests* the Council, respectful of sovereignty of States, to invite States ...";

- to amend the chapeau of Operative Paragraph 22 by replacing the word “*Requests*” with the word “*Invites*”;
- to amend Operative Paragraph 22 c) by deleting the words “through ICAO”;
- to amend Operative Paragraph 23 c) to read “continue to provide the forum to exchange information on best practices for Green Airports, aiming at sharing lessons learned and best practices amongst States; and”;
- to amend Operative Paragraph 23 d) by replacing the words “guidance material” with the word “reports”;
- to amend Operative Paragraph 25 c) by replacing the words “global aspirational goals” with the words “sustainable growth of international civil aviation”;
- to amend Operative Paragraph 25 f) by deleting the phrase “leading up to the convening of the CAAF/3 no later than 2025, with a view to updating the 2050 ICAO Vision for Sustainable Aviation Fuels to include a quantified proportion of SAF to be used by 2050”;
- to amend Operative Paragraph 26 to read “*Encourages* States to identify the potential impacts of climate change on international aviation operations and related infrastructure, identify adaptation measures to address the potential climate change impacts and collaborate to adapt to climate change risk assessment for international aviation, in cooperation with relevant international organizations and the industry; and”;
- to amend the chapeau of the Annex of draft Resolution 16/1 on climate change by inserting the words “and periodical review” after the word “implementation” so as to read “The guiding principles for the design, implementation and periodical review of market-based measures (MBMs) for international aviation:” and to relocate that Annex to draft Resolution 17/1 on CORSIA.

12. The Delegate of Germany indicated that it was her understanding that there had been overwhelming support for the President of the Council’s compromise solution (EX/5), according to which no further change would be made to updated Resolution A39-2 i.e. draft Resolution 16/1 as proposed by the Council in the Appendix to WP/58.

13. In sharing that view, the Delegate of Spain underscored that it had been reflected in the chapeau to paragraph 16.38 of the draft Report in WP/574. While expressing appreciation to the Delegate of China for presenting the said three States’ position on draft Resolution 16/1, and noting that the Assembly should take into account the views of all Member States on an equal basis, he emphasized that draft Resolution 16/1 had already been reviewed and approved by the Executive Committee for submission to the Plenary for adoption. It was only the draft Report on the discussion which had already taken place in the Executive Committee that was now under consideration.

14. The Delegates of the United Kingdom, the Netherlands, New Zealand, and the United States echoed the views expressed by the Delegates of Germany and Spain. In so doing, the Delegate of the United Kingdom advocated maintaining the President of the Council’s compromise solution and not reopening discussion on any of the draft Resolution 16/1 text.

15. The Delegate of the Netherlands highlighted, in this regard, paragraph 16.39 of the draft Report (WP/574), in which it was stated: “In considering the updated Resolution A39-2, a clear majority of States expressed their support to the draft Resolution text proposed in the Appendix to WP/58 without any further change, while the Committee noted concerns expressed by a few States including those reflected in WP/605.”.

16. Emphasizing that it had been agreed by a clear majority of the Executive Committee that draft Resolution 16/1 would not be opened up for amendment, the Delegate of New Zealand stressed that she would not support any changes thereto at this time.

17. The Delegate of the United States voiced appreciation for having been afforded the opportunity to participate in the small drafting group and voiced support for the outcome of its work. He recalled that during the Executive Committee’s earlier discussion (EX/5) many States, including the United States, had expressed support for draft Resolution 16/1 without any changes. Noting that he had stated at that time that he was open to additional changes to make the long-term global aspirational goal more ambitious, the Delegate of the United States indicated that if the Executive Committee would like to continue to keep the discussion open, then many States would be happy to discuss those changes in addition to the changes presented by the Delegate of China on behalf of the said three States. However, there did not seem to be much time remaining in the Assembly session. The Delegate of the United States underscored that a large portion of the draft Resolution 16/1 text had been seen before, including by the last two Assemblies (Resolutions A38-18 and A39-2) and the Council. Furthermore, the related A40 papers had been available well in advance and Delegates had had ample opportunity to review them prior to discussion in the Executive Committee. The Delegate of the United States indicated that it was very clear to him that there was broad support for draft Resolution 16/1 as proposed by the Council in WP/58. Noting that it was a compromise to support that text, he emphasized that he fully supported doing so and recommended that the Executive Committee move forward to the next Agenda item.

18. In endorsing the changes to draft Resolution 16/1 proposed by the Delegate of China on behalf of China, India and his State, the Delegate of the Russian Federation underscored that although a clear majority had been of the view that no changes should be made to updated Resolution A39-2, it was both the duty and the right of the said three States to explain their position thereon.

19. The Chairperson of the Executive Committee concluded that the majority supported retaining draft Resolution 16/1 in the form presented in WP/58 and reproduced in WP/574. He indicated that the comments made were noted and would be reflected in the draft Report.

20. At the request of the Delegate of China, the Chief, Climate Change (C/CC) presented the other changes proposed by the drafting group, as follows:

- in the first sentence of paragraph 16.39, the phrase “, while the Committee noted concerns expressed by a few States including those reflected in WP/605” be replaced with the phrase “, while other countries insisted that the draft Resolution should be modified and submitted their specific suggestions for amendments”; and a new third sentence be added, in parentheses, as follows: “[The Committee had no time to discuss these suggestions and decided to submit the draft Resolution and related suggestions of modifications to the Assembly for its further consideration.]”;
- in line with the Delegate of the Russian Federation’s earlier suggestion (EX/10), a new paragraph 16.40 be inserted which would read “Delegations of Russian Federation and China proposed to move the Annex *The guiding principles for the design and*

implementation of market-based measures (MBMs) for international aviation from the draft resolution under consideration to the draft resolution presented in WP/59. However, the proposal has been rejected.”, with the existing paragraph 16.40 being renumbered 16.41.”; and

- Paragraph 16.41 be amended and placed in parentheses, as follows: “[Despite the objections of two States, the Committee agreed by majority of votes to recommend that the Assembly adopt the following Resolution:]”.

21. The Delegate of the Russian Federation indicated that he supported the proposed changes to paragraph 16.39 as they were in line with the text previously proposed by the Delegate of China (EX/10). He did not consider that the third sentence appearing in parentheses should be deleted as it reflected the Executive Committee’s discussion.

22. The Delegate of the United States averred that it would be confusing to retain that third sentence.

23. The Chairperson of the Executive Committee therefore suggested, as an alternative, that the second sentence of paragraph 16.39 be amended by inserting the phrase “and presented to the Committee” at the end so as to read: “Following oral statements made by some Member States, written input to the meeting was submitted by three Member States, posted on the ICAO website and presented to the Committee.”.

24. The Delegate of China then enquired as to the decision-making process in the Executive Committee if there were States which strongly opposed the majority view on a given issue.

25. The Director, Legal Affairs and External Relations Bureau (D/LEB) clarified that in accordance with the Standing Rules of Procedure of the Assembly (Doc 7600), the Assembly, the Executive Committee and Commissions conducted their business and took their decisions on the basis of majority rule. If the majority agreed, then a decision could be adopted. D/LEB noted that in the case of an Assembly Resolution which was adopted by majority, there were precedents for States to subsequently express their reservations, either to the Resolution as a whole or to specific provisions thereof. To a further question by the Delegate of China, D/LEB indicated that it was customary practice in ICAO Assemblies for the summary of the discussion given by the President of the Assembly or by the Chairperson of the Executive Committee or Commissions to stand as the body’s decision, unless there were objections thereto.

26. Voicing concern about the said majority rule, the Delegate of Eritrea highlighted that the majority view of the Executive Committee did not necessarily reflect the majority view of all ICAO Member States, all of which would be impacted by the Executive Committee’s decision. In emphasizing the need to revisit draft Resolution 16/1 to see how best to accommodate the minority view, he underscored that that Resolution addressed the very sensitive issue of climate change, which was expected to have disastrous consequences for generations to come.

27. The Representative of India supported this intervention, as well as the interventions by the Delegates of China and the Russian Federation.

28. Responding to a further query by the Delegate of China, the President of the Council clarified that the determination of the majority could be done by voting which, in accordance with Rule 46 of the Standing Rules of Procedure of the Assembly (Doc 7600), was normally by voice, by show of hands or by standing, but which could also be by roll-call upon request. He emphasized, however, that Rule 46

was not usually applied until every effort had been made to achieve the greatest possible consensus on a compromise solution which would accommodate to the extent possible the views of the minority. The President of the Council noted that if such efforts failed in the case of an Assembly Resolution, then there was always the opportunity for States to express reservations following its adoption by the Plenary.

29. Underscoring that draft Resolution 16/1 contained the same language as the two previous Assembly Resolutions on international aviation and climate change, Resolutions A38-18 and A39-2, with minor updates, as highlighted earlier by the Delegate of the United States (EX/10), the President of the Council averred that it was unnecessary for the Executive Committee to start changing its text. He recommended, and the Chairperson agreed, that the Executive Committee: take note of the Chairperson's conclusion that the majority supported retaining draft Resolution 16/1 in the form presented in WP/58 and reproduced in WP/574 (cf. paragraph 19 above); take note of the various issues raised; and allow more time for further informal consultations with the States concerned, with a report on the outcome to be presented to the Executive Committee at its next meeting.

Agenda Item 17: Environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)

Approval of draft text for the Report to the Plenary

30. The Committee commenced consideration of its draft Report to the Plenary on Agenda Item 17 (WP/575), with DD/ENV highlighting that the following editorial amendments should be made thereto:

- the first sentence of paragraph 17.7 should be amended by replacing “Finland” with “France” to correctly reflect the State which had presented WP/102 on behalf of the European Union (EU) and its Member States and the other Member States of the European Civil Aviation Conference (ECAC);
- paragraph 17.9 should be amended by adding Marshall Islands and Papua New Guinea to the list of co-presenters of WP/229; and
- paragraph 17.28 should be amended to read “In WP/407, IATA shared information on IATA FRED+, which is a system to facilitate the reporting of emissions data between aeroplane operators and States, and between aeroplane operators and verification bodies.”

31. Referring to paragraph 17.13 the Delegate of India proposed that the first sentence be replaced with the following: “In WP/228 Revision No. 1, India proposed the adoption of a ‘Member State driven’ principle of establishing aviation emissions and to attribute responsibility of emissions reduction to Member States instead of airline operators as the basis of CORSA.”.

32. Drawing attention to paragraph 17.10, the Delegate of Brazil proposed that the first sentence be amended and divided into two sentences to read: “In WP/289, Brazil and Guatemala with support of the Latin American Civil Aviation Commission (LACAC) Member States highlighted the importance of all elements of the basket of measures to achieve the sustainable development of civil aviation. It was also stressed the relevance of appropriate implementation of the CORSA MRV, and expressed the support for the ICAO ACT-CORSA programme and its continuation.”.

33. The Delegate of the Russian Federation proposed replacing paragraph 17.20 with the following text: “In WP/529 Revision No. 1, Russian Federation presented an analysis of the negative

environmental and economic impacts of the introduction of the CORSIA, particularly for developing and emerging economies, which calls into question the advisability of CORSIA further implementation. Also, the Russian Federation, in the attached alternative draft of Assembly resolution, proposed that the ICAO Council should consider developing a global economic incentive system in the form of the Clean Development Mechanism for International Civil Aviation (ACDM). In addition, the Assembly is invited to consider as a reasonable alternative to CORSIA implementation the possibility of initiating the creation under the auspices of the UN mobile aviation forces to fight forest fires and other natural disasters that could fully meet the Sustainable Development Goals of the United Nations as a real contribution to reducing global CO₂ emission.”

34. The Delegates of the Russian Federation and China underscored the need to better reflect the contents of WP/306 co-presented by their States in paragraph 17.11 and indicated that they would submit a revised text to the Secretariat.

35. The Delegate of China then proposed inserting a new paragraph 17.33bis, which would read: “The Committee recognizes that some States have serious concerns on and oppose keeping the global net CO₂ emission from the international aviation from 2020 at the same level as the baseline for the CORSIA.”. The Delegate of the Russian Federation supported this proposal.

36. The Delegate of France averred that it would be inappropriate to incorporate proposed new paragraph 17.33bis into the draft Report since Agenda Item 17 related to CORSIA and the said global aspirational goal of carbon neutral growth from 2020 (CNG2020) had, in accordance with customary practice, been discussed under Agenda Item 16 on climate change and reflected in draft Resolution 16/1.

37. Emphasizing that he also objected to the proposal, the Delegate of the United States indicated that while Delegates were welcome to have the views which they had expressed during the Executive Committee’s discussion reflected in its Report, he did not recollect that what was stated in new paragraph 17.33bis had actually been said. In his view, this seemed to be an effort to place certain States’ position in multiple paragraphs throughout the Report, as had happened during the earlier discussion of the draft Report on Agenda Item 16.

38. In supporting the interventions by the Delegates of France and the United States, the Delegate of Germany underscored that the Executive Committee’s Report was a summary of its discussions and not the minutes and thus did not reflect every statement made by Delegates.

39. The Delegates of Canada, Norway, Sweden, New Zealand, the United Kingdom, the Netherlands, Greece and Portugal shared the views expressed by the Delegates of France, the United States and Germany.

40. The Delegate of China maintained that his proposal for a new paragraph 17.33 bis was consistent with the position expressed by some States during the discussion of Agenda Item 17 and thus needed to be reflected in the Executive Committee’s Report.

41. The Director, Air Transport Bureau (D/ATB) indicated that the Secretariat would consult with the Delegates of China and the other States concerned to see how best to capture their views in the Report.

42. The Delegate of the Russian Federation then suggested inserting a new paragraph 17.42 bis which would read: “The three States do not agree in principle to the draft resolution submitted by the Council in WP/59 because their proposed changes to the resolution [ICAO web address] were refused

to be discussed and their concerns were not incorporated.” He further proposed inserting the words “by majority” in paragraph 17.43 so as to read “The Committee agreed by majority to recommend that the Assembly adopt the following Resolution:” (17/1).

43. The Delegate of China thereafter proposed that:

- the first sentence of paragraph 17.34 be amended by replacing the word “acknowledged” with the word “noted” and by deleting the word “successful” so as to read: “The Committee noted the development of CORSIA-related Standards and Recommended Practices (SARPs) and guidance by ICAO ...”;
- the first sentence of paragraph 17.35 be amended by inserting the word “some” before the word “States” and by adding the following new sentence at the end of the paragraph: “The Committee also noted the views and perspectives presented by some other States that it should be States rather than ICAO Council that decide on the eligibility of emission units and sustainable aviation fuels for use by the CORSIA”; and
- paragraph 17.42 be amended by inserting the following new sentence at the end: “The three States highlighted that the CORSIA should be implemented in a nationally determined approach that each State is allowed to adopt its own baselines and standards to certify emission units and SAF, while recognizing the significance that ICAO Council develop a mechanism of international dialogue and consultation with the States to enhance the harmonization among States’ national plans to implement the CORSIA.”

44. The Delegate of Saudi Arabia proposed that, in line with the Executive Committee’s earlier discussion (EX/5) of the issue of the periodic review of CORSIA, the first sentence of paragraph 17.41 be amended by inserting, at the end, the phrase “and that the review should be on the basis of guiding principles listed in the Annex to Resolution A39-2”.

45. While the Delegate of the Russian Federation endorsed these proposals by the Delegates of China and Saudi Arabia, the Delegate of Germany strongly objected to them as in her view they did not reflect the Executive Committee’s discussion.

46. The Delegate of Egypt expressed support for all of the amendments to the draft Report proposed by the Delegates of the Russian Federation, China and Saudi Arabia, particularly those relating to paragraphs 17.41, 17.42 and 17.43.

47. The Delegate of Australia shared the views expressed by the Delegates of European States, Canada and the United States. In line with the proposal which he had made during the Executive Committee’s previous discussion of its draft Report on Agenda Item 16 (EX/10), he suggested that the Delegates of China and the Russian Federation propose a stand-alone paragraph setting forth all of their concerns rather than proposing amendments to various paragraphs of the Committee’s Report on Agenda Item 17 to reflect those concerns.

48. The Delegates of Sweden, New Zealand, the United Kingdom, the Netherlands, Greece, Austria, and Portugal endorsed this suggestion. In so doing, the Delegate of Netherlands emphasized that the said stand-alone paragraph should only reflect the concerns already raised by China and the Russian Federation and any other States which might support them as otherwise they would be reopening the discussion, which was not the purpose. The Delegates of Greece and Austria agreed.

49. The Chairperson proposed that pursuant to the Delegate of Australia's suggestion the Delegates of the Russian Federation and China be invited to submit to the Secretariat for review a stand-alone paragraph setting forth all of their concerns as previously expressed during the Executive Committee's discussion of Agenda Item 17. He noted that it might be necessary to ask the small drafting group to review the proposed text.

50. The Delegate of Brazil observed that insufficient time remained in the Assembly session to discuss the substantial changes proposed to draft Resolutions 16/1 and 17/1. Emphasizing, however, that it was necessary for ICAO, as a multilateral organization, to be inclusive and to take into consideration the concerns expressed by the Delegates of China, the Russian Federation and India, among others, she suggested that a high-level meeting or meetings be convened by the Council to discuss Member States' views regarding the refinement of updated Assembly Resolutions A39-2 and A39-3. The Delegate of Brazil thus proposed the insertion in the draft Report of a new paragraph 17.41bis to the effect that the Executive Committee suggested that the Council convene a high-level meeting or meetings to discuss Member States' views regarding the refinement of updated Assembly Resolutions A39-2 and A39-3 (i.e. Resolutions 16/1 and 17/1) which would be considered at the 41st Session of the Assembly, within the periodic review of the CORSIA to be undertaken by the Council, for consideration by the Assembly, every three years from 2022 (cf. Assembly Resolution A39-3, Operative Paragraph 18).

51. Agreeing with the Delegate of Germany that the Report was a summary of the Executive Committee's discussions, the Delegate of the Russian Federation emphasized that he and other Delegates who had proposed changes were only asking that their statements be reflected therein so that the international aviation community would be duly informed thereof. While appreciating the Delegate of Australia's suggestion, he emphasized that the envisaged stand-alone paragraph should reflect the concerns raised not only by China and the Russian Federation but also by other States.

52. In supporting the Chairperson's proposal, the Delegate of Egypt noted that it reflected the basic principle enshrined in the Preamble of the Chicago Convention of helping to "create and preserve friendship and understanding among the nations and peoples of the world". While he was of the view that draft Resolution 17/1 should remain in the form presented in WP/59 and reproduced in WP/575, he believed that it was necessary to reflect in the Report the concerns expressed by those Delegates who considered that it should be amended.

53. The Delegate of China expressed appreciation for the Delegate of Australia's suggested way forward, which was supported by a number of other Delegates. He indicated that he could go along with the Chairperson's proposal arising therefrom, subject to the following two pre-conditions: that in order to reflect the Executive Committee's discussion in a balanced way in the draft Report on Agenda Item 17, the references made therein to "the Committee agreed" be replaced with references to "Many States on the Committee agreed" and that references also be made to the views of the other States on the Committee; and that the chapeau to the envisaged stand-alone paragraph indicate that the States concerned persistently pursued a fair, just and feasible approach in addressing climate change issues and that their goal was the sustainable development of international civil aviation and the reduction of CO₂ emissions from international aviation and not merely their offsetting. The Delegate of China reserved the right to return to paragraph 17.43 of the draft Report depending on the outcome of the discussion on draft Resolution 17/1.

54. While voicing support for the Chairperson's proposal, the Delegate of Canada averred that it would be unnecessary for the drafting group to review the envisaged stand-alone paragraph as it would reflect the positions of the States involved.

55. The Delegate of France shared this view. He expressed the hope that the text of paragraph 17.43 relating to the Committee's recommendation that the Assembly adopt Resolution 17/1 could replicate the wording to be used for corresponding paragraph 16.40 of the draft Report on Agenda Item 16 (WP/574) whereby Resolution 16/1 was recommended for adoption by the Assembly. Referring to the comments made by the Delegate of Brazil, the Delegate of France affirmed that paragraph 17.41 accurately reflected the Executive Committee's discussion on the periodic review of the CORSIA and that it was premature to begin discussing refinements of updated Assembly Resolutions A39-2 and A39-3 (i.e. Resolutions 16/1 and 17/1). He emphasized that what was of key importance at the present time was ensuring that CORSIA was operationalized. The Delegate of Finland endorsed this intervention.

56. In also expressing full support for the Chairperson's proposal, the Delegate of South Africa stressed the importance of achieving a consensus on the draft Report on Agenda Item 17 in order to avoid the reopening of issues for discussion during the Plenary's consideration thereof.

57. Observing that the current discussion was similar to the Executive Committee's earlier discussion of Agenda Item 16, the President of the Council envisaged, based on the comments made by the Delegates of the Russian Federation, China and France regarding paragraph 17.43 of the draft Report, that the arrangement agreed for Agenda Item 16 could also be applied to Agenda Item 17. Indicating that he also envisaged that the same questions regarding the decision-making process in the Executive Committee could arise, he underscored that informal consultations with the States concerned should be undertaken with respect to both Agenda Items 16 and 17. The President of the Council noted that, pursuant to the Chairperson's proposal, the Delegates of the Russian Federation and China were invited to submit to the Secretariat for review a stand-alone paragraph setting forth all of their concerns with regard to Agenda Item 17, as they had been invited to do for Agenda Item 16. He suggested that informal consultations be subsequently held with many other States regarding the two proposed stand-alone paragraphs with a view to reaching consensus thereon. Echoing the view expressed by the Delegate of South Africa, the President of the Council reiterated the need to avoid the possibility of issues being reopened for discussion in the Plenary.

58. Indicating that the Executive Committee would proceed accordingly, the Chairperson noted that it would return to Agenda Item 17 at its next meeting, at which time a report would be presented on the outcome of the said informal consultations.

59. The meeting adjourned at 1710 hours.

Minutes of the Twelfth Meeting
(Thursday, 3 October 2019 at 1530 hours)

SUBJECTS DISCUSSED

1. Agenda Item 16: Environmental protection – International aviation and climate change — Policy and standardization

— Approval of draft text for the Report to the Plenary (*in continuation*)
2. Agenda Item 17: Environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)

— Approval of draft text for the Report to the Plenary (*in continuation*)

SUMMARY OF DISCUSSIONS

- Agenda Item 16: Environmental protection – International aviation and climate change – Policy and standardization**
- Agenda Item 17: Environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)**

Approval of draft texts for the Reports to the Plenary

1. The Committee resumed consideration of its draft Report to the Plenary on Agenda Item 16 (WP/574) (EX/10 and /11) and its draft Report to the Plenary on Agenda Item 17 (WP/575) (EX/11), with the President of the Council, Dr. Olumuyiwa Benard Aliu, providing an update on the status of the informal consultations thereon with the States concerned.

2. With regard to the draft Report on Agenda Item 16 (WP/574), the President of the Council recalled that at the Eleventh Meeting (EX/11) the Executive Committee had agreed to the text presented by the second drafting group for paragraphs 16.38, 16.39 (subsequently amended in light of the discussion), 16.40 and 16.41. In addition, the Executive Committee had: taken note of the Chairperson's conclusion that the majority supported retaining draft Resolution 16/1 on climate change in the form presented in WP/58 and reproduced in WP/574; taken note of the various issues raised; and allowed more time for further informal consultations with the States concerned. The President of the Council had undertaken such consultations to ascertain if there was convergence of opinion.

3. With respect to the draft Report on Agenda Item 17 (WP/575), the President of the Council noted that at the Eleventh Meeting (EX/11) the Chairperson had proposed that, pursuant to the Delegate of Australia's suggestion, the Delegates of China and the Russian Federation be invited to submit to the Secretariat for review a stand-alone paragraph setting forth all of their concerns as previously expressed during the Executive Committee's discussion of Agenda Item 17, instead of submitting amendments to various paragraphs of the draft Report to reflect those concerns. The Delegate of China had indicated that he could agree to that proposal, subject to two pre-conditions: that in order to reflect the Executive Committee's discussion in a balanced way in the draft Report, the references made therein to "the Committee agreed" be replaced with references to "Many States on the Committee agreed" and that references also be made to the views of the other States on the Committee; and that the chapeau to the

envisaged stand-alone paragraph indicate that the States concerned persistently pursued a fair, just and feasible approach in addressing climate change issues and that their goal was the sustainable development of international civil aviation and the reduction of CO₂ emissions from international aviation and not merely their offsetting.

4. The President of the Council indicated that during the informal consultations it had been brought to his attention that there had unfortunately been some miscommunication regarding the said pre-conditions, in particular, the first pre-condition. He clarified that the Delegate of China had actually requested that references made in the draft Report to “the Committee agreed” be replaced with references to “some States agreed”. Upon reviewing WP/575, it had become clear to the President of the Council that this proposed change related primarily to paragraph 17.43, in which the Committee agreed to recommend that the Assembly adopt Resolution 17/1 on CORSIA. Noting that his attempt to find consensus on this matter to assist the Chairperson had not been entirely successful, the President of the Council left it to the Delegates of China and the Russian Federation to indicate the way in which they wished to proceed in order to enable the Executive Committee to take a decision regarding next steps. He emphasized that it was essential that the Assembly conclude all of its work by the following day, Friday, 4 October 2019, as it was the last day of the 40th Session.

5. On behalf of the Executive Committee the Chairperson expressed appreciation to the President of the Council for his tireless efforts to reach a consensus on Agenda Items 16 and 17.

6. Reiterating that there had been a misunderstanding regarding his two pre-conditions, the Delegate of China repeated the texts (cf. paragraphs 3 and 4 above). He underscored that he could go along with advice from the Chairperson and the President of the Council in trying to do his best to enable a consensus to be reached in the Executive Committee on Agenda Item 17, possibly during the present meeting.

7. The Delegate of the Russian Federation noted that he had not explicitly stated his view regarding the Chairperson’s proposal at the last meeting. While he did not consider it to be entirely acceptable, he was also interested in completing consideration of Agenda Item 17 and suggested that a small drafting group be established to review the amendments to the draft Report (WP/575) which he and the Delegate of China had proposed during EX/11.

8. The Delegate of France expressed surprise at the use of the term “pre-conditions”, emphasizing that it did not constitute the best way in which to conduct negotiations. Recalling that the Executive Committee had respectfully and patiently listened to the proposals put forward at EX/11 by the Delegates of China and the Russian Federation, he averred that it would not be productive to repeat that exercise now, the second-to-last day of the Assembly. Referring to the Delegate of China’s first pre-condition, the Delegate of France underscored that replacing “the Committee agreed” with “some States agreed” in the draft Report on Agenda Item 17 would not reflect the actual discussion. That was particularly the case with paragraph 17.43, which stated that the Committee agreed to recommend that the Assembly adopt Resolution 17/1 on CORSIA, as almost all of the Delegates who had taken the floor had voiced support for Resolution 17/1 in the form presented in WP/59 and reproduced in WP/575. While respecting the different views thereon expressed by a few States, the Delegate of France maintained that the proposed replacement of “the Committee agreed” with “some States agreed” in paragraph 17.43 of the draft Report would be inappropriate.

9. Noting that he had accepted the Chairperson’s proposal for a stand-alone paragraph in the Report setting forth all of the concerns previously expressed by the Delegates of China and the Russian Federation during the Executive Committee’s discussion of Agenda Item 17 on the understanding that the text of draft Resolution 17/1 would not be amended, the Delegate of France stressed that he was not

prepared to change his position as he remained convinced that it was the best way in which to deal with this difficulty. He suggested that in order to demonstrate respect for the minority view, the placement of the envisaged stand-alone paragraph be changed so that the latter appeared before paragraph 17.43 containing the Committee's recommendation that the Plenary adopt draft Resolution 17/1 on CORSIA in the form presented in WP/59 and reproduced in WP/575.

10. The Delegate of Australia observed that while the expression "The Committee" was used in paragraphs 17.35 to 17.43 of the draft Report, with the exception of paragraphs 17.40 and 17.43 the statement which followed was factual, with the Committee noting or taking note of information provided, and therefore could not be changed. Referring to paragraph 17.40, which indicated that "The Committee agreed that the increasing number of States which had announced their voluntary participation in CORSIA from its outset was a very positive sign.", he emphasized that while most Delegates would concur that that was true, if the Delegates of China and the Russian Federation did not, then they could include their views thereon in their envisaged stand-alone paragraph. The Delegate of Australia endorsed the Delegate of France's suggestion that the latter be placed before paragraph 17.43, and agreed with him that draft Resolution 17/1 on CORSIA should remain unchanged.

11. The Delegate of the United Kingdom voiced strong support for the Delegate of France's intervention and proposal. Affirming that the Delegate of Australia had spoken very sensibly, she underscored that the United Kingdom could not accept the Delegate of China's proposed replacement of "the Committee agreed" with "some States agreed" in the draft Report. The Delegate of the United Kingdom reiterated that during EX/11 the vast majority of Delegates who had taken the floor had clearly supported CORSIA. Furthermore, it had been clearly agreed that the text of draft Resolution 17/1 would not be reopened for discussion and would instead be accepted by the Executive Committee in the form presented in WP/59 and reproduced in WP/575 and recommended to the Plenary for adoption. Noting that the Executive Committee appeared to have agreed on a good compromise at EX/11, the Delegate of the United Kingdom urged Delegates to protect that compromise and move forward.

12. The Delegates of Finland, Switzerland, Norway, Slovakia, Spain, Slovenia, Canada, Iceland, Portugal, Estonia, Belgium, New Zealand, the Netherlands, Bulgaria, Denmark, Ireland and Sweden likewise expressed strong support for the Delegate of France's intervention and proposal, as well as for the comments made by the Delegates of Australia and the United Kingdom.

13. In so doing, the Delegate of Spain emphasized that the text of draft Resolution 17/1 should not be changed as that would dismantle all of the CORSIA-related work done by ICAO over the last three years. Endorsing the Delegate of Australia's approach regarding the envisaged stand-alone paragraph setting forth all of the concerns previously expressed by the Delegates of China and the Russian Federation during the Executive Committee's discussion of Agenda Item 17, he highlighted that there were two options to address this matter: undertake further, last-minute negotiations with the States concerned; or proceed in accordance with the Standing Rules of Procedure of the Assembly (Doc 7600).

14. Underscoring that international aviation CO₂ emissions did not have a passport i.e. were transboundary, the Delegate of Slovenia stressed the need to look forward and not reopen draft Resolution 17/1 on CORSIA.

15. In voicing support for the viewpoint expressed by the Delegates of China and the Russian Federation, the Delegate of Eritrea underscored the need to consider the root of the problem: the ongoing destruction of the planet as a result of global warming. He noted that while it was the GHG emissions produced by developed States which was the main contributing factor to global warming, it was developing States, particularly Small Island Developing States (SIDS), which were heavily subjected to damage

resulting from climate change. The Delegate of Eritrea emphasized that although developed States had the means to combat global warming and minimize the damage to themselves, at least in the short-term, that approach was not sustainable. He further highlighted that developing States, in particular SIDS, lacked the means to fight and mitigate climate change and faced not merely damage but total destruction. Noting that, in the final analysis, both developed and developing States would be losers in the fight against climate change, the Delegate of Eritrea called upon all States to work together to achieve a win-win situation which would save the planet from total destruction while ensuring respect for human rights.

16. In response to the comments made, the Delegate of China underscored that while many Delegates had indicated that there was no precedent in ICAO to replace “the Committee agreed” with “some States agreed” in the Executive Committee’s Report, it was his understanding that there was also no precedent in ICAO to use a single stand-alone paragraph to reflect the position of a group of States in the Report. Thus if his precedent-setting proposal was unacceptable to those Delegates, then the Chairperson’s precedent-setting proposal was unacceptable to him. Indicating that he had been shocked to hear some Delegates say that they were not ready to negotiate the text of draft Resolution 17/1 on CORSIA, the Delegate of China emphasized that his State, which cared about the Organization’s work and read every ICAO document very carefully, was prepared to engage in dialogue with all States. He found it shocking that not all States showed the same level of care for ICAO documents.

17. The Delegate of China indicated that he could go along with advice from the Chairperson and the President of the Council, besides the proposed single stand-alone paragraph for inclusion in the draft Report on Agenda Item 17 (WP/575). He expressed willingness to engage in some further negotiations to modify that draft Report using the second drafting group which had been established previously (EX/10) to review the proposed amendments to the draft Report on Agenda Item 16, in order to show flexibility and accommodate the concerns of each and every State and to try to reach consensus on the draft Report on Agenda Item 17 itself. That being said, the Delegate of China was quite eager to have a detailed discussion of draft Resolution 17/1 on CORSIA.

18. The Delegate of the Russian Federation underscored that he did not accept the Delegate of China’s said pre-conditions and did not wish to reopen discussion of draft Resolution 17/1. He respected the position expressed by the majority of States and only wished to reflect in the draft Report on Agenda Item 17 the position of the minority. The Delegate of the Russian Federation repeated his suggestion that a small drafting group be established to review the amendments to the draft Report (WP/575) which he and the Delegate of China had proposed during EX/11.

19. The Delegate of the United States emphasized that in the many months and years leading up to A40, and at the Assembly, his State had engaged in a constructive and open dialogue with all ICAO Member States. Furthermore, the United States had made an effort during this session to consider the views of the Russian Federation, China, India and Eritrea, which were important and needed to be reflected. At the same time, it seemed that the goalposts were moving and it was not clear what would be required to conclude consideration of Agenda Item 17 in the Executive Committee and present the Report and draft Resolution 17/1 on CORSIA to the Plenary. Noting that the Delegate of the Russian Federation had just stated that that was what he wished to do, the Delegate of the United States indicated that while he fully support moving forward as fast as possible, it was necessary to know how that could be done without the goalposts being moved yet again. He was concerned by some of the remarks made by the Delegate of China which seemed to suggest that once the text of the draft Report was agreed the Executive Committee would still have to reach agreement on the text of draft Resolution 17/1, which seemed to be a step backwards.

20. In terms of a way forward, and taking into account the comments made by the Delegate of the Russian Federation and the two options highlighted by the Delegate of Spain, the Delegate of the United States recommended the following: that the Executive Committee here and now move forward to the

Plenary Agenda Item 16, which had been all but concluded at EX/11 after the constructive work done; and while very little time remained in the Assembly session, undertake some additional negotiations to reflect the views of the said four States in the draft Report on Agenda Item 17. He underscored that the United States would be open to such further negotiations subject to: moving forward Agenda Item 16 to the Plenary; and if no progress was made during the negotiations, then proceeding in accordance with the Standing Rules of Procedure of the Assembly (Doc 7600), the second option outlined by the Delegate of Spain.

21. Observing that it felt like a very low point for ICAO, the Delegate of the United States expressed concern about the outcome of the Assembly's discussion on CORSIA and how the international community would react. He emphasized that CORSIA was very important and that many States attending A40 continued to support it.

22. The Delegate of India thanked the Chairperson for showing the statesmanship to give every State an opportunity to express itself and to have some amendments made to the draft Report on Agenda Item 17, as well as to draft Resolution 17/1 on CORSIA. Observing that there were a number of differences among States as far as CORSIA was concerned, she emphasized that it would be logical before concluding on the draft Report and Resolution 17/1 that those differences be at least reflected. The Delegate of India indicated that it gave her immense satisfaction to see the current proceedings as she had been a witness to the proceedings in 2016 when Assembly Resolution A39-3 on CORSIA had been adopted.

23. Noting that a great deal of stress was being laid on intergenerational equity in the climate actions being proposed by the present generation, the Delegate of India emphasized that there were also imperatives of intergenerational equity regarding eradication of poverty and socio-economic development. Underscoring that there were many States for which those issues posed major challenges, she highlighted the need for ICAO to have a view which encompassed the entire gamut of its Member States. The Delegate of India suggested, in this regard, that ICAO follow the good example set by the International Maritime Organization (IMO), which in 2018 had adopted an *Initial IMO Strategy on reduction of GHG emissions from ships* that set out a vision confirming the IMO's commitment to reducing greenhouse gas emissions from international shipping and to phasing them out as soon as possible. The IMO had also established: a voluntary multi-donor Trust Fund for GHG to provide a dedicated source of financial support for technical cooperation and capacity building activities to facilitate the implementation of the said Initial IMO Strategy and address the issue of common but differentiated responsibilities (CBDR) and respective capabilities (RC); and the Global Maritime Technology Network (GMN) Project, funded by the EU, to help States develop national maritime energy-efficiency policies and measures, promote the uptake of low-carbon technologies and operations in maritime transport and establish voluntary pilot data-collection and reporting systems.

24. In concluding, the Delegate of India agreed with the views expressed by a few States that although they were in the minority their views must be made a part of the draft Report on Agenda Item 17, as well as draft Resolution 17/1, to reflect their major concerns.

25. The Delegate of New Zealand recalled that at EX/11 the need to respect the views of States had been highlighted and the Executive Committee had heard the views expressed by the Delegates of the Russian Federation and China for a large part of that meeting, as well as at earlier meetings. Suggestions had been made by the Delegate of Australia and the Chairperson to enable those views to be adequately reflected, which she supported and which the Delegate of the Russian Federation now seemed to agree to. The Delegate of New Zealand did not consider it necessary to have a small drafting group in order to move forward Agenda Item 17 to the Plenary; rather, the Delegates of the Russian Federation and China and Delegates from any other States concerned should submit their views in writing for the envisaged stand-

alone paragraph in the draft Report as soon as possible. She did not think that the contents of the draft Report relating to the Executive Committee's discussions could be changed, in particular, reference to the broad support for CORSIA and the agreement of the large majority of States to accept draft Resolution 17/1 in the form presented in WP/59 and reproduced in WP/575, and the decision of a small number of States not to accept it without further change. The Delegate of New Zealand noted that in that manner the views of both the majority and minority would be reflected in the draft Report. In reiterating her support for the comments made by the Delegates of France and the United Kingdom, among others, she endorsed the Delegate of the United States' recommendation to move forward Agenda Item 16 to the Plenary now.

26. The Delegate of Egypt indicated that he fully supported, in principle, draft Resolution 17/1 without any amendments. However, having listened very carefully to the comments made thereon by the Delegates of the Russian Federation and China, as well as to those made by other Delegates, and noting that it was not possible to know the positions of those States which had not yet taken the floor, he suggested that paragraph 17.43 of the draft Report be revised to read along the lines of "The Committee agreed to provide the Plenary, for consideration, with the following recommendation in order to be adopted:". Underscoring that all Delegates were striving to achieve the broadest possible consensus, the Delegate of Egypt asked the Chairperson to allow a bit more time to reach that consensus by means of a small drafting group. In affirming that the Delegate of Australia's proposal could also offer a good solution, he indicated that he put his trust in the Chairperson's wisdom.

27. The Delegate of Australia expressed support for the Delegate of the United States' recommendation to move forward Agenda Item 16 to the Plenary. Affirming that facts could not be disputed, he reiterated that the factual statements made in paragraphs 17.35 to 17.41 of the draft Report could not be changed. The Delegate of Australia observed that it was clear that the Delegates of China and the Russian Federation would like to have their views reflected more in paragraph 17.42, which indicated that "... a clear majority of States expressed their support for the draft Assembly Resolution text proposed in the Appendix to WP/59 without any further change, while the Committee noted concerns expressed by a few States including those reflected in WP/306, WP/228 Revision No. 1 and WP/529 Revision No. 1. ...". While he would be happy to consider that, it did not require a small draft group: it simply needed the Delegates of China and the Russian Federation and any other Delegates from States concerned to provide some text for the Executive Committee to review. He noted that a footnote could also be added to paragraph 17.43 indicating those States which had not agreed to recommend that the Assembly adopt Resolution 17/1 on CORSIA without any further change. That was his suggested way forward.

28. Noting that the Delegates of Egypt and France had offered good suggestions, and recalling the comments made by the Delegate of the Russian Federation regarding a stand-alone paragraph, the Delegate of Saudi Arabia affirmed that a small drafting group tasked with reviewing only a couple of paragraphs of the draft Report could settle this matter without changing the text of draft Resolution 17/1.

29. The Delegate of Cuba indicated that she was not surprised by the current discussion as it had always been her view that the consensus reached at A39 on CORSIA had been weak. She therefore agreed with the Delegates of Spain and the United States that further negotiations should take place with the States concerned. The Delegate of Cuba also agreed with the Delegates of the Russian Federation, Egypt and Saudi Arabia that a small drafting group should review the proposed amendments to the draft Report to ensure that the positions of the States concerned were clearly reflected therein, and recommend any changes it considered relevant in light of the Executive Committee's discussion on CORSIA.

30. The Delegate of Italy recalled that during the Executive Committee's review of the draft Report on Agenda Item 17 at its previous meeting (EX/11) a clear majority of States had been satisfied with the text. Noting that there were some States which wished to have their minority viewpoint clarified in the draft Report, he affirmed that that was in everyone's interest and reiterated the need to strive to do

so. The Delegate of Italy considered that establishing a small drafting group or following the Delegate of Australia's recent proposal could be a good way forward. Recalling the comments made by the Delegate of the Russian Federation, he averred that the Executive Committee was not too far from finding a solution and a recommendation for the Plenary regarding draft Resolution 17/1 before envisaging the implementation of the Standing Rules of the Assembly (Doc 7600) for final decision by the Plenary. The Delegate of Italy thus recommended striving to formulate a text for paragraph 17.42 in order to capture the concerns of those States which did not find their position reflected in the decision of the majority of States.

31. The Delegates of the Netherlands, Denmark, Bulgaria and Sweden, endorsed the comments made by the Delegates of the United States and New Zealand, as well as the most recent proposal by the Delegate of Australia.

32. In also supporting the Delegate of Australia's suggested way forward, the Delegate of Singapore proposed that, in addition, paragraph 17.43 of the draft Report be amended by inserting, at the beginning, words such as "after prolonged deliberations" so as to read "After prolonged deliberations, the Committee agreed to recommend that the Assembly adopt the following Resolution:".

33. With regard to Agenda Item 16, the Delegate of India emphasized that her State was a responsible nation which was committed to working to implement ICAO policies and practices related to environmental protection and climate change. However, India cautioned that a long-term global aspirational goal of net-zero emissions by 2050 could not be a goal for developing countries. She recalled that India's position at the recent UN Climate Action Summit (New York City, 23 September 2019) had been that a net-zero emissions goal should be discussed along with the adequate provision of means of implementation for developing countries. Climate finance was a key pillar in elevating climate action but enhanced ambition and enhanced support should be on an equal footing before setting any targets. New additional climate-specific financial and technical support for capacity building must be chalked out. The call for a new aspirational goal of net-zero emissions and quantifiable sustainable aviation fuel targets had to be subject to the delivery of adequate and timely finance to developing countries.

34. Endorsing the way forward suggested by many Delegates, the Delegate of the United Kingdom reiterated the need to move ahead. She averred that a small drafting group was not needed as it was simply a matter of agreeing on the text of the draft Report as a record of the Executive Committee's discussions on Agenda Item 17. Agreeing with the intervention by the Delegate of Eritrea, the Delegate of the United Kingdom underscored that all States attending A40 shared the ambition of avoiding the worst effects of climate change through concerted global action, as did the hundreds of thousands of people who had marched past the ICAO premises during the Climate Strike march on 27 September 2019. Noting that the 39th Session of the Assembly had adopted CORSIA as international aviation's first contribution to the fight against climate change, she underscored that the urgency for action on climate change was clear: there were ten years in which to make drastic changes to behaviour to avoid the kind of impacts that the Delegate of Eritrea had described. Averring that if the text of draft Resolution 17/1 on CORSIA were reopened, then the clock would be turned back a decade, and not forward, the Delegate of the United Kingdom emphasized that the world was watching ICAO to see what action it would take.

35. In voicing support for the Delegate of Australia's recent proposal, the Delegate of the Russian Federation recalled that during EX/11 he had suggested, inter alia: inserting a new paragraph 17.42bis which would read: "The three States do not agree in principle to the draft resolution submitted by the Council in WP/59 because their proposed changes to the resolution [ICAO web address] were refused to be discussed and their concerns were not incorporated."; and inserting the words "by majority" in paragraph 17.43 so as to read "The Committee agreed by majority to recommend that the Assembly adopt the following Resolution:" (17/1).

36. Expressing concern that the Delegate of Cuba had referred to the consensus reached at A39 on CORSIA as being “weak”, the Delegate of Ireland underscored that the Executive Committee’s discussion of the scheme had been extremely positive and forward-looking and stressed the need to reflect that same tone again during the present meeting. She agreed with the comments made by the United States, France and others. Observing that the Delegate of Australia had, as always, been very helpful in focussing the Executive Committee’s attention on those issues which needed further work, the Delegate of Ireland voiced strong support for his recent proposal, as built upon by the Delegates of Italy and Singapore. In reiterating that the concerns of those States with a different position from the majority could be reflected in a stand-alone paragraph in the draft Report on Agenda Item 17, she noted the positive comment made by the Delegate of the Russian Federation in that regard. The Delegate of Ireland emphasized the need to move forward with that text and accept draft Resolution 17/1 without any further change.

37. Affirming that the Delegate of Australia’s recent proposal was constructive and could be useful, the Delegate of Greece advocated following his suggested way forward.

38. Agreeing that the Delegate of Australia’s proposal was excellent, and noting that the Delegates of Italy and Singapore had made proposals in the same direction, the Delegate of Sweden spoke in favour of moving forward along those lines.

39. Based on the numerous interventions, the Chairperson proposed that the Executive Committee: accept the revised text of its draft Report on Agenda Item 16 (EX/11); invite China, the Russian Federation and any other State concerned to jointly present to the Secretariat text describing their divergent views for inclusion in the draft Report on Agenda Item 17; and accept draft Resolution 17/1 on CORSIA in the form presented in WP/59 and reproduced in WP/575, without any further change.

40. The Delegates of Germany, Ukraine, the United Arab Emirates, France, Switzerland, Italy, Canada, Austria, the United States, Japan, Norway, New Zealand, Singapore, the Russian Federation, Spain, Finland, Sweden and Egypt endorsed this proposal, with the Delegates of Germany, Ukraine, Finland and Egypt highlighting that they strongly supported not reopening the text of draft Resolution 17/1.

41. The Delegate of China expressed deep appreciation to each and every Delegate for their efforts to accommodate minority opinions and averred that that spirit of cooperation and accommodation would help the Executive Committee move towards a final consensus on this issue, as well as on every other issue it considered. In thanking the Chairperson for his proposed way forward, he indicated that he would like to join the drafting group to review the proposed amendments to the draft Report on Agenda Item 17 and consult with other interested States thereon. Recalling that he had presented China’s proposed changes thereto during EX/11 and had subsequently e-mailed them to the Secretariat, the Delegate of China noted that he would also like to share them with any other interested parties. He indicated that while he would try his best to accommodate the Chairperson’s proposal that no modification be made to draft Resolution 17/1 on CORSIA, he had another pre-condition for its acceptance: that the Chairperson also submit China’s suggested to that draft Resolution to the Plenary.

42. The Chairperson clarified that the intention was to include text in the draft Report indicating that there were divergent views regarding draft Resolution 17/1 and that information thereon had been presented to the Executive Committee.

43. The President of the Council recalled that China, India and the Russian Federation had jointly presented their proposed changes to draft Resolution 17/1 (WP/59) in a flimsy which had been posted on the A40 website under *Reference Documents*, as clearly mentioned in paragraph 17.42 of WP/575 (“Following oral statements by some Member States, written input to the meeting was submitted by three Member States and posted on the ICAO website.”). He emphasized that even if those proposed changes

had been presented instead in an information paper with an assigned A40-WP number and had been submitted to ICAO on time, the information paper would not have been tabled for discussion in the Executive Committee; rather, in accordance with the established procedure, it would have been indicated in the Report that the Executive Committee had noted that the information paper had been submitted.

44. Taking into account procedural constraints, the President of the Council proposed that in order to accommodate the Delegate of China's concern paragraph 17.42 of the draft Report (WP/575) be expanded to include the A40 website address where the said flimsy was posted and that the salient points raised by China, India and the Russian Federation regarding draft Resolution 17/1 on CORSIA be added in a separate paragraph. He underscored that in that manner Delegates would have the opportunity to consult the flimsy prior to the Plenary's consideration of the Executive Committee's Report on Agenda Item 17 and draft Resolution 17/1.

45. The Delegates of Spain, the Russian Federation, France, Singapore, Finland and China, expressed support for the President of the Council's above proposal.

46. In response to a query by the Delegate of the Russian Federation, the Chief, Climate Change (C/CC) outlined the changes to the draft Report on Agenda Item 16 (WP/574) which had been agreed to by the Executive Committee at its last meeting (cf. A40-Min. EX/11). He clarified that those changes would be duly reflected in the final text of the Report (WP/626) which would be submitted to the Plenary for consideration and adoption of draft Resolution 16/1.

47. Further to points raised by the Delegates of China and the Russian Federation, the Chairperson indicated that the agreed text of paragraph 16.41 ("Despite the objections of a few States, the Committee agreed, by majority, to recommend that the Assembly adopt the following Resolution:") would be transposed into the final text of the Executive Committee's Report on Agenda Item 17 (cf. paragraph 17.45 of WP/627).

48. The Delegate of China indicated that in order to show utmost flexibility, as well as deep appreciation to each and every Delegate, the Chairperson and the President of the Council for making every effort to accommodate minority opinions, he could accept paragraph 16.41 and the corresponding paragraph in the Executive Committee's Report on Agenda Item 17 (cf. paragraph 17.45 of WP/627) on the understanding that those paragraphs would not prevent the States concerned from expressing their views on draft Resolution 16/1 on climate change and draft Resolution 17/1 on CORSIA when they were further discussed in the Plenary.

49. This was noted and accepted by the Chairperson, who indicated that the Executive Committee had now reached consensus on the revised text of its draft Report on Agenda Item 16 (WP/626), which would be submitted to the Plenary for approval the next day, Friday, 4 October 2019.

50. With respect to the draft Report on Agenda Item 17, the Chairperson indicated that China, the Russian Federation and any other State concerned would be invited to jointly present to the Secretariat text describing their divergent views, which would be posted on the A40 website under *Reference Documents*. He agreed to a request by the Delegate of India to join the Delegates of China and the Russian Federation in drafting the said text.

51. The Delegate of China reiterated his pre-condition that the chapeau of the envisaged text indicate that the States concerned persistently pursued a fair, just and feasible approach in addressing climate change issues and that their goal was the sustainable development of international civil aviation

and the reduction of CO₂ emissions from international aviation and not merely their offsetting and underscored his desire to consult with other interested States on the said text.

52. The Delegates of the United States and France expressed concern that such consultation was not in line with the Chairperson's proposal and stressed the need to move forward and conclude the discussion on the draft Report on Agenda Item 17.

53. The Delegate of the Russian Federation suggested that China, the Russian Federation and India meet with other interested States informally outside the Executive Committee to discuss the said text describing their position regarding draft Resolution 17/1 on CORSIA.

54. In light of the discussion, the Chairperson indicated that the Executive Committee agreed that following the present meeting China, the Russian Federation and India would jointly present to the Secretariat text describing their position regarding draft Resolution 17/1, which would be posted on the A40 website under *Reference Documents*. Any Delegates wishing to express their views thereon were invited to meet with the said three States and the Secretariat in the Conference Room adjoining the Office of the President of the Council at 0800 hours on Friday, 4 October 2019, prior to the start of the Thirteenth Meeting at 0900 hours when the Executive Committee would reconvene to finalize its draft Report on Agenda Item 17 for submission to the Plenary later that day.

55. The meeting adjourned at 1710 hours.

Minutes of the Thirteenth Meeting
(Friday, 4 October 2019 at 0925 hours)

SUBJECTS DISCUSSED

1. Agenda Item 17: Environmental Protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)

— Approval of draft text for the Report to the Plenary (*in continuation*)

SUMMARY OF DISCUSSIONS

Agenda Item 17: Environmental Protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)

Approval of draft text for the Report to the Plenary (in continuation)

1. The Executive Committee resumed (EX/12) and completed consideration of its draft Report to the Plenary on Agenda Item 17 (WP/575).

2. The Deputy Director, Environment (DD/ENV) noted that, as agreed by the Executive Committee at its Twelfth Meeting on 3 October 2019, China, the Russian Federation and India had jointly presented to the Secretariat a document proposing changes to the draft Report (WP/575) to reflect their position, which had been posted on the A40 website under *Reference Documents* for the information of Delegates. Prior to the start of the present meeting, the Secretariat and Delegates of the said three States had met with a number of other interested Delegates in the Conference room adjoining the Office of the President of the Council at 0800 hours to review the posted document. That small group had agreed on the following amendments to WP/575, which were now for consideration and approval by the Executive Committee:

- Paragraph 17.20 be replaced with the following text (which incorporates slight editorial changes to the three States' proposed text):

“In WP/529 Revision No. 1, Russian Federation presented an analysis of the negative environmental and economic impacts of the introduction of the CORSIA, particularly for developing and emerging economies, which calls into question the advisability of CORSIA further implementation. Also, the Russian Federation, in the alternative draft of Assembly resolution included in WP/529, proposed that the ICAO Council should consider developing a global economic incentive system in the form of the Clean Development Mechanism for International Civil Aviation (ACDM). In addition, the Russian Federation invited the Assembly to consider as a reasonable alternative to CORSIA implementation the possibility of initiating the creation under the auspices of the UN mobile aviation forces to fight forest fires and other natural disasters that could fully meet the Sustainable Development Goals of the United Nations as a real contribution to reducing global CO₂ emission.”;

- Paragraph 17.34 be amended by replacing the word “acknowledged” with the word “noted” in the first sentence;
- A new paragraph 17.35 be inserted which would read as follows (substituting the said three States’ proposed paragraph 17.33 *bis*)

“The Committee noted the views and perspectives of some States that expressed serious concerns with and opposition to keeping the global net CO₂ emission from the international aviation from 2020 at the same level as the baseline for the CORSIA.”;

- Existing paragraph 17.35 be renumbered as paragraph 17.36 and amended by inserting the word “some” before the word “States” in the first sentence and by adding the following new sentence at the end of the paragraph:

“The Committee also noted the views and perspectives presented by some other States that it should be States rather than ICAO Council that decide on the eligibility of emission units and sustainable aviation fuels for use by the CORSIA.”;

- A new paragraph 17.44 be inserted which would read as follows (substituting the said three States’ proposed paragraph 17.42 *bis*)

“Three States highlighted their view that the CORSIA should be implemented in accordance with principles of the Paris Agreement in a nationally determined approach based on Member States’ contribution rather than aircraft operators’ offsetting obligations, and that each State is allowed to adopt its own baselines and standards to certify emissions units and SAF. The three States proposed that the ICAO Council should develop a mechanism of international dialogue and consultation with States concerned to enhance the harmonization among States’ national plans to implement the CORSIA. The three States do not agree in principle to the draft Resolution submitted by the Council in WP/59 because their proposed changes to the Resolution (https://www.icao.int/Meetings/a40/Documents/consolidated_statement_continuing_ICAO_policies_practices_wp_059_en.pdf) were not incorporated, as a clear majority of States expressed their support not to change the Resolution text as proposed in the Appendix to WP/59.”; and

- Existing paragraph 17.43 be renumbered as paragraph 17.45 and amended to replicate the wording which the Executive Committee had previously agreed (EX/12) to use for paragraph 16.41 of its Report to the Plenary on Item 16 (WP/626), as follows (substituting the said three States’ proposed wording):

“Despite the objections of a few States, the Committee agreed, by majority, to recommend that the Assembly adopt the following Resolution:”.

3. The Delegates of Finland, Norway, Switzerland, Portugal, New Zealand, Singapore, Sweden, Denmark, Nigeria, Egypt and Mexico expressed support for the above-mentioned proposed amendments to the draft Report on Agenda Item 17, on the understanding that the text of draft Resolution 17/1 contained in WP/575 remained unchanged. They joined the Chairperson in commending the small group and the Secretariat for their excellent work in a very short period of time.

4. In the absence of further comments, the Chairperson concluded that the Executive Committee approved, for submission to the Plenary, the draft text of its Report on Agenda Item 17 contained in WP/575, as amended during the discussions (EX/11, /12 and /13); and agreed to recommend that the Plenary adopt draft Resolution 17/1: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)* as presented in WP/575.

5. The meeting adjourned at 0940 hours to enable the Committee to reconvene as the Plenary and consider its Reports on Agenda Items 15, 16 and 17.

APPENDIX

LIST OF WORKING PAPERS CONSIDERED BY THE EXECUTIVE COMMITTEE

A40-WP/4 EX/1	REPORT ON ICAO'S TECHNICAL ASSISTANCE PROGRAMME (20/06/2019)
A40-WP/5 EX/2	REPORT ON AIRCRAFT DISINSECTION AND VECTOR CONTROL MEASURES (19/07/2019)
A40-WP/6 EX/3	DEVELOPMENTS PERTAINING TO THE ICAO PUBLIC KEY DIRECTORY (PKD) (26/06/2019)
A40-WP/7 EX/4	BENEFITS OF PARTICIPATION IN THE ICAO PUBLIC KEY DIRECTORY (PKD) (05/07/2019) *Information Paper
A40-WP/8 EX/5	DEVELOPMENTS PERTAINING TO THE ICAO TRAVELLER IDENTIFICATION PROGRAMME (ICAO TRIP) STRATEGY (17/07/2019)
A40-WP/8 Corrigendum No.1 EX/5	DEVELOPMENTS PERTAINING TO THE ICAO TRAVELLER IDENTIFICATION PROGRAMME (ICAO TRIP) STRATEGY (03/10/2019)
A40-WP/11 EX/6	REPORT ON THE EVOLUTION OF THE UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS MONITORING APPROACH (CMA) (20/08/2019)
A40-WP/14 EX/7	INNOVATION IN AVIATION (27/06/2019)
A40-WP/15 EX/8	REPORT ON COMMERCIAL SPACE TRANSPORT (CST) (27/06/2019)
A40-WP/23 EX/09	IMPLEMENTATION OF THE ICAO CONTINUOUS MONITORING APPROACH (CMA) AUDIT PROGRAMMES (31/05/2019)
A40-WP/25 EX/10	IMPLEMENTATION OF THE GLOBAL AVIATION SECURITY PLAN (GASeP) (20/06/2019)
A40-WP/26 EX/11	OUTCOME OF THE SECOND HIGH-LEVEL CONFERENCE ON AVIATION SECURITY (HLCAS/2) (11/07/2019)
A40-WP/27 EX/12	CONSOLIDATED STATEMENT ON CONTINUING ICAO POLICIES RELATED TO AVIATION SECURITY (05/07/2019)

A40-WP/28 EX/13	ICAO CYBERSECURITY STRATEGY (25/06/2019)
A40-WP/28 Corrigendum No. 1 EX/13	ICAO CYBERSECURITY STRATEGY (26/09/2019)
A40-WP/32 EX/14	REPORT ON THE REVIEW OF THE SCOPE AND METHODOLOGY OF THE UNIVERSAL SECURITY AUDIT PROGRAMME – CONTINUOUS MONITORING APPROACH (USAP-CMA) (25/06/2019)
A40-WP/45 EX/17	ICAO’S ACTIVITIES IN SUPPORT OF UNITED NATIONS 2030 AGENDA – SUSTAINABLE DEVELOPMENT GOALS (SDGs) (11/06/2019)
A40-WP/46 EX/15 AD/16	FINANCIAL ASPECTS OF THE QUESTION OF CONTRIBUTIONS IN ARREARS (26/06/2019)
A40-WP/46 Revision No. 1 EX/15 AD/16	FINANCIAL ASPECTS OF THE QUESTION OF CONTRIBUTIONS IN ARREARS (19/09/2019)
A40-WP/46 Revision No. 1 Addendum No. 1 EX/15 AD/16	FINANCIAL ASPECTS OF THE QUESTION OF CONTRIBUTIONS IN ARREARS (24/09/2019)
A40-WP/47 EX/16	UPDATE ON THE FEASIBILITY STUDY – PACIFIC SMALL ISLAND DEVELOPING STATES (PSIDS) AVIATION NEEDS ANALYSIS (07/06/2019)
A40-WP/48 EX/18	INCREASING THE EFFICIENCY AND EFFECTIVENESS OF ICAO (04/07/2019)
A40-WP/49 EX/19	REPORT ON THE ICAO NO COUNTRY LEFT BEHIND (NCLB) INITIATIVE (19/06/2019)
A40-WP/49 Corrigendum No. 1 EX/19	REPORT ON THE ICAO NO COUNTRY LEFT BEHIND (NCLB) INITIATIVE (03/07/2019)
A40-WP/50 EX/20	REPORT ON RESOURCE MOBILIZATION AND VOLUNTARY FUNDS (20/06/2019)
A40-WP/54 EX/21	ICAO GLOBAL ENVIRONMENTAL TRENDS – PRESENT AND FUTURE AIRCRAFT NOISE AND EMISSIONS (05/07/2019)
A40-WP/55 EX/22	INTERNATIONAL AVIATION AND CLIMATE CHANGE (05/07/2019)

A40-WP/56 EX/23	UPDATE ON THE CARBON OFFSETTING AND REDUCTION SCHEME FOR INTERNATIONAL AVIATION (CORSIA) (18/07/2019)
A40-WP/57 EX/24	CONSOLIDATED STATEMENT OF CONTINUING ICAO POLICIES AND PRACTICES RELATED TO ENVIRONMENTAL PROTECTION – GENERAL PROVISIONS, NOISE AND LOCAL AIR QUALITY (17/07/2019)
A40-WP/58 EX/25	CONSOLIDATED STATEMENT OF CONTINUING ICAO POLICIES AND PRACTICES RELATED TO ENVIRONMENTAL PROTECTION – CLIMATE CHANGE (18/07/2019)
A40-WP/59 EX/26	CONSOLIDATED STATEMENT OF CONTINUING ICAO POLICIES AND PRACTICES RELATED TO ENVIRONMENTAL PROTECTION – CARBON OFFSETTING AND REDUCTION SCHEME FOR INTERNATIONAL AVIATION (CORSIA) (18/07/2019)
A40-WP/60 EX/27	DEVELOPMENTS PERTAINING TO ANNEX 9 — FACILITATION (28/06/2019)
A40-WP/61 EX/28	CONSOLIDATED STATEMENT OF CONTINUING ICAO POLICIES RELATED TO FACILITATION (08/07/2019)
A40-WP/62 EX/29	MULTILINGUALISM AT ICAO (04/07/2019)
A40-WP/63 EX/30	PROGRESS REPORT ON THE IMPLEMENTATION OF THE COMPREHENSIVE REGIONAL IMPLEMENTATION PLAN FOR AVIATION SECURITY AND FACILITATION IN AFRICA (AFI SECFAL PLAN) (03/07/2019)
A40-WP/64 EX/31	ICAO CIVIL AVIATION TRAINING AND CAPACITY-BUILDING (21/06/2019)
A40-WP/66 EX/32	POLICY AND ACTIVITIES ON TECHNICAL COOPERATION DURING THE PERIOD 2016 – 2018 (08/07/2019)
A40-WP/67 EX/33	MANAGEMENT MODEL OF AERONAUTICAL TRAINING IN CENTRAL AMERICA (12/07/2019)
A40-WP/77 Revision No. 1 EX/34	RECOGNITION TO THE REGIONAL OFFICE FOR NORTH AMERICA, CENTRAL AMERICA AND THE CARIBBEAN (NACC) (31/07/2019) *Information Paper

A40-WP/79 EX/35	CENTRAL AMERICAN CONTRIBUTIONS IN THE IMPLEMENTATION OF THE CARBON OFFSETTING AND REDUCTION SCHEME FOR INTERNATIONAL AVIATION (CORSIA) (12/07/2019)
A40-WP/79 Revision No. 1 EX/35	CENTRAL AMERICAN CONTRIBUTIONS IN THE IMPLEMENTATION OF THE CARBON OFFSETTING AND REDUCTION SCHEME FOR INTERNATIONAL AVIATION (CORSIA) (29/07/2019)
A40-WP/80 EX/36	UPDATING OF THE CENTRAL AMERICAN ACTION PLAN FOR EMISSIONS REDUCTION FROM INTERNATIONAL AVIATION - CAAPER 2.0 (22/07/2019)
A40-WP/80 Revision No. 1 EX/36	UPDATING OF THE CENTRAL AMERICAN ACTION PLAN FOR EMISSIONS REDUCTION FROM INTERNATIONAL AVIATION - CAAPER 2.0 (29/07/2019)
A40-WP/81 EX/37	GREEN PAPER OF THE CENTRAL AMERICAN CORPORATION FOR AIR NAVIGATION SERVICES (COCESNA) (12/07/2019) *Information Paper
A40-WP/88 EX/38	COORDINATING THE EXCHANGE OF EXPERIENCE ON THE IMPLEMENTATION OF STANDARDS AND RECOMMENDED PRACTICES (18/07/2019)
A40-WP/90 EX/39	GLOBAL COOPERATION MECHANISM IN CIVIL AVIATION ON THE PREVENTION AND OVERCOMING OF THREATS TO THE POPULATION HEALTH (CAPSCA) (26/07/2019) *Information Paper
A40-WP/102 EX/40	PERSPECTIVES ON SUSTAINABLE AVIATION (24/07/2019)
A40-WP/103 EX/41	DEVELOPMENT OF SUPERSONIC AEROPLANES SUBJECT TO PUBLIC ACCEPTABILITY BASED ON SUBSONIC STANDARDS (24/07/2019)
A40-WP/104 EX/42	MANAGEMENT OF ENVIRONMENTAL IMPACTS AROUND AIRPORTS (24/07/2019)
A40-WP/106 EX/43	SUPPORT TO ICAO NO COUNTRY LEFT BEHIND INITIATIVE (LIST OF PROJECTS) (25/07/2019) *Information Paper
A40-WP/107 EX/44	SUPPORT TO ICAO NO COUNTRY LEFT BEHIND INITIATIVE (25/07/2019)
A40-WP/107 Revision No. 1 EX/44	SUPPORT TO ICAO NO COUNTRY LEFT BEHIND INITIATIVE (04/09/2019)

A40-WP/109 EX/45	MAIN RESULTS OF THE ICAO-IAC REGIONAL PROJECT IN THE LAST 20 YEARS (25/07/2019) *Information Paper
A40-WP/112 EX/46	EUROPEAN UNION AVIATION SECURITY OVERSIGHT (26/07/2019) *Information Paper
A40-WP/113 EX/47	ENABLING A NEW DEAL BETWEEN ICAO AND THE AERONAUTICS INDUSTRY (26/07/2019)
A40-WP/114 EX/48	RELEVANT, ROBUST AND UP-TO-DATE USOAP-CMA (02/08/2019)
A40-WP/115 EX/49	DESIGNING A NEW STRATEGY FOR NEXT GENERATION OF AVIATION PROFESSIONALS (NGAP) (26/07/2019)
A40-WP/126 EX/50	COMMERCIAL SPACE OPERATIONS INTEGRATION (01/08/2019)
A40-WP/127 EX/51	ASSISTANCE TO AIRCRAFT ACCIDENT VICTIMS AND THEIR FAMILIES (17/07/2019)
A40-WP/129 EX/52	STRENGTHENING TECHNICAL ASSISTANCE INITIATIVES (02/08/2019)
A40-WP/129 EX/52	STRENGTHENING TECHNICAL ASSISTANCE INITIATIVES (02/08/2019)
A40-WP/130 EX/53	STANDARDISATION OF SEARCH AND RESCUE TRAINING (30/07/2019)
A40-WP/131 EX/54	VR/AR TECHNOLOGY APPLIED TO PERSONNEL TRAINING (30/07/2019)
A40-WP/132 EX/55	IATA VIEWS ON RESPONSE TO PANDEMICS AND PUBLIC HEALTH EVENTS (01/08/2019)
A40-WP/133 EX/56	IMPLEMENTATION OF PRIORITY RECOMMENDATIONS FROM THE GROUP OF EXPERTS FOR A USOAP CMA STRUCTURED REVIEW (02/08/2019)
A40-WP/134 EX/57	THE ROLE OF AVIATION IN PREVENTING TRAFFICKING IN PERSONS AND THE NEED FOR MULTISTAKEHOLDER COLLABORATION IN REPORTING SUSPECTED CASES (09/08/2019)
A40-WP/135 EX/58	CONSISTENCY ACROSS ICAO STRATEGIC OBJECTIVES (31/07/2019)

A40-WP/136 EX/59	AMENDMENT TO ICAO POLICY ON REGIONAL COOPERATION (31/07/2019)
A40-WP/139 EX/60	IATA VIEWS ON CORSIA MRV AND EMISSIONS UNITS (31/07/2019)
A40-WP/140 EX/61	PROPOSAL TO ESTABLISH AVIATION ENVIRONMENTAL PROTECTION, PLANNING AND IMPLEMENTATION REGIONAL GROUPS (31/07/2019)
A40-WP/141 EX/62	AIRPORT SECURITY SCREENING DIFFERENTIATION (31/07/2019)
A40-WP/148 EX/63	COLLABORATIVE ARRANGEMENTS BETWEEN STATES IN MITIGATING SECURITY RISKS TO CIVIL AVIATION (31/07/2019)
A40-WP/159 EX/64	REASSERTION OF THE ARAB CIVIL AVIATION ORGANIZATION ACKNOWLEDGEMENT THAT THE "CORSIA" PLAN AS THE ONLY GLOBAL MARKET-BASED MEASURE APPLIED TO CO2 EMISSIONS FROM INTERNATIONAL AVIATION (01/08/2019) *Information Paper
A40-WP/163 EX/65	TRAINING AND CAPACITY BUILDING CHALLENGES IN CIVIL AVIATION (01/08/2019)
A40-WP/164 EX/66	HARMONIZATION OF TRAINING IN AFRICA: THE AVIATION TRAINING ROADMAP (01/08/2019)
A40-WP/165 Revision No. 1 EX/67	CHALLENGES FACING THE AVIATION SECURITY QUALITY CONTROL AND RECTIFICATION OF IDENTIFIED DEFICIENCIES (27/08/2019)
A40-WP/167 EX/68	PROMOTION OF THE CRITICAL SAFETY ROLE OF CABIN CREW MEMBERS THROUGH RECOGNITION OF AN INTERNATIONAL CABIN CREW DAY (06/08/2019)
A40-WP/171 EX/69	STATES WORK AND WORK RESULTS IN THE AREA OF AVIATION SECURITY (AVSEC) AND FACILITATION (FAL) IN COOPERATION WITH THE ICAO EUR/NAT OFFICE AND THE NEED FOR ENLARGED AND APPROPRIATE STAFFING OF THE EUR/NAT OFFICE (01/08/2019)
A40-WP/172 EX/70	CYBER-RESILIENCE (01/08/2019)
A40-WP/175 EX/71	ICAO'S ENVIRONMENTAL STANDARDS AND POLICIES (02/08/2019)
A40-WP/176 EX/72	ASSISTANCE FOR DEVELOPMENT AND IMPLEMENTATION OF STATE ACTION PLANS FOR CO2 EMISSIONS MITIGATIONS FOR INTERNATIONAL AVIATION AND FUTURE APPROACH (01/08/2019)

A40-WP/177 EX/73	AFRICAN STATES CONTRIBUTION IN THE IMPLEMENTATION OF CARBON OFFSETTING AND REDUCTION SCHEME FOR INTERNATIONAL AVIATION (CORSIA) & ASSISTANCE REQUESTED (01/08/2019)
A40-WP/178 EX/74	INTEGRATED RISK MANAGEMENT (IRM) APPROACH – SECURITY CULTURE (01/08/2019)
A40-WP/187 Revision No. 1 EX/75	THE NEED FOR THE ENHANCEMENT OF THE UNIVERSAL SECURITY AUDIT PROGRAMME - CONTINUOUS MONITORING APPROACH (USAP-CMA) (05/09/2019)
A40-WP/189 EX/76	AVIATION’S CONTRIBUTION TOWARDS THE UNITED NATIONS 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT (02/08/2019)
A40-WP/189 Corrigendum No. 1 EX/76	AVIATION’S CONTRIBUTION TOWARDS THE UNITED NATIONS 2030 AGENDA FOR SUSTAINABLE DEVELOPMENT (16/09/2019)
A40-WP/193 EX/77	INDUSTRY VIEWS ON CORSIA (02/08/2019)
A40-WP/194 EX/78	INDUSTRY VIEWS ON THE BASKET OF MEASURES AND A LONG-TERM GOAL (02/08/2019)
A40-WP/199 EX/79	PREVENTION OF ILLEGAL WILDLIFE TRAFFICKING VIA COMMERCIAL AVIATION (02/08/2019) *Information Paper
A40-WP/206 EX/80	BUILDING AVIATION COMPETENCIES FOR THE FUTURE (02/08/2019)
A40-WP/210 EX/81	FOCUS ON THE PACIFIC (02/08/2019)
A40-WP/219 EX/82	PROPOSAL REGARDING ICAO GOVERNANCE STRUCTURE FOR CYBERSECURITY (05/08/2019)
A40-WP/220 EX/83	REGIONAL COOPERATION (05/08/2019)
A40-WP/221 EX/84	CYBER-SECURITY (05/08/2019)
A40-WP/225 EX/85	ACI’S VIEWS ON THE REINTRODUCTION OF SUPERSONICS AIRCRAFT AND THE DEVELOPMENT OF APPROPRIATE SARPS (02/08/2019)
A40-WP/226 EX/86	AIRCRAFT NOISE – REMOTELY PILOTED AIRCRAFT (RPA) (02/08/2019)

A40-WP/227 EX/87	CANADA'S VIEWS ON CORSIA IMPLEMENTATION AND CAPACITY BUILDING (02/08/2019)
A40-WP/228 EX/88	CORSIA – IMPLEMENTATION CHALLENGES (02/08/2019)
A40-WP/228 Revision No. 1 EX/88	CORSIA – IMPLEMENTATION CHALLENGES & NEED FOR REVIEW OF THE BASELINE EMISSION CRITERIA (06/09/2019)
A40-WP/229 EX/89	ENSURING THE SUCCESS OF CORSIA IMPLEMENTATION (02/08/2019)
A40-WP/233 EX/90	SHARING OF INFORMATION AND LESSONS LEARNT AMONGST ARCHIPELAGIC STATES (08/08/2019) *Information Paper
A40-WP/237 EX/91	AVIATION CAPACITY-BUILDING STRATEGIES (01/08/2019)
A40-WP/237 Revision No. 1 EX/91	AVIATION CAPACITY-BUILDING STRATEGIES (11/09/2019)
A40-WP/238 EX/92	INTEGRATION OF TRAINING PROCESSES — A NEW STRATEGY FOR MAKING TRAINING MORE EFFECTIVE (01/08/2019)
A40-WP/239 EX/93	ADDRESSING THE SHORTAGE OF PILOTS AND AVIATION PROFESSIONALS - A GLOBAL APPROACH TO A GLOBAL PROBLEM (05/08/2019)
A40-WP/240 EX/109	IMPLEMENTING CHANGE MANAGEMENT IN THE DEVELOPMENT OF PROJECTS FOR AIR NAVIGATION SERVICES (01/08/2019)
A40-WP/243 EX/95	CYBERSECURITY (05/08/2019)
A40-WP/245 EX/97	EXPLORING NEW METHODS OF WORK FOR ICAO (06/08/2019)
A40-WP/248 EX/98	ENHANCING GLOBAL AVIATION SECURITY THROUGH EVIDENCE-BASED RISK-INFORMED DECISION-MAKING (06/08/2019)
A40-WP/250 EX/99	FOSTERING SECURITY INNOVATION THROUGH EFFECTIVE REGULATORY POLICY (02/08/2019)
A40-WP/251 EX/100	IMPLEMENTATION OF ONE-STOP SECURITY RECOGNITION OF EQUIVALENCE OF SECURITY MEASURES (05/08/2019)
A40-WP/253 EX/101	PRACTICAL CAMPAIGNS TO TRANSFORM SECURITY CULTURE (05/08/2019)

A40-WP/254 EX/102	COLLABORATION BETWEEN SECURITY AGENCIES (05/08/2019)
A40-WP/259 EX/103	FOLLOW-UP AND CONTROL OF AVIATION OCCURRENCES RELATED TO ATS AND AERIAL WORKS (AGRICULTURAL AVIATION) PRESENTED TO ECCAIRS, CONTRIBUTING TO USOAP SAFETY OVERSIGHT AUDITS (02/08/2019)
A40-WP/260 EX/104	MANAGEMENT OF NOISE (02/08/2019)
A40-WP/261 EX/105	VIEWS OF THE UNITED STATES ON CIVIL SUPERSONIC FLIGHT (02/08/2019)
A40-WP/265 EX/106	PROGRESS ON AVIATION ENVIRONMENTAL PROTECTION IN THE COOPERATIVE REPUBLIC OF GUYANA (02/08/2019)
A40-WP/266 EX/107	RECENT DEVELOPMENTS IN THE COLLECTION, MONITORING AND REPORTING OF CO2 EMISSIONS FROM INTERNATIONAL AVIATION (02/08/2019)
A40-WP/267 EX/108	CORSIA IMPLEMENTATION (02/08/2019)
A40-WP/268 EX/111	ARTIFICIAL INTELLIGENCE AND DIGITALIZATION IN AVIATION (01/08/2019)
A40-WP/269 EX/110	INTERNATIONAL AVIATION AND CLIMATE CHANGE (02/08/2019)
A40-WP/270 TE/110	CURRENT STATUS AND FURTHER DEVELOPMENT OF THE GLONASS ORBITAL CONSTELLATION (02/08/2019) *Information Paper
A40-WP/273 EX/111	BUSINESS AVIATION ACTIVITIES ON THE USE OF SUSTAINABLE AVIATION FUEL (06/08/2019)
A40-WP/274 EX/112	IMPORTANCIA PARA LOS ESTADOS INTEGRAR DESDE LA PLANIFICACIÓN ESTRATÉGICA LA PROTECCIÓN AL MEDIO AMBIENTE (02/08/2019) *Information Paper
A40-WP/277 EX/113	SETTING A LONG-TERM CLIMATE CHANGE GOAL FOR INTERNATIONAL AVIATION (06/08/2019) *Information Paper
A40-WP/283 EX/114	STRATEGIC APPROACH TO AVIATION CYBERSECURITY (05/08/2019)
A40-WP/284 EX/115	ADVANCEMENT OF ACCESSIBILITY IN AVIATION (06/08/2019)

A40-WP/285 EX/116	GASEP – THE BENEFITS OF A GLOBAL AGENDA AND THE NEED FOR CONTINUOUS MONITORING OF ITS ACHIEVEMENTS (07/08/2019)
A40-WP/286 EX/117	CONTINUED IMPLEMENTATION OF UNITED NATIONS SECURITY COUNCIL RESOLUTION 2309 (2016) (05/08/2019)
A40-WP/288 EX/118	SUPPORT TO THE CONTINUATION OF THE COMPREHENSIVE REGIONAL IMPLEMENTATION PLAN FOR AVIATION SECURITY AND FACILITATION IN AFRICA (AFI SECFAL PLAN) (02/08/2019)
A40-WP/288 Revision No.1 EX/118	SUPPORT TO THE CONTINUATION OF THE COMPREHENSIVE REGIONAL IMPLEMENTATION PLAN FOR AVIATION SECURITY AND FACILITATION IN AFRICA (AFI SECFAL PLAN) (28/08/2019)
A40-WP/289 EX/119	THE PERSPECTIVE OF THE COUNTRIES OF LACAC ABOUT ICAO MEASURES RELATED TO AVIATION AND CLIMATE CHANGE (02/08/2019)
A40-WP/290 EX/120	CORSIA: NECESSARY FUTURE WORK (02/08/2019)
A40-WP/291 EX/121	THE NEED FOR A SMOOTH TRANSITION FROM CORSIA MBM TO SAF: PROPOSAL OF A WAY FORWARD (02/08/2019)
A40-WP/292 EX/122	URBAN AIR MOBILITY (27/07/2019)
A40-WP/297 EX/123	ASSISTANCE TO AIR ACCIDENT VICTIMS AND THEIR FAMILIES (05/08/2019)
A40-WP/301 EX/124	ONE ID AND STANDARDIZATION OF IDENTITY MANAGEMENT SOLUTIONS (07/08/2019)
A40-WP/305 EX/125	THE CRITICAL NEED TO COMBAT HUMAN TRAFFICKING IN AVIATION (09/08/2019)
A40-WP/305 Revision No. 1 EX/125	THE CRITICAL NEED TO COMBAT HUMAN TRAFFICKING IN AVIATION (20/09/2019)
A40-WP/306 EX/126	PERSPECTIVES ON THE FAIR AND EQUITABLE CORSIA IMPLEMENTATION PATHWAY (02/08/2019)
A40-WP/310 EX/127	PACIFIC AVIATION NEEDS ANALYSIS STUDY (09/08/2019)

A40-WP/315 EX/128	FOSTERING THE IMPLEMENTATION OF THE GLOBAL AVIATION SECURITY PLAN (02/08/2019)
A40-WP/317 EX/129	AUTOMATED FORMATION FLIGHT (09/08/2019)
A40-WP/318 EX/130	GET AIRPORT READY FOR DISASTER (08/08/2019)
A40-WP/319 EX/131	SUPPORT TO THE CONTINUATION OF THE COMPREHENSIVE REGIONAL IMPLEMENTATION PLAN FOR AVIATION SAFETY IN AFRICA (AFI PLAN) (09/08/2019)
A40-WP/320 EX/132	ONE AVIATION IN FACING TECHNOLOGICAL ADVANCEMENT (09/08/2019)
A40-WP/322 EX/133	ACCESS TO AIR TRANSPORT BY PERSONS WITH DISABILITIES — PROMOTING THE IMPLEMENTATION OF DOC 9984 (09/08/2019)
A40-WP/323 EX/134	ASSISTANCE AND CAPACITY BUILDING TO REDUCE CO2 EMISSIONS FROM INTERNATIONAL AVIATION (02/08/2019)
A40-WP/324 EX/135	ENHANCEMENT OF PROTOCOL QUESTIONS UNDER THE USOAP PROGRAMME (28/07/2019)
A40-WP/326 EX/136	USOAP-CMA READINESS PROGRAM (02/08/2019)
A40-WP/327 EX/137	NEW OPERATIONAL CONCEPTS INVOLVING AUTONOMOUS SYSTEMS (19/08/2019)
A40-WP/328 EX/138	PROMOTING AWARENESS ON AVIATION SECURITY TO OTHER AGENCIES AND ORGANIZATIONS (12/08/2019)
A40-WP/328 Corrigendum No. 1 EX/138	PROMOTING AWARENESS ON AVIATION SECURITY TO OTHER AGENCIES AND ORGANIZATIONS (06/09/2019)
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