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ASSEMBLY — 40TH SESSION

REPORT OF THE EXECUTIVE COMMITTEE ON AGENDA ITEM 15

(Presented by the Chairman of the Executive Committee)

The attached report on Agenda Item 15 has been approved by the Executive Committee. Resolution 15/1 is recommended for adoption by the Plenary.

Note.— After removal of this covering sheet, this paper should be inserted in the appropriate place in the report folder.

(23 pages)

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-xx: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change* and A40-xx: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSIA)*, 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-xx: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Climate change*, and A40-xx: *Consolidated statement of continuing ICAO policies and practices related to environmental protection – Carbon Offsetting and Reduction Scheme for International Aviation (CORSA)*, 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;

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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.

— END —