



## **ASSEMBLY — THIRTY-EIGHTH SESSION**

### **SUPPLEMENTARY REPORT ON ACTIVITIES OF THE ORGANIZATION IN THE FIRST HALF OF 2013 AND REVIEW OF ACTION TAKEN ON RESOLUTIONS OF THE 37th SESSION OF THE ASSEMBLY**

#### **STRATEGIC OBJECTIVE A: SAFETY**

##### **Air Navigation**

###### *Updating the Global Air Navigation Plan*

The development of the Fourth Edition of the Global Air Navigation Plan (GANP) was completed. The GANP contains, for the first time, the concept of aviation system block upgrades as part of the planning process. The Council adopted the fourth edition of the GANP in June.

###### *Aviation frequency spectrum*

Aeronautical CNS functions are critical to the safety and efficiency of aircraft in flight and require interference-free access to a sizable portion of the available radio frequency spectrum. International provisions for frequency spectrum management are updated during World Radiocommunication Conferences (WRCs) held by the International Telecommunication Union (ITU) every four years. The ICAO Position on the aviation-relevant agenda items to be addressed at WRC-15 was approved by Council on 27 May 2013.

###### *PIRG-RASG Global Coordination Meeting*

A Global Coordination Meeting of Planning and Implementation Regional Groups (PIRGs) and Regional Aviation Safety Groups (RASGs) was held in Montréal on 19 March 2013 under the Chairmanship of the President of the Council. It was attended by Chairs and Secretaries of PIRGs and RASGs, the Secretary General, the Director and Deputy Directors of the Air Navigation Bureau, as well as the President and First Vice-President of the Air Navigation Commission. The main outcomes of the meeting include the establishment of regional priorities



and recognition of the need for air navigation and safety targets consistent with the GANP and the Global Aviation Safety Plan (GASP). In addition, the regional performance dashboard prototype was endorsed.

## **Safety Management**

### *Development of Annex 19*

A proposal for a new Annex on Safety Management, Annex 19, was delivered by the Safety Management Panel as an outcome of its special meeting in February. On 25 February 2013, the ICAO Council adopted Annex 19 to the Chicago Convention dedicated to Safety Management. The creation of Annex 19 results from a recommendation of the High-level Safety Conference held in Montréal during 2010. This new Annex consolidates existing provisions related to State safety programmes and safety management systems into a single Annex. The development of this new Annex was accomplished over the past three years through close collaboration between ICAO, its Member States and international organizations.

The establishment of Annex 19 supports the continued evolution of a proactive strategy to improve safety. The foundation of this proactive safety strategy is based on the implementation of a State Safety Programme (SSP) that systematically addresses safety risks. Factors that affect the time required to establish an SSP include the complexity of the air transportation system as well as the maturity of the aviation safety oversight capabilities of the State.

The publication of Annex 19 will be accompanied by a roll-out plan, including the publication of the third edition of the *Safety Management Manual (SMM)* (Doc 9859). This latest edition is restructured and updated to support Annex 19, with one of the four chapters dedicated to guidance on State Safety Programmes. The Safety Management website (<http://www.icao.int/Safety/SafetyManagement>) has been updated and an update to the safety management training material is also in progress.

Annex 19 will become applicable on 14 November 2013.

### *Updating the Global Aviation Safety Plan (GASP)*

The update of the Global Aviation Safety Plan (GASP) was completed and approved by the Council in July 2013. The changes that the GASP has undergone were driven mainly by its strengthened role as a high-level policy, planning and implementation document guiding complementary and sector-wide air transport progress in conjunction with the ICAO Global Air Navigation Plan (GANP). The GASP incorporates the progress in the implementation of proactive safety management practices in both States and industry and is aligned with ICAO's strategic planning process.

### *Safety Information Protection*

The collection, analysis and exchange of safety information are essential components to attain the GASP objectives. The success of these information sharing mechanisms depends, in part, on the existence of effective legal safeguards that afford appropriate protection to the data and related sources without impeding necessary and appropriate use, thereby encouraging meaningful reporting and analysis processes that proactively address safety issues.

The Safety Information Protection Task Force (SIP TF) has made recommendations which will inform the related work of the Safety Management Panel and other groups of experts.

### **Safety Oversight**

Further to Resolution A37-5, the evolution of the Universal Safety Oversight Audit Programme (USOAP) to a Continuous Monitoring Approach (CMA) continued in line with the two-year transition plan approved by the Assembly. All activities required for a full launch of CMA in January 2013 were completed.

During the reporting period, 89 participants from 12 States and 5 international organizations received the USOAP auditor/ICVM training, and 92 participants from 14 States and 5 international organizations received the familiarization training.

In addition, ICAO conducted 7 seminar/workshops in all ICAO regions to assist States in their preparation for CMA. The seminar/workshops were attended by 349 participants from 110 States and 7 international organizations.

ICVMs were conducted in 16 Member States to determine whether previously identified safety deficiencies had been satisfactorily resolved. In addition, three comprehensive system audits were conducted during this period.

### **Aerodrome Safety**

#### *Runway Safety*

Under the Global Runway Safety Symposium 2011 framework, and with support from ICAO's runway safety programme partners, two regional runway safety seminars were delivered in the first half of 2013 — in Agadir, Morocco and St. John's, Antigua and Barbuda.

#### *First ICAO-ACI Aerodrome Certification Course Delivered*

In line with the Memorandum of Cooperation between ICAO and ACI and the Memorandum of Understanding between ICAO and ACI for Airport Management

Training, ICAO and ACI have collaboratively developed a training course on aerodrome certification aimed at enhancing aerodrome safety and efficiency globally. The first course was successfully delivered from 13 to 17 May 2013 at the ICAO Headquarters in Montréal. This course will also be one of the electives for the joint ACI-ICAO Airport Management Professional Accreditation Programme (AMPAP).

### **Accident Investigation**

#### *Approval of ICAO Policy on Assistance to Aircraft Accident Victims and their Families*

Acknowledging that further action was necessary to promote assistance to aircraft accident victims and their families, the Council approved in March 2013 an ICAO policy document on this subject. The ICAO *Policy on Assistance to Aircraft Accident Victims and their Families* (Doc 9998) sets out policies regarding the provision of assistance to accident victims and their families, encouraging States to incorporate these policies when planning, developing and implementing their relevant legislation, regulations and/or policies. Doc 9998 addresses States' legislation, regulations and/or policies, structure of family assistance plans, and also identifies the main groups of family assistance providers.

#### *E-Library of final accident and investigation reports*

Work on the E-Library of final accident and investigation reports was concluded in the first half of 2013. The E-Library will be located on the AIG website, accessible through the ICAO public website. In this way, safety lessons learned during investigations and information captured in Final Reports received by ICAO will be available to a wide audience, including air operators, airport operators, air traffic service providers, accident/incident investigators and other interested parties.

### **Dangerous goods — State oversight responsibilities**

Annex 18 — *The Safe Transport of Dangerous Goods by Air* was amended to clarify that all entities performing dangerous goods functions, including shippers, packers and freight forwarders, are subject to State oversight. The need for this amendment was prompted by safety oversight audits which revealed that many States were unaware of their oversight responsibilities beyond those of the operator. Shippers play a critical role in ensuring dangerous goods are transported safely as it is they who are responsible for correctly classifying, packing and consigning such cargo. The need for effective oversight programmes of everyone in the dangerous goods supply chain is therefore essential.

## Training

### *TRAINAIR PLUS Programme*

The TRAINAIR PLUS Programme currently includes 55 members; 16 Full Members that have developed Standardized Training Packages (STPs) and 39 Associate Members. The programme requires applicants to comply with assessment criteria and to successfully complete an on-site assessment addressing essential elements for the establishment and management of training organizations. Seven assessments of new applicants were conducted during the first quarter of 2013.

ICAO developed an electronic management system, the TRAINAIR PLUS Electronic Management System (TPeMS), to support members with procedures, processes and interactions. Also through the TPeMS, the STP virtual library is managed. The library contains 22 STPs.

ICAO, in coordination with the TRAINAIR PLUS network, organized eight Training Developers Courses in the first quarter of 2013.

### *Next Generation of Aviation Professionals (NGAP)*

With the help of the Next Generation of Aviation Professionals Task Force (TF), ICAO has developed a clear vision and mission for the NGAP Programme based on tangible and achievable results with specific deliverables and timelines. The programme objectives focus on: collaborative partnerships; human resources planning; attracting and retaining the next generation of aviation professionals; research; and harmonized implementation. ICAO organized three Regional NGAP-TRAINAIR PLUS symposiums in the first semester 2013 with more than 800 participants from various regions.

## **Language Proficiency Requirements and the Aviation English Language Test Service (AELTS)**

ICAO hosted the Language Proficiency Requirements (LPRs) Technical Seminar in Montréal, from 25 to 27 March 2013 to support States in complying with ICAO language provisions. The event was attended by 142 participants from 37 Member States, 7 international organizations and 37 industry participants.

## **Technical cooperation projects and activities**

During the 1 January to 30 June 2013 period, there were 70 national and 23 regional active technical cooperation projects contributing to further improving aviation safety around the world. Major achievements over the period included:

*Caribbean and South American (CAR/SAM) Region*

- Extension of the MEVA II service contract for the provision of satellite-based operational aeronautical telecommunications services as required by the ICAO Member States and international organizations of the Central Caribbean region and adjacent areas;
- Assistance with reviewing and resolving air traffic management (ATM)-related deficiencies for one State;
- Signature of a contract for the procurement of primary and secondary radars for one State;
- Provision of simulator pilot training to DGCA personnel of one State;
- Assistance in the revision of the Civil Aviation Regulations of one State;
- Assistance in the certification of Airline Transport Pilot Licenses (ATPL) training programmes for one State;
- Assistance in the preparation of a compliance report related to inspections of foreign aircraft;
- Update of the Aircraft Accident Investigation Manual for one State;
- Assistance to one State in the implementation of ICAO Standards and Recommended Practices in the areas of airworthiness, personnel licensing and flight operations;
- Assistance in the development and delivery of basic aeronautical personnel licensing training courses for one State;
- Development and revision of personnel licensing, airworthiness and flight operations manuals for one State;
- Assistance in the maintenance of airworthiness equipment for one State;
- Assistance in the preparation of documentation for national inspectors of one State to attend the FAA IASA Programme Audit Team;
- Training in the area of flight operations for national personnel of one State;
- Conduct of safety oversight inspections under the continuous monitoring approach for one State;
- Continued assistance to seven States with the provision of expertise in the areas of communication, navigation and surveillance (CNS), air traffic management (ATM), flight operations, human factors, accident investigation, institutional strengthening and airport planning;

- Procurement of state-of-the-art equipment to update CNS facilities and systems in one State;
- Implementation of automated flight plan procedures in one State;
- Assistance in the continued implementation of the Caribbean and South American (CAR/SAM) Regional Air Navigation Plan and Facilities and Services Implementation Document (FASID) in one State;
- Acquisition, installation and maintenance of equipment for one State, such as voice switching, very high frequency (VHF) communications systems, including automatic terminal information services (ATIS) for approach and aerodrome control, VHF communication equipment for area control, aeronautical telecommunications network (ATN), radio links, audio recording system associated with the ATC voice control system (VCS), instrument landing systems (ILS), VHF omnidirectional radio range (VOR), air traffic management (ATM) system, aerodrome flight information service (AFIS), geographic information system (GIS) and distance measuring equipment (DME); and
- Repair of a runway sweeper for one State.

*Africa-Indian Ocean (AFI) Region*

- Increased availability of air traffic services in one State;
- Assistance in the implementation of corrective action plan items in three States;
- Delivery of training to aerodrome operators in one State and to aerodrome inspectors in two States;
- Development of technical guidance material on aerodromes for one State;
- Completion of a new Civil Aviation Bill for one State;
- Continued assistance in the operations of the Banjul Accord Group Aviation Safety Oversight Organization (BAGASOO);
- Continued assistance in the establishment of the SADC Aviation Safety Organization (SASO);
- Development of Aeromet regulations, guidance and training materials for four States;
- Analysis of documentation supporting the certification of an aircraft certification and related discussions with the manufacturer for one State;

- Conduct of a gap analysis on the aircraft accident investigation systems of three States; and
- Assistance to one State for the readout of the flight recorders and examination of the engine following an occurrence involving an aircraft.

*Asia and Pacific (APAC) Region*

- Continued assistance to 24 States and Special Administrative Regions (SARs) in the fields of safety oversight through three regional Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAP) towards resolution of significant safety concerns, USOAP-identified deficiencies and other safety-related findings, as well as in the transition to the USOAP continuous monitoring approach (CMA), including inspector training and other safety-related seminars; participation in the Asia-Pacific Regional Aviation Safety Team (APRAST) including facilitation of the three ad hoc working groups on controlled flight into terrain (CFIT), loss of control (LOC) and runway safety (RS); and participation in the Regional Aviation Safety Group (RASG);
- Continued assistance to 23 States and SARs with improvement of flight procedures through preparation of documents and training courses including the conduct of one PAN-OPS Procedure Design Initial Course, one Procedure Design Instructor Course and the implementation of the ICAO Council Decision, endorsed by the Flight Procedure Programme (FPP) Steering Committee, to integrate the FPP into the newly established Regional Sub-Office in Beijing, China;
- Continued assistance to 20 States and SARs through the Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation – Asia Pacific (CAPSCA-AP) through seminars and on-the-job training in pandemic preparedness planning and airport evaluations including a two-day CAPSCA Assistance Visit (AV) in a State which was attended by 40 participants;
- Enhancement of the safety oversight capability of one Civil Aviation Authority in the areas of aerodromes, flight safety and air navigation services, including, inter alia, proposed revisions to Civil Aviation Safety Regulations, Staff Instructions and Advisory Circulars, and provision of advice on initial certification of the new single air navigation service provider (ANSP);
- Preparation of a modernization plan for a training institution which included, among others, the conduct of a training needs analysis, review of syllabi and of a plan for introduction of a quality management system (QMS);



- Conduct of a gap analysis against ICAO Annex 14 — *Aerodromes* for a new airport site in one State;
- Assistance to one State and its ANSP in the implementation and operational application of automatic dependent surveillance (ADS-B) technology;
- Assistance to an airport operator in the conduct of an internal safety audit programme in preparation for the renewal of its regulatory aerodrome certification;
- Delivery of a five-day air navigation services safety oversight course in one State, which was attended by 27 personnel from various disciplines within the Department of Civil Aviation; and
- Delivery of training courses in the areas of dangerous goods, aerodrome certification, safety management system, safety oversight managers, doppler VOR/distance measuring equipment (DVOR/DME) maintenance, instrument landing system (ILS) maintenance, air navigation policy, airport operations, electronic safety tools, and performance-based navigation (PBN) under the Developing Countries Training Programme to 236 national staff of 62 States.

*Europe and Middle East (EUR/MID) Region*

- Continued assistance to one State to enhance its capability in flight operations, airworthiness, aviation accident and incident investigation, communications, navigation and surveillance/air traffic management (CNS/ATM), airports, air transport economy, fire fighting and rescue (RFF) and human resources training;
- Continued assistance to one State in the areas of safety oversight (flight operations), aviation medicine and personnel licensing;
- Continued assistance to three States to enhance their oversight capability in flight operations;
- Support to one State regarding its corrective action plan and provision of capacity building to rectify Significant Safety Concerns (SSCs);
- Continued assistance through three regional projects to enhance the safety and efficiency of air transport in 27 participating States;
- Assistance to one State to carry out dangerous goods inspection/audit/surveillance functions; and
- Continued assistance to the national accident investigation team of one State.

## STRATEGIC OBJECTIVE B: SECURITY

### Aviation Security Panel

The Aviation Security Panel conducted its 24th meeting at ICAO Headquarters in Montréal in April. Among key developments, the Panel updated the global Risk Context Statement that was first developed in 2011, and agreed on proposed new Standards and Recommended Practices (SARPs) for Annex 17 — *Security*. These include provisions that will further strengthen cargo and mail security, oversight requirements and international cooperation, as well as measures for dealing with landside and cyber threats.

The Council approved the Panel's recommendations, including the draft Amendment 14 to Annex 17, and the proposed Amendment was circulated to States for comment by 2 October 2014. Amendment 14 is expected to become applicable in late 2014.

Revised guidance material on air cargo and mail security was made available to States in the form of an amendment to the *Aviation Security Manual* (Doc 8973/8), and is accessible (in English) at ICAO's secure website. The updated material is being translated into all ICAO languages.

### Annex 9 — Facilitation

Amendment 23 to Annex 9 — *Facilitation* became applicable in February 2013. The Amendment focuses on Appendix 13 to Annex 9 and is intended to enhance passenger data sharing and efficient responses to a pandemic or large-scale epidemic.

### Universal Security Audit Programme (USAP)

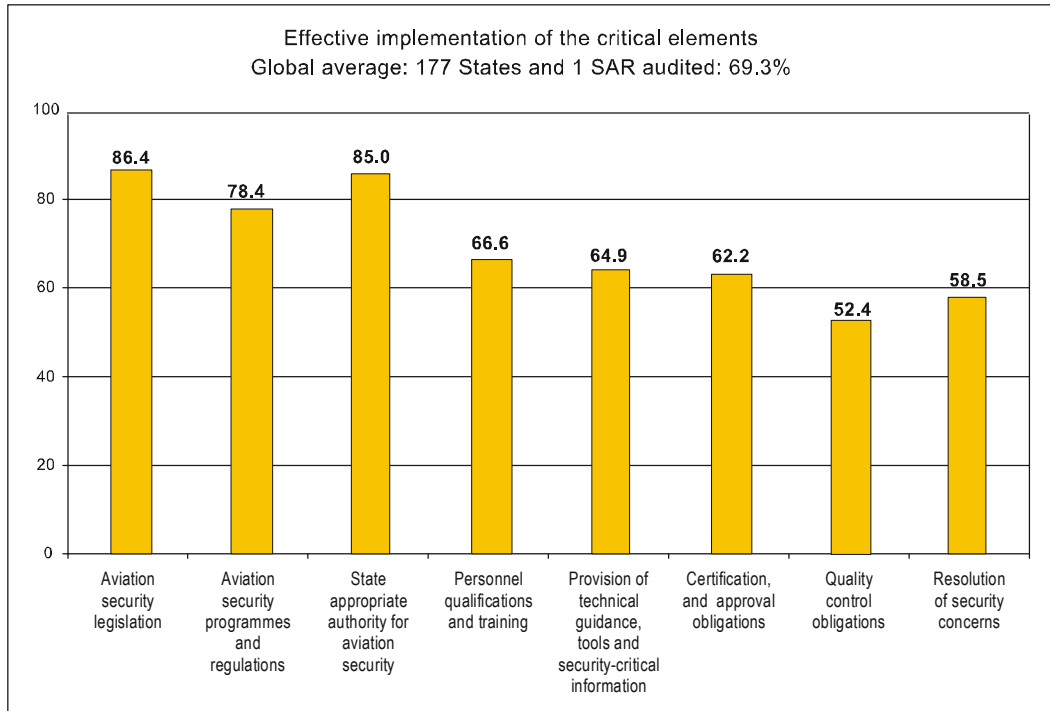
The second cycle of audits was launched in January 2008 and was completed at the end of June 2013. It focused on identifying aviation security concerns in ICAO Member States, making recommendations for their resolution and providing on-site assistance.

Fifteen ICAO USAP audits were carried out in 2013, bringing the total number of second-cycle audits conducted to 178, including 177 Member States and one Special Administrative Region of China (SAR). Figure 1 shows global audit results as they relate to the implementation of the critical elements of an aviation security oversight system.

In 2013, a USAP auditor participated in two joint missions with the Implementation Support and Development — Security (ISD-SEC) Section, one each to Chad and Djibouti. In addition, two ICAO Coordinated Validation Missions took place in 2013, validating actions taken by two States to resolve their Significant Security Concerns (SSeCs). Over the course of 2013, two new

SSECs involving one State were posted to the USAP secure website. As at 30 June there remained seven unresolved SSECs in four States.

In 2012, the 197th Session of the Council formally approved the evolution of the USAP to a Continuous Monitoring Approach (USAP-CMA) and the associated transition plan. The work necessary to transition to the USAP-CMA is currently underway and will continue through the end of 2014, with full-scale implementation beginning in early 2015.



**Figure 1. Global audit results — level of implementation of the critical elements of a security oversight system**

**International Assistance and Cooperation**

ICAO has endorsed two additional Aviation Security Training Centres (ASTCs) in order to address the continuing need for global and regional AVSEC training.

ICAO also supports the Singapore Aviation Security Leadership and Management Seminar (LAMs) with the Singapore Aviation Academy. This seminar provides Directors-General and CEOs from States with strategic knowledge and insights to meet security challenges and priorities in today's aviation environment.

In April 2013, ICAO and The International Air Cargo Association (TIACA) signed a Declaration of intent to strengthen their cooperation on technical matters. Under the terms of the agreement, ICAO and TIACA will work more closely on air cargo and mail security and facilitation, accelerating the evolution from paper-based to electronic practices.

### **ICAO Traveller Identification Programme (TRIP)**

The Council approved a new strategy, known as the ICAO Traveller Identification Programme (TRIP), in order to establish a strategic orientation and key outcomes for ICAO's and States' activities in traveller identification management. The TRIP Strategy emphasizes a holistic approach to identification management in order to maximize security and facilitation benefits.

In 2013 a workshop on travel document security and identity management was held in Colombia in April for the Andean States government officials from diverse agencies. Gap assessment missions also took place in Saint Lucia and Trinidad and Tobago.

The ICAO Public Key Directory, a service that enables secure verification of ePassports by border control authorities, had grown to 38 members by the end of June.

### **Technical cooperation projects and activities**

During the 1 January to 30 June 2013 period, there were ten national and one regional active technical cooperation projects which assisted civil aviation administrations and international airports to improve their security systems. Major achievements over the period included:

#### *Caribbean and South American (CAR/SAM) Region*

- Assistance with the installation, maintenance, support and training in the use of software related to SMART systems (information, passive and active equipment) for the international airport of one State;
- Continued software support for check-in and boarding systems in one State;
- Provision of training in crisis management to DGCA personnel of one State; and
- Assistance in the preparation of the National Aviation Security Training Programme for one State.

*Africa-Indian Ocean (AFI) Region*

- Conduct of airport security inspections in two States;
- Update and development of aviation security regulations for two States;
- Development of aviation security guidance material for two States; and
- Provision of aviation security training to DGCA personnel of one State.

*Asia and Pacific (APAC) Region*

- Continued assistance to 24 States and Special Administrative Regions (SARs) in the field of aviation security through the regional Co-operative Aviation Security Programme (CASP), including technical assistance to Member States and administrations with rectification of USAP-identified deficiencies and other aviation security-related findings, as well as provision of inspector and other security-related training, including the First CASP-AP Annual Technical and Operational Meeting, an Aviation Security Legal Seminar, an Air Traffic Services Provider Security Provisions Workshop and a Specialized Aviation Security Quality Control Workshop; and
- Delivery of two training courses, entitled AVSEC National Inspector and Legal Aspects of Aviation Security, respectively, under the Developing Countries Training Programme to 32 national personnel of 26 States.

*Europe and Middle East (EUR/MID) Region*

- Procurement of AVSEC equipment for one State.

**STRATEGIC OBJECTIVE C: ENVIRONMENTAL PROTECTION AND SUSTAINABLE DEVELOPMENT OF AIR TRANSPORT****CAEP/9**

The ninth meeting of the Committee on Aviation Environmental Protection (CAEP/9) was held from 4 to 15 February 2013. The meeting was attended by nearly 200 participants, including 23 Members, 16 observers, and their advisors.

Regarding the aircraft noise Standard, the meeting agreed to the increase in noise stringency of 7 EPNdB relative to the current Chapter 4 cumulative levels. This will have an applicability to new aircraft types submitted for certification on or after 31 December 2017, and 31 December 2020 for aircraft less than 55 tonnes. The CAEP/9 meeting also recommended a new noise Standard for tilt-rotor aircraft. The proposed new noise Standards are currently under review

by ICAO Member States and will be considered for adoption by the Council in 2014.

The Science Focal Points appointed to report on research on acceptability of sonic booms presented the latest research developments to the CAEP/9 meeting.

### **States' action plans on CO<sub>2</sub> emissions reduction activities and assistance to States**

By the end of June 2013, 61 Member States, representing 78.89 per cent of global international air traffic prepared and submitted action plans to ICAO.

ICAO organized another workshop on States' action plans in May 2013 on the development of an action plan, review of data and the implementation of measures selected by States in the action plan. The workshop was attended by 76 participants, including national action plan focal points. In addition, ICAO worked directly with individual States and national focal points to provide tailored, individual assistance to facilitate the preparation of action plans; since February 2012, this work has included over 200 conference calls with national focal points.

### **Sustainable alternative fuels for aviation (SUSTAF)**

The SUSTAF Experts Group focused its work on the identification of the major challenges for the deployment of sustainable alternative fuels for aviation and on the solutions to overcome them. In particular, the issue of the sustainability of such fuels was addressed, and the Group aimed to identify possible options States might use to address this issue. The outcome and recommendations of the Group were considered by the Council and were made available on the GFAAF website.

ICAO was invited to participate in the Alternative Fuels Pavilion organized in conjunction with Le Bourget at the June 2013 Paris Air Show. ICAO showcased the initiatives being undertaken by the Organization on sustainable alternative fuels for aviation. In addition, ICAO commemorated the first anniversary of the "Flightpath to a Sustainable Future" initiative, the Secretary General's landmark flight from Montréal to Rio de Janeiro, on which he travelled on four connecting flights all powered by aviation biofuels.

### **Market-based Measures (MBMs)**

The High-level Group on International Aviation and Climate Change (HGCC) met three times from December 2012 to March 2013 and considered various issues related to a global MBM scheme, including: participants in a scheme; means to accommodate special circumstances and respective capabilities; and generation of revenue from a scheme.

### **Environmental Symposium**

The fourth ICAO Symposium on Aviation and Climate Change, “Destination Green” (<http://www.icao.int/Meetings/Green>), was held at Headquarters from 14 to 16 May, and was attended by 233 participants from 62 Member States and 23 international organizations. The Symposium was organized to facilitate well-informed decision-making at the 38th ICAO Assembly.

The Symposium aimed at fostering a dialogue among participants on environment and aviation matters, including noise, operations and technology, market-based measures, States’ action plans, sustainable alternative fuels for aviation, and financing and assistance, leading to the 38th Session of the ICAO Assembly in September 2013.

In addition, ICAO in coordination with the Air Transport Action Group (ATAG), developed the ICAO-ATAG joint statement, signed on 13 May 2013, to “cooperate on the promotion of sustainable approaches to global aviation emissions reduction”.

Work on the ICAO Environmental Report progressed on schedule.

### **Sixth Worldwide Air Transport Conference**

The Sixth Worldwide Air Transport Conference (ATConf/6) was held in Montréal at Headquarters from 18 to 22 March 2013. It was attended by over 1 000 delegates and observers from 131 ICAO Member States and 39 international organizations. The Conference addressed many key issues in international air transport including taxation on air transport, the harmonization and compatibility of regulatory approaches in respect of competition laws and rules on air transport, as well as consumer protection matters. It also produced a wide-ranging and comprehensive package of conclusions and recommendations for action by States and ICAO. The Council reviewed and approved the ATConf/6 recommendations in June.

The ATConf/6 also considered the issue of night curfews and recommended that States should respect and follow the ICAO Balanced Approach principle in regulatory action on aircraft noise management at airports.

On 17 March, a one-day pre-ATConf/6 symposium was held for the conference participants, who heard thought-provoking views and insightful discussions from key aviation players and panelists regarding the major challenges and policy options facing the aviation community for the development of air transport.

### **Economic analysis**

The Secretariat continued its annual studies on regional differences in international airline operating economics and provided its analysis to the IATA

Prorate Agency in January 2013 as the basis for its work in prorating passenger revenues from interline journeys.

Based on an agreement between ICAO and the Universal Postal Union (UPU), the Secretariat carried out an analysis of airline traffic and financial data and delivered the results to the UPU in February 2013 for it to calculate the basic rate applicable to the settlement of accounts between designated operators of UPU member countries with respect to air mail conveyance.

Detailed analyses, methodologies and results of long-term passenger and freight forecasts were published in March 2013 in Circular 333 *Global Air Transport Outlook to 2030 and trends to 2040*.

The third edition of the *Airport Economics Manual* (Doc 9562) was published in March 2013.

### **Cooperation with UNWTO**

On 18 March 2013, on the occasion of the official opening of the ICAO Sixth Worldwide Air Transport Conference, ICAO and the World Tourism Organization (UNWTO) signed a special Joint Statement on Aviation and Tourism. The statement acknowledged the intention of the two UN agencies to cooperate more closely on issues of common priority. Visa facilitation, taxation, the modernization of aviation regulations and the development of convergent rules for consumer protection were identified as key areas for improved collaboration between the two organizations.

### **Technical cooperation projects and activities**

During the 1 January to 30 June 2013 period, there were four national active technical cooperation projects related to environmental protection. Major achievements over the period included:

#### *Caribbean and South American (CAR/SAM) Region*

- Conduct of an environmental impact study for one State related to the construction of a new international airport;
- Conduct of a social and economic impact study related to the international airport of one State; and
- Assistance to one State in the preparation of an action plan for the reduction of carbon dioxide emissions in the air transport industry.



*Asia and Pacific (APAC) Region*

- Delivery of an Aviation Internal Auditor course under the Developing Countries Training Programme to 12 national staff of 11 States.

*Europe and Middle East (EUR/MID) Region*

- Continued assistance to one State in the planning, development and coordination of civil aviation regulatory activities.

**SUPPORTING IMPLEMENTATION STRATEGIES****LEGAL SERVICES AND EXTERNAL RELATIONS****Legal issues relating to unruly passengers**

The Legal Committee held its 35th Session in May and decided to transmit to the Council a draft text of the Protocol to the Tokyo Convention of 1963 as a final draft for presentation to States and, ultimately, to a Diplomatic Conference. Based on the report of the Legal Committee, the Council decided to convene a Diplomatic Conference to amend the Tokyo Convention in March 2014.

**Promotion of Beijing Instruments**

As of 30 June 2013, the Beijing Convention has been signed by 27 States and ratified by or acceded to by Saint Lucia, Mali, the Dominican Republic, Guyana, Myanmar, Cuba and Angola. The Beijing Protocol has been signed by 29 States and ratified by or acceded to by Saint Lucia, Mali, Cuba, Guyana, Myanmar and the Dominican Republic.

**International interests in mobile equipment (aircraft equipment)**

On behalf of the Council in its capacity as the Supervisory Authority of the International Registry, the Secretariat continued to monitor the operation of the Registry to ensure that it functions efficiently in accordance with Article 17 of the Cape Town Convention. The sixth meeting of CESAIR took place in April 2013 at ICAO Headquarters. The purpose of the meeting was to finalize consideration of the changes proposed by the Registrar to the *Regulations and Procedures for the International Registry* (Doc 9864) which were the subject of preliminary discussion at the fifth meeting of CESAIR in December 2012, and to make recommendations thereon to the Council. The Council subsequently approved the recommended changes during its 199th Session. Pursuant to

Article 62 (2) (c) of the Cape Town Convention and Article XXXVII (2) (c) of the Cape Town Protocol, the Council regularly receives information from the Depositary on ratifications, declarations, denunciations and designations of entry points. As of 30 June 2013, the Cape Town Convention and Protocol has been ratified by or acceded to by 51 States.

#### **Supplementary Agreement between the International Civil Aviation Organization and the Government of Canada regarding the Headquarters of the International Civil Aviation Organization**

At the tenth meeting of its 198th Session, the Council endorsed the *Draft Supplementary Agreement between the International Civil Aviation Organization and the Government of Canada regarding the Headquarters of the International Civil Aviation Organization* and authorized the Secretary General to sign the Supplementary Agreement on behalf of ICAO. On 29 May 2013, ICAO and Canada signed the new Supplementary Agreement which will come into force at the end of 2016.

#### **Host State Agreement for ICAO Regional Sub-Office**

A Host State Agreement (HSA) with the Government of the People's Republic of China for the ICAO Asia and Pacific Regional Sub-Office was signed on 27 June 2013. The HSA sets out arrangements for the premises and facilities that are provided by the Host State and the privileges and immunities of ICAO.

#### **Working Group on Governance and Efficiency (WGGE)**

The WGGE considered a mechanism for consultation with the Host Country on privileges and immunities and courtesy services to Representatives accredited to ICAO and its recommendation to establish a Committee on Relations with the Host Country (RHCC) was adopted by the Council during its 199th session in May 2013.

#### **Tripartite Consultative Committee to discuss issues related to privileges and immunities**

The fourth meeting of the ICAO Tripartite Consultative Committee was held in February 2013. In addition to officials from Protocol Ottawa and Protocol Quebec as well as Representatives on the Council of ICAO, the City of Montréal was also represented.

The meeting reviewed the issues on its agenda regarding the achievements to date and consideration of a way forward for the outstanding issues and the form of future consultations. A brief presentation of the revised edition of the *Information for Members of National Delegations regarding their arrival and*

*residence in Canada* (“Yellow Book”) was provided. The revised edition of the Yellow Book was uploaded to the ICAO Secure site in February 2013.

### Human Resources

At the end of June 2013, there were 601 established posts within the Organization, of which 290 posts were in the Professional and higher categories and 311 were in the General Service category. The overall representation of women in the Secretariat in the Professional and higher categories stood at 30 per cent. At the senior level, the representation of women was at 50 per cent for D-2 posts, and at 10 per cent for D-1 posts.

During the first six months of 2013, the Council approved amendments to *The ICAO Service Code* resulting from the ongoing comprehensive review of ICAO’s Staff Regulations and Staff Rules with the view to further harmonizing these rules with those of other United Nations common system organizations, and with the overall objective of improving organizational efficiency. Among the amendments approved by the Council was an increase in the mandatory age of separation to age 65 for new staff joining ICAO on or after 1 January 2014, as reflected in revised Staff Regulation 9.15. The Council also took note of the report on the implementation of the *Policy on Contracts of Individual Consultants/Contractors* and endorsed actions identified to strengthen the policy and to further improve the efficiency of related administrative processes.

As part of the Organization’s outreach efforts, the Council welcomed the various outreach strategies and actions taken by the Secretariat to assist in identifying and attracting qualified candidates of a high calibre from all Member States for the future work of ICAO. These initiatives included the Young Aviation Professionals Programme, which for the three positions announced attracted over three hundred applications.

### Revenue Generating Activities

In the first half of 2013, the results from the ARGF Fund exceeded budgeted expectations mainly in the areas of publications and events. This is an improvement from 2012, although there are always more activities concluded in an Assembly Year. The new ICAO E-Commerce site was launched in December 2012 to provide a useful platform to promote and sell ICAO’s products. The present focus is on establishing Digital Rights Management to protect ICAO’s copyright whilst at the same time eliminating the distribution of hard copy material to the extent possible. A cost-reduction exercise is also underway in this area during 2013.

### **Records and Distribution Management**

The Electronic Document and Records Management System entered its operational phase on 1 January 2013, and currently all Bureaus at Headquarters are benefitting from this system by maintaining their records in electronic format so as to operate more efficiently.

The implementation of the project also started at the Regional Offices. The transition to paperless record-keeping is in progress at the Lima and Cairo Regional Offices. This project of standardizing the system and the administrative procedures represents one of the initiatives towards the creation of “One ICAO”.

### **Conference Services**

The Commissariat facilities were expanded and renovated, including a widening assortment of products, substantially improving the quality of services to Delegates of Meetings, Members of National Delegations and other customers.

With additional funding provided by the Government of Canada, improvements to the Conference facilities continued; delegates to the 38th Session of the Assembly will benefit from the implementation of the improved connection of the Conference Rooms 1, 2 and 3 and the rearrangement of the Registration area.

### **Information and Communication Technology (ICT)**

#### *Web management*

Significant progress been made in the Web management space. For the purpose of business continuity planning, an up-to-date copy of ICAO’s public website is now available. Aside from Web content in English and French, the public website now also supports Chinese with further languages to come. In addition, substantial effort has gone into the migration of Web content from outdated servers onto ICAO’s centralized Web platform as well as the integration of the Regional Office websites under the “One ICAO” initiative.

#### *Support and infrastructure*

One ICAO: ICT has executed the necessary requirements to grant the same level of access to all ICAO users at both Headquarters and Regional Offices, with the exception of the Paris Office. The six Regional Offices have completed their migration to ICAO’s corporate firewall solution and global IP addressing plan. The Asia-Pacific Regional Sub-Office in China, launched on 27 June 2013, has been smoothly transitioned and incorporated into the “One ICAO” infrastructure plan.

Implementation of the Service Desk: Service Desk documentation (including the Service Level Agreement) has been prepared for the Conference, Security and General Services Section (CSG).

*Knowledge management*

ICT has resumed the management of the e-commerce system as per the plan of concentrating all system maintenance within the technical body. A mid-term plan for digital rights management implementation and air cargo replacement has been initiated. A customer relationship management system has been identified. Data loading and final delivery of the start-up system is under way. Training for end-users has been scheduled. An event management system that meets ICAO's requirements has been procured. The internal Learning Management System (LMS), launched in 2012 continues to improve with the addition of the UN SkillSoft online course library in May 2013. Through the iLearn system, ICAO staff now have seamless access to over 10 000 online courses and eBooks which should lead to increased staff knowledge and career development. The external LMS has a growing list of online courses now available for potential revenue generation. Other ADB projects launched in 2013 include: TRAINAIR Plus Management system; Aviation English Language Test Service System; iCAN – Negotiation Event Management System; GIS – ATM Mapping Solution; MRTD (now TRAVid) Collaboration System; Runway Safety Collaboration System; Mobile Annexes; eCourse Development; and iKit Development.

Internal courses developed in the first half of 2013 include the ICAO Ethics online course (mandatory for all staff). Courses are currently being created to be used in new workshops and symposiums and to be sold as Standardized Training Packages as well. Several electronic information kits (iKits) have been launched in 2013 and continue to be developed for various conferences and symposiums, including the upcoming 38th Session of the Assembly.

*Enterprise data management*

A new Data Mart server is now in place and the SSIS package, which refreshed the Data Mart, is already running from the server. The action plan on emission reduction and a new business intelligence analysis sample for CO<sub>2</sub> emission and fuel comparison between baseline and expected result, by State, are now available.

**TECHNICAL COOPERATION PROGRAMME**

As at 30 June 2013, the total Technical Cooperation Programme implemented by ICAO is estimated at USD 42.9 million. Under various Trust Fund arrangements, the Technical Co-operation Bureau is currently executing 108 projects in 146 countries. It is estimated that a total Programme of USD 126.6 million will be implemented in 2013.

**The Technical Cooperation Programme implementation by region  
(in millions of USD)**

Region	2012	As at 30 June 2013
Africa	47.3	4.2
Americas	68.4	29.7
Asia and Pacific	4.2	1.7
Europe and Middle East	11.0	7.3
<b>Total</b>	<b>130.9</b>	<b>42.9</b>

**Large-scale technical cooperation projects**

Large-scale technical cooperation projects and large-scale revisions to ongoing projects, which have been approved during the first semester of 2013, include:

- Mexico (Assistance in the capacity building of personnel of the General Directorate of Civil Aviation of the Ministry of Communications and Transportation);
- Chad (Assistance to the Civil Aviation Authority of Chad (ADAC) – Certification of Aircraft Operators);
- Congo (Assistance to the National Civil Aviation Agency of Congo (ANAC) – Certification of Aircraft Operators);
- Somalia (Civil Aviation Caretaker Authority for Somalia);
- Kuwait (Assistance in Airport Development and Certification).

**Recruitment of experts**

The total number of international field experts and consultants recruited as at 30 June 2013 was 161, in addition to 792 national project personnel for a total of 1 040 serving officials, including 87 international field experts and consultants who were already in the field serving in ongoing projects.

**Civil aviation training**

In this period, 371 fellowships were awarded for a total duration of 193.3 work/months, including 236 awards within the framework of Memoranda of Understanding signed by ICAO with Indonesia, the Republic of Korea and Singapore for the provision of training to be funded by these countries and administered by ICAO.

In addition, in-country training programmes, undertaken by instructors under technical cooperation projects, trained 351 civil aviation administration personnel, and 247 staff received training by suppliers through the procurement component of the technical cooperation projects.

#### **Equipment and subcontracts**

A total of 150 purchase orders and subcontracts were issued, and total field procurement implementation amounted to approximately USD 22 million.

#### **The Administrative and Operational Services Cost (AOSC) budget**

As at 30 June 2013, the estimated Administrative and Operational Services Cost (AOSC) Fund income amounted to USD 3.5 million and expenditures to USD 4.2 million, for an estimated shortfall of income over expenditure of USD 0.7 million.

### **FINANCIAL STATEMENT**

The Council considered in detail the Secretary General's Budget Estimates for 2014, 2015 and 2016 and the Finance Committee's report thereon. The Council submitted, for the consideration of the Assembly, a draft Budget of the Organization for the triennium totalling CAD 286.5 million (A38-WP/57, AD/8) as follows:

2014: CAD 92 752 000  
2015: CAD 94 737 000  
2016: CAD 99 049 000

The Council approved the report on the Working Capital Fund contained in A38-WP/42, AD/3 which recommends increasing the level of the Working Capital Fund from USD 6.0 million to USD 8.0 million.

The Secretary General prepared draft scales of assessment for 2014, 2015 and 2016 in accordance with Assembly Resolution A36-31. These draft scales are submitted to the Assembly in A38-WP/93, AD/13.

As at 30 June 2013, the voting power of 18 Member States is deemed to be suspended in accordance with Assembly Resolution A37-32. The outstanding contributions for these States, excluding 2013 assessments, totalled CAD 6.7 million.

The Secretary General informed high-level officials of these Member States of the amounts that would be necessary for them to pay, prior to the 38th Session of the Assembly, in order to permit restoration of their voting power. The

possibility of concluding agreements with the Council to liquidate their arrears in annual installments was also brought to the attention of those States with long-outstanding arrears who have not yet entered into such agreements.

The position with respect to States in arrears is described in A38-WP/43, EX/30, AD/4. Some schedules will be brought up to date immediately prior to the opening of the Assembly.

Assessments for 2013 total CAD 87.4 million. Current year contributions received as of 30 June 2013 amounted to CAD 57.8 million or 66.1 per cent of the total amount due as at 1 January 2013.

The External Auditor (Cour des comptes of France) completed the audit of the Organization's accounts for 2012. The 2012 Financial Statements are submitted to the Assembly in A38-WP/46, AD 7 and Doc 10015.

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# REVIEW OF ACTION TAKEN ON RESOLUTIONS OF THE 37TH SESSION OF THE ASSEMBLY

Resolution	Subject and action taken
A37-1	<p><i>Principles for a code of conduct on the sharing and use of safety information</i></p> <p>Pursuant to Resolution A37-1, on 15 June 2011, the ICAO Council approved a Code of Conduct on the Sharing and Use of Safety Information based on a set of high-level principles agreed by the ICAO Assembly. The principles contained therein facilitate the transparency and exchange of various types of safety-related information while ensuring that such information is used solely to improve safety and not for inappropriate purposes, including for the purpose of gaining economic advantage. The Code of Conduct also emphasizes that one of the objectives of sharing information is to ensure a consistent, fact-based and transparent response to safety concerns at the State and global levels. Being an ICAO policy that States are encouraged to follow, the Code of Conduct was disseminated to States and international organizations via Electronic Bulletin on 1 September 2011 as instructed by the Council.</p>
A37-2	<p><i>Non-disclosure of certain accident and incident records</i></p> <p>The ICAO Safety Information Protection Task Force (SIP TF) concluded its work in February 2013 and made recommendations related to the protection of certain accidents and incident records and to Attachment E to Annex 13 — <i>Aircraft Accident and Incident Investigation</i>.</p>
A37-3	<p><i>Protecting information from safety data collection and processing systems in order to improve aviation safety</i></p> <p>To progress the enhancement of provisions on the protection of safety information, the Air Navigation Commission (ANC) approved the establishment of a multidisciplinary group, the Safety Information Protection Task Force (SIP TF), to review provisions on the protection of information gathered from safety data collection and processing systems with a view to ensure the appropriate protection and use of information generated through accident and incident investigations.</p> <p>Consistent with its mandate, the SIP TF's recommendations considered the need to strike a balance between actions taken by competent authorities to maintain or improve aviation safety and the proper administration of justice. Specific recommendations for new provisions will be considered by the SMP and other relevant groups of experts. The foundations established by the SIP TF will provide the basis to further develop a balanced approach for the protection and use of safety information consistent with the Global Aviation Safety Plan (GASP).</p>

A37-4 *ICAO global planning for safety*

The update of the Global Aviation Safety Plan (GASP) was completed and approved by the Council in July 2013. The changes that the GASP has undergone were driven mainly by its strengthened role as a high-level policy, planning and implementation document guiding complementary and sector-wide air transport progress in conjunction with the ICAO Global Air Navigation Plan (GANP).

The document builds on the previous GASP and establishes targeted safety objectives and initiatives while ensuring the efficient and effective coordination of complementary safety activities between all stakeholders. The update provides a flexible framework for the prioritization of safety initiatives appropriate to the contexts of States' air transport systems while maintaining a harmonized methodology for all Member States.

A37-5 *The Universal Safety Oversight Audit Programme (USOAP) continuous monitoring approach*

The USOAP continuous monitoring approach (CMA) was introduced over a two-year transition period, from 2011 to 2012, leading to the successful full-scale implementation of USOAP CMA in January 2013. The Council considered a mechanism for the sharing of unresolved significant safety concerns (SSCs) with the public and approved in principle that SSCs be made available on the ICAO public website commencing in January 2014, with the States concerned given the opportunity to comment and update their progress on the resolution of identified deficiencies. All USOAP-related information continues to be made available to all States through ICAO restricted websites. ICAO continues to develop and expand agreements with relevant international entities in order to foster coordination and cooperation in sharing safety information.

From May 2013, the ICAO USOAP included protocol questions on public health preparedness planning reflecting amendments in Annex 6 — *Operation of Aircraft*, Annex 9 — *Facilitation*, Annex 11 — *Air Traffic Services*, Annex 14 — *Aerodromes*, and the *Procedures for Air Navigation Services — Air Traffic Management (PANS-ATM)*.

A37-6 *Runway safety*

ICAO convened the Global Runway Safety Symposium (GRSS) at its Headquarters in May 2011. The themes of the GRSS included the assessment of risks and consideration of mitigation measures, increased standardization, collaboration across all relevant operational disciplines, the sharing of safety information and the implementation of technical solutions to address runway safety issues.

From this symposium, ICAO received a commitment from partnering organizations to establish a Runway Safety Programme and coordinate a series of regional runway safety workshops following the themes of the GRSS. Nine regional runway safety seminars have been delivered thus far in Miami, Amsterdam, Amman, Bali, Quito, Cape Town, Moscow, Agadir and St. John's. The primary objective of the seminars is to promote and support the establishment of multidisciplinary runway safety teams (RSTs) at individual airports.

A survey to monitor progress on the establishment of RSTs was distributed to the aviation community, and a RST Handbook was developed in close collaboration with ICAO's runway safety partners and is in the process of being finalized.

Amendment 11 to Annex 14 — *Aerodromes*, Volume I — *Aerodrome Design and Operations*, introduced new and amended provisions to enhance runway safety from aerodrome perspectives. These mainly included runway end safety areas and arresting systems to mitigate consequences of runway overruns, runway surface condition assessment to prevent runway excursions, and visual aids, including enhanced taxiway centre line markings and simple touchdown zone lighting to prevent runway incursions and excursions, respectively.

A37-7 *Comprehensive Regional Implementation Plan for Aviation Safety in Africa*

The Secretary General established the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) and appointed a Steering Committee in January 2008 to address civil aviation safety deficiencies in the region. Pursuant to Resolution A37-7 and under the lead of the ICAO Regional Offices in Dakar and Nairobi, the AFI Plan has been working with States and aviation safety partners to assist African States in addressing serious safety deficiencies through the development of ICAO Plans of Action, in meeting regional safety targets and addressing emerging safety issues, in establishing and strengthening regional safety oversight organizations and accident investigation agencies (RSOOs and RAIAs) and enhancing aviation safety through the provision of seminars, workshops and training courses in various safety-related subjects.

A37-8 *Regional cooperation and assistance to resolve safety-related deficiencies*

ICAO convened the Symposium on Regional Safety Oversight Organizations (RSOOs) in October 2011. The objective was to bring together all parties, including RSOOs and the Cooperative Development of Operational Safety and Continuing Airworthiness Programmes (COSCAPs), in order to promote the concept of regional cooperation for enhancing safety oversight activities in the regions.

ICAO has developed new funding options guidance for RSOOs including, among others, a passenger safety levy. The new guidance will be published as an amendment to the *Safety Oversight Manual — The Establishment and Management of a Regional Safety Oversight Organization* (Doc 9734, Part B).

The Safety Collaborative Assistance Network (SCAN) was established in 2011 to facilitate and coordinate the sharing of information amongst safety partners and assistance providers, aimed at supporting ongoing and future assistance projects in the States.

ICAO convened a Safety Partnership Meeting in November 2012.

ICAO has been actively engaged with many international organizations and/or States in sharing safety-critical information, for the purpose of determining effective means of providing assistance to States and sub-regional and regional safety and safety oversight bodies, including RSOOs.

Since 2010, the Global Safety Information Exchange (GSIE), created by ICAO, the United States Department of Transportation, the European Union and the International Air Transport Association, has helped to reduce the risk of accidents and improve the overall level of aviation safety worldwide.

The Monitoring and Assistance Review Board (MARB), established in 2011, focuses on, inter alia, coordinating ICAO monitoring and assistance activities and on States with Significant Safety Concerns (SSCs).

A study was carried out by an ICAO expert for the Civil Aviation Safety and Security Oversight Agency (CASSOA) to review the legal, organizational and financial frameworks of the Agency, as well as to provide recommendations aimed at enhancing the Agency's implementation.

ICAO provided assistance in the implementation of the World Bank Pacific Aviation Investment Program (PAIP), aimed at the aviation infrastructure improvement of the three States in the Pacific Island region (Kiribati, Tonga and Tuvalu). An ICAO expert conducted a safety audit on the five airports in the States to determine the level of their compliance with the international standards as stipulated in ICAO Annex 14 — *Aerodromes*.

ICAO organized the Seminar/Workshop on Regional Safety Oversight Programmes jointly with the Arab Civil Aviation Commission (ACAC), held in December 2012. ICAO contributed to drafting a strategy for the establishment of an RSOO and Regional Accident Investigation Organization (RAIO) in the Middle East region.

ICAO has been actively involved in the cooperative inspectorate scheme in the AFI region (AFI-CIS) since December 2010. Its purpose is to share qualified inspectors within the region in a cost-effective way. The scheme is implemented by African Civil Aviation Commission (AFCAC) with the support of ICAO.

ICAO has actively collaborated on work with AFCAC to develop new aviation safety targets addressing various safety issues such as the SSCs, the accident frequency reduction, the implementation of ICAO Plans of Action, the effective establishment of safety oversight systems, etc. The safety targets were unanimously approved by the African Ministerial meeting on Aviation Safety in Africa held in Abuja, Nigeria in July 2012.

As part of the effort to assist States in resolving safety deficiencies identified by the ICAO Universal Safety Oversight Audit Programme (USOAP), ICAO has developed State-specific tailored plans of action, proposing a series of remedial technical and political actions. As of June 2013, ICAO has developed 25 Plans of Action that have been accepted by States for implementation.

A37-9

### *Halon replacement*

Subsequent to Resolution A37-9, the Council of ICAO adopted new Standards on 13 June 2011 for halon replacement in hand-held, lavatory, engine and APU fire extinguishers contained in Annex 6 — *Operation of Aircraft* and Annex 8 — *Airworthiness of Aircraft*.

The Standards mandate the use of an alternative agent to halon for:

- a) lavatory fire extinguishing systems used in aircraft produced on or after 31 December 2011;
- b) hand-held fire extinguishers used in aircraft produced on or after 31 December 2016; and
- c) engine and auxiliary power unit fire extinguishing systems used in aircraft for which application for type certification will be submitted on or after 31 December 2014.

Between 2009 and 2012, a series of halon replacement coordinating meetings was held with regulators, international organizations and industry to discuss the status of halon replacement, reserves, contamination, and future activities related to halon replacement in cargo compartments. The last of these meetings took place in November 2012 and focused its work on the timeframes

specified in the 37th Assembly Resolution on halon replacement and the viability of establishing a replacement date for halon in cargo fire suppression systems.

The establishment of a timeframe for the replacement of halon in cargo compartment fire suppression systems remains a challenge. During the last ICAO International Halon Replacement Coordinating Meeting (IHRCM/3), the International Coordinating Council of Aerospace Industries Associations (ICCAIA) agreed to coordinate a collaborative approach involving all stakeholders in order to develop an industry recommendation for a halon replacement timeframe for cargo compartment. A working group has been established to submit a comprehensive recommendation with supporting documentation to ICAO by 31 December 2015 in order to introduce a recommendation at the next ordinary session of the Assembly in 2016.

Until alternatives are available for all aircraft fire extinguishing systems, the aviation industry will continue to depend on halon reserves. In support of Resolution A37-9, the Secretary General issued a State letter requesting information on halon reserves accessible to the civil aviation industry within each State to support future operations.

Fifty-three States replied to the State letter. Most States were unsure if their halon reserve would suffice for the aviation needs of their State, while others responded that their aviation industry relies on outside sources to provide the required halon. The limited number of replies gives evidence that States do not know how much halon reserve is available to civil aviation. Although the United Nations Environment Programme (UNEP) has a process to estimate global halon reserves, the amount of halon available for civil aviation applications is unknown.

A37-10

*Proficiency in the English language used for radiotelephony communications*

In 2010, ICAO issued the second edition of the *Manual on the Implementation of ICAO Language Proficiency Requirements* (Doc 9835). This second edition included additional guidance for civil aviation authorities and test service providers on processes for testing candidates in accordance with the ICAO language proficiency requirements (LPRs).

In January 2011, ICAO advised States that Assembly Resolution A37-10 called for two major actions: a) Member States that would not comply with the language proficiency requirements by 5 March 2011 were to send to ICAO their implementation plans, which were to be updated on a regular basis after March 2011 until full compliance was reached; and b) ICAO would verify that the implementation plans submitted by States were complete and included timelines and identifiable milestones to be used by ICAO's Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach.

In June 2011, ICAO added an interactive map at <http://legacy.icao.int/fsix/lp.cfm> based on the information provided by States. This map provides a world view of the status of implementation of the language proficiency requirements and allows users to access implementation plans or statements of compliance.

In October 2011, ICAO launched the Aviation English Language Test Service (AELTS). Through AELTS, testing instruments are assessed against the language requirements in Annex 1 — *Personnel Licensing* and in Doc 9835. This service is particularly important as language proficiency testing is largely unregulated and has resulted in a great amount of variability in the approaches used and outcomes achieved. AELTS provides a means for the aviation language testing

community to standardize and improve its practices. This ICAO service also provides information to States, airspace users and service providers on available testing services that use procedures consistent with ICAO criteria.

In 2012, the Organization launched a new edition of the training aid *ICAO Language Proficiency Requirements – Rated Speech Samples*. The document, which was developed by the International Civil Aviation English Association (ICAEA) for ICAO, can be accessed at <http://cfapp.icao.int/rssta/index.cfm> and contains 52 speech samples that have undergone rigorous rating and validation processes. It can be used as a reference to standardize rating processes and as a basis for the initial and recurrent training of raters and examiners.

A37-11

### *Performance-based navigation global goals*

The global implementation of performance-based navigation (PBN) has progressed significantly since the 37th Assembly. Today, over 150 States or more than 60 per cent of the total have published a PBN Implementation Plan and over half of the world's international runways now have PBN procedures.

ICAO and IATA continued to conduct combined Global PBN Task Force/GO Team Visits to help States with the implementation of PBN. These visits focused on development of State PBN Implementation Plans, implementation of PBN instrument procedures, airspace design and PBN Ops approval. More than ten visits have been conducted.

Regional PBN Task Forces also continued to promote PBN implementation through regional workshops and seminars. Following the example of the Global PBN Task Force/GO Team Visits, regional Go-Teams are being established in various ICAO Regions.

ICAO has established a Regional Sub-Office in Beijing to promote PBN implementation as well as a Flight Procedure Programme (FPP) Office in Dakar, Senegal. Both of these offices focus on PBN implementation.

A PBN symposium and workshops were conducted in October 2012 and helped facilitate the understanding of the issues affecting the global implementation of PBN. A PBN iKit was developed as a means to educate stakeholders on the fundamentals of PBN, including the provision of new ICAO PBN documents. The iKit was made available to all symposium attendees. At the symposium, ICAO established an endorsement mechanism to help States to identify PBN instrument procedure design organizations that can assist them with PBN implementation.

New on-line courses that provided a PBN overview as well as specific training in airspace design and PBN Ops approval were developed and made available.

On the Standards and Recommended Practices (SARPs) level, the PANS-OPS was fully amended to support the A37-11 Resolution. The *Performance-based Navigation (PBN) Manual* (Doc 9613) was updated (Version 4) to include additional PBN specifications. In addition, the following new documents were completed: the *Continuous Climb Operations (CCO) Manual* (Doc 9993), the *Continuous Descent Operations (CDO) Manual* (Doc 9931), the *Performance-based Navigation (PBN) Operations Approval Manual* (Doc 9997) and the *Manual on the Use of Performance-based Navigation (PBN) in Airspace Design* (Doc 9992).

A37-12 *ICAO global planning for sustainability*

Following the adoption of Resolution A37-12, ICAO amended the Global Air Navigation Plan (GANP) to include the Aviation System Block Upgrades in support of the CNS/ATM systems. The amended GANP was approved by the Council in May 2013. Procedures to ensure the regular update of the GANP in collaboration with States and Stakeholders were also included. Moreover, the Twelfth Air Navigation Conference (AN-Conf/12) was held in Montréal from 19 to 30 November 2012.

A37-13 *Prevention of spread of communicable disease through air travel*

ICAO continued to expand the Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation (CAPSCA) programme, such that by the end of 2011 it was active in all five global regions and by mid-2013, 93 Member States had joined a CAPSCA regional project, and 54 States had received an Assistance Visit to one or more of their international airports. The name of the programme was changed to encompass all types of public health events, not only those related to communicable disease, whilst retaining the same acronym, “CAPSCA”.

ICAO continued to work closely with the World Health Organization, the International Air Transport Association and Airports Council International to provide up-to-date guidance on the management of public health events in aviation, including business continuity planning. Annual regional seminars were held, bringing public health and aviation stakeholders together. Guidance was updated as appropriate primarily on the websites of the four organizations and also on a newly developed website hosted by the ICAO Regional Office in Mexico [www.capsca.org](http://www.capsca.org).

In December 2012, the fund that has primarily sustained CAPSCA since its inception in 2006, the Central Fund for Influenza Action, administered by the UN Development Programme, closed. Other sources of funds are being sought.

A37-14 *Non-chemical aircraft disinsection of the aircraft cabin and flight deck for international flights*

Since the last Assembly, progress has been made in standardizing the efficacy and safety testing of chemical disinsectants, and in providing updated recommendations on their use. The results of further research concerning the use of the “air curtain”, or other methods of non-chemical disinsection, are awaited. Further information on chemical and non-chemical disinsection should be available by the 39th Session of the Assembly, planned for 2016, and will be presented at that time.

A37-15 *Consolidated statement of continuing ICAO policies and associated practices related specifically to air navigation*

A proposed revision to the continuing policies will be presented to the 38th Session of the Assembly.

A37-16 *The Safety Fund (SAFE)*

With a view to ensuring continued assistance to States in resolving safety-related deficiencies, ICAO established the SAFE: *The Safety Fund*. Participation in the fund is voluntary and financially

independent of the ICAO Regular Programme Budget. It is expected that contributions are made by ICAO Member States, international organizations, and public and private entities associated with international civil aviation.

Two projects have been funded by SAFE and implemented by ICAO consultants: a study on the aging aircraft in the African and Indian Ocean (AFI) Region; and the development of the Air Operator Certification Handbook

A37-17

*Consolidated statement on the continuing ICAO policies related to the safeguarding of international civil aviation against acts of unlawful interference*

*Appendix A — General policy*

ICAO made steady progress in implementing the ICAO Comprehensive Aviation Security Strategy (ICASS) endorsed by the Assembly in 2010 for the 2011-2016 period. Efforts to implement the ICASS benefited from the consolidation of aviation security programmes within the Aviation Security Branch in the Air Transport Bureau.

Generous voluntary contributions, both financial and in-kind, allowed ICAO to undertake certain ICASS projects and other aviation security activities in all regions, including global leadership and coordination.

*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*

No updates.

*Appendix C — Implementation of technical security measures*

In order to mitigate the risk associated with air cargo and mail as well as the threat posed by industry and airport insiders, the Council in November 2012 approved a fast-track Amendment 13 to Annex 17. The revised and new provisions further the implementation of supply chain security measures with special focus on high-risk cargo as well as common baseline security measures for cargo transported on passenger and all-cargo aircraft. The Amendment, applicable on 15 July 2013, includes a revised and comprehensive Standard for the screening and security control of persons other than passengers.

To assist States in applying the provisions of Amendment 13 to Annex 17, guidance material was developed and made available in all ICAO languages. In this respect, Amendment 1 to the ICAO *Aviation Security Manual* (Doc 8973 – Restricted), published in July 2013, provided States with comprehensive guidance on air cargo secure supply chain principles.

Progress was made in promoting the adoption of sustainable, risk-based security measures. The development of SARPs was undertaken on the basis of sufficient and valid justification for new measures, with flexibility to allow for alternative means to achieve security objectives.

To support a risk-based approach, ICAO produced the first edition of the global Risk Context Statement (RCS) in 2012. The RCS includes a thorough analysis of threats to civil aviation and provides Member States with a robust methodology for further developing national risk



assessments. It is expected to increase the number of States adopting and implementing risk-based measures and assist States in the preparation of risk assessments. The second edition of RCS was issued in July 2013 and is available on the ICAO-NET.

The network of endorsed Aviation Security Training Centres (ASTCs) continued to be expanded in order to address the continued need for aviation security training. At mid-2013, there were 25 endorsed ASTCs.

The Secretariat also developed a Risk Management Overview workshop in order to assist States to begin the implementation of risk- and threat-based measures.

#### *Appendix D — Action of States concerned with an act of unlawful interference*

The usefulness of ICAO's acts of unlawful interference (AUI) database was enhanced with a full-featured search function, including graphical representations of the search results. The Secretariat continued to record all types of security-related incidents in order to stay well informed of the various threats to civil aviation and to identify potential trends; while not all incidents listed are considered AUIs, the information is made available in the AUI database under a separate list accessible to Member States.

The Aviation Security Panel continued to analyse the risks to civil aviation security and reported on current and emerging threats and vulnerabilities.

#### *Appendix E — The ICAO Universal Security Audit Programme*

With regard to Resolving Clause 3, a mechanism to validate the implementation of corrective actions by States with one or more identified significant security concerns (SSECs) through the use of ICAO coordinated validation missions (ICVMs) has been introduced. Since October 2010, five States have successfully resolved nine SSECs. In the majority of these cases, confirmation that the necessary corrective actions had been taken was obtained through the conduct of ICVMs.

With regard to Resolving Clause 7, a report on the overall implementation of the completed second cycle of Universal Security Audit Programme (USAP) audits was prepared for presentation to the 38th Session of the Assembly. This includes background on the Council's decision to adopt a continuous monitoring approach for the USAP (USAP-CMA) beyond 2013 and details of the transition plan endorsed by the Council.

#### *Appendix F — Assistance to States in establishing aviation security oversight capacity for the protection of international civil aviation*

The Secretariat developed and implemented the ICAO Aviation Security Assistance and Capacity-Building Strategy. This strategy established methods and procedures to ensure a more cohesive and coordinated approach to assistance and capacity building in aviation security.

The Ad Hoc Group on Partnership in AVSEC Capacity Building was established by the Secretariat to coordinate the provision of assistance globally. Group activity includes the exchange of information regarding current assistance projects and assuring a collective approach to aviation security assistance and capacity-building.

The Implementation Support and Development Assistance List (ISDAL) was developed. This list serves as a tool to better coordinate assistance and identify potential partnerships among States that are in a position to provide assistance. It is primarily used as the operational point of contact between ICAO and/or members of the Ad Hoc Group on Partnership in AVSEC Capacity Building.

The Secretariat enhanced regional assistance through the expanded partnerships with Member States, and Organizations, namely ACAC, AFCAC, ECAC, LACAC, Australia, Belgium, Canada, France, United Kingdom and United States. Partnership activity included the provision of training, guidance and the transfer of technology information.

Under the leadership of the Secretariat, the Asia/Pacific Regional Aviation Security Coordinated Forum was established. This forum will provide a practical platform for strengthening regional aviation security in a cooperative, coordinated and unified manner.

ICAO and the European Union (EU) signed the Annex on Aviation Security to the ICAO/EU MoC in order to enhance cooperation. This Annex establishes, inter alia, a framework for information exchange and joint activities.

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

A new version of the Aviation Security Point of Contact (PoC) Network was developed from the ground up to better serve the needs of States. Its design and functionality was overhauled to feature a built-in messaging system that allows for the secure and rapid exchange of critical information while providing greater control over who can access such information. The Web-based platform facilitates communication among aviation security contacts designated by more than 180 States for the purpose of sending and receiving information on imminent threats, as well as requests for security-related information or for exchanging guidelines and advice on countering imminent threats.

ICAO established a technological platform to facilitate the exchange of aviation security information among Member States. Introduced in 2011 and regularly updated, the Web-based AVSECPaedia was developed by ICAO and the Aviation Security Panel Working Group on Technology to provide a one-stop source of information for Member States on best practices, guidance and new approaches regarding screening methods, technologies and equipment that have been tested or deployed around the world. It is a dynamic and collaborative tool that allows States to share their own security information or practices by means of updating their dedicated page. States therefore have full control over the information shared with other participating States and can modify it in real time and as often as necessary.

*Appendix H — International and regional cooperation in the field of aviation security*

In the period since the 37th Session of the ICAO Assembly, ICAO has fostered cooperation among Member States and with other stakeholders with the aim of improving aviation security and air transport facilitation, both at the regional and global levels. The High-level Conference on Aviation Security (HLCAS) of September 2012 — ICAO's first global conference dedicated to security topics in more than a decade — showcased this increased level of cooperation in all areas of aviation security, notably endorsing principles of aviation security cooperation that now need to be

implemented. The meeting was attended by more than 700 participants representing 132 States and 23 international and regional organizations.

A series of aviation security conferences was held in all regions during 2011 and 2012 to promote the implementation of the 2010 ICAO Assembly Declaration on Aviation Security. These events, of which five were hosted by States in collaboration with ICAO, encouraged closer cooperation among all stakeholders in addressing security concerns. All six regional conferences adopted joint statements reflecting the realities and concerns of their respective regions, and calling for concrete actions to collectively and individually strengthen aviation security in accordance with the Declaration.

ICAO and the World Customs Organization (WCO) in June 2011 signed a Memorandum of Understanding (MoU) in order to strengthen cooperation on air cargo security while also improving air cargo facilitation. The agreement has led to cooperation in a number of areas and resulted notably in a joint conference on enhancing air cargo security and facilitation held in collaboration with Singapore, in July 2012, as well as the preparation of a joint publication titled “Moving Air Cargo Globally”.

ICAO and the Universal Postal Union (UPU) strengthened their efforts to jointly improve air mail security in line with the MoU signed in 2009. In March 2012, the 25th UPU Congress instructed the UPU Postal Operations Council to increase collaboration with the civil aviation sector, primarily by establishing an ICAO-UPU contact committee to provide for structured interaction between the two organizations.

A37-18

*Consolidated statement of continuing ICAO policies and practices related to environmental protection — General provisions, noise and local air quality*

*Appendix A — General*

In order to further disseminate information on ICAO’s policies and guidance material, articles on ICAO’s work on the environment were published in various editions of the ICAO Journal and other publications; one workshop was held on Aviation Alternative Fuels (October 2011) as was a seminar on Aviation and Climate Change (October 2012). The fourth ICAO Symposium on Aviation and Climate Change, “Destination Green,” held at Headquarters in May 2013, aimed at fostering a dialogue amongst participants on aviation and environment matters, including noise, operations and technology, market-based measures, sustainable alternative fuels for aviation, States’ action plans, and financing and assistance.

The ninth meeting of the Committee on Aviation Environmental Protection (CAEP/9) was held in February 2013 and agreed on a comprehensive set of 18 recommendations that will help ICAO fulfil its mandate on aviation environmental protection. These recommendations are related to the updated traffic and fleet forecast, an increase in stringency of aircraft noise Standard, aircraft operations, the development of a new aircraft CO<sub>2</sub> Standard and work programme for the next CAEP cycle.

ICAO organized side-events and exhibition booths during the United Nations Framework Convention on Climate Change (UNFCCC) process. ICAO also participated in the United Nations conference on Sustainable Development (June 2012) and in the Alternative Fuels Pavilion

organized in conjunction with Le Bourget at the June 2013 Paris Air Show to promote its work on environmental sustainability and aviation alternative fuels.

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

Amendment 10 to Annex 16, Volume I and Amendment 7 to Annex 16, Volume II were finalized and Adopted by the Council in March 2011.

With regard to the establishment of medium- and long-term technology and operational goals under CAEP's Independent Expert (IE) review processes, Noise technology, and operational and technology fuel burn reviews were completed during the CAEP/9 cycle. A set of fuel burn technology goals were agreed in 2010 and an updated set of mid-term and long-term technology goals for aircraft noise and new operational goals for aircraft fuel burn reduction were considered at the CAEP/9 meeting in 2013.

CAEP/9 approved, in addition to the CO<sub>2</sub> metric system, the mature Annex 16, Volume III CO<sub>2</sub> certification requirement and agreed that it should be published in an ICAO Circular. CAEP agreed on a comprehensive CO<sub>2</sub> standard setting work plan with a late-2015 deliverable date. All recommendations from CAEP were approved by the Council and those related to amendments of SARPs are presently under consultation with States.

A new manual entitled *Operational Opportunities to Reduce Fuel Burn and Emissions* that replaces Circular 303 was developed containing information on current practices followed by States, aircraft operators, aircraft manufacturers, airport operators, air navigation service providers (ANSPs) and other industry organizations. Furthermore, *Environmental Assessment Guidance for Proposed Air Traffic Management Operational Changes* was developed focusing on environmental impacts assessment (including both engine emissions and noise) related to proposed operational procedures changes, airspace redesigns, and other similar operational aspects.

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

No updates.

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

No updates.

*Appendix E — Local noise-related operating restrictions at airports*

In response to the decision of the last ICAO Assembly, and the subsequent action approved by the ICAO Council, the Secretariat has developed a scope of work for a global analysis of the effects of night curfews. This analysis would consider environmental and economic issues, in line with CAEP recommendations, as well as among other factors, the impact of time zones, airline economics and passenger demand in the context of the growth of the aviation sector. India has offered to support this activity.

*Appendix F — Land-use planning and management*

Revision of the *Airport Planning Manual, Part 2: Land Use and Environmental Control* began during the CAEP/9 cycle to include eco-friendly airport planning and best practices in land-use planning and management.

*Appendix G — Supersonic aircraft — The problem of sonic boom*

CAEP continues to monitor the development of supersonic aircraft and their implications on the development of future standards.

*Appendix H — Aviation impact on local air quality*

CAEP worked with SAE to prove the non-volatile PM (nvPM) sampling system to measure behind aircraft engines, and a working draft Aerospace Recommended Practice (ARP) is nearly complete. Measurement campaigns and finalization of the ARP continue as a prelude to the nvPM emissions certification requirement and new Standard.

A37-19

*Consolidated statement of continuing ICAO policies and practices related to environmental protection — Climate change*

Substantial progress was made in four key areas identified in Assembly Resolution A37-19: 1) global aspirational goals; 2) States' action plans; 3) sustainable alternative fuels for aviation; and 4) market-based measures (MBMs).

The Secretariat cooperated with CAEP to further update the CO<sub>2</sub> trends assessment, which was finalized in April 2013 for presentation to the 38th Session of the Assembly. The methodology involved estimating the potential impact of various categories of mitigation measures — aircraft-related technology development, improved ATM and infrastructure use, more efficient operations and sustainable alternative fuels — in order to measure current, and estimate future, progress toward the achievement of global aspirational goals.

The Secretariat also worked on developing a capability, known as the ICAO CO<sub>2</sub> Reporting and Analysis System (ICORAS) that will allow the Organization to respond to the A37-19 Assembly request to regularly report CO<sub>2</sub> emissions from international aviation to the United Nations Framework Convention on Climate Change (UNFCCC) as well as to measure progress being achieved toward the global aspirational goals.

The A37-19 Assembly decision on the voluntary submission of action plans by States led the Organization's policy outlook to a more action-oriented implementation mode. ICAO undertook intense capacity-building activities facilitating, within just a few years, the preparation and submission of States' action plans on CO<sub>2</sub> emissions reduction activities that represent approximately 80 per cent of global air traffic.

In order to support the preparation and submission of State action plans, the Secretariat developed guidance material and an interactive Web-interface. In addition, hands-on training workshops initiated in 2011 were continued throughout 2012 and 2013, with a total participation of 91 Member States representing 93 per cent of global international air traffic.

The information contained in the action plans was analysed on an ongoing basis, and ICAO put forward a robust capacity building strategy to assist States in further developing and implementing their action plans. ICAO explored partnerships with other international organizations and multilateral funding agencies (such as UNDP, GEF and the European Commission) that have funds earmarked and dedicated for climate change mitigation activities, with a view to establishing processes that can facilitate financing to Member States that need assistance.

In March 2013, ICAO announced the formalization of a new project with Indonesia, aimed at improving the management and reduction of its aviation carbon emissions. This three-year large-scale project will be undertaken between Indonesia's Ministry of Transport and ICAO's Technical Co-operation Bureau.

The Secretariat intensified its efforts to promote and facilitate the development and deployment of sustainable alternative fuels for aviation. All the initiatives being undertaken worldwide on aviation sustainable alternative fuels were regularly mapped and updated at the ICAO Global Framework for Aviation Alternative Fuels (GFAAF) Web-based platform. An ICAO group of experts (SUSTAF) worked on developing a set of policy recommendations relating to sustainable alternative fuels, based on existing policies and measures, as well as current initiatives and best practices by States and organizations. Leading up to the United Nations Conference on Sustainable Development (Rio+20 Conference) in June 2012, ICAO cooperated with industry stakeholders on a series of four connecting flights from Montréal to Rio de Janeiro, all powered by sustainable alternative fuels. ICAO commemorated the first anniversary of this Rio+20 initiative at Le Bourget Paris Air Show in June 2013.

With support provided by the experts nominated by Member States and international organizations, the Secretariat undertook intensive work aimed at developing a global solution relating to MBMs. In June 2012, the Council agreed to concentrate its efforts on three options for a global MBM scheme. It also agreed that further work was required in the development of the framework for MBMs.

In November 2012, the Council agreed on the establishment of a High-level Group on International Aviation and Climate Change (HGCC) to develop recommendations on a series of policy issues related to international aviation and climate change, including those related to MBMs, and progress of work by the HGCC was reported to the Council in March and June 2013.

The assessment on the feasibility of a global MBM scheme continued in 2013 on the most practical and effective design features for a global scheme, taking into consideration the direction from the HGCC, which met three times from December 2012 to March 2013 and considered various issues related to a global MBM scheme, including: participants in a scheme; means to accommodate special circumstances and respective capabilities; and generation of revenue from a scheme. The quantitative analysis on the impacts of a global MBM scheme completed in 2012 was further refined using updated forecasts on traffic, fleet and emissions that were completed by CAEP in 2013. This supplementary study confirmed the results of 2012 study regarding the technical feasibility of the three options for a global MBM scheme.

Similar to the work on a global MBM scheme, progressing on the technical issues of a framework for MBMs raised a number of policy considerations. Through the deliberations of the HGCC and the technical work of the MBM experts, an outline of the framework was developed containing the "purpose", "guiding principles" and "key elements" of the framework, for consideration by the Council.

A37-20 *Consolidated statement of continuing ICAO policies in the air transport field*

*Appendix A — Economic regulation of international air transport*

*Section I. Agreements and arrangements*

In April 2012, the Organization held an ICAO Air Transport Symposium (IATS), in partnership with the Air Transport Research Society (ATRS) as a preparatory step for the Sixth Worldwide Air Transport Conference (ATConf/6) to be held in 2013 around the theme of strategies and tools for a sustainable air transport.

The eleventh session of the Air Transport Regulation Panel (ATRP/11) was held in June 2012 and provided advice and recommendations for the preparation of ATConf/6.

ICAO conducted preparatory air transport seminars for ATConf/6 for the following regions: Rabat, Morocco (July 2012), in close cooperation with ACAC; Buenos Aires, Argentina (July 2012), in close cooperation with LACAC; Martinique, France (October 2012), for Caribbean States; Dakar, Senegal (October 2012), in close cooperation with AFCAC; Paris, France (November 2012), for European States, and Hong Kong SAR, China (January 2013), for States in the Asia and Pacific Region.

ATConf/6 was held in March 2013 under the theme of sustainability of air transport. It addressed key issues in international air transport and produced a comprehensive package of recommendations, which were approved by the Council in June 2013. On 18 March 2013, during ATConf/6, ICAO signed a Joint Statement with UNWTO on aviation and tourism to strengthen cooperation on issues of common priority, such as protection of passengers and tourists, visa facilitation and taxation.

ICAO updated its information on the quantitative indicators of liberalization.

The ICAO Air Services Negotiation Conference (ICAN) was held in Mumbai, India, in October 2011, and in Jeddah, Saudi Arabia, in December 2012.

*Section II. Cooperation in regulatory arrangements*

ATConf/6 addressed the issues of harmonization and compatibility of regulatory approaches in respect of competition laws and rules on air transport, as well as on consumer protection matters and made recommendations for action by States and ICAO.

*Section III. Airline product distribution*

When reviewing A37-20 in June 2013 and taking into account the developments in the airline industry and regulatory practices, it was recommended to review thoroughly this section in order to assess the need to keep it under its current format.

*Section IV. Trade in services*

No updates.

*Section V. Elaboration of policy guidance*

ATConf/6 reviewed ICAO policies and guidance on the regulation of international air transport (contained in *Policy and Guidance Material on the Economic Regulation of International Air Transport* (Doc 9587)) and recommended that they be updated to keep up with the developments and meet the needs of States.

Pursuant to A37-20, the Organization updated the database of the World's Air Services Agreements (WASA), increasing the coverage to 2 480 agreements involving 166 States and the Template Air Services Agreement (TASA).

*Appendix B — Statistics*

A new edition of the *Manual on the ICAO Statistics Programme* (Doc 9060), now entitled *Reference Manual on the ICAO Statistics Programme*, incorporating the new features of the ICAO Statistics Programme, has been developed.

The implementation of the recommendations and conclusions of the Tenth Session of the Statistics Division (STA/10), which was held in Montréal from 23 to 27 November 2009, was carried out.

Regarding the ten Recommendations and Conclusions of STA/10 specifically related to statistical forms, the changes to the current forms have been implemented and new data forms, notably on fuel consumption by air carriers (Form M), have been introduced.

The dissemination of data collected under the ICAO Statistics Programme has been enhanced with the new online platform ICAOdata+ which is an innovative user-friendly tool enabling users to adjust the graphical representation of the data according to their needs. It is a global comparative aviation data tool that meets the requirements of both external and internal users and which is available free of charge to Member States.

Four hands-on training sessions on statistics were conducted at ICAO Headquarters: African States (November 2011 and June 2012); Member States of the Latin American Civil Aviation Commission (LACAC, September 2012); and Member States of the Arab Civil Aviation Commission (ACAC, November 2012). In parallel, in cooperation with CAE, a set of air transport e-learning courses on forecasting was developed.

The Secretariat initiated the development of the ICAO CO<sub>2</sub> Reporting and Analysis System (ICORAS), used to integrate fuel burn and traffic data reported by Member States, which is further supplemented by various sources of data in order to deliver accurate estimates of CO<sub>2</sub>.

*Appendix C — Forecasting, planning and economic analyses*

Long-term passenger and cargo forecasts with a 30-year horizon under a bottom-up econometric methodology were developed.

Annual medium-term (a three-year horizon) forecasts were developed in 2011-2013 and posted on the ICAO website.



In response to the outcome of the Next Generation Aviation Professionals Symposium held in March 2010, a study providing information on the consequences of anticipated traffic and fleet growth on the demand for qualified aviation personnel was developed and published in early 2011 in the *Global and Regional 20-Year Forecasts for Pilots, Maintenance Personnel and Air Traffic* (Doc 9956).

Assistance was provided to the regions in the development of forecasts and other planning parameters required by the respective Planning and Implementation Regional Groups (PIRGs). Four Traffic Forecasting Group (TFG) meetings were held for the Asia/Pacific, Middle East, Africa-Indian Ocean and Caribbean/South America regions. The reports of the meetings, containing the forecasts and analyses, have been posted on the ICAO website.

Support was provided to the Forecast and Economic Analysis Support Group (FESG) of CAEP. This support included provision of aviation data and information for the development of global long-term traffic and fleet forecasts for environmental analyses and the review of a global constrained forecasting model for potential use in support of environmental assessment of the potential impact of constraints.

The revision of *Manual on Air Traffic Forecasting* (Doc 8991) has been undertaken.

#### *Appendix D — Facilitation*

The Council in 2011 adopted Amendment 22 to Annex 9 — *Facilitation* to assist States in preparing for international outbreaks of communicable diseases and to enhance measures to facilitate assistance to air travellers whose flights are disrupted as a result of *force majeure*. In 2012, the Council adopted Amendment 23, revising Appendix 13 in order to enhance data sharing and efficient response in the event of a pandemic or large-scale epidemic.

In October 2012, the Facilitation Panel agreed on recommendations concerning accessibility to air transport for persons with disabilities, air cargo facilitation, and the security of the travel document issuance process. The Panel also established a working group to develop new guidance material on the content of a National Air Transport FAL Programme and to revise and improve existing facilitation guidance material.

In accordance with Annex 9, Standard 3.10.1 requires that “[f]or passports issued after 24 November 2005 and which are not machine readable, Contracting States shall ensure the expiration date falls before 24 November 2015.” This effectively means that all non-machine readable passports should be out of circulation by this date. The TAG/MRTD/21 Meeting endorsed a Communications Plan with regard to the 24 November 2015 deadline, to be implemented by the Secretariat in coordination with the ICBWG. The purpose of the Communications Plan is twofold: to encourage the compliance of States with the 24 November 2015 deadline for the expiration of noncompliant passports; and to minimize possible inconvenience it may cause to the travelling public. The Communications Plan encompasses intensified advocacy and communication efforts to raise Member States’ awareness about the deadline requirements, as well as producing and disseminating guidance materials on Standard 3.10.1 implementation challenges and practices.

According to the information presented at the TAG/MRTD/21 Meeting by the New Technologies Working Group (NTWG), approximately 100 States issue ePassports, an estimated 484 million ePassports are in circulation, 23 States currently use an Automated Border Control (ABC) system

with the ePassport as the required token, and 56 States use biometrics as part of border management processes. To assist States in ePassport implementation initiatives, the development of an ICAO model roadmap is anticipated.

ICAO continues to successfully organize annual MRTD Symposia and Exhibitions and regional seminars. The Symposium is a premier global event that brings together the travel document, border security and aviation community to exchange information on key developments related to MRTD SARPs, best practices, and related security and facilitation challenges that Member States face along with respective solutions. Since the last Assembly, the Secretariat, with the generous support of host-State authorities, organized Regional seminars on MRTDs, Biometrics and Security Standards in Brazil, Mozambique, Qatar, Singapore, Zimbabwe and Sint Maarten (The Netherlands).

The Inter-American Committee against Terrorism of the Organization of American States (OAS/CICTE) and ICAO project for capacity building in Travel Document Security and Identity Management is a three-year technical assistance initiative that provides advocacy, technical consultations and capacity-building activities for government authorities on MRTD SARPs and best practices in border controls. Its activities commenced in December 2011 and are projected to end in March 2014. Project workshops and gap assessment missions were conducted with a strong problem-solving component, focused on the practical use of the *ICAO Guide for Assessing Security of Handling and Issuance of Travel Documents*. Sub-regional workshops have been held in Mexico, Panama, Antigua and Barbuda and Trinidad and Tobago, and gap assessment missions have been conducted in Dominican Republic, Guatemala, El Salvador and Antigua and Barbuda.

The Secretariat, in coordination with the ICBWG, provided assistance to 70 Member States and international organizations on matters related to MRTDs, ranging from clarifying MRTD specifications and interpreting requirements, to full-scale assessments, consultations and training sessions. A number of technical cooperation assistance missions and projects were organized and implemented in coordination with the Technical Co-operation Bureau.

ICAO continues to publish the *MRTD Report* to serve the MRTD community interested in ICAO's work on MRTD specifications, biometrics, and related technology.

Five supplements to the *Machine Readable Travel Documents* (Doc 9303) containing updated specifications were issued since the 37th Session of the Assembly. A major activity of the New Technologies Working Group (NTWG) has been the development of evidence of identification guidance material on securing the sources that generate and confirm identity. All MRTD guidance material is available free of charge on the ICAO MRTD Programme website.

ICAO promoted membership in the Public Key Directory (PKD), an inspection tool enabling the secure verification of ePassports by border control authorities, by conducting a number of workshops at MRTD symposia and regional seminars. Member States are urged to join because of the importance of enhancing cross-border security and air transport facilitation. Further, ICAO Annex 9 recommends that ePassport issuance and PKD participation go hand-in-hand.

*Appendix E — Taxation*

ATConf/6 addressed the related issues of taxation on air transport and made recommendations for action by States and ICAO.

The Supplement to *ICAO's Policies on Taxation in the Field of International Air Transport* (Doc 8632) has been updated.

*Appendix F — Airports and air navigation services**Section I. Charging policy*

The following policies and guidance were updated with the assistance of AEP/ANSEP.

The ninth edition of *ICAO's Policies on Charges for Airports and Air Navigation Services* (Doc 9082) was published in February 2012.

Work commenced on the fifth edition of the *Manual on Air Navigation Services Economics* (Doc 9161).

Following the Regional Safety Oversight Organizations (RSOOs) held in Montréal in October 2011, it was decided to develop additional guidance material on the sustainable funding of RSOOs in consultation with States and the industry. Chapter 5 of the *Safety Oversight Manual*, Part B, (Doc 9734) was revised accordingly.

*Section II. Economics and management*

ICAO published the *Manual on Privatization in the Provision of Airports and Air Navigation Services* (Doc 9980) in August 2012.

ICAO continued to update specific information on airport and ANSP privatization, namely the *Case Studies on Commercialization, Privatization and Economic Oversight of Airports and ANSPs*, available online at

[http://www.icao.int/sustainability/pages/Eap\\_ER\\_Databases\\_CaseStudies\\_ANSPs.aspx](http://www.icao.int/sustainability/pages/Eap_ER_Databases_CaseStudies_ANSPs.aspx)

*Appendix G — Air carrier economics*

Studies on regional differences in international airline operating economics for the years 2008, 2009 and 2010 were carried out and a study for the year 2011 is ongoing; their results are published in circulars on a biennial basis. Based on the results of these studies, values of the global and area weightings were provided, on an annual basis, to the IATA Prorate Agency to establish prorated factors for passenger revenues from interline journeys.

*Appendix H — Air mail*

The Universal Postal Union (UPU) was provided annually with airline traffic and financial data and analyses to be used for the calculation of the basic airmail conveyance rate according to Article 53 of the Universal Postal Convention.

A37-21 *Cooperation with regional organizations and regional civil aviation bodies*

The roles and responsibilities of ICAO and of each of the regional civil aviation bodies and regional organizations were defined in arrangements of cooperation; collaborative work has avoided duplication of efforts.

ICAO initiated the development of an established periodic and ongoing planning programme with regional civil aviation bodies with regard to regional events and programmes.

ICAO also carried out reviews with the regional civil aviation bodies and regional organizations concerning regional issues within their purview, covering safety, security, environmental protection and the sustainability of air transport. Regional Offices use every opportunity in their regional cooperation to leverage the resources of the regional civil aviation bodies based on priorities and needs of regions and States.

A37-22 *Consolidated statement of continuing ICAO policies in the legal field*

The Consolidated Statement which contained editorial updates of Resolutions in the Legal Field was published in the *Assembly Resolutions in Force (as of 8 October 2010)* (Doc 9958). In addition to the editorial and consequential modifications, reference to two Montreal Conventions of 2 May 2009 and two Beijing instruments of 10 September 2010 was added. Doc 9958 has been put on ICAO website.

A37-23 *Promotion of the Beijing Convention and the Beijing Protocol of 2010*

The Beijing Convention has been signed by 27 States and ratified by or acceded to by seven States. The Beijing Protocol has been signed by 29 States and ratified by or acceded to by six States.

A37-24 *Promotion of the Montreal Convention of 1999*

There is continued emphasis on ratification matters by the President of the Council and the Secretary General and other ICAO officials during their visits to States. LEB promotes ratification at legal seminars, during personal deposits by State officials, Assembly sessions and other ICAO meetings. As of 31 December 2012, the Montreal Convention had been ratified by 103 States.

A37-25 *ICAO Policy on the language services*

In an effort to achieve parity of language services, all languages (except for English) now have the same number of translators, and Chinese and Arabic interpretation services are now at par with the other languages of the Organization. Publications that were not available in Chinese and Arabic are being progressively translated, according to a prioritized list and subject to voluntary contributions. Efforts have also been made to translate the ICAO public web site mainly through voluntary contributions. The public web site is presently available in English, French and Chinese.

In order to maintain a high level of quality, mainly on mission-critical publications, Quality Management has been implemented to outsourced documents. On 17 April 2012 the *ICAO Policy and Procedures on Outsourcing of Translation Services* was introduced which aims to ensure that all translation outsourcing activities are carried out in a rigorous and transparent manner. It

establishes the scope and basic principles for the outsourcing of translation work taking into account quality, speed of delivery and confidentiality as well as financial factors. It also describes the criteria to be followed for the selection of translators and their classification as well as the mechanism to be applied in relation to quality management of outsourced translations, to ensure that the work has been carried out in full accordance with specific instructions and terms of reference, and that it is complete and accurate.

Efforts are being made to align with UN productivity standards and document management procedures. This includes the implementation of a slotting system for the production of documentation, the methodology on waiver management and the strengthening of documentation forecast. As well, workload benchmarking for translators, editors, text-processors and interpreters and the reporting of productivity at both individual and service levels are presently being developed.

A computer-assisted translation solution was implemented at the end of 2011. All staff members in the Language and Publications Branch were provided with customized training in 2012, and training will continue in 2013. This solution will become the backbone system for in-house and outsourced translation activities. An immediate benefit will be an increase in the quality and consistency of translations by providing a greater control over the translation process. Productivity gains could also be realized over time through improved efficiency in the processing of publications workflow.

A37-26 *Budgets for 2011, 2012 and 2013*

Section A: No action required.

Section B: No action required.

Section C: No action required.

A37-27 *Assessments to the General Fund for 2011, 2012 and 2013*

The Secretary General notified Member States of their assessments for 2011 in State letter A 1/8-10/76 dated 22 December 2010; for 2012 in State letter A 1/8-11/80 dated 21 December 2011; and for 2013 in State letter A 1/8-12/67 dated 29 November 2012.

A37-28 *Working Capital Fund*

The Council approved the recommendation that an increase to the Working Capital Fund would not be considered necessary at that time.

A37-29 *Amendment of the Financial Regulations*

The fourteenth edition of the *ICAO Financial Regulations* (Doc 7515), incorporating all amendments approved by the 37th Session of the Assembly, was published in 2011.

A37-30 *Approval of the accounts of the Organization for the financial years 2007, 2008 and 2009 and examination of the Audit Reports thereon*

No action required.

A37-31 *Appointment of the External Auditor*

No further action required as Mr. Didier Migaud, First President of the Cour des Comptes was appointed for the financial years 2011, 2012 and 2013.

A37-32 *Discharge by Contracting States of financial obligations to the Organization and action to be taken in case of their failure to do so*

During 2012, the Secretary General dispatched to all Member States four State letter schedules showing the amounts due for the current year and up to 31 December of the previous year.

No new arrangements were proposed since the last Assembly. The Council continues to promote its policy of inviting Member States in arrears to make settlement proposals for the liquidation of long-outstanding arrears of contributions in accordance with ICAO Resolution A37-32.

As at 30 June 2013, the voting power in the Assembly and the Council of 18 Member States was deemed to be suspended due to arrears of contributions equal to or in excess of the total assessments for the three preceding financial years and of those Member States not in compliance with agreements entered into in accordance with Assembly Resolution A37-32, Resolving Clause 4 b).

The additional measures stipulated in A37-32, Resolving Clause 9, were also applied during the period to those Member States which were deemed to have their voting power suspended under Article 62 of the Convention. Only those States which have no outstanding annual assessed contributions except for the current year's assessment were eligible for election to the Council, Committees, and bodies.

— END —