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Agenda Item 9: Preparations for the 39th Session of the ICAO Assembly

AREAS OF INTEREST TO THE UNITED STATES AT THE 39TH ICAO ASSEMBLY

(Presented by United States)

EXECUTIVE SUMMARY	
This paper is an overview of areas of interest for the United States at the 39 th ICAO Assembly and highlight aviation challenges for the next Triennium.	
Action:	To take note of the U.S. approach for the 39 th ICAO Assembly and provide support for the U.S initiatives at the 39 th ICAO Assembly
<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Safety• Air Navigation Capacity and Efficiency• Security & Facilitation• Economic Development of Air Transport• Environmental Protection

1. Introduction

1.1 The 39th ICAO Assembly is scheduled for September 27-October 7, 2016, in Montreal, Canada. The United States will highlight a number of issues requiring priority attention in the next triennium. Aviation is evolving through rapidly developing new technologies, new airspace entrants and environmental issues. The United States believes it is important for ICAO and stakeholders to take a proactive role in addressing current and future challenges.

1.2 The United States has identified the following areas of priority interest at the 39th Assembly:

- a) Encourage ICAO to ensure that the development of Standards and Recommended Practices (SARPs) are done in accordance with a robust assessment process, incorporating change management principles, global viability, and a rigorous cost benefit analysis.
- b) Manage Integration of New Technologies in Air Traffic Management Modernization and Interoperability;

- c) Improve compliance of Standards and Recommended Practices in Aerodrome Design and Runway Safety through aerodrome certification.
- d) Support efforts to adopt a Global Market-Based Measure (GMBM);
- e) Promote Safe and Secure Operations, of which Conflict Zones and Cyber Security are high priorities; and build and sustain a more effective aviation security culture and system that deter, detect, and disrupt threats and mitigate risks to civil aviation.

2. **Discussion: The following describes the United States proposals for 39th Assembly.**

2.1 **Encourage a Performance-Based Approach:** The adoption of the Global Aviation Safety Plan (GASP) and the Global Air Navigation Plan (GANP) at the 38th Assembly were significant achievements. The GASP and GANP provide the framework for the development of plans to ensure harmonization and coordination efforts to improve aviation safety and air navigation modernization.

2.2 Revisions to the current GASP attempt to integrate State safety oversight systems, and evolve State Safety Programme and Safety Management efforts. The United States urges ICAO to maintain the priority of reducing the global accident risk and to work with Member States and stakeholders to simplify future updates to the GASP. This will enable the GASP to provide better guidance for Member States and stakeholders on how to balance management of global safety priorities as they continue to improve their safety oversight.

2.3 **Ensure global viability of new standards and recommended practices:** The development of SARPs is one of the most critical functions of ICAO. Global interoperability across national airspace systems and harmonized implementation of requirements are possible because of the work of ICAO and stakeholders in promulgating these SARPs. As the international aviation system continues to grow increasingly complex, the task of creating standards to uphold this harmonization and interoperability is an ever-more challenging task.

2.4 The United States will be presenting a working paper to the 39th Assembly seeking to further enhance the effectiveness of the SARP development process by incorporating change management principles, evaluating global viability, and conducting a rigorous cost benefit analysis in addition to ensuring ICAO can effectively implement urgently needed SARPs in a nimble yet prudent manner.

2.5 **Manage Integration of New Technologies and Entrants:** Many States are facing challenges with the integration of new technologies in controlled airspace, including Unmanned Aircraft Systems (UAS)/Remotely Piloted Aircraft Systems (RPAS). The United States is working on several initiatives to address the unprecedented growth of these systems. First, a regulatory framework for small UAS (250g to less than 25 kg) is expected by late spring 2016. This rule will allow for certain RPAS operations in today's aviation system, while maintaining flexibility to accommodate future technological innovations.

2.6 Secondly, the FAA has developed a registration system for small UAS to encourage a culture of accountability and responsibility among UAS operators that mirrors the larger aviation community. As of March 2016, over 400,000 people have registered. Since many States are facing challenges in integrating new technologies into airspace, ICAO is well positioned to share resources developed by States that are proactively working to manage the challenge of RPAS integration. The United States is willing to share best practices with ICAO and Member States, and stresses the importance of strong industry-government collaboration for safe and efficient integration of RPAS into the airspace.

2.7 The standardization of operational trials in oceanic airspace will also be of interest to the United States at the upcoming Assembly. Well-designed operational trials are critical to the successful implementation of new Air Traffic Management (ATM) procedures. They are used to demonstrate a practice, to acquire operational performance data, to expose participants to potential changes in operation, and to test the viability of one or more sub-systems that are critical to a new ATM procedure.

2.8 Trials conducted over oceanic (high seas) airspace have produced measurable gains in capacity and efficiency. However, operational trials are also associated with elevated risk and generally involve special training, software and equipment. To ensure that primary safety considerations are addressed in the design and execution of operational trials, ICAO and States should develop guidance to standardize the planning and implementation of operational trials in oceanic airspace

2.9 **Improve Airport Planning and Runway Safety:** The GANP and the GASP identify improvements in runway safety as a foremost global priority. This safety mission encompasses the mitigation of runway excursions, as well as the prevention of runway incursions. Compliance with ICAO's aerodromes certification standards remains a vital component to support and maintain this significant objective as it is clear that a direct interdependency exists between successful improvements in runway safety and international aerodromes that are fully certificated under Annex 14. ICAO should become more proactive in identifying, implementing, and monitoring strategically-focus activities that will greatly increase the percentage of international aerodrome certificated within each State among all ICAO Regions. Addressing aerodrome safety matters is critical for the United States given the importance in creating a safe environment within the airfield for the operation of aircraft while minimizing risks related to runway excursions and their consequences.

2.10 **Environment:** The 38th ICAO Assembly adopted Resolution A38-18 to address international aviation Green House Gas (GHG) emissions through a basket of measures, including the development of a proposal for a Global Market Based Measures (GMBM). States have worked with ICAO to develop technical and policy components of a potential global measure. In an effort to make progress ahead of the 39th Assembly, the ICAO Council President put forward a proposal on GMBM for consideration.

2.11 The President's proposal appropriately maintains the sovereignty of ICAO Member States and recognizes the central role of States in implementing the GMBM. Enforcement of State requirements on registered operators/air carriers through the use of standards and recommended practices (SARPs) and the incorporation of a route-based approach are vital to garnering broad support. Some States remain concerned about the distribution of obligations. The United States does not support

the current reference to a 100% sectoral distribution. ICAO should consider alternatives, such as a more dynamic distribution, enabling a shift from sectoral to individual responsibility over a period of time. The dynamic distribution approach is more equitable and enables operators to take full advantage of their investments in technology improvement. Though States may have concerns on this initial draft, it is a good starting point for negotiations and adoption at the Assembly.

2.12 Promote Safe and Secure Operations: The United States supports an active role for ICAO to facilitate information sharing regarding cyber standards development and aviation hazards related to conflict zones. A framework for information sharing may foster common, harmonized best practices to ensure the rapid sharing of cyber threats, vulnerabilities, investigations and mitigation strategies. Current regional cybersecurity organizations should plan and execute cyber response exercises to verify the effectiveness of their ability to react to and contact cyber-attacks and share best practices with other member States. Further, the United States recommends States develop risk-based frameworks to guide, design and maintain security controls in aviation information systems.

2.13 It is important for States to share pertinent security information in order to ensure operators of civil aviation are aware of any potentially hazardous activities particularly regarding conflict zones. The United States remains an active participant with ICAO and other international organizations involved with the development of the Conflict Zone Information Repository website. The United States encourages ICAO to continue deliberations regarding improvements to the processes and operation of the Conflict Zone Information Repository. Additionally, the United States encourages ICAO and international organizations to develop the use of contingency route planning for areas impacted by conflicts.

2.14 For the 39th Assembly, the United States urges the ICAO Secretariat to present the new Global Aviation Security Plan (GASeP) for adoption and implementation, noting the need for the plan to have achievable goals and objectives underpinned by the necessary regional structures to ensure its success. The GASeP should be a flexible document which can be reviewed, updated, and renewed during each Assembly to ensure it mirrors the evolving security environment.

2.15 With the adoption of the GASeP at the 39th Assembly, the Secretariat should begin work to identify ways in which Member States can strengthen their sovereign security regimes. Improved guidance and comprehensive review of training programs, quality control systems, and evaluation processes as well understanding other influencers such as leadership, technology, workforce performance, environmental influences, operating procedures, and system design will lead to improved effectiveness in deterring, detecting, and disrupting threats. The United States recommends that the Secretariat align future initiatives with these considerations to promote a global approach to a sustained and strengthened security culture.

3 **Conclusion**

3.1 The United States is eager to work with its regional partners in addressing mutual challenges by improving safety, security and efficiency worldwide. This paper highlights some of the areas we intend to focus our collaborative efforts to seek greater support of ICAO initiatives that proactively address current and emerging safety risks and threats and make progress in advancing our mutual objectives on the GANP, GASP, GASeP and environment.

3.2 Continuously striving for a safer, effectively secure, and more efficient aviation system demands cooperation and collaboration to build upon the sharing of lessons learned, experiences, and information derived from Member States, in order to develop the appropriate global framework to sustain our aviation systems.

4 **Actions**

4.1 The Meeting is invited to:

- a) take note of the U.S. approach for the 39th ICAO Assembly; and
- b) provide support for the U.S initiatives at the 39th ICAO Assembly to include the areas addressed in paragraph 2.