POLICY ON ICAO IMPLEMENTATION SUPPORT PROVIDED TO STATES

(02 March 2022)

1.   Introduction

The ICAO Mission includes that ICAO will provide assistance to its Member States and non-State entities (public or private) directly involved in civil aviation, or that are implementing projects in Contracting States in the field of civil aviation, to achieve the ICAO Vision and Strategic Objectives.

The assistance is ICAO implementation support provided to Member States and non-State entities, which includes both Technical Cooperation and Technical Assistance as previously defined by the Council in C-DEC 197/2.

ICAO implementation support is provided primarily to the civil aviation regulatory authorities in Member States. In addition, aviation service providers and other aviation stakeholders, as well as UN system agencies and other international and regional organizations, may also receive ICAO implementation support.

In C-DEC 217-14, the Council refers to the alignment of Technical Cooperation and Technical Assistance projects. This policy expands on this expectation with a more holistic concept for managing ICAO implementation support.

ICAO implementation support is provided by the Secretariat, including the Air Navigation Bureau (ANB), the Air Transport Bureau (ATB), the Technical Cooperation Bureau (TCB) and the Regional Offices for the development, deployment and delivery of products, services, and activities.

ICAO implementation support is managed through programmes, projects, and activities for all the Strategic Objectives to assist the implementation of ICAO Policies, Plans, SARPs, PANS and guidance material by Member States and non-State entities.

ICAO implementation support is provided to Member States and non-State entities under a *One-ICAO* approach, with a focus on relevance, consistency, efficiency and effectiveness in managing the development and delivery. It contributes to the ICAO *No Country Left Behind* (NCLB) initiative and the United Nations Sustainable Development Goals.

The ICAO implementation support is resourced from the regular programme budget, voluntary financial and in-kind contributions, cost recovery mechanisms, revenue generation, and through collaboration with partners.

2.   Definitions

For the purpose of this policy, the following definitions apply, which are also to be used in the ICAO Business Plan for 2023 – 2025:

Activity - an action, conducted by the Secretariat, including ANB, ATB, TCB and the Regional Offices within the scope of a programme or project as part of their functions.

Implementation refers primarily to the States actions in relation to ICAO Policies, Plans, SARPs, PANS and guidance materials.

Implementation support refers to the ICAO actions in managing the **programmes, projects** and **activities** which support and assist the implementation efforts of States through the provision of **products** and **services**.

One-ICAO **approach –** ICAO delivering implementation support to States as one Organization

Programme - group of projects managed in a coordinated way to realize benefits.

Project - temporary endeavour to achieve one or more defined objectives (defined scope and duration).

Technical Assistance [1] - any assistance provided by ICAO to States, which is funded by the Regular Budget and/or Voluntary Funds, and implemented through any Bureau/Office depending on the nature and duration of the project;

Technical Cooperation [1] – any project requested and funded by States and/or organizations and implemented through TCB on a cost-recovery basis where all the direct and indirect costs related to the project are recovered.

3.   Objectives and Applicability

This policy is designed to strengthen the coordination and management of ICAO's implementation support activities to better meet the needs of Member States and non-State entities. The policy will ensure that the implementation support provided to States is consistent in content and delivery regardless of the source of assistance or the associated funding mechanism.

This policy enhances ICAO's role in supporting States with their implementation of ICAO Policies, Plans, SARPs, PANS and guidance materials. It also expects to improve the performance and results of ICAO implementation support provided to States, with a more relevant, consistent, efficient and effective implementation support integrated within the ICAO Business Plan.

This policy is designed with the following objectives:

1. Increase State implementation of ICAO Policies, Plans, SARPs, PANS and guidance materials;
2. Prioritise and enhance ICAO support provided to States for implementation of ICAO Policies, Plans, SARPs, PANS and guidance materials;

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[1] Technical Cooperation and Technical Assistance as defined in C-DEC 197/2

3. Increase the financial and human resources allocated to ICAO implementation support;
4. Reinforce the State needs-based approach in ICAO implementation support;
5. Integrate ICAO implementation support within the ICAO Business Plan;
6. Align the management of ICAO implementation support following a *One-ICAO* approach;
7. Improve the relevance, consistency, efficiency and effectiveness of the ICAO implementation support provided to States.

This policy is applicable to all ICAO implementation support.

4.   Principles

In addition to the ICAO global aviation standards setting and auditing processes, ICAO implementation support provides value to States by supporting their implementation of ICAO Policies, Plans, SARPs, PANS and guidance material.

This policy adopts the following principles:

Needs-based approach

Implementation support activities will be developed and implemented to support the needs of the State to ensure compliance with ICAO SARPs.

Prioritization

ICAO implementation support will be subject to prioritization of needs to ensure the efficient use of available implementation support resources.

Implementation Support Methodology

ICAO implementation support shall be delivered through the application of recognized project management principles and methodologies to facilitate harmonization, with the aim of optimizing efficiency and effectiveness.

Coordination, Cooperation and Collaboration

ICAO implementation support will be managed in a well-coordinated and consistent manner following a *One-ICAO* approach. In order to manage complexity and deliver multi-disciplinary implementation support, the ICAO Secretariat will cooperate and collaborate efficiently and effectively with all internal and external stakeholders.

The principle of internal coordination within the ICAO Secretariat aims to ensure the provision of implementation support that is aligned and integrated with the process for developing Policies, Plans, SARPs, PANS and guidance material.

Financial Transparency and Accountability

Financial accounting and management mechanisms will be designed to be realistic and transparent and enable efficient budgeting, planning, pricing, cost-accounting and reporting for implementation support, taking into account the various sources of contributing resources.

5.   Harmonization of Implementation Support

Implementation support shall apply a needs-based approach and shall harmonize the implementation support process from the development of new and amended ICAO standards to their full implementation by States, incorporating implementation support planning from the outset.

Implementation support is provided in response to specific requests from States and through initiatives planned and proposed by ICAO in accordance with the Strategic Objectives and the ICAO Business Plan.

6.   Roles and responsibilities

The Secretariat, including ANB, ATB, TCB and the Regional Offices, is responsible for the development, deployment and delivery of ICAO implementation support.

Depending on the programmes, projects, products and services through which a specific type of ICAO implementation support is provided, the Secretary General may coordinate the distribution of roles across the Organization related to the development, deployment and delivery to optimize the efficiency and effectiveness of the support provided.

More specific guidelines on how specific roles and responsibilities are assigned as well as the processes for implementation support will be contained in administrative instructions, procedures, operational manuals and other documentation.

7.   Organization and Resources

The Secretary General has the authority to re-organize and/or establish the necessary organizational structure to support the harmonization, development and application of implementation support, as appropriate.

The Secretary General will identify the source for financial and human resources required for the application of this policy, including staff and the development of procedures, systems, tools, and staff training.

8.   Governance

The Secretary General will establish an Implementation Support Group (ISG) within the Secretariat to periodically review the implementation of this policy, develop related recommendations, strategies and plans, and provide advice on ICAO implementation support operational issues including those requiring the attention of the Secretary General. The ISG will be composed of Secretariat staff from bureaux and offices involved in implementation support.

9.   Financial Management

ICAO implementation support shall be budgeted for using standard costing methodology that reflects direct, indirect and overhead costs of delivery. The actual costs shall be determined in accordance with generally accepted accounting principles, and corresponding costs incurred (direct, indirect, overhead /fixed and variable) shall be accounted for and internal charging mechanisms established.

The accounting methods, procedures, and tools/model(s) will be developed and maintained by the Finance Branch, in coordination with the appropriate bureaux and offices. They will permit efficient determination of budget and actual costs to support decision making, including planning of resources, budgeting, determination of overhead, pricing decisions, and an overview of financial performance that allows assessment of the degree to which implementation support is sustainable.

Funds may be created by the Secretary General in order to facilitate the financial administration and management of implementation support. Surplus balances may be re-invested in new or existing implementation support initiatives.

Regardless of the source of funding, the internal reporting and the reporting to donors shall be standardized to provide clarity, transparency, and meaningful information.

10.   Performance Management

The existing monitoring and governance established by the Council is applied with reference to the ICAO Business Plan and related Operating Plans KPIs and Targets. The results-based management framework will be applied to implementation support as implemented in ICAO, and appropriate Key Performance indicators in a performance monitoring framework will be adopted to facilitate monitoring and reporting on Outputs, programmes, projects and activities in-line with the Business Plan and ICAO financial structure. The ICAO safety and security audit and monitoring programmes will provide input to the measurement of the results of the ICAO implementation support.

The reporting of implementation support to the ICAO Council will be rationalised, aligned and simplified based on this policy, to provide more regular, integrated, comprehensive and efficient reporting and review of ICAO implementation support progress, results and financial management.

11.   Entry into force and amendment

This policy was approved by the Council of ICAO on 02 March 2022 during the 6th meeting of its 225th Session (225/6) and entered into force with immediate effect.

This policy replaces the ICAO Technical Assistance Policy (2012). Other related existing policies and Assembly Resolutions will be updated as required.

This policy will be subject to amendment by the Council as needed based on proposals from the Secretary General.

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