



## ASSEMBLY - 35th SESSION

### EXECUTIVE COMMITTEE

#### Agenda Item 20: Increasing the Effectiveness of ICAO

#### REPORT OF THE COUNCIL ON IMPLEMENTATION OF ASSEMBLY RESOLUTIONS A31-2, A32-1 AND A33-3

##### SUMMARY

This paper contains a report to the Assembly on the implementation of Assembly Resolutions A31-2, A32-1 and A33-3 concerning increasing the effectiveness of ICAO.

Action by the Assembly is in paragraph 11.

##### REFERENCES

A32-WP/69

A33-WP/50

Doc 9790, *Assembly Resolutions in force as of 5 October 2001*

#### 1. INTRODUCTION

1.1 The Assembly adopted three resolutions concerning increasing the effectiveness of ICAO, A31-2, A32-1 (measures for continuing improvements in the 1999-2001 triennium and beyond) and A33-3 (to face new challenges), and called for continuous efforts to improve the efficiency and effectiveness of ICAO and directed the Council and the Secretary General within their respective competences, *inter alia*, to continue work that will ensure that ICAO is effective in meeting the challenges of a rapidly changing aviation sector and promoting safety and security worldwide. Two reports have been submitted to the 32<sup>nd</sup> (A32-WP/69) and 33<sup>rd</sup> (A33-WP/50) Sessions of the Assembly respectively, and additional measures at the level of the Council and Secretariat have since been taken as part of the ongoing process.

1.2 These measures include automation of suitable tasks through the use of new technologies, prioritization of programme activities in coordination with the ICAO Strategic Action Plan, improved exchange of information with Contracting States and submission of timely information to governing bodies and management. This report reflects these measures.

## 2. **STRATEGIC ACTION PLAN – RESOLVING CLAUSE 3 a) of A31–2**

2.1 During its 169<sup>th</sup>, 171<sup>st</sup> and 172<sup>nd</sup> Sessions, the Council considered and revised the Organization's Strategic Action Plan (SAP). To provide better definition and improve meaning, the key activities under each Strategic Objective have been revised to reflect a more action-oriented approach. They also reflect such developments as the further expansion of the Universal Safety Oversight Audit Programme (USOAP), the new Aviation Security Plan of Action and Universal Security Audit Programme (USAP), work with regard to the *Convention on International Interests in Mobile Equipment*, the *Convention on Damage Caused by Foreign Aircraft to Third Parties on the Surface*, and the outcome of the Conference on the Economics of Airports and Air Navigation Services in 2000, the fifth Worldwide Air Transport Conference and the Eleventh Air Navigation Conference in 2003.

2.2 This revision is foreseen as one step in a multi-phased process which will link the major components of the ICAO's planning and reporting cycle where the business plan will be the primary means used to map out how ICAO's Strategic Objectives can be translated into action. The business plan would be complemented with a plan for a modern programme performance monitoring and reporting system, which will help provide not only better accountability for results and use of resources, but also help identify opportunities for more efficiencies through better integration of work processes, better planning for the implementation of work programmes and better integration of all the components of the Organization including Regional Offices with Headquarters. Because of the complexity of this Organization-wide undertaking, the business plan will most likely not be completed until after the 35<sup>th</sup> Session of the Assembly. Once the business plan is elaborated, the Council will revisit the SAP. While the Council considers the title and the contents of the SAP as provisional, the term Strategic Action Plan will be used in the interim to provide consistency with Assembly resolutions, working papers and documents, even though the action element of the plan is limited.

## 3. **MEETING THE CHALLENGES OF A RAPIDLY CHANGING AVIATION SECTOR, PROMOTING SAFETY AND SECURITY WORLDWIDE – RESOLVING CLAUSES 3 a), b), d), e) and f) 1) of A32-1 and CLAUSE 5 of A31-2**

3.1 Following the tragic events of 11 September 2001, ICAO responded quickly to the new threats and demands in order to ensure that it makes effective contributions to safety and security worldwide. An international high-level ministerial conference on aviation security was held in February 2002 which, *inter alia*, recommended the development and implementation of a comprehensive Aviation Security Plan of Action and establishment of a comprehensive programme of universal, regular, mandatory, systematic and harmonized aviation security audits.

3.2 As part of the Aviation Security Programme (AVSEC), the ICAO Security Manual was completely revised, reflecting advances in security practices and technology, and was produced in six ICAO working languages.

3.3 Implementation within the AVSEC Programme of the Aviation Security Plan of Action, which contains eight AVSEC Projects, has progressed significantly.

3.4 All preparatory work towards the establishment of the International Financial Facility for Aviation Safety (IFFAS) was carried out. In June 2003, the President of the Council appointed the Governing Body, and IFFAS became operational.

3.5 The Technical Work Programme of the Organization in the Air Navigation Field (TWP) accomplished safety-related tasks to ensure that high priority programmes which affect the safety of the travelling public were fully funded and staffed. The mission programme was prioritized to ensure funding of safety-related activities.

3.6 The Air Navigation Commission reviewed, updated and prioritized on an annual basis its overall objectives and the tasks in the TWP. As part of this critical review, the Commission assigned priorities, predominantly on the basis of safety and links with its objectives, to all the TWP tasks. The objectives and priorities thus established have guided the appropriate assignment of resources within the Air Navigation Bureau. The overall objectives are closely linked to the ICAO Global Aviation Safety Plan and to the Strategic Action Plan of the Organization.

3.7 The work programmes of two Air Navigation Commission panels (Aeronautical Mobile Communications Panel (AMCP) and Aeronautical Telecommunication Network Panel (ATNP) and one air navigation study group (ATS Voice Switching and Signalling Study Group (AVSSSG)) have been consolidated to constitute the work programme of a single panel named the Aeronautical Communications Panel (ACP). Furthermore, the work programmes of the Global Navigation Satellite System Panel (GNSSP) and the Testing of Radio Nav aids Study Group (TRNSG) have been consolidated to constitute the work programme of the Navigation Systems Panel (NSP).

3.8 All panels of the Air Navigation Commission have been requested, when developing new SARPs material, to structure the material according to a set of guidelines developed by the Secretariat and approved by the Commission. The guidelines direct the panels to develop SARPs material comprising two sections, the first section containing broad, mature and stable SARPs and the second section containing detailed specifications and characteristics.

3.9 In the environmental field, the Council's Committee on Aviation Environmental Protection (CAEP) undertook a review of its working structure and methods which has led to a number of changes, including a simplified working group structure. In addition, the Secretary General has established an Environmental Unit within the Air Transport Bureau, enabling a partial consolidation of the Secretariat's resources in the environmental field.

3.10 In the legal field, use of non-budgeted small Secretariat study groups, composed of selected experts from Contracting States and international organizations, have been formed by the coordination of the Legal Bureau (LEB), with a view to studying and making recommendations on subjects included in the General Work Programme of the Legal Committee. In addition, efforts were made to encourage States to ratify international air law instruments.

#### 4. **RESOLUTION A33–3**

4.1 The Council approved guidelines for "fast-track" adoption of SARPs and approval of PANS necessary for safety and/or security. In addition, an Assembly working paper will be presented to the 35<sup>th</sup> Session which will contain proposals for the improvement of the development and adoption process of SARPs in general.

## **5. PROGRAMMES EVALUATION, AUDIT, AND MANAGEMENT – RESOLVING CLAUSE 3 c) of A32-1**

5.1 The evaluation, audit, and management review activities included in the annual work programmes of the Office for Programmes Evaluation, Audit, and Management Review (EAO) have been designed to improve programme management, transparency, and accountability as mandated in Assembly Resolution A32-1 and subsequent Council decisions. The activities covered in the annual work programmes of EAO have included evaluation and/or audit of specific programmes and activities such as sales of publications, operations of Regional Offices, telecommunications services, travel management, contracting procedures and procurements, and the modalities used to measure efficiency as well as the impact on implementation of SARPs of the Technical Cooperation Programme. EAO also audits and certifies the annual expenditure statements of regional aviation bodies. In addition, EAO also provides analysis and advice to the Secretary General and Senior Management with respect to management initiatives in such areas as accountability, programmes and organization structure, and application of information and communication technology. EAO activities have resulted in recommendations focussed on the need to improve controls to ensure compliance with regulations and rules, economy, efficiency, and effectiveness of operations and the need to review the adequacy of information used in decision-making, monitoring of activities and appropriateness of organizational structures. Where appropriate, action has been taken or initiated to implement many of the recommendations. EAO serves as a focal point for coordinating the Joint Inspection Unit's reviews involving the Organization. All activities of EAO are coordinated with the External Auditor. EAO submits its annual work programme as well as an annual report of activities undertaken to Council for its review and advice.

## **6. STREAMLINING THE ASSEMBLY PROCESS – CLAUSE 4 a) of A32-1**

6.1 Pursuant to the Assembly's instructions in that Resolution, the Assembly's reporting procedure has been streamlined, with effect from the 32<sup>nd</sup> Session, in order to avoid non-essential duplication of presentation and consideration of the same documents in different bodies. By suspending, at the outset of the Session, Rules 15 a), 15 d) and 33 of the *Standing Rules of Procedure of the Assembly*, the Plenary has been able to deal with initial items without prior involvement of the Executive Committee. As a follow-up to the Assembly's directive in A31-2 to "introduce more modern and efficient voting procedures, especially for the election of the Council," a new system for the counting of votes using an electronic procedure was put in place with effect from the 32<sup>nd</sup> Session of the Assembly. In conformity with the Assembly's request to reduce printed documentation, all Assembly working papers have, since A32, been available on the Organization's website in all of ICAO's working languages.

## **7. TECHNICAL CO-OPERATION PROGRAMMES AND SARPS – RESOLVING CLAUSE 3 f) 2) of A32-1**

7.1 The adoption of a new policy on Technical Co-operation has tackled the increase of a chronic deficit that has hampered the operation of the Technical Co-operation Bureau (TCB) for almost 10 years. This has resulted in a surplus for the past six years, except for the year 2002, as cost savings were realized by reducing the staffing level by implementation of the core staff concept in TCB. In addition, TCB has managed to reduce overhead charges from 13 per cent to an average of 6 per cent, depending upon the nature and complexity of the project and its associated costs.

7.2 Effective coordination with the Air Navigation Bureau has increased the impact of the Technical Co-operation Programme on the implementation of ICAO SARPs through the effective monitoring of projects' compatibility with impacted SARPs and helped to avoid duplication of efforts in the follow-up activities to USOAP audits.

7.3 The Air Transport Bureau and TCB have made progress in their co-ordinated efforts to implement TCB's Aviation Security Follow-up Programme for remedying deficiencies identified in the audits conducted by the Aviation Security Audit (ASA) Unit with a view to avoiding duplication of efforts.

## **8. ENHANCEMENT OF THE PERFORMANCE OF THE REGIONAL OFFICES – RESOLVING CLAUSES 6 b) and c) of A32-1**

8.1 In relation to initiatives for improving the effectiveness and efficiency of Regional Offices, the strategic priorities, established in the revised Strategic Action Plan, will provide clear directions for work and reporting of the results, the resource costs and the variance from plans for all the regional activities. Furthermore, in order to bring about improvements in the identification, monitoring and reporting of the results of regional work, a general framework is needed to enable a common methodology throughout the Regional Offices. The opportunity of preparing the draft Programme Budget for 2005-2006-2007 has been used as a starting point to reflect the allocation of resources based on management by objectives, and the consequent changes will be reflected in the Regional Office Manual (ROM).

8.2 The Secretary General plans to establish a formal annual review process for each of the seven Regional Offices. Considerable progress has been made in the last triennium in developing a draft business plan for the Paris Regional Office, with an intent to extend the same to remaining Regional Offices by 2006, subject to availability of resources.

8.3 As a part of the ongoing exercise aimed at the enhancement of the performance of Regional Offices, the Secretary General is implementing new technologies and adopting revised procedures that would improve overall programme delivery.

## **9. COST SAVINGS, WAYS OF REMOVING IMPEDIMENTS TO GREATER EFFICIENCY WITHIN THE SECRETARIAT (RESOLVING CLAUSES 4 e) and 5 b) of A32-1) AND USE OF NEW TECHNOLOGY TO IMPROVE EFFICIENCY**

9.1 As part of the continuous process to increase the efficiency and effectiveness of the Organization, the Council, during its 170<sup>th</sup> Session, considered and endorsed the proposal by the Secretary General to carry out a detailed study on strengthening programme management and improving work processes; improving efficiency in the use of information technology (IT) and greater integration of IT into work processes; staffing and staff training; and increased revenue generation. Consequently, the Secretary General established a multi-disciplinary Secretariat Team to undertake this work.

9.2 The Council received, during its 171<sup>st</sup> Session, a progress report containing a plan of action. The Council noted the ongoing work and new initiatives by the Secretary General on increasing the efficiency and effectiveness of the Organization, reviewed the plan of action and approved the allocation of budget for completion of the IT and training-related projects from the funds made available by the 34<sup>th</sup> Session (Extraordinary) of the Assembly (Resolution A34-1 refers). The next progress report would be presented to the 173<sup>rd</sup> Session of the Council in November/December 2004.

9.3 The Organization has taken a number of other measures and initiatives over the past few years with a view to achieving cost savings, increasing revenue and making better use of new technology.

### 9.3.1 **Management of the Headquarters Premises and Other Administrative Services**

9.3.1.1 The conference facilities continue to undergo technical improvements to provide better services to delegates. Conference Rooms 1 and 2 have been upgraded to allow delegates to connect to the ICAO-Net, and wireless communication facilities have been established. During major meetings, adequate Internet services are provided to the participants.

9.3.1.2 Building security has been strengthened. With the assistance of the Canadian Government, ICAO has been provided with state-of-the-art facility access equipment including an x-ray machine, walk-through metal detector and closed circuit TV (CCTV) monitoring systems.

9.3.1.3 On 5 September 2003, the Technical Corporation Bureau (TCB) effected its move from the 10<sup>th</sup> floor of ICAO Headquarters to the 25<sup>th</sup> floor of the Bell Tower, which is adjacent to the ICAO Headquarters building. This provided the additional space needed for TCB and met the need for additional office space for the reorganization and relocation of the Safety Oversight Audit Unit (SOA), Aviation Security and Facilitation Branch (AVSEC) and the Aviation Security Audit Programme (ASA). The remaining space was used to relocate some delegations in order to provide office space for the three new delegations on the Council. With the cooperation and support of the Federal and Provincial Governments, ICAO has obtained a 10-year lease of the 25<sup>th</sup> floor of the Bell Tower and has been able to reconstruct the Secretariat area of the 10<sup>th</sup> floor of the Headquarters premises at no additional cost to the Organization.

9.3.1.4 When not used by ICAO, the Conference Centre meeting rooms are rented to other organizations to generate income which is used to partially offset costs to the Regular Programme Budget, as all equipment and part of the operational and maintenance costs of the Centre are paid from this income.

### 9.3.2 **Language Services**

9.3.2.1 In the language area, the total output over the past three years has increased by 8.2%. Both the Arabic and Chinese languages were introduced at practically no additional cost to the Organization by transferring 13 Professional posts vacated through attrition from the English, French, Spanish and Russian Sections over the last three triennia while, at the same time, an adequate level of services was maintained through the use of new technology, enhancing efficiency, closer control over the work flow process, streamlining and reorganizing the operations, and by greater use of outsourcing. Computer-assisted translation software is being utilized and a new web-based multilingual system for terminology management has been introduced. By the end of the year, a new Electronic Documents and Enquiry Network (EDEN) will be implemented. EDEN will increase the efficiency of the Organization by migrating from the current manually intensive Document Control system to an ICAO-wide, multi-user, web-based network and will greatly facilitate the availability of electronic versions of completed documents in all six working languages, and provide powerful multilingual document search tools.

9.3.2.2 To reduce the cost of language services, remote translation methods continued to be used, where possible, for meetings held outside Headquarters (Diplomatic Conference in Cape Town, South Africa, Facilitation Divisional Meeting in Cairo, Egypt) by which the documentation was transmitted to Headquarters for overnight translation into five or six languages and re-transmitted to the meeting using modern means of communication.

### 9.3.3 Use of Automation

9.3.3.1 With the increased use of automation, ICAO is also in a position to better satisfy the demands for requests of data which are now sold to customers. For example, Air Transport Bureau (ATB) users have been provided with the automation tools and data required for producing, *inter alia*, standard documentation. This improvement in productivity can be attributed to the development of the Document Production Management System (DPMS). With the implementation of the Integrated Statistical Database (ISDB), it is planned to reduce the publication of the various Digests of Statistics, which have been increasing in size, and promote the dissemination of data in electronic form either by e-mail, CD or through direct access of statistical data via the Internet.

9.3.3.2 The financial system is being modernized and, as part of the first phase, a request for proposals to potential suppliers has been prepared. Significant enhancements in the payroll and accounting areas have already been implemented.

9.3.3.3 IT projects aimed at improving the overall efficiency of the Organization have made much progress in areas such as replacement of several legacy servers and operating systems by modern contemporary systems, putting in place a new network device, UROAM, to provide more functional and secure connection via Internet outside Headquarters, including Regional Offices. Work also is underway to upgrade the current Exchange 5.5 mail server to the latest version of the product, to implement effective Anti-spam tools and to introduce a mailbox management product that will automatically migrate attached documents to regular network storage without user intervention.

### 9.3.4 Human Resources Management

9.3.4.1 In order to expedite the recruitment process for Professional and higher category staff, the Council agreed to reduce the deadline for applications in the case of international Vacancy Notices initially from four to three months in 2000 and to two months in 2003.

9.3.4.2 At the request of the Council, the Commission for the Processing of Applications for Posts at the Director Level (COPAD) undertook a review of the established COPAD procedures with a view to their improvement and streamlining. The outcome of the review was noted and endorsed by the Council in 2003.

9.3.4.3 On the advice of the United Nations General Assembly, the International Civil Service Commission (ICSC) has been developing new approaches in the field of human resources management as part of the overall reform taking place in the UN common system organizations and decided to review, on a priority basis, the pay and benefits system. ICAO has participated actively in the work of the ICSC and its Working Groups in this regard. The results of an ICSC pilot study will be used to enhance existing ICAO personnel systems, such as the performance appraisal scheme, the competency framework, etc.

9.3.4.4 Communication with and information to staff have improved through the use of the ICAO Intranet.

### 9.3.5 Marketing of ICAO Services with Commercial Value and Sales of Publications

9.3.5.1 In 2002, a commercial website called ICAO eSHOP was developed with the goal of selling publications over the Web. Around one hundred users subscribe to four information services offering up-to-date documentation sets. A few CD-ROM titles are produced annually and offered to outside

commercial customers under subscription terms. Advertising space continued to be offered on the ICAO website to commercial organizations in order to generate additional income.

9.3.5.2 Income from the sale of publications over the past three years has increased from US\$ 2 878 801 in 2000 to over US\$ 4 000 000 in 2003.

### 9.3.6 **Improvement of Communications with States through Electronic Transmission**

9.3.6.1 Electronic publishing in ICAO started in 1995 with the launching of the public website. Current and historical information and documentation is available, often in six working languages. There are a total of 53 500 unique web pages on different ICAO websites. The number of visitors to ICAO's websites increased to 100 000 a month.

9.3.6.2 In 1999, a website called ICAO-NET was established for access by Member States. Currently, 168 States, all resident National Delegations and 62 international organizations have access to the ICAO-NET. It features unique sets of ICAO information and documentation. National Delegations to ICAO have access to a hyperlinked collection of Council, Air Navigation Commission (ANC) and other committees' working papers, minutes and decisions. A collection of all Safety Oversight Audit Reports, the delegation directory, schedule of meetings, briefings, and Commissariat information are regularly maintained.

### 9.3.7 **Library and Archives**

9.3.7.1 Microfilming of ICAO files is being replaced with document imaging, enabling easier retrieval and faster access to required information. Electronic archives are being developed to host an increasing number of archival materials.

## 10. **FINANCIAL IMPACT**

10.1 The proposals contained in this working paper have no direct budgetary implications for the immediate future. Improvements made in the 2002-2004 triennium will facilitate better resource deployment and management in the 2005-2007 triennium.

## 11. **ACTION BY THE ASSEMBLY**

11.1 The Assembly is invited to:

- a) note this report, and
- b) request the Council to continue on a permanent basis to work on the improvement of the effectiveness and efficiency of ICAO and to present a report to the next ordinary session of the Assembly.