



ASSEMBLY — 39TH SESSION

EXECUTIVE COMMITTEE

Agenda Item 27 : Increasing the efficiency and effectiveness of ICAO

INCREASING THE EFFICIENCY AND EFFECTIVENESS OF ICAO

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

This working paper reports on achievements and progress made by the Governing Bodies and the Secretariat to improve the efficiency and effectiveness of the Organization. It also presents on-going actions, ICAO's assurance framework, ICAO business plan, results-based budget as well as corporate performance management and identifies measures for further improvements during the 2017-2018-2019 triennium.

Action: The Assembly is invited to note the progress made in improving the efficient and effectiveness of the Organization as well as to endorse measures for further improvements during the 2017-2018-2019 triennium.

<i>Strategic Objectives:</i>	This working paper relates to all Strategic Objectives.
<i>Financial implications:</i>	The activities aiming at improving the effectiveness and efficiency of the Organization referred to in this paper will be undertaken subject to the resources available in the 2017–2019 Regular Programme Budget and/or from extra-budgetary contributions.
<i>References:</i>	A39-WP/22, Proposals to address the low response rate by Member States to ICAO State letters A39-WP/79, The Council's off-site strategy meetings as a mechanism to enhance the efficiency and effectiveness of ICAO A39-WP/46, Proposed Draft Budget of the Organization for 2017, 2018 and 2019 Doc 10022, <i>Assembly Resolutions in Force</i> (as of 4 October 2013)

1. INTRODUCTION

1.1 Throughout this triennium, the Organization has undertaken various initiatives to improve efficiency and effectiveness in order to meet the evolving needs of the Organization in support of Member States and the aviation community. Taking into account Assembly resolutions A31-2 and A32-1, this paper reports on progress achieved this far, including on ICAO's assurance framework as well as on corporate performance management, and it identifies initiatives for further improvement for the 2017-2018-2019 triennium.

2. EFFECTIVENESS OF THE ORGANIZATION

2.1 ICAO is focusing its efforts to achieve efficiency and effectiveness, inter alia, on the following areas.

2.2 Effectiveness of Governing Bodies

2.2.1 The Council continues to improve the efficiency and effectiveness of its working methods and those of the subsidiary bodies by reviewing its draft work programme and that of its Committees and the ICAO programme of meetings by identifying topics that can be consolidated; deferring topics that are not ripe for discussion; and deleting topics that no longer require consideration. The Council, through its Working Group on Governance and Efficiency (WGGE), examined corporate policy and governance issues of the Organization in diverse areas. In particular efforts have been undertaken in the review of ICAO's policy formulation process and through a policy mapping exercise. Furthermore, working papers relating to implementation and assistance matters (including the NCLB initiative, regional office reports, aviation training and resource mobilisation activities) are reviewed by the Implementation, Strategy and Planning Group (ISPG) prior to consideration by the Council.

2.2.2 The Council has also reviewed ways in order to address the low response rates to ICAO State letters and agreed to present an Assembly resolution that calls for complete and timely responses and periodic status report to the Assembly (A39-WP/22 refers). Furthermore, the Council reported to the Assembly on the progress of implementation of approved recommendations arising from the Council's off-site strategy meetings (A39-WP/79 refers).

2.2.3 In reviewing ways to improve the overall structure of the preparatory work for the Assembly as requested at the 38th Assembly, the Council, on recommendation of the WGGE, has prescribed further measures to implement the prescribed deadlines for working papers submitted to the 39th Assembly. The Council at its third meeting during the 207th session decided that measures to enhance the effectiveness of high level meetings and to revise the format of Assembly resolutions will be developed for future sessions of the Assembly.

2.2.4 As approved by the Council, an electronic voting system will again be used for the Council elections during the 39th Assembly, which will allow for significant time savings during the election process.

2.3 Enhanced Communication with Members States through Widespread Dissemination of Information

2.3.1 Major upgrades to ICAO's internal and external facing web platforms, such as the Intranet and the Secure Portal, as well as a number of web-related key projects were completed to enhance and facilitate communications with and amongst ICAO's Member States. Those key projects

included the Conflict Zone Information Repository (CZIR), which was approved for one year and would be reviewed by Council thereafter, a web-based document management platform and the recently launched Crisis and Rapid Response Communication System (CRRCS). Significant effort was put into improving the usability and accessibility of public information and the consistent use of ICAO's corporate branding across its web platforms. ICAO State letters are now being transmitted by email through the implementation of a paperless State Letter System, which saves costs and also enables tracking and reporting of official replies.

2.3.2 With the overall objectives of providing capacity-building assistance to Member States and of developing talent for the next generation of international civil aviation professionals of diverse geographic backgrounds, ICAO continued to pursue capacity-building and outreach activities and strategies through communications with Member States and partnerships in the aviation sector. In all of the above initiatives, ICAO serves as the platform through which young and talented professionals are given the opportunity to gain regulatory experience.

2.3.3 ICAO's brand continues to be formalized and has now been set in place in terms of the Organization's corporate and marketing communications, publications covers, and outward-facing stationery. ICAO's Twitter and Facebook presence continues to be improved to enhance outreach to Member States and aviation stakeholders, with followers having been tripled on Twitter (to over 46 000) in the past two years.

2.4 Improved Work Methods and Procedures Supported by Automation and IT Tools

2.4.1 An upgrade of the Enterprise Resource Planning (ERP) system was concluded. The tool is used to manage key processes including Finance, Human Resources and Procurement, supporting the streamlining and modernization of the organization's administrative processes. Data interchange services with other UN agencies based on the SDMX protocol were launched in 2015, which benefits ICAO and participating UN agencies by extending access to quality statistical data and by providing interoperability of associated platforms.

2.4.2 Several initiatives in the context of the One-ICAO IT infrastructure to facilitate communication and enhance collaboration amongst staff members in Headquarters and the Regional Offices (RO) were implemented, such as the *Unified Communication service*, which provides tools for staff to improve collaboration and reduces the need to travel for meetings; and the *Internet Protocol (IP) Telephony* service which reduces cost for ongoing support and maintenance for the telephone system and for long distance charges to ROs. A new Customer Relationship Management (CRM) application has been introduced in the Secretariat to manage registration for ICAO events as well as activities related to publications, exhibitors and sponsors. This new system eliminates redundant procedures in the registration process and enables the Organization to better support its clients and also facilitates registration by Member States for participation in ICAO's events.

2.4.3 The efficiency and quality of language and publications services were enhanced through the upgrade of the computer assisted translation and terminology tool, which offers new features as well as improved text and term bases to facilitate the work of language professionals. Voice recognition software is being implemented, reducing the need for typing and easing the workload for text processing. Further improvements have been made to ICAO's Electronic Document and Enquiry Network (EDEN) by introducing a slotting system to help match demand with capacity; and dashboards to view, plan, and assign work and to generate statistics. An advanced desk-top publishing software has been introduced, enabling in-house production of professional-level covers and document lay-outs. The new Document

Management System (DMS) is being finalized, and all ICAO meeting documentation will be available and searchable.

2.4.4 In the area of human resources management, enhancements were made through clarification, standardization and documentation of procedures, resulting in increased operational and programme-related efficiencies. Client services were improved through the launch of a new HR portal and the automation of business processes, which assisted in eliminating redundancies. At the policy level, changes were introduced in key HR management pillars resulting in increased readiness in meeting evolving requirements. Recruitment timelines and alignment of assessment and selection processes for senior level posts were introduced, which contributed to a more rigorous process, thereby assisting the Organization in the selection of the right person for the right job. ICAO's workforce planning efforts have been strengthened in the area of succession planning, specifically relating to vacancy risk management and transfer of institutional knowledge of separating staff. Enhanced learning and development opportunities have contributed to the professional development of staff, whilst ensuring that the required knowledge, skills and competencies are available to the Organization to deliver its work programmes.

2.4.5 A specific work programme was established in the areas of aviation safety and air navigation capacity and efficiency which is aligned with the global plans (GANP and GASP). Further initiatives included the modernization of the ANC Panels structure, entailing the establishment of matrix structures, to more effectively address the increasingly multidisciplinary nature of aviation, and the dissolution or repurposing of existing panels, as well as the establishment of an "All ANC Panels" website to support efficient working practices within and across panels. A review and update of ANC procedures and practices (P&P) as well as ANB Secretariat Instructions (ANSI) were conducted so as to improve working methodologies.

2.4.6 In the area of aviation security, the 37th Session of the Assembly (Resolution A37-17, Appendix E refers) requested the Secretariat to assess the feasibility of adopting a Continuous Monitoring Approach (CMA) specific to aviation security; thereafter, Council at its 197th Session formally approved the USAP-CMA and the transition plan, and this decision was later endorsed by the 38th Session of the Assembly. After a transition period, full implementation of the Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA) began on 1 January 2015.

2.4.7 2014 marked the initial development of a Business Process Management Solution (BPMS) for the automation and optimization of processes in the Technical Cooperation Bureau (TCB), which will facilitate the monitoring of and reporting on all ongoing projects, increase efficiencies through the reduction of e-mail and paper-based flows, and provide document management capabilities and audit trail, interfacing with current applications in particular ICAO's Enterprise Resource Planning (ERP) system (Agresso).

2.5 Assurance Framework

2.5.1 The Council agreed to review the assurance framework and consider whether the totality of assurance currently obtained from the Evaluation and Internal Audit Office (EAO), the External Auditor, and the Joint Inspection Unit (JIU) was sufficient for ICAO to successfully manage its risks. After a workshop on Corporate Risks register & Assurance Framework & Corporate Key Performance Indicators took place on 1 March 2016, the Council was invited to develop an integrated assurance framework (i) to identify any gaps or overlaps in assurance, and (ii) to consider whether the levels of assurance are adequate.

2.6 ICAO Business Plan, Results-based Budget and Corporate Performance Management

2.6.1 The ICAO Business Plan for 2017-2018-2019, as presented during the 207th Session of the Council, sets out the strategies and priorities to guide the activities of the Organization to enable States to attain a safe, secure, efficient, economically viable and environmentally responsible air transport, and it highlights ten Key Priorities to advance the realization of the fifteen Expected Results attributable to the Organization's five Strategic Objectives along with the work programme described in the Operating Plans. The draft ICAO Business Plan for 2017-2018-2019 takes into consideration all of the work mandated to be undertaken by the Organization and forms the basis for resource allocation. The approved Regular Programme Budget serves as the primary means, supplemented by other sources of funding, to meet the results required to comply with the ICAO Business Plan.

2.6.2 Both the result-based Budget and the ICAO Business Plan for 2017-2018-2019 follow a Results-Based Management (RBM) approach; integrating strategy, resources, processes and measurements to improve decision-making, transparency, and accountability. This approach focuses on achieving results through a Corporate Performance Management Framework comprising all the components of the ICAO Business Plan, including the Operating Plans, Corporate Key Performance Indicators and Risks Registers, through which ICAO will continually monitor and enhance its accountability and performance with respect to the implementation of the direction of the Assembly, thus increasing the efficiency and effectiveness of ICAO.

3. ACTIVITIES TO BE UNDERTAKEN DURING THE 2017-2018-2019 TRIENNIUM

3.1 In the forthcoming triennium, the efforts to improve the efficiency and effectiveness of the Organization will continue in several areas. The ever evolving nature of international civil aviation will require ICAO to adapt to challenges and exigencies that affect Member States and the industry, in particular in view of budgetary constraints, which will have to be addressed through a variety of measures.

3.2 A series of focus areas have been identified in order to enhance the efficiency, effectiveness and impact of ICAO's work to attain the expected results as reported in the Draft Budget of the Organization for 2017-2018-2019 (A39-WP/46 refers), which include the strengthening of ICAO's regional presence, improving ICAO's SARP and Policy development, strengthening partnership with international and regional organizations, enhancing ICAO governance, improving corporate performance and risk management, and responding efficiently to aviation emergencies.

3.3 The Council will strive to further improve the efficiency and effectiveness of its working methods and those of the subsidiary bodies and will, through the WGGE, continue to examine corporate policy and governance issues of the Organization in diverse areas. Efforts will continue in reviewing ways and measures to enhance the effectiveness of high level meetings, to improve the overall structure of the preparatory work for the Assembly, as requested at the 38th Assembly, and a proposal to revise the format of Assembly resolutions will be developed for future sessions of the Assembly.

3.4 The electronic dissemination of information will continue to be enhanced to improve communication with Member States and to facilitate wider access to ICAO's information. Web-based communication channels will continue to be utilized to engage Member States in advancing the Strategic Objectives of the Organization. These communication efforts may be accomplished mainly through promotion of key projects and events which may showcase results of surveys, studies and/or databases.

3.4 Social networking platforms will continue to be exploited as related audiences and tools become more appropriate to ICAO's content streams. A focus will also be placed to improve ICAO's presence and recognition locally and internationally through a number of agreements and initiatives. ICAO's corporate and media communications will be further adapted to make the full range of ICAO's messaging opportunities better suited to 21st century tools, news environments and attention spans.

3.5 Additional areas to improve the work methods and procedures of the organization with support of IT tools are ongoing projects on big data, business intelligence, cybersecurity, eBusiness and a continued move towards a "less paper" environment. The completion of the SARPS backbone project to provide an integrated platform to all stakeholder groups for the management and coordination of processes related to the production of SARPS is foreseen.

3.6 In the area of air navigation, particular initiatives for improved efficiency and effectiveness with regard to ICAO Standards and Recommended Practices include the development of a guide on the drafting of SARPs and PANS, so-called "Standards for Standards", as a means to ensure uniformity and consistency in SARPs/PANS drafting style, and the introduction of impact assessments and implementation task lists during the Standards-making process as a means to foster the implementation of ICAO provisions in the domains of aviation safety and air navigation capacity and efficiency. To reduce the regulatory burden on States and to maintain the stability of ICAO SARPs and national regulations, SARPs amendments will be based on risk assessments and limited to those that are significant, and editorial amendments will only be made if essential (Assembly Resolution A38-11 refers). Consideration is also being given to a proposal in the future for a high-level air navigation or safety conference twelve to eighteen months prior to an Assembly so that work identified for ICAO by the States can be included as part of budget deliberations in preparation for the Assembly.

3.7 In the area of aviation security, the planning and scheduling of USAP-CMA audits will continue to be carried out using a risk-based approach, which allows ICAO to focus its efforts on those States that would most benefit from an aviation security audit, or where specific concerns have been identified. This will continue to contribute to improved efficiency in the conduct of aviation security audits.

3.8 The Business Process Management Solution for the automation and optimization of TCB processes is expected to be operational in the Field Operations Section in 2017 and fully functional across all TCB Sections in 2018.

3.9 The Council will decide on actions deemed to enable it to gain sufficient assurance that processes are operating within the parameters that it has established to achieve the defined objectives. It will determine whether risk management processes are working effectively and whether key or business-critical risks are being managed to an acceptable level.

3.10 The ICAO Business Plan is a living document that must be continuously adjusted to meet the changing needs of States and the global aviation community. To that end, changes to relevant elements of the Business Plan will be made as necessary, including through the review of emerging aviation issues, the assessment and mitigation of internal and external risk factors.

3.11 A Corporate Performance Management framework is expected to be established prior to the start of the 2017-2018-2019 triennium. The framework will include corporate KPIs at Strategic Objective and Supporting Strategy level as well as at key activity/project level. The Corporate Performance Management framework will provide both Management and Council with an overview of the Organization's performance.

4. CONCLUSION

4.1 The Council endorsed a series of recommendations, and the Secretariat has taken appropriate actions, that have improved the efficiency and effectiveness of the Organization throughout this triennium. Further measures have been developed for the triennium 2017-2018-2019 through modernizing procedures and processes with consequential improvements in efficiency.

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