VII. MAJOR PROGRAMME - FINANCE, EXTERNAL RELATIONS/ PUBLIC INFORMATION AND PROGRAMMES EVALUATION, AUDIT AND MANAGEMENT REVIEW

TABLE VII - MAJOR PROGRAMME COST - FINANCE, EXTERNAL RELATIONS/ PUBLIC INFORMATION AND PROGRAMMES EVALUATION, AUDIT AND MANAGEMENT REVIEW

REGULAR BUDGET

	1999 Estimates	2000 Estimates	2001 Estimates
		(expressed in thousands of U.S. dollars)	
Major Programme VII	3 128	3 197	3 156
Deduction for vacant posts	(75)	(80)	(88)
Total (after deduction for vacant posts)	3 053	3 117	3 068
7.1 Finance	1 542	1 572	1 548
7.2 External Relations/Public Information	1 038	1 063	1 032
7.3 Programmes Evaluation, Audit and Management Review	473	482	488
Total (after deduction for vacant posts)	3 053	3 117	3 068

INTRODUCTION

1. This major programme provides the specialized services required by the Organization. It includes Finance, External Relations/Public Information and Programmes Evaluation, Audit and Management Review.

SUMMARY FOR MAJOR PROGRAMME VII

REGULAR BUDGET - RESOURCE REQUIREMENTS

YEAR	WORK MONTHS				TOTAL COST ($ 000)	DIRECT COSTS ($ 000)					
	Establishment		Strength			MEETINGS	STAFF		GEN. OP. EXPENSES	EQUIPMENT	OTHER
	P	GS	P	GS			Strength	Vacant posts			
1999	180	264	174	252	3 128		2 302	75	669	21	61
2000	180	264	174	252	3 197		2 361	80	672	22	62
2001	180	264	174	252	3 156		2 401	88	647	20	

7.1 PROGRAMME: **FINANCE**

a) ***Objectives***: Provide expert Secretariat services required by the Assembly, the Council and the Finance Committee. The Chief of the Finance Branch serves as the Secretary of the Finance Committee. Provide for the financial management and control of the approved budget in accordance with the Financial Regulations and Rules, policies, practices and procedures and Assembly and Council directives. This involves the development and co-ordination of the triennial budget estimates of the ICAO Regular Programme, the exercise of expenditure control against the approved budget and allotments, and financial reporting on the utilization of appropriations. Develop and implement accounting, treasury and payroll systems for the Organization.

b) ***Quantitative annual output*** (1996 figures):
- 34 documents for the Council and Finance Committee (134 in an Assembly year);
- 84 000 accounting entries (entries for payments or receipts excluded) out of which 45 000 for Technical Co-operation managed programmes.
- payroll of 760 staff members of the Regular Programme and 390 of Technical Co-operation administered programmes (of which 160 were field staff and experts); 1 560 personnel actions (for changes) were issued for the Regular Programme and 1 400 for the Technical Co-operation administered programmes;
- 20 891 payments and 8 750 receipts;
- 4 100 travel authorizations and travel claims out of which 1 200 for Technical Co-operation managed programmes.

7.1.1 In the 1999-2000-2001 triennium, a provision of $ 109 000 has been made for the improvement to ICAO's accounting system. This improvement would further automate the accounting system of the Organization.

SUMMARY FOR PROGRAMME 7.1: FINANCE

REGULAR BUDGET - RESOURCE REQUIREMENTS

YEAR	WORK MONTHS[1] Strength		TOTAL COST ($ 000)	DIRECT COSTS ($ 000)				
	P	GS		MEETINGS	STAFF Strength	GEN. OP. EXPENSES[2]	EQUIPMENT[3]	OTHER
1999	96	156	1 542		1 282	248	12	
2000	96	156	1 572		1 317	242	13	
2001	96	156	1 548		1 338	197	13	

[1] 12 General Service staff (114 work months per annum) are also provided under the Technical Co-operation Budget.
[2] Amounts relate primarily to estimated expenses for the External Auditor and the Joint Inspection Unit, improvement of the accounting and management information systems, software acquisition and travel on official business.
[3] Amounts relate to acquisition of office automation equipment.

7.1.2 Sub-programme: **Programme management**
(Strategic Action Plan: ***H.3 Managerial and administrative reform of the Secretariat; H.4 Systematic programme planning processes; H.5 Transparent and fully-allocated programme budget***)

a) ***Objectives***: To develop, direct, co-ordinate and monitor the Organization's financial, accounting and budgetary programmes. To advise and provide guidance on policy matters that have financial considerations. To harmonize, through participation in the inter-agency machinery, the Organization's financial policies and procedures with those of the other UN organizations. To improve the accounting system of the Organization.

7.1.3 Sub-programme: **Budgeting and Expenditure Control**
(Strategic Action Plan: ***H.3 Managerial and administrative reform of the Secretariat; H.4 Systematic programme planning processes; H.5 Transparent and fully-allocated programme budget***)

a) ***Objectives***: To prepare the triennial budget estimates and co-ordinate the programme budget of the Organization. To advise the senior management on budgetary matters and policy matters which have financial implications. To exercise expenditure control against the approved budget and the allotments. To improve the budgeting and expenditure control system to facilitate the efficient use of funds.

7.1.4 Sub-programme: **Accounting, Payments and Reporting**
(Strategic Action Plan: ***H.4 Systematic programme planning processes***)

a) ***Objectives***: To maintain and ensure the accuracy of the accounts of the Regular Programme, including the General Fund, Working Capital Fund, Joint Financing Funds, the Administrative and Operational Services Cost Fund, the Technical Co-operation Programme, consisting of allocations and projects under the UNDP, Trust Funds, multiple agreements under the ICAO Civil Aviation Purchasing Service (CAPS) and related funds, Aviation Security, Safety Oversight and other miscellaneous funds. To provide financial information to support decision making and the appropriate use of financial resources. To calculate scales of assessment on Contracting States under Assembly principles for approval by the Assembly. To follow-up on arrears in payment and administer payment arrangements concluded by Contracting States with the Council. To review and approve duly certified invoices, travel authorizations and other forms of payments for all expenses (excluding salary payments) of the Organization. To prepare periodic and year-end financial statements, working papers and other reports as required.

7.1.5 Sub-programme: **Payroll**
(Strategic Action Plan: ***H.5 Transparent and fully-allocated programme budget***)

a) ***Objectives***: To operate the payroll system for the entire staff of the Organization including field staff, embracing the calculation, verification and balancing of payment of salaries, allowances, various grants and subsidies, deductions for staff assessments, pension contributions, health and life insurance and other benefits. To prepare the various financial and statutory reports as required.

7.1.6 Sub-programme: **Treasury**

a) ***Objectives***: To carry out all treasury and banking operations for receipts and payments for all programmes of the Organization, including receipt and deposit of all funds and issuance of cheques for all types of Headquarters' payments and instructions to UNDP for field payments. To invest available funds to obtain the maximum interest income while ensuring liquidity and safety of capital.

7.2 PROGRAMME: **EXTERNAL RELATIONS/PUBLIC INFORMATION**

a) ***Objectives***: Represent the Organization and manage its external relationships with other international governmental and non-governmental organizations, the United Nations system, and the public media. Ensure that those relationships remain constructive and benefit international civil aviation.

SUMMARY FOR PROGRAMME 7.2: EXTERNAL RELATIONS/PUBLIC INFORMATION

REGULAR BUDGET - RESOURCE REQUIREMENTS

YEAR	WORK MONTHS Strength		TOTAL COST ($ 000)	DIRECT COSTS ($ 000)				
	P	GS		MEETINGS	STAFF Strength	GEN. OP. EXPENSES[1]	EQUIPMENT	OTHER[2]
1999	42	60	1 038		569	408		61
2000	42	60	1 063		583	418		62
2001	42	60	1 032		593	439		

[1] Includes the following amounts ($ 000):	**1999**	**2000**	**2001**
a) the ICAO Journal	351	360	381
b) other public information services	37	38	38
c) travel on official business, software acquisition and hospitality	20	20	20

[2] Amount relates to the Familiarization Course

7.2.1 Sub-programme: **External Relations**

a) ***Objectives***: Foster the aims and objectives of the Organization by ensuring constructive and harmonious relations with States, with the Host Governments, the Organizations of the United Nations system and with other international governmental and non-governmental organizations.

7.2.1.1 **Programme Management**

a) ***Objectives***: Plan, develop and supervise the implementation of the programme; co-ordinate administrative aspects related to the execution of the programme and personnel questions; serve as the Secretary of the Assembly and Council bodies.

7.2.1.2 **Relations with States and International Organizations**

a) ***Objectives***: Maintain close relations with Contracting States, directly or through their representatives accredited to ICAO, non-Contracting States and international organizations. Undertake, in co-operation with other Bureaux and Offices, to project a more precise image of ICAO and to enhance the awareness of Governments and relevant organizations regarding the future challenges faced by the Organization through focus on the Strategic Action Plan.

b) ***Programme elements***: Monitor current political events and provide policy guidance to the President of the Council, the Secretary General, national delegations and senior management regarding developments which might affect ICAO; supervise collection and dissemination of relevant information on national civil aviation administrations (Doc 7604), and implement an electronic database of this information; organize and manage ICAO Familiarization Courses in 1999 and 2000; co-ordinate ICAO representation at international meetings and prepare quarterly reports to the Council thereon; process requests from other organizations to attend ICAO meetings; serve as Secretary of the Edward Warner Award Committee of the Council.

7.2.1.3 **Co-ordination with the United Nations System**

a) ***Objectives***: Maintenance of close co-ordination and co-operation in order to ensure that ICAO is promptly and continuously informed of all developments within the UN system likely to affect ICAO activities while also ensuring that ICAO policies, experience and interests are duly taken into account by the appropriate bodies.

b) ***Programme elements***: Participate at system-wide meetings on co-ordination and programme planning, particularly within the framework of the ACC and OC and its subsidiary machinery and the UN Economic and Social Council (ECOSOC) with a view to avoiding duplication and ensuring consistency between activities and programmes of the UN system. Co-ordinate preparation of ICAO contributions to numerous requests from the UN system for information.

7.2.1.4 **Liaison and Protocol Services**

a) ***Objectives***: Maintenance of close relations with the Departments of External Affairs of Canada and the seven Member States hosting ICAO Regional Offices.

b) ***Programme elements***: Provide policy guidance and advice on mattes relating to the privileges and immunities granted to the Organization, national delegations and members of the Secretariat. Act as the focal point for the Organization's relations with the eight host countries. Maintain liaison with the protocol services of the Provincial Government of Quebec concerning fiscal exemptions and courtesy privileges accorded by the Understanding between ICAO and the Government of Quebec, which entered into force on 1 September 1994.

7.2.2 Sub-programme: **Public Information**

a) ***Objectives***: Provide Contracting States, appropriate international organizations, the electronic and print media, and any other bodies and persons that influence public opinion or have an ongoing need to know with factual technical and non-technical news and information on all matters concerning civil aviation with which the Organization is associated. Contribute to increased public awareness of ICAO.

7.2.2.1 Objectives will be achieved by working with the UN and international bodies, through ICAO publications and through dissemination of appropriate information to the media and to the public at large as requested. A principal outlet for information is the ICAO Journal, which will continue to be published ten times a year in English, French and Spanish editions and quarterly as a digest in Russian. Some 20 to 30 press releases will be issued annually as required. The ICAO publications will be updated both in design appearance and content.

7.2.2.2 Support will be given to senior ICAO staff members in the preparation of speeches and lectures. Lectures will be arranged for visiting groups, and interviews will be arranged for writers and journalists. Radio, television and film teams will be assisted in their work. Periodically special exhibits will be organized, including special exhibits around the world.

7.3 PROGRAMME: **PROGRAMMES EVALUATION, AUDIT, AND MANAGEMENT REVIEW**

Objectives: To provide oversight and information management services in accordance with the requirements of Operative Clause 4c) of Assembly Resolution A 31-2 and the Council C-WP/9972, C-DEC 142/7, C-WP/10405, C-WP/10429, C-DEC 149/19, C-WP/10498, C-DEC 149/12 and C-DEC 150/10, with particular emphasis to: a) monitoring a quality management system to establish a systematic, coherent and integrated approach to programme performance assessment; b) providing for strategic planning and accountability, relevant information to senior management and to Council on what the programmes, sub-programmes and/or programme elements have achieved and how resources allocated to them were expended; c) designing work programmes to reinforce the system of internal controls; and d) providing reporting facility to staff. To fulfil EAO mandates within the parameters established by the Assembly and Council, appropriate human resources are necessary to ensure the effectiveness, flexibility, and responsiveness of the internal oversight mechanism with independent reporting to the Council.

SUMMARY FOR PROGRAMME 7.3: PROGRAMMES EVALUATION, AUDIT AND MANAGEMENT REVIEW

REGULAR BUDGET - RESOURCE REQUIREMENTS

YEAR	WORK MONTHS Strength		TOTAL COST ($ 000)	DIRECT COSTS ($ 000)				
	P	GS		MEETINGS	STAFF Strength	GEN. OP. EXPENSES[1]	EQUIPMENT[2]	OTHER
1999	36	36	473		451	13	9	
2000	36	36	482		461	12	9	
2001	36	36	488		470	11	7	

[1] Amounts relate primarily to travel on official business and software acquisition.
[2] Amounts relate to acquisition of office automation equipment.

7.3.1 Sub-programme: **Programme Management**

Objectives:

a) To enhance programmes development through improvement in evaluation, Value for Money (VFM) audits and other assessment processes.

b) Formulate, interpret and advise on policy matters concerning strategic planning, management review, information technology, programmes oversight activities for accountability purposes and quality assurance. (Strategic Action Plan: ***H.4 Systematic programme planning processes; H.6 Programme oversight mechanism)***

c) Improve co-ordination of internal and external oversight efforts to minimize duplication and provide adequate coverage. (Strategic Action Plan: ***H.6 Programme oversight mechanism)***

d) Prepare regular progress and specific reports to the Secretary General on specific requests concerning evaluation, audit, and information management and on matters relating to policy and organizational requirements. (Strategic Action Plan: ***H.3 Managerial and administrative reform of the Secretariat);*** and

e) Submit annual Performance Assessment Report to the Council. (Strategic Action Plan: ***H.6 Programme oversight mechanism)***

f) *Programme elements*:

Programme elements	Output, reference and target date	SAP-Key Activity	Priority
1. Performance oversight - Management review reports and notes to Secretary General and Management		H.6	RA
2. Organization-wide Risk Assessment evaluation for priority setting based on highest risk areas to be conducted		H.3	RA
3. Annual Performance Assessment Report presented to the Council	Working paper (*Target date*: 1Q - 99, 00, 01)	H.4	A
4. EAO Work Programme for the years 1999, 2000, 2001 presented to the Council	Working paper (*Target date*: 1Q - 99, 00, 01)	H.4	A
5. Two JIU reports presented to Council	Working paper (*Target date*: 2Q - 99, 00, 01) Working paper (*Target date*: 4Q - 99, 00, 01)	H.6	B
6. Internal and external oversight co-ordination	Discussions, agreement on scope of activities (*Target date*: 1, 4Q - 99, 00, 01)	H.6	A

7.3.2. Sub-programme: **Information Management Programme**

a) ***Objectives***: To provide information management programmes as outlined in the programme elements listed below:

7.3.2.1 Programme element: **Automated Information Management System**
(Strategic Action Plan: ***H.4 Systematic programme planning processes; H.5 Transparent and fully-allocated programme budget; H.6 Programme oversight mechanism)***

a) ***Objectives***: Ensure that the automated and integrated system used to collect information for programme/projects and for monitoring, evaluation, and documentation of shortfalls meets requirements and that the results can be used to aid future programme design and budgeting as part of the Planning, Programming, and Budgeting System (PPBS) and the implementation and evaluation processes.

b) ***Programme elements:***	**Output, reference and target date**	**SAP-Key Activity**	**Priority**
1. Provide an automated and integrated project and time management system	*Target date*: 1Q 99	H.3	RB
2. Complete and consistent data collection of all relevant programme budget information	*Target date*: 3Q 00	H.5	RA
3. Project managers provided with guidelines and training for management and production of programme budgets	*Target date*: 3Q 00	H.4	RA
4. Improved evaluation and assessment processes leading to enhanced programme delivery	*Target date*: 3Q 00	H.6	RA

7.3.2.2 Programme element: **Quality Assurance**
(Strategic Action Plan: ***H.3 Managerial and administrative reform of the Secretariat)***

a) ***Objectives***: Develop standards for continuous improvement.

b) ***Programme elements:***	**Output, reference and target date**	**SAP-Key Activity**	**Priority**
1. Improvement in production, productivity, housekeeping, quality of management, and quality of work Organization-wide	*Target date*: 4Q 01	H.3	RA

7.3.2.3 Programme element: **WorkFlow Management**
(Strategic Action Plan: ***H.3 Managerial and administrative reform of the Secretariat***)

a) ***Objectives***: Provide written guidelines and training workshops on the flow of information and work throughout the Organization. Provide information to aid in re-engineer procedures, where necessary, for improved performance.

b) ***Programme elements:***

	Output, reference and target date	**SAP-Key Activity**	**Priority**
1. Users at each stage of production process trained in methodologies necessary for smooth flow of work and information	*Target date*: 4Q 01	H.3	RA
2. Workgroup managers provided with guidelines and standards required for managing information and workflow	*Target date*: 4Q 01	H.3	RA
3. Improved productivity, efficiency, and increased throughput, in particular for all forms of work involving more than one workgroup	*Target date*: 4Q 01	H.3	RA
4. Improved planning for continuous quality improvement	*Target date*: 4Q 01	H.4	RA
5. Improved ability to respond to organizational changes	*Target date*: 4Q 01	H.4	RA

7.3.2.4 Programme element: **Data Integrity Analysis**
(Strategic Action Plan: ***H.3 Managerial and administrative reform of the Secretariat***)

a) ***Objectives***: Provide, as part of larger Information Security Policy, an analysis of data integrity requirements, the implementation of which to be used to ensure integrity of all Organization's data, whether in electronic or hard-copy format.

b) ***Programme elements:***

	Output, reference and target date	**SAP-Key Activity**	**Priority**
1. Improved availability of data	*Target date*: 4Q 01	H.3	RB
2. Improved quality and reliability of data	*Target date*: 4Q 01	H.3	RB
3. Reduction in number of reruns caused by data errors	*Target date*: 4Q 01	H.3	RB
4. Reduction in delays caused by reruns	*Target date*: 4Q 01	H.3	RB

7.3.2.5 Programme element: **Information System (IS) Audits**
(Strategic Action Plan: ***H.3 Managerial and administrative reform of the Secretariat***)

a) ***Objectives***: Establish and implement appropriate methodologies for conducting IS audits. Conduct specific IS audits with priorities based on highest cost. Provide IS professionals with advice during system development phases to help reduce costs and improve efficiency.

b) ***Programme elements:***

Programme elements	Output, reference and target date	SAP-Key Activity	Priority
1. Audit methodologies developed	*Target date*: 1Q 99	H.3	RA
2. Preliminary IS Audit survey completed	*Target date*: 2Q 99	H.3	RA
3. Analysis and identification of priorities for IS audit	*Target date*: 2Q 99	H.3	RA
4. Standards and procedures developed for on-going IS audits	*Target date*: 3Q 99	H.3	RA
5. Standards and procedures developed for IT systems development	*Target date*: 3Q 99	H.3	RA

7.3.3 Sub-programme: **Audit Activities**
(Strategic Action Plan: ***H.6 Programme oversight mechanism)***

a) ***Objectives***: To determine whether the functions of planning, organization, direction, documentation, accounting, custody and control of resources are carried out with efficiency, effectiveness and in an economical manner, consistent with overall objectives of the Organization with particular emphasis on the review and appraisal of the soundness, adequacy, and application of accounting, financial and administrative control, determination of compliance with Regulations, Rules and applicable procedures.

b) ***Programme elements:***

Programme elements	Output, reference and target date	SAP-Key Activity	Priority
1. Areas of audit are as follows: One Regional Office, value for money audits, areas of high risk, etc. (Specific audit assignments planned for the triennium will be listed in detail in the yearly EAO Audit Work Programme)	Audit Reports	H.6	RA
2. Mandatory assignment: Certification of Expense Statements for AFCAC, ECAC & LACAC	Audit Report (*Target date*: 2Q - 99, 00, 01)	H.6	A

b) *Programme elements:*	**Output, reference and target date**	**SAP-Key Activity**	**Priority**
3. Systematic follow-up of audit recommendations outstanding from previous audit reports	Memoranda	H.6	RA
4. Special requests, audit or non-audit related, received from Management	Memoranda, Audit Reports	H.6	RB
5. Progress reports to the Secretary General: Periodic and annual summary report on Audit reports outstanding	*Target date*: quarterly	H.6	RA
6. Issuance of opinion on a variety of subjects as required by Management or judged by C/EAO	Memoranda	H.6	RB

7.3.4 Sub-programme: **Evaluation**

a) ***Objectives***: To ensure organization-wide improvement in programmes performance and achievements of the programmes objectives; to assist in decision-making on programme resource allocation in future planning, programming, and budgeting activities, with particular emphasis on programme impact through:

i) activities during the preparation of the 2002-2004 triennium programme budget to ensure that in the future, evaluation design and scope of work will focus on results targeted at the design stage (Strategic Action Plan: ***H.4 Systematic programme planning processes; H.5 Transparent and fully-allocated programme budget***)

ii) forward orientation which captures the lessons of experience from the implementation of the 1999-2001 triennium programmes that have clear implication for the next triennium regular and technical co-operation programmes (Strategic Action Plan: ***H.4 Systematic programme planning processes***)

iii) Development of ICAO approach to evaluation including improvement of a system for monitoring evaluation and reporting, and self-evaluation tools. (Strategic Action Plan: ***H.6 Programme oversight mechanism)***

b) *Programme elements:*

Programme elements	Output, reference and target date	SAP-Key Activity	Priority
1. Enhancement of Programme efficiency: – Follow-up of study related to the developments of efficiency criteria for TCB	Memoranda to management prepared, working papers (*Target date*: 4Q 99)	H.6	RA
– Development of similar efficiency criteria applicable to some identified regular programmes	Study conclusions and recommendations issued (*Target date*: 2Q 00)		A
2. Development of ICAO approach to evaluation:		H.5, H.6	A
– Preparation of an Evaluation Training manual	Manual completed (*Target date*: 2Q 99)		
– Workshops	multimedia presentations to staff concerned (*Target date*: 3Q 00)		
3. Preparation of material to assist in decision-making on programme resource allocation	Guidance material prepared (*Target date*: 2Q 01)	H.4, H.5	A
4. Evaluation study of regular programme areas identified/selected through the Risk Assessment analysis	Report, working papers completed (*Target date*: 4Q 01)	H.6	RA
5. Preparation of terms of reference and monitoring activities concerning evaluation studies to be undertaken by others	TOR, Guidance	H.6	RB