



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A32-WP/69

EX/26

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ASSEMBLY - 32ND SESSION

EXECUTIVE COMMITTEE

Agenda Item No. 13: Increasing the effectiveness of ICAO

REPORT OF THE COUNCIL ON IMPLEMENTATION OF ASSEMBLY RESOLUTION A31-2

SUMMARY

This paper contains a report to the Assembly on the implementation of Assembly Resolution A31-2 concerning increasing the effectiveness of ICAO.

REFERENCES

A31-WP/38 (Report by the Council on the Strategic Action Plan)
A31-WP/225 (Report of the Executive Committee on Strategic Action Plan)
Plenary Action Sheet No. 4
Doc 9662, *Assembly Resolutions in Force (as of 4 October 1995)*
Doc 8146, *Rules of Procedure for Standing Committees of the Council*
Doc 7970, *Agreement between the United Nations and the International Civil Aviation Organization*
Doc 7559, *Rules of Procedure for the Council*
Doc 7300, *Convention on International Civil Aviation*

1. INTRODUCTION

1.1 Immediately after the adoption of Resolution A31-2 by the 31st Session of the Assembly, the Council and the Secretary General undertook a global review of the five areas pointed out for increasing the effectiveness of ICAO: further development of the Strategic Action Plan; streamlining of the working methods and procedures of the Assembly; review of the decision-making processes, working methods and procedures of the Council and its subsidiary bodies; ensuring the effectiveness of the oversight mechanism; procedural, managerial and administrative reforms. For this purpose, the Council established a Special Working Group on Decision-Making Processes (SWG-DMP) to undertake an intensive review of and to make recommendations to Council on:

- a) the decision-making processes, working methods and procedures of the Council and its subsidiary bodies with a view to streamlining, delegating authority and improving the cost-effectiveness of the Organization, and

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- b) means of ensuring the effectiveness of the oversight mechanism, with independent reporting procedure to the Council, to provide programme effectiveness, transparency and accountability.

1.2 A number of reports and meetings were dedicated to that global exercise which has been guided by several factors such as the changing emphasis in the focus of ICAO: from development to implementation; the profound transformation of the world aviation community; the increasing demands on ICAO resources in a situation of financial constraints; and the necessity for reforms at the level of the Secretariat and the governing bodies of ICAO to draw strength from each other and influence each other's course in a positive way.

1.3 Pursuant to paragraph 7 of Resolution A31-2, the Secretary General, under instruction from the Council, informed States of interim progress on implementation of the resolution on increasing the effectiveness by State Letter M5/1-97/46, dated 1 May 1997. The full report is now being submitted to the 32nd Session of the Assembly.

2. STRATEGIC ACTION PLAN (A31-2, Clause 3)

2.1 The call was for intensified efforts to develop the Strategic Action Plan in association with a systematic planning process which improves effectiveness, transparency and accountability (including procedures for setting objectives, expected results, priorities and targets, together with the application of performance indicators) and which drives the evolution of future Programme Budgets.

2.2 The requirements have been largely achieved:

- a) the Council has revised, updated and formally adopted the Strategic Action Plan on 7 February 1997;
- b) the Council has adopted a complementary programme of action for the present triennium, incorporating objectives, priorities, target dates and reporting processes for each of the key activities identified in the Plan, and is receiving a consequential implementation schedule and status report updated on a Session-by-Session basis (three times a year), thereby enabling it to define and assess progress in relation to implementation of the Plan and take remedial or other action as required;
- c) the Council has endorsed a systematic planning process, linking the Plan directly with the Programme Budget; and
- d) the Secretariat has developed internal management tools common to implementation of the Plan, the Programme Budget and the associated planning process, to assist in self-evaluation and the Secretary General's capacity to measure programme performance, delivery and control.

2.3 Action is now on promotion and implementation. The Strategic Action Plan and complementary programme of action for the present triennium have been distributed to States under cover of a State letter dated 14 March 1997 (ref.: M 2/5-97/20). The Programme Budget now being submitted to

the 32nd Session of the Assembly (A32) is based on the Strategic Action Plan. The linkage between tasks and programme elements with key activities of Strategic Action Plan has been established with priorities and target dates.

2.4 The Council will continue monitoring implementation of the Strategic Action Plan through such mechanism as sessional updates already provided through the usual memoranda of the President of the Council.

3. WORKING METHODS AND PROCEDURES OF THE ASSEMBLY [A31-2, Clause 4a)]

3.1 The Council has:

- a) recommended that the Assembly suspend Rules 15a) and 15d) of the Standing Rules of Procedure to enable the Plenary, without prior involvement of the Executive Committee, to deal directly with initial items;
- b) recommended that the Assembly maintain a five-minute limit on general statements and that delegations be encouraged to focus general statements on high level policy issues;
- c) when preparing the Assembly's agenda, reviewed all proposed agenda items in order to eliminate items which do not focus on high level policy issues, on the main priority activities of the Organization or the receipt and allocation of resources;
- d) endorsed proposals to make the Assembly's agenda and related documentation a more precise and cohesive framework for deliberations and decisions;
- e) recommended to the Assembly that all multidisciplinary items be dealt with directly by the Executive Committee;
- f) endorsed proposals for improvements in voting procedures by the use of electronic counting process; and
- g) agreed that the duration of an ordinary session of future Assemblies would be limited to a maximum of 10 or 11 working days, unless extraordinary circumstances require an extension.

4. DECISION-MAKING PROCESSES, WORKING METHODS AND PROCEDURES OF THE COUNCIL AND ITS SUBSIDIARY BODIES [A31-2, Clause 4 b)]

4.1 On the recommendations of its Special Working Group on Decision-Making Processes (SWG-DMP) which has been established for that purpose, the Council has taken the following measures:

4.1.1 Streamlining of Council Committees

- a) The Personnel Committee (PER) was merged with the Finance Committee (FIC) with the understanding that personnel items without direct financial implications would be presented directly to the Council;

- b) The CNS/ATM Implementation Committee (CAI) was dissolved;
- c) The Unlawful Interference Committee (UIC) was suspended with the understanding that it would be inactive until such time as its convening would be required; and
- d) The Joint Support Committee's (JSC) terms of reference and composition were reviewed and updated.

4.1.2

Streamlining of Council working methods

- a) The President of the Council now circulates a large number of reports through memoranda with discussion taking place only if requested by a Representative on the Council;
- b) The Rules of Procedure for the Council and for Standing Committees of the Council are being reviewed and updated;
- c) The duration of Council sessions has been shortened to the extent possible. The present arrangement of a 3-week Committee phase and a 4-week Council phase interspersed by a 2-week recess is under continuous review by the Council based on the work programme and other consideration;
- d) Council decisions are distributed shortly after each meeting in five of the Organization's languages. The Secretariat was requested to reduce the length of summary minutes in order to accelerate their availability in the different working languages of the Organization;
- e) The Annual Reports contain information on accomplishments of the Council's work programmes in a more concise and precise presentation; and
- f) It was noted that Working Groups are established, on *ad hoc* basis and as appropriate, to deal with specific issues under Rule 14 of *Rules of Procedure of the Council*. The working methods of such groups, including requirements for interpretation services in the different working languages of the Organization are determined on an *ad hoc* basis.

4.1.3

General Review of ICAO Annexes

4.1.3.1 The Council, on the recommendation of the Air Navigation Commission implemented the abbreviated amendment process for detailed, technical SARPs on a trial basis for Annex 10 material, in accordance with the existing provisions of Resolution A31-5. The Air Navigation Commission was requested to examine the results of the abbreviated amendment process and report to the Council, on the basis of which the Council would consider recommending to the Assembly an amendment to Appendix A to Resolution A31-5 and, consequently, the institution of the proposed abbreviated amendment process for all Annexes. The effort to separate Standards and Recommended Practices (SARPs) of a mature and stable policy nature from SARPs containing detailed, technical specifications will be intensified and the latter placed in appendices to the Annexes.

4.2 The Air Navigation Commission has also reviewed its own working methods and procedures. It has devised a new set of Commission objectives linked to the ICAO Strategic Action Plan, and has put in place a new system for evaluating and determining the priority of items on the Commission's Technical Work Programme.

4.3 The Council endorsed the following main ANC objectives:

- a) To encourage and monitor the implementation of the ICAO Safety Oversight Programme;
- b) To progress any task which enhances air navigation planning and implementation for the ICAO regions and assists in the rectification of deficiencies in the AN field;
- c) To encourage and monitor the progress of the ICAO Flight Safety and Human Factors Programme;
- d) To encourage and monitor the implementation of the CFIT Programme;
- e) To facilitate the speedy development and implementation of CNS/ATM SARPs;
- f) To progress any task which helps to minimize the environmental impact of civil aviation;
- g) To progress any task which helps to overcome airport and airspace congestion; and
- h) To make ICAO Annexes more accessible and to provide, when necessary, guidance material related to individual Annexes.

5. EFFECTIVENESS OF THE OVERSIGHT MECHANISM [A31-2, Clause 4c]

5.1 The Council reviewed various recommendations made by the SWG-DMP which clarified the:

- a) requirement for establishing programme performance reports;
- b) interface between the Office for Programme Evaluation, Audit, and Management Review (EAO) of the Secretariat, the External Auditor and the Joint Inspection Unit (JIU);
- c) practical method of reporting to the Council relevant information concerning the findings of EAO oversight activities; and
- d) procedures for appointing the Chief of EAO in line with those used in the United Nations (UN).

5.2

The Council decided that:

- a) for accountability purposes, annual financial statements be submitted to the External Auditor after due consideration by EAO;
- b) both EAO and the External Auditor conduct value for money audits and that close contact between EAO and the External Auditor should be maintained in order to avoid duplication of efforts;
- c) the work plan of EAO be designed to reinforce the system of internal controls;
- d) the appointment of a recognized expert in the field as the Chief, EAO, should be at the Principal Officer (PO) level (corresponding to D1) for a fixed term of five years on a non-renewal basis, with due regard to geographic rotation according to the UN policies in this regard; and
- e) the Secretary General establish a reporting facility to provide direct confidential access to C/EAO by staff, and other persons engaged in activities under the authority of the Organization, who wish to report possible misuse of funds, waste or abuse of ICAO facilities and privileges, or who wish to make proposals for improvement of programme delivery.

5.3

The Council is receiving annual performance assessment reports from EAO to provide insight into the programmes effectiveness, transparency and accountability.

6. PROCEDURAL, MANAGERIAL AND ADMINISTRATIVE REFORMS [A31-2, Clause 5]

6.1

The Council noted the measures implemented or envisaged by the Secretary General (set out in paragraphs 6.2 through 6.6 below) on the understanding that:

- a) the present structure of the Secretariat remains practicable in general terms and can be adapted and streamlined through change in emphasis rather than major changes;
- b) multidisciplinary projects can continue to be handled by inter-office teams;
- c) support posts which become obsolete through automation or streamlining measures should be abolished in conjunction with transfer or attrition of staff, and that the reduction of secretarial support posts vis-à-vis professional posts should be further developed;
- d) no new tasks should be added to the work programme without identification of the financial and other resources required and the obtaining and assignment of these resources in conjunction with assessment of the impact on existing tasks;
- e) focus on results rather than procedures, with flexibility to permit initiative to flourish and greater emphasis on setting and meeting deadlines at all levels; and

- f) procedural, managerial and administrative reforms should be accepted as an ongoing and gradual process, gradual in nature to avoid instability of process and insecurity of staff.

6.2 Strengthening Leadership Capacity in the Secretariat

6.2.1 Senior Management Group

6.2.1.1 There exists at present a senior management group consisting of the five Directors, and Chiefs who report to the Secretary General.

6.2.2 Coordination Meetings

6.2.2.1 The Coordination Meetings are held in the presence of the President of the Council at the end of each Council Session to review the preparation and submission of working papers to the next session of the Council, Air Navigation Commission, and other subordinate bodies.

6.2.2.2 There are also periodic meetings with ICAO Representatives under the Chairmanship of the Secretary General in association with the Directors of the Bureaux and the Chiefs who report to the Secretary General directly. This meeting also attended by the President of the Council, as when necessary, is held in conjunction with the All Planning and Implementation Regional Groups (ALLPIRG) Meeting, and serves as a useful forum to bring the experience of the field to Headquarters.

6.3 Human Resource Management

6.3.1 Performance appraisals reporting (PAR) has been introduced in the Organization since 1997. Workshops and seminars have been organized at Headquarters and Regional Offices to acquaint the staff with the new system of performance appraisals. Targets and goals have been set for each staff member keeping in view the goal of the Organization.

6.3.2 Intensification of training programme has been done to update the skills within the limited resources of the Organization.

6.4 Decentralization and Delegation

6.4.1 The Directors and Chiefs of Branches have been delegated with authority by the Secretary General. Delegations are under consideration for the programme managers. The Directors, on a regular basis, report to the Secretary General.

6.5 Creation of an electronic ICAO

6.5.1 ICAO has in recent times made new strides in the field of electronic communication through which cost benefits and increased efficiency have been realized. Access to Internet service providers, establishment of a Website, wide-area network, central database (Intranet), production of CD-ROMS are the developments in this field. Access to the database from the Council Chamber, Air Navigation Chamber and other conference rooms are also special features. Remote translation has been experimented with success during large meetings. The Regional Offices are getting increasingly integrated with Headquarters.

Availability of data electronically to the States is in an advanced stage of negotiation. Steps will be taken to provide this data in the different working languages of the Organization. ICAO will be soon entering the world of electronic commerce. The Council of ICAO has been furnished with reports on office automation from time to time.

6.6 Strengthening, consolidation and accreditation of Regional Offices

6.6.1 The Secretary General has submitted to the Council ideas with a view to strengthening the regional activities of ICAO. The Council considered a report from the Secretary General on strengthening, consolidation and accreditation of Regional Offices. It was noted that States themselves should provide guidance to the Organization regarding their accreditation and the way they expect ICAO to provide the most cost effective support at the regional level. It was agreed that the process of consolidation of Regional Offices should be kept for the future, and considered in relation with the new technologies and new approaches to the problems of the different regions. In this regard, the States views regarding accreditation and the way they expect ICAO to provide the most cost effective support at the regional level should remain a decisive factor with respect to strengthening and consolidation of Regional Offices.

7. RELATIONSHIP BETWEEN ICAO AND OTHER INTERNATIONAL ORGANIZATIONS (A31-2, Clauses 5 and 6 and Appendix - other measures - e))

7.1 With a view to eliminating overlap and establishing joint programmes with other international organizations and industry, the following issues have been addressed:

7.1.1 Relationship with other specialized agencies of the United Nations

- a) The Council recognizes that there is a scope for further expansion of the cooperative arrangements with other specialized agencies. Efforts towards this end will continue.
- b) The Council urged development of a working arrangement with the International Telecommunication Union (ITU) in view of the allocation of radio frequencies to international civil aviation.

7.1.2 Relationship with inter-governmental organizations

7.1.2.1 The Council noted:

- a) the existence of cooperative arrangements between Eurocontrol and ICAO since 1965 and recent updating in 1996, and
- b) the signing of a memorandum of understanding between ICAO and ECAC on a Global Strategy for Safety Oversight establishing a working relationship between the two organizations in the field of safety oversight.

7.1.3 Relationship with non-governmental organizations

7.1.3.1 The Council:

- a) noted the existence of an arrangement with the International Air Transport Association (IATA) on sale and distribution of documents, on the safe transport of dangerous goods, on production of CNS/ATM Starter Kit;
- b) urged closer relationship between ICAO, IATA and ACI in the field of facilitation, particularly in the area of preparation of facilitation manuals for airports, airlines and government officials;
- c) endorsed the proposal to use the resources of IATA and ACI to develop joint statistical programmes in order to avoid duplication of efforts;
- d) endorsed the idea of association with ACI in the activities of the Air Transport Committee and Air Navigation Commission for development of balanced views on international aviation; and
- e) urged the Secretary General to identify a list of workshops and seminars which can be jointly sponsored with other international organizations.

7.1.4 Relationship with industry

7.1.4.1 The Council endorsed the idea of:

- a) enhancing relationships with industry as a potential source of revenue;
- b) marketing ICAO publications through other organizations; and
- c) continuous association with industry for identification of Technical Co-operation Programmes.

7.2 Report to the Council

7.2.1 The Secretary General will in future be reporting to the Council the results of such endeavours and efforts through usual quarterly reports. This information will be reflected in Chapter 9 of the Annual Report to the Council. The Council has decided to monitor the progress of such joint ventures and partnerships arrangements and review them from time to time to make such arrangements dynamic.

8. **SUNSET RULE (A31-2, Clauses 5 & 6, Appendix - Other measures - e) & f), Report of the Secretary-General of the United Nations: *Renewing United Nations: A Programme for Reform*).**

8.1 The Council:

- a) endorsed the proposal to amend the Financial Regulations to include sunset rule in the budgetary process in respect of each programme element in the programme budget. As far as practicable, each programme element will contain a target date of completion of task or tasks;
- b) noted that the Secretary General will review annually each task of the existing programme elements to set a date of completion for such tasks; and
- c) also endorsed the proposal that the sunset rule should be applicable to existing panels and study groups. A target date for completion of work will be fixed for each panel and study group.

9. **ACTION BY THE ASSEMBLY**

9.1 The Assembly is invited to:

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

- END -