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WORKING PAPER

ASSEMBLY — 41ST SESSION

EXECUTIVE COMMITTEE

Agenda Item 20: 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 key 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 in this area of work, including development of the ICAO Business Plan (BP) through a Results Based Management (RBM) approach, Accountability Framework, Enterprise Risk Management (ERM), and identifies measures for further improvements during the 2023-2024-2025 triennium.

Action: The Assembly is invited to:

- note the progress made in improving the efficiency and effectiveness of the Organization;
- endorse measures for further improvements during the 2023-2024-2025 triennium; and
- adopt the revised Assembly Resolution contained in the Appendix B to this paper.

<i>Strategic Objectives:</i>	This working paper relates to all Strategic Objectives, Transformational Objective and all Supporting Strategies.
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<i>Financial implications:</i>	The ICAO activities referred to in this paper are expected to be undertaken within the resources available in the 2023-2025 Regular Budget and/or from extra-budgetary contributions as guided by the ICAO Business Plan 2023-2025.
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<i>References:</i>	Resolution A40-20, <i>Increasing the efficiency and effectiveness of ICAO</i> ICAO Business Plan for 2023-2024-2025 <i>Doc 10140, Assembly Resolutions in force (as of 4 October 2019)</i> <i>JIU/REP/2011/5 Review of Management and Administration in ICAO</i> <i>JIU/REP/2019/1 Accountability Frameworks in the United Nations System</i> C-DECs 223/3 and 224/1 Doc 7231, <i>ICAO Publications Regulations</i> Doc 7515, <i>The ICAO Financial Regulations</i> Doc 7559, <i>Rules of Procedure for the Council</i> Doc 9482, <i>Directives for Panels of the Air Transport Committee and the Aviation Security Committee</i> A41-WP/42, <i>Innovation in Aviation</i>
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1. INTRODUCTION

1.1 Throughout 2020-2021-2022, the Organization has undertaken various initiatives to improve efficiency and effectiveness in order to meet the evolving needs and challenges of the Organization, including those in support of Member States and the aviation community. Taking into account Assembly Resolution A40-20, *Increasing the efficiency and effectiveness of ICAO*, this paper reports on the progress achieved to date, including ICAO's evolution to a results-based management approach, and identifies initiatives for further improvement for the 2023-2024-2025 triennium.

2. KEY MEASURES TO IMPROVE THE EFFICIENCY AND EFFECTIVENESS OF THE ORGANIZATION

2.1 ICAO has focused its efforts to increase efficiency and effectiveness, *inter alia*, in the following areas:

2.2 ICAO Business Plan, Results Based Management (RBM), and Corporate Performance Management

2.2.1 Work started in 2021 to develop a Business Plan for 2023-2024-2025 through the implementation of a Results Based Management (RBM) approach. This led to a leaner and more enhanced Business Plan Performance Monitoring Framework with indicators, baselines, and targets for the outcomes and outputs for each of the five Strategic Objectives. RBM is a constitutive element of a sound Accountability Framework in strengthening corporate performance management and enhancing overall transparency. The Business Plan includes a new Transformational Objective to drive strategic organizational reform for "One ICAO" and make the Organization fit for purpose, aligned to the Sustainable Development Goals, and the rapidly changing global environment. The Transformational Objective focuses on how ICAO works as a whole so that processes and procedures are streamlined, more efficient, and adapted to supporting the ICAO mission, vision and Strategic Objectives.

2.2.2 Enhanced collaboration between Bureaus/Offices at the Headquarters and Regional Offices (ROs) will be supported by the Business Plan where each RO has identifiable outputs contributing to achieving each of the Strategic Objectives, and the Triennial Operating Plan identifies interdependencies between Bureaus/Offices and ROs for all outputs and activities. A mechanism will be established to strengthen collaboration within ICAO, especially concerning the ROs to improve efficiency.

2.3 Accountability Framework

2.3.1 An Accountability Framework is an essential element of governance for ICAO to demonstrate commitment and responsibility in achieving its mandate, as set by the Assembly, and for delineating the high-level roles and responsibilities between the Secretariat, the Council as the governing body and Member States at large.

2.3.2 ICAO has effectively implemented an information disclosure policy whereby the results of the organization's activities are communicated regularly to legislative organizations, Member States and other stakeholders. This includes the Publication of Council work programme, Order of Business, and selected Council Decisions on the ICAO public website (C-DEC 221/9 Enhancing ICAO Communications with Industry and with the Public refers).

2.3.3 The Council has taken a leadership role in clarifying its areas of accountability vis-à-vis the Assembly and accountability of the Secretary General vis-à-vis the Council and will continue to do so through the development of the ICAO Accountability Framework. In this respect, ICAO has engaged in an initial gap assessment of the elements constitutive of a sound Accountability Framework, which is expected to result in an Accountability Framework Policy and inherent implementation mechanisms (Appendix A refers). This work is consistent with the recommendations included in the Joint Inspection Unit (JIU) Report entitled *Accountability Frameworks in the United Nations System* (JIU/REP/2011/5).

2.3.4 It is proposed that the prominence of accountability for the governance of ICAO be reflected in proposed amendments to Assembly Resolution A40-20 on *Increasing the Efficiency and Effectiveness of ICAO* (Annex B new paragraph 3 a) refers). Such amendment would be in line with the Recommendation No.1 of the JIU report entitled *Review of Management and Administration in ICAO* (JIU/REP/2019/1).

2.3.5 While the Council has undertaken a thorough review of its Committee structure, including their respective mandates and working methods (paragraph 2.9.1 refers), the clarification of the respective roles and responsibilities of the executive head and governing bodies of the Organization, the reporting requirements toward the Assembly and the development of the budget are crucial, complex and delicate elements of good governance, which require careful analysis and could benefit from lessons learned from other UN entities.

2.4 Enterprise Risk Management (ERM)

2.4.1 ICAO's Enterprise Risk Management and Internal Control Framework (ERM Framework) was endorsed by the Council during its 222nd Session. The ERM Framework establishes a coordinated, structured and methodical approach to managing risks, i.e. identifying, assessing, mitigating, reporting, monitoring and escalating risks throughout the Organization. The implementation of the ERM Framework included a new Corporate Risk Register that is reported annually to the Council.

2.4.2 ERM follows two key risk management approaches from the United Nations (UN) which provides best practices for ICAO and aligns to other UN entities, including (1) the Joint Inspection Unit (JIU) report entitled *Enterprise risk management: approaches and uses in United Nations system organizations* (JIU/REP/2020/5); and (2) the UN Cross-Functional Task Force on Risk Management.

2.4.3 Going forward, with the required level of resources, ICAO is expected to further implement and integrate risk management into all its programmes and activities for further operational efficiency and effectiveness.

2.5 Human Resources Strategy

2.5.1 ICAO is continuing with reforms in the management of its human resources (HR) to adequately face challenges such as the ability to attract, retain, and motivate a competent, mobile, and diverse workforce, as well as to promote fairness, equity, gender equality, equitable geographical representation, integrity, efficiency, effectiveness, transparency, and ethics throughout the Organization. This will also include the ongoing modernization efforts on HR-related policies, practices, processes, and systems. In addition, as part of the HR strategy, priority initiatives will be in place to enhance the management of HR and transform ICAO's organizational culture and performance. Building on the achievements made to date, ICAO will accelerate its efforts in achieving priority initiatives for the next triennium as presented in the Draft Assembly working paper on Human Resources Management (A41-WP/51 refers). While several actions have been identified to achieve the priority initiatives in HR,

supporting these initiatives through assurance of funding and resources availability is key. Embracing change and adopting new mind-sets by all staff members at all levels of the Organization will be key to successfully transition to a new future state of human resources in ICAO.

2.6 **Digital Transformation Initiative**

2.6.1 At the 226th Session of the Council, the Secretariat presented a revised Information Communications Technology (ICT) Strategy including a Digital Transformation Initiative. The strategy covers all areas of modern ICT to optimize and improve processes across the Organization. The objectives of the initiative are to refine and adapt the ICT strategic direction and establish a complete ICT Action Plan to drive the ICT at ICAO for the next triennium. This will include shifting the priorities for ICT functions to “business-driven” services and a “cloud-first” Cloud Adoption Strategy. ICAO is looking to embrace potentials cloud solutions to drive efficiency and effectiveness and simplify user experience through enhanced integration and interoperable services. Digital Transformation will not only improve the efficiency and effectiveness of ICAO’s outputs but leverage the immense benefits that modern and emerging technologies could bring to the Organization. The initiative will also lead to improved standardization of processes and procedures driving more efficiency and enabling the up-skilling of technology professionals and IT staff to more common leading technologies to attract a better talent pool. A key Digital Transformation challenge identified in the ICT Strategy and Action Plan, is ICAO’s capacity in the areas of business process re-engineering, change management, and technology portfolio management. For these transformational projects to succeed, ICAO requires engaged executives and business sponsors, capable project managers, and change-enabled staff.

2.7 **Timely Responses to State Letters**

2.7.1 Pursuant to a decision by the Council in its 203rd session, the Assembly was invited to adopt a Resolution that called for complete and timely responses to State Letters along with periodic performance reports on responses to State Letters to the Assembly. The measures previously reported on this item remain in place and were used to ensure that measures taken by the Organization with relation to the COVID-19 pandemic were communicated in an efficient manner with the States and international organizations. The Assembly may wish to note that increased timely responses to State Letters is indeed expected to be a major benefactor of the new Digital Transformation initiative, especially on the projects related to Standards and Recommended Practices (SARPs) and Document Management. Through these projects, the Secretariat expects innovations and new technologies to be used so that States not only have a more efficient way to respond to ICAO State Letters but will also be able to interact more seamlessly with the background and other information that will assist States to be more informed on the subject of the State Letters. Regardless of the technical solution found, the challenge faced is to identify ways to increase the number of responses to State Letters. In particular, this would include States with smaller aviation activities which could allow for better geographical representation.

2.8 **Operational Efficiencies**

2.8.1 In accordance with operative clause 4 a) of Assembly Resolution A40-20, the agenda of the 41st session of the Assembly session has been simplified for the subsidiary bodies, particularly for the Technical Commission, in order to streamline and consolidate the consideration of items. In addition, State letter SA 41/2-22/21, dated 28 February 2022, clearly outlined the deadlines applicable to the submission of documentation. More detailed briefings will be provided to the presiding officers once they are elected. Moreover, reporting procedures have been streamlined to eliminate the requirement for meeting minutes of the subsidiary bodies. Alternative options will also be provided for the presentation of general statements from Member States (such as pre-recorded video messages) to reduce the pressure on the available time

slots. Lastly, more modern and efficient voting procedures, especially for the election of the Members of the Council have already been complied with since A37 with the introduction of electronic voting systems, but additional options for greater efficiencies will be further explored especially to the voting device distribution process.

2.8.2 To ensure efficient and effective protection of the Organization's multilingual content and ensure the up-to-date and timely distribution of ICAO documentation (Doc 7231, *ICAO Publications Regulations* refers), the Council is proposing the digital rights management and distribution of ICAO documentation. Based on the results of an ICAO-NET user survey (Appendix D refers), it is proposed that digital rights management technology, already used with the ICAO online store, be implemented to protect ICAO intellectual property. This solution will ensure Member States, including those with limited resources or capacity, have access to the latest and updated versions of ICAO Annexes, Procedures for Air Navigation Services (PANS), Documents, and Circulars. The digital rights management of ICAO intellectual property will support the authorized use and distribution of documents in all languages.

2.8.3 In addition, in terms of Secretariat restructuring, effective 15 December 2021, the Procurement Section was relocated to the Bureau of Administration and Services (ADB) and is no longer in the Technical Cooperation Bureau (TCB), therefore, enhancing its independence and improving its sustainability as it serves all ICAO Allotment Holders and business entities. Greater efficiencies are also expected from the transfer of Revenue and Product Management Section from ADB to TCB in 2022.

2.9 **Enhanced Governance Structure**

2.9.1 The Council undertook a thorough review of the Committee structure and adopted a reconstituted Committee structure and Terms of Reference at its 223rd Session. A Committee on Governance was established to thoroughly consider complex governance issues and thus enhance the efficiency of the deliberations of the Council. A Climate and Environment Committee was formed as a means to reflect the increased importance of these topics at the global level. The principle of "open membership" was adopted for the Aviation Security (formerly the Unlawful Interference), Climate and Environment, Finance, Joint Support of Air Navigation Services, Technical Cooperation and Implementation Support (formerly the Technical Cooperation) Committees, the Air Transport Committee, and the Committee on Governance. The open membership allows for the participation of all Council members in the deliberations of the relevant Committees. To implement these changes, the Council amended the *Rules of Procedure for Standing Committees of the Council* (Doc 8146), *Directives for Panels of the Air Transport Committee, Committee on Unlawful Interference* (Doc 9482), *Annex IV to the ICAO Service Code* (Doc 7350), and *Financial Regulations* (Doc 7515) (C-DECs 223/3 and 224/1 refer). Also, the Council amended the *Rules of Procedure for the Council* (Doc 7559) to provide for revised documentation timelines and for the approval of proposals by a new written procedure in specified circumstances (C-DEC 223/3 refers).

2.10 **Interactions with Innovators**

2.10.1 As part of the implementation of Assembly Resolution A40-27 Innovation in Aviation, ICAO has established the Industry Consultative Forum (ICF), which represents an opportunity for the Council to hold a dialogue with Senior Representatives from the industry on the themes that are shaping the future of the sector. Enhanced interaction with innovators makes information sharing more efficient and lends itself to more informed decision-making. It is also one of the four dimensions of innovation endorsed by the Council, along with the timely incorporation of innovations in ICAO's Global Standards, the review of the ICAO Standard-making procedure and the ability of the ICAO Secretariat to open up to technologies and adapt its internal processes. Further details are available in A41-WP/42.

3. **FURTHER IMPROVEMENTS TO BE UNDERTAKEN DURING THE 2023-2024-2025 TRIENNIUM**

3.1 Under the “PLUS” component of the ICAO Regular Budget for 2023-204-2025, dedicated action on the following Transformational Objective (TO) Initiatives will further increase efficiency and effectiveness at ICAO:

- a) The establishment and maintenance of international Standards and Recommended Practices (SARPs) are a core aspect of ICAO’s mission and role. Together, the SARPs and Document Management System (DMS) project will deliver significantly improved efficiencies in developing and maintaining SARPs and document management system in general. It will help drive improved collaboration and lead to overall improved stakeholder satisfaction;
- b) Enterprise Resource Planning and Project Portfolio Management (ERP/PPM) is the core “Signature Project” within the Digital Transformation and Action Plan as it will create “the backbone” for the enterprise systems portfolios for ICAO enabling improved tracking and reporting. In addition, the consistency of data will support the business intelligence analytics necessary to identify trends, risks, and opportunities across the spectrum of ICAO’s endeavours;
- c) For the last three years, ICAO has worked on enhancing its information security posture through a holistic risk-based and maturity-based information security strategy, covering both organizational security and operational security. To that end, ICAO is aiming to be ISO 27001 compliant in terms of its Information Security initiatives at the end of its three-year Information Security Roadmap implementation; and
- d) Implementation of the revised ICAO Framework on Ethics to improve coordination, strengthen cooperation, and harmonize the activities, of all relevant actors in ICAO who play a key role in upholding ethics principles and values in ICAO.

4. **CONCLUSION**

4.1 In the last three years, ICAO has undertaken a number of initiatives to improve efficiency and effectiveness under the Assembly Resolution A40-20, *Increasing the efficiency and effectiveness of ICAO* to meet the evolving needs and challenges of the Organization, Member States, and the aviation community. Further efficiency and effectiveness gains are planned for the 2023-2024-2025 triennium to drive better governance, improve accountability and transparency, and continue to enhance collaboration within ICAO and its Member States.

APPENDIX A

**PROGRESS TOWARDS THE IMPLEMENTATION OF THE JIU BENCHMARKS FOR THE ACCOUNTABILITY FRAMEWORK
(JIU/REP/2011/5)**

Pillar 1 Covenant with the Member States

Benchmark	Tools	Status	Comment
1. A clear framework for accountability is in place, including a definition thereof and clarity of responsibility for the overall implementation of the framework, linking all components together	Framework policy document	In progress	The objective of our work is to develop an accountability framework that would constitute the policy document, explicitly articulate the key components of accountability, include a definition of accountability and lay down the respective roles and responsibilities of the governing body, senior management, line department and staff. However, prior to delivering such document, a common understanding of the role of the framework policy document is required amongst all involved parties (Secretariat, Council and its relevant Committees).
	Definition of accountability	In progress	
	Roles and responsibilities of senior management, line department and staff	In progress	
	Policy document available on the website and for staff	In progress	
2. RBM is operational and coherent with organizational mandates and objectives, and cascades down into unit and personal work plans	Framework contains key components of accountability	In progress	The 2023-2025 Business Plan establishes a revised logical framework that would facilitate the alignment between Bureaus, sections and personal work objectives.
	Strategic plans	In progress	
	Unit work plans	In progress	
3. Organizations conduct credible, utilization-focused evaluations and communicate the findings, conclusions and recommendations to stakeholders	Personal work objectives	In progress	ICAO Evaluation Policy adopted during the 224th Session of the Council.
	Evaluation function	✓	

4. Organizations have an effectively implemented established information disclosure policy whereby the results of the organization's activities are communicated regularly to legislative organs, member States and other stakeholders, including donors, beneficiaries and the general public	Information disclosure policy	✓	Publication of Council work programme, Order of Business, and selected Council Decisions on the ICAO public website (C-DEC 221/9 Enhancing ICAO Communications with Industry and with the Public refers)
	Evaluation and audit results	✓	Policy on Public Disclosure of Internal Audit and Evaluation Reports approved on 12 November 2020
	Consolidated annual financial reports	✓	Consolidated annual financial reports are presented to the ICAO Council
	Programme results	✓	Progress made and results achieved in the implementation of ICAO programmes are presented through regular reporting to the ICAO Council and via the Corporate Management and Reporting Tool (CMRT). Public reporting on the ICAO website, including through the Annual Reports of the Council and Assembly Working Papers

Pillar 2 Risk management and internal controls

Benchmark	Tools	Status	Comment
5. Ethical conduct, standards of integrity, anti-corruption and anti-fraud policies are in place and enforced	Staff regulations/code of conduct for staff members, including harassment	✓	
	Ethics function	✓	
	Gifts, favors and hospitality policy	In progress	While applicable provisions in the ICAO Service Code exist, the respective policies are still under development
	Protection against retaliation for reporting wrongdoing (whistle-blower policy)	✓	
	Outside activities policy (conflict of interest)	In progress	While applicable provisions in the ICAO Service Code exist, the respective policies are still under development
	Anti-fraud and anti-corruption policy	✓	

Benchmark	Tools	Status	Comment
	Training	In progress	While mandatory trainings on various aspects of the Ethics Framework have been rolled out - the organization has engaged the services of the UN system staff colleague (depending on available resources) for the development and implementation of ethics training programmes (with additional courses) of a 3 year course are planned-
6. Failure to comply with enforced policies/regulations results in clear consequences. Sanctions shall be clear and proportional and implemented at all levels. In addition, outstanding performance should be acknowledged by recognition/awards/rewards	Policy documents on sanctions and disciplinary action	✓	ICAO Service Code paragraph 59 and Staff Rule 110.1
	Publication in annual reports of sanctions imposed by the Executive Head	✓	2020 Report available on the ICAO public website
	Awards/rewards programmes decided by committees/panels based on clear criteria	In progress	The Staff Award Guidelines were revised and published on 28 June 2021.
	Publication of the names of staff members receiving awards and rewards	✓	
7. All staff can be held accountable for their work on the basis of up-to-date written job descriptions accurately reflecting their actual work	Job description for all staff	✓	Full connection between actual work and job description is not always achieved. However, annual personal performance appraisal outline the objectives and the day-to-day tasks of staff members as well as their participation in statutory committees and task forces. This will be further improved upon the adoption of the 2023-2025 Business Plan and related operating plans.
	Coherence between job description and day-to-day work	In progress	
8. Concretization of policies on selection, recruitment and post-employment	Recruitment policy restricting hiring of family members and relatives	✓	
	Post-employment restrictions for staff who retire/resign from the organization	✓	
9. Organization has a formal policy on ERM to be implemented with a coherent methodology	Risk analysis conducted for each unit/project/process and an organizational risk plan exists	✓	ERM Framework endorsed by Council in February 2021. Annual reporting to Council on Corporate Risks and regular maintenance of ICAO risk registers

Benchmark	Tools	Status	Comment
10. The chain of command and delegation of authority are aligned, clear, coherent and integrated into existing enterprise resource planning (ERP) systems	Clear definition of delegation of authority	✓	A definition of “Delegation of Authority” is available in the General Secretariat Instructions. A more complex and comprehensive analysis on the concept of “Delegation of Authority” will be required that goes beyond its administrative implementation.
	Coherence between management line and delegation of authority and clear reporting lines	In progress	Periodic reviews might be required
	Delegation of authority built into existing ERP systems	✓	
11. Financial regulations and rules (FRR) in the United Nations system organizations should embody anti-fraud and financial misconduct policies and are implemented practically	Financial Rules and Regulations	✓	
	Conflict of interest statements	✓	
	Financial disclosure statements	✓	
	Anti-fraud policies	✓	Revised Anti-Fraud and Anti-Corruption Policy were adopted during the 224th Session of the Council
12. Managers attest to compliance with internal controls within the framework of their delegation of authority	Letter/form of representation/assurance/attestation submitted annually to the executive head	✓	Management Assurance Statements and Declarations (MASDs) and Statement of Internal Control are completed annually. Effective controls are required to avoid that this is simply a compliance exercise.
13. Staff at all levels have access to relevant, reliable information that supports decision-making in line with their delegated authorities and the organization has an internal and external communication system	ERP system or similar in place to capture and document relevant information	In progress	Agresso is ICAO’s Enterprise Resource Planning system. It is envisaged to upgrade it, as well as ICAO’s financial management system. ICAO manages information and knowledge through SharePoint and File repositories.
	Internal communication channels are fully exploited	In progress	
	Information disclosure policy in place	In progress	An internal communications strategy and actions will be developed and implemented.

Benchmark	Tools	Status	Comment
			An internal information disclosure policy might be required to formalize expectations and processes.
14. Executive heads, senior managers and staff members' performance is monitored and corrective action taken as necessary	Performance assessments for all staff levels including 360-degree feedback	Not implemented yet	
	Senior compacts or scorecard-type tools	Not implemented yet	
	Corrective measures for non-performing assets	In progress	<p>Staff Notice 5833 on addressing underperformance was issued in 2021.</p> <p>Staff members are invited to take action through the establishment training plans for redressing the situation in collaboration with their supervisors.</p> <p>A revised People Strategy might consider possible improvements in the implementation of corrective measures.</p>
15. Recommendations of oversight bodies/internal audits and evaluations are tracked, implemented, and if not, clear justification should be provided	Information disclosure policy	✓	Annual Report of the Chief, Office of Internal Oversight (OIO)
	Reporting on external and internal oversight recommendations	✓	Report to Council
	Tracking recommendations of internal and external audit, oversight bodies and internal, independent and self-evaluations	✓	Report to Council

Pillar 3 Complaints and response mechanisms

Benchmark	Tools	Status	Comment
16. Staff members have recourse to non-formal complaints mechanisms	Procedures for non-formal grievances/rebuttals are outlined in a policy document and or handbook	Not implemented yet	The ICAO Service Code (paragraph 94) and Staff Rule 101.16 describe the role of the Ombudsperson. However, no document provides a description of the procedure for the informal handling of grievances. Procedures for informal resolution of disputes, including through peer mediation, will be developed.
	A mediator or ombudsperson function is in place	✓	
17. Staff members, consultants, non-staff, stakeholders/ beneficiaries and vendors have recourse to formal complaints mechanisms and organizations have mechanisms to respond to such complaints	Investigation function, hotlines, complaints forms etc. for staff and external	✓	Misconduct can be reported through ICAO’s public website https://www.icao.int/Pages/Report-Misconduct.aspx
	Grievance mechanisms: United Nations Dispute or ILO Administrative Tribunals	✓	ICAO has established a Joint Appeals Board as first step in the formal system of administration of justice. Decisions by the Board can be appealed at the United Nations Appeals Tribunal.
	Procurement challenges	In progress	Following JIU recommendations, as well as the External Audit Report of 2019 on Enhancing Procurement, a Bid Protest Mechanism has been developed and approved. It consists of possibilities for vendors who have participated in solicitations to submit a challenge. This is managed through an independent board called "ICAO AWARD REVIEW BOARD – IARB".

APPENDIX B

A401-20XX: INCREASING THE EFFICIENCY AND EFFECTIVENESS OF ICAO

Whereas ICAO has effectively and efficiently fulfilled its functions in accordance with Part II of the *Convention on International Civil Aviation* (the Chicago Convention);

Whereas the fundamental objectives of the Organization expressed in Article 44 of the Chicago Convention and the functions of the Council expressed in Articles 54 and 55 remain paramount;

Whereas the Organization is facing new and rapidly evolving challenges of a technological, economic, environmental, social and legal natures; and

Whereas there is a need for the Organization to respond efficiently and effectively to these challenges;

Whereas ICAO needs to recruit, cultivate, and retain a highly-qualified, flexible, motivated, and high-performing workforce to address traditional and emerging issues and meet States' changing needs,

Whereas ICAO needs innovative new partnerships with stakeholders who can apply complementary information, expertise, viewpoints, and resources toward ICAO's strategic objectives,

Whereas ICAO's organizational performance and ability to access additional funding from public and private sources are key factors affecting its delivery of programmes, training, capacity building, and assistance to States,

Whereas States, stakeholders, and funding organizations require timely, accurate, and comprehensive information about ICAO's activities, policies, and performance,

The Assembly:

1. *Expresses appreciation* to the Council and the Secretary General for the progress made in developing the ICAO 2023-2025 Business Plan following Results-based Management principles and on the efforts undertaken to improve the performance monitoring and reporting framework;

2. *Endorses* the decisions already made by the Council to develop a Business plan on a triennial basis, to continue its efforts to transition ICAO towards a Results Based Management (RBM) organization and to establish an oversight mechanism which includes an annual review of progress through the Corporate Management Reporting Tool (CMRT);

3. *Directs* the Council and the Secretary General, within their respective competencies, to:

a) develop a robust Accountability Framework, as well as its implementation and oversight mechanisms, taking into consideration the necessity to ensure consistency between the various elements constitutive of

an accountability system, including Strategic Framework and Performance Management, Internal Controls, ethical standards and integrity, and oversight functions;

ba) prepare a Business Plan once every triennium in association with a systematic planning process and a RBM approach which improves effectiveness, transparency and accountability and which drives the development of the Regular Programme Budget;

c) develop a review process of the Business Plan to take into account new developments occurring during the triennium;

db) make the Business Plan available to Contracting States and present the current version, during the triennium concerned, to each ordinary session of the Assembly;

ee) take further concrete steps to increase transparency, improve the work place environment, develop innovative new partnerships with external stakeholders, increase organizational effectiveness and assure that consensus-based results remain a core value and objective of ICAO and its subject matter expert bodies, and mobilize additional resources for greater delivery; and

fd) avoid any actual, potential or perceived conflict of interest when developing partnerships and accessing voluntary funding.

4. *Directs* the Council to:

a) continue to streamline the working methods and procedures of the Assembly with a view to increased accountability, transparency, simplification and efficiency;

~~b) undertake an intensive review of 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~~

be) ensure the effectiveness of the oversight mechanism, with independent reporting procedure to the Council, to provide programme effectiveness, transparency, trust, participation, and accountability; and

c) Continue to review the governance structure of ICAO and its capacity for more effective, simple, accountable, and transparent decision-making, including the delineation and allocation of responsibilities between the Secretariat and the Governing Body, as well as how the review the triennial cycle of the Assembly and budget of the organization can support this enhanced decision-making.

5. *Invites* the Secretary General, within his or her competence, to continue to take initiatives for improving the effectiveness and efficiency of the Organization through procedural, managerial and administrative reforms, and to report thereon to the Council;

6. *Invites* the Council and the Secretary General, in implementing Clauses 3 through 5 above, to take due account of the non-exhaustive list of considerations in the Appendix to this resolution; and

7. *Declares* that this Resolution supersedes ~~A31-2~~ A40-20 on increasing the effectiveness of ICAO.

APPENDIX C

LIST OF CONSIDERATIONS FOR ACHIEVING A MORE EFFICIENT AND EFFECTIVE ICAO

Systematic planning process (Clause 3 b) of the resolution)

- a) establish a direct and transparent linkage between the Business Plan and the Regular Programme Budget;
- b) establish procedures for the development of the Regular Programme Budget which focus on the allocation of resources at a strategic and expected results level rather than on administrative detail (“top down” rather than “bottom up”);
- c) establish procedures for ~~setting Strategic objectives, expected results, key activities, deliverables and targets, together with the application of performance indicators~~ results –focused reporting aligned with the Strategic Objectives and Output based on the performance indicators, milestones and targets as defined in the Business plan;
- d) develop, within the framework of the Business Plan, more specific plans by Strategic Objective and ensure coordination and joint actions across all Strategic Objectives, Bureaus and Regional Offices;
- e) undertake reviews of progress on implementation of the Business Plan on an ongoing basis within the Secretariat and on a periodic basis by the Council and subsidiary bodies; and
- f) update and roll forward the Business Plan itself at least triennially.

~~Working methods and procedures of the Assembly~~ (Clause 4 a) of the resolution)

- ~~g) simplify the Agenda and reduce documentation, with focus on matters of strategy and high level policy, main areas of priority and allocation of resources;~~ g)-simplify the Agenda and reduce documentation, with focus on matters of strategy and high-level policy, main areas of priority and allocation of resources;
- ~~h) respect deadlines set for preparing and distributing documentation;~~
- ~~i) provide more extensive briefing to elected officers;~~
- ~~j) streamline reporting procedures, in particular avoiding non-essential duplication of presentation and consideration of the same documents in different bodies;~~ Sh)-streamline reporting procedures, in particular avoiding non-essential duplication of presentation and consideration of the same documents in different bodies;
- ~~k) eliminate the requirement for minutes of meetings of Commissions (as with suspension in the present Session);~~
- ~~l) improve the procedures for presenting general statements and the observance of indicated meeting hours; and~~
- ~~m) introduce more modern and efficient voting procedures, especially for the election of the Council.~~

Note — Where amendments to the Standing Rules of Procedure of the Assembly (Doc 7600) are required, States need to be advised well in advance of the next ordinary session of the Assembly in order that the amendments can be adopted at the outset of the Session for immediate effect.

Review process of the Business Plan (Clause 3 c)

The review of the Business Plan after its endorsement must consider:

- a) which elements of the Business Plan are subject to review and who can propose and accept them; and
- b) the necessary trigger elements to justify the review and how the improvements must be registered and monitored.

Oversight mechanism (Clause 4 c) of the resolution)

The emphasis here is on a vigorous **procedure** for reporting **independently and directly** to the Council on the effectiveness, transparency and accountability of all ICAO programmes. In accordance with common audit practice, the Secretary General would have the opportunity to comment on the independent reports, but not to ~~alter~~ change them.

Other measures for improving the effectiveness and efficiency of the Organization (Clause 5 of the resolution)

- a) introduce procedures for more timely development or amendment as required of instruments of air law, ICAO Standards and Recommended Practices, and Regional Air Navigation Plans;
- b) increase emphasis on encouraging national ratification of instruments of air law and implementation of ICAO Standards and Recommended Practices to the greatest extent possible worldwide;
- c) improve and speed up communications with Contracting States, particularly as they relate to Standards and Recommended Practices, including more widespread use of electronic transmission;
- d) strengthen the degree of autonomy given to the regional planning process and the associated authority and resources given to the ICAO Regional Offices, while ensuring adequate coordination at the global level;
- e) examine the relationship between ICAO and other bodies (aviation and relevant non-aviation, global and regional) with a view to defining respective areas of responsibility, eliminating overlap and establishing joint programmes where relevant;
- f) provide for adequate participation in ICAO activities by all interested parties in the aviation community, including service providers, ~~and~~ industry and relatives of victims of air accidents;
- g) streamline the scheduling and documentation, and reduce the duration, of ICAO meetings in general; ~~and~~
- h) ~~protect the intellectual property of ICAO using digital rights management; and~~
- hi) consider the advisability and feasibility of calling on external expertise as required to assist in any of the above.

APPENDIX D

REPORT ON THE RESPONSES TO THE ICAO-NET PUBLICATIONS SURVEY

The [results of the ICAO-NET Publications Survey](#) conducted from 23 March to 15 April 2022 indicate the following key conclusions:

EXECUTIVE SUMMARY

Introduction

As reflected in the Corporate Risk Register, (C-WP/15292, *Progress Report on Enterprise Risk Management*, Appendix A, CORP-07 refers), ICAO faces risks due to limitations on the effective protection of its intellectual property, resulting in unauthorized use of ICAO publications and the referencing of out-of-date publications.

In order to strengthen the development of technical solutions to improve the protection of ICAO's publications, the Secretariat prepared a survey on the access and usage of ICAO publications on ICAO-NET. The survey was intended to inform ICAO on how to best protect its intellectual property and reputation while simultaneously providing optimal delivery of electronic publications on ICAO-NET.

State Letter 2022/37 (ICAO-NET Publications Survey) was issued inviting all Member States and cooperating international organizations to respond to the survey. All ICAO-NET users were eligible to participate in the online survey. They were informed about the survey when they logged into ICAO-NET through a banner inviting them to participate in the survey.

The online survey was made available on ICAO-NET as of 23 March 2022. The survey was closed on 15 April 2022.

Key information about the ICAO-NET Publications Survey (displayed to all people who accessed ICAO-NET Publications survey from 23 March to 15 April 2022)

- *ICAO is collecting ICAO-NET user experience feedback on accessing ICAO publications from all Member States and cooperating international organizations.*
- *The survey will assist ICAO in providing the best possible delivery of electronic documentation and to protect ICAO's intellectual property.*
- *The information will remain confidential and will be for ICAO use only.*
- *This survey will take no more than 12 minutes to complete.*

Main Findings

The ICAO-NET Publication survey was conducted in the six official UN languages. An overview of the number of responses in corresponding languages is shown in Table 1.

Table 1. Number of responses in corresponding languages

Language	English	Spanish	French	Russian	Arabic	Chinese	Total
Number of responses	272	116	13	4	3	2	410 ¹
%	66%	28%	3%	1%	1%	0%	100%

The results of the survey indicate the following key conclusions.

Reuse of Content

There is a high demand for accessing publications on ICAO-NET. A majority of respondents visit the portal on a weekly basis and indicated that the primary purpose of their visit is to read and download publications. Approximately 40 per cent of respondents also indicated that documents are downloaded and shared with colleagues and/or other stakeholders via internal State servers or document repositories. Downloading publications on a weekly basis implies a high likelihood of sharing information.

Document Permissions

While Member State users commonly copy and paste content from ICAO publications, some respondents (13 per cent) indicated that complete publications are printed. However, 63 per cent of respondents replied that they do not print the publication. Therefore, limits to printing can be considered in the future. Features allowing for annotating, copying and pasting of content should continue to be supported and encouraged as a large number of respondents (20 per cent) in several questions indicated such features to be critical to their daily jobs, which were often specified to be related to implementation of aviation legislation.

Document Accessibility

A large number of respondents (10 per cent) indicated the need to access both obsolete and current versions of documents in order to implement national laws and regulations. Furthermore, 74 per cent responded that it is important to access the latest information from ICAO, and further expressed that they would appreciate if ICAO publication updates were more informative in specifying version details, and/or specifying which page numbers or sections have undergone updates. At the same time, when asked about the difficulty level of knowing whether a user was reading the latest version of an ICAO publication, the majority of respondents (41 per cent) indicated it was not difficult. What is not clear from the survey results however, is how users identify whether an ICAO publication is the latest version, or an older one. Currently, the date of an edition is indicated on the cover page of each ICAO publication. However, there is no means for the reader to confirm whether this is the latest edition or version. Since it is important for the ICAO-NET users to know they are reading the latest ICAO publication, it is recommended that a digital rights management feature support users with date and/or version information.

¹ Statistical validity of the results: population size: 4,128, confidence level: 95%, margin of error: 5%, required minimum sample size: 352, achieved sample size: 410. Total number of responses is statistically significant, as the achieved sample size exceeds the required minimum sample size at a 95 % confidence level, with 5% of margin of error. In other words, the results are representative in relation to the total population.

Overall feedback towards access-controlled ICAO documents

The survey indicates that implementing access controls to ICAO publications on the ICAO-NET portal would be perceived negatively by users. Respondents indicated that they would not be ready for changes to access-control due to the impact on their daily jobs. Users believed access-control measures would cause additional, time consuming steps.

The challenges with more strict digital rights management features was clearly indicated in one of the survey questions where users had a chance to experience what an access-controlled ICAO publication could potentially be like. A majority of the users (about 45 per cent) struggled with the experience or did not manage to access the sample file at all, which further implies it will be important that good technical support tools, including guidance and troubleshooting material be available to support users, should more control be imposed by ICAO in the future. Successful implementation of access controls would also benefit from a change management plan that communicates the overall reasons and value to the Organization for making such a change. It is important that ICAO Member States support this change.

Leveraging similar digital rights management technology to that used on the ICAO online store will ensure Member States, including those with limited resources or capacity, have access to the latest updated versions of ICAO Annexes, Procedures for Air Navigation Services (PANS), documents and circulars. The digital management of ICAO intellectual property will support the authorized use and distribution of documents in all languages. It is therefore recommended that the Assembly agree to adopt a gradual digital rights management solution to protect ICAO's intellectual property in 2023.

— END —