



International Civil Aviation Organization

WORKING PAPER

CG-WP/013

22/1/23

(Information paper)

English only

COUNCIL — 228TH SESSION

Subject No. 13: Work programmes of Council and its subsidiary bodies

ANNUAL REPORT OF THE CHIEF OF THE OFFICE OF INTERNAL OVERSIGHT (OIO)

(Presented by the Secretary General)

EXECUTIVE SUMMARY

In line with paragraph 9.1 of the OIO Charter, Chief of OIO shall submit an annual report to the Secretary General who shall transmit it to the Council with his comments during the first Session of the Council in each calendar year. This annual report shall summarize the activities and results of all work undertaken by OIO during the preceding year, as well as its performance relative to the annual work plan.

This report provides a summary of OIO's assurance, advisory and other oversight services in 2022. OIO issued nine reports (six audits, two evaluation reports and one preliminary review).

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|--------------------------------|---|
| <i>Strategic Objectives:</i> | This working paper relates to Strategic Objectives as well as Supporting Implementation Strategies. |
| <i>Financial implications:</i> | N/A |
| <i>References:</i> | C-WP/15270 |

1. BACKGROUND

1.1 The Office of Internal Oversight (OIO) assesses and contributes to the improvement of governance, risk management, system of internal control and programme management and achievement of results, using a systematic and disciplined approach that ensures accountability for the effective and efficient use of organizational resources in accordance with the approved Budget and Business Plan. OIO provides independent and objective assurance, advice, insight and foresight through internal audits, evaluations, and other oversight assignments.¹

2. PROFESSIONAL STANDARDS

2.1 In conducting audits and evaluations as well as other special assignments, OIO adheres to the International Professional Practices Framework promulgated by the Institute of Internal Auditors (IIA) and the Norms and Standards for Evaluation approved by the United Nations Evaluation Group (UNEG).

3. INDEPENDENCE OF OIO

3.1 OIO's Charter² requires the Chief, OIO, to confirm to the Council, at least annually, the independence of internal oversight activities, and whether there has been inappropriate scope or resource limitations.

3.2 During the reporting period, no instance/activity occurred that interfered or could be considered as jeopardizing the operational and functional independence of OIO. The scope of oversight activities was decided by OIO based on objective criteria and feedback received from the Council members, Senior Management, and the Evaluation and Audit Advisory Committee (EAAC).

4. STATUS OF OVERSIGHT ASSIGNMENTS

4.1 The table below illustrates the status of implementation of the OIO work programme for 2022 (C-WP/15270):

| Assignment Title | Status |
|---|-------------------------------|
| Evaluation of the Global Aviation Security Plan (GASeP)* | Final report issued |
| Audit of the Eastern and Southern African (ESAF) Regional Office* | Final report issued |
| Audit on Management of Mobile Devices* | Final report issued |
| Evaluation of ICAO's Response to COVID-19* | Final report issued |
| Performance Audit of Data Management* | Final report issued |
| Audit of Ethics Framework | Final report issued |
| Audit of the Middle East (MID) Regional Office | Final report issued |
| Audit of Staff Benefits and Entitlements | Final report issued |
| Review of Information Security Roadmap implementation | Preliminary assessment issued |
| Evaluation of the AFI Plan | Draft report issued |
| Evaluation of ICAO's Contributions to SDGs | Fieldwork/data collection |
| Assessment on the Needs and Expectations of ICAO's Member States | Fieldwork/data collection |
| Audit of the Management of TCB Project Personnel | Fieldwork/data collection |
| Audit of IT Asset Management | Postponed to 2023 |
| Continuous Audit on Segregation of Duties in the ERP | Postponed to 2025 |

*Carried over from 2021.

¹ Paragraphs 3.1 and 3.2 of the OIO Charter

² Paragraph 6.9 of the OIO Charter

4.2 As per the OIO's Standard Operating Procedure (SOP) for audit and evaluation report clearance, the target for finalising a report and completing the Management Action Plan (MAP) should be within 22 working days of issuance of the draft report by OIO. Delays beyond what is foreseen in the SOP ranged from 18 to 81 working days with an average of 36 days. OIO recognises the efforts by management to reduce the delays and urges all senior managers to take the lead in timely preparation of MAPs to enhance the value of internal oversight reports (See Appendix D).

5. KEY RISKS AND CHALLENGES FACING ICAO IN 2022

5.1 In line with paragraph 9.2 of the OIO Charter, this section presents a summary of the key risks and challenges identified by the results of oversight assignments and analysis of organizational risks.

5.2 In an era of increased geopolitical uncertainty and global conflicts, ICAO is faced with key risks that need to be identified, planned for and mitigated. While Member States needs and expectations for technical assistance and cooperation are proliferating, scarcity of financial resources, lack of in-house capacity to effectively using available resources coupled with absence of well-defined procedures/processes hinder ICAO to effectively implement its operating plans and Business Plan. Financial management and sustainability remains a high risk for ICAO.

5.3 ICAO has embarked on a number of critical initiatives to modernise its internal infrastructure and processes to better serve its Member States and other stakeholders. To this end, it is of crucial importance that the organizational enterprise risk management process be further developed and integrated in key business processes to identify and mitigate key risks facing ICAO and enable informed management decision-making. Resources mobilization and revenue generation activities need to be carefully planned, carried out and reported in a transparent manner to cater for the funding gap not covered by the 2023-2025 triennial budget, approved by the Assembly. Financial Management and Stability therefore remains a risk for ICAO. Effective implementation and use of Results Based Management, which is currently being further developed, will enhance accountability and efficient use of limited resources for achieving organizational goals and objectives.

5.4 Furthermore, skills sets and competencies inventory of staff should be defined to identify gaps in human capital of ICAO and develop a sound talent management and succession planning in line with the evolving business environment and organizational priorities and needs of Member States.

5.5 While positive developments were noted in ICT Strategy and outsourcing of IT services, cyber risks remain high requiring further strengthening of organizational resilience including crisis management and disaster recovery risks. Efforts need to continue to ensure better cooperation between the first line (ICT Operations) and second line (Information Security) and effective management of third party risks in terms of outsourced IT services and projects. Further, due to involvement of the same staff members in major initiatives/projects, to avoid any delays and ensure efficient completion of projects, linkages between the Information Security Roadmap and the Digital Transformation projects need to be clearly identified to benefit from synergies.

5.6 Setting the right tone at the top and leading by example by senior management need to continue to ensure that improvements take root in organizational culture and further enhancements are made considering the results from Staff surveys. Management efforts for timely implementation of oversight recommendations has led to some positive results which should continue to enable major changes in ICAO operations, projects and processes.

6. SUMMARY OF OVERSIGHT REPORTS ISSUED IN 2022

6.1 Audit of the Eastern and Southern African (ESAF) Regional Office (IA/2022/1)

Overall audit opinion : Some improvement needed
 Implementation status of recommendations : 5 implemented, 2 outstanding

6.1.1 The ESAF regional office Results Based Management was at the early stages of implementation. The operating plan and work programme activities were not clearly linked to the ESAF Office expected results. Baselines were not established, targets, often out of direct control of the office, were largely based on outputs rather than on outcomes and key performance indicators were missing. The regional office risk register needed an update to identify key risks for effectively mitigating them to ensure achievement of objectives. Delays in recruitment process affected the timely filling of several key positions. The regional office local servers' data back-ups tapes were never tested for restoration and a new back-up process set up by Headquarters using cloud storage needed also restoration test. Finally, the ESAF regional office Business Continuity Plan needed to be updated.

6.2 Audit on Management of Mobile Devices (IA/2022/2)

Overall audit opinion : Major improvement needed
 Implementation status of recommendations : All 2 outstanding

6.2.1 ICAO needed to address major internal control weaknesses impairing the effectiveness and efficiency of mobile devices management and exposing the organization to major risks of asset losses. These internal control weaknesses severely diluted the overall accountability of individuals or offices custodians of these items. The lack of a comprehensive IT inventory and robust asset management procedures to record, monitor, account for and report on the mobile devices resulted in an unreliable and inaccurately populated inventory. OIO identified that a number of mobile devices were physically missing from their storage location and some others, identified as written off, could not be confirmed as such by the Property Control and Logistics unit. Absence of procedural guidance or actual evidence of the effective data scrubbing and destruction of obsolete or unused mobile devices increased the risk of compromised sensitive/confidential information which may adversely affect ICAO's reputation.

6.3 Performance Audit of Data Management (IA/2022/3)

Overall audit opinion : Major improvement needed
 Implementation status of recommendations : All 3 outstanding

6.3.1 ICAO does not have a data governance strategy nor an enterprise level data architecture that enable fully leveraging value from datasets and data-driven decision-making. The lack of data quality policy weakened data ownership and created ambiguity on roles and responsibilities for timely resolution of data inaccuracies. While ICAO Bureaus/Offices collect huge volume of data from different sources, they do not always have a clear picture of the entire data spectrum. An inventory of data assets has yet to be developed to facilitate timely data oversight and protection as data are scattered in an unstructured manner in different locations. Data management culture is not conducive to sharing available data/information. While some Bureaus/Offices have started using business intelligence tools as an effective way of gaining insights and making informed decisions, the organizational "silo" approach in data sharing amongst Bureaus/Offices persists. Adopting an integrated approach in data management is critical to ensure that digital data management aspects are effectively covered in ICAO's digital transformation projects.

6.4 **Audit of Ethics Framework (IA/2022/4)**

Overall audit opinion : Major improvement needed
Implementation status of recommendations : 1 implemented, 3 outstanding

6.4.1 The revised ICAO Framework on Ethics led to positive developments such as the revision of the mandate of the Ethics Officer, the launch of ICAO Leadership Dialogue, the cleansing of all pending administrative and disciplinary cases, the outsourcing of the investigative function and timely revision of staff rules and administrative instructions. Senior Management needs to continue setting the right tone at the top, promoting ethics across ICAO. A resource gap analysis would be required in assessing the resource needs for the Ethics Office to effectively fulfil its mandate. A corporate mandatory ethics training for all ICAO staff, is needed to raise awareness on ethical standards, values and principles. Potential conflict of interest for key personnel needs to be addressed to mitigate any associated risks.

6.5 **Audit of the Middle East (MID) Regional Office (IA/2022/5)**

Overall audit opinion : Major improvement needed
Implementation status of recommendations : 1 implemented, 4 outstanding

6.5.1 The MID regional office achieved a good gender balance of 45.4% of female staff members. Procurement and cash management were found adequate and properly documented. The office improved its business continuity plan in 2022 based on the outcome of the recent office business impact analysis. On the other hand, staff turnover in the MID regional office has been quite high (38 percent) which adversely impacted the effective and efficient functioning of the Office. Appropriate measures need to be taken to resolve any staff matters, to improve the work environment and mitigate any risks of loss of institutional memory, interruption of operations and reduced staff motivation. Internal controls need to be enhanced in the following areas: lack of official mission reports hindering effective knowledge management and monitoring of operating plans and follow up actions; the logbook for office vehicles were not kept increasing risks for misuse and financial losses; the office asset register, maintained in a spreadsheet without IT control checks had gaps and discrepancies; and the MID regional office risk register needs to be updated to include all the key risks facing the office.

6.6 **Audit of Staff Benefits and Entitlements (IA/2022/6)**

Overall audit opinion : Some improvement needed
Implementation status of recommendations : All 3 outstanding

6.6.1 Overall controls over staff benefits and entitlements were assessed to be effective. Digitization of personnel records, primarily maintained in paper format, needed to be prioritized to mitigate significant operational risks of loss or destruction of key documents. Due to heavily paper based work processes, SEA staff physically had to come to office during COVID-19 pandemic to ensure continuity of service and supported all ICAO staff members. Automation of processes and workflows needed to be considered as a priority to mitigate all the relevant risks, enhance process efficiencies and provide opportunities to further streamline the business processes. Integrating a workflow process of as part of digital transformation project would create significant efficiency gains and allow more efficient use of staff time for analysis, validation of accuracy and completeness of information submitted by staff members.

6.7 **Assessment of Information Security Roadmap implementation**

6.7.1 As recommendations of the External Auditor's report on Information Security in 2021 were expected to be completed by end of 2022, OIO decided to conduct a high level review instead of a full

fledge audit on Information Security roadmap implementation to avoid duplication of efforts and oversight fatigue. OIO made a number of suggestions to address identified risks/challenges. These included 1) regular monitoring of the project progress 2) advance planning of project related procurement 3) definition and clarification of roles and responsibilities in Bureaus/Offices involved in the project and better cooperation and coordination between the second line (Information Security) and the first line ICT Operations) 4) clearer linkages between the Information Security Project and the Digital Transformation project, and 5) assessment of the current project implementation status and timelines in light of the delays occurred.

6.8 Evaluation of the Global Aviation Security Plan (GASeP) (EV/2022/1)

Implementation status of recommendations : All 3 outstanding

6.8.1 The Global Aviation Security Plan (GASeP) provided a relevant framework to many Member States for priority setting and tool to advance aviation security. It has been used to help design and adjust the national Aviation Security Quality Control (AVSEC) plans, inspire regional Roadmaps and frameworks and used as an advocacy tool. However, GASeP has limited use for some industry stakeholders and needed revisions. Effective Implementation targets needed adjustments to make them ambitious but realistic. Revision process for GASeP needs to become more participatory seeking input from Member States, regional offices, regional groups and other relevant stakeholders. Clearer links between GASeP, Annex 17, and the Universal Security Audit Programme – Continuous Monitoring Approach (USAP CMA) would further enhance the implementation of the Plan. Clear definition of the stakeholders' role in monitoring and reporting on GASeP and how monitoring information will be used to improve performance are among suggested improvements. The development of monitoring and reporting mechanisms for GASeP results were also recommended. Further enhancement and re-allocation of resources would be beneficial for effective and efficient implementation of GASeP at Secretariat level.

6.9 Evaluation of ICAO's Response to COVID-19 (EV/2022/2)

Implementation status of recommendations : All 6 outstanding

6.9.1 ICAO responded to an unprecedented global crisis in record time by engaging adequate high-level stakeholders through the ICAO Council's Aviation Recovery Task Force (CART), establishing relevant coordination mechanisms and delivering pertinent guidance material and tools. The CART recommendations were found to be relevant to Member States and other ICAO stakeholders. The Collaborative Arrangement for the Prevention and Management of Public Health Events in Civil Aviation (CAPSCA) was also highly effective and crucial in ICAO's response to COVID-19. However, ICAO has yet to establish a comprehensive crisis management framework and a high-level mechanism to strengthen the relationship among aviation, health and other authorities critical for emergency response. ICAO undertook extensive resource mobilization, reaching a record USD \$2.7 million in voluntary contributions and repurposed internal resources. A number of measures recommended to increase organizational resilience and better preparation for potential pandemics in future included strengthening the capacity of Facilitation, Aviation Medicine and other ICAO sections/functions involved in emergency response; review of CAPSCA framework to determine the most optimal structure and corresponding funding mechanisms. The establishment of an emergency response fund ahead of future emergencies was needed to support Member States with less resources and a phase-out strategy to ensure the continuity of the objectives and achievements of the COVID-19 response was to be developed.

7. STATUS OF IMPLEMENTATION OF OVERSIGHT RECOMMENDATIONS

7.1 The table below provides information on the issuance and implementation of oversight recommendations during 2022. Appendix A provides further information on the high priority recommendations issued by OIO in 2022.

| Source | Open as at 31/12/2021 | Added during the year | Closed during the year | Open as at 31/12/2022 |
|----------------|-----------------------|-----------------------|------------------------|-----------------------|
| OIO | 110 | 33 | 47 | 96 |
| External Audit | 32 | 23 | 18 | 37 |
| JIU | 47 | 22 | 24 | 45 |
| Total | 189 | 78 | 89 | 178 |

7.2 Timely implementation of oversight recommendations helps ICAO to improve its overall operational effectiveness and efficiency, and to enhance compliance with existing policies/procedures, as well as safeguarding the Organization's assets.

7.3 Out of the 96 recommendations that were open as at 31 December 2022, 50 were overdue vis-à-vis planned target dates for implementation. Also, the target dates for 45 of these had been revised and extended, in some cases, more than once (See Appendix B).

7.4 The OIO monthly update on the status of implementation of oversight recommendations are made available to the Secretary General, the Senior Management, the EAAC, and the External Auditors. Copies are also posted on the Council website.

8. CONSULTATIVE AND ADVISORY OVERSIGHT WORK

8.1 OIO continued to provide objective advice and guidance to improve the Organization's operations, systems and processes related to governance, risk management and internal controls³. The list of areas where advisory services were provided by OIO during 2022 is in Appendix C.

9. OTHER OVERSIGHT ACTIVITIES

9.1 Quality Assurance and Improvement Programme

9.1.1 OIO maintains a quality assurance and improvement programme that covers all aspects of the internal audit and evaluation activities. In line with the IIA Standards, OIO conducted a self-assessment of its internal audit function in January 2022 and confirmed that internal audit activities continue to conform to the IIA Standards and OIO Charter and other established policies and procedures.

9.1.2 To ensure that assurance and advisory internal oversight work adds value and contributes to organizational effectiveness and efficiency, OIO monitors the impact of implemented recommendations. In 2022, OIO closed 47 recommendations which led to, *inter alia*, several organizational improvements in operational areas of strategic/high importance as described below:

- ICAO Standard Setting process;

³ Paragraph 7.3 of the OIO Charter

- Revision and Implementation of ICAO Global Aviation Safety Plan and Global Air Navigation Plan;
- Revision or development ICAO Information Security Policy, Implementation Support Policy and amendment of Staff Rule 106.2;
- Result Based Management Framework;
- Enterprise Risk Management;
- Business Impact Analysis and Business Continuity Plans;
- IT access controls and information security and management of outsourced IT services;
- Asset Management and Official Travel procedures.

9.2 **Revised Evaluation Manual**

9.2.1 OIO undertook an in-depth revision of its Evaluation Manual complementing the ICAO Evaluation Policy revised in 2021, implementing the recommendation of the Peer Review of the Evaluation Function, conducted in 2019 based on the UNEG Norms and Standards.

9.3 **OIO Retreat**

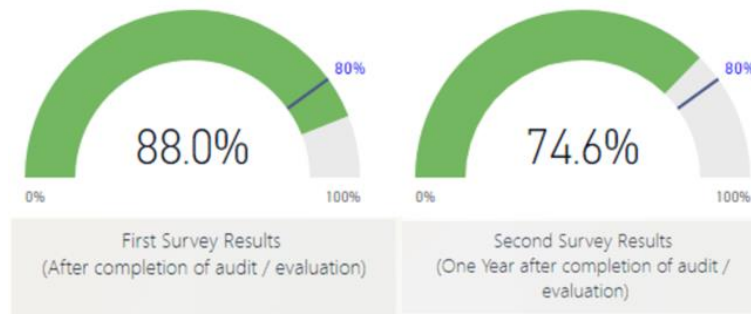
9.3.1 OIO organized an annual planning retreat to discuss its overall performance, working methods and priorities for preparing its work plan for the 2023-2025 triennium. OIO's risk assessment methodology considered the existing ICAO Corporate Risk Register, feedback received from Representatives on the ICAO Council, the EAAC, the Secretary General and other senior staff.

9.4 **Update of OIO Intranet and Public Website**

9.4.1 To provide up-to-date information on OIO's structure, reports and other activities, OIO has updated its intranet and public webpages in 2022.

9.5 **Feedback from Stakeholders**

9.5.1 OIO continued to seek feedback from managers responsible for audited/evaluated areas to identify satisfaction rates and areas for improvement in the quality of its work and services provided. Based on an analysis of survey responses, OIO achieved an overall satisfaction rate of 88% during 2022. Additionally, OIO sent another survey one year after the completion of an audit or evaluation providing that at least 75% of the recommendations have been implemented, to assess the impact of its oversight work. The consolidated results indicate that a satisfaction rate of 74.6% has been achieved. These two results are stable from 2021 to 2022. OIO appreciates this positive result and constantly strives to improve its performance and impact of its work.



10. COOPERATION WITH EXTERNAL OVERSIGHT BODIES

10.1 Evaluation and Audit Advisory Committee (EAAC)

10.1.1 OIO regularly presented the results of its oversight assignments to the EAAC virtually or in person and discussed significant governance, risk management, internal control and programme management issues with the Committee. OIO is very appreciative of the continued support and advice provided by the EAAC on OIO's work.

10.2 External Auditor

10.2.1 During the reporting period, OIO cooperated effectively with the External Auditor. As per usual practice, OIO held regular meetings to discuss with the External Auditor the results of audit reports as well as other organizational matters including governance, risk management and control issues. OIO shared its annual and triennium work plan with the External Auditor to avoid any overlap of activities and effective oversight coverage of high risks facing ICAO.

10.3 Joint Inspection Unit (JIU)

10.3.1 During the reporting period, as the focal point for the Joint Inspection Unit of the United Nations (JIU), OIO coordinated ICAO's input to 11 JIU reports at various stages of completion and presented working papers to the Council including a summary of recommendations and Secretariat Action Plans for three JIU reports (see Appendix E), the implementation status of JIU recommendations (CG-WP006), the report of the JIU for 2021 and programme of work for 2022 (C-WP/15405).

10.4 Networking with Other UN System Oversight Functions

10.4.1 OIO's Charter⁴ includes specific provisions on liaising and cooperating with the internal oversight services of other organizations of the United Nations system and Multilateral Financial Institutions. During 2022, OIO participated in the Annual Meetings of Representatives of Internal Audit Services of the UN system and Multilateral Financial Institutions and other International Organizations (UN-RIAS and RIAS) in Vienna, Austria from 6 to 9 September 2022. OIO also attended the Annual Meeting of UN Representatives of Investigative Services (UNRIS) and the Annual Conference of International Investigators (CII) in Luxembourg from 1 to 3 June 2022.

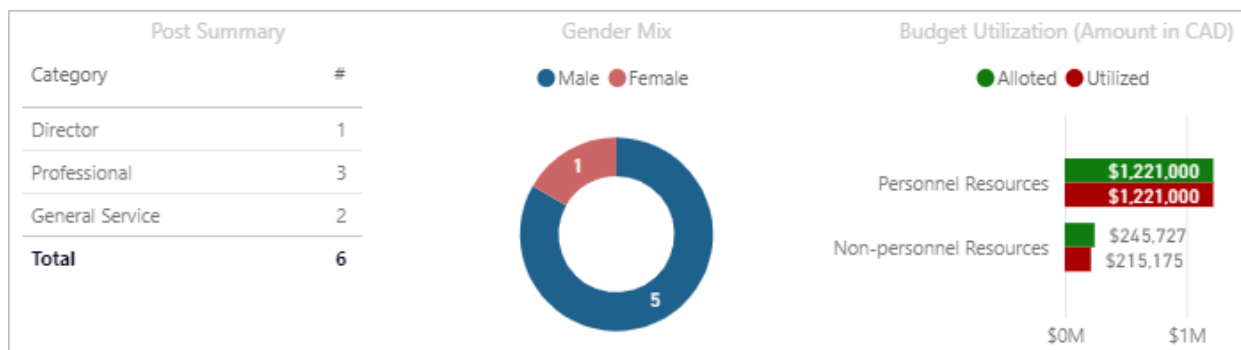
⁴ Paragraph 13.1 of the OIO Charter

11. OVERSIGHT RESOURCES

11.1 Budget and Staff

11.1.1 To discharge its mandate, OIO was provided with a triennial budget of CAD \$3.88 million (or CAD 1.29 million per year), which basically covers staff cost and major part of non-personnel funds needed for effective implementation of the approved OIO Work Plan is secured with additional funding provided by the Secretary General upon request. The sufficiency of OIO budget has been discussed and decided by the Council that consideration should be given to provide adequate budget to OIO to undertake all the planned activities effectively.

11.1.2 Chart: OIO’s human and financial resources as at 31 December 2022.



11.1.3 The newly hired P-5 Senior Internal Audit Officer reported to duty on 1 March 2022 following the early retirement of the incumbent on 31 December 2021.

11.2 Training

11.2.1 In line with the OIO Plan and considering the ICAO corporate training budget, a number of group trainings as well as individual trainings were organized for all OIO staff. Trainings included: Auditing Results-Based Management, OIO teambuilding 2022, Executive leadership, COSO-Enterprise Risk Management, Information Systems Auditing, Information Security, Certified Internal Auditor Preparation and proofreading and editing. OIO staff also completed Global Aviation Training courses on aviation fundamentals and safety management.

APPENDIX A

HIGH PRIORITY RECOMMENDATIONS ISSUED BY OIO IN 2022

| Assignment Title | Recommendation No. | Recommendation | Target Date | Status update as at 31/12/2022 |
|--|--------------------|--|-------------|--|
| Audit of the Eastern and Southern African (ESAF) Regional Office | IA/2022/1 Rec 1 | ESAF, in association with SPCP, should ensure a) Availability of CMRT for regular reporting, b) Effective linkage of Regional Office operating plans with corporate and RO risk registers as well as individual staff performance objectives in PACE. | 30/06/2022 | Implemented |
| | IA/2022/1 Rec 3 | ESAF, in close cooperation with SPCP, should update its RO Risk Register ensuring that all key risks are identified and managed effectively to ensure the achievement of business plan/ operation plan objectives. | 30/06/2022 | Implemented |
| | IA/2022/1 Rec 5 | ESAF should: (a) Store the passwords for the ESAF administrative accounts in the secure vault established by headquarters. (b) Carry out a full system level restoration of the data once the new back-up arrangements are in place and to confirm that the data can be restored from backup site in case of a disaster. | 31/12/2022 | (a) Implemented (b) Update on 24 November 2022: Azure File Share / Server restoration session and the services are working. This can be marked as complete, however, an ICAO Wide Disaster Recovery test is planned and will be rolled at HQ level. |
| Audit on Management of Mobile Devices | IA/2022/2 Rec 1 | ADB should: (a) Put in place a comprehensive inventory management procedure, from acquisition to disposal, for mobile devices and ensure that all devices are accounted for; and (b) Take full stock of all mobile devices organization wide, investigate all the missing devices and present the results in a report indicating any serious control weaknesses and/or individual responsibilities as appropriate. | 31/12/2022 | In progress |
| | IA/2022/2 Rec 2 | ADB should develop procedural guidance to undertake data scrubbing and destruction of old and | 31/10/2022 | In progress |

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Appendix A

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|--------------------------------------|-----------------|--|------------|-------------|
| | | unused mobile devices and document such actions. | | |
| Performance Audit of Data Management | IA/2022/3 Rec 1 | Under the leadership of the Secretary General, a data governance body should be constituted with responsibility to define data strategy and implement a data governance and management framework. Such a framework would among others: <ul style="list-style-type: none"> • Clearly assign roles and responsibilities over data ownership and stewardship of the enterprise-wide inventory of data assets • Include a data quality policy with data quality metrics. | 30/06/2023 | In progress |
| | IA/2022/3 Rec 2 | Based on principles adopted by CEB in 2018, ADB should take the lead in developing an organizational policy on personal data protection and privacy to embed personal data protection and privacy management standards in business processes and information systems in a consistent manner. | 31/12/2023 | In progress |
| | IA/2022/3 Rec 3 | The sponsors of signature projects of Digital Transformation should undertake (a) a risk assessment to identify significant risks that can materialize at the design and definition phase of the projects, (b) confirm the business case and milestones of the project implementation, (c) define roles and responsibilities, and (d) ensure effective communication and active participation of all stakeholders. | 30/06/2023 | In progress |
| Audit of Ethics Framework | IA/2022/4 Rec 1 | The Office of the Secretary General should include Ethics as a regular agenda item of the Senior Management Group and Full Senior Management Group meetings and remind senior managers of their responsibilities and for leading by example and promoting ethics as stipulated in the Service Code. | 31/12/2022 | Implemented |
| | IA/2022/4 Rec 2 | In line with the approved Council decisions, the Secretary General, in consultation with the Ethics Office, should ensure that the Ethics Office is provided adequate resources to be able to achieve its | 30/06/2023 | In progress |

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|--|-----------------|--|------------|-------------|
| | | mandate/activities. | | |
| | IA/2022/4 Rec 3 | ADB should monitor and report on compliance by all ICAO staff members of online mandatory ethics trainings to be developed by the Ethics Office. | 31/12/2023 | In progress |
| | IA/2022/4 Rec 4 | ADB, in close cooperation with the Ethics Office, should review the relevant ICAO policy and procedures to ensure that the potential conflict of interest cases cited in this report are effectively addressed while mitigating any associated risks that may arise in future in similar cases in a proactive manner. | 30/06/2023 | In progress |
| Audit of the Middle East (MID) Regional Office | IA/2022/5 Rec 1 | MID should ensure that mission reports are duly prepared and submitted by all staff in a timely manner, providing substantive information on actual outcomes and including recommendations and follow up actions needed to achieve the operating plan objectives and targets. | 31/03/2023 | In progress |
| | IA/2022/5 Rec 2 | MID Regional Director, in close cooperation with HR, should develop an HR action plan to identify and remediate key HR risks facing the Office to enable a harmonious working environment and increase its performance addressing the urgent needs of member States in the region. | 30/09/2023 | In progress |
| | IA/2022/5 Rec 4 | MID should immediately ensure that separate log books of all staff vehicles are maintained in a format prescribed by Headquarters. The log book entries should be counter verified on a regular basis by an appropriate official delegated to undertake such tasks by the Regional Director and ensure appropriate use of all office vehicles in compliance with rules and procedures. | 31/12/2022 | Implemented |
| | IA/2022/5 Rec 5 | MID should (i) review and update its asset registers after carrying out a physical verification, (ii) revive the bar coding system for efficient maintenance and checking of inventory. | 30/06/2023 | In progress |
| Audit of Staff | IA/2022/6 Rec 1 | ADB should establish a clear timeline and prioritize developing a business case and implementing the | 31/12/2023 | In progress |

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Appendix A

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|---|-----------------|---|------------|-------------|
| Benefits and Entitlements | | digitization of personnel records as part of digital transformation projects. | | |
| | IA/2022/6 Rec 2 | ADB should develop business case and requirements for workflow automation for administration of staff benefits and entitlements and include this in the scope of the signature project related to redevelopment of ERP solution of ICAO. | 31/12/2023 | In progress |
| Evaluation of the Global Aviation Security Plan (GASeP) | EV/2022/1 Rec 1 | <p>Revise GASeP considering the issues identified in this evaluation report. These include:</p> <ul style="list-style-type: none"> (a) adjusting EI targets to making them ambitious but realistic; (b) making the GASeP revision more participatory drawing input from States, regional offices, regional groups and other relevant stakeholders as appropriate; (c) clarifying adequately the links between GASeP, Annex 17, Doc 8973, and the USAP CMA, as well as other monitoring tools and that GASeP is not an additional set of requirements, but a tool/mechanism/ framework to support the effective implementation of Annex 17 (d) reducing the number of priority actions in the GASeP and link them to the achievements of the priority outcomes; (e) clarifying the role of stakeholders in monitoring and reporting of GASeP and on how monitoring information will be used to improve performance; and (f) identifying resources gaps and their sources to implement and monitor GASeP. | 30/06/2023 | In progress |

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|---|-----------------|--|--------------|-------------|
| | EV/2022/1 Rec 3 | The Secretariat should identify and allocate resources needed for effective and efficient implementation and management of GAsEP at the Secretariat level including for priority actions that are not resourced. The Secretariat could also, inter alia, consider assigning a GAsEP Coordinator or single point of contact responsible for GAsEP coordination and overseeing the work on monitoring, reporting and communication with relevant stakeholders. | 30/06/2023 | In progress |
| Evaluation of ICAO's Response to COVID-19 | EV/2022/2 Rec 1 | In collaboration with the Council, the Secretariat should prepare a comprehensive crisis management framework for multiple types of crises, varying duration (short-, medium-, and long-term emergencies) and different geographic scope (e.g., global versus regional emergencies) in close coordination and collaboration with key ICAO partners. The framework should establish clear responsibilities to trigger coordination actions across ICAO and key partners, as well as a menu of possible measures that could be flexibly used during a crisis. It should also include a basic communications plan (i.e., who communicates what and when) for the earliest stages of the crisis, which can be later tailored or improved according to the specificities of the emergency. This framework could be accompanied by pre-developed guidelines and tools (similar to those implemented by the CART) that can be deployed as soon as an emergency is declared and before a more targeted response is prepared. | 30 June 2024 | In progress |
| | EV/2022/2 Rec 2 | The Secretariat should establish high-level mechanisms to strengthen the relationship among aviation, health and other authorities critical for emergency response. At the organizational level, this mechanism could be a committee involving high-level representatives of ICAO, UN partners, States and the industry, with roles and responsibilities formalized through MOUs. ICAO could use this global committee to conduct Member State-level advocacy to encourage | 30 June 2024 | In progress |

CG-WP/013

Appendix A

| | | | | |
|--|-----------------|--|------------|-------------|
| | | the involvement of high-level representatives of the executive power and key ministries/authorities (i.e., transport, health, immigration, civil registries, and tourism, among others) in NATFCs or similar coordination mechanisms for stronger multi-stakeholder coordination at the national level. | | |
| | EV/2022/2 Rec 3 | The Secretariat should strengthen the resources and oversight capacity of Facilitation, Aviation Medicine and other ICAO sections/functions involved in emergency response. This should include assessing the need to expand the auditing of Annex 9-related SARPs not currently audited, as well as evaluating overall organizational capacity for increased SARPs implementation during non-emergency times. | 31/12/2023 | In progress |
| | EV/2022/2 Rec 4 | The Secretariat should review the CAPSCA framework and governance to determine the most optimal structure and corresponding funding mechanism for future emergency preparedness and response. The selected structure and funding mechanism should preserve the scientific independence of the arrangement. | 30/06/2024 | In progress |
| | EV/2022/2 Rec 6 | The Secretariat should develop a phase-out strategy to ensure the continuity of the objectives and achievements of the COVID-19 response. This strategy should describe the process and timeline to scale back, transition and/or terminate the temporary mechanisms and tools established to face COVID-19. The strategy could also elaborate on whether some guidelines developed by the CART could be mainstreamed into regular work (e.g., recommendations that could be included in the SARPs). | 30/06/2024 | In progress |

APPENDIX B

STATUS OF IMPLEMENTATION OF OIO RECOMMENDATIONS

Chart B1 – Outstanding recommendations

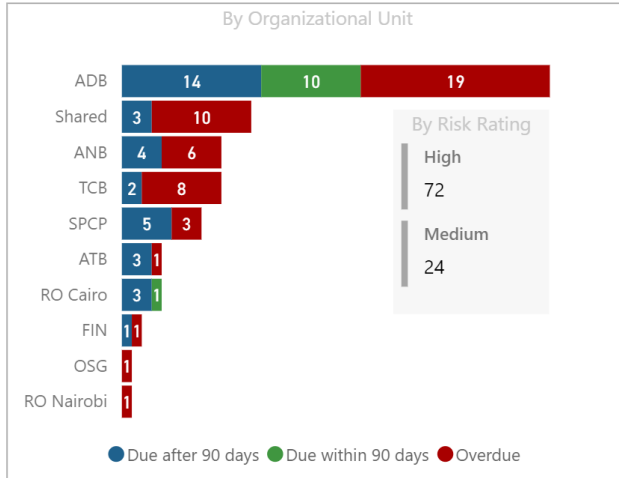


Chart B2 – Overdue recommendations

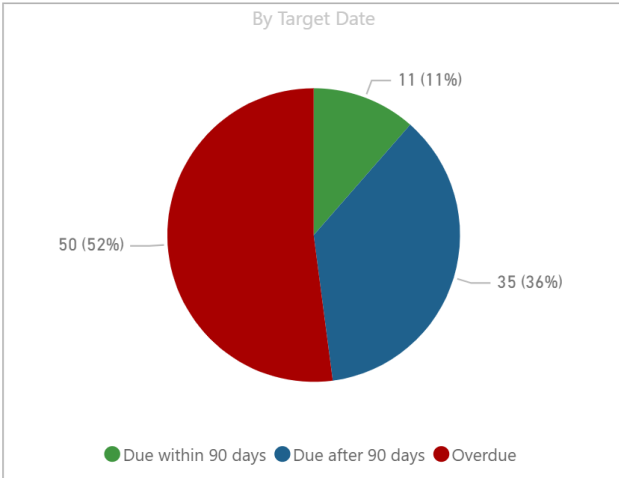


Chart B3 – Recommendations with revised target dates

| Organizational Unit | Target date revised once | Target date revised twice | Target date revised three or more times | Total |
|---------------------|--------------------------|---------------------------|---|-----------|
| ADB | 7 | 12 | 8 | 27 |
| ANB | 6 | 1 | 0 | 7 |
| ATB | 0 | 0 | 1 | 1 |
| FIN | 1 | 0 | 0 | 1 |
| OSG | 1 | 0 | 0 | 1 |
| Shared | 1 | 1 | 1 | 3 |
| SPCP | 1 | 0 | 0 | 1 |
| TCB | 3 | 0 | 1 | 4 |
| Total | 20 | 14 | 11 | 45 |

APPENDIX C

ADVISORY SERVICES PROVIDED IN 2022

1. Management Assurance Statement and Declaration
2. InfoSec Roadmap Procurement Process
3. Payment of Mobile Phone Expenses
4. Write-off of Commissariat Items
5. Revision of the ICAO Financial Regulations
6. Accountability Framework
7. Enterprise Risk Management
8. Statement of Internal Controls
9. Gender Equality Programme for 2022-2025
10. IT Asset Management
11. IT Access Controls
12. Results Based Management Roadmap

APPENDIX D**DELAYS IN COMPLETING THE MANAGEMENT ACTION PLAN AND FINALIZING THE REPORT**

| Assignment Title | Delay in working days |
|--|------------------------------|
| Audit of the Eastern and Southern African (ESAF) Regional Office | 18 |
| Performance Audit of Data Management | 19 |
| Audit of Ethics Framework | 19 |
| Audit on Management of Mobile Devices | 28 |
| Evaluation of the Global Aviation Security Plan (GASeP) | 50 |
| Evaluation of ICAO's Response to COVID-19 | 81 |
| Average | 36 working days |

APPENDIX E

JIU REPORTS PRESENTED TO THE COUNCIL IN 2022

1. Review of multilingualism in the United Nations system (C-WP/15342).
2. Review of mainstreaming environmental sustainability across organizations of the United Nations system (C-WP/15343).
3. Review of block chain applications in the United Nations system: towards a state of readiness C-WP/15406).

— END —