



ORGANISATION DE L'AVIATION
CIVILE INTERNATIONALE

INTERNATIONAL CIVIL
AVIATION ORGANIZATION

Internal Audit Report
on
Technical Cooperation Bureau (TCB)
Project Personnel

IA/2023/01

Office of Internal Oversight

ACRONYMS

ADB	Bureau of Administration and Services
ANB	Air Navigation Bureau
AOSC	Administrative and Operational Services Cost
ATB	Air Transport Bureau
BSS	Business Support Section
FOS	Field Operations Section
FPA	Field Personnel Administration Unit
FPS	Field Personnel Section
FRU	Field Recruitment Unit
FSSR	ICAO Field Service Staff Rules
FTA	Fixed Term Agreement
GAT	Global Aviation Training
ICAO	International Civil Aviation Organization
ISG	Implementation Support Group
IPACKS	Implementation Packages
LEB	Legal Affairs and External Relations Bureau
NO	National Officer
OIO	Office of Internal Oversight
OPAS	Operational Assistance Agreement
ProDoc	Project Document
QMS	Quality Management System
ROM	Regional Office Manual
RSSA	Retainer Special Service Agreement
SSA	Special Service Agreement
SSCs	Significant Safety Concerns

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EXECUTIVE SUMMARY

1. As part of its annual work plan for 2022 (C-WP/15270), the Office of Internal Oversight (OIO) carried out an audit of Technical Cooperation Bureau (TCB) Project Personnel. The objectives of the audit were to assess (a) the adequacy and effectiveness of policies and procedures regarding the recruitment, as well as management and performance monitoring of TCB project personnel (consultants and project staff); and (b) the effectiveness of TCB's HR processes in supporting the achievement of project objectives. The audit was conducted in conformance with the International Standards for the Professional Practice of Internal Audit¹.
2. OIO noted the following positive developments in the TCB project personnel management:
 - Project personnel selection, onboarding, contract management and separation processes are well-documented, and related records are fully digitized. Field Personnel Section (FPS) maintains proper justification of recruitments in E-recruiter systems;
 - Based on the sample of recruitment tested, recruitment cases were found to be appropriately supported by relevant documentation and compliant with related rules and procedures;
 - FPS shows a high productivity of recruitment cases and contract administration managed per staff, demonstrating a great dedication of FPS to achieve results despite a high vacant rate;
 - A successful vetting process took place for the implementation of Implementation Packages (iPacks) in collaboration between TCB, Air Navigation Bureau (ANB) and Air Transport Bureau (ATB) resulting in selection and vetting of 81 experts. ATB, in coordination with TCB, managed 19 AVSEC projects and co-vetting process for deployment of General Aviation Training (GAT) experts was conducted.
3. Project personnel rules and procedures need to be updated and harmonized with ICAO regular programme to take into consideration changes in the Service Code that occurred since their last revision, and the ICAO Implementation Support Provided to States aligning Technical Assistance and Technical Cooperation.
4. The high percentage of frozen vacant posts in FPS due to budgetary constraints creates an overwhelming situation on the remaining staff, impacting their morale and motivation levels and increasing risks of errors, creating bottleneck and delays in recruitments and resignation, potentially affecting TCB operations and affecting ICAO reputation.
5. Risk management could be improved by conducting risk assessment of key business processes and identifying responsible staff who will define, manage and regularly report on risks mitigation.
6. The migration of the current E-recruiter system to Inspira, with first steps undertaken at the end of January 2023, will address the various concerns raised by ICAO Information Communication Technically, Information Security and TCB.
7. The Civil Aviation experts' roster is under development and FPS in its strategy did not incorporate the need to conduct a quality review of the roster and make it, in coordination with Technical Bureaus and Regional Offices, a reliable, accurate, comprehensive and secured tool available to relevant ICAO personnel.
8. Project personnel recruitment and contract administration planning benefits from a recently TCB developed tool addressing short term planning. However, coordination with Technical Bureaus and Regional Offices is limited, impeding medium and long term planning and preventing anticipation of needs.

¹ In line with IIA Standard 1321.

9. Ongoing management and performance management of project personnel between TCB, Technical Bureaus and Regional Offices could be improved through coordination to enhance the effective implementation of the Implementation Support Policy and alignment of Technical Assistance and Technical Cooperation activities.
10. There are opportunities to enhance the TCB Quality Management System (QMS) related to project personnel management by reviewing the survey questions and rating scales used for surveys sent to Member States and Regional Office. The key performance indicators measuring length of recruitment processes can be further improved by using the project personnel monitoring management tool recently developed by FPS and Field Operations Section (FOS).

Overall Conclusion

11. Based on the results of the audit, OIO has given an audit rating of "Some Improvement Needed". This report includes two high priority and two medium priority recommendations. The significant risks identified during the audit are associated with harmonization of policies and procedures and civil aviation experts' roster management. Other areas for improvement include: risk management and coordination in project personnel recruitment planning. All recommendations in the report have been accepted by the Management. Management Action Plan to implement the recommendations is provided at Annex 3.

Acknowledgement

12. OIO wishes to thank management and staff for their assistance and cooperation during the audit.

RESULTS OF THE AUDIT

Background

13. International experts and consultants for Technical Cooperation projects are recruited and deployed by the Field Personnel Section (FPS) of the Technical Cooperation Bureau (TCB). During the period 2019-2022, 1537 international experts and 2401 national experts were recruited and deployed for Technical Cooperation assignments, 39 for Technical Assistance, eight for ICAO Programme for Aviation Volunteer and 128 for Implementation Packages. Table 1 below provides details of these recruitments and deployments.

Table 1. TCB experts hired in the period 2019-2022

	TECHNICAL COOPERATION			
	2019	2020	2021	2022
International field experts	359	321	428	429
<i>equivalent in work/months</i>	359.1	379.5	408.4	472.3
National experts	617	500	592	692

	TECHNICAL ASSISTANCE			
	2019	2020	2021	2022
International field experts	0	11	5	23
<i>equivalent in work/months</i>	0	28.3	7.7	36.2
National experts	0	0	0	0

	ICAO PROGRAMME FOR AVIATION VOLUNTEERS (IPAV)			
	2019	2020	2021	2022
International field experts	3	4	1	0
<i>equivalent in work/months</i>	2.2	3.2	0.7	0

	IMPLEMENTATION PACKAGES (iPacks)			
	2019	2020	2021	2022
International field experts	0	5	44	79
<i>equivalent in work/months</i>	0	3	30.4	141.5

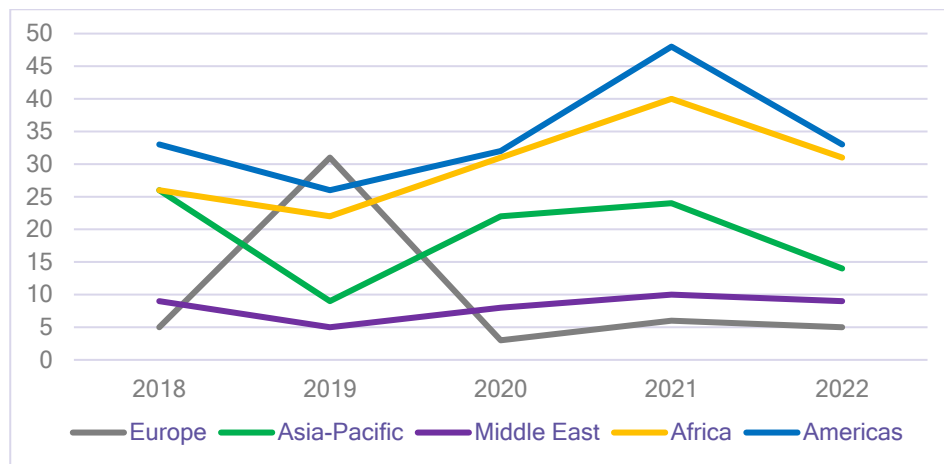
Source: 2019-2021 figures are extracted from ICAO's Technical Cooperation Programme- Policy and activities report² and 2022 figures provided by FPS

14. In FPS, the Field Recruitment Unit (FRU) and the Field Personnel Administration and Entitlements Unit (FPA) are respectively responsible for the management of experts' recruitment and the administration of contracts and deployment of these recruited experts. Experts could be internationally or nationally recruited. The contracts assigned to these experts could be of different nature including Special Service Agreement (SSA), Fixed Term Agreement (FTA), Operational Assistance Agreement (OPAS), Service Contract or National Professional. The choice of the contractual arrangement depends on the project duration, the reporting line (to ICAO or to Member State), staffing status, project type or type of remuneration. The existing contracts provides a large spectrum of employment conditions offering flexibility for ICAO and Member States in selecting the best suitable arrangement for a given project personnel. A matrix of these contractual arrangements is presented in Annex 2.
15. Technical Assistance is any assistance provided by ICAO to States, which is funded by the Regular Budget and/or Voluntary Funds, and implemented through any Bureau/Office depending on the nature and duration of the project. Technical Cooperation is any project requested and funded

by States and/or Organizations and implemented through TCB on a cost-recovery basis, where all the direct and indirect costs related to the project are recovered.

16. Following the above definitions, TCB can provide Technical Assistance and Technical Cooperation to Member States through the development and implementation of projects across the full spectrum of civil aviation. The General Aviation Training (GAT) Office can also implement Technical Cooperation projects in relation to training. Alternatively, Air Navigation Bureau (ANB), Air Transport Bureau (ATB), GAT and the Regional Offices can provide Technical Assistance to Member States. Both Technical Assistance and Technical Cooperation are aimed at improving safety, air navigation, security and facilitation, environmental protection and the sustainable development of air transport related to civil aviation, with a view to achieving standardization and harmonization, as specified in ICAO's Standards and Recommended Practices (SARPs) and other provisions such in Procedures for Air Navigation Services, Plans and guidance materials.
17. Activities performed under Technical Assistance projects are coordinated with the respective Technical Bureaus and the Regional Offices to ensure the efficient use of resources and alignment with ICAO's Strategic Objectives, Policies and Guidance.
18. Over the period 2018-2022, the trend of projects by region where TCB operates was the following:

Figure 1. Total number of TCB projects per regions per year in the period 2018-2022



Source: TCB Field Office Support Section

Impact of the Policy on ICAO Implementation Support provided to States

19. Presented by the Secretary General³ and approved by the Council⁴ in 2022, the Policy on ICAO Implementation Support provided to States (Implementation Support Policy) aims to strengthen the coordination and management of ICAO's implementation support activities to better meet the needs of Member States. The Implementation Support Policy aims to harmonize implementation support activities across ICAO Bureaus following a One-ICAO approach⁵.

Audit Objectives

20. The objectives of this audit were to:
 - a. Assess the adequacy and effectiveness of policies and procedures regarding the recruitment, as well as management and performance monitoring of TCB project personnel; and

³ C-WP 15295

⁴ C-DEC 225/6

⁵ Appendix 1 of the Oral TCC Report on C-WP. 15295

- b. Assess the effectiveness of TCB's Human Resources processes in supporting the achievement of project objectives.

Scope and Methodology

21. The scope of the audit covered TCB Project Personnel management for the period from 1 January 2020 to December 2022.
22. OIO carried out interviews with key staff involved in the management of TCB field personnel at Headquarters and Regional Offices; sample testing of TCB personnel files; walk through tests of procedures and systems related to management of TCB field personnel; reviewed relevant existing procedures, files, performance indicators, and documents. In particular, the audit examined a sample of recruitment cases of project personnel during the period under review; roster of experts; risk register; and existing KPI or performance evaluation reports.

Audit Findings and Recommendation

Regulatory Framework

Field personnel policies and procedures need to be updated and aligned with ICAO framework

23. The ICAO Service Code applies to all ICAO personnel. A single set of comprehensive, updated regulations and guidance constitute the reference documents in managing the organization's personnel. The Policy on ICAO Implementation Support Provided to States, revised by Technical Cooperation and Implementation Support Committee⁶ and approved by the Council⁷, aims to align the management of the Technical Cooperation and Technical Assistance programmes, projects, products, services and activities. A unified project personnel and consultant management framework is expected to host Technical Assistance and Technical Cooperation under the same umbrella of ICAO Implementation Support and One-ICAO approach.
24. In the case of TCB Technical Cooperation and Technical Assistance projects, field personnel and experts are recruited under ICAO Field Service rules and procedures which differ from the ones applied to ICAO regular programme and Regional Offices' Technical Assistance projects. Whilst similar to ICAO regular programme framework, the conditions of employment for TCB project personnel under Field Service Staff Rules (FSSR) and other TCB guidance documents remain different mainly due to the fact that project personnel rules have to consider the limited duration of project positions, the nature of the project and specific recruitment procedures or separation/termination clauses mitigating future risks and liabilities for ICAO.
25. In 2018, FPS, ADB/HR and LEB worked jointly to harmonize TCB Field Service Staff Rules with ICAO Service Code and ICAO Staff Rules. As a result, TCB revised its procedures and guidelines in May 2019 that are yet to be issued⁸.
26. Since this harmonization exercise in 2018, ICAO Service Code and Staff Rules were further modified, including the revision of the ICAO framework on Ethics, which are yet to be reflected in the FSSR. The transfer of the procurement function (PRO) to ADB is another important change that needed to be reflected in the TCB recruitment procedures where PRO management was involved in some recruitment processes and actually replaced by Technical Support Unit in TCB.

⁶ C-WP/15295, Oral TCC report

⁷ C-DEC 225/6 and C-DEC 217/14

⁸ These documents are the Administrative instructions on OPAS, Administrative instructions on contracts for locally recruited consultants/IC, Administrative instructions on contracts for locally recruited service contractors, and administrative instructions on contracts for internationally recruited consultants and IC for field services.

27. Additionally, ICAO issued in 2021⁹ a revised administration instruction on consultancy and individual contractors, which also differ from the procedures used for Technical Cooperation consultants in terms of performance evaluation or remuneration¹⁰.
28. A further review and harmonization is required to eliminate potential inconsistencies that may cause legal and contractual risks whilst recognizing the differences outlined in paragraph 14. Council's decision on ICAO Implementation Support Provided to the States strengthens the need to enhance consistency to the highest extent possible in application of personnel policies and procedures reflecting the "One ICAO" approach to the management of Technical assistance and Technical Cooperation contracts.

Recommendation 1	Harmonization of policies and procedures for project personnel
Priority	High
TCB, in consultation with ADB and LEB, should jointly conduct a harmonization exercise for the project personnel policies and procedures to enhance consistency in Implementation Support for Technical Assistance and Technical Cooperation projects across ICAO.	
Closing criteria:	
a. Conduct a joint harmonization exercise of the project personnel policies and procedures for enhancing consistency in Implementation Support and reflect the appropriate changes of the ICAO Service Code where required.	
b. Issue the revised harmonized project personnel policies and procedures.	

Overall management

Staffing constraints in Field Personnel Section

29. FPS reports to D/TCB and has two units, Field Recruitment Unit (FRU) and Field Personnel Administration (FPA), respectively in charge of field personnel recruitment and contract and personnel administration. The section has 16 established posts, eight (50 %) of which have been vacant since 2020 (See table 2).

Table 2. FPS staffing level as of 31/12/2022

Staffing as of 31.12.2022	Professional Staff	General Service Staff	Total FPS ICAO Staff	Consultants	Total FPS Staff Incl. Consultants
Female	1	3	4	1	5
Male	2	2	4		4
Vacant	3	5	8		8
Total	6	10	16	1	17

30. The eight vacant positions which are funded through the Administrative and Operational Services Cost (AOSC), have been frozen due to lack of funding resulting from the decrease in TCB revenues during the COVID-19 pandemic. Resources were insufficient to sustain a full staffing level of TCB and replace staff on positions becoming vacant.

⁹ Administrative Instructions on Contracts of Individual Consultants/Contractors, revised 30 July 2021

¹⁰ ICAO regular programme and TCB consultants' remunerations are using different band fees. TCB fees are based on United Nations Secretariat remuneration scale, higher by 22 percent and calculated in USD.

31. Current staffing level leads to increased workload on existing staff, potentially impacting on the quality and timeliness of recruitment and administration of experts, undermining staff morale, as staff can not easily take annual leave and increasing the risk of human error, staff demotivation and resignation. Indicatively, out of the eight staff members currently under fixed term contract in FPS, three have more than 60 days of leave balance as of 31/12/2022.

To mitigate the risk of a paralyzed section in case of additional staff departure, FPS put in place internal weekly training sessions to ensure that all staff are familiar with the various processes managed by their colleagues, creating back-up capacity and strengthening institutional knowledge.

32. Further, to cope with understaffing situation and in response to increased demands from States for vetted experts, recruitments of project personnel is mainly done using sole source method to accelerate the recruitment of experts. As a result of the conditions imposed by COVID-19 pandemic and the introduction of iPacks requiring virtual deployments of experts rather than in person, figure 2 illustrates that 95 percent of the 1020 recruitments processed were made under the accelerated process in 2021 and 2022. Indicatively, sole source recruitments went from 61 percent in 2014 to 86 percent in 2020. The shift to accelerated recruitment is particularly visible when comparing the average number of regular and accelerated recruitment in pre and post COVID periods as shown in Figure 3. The extensive use of accelerated recruitments potentially increase the risks related to over-reliance on the same experts and lack of transparency and objectivity in recruitment and selection of experts, potentially affecting the quality of the services delivered and ICAO's reputation.

Figure 2. Percentage of field personnel accelerated recruitments versus regular recruitments between 2014 and 2022

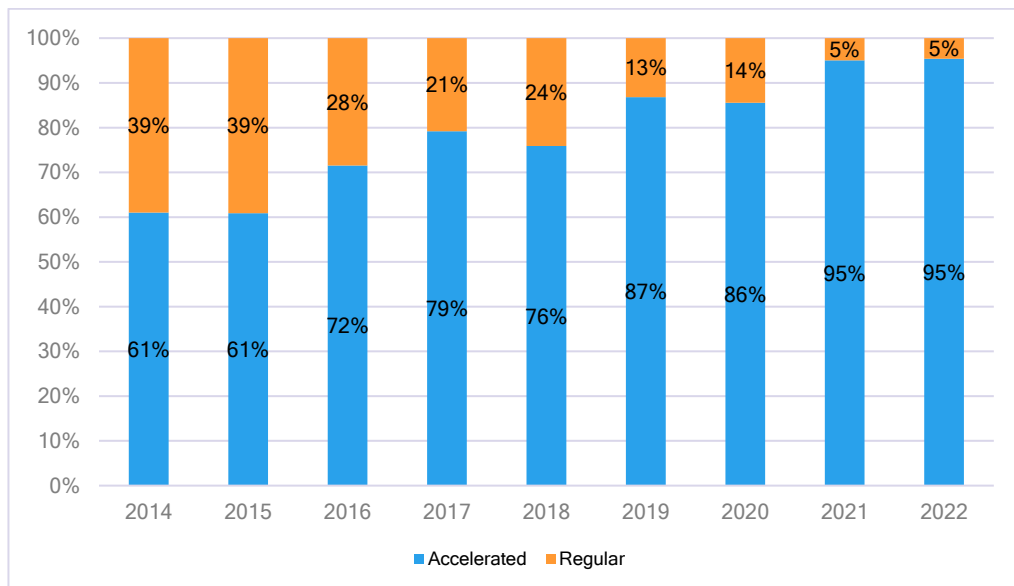
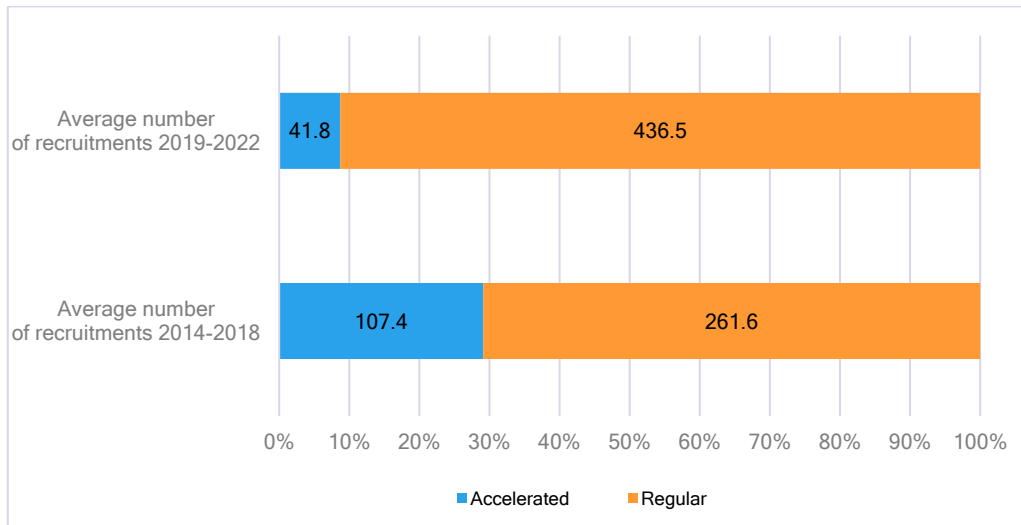


Figure 3. Average number of regular recruitments versus accelerated recruitments on the periods 2014-2018 and 2019-2022



33. The accelerated recruitment modalities, nevertheless, allows the Section to show a high productivity in the past three years despite the number of vacant positions. The statistics below (Figures 4 and 5) show the number of recruitments managed and contracts administered by the respective units of FPS.

Figure 4. Number of recruitments managed by FRU in the period 2015-2022

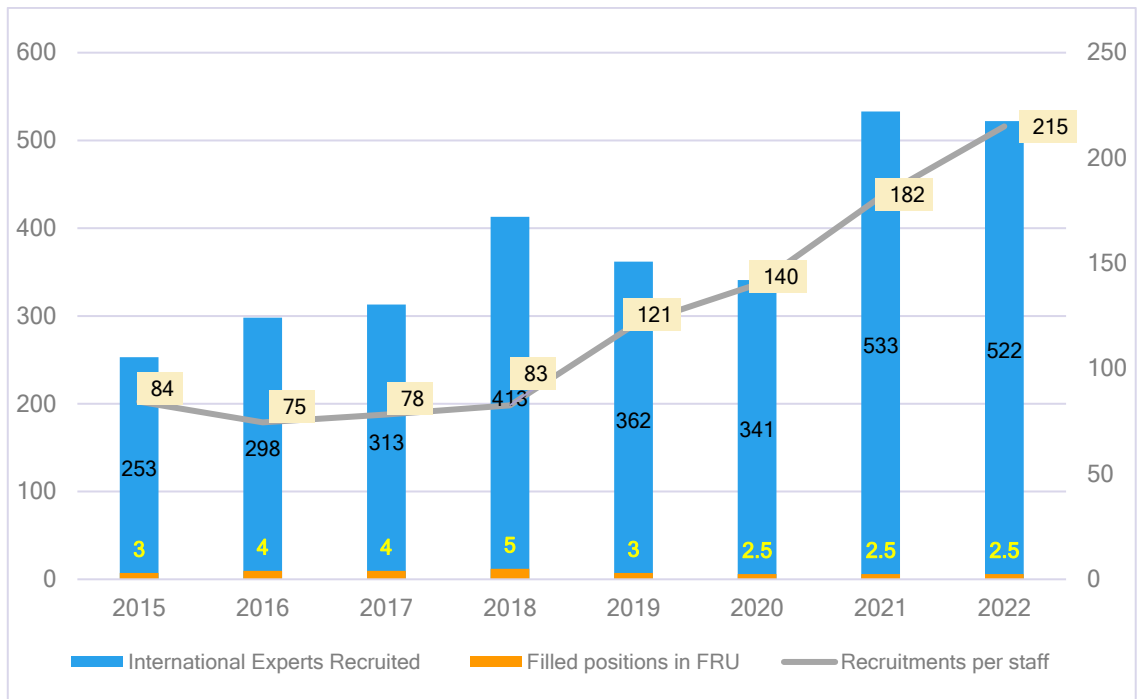
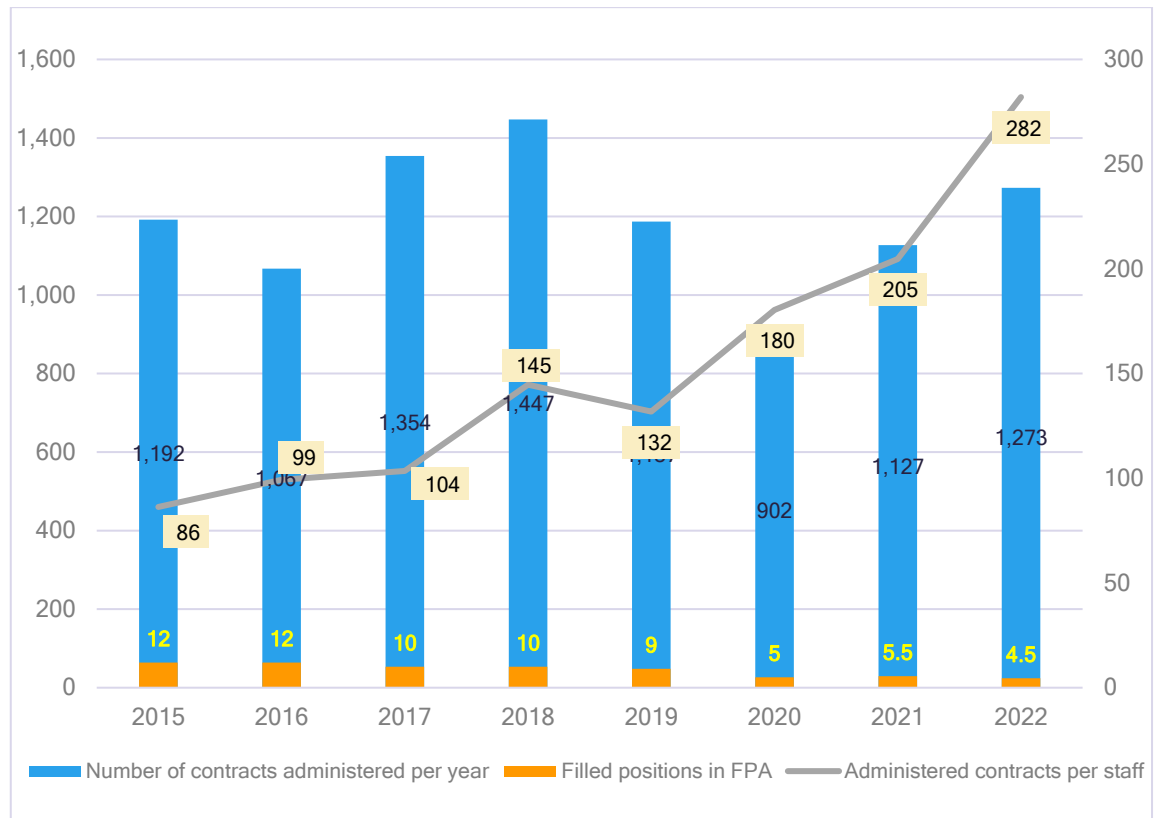


Figure 5. Number of contracts administered by FPA in the period 2015-2022



34. The current post incumbency level of FPS cannot sustain the high demand for experts and project personnel. FPS strategic developments such as the civil aviation experts' roster were delayed to prioritize recruitment and contract administration of project personnel. Overwhelmed, the section

Despite the shortage of staff in FPS, 12 regular recruitments of iPacks experts were completed in coordination with Technical Bureaus. TCB deployed these vetted experts on different iPacks projects under the accelerated recruitment process.

is almost exclusively recruiting through accelerated process, putting pressure on staff and increasing risks of errors and quality, staff demotivation and premature departure which may affect the overall TCB activities and potentially damage ICAO reputation.

35. To mitigate these risks, TCB Senior management allocated resources for hiring a consultant to support the Section¹¹ in 2023 and requested support from Member States for seconded personnel. These initiatives fall short of providing sustainable solutions for funding FPS positions but aim for immediate relief from overwhelming staffing situation.

Risk management

36. A well-designed risk identification and mitigation process, supports an effective and risk-based management of TCB project personnel.
37. TCB maintains a risk register at Bureau level, incorporating inputs from the different Sections. FPS participated in the last risk identification exercise of the Bureau. Though, FPS does not maintain its own risk register, the section has a good understanding of its key risks that could impact the section's activities, affect project personnel recruitment and contract administration processes and ultimately the implementation of TCB activities.

¹¹ 202303IC, JO 199443, Field Personnel Consultant

38. However, TCB Risk Register does not include these key risks such as:
- a. Sustainability of the recruitment and administration of field personnel due to high vacancy rate in FPS;
 - b. Weaknesses of the information system tool supporting recruitment of project personnel (see next section on E-recruiter and Roster);
 - c. Implementation Support Policy consequences on the recruitment and administration of field personnel processes and tools; or
 - d. Over-reliance on certain Member States or regions for projects development.
39. The current approach does not provide an opportunity for an integrated approach to risk management within the Bureau, overlooking the risks interdependencies among various Bureau's business processes, sections and units and result in potentially unmanaged risks affecting the operations of the Bureau.

Recommendation 2	Integrated risk management approach
Priority	Medium
TCB should develop an integrated risk management approach by conducting risk assessment of key business processes within the Bureau and designate staff who will identify, manage and report on risk mitigation actions on a regular basis.	
Closing criteria:	
<ol style="list-style-type: none"> a. Conduct risk assessments of key business processes within TCB and identify responsible staff who will define, manage and regularly report on risks mitigation. b. Update the TCB risk register with the business processes risks identified. 	

Quality measurement of project personnel management and related KPIs

40. Key Performance Indicators (KPIs) and other performance metrics, including feedback/assessment from Member States, provide timely, accurate and reliable information to support TCB management in measuring internal performance, identify gaps and take corrective actions.
41. Under the TCB Quality Management System (TCB QMS) the Bureau has developed a number of KPIs and measures presented during regular TCB Management Review meetings and feeding a balanced score card included in the TCB operating plans¹² presented to the Council. The performance and quality metrics related to project personnel are captured from different sources of information including the E-recruiter system and also from two customer satisfaction surveys managed annually by TCB, and one survey conducted every other year by an independent third-party company.

¹² Refer to C-WP/15238 and C-WP/15437

Quality management surveys and metrics

42. The two TCB QMS surveys are respectively gathering feedback from Member States or civil aviation agencies¹³, and from ICAO Regional Offices¹⁴ on services provided by TCB. The survey conducted by the independent third-party company gathers Member States satisfaction on Technical Cooperation activities¹⁵.
- The TCB QMS questionnaire to Member States/agencies survey contains six questions including one on project personnel. The responses collected show an overall satisfaction ratio of 87 percent against a target of 80 percent. The survey response rate of 47 percent is a moderate result due to difficulties in reaching out to the project responsible official at member state or civil aviation agencies level. The question related to project personnel shows an average rating of 88 percent satisfaction, consistent with the overall rating.
 - The TCB QMS questionnaire to Regional Offices' projects serviced by TCB shows a satisfaction level of 80 percent in line with TCB target. The 32 questions survey includes 10 on experts/project personnel recruitment, administration, briefing and performance. Out of 25 surveys collected by TCB QMS, only five provided feedback on experts (for the other projects the experts related questions were not applicable). Out of the five responses dealing with experts, three (or 66%) from a same Regional Office showed an unsatisfactory assessment due to recruitment timeliness, lack of coordination and untimely service provision which were yet to be communicated to FPS.
 - The third-party independent survey was lastly undertaken in 2021. It showed a response rate of 33 percent and an overall satisfaction score of 71.2 percent. The analysis shared with the Council by the surveyor presents comprehensive details, by regions, functions, services rendered, etc. A revision of the questions is currently ongoing in preparation of the 2023 survey to ensure relevance and consistence with the services provided by TCB.
43. OIO noted that the internal and external surveys use inconsistent satisfaction rating scales (see table 3 below) The TCB QMS surveys show an overweight or imbalance in favor the first two levels of satisfaction whilst the independent survey uses a linear scale. For consistency, OIO recomputed under linear scale the TCB QMS project personnel satisfaction level from surveys sent to Member States, in which case satisfaction level of experts' performance would decrease from 88 to 77 percent.

Table 3. Comparison of satisfaction rating scales used within TCB and by the independent surveyor

Satisfaction Rating	% of Satisfaction used by TC QMS	% of Satisfaction used by the independent third party surveyor
Extremely satisfied	100%	100%
Very satisfied	90%	75%
Satisfied	70%	50%
Unsatisfied	40%	25%
Very unsatisfied	0%	0%

44. At the time of the audit, questions of the independent third-party surveyor are going through internal revision, aiming at enhancing their relevance, consistency and the overall quality of the

¹³ Quality measurement F-SYS-110-04

¹⁴ Quality measurement F-SYS-110-11

¹⁵ Refer to C-WP/15240

collected information in the 2023-planned survey. Similar discussion was initiated in TCB for enhancing the internal surveys to Member States and Regional Offices.

Experts' recruitment and contract administration performance indicators

45. TCB QMS developed several performance indicators regularly discussed at TCB management review meeting. For indicators assigned to FPS, targets have been consistently reached during the period audited. These metrics are very specific covering:
 - a. Contract extension anticipation time;
 - b. Time taken between recruitment requests and nomination letter to Member States;
 - c. Time taken between recruitment requests and start of the contract administration process; and
 - d. Regional Offices satisfaction.
46. No metric or indicator is measuring the entire time taken to complete a recruitment from the day the recruitment request is received from FOS to the actual deployment date of the project personnel. In November 2022, FOS and FPS started the development of a recruitment and administration monitoring tool under Jira project management system. This tool, presented to OIO, uses a baseline of 162 days for regular recruitments and 11 days for accelerated recruitments and will provide information on the length of time taken by each recruitment step until the deployment of the experts.
47. As service provider, FPS would also benefit from specific measures or experts' feedback regarding the administration of their contract or their onboarding process. Such initiative was put in place by regular programme Human Resources in ADB and TCB could consider adopting this good practice to identify what goes well and areas of improvement in contract management and deployment of experts.

Expert recruitment and administration

Planning process

48. Forecasting and planning of project personnel recruitment allow TCB FPS to assign resources, identify and prioritize urgent recruitments, anticipate pick periods and prevent bottlenecks.
49. Internal meetings in TCB are taking place weekly or every other week to assess the upcoming recruitment activities, however the current planning process lacks long term view in identifying future needs. In an effort to improve the current short term planning process, FOS and FPS formed a working group to develop under Jira project management system, a recruitment and administration monitoring and planning tool. This monitoring and planning tool, under testing phase during the audit, provides an instant view of the ongoing recruitment status and includes a prospective view of the upcoming recruitments based on upcoming projects. Currently developed for regular recruitment, the tool aims at integrating also accelerated recruitment. The tool also measures recruitment, contract administration and deployment timelines and compares them against an established baseline.
50. In addition, there is a need for enhanced coordination between FPS and FOS but also better exchange of information with Bureaus for iPacks, GAT and Regional Offices for regional projects. Coordination meetings involving all users of FPS services do not currently exist because implementation activities are currently separated, however such coordination will improve the relevance, consistency, efficiency and effectiveness of the ICAO implementation support provided to States.

Recommendation 3	Project personnel recruitment and contract administration planning coordination
Priority	Medium
<p>TCB should regularly organize project personnel planning coordination meetings involving the Technical Bureaus and Regional Offices to facilitate exchange of information and planning of short-, medium- and long-term project personnel recruitment and contract administration needs.</p>	
<p>Closing criteria:</p> <ol style="list-style-type: none"> a. Organize project personnel planning coordination meeting with TCB, Technical Bureaus and Regional Offices on a regular basis to ensure short-, medium- and long-term project personnel recruitment and contract administration needs are identified and anticipated. 	

Selection, onboarding, contract management and separation processes

51. Adequately designed, clearly defined and efficient, selection process mechanisms are expected to be in place to support and timely select project personnel selection and onboarding processes in TCB.
52. OIO randomly selected and tested the selection and onboarding processes for recruitment cases of 30 project personnel out of the 230 project personnel contracted during the period from first January 2021 to 30 September 2022. On this period, 497 recruitments were conducted out of which 59 were active as of 30 September 2022.
53. FPS maintains proper justification of recruitments in E-recruiter systems (current and prior system) and in FPS digitized records. All recruitment cases tested were supported and audit trails were available in the systems. Signed contract, job requisitions, sole source recruitment justification reference checks, interview reports, and contract administration forms were properly documented and recorded. For management of project personnel benefits and entitlements FPS uses ICAO ERP system in a specific module of Agresso (UC module) or requests the services of UNDP for payment of salary in local currency for locally recruited personnel. Reviewed procedures were working as intended.
54. Clear check out processes are in place. Before final payments are made, clearance certificates forms are requested to administratively ensure that performance of consultants were effectively assessed and reviewed by FOS and any documents, such as UN Laissez Passer, are returned. Most of the experts don't have IT material and access.

Project personnel selection, onboarding, contract management and separation processes are well documented and related records are fully digitized. Just before COVID-19 pandemic, FPS team finalized the digitization of project personnel records, which allows the team to effectively work remotely and swiftly during the pandemic.

Electronic recruitment management system

55. Adequately designed, effective and secured electronic recruitment (E-recruiter) system is a strong supporting tool for transparent, effective and timely project personnel recruitment process.
56. The E-recruiter system currently in use by TCB for project personnel recruitment management was initially developed in 2016 for the entire ICAO. Later, the regular programme changed the recruitment tool to Inspira, the recruitment management system of the United Nations Secretariat. TCB kept E-recruiter for various reasons, including that the system was containing an important volume of data and documents and the process workflow was tailored to TCB project

personnel recruitment processes. Discussions with key personnel in TCB, Information Communication and Technology (ICT), and Information Security highlighted critical risks in maintaining the use of this system. Among these risks were the discontinuation of maintenance, lack of service and upgrade of the system by the supplier [REDACTED] and, instability of the system often crashing in the middle of transactions. ICT also raised the internal cost of maintaining the system using ICAO internal resources and the indirect costs to TCB of any crash and system breakdown, plus the potential loss of data in case of system failure.

57. During walkthrough of FPS processes, difficulties were expressed by FPS personnel when navigating the system highlighting that they had to go back and forth between the current E-recruiter tool and the prior one to retrieve information as not all the data recorded in the prior system could be migrated into the current E-recruiter.
58. Discussion took place between ICT and TCB for the migration of E-recruiter to Inspira, with first steps planned for end of January 2023. This migration should address the various concerns raised by ICT, Information Security and TCB. In OIO's view, use of Inspira by TCB in recruiting field project personnel would further enhance the recruitment process across ICAO.

Roster management

59. A well managed and integrated roster of experts, regularly updated by the authorized staff guarantees optimized, reliable and accurate recruitment and supports ICAO in the recruitment of aviation experts. The TCB operational plan for the period 2022-2024 stated that "an integral part of TCB's success is its roster of aviation experts. The current TCB roster of experts is under transformation into a modern "Global Talent Database for Aviation Experts", with features that will provide efficient and effective mechanisms to fast-track pipeline recruitment of qualified experts, while ensuring they are properly vetted and technically validated by subject matter experts".
60. The "One ICAO experts' roster" or "Global Talent Database for Aviation Experts" owned by FPS is under development. The roster contains 386 records of active individuals (vetted) out of a list of 4035 (long listed) records. The vetted status is granted either as a result of a long past or recent recruitment process or from specific vetting exercises. The same individual could be vetted for different expertise.
61. However, the shortage of staff in FPS, lack of regular coordination with Technical Bureaus and Regional Offices and the absence of an automated, reliable and secure tool prevented ICAO to effectively develop, manage and monitor a comprehensive, accurate, up-to-date and useful aviation experts' roster.
62. As a result, the FPS roster is a mix of E-recruiter data and additional information manually currently compiled into an excel spreadsheet lacking robust IT access controls and as it is manually fed, prone to human errors, increasing the risks of confidentiality, integrity, and availability of information. OIO's analysis showed some irrelevant information (several date of birth of experts between 6 and 18 years old), incomplete data (including for 49 vetted individuals) or duplicate entries (same individual showing two roster IDs, sometime with same recorded expertise, including for 13 vetted experts).
63. Experts' resumes/CV recorded in E-recruiter, used for developing and updating the roster, are often those from the experts' first application which could be 6 or 7 years old. Experts' performance are also not reflected in the roster which is still work-in-progress.

A successful vetting process was put in place for the implementation of iPacks in an active collaboration between TCB, ANB and ATB resulting in successful selection and vetting of 81 experts. Other categories of experts could benefit from such coordinated approach.

All vetted safety and security experts passed the USOAP training exam.

64. Technical Bureaus or Regional Offices expressed a great interest in using the roster¹⁶ and see this to be a critical achievement to support the “One-ICAO” approach and the Implementation Support Policy. Therefore, integrating GAT, Regional Offices, ANB and ATB civil aviation experts within FPS managed roster is essential for ICAO Implementation Support.
65. These observations call for a roster quality review and measures to enhance its accuracy, comprehensiveness and usefulness for ICAO.

Recommendation 4	Civil aviation experts’ roster management
Priority	High
<p>TCB should conduct a quality assessment of the civil aviation experts’ roster in coordination with Technical Bureaus and Regional Offices, and take measures to enhance its security, accuracy, reliability, comprehensiveness and availability to the relevant ICAO personnel.</p>	
<p>Closing criteria:</p> <ul style="list-style-type: none"> a. Complete quality review of the civil aviation experts’ roster and put in place measures to enhance its security, accuracy, reliability and comprehensiveness. b. Make the civil aviation revised experts’ roster available to the relevant ICAO personnel. 	

Experts’ management and performance monitoring

66. Chapter 5 of the Regional Office Manual (ROM) provides guidance¹⁷ on the roles and responsibilities in managing projects and project personnel. A well designed and effective system for managing project personnel and monitoring their performance during and at the end of the project ensures quality of the services provided by these project personnel. Performance reports results are expected to be factored in future experts’ recruitment processes, their selection, contract extension or separation.
67. Management of field personnel under the guidance of Annex 1 of the ROM Chapter 5 is effective and responsibilities are shared between FOS, Regional Offices and Technical Bureaus. Distinction is made between field personnel reporting to ICAO directly (FOS or Regional Offices) and field personnel reporting to Member State (OPAS personnel). For field personnel reporting to ICAO directly, their management follows their ICAO reporting line through project managers and in coordination with the technical officer on the ground. In the case of OPAS, a structured and flexible oversight mechanism for direct and indirect monitoring and reporting on performance exists. First, at strategic level, the Monitoring and Review Board monitors and reports on Significant Safety Concerns (SSCs) at regional and state levels. Second, the deterioration of SSCs automatically triggers a follow-up mechanism at Regional Offices with formal linkages with TCB. In such situation, OPAS personnel who are not performing will be flagged. Throughout this approach, ICAO provides oversight and capacity building support to state personnel without direct supervisory management of OPAS ensuring clear delineation with state management responsibilities.

¹⁶ Guidance to access experts’ roster was provided to Regional Offices and Technical Bureaus through an IOM from D/TCB in September 2018.

¹⁷ Annex 1 – ROM Chapter 5 – [Roles and Responsibilities under RACI](#) criteria (Responsible, Accountable, Consulted, Informed)

68. Performance evaluations of experts were systematically completed and recorded as confirmed by the tests performed during this audit. The performance reports are used to support final payment, grant contract extension or terminate a contract. These reports highlight achievements or shortcomings. The individual OPAS performance evaluations are left as a management tool for the responsible supervisors at the State level, similar to what happens to all other ICAO project personnel for consistency.
69. Interviewed staff members highlighted the need for greater coordination between TCB, ANB, ATB and Regional Offices in the management of field personnel and experts to successfully deliver ICAO's mandate. In OIO's view, this stronger coordination is a way to ensure involvement of all Bureaus and Offices is considered to further enhance the effective implementation of the Implementation Support Policy and alignment of Technical Assistance and Technical Cooperation activities.

Examples of positive outcomes of good coordination include 19 AVSEC projects managed by TCB in coordination with ATB, the co-vetting process for deployment of GAT experts or the selection and recruitment of experts for iPacks implementation. The regular meetings between Regional Offices and TCB project managers enhanced monitoring of national project and project personnel. A national project development was successful where the One ICAO approach was used to respond to the Member State needs.

ANNEX 1: DEFINITION OF AUDIT TERMS

Audit Ratings

In providing an overall assessment of the results of the audit, OIO uses the following standardized audit rating definitions:

Audit Assessment	Definition
Effective	Controls evaluated are adequate, appropriate, and effective to provide reasonable assurance that risks are being managed and objectives should be met.
Some Improvement Needed	A few specific control weaknesses or areas for improvement were noted; generally however, controls evaluated are adequate, appropriate, and effective to provide reasonable assurance that risks are being managed and objectives should be met.
Major Improvement Needed	Several key control weaknesses were noted and/or several areas of strategic/high importance were identified where significant improvements can be made to increase efficiency and effectiveness.
Unsatisfactory	Controls evaluated are not adequate, appropriate, or effective to provide reasonable assurance that risks are being managed and objectives should be met.

Internal control is defined as a process effected by senior management and staff, designed to provide reasonable assurance regarding the achievement of objectives relating to operations, reporting and compliance objectives. Whilst internal control provides reasonable (but not absolute) assurance of achieving organizational objectives, limitations may result from:

- suitability of objectives established as a precondition to internal control;
- reality that human judgment in decision making can be faulty and subject to bias;
- breakdowns can occur because of human failures such as simple errors;
- ability of management to override internal control;
- ability of management, other staff, and/or third parties to circumvent controls through collusion;
- external events beyond the organization's control.

Priority of Audit Recommendations

The audit recommendations in this report are categorized according to priority as a guide to management in addressing the issues raised. The following categories are used:

High: recommendations, which address significant and/or pervasive deficiencies or control weaknesses, or areas where significant improvements can be made.

Medium: recommendations, which address important deficiencies or control weaknesses, or areas where some improvements can be made.

Low: suggestions, which represent best practice, or general opportunities for improvement.

ANNEX 2: CONTRACTUAL ARRANGEMENTS FOR FIELD PERSONNEL

Recruitment	Type of contract	Duration	Reporting line	Staffing status	Project types	Pay types	Governing Rules
International	Intermediate Fixed Term	1 year, possibility for renewal	D/TCB	Advisor (Staff)	Project under ICAO	Internationally recruited Professionals.	Field Service Staff Rules
	Short fixed term (Temporary)	6 months and above, but less than 1 year	D/TCB	Advisor (Staff)	Project under ICAO	Internationally recruited Professionals.	Field Service Staff Rules
	Special Service Agreement	0-11 months 25 days	D/TCB	Advisor (Non-Staff Personnel)	Project under ICAO	Internationally Recruited Consultants Band fee.	Administrative Instructions on contracts for Internationally Recruited Consultants and Individual Contractors for Field Service
	OPAS (Fixed term)	6 months and above	State Authorities	Non-staff Personnel	State project/Regional Projects	Internationally recruited Professionals remuneration guidelines, with exceptions.	Administrative Instructions on contracts for Operational Assistance Experts. Note: Field Service Staff Rules currently applicable mutatis-mutandis, with exception of ICAO staff related entitlements i.e. dispute resolution, Membership to UN Pension fund etc.
	OPAS (Special Service Agreement)	0-11 months 25 days	State Authorities	Non-Staff Personnel	State project/Regional Projects	International professionals.	Administrative Instructions on contracts for Operational Assistance Experts.
Local Personnel	Special Service Agreement	0-11 months 25 days	National Project Coordinator	National Personnel (Non-Staff)	National project	Pay structure based on guidelines applicable to national law and practice/UN National professionals & GS personnel may be used as benchmark.	Administrative Instructions on locally Recruited Consultants and Individual Contractors.
	Service Contract	6 Months - 1 year, possibility for renewal	National Project Coordinator	National Personnel (Non-Staff)	National project	Locally recruited national professionals and Administrative Personnel.	Administrative Instructions on contracts for locally recruited Service Contractors.
	OPAS	6 Months - 1 year, possibility for renewal	State Authorities/National Project Coordinator	Locally Recruited Consultants(Non-Staff)	National project/Regional Projects	National professionals.	Administrative Instructions on contracts for Operational Assistance Experts.
	National professionals (Fixed term)	6 Months - 1 year, possibility for renewal	State Authorities/COSCAP Steering Committees	Regionally Recruited Professionals for COSCAPS (Non-Staff)	National Projects/Regional Projects	Regional/National professionals.	Field Service Staff Rules - Rules applicable Mutatis Mutandis, except for payments of pension/provident fund employer contribution of 8.33% of subscriber's monthly pay or higher as determined by the contracting Regional Partner State (s), as lump sum paid with monthly remuneration.
	National professionals (Advisors - Fixed term)	6 Months - 1 year, possibility for renewal	ICAO	Advisor (Staff)	National Projects/Regional Projects	Regional/Local professionals.	Field Service Staff Rules

Source: Provided by TCB/FPS

ANNEX 3: MANAGEMENT ACTION PLAN

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
1	TCB, in consultation with ADB and LEB, should jointly conduct a harmonization exercise for the project personnel policies and procedures to enhance consistency in Implementation Support for Technical Assistance and Technical Cooperation projects across ICAO.	High	Y	During the Audit process, the Auditor was informed that FPS and by extension TCB, that this was an on-going process which had been initiated prior to the commencement of the Audit.	<ol style="list-style-type: none"> 1. The Policy Development Consultant whose TOR covers all aspects of this recommendation has been recruited, 2. The process of Harmonization will commence effective April 2023; 3. The following shall be subjected for review and harmonization (where applicable): <ol style="list-style-type: none"> i. FSSR ii. Administrative Instructions: <ol style="list-style-type: none"> a) Internationally Recruited Consultants; b) Locally Recruited Consultants; c) OPAS d) Service Contracts. 	FPS	31 October, 2023
2	TCB should develop an integrated risk management approach by conducting risk assessment of key business processes within the Bureau and	Medium	Y	Risk management activities undertaken by TCB are aligned with requirements established under the ICAO Enterprise Risk Management (ERM) Framework, and include aspects of an integrated risk management	TCB's Quality Committee will be convened to identify key business processes that will form the basis of the required risk assessment and assign Risk Owners (i.e. responsible	TCB/BSS in coordination with TCB's Quality Committee	31 December 2023

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
	designate staff who will identify, manage and report on risk mitigation actions on a regular basis.			<p>approach, i.e. practices and processes are in place to identify, assign, validate, prioritize, assess, escalate, mitigate, monitor, and report on priority risks at the project-level, the Bureau-level (including those within and across Sections), and Corporate level, supported by IT tools such as Confluence and JIRA since late 2018. TCB's risks are reviewed on a regular basis as part of the overall ERM process.</p> <p>Due to the nature of a risk itself or the scope of related mitigations which may span across different areas in the Bureau, the involvement of various Sections and/or Managerial levels is at times required in order to inform next steps. For each risk identified and validated in the TCB Risk Register, a Risk Owner is assigned and entrusted with reviewing, managing, and regularly monitoring planned mitigations and risk ratings for continued adequacy and effectiveness.</p> <p>While TCB uses an integrated risk management approach, it acknowledges that the process can be enhanced and made more consistent.</p>	staff who will be required to define, manage and regularly report on risk mitigations).	and with the support of TCB Senior Management	
3	TCB should regularly organize project personnel planning coordination meetings involving the Technical Bureaus	Medium	Y	This process is currently on-going internally under the guidance and supervision of DD/TCB through weekly recruitment planning, monitoring and reporting sessions	TCB Project Personnel Planning Coordination meetings will be expanded to the Technical Bureaus and Regional Offices.	DD/TCB	31 December 2023

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
	and Regional Offices to facilitate exchange of information and planning of short-, medium- and long-term project personnel recruitment and contract administration needs.			and will be expanded to the Technical Bureaus and Regional Offices as recommended.			
4	TCB should conduct a quality assessment of the civil aviation experts' roster in coordination with Technical Bureaus and Regional Offices and take measures to enhance its security, accuracy, reliability, comprehensiveness and availability to the relevant ICAO personnel.	High	Y	This is an on-going process for which FPS shared the proposed strategy and way forward with the Auditor during the Audit process.	<p>The Auditors' recommendations are taken into consideration and the process is already included in TCB's 2023 Work plan. Subject to timely availability of Human Resources for the Section (recruitment is underway), it is envisaged that the following will take place:</p> <ul style="list-style-type: none"> i. Consolidation and harmonization of existing roster profiles into one single roster should be completed by the end of Q2, 2023; ii. Development of guidelines for the "One ICAO Roster" to be completed by Q3 2023 iii. Complete digitization of the roster is work in progress, 	FPS	31 December 2023

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
					scheduled for completion by Q4, 2023.		