



WORKING PAPER

ASSEMBLY — 39TH SESSION

EXECUTIVE COMMITTEE

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REPORT ON THE ICAO TECHNICAL ASSISTANCE PROGRAMME

(Presented by the Council of ICAO)

EXECUTIVE SUMMARY

This paper reports on the ICAO Technical Assistance Programme in the fields of aviation safety, air navigation capacity and efficiency, security and facilitation, economic development of air transport and environmental protection for the current triennium (2014-2016), particularly those implementation projects that are supported by the financial contributions to ICAO Voluntary Funds, contributions in-kind, as well as activities funded by the Regular Programme Budget. The paper summarizes the ICAO technical assistance approach towards capacity building and measures the results of assistance to States.

Action: The Assembly is invited to:

- a) encourage States to support ICAO's technical assistance activities;
- b) request that ICAO continue its work on the development and implementation of technical assistance under the respective Strategic Objectives, in partnership with States, international and regional organizations, and industry;
- c) encourage States, international organizations and industry to continue making voluntary contributions to ICAO; and
- d) request that ICAO continue to search for opportunities for voluntary contributions to be used more efficiently and that the established overhead charge is not a disincentive to potential donors.

<i>Strategic Objectives:</i>	This working paper relates to all Strategic Objectives.
<i>Financial implications:</i>	The activities referred to in this paper have been undertaken using the resources available in the current triennium Regular Programme Budget and/or from extra budgetary contributions.

<i>References:</i>	A39-WP/14 A39-WP/21 A39-WP/23 A39-WP/24 A39-WP/25 A39-WP/26 A39-WP/27 A39-WP/45 A39-WP/46 A39-WP/47 A39-WP/54 A39-WP/62 Doc 10030, <i>Budget of the Organization 2014-2015-2016</i> Doc 10022, <i>Assembly Resolutions in Force</i> (as of 4 October 2013) Doc 10024, <i>Report of the Executive Committee of the 38th Session of the Assembly</i>
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1. BACKGROUND

1.1 Pursuant to Assembly Resolutions A38-5, A38-15, A38-17 and A38-18 this paper presents a consolidated report for the current triennium on the ICAO Technical Assistance Programme, which serves to assist States in the implementation of ICAO Standards and Recommended Practices (SARPs), in all Strategic Objectives. A substantial portion of the funding used to provide technical assistance were received through voluntary contributions to ICAO, both financial and in-kind, from States, international organizations and industry, as reported in the Review of expenditures, approval of accounts and examination of Audit Reports for the financial years 2013, 2014 and 2015 under Agenda Item 56 of the Administrative Commission. Related information presenting the financial voluntary contributions, by ICAO Voluntary Fund, that have been received is available on the A39 website at <http://www.icao.int/Meetings/a39/Pages/documentation-reference-documents.aspx>. Terms of reference exist for each of the funds that describe how the contributions are to be used. It should be noted that information on the Technical Cooperation Programme is presented separately (A39-WP/47 refers).

1.2 Technical assistance is a major component of the “No Country Left Behind” (NCLB) initiative, which focuses on assisting all States on prioritized needs to improve implementation support under all ICAO Strategic Objectives (A39-WP/23 on NCLB refers). The delivery of the results of ICAO’s Strategic Objectives, especially the implementation of the NCLB initiative, contribute significantly to the realization of the United Nations (UN) 2030 Agenda for Sustainable Development (A39-WP/25 on SDGs refers). Building partnerships and pooling resources among States, international organizations, development institutions and industry are essential for collaboration on and contribution to technical assistance and cooperation for effective implementation of SARPs and policies by States with sustainable results.

1.3 ICAO recently completed an evaluation of the needs and expectations of Member States focusing on ICAO implementation support provided to States. The evaluation results, recommendations and the Secretariat Action Plan were presented to the ICAO Council in June 2016. The evaluation provided an independent assessment of the needs and expectations of Member States with respect to ICAO’s role, functions, strategic direction and service provision to States. A global survey was administered to the Directors General of Civil Aviation Authorities, as well as a survey to Council Members and a number of interviews were conducted with Secretariat staff. The evaluation covered a three-year period from 2012 until 2015. The evaluation findings gave rise to seven recommendations

addressed to the ICAO Secretariat. The Secretariat will perform surveys of the needs and expectations of ICAO Member States periodically.

2. TECHNICAL ASSISTANCE FOR CAPACITY BUILDING WITH PARTNERS AND REGIONAL COOPERATION

2.1 Aviation Safety

2.1.1 The main goal of technical assistance programmes in aviation safety is to help States to minimize imminent safety risks and to implement ICAO SARPs. Particular attention is placed on States with significant safety concerns (SSCs) identified through ICAO Universal Safety Oversight Audit Programme (USOAP) activities.

2.1.2 ICAO develops Plans of Action for States with low Effective Implementation (EI) of critical elements of a safety oversight system. To further strengthen the Organization's assistance capacity, a new partnership framework was established in 2015 with donor States, international and regional organizations, financial institutions and industry, namely the Aviation Safety Implementation Assistance Partnership (ASIAP) (<http://www.icao.int/safety/scan/Pages/Aviation-Safety-Implementation-Assistance-Partnership.aspx>).

2.1.3 As part of the Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) work programme aimed at tackling outstanding safety deficiencies (A39-WP/27 on AFI Plan refers), ICAO has put effort into the establishment of Regional Safety Oversight Organizations (RSOOs) in the regions and has also coordinated with the African Civil Aviation Commission (AFCAC) on the work of the Cooperative Inspectorate Scheme (AFI-CIS).

2.1.4 Through the Regional Office Safety Team (ROST) missions conducted by the two ICAO Regional Offices in Africa, ICAO supports technical and political actions in those States where action is required with a view to resolving safety concerns.

2.1.5 The list of States which have benefited from technical assistance funded by the Aviation Safety Fund (SAFE) is available through the link provided in paragraph 1.1 above, along with the types of technical assistance recurrent activities and training programmes.

2.2 Aviation Security and Facilitation

2.2.1 The primary objective of aviation security and facilitation assistance is to support Member States in resolving significant security concerns (SSECs) identified through the ICAO Aviation Security Audit Programme (USAP), and to assist them in implementing SARPs of Annex 9 — *Facilitation* and Annex 17 — *Security — Safeguarding International Civil Aviation against Acts of Unlawful Interference*, as well as the ICAO Traveller Implementation Programme (TRIP) Strategy. In accordance with Resolution A38-15, aviation security assistance and capacity building was prioritized based on risk management principles and the expressed commitment of States to improve. Refer to the link provided in paragraph 1.1 for the list of States that benefited from ICAO assistance initiatives during the current triennium.

2.2.2 ICAO collaborated with States, international and regional organizations and industry supporters that were in a position to contribute resources and expertise to expand the scope and effectiveness of assistance activities offered in both aviation security and facilitation. The success of the assistance and capacity building activities is centered on Aviation Security Improvement Plans (ASIPs)

that are developed in partnership between ICAO and the assisted State, and incorporate a role for other assistance providers. ASIPs emphasize the need for States' political will and full commitment to strengthen aviation security to benefit from the support of ICAO and other partners. Technical assistance is also delivered through the Aviation Security Training Center (ASTC) network across all regions, benefiting 1 269 participants from 134 States in the current triennium.

2.2.3 The Secretariat supported and participated in regional groups and mechanisms that are essential to promoting and coordinating the implementation of SARPs. These groups include: the European and North Atlantic (EURNAT) Aviation Security Group; the Asia-Pacific Regional Aviation Security Coordination Forum (RASCF); the UN Counter-Terrorism Committee Executive Directorate (CTED), the International Criminal Police Organization (INTERPOL) and the ICAO/Latin American Civil Aviation Commission Aviation Security and Facilitation Regional Group.

2.2.4 On 29 October 2014, the Council approved the Africa Aviation Security/Facilitation (AFI SECFAL) Initiative as an ICAO programme to enhance the coordination of assistance activities in Africa (C-DEC 203/2 refers). The Secretary General approved the implementation plan of the AFI SECFAL Plan on 29 April 2015. The first Steering Committee meeting was held in Maputo, Mozambique on 18 May 2015.

2.3 Environmental Protection

2.3.1 The main objective of environmental protection assistance is to support actions that minimize the impact of air transport on the environment.

2.3.2 Most assistance provided to States is delivered within the framework of the States' action plans on international aviation CO₂ emissions reduction activities. A strategy for capacity building in this area was put in place in 2010 and since then, 740 representatives from 116 States, from all regions, have been trained in the development of an action plan. During the current triennium, in response to the requests from the last Assembly, in particular as reflected in Assembly Resolution A38-17, Appendix A, paragraph 6, and A38-18, paragraphs 12 and 31, ICAO organized seminars in all ICAO regions to provide States with an overview of ICAO's environment-related activities and to provide additional support to States in developing and enhancing their action plans.

2.3.3 Guidance documentation, software tools, an online template, and practical, hands-on assistance to support the development and enhancement of the various elements of the action plans are provided to the national action plan focal points. The Secretariat continues to assist States in developing and updating action plans. ICAO has also initiated an Action Plan Buddy Programme which invites States that have already submitted their action plans to ICAO to share know-how and build partnerships with other Member States that have not prepared their action plans. More information on the State Action Plans is provided through the link in paragraph 1.1 above and in A39-WP/54.

2.3.4 As part of efforts to provide further assistance to States and facilitate the development and implementation of States' action plans, ICAO established two partnerships. The EU funded ICAO-EU project, *Capacity Building for CO₂ Mitigation from International Aviation*, is a forty-two month programme to support fourteen selected States in Africa and in the Caribbean to develop and submit robust State action plans on CO₂ emissions reduction activities, establish CO₂ emissions inventories, and pilot the implementation of measures to reduce fuel consumption and emissions. The ICAO joint assistance project with the UNDP financed by the Global Environment Facility (GEF), *Transforming the global aviation sector: emissions reductions from international aviation*, is a thirty-six month project and aims to assist developing States and Small Island Developing States (SIDs) in their challenge to reduce

aviation emissions. This includes a pilot project in Jamaica. Further information on these projects and other upcoming initiatives is available through the link provided in paragraph 1.1. above.

3. VOLUNTARY FUNDS USED FOR TECHNICAL ASSISTANCE

3.1 Aviation Safety Fund (SAFE)

3.1.1 Since the establishment of SAFE in 2010, a total of about USD 6 million has been contributed by States and partners either by specified or non-specified contributions. The funds have been utilized to assist certain States facing challenges in rectifying their safety deficiencies in the form of twenty-one technical assistance projects which have been implemented or are being implemented. More details on the voluntary contribution funds received from States and international organizations for the SAFE Fund are available through the link provided in paragraph 1.1 above. All information on SAFE is available at <http://www.icao.int/safety/scan/Pages/Safety-Fund-SAFE.aspx>.

3.1.2 In support of the ongoing ICAO endeavour to provide necessary assistance to States, particularly in connection with the NCLB initiative, States, organizations and industry are being encouraged to make continued contributions to the Fund. The budget and financial reports for the SAFE Fund are available through the link provided in paragraph 1.1 above.

3.2 AFI Plan Fund (AFI PLAN)

3.2.1 The Comprehensive Regional Implementation Plan for Aviation Safety in Africa (AFI Plan) Fund supplements the existing ICAO regular budget in support of ROST missions to assist African States to improve their EI of the critical elements in all safety-related areas, with priority given to resolving SSCs. Detailed information is available at <http://www.icao.int/safety/afiplan/Pages/afiplan-fund.aspx>.

3.3 Aviation Security and Facilitation Fund (AVSEC)

3.3.1 Voluntary contributions to the Aviation Security Fund are used primarily for aviation security assistance and capacity building activities, as well as to cover ICAO Headquarters and Regional Office positions that are not funded under the regular programme budget in accordance with the ICAO Comprehensive Aviation Security Strategy.

3.3.2 Voluntary contributions are also used to fund Technical Cooperation Programme projects, such as the Cooperative Aviation Security Programmes in the Asia Pacific and Middle East Regions. The list of the voluntary contributions received is available through the link provided in paragraph 1.1 above.

3.4 Environment Fund (ENV)

3.4.1 The Voluntary Environment Fund was established in 2007 in response to a recognized budget shortfall and aims to support certain environmental protection activities arising from the decisions of the ICAO Assembly, or other UN fora, for which no budget provision had been made to finance the required resources.

3.4.2 Most of the Voluntary Environment Fund is directed to support a specific project (i.e. they are earmarked) or initiative, with most assistance being provided in support of the States' action

plans on CO₂ emissions reduction activities. As detailed in paragraph 2.3.4, two assistance projects are being funded by the European Union and UNDP/GEF, respectively. This information is available through the link provided in paragraph 1.1 above.

3.5 Human Resources Development Fund (HRDF)

3.5.1 The HRDF serves as a mechanism for the collection and use of voluntary contributions from States and others to develop opportunities for capacity-building in civil aviation in African States to assist them to better meet the human resources needs for operational efficiency and continuous implementation of ICAO SARPs and other programme activities.

3.5.2 Taking into account the voluntary contributions received to date, the Human Resources Management Committee (HRDFMC) will identify State(s) to receive assistance from HRDF as a priority, as well as the priority subject area(s) and activities to be funded by the voluntary contributions. Implementation of capacity-building activities will commence in 2016. Further information is available at <http://www.icao.int/annual-report-2014/Pages/supporting-implementation-strategies-human-resources-capacity-building-initiatives.aspx>.

3.6 Voluntary Air Transport Fund (TRAF)

3.6.1 The Voluntary Air Transport Fund, as recommended by the Sixth Worldwide Air Transport Conference (ATConf/6), serves as a mechanism for the collection and use of voluntary contributions from States and other donors to support ICAO's work in the air transport field in a consistent, transparent, efficient and timely manner.

3.6.2 The list of the voluntary contributions received is available through the link provided in paragraph 1.1 above. Detailed information can be found at <http://www.icao.int/sustainability/Pages/TRAF.aspx>.

3.7 ICAO Programme for Aviation Volunteers Fund (IPAV)

3.7.1 The ICAO Council established the IPAV which provides a framework for deployment of aviation professionals, working as volunteers, to respond to emergencies affecting the aviation system in a State, to develop capabilities in the implementation of ICAO SARPs, and to foster self-reliance and growth. In the immediate term, IPAV is part of a larger ICAO strategy for assisting States in addressing shortcomings identified during audits in order to achieve high levels of effective implementation of ICAO SARPs (A39-WP/45 refers).

3.7.2 The IPAV Fund was established at the request of the Council in September 2015 within the purview of the ICAO Technical Cooperation Bureau. Voluntary contributions for the assignment of volunteers are expected to come from client States, third parties or other United Nations and international agencies.

3.7.3 Participation in the IPAV is open to all aviation professionals from ICAO, States, the aviation industry, and private sector, subject to review of their credentials by ICAO. Detailed information can be found at <http://www.icao.int/secretariat/TechnicalCooperation/Pages/icao-programme-for-aviation-volunteers-ipav.aspx>.

4. RESULTS AND SUSTAINABILITY MEASURED AGAINST KPIS

4.1 Introduction

4.1.1 Key Performance Indicators (KPIs) have been established in order to objectively measure the progress being achieved by the Organization for each of its strategic objectives. A summary of the effect that technical assistance is having in the areas of aviation safety, aviation and environmental protection in the context of their relevant KPIs is presented below.

4.2 Aviation Safety

4.2.1 The SAFE-funded technical assistance projects, on which information is available through the link in paragraph 1.1, have clear objectives, outcomes and accountabilities, and a project information and monitoring team. Included in the project documents and reports is information on the KPIs measured using the ICAO Universal Safety Oversight Audit Programme — Continuous Monitoring Approach (USOAP-CMA) State levels of Effective Implementation and existence of Significant Safety Concerns (SSCs) before and after the implementation of the project. This was effectively demonstrated by the resolution of two SSCs in a State which received a SAFE-funded technical assistance project. The AFI Plan is also implemented using these KPI criteria.

4.2.2 For SAFE-funded projects, to ensure that projects met expected outcomes and results, in addition to the Project Review Committee (PRC), a quality assurance (QA) process was launched in 2014 to oversee SSC-related projects. This QA process has an important role in monitoring the project progress and results.

4.3 Aviation Security

4.3.1 In accordance with the aviation security assistance performance indicators endorsed by the Council in 2014 and with the introduction of the Universal Security Audit Programme — Continuous Monitoring Approach (USAP-CMA), the Secretariat is now able to provide data indicating the impact of capacity-building activities. The overall improvement in EI of the CEs of an effective aviation security oversight system averaged of 26 per cent for States that were audited before and after receiving assistance. States that had not been audited before receiving assistance were found to perform close to or above their regional EI average after their post-assistance audit. Results indicate that assistance is contributing to strengthening the required national aviation security oversight systems.

4.3.2 In accordance with the ICAO Policy on Resource Mobilization, the Project Review Committee (PRC) now oversees and approves all voluntary funding used for aviation security assistance and capacity-building activities.

4.4 Environmental Protection

4.4.1 States' Action Plans on Emissions Reduction represent the primary means by which States communicate the measures they intend to implement in order to improve the environmental performance of their international aviation system. As of June 2016, 94 States representing 88 per cent of global international aviation revenue tonne kilometres (RTK) have submitted Action Plans (A39-WP/54 on State Action Plans refers). Of note is that in addition those projects funded by external sources include specific performance indicators related to their expected results.

5. CONCLUSION

5.1 ICAO continues its work on the development and implementation of technical assistance under the respective Strategic Objectives in partnership with States, international and regional organizations, and industry. These continuing efforts help States to support developments in aviation safety, security and facilitation, air transport and environmental protection, contributing to more robust and sustainable civil aviation.

5.2 To further enhance technical assistance programmes for States, ICAO has validation and coordination mechanisms to ensure projects are aligned with the strategic objectives and are providing efficient and effective support to State implementation of sustainable improvements for aviation development. In addition, as described in A39-WP/26, the effective mobilization of resources will permit the continued provision of technical assistance.

5.3 ICAO highly appreciates the voluntary contributions, financial and in-kind, provided by States, International Organizations and Industry to fund technical assistance activities through the ICAO voluntary funds and encourages the continuation of such contributions. ICAO is building a resource mobilization capacity, encourages traditional donors to continue providing their voluntary contributions to ICAO, and urges all Member States as well as other donors to contribute to ICAO voluntary funds. At the same time, ICAO is to ensure voluntary contributions are used more efficiently and that overhead charges are minimised and are not a disincentive to donors.

— END —