



WORKING PAPER

ASSEMBLY — 39TH SESSION

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ADDRESSING CHALLENGES IN THE FIELD OF CAPACITY BUILDING

(Presented by Slovakia on behalf of the European Union and its Member States¹, the other Member States of the European Civil Aviation Conference²; and EUROCONTROL)

EXECUTIVE SUMMARY

Capacity-building activities whether organized by ICAO, individual States, regional organisations or industry play a crucial role in supporting Member States' efforts to reach effective and sustainable compliance with ICAO Standards and Recommended Practices. Effective management of capacity building activities is therefore key in ensuring tangible results.

Action: The Assembly is invited to:

- a) recall Member States' responsibility to comply with ICAO Standards and Recommended Practices (SARPs), and the need for their strong political commitment to ensure sustainability of measures following capacity-building activities;
- b) reiterate its support to the No Country Left Behind Initiative and acknowledge the contribution of this initiative to improve the overall performance of aviation at global level;
- c) recognize the added value and complementarity of capacity-building activities undertaken by ICAO, individual States, regional organizations and industry;
- d) invite ICAO to develop and implement a results-oriented approach, when prioritizing capacity-building activities, including the use of key performance indicators (KPIs) to measure the effectiveness, efficiency and sustainability of its capacity-building activities; and
- e) recall the importance of sharing information to improve efficiency and invite ICAO, Member States, organizations and industry to use existing tools (e.g. ICAO ISDAL database) to share information on their capacity-building activities they respectively benefitted from or conducted with the objectives of achieving maximum efficiency, avoiding the repetition of identical activities and ensuring the adequate prioritization of States and actions.

ICAO Resolution 30/xx Resource mobilization and ICAO Resolution 28/xx No Country Left Behind Initiative should be amended to include the five aforementioned points.

<i>Strategic Objective:</i>	This working paper relates to all Strategic Objectives.
<i>Financial implications:</i>	The activities referred to in this paper will be undertaken subject to the resources available in the 2017-2019 Regular Programme Budget and/or from extra budgetary contributions.
<i>References:</i>	Information paper 'European support to the No Country Left Behind Initiative (NCLB)'

¹ Austria, Belgium, Bulgaria, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxemburg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom.

² Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Georgia, Iceland, Republic of Moldova, Monaco, Montenegro, Norway, San Marino, Serbia, Switzerland, The former Yugoslav Republic of Macedonia, Turkey and Ukraine.

1. INTRODUCTION

1.1 Capacity-building activities whether organised by ICAO, individual States, regional organisations or industry play an important role in supporting Contracting States' efforts to reach effective and sustainable implementation of international requirements. The limitation of both human and financial resources puts a responsibility on all to set priorities, develop capacity-building activities which are tailored to real and concrete needs and to manage the delivery of these activities in an efficient manner. Furthermore, the quantitative importance of the needs of capacity-building activities throughout the world requires the more active promotion of all efforts to ensure the sustainability of these activities and the coordination of efforts.

2. DISCUSSION

2.1 **States' responsibility** – Effective application of the provisions of the Annexes to the Chicago Convention is critical to ensure safe, secure, efficient, economically viable and environmentally sound air transport operations in all ICAO Contracting States. By being committed to applying effectively the ICAO Standards and Recommended Practices (SARPs) all ICAO Member States not only fulfil their international obligations but also demonstrate their willingness to contribute to the further development of air transport, which is key to their economic development and to connectivity.

2.2 It is widely acknowledged that each Member State remains responsible for its safety and security performance. The analysis of the ICAO USOAP and USAP results continues indicating that the level of compliance with, and effective application of, SARPs remains in a need of improvement. Serious safety/security concerns (SSCs/SSeCs) even indicate situations where the lack of compliance is critical and impact significantly the wider international community.

2.3 ICAO, its Member States, regional organisations and industry have a role to play in supporting other States' efforts in the implementation of SARPs. Engaging in capacity building activities also demonstrate the willingness of States and organisations to support the sustainability of an international system by ensuring full and global compliance with ICAO standards. In this context, the No Country Left Behind Initiative is contributing to improve the overall performance of aviation at global level. In turn Member States benefiting from capacity-building activities shall be politically committed to ensure sustainability of measures following these activities.

2.4 **Partnership** – The organisation of capacity-building activities requires that both partners (beneficiary State and providing State/organisation) share a mutually perceived need for improvement³. Acknowledging the differences that may exist between partners in terms of resources or availability of technical expertise, States/organisations/industry should agree to work in partnership (e.g., Public Private Partnerships, Aviation Safety Implementation Assistance Partnership, AFI SECFAL Initiative, Project on Capacity Building for CO₂ Mitigation from International Aviation) to improve the situation, thus showing a proactive approach.

2.5 **Complementarity** - Capacity-building activities are well-developed and implemented by a variety of public and private actors in international civil aviation. Some organisations such as ICAO deliver activities whereas other organisations are key in the funding of these activities. Some require the beneficiaries to cover the costs of capacity-building activities whereas others deliver capacity-building activities at no costs to the beneficiaries.

³ Source: Capacity building in partnership the good projects guide, March 2012, Contributors: United Kingdom, Canada, Netherlands, USA, European Civil Aviation Conference, International Civil Aviation Organization

2.6 Capacity-building activities take multiple forms, such as support given by one State to another State, or support given as part of a collective effort to support one State. Technical assistance, development of programmes, bilateral visits, twinnings, peer-to-peer reviews, workshops, exchange of information and best practices, and provision of equipment are among the various capacity-building activities that are organised, either in isolation or in combination. The diversity of these activities as well as of their providers contributes to the wealth of experience shared with the beneficiaries.

2.7 The strong political will of European States and organisations to organise capacity building not only contributes to ensuring primarily the safety, security, efficiency, economic viability and environmental performance of air transport and also contributes to the efforts undertaken by others such as ICAO, in line with the principle of complementarity. The organisation of capacity-building activities by individual European States, which bring together public sector expertise from Member States and beneficiary countries with the aim of achieving concrete operational results through peer to peer activities, and regional organisations (e.g. European Commission, European Aviation Safety Agency, European Civil Aviation Conference, EUROCONTROL) have significantly and continuously contributed to improving States' performance by providing a multitude of activities for the benefit of those States. These activities focus as a matter of priority on safety, ATM, security and facilitation, economic development, and environment protection (see A39-IP/xx).

2.8 It is therefore important to recognise the added value and complementarity of capacity-building activities undertaken by ICAO, individual States, regional organizations and industry as they not only benefit the partners involved, but ultimately serve all ICAO Member States.

2.9 **Measuring performance** – Looking at the sustainability of past capacity building presents a mixed picture, where in some cases the level of compliance with SARPs has improved and been maintained, while in other cases, there has been no or little improvement despite massive and repeated capacity-building activities organised by multiple entities. There are several reasons that explain these cases, some of them being well beyond the air transport sector.

2.10 In a context where human and financial resources are limited and where the need for capacity building often exceed available capacity, it is essential to i) prioritise capacity-building activities, and ii) ensure that these activities do reach their objectives and deliver, to the maximum extent possible, the expected outcomes, through the use of key performance indicators (KPIs).

2.11 In order to ensure their effectiveness, efficiency and sustainability, capacity-building activities should be based on concrete and real needs, which can be assessed through audits, and should be formalised in an “action plan” including the different activities, a timeline and the expected results.

2.12 Prioritisation of needs should be considered, and priorities defined in terms of the capacity-building activities to be delivered. Criteria to be used may include but not be limited to:

- a) Written political commitment both at ministerial and administration level to reach compliance with international requirements. This commitment could be materialised through the provisions of resources by the beneficiary States (e.g., release of an expert to support the organisation of capacity-building activity, financial contribution);
- b) Proven capacity to improve the level of compliance with SARPs based on previous capacity-building activities and sustain the level reached;

- c) Transparency and communication, in particular regarding access to previous capacity building activities documentation, findings of national or international audits and inspections, and any other information assisting the success of the activity;
- d) Past and on-going capacity-building activities undertaken by ICAO, individual States, regional organisations and industry in order to create synergies; and
- e) Measurable results which could be concretely expected.

2.13 It is therefore essential that ICAO develops and applies KPIs to measure the effectiveness and efficiency of its capacity-building activities, consistent with what is expected from States and other organisations. Progress should also be measured and achievements sustained also beyond the capacity building activities' implementation period. This would also help in mobilising the necessary resources for future activities. It is also essential that ICAO uses a framework to formalise the commitment of the beneficiary States.

2.14 **Sharing of information** – Information about past and on-going capacity-building activities undertaken by ICAO, individual States, regional organisations and industry is important for the better targeting of activities. As a consequence, ICAO, Member States, including beneficiary States, organisations and industry should use existing tools (e.g. ICAO ISDAL database) to share information on capacity-building activities with the objectives of achieving maximum efficiency, avoiding the repetition of identical activities for the same States and ensuring the adequate prioritization of States and actions.

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