



## 大会 — 第 41 届会议

### 执行委员会

题目编号 20：增强国际民航组织的效率和有效性

### 增强国际民航组织的效率和有效性

（由国际民航组织理事会提交）

#### 执行摘要

本工作文件报告了各管理机构及秘书处在增强本组织的效率和有效性方面取得的主要成就和进展。其中还介绍了在这一工作领域正在开展的行动，包括通过基于成果的管理（RBM）做法、问责制框架、企业风险管理（ERM）制定国际民航组织《业务计划》（BP），并查明了在 2023-2024-2025 年三年期开展进一步改进的措施。

行动：请大会：

- a) 注意在增强本组织的效率和有效性方面取得的进展；
- b) 核准在 2023-2024-2025 年三年期内开展进一步改进的措施；和
- c) 通过本文件附录 B 中所载经过修订的大会决议。

战略目标：	本工作文件涉及所有战略目标、转型目标和所有辅助战略。
财务影响：	预计本文件提及的国际民航组织活动，将根据 2023 年至 2025 年国际民航组织业务计划的指导，在 2023 年至 2025 年经常预算和/或来自预算外捐助的可用资源内进行。
参考文件：	A40-20 号决议：增强国际民航组织的效率和有效性 国际民航组织 2023 年-2024 年-2025 年《业务计划》 Doc 10140 号文件：《大会有效决议》（截至 2019 年 10 月 4 日） JIU/REP/2011/5 号报告：《对国际民航组织管理和行政事务的审查》 JIU/REP/2019/1 号报告：《联合国系统的问责制框架》 C-DEC 223/3 号决定和 C-DEC 224/1 号决定 Doc 7231 号文件：《国际民航组织出版物条例》 Doc 7515 号文件：《国际民航组织财务条例》 Doc 7559 号文件：《理事会议事规则》 Doc 9482 号文件：《对航空运输委员会和航空安保委员会各专家组的指示》 A41-WP/42 号文件：航空创新

## 1. 引言

1.1 在2023-2024-2025年期间，为应对本组织不断演变的需求和挑战并支持成员国及航空业，本组织实施多项增强效率和有效性的举措。本文件虑及大会A40-20号决议：增强国际民航组织的效率和有效性，报告了迄今为止所取得的进展，包括国际民航组织向基于成果的管理做法的演进，并查明了2020-2021-2022年三年期将开展的进一步改进的各项举措。

## 2. 改进本组织效率和有效性的主要措施

2.1 除其他方面外，国际民航组织正在集中精力增强以下方面的效率和有效性。

### 2.2 国际民航组织《业务计划》、基于成果的管理（RBM）和机构绩效管理

2.2.1 2021年，通过实施基于成果的管理（RBM）做法开始着手制定2023-2024-2025年《业务计划》。这使业务计划绩效监测框架更加精简和完善，其中包括五个战略目标中每项战略成果和产出的指标、基线和目标。基于成果的管理是加强机构绩效管理和提高整体透明度的健全问责制框架的一个组成部分。业务计划包括一项推动“国际民航组织一体化”机构战略改革，并使本组织符合目标，与可持续发展目标及快速变化的全球环境保持一致的新的转型目标。转型目标侧重于国际民航组织如何开展一体工作，从而简化流程和程序、提高效率，并适应支助国际民航组织的任务、愿景和战略目标。

2.2.2 加强总部各局/办公室与地区办事处之间的合作将得到《业务计划》的支持，在《业务计划》中，各地区办事处都具备支助实现每个战略目标的可确定的输出成果，三年期《运行计划》确定了各局/办公室与地区办事处之间在所有输出成果和活动方面的相互依赖关系。将建立一个机制来加强国际民航组织内部的协作，特别是涉及地区办事处的协作，以提高效率。

### 2.3 问责制框架

2.3.1 问责制框架展现了国际民航组织对完成大会规定任务的承诺和责任，界定了秘书处、理事会作为管理机构与广大成员国之间的宏观作用和职责，是国际民航组织治理的重要要素。

2.3.2 国际民航组织有效地实施了一项信息披露政策，定期向立法组织、成员国和其他利害攸关方传达本组织活动的结果。这包括在国际民航组织公共网站上公布理事会工作方案、议事顺序和理事会的部分决定（请参阅C-DEC 221/9号决定：加强国际民航组织与行业和公众的沟通）。

2.3.3 理事会在澄清其对大会所负各项责任和秘书长对理事会所负责任方面发挥了领导作用，并将通过制定国际民航组织问责制框架做到持之以恒。为此，国际民航组织对构建完善的问责制框架的要素进行了初步的差距评估，有望制定出问责制框架政策和建立内在执行机制（参见附录A）。这项工作符合联合检查组（JIU）题为“联合国系统问责制框架”报告（JIU/REP/2011/5）给出的建议。

2.3.4 建议在关于增强国际民航组织效率和有效性的大会第A40-20号决议拟议修订中反映出国际民航组织治理问责制的重要性（参见附件B新的第3a段）。此类修订将符合联检组题为《对国际民航组织管理和行政事务的审查》（JIU/REP/2019/1）的建议1。

2.3.5 虽然理事会对其委员会的结构，包括对其各自的任务和工作方法进行了彻底审查（参见第 2.9.1 段），但澄清本组织行政首长与理事机构的各自作用和职责、对大会的报告要求及制定预算，是良好治理的关键、复杂且微妙的要素，对此需要仔细分析，并且可以通过联合国其他实体的经验教训受益。

## 2.4 企业风险管理（ERM）

2.4.1 理事会第 222 届会议核可了国际民航组织的企业风险管理和内部控制框架。企业风险管理框架确立了一种协调、结构化和系统性的风险管理方法，即在整个组织内查找、评估、减缓、报告、监测和提升风险。实施企业风险管理框架包括每年向理事会报告新的企业风险登记册。

2.4.2 企业风险管理采用的联合国（UN）两个关键风险管理方法为国际民航组织提供最佳做法，并与联合国其他实体保持一致，包括（1）题为“企业风险管理：联合国系统各组织的方法和使用”的联合检查组（JIU）报告（JIU/REP/2020/5）；以及（2）联合国跨职能风险管理工作队。

2.4.3 展望未来，随着所需资源水平的提高，国际民航组织有望在所有方案和活动中进一步实施和整合风险管理，以增强运行效率和有效性。

## 2.5 人力资源战略

2.5.1 国际民航组织正在继续对其人力资源（HR）管理进行改革，以便充分应对在吸引、留住和激励有胜任能力、具有流动性和多样化的员工队伍方面所面临的挑战，并促进组织上下的公平、公正、性别平等、公平地域代表性、诚信、效率、有效性、透明度和道德操守。同时，这将包括正在进行的人力资源相关政策、做法、进程和系统的现代化工作。此外，作为人力资源战略的一部分，将制定优先举措以加强人力资源管理并转变国际民航组织的组织文化和绩效。在迄今所取得成就的基础上，国际民航组织将加快努力，以实现关于人力资源管理的大会工作文件草案（参见 A41-WP/51 号文件）所载下个三年期的优先举措。虽然已经确定了几项实现人力资源优先举措的行动，但关键在于确保提供资金和资源，以支持这些举措。本组织各级所有工作人员均接受变革并采取新的思维方式，将是国际民航组织今后向一种新的人力资源状态成功过渡的关键。

## 2.6 数字化转型举措

2.6.1 秘书处向理事会第226届会议提交了一项经过修订的信息通信技术（ICT）战略，其中包含一项数字化转型举措。该战略涵盖现代信息通信技术的所有领域，以优化和完善全组织的流程。该举措旨在完善和调整信息通信技术战略方向，制定完整的信息通信技术行动计划，推进下一个三年期内信息通信技术在国际民航组织的应用。这将包括将信息通信技术职能的优先事项转移到“业务驱动”的服务和“云优先”的云推广战略。国际民航组织希望利用潜在的云解决方案来提高效率和有效性，通过增强集成和互操作服务简化用户体验。数字化转型不仅将提高国际民航组织的产出效率和有效性，还将利用现代和新兴技术可能给本组织带来的巨大好处。该举措还将有助于改进流程和程序的标准化程度，从而提高效率，并提高技术专业人员和IT员工的技能水平，掌握更通用的领先技术，以吸引更好的人才资源。在信息通信技术战略和行动计划中，查明存在一项关键的数字转型挑战，即国际民航组织在业务流程重组、变革管理和技术组合管理等方面的能力有限。要使这些转型项目取得成功，国际民航组织需要孜孜不倦的高管和业务赞助方、有能力的项目经理和可促成变革的工作人员。

## 2.7 及时答复国家级信件

2.7.1 根据理事会在其第 203 届会议上作出的决定，请大会通过一项决议，要求完整和及时地答复国家级信件，并向大会定期报告对国家级信件的答复情况。以前报告的关于这一项目的措施仍然有效，而且被用来确保以高效的方式向各国和国际组织通报本组织对 COVID-19 大流行病采取的措施。大会谨注意到，预计对国家级信件及时回复的增多，主要得益于新的数字化转型举措，特别是涉及标准和建议措施（SARPs）及文件管理的项目。通过这些项目，秘书处预计创新和新技术将会得到使用，使各国不仅能够更高效地答复国际民航组织国家级信件，而且还能够利用相关背景和其他信息进行更高层次的无缝互动，这将有助于各国更好地了解国家级信件所涉主题。不管找到何种技术解决方案，所面临的挑战都是确定通过何种方式来增加对国家级信件的答复数量。特别是，这将包括航空活动较少的国家，从而能够实现更好的地域代表性。

## 2.8 运行效率

2.8.1 根据大会第A40-20号决议的决议第4 a) 条，为大会附属机构，特别是为技术委员会简化了大会第41届会议的议程，以便精简及整合对项目的审议。此外，日期为2022年2月28日的第SA 41/2-22/21号国家级信件，明确概述了提交文件的截止日期。在选举产生主席后，将向他们提供更详细的情况介绍。此外，报告程序已经简化，不再要求附属机构会议做会议记录。成员国可选择其他方法提交一般性发言（如预先录制的视频讲话），以减轻对可用时间档的压力。最后，自大会第37届会议实行电子投票系统以来，一直在使用更现代、更高效的投票程序，特别是选举理事会成员，不过还将进一步探索提高效率的其他方法，尤其在投票装置分发流程方面。

2.8.2 为确保高效和有效地保护本组织的多语文内容，并确保更新和及时分发国际民航组织文件（见Doc 7231号文件，《国际民航组织出版物条例》），理事会提议对国际民航组织的文件进行数字版权管理和分发。根据国际民航组织网络用户调查的结果（见附录D），提议采用国际民航组织网上商店已经使用的数字版权管理技术来保护国际民航组织的知识产权。这一解决方案将确保成员国，包括那些资源或能力有限的成员国，能够获得最新版和更新版的国际民航组织附件、《空中航行服务程序（PANS）》、文件和通告。国际民航组织知识产权的数字版权管理将有助于授权使用和分发所有语文的文件。

2.8.3 此外，在秘书处重组方面，自2021年12月15日起，采购科已迁至行政服务局（ADB），不再隶属于技术合作局（TCB），因此，在为国际民航组织所有拨款持有人及业务实体服务的同时，将加强其独立性并提高其可持续性。预计2022年将收入和产品管理科从行政服务局划至技术合作局也将提高效率。

## 2.9 加强治理结构

2.9.1 理事会在其第223届会议上，对委员会的结构进行了彻底审查，并通过了委员会的结构重组和职权范围。成立了一个治理委员会，以便全面审议复杂的治理问题，从而增强本组织审议工作的效率。组建了一个气候与环境委员会，以此反映这些题目在全球层面日益提高的重要性。通过了航空安保（原非法干扰）、气候和环境、财务、联营导航、技术合作和实施支助（原技术合作）委员会、航空运输委员会和治理委员会的“开放成员资格”原则。开放成员资格能让理事会所有成员参加对相

关委员会的审议。为实施这些变化，理事会修订了《理事会常设委员会议事规则》（Doc 8146号文件）、《对航空运输委员会和非法干扰委员会各专家组的指示》（Doc 9482号文件）、《国际民航组织服务守则》（Doc 7350号文件）附件IV和《财务条例》（Doc 7515号文件）（参见C-DEC 223/3号决定和C-DEC 224/1号决定）。此外，理事会修订了《理事会议事规则》（Doc 7559号文件），对修订后的文件时限和在特定情况下以书面程序批准提案做出了规定（参见C-DEC 223/3号决定）。

## 2.10 与创新者的互动

2.10.1 在实施大会A40-27号决议 — 航空创新期间，国际民航组织设立了行业协商论坛（ICF），这为理事会提供了一个机会，可以与业内高级代表就正在塑造航空部门未来的主题进行对话。加强与创新者的互动可提高信息共享效率，并有助于做出更明智的决策。这也是理事会核准的创新的四个方面之一，另外三个方面是及时将创新纳入国际民航组织全球标准、审查国际民航组织的标准制定程序以及国际民航组织秘书处对技术持开放态度和调整其内部过程的能力。更多详细信息，见A41-WP/42号文件。

## 3. 2023-2024-2025年三年期内将落实的进一步改进措施

3.1 根据国际民航组织 2023-2024-2025 年经常预算的“+”构成部分，针对以下转型目标（TO）举措的专门行动，将进一步增强国际民航组织的效率和有效性：

- a) 建立和保持国际标准和建议措施（SARPs），是国际民航组织任务及作用的一个核心方面。标准和建议措施及文件管理系统（DMS）项目，将在制定和保持标准和建议措施及文件管理系统的总体方面，共同显著提高效率。它将有助于推动加强协作，并带来利害关系方整体满意度的提高；
- b) 机构资源规划和项目组合管理（ERP/PPM）是数字化转型和行动计划中的核心“标志性项目”，因为它将为国际民航组织的机构系统组合创建“支柱”，从而加强追踪和报告。此外，数据的一致性将支助必要的商业智能分析，以查明国际民航组织所有工作的趋势、风险和机会；
- c) 在过去三年中，国际民航组织一直致力于通过涵盖组织安保和运行安保的全面的基于风险和成熟度的信息安保战略来加强其信息安保态势。为此，国际民航组织的目标是在其三年信息安保路线图实施结束时，使信息安保举措达到与 ISO 27001 的合规性；和
- d) 实施经修改的国际民航组织道德操守框架，以加强国际民航组织在维护国际民航组织道德操守原则和价值观方面发挥关键作用的所有相关行为主体的协调、加强合作，并对各项活动实行协调一致。

#### 4. 结论

4.1 在过去三年中，国际民航组织根据大会第 A40-20 号决议：增强国际民航组织的效率和有效性，开展了提高效率和有效性的若干举措，以满足本组织、成员国和航空业界不断演变的需求和挑战。计划为 2023-2024-2025 年三年期进一步增强效率和有效性，以推动加强治理、提高问责制和透明度，并不断强化国际民航组织与其成员国之间的协作。

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**APPENDIX A**

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

**Pillar 1 Covenant with the Member States**

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

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

**Pillar 2 Risk management and internal controls**

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

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

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

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

**Pillar 3 Complaints and response mechanisms**

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

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## 附录 B

### A401-20XX号决议：增强国际民航组织的效率和有效性

鉴于国际民航组织遵照《国际民用航空公约》（《芝加哥公约》）第二部分，卓有成效地履行了职能；

鉴于《芝加哥公约》第四十四条所表述的本组织基本宗旨与第五十四和第五十五条所表述的理事会职能仍然至关重要；

鉴于本组织正面临具有技术、经济、环境、社会和法律性质的新的和迅速演变的挑战；和

鉴于本组织需要高效且有效地应对这些挑战；

鉴于国际民航组织需要招募、培养和保留一支高素质、灵活、积极、高效的员工队伍，以应对传统和新出现的问题，并满足各国不断变化的需求；

鉴于国际民航组织需要与利益相关方建立创新的新型伙伴关系，这些利益相关方可以将补充信息、专业知识、观点和资源用于实现国际民航组织的战略目标；

鉴于国际民航组织的组织绩效和从公共和私人来源获得额外资金的能力是影响其向各国提供项目、培训、能力建设和援助的关键因素；

鉴于国家、利益相关方和资助组织需要及时、准确和全面的关于国际民航组织活动、政策和绩效的信息；

大会：

1. 对理事会和秘书长在本着基于成果的管理原则制定国际民航组织2023-2025年《业务计划》方面所取得的进展，和为改进绩效监测和报告框架所做出的努力表示赞赏；

2. 核准理事会已经做出的决定，即每三年制定一份《业务计划》，继续努力将国际民航组织转变为一个基于成果的管理（RBM）组织，并通过机构管理报告工具（CMRT）建立一个包括对进展情况进行年度审查的监督机制；

3. 指示理事会和秘书长在其各自权限范围内：

- a) 考虑到有必要确保战略框架和绩效管理、内部控制、道德标准和廉正以及监督职能等问责制度所含各要素之间的一致性，制定一个强有力的问责制框架及其执行和监督机制；

- ba) 结合系统规划流程和基于成果的管理方法，每三年编制一份《业务计划》，以提高有效性、透明度和问责制，推动经常方案预算的编制；
  - c) 制定一个业务计划审查过程，以便虑及三年期内出现的新的发展情况；
  - db) 向缔约国提供《业务计划》，并在相关三年期内向大会每届常会提交当前版本；
  - ee) 采取进一步的具体步骤，提高透明度，改善工作场所环境，与外部利益相关方发展创新的新型伙伴关系，提高组织有效性，保证基于共识的成果仍然是国际民航组织及其专题专家机构的核心价值和目标，并调动额外资源以实现更大成果；和
  - fd) 在发展伙伴关系和获取自愿资金时，避免任何现实的、潜在的或感知的利益冲突。
4. 指示理事会：
- a) 继续简化大会工作方法和程序，以期加强问责制、透明度、简化和效率；
  - b) ~~对理事会及其附属机构的决策过程、工作方法和程序进行集中审查，以期理顺关系、赋予权力和提高本组织的成本效益；和~~
  - be) 确保具有向理事会进行独立报告程序的监督机制的有效性，以提高方案的有效性、透明度、信任、参与和问责制；和
  - c) 持续审查国际民航组织的治理结构及其做出更有效、简单、可问责和透明决策的能力，包括秘书处与理事机构之间的职责划分和分配，以及对大会三年周期和本组织预算的审查如何能够支助这一增强的决策。
5. 请秘书长在其权限范围内，通过程序、管理和行政改革，继续带头增强本组织的有效性和效率，并就此向理事会提出报告；
6. 请理事会和秘书长在执行上述第3至第5款时，充分考虑本决议附录中非详尽的考虑事项清单；和
7. 声明本决议取代关于增强国际民航组织有效性的第A31-2/A40-20号决议。
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## 附录 C

### 增强国际民航组织效率和有效性的考虑事项清单

#### 系统规划流程（决议第3 b）款）

- a) 在《业务计划》和经常预算之间建立直接和透明的联系；
- b) 建立制定经常方案预算的程序，注重在战略和预期成果层面分配资源，而不是行政细节（“自上而下”而不是“自下而上”）；
- c) 建立用于设定战略目标、预期结果、关键活动、可交付成果和目标的程序，以及绩效指标的应用；基于《业务计划》中规定的绩效指标、里程碑和目标，与战略目标和产出保持一致的注重成果的报告程序；
- d) 在《业务计划》框架内，根据战略目标制定更具体的计划，并确保所有战略目标、各局和地区办事处之间的协调和联合行动；
- e) 在秘书处内持续审查《业务计划》的执行进展情况，并由理事会和附属机构定期进行审查；和
- f) 至少每三年一次更新和向前推进《业务计划》。

#### 大会工作方法和程序（决议第4 a）款）

- ~~g) 简化议程和减少文件，重点关注战略和高级别政策、主要优先领域和资源分配等事项；~~ g) 简化议程和减少文件，重点关注战略和高级别政策、主要优先领域和资源分配等事项；
- ~~h) 遵守为编写和分发文件确定的最后期限；~~
- ~~i) 向当选官员提供更加全面的情况简报；~~
- ~~j) 简化报告程序，特别是避免相同文件在不同机构中进行不必要的重复介绍和审议；~~ Sh) 简化报告程序，特别是避免相同文件在不同机构中进行不必要的重复介绍和审议；
- ~~k) 取消对委员会会议记录的要求（本届会议已经暂停）；~~
- ~~l) 改进进行一般性发言和遵守指定会议时间的程序；和~~
- ~~m) 引进更加现代和更加有效的表决程序，特别是用于理事会的选举。~~

~~注：如果需要对大会《议事规则》（Doc 7600号文件）进行修正，需要在大会下一届常会之前提前通知各国，以便修正案能够在会议开始时通过并立即生效。~~

业务计划的审查过程（决议第3 c款）

业务计划得到核准后，对其进行的审查必须顾及：

- a) 业务计划的哪些要素需要经过审查，以及谁可以提出并对其予以接受；和
- b) 说明审查合理性的必要的触发要素，以及必须如何登记和监测改进工作。

监督机制（决议第4 c) 款）

这一方面的重点在于向理事会**独立和直接**报告国际民航组织所有方案的有效性、透明度和问责制的有力程序。按照通常的审计惯例，秘书长有机会就独立报告发表意见，但不得更改。

增强本组织有效性和效率的其他措施（决议第5款）

- a) 按照航空法文书、国际民航组织标准和建议做法以及区域航空计划的要求，引入更及时制定或修订的程序；
  - b) 更加重视鼓励国家批准航空法文书，并在世界最大范围内尽最大可能执行国际民航组织标准和建议措施；
  - c) 改善和加快与缔约国的沟通，特别是与标准和建议措施有关的沟通，其中包括更加广泛地使用电子传输；
  - d) 在确保全球一级进行适当协调的同时，加强给予地区规划过程的自主程度和给予国际民航组织地区办事处的有关授权和资源；
  - e) 审查国际民航组织和其他（航空和相关的非航空全球性和地区性）机构之间的关系，以界定各自的职责范围、消除重叠部分并酌情建立联合方案；
  - f) 规定航空界所有利益关系方，其中包括提供服务者、**和企业**行业和航空事故受害者家属，适当参与国际民航组织的活动；
  - g) 简化国际民航组织一般会议的时间安排和文件提交，并缩短其会期；**和**
  - h) ~~利用数字化版权管理保护国际民航组织的知识产权；和~~
  - hi)** 审议在必要时邀请外部专家协助完成上述任何事项的可取性和可行性。
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## APPENDIX D

### REPORT ON THE RESPONSES TO THE ICAO-NET PUBLICATIONS SURVEY

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

#### EXECUTIVE SUMMARY

##### Introduction

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

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

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

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

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

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

##### Main Findings

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

**Table 1. Number of responses in corresponding languages**

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

The results of the survey indicate the following key conclusions.

### **Reuse of Content**

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

### **Document Permissions**

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

### **Document Accessibility**

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

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

### **Overall feedback towards access-controlled ICAO documents**

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

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

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