



**DIRECTORS GENERAL OF CIVIL AVIATION - ICAO EUROPEAN AND NORTH ATLANTIC
REGIONS
2023 MEETING (EUR/NAT-DGCA/2023)**

(Paris, France, 20 June 2023)

Agenda Item 7: Collaboration for implementation support: enhancing coordination and cooperation

**COLLABORATION
FOR SAFETY-RELATED IMPLEMENTATION SUPPORT ACTIVITIES IN THE EUR/NAT AREA**

(Presented by the Secretariat)

SUMMARY

This Working Paper provides some updates on ICAO's new Implementation Support Policy. In addition, regarding aviation safety specifically, it invites States and Organizations to consider providing support for the development and implementation of State-specific "Collaborative Implementation Support Roadmaps" for selected States in the EUR/NAT area, in order help enhance effectiveness, convergence and efficiency in implementation support activities.

1. Introduction

1.1 The ICAO Universal Safety Oversight Audit Programme (USOAP) has been assessing States' capabilities for safety oversight as a mandatory programme since 1999. USOAP activities have provided key information to ICAO and its partners for guiding and prioritizing implementation support activities to assist States in addressing identified shortcomings and building more effective and sustainable safety oversight systems.

1.2 For that purpose, capacity-building and assistance programmes, funded mostly through grants and donations, have been created and deployed at global and regional levels. Such programmes are complemented by State-specific implementation support projects on an ad-hoc basis, funded directly by the beneficiary State or through voluntary contributions from donors.

1.3 As far as ICAO is concerned, ICAO's new Implementation Support Policy was approved by the ICAO Council on 2 March 2022 during the 6th meeting of its 225th Session and entered into force with immediate effect. According to this policy, ICAO will assist Member States and non-State entities (public or private) directly involved in civil aviation, or that are implementing projects in Member States in the field of

civil aviation, to achieve the ICAO Vision and Strategic Objectives. This implementation support to States includes both Technical Cooperation and Technical Assistance¹.

1.4 Where previously, ICAO had pursued standards development, and related assistance and capacity building, as quite distinct priorities, ICAO is now taking a more integrated approach that will see implementation support aspects holistically informing new standards, practices and policies from the moment their research is begun.

1.5 ICAO implementation support is provided primarily to the Member States' civil aviation regulatory authorities. In addition, aviation service providers and other aviation stakeholders, as well as United Nations (UN) system agencies and other international and regional organizations, may also receive implementation support from ICAO.

1.6 Implementation support is provided through the ICAO Secretariat, including the Air Navigation Bureau (ANB), the Air Transport Bureau (ATB), the Capacity Development and Implementation Bureau (CDI, former "Technical Cooperation Bureau" - TCB) and the ICAO Regional Offices (ROs) for the development, deployment and delivery of products, services, and activities.

1.7 ICAO implementation support activities are resourced by ICAO's regular programme budget, voluntary financial and in-kind contributions, cost recovery mechanisms, revenue generation, and through collaboration with partners.

2. Discussion

Information Sharing, Coordination and Cooperation

2.1 To prioritize and enhance ICAO support provided to States for implementation of ICAO provisions, policies and plans, information is needed not only to identify States' challenges but also to define the root cause of those challenges. Information-sharing and coordination amongst involved stakeholders are paramount to avoid duplication of efforts at regional and interregional levels, and to enhance effectiveness, consistency and efficiency.

2.2 ICAO and other implementation support providers (including States and international/regional organizations) have been engaged across the world for years. In 2015, ICAO established the Aviation Safety Implementation Assistance Partnership (ASIAP) as a mechanism to coordinate and collaborate with various stakeholders and partners for the provision of technical assistance. ASIAP's objectives are to share information on assistance activities, prioritize assistance needs, and to coordinate and collaborate on assistance activities in order to use resources more efficiently and reduce duplication of efforts. With increasing needs and limited resources, stronger collaboration and partnership amongst these organizations will be key to optimizing benefits for beneficiary States, and to provide a better return for investment for the implementation support providers.

ICAO's Implementation Support Policy

2.3 The main objective of the ICAO's new Implementation Support Policy is to enhance the relevance, consistency, efficiency and effectiveness of the ICAO implementation support provided to States. Some key aspects are summarized below:

¹ Technical Cooperation and Technical Assistance are defined in C-DEC 197/2 Implementation Support Policy (2 March 2022). "Technical Assistance" relates to any assistance provided by ICAO to States, which is funded by the Regular Budget and/or Voluntary Funds, and implemented through any ICAO Bureau or Office depending on the nature and duration of the project. "Technical Cooperation" relates to 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.

- a) Needs-based approach: Implementation support activities will be developed and implemented to support the needs of the State to ensure compliance with ICAO provisions, policies and plans.
- b) Prioritization: ICAO implementation support will be subject to prioritization of needs to ensure the efficient use of available implementation support resources.
- c) Implementation Support Methodology: ICAO implementation support shall be delivered through the application of recognized project management principles and methodologies to facilitate harmonization, with the aim of optimizing efficiency and effectiveness.
- d) Coordination, Cooperation and Collaboration: ICAO implementation support will be managed in a well-coordinated and consistent manner following a One-ICAO approach. In order to manage complexity and deliver multi-disciplinary implementation support, the ICAO Secretariat will cooperate and collaborate efficiently and effectively with all internal and external stakeholders.
- e) Internal coordination within the ICAO Secretariat: it aims to ensure the provision of implementation support that is aligned and integrated with the process for developing Policies, Plans, Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and guidance material.
- f) Financial Transparency and Accountability: Financial accounting and management mechanisms will be designed to be realistic and transparent and enable efficient budgeting, planning, pricing, cost-accounting and reporting for implementation support, taking into account the various sources of contributing resources.

Working in alignment with national development plans and the Development Banks' country strategies

2.4 Since the establishment of the United Nations (UN) Sustainable Development Goals (SDGs) in 2015, States have been actively developing multi-year national development plans (NDPs). Those plans lay down the priorities of each State with respect to the SDGs and highlight the main challenges States face with regard to reaching the SDGs. The NDPs are also used by other agencies intending to implement projects and seeking guidance on priorities within those States.

2.5 There is no doubt that implementation support activities undertaken by ICAO and its partners have yielded results. However, the average level of effective implementation (EI) of the 8 Critical Elements (CEs) of a State Safety Oversight System has not been progressing at the expected pace despite the allocation of significant resources. A clearer alignment of implementation support activities with States' national development plans and needs could yield better results and more sustainable and resilient improvements.

2.6 It should be taken into account that development banks produce "country strategies" prior to engaging in project funding. As an example, the World Bank acts primarily on so-called "twin goals": ending extreme poverty and increasing shared prosperity in a sustainable manner. Systematic Country Diagnostic (SCD) reports are prepared by the World Bank Group (WBG) staff in close consultation with national authorities and other stakeholders. The SCD is a diagnostic exercise to identify key challenges and opportunities for a country to accelerate progress towards development objectives that are consistent with the twin goals. It is intended to become a reference point for client consultations on priorities for World Bank Group country engagement. As of 30 June 2014, SCDs are required prior to sending a Country Partnership Framework (CPF) to the Board.

2.7 The World Bank Group's Country Partnership Framework (CPF) aims to make the Bank's country-driven model more systematic, evidence-based, selective, and focused on the Bank's twin goals. The model seeks to maximize the impact of WBG's support to the twin goals, by contributing over time to high-level outcomes (HLOs) consistent with a country's development goals. HLOs are typically achieved over a time horizon that extends beyond a single Country Engagement Cycle, are set at a higher level than CPF

objectives and typically result from the combined effort of multiple partners. Used in conjunction with a Systematic Country Diagnostic (SCD), the CPF guides the WBG's support to a Member State.

2.8 The CPF primarily relies on the analysis done through the SDC to define 2 or 3 main pillars governing the bank's intervention in the country, together with a set of objectives. The pillars are aligned primarily with the twin goals, the national development plan of the State as well as special requests made by the State. Clear rationales are provided for each pillar and each objective as well as a results framework, allowing for the subsequent development of implementation support projects to reach those objectives. A CPF typically covers a 5-year period.

State Aviation Analysis

2.9 ICAO has been collecting a significant amount of data and information through its various programmes including statistics, data and audit programs. Information is provided in terms of thematic reports, dashboards or data feeds.

2.10 Considering the “Data-Information-Knowledge-Wisdom” pyramid, ICAO has focused its work mainly on the data and information layer so far. Knowledge has been limited to specific sectors or specific areas on a global scale.

2.11 ICAO's new Implementation Support Policy puts a needs-based approach at the center of all implementation support. As shown by various interventions and working papers presented by Member States during regional or global conferences as well as the 41st ICAO Assembly, State needs are specific and cannot always be covered by generic regional or global programmes. In addition, the way such needs fit within the larger context of development within the State is important to maximize the commitment of the receiving State.

2.12 To better understand States' needs, analysis needs to be performed using various ICAO information combined with other development information (World Bank SDCs, etc.). Such analysis should build the foundation for State-level implementation support.

Country Strategic Plan of Action (COSPA)

2.13 Learning from the development banks' experience, ICAO is currently considering the development of a Country Strategic Plan of Action (COSPA) for specific States which are benefitting from implementation support activities in the area of safety and air navigation.

2.14 A COSPA would include not only elements related to air navigation, but also more strategic elements, provide contextual analysis and a logical framework enabling implementation support activities to be linked to broader national development goals of the State. A COSPA would be the ICAO counterpart of the country strategy papers and frameworks developed by the development banks when considering safety and air navigation related activities. A COSPA would contain:

- a) a contextual analysis of the situation of the State vis-a-vis its national development priorities;
- b) an analysis of the situation of the aviation sector in the State, including safety and air navigation;
- c) a matrix showing how implementation support projects and activities relate to the State's main development goals; and
- d) a list of risks and mitigation measures as well as implementation, monitoring and evaluation activities.

3. ICAO EUR/NAT Office’s collaborative approach and new initiative for implementation support in the safety area

New strategic approach adopted by the ICAO EUR/NAT Office

- 3.1 In May 2022, the ICAO EUR/NAT Office adopted a new strategic approach, aimed at being:
- a) more collaborative (enhancing coordination and cooperation with all partners, and exploring synergies whenever possible);
 - b) more State-centered (better understanding and addressing the evolving situation, challenges, opportunities and needs of States and their industry);
 - c) more risk-based (better prioritizing activities based on key risks); and
 - d) more action- and result-oriented (aiming at enhancing effectiveness, sustainability and resilience in the activities’ outcomes for the benefit of States).
- 3.2 This approach is fully aligned with ICAO’s new Implementation Support Policy and with ICAO’s “Transformational Objective”.

State-specific “Collaborative Implementation Support Roadmap”

- 3.3 In line with this strategic approach, and regarding aviation safety specifically, the ICAO EUR/NAT Office is planning to initiate the development of State-level “Collaborative Implementation Support Roadmaps” (CISRO), in order to help scale up and enhance implementation support activities for the beneficiary State, including in terms of effectiveness, timeliness, efficiency, sustainability and resilience. The scope will include safety oversight, as well as accident/incident investigation, safety management and operational safety.
- 3.4 This approach will make use of already existing implementation support mechanisms and programmes, whether led by ICAO or other implementation support providers (including States and international/regional organizations). It will provide for the identification of needs and/or opportunities for additional implementation support activities for the benefit of the concerned State.
- 3.5 The development of a CISRO would be based on a commitment from the beneficiary State, which will be reflected in an agreement between the State (at ministerial level) and ICAO, with the subsequent association of “partners” (including States and international/regional organizations) with an interest to support the development and implementation of the CISRO, and which would have been accepted by the State as partners. With the agreement of the beneficiary State’s authorities, the ICAO EUR/NAT Office would reach out to potential partners who would have expressed interest, or/and would be in a good position to provide support to the beneficiary State in safety-related areas.
- 3.6 The approach followed to develop a CISRO will be data- and information-driven, risk-based, action- and result-oriented, and aligned with the State’s national development plan and the “Country Strategic Plan of Action” which will be developed in parallel for the State. The CISRO will define a number of milestones, with associated timelines, in the various technical areas within the scope of the CISRO.
- 3.7 For each CISRO, a coordination committee and online platform will be established to enable information-sharing and to support coordination, cooperation, monitoring and reporting activities. This coordination platform will also help maintain a continuous and interactive dialogue with the beneficiary State, reinforcing the State-centered and needs-based approach in implementation support.
- 3.8 Considering resource limitations and the need to gather experience, the ICAO EUR/NAT Office intends to initiate a CISRO/COSPA pilot project in 2023 with one State, following coordination at ministerial and civil aviation authority level. States and Organizations will be invited to express their interest

in participating in this pilot project. Progress in the development and implementation of this pilot project will be reported to the EUR/NAT-DGCA/2024 meeting.

3.9 Based on the foregoing, the following is proposed:

Draft EUR/NAT-DGCA Conclusion 2023/1 – Collaboration for Safety-Related Implementation Support Activities in the EUR/NAT Area

That the ICAO Regional Director, Europe and North Atlantic, take action to:

- a) further encourage EUR/NAT States, as well as States and Organizations active in providing safety-related implementation support in the EUR/NAT area, to engage in information-sharing and coordination on safety-related implementation support programmes and activities benefitting EUR/NAT States, in order to avoid duplication of efforts, help ensure effectiveness and consistency, and enable synergies whenever possible;
- b) invite EUR/NAT States, as well as States and Organizations actively engaged in providing safety-related implementation support in the EUR/NAT area, to consider providing support for the development and implementation of State-level “Collaborative Implementation Support Roadmaps” (CISRO) as well as “Country Strategic Plans of Action” (COSPA) for interested States in the EUR/NAT area, under coordination by the ICAO EUR/NAT Office and in alignment with the State’s national development plan;
- c) initiate a CISRO/COSPA pilot project with one of the EUR/NAT States interested in such an initiative; and
- d) report on progress in the development and implementation of the CISRO/COSPA pilot project to the EUR/NAT-DGCA/2024 meeting.

4. Action by the Meeting

4.1 The meeting is invited to:

- a) note the information provided;
- b) amend as necessary and endorse the proposed Conclusion; and
- c) provide direction as deemed necessary.

— END —