



## ASSEMBLY — 36TH SESSION

### EXECUTIVE COMMITTEE

#### Agenda Item 20: Transition to a new policy on technical cooperation

#### ICAO TECHNICAL ASSISTANCE IN THE AREA OF SAFETY

(Presented by Portugal (on behalf of the European Community and its Member States<sup>1</sup>), by Member States of the European Civil Aviation Conference<sup>2</sup>, and by EUROCONTROL

#### EXECUTIVE SUMMARY

The ICAO Technical Cooperation Policy in the area of safety should be aimed at improving the effectiveness of its programmes and, in the context of the Global Aviation Safety Roadmap, at cooperation with the aviation industry. Technical Cooperation Programmes should promote a (sub)regional approach to safety improvements and the establishment of (sub)regional safety oversight organization.

In view of the fast changing world of aviation and new technologies, initiatives should be taken to prepare ICAO on its future role in technical cooperation.

To that effect, this working paper suggests possibilities and opportunities to be included in ICAO's policy during the next Triennium.

**Action:** The Assembly is invited to:

- a) take note of the contents of this paper, and
- b) consider the attached suggestions for input into an Assembly Resolution.

<i>Strategic Objectives:</i>	This working paper relates to all Strategic Objectives.
<i>Financial implications:</i>	Not applicable
<i>References:</i>	Doc 9848, Assembly Resolutions in Force (as of 8 October 2004) Directors General of Civil Aviation Conference on a Global Strategy for Aviation Safety, 2006 C-WP/12702

<sup>1</sup> Austria, Belgium, Bulgaria, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Greece, Hungary, Ireland, Italy, Latvia, Lithuania, Luxembourg, Malta, Netherlands, Poland, Portugal, Romania, Slovakia, Slovenia, Spain, Sweden and United Kingdom. All these 27 States are also members of ECAC.

<sup>2</sup> Albania, Armenia, Azerbaijan, Bosnia and Herzegovina, Croatia, Georgia, Iceland, Moldova, Monaco, Norway, Serbia, Switzerland, The former Yugoslav Republic of Macedonia, Turkey and Ukraine.

## 1. INTRODUCTION

1.1 ICAO has extensive Technical Cooperation Programmes to support Contracting States that lack resources to comply with their safety-related international obligations under the Chicago Convention.

1.2 At the 35th Session of the Assembly (Resolution A35/20), a new policy on technical cooperation was accepted including among others the integration of the Technical Co-operation Bureau (TCB) into the ICAO organizational structure and the development of a quality assurance function. Since then, at several ICAO meetings, proposals were presented by Contracting States with the following objectives:

- a) to further strengthen ICAO's policy on technical cooperation;
- b) to clarify the legal basis of ICAO Technical Cooperation Programmes;
- c) to present a more readable presentation of ICAO Technical Cooperation Programmes;
- d) to concentrate on providing impetus to orienting and coordinating technical cooperation activities;<sup>3</sup>
- e) to be more proactive in promoting the development of regional and subregional organizations as well as an increase in the efficiency and effectiveness through more innovating working methods;<sup>4</sup>
- f) to strengthen States' oversight capabilities and improve the effectiveness and coordination of technical assistance and financial possibilities;<sup>5</sup> and
- g) to create a corps of inspectors accredited by ICAO at the disposal of States to carry out inspections on behalf of those States that have no or a (temporary) lack of inspection capabilities.<sup>6</sup>

1.3 This working paper further develops some of these aspects and intends to make proposals on how to revise the working methods of the ICAO technical cooperation activities so as to ensure that the efficiency, cost-effectiveness, sustainability and regional dimension of assistance programmes is enhanced while the assistance mechanism allows the beneficiary States to take full ownership of the programmes.

## 2. CONSIDERATIONS

2.1 The beneficiary countries of Technical Cooperation Programmes should be able to obtain support in setting up their regulatory bodies so as to establish an autonomous civil aviation authority which is empowered and adequately funded. This will ensure that their structure, organization and funding scheme enable them to take full benefit of the assistance programmes and ensure the sustainability of the actions of the assistance programmes. Past experience has shown that the efforts and resources put into assistance programmes have little or no sustainability if the beneficiary organizations do not have the appropriate independence and funding scheme (e.g. inability to retain trained personnel).

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<sup>3</sup> C-WP/12702 presented by France refers.

<sup>4</sup> Action paper presented by Austria on behalf of the EU at DGCA Conference on a Global Strategy for Aviation Safety, March 2006

<sup>5</sup> DGCA Conference on a Global Strategy for Aviation Safety, 2006, Topic 2.3, Recommendation 2.1.

<sup>6</sup> DGCA Conference on a Global Strategy for Aviation Safety, 2006, (DGCA/IP/10).

2.2 With reference to the Assembly Resolutions on technical cooperation adopted during the 35th Session of the Assembly<sup>7</sup>, Europe supports the following policy considerations:

- a) the development of Regional Safety Oversight Organizations (RSOOs) as a means to address the safety deficiencies at the regional or subregional level;
- b) RSOOs should be structured in the form of a tangible and true regional partnerships and not be limited to the institutionalization of training cooperation or to the creation of regional training/expertise centres that would be used by individual States on a case-by-case basis;
- c) ICAO should adapt its working methods to allow full involvement of regional organizations that conduct safety oversight and technical work and should consider this of paramount importance to the success of RSOO creation;<sup>8</sup>
- d) the role of ICAO in supporting regions or subregions in moving towards RSOOs is fundamental, but the role of its Assistance Programmes must be clearly defined as providing the proper impetus and orientation to a region or subregion for the creation of regulatory bodies, and not to substitute to them;
- e) the programmes should be run with a clear view to creating the conditions of the advent of self-sustainable regional organizations. In other words, the structure of the programme should prepare for the timely withdrawal of ICAO and the international donors and technical partners from the programme; and
- f) for pragmatic and practical reasons, technical cooperation programmes can, however, supplement when necessary – but on a temporary basis – the lack of resources of a State, region or subregion.

2.3 Many regional assistance programmes limit the regional facet of the programme to grouping the countries in the programme's activities but do not try to fully develop a real regional dimension. Activities should be focused as much as possible in a regional manner so as to foster the development of regional aviation communities, and ensure, possibly via the creation of regional working groups, an effective way to adopt harmonized requirements and achieve their harmonized implementation.

2.4 A corps of technical experts and inspectors accredited by ICAO could be created and put at the disposal of States that lack the expertise or have decided not to develop their own expertise in a specific field for efficiency or cost-benefit reasons. The regional assistance programmes should support this corps by creating a pool of regional experts that would be specialized in the regional regulations. This would have the advantage of fostering and emphasizing the local and regional expertise. The existence of this corps should not prevent the technical assistance programmes to fully train the national and regional experts.

2.5 Most of the assistance programmes are process-oriented with a great emphasis on lecture-type training and on the writing of regulatory codes. The assistance programmes must equally focus on supporting the countries in the *implementation* of the regulations (e.g. training of the inspectors and officers in safety oversight and the industry that will eventually apply the new codes). support should be given to a regional approach and to the harmonized application of the regulations. Finally, the *methodology of the assistance programmes* must follow a *project-based and result-oriented* approach instead of a more classic training-plan approach. This is to ensure the effectiveness and impact of the assistance programmes by setting up clear objectives to the trainers as well as to the trained organizations.

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<sup>7</sup> ICAO Assembly Resolution A35/7.

<sup>8</sup> DGCA Conference on a Global Strategy for Aviation Safety, 2006, Recommendations Topic 2.3.

2.6 While working on the development of RSOOs, it is critical to note that the main deficiencies reported by ICAO Planning and Implementation Regional Groups (PIRGs), notably Africa, include many basic safety-related *infrastructure issues*, in particular relating to (airside) airport facilities and air traffic management. ICAO, and perhaps in particular its Regional Offices, can play an instrumental role in mobilizing financial resources that are available globally while ensuring a focus on safety improvements of such interventions.

2.7 ICAO assistance programmes such as the Cooperative Development of Operational Safety and Continuing Airworthiness Programme (COSCAP) as well as the ICAO Regional Offices have overall obtained significant results in the past years, although they may have reached their limits. *The Global Aviation Safety Roadmap* published by ICAO and providing to all the stakeholders in aviation safety a common frame of reference in international safety initiatives, with a view to having an international coordination of efforts and strategies, is the first step in rethinking the way assistance programmes shall be defined.

2.8 A similar exercise needs to be conducted on the role of ICAO in this matter, keeping in mind the need to fulfil the expectations of the international community<sup>9</sup>. Subjects to be explored during this exercise should encompass:

- a) cooperation with public and private sector based on the global Aviation Safety Roadmap;
- b) relationship with regional and national donor agencies, funding/financial institutions, regional and subregional organizations;
- c) transparency in the communication of programmes and priorities aimed at confidence building;
- d) establishment of future performance objectives and quality control in the Technical Co-operation Programme;
- e) inclusion of partnerships between technical organizations in donors and recipient Contracting States in the programme; and
- f) commercially-oriented approach to technical cooperation management within the ICAO legal framework.

### 3. CONCLUSION

3.1 ICAO Technical Co-operation Programmes must put a higher emphasis on supporting the beneficiary countries in developing the appropriate institutional framework to ensure independence, proper funding and both political and financial empowerment of their Regulatory Bodies.

3.2 To enhance the effectiveness of such a programme, it is essential to establish an adequate quality control function beyond the financial scope of activities. Such quality control shall also assist in determining whether the objectives were beneficial for the recipient States.

3.3 The ICAO Technical Co-operation Programmes should encourage the advent of operational RSOOs and adapt their framework and working methods in order to fully recognize regional organizations so as to remove any legal impediment to their operations.

3.4 When an ICAO Technical Co-operation Programme has a regional dimension, ICAO is urged to direct its Technical Co-operation Programme to:

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<sup>9</sup> C-WP/12702 refers.

- a) set a very high priority in ensuring an effective involvement of the beneficiary States and organizations in the definition, monitoring, delivery and evaluation of the assistance programmes' activities;
- b) reinforce the regional dimension of the assistance programmes and the development of regional aviation communities by ensuring that all matters are truly tackled in a regional way; and
- c) include basic safety critical *infrastructural deficiencies*, in particular relating to (airside) airport facilities and air traffic management as part of their programmes.

3.5 The effectiveness of the support programmes should be increased by the participation of local and regional experts in a recognized corps of experts and inspectors and the RSOOs should be considered as a way to supply regional experts for the corps.

3.6 Measures should be taken to ensure ICAO's future function at the global level in the area of technical cooperation, in relation to the developments in aviation and the cooperation with and related programmes by the aviation industry, the banking institutions and international organizations. An in-depth review of ICAO's role in assistance programmes should be carried out through an appropriate mechanism, e.g. an ad-hoc Working Group or Panel of Experts<sup>10</sup>.

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<sup>10</sup> C-WP/12702 refers.

## APPENDIX

### **Suggestions for Input into an Assembly Resolution**

*Whereas* the Universal Safety Oversight Audit Programme (USOAP) audits and Planning and Implementation Regional Groups (PIRGs) identify in some regions major deficiencies in the implementation of Standards and Recommended Practices (SARPs), the availability of safety critical infrastructure and facilities, lack of adequate regulatory safety oversight and insufficient qualified staff and/or ineffective civil aviation authorities;

*Whereas* the recently-released Global Aviation Safety Roadmap, developed in coordination with the aviation industry, aims to assist in the development and coordination of safety improvement programmes in the various parts of the world which require support and close involvement of ICAO in global coordination;

*Considering* future developments in aviation such as the continuing increase of traffic density in developing regions that require the implementation of new technologies to increase the air traffic management capacity and the essential function of the aviation authorities to ensure safety of these major air traffic management changes;

*Whereas* the role of ICAO in technical cooperation is essential to have an effective coordinated approach with the aviation industry at global level consideration should be given to update the present technical cooperation policy and, as appropriate, review the Technical Cooperation Programme in ICAO;

*The Assembly instructs the Council:*

1. *to give* beneficiary States in developing the appropriate institutional framework to ensure independence, proper funding and both political and financial empowerment of their Regulatory Bodies;
2. *to adapt* the framework and working methods of the ICAO Technical Cooperation Programmes to enable the advent of operational Regional Safety Oversight Organizations (RSOOs) taking into account institutional aspects;
3. *to reinforce* the regional dimension of the assistance programmes and encourage the development of regional aviation communities with an effective involvement of the beneficiary States and organizations in overall management of the assistance programmes' activities;
4. *to include* as a matter of priority basic safety critical infrastructural deficiencies, in particular relating to (airside) airport facilities and air traffic management as part of their assistance programmes;
5. *to improve* Technical Assistance Programmes by an objectives-oriented management approach, the establishment of a quality control function and the introduction of an international pool of technical experts;

6. *to initiate* an in-depth review of ICAO's future role in technical cooperation programmes through an appropriate mechanism taking into account the developments in aviation and related requirements for higher emphasis in the Technical Cooperation Programmes to support technical cooperation in the medium- to long-term.

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