International Civil Aviation Organization
North American, Central American and Caribbean Office
Seventh Meeting of Directors of Civil Aviation of the Central Caribbean (C/CAR/DCA/7)
San Juan, Puerto Rico, 28 June - 01 July 2004

Agenda Item 4:   Safety Oversight matters
                       4.1 North American Trilateral (NAAT) Safety Model

Implementation plan for expanding the North American Aviation Trilateral (NAAT) success to other regions of the world

(Presented by the United States of America)

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| **SUMMARY** |
| This paper provides information on the success of the NAAT. |
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1.   Introduction

1.1   At the conclusion of the Ninth North American Aviation Trilateral (NAAT/9), Canada, Mexico and the US agreed to move from an internal, trilateral focus to a more external approach that seeks to better leverage the NAAT's accomplishments in the broader, international aviation community. At the FAA's suggestion, all agreed to establish a trilateral working group to strategize on how to export the NAAT's successes, focusing first on Latin America and the Caribbean (referred to by the ICAO acronym CAR/SAM). This memorandum outlines the NAAT's methodology, identifies mechanisms in the CAR/SAM regions through which to export the NAAT, and describes how we will accomplish this.

2.   Background

2.1   The key to the NAAT's success to date is its safety model, framed by the North American Five-Year Strategic Safety Plan (2000 – 2005), which seeks to lessen air carrier fatal accident rates by 40% and general aviation total accidents by 20%. The NAAT's safety model (process and methodology) has successfully improved aviation safety in North America and can be used as an example to export to other regions of the world.

2.2   The main reason for the model's success is that each State had the political will and the concomitant political power to effect change to harmonize regulations, policies and procedures with the other two States. Other key elements are executive commitment to knowledge sharing, decision-making based on consensus, a hierarchical organizational structure that promotes accountability, and the decision to keep the size of the technical groups small.

2.3   The NAAT safety model process is keyed to trinational implementation of common safety intervention strategies derived from accident data analysis for air carrier, helicopters and general aviation airplanes in North America. Periodic evaluation corroborates the effectiveness of the strategies and allows for adjustments. This process is best illustrated through the Trinational Accident Reporting System developed to identify leading and root causes of aircraft accidents. From the analysis of the

information in the system, each State developed and implemented common safety strategies to lessen aircraft accidents.

2.4   The NAAT is now in a position to share its experience and export its methodology to the Latin American region, through ICAO as well as regional CAR/SAM mechanisms.   Three regional groups that could benefit now from the NAAT are the Central American Agency for Aviation Safety (ACSA), the Caribbean Regional Aviation Safety Oversight System (RASOS) and the sub-regional Andean Community (CAN), which is still in an embryonic stage.   The Group of Experts on Aviation Safety, Security and Assistance (GEASA) and the Latin American Civil Aviation Commission (LACAC), two organizations dedicated to improving civil aviation in the region, could also have a supporting role in implementing the NAAT's action plan discussed below.   Attachment A describes each entity and organization.

2.5   Free Trade Area agreements (FTAs) provide an opportunity for the NAAT to contribute expertise and experience in the specialty air services (SAS) area. The US-Chile FTA, signed on June 6, 2003, contains a SAS provision along with aircraft repair and maintenance services. Implementation of cross-border services will begin after Congress ratifies the treaty. Additionally, the US expects to conclude negotiation on a US-Central America Free Trade Agreement (CAFTA) by year's end. Reportedly, the CAFTA includes specialty air services modeled after North American Free Trade Agreement (NAFTA) with some adjustments. In both instances, harmonization of laws and regulations will be required to implement SAS. The NAAT can guide these countries on how to accomplish this based on its own experience.

3.   Purpose/Goal

3.1   The NAAT safety model meets the FAA's strategic plan objective of international leadership through increased global aviation safety and system efficiency. The NAAT's safety initiatives, including the safety model, have resulted in North America having the safest aviation system in the world. The NAAT is now in a position to share that capability in a more systematic fashion. Also, as agreed to at NAAT/9, the NAAT's new focus will be on strengthening its leadership position in ICAO and in the global community. The following is an action plan on how to export the NAAT.

   1.   Present harmonized positions at the ICAO 11th Air Navigation Conference (ANC) and
           34th General Assembly

   •   **ANC** – One conclusion of NAAT/9 was to have the Canada/Mexico/United States
       (CAN/MEX/USA) air traffic group meet to harmonize positions for the ANC. The group met
       in July, 2003, reviewed the US working papers and identified which US positions Canada and
       Mexico will support. At the August CAR/SAM ANC prep meeting, Mexico presented a
       paper outlining the positions North America will support at the ANC, asking other
       CAR/SAM States to collectively support the same issues.
   •   **Assembly** – At NAAT/9, all states agreed to meet in June 2004 in Canada to review the 34th
       General Assembly agenda and identify areas where the NAAT could harmonize positions.

   2.   Invite strategic civil aviation and trading partners to Trinational and NAAT meetings[1]
   3.   Establish working groups

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[1] In the interest of time, these four recommendations have already been coordinated and agreed to by all three States.

After participation in initial meetings and depending on resources, working groups should be established to work with each State/entity to learn more about the NAAT methodology and how to adapt it to meet their needs.

4.   Share "lessons learned" by attending meetings in the region

We are seeking an opportunity for a NAAT representative to attend regional meetings to present papers on the NAAT methodology. The NAAT representative could rotate between the three States.

4.   Timeline

June 2004   The fully coordinated plan will be presented at the NAAT meeting in Canada.

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ATTACHMENT

ACSA – The regional safety oversight mechanism in the CAR/SAM region is the Central American Agency for Aviation Safety (known by its Spanish acronym, ACSA). In 1999, the Central American Corporation for Air Navigation Services (COCESNA, a regional organization that provides air navigation services to its member states Belize, Costa Rica, El Salvador, Guatemala, Honduras, and Nicaragua since 1960) created ACSA. As you'll recall from the July visit, ACSA assists Central American states in complying with safety standards, specifically personnel licensing, operation of aircraft, and aircraft airworthiness.

RASOS– The Regional Aviation Safety Oversight System (RASOS) in the Caribbean. Seven Caribbean civil aviation authorities created RASOS in 2001: Jamaica, Haiti, Suriname, Guyana, Barbados, Trinidad and Tobago and the Organization of Eastern Caribbean States (OECS is a regional entity comprised of 9 States). RASOS, originally created to focus on safety oversight issues, is now expanding to include added aviation components such as airport certification, security and accident investigation. The Caribbean States, with the assistance of RASOS, is training inspectors, working to harmonize the regulations and standards in the region, as well as developing standardized guidance material. Also, through financial assistance from the State Department under President Bush's Third Border Initiative, the FAA has provided significant training, mentoring, on-the-job training, and bilateral assistance.

CAN – Colombia is leading an initiative within the subregional Andean Community (known by its Spanish acronym, CAN) to create a regional safety oversight mechanism modeled after ACSA. Andean countries are Venezuela, Colombia, Ecuador, Peru and Bolivia. At a recent CAN Transportation Ministerial, all Ministers approved this idea and asked Colombia to conduct a feasibility study on creating this mechanism under the auspices of the CAN. The European Union has already pledged 15 million euros and plans to assist in developing this mechanism.

GEASA – The Group of Experts on Aviation Safety, Security and Assistance (GEASA) was created in a 2001 Western Hemisphere Transportation Initiative (WHTI) ministerial statement, signed by all Transportation Ministers in the Western Hemisphere, including the US Secretary of Transportation. The statement directed the WHTI Executive Committee to propose an action plan that would define issues and resolutions to enhance the safety and security of civil aviation systems in the region. The GEASA was formed to carry out the action plan.

LACAC – The Latin American Civil Aviation Commission (LACAC) was created in December, 1973. Currently, 21 states adhere to the LACAC statutes, with the U.S. having observer status. LACAC's primary objective is to provide CAAs of member States an appropriate framework within which to discuss and plan all the required measures for cooperation and coordination of all their civil aviation activities. In 1998, LACAC and ICAO entered a Memorandum of Understanding to develop a regional safety mechanism in the Americas, known as project document RLA/99/901. This project proposes to establish and operate a regional safety oversight system with the required technical, logistic and administrative support in accordance with ICAO's Operational Safety Annexes and compatible with ICAO's Universal Safety Oversight Audit Program (USOAP).

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