



ORGANISATION DE L'AVIATION
CIVILE INTERNATIONALE

INTERNATIONAL CIVIL
AVIATION ORGANIZATION

Evaluation of the Regional Portfolio of the
North American, Central American and
Caribbean (NACC) Office

EV/2023/04

Office of Internal Oversight



Prepared by: Gugsu Yimer Farice, Evaluation Specialist
Halcyon Louis, Evaluation Consultant

Reviewed and approved by: Tuncay Efendioglu
Chief, OIO

Draft issued: 19 09 2023

Action plan completed: 23 10 2023

Final report issued: 30 10 2023

ACRONYMS

ACSA	Central American Aviation Safety Agency
ACT-SAF	Assistance, Capacity-building and Training for Sustainable Aviation Fuels
ADB	Bureau of Administration and Services
ANB	Air Navigation Bureau
ANP	Air Navigation Plan
ANS	Air Navigation Services
ATS	Air Traffic Services
AVSEC/FAL	Aviation Security / Facilitation Programmes
CAD	Canadian Dollars
CAA	Civil Aviation Authority
CADENA	Civil Air Navigation Services Organization (CANSO) Air Traffic Flow Management (ATFM) Data Exchange Networks for [the] Americas
CAR/SAM	Caribbean and South American region
CART	ICAO Council Aviation Task Force
CDI	Capacity Development and Implementation Bureau
CEs	Critical Elements
CMRT	Corporate Management and Reporting Tool
CNS	Communications, Navigation and Surveillance
CO ₂	Carbon Dioxide
COCESNA	Central American Corporation for Air Navigation Services
CORSIA	Carbon Offsetting and Reduction Scheme for International Aviation
COVID-19	Coronavirus Disease 2019
CRRIC	COVID-19 Response and Recovery Implementation Centre
C-WP	Council Working Paper
DCA	Director of Civil Aviation
DRD	Deputy Regional Director
E/CAR	Eastern Caribbean
ECCAA	Eastern Caribbean Civil Aviation Authority
EI	Effective Implementation
FAA	Federal Aviation Administration
FIR	Flight Information Region
FOB	Free on Board
GANP	Global Air Navigation Plan
GASeP	Global Aviation Security Plan
GASP	Global Aviation Safety Plan
GREPECAS	Caribbean/ South American Planning and Implementation Regional Group
HQ	Headquarters
HRBA	Human Rights-Based Approach
IATA	International Air Transport Association
ICAN	ICAO Air Services Negotiation

ICAO	International Civil Aviation Organization
ICVM	ICAO Coordinated Validation Mission
IDAC	Institute of Civil Aviation, Dominican Republic
IFSET	ICAO Fuel Saving Estimation Tool
iPACK	Implementations Pack
LEG	Legislation and Civil Aviation Regulations
LTAG	Long-Term global Aspirational Goal
MCAAP	Multi-regional Civil Aviation Assistance Programme
MET	Meteorology
MoCs	Memoranda of Cooperation
NACC	North American Central American and Caribbean
NANP	National Air Navigation Plan
NASP	National Aviation Safety Plan
NCLB	No Country Left Behind
OECD-DAC	Organization for Economic Co-operation and Development – Development Assistance Committee
OECS	Organization of Eastern Caribbean States
OFNAC	National Office of Civil Aviation, Haiti
OIO	Office of Internal Oversight
OLF	Online Framework
ORG	Organization
OSG	Office of the Secretary General
PIRG	Planning and Implementation Regional Group
RASG	Regional Aviation Safety Groups
RBM	Results Based Management
RO	Regional Office
SAFE	ICAO Fund for Aviation Safety
SAP	Systemic Assistance Programme
SARPs	Standards and Recommended Practices
SDGs	Sustainable Development Goals
SEI	Safety Enhancement Initiative
SIDS	Small-Island Developing States
SM	Safety Management
SMS	Safety Management System
SPCP	Strategic Planning Coordination and Partnerships
SSC	Significant Safety Concern
SSeC	Serious Security Concern
SWOT	Strengths Weaknesses Opportunities Threats
TA	Technical Assistance
TEAM	Technical Assistance Mission
ToR	Terms of Reference

UN	United Nations
UNDP	United Nations Development Programme
UNEG	United Nations Evaluation Group
USAP-CMA	Universal Security Audit Programme Continuous Monitoring Approach
USOAP	Universal Safety Oversight Audit Programme
WG	Working Group

TABLE OF CONTENTS

ACRONYMS	3
TABLE OF CONTENTS	6
EXECUTIVE SUMMARY	8
Main Findings and Conclusions	8
Recommendations	9
INTRODUCTION AND CONTEXT	11
Introduction	11
Context.....	11
EVALUATION PURPOSE, OBJECTIVES, SCOPE AND STAKEHOLDERS.....	14
Purpose	14
Objectives.....	14
Scope	14
Stakeholders	14
EVALUATION METHODOLOGY.....	15
Technical Approach, Methods, Ethics and Limitations.....	15
FINDINGS.....	16
Relevance.....	16
Coherence	18
Effectiveness.....	20
Efficiency.....	41
Human resources.....	42
Financial resources.....	43
Application of the SAP strategy.....	45
Sustainability.....	49
Cross-cutting theme: Gender	52
Cross-cutting theme: Human rights	54
CONCLUSIONS AND LESSONS LEARNED.....	56
Conclusions.....	56
Lessons learned.....	58
RECOMMENDATIONS	59
ANNEX 1. DETAILED EVALUATION METHODOLOGY	I
ANNEX 2. LIST OF STAKEHOLDERS CONSULTED	VII

ANNEX 3. LIST OF DOCUMENTS REVIEWED	XII
ANNEX 4: BUDGET VS COSTS, 2017-2022 - NACC RO	XIV
ANNEX 5: MANAGEMENT ACTION PLAN	XVI

EXECUTIVE SUMMARY

1. The evaluation of the Regional Portfolio of the North American, Central American and Caribbean (NACC) Office examined five evaluation criteria (relevance, coherence, effectiveness, efficiency and sustainability), and gender and human rights, as cross cutting themes, using a mixed-methods approach. All evaluation activities complied with the UNEG Norms and Standards for Evaluation in the United Nations System, and ICAO evaluation policy.
2. There were two purposes to this evaluation: accountability and learning. The evaluation was also used to identify good practices and lessons learned, and to generate recommendations for improved performance and results delivery by the NACC Regional Office (RO). As its scope, the evaluation covered major activities and outputs delivered by NACC RO during 2017-2022, and examined the management and coordination mechanism followed by the RO. The stakeholders of the evaluation are NACC RO; ICAO Headquarters Bureaux; the Office of the Secretary General (OSG); Member States; the ICAO Council and other stakeholders.

Main Findings and Conclusions

3. The NACC RO Regional Operating Plan has been relevant to address the needs of Member States and achieve the ICAO Business Plan, the Global Plans (GANP, GASP and GAsEP) and regional priorities. ICAO/ NACC RO has been able to facilitate a globally informed, harmonized, and timely response to State needs during the COVID-19 period and post-pandemic recovery.
4. NACC RO's efforts to collaborate with Member States and regional stakeholders contributed to the alignment of the Regional Operating Plan, State level priorities and needs, and the priorities of aviation stakeholders within the region. There is scope to enhance the level of regional collaboration, however, through increased communication and knowledge sharing across stakeholders, to enhance aviation management at the regional and State levels.
5. Overall, NACC RO has provided timely, context-specific support to its Member States, including the communication of important updates, for effective aviation management by Member States as per its Operating Plan. This assistance further includes audit preparation, support for the implementation of corrective action plans, facilitating State access to opportunities for trainings, and capacity-building. The capacity for States to participate in training activities has been challenged, however, by budget limitations and institutional bureaucracy. Systems building has also been difficult as most of the trainings focus on developing individual skillsets and not on institutional strengthening.
6. While NACC RO contributed towards the implementation of planned deliverables in each of its key safety activity areas, NACC Member States did not achieve some of the Effective Implementation (EI) targets that were established by the Global Aviation Safety Plan (GASP) (2020-2022). Many Member States have not updated and/ or finalized their National Aviation Safety Plan (NASP)s, highlighting the need for follow up and additional support from the RO, to facilitate NASP finalization and implementation.
7. The Regional Office has made very good progress in implementing its work plan in the Air Navigation Capacity and Efficiency result area, in particular in aerodrome safety and improvement, airspace optimization and other air navigation priorities. Several Member States have not, however, updated and/ or finalized their National Air Navigation Plan (NANP)s,

highlighting the need for follow up and additional support from the RO, to facilitate NANP finalization and implementation.

8. NACC RO contributed towards the implementation of several aviation security activities at State and regional levels. The RO has had notable success in mitigating Serious Security Concern (SSECs) and has provided ongoing support to States to enhance their capacities in the effective management of aviation security. NACC's regional effective implementation rate for security is below the global average, however, most Member States have not attained the Global Aviation Security Plan (GASeP) targets. The reason for the low rate should be identified and addressed by Member States and the Regional Office.
9. The Regional Operating Plan is an effective framework to support results management, although its effectiveness has been minimal because of the inadequate use of the framework for accurate results monitoring. As a result of the inadequate use of the framework, the accurate assessment of the effectiveness of the RO in delivering its planned results was very difficult.
10. Overall, NACC RO has effectively used its allocated financial and human resources. The capacity of the RO team to provide required support has been challenged, however, by insufficient human and financial resources.
11. The NACC Systemic Assistance Programme constitutes one of the strengths of the RO's approach to provide a tailored response to the needs, priorities, and challenges of each State. NACC RO has also established good practices for the monitoring of Member State Action Plans through follow up by the RO management and Regional Officers, involving a combination of reporting exercises and follow-up actions through monthly virtual meetings. As the Systemic Assistance Programme is an audit-based process, however, there has been a strong focus on safety, air navigation and security, at the expense of the economic development of air transport and environmental protection strategic objectives.
12. The capacity for Eastern Caribbean Civil Aviation Authority (ECCAA) to meet its responsibilities as the designated Civil Aviation Authority (CAA) for the Organization of Eastern Caribbean States (OECS) Member States has been challenged by a misunderstanding of its role at the level of ICAO HQ. This misunderstanding has contributed to the inefficient engagement of ECCAA and OECS Member States in ICAO programming.
13. While the RO has taken initial steps towards the integration of gender and the facilitation of a human rights-based approach, actions in these areas are most visible at the State level. As gender and Human Rights-Based Approach (HRBA) are important cross-cutting themes for ICAO/ UN, however, there is room to create an enabling environment for both themes across ICAO/NACC programming.

Recommendations

14. Based on the findings and conclusions, the evaluation outlined seven recommendations that include:
 - Identifying factors that have been contributing to the inability of some NACC region Member States to achieve the GASP and GASeP targets and strengthening/designing a mechanism to enable States to attain the global targets.
 - Developing and implementing an action plan to systematically support and follow up NACC Member States in the finalization and implementation of their NASPs, NANPs, and State Action Plans on CO₂ Emissions.

- Training of NACC RO staff in Results Based Management (RBM), in general, and in result-based planning, monitoring, and reporting, in particular in advance of further actions by ICAO HQ.
- Developing a mechanism to conduct a brief diagnostic/feasibility assessment before trainings/capacity-building/iPack distribution, to troubleshoot the constraints to State participation and facilitate institutional systems building.
- Jointly developing an action plan to improve human and financial resource availability for NACC RO.
- Incorporating economic development of air transport and environmental protection into the SAP process as key strategic objectives.
- Addressing the communication gap on the status of ECCAA as the CAA of the Eastern Caribbean States.

INTRODUCTION AND CONTEXT

Introduction

15. In accordance with the Office of Internal Oversight (OIO) Charter (C-WP/15115) and ICAO evaluation policy (C-WP/15269), the Evaluation of the Regional Portfolio of the North American, Central American and Caribbean (NACC) Office was conducted from April to September 2023. The evaluation was included in the 2023 Work Programme of OIO, and identifies the NACC Regional Office, Headquarters (HQ) Bureaux and the Office of the Secretary General (OSG) as its primary clients. As appropriate, the results of the evaluation will also be used by Member States, the ICAO Council, Regional Aviation Safety Groups (RASGs), Aviation Security/Facilitation Programmes ((AVSEC/FAL) and Planning and Implementation Regional Groups (PIRGs).
16. The evaluation examined five criteria (relevance, coherence, effectiveness, efficiency, sustainability) and two cross-cutting themes (gender and human rights). All evaluation activities complied with the Norms and Standards for Evaluation in the United Nations System, as approved by the United Nations Evaluation Group (UNEG), and ICAO evaluation policy. The evaluation is forward looking and provides findings, lessons learned and recommendations for improved decision-making at the regional and global levels.
17. Under the direction of the Chief, OIO, the evaluation was conducted by the OIO Evaluation Specialist, with the support of an external Evaluation Consultant.

Context

18. The NACC Regional Office (RO) was established in Mexico City in 1957 and is accredited to a diverse mix of 22 Contracting States and 19 Territories. NACC RO provides support to the contracting states for the implementation of ICAO Standards and Recommended Practices (SARPs), to ensure safe and efficient regional aviation. The RO also maintains liaison with the Territories and other non-Contracting States in several areas of general responsibility, including, but not limited to, air navigation and technical cooperation (see textbox).
19. Within the context of the ICAO Business Plans for 2017-2019 and 2020-2022,¹ NACC RO has been responsible for aligning its programming with ICAO's five strategic objectives (Safety; Air navigation capacity and efficiency; Security and facilitation; Economic development of air transport; and Environmental protection). The aim has been to facilitate consensus and compliance by ICAO Member States with international civil aviation SARPs and policies for safe and reliable global aviation.
20. In 2015, NACC RO established a Systemic Assistance Programme (SAP) to implement the global No Country Left Behind (NCLB) initiative and address specific deficiencies in SARP implementation by Member States, as identified by the ICAO Universal Safety Oversight Audit

RO Areas of General Responsibility:

- Air navigation
- Air transport
- Aviation security
- Legal matters
- Regional bodies
- Technical cooperation
- General functions

Source: www.icao.int

¹ The period of focus for the evaluation is 'Business Plan period 2017-19 and 2020-22'.

Programme (USOAP Audit) and/ or the ICAO Universal Security Audit Programme Continuous Monitoring Approach (USAP-CMA Audit)).

21. The aim of the NCLB initiative is 'to help ensure that SARP and policy implementation is better harmonized globally, so that all States have access to the significant socio-economic benefits of safe and reliable air transport'².
22. The Systemic Assistance Programme (SAP) uses a project management approach to establish clear objectives, goals, and deadlines, and identify the responsible entities for the implementation of the SARPs at the State level. NACC RO implements the SAP over five phases (see Figure 1), however, the process is responsive to the progress of individual States in relation to the implementation of the SARPs and the level of assistance required.

Figure 1: Overview of NACC RO Systemic Assistance Programme



Source: www.icao.int

23. SAP has been specifically developed for the North American and Caribbean region (NAM/CAR) and focuses on two issues: increasing the EI of the SARPs and resolving Significant Safety and Security Concerns (SSCs and SSeCs) within Member States. Air transport systems across the NACC States range from the advanced and complex aviation systems of the North American economies to the developing systems in the Small Island Developing States (SIDS) of the Caribbean. As of March 2023, the average EI rate of the NACC region was 69.3 per cent and only 61.9 per cent of the States had an EI above 75 percent, the target for all States in 2022³.
24. To ensure that no State is left behind during SARP implementation, the SAP engages mentoring support from Champion States and organizations within the NACC region to complement the assistance from NACC RO. This approach facilitates intra-regional cooperation that allows mentored States to benefit from the technical knowledge and experience of Champion States. The Champion States/organizations are defined as States/organizations that are particularly advanced in one or more areas of civil aviation and have signed Memoranda of Cooperation (MoCs) with NACC RO to participate in its Technical Assistance Missions (TEAMs). NACC RO has signed MoCs with six States (Canada, Cuba, Dominican Republic, Guatemala, Nicaragua and

² <https://www.icao.int/about-icao/nclb/pages/default.aspx>

³ ICAO – Safety Report 2020 Edition

Trinidad and Tobago) and one regional organization (the Central American Corporation for Air Navigation Services - COCESNA).

25. In support of the timely and harmonized implementation of the SARPs by States, NACC RO works closely with industry and regional civil aviation bodies (as well as other United Nations (UN) Agencies and programmes). The Regional Director of NACC RO is, therefore, the Secretary of the Caribbean/South American (CAR/SAM) Planning and Implementation Regional Group (GREPECAS), which was established by the ICAO Council in 1990. GREPECAS is responsible for developing and maintaining air navigation plans based on agreed global and regional planning frameworks, and the planning and implementation of air navigation systems. It is also the PIRG for the NACC and SAM Regional Offices, with Secretariat services being provided by NACC RO.
26. This evaluation report will be useful for facilitating a better understanding of the NACC RO portfolio, with emphasis on the identification of its strengths and areas that need enhancement. The results of the evaluation can be used to refine the work of the RO to sustain the contribution to regional and global civil aviation objectives, to ensure that no country or entity is left behind in effectively implementing ICAO SARPs, plans, policies, and programmes under all Strategic Objectives.

EVALUATION PURPOSE, OBJECTIVES, SCOPE AND STAKEHOLDERS

Purpose

27. The evaluation of the NACC RO portfolio has had two purposes: accountability and learning. First, in terms of accountability, the evaluation was used to independently assess the effectiveness and efficiency of NACC RO in improving the implementation of ICAO SARPs, policies, and regional targets.
28. Second, in relation to learning, the evaluation was used to identify good practices, where available, and lessons learned. It was further used to generate recommendations for improved performance and results delivery.

Objectives

29. The main objectives of the evaluation were to:
 - i. Assess the relevance, coherence, effectiveness, efficiency, and sustainability of the NACC RO projects and activities in enhancing civil aviation in the region; and
 - ii. Provide findings and lessons for improved decision-making for projects/ plans at the regional and global levels.

Scope

30. As its scope, the evaluation covered all activities and outputs delivered by NACC RO and examined the management and coordination mechanism followed by the region. The evaluation scope also focused on the key results that were produced from January 2017 to December 2022 (Business Plan period 2017-2019 and 2020-2022).

Stakeholders

31. The stakeholders of the evaluation are: NACC RO; ICAO Headquarters Bureaux; and the Office of the Secretary General (OSG). As appropriate, the evaluation findings and lessons learned will also be used by: Member States; RASGs; AVSEC/ FAL; PIRGs; and the ICAO Council.

EVALUATION METHODOLOGY

Technical Approach, Methods, Ethics and Limitations⁴

32. The evaluation was participatory, supported by purposeful sampling, an evaluation matrix; a mixed-methods approach; and was implemented in three phases: i) inception, ii) data collection and analysis, and iii) report writing.
33. An inclusive, participatory approach, involving the application of utilization-focused principles, was used to engage all categories of stakeholders who were affiliated with the NACC RO portfolio and had in depth knowledge of the implementation, management and coordination of ICAO SARPs, policies, and targets. Utilization-focused principles were incorporated to allow the evaluation to meet the needs of its main clients and end-users. Purposeful sampling was used to engage all relevant stakeholders. A mixed-methods approach, comprising qualitative and quantitative techniques, was used to support data accuracy and validity.
34. The main product of Phase 1 was the Inception Report, comprising the technical approach and methods, evaluation framework, and data collection tools. Data was collected during Phase 2 of the evaluation by stakeholder consultation, an in-depth desk review of relevant documents, and the completion of a secondary data collection sheet.
35. Data analysis was conducted in four stages using a combination of qualitative and quantitative techniques: i) a descriptive analysis to verify the evaluation context, ii) a quantitative analysis to conduct simple statistical analyses with spreadsheet software, iii) a content analysis on the emergent result of the descriptive and quantitative analyses to identify key themes, trends and areas of divergence, and inform the preliminary evaluation findings, and iv) a strength, weaknesses, opportunities and threats (SWOT) analysis of the 2017 – 2022 NACC regional portfolio to critically examine the results of Stages 1 to 3 of the analysis.
36. The evaluation aligned with ICAO evaluation policy and complied with the international standards and norms of the Organization for Economic Co-operation and Development – Development Assistance Committee (OECD-DAC) and the UNEG. Participation in the evaluation was voluntary and there was no risk of harm to participating stakeholders. Stakeholders were assured of the confidentiality of their responses prior to consultations, and the evaluation data was stored securely.
37. There was one main limitation to the evaluation, the non-response of selected stakeholders at the level of ICAO Headquarters and NACC Member States to requests for consultation. As a mitigation measure, in depth consultations were conducted with stakeholders who confirmed their availability. This approach was strongly supported by the in-depth review of relevant documents.

⁴ See Annex 2 for the complete evaluation methodology.

FINDINGS

38. This section presents the findings of the evaluation, with emphasis on the following criteria: relevance; coherence; effectiveness; efficiency; application of the SAP; cross-cutting themes (gender and human rights); and sustainability, as defined by OECD-DAC and/ or UNEG or the evaluation data.⁵

Relevance

39. To assess the relevance criterion, the evaluation measured the extent to which NACC RO support to Member States was appropriate and consistent with State requirements.

Finding 1: Given its alignment with regional aviation priorities, the NACC RO Operating Plan, has been relevant for addressing the needs and priorities of the NACC Member States.

40. NACC RO has been responsible for developing, implementing, and monitoring its Regional Operating Plan to inform the fulfilment of its strategic and operational mandate across the NACC Member States. To the extent that implementation requires a pan-NACC approach, the RO further engages stakeholder entities based within the 19 territories of the region.

41. The NACC RO regional operating plan is based on an ICAO HQ template and is in the form of a performance planning and monitoring framework/matrix that outlines the expected results (key outcomes), key activities, deliverables (outputs), key performance indicators and targets for the NACC region. It is updated annually to incorporate changes in the results targets, as applicable, and provide evidence of the progress that has been made towards results achievement. The results targets that are outlined within the regional operating plan are articulated on four levels to identify the activities that will be implemented, the immediate outputs or deliverable, the key outcomes that are anticipated from implementation and the expected results, as indicative of the longer-term impact. As the purpose of the regional operating plan includes results monitoring, key performance indicators have been incorporated to support tracking and reporting on activity completion and results emergence. Progress towards results achievement is also incorporated into the operating plan.

42. To facilitate the work of NACC RO in the region, the regional operating plan has been closely aligned with the higher-level strategic objectives of the ICAO Business Plans for 2017-19 and 2020-2022 and the national-level priorities and targets of the NACC Member States. As Business Plan 2020-2022 retained the results targets for 2017-2019 there was no duplication or need to amend the expected results of the regional operating plan during 2020-2022. Although some of the results (outputs/ planned deliverables) are general and vague, however, the operating plan has outlined the information that has been required for planning and monitoring.

43. In line with the consistency that has been demonstrated across the ICAO Business Plans for 2017-2019 and 2020-2022, and the regional operating plan, NACC RO provided support and guidance to the NACC Member States during the development of State-specific national aviation plans.

⁵ Definitions for the gender and human rights criteria were taken from UNEG, 2014. *Integrating Human Rights and Gender Equality in Evaluation: Towards UNEG Guidance*. New York: UNEG. The criterion 'Application of the SAP' derived from data analysis and translates as emergent issues during the facilitation of the NACC RO Systemic Assistance Programme (SAP).

The support was provided to align the national, regional, and global aviation plans, and ensure State-level compliance with the SARPs.

Finding 2: NACC RO facilitated a timely and harmonized response to the emergent needs of NACC Member States during the COVID-19 pandemic. While the level of responsiveness was tailored to the regional and Member State contexts, it was strongly driven by the global directives that informed the ICAO institutional-level response.

44. With the support of ICAO HQ, NACC RO implemented a series of mitigation measures to address the emergent effects of the COVID-19 pandemic on NACC Member States based on a harmonized approach.⁶ These mitigation measures are classifiable under three areas: logistics; information and tools; and funding. Given the diversity across NACC Member States (e.g., in terms of social, economic, and geographic factors), the responsiveness of NACC RO to the effects of COVID-19 on regional aviation took the form of a contextual response to State needs. Standardized measures that would have allowed for timely mitigation, economic recovery and the continuity of the RO work portfolio were necessary, but insufficient to address the effects of the pandemic on each State.
45. The working arrangements of NACC RO were refined to support ongoing stakeholder collaboration with Member States (as well as at the regional and global levels). Most NACC RO activities were moved online to accommodate virtual collaboration with Member States, ICAO HQ, regional entities, and other relevant stakeholders. NACC RO also facilitated regular meetings with Member States and regional civil aviation stakeholders, to discuss the needs of individual States and the next steps for regional recovery from the pandemic.⁷
46. As virtual communication platforms, electronic media and electronic filing had been used throughout ICAO/NACC before the emergence of COVID-19, the pandemic reinforced their value and contributed towards an increased dependence on virtual communication and electronic file sharing. The main electronic media/ tools that were used by ICAO/NACC for virtual communication and information-sharing during the pandemic included, the Zoom and MS Teams platforms, ICAO TV, and the COVID-19 Response and Recovery Implementation Centre (CRRIC). The CRRIC was an interactive website that was created under the secure ICAO portal to provide support for the implementation of recovery measures, coordination, and guidance for monitoring and reporting activities.⁸
47. At the level of information dissemination, NACC RO widely disseminated informational resources to its Member States to support their efforts in managing the COVID-19 crisis. The resources that were shared with NACC Member States included general reference material on COVID-19, contingency methods and recommendations, implementation packs (iPacks) and results monitoring tools. State Letters from ICAO HQ were also used to share official communication from ICAO on pandemic-specific issues. Contingency methods and recommendations were developed to address aviation sector recovery and the iPacks were disseminated to provide continued guidance to States for SARP implementation.⁹ The results monitoring tools were

⁶ <https://www.icao.int/NACC/Documents/COVID19/ICAO%20NACC%20COVID-19-MitigationActions.%20Rev%201%20-%20ENG%2028%20May.pdf>

⁷ <https://www.icao.int/NACC/Pages/NACC-C19Meetings.aspx>

⁸ <https://www.icao.int/covid/Pages/crric.aspx>

⁹ <https://www.icao.int/secretariat/TechnicalCooperation/Pages/iPACK.aspx>

further developed to enable NACC Member States to track their progress in implementing the recommended pandemic mitigation measures, as well as the SARPs.

48. In the area of funding, the pandemic reinforced the economic diversity across NACC Member States. While it was easier for more developed economies (e.g., the North American States) to apply certain mitigation measures, less developed economies like the small island developing states (SIDS) of the Caribbean were challenged by inadequate financial resources.¹⁰ This limitation was visible, for example, during the dissemination of iPacks to NACC Member States. As the dissemination of iPacks was based on cost recovery measures, each recipient State was required to fund the cost of acquiring each iPack. Given their financial limitations, it was difficult for less developed States to meet this requirement. In response to this challenge, ICAO mobilized donor funding¹¹, as well as funding from ICAO's own resources, in the amount of USD \$2.7 million, and NACC Member States have benefited from this resource.¹²
49. The responsiveness of NACC RO to the effects of COVID-19 on Member States was timely and context appropriate. It was largely driven, however, by the global directives for managing COVID-19 that informed ICAO's institutional approach to pandemic mitigation. ICAO's institutional approach to the pandemic was strongly informed by decisions taken during global inter-agency discussions to alleviate the effects of the pandemic. While ICAO actively participated in these high-level discussions, the joint contribution of other stakeholder entities¹³ to the decision-making process should be recognized.

Coherence

50. Coherence was measured as the extent to which the support provided by NACC RO to Member States was compatible with other interventions at the country, sector or institutional level.

Finding 3: The NACC Regional Operating Plan has aligned with the needs and priorities of NACC Member States and other ICAO projects and civil aviation stakeholder entities. There is scope, however, for enhanced regional civil aviation management through more effective communication between ICAO/NACC, States, industry, and regional stakeholder entities.

51. The development of the NACC Regional Operating Plan involved close collaboration between NACC RO and NACC Member States, to ensure that the operating plan accurately represented needs and priorities at the State and regional levels and aligned with the ICAO Business Plans. In parallel with this process, NACC RO has been responsible for coordinating the development of the Regional Aviation Safety Plan (RASP) and the regional ANP, as strategic documents for regional aviation safety and air navigation, respectively (see Finding 1). As the effectiveness and coherence of each process has relied on collaboration and coordination across multiple

¹⁰ EV/2022/02 Report on the Evaluation of ICAO's Response to COVID-19.

<https://www.icao.int/secretariat/SecretaryGeneral/OfficeOfInternalOversight/Documents/Final%20Oversight%20Reports/Evaluation%20of%20ICAO's%20COVID-19%20Response%20-%20Public%20Disclosure%20Final.pdf>

¹¹ Although NACC RO was not fully responsible for leading funding mobilization, the RO actively contributed to the process.

¹² EV/2022/02 Report on the Evaluation of ICAO's Response to COVID-19.

¹³ Examples of these stakeholder entities include, the World Health Organization, International Air Transport Association, other UN Agencies, other aviation industry entities, etc.

stakeholder entities at the State and regional levels, the regional operating plan, the RASP and the regional Air Navigation Plan (ANP) were mutually reinforcing.

52. To facilitate the development, implementation and monitoring of the RASP, NACC RO established a harmonized process by engaging the NACC Member States, Regional Safety Oversight Organisations (RSOOs), International Organizations, industry representatives and Regional Accident and Safety Organizations (RAIOs). As NACC RO has also been responsible for facilitating the bridging function between the global, regional, and national air navigation plans, the RO has coordinated the regional level development of the NANPs, in close collaboration with NACC Member States, GREPECAS, and other relevant stakeholder groups.
53. In combination, the approaches that have been used to develop the NACC regional operating plan, the RASP¹⁴ and the regional ANP¹⁵ have facilitated transparency of information to minimise the risk of duplication and the misalignment of strategic priorities and results targets at the national and regional levels. The ICAO Capacity Development and Implementation (CDI) Bureau¹⁶ has supported this process (i.e. transparency of information to ensure the alignment of regional and national priorities and avoid duplication) through its technical support to Barbados and Belize, for the transition of the National Civil Aviation Administration of each State to a Civil Aviation Authority.¹⁷ To facilitate collaboration that is based on transparent information, CDI has facilitated regular project management and/ or implementation meetings with each Member State.
54. There has been similar alignment between the NACC RO regional operating plan and the FAA Global Leadership Plan, which is partly used by the FAA to inform the agency's engagement with ICAO/NACC. The Federal Aviation Administration (FAA) works closely with NACC RO to identify mutual areas of interest to jointly coordinate regular engagement and outreach to relevant States and/ or stakeholders.
55. In response to the work programme/operating plan that has been developed by NACC RO, FAA has made efforts to match the programming, while avoiding duplication. NACC RO uses the SAP to support these efforts by facilitating discussions between the FAA and the Regional Director of the RO. FAA has also supported the establishment of a Caribbean Aviation Resilience and Recovery Group,¹⁸ to facilitate closer collaboration with NACC RO. In 2020, the FAA provided in-kind contributions to the NACC Multi-regional Civil Aviation Assistance Programme (MCAAP), in the form of technical subject-matter experts to participate in technical assistance missions in Jamaica and Barbados. In 2018, the FAA also facilitated regional workshops and table-top exercises for identifying, assessing and mitigating cybersecurity risks and threats.¹⁹
56. Further to a direct request from NACC RO, Transport Canada has also provided technical assistance to Haiti since April 2018 to enhance the safety and sustainability of the Haitian civil

¹⁴ <https://www.icao.int/NACC/Documents/RegionalPlans/NACCRASP-En.pdf>

¹⁵ <https://www.icao.int/NACC/Documents/eANP/Consolidated%20CARSAM%20eANP%20Volume%20II.pdf>

¹⁶ The Technical Cooperation Bureau was re-branded as the Capacity Development and Implementation Bureau (CDI) in July 2023. CDI provides ICAO implementation support for the SARPs, upon the request of ICAO Member States, including through the Regional Offices.

¹⁷ https://www.icao.int/secretariat/TechnicalCooperation/Projects/Pages/tcb-project-summaries_2022.aspx

¹⁸ <https://www.icao.int/NACC/Documents/Meetings/2022/NACCDCA10/NACCDCA10P01Rev.pdf>

¹⁹

<https://www.icao.int/safety/ASIAP/Documents/ASIAP%20FAA%20Engagement%20in%20the%20Western%20Hemisphere%202020.pdf>

aviation system.²⁰ The initial request from NACC RO was for a period of 18 months and was extended to December 2020. As of June 2023, however, Transport Canada has been providing ongoing assistance to the National Office of Civil Aviation (OFNAC) in Haiti.

57. Stakeholders at the regional and State levels have provided positive feedback on the procedures used during regional planning. States and regional civil aviation entities were brought together regularly in regional/bilateral meetings (virtually or in-person) to discuss focal issues for effective aviation management, inter alia. In March 2021, for example, the convening of regional stakeholders for a virtual RASP meeting was used to acquire comments from States on the draft version of the RASP, to inform revision, followed by dissemination to regional civil aviation authorities for final review.²¹
58. Although all relevant stakeholder entities are usually represented during these meetings, it is of interest that there have been calls for increased communication between NACC RO and civil aviation stakeholders.²² The rationale for the recommendation has been an interest by stakeholders from civil aviation industry and regional civil aviation entities in further information on the work of Member States, the activities of NACC RO in the region, and the global priorities of ICAO HQ. As this information is shared during regional/bilateral stakeholder meetings and is disseminated through ICAO communication channels (e.g., working papers and the ICAO website), there is a question of which factors contributed to the gaps in communication and what measures are required to address these gaps, to facilitate more effective communication and enhanced collaboration for civil aviation management.

Effectiveness

59. The effectiveness of NACC RO support to Member States was measured as evidence of the achievement of target objectives. This section has had a particular focus on the progress that was made by NACC RO to fulfil its planned activities and achieve its expected results during 2017-2019 and 2020-2022.

Finding 4: While the Regional Operating Plan is a framework for effective results management, its usefulness has been reduced by the inadequate use of the framework for proper results monitoring. In general, results documenting and reporting by NACC RO has been inadequate.

60. The NACC RO Regional Operating Plan is in the form of a performance planning and monitoring framework that is updated annually and is used to track and report on the progress of the RO in achieving its expected results (see Finding 1). It is incorporated into the ICAO Corporate Management and Reporting Tool (CMRT). A combination of key performance indicators and results targets is used to measure the extent to which RO support to its Member States has contributed towards expected results at the regional level. As there is a strong alignment between the regional operating plan and the ICAO Business Plan, results monitoring by NACC RO is further used to measure the contribution of the RO to ICAO's strategic objectives.

²⁰ https://www.icao.int/Meetings/a40/Documents/WP/wp_441_en.pdf

²¹ <https://www.icao.int/NACC/Documents/Meetings/2021/RASP/RASP-FinalReport.pdf>

²² Informed by stakeholder consultations with representatives of civil aviation industry and regional civil aviation entities.

61. A major challenge to the assessment of the effectiveness of NACC support to its Member States has been the limited use of the framework for results monitoring by the RO. In the regional operating plans for 2020-2022, for example, there are several instances of missing data. It is also unclear, in some instances, whether reported quantitative results refer to States represented during intervention activities or individuals from States who participated in these activities.
62. The actual results that have been recorded within the operating plan have also varied in the level of detail that has been provided as evidence of results achievement. In Table 1, for example, the anticipated deliverable/outcome of Key Activity 9.6, has been an 'Increased level of implementation of safety policy and Safety Management Systems (SMS),' through workshops, courses and/ or events. Participation by 13 States in Safety Management (SM) training and the implementation of safety electronic tools by three States have also been requirements for results achievement.
63. Of concern, however, the actual results that have been reported within the operating plan are a repetition of the targets that should have been met. In this format, the reports are inconclusive as they cannot be used to confirm whether anticipated results/ deliverables were achieved. The absence of this data has implications for decision-making at the level of ICAO/NACC, as there would be need for data verification before use.
64. Based on the cited example, it would have been more appropriate for the report of results achievement to identify the States that participated in the activities and indicate the three States that implemented the safety electronic tools. This approach was used to provide evidence of results achievement under Activity 9.8 (Table 1) and has allowed for more accurate results reporting to inform key decision-making by ICAO/NACC.
65. The ICAO/NACC RO decision-making processes for policy, donor interface, proposal development, and programming are challenged by inconsistent results reporting, including instances of incomplete and/ or missing data. Within this context, a question that emerges is whether the challenge to results monitoring at the level of the RO has been the workload of the staff and/ or the absence of technical expertise. The 2020 Evaluation of RBM²³ identified the absence of a clear strategy for mainstreaming RBM as a major gap throughout ICAO and has made strategic recommendations to address this issue.

²³ Evaluation of Results Based Management (RBM) at ICAO, 2020

Table 1. Example of Results Monitoring and Reporting, NACC RO

Strategic Objective: Safety				
#	Project/ Key Activity	Deliverable	Target(s)	Actual(s)
#9.6	Assist States in the implementation of policies and provisions on Safety Management (ANIWP: ENB-SM)	Increased level of implementation of safety policy and SMS: awareness to updates to SM (workshops, courses, events)	13 States to participate in SM training. 3 States to implement Safety Electronic Tools	13 States to participate in SM training. 3 States to implement Safety Electronic Tools
#9.8	Assist States in the implementation of policies and provisions to improve safety performance at and in the vicinity of aerodromes (ANIWP :ROI-04)	Organise Runway Safety Go Teams to assist in the implementation of Runway Safety Teams (RSTs) and runway safety programme	New airports with RST implementation: Lyndin Pindling Intl (Bahamas) Juan Santamaria (Costa Rica) San Pedro Sula (Honduras) Chetumal (Mexico) and other[s] Follow up to existing RST: Philip Goldson (Belize) Puebla (Mexico) V.C. Bird Intl (Antigua and Barbuda)	RST implemented in: Juan Santamaria (Costa Rica) San Pedro Sula (Honduras) Chetumal and Guadalajara (Mexico). Bahamas target was suspended due to hurricane damages. On-going RST process in Philip Goldson (Belize) Puebla (Mexico) V.C. Bird Intl (Antigua and Barbuda)

Source: Extracted from Regional Operating Plan 2019

66. To operationalize ICAO's regional mandate for 2017-2022, the NACC Regional Operating Plans for 2017 through 2022 aligned closely with the strategic objectives and results targets of ICAO Business Plan 2017-2019 and 2020-2022. In assessing the contribution of each result to ICAO's strategic objectives, and by extension, the global civil aviation goals, the evaluation has examined the extent to which NACC RO's planned results have matched actual results achievement.
67. This section has been organized under each of ICAO's five strategic objectives and has assessed results achievement during 2017-2019 and 2020-2022. The discussion of results is not exhaustive but provides some key examples of the planned results that were achieved by the RO and identifies some key results targets that were not met.
68. In general, results reporting by NACC RO under all the strategic objectives has not provided adequate details of results achieved (e.g., the nature of support provided, the countries supported, etc.). As the evaluation has triangulated CMRT data with stakeholder consultations and document review, the achievements reported under the sub-sections that follow are informed by different sources.

Strategic Objective 1: Safety

Finding 5: While NACC RO contributed towards the implementation of planned deliverables in each of its key project activity areas, the RO did not achieve the 2022 USOAP EI target that was established by the GASP (2020-2022). Only 5 out of 22 Member States have also developed their National Aviation Safety Plans.

69. Within the NACC RO Regional Operating Plan, the key project activity areas for Strategic Objective 1: Safety were:

- Implementation of policies and provisions on safety management, to address critical safety issues;
- Development and measurement of progress against safety priorities, using regional plans and RASGs;
- Assistance to States to improve aerodrome safety performance and facilitate access by Remotely Piloted Aircraft Systems to non-segregated airspace;
- Monitoring of Member States through the USOAP-CMA and assistance to States to develop tailored action plans to address risk; and
- Support for rapid coordinated response to situations requiring urgent assistance and for the achievement of the NCLB goals within the safety objective.²⁴

70. The planned activities in the area of Aviation Safety included: 1) the increased implementation of safety policy and SMS; 2) enhanced implementation of the State Safety Programme; 3) early identification of safety lags; 4) RASG-PA safety enhancements; 5) the strengthening of CASSOS; improvements to AIG matters; 6) organization of runway safety Go Teams/ team performance; 7) the assessment of corrective action plans; 8) enhancement of safety oversight performance; 9) ICVM missions and audits; 10) improvement of State USOAP EI; 11) RO staff qualification for USOAP activities and assistance; 12) timely crisis response; 13) SSC resolution; 14) development/ implementation of NACC-RASP; 15) enhancement of RSOO capabilities; 16) assistance for SARP safety compliance; 17) RPA access to non-segregated airspace; 18) support for post-COVID recovery; and 19) implementation of aerodrome safety activities.²⁵

71. A major achievement for the RO in safety management was the approval of the NAM/CAR Regional Aviation Safety Plan (NACC RASP), which was the outcome of extensive discussions that were facilitated by NACC RO throughout the COVID-19 pandemic. The discussions engaged all categories of relevant aviation safety stakeholders within the NACC region, and NACC RASP was implemented in 2021. The key activities of the NACC RO Regional Operating Plans for 2017 – 2022 have been in line with NACC RASP, as they have supported increased capacities within States, as well as NACC RO, for enhanced regional aviation safety. There is need, however, to update the GASP dashboard indicating that NACC RASP is published in line with the revised GASP.²⁶

²⁴ Paraphrased from NACC Regional Operating 2017-19 and 2020-22

²⁵ See Vol. II Appendix 7 for a detailed description of each planned activity and an overview of planned vs actual achievements

²⁶

https://soa.icao.int/gasp?_gl=1*19xpzu1*_ga*MTk1NzM0NDA3OS4xNjA0NTI0ODE3*_ga_992N3YDLBQ*MTY5MTc2NzA4Ni4xMzUuMS4xNjIxNzY3MDg4LjAuMC4w

72. NACC RO achieved its targets for aerodrome safety performance in relation to the enhancement of RSOO capabilities and the facilitation of USOAP qualifications and participation for RO staff. In 2022, the RO collaborated with the Central American Agency for Aeronautical Security (ACSA) to provide required assistance to RSOOs in the form of proposals for activities and ways of helping Member States. Prior to this, the Caribbean Aviation Safety and Oversight Organization received an improvement plan with several recommendations from the RO. Further to the post-COVID-19 institutional changes that were initiated at the level of ACSA, the RO also agreed on a joint plan with this agency for common assistance activities.
73. In terms of supporting a rapid coordinated response to situations requiring urgent assistance, NACC RO achieved two major targets. The first target was the mitigation of a significant safety concern (SSC) in Haiti. Following the identification of the SSC during the USOAP audit, NACC RO engaged the civil aviation authority in Haiti in follow-up meetings and teleconferences, to provide guidance for an action and surveillance plan to maintain and improve aviation safety within the State. Further to the intervention by the RO, the SSC was declared mitigated in 2019, resulting in a rating of 'achieved' by the current assessment.
74. The second target involved providing continuous support to States during the post-COVID-19 period to assist aviation recovery/restart. Although the entry in the Regional Operating Plan has not outlined specific details about the support that was provided, the evaluation has rated this target as being achieved. The rationale for this rating has been data triangulation, involving document review and stakeholder consultations, which has provided evidence of RO support to States during the COVID-19 pandemic.
75. At the State level, the NASP is the strategic planning document for the management of aviation safety.²⁷ It aligns with the GASP and the RASP and is established for a set timeframe. The purpose of the NASP is to outline the prioritized national aviation safety deficiencies and national safety goals and targets. In support of the effective mitigation of the identified safety deficiencies, NASP also includes a series of safety enhancement initiatives (SEIs) to facilitate the State-level achievement of the national safety goals and targets. The SEIs are identified through a gap analysis that uses the Global Aviation Safety Roadmap and are compiled into an action plan to support the NASP safety strategy.²⁸
76. As of June 2023, NASPs had been developed by five NACC Member States only (Costa Rica, Cuba, El Salvador, Mexico, and the United States of America).²⁹ NASP development is an ongoing process that involves State-level support by NACC RO. The support that has been provided by the RO has been funded under the MCAAP and by the Central America NASP Fund.³⁰ Based on the progress in NASP development, however, it is worth considering whether follow up by NACC RO has been adequate, to determine if States require further support to develop their aviation safety plans.
77. The evaluation data has shown that the RO made good progress towards the implementation of its planned results targets for the early identification of lags against safety priorities through the

²⁷ [https://www.icao.int/safety/GASP/Pages/NATIONAL-AVIATION-SAFETY-PLAN-\(NASP\).aspx#:~:text=NASP%20Online%20Course-,What%20is%20a%20NASP%3F,safety%20for%20a%20set%20period.](https://www.icao.int/safety/GASP/Pages/NATIONAL-AVIATION-SAFETY-PLAN-(NASP).aspx#:~:text=NASP%20Online%20Course-,What%20is%20a%20NASP%3F,safety%20for%20a%20set%20period.)

²⁸ <https://www.icao.int/safety/GASP/Documents/Doc%2010131/Doc%2010131%20nd%20Ed.en.pdf>

²⁹ <https://www.icao.int/NACC/Pages/nacc-rasp.aspx>

³⁰ <https://www.icao.int/NACC/Pages/meetings-2022-nasp.aspx>

RASGs, the organizing of runway safety teams (RSTs), and the assessment of corrective action plans.

78. The early identification of lags against safety priorities was reflected in the development of two new SEIs in 2019. In 2020, the RO reported a 39 percent increase in State participation in RASG-PA and its groups. This was followed by a 16 percent increase in 2021 and 1 new SEI that was proposed for the State Safety Programme. Support to RASG-PA SEI in 2021 was also reported as being completed.³¹ As the purpose of the SEI is to mitigate evidence of operational safety risks or aviation safety issues,³² their inclusion during RO programming provides confirmation that lags against safety priorities had been identified. SEI development was further supported by a detailed implementation plan in one out of a target of two Member States.³³
79. Results achieved during 2021 and 2022 have shown that NACC RO exceeded its target of five new Runway Safety Teams (RSTs) by establishing eight RSTs and was on target with the establishment of two RST Go-Teams. The RO also met its target for a 10 percent increase in awareness on Airport Collaborative Decision-making within the Caribbean sub-region. In 2020, three out of a target of five new RSTs were established in two target countries (El Salvador and Nicaragua). RSTs were also established in four out of five targeted States in 2018 and 2019 (Costa Rica, Dominican Republic, Honduras, and Mexico).
80. RSTs were established at four aerodromes in Mexico, and as of 2020, three additional RSTs had been established in El Salvador and Nicaragua. In accordance with the RST target, follow up of existing RSTs had been conducted in three States: Antigua and Barbuda, Belize, and Mexico, and was combined with the effective review of operations in three States (Aruba, Mexico and Nicaragua). The level of results achievement has indicated that NACC RO made significant progress towards achieving its main deliverable (RST organization and implementation) through its established targets.
81. In 2020-2022, NACC RO contributed towards the achievement of its planned target for the review of Corrective Action Plans. At 36 percent completed reviews at the State level in 2022 and 2021, the RO exceeded its target of 33 percent for each year. Out of a target of 60 percent completed reviews in 2020, the RO achieved 55 percent. By assisting five States with the completion of their self-assessment in 2022, the RO also exceeded its target of 4 States. The RO experienced a similar achievement in 2020, by assisting three States to complete their self-assessment following a target of two States. NACC RO also met its initial target of engaging in two ICVMs in 2019 and assisting at least two States that met the criteria for safety compliance assistance.
82. While RO reporting has implied that there was a partial achievement of the planned target of an improvement in State USOAP EI in 2019, the evaluation has rated this deliverable as not achieved. The targets for the deliverable have suggested that the Bahamas improved its level of EI to 60 percent (against a target of 80 percent). Haiti achieved an EI level of 30 percent (meeting the target of 30 percent), and the Central American States met the EI target of 80 percent. The official figures from the ICAO USOAP database have indicated, however, that these levels were not

³¹ See Appendix 7

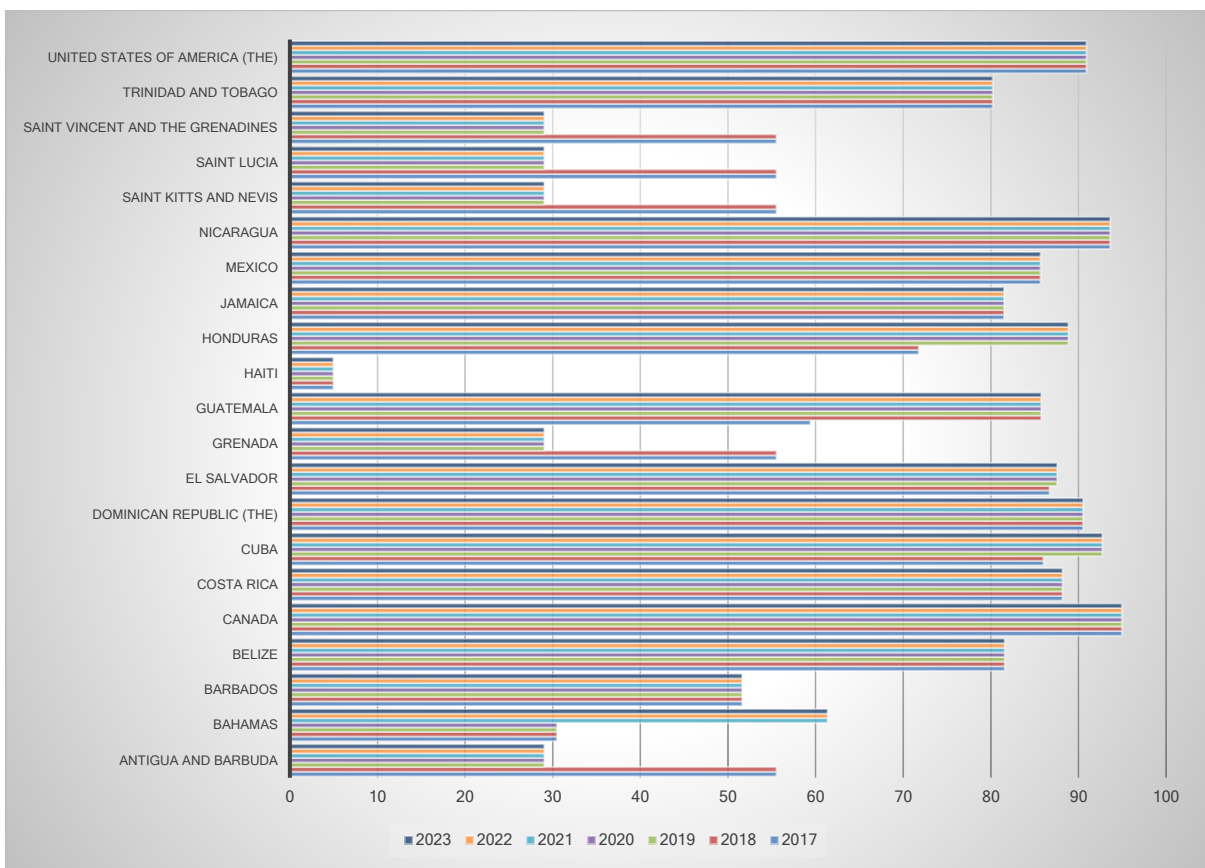
³² <https://www.icao.int/safety/GASP/Documents/Doc%2010131/Doc%2010131%202nd%20Ed.en.pdf>

³³ See Vol. II, Appendix 7

attained by the Bahamas (EI of 44 percent in 2022), Haiti (EI of less than 5 percent in 2019) or the Central American States (EI in the range of 51 – 65 percent as of 2022), as shown in Figure 2.³⁴

83. NACC RO has indicated that the reason for the discrepancy has been outdated USOAP-CMA audit results. The USOAP EI that has been provided by the RO is an estimation of the improved EI following NACC SAP assistance. It was calculated by NACC RO based on the same formula that was used by ICAO HQ. While the NACC RO estimation is an internal calculation of USOAP protocol question compliance, the publicly available level of EI in 2019 was based on the USOAP-CMA Audit results, which was calculated before the SAP assistance.

Figure 2: USOAP-CMA EI Distribution by States, NACC (2017-23)



Source: ICAO USOAP database, 2023

Finding 6: NACC RO has continued to contribute towards the global and regional goals for aviation safety through the implementation of the regional aviation portfolio. Regional level progress in facilitating the effective implementation of critical elements, however, is still below the global target.

84. In its implementation of the regional aviation portfolio, NACC RO has initiated several interventions for effective aviation safety management by States. Each intervention has aligned with the ICAO strategic objectives through the RASP and has been designed to contribute towards the global goals for aviation safety. The USOAP-CMA has been used to measure the extent to which NACC States have met the targets for aviation safety compliance. For the period

³⁴ Also see Vol. II, Appendix 8

2020-2022, therefore, the [GASP](#) established targets ranging from 75 to 95 percent EI relative to the strengthening of the oversight safety capacities of Member States by 2022, 2026 and 2030. Based on an update by ICAO HQ in December 2020, the target dates for achievement were changed to 2024, 2026 and 2030 (see Table 2) as reflected in the new revised GASP 2023-2025.

85. As of 2023, however, the NACC region had not attained the established targets, and was below the global average for most CEs (see Figure 3). NACC's 2023 regional Safety EI average was 66.8% compared to the global average of 68.9%. In light of this result, there are several questions to consider, including whether the target was realistic, whether poor planning contributed to regional results and/ or whether States within the region require further support from NACC RO. The evaluation noted, however, that the internal estimations of NACC RO points to higher levels of NACC USOP EI by some Member States.

Table 2. NACC progress towards GASP targets

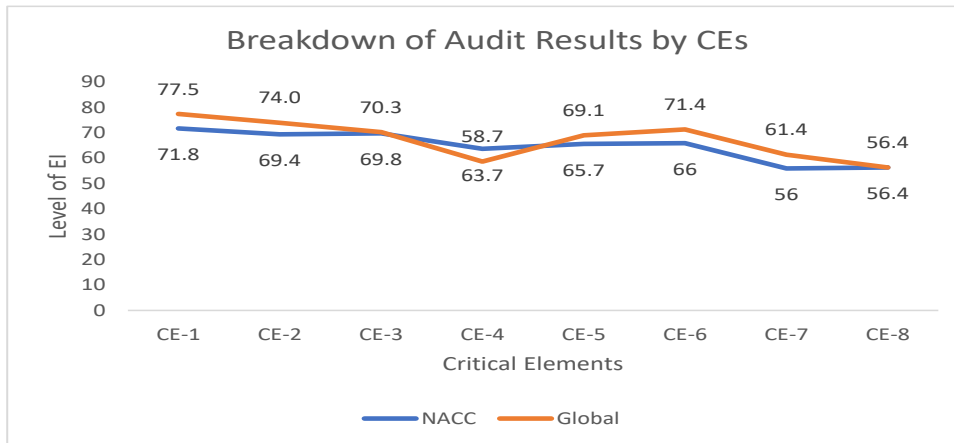
	Item	Result*
1.	No. of States	21
2.	No of States engaged in USOAP-CMA activities:	
	• Audit	3
	• ICVM	3
	State Safety Programme Implementation Assessment (SSPIA)	1
3.	No. of States with EI over 75 % (GASP target: 75% of States by 2024) ³⁵	13
4.	% of States with EI over 75%	61.9%
5.	No. of States with EI over 85% (GASP target: 85% of States by 2026)	10
6.	% of States with EI over 85%	47.6%
7.	No. of States with EI over 95% (GASP target: 95% of States by 2030)	1
8.	% of States with EI over 95%	4.8%

Source: ICAO 2021. Report on USOAP-CMA, 2019-21; ICAO USOAP Database, 2023

*Data does not include Dominica, which became an ICAO/NACC Member State in late 2022

Figure 3: USOAP-CMA Progress, 2017 – 2021

³⁵ [10004_en.pdf \(icao.int\)](#)



Source: ICAO 2021. Report on USOAP-CMA, 2019-21

86. During 2020-22, NACC RO implemented/ achieved four of its planned activities, in relation to: the enhancement of RSOO capabilities, the development of NACC RASP, support for post-COVID recovery, and timely crisis response. The RO also contributed towards the implementation of several activities, including: 1) the increased implementation of safety policy and SMS; 2) enhanced implementation of the State Safety Programme; 3) early identification of safety lags; 4) RASG-PA safety enhancements; 5) improvements to AIG matters; 6) organization of runway safety Go Teams/ team performance; 7) the assessment of corrective action plans; 8) enhancement of safety oversight performance; 9) RO staff qualification for USOAP activities and assistance; 10) development/ implementation of NACC-RASP; 11) enhancement of RSOO capabilities; 12) assistance for SARP safety compliance; 13) RPA access to non-segregated airspace; 14) support for post-COVID recovery; and 15) implementation of aerodrome safety activities
87. There was inadequate evidence, however, of the full implementation of some of the planned activities, including: increased implementation of safety policy and SMS; enhanced implementation of the State Safety Programme; RASG-PA safety enhancements; the strengthening of CASSOS; improvements to AIG matters; and timely crisis response.³⁶

Strategic Objective 2: Air Navigation Capacity and Efficiency

Finding 7: While NACC RO made very good progress towards the implementation of planned activities for aerodrome safety and improvement, the optimization of airspace and regional Air Navigation priorities, the RO has had less influence on the finalization and implementation of National Air Navigation Plans at the Member State level.

88. NACC RO established seven areas/categories of planned activities under Strategic Objective 2: Air Navigation Capacity and efficiency of the Regional Operating Plan. The results areas for these activities involved:
- Assistance to States to implement policies and provisions on communications, navigation and surveillance (CNS);
 - Assistance States to implement policies and provisions on information management;
 - Assistance to States to implement policies and provisions on meteorology;

³⁶ See Vol II, Appendix 7, for a full analysis of the results that have been reported in the Regional Operating Plan

- Development and measurement of progress against regional air navigation policies through regional ANPs and PIRGs;
 - Assistance to States to implement policies and provisions to optimize airspace and airport usage;
 - Coordination and implementation of assistance on Trust Framework; and
 - NACC NCLB: Implementation of aerodrome certification and aerodrome safety/efficiency improvements.³⁷
89. The planned activities for Air Navigation were: 1) regional agreements decisions and recommendations for ATN/ 2) ASBU B0-ASUR and SURE/ 3) AIM Taskforce/ 4) MET/ 5) CNS; 6) regional coordination of frequency assignments; 7) PIRGs and their working structure meetings; 8) assistance to States/ workshops/ seminars on the flexible use of airspace; 9) optimization of airspace and Air Traffic Services; 10) aerodrome certification and safety/ efficiency improvements; 11) GREPECAS performance and their working structure meetings; 12) ANS planning/ implementation; and 13) the implementation of cyber resilient ATM systems and operations.³⁸
90. NACC RO made very good progress towards the achievement of its planned activities in three major areas: 1) aerodrome certification and aerodrome safety/efficiency improvements, 2) policies and provisions to optimize airspace and airport usage, and 3) progress against regional AN priorities.³⁹
91. In the area of aerodrome certification and aerodrome safety/efficiency improvement, NACC RO facilitated safety/efficiency improvements in nine States in 2017: Antigua and Barbuda, Costa Rica, Cuba, El Salvador, Guatemala, Honduras, Mexico, Nicaragua, and Saint Lucia, exceeding its target of eight States. As of 2018, 82 aerodromes had been certified, representing 58.2 percent of international aerodromes certified, and the certification process was initiated in an additional 20 airports. In 2019, an additional six States had implemented aerodrome safety/efficiency improvements and the certification process had been initiated in 10 new airports. This level of achievement exceeded the goal of the 2014 Port of Spain Declaration⁴⁰ to achieve 48 percent certification (19 airports) in the NACC region by 2017. In 2021-2022 nine airports had also implemented safety improvements, and 10 airports had started their certification process. Four new airports were also certified during this timeframe.
92. On average NACC RO initiated 20 aerodrome certifications annually and completed 10 certifications per year. Within three years of implementing the SAP, the RO had certified over 30 airports. As an illustration of the trend in aerodrome certification, Figure 4 provides an overview of certification within the CAR subregion during 2014-2023. The diagram has highlighted a consistent increase in aerodrome certification during 2017 – 2022, the period of focus for the evaluation.

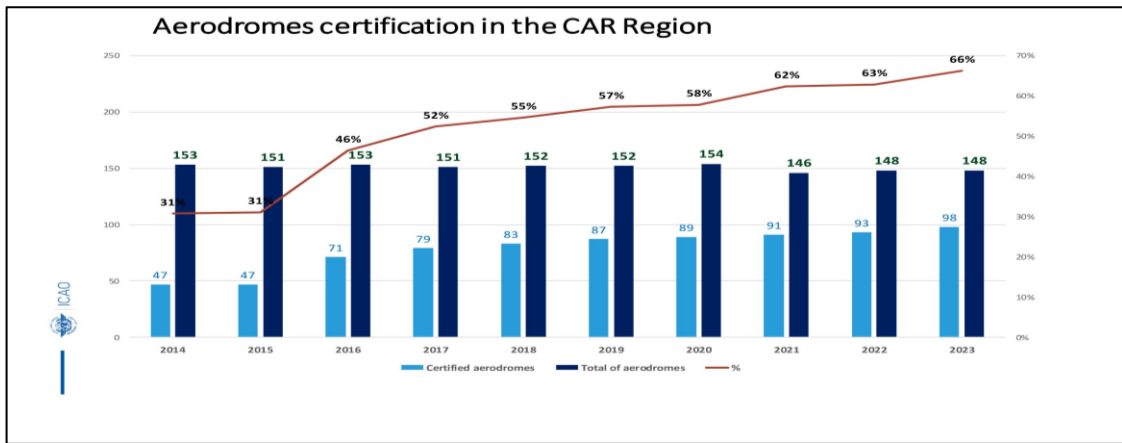
³⁷ Paraphrased from NACC Regional Operating 2017-19 and 2020-22

³⁸ See Vol. II Appendix 7 for a detailed description of each planned activity

³⁹ See Vol. II, Appendix 7 for an overview of NACC RO's planned and actual results in Air Navigation Capacity and Efficiency.

⁴⁰ The Port of Spain Declaration emerged during the Fifth Meeting of the NACC Directors of Civil Aviation Meeting. [https://www.icao.int/safety/DashboardsDocumentation/Port-of-Spain%20Declaration%20\(NACC\).pdf](https://www.icao.int/safety/DashboardsDocumentation/Port-of-Spain%20Declaration%20(NACC).pdf)

Figure 4: Aerodrome Certification, CAR Subregion (2014 – 2023)



Source: NACC RO, 2023

93. As part of its post-pandemic recovery efforts, NACC RO launched the Regional Airspace Optimization for the NAM and CAR regions project in 2021.⁴¹ Air Traffic Services (ATS) entities from all 22 NACC States were represented at the project launch and the third meeting of the project team was held in January 2022. The aim of the project has been to optimize and harmonize the NACC airspace based on the free routing objective of the GANP.⁴² This project is being implemented over two to three years based on collaboration between NACC RO and CADENA.⁴³
94. The planned deliverables of the project have included establishing the Airspace Optimization Taskforce and engaging the assistance of airlines as volunteers to establish a trial route. These activities were successfully achieved as the Civil Air Navigation Services Organisation (CANSO); the International Air Transport Association (IATA); the NACC Member States, FAA and the airlines indicated their commitment to the initiative. NACC RO facilitated a one-week trial of an optimized route and produced a summary of the expected benefits of optimized routes within the region (see Table 3).

Table 3. Air Space Optimization NACC Region, Estimated Savings⁴⁴

⁴¹ Although the title of the project implies a focus on the North American and Caribbean States, the project has engaged all NACC Member States

⁴² [Information Paper, GREPECAS/19 – IP/13](#)

⁴³ Civil Air Navigation Services Organisation (CANSO) Air Traffic Flow Management (ATFM) Data Exchange Networks for [the] Americas

⁴⁴ Estimation of one year of savings based on 12 days of data.

Baseline vs Trial		
Savings	12-day	1 year
Flight (mins)	116	3528
CO2 (lbs)	12,479	379,570
Fuel (kg)	17,887	544,057
Cost (\$)	15,325	466,138

Source. NACC RO, Optimization Task Force, 2023⁴⁵

95. In relation to the development and measurement of progress against regional air navigation priorities, a major achievement by the RO has been its contribution to the significant reduction of air navigation (AN) deficiencies. At the beginning of 2017, NACC RO had documented 503 deficiencies that had been carried over from 2016. ⁴⁶ As of December 2017, the total number of deficiencies had been reduced by 6.16 percent (31 deficiencies) to an aggregate 472 deficiencies. An additional reduction between Business Plan Period 2017-2019 and 2020-2022 was reflected in a documented 101 air navigation deficiencies in 2022, from a high of 364 deficiencies in 2019.
96. To support the identification and reduction of AN deficiencies through results monitoring, GREPECAS received support from NACC RO to develop its Air Navigation Services (ANS) Dashboard to track key indicators. In 2021, therefore, the RO collaborated with GREPECAS to facilitate the review of ANS deficiencies. The review was completed in 2022 and the results from the process were uploaded to the GREPECAS Dashboard for deployment.
97. Except for the final approval of the CAR/SAM Air Navigation Regional Plan Volume III and the NAM/CAR Air Navigation Regional Plan Volume II, which was postponed, ⁴⁷ NACC RO completed all activities in Air Navigation Capacity and Efficiency. There has been a backlog, however, in the development of NANPs by Member States.
98. NANP focuses on national planning and aligns with the GANP, ICAO's highest air navigation strategic document, and the Regional Air Navigation Plan (regional ANP). NANP is developed by States, in coordination with relevant stakeholders, as a strategic part of their national development plans. The development of the NANP is crucial for facilitating the common vision for global air navigation at the State level. ⁴⁸ NANP is the reference document for State investment in national air navigation infrastructure using the Aviation System Block Upgrades (ASBU) methodology of the GANP.
99. To support the State-level application of the ASBU methodology, NACC RO collaborated with the Aviation Navigation Implementation Working Group (ANI/WG) ASBU Taskforce to conduct three regional workshops in 2018. ⁴⁹ States that participated in the workshops received support to successfully develop their draft NANPs. ⁵⁰ ASBU methodology allows States to advance their

⁴⁵ <https://www.icao.int/NACC/Documents/Meetings/2023/AOTFCIIFRA/AOTF2ATFMTF4CIIFRA6-P02.pdf>

⁴⁶ See Vol. II, Appendix 7

⁴⁷ CMRT database, 2023

⁴⁸ <https://www4.icao.int/ganpportal/>

⁴⁹ The workshops were held in Mexico (March 2018), Honduras (August 2018) and Barbados (November 2018).

⁵⁰ <https://www.icao.int/NACC/Documents/Meetings/2022/NACCWG7/NACCWG7-WP08.pdf>

air navigation capacities based on their specific operational requirements to ensure global harmonization, increased capacity and improved environmental efficiency.⁵¹ As the methodology is updated in six year blocks, the latest update (the 7th Edition of ASBU) was scheduled for approval at the 41st ICAO Assembly in September/October 2022.

100. NACC has been providing State-level support for the development of the NANP as part of an ongoing process that has been funded under the MCAAP. In 2018, NANPs had been developed by most NACC States but they are still in draft form. As of 2023, NANPs are being developed by five Member States (the Bahamas, Cuba, Grenada, Jamaica and Saint Kitts and Nevis).⁵² The draft NANPs were developed using the 5th Edition of ASBU, and the updating of the NANPs using the 6th Edition of ASBU was postponed as a result of the COVID-19 pandemic.⁵³ As the 7th Edition of ASBU was scheduled for approval during the ICAO 41st Assembly (27 September – 7 October 2022), the ASBU Taskforce recommended State completion of the updates following the release of the 7th Edition of ASBU.⁵⁴ The aim was to ensure NANP compliance with the 7th Edition of GANP. Considering the backlog in NANP completion, however, there is a question of whether NACC RO has conducted adequate follow up to determine whether States require further support to develop their aviation plans.
101. There has been insufficient evidence within the Regional Operating Plan) to confirm whether four planned activities were fully implemented during 2017-2022. In 2017-2019, there was limited evidence of the implementation of: regional agreements, decisions and recommendations for ATN; decisions and recommendations for the AIM Taskforce; and the regional coordination of frequency assignments.
102. In 2020-2022, there was also limited evidence to show that NACC RO had fully implemented its planned activity for the regional coordination of frequency assignments. While this does not negate the possibility that the RO met its expected results targets in these areas, there has been no concretized evidence for the evaluation to conclude that the identified planned activities were fully implemented and/ or achieved.⁵⁵

Strategic Objective 3: Security and Facilitation

Finding 8: NACC RO has provided tailored technical assistance and guidance to NACC Member States, in combination with capacity-building opportunities, to enable States to achieve the GASeP targets for aviation security. Many States within the region have not, however, conducted risk assessments and the region as a whole has been below the global USAP EI average and the GASeP target.

103. Strategic Objective 3: Security and Facilitation was used to implement planned activities in 10 results areas:

- Support to States to implement SARPs Annex 17 and Annex 9;
- Support for the effective implementation of the USAP-CMA Programme;

⁵¹ [https://www.icao.int/EURNAT/Pages/Aviation-System-Block-Upgrade-\(ASBU\)-Implementation-Monitoring-Report-.aspx](https://www.icao.int/EURNAT/Pages/Aviation-System-Block-Upgrade-(ASBU)-Implementation-Monitoring-Report-.aspx)

⁵² <https://www.icao.int/NACC/Pages/regional-group-ASBU.aspx>

⁵³ <https://www.icao.int/NACC/Documents/Meetings/2022/NACCWG7/NACCWG7-WP08.pdf>

⁵⁴ <https://www.icao.int/NACC/Documents/Meetings/2022/NACCWG7/NACCWG7-WP08.pdf>

⁵⁵ See Vol II, Appendix 7, for a full analysis of the results that have been reported in the Regional Operating Plan

- Representation of ICAO in meetings on aviation security and facilitation;
- Coordination and support for the ICAO Aviation Security Training Centres (ASTCs);
- Management and development of aviation security assistance activities in States;
- Assistance to States to develop aviation security and facilitation (including TRIP/MRTD) assistance projects;
- Promotion of international cooperation on facilitation matters;
- Contribution to the implementation of the Resource Mobilization Strategy.
- Promote membership of the ICAO Public Key Directory; and
- Support for GASeP implementation/ Representation of ICAO in AVSEC/FAL meetings.⁵⁶

104. The planned activities for Security and Facilitation included: 1) the implementation of the GASeP roadmap; 2) AVSEC assistance and capacity-building for States; 3) Support for State use of the ICAO Public Key Directory; 4) regional donor identification and project development; 5) improved service delivery to States; 6) tailored assistance missions to States; 7) reflection of ICAO and State priorities in external policies; 8) SSeC resolution; 9) timely support to Aviation Security Training Centres (ASTCs); 10) audit support; 11) dissemination and promotion of policies, guidance and assistance; and 12) the implementation of risk management in AVSEC/FAL activities.⁵⁷
105. NACC RO support to Member States for the effective implementation of the USAP-CMA programme, has involved pre-audit liaison, audit participation and post-audit follow-up. The RO provided pre-audit support to 19 NACC Member States.⁵⁸ NACC RO also made good progress towards the achievement of its planned results in the provision of support for GASeP implementation/ Representation of ICAO in AVSEC/FAL meetings.⁵⁹
106. The results of the USAP-CMA Audit identified SSeCs in two NACC Member States during 2017-2019 and 2020-22. NACC RO provided contextual support to both States, including onsite assistance, for the development and implementation of action plans to resolve each SSeC. Based on the support that was provided, the SSeCs were declared mitigated by the ICAO ICVM in each Member State in 2022.
107. The SSeC mitigation process was especially difficult for one of the States. This was the first time the State had been audited and two SSeCs had been identified. To facilitate the mitigation of the identified deficiencies, significant policy and physical changes were required. NACC RO provided State-level support for the retraining and certification of staff. The RO also provided guidance for staff hiring and the updating of existing equipment, to ensure that the minimum conditions for the new job requirements were met. Efforts to meet required standards were delayed by the COVID-19 pandemic, but the RO provided support through virtual meetings to enable the State to develop and implement a Corrective Action Plan. NACC RO also facilitated access to required trainings. While the immediate result of the support took the form of newly employed and trained personnel, newly acquired and/ or updated equipment and new processes, the impact of the support from NACC RO was the mitigation of both SSeCs. As an unforeseen impact of NACC RO support, one of the safety compliance officers who received training acquired a new position in Accidents and Investigations.

⁵⁶ Paraphrased from NACC Regional Operating 2017-19 and 2020-22

⁵⁷ See Vol. II Appendix 7 for a detailed description of each planned activity

⁵⁸ ICAO 2022. Analysis of Audit Results. USAP-CMA. 12th edition

⁵⁹ See Appendix 7 for an overview of the key regional achievements in Security and Facilitation

108. In support of GAsEP implementation and representation at AVSEC meetings, NACC RO contributed to the operationalization of the Regional GAsEP Roadmap, to enhance aviation security at the regional level based on a harmonized approach. The RO has proactively facilitated State access to webinars and workshops on aviation security and has used the SAP as a tool to identify and address the needs and priorities of NACC Member States. During 2021-2022, the RO engaged Spanish-speaking and English-speaking States in a series of workshops on security culture and human capability, as well as cybersecurity and new threats, the latter of which includes sessions on cyber security, landslide security and drones.⁶⁰ The RO also assisted 18 States, comprising a mix of Spanish-speaking and English-speaking States, in cybersecurity matters.⁶¹ To fulfil its responsibilities as a representative for ICAO at AVSEC/FAL meetings, NACC RO also provided Secretariat support.

109. The RO also facilitated the following activities:

- The execution of risk assessments in identified NACC Member States.
- Virtual AVSEC/ FAL assistance based on the State Action Plan of individual Member States
- Provision of support to Member States for the development of biosecurity procedures and the enhancement of the States Facilitation Committee for implementing the Council Aviation Task Force (CART) measures.
- Facilitation of webinars and seminar to States to support the harmonized implementation of the CART measures, as well as the tracking of the CRRIC.
- Onsite and virtual assistance to Member States (Guatemala, Honduras, Mexico) to raise State security awareness capacity and support States to implement risk assessments.
- Successful Completion of Honduras ASIP and ASIP assessment in Guatemala with positive results.
- All planned USAP-CMA activities in the region completed on schedule.
- All planned ICAO training activities at ASTCs successfully completed.
- AVSEC/FAL assistance missions successfully conducted in four States.
- 4 Workshops and Seminars completed in 2018 on Cybersecurity, Security Management Systems and Facilitation.⁶²

110. Significantly, NACC RO also developed several project proposals to address the need for increased capacities in aviation security and facilitation at the level of the Member States. The proposals have also been designed to guide the RO towards providing the level of support that States require. Although project implementation was delayed because of the COVID-19 pandemic, implementation activities and/ or proposal approval has resumed during post-pandemic recovery. Examples of the projects include:

- Implementation of the One Stop Security Shop (OSS): The aim of the project is to improve the passenger experience by avoiding the unnecessary duplication of security controls during passenger transit and transfer and increasing the global sustainability of the aviation security system.
- ICAO Risk Assessments in the Caribbean Region: The objective of this project is to provide a more guided approach to build the capacity of States to conduct risk assessments. Project implementation will be based on a harmonized methodology and will include missions to

⁶⁰ <https://www.icao.int/NACC/Documents/Meetings/2018/CSEC/CybersecurityWorkshop-FINALReport.pdf>

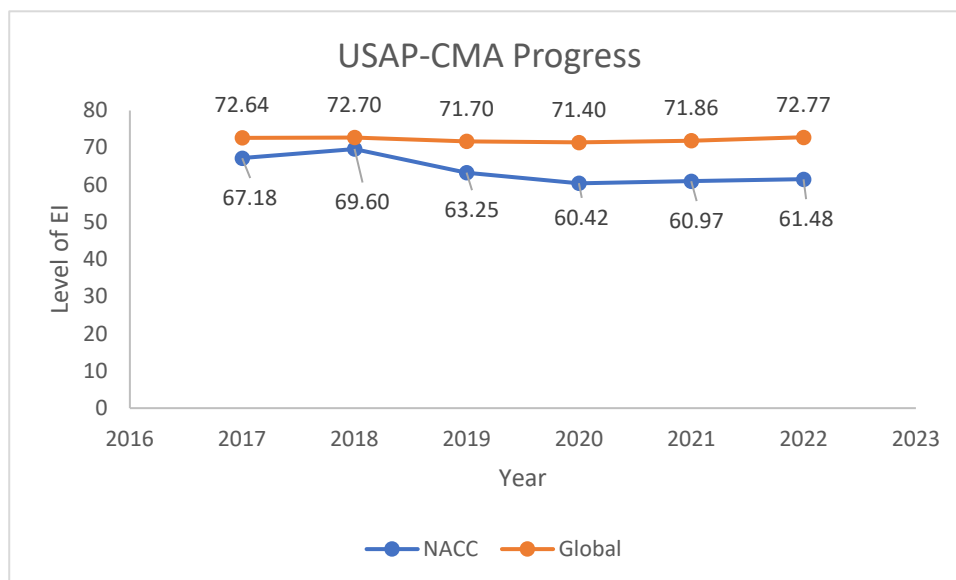
⁶¹ See Vol. II, Appendix 7

⁶² Annual Report on Regional Offices' Activities and Operating Plan (2018-2022)

individual States for the exchange of knowledge and good practice by aviation security experts. The rationale for the project has been the low evidence of the initiation of risk assessments by Member States following their participation in RO-facilitated trainings on conducting a security risk assessments.⁶³

111. Although the results for this target area indicate several instances where NACC RO has exceeded the established targets, the evaluation has taken note of a discrepancy in the reported results which would require clarified reporting. The results of the Regional Operating Plan have indicated that a total of 12 Spanish-speaking States were engaged during the security culture workshop. The target for the planned activity has further shown that Secretariat support for the AVSEC Regional Group was provided by NACC RO in collaboration with SAM and the Latin American Civil Aviation Commission. As there are only nine Spanish-speaking NACC Member States (8 Contracting States and 1 territory), it is unconfirmed whether the reported results include NACC RO support to non-NACC Member States. Alternatively, it is unconfirmed whether the workshop was open to participants from the SAM region or individual NACC Member States were represented by more than one participant during scheduled events.
112. As a further development in Security and Facilitation, all 22 NACC Member States were audited under the second cycle of the USAP or the USAP-CMA.⁶⁴ The level of EI for the NACC region, in relation to the critical elements (CEs) of the Aviation Security Oversight System, demonstrated a marginal increase between 2017 and 2018, followed by a steady decline between 2018 and 2020. There were also marginal increases during 2020-2022. This pattern was reflected in the global EI trend (see Figure 5).

Figure 5: USAP-CMA Progress, 2017 – 2022



Source: Data extracted from ICAO 2022. Analysis of Audit Results. USAP-CMA. 12th edition

⁶³ Project proposals provided by NACC RO, May 2023

⁶⁴ The results of the second cycle of USAP audits were used to launch the USAP-CMA. (ICAO 2022. Analysis of Audit Results. USAP-CMA. Twelfth edition (Internal document)).

113. The results of the USAP-CMA audit have also shown that less than half of the NACC States met the targets of the Global Aviation Security Plan (GASeP) in relation to the level of EI (see Table 4).

Table 4. NACC progress towards GASeP targets

	Item	Result
1.	No. of States	22
2.	No of States audited	22
3.	No. of States with EI over 65 % (GASeP target: 80% of States by 2020)	8
4.	% of States with EI over 65%	36.36%
5.	No. of States with EI over 80% (GASeP target: 80% of States by 2023)	4
6.	% of States with EI over 80%	18.18%
7.	No. of States with EI over 90% (GASeP target: 100% of States by 2030)	3
8.	% of States with EI over 90%	13.64%

Source: ICAO 2022. Analysis of Audit Results. USAP-CMA. 12th edition

114. A breakdown of results by each of the eight CEs has further indicated that the lower scores for the NACC region were in the CEs for: personnel qualifications and training (CE-4), the provision of technical guidance tools and security-critical information (CE-5), certification and approval obligations (CE-6), quality control obligations (CE-7), and the resolution of security concerns (CE-8).⁶⁵ As this pattern has also been reflected in the global results,⁶⁶ the results indicate that CEs requiring attention at the State level are areas of challenge globally.
115. The NACC region is below the global average for the three main aviation security indicators: 1) the Sustainability Indicator, which pertains to the average level of EI of the eight CEs of an aviation security oversight system, 2) the Compliance Indicators for Annex 17 Standards and 3) the security-related Standards of Annex 9. While the results for the Sustainability Indicator are based on the USAP second cycle and the USAP-CMA audit results, the results for the security-related Standards of Annex 9 are based on the USAP-CMA audit.
116. The gap between the global and NACC regional averages in aviation security raises a question on whether more targeted support is needed within the NACC region to enable States and the region as a whole to attain the global and regional targets. A further consideration is whether support that is provided to facilitate this objective should, of necessity, focus on identified CEs and promote increased State-level assessments of risk. Although NACC RO has engaged Member States in trainings on risk assessments, post-training follow up with the Security Point

⁶⁵ CE-1 to CE-3 refer to primary aviation security legislation, aviation security programmes and legislation, and state appropriate authority for aviation security and its responsibilities.

⁶⁶ ICAO 2022. Analysis of Audit Results. USAP-CMA. 12th edition

of Contact across NACC Members States has indicated that very few States conduct risk assessments.⁶⁷ In addition to the implications for State-level aviation security, there is an added implication for the performance of individual States during the USAP/ USAP-CMA Audit.

117. In general, from the planned activities in the Operating Plan of 2017-2019, the RO contributed towards the implementation of planned activities in five areas: dissemination and promotion of policies, guidance, and assistance; the implementation of risk management in AVSEC/FAL activities; AVSEC assistance and capacity-building for States; audit support; and regional donor identification and project development. In 2020-22, NACC RO implemented/ achieved its targets for planned activities associated with the provision of audit support to Member States. The RO further contributed towards the implementation of planned activities for: AVSEC assistance and capacity-building for States; the implementation of the GAsEP roadmap; timely support to Aviation Security Training Centres; and tailored assistance missions to States.
118. There was less evidence within the Regional Operating Plan, however, to indicate that the following planned activities were fully implemented in 2017-2019: SSeC resolution; regional donor identification and project development; improved service delivery to States; and support for State use of the ICAO Public Key Directory. Similarly, in 2020-2022, the Regional Operating Plan provided less evidence of the reflection of ICAO and State priorities in external policies. While the identification of planned activities for which there has been less evidence of implementation appears to contradict the earlier discussions in this sub-section, they highlight the inadequate use of the results reporting framework (see Finding 4). The issue for consideration, therefore, is that the results that have been reported within the Regional Operating Plan do not adequately reflect the effectiveness of NACC RO intervention activities (see Finding 5).

Strategic Objective 4: Economic Development of Air Transport

Finding 9: While there have been examples of the measures that have been taken by individual States to initiate economic development through the aviation industry, the extent to which State-level progress can be attributed to the support of NACC RO is debatable, given the role of government policy on State planning and the emergent results.

119. Strategic Objective 4: Economic Development of Air Transport was established to facilitate activities under three results areas:
- Assistance to States to follow ICAO's policies, guidance and Regional Action Plans, and monitor and report significant developments on air transport;
 - Support to States for civil aviation forecasting, economic planning, and statistics, and the sharing of data/information; and
 - Cooperation with regional civil aviation bodies/organizations to maximize synergies that ensure efficient and cost-effective assistance to States.⁶⁸
120. The planned activities for the economic development of air transport involved: 1) the dissemination and promotion of policies and guidance; 2) reports on air transport policy initiatives; 3) support for economic forecasting, 4) planning and statistics; 5) the creation of an inventory of statistics and forecasts; 6) the reflection of State priorities in external policies; 7) the

⁶⁷ NACC RO Proposal 'ICAO Risk Assessments in the Caribbean Region,' Version 2.0, 24 March 2023.

⁶⁸ Paraphrased from NACC Regional Operating 2017-19 and 2020-22

identification of needs in the region; and 8) partnerships with non-governmental organizations and lending agencies.⁶⁹

121. During 2017-2019 and 2020-2022, NACC RO interacted with Member States throughout the region to provide technical assistance and context-specific guidance, as required. This approach involved SAP implementation, as well as the provision of guidance in response to requests from Member States.
122. NACC RO contributed to the creation of initial linkages with potential project donors, the sharing of knowledge and tools with States, and the creation of a negotiation platform in the area of air services.⁷⁰ By engaging a sample of donor institutions and industrial partners in discussions on the post-pandemic recovery of the aviation sector, NACC RO has created scope for financial partnerships to support the continuation of ICAO's mandate within the NACC region. Knowledge-sharing and the dissemination of tools among States are also important for enhanced service delivery and efficient aviation management.
123. At the time of the evaluation, there was no dedicated regional officer for the economic development portfolio.⁷¹ There were also no concretized examples of NACC RO support to individual States to further develop their revenue-creation prospects in aviation. While there are positive examples of States that have increased their revenue by investing in the expansion of the aviation sector, the contribution of NACC RO to the resultant benefits cannot readily be determined.
124. NACC RO has actively shared information on the Dominican Republic as an example of a successful business case in relation to economic forecasting and planning. The Dominican Republic has experienced consistent growth in the air transport market.⁷² Between 1996 and 2018, the number of foreign passengers increased from 70 percent to 78 percent, and in 2018 freight accounted for approximately 126.6 million kilograms (83.3 million exports and 43.3 million imports). The cargo generated USD \$5.09 billion (FOB value⁷³), which represented 20 percent of total import and exports from the Member State.
125. While it is likely that support from NACC RO has contributed to the economic growth of the State, a major factor in the economic transformation of the Dominican Republic has been governmental policy reform. Law No. 491-06 (December 2006), followed by two amendments (Law 67-13 and Law 29-18) contributed to the liberalization of the State, resulting in an increased number of agreements between the Dominican Republic and other countries (66 countries).
126. NACC RO also provided guidance to Belize for facilitating political will, in terms of engaging the interest of the government in recognizing the importance of aviation. As a result of the support that was received, the Belizean government expressed interest in developing an aviation city hub. The process will involve conducting further research to include a cargo hub to allow for further economic diversification. This is an important development for the State as it can be classified as one of the countries that has had a late recognition of the importance of aviation. As Belize has had less developed aviation products, it has been challenged financially to facilitate capacity-

⁶⁹ See Vol. II Appendix 7 for a detailed description of each planned activity

⁷⁰ See Appendix 7 for an overview of the key regional achievements in the economic development of air transport

⁷¹ Support for Strategic Objective 4: Economic Development of Air Transport was being provided by the NACC RO Deputy Regional Director. (See paragraph 143).

⁷² ICAO, 2020. Air transport case study the impact of aviation reforms in the Dominican Republic: A model of socioeconomic growth and development

⁷³ Free on-Board value – the value of the goods at the export frontier/ shipment point (Eurostat 2014).

building and acquire necessary staffing. Country missions that were conducted by the NACC RO Regional Director to Belize in the past were used to engage the government in discussions. This approach urged the government to prioritize aviation, including through the devolution of the department of aviation.

127. The Regional Operating Plan has shown that NACC RO facilitated planned activities in relation to: the dissemination and promotion of policies and guidance; support for civil aviation forecasting, economic planning, and statistics; and the identification of needs in the region, during 2017-19. In 2020-22, the RO also contributed to its planned activities for the dissemination and promotion of policies and guidance. Results reporting by NACC RO under Strategic Objective 4 has not, however, provided adequate details of results achieved (e.g., the nature of support provided, details of partnerships, etc.) for its other planned activities.

Strategic Objective 5: Environmental protection

Finding 10: NACC has provided support to Member States to facilitate the implementation of CORSIA and build the capacity of States to develop their State Action Plans. There has been limited evidence, however, of follow up support by the RO to States to ensure that implementation occurs.

128. Strategic Objective 5: Environmental Protection was designed to facilitate planned activities in five results areas:

- Cooperation with regional civil aviation entities to maximize synergies for efficient and cost-effective assistance to States;
- Development and implementation of State Action Plans on CO₂ emissions reduction;
- Assistance to States to implement Annex 16 and provision of guidance to assess environmental benefits for operational improvements.
- Cooperation with regional organizations and representation of ICAO in meetings on environmental protection; and
- Capacity building and assistance to States for CORSIA implementation, including infrastructure development.⁷⁴

129. The planned activities in environmental protection included: 1) regional trainings on relevant topics, including CORSIA and the establishment of a Monitoring, Reporting and Verification System; 2) the reflection of ICAO and State priorities in external policies and the identification of regional needs; 3) partnerships with nongovernmental organizations and lending agencies; and 4) the dissemination of policies and guidance for the use of the ICAO Fuel Saving Estimation Tool (IFSET).⁷⁵

130. NACC RO contributed towards the achievement of its planned activities/ deliverables in several areas.⁷⁶ During 2017-19, the RO facilitated a seminar for NACC Member States on the State Action Plan and facilitated a partnership between ICAO and UNDP for the implementation of a pilot project on renewable energy at two airports in one NACC Member State (Jamaica).⁷⁷ A

⁷⁴ Paraphrased from NACC Regional Operating 2017-19 and 2020-22

⁷⁵ See Vol. II Appendix 7 for a detailed description of each planned activity

⁷⁶ See Appendix 7 for an overview of the key regional achievements in environmental protection

⁷⁷ https://www.icao.int/environmental-protection/Pages/ICAO_UNDP_Pilotproject.aspx

partnership between ICAO/NACC and the European Union on capacity-building for the mitigation of carbon emissions from international aviation ended in June 2019. The partnership engaged two countries from the NACC region (the Dominican Republic and Trinidad and Tobago) and 12 African States.⁷⁸

131. In September/October 2022, NACC RO and Member States of the NACC region participated in the 41st Session of the ICAO Assembly. The 41st Session of the Assembly facilitated high-level meetings on a long-term aspirational goal for the reduction of international aviation carbon emissions. While NACC Member States participated in these meetings, several regional aviation bodies (e.g., ALTA; CASSOS, COCESNA; IATA) were in attendance as observers.
132. In collaboration with ICAO HQ, the RO supported and encouraged Member States to participate in the [ICAO Assistance, Capacity-building and Training on the Carbon Offsetting and Reduction Scheme for International Aviation \(ACT-CORSIA\)](#) programme. By 2022, 15 of the NACC Member States (68.18 percent) had volunteered to participate in ACT-CORSIA. The RO facilitated access by these States to the CORSIA Registry and provided guidance for the timely and proper submission of State data on carbon dioxide (CO₂) emissions.
133. Following the June 2022 launch of the [ICAO Assistance, Capacity-building and Training for Sustainable Aviation Fuels \(ACT-SAF\) programme](#), States received further assistance from the RO to develop/ update their State Action Plans. Newly appointed State Action Plan and CORSIA focal points received training on the State Action Plan initiative, the ENV tools, CORSIA requirements and other relevant tools. Seventeen (17) States (77.27 percent) also registered to participate in the ACT-CORSIA Programme, through Buddy Partnerships that provide support to States for the development of their State Action Plan on CO₂ Emission Reduction Activities. In general, the support is provided by States that have already submitted their plans, however, Members States that are in Central America have received support from Spain.⁷⁹ As a result of its work in this area, 30 percent of the Member States updated their SAP plans in 2021, followed by an additional 25 percent of Member States in 2022.
134. In order to limit and reduce the impact of aviation on the global climate, Member States prepared State Action Plans, to take action and advance initiatives on environmental protection. Fourteen (14) NACC Member States submitted their State Action Plans, and eight of these States updated their plans more recently. As the remaining eight States/ Territories have not yet submitted their action plans,⁸⁰ the issue to consider is whether follow-up by NACC RO could be initiated to provide support to these eight States for the development and implementation of their State Action Plans.
135. **There** has been approximately 72 per cent implementation of CORSIA by NACC Member States. NACC has made efforts to work with the Member States to facilitate quality implementation of CORSIA in the region. The main challenge for States relative to implementation, however, has been monitoring, reporting and verification. The situation continues to be analysed by NACC RO as there are tools that can be used to address this challenge. Member States were advised of these tools during the regional trainings for the State Action Plan and CORSIA focal points, including the location of the tools in the [ICAO Environmental Tools Suite](#). A possible reason for

⁷⁸ https://www.icao.int/environmental-protection/Documents/ICAO-EU_Project_FinalReport.pdf

⁷⁹ <https://www.icao.int/NACC/Documents/Meetings/2022/NACCDCA10/NACCDCA10WP35.pdf>

⁸⁰ https://www.icao.int/environmental-protection/Pages/ClimateChange_ActionPlan_FactsFigures.aspx

the lack/ low usage of the tools by Member States is the informal delivery of the trainings, as the main topics were delivered by teleconference.

136. Document review and stakeholder consultations have shown that NACC RO facilitated several interventions in Environmental Protection. Within the Regional Operating Plans, however, evidence of the contribution of NACC RO to its planned activities has been limited to regional trainings in 2017-2019 and 2020-2022. There has been no concretized evidence to indicate that NACC RO implemented its other planned activities in the area of Environmental Protection during 2017-2022.⁸¹
137. As the RO has facilitated access to pertinent information, trainings, and follow-up support to States, it has contributed to the fulfilment of some of its responsibilities in environmental protection. States are required to implement follow-on actions to ensure that ICAO's goals in this results area are achieved. The question that emerges, therefore, is whether States are getting adequate support from the RO to remain committed to the implementation of their responsibilities in environmental protection. There is also a question on whether there are resource challenges at the RO and State- level, particularly in relation to human resources, budget and time commitment, that have contributed to moderate regional progress in environmental protection.⁸² As an additional consideration, there is a question of whether environmental protection has been prioritised at the RO and State levels. As NACC RO has committed to continue its support for NACC Member States, in alignment with the evolving commitment of ICAO to environmental protection, there is scope for increased results in this strategic area.

Efficiency

138. **Efficiency** was measured as the extent to which there was an economic use of resources for results achievement, to avoid the duplication of effort, as well as to facilitate partnerships with regional actors (e.g., the FAA) to enhance resource use.

⁸¹ See Vol II, Appendix 7, for a full analysis of the results that have been reported in the Regional Operating Plan

⁸² Issues pertaining to resource challenges are addressed under Efficiency (see Finding 11)

Finding 11: Although NACC RO has provided timely contextual support to NACC Member States in response to identified needs, the capacity of the RO to maintain its level of responsiveness has been challenged by budget and human resources limitations.

Human resources

139. NACC RO is staffed by a team of competent and experienced officers, who have provided the level of technical and administrative assistance that is required to support State contributions towards ICAO's strategic objectives. Support to NACC Member States is provided in each strategic area and involves site visits through country missions, virtual consultations and collaborations, informational resources and access to opportunities for training, capacity building, networking, etc.

140. Stakeholder consultations across the ICAO/NACC portfolio (ICAO HQ, NACC RO, and NACC Member States) have shown that NACC RO has generally provided timely responses to emergent stakeholder enquiries. In the event of delayed responses from regional officers, NACC RO has usually taken steps to facilitate the required consultations and provide necessary information and guidance. Technical assistance to States has also been tailored to address identified needs at the State level.

Stakeholder feedback on the quality of NACC RO support

The regional office was always ready to assist

We got tremendous support from the regional office in different areas.

The quality of the training:

- *is good*
- *is satisfactory*
- *complies with expectations for delivery and content.*

Source: Stakeholder consultations, NACC Member States

141. Examples of contextual support to States include the facilitation of action plans to mitigate SSCs and/ or SSeCs highlighted during the USOAP/ USAP audits, and the facilitation of access to trainings.⁸³ While there has been positive feedback from most stakeholders on the quality and timeliness of the support provided by the RO, there has been some concern about inadequate support. Stakeholders have expressed concerns, for example, about NACC RO reliance on virtual consultations instead of country missions prior to the COVID-19 pandemic and during the recovery period.⁸⁴

142. Significantly, the RO has faced a challenge of insufficient personnel. The NACC portfolio covers 22 countries and 19 territories. Except for the positions of Regional Director/Deputy Regional Director, the NACC RO work portfolio has been delegated to 10 regional officers, and one technical officer on secondment.⁸⁵ Several challenges have emerged from this situation.

143. As the RO lacks a dedicated regional officer for the Economic Development in Air Transport portfolio, the associated responsibilities were added to those of the Acting Regional Director/Deputy Regional Director. There is also no dedicated regional officer for the Environmental Protection portfolio. To enable the RO to fulfil its responsibilities in the area of

⁸³ NACC/DCA/10

⁸⁴ Reference is to stakeholder consultations during the evaluation

⁸⁵ At the time of the evaluation the position on secondment was about to be vacated, with a perceivable delay in replacement. The position of Regional Director General was also vacant (The new Regional Director was appointed on August 1, 2023).

Environmental Protection, therefore, the associated responsibilities were added to the portfolio of regional officer in charge of Aeronautical Meteorology.

144. The lack of adequate technical staff has created possible implications for the provision of timely support and follow-up to Member States. NACC RO uses the SAP to mitigate this challenge and monitor the process of providing required support.⁸⁶ The RO assigns one regional officer to a selected number of countries as a focal person, who engages assistance from other regional officers based on the area of technical need. As regional support is largely provided by technical area of specialty (e.g., Safety; CNS, MET, Security; etc.), there are few regional/technical officers to address emergent State/ Territorial needs within a limited timeframe. Although support has usually been timely, stakeholders have indicated instances where the RO has provided late responses to State enquiries.
145. NACC RO uses its existing human resources to actively seek additional funding for its work through proposal writing and discussions with potential donors.⁸⁷ The RO's progress in each area has been challenged, however, when staff need to address other workplace commitments.

Financial resources

146. RO programming is funded through the ICAO Regular Budget to facilitate access by NACC RO to the resources that are required for the fulfilling of its mandate. Given the need for the RO to access required expertise for its efficient and effective functioning, staff salaries account for the major proportion of the RO budget.⁸⁸ NACC RO has effectively used the allocated regular budget by ICAO HQ. Between 2017 and 2022 the RO received CAD\$ 27,909,204 from the regular budget and spent CAD\$ 22,823,060 (81.8 percent) during this timeframe. The RO also remained within budget annually.⁸⁹
147. To supplement, its existing financial resources NACC RO has actively engaged in discussions with potential donors (e.g., financial agencies) to promote projects that can be used to facilitate financial partnerships. Financial support that is acquired through this approach is forwarded directly to ICAO by each donor as voluntary funds.
148. Voluntary Funds are financial contributions from identified donors that are to be used to conduct specific activities and/ or attain specific objectives. The contributions are made on a voluntary basis and are established as individual funds that complement the ICAO Regular Budget. As the contributions are provided for specific purposes, pre-determined conditions for the use of each set of funds are usually established by donors. All voluntary contributions are established and managed based on the ICAO Policy on Resource Mobilization of Voluntary Funds.⁹⁰ Between 2017 and 2022, a total of CAD\$ 3,497,633 voluntary contributions were received and CAD\$ 3,061,714 (87.5 percent) was spent during this

Examples of Voluntary Funds:

- Aviation Security and Facilitation Fund (AVSEC/FAL)
- ICAO Fund for Aviation Security (SAFE Fund)
- Resource Mobilization Funds
- RO Cost Recovery Fund
- Voluntary Air Transport Fund

Source: ICAO Finance Office, 2023

⁸⁶ <https://www.icao.int/NACC/Documents/NACCNCLB/2NCLB-Concept.pdf>

⁸⁷ NACC/DCA/10. Examples of NACC RO project proposals are outlined under Finding 5

⁸⁸ See Vol. II, Appendix 9, Table A

⁸⁹ See Vol. II, Appendix 9, Table A

⁹⁰ <https://www.icao.int/annual-report-2019/Pages/global-partnerships-for-sustainable-development-resource-mobilization-rm-policy.aspx>

timeframe. With the exception of 2020, when actual expenditure exceeded the allocated budget, voluntary fund spending has been within budget annually.⁹¹

149. The voluntary contributions are used to establish several Funds (see textbox), some of which have regular contributing entities. As the contributions are provided voluntarily, however, they can be irregular and unpredictable, in terms of when they are provided and the amount of funding that is made available. At the start of the COVID-19 pandemic, for example, voluntary contributions fell by 58 percent between 2019 and 2022.⁹²
150. To support State resilience during and post-COVID-19, NACC RO in collaboration with CDI (the former TCB) disseminated iPacks to enable States to continue to implement the ICAO SARPs and address the CART recommendations for pandemic recovery (see Finding 2). As of August 2022, the total cost of iPack dissemination by NACC RO in the region was in excess of USD \$0.54 million.⁹³The RO has faced an additional challenge, however, of insufficient financial resources.
151. Prior to 2023, ICAO's regional offices only had access to ad hoc voluntary funds to support their project work. In 2023, however, the Implementation Support, Planning and Coordination Section of the Air Navigation Bureau (ANB) forwarded calls for proposals to all regional offices to encourage applications to the SAFE Fund. The rationale for the approach was the new ANB project-driven aim, which involved supporting results-based activities.
152. In 2022, NACC RO submitted nine applications to the [ICAO Fund for Aviation Safety](#) (SAFE Fund), however, none of them were approved. The applications by NACC RO were classified as deferred, not because of insufficient voluntary funds,⁹⁴ but because they lacked a clear problem statement, a justifiable rationale, clearly defined outputs, etc. On the one hand, there are conditionalities that are attached to the use of the SAFE Fund.⁹⁵ As the SAFE Fund is a reserve for voluntary financial contributions (from States and other donors), the associated conditionalities for the use of its funds are clear. SAFE Funds are provided to:
 - Support ICAO safety programmes in a responsible, consistent, transparent, efficient and timely manner;
 - Improve the safety of civil aviation by addressing serious safety deficiencies in countries with inadequate financial means; and
 - Equip ICAO with the management reserve required to act immediately and effectively on urgent safety issues and unforeseen events.⁹⁶

⁹¹ See Vol. II, Appendix 9, Table B

⁹² See Vol. II, Appendix 9, Table B

⁹³ NACC/DCA/10 and

<https://www.icao.int/NACC/Documents/Meetings/2022/NACCDCA10/NACCDCA10FinalReport.pdf>

⁹⁴While available data (See Vol. II, Appendix 9, Table B) has not confirmed a contribution to the SAFE Fund in 2022, there was an underspend of the total Voluntary Fund Budget in 2021. This implies that the remaining funds from 2021 carried over in 2022 and were accessible by SAFE Fund applicants, as there was documented expenditure for the SAFE Fund in 2022.

⁹⁵ The SAFE Fund was established through the voluntary contributions from donors and States for use in addressing safety deficiencies in countries that lack the resources. Significant emphasis is placed on transparency and accountability to funding recipients, as well as urgent attention to identified deficiencies.

⁹⁶ Adapted from <https://www.icao.int/safety/Pages/Safety-Fund-SAFE.aspx#:~:text=%E2%80%8BThe%20Fund%20for%20Aviation,transparent%2C%20efficient%20and%20timely%20manner.>

153. The NACC RO portfolio does not make the RO ineligible to access and use SAFE funding based on the conditionalities of the Fund. As indicated by the funding conditionalities, however, each funding application should constitute a clearly articulated proposal for addressing safety deficiencies that require urgent attention in countries with inadequate financial resources for mitigation. This general requirement is in keeping with the ICAO/ NACC RO mandate of NCLB.
154. On the other hand, NACC RO has unspent funds that were allocated to projects within the region that have not been completed. The unspent funds are in the amount of CAD \$112,437 for three projects in the NACC region.⁹⁷ While it is important for the RO to ensure that the project States benefit from the project activities on which the funds are spent, it is equally important for the RO to justify why additional funding is required. There is also a question of whether sufficiently clear instructions were provided to SAFE Fund applicants, along with feedback to unsuccessful applicants to inform re-application, as applicable.

Application of the SAP strategy

155. The positive aspects and challenges of the application of the SAP strategy emerged strongly from the analysis of the evaluation data. They are discussed in this sub-Section to complement the analysis that has been presented under the main evaluation criteria.

Finding 12: NACC RO has operationalized an approach to regional civil aviation management that combines support for SARP implementation with capacity-building opportunities, mentorship by Champion States and the sub-regional clustering of States by location. This approach is an example of good practice as it has addressed the contextual needs of the NACC Member States.

156. In facilitating the SAP, NACC RO has shown that it is possible, as well as important, to ensure that systematized implementation is also context specific. The SAP design has been built around a phased project management process, which has been used to ensure that NACC Member States attain the level of compliance with international standards that is required for safe civil aviation. As the implementation of the SAP involves developing an action plan to mitigate identified State-level deficiencies, there is scope to ensure that the systematic process is informed by contextual considerations. NACC RO has enhanced the support that is provided through the SAP by combining its standardized elements with context specific features, e.g., the incorporation of support from Champion States into the phased approach to implementation.
157. The importance of context has been demonstrated through the ECCAA intervention, during which NACC RO 'developed a strategy [that was] specifically tailored for the Eastern Caribbean ICAO Contracting States'⁹⁸ to mitigate an audit-identified SSC. By using this approach, the RO was able to ensure that the SAP addressed the unique circumstances of the ECCAA States, including the capacity of ECCAA, to provide support for the monitoring of implementation progress.

⁹⁷ Source: SAFE Fund Financial Status per Project: Fund balance as of June 2023

⁹⁸ <https://www.icao.int/NACC/Pages/NACC-SAP-ECCAA.aspx>

158. Included among the tailored elements of the intervention were trainings, virtual and onsite assistance, the distribution of iPacks, etc. (see Figure 5). As a result of the intervention, the SSC was declared mitigated in 2022.⁹⁹

Figure 6: Core Elements of the ECCAA Intervention



Source: www.icao.int

159. The capacity of the SAP to facilitate tailored support to Member States is invaluable for mitigating the contextual challenges to civil aviation management that exist within individual States. Context-specific SAP interventions are equally useful to address the wider challenges to effective aviation that affect the NACC region as a whole.

Finding 13: While the implementation of the Systemic Assistance Programme has supported context-specific aviation management at the State level, it has faced several challenges because of its audit focus, including the limited facilitation of the environmental protection and economic development portfolios within NACC RO.

160. Positive results that have been generated through the SAP approach have contrasted with several emergent challenges to effective civil aviation management at the State level and the harmonization of regional contributions to the global aviation goals. These challenges emerged during the tailored response of the SAP to the needs and priorities of individual Member States. It could be argued that the emergent challenges were unforeseen by-products of the intervention process. As possible risks to an intervention are identifiable during a calculated pre-intervention risk assessment, it would be reasonable to conclude that the challenges to SAP have been largely underestimated prior to SAP implementation.
161. SAP implementation has been structured around two issues: 1) increasing the effective implementation of the SARPs and 2) resolving SSCs and SSeCs within Member States¹⁰⁰. While this approach has supported the development of SEIs to address context-specific aviation safety and/ or security issues, it has also contributed to the inadequate facilitation of the Environmental Protection and Economic Development portfolios at the level of NACC RO. As a first emergent challenge of SAP implementation, therefore, the State Action Plan on CO₂ Emission Reduction

⁹⁹ NACC/DCA/10

¹⁰⁰ See paragraph 23 of this report

has been largely based on the achievement of audit results. This raises a question of whether SAP has been designed to adequately consider and promote actions by States to generate increased environmental protection and facilitate economic development.

162. The second challenge pertains to the high turnover of staff within civil aviation departments that are located within the government sector, given the lack of competitive remuneration. As a direct result of staff turnover, departments are usually understaffed and/or lacking in relevant technical expertise. The third emergent challenge is the existence of several civil aviation entities in some States. This situation raises a question of whether there is adequate coordination and collaboration for effective civil aviation management or whether each entity operates in silos, collaborating only, when necessary, for example during NACC RO-facilitated interventions.
163. A fourth challenge involves the clustering of countries by geographic location or based on a perception of commonality, such as language. With the exception of the Eastern Caribbean States that are represented by ECCAA, the NACC Member States are independent States that comprise the NACC region. Each Member State has its own CAA. There is an expectation of networking and collaboration across all States, to ensure that State-level activities contribute towards regional and global aviation goals under the direction of NACC RO. While there is a natural expectation that some States might engage in project partnerships or might be drawn to participate with certain States, there have been instances when States have addressed issues in clusters rather than as a region. This approach is counterproductive, as it can lead to polarization, as opposed to inter-regional collaboration.
164. A fifth challenge is linked to the difference in official languages between some Member States. The major languages in the region are English and Spanish, both of which are official UN languages. As meetings, trainings and other events by ICAO/NACC have been facilitated in both languages, States have had the opportunity to participate effectively. A growing problem, however, has been the dissemination of material in English to Spanish-speaking States, with emphasis on guidance material to inform audit preparation. There has also been inadequate consideration of language differences that exist between Spanish-speaking States, which lead to ambiguity in document translations.
165. As a sixth challenge, the audit process is intended to guide States towards SARP compliance. The critical components of the audit are the actual assessment and the corrective process that ensues after results are provided. While States are appreciative of RO support for preparation, there is a question of whether audit preparation provides a genuine picture of State deficiencies and level of compliance. This question is critical, given the possibility (and tendency) for States to request repeat audit deferrals. There are some States that require extensive support to attain acceptable levels of SARP compliance. It is more beneficial, however, for these States to be engaged by the audit process without prior preparation, to allow for the accurate identification of deficiencies followed by a programme of contextual support.

Countries have been arranging themselves in clusters based on issues that have been identified/ prioritized by one or more of them (e.g. Central American cluster; OECS cluster; Bahamas and US cluster; etc.)

Source: Stakeholder consultation, NACC RO

Finding 14: NACC RO monitoring of Member State SAP Action Plans by both the management (RD and DRD) and Regional Officers, involving a combination of reporting exercises and follow-up actions through monthly virtual meetings, is an example of good practice that facilitates timely support to Member States. The use of the Regional Operating Plan for results monitoring, however, is inadequate.

166. NACC RO has inadvertently established a set of reporting activities that facilitate regional results monitoring and complement the USOAP-CMA OLF that has been established by ICAO HQ. The reporting activities include, but are not limited to, the meetings of the Directors of Civil Aviation (DCA), follow-up reporting to the ICAO Council and audit preparation. Each activity has been used by States and/ or NACC RO to provide an overview of the key areas in civil aviation planning and management that require intervention. By initiating corrective action in response to identified safety or security deficiencies, audit preparation has enhanced the results monitoring approach.
167. In combination, the monitoring and reporting activities provide a diagnostic of State-level contributions towards the ICAO strategic objectives and/ or the critical elements (CEs) of the USAP-CMA. As they generate timely, relevant data for high-level decision-making, as well as a contextual response to SARP implementation, they constitute an example of good practice that has been operationalized by NACC RO. The follow-up monthly meetings by the regional technical officers and the Regional Director also constitute examples of good practice, as they facilitate follow-up for the implementation of the Member State SAP Action Plans.
168. The contribution of the NACC Member States to the results monitoring of SAP Action Plans is of use to NACC RO, to ensure that State-level deficiencies are adequately addressed through the regional portfolio. As an added critical value, State-level results monitoring is used to inform strategic decision-making by ICAO HQ.
169. For stakeholders who follow a standardized approach to results monitoring and reporting within their organizations, however, it can be challenging to adopt an alternative approach during interagency collaboration. It is important, therefore, that the NACC RO monitoring approach provides stakeholders with a variety of options to share their updates on SARP implementation. These options include meeting discussions; working papers and virtual presentations and allow NACC RO to collate pertinent information for further follow up, as applicable.

Finding 15: The inability of ICAO HQ to recognise ECCAA as the Civil Aviation Authority for the Eastern Caribbean reflects unaddressed gaps in the communication procedures that have been established across ICAO/NACC.

170. The Eastern Caribbean Civil Aviation Authority (ECCAA) is the designated oversight agency for civil agency in the Eastern Caribbean. ECCAA represents six Member States of the Organization of Eastern Caribbean States (OECS) and has been responsible for quality control and the regulation of the civil aviation industry on behalf of its Member States since 2004. While each Member State is responsible for its own aviation safety and security, ECCAA is responsible for developing action plans, initiating follow-up action, completing the ICAO Online Framework to support the monitoring of SARP implementation, etc. The Director General of ECCAA is also the Chair of the National Security Coordinators Committee.

171. The agency has had internal challenges regarding its regulatory function, as the Director General of ECCAA did not initially have delegated authority from the States to enact laws. As this situation was addressed, the Director General of ECCAA has now been jointly authorized by the OECS States to pass legislations that are in the interest of civil aviation in the Eastern Caribbean.
172. Consultations at the level of ECCAA and NACC RO have indicated that the RO has understood the role and responsibilities of ECCAA, relative to the fulfilment of the ICAO/NACC agenda in the Eastern Caribbean. As a result, the RO has been engaging ECCAA in the level of communication that is required to fulfil the ICAO/NACC agenda in the Eastern Caribbean. In contrast, communication from ICAO HQ to the Eastern Caribbean has been forwarded to ECCAA and the six Member States, contributing to a duplication of effort in relation to requests for the completion of forms, invitations to the Assembly and other ICAO events, etc.
173. The duplication of effort has resulted from the classification of ECCAA, by ICAO HQ, as a Regional Safety Oversight Organization (RSOO) and not as the CAA for the subregion. The role of the RSOO is different, however, from that of the CAA. While the CAA is responsible for regulatory oversight and engages in formal communication with the RO and ICAO HQ, the RSOO facilitates networking, collaboration, and knowledge exchange among Member States.
174. As consultations at the level of NACC RO have indicated that a letter on ECCAA's status had been shared with ICAO HQ 12 months prior to the evaluation, a gap in the communication channel between NACC RO and ICAO HQ is apparent. An inter-Bureau communication gap is also likely, as the ICAO website includes an entry on the ECCAA intervention that has identified ECCAA as the CAA for the OECS.¹⁰¹

Sustainability

175. As a measure of sustainability, the evaluation assessed whether there has been evidence of the long-term continuation of benefits following NACC RO support to Member States.

Finding 16: NACC RO has facilitated Member State access to opportunities for trainings, capacity-building, networking, and knowledge exchange to increase State capacity for effective civil aviation management. There has been more emphasis, however, on individual skills enhancement as opposed to system strengthening through institutional capacity-building.

176. NACC RO support to NACC Member States has included opportunities for CAAs¹⁰² to gain access to training, capacity building, networking, knowledge exchange, etc, to allow them to acquire new capacities that are relevant for enhancing civil aviation management. While the support for built capacities includes trainings and capacity-building sessions in online and in-person formats, it also includes access to guidance material, tools and technical assistance, including iPacks, to facilitate SARP implementation at the State level.
177. Examples of training opportunities that have been provided to Member States, to enable them to build their capacities in civil aviation management, include:
 - [ICAO Aviation Security Assistance and Training - Security Culture \(2022 - present\)](#): The Security Culture training is a virtual workshop that is based on collaboration between

¹⁰¹ <https://www.icao.int/NACC/Pages/NACC-SAP-ECCAA.aspx>

¹⁰² Within this context, CAAs refer to statutory authorities and civil aviation departs within the government sector.

ICAO (Implementation Support and Development Section – Security) and CAA International, the technical arm of the United Kingdom Civil Aviation Authority. As its main aim, the workshop is used to build upon best practices for developing, implementing and sustaining security culture principles. To support this process, the workshop provides participant access to the [ICAO Security Culture Toolkit and the ICAO Security Culture Campaign Starter Pack](#)

- [ICAO Innovation Webinar Series \(2021-23\)](#): This webinar series has been facilitated by ICAO HQ, with the support of international experts in civil aviation innovation. It was developed to engage participants over a three-year period to: 1) showcase innovations in aviation; 2) help participants understand the technologies, challenges and potential for them to deliver on the United Nations (UN) Sustainable Development Goals (SDGs) and ICAO's strategic objectives; and 3) enable the recovery and resilience of the aviation system.
- [Workshop on the Mitigation of Flight Plan Errors in the NAM/CAR Regions \(2021\)](#): The workshop was used to share information on the different causes of flight plan errors and reinforce the need for States to comply with ICAO regulations. To support the workshop objectives, real examples of the causes of flight plan errors were shared, along with the consequences on flight plan operations. Participating States also received information on the measures that had been implemented regionally to mitigate flight plan errors.
- [Unmanned Aircraft Systems Webinar for NAM/CAR/ SAM Regions \(2020\)](#): The aim of the webinar was to provide NACC Member States with relevant documents and tools to support the development of regulations on unmanned/ remotely piloted aircraft systems operations. Lessons learned and experiences from States within the region were also shared with the States that were represented at the workshop.
- [ICAO NAM/CAR and SAM Workshop on Cybersecurity in Aviation \(2018\)](#): The workshop was held at NACC RO and engaged 59 participants from 16 NACC States and Territories and five international organizations. The aim of the workshop was to promote a common understanding and comprehensive view of cyber threats in aviation among participants and familiarize them familiarize with the latest developments in cybersecurity, including best practices based on experience and views.
- [ICAO Environmental Regional Seminars for the NAM/ CAR and SAM Regions \(2023\)](#): These seminars built on the 41st session of the ICAO Assembly in September/October 2022, which established ICAO's long-term global aspirational goal (LTAG) for international aviation of net-zero carbon emissions by 2050. In preparation for the Third Conference on Aviation Alternative Fuels in 2023, ICAO organized a series of regional seminars, including for the NACC region, to raise awareness among States on pertinent issues for environmental protection relative to civil aviation. The seminar for the NACC region was held in the Dominican Republic in April 2023, and address issues such as the implementation of the LTAG, financing cleaner energy, the role of State Action Plans on CO₂ emissions reductions from international aviation, inter alia.

178. Stakeholder consultations at the level of Member States during the evaluation have highlighted an appreciation by States/ training participants of the training opportunities that have been facilitated through NACC RO. Using the above examples of training opportunities, a major issue to consider is that the trainings have been designed to engage individuals. There is likely to be an expectation (by ICAO/NACC and external training facilitators), that participants will incorporate acquired learnings into their agencies. This expectation is an assumption that is not guaranteed to occur.

179. On the one hand, anticipated knowledge sharing might not occur, especially if the agency does not have an established culture for the internal dissemination of information, knowledge and experience. If the training participant does not have the level of seniority and/ or work portfolio that allows for the facilitation of staff trainings, there might not be an opportunity for knowledge sharing following external training participation. In addition, if the training has not been contextualised to the needs of participants, there would be questions around its usefulness at the institutional level.
180. On the other hand, CAAs in the NACC region do not only face a challenge of inadequate technical experts. They are also constrained by high staff turnover, especially within the government sector because of uncompetitive remuneration (see Finding 13). As the government sector is usually unable to compete with the salary scales of the private sector, there has been a concern by government civil aviation departments about the loss of staff. In the absence of procedures for proper handover during the vacating of a post, there is a high risk for a loss of institutional memory, including the learnings that were acquired during trainings.
181. Interestingly, the challenge to knowledge sharing and built institutional capacities also applies to the dissemination of iPacks. Although iPacks have been distributed with the expectation that they will contribute towards built capacities within civil aviation authorities, there are other factors, however, that might lead to the non-implementation of the iPacks. These factors include institutional priorities on follow-up action and use of resources.
182. The combination of insufficient technical experts, high staff turnover, and no confirmation of institutional capacity-building further to training participation are major challenges to results sustainability. Within this context, institutional capacity-building and results sustainability both refer to the continuation of the acquired benefits from the trainings in the form of system building, the systematic enhancement of civil aviation management procedures, etc.

Finding 17: While NACC Member States have taken advantage of opportunities to enhance their capacities for effective SARP implementation and civil aviation management, the acquisition of built sustainable capacities at the State level has been challenged by budget constraints and institutional bureaucracy.

183. One of the major tasks of NACC RO has been the facilitation of opportunities for training and capacity building, including through online and/ or in-person formats. The rationale for each opportunity that is created is the enhancement of existing capacities for SARP implementation and civil aviation management by CAAs.

184. In theory, the possibility for stakeholder participation would be straightforward if all associated costs were met by external parties, (e.g., NACC RO) or there are no fees for participating. For stakeholders employed within the government sector of NACC Member States, an emergent constraint is usually the bureaucratic requirements of the government service.
185. Participation would be contingent, for example, on the acquisition of a formal contract between the training facilitator and the government department that is responsible for procurement. The inability of stakeholders to acquire this documentation would preclude their participation.
186. Given the limited budget of some agencies, some trainings are usually out-of-reach for interested stakeholders. These trainings include those that require overseas travel, including within the region, and the excluded stakeholders include government employees. As an example, while Member States have expressed appreciation for and interest in the ICAO Air Services Negotiation (ICAN) facility, some States have been unable to participate because of the need for overseas travel.

Stakeholder views on budget constraints and bureaucracy in their organizations

- There is also a lot of red tape that governs approval for participation e.g., before participating in online trainings, staff members need to receive a contract from the training agency for approval.
- As a result of the pandemic, the budget has been reduced by 50 percent.
- There is no budget for several activities.
- If the trainings are conducted in the sub-region, they are more accessible and affordable. If they are conducted elsewhere, the agency usually does not have the funds to facilitate access.
- The focus is also on remaining in budget.

Source: Stakeholder consultations, ICAO Member States

Cross-cutting theme: Gender

187. Gender was assessed as the extent to which there has been evidence of the incorporation of gender equality considerations into NACC RO support to Member States.

Finding 18: Although NACC RO has taken initial steps to integrate gender into its regional portfolio, the facilitation of an enabling environment for gender equality across ICAO/NACC is a work in progress.

188. NACC RO has participated in high-level regional discussions, through the NACC/ DCA meetings, on the need to promote gender equality in civil aviation by creating more opportunities for women. The contribution of the RO to this initiative has been informed by Resolution [A39-30 ICAO Gender Equality Programme promoting the participation of women in the global aviation sector](#), which was adopted in 2016 during the 39th Session of the Assembly. The Gender Equality Programme advocates a coordinated global effort for the effective implementation of its main objectives (see textbox). It was reaffirmed by the adoption of [Resolution A41-26](#) during the 41st Session of the Assembly in 2022, with a call for affirmative action, followed by the [Global Aviation Gender Summit](#) in 2023.

Main Objectives of the ICAO Gender Equality Programme:

- Build capacity and enhance awareness for gender equality
- Enhance gender representation
- Increase accountability
- Further engagement with external partners

Source: www.icao.int

189. The Gender Equality Programme reflects the ICAO commitment to the [United Nations 2030 Agenda for Sustainable Development](#), with emphasis on Sustainable Development Goal 5 (SDG5) for gender equality, given the centrality of gender to the UN mandate. Within this context, the role of NACC RO in supporting gender equality has been facilitative.
190. To operationalize the Gender Equality Programme at the regional level, NACC RO disseminated [Information Paper NACC/DCA/11-IP02](#) to the DCA within the region to inform the discussions of the Eleventh NACC/DCA Meeting in June 2023. The Information Paper provided an overview of Resolution A41-26. During the Tenth NACC/DCA Meeting in June 2022, NACC RO also facilitated discussions on increased regional collaboration between ICAO and the Caribbean Community, including the promotion of gender equality and inclusion. ICAO/NACC RO affirmed its commitment to promote gender during post-COVID-19 recovery.¹⁰³
191. There has been greater evidence, however, of State-led initiatives for integrating gender equality considerations into civil aviation management and programming. This does not negate efforts by NACC RO to create a gender balance in the male-dominated aviation industry.¹⁰⁴ In 2017, for example, NACC RO launched an initiative to encourage States and organizations to create 60 new opportunities in aviation for young women and executive positions for women who were already in the industry. As of June 2023, however, only 43 percent of NACC RO staff members (ten out of 23 staff members) are women, and only 13 percent of the staff (three staff members) are women in technical positions.
192. At the Member State level, the Dominican Republic has demonstrated national leadership in applying best practices for the inclusion and empowerment of women in aviation. The State's Institute of Civil Aviation (IDAC)¹⁰⁵ has formed strategic alliances with national and international entities (e.g., the Ministry of Women, local universities, the Women's Foundation for Aviation in the Dominican Republic, and the United Nations Development Programme – UNDP), to collaborate on the elimination of the existing gender gap in civil aviation. The approach has targeted the inclusion of a gender perspective in academic programmes and the joint development of policies and strategies to increase opportunities for women and facilitate gender equality.¹⁰⁶
193. Stakeholder consultations at the level of NACC RO and ICAO Members States during the evaluation have shown that States have been making efforts to increase the engagement of women in technical positions within the aviation industry. The process has included a review of working arrangements and provisions to facilitate equal access irrespective of gender. This information has been corroborated by desk review. In Costa Rica, for example, the Breaking Stereotypes initiative of the National Learning Institute was established to allow women to enter traditionally male-dominated professions. Quantitative targets that have been approved by Presidential degree have also been established in Cuba, by the National Programme for the Advancement of Women. All agencies within the Cuban aviation industry must include these targets in their organizational plans. As of June 2023, the target for technical and executive positions within the civil aviation industry (25 percent) had been attained.¹⁰⁷

¹⁰³ [Information Paper NACC/DCA/10 – IP/06](#)

¹⁰⁴ [ICAO Working Paper A40-WP/392](#)

¹⁰⁵ Institute of Civil Aviation, Dominican Republic

¹⁰⁶ [Information Paper NACC/DCA/09 – IP/12](#)

¹⁰⁷ ICAO Global Aviation Gender Summit, July 2023. [Compilation of Best Practices and Experiences in Enhancing Gender Equality in Aviation.](#)

194. Progress towards gender integration has been challenged, however, by stereotypes that exist across the NACC region.¹⁰⁸ While ICAO/NACC RO and NACC Member States continue their efforts to engage women in the aviation industry, the creation of an enabling environment to achieve this goal is a work in progress. OIO has a plan to conduct an evaluation of ICAO's Gender equality programme in the current triennium and this issue will be further explored, and recommendation could be forwarded, as relevant.

Cross-cutting theme: Human rights

195. The human rights criterion was measured as the extent to which there has been evidence of the incorporation of human rights considerations into the NACC RO portfolio.

Finding 19: While there have been no barriers to inclusiveness at the level of NACC RO and its Member States, there is limited evidence of an active approach towards strategic inclusion.

196. In line with the UN Charter, and as a regional arm of ICAO, NACC-RO is expected to operationalize its regional portfolio by adopting a human rights-based approach (HRBA) to programming. This work is supported by the [Universal Declaration of Human Rights](#), and by more than 20 general and subject-specific UN treaties. The focus is on eliminating all forms of inequality and discrimination within the NACC-RO portfolio through the integration of human rights considerations to promote, protect and respect fundamental human entitlements. Within this context, HRBA entails facilitating inclusiveness in the form of equal access to opportunities (e.g., during hiring and appointments; and strategic decision-making) irrespective of social identity (gender; race; class; etc.).

197. There has been no evidence of barriers to inclusiveness at the level of NACC-RO. While the evaluation notes that ICAO/NACC RO complies with the UN strategy on disability inclusiveness,¹⁰⁹ there has been no evidence of the active implementation of this strategy at the level of NACC RO. This does not negate the efforts that have been initiated by the RO at the project level to address the issue of disability inclusiveness. In line with post-COVID recovery, for example, NACC RO has resumed a project on the Establishment of General Guidelines and Best Practices for Passengers with Disabilities.¹¹⁰ Upon completion, the results of the project will be useful for informing further work on human rights policies at the level of ICAO/NACC and can be used to inform the harmonization of related policies at the State level.

198. Although there is some variation across Member States, individual States have taken steps towards facilitating inclusiveness. In December 2021, for example, the Civil Aviation Board of the Dominican Republic was recognized by the National Disability Council for its work on sensitization and awareness-raising about accessibility and universal design in transport facilitation processes. As a follow up to the 2011 General Act on the Inclusion of Persons with Disabilities, the Benito Juarez International Airport in Mexico has consistently supported inclusion

¹⁰⁸ <https://www.icao.int/Meetings/global-aviation-gender-summit-2023/Documents/Compilation%20of%20Best%20Practices%20and%20Experiences%20to%20Enhance%20Gender%20Equality%20in%20Aviation.pdf>

¹⁰⁹

https://www.un.org/en/content/disabilitystrategy/assets/documentation/UN_Disability_Inclusion_Strategy_english.pdf

¹¹⁰ <https://www.icao.int/NACC/Documents/Meetings/2022/NACCDCA10/NACCDCA10CoverPage.pdf>

and equality by hiring and training persons with disabilities for its Passenger Support Programme, and information services for national and international passengers.

CONCLUSIONS AND LESSONS LEARNED

Conclusions

199. The evaluation conclusions have emerged from the main findings of the assessment. They are presented by key evaluation criteria. The major challenge to the evaluation has been the lack of conclusive evidence on the achievement of actual results for comparison with planned results targets. This challenge derived from the inadequate use of the Operating Plan and the inconsistent approach to results monitoring and reporting, which created significant gaps in the data that was available for analysis.
200. Conclusion 1: The NACC RO regional operating plan has informed the implementation of the NACC regional agenda and has been relevant for ensuring that the needs of Member States are addressed during RO programming. As the operating plan is in the form of a performance monitoring framework, its strength has been its capacity to be used for results monitoring and reporting, to document RO progress towards the achievement of planned results. It has not been used effectively, however, for monitoring and reporting RO activities and results, which has implications for evidence-based decision making by ICAO/NACC RO. Linked to Finding 1, 4 and 5.
201. Conclusion 2: NACC RO was able to facilitate and harmonize a timely response to State needs during the COVID-19 pandemic. The joint efforts of ICAO HQ and NACC RO, to maximise the use of institutional resources during the pandemic, supported Member State resilience and has contributed to post-pandemic recovery. It is important to acknowledge that the institutional response of ICAO/NACC was informed by global interagency directives for crisis management, as well as pandemic recovery. Linked to Finding 2.
202. Conclusion 3: ICAO/ NACC's capacity to facilitate collaborative working relations with States and regional stakeholder allowed for alignment between the Regional Operating Plan and the needs and priorities of States and key stakeholders. There is scope for the evolution of the collaboration, however, through increased transparency, communication and knowledge sharing across entities, to enhance aviation management at the regional and State levels. Linked to Finding 3.
203. Conclusion 4: The alignment between the NACC RO regional agenda and the strategic objectives of ICAO HQ has been a key strength of the RO that has facilitated its contribution to the global goals for civil aviation. This strength has contrasted sharply, however, with gaps in results data that have affected the capacity of the RO to provide evidence of its programming effectiveness. Linked to Finding 5.
204. Conclusion 5: While NACC RO contributed towards the implementation of planned deliverables in each of the key activity areas, the RO did not achieve the EI targets that were established by the GASP or facilitate the finalization and implementation of the NASPs. Given the need for State level facilitation of aviation safety to align with the global and regional aviation goals, it is concerning that most of the NASPs have not been yet completed. Linked to Finding 6.
205. Conclusion 6: There has been strong evidence of the RO's contribution to the Air Navigation Capacity and Efficiency results area, with emphasis on aerodrome safety and improvement, airspace optimization and general air navigation priorities within the NACC region. It is equally significant, however, that many Member States have not proceeded to update and/ or finalize and implement their NANPs. As the NANP is a critical national aviation planning document, the

ongoing question is whether States need additional support from the RO to facilitate NANP finalization and implementation, as well as what are their specific challenges and or support requirements. Linked to Finding 7.

206. Conclusion 7: NACC RO contributed towards the implementation of several aviation security interventions at the State and regional level during 2017-2022. The RO has had notable success in mitigating SSeCs and has provided ongoing support to States to enhance their capacities in the effective management of aviation security. While one of the strengths of the RO's approach is the volume of its work, another strength is its ability to facilitate context-specific interventions comprising technical assistance, guidance and opportunities for trainings/ capacity-building. As regional and State-level aviation security is aligned with the GAsEP roadmap, however, it is to be noted that the average level of EI for the NACC region is below the global average and most Member States have not attained the GAsEP targets. Linked to Finding 8.
207. Conclusion 8: There are some examples of States that have taken steps to facilitate economic development through the civil aviation sector. The main case study example of success, the Dominican Republic, has shown that progress in the economic development of air transport is largely contingent on the support of government. This support is not limited to financial resources but includes the establishment of appropriate sector-specific policies. Linked to Finding 9.
208. Conclusion 9: NACC RO has provided encouragement and support to Member States for the mitigation of carbon emissions as a contribution to ICAO's strategic objective for environmental protection. While there has been a relatively positive response by States to the CORSIA initiative, it is of interest that States have not been developing and/ or implementing their State Action Plans. This brings into question the nature and level of support that has been provided to the NACC Member States, in the interest of determining whether additional support is required. A further consideration is whether the RO has applied adequate resources to the environmental protection results area. Linked to Finding 10.
209. Conclusion 10: As one of its general strengths, NACC RO has been able to provide timely support to Member States to address their contextual priorities and emergent challenges. The RO has relied on the contribution of its internal team of experts and specialists to fulfil its regional mandate. The capacity of the team to provide required support has been challenged, however, by insufficient human and financial resources. Linked to Finding 11.
210. Conclusion 11: NACC RO has enhanced its support to its Member States by ensuring that SAP implementation is contextually informed by circumstances at the State level. This approach constitutes one of the strengths of the RO's approach to its regional portfolio, as it allows for a tailored response to the needs, priorities, and challenges of each State. As the SAP is an audit-based process that has a strong focus on safety, air navigation and security, however, there have been challenges to the positive results that have been generated during SAP implementation. These challenges include the inadequate facilitation of the economic development and environmental portfolios at the level of NACC RO. Linked to Finding 12 and 13.
211. Conclusion 12: The NACC RO approach to Member States SAP action plan monitoring by RO management and regional officers, involving a combination of reporting exercises and follow-up actions through monthly virtual meetings, is an example of good practice. It facilitates timely support to Member States and generates timely, relevant data for high-level decision-making. Linked to Finding 14.

212. Conclusion 13: The capacity of ECCAA to meet its responsibilities as the designated CAA for the OECS Member States has been challenged by a misunderstanding of its role at the level of ICAO HQ. This misunderstanding has contributed to the inefficient engagement of ECCAA and the OECS States in ICAO programming. It further points to an unaddressed communication gap across ICAO/NACC RO. Linked to Finding 15.
213. Conclusion 14: Member States have received support from NACC RO to access relevant trainings in civil aviation management, as well as opportunities for networking and knowledge exchange. While the facilitation of opportunities for built capacities has been a key strength of NACC RO programming, the sustainability of acquired learnings has been challenged by the focus on the building of individual skillsets, as opposed to institutional capacities for aviation management. States have also been constrained in their ability to take full advantage of afforded opportunities because of limited financial resources, bureaucratic processes and high staff turnover. Linked to Finding 16 and 17.
214. Conclusion 15: NACC RO has taken initial steps to create a gender balance within the male-dominated aviation field. In general, however, there has been more evidence of gender equality integration at the Member State level. Given the ongoing stereotypes about gender in civil aviation, the facilitation of an enabling environment for complete gender integration is a work in progress across ICAO/ NACC. Linked to Finding 18.
215. Conclusion 16: Stakeholders have had equal access to opportunities to engage in the activities of the NACC RO work portfolio. As inclusiveness has not been facilitated through an institutionalized and / or policy-informed process, however, the use of a human rights-based approach (HRBA) to inform RO programming is a work in progress. Linked to Finding 19.

Lessons learned

- Interagency partnerships that are based on good planning and follow up actions, and a commitment by partners to results achievement, can be used to attain tangible results in a short timeframe despite resource limitations.
- The establishment of systematic policy-based approaches, at the level of ICAO/NACC and Member States, is mandatory for creating an enabling environment for gender equality and facilitating a human rights-based approach within the aviation sector.
- The engagement of external stakeholders in programmes, opportunities for knowledge exchange etc. is contingent on a diagnostic/ needs assessment that explores and attempts to address the challenges to their effective participation, as well as the potential for results sustainability.
- Capacity-building should be facilitated at both the organizational and individual levels, using adequate resources, to support institutionalized knowledge transfer and sustainable capacities.
- Systematic results monitoring is mandatory for effective results reporting, to generate the level and quality of evidence that is required to determine whether planned results have been achieved.

RECOMMENDATIONS

216. In light of the evaluation findings, the following recommendations are presented to improve the performance of the NACC region:

1. The Regional Office, with NACC Member States, should identify the factors that are contributing to the inability of some States in the region to achieve the GASP and GASeP targets, and strengthen/design a mechanism to enable States to attain the global targets based on State capacities and the ability of NACC RO to support the Member States. (Linked to Finding 6 and 8 and Conclusions 5 and 7.)

Priority	Time implication	Resource implication
High	November 2024 for the GASP 6 months after the revision of the GASeP (which is currently under revision)	Low
Closing criteria:		
<ul style="list-style-type: none"> • Mechanism to enable States to attain the global targets in place 		

2. The Regional Office should develop and implement an action plan to systematically support and follow up NACC Member States in the finalization and implementation of their NASPs, NANPs, and State Action Plans on CO2 Emissions. (Linked to Finding 6, 7, 10 and Conclusions 5, 6 and 9.)

Priority	Time implication	Resource implication
High	November 2024	Medium
Closing criteria:		
<ul style="list-style-type: none"> • Refinement/development and implementation of action plan to support Member States to develop and implement the plans 		

3. The Regional Office should organize a training for the RO staff in RBM in general and in result-based planning, monitoring, and reporting, in particular, in advance of further actions by ICAO HQ for effective results monitoring and reporting. (Linked to Finding 4, 14 and Conclusions 4 and 12)

Priority	Time implication	Resource implication
Medium	December 2024	Medium
Closing criteria:		
<ul style="list-style-type: none"> • Training of RO staff in RBM 		

4. The Regional Office should develop a mechanism to conduct a brief diagnostic/feasibility assessment before trainings/ capacity-building/iPack distribution, to troubleshoot the constraints to State participation and ensure that trainings and capacity-building are designed to facilitate institutional systems building in addition to improving individual skillsets. (Linked to Finding 16, 17 and Conclusions 14)

Priority	Time implication	Resource implication
Medium	December 2024	Low
Closing criteria: <ul style="list-style-type: none"> • Procedure in place to conduct diagnostic/feasibility assessment of Member States prior to capacity-building/ training/ iPack distribution. 		

5. The Regional Office, in collaboration with CDI, ADB and SPCP, should develop an action plan to improve human and financial resource availability for NACC RO. The action plan could include, but not be limited to, acquiring secondees and training on preparing costed project documents for donor funding. (Linked to Finding 10, 11, 12, 13, Conclusions 9, 10, and 11)

Priority	Time implication	Resource implication
High	July 2024	Medium
Closing criteria: <ul style="list-style-type: none"> • Action plan to improve human and financial resource availability for NACC RO for the filling of human resource gaps within NACC RO (e.g., Regional Officer Economic Development of Air Transport; Regional Officer Environmental Protection, etc.) and the mobilization of financial resources. 		

6. The Regional Office should integrate a mechanism to incorporate economic development of air transport and environmental protection into the Systemic Assistance Programme (SAP) process as key strategic objectives, to address current limitations in the consideration of each area. (Linked to Finding 12, 13 and Conclusions 11)

Priority	Time implication	Resource implication
Medium	December 2024	Medium
Closing criteria: <ul style="list-style-type: none"> • Revised SAP with a mechanism to incorporate the economic development of air transport and environmental protection into the SAP process as key strategic objectives. 		

7. The Regional Office in collaboration with OSG should address the communication gap on the status of ECCAA as the CAA of the Eastern Caribbean States. (Linked to Finding 15 and Conclusions 13).

Priority	Time implication	Resource implication
High	June 2024	Low
Closing criteria: <ul style="list-style-type: none"> • Organization-wide communication of the role and responsibilities of ECCAA. 		

ANNEX 1. DETAILED EVALUATION METHODOLOGY

Technical Approach and Methods

Technical Approach:

1. The evaluation was participatory, and was conducted using purposeful sampling, an evaluation matrix; and mixed-methods.
2. An inclusive, participatory approach, based on the application of utilization-focused principles, was used to engage stakeholders from the focal stakeholder entities of this evaluation: NACC RO; ICAO Headquarters Bureaus; and the OSG. The participatory approach was used to engage all categories of stakeholders who were affiliated with the evaluation object (the NACC RO portfolio) and had in depth knowledge of the implementation, management and coordination of ICAO SARPs/ policies and regional targets, to enhance civil aviation in the NACC region. Utilization-focused principles were applied to this technical approach to ensure that the evaluation met the needs of its stakeholders, who are its main clients and end-users.

Purposeful Sampling

3. Purposeful sampling was used to ensure that the evaluation responded to ToR specifications and produced accurate and valid responses to the main evaluation questions. Sampling involved identifying all stakeholders who have been involved in the implementation, management; planning and/ or coordination of ICAO SARPs/ policies and regional targets in the NACC region, followed by their engagement in data collection.
4. During the Inception Phase, a sample of key stakeholders with responsibility for the management; planning; implementation; and/ or coordination of the NACC Regional Portfolio was identified. These stakeholders comprised directors, senior management, and technical staff of the NACC RO; the CDI; and the SPCP. Subject to their availability, they were engaged in preliminary semi-structured interviews on regional strategic objectives and operations; results monitoring and achievement; and contextual challenges.
5. Additional stakeholders were approached for consultations by semi-structured interview during the data collection phase of the evaluation. Semi-structured interviews were conducted with persons who are directly involved in the implementation, management, planning and/ or coordination of ICAO SARPs/ policies and regional targets, to enhance civil aviation in the NACC region.

Evaluation Matrix

6. The evaluation matrix (see Annex 2). articulates the main evaluation criteria based on OECD-DAC definitions¹¹¹, in alignment with the key evaluation questions, performance indicators, data sources, and methods of data collection. It was informed by the evaluation criteria and questions

¹¹¹ OECD-DAC (2002). Glossary of Key Terms in Evaluation and Results-based Management. Reprint 2010. Paris: OECD-DAC.

suggested in the ToR, as well as the results of the stakeholder consultations of the Inception Phase, and the analysis of data availability from primary and secondary sources.

7. This evaluation has had summative and formative components. To fulfil its summative component, the main evaluation criteria of the ToR (relevance, coherence, effectiveness, efficiency and sustainability) and a lesson learned criterion, were used to assess the contribution of NACC RO projects and activities to the enhancement of regional civil aviation. The formative component of the evaluation was fulfilled by incorporating a recommendations criterion, to develop forward-looking recommendations for policy, future projects, and related activities. The combination of summative and formative criteria were incorporated into the evaluation matrix.

Mixed-methods

8. Based on the preliminary review of documents and the Inception Phase consultations, it was anticipated that the evaluation would have provided qualitative and quantitative data. As a result, mixed-methods, comprising qualitative and quantitative techniques, were used during data collection and analysis. To support increased accuracy and validity through triangulation, data was collected from primary and secondary sources by stakeholder consultations and desk review.

Methods of data collection

Stakeholder Consultations

9. Stakeholder consultations involved in-person or virtual interviews, which were guided by semi-structured data collection tools. The data collection tools were tailored to each category of stakeholder and aligned with the approved evaluation framework.
10. All relevant stakeholders were identified with the support of the NACC RO evaluation focal person, who provided an indicative list of relevant stakeholders for consultation.

Desk Review

11. An in-depth desk review of documents that were relevant to the evaluation was conducted in alignment with the approved evaluation framework. The desk review built on the preliminary review of documents of the Inception Phase and was used to explore issues arising from Phases 1 and 2 of the evaluation.
12. The documents that were reviewed included: operating plans; project documents and monitoring reports; meeting minutes; business plans; master plans; and mission reports (see Table A1).

Secondary Data Collection Sheet

13. Information on progress made by the regional office in relation to the planned activities of its action plans was documented on a secondary data collection sheet. The secondary data collection sheet was in the form of a simplified matrix and was prepared during the evaluation.

Data Analysis

14. During Phase 2, a combination of qualitative and quantitative techniques was used to analyze collated data in four stages: i) descriptive analysis; ii) content analysis; iii) quantitative analysis; and iv) a strength, weaknesses, opportunities and threats (SWOT) analysis. The guideline for each stage of analysis was the approved evaluation framework.

Stage 1: Descriptive Analysis

15. A descriptive analysis of qualitative data was used to build on the desk reviews of Phases 1 and 2 of the evaluation. The approach to analysis entailed verifying the evaluation context in terms of: i) the implementation of ICAO SARPs/ policies and regional targets in the NACC region; ii) the management and coordination mechanism followed by the region; and iii) activities and outputs produced by NACC RO during 2017 - 2022.

Stage 2: Quantitative Analysis

16. Descriptive analysis was complemented by the quantitative analysis of data collected from secondary sources (documents; databases and systems). Quantitative data was used to conduct simple statistical analyses with spreadsheet software (Excel). Examples of statistics that were identified to be generated in numerical or graphical form included statistics on resource use and results generated.

Stage 3: Content Analysis

17. As a follow-up to Stages 1 and 2, a content analysis was conducted on emergent results. This process involved identifying key themes, trends, and areas of divergence. Additional data collection was conducted, where required, to support the accuracy of the evaluation results. The results of the content analysis were used to develop preliminary evaluation findings.

Stage 4: SWOT Analysis

18. Data analysis was completed with a SWOT analysis of the NACC regional portfolio, with a focus on the implementation of ICAO SARPs;/ policies and regional targets; the regional management and coordination mechanism; and activities and outputs delivered by the RO during 2017 – 2022. This process involved conducting a critical examination of the emergent results of Stages 1 to 3 of the analysis. The results of Stages 3 and 4 were used to inform the evaluation conclusions, recommendations and lessons learned. They also informed the identification of examples of good practice.

Ethics

19. All evaluation activity adhered to the international standards and norms developed by the Organisation for Economic Co-operation and Development – Development Assistance Committee (OECD-DAC) and the United Nations Evaluation Group (UNEG). The evaluation also aligned with ICAO evaluation policy.

20. Stakeholders were assured of the confidentiality of their responses prior to consultations. All collated and analyzed data were stored in a secure location that was only accessible to the members of the evaluation team. Report production was used to share generalised findings only to preserve the anonymity of stakeholders.
21. Participation in the evaluation was voluntary and there was no risk of harm to participating stakeholders.

Work Plan

Phased Implementation

The evaluation was implemented over three phases: i) inception, ii) data collection and analysis, and iii) report writing.

Phase 1: Inception

22. The Inception Phase of the evaluation commenced with a start-up discussion among the members of the evaluation team to establish the main evaluation context, requirements, and logistics for the scope of work.
23. During the Inception Phase, stakeholder consultations were held with two senior staff members of the NACC RO (the Acting ICAO Regional Director, NACC and the NACC Regional Officer, Technical Assistance); the Director, CDI and the Chief, CDI Field Operations Section.
24. Inception Phase activity also involved a preliminary desk review of relevant documents to support team understanding of the evaluation object, as well as an identification of stakeholders to be engaged during Phase 2 consultations.
25. The main deliverable of the Inception Phase was the Inception Report, which included the evaluation methodology, comprising the technical approach and methods, evaluation framework; and data collection tools. A draft version of the inception report was submitted to the Chief of the OIO for review and comment. Comments received informed the finalization of the inception report.

Phase 2: Data Collection and Analysis

26. Phase 2 of the evaluation comprised four sets of activities: i) country missions to three NACC Member States; ii) virtual stakeholder consultations; iii) a desk review of relevant documents; and iv) data analysis.
 - Country missions: The Chief, OIO; the Evaluation Specialist; and the External Consultant conducted country missions to three NACC Contracting Member States (Mexico; the Dominican Republic; and Costa Rica; and). During the country mission to Mexico, the evaluation team conducted interviews with the management and staff of the NACC RO. The evaluation team also conducted interviews with relevant staff of CAAs/ Airport Authorities; and members of PIRG; RASG and AVSEC in the Dominican Republic, Costa Rica and Mexico.

- Stakeholder consultations: To build on the consultations held during the Inception Phase and the country missions, virtual consultations were held with a sample of stakeholders from other Member States; Regional Safety Oversight Organisations (RSOOs) and key staff at ICAO Headquarters Bureaux that are responsible for the financial; administrative and technical backstopping of the NACC Region. Support for the identification of relevant stakeholders was provided by the NACC RO evaluation focal person. The countries that were selected for virtual interviews, as well as the selection criteria that was used is provided below. The list of selected countries was amended during the evaluation, based on responses received to requests for consultations.
 - Antigua and Barbuda – SIDS; OECS sub-region; Member State with Special Safety Concern;
 - Bahamas - – SIDS; Northernmost Caribbean country/ Close proximity to United States of American;
 - Barbados – SIDS; Eastern Caribbean; More developed Caribbean country;
 - Belize – Central American Member State; Only English-speaking NACC Central American Member State;
 - Canada – Large developed country; Champion State Memorandum of Cooperation signed;
 - Dominica – SIDS; OECS sub-region; Over 90 percent of physical infrastructure damaged by natural disaster (hurricane) in 2019;
 - Haiti -French-speaking Caribbean country; lowest gross national income in Latin American and the Caribbean; high vulnerability to natural disasters (hurricanes; earthquakes); socio-political instability;
 - Saint Vincent and the Grenadines – SIDS; OECS sub-region; Affected by major natural disaster (volcano eruption) in 2021; and
 - Trinidad and Tobago – SIDS; Southernmost Caribbean country; More developed Caribbean country; Champion State Memorandum of Cooperation signed.
- Desk review: An in-depth desk review was conducted on documents that were relevant to the evaluation, as well as notes compiled during the stakeholder consultations of Phases 1 and 2
- Data analysis: Qualitative and quantitative techniques were used to analyze collated data, as applicable, and was followed by the synthesis of emergent results.

Phase 3: Report writing

27. Further to preparation of the Inception Report, the report writing phase centred on producing the key evaluation deliverable, the final evaluation report.
28. As a prelude to report writing, the results of data analysis were used to produce preliminary evaluation findings, which were reviewed and refined by the evaluation team before being shared with all relevant stakeholders for review and comment. Comments received were used to inform the first draft evaluation report.
29. The first draft evaluation report was submitted to the OIO Chief for review and comment, to support the identification of possible inaccuracies in reported terms and facts. Comments received from the OIO Chief informed the revised version of the report, which was circulated to all relevant stakeholders for a full two-week review. Comments received were used to inform report finalisation.

Limitations and Mitigation

30. The main limitation to the evaluation was the non-response of selected stakeholders, at the level of ICAO Headquarters and NACC Member States, to requests for consultation. As a mitigation measure, in depth consultations were conducted with stakeholders who confirmed their availability for a discussion on the NACC portfolio. This approach was strongly supported by the in-depth review of relevant documentation.

ANNEX 2. LIST OF STAKEHOLDERS CONSULTED

	NAME	DESIGNATION	METHOD OF CONSULTATION
NACC RO			
1.	AVILA, Mayda	Regional Officer, Communications, Navigation and Surveillance – ICAO-North American, Central American and Caribbean Office	Individual interview
2.	CAMARGO, Fernando	Regional Officer, Technical Assistance –ICAO-North American, Central American and Caribbean Office	Small-group interview
3.	LOPEZ, Oliver	Regional Officer, Accident and Investigation Officer – ICAO-North American, Central American and Caribbean Office	Individual interview
4.	MARTINEZ, Raul	Regional Officer, Aeronautical Information Management – ICAO-North American, Central American and Caribbean Office	Individual interview
5.	MENDEZ, Eddian	Regional Officer, Air Traffic Management and Search and Rescue – ICAO-North American, Central American and Caribbean Office	Small-group interview
6.	ORELLANA, Marcello	Regional Officer, Safety implementation – ICAO-North American, Central American and Caribbean Office	Individual interview
7.	PECHARROMÁN, José Maria Peral	Regional Officer, Aviation Security and Facilitation – ICAO-North American, Central American and Caribbean Office	Small-group interview
8.	SANCHEZ, Luis	Regional Officer, Aeronautical Meteorology and Environment – ICAO-North American, Central American and Caribbean Office	Individual interview
9.	SIU, Julio	Acting ICAO Regional Director – ICAO-North American, Central American and Caribbean Office	Small-group interview
10.	SNYDER, Ernie	Regional Officer, Air Traffic Management – ICAO-North American, Central American and Caribbean Office	Individual interview
11.	TERRAZAS, Yolanda	Administrative Assistant, ATM/1 and SAF/2 Assistant – ICAO-North American, Central American and Caribbean Office	Small-group interview
12.	TODESCO, Fabiana	Regional Officer, Aerodromes and Ground Aids – ICAO-North American, Central American and Caribbean Office	Individual interview
CAA/ Airport Authorities			
13.	ABADIE, Jorge	Director of Public Transport Policies – Ministry of Communications and Transport Infrastructure, Mexico	FGD/ Email exchange
14.	AHEDO AGRAZ Edgar	Executive Director of Aviation Security – Federal Civil Aviation Agency, Mexico	Focus group discussion
15.	BARDOUILLE, Benoit	Chief Executive Officer – Dominica Air and Sea Ports Authority	Individual interview

	NAME	DESIGNATION	METHOD OF CONSULTATION
16.	BERQUIST, Krista	Manager of the Western Hemisphere Office – Federal Aviation Administration	Small-group interview
17.	BEST, Andrea	Director of Civil Aviation – Ministry of Tourism, Civil Aviation, Sustainable Development and Culture	Individual interview
18.	CAMPOS, Norma	Budget Analyst/ Senior Representative, Mexico Federal Aviation Administration	Small-group interview
19.	CARRANZA PLATA, Pablo	Executive Director of Aviation – Federal Civil Aviation Agency, Mexico	Focus group discussion
20.	CARTER, Nigel	Director of Civil Aviation – Department of Civil Aviation, Belize	Individual interview
21.	CASTRO, Santiago	Operational Safety Support Manager – IDAC (Institute of Civil Aviation, Dominican Republic)	Small-group interview
22.	CAVALLARI, Luiz	Aviation Security Specialist/ USOAP Auditor – National Civil Aviation Agency, Brazil	Individual interview
23.	CHINCHILLA MONTES, Cristian	Chief, Air Transport Unit – Department of Civil Aviation, Costa Rica	Individual interview
24.	DÍAZ, Víctor	Director of the International Civil Aviation Training Centre – Federal Civil Aviation Agency, Mexico	Focus group discussion
25.	FERRER NOGUEZ, T.A. Jorge	Aeronautical Inspector, State Safety Programme Directorate – Federal Civil Aviation Agency, Mexico	Focus group discussion
26.	FORDE-BAILEY, Tracey	Director of Civil Aviation – Barbados Civil Aviation Department	Individual interview
27.	GARCIA PALMA, Luis Diego	Chief, Department of Operational Safety – Department of Civil Aviation, Costa Rica	Small-group interview
28.	GARCÍA, Carlos	Chief, Civil Aviation Accidents Investigation Division – General Directorate of Civil Aviation, Mexico	FGD/ Email exchange
29.	GERKEN YONG, Kira	Chief, Department of Air Navigation Services – Department of Civil Aviation, Costa Rica	Individual interview
30.	GIJON, Rafael	Executive Director of Transport and Aeronautical Control – Federal Civil Aviation Agency, Mexico	Individual interview
31.	GOTTLICH, Jessa	Jessa Gottlich, Foreign Affairs Specialist – Federal Aviation Administration	Individual interview
32.	JIMENEZ PONS, Rogelio	Deputy Secretary of Transport – Secretariat of Communications and Transport, Mexico	Focus group discussion/ Email exchange
33.	LARSEN, Andrew	Associate Director of Standards – ICAO/ Chief of Technical Programmes, Evaluation and Coordination – Transport Canada	Individual interview

	NAME	DESIGNATION	METHOD OF CONSULTATION
34.	LOPEZ AGUADO, Jose Alan	Operations Coordinator, Executive Directorate of Aviation – Federal Civil Aviation Agency, Mexico	Focus group discussion
36.	MARTINEZ MENDOZA, T.A. Luis	Deputy Director of Aviation Security – Federal Civil Aviation Agency, Mexico	Focus group discussion
36.	MILLÁN, Fernando	Aeronautical Inspector, Executive Directorate of Aviation – Federal Civil Aviation Agency, Mexico	Focus group discussion
37.	MOSCOSO QUINTANA, Rogelio	Air Navigation Link – Federal Civil Aviation Agency, Mexico	Focus group discussion
38.	MUÑOZ, Luis	Deputy Director – Department of Civil Aviation, Costa Rica	Individual interview
39.	ORDÓÑEZ, Jorge	Head of the Aviation Security Directorate – Federal Civil Aviation Agency, Mexico	Focus group discussion
40.	PIÑA, Pedro	Director of Flight Standards – IDAC (Institute of Civil Aviation, Dominican Republic)	Small-group interview
41.	PORCELLA, Hector	Director General – Dominica Institute of Civil Aviation (IDAC)	Individual interview
42.	QUIRÓS BADILLA Evelyn	Air Navigation Meteorology Inspector – Department of Civil Aviation, Costa Rica	Small-group interview
43.	RAMÍREZ CRUZ, Lulio	Head of the USOAP Department, State Safety Programme Directorate – Federal Civil Aviation Agency, Mexico	Focus group discussion
44.	RICHMOND Rolando	Air Navigation Safety Inspector – Department of Civil Aviation, Costa Rica	Small-group interview
45.	RIVERA OCHOA, Diego	Coordinator, State Safety Programme Directorate – Federal Civil Aviation Agency, Mexico	Focus group discussion
46.	ROA, Claudia	Director of Air Navigation – IDAC (Institute of Civil Aviation, Dominican Republic)	Small-group interview
47.	ROJAS OLVERA, Fernando	Director of Engineering, Norms and Certification – Executive Directorate of Aviation, Federal Civil Aviation Agency, Mexico	Focus group discussion
48.	ROSALES SIUROB, Víctor	Director of the Operational Security Programme of the State of Mexico, State Safety Programme Division – Federal Civil Aviation Agency, Mexico	Focus group discussion
49.	SÁNCHEZ DOMINGUEZ, Víctor	Quality Coordinator – Federal Civil Aviation Agency, Mexico	Focus group discussion
50.	SOLANO, Steve	Air Navigation Safety Inspector – Department of Civil Aviation, Costa Rica	Small-group interview
51.	TERCERO, José	Director, Analysis of Civil Aviation Accidents and Incidents – General Directorate of Civil Aviation, Mexico	Focus group discussion/ Email exchange
52.	VARGAS ANTONIO, Oscar	Director of Air Navigation, Executive Directorate of Aviation – Federal Civil Aviation Agency, Mexico	Focus group discussion

	NAME	DESIGNATION	METHOD OF CONSULTATION
53.	VAZQUEZ VAZQUEZ, Roy	Chief, Aviation Security – Department of Civil Aviation, Costa Rica	Small-group interview
54.	WESTOVER, Michelle	Foreign Affairs Team Lead – Federal Aviation Administration	Small-group interview
55.	WHITTIER, Anthony	Anthony Whittier, Director General – Eastern Caribbean Civil Aviation Authority	Individual interview
ICAO Headquarters (Bureaux/ OSG)			
56.	CREAMER, Stephen	Director – Air Navigation Bureau, ICAO	Individual interview
57.	GUINDON, Denis	Deputy Director, Monitoring and Oversight – Air Navigation Bureau, ICAO	Individual interview
58.	LOPEZ GONZALEZ, Javier	Chief, Field Operations Section – Technical Cooperation Bureau, ICAO	Small-group interview
59.	MERENS, Marco	Chief, Integrated Aviation Analysis Section (now Implementation Support, Planning and Coordination) – Air Navigation Bureau, ICAO	Individual interview
60.	RAHMA, Mohamed	Director – Air Transport Bureau, ICAO	Individual interview
61.	VARGAS ARAYA, Jorge	Director, Technical Cooperation Bureau – ICAO	Small-group interview
PIRG/RASG/AVSEC/RSEO			
62.	ARROYO, Alfonso	Representative for Latin American and the Caribbean – European Union Aviation Safety Agency (EASA)	Individual interview
63.	CASTILLO, Claudio	Head of Technology, Cybersecurity and Fraud Prevention – Latin American and Caribbean Air Transport Association	Small-group interview
64.	CORRIERI DE CASTRO, Virginio	Head of Safety and Operations – Latin American and Caribbean Air Transport Association	Small-group interview
65.	DE ANDRADE SANTORO, Alessandro	Chairperson, CAR/SAM Regional Planning and Implementation Group (GREPECAS) / Director of the Technical Department – Department of Airspace Control, Brazil	Individual interview
66.	DIAZ CRUZ, Julio	Manager of Environmental Protection of Airports and Auxiliary Services – Federal Civil Aviation Agency, Mexico	Individual interview
67.	HERNÁNDEZ, Marcos	Chief – Federal Electricity Commission, Mexico	FGD/ Email exchange
68.	ITALIA, Eleonora	International Cooperation Project Manager – European Union Aviation Safety Agency (EASA)	Individual interview
69.	OROPEZA, Francisco	Engineer – Mexico	FGD/ Email exchange

	NAME	DESIGNATION	METHOD OF CONSULTATION
70.	OROZCO TURRUBIATES, Jose	Manager of Safety Programmes – Mexico City International Airport	Small-group interview
71.	PERSIANI, Ana Maria	Head of Aviation Training – Latin American and Caribbean Air Transport Association	Small-group interview
72.	SCHOLZ, David	Regional Project Manager – Southeast Airport Group, Mexico	Small-group interview
73.	TORRES MUELA, Ricardo	Director General – Navigation Services in the Mexican Airspace (SENEAM)	Individual interview
74.	VENEGAS, Javier	Regional Director, Latin American and Caribbean Affairs/ Acting Director, Middle East – Civil Air Navigation Services Organisation	Individual interview

ANNEX 3. LIST OF DOCUMENTS REVIEWED

1. NACC (2020). Regional Operating Plan 2020.
2. ICAO (n.d.). Evaluation of Operating Plan 2017 version Final
3. NACC Office (2020). Internal View. NACC OP 2020.
4. NACC Office (2018). Table E2 – NACC 2018 Operating Plan - Safety.
5. NACC Office (2019). Table E2 – NACC 2019 Operating Plan - Safety.
6. NACC Office (2022). NACC Operating Plan 2022 - Internal View.
7. NACC Office (2019). NACC Evaluation of Operating Plan 2017 – draft 2018 Plan
8. NACC Office (2020). NACC Operating Plan 2020 version January adjusted for CMRT. Final
9. NACC Office (2021). NACC Operating Plan 2021 version Final. Follow-up 21 January 2022
10. NACC Operating Plan 2018 - Safety
11. NACC Office (n.d.) Annual Report to Council on Regional Office’s Activities – NACC. 213th Council Session. Melvin Clinton, Regional Director, NACC
12. NACC Office (n.d.) Annual Report to Council on Regional Office’s Activities – NACC. 216th Council Session. Melvin Clinton, Regional Director, NACC
13. NACC RASP (2021) North American, Central American and Caribbean Regional Aviation Safety Plan
14. NACC (2018). Eighth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation (NACC/DCA/08) — WP/02
15. ICAO (2016). Sixth Meeting of the North American, Central American and Caribbean Directors of Civil Aviation
16. Federal Civil Aviation Authority (2022). National State Operational Safety Plan of Mexico 2020 - 2022
17. General Civil Aviation Authority of Costa Rica (2022). State Operational Safety Programme
18. Federal Aviation Administration (n.d.). National Aviation Safety Plan, United States of American
19. Strengthening of the ECCAA and the safety and security oversight systems of the Eastern Caribbean ICAO Contracting States
20. NACC Directors of Civil Aviation (2017). Accountability and Performance Report of the ICAO NACC Regional Office to Member States – Melvin Cintron
21. NACC Directors of Civil Aviation (2017). ICAO No Country Left Behind Campaign NACC Regional Assistance Strategy. Accountability and Performance Report of the ICAO NACC Regional Office to Member States
22. NACC Directors of Civil Aviation (2016). Accountability and Performance Report of the ICAO NACC Regional Office to Member States
23. ICAO (n.d.). NACC SAP Achievements
24. ICAO (n.d.). No Country Left Behind
25. ICAO (n.d.). NACC SAP Metrics and Goals

26. ICAO (n.d.). NACC Systemic Assistance Programme Overview
27. ICAO (n.d.). What is the Systemic Assistance Programme
28. ICAO (2022). Report on Universal Safety Oversight Audit Programme: Continuous Monitoring Approach Results.
29. ICAO (2023). Invitation - Project RLA09801 Multi-Regional Civil Aviation Assistance Programme (MCAAP) · Workshop on Runway Safety Team (RST). Ref.: NT-N1–8.1.17; NT-NS2-35 — E.OSG-NACC96034
30. Technical Assistance Proposal for Resource Mobilisation Assistance to the NACC States for the Improvement of their Safety Oversight System (SOS) - B
31. NACC Office (n.d.). Executive Brief to the Final report of the Evaluation of the Eastern Caribbean Civil Aviation Authority (ECCAA) Organizational Infrastructure: ICAO NACC Programme for the Strengthening of the ECCAA and the Safety and Security Oversight Systems of the Eastern Caribbean ICAO Contracting States under the NACC Systemic Assistance Programme (SAP)
32. NACC Office (2021). The Evaluation of the Eastern Caribbean Civil Aviation Authority (ECCAA) Organizational Infrastructure: ICAO NACC Programme for the Strengthening of the ECCAA and the Safety and Security Oversight Systems of the Eastern Caribbean ICAO Contracting States. Final report.
33. ICAO Council 225th Session. Subject No. 14.2: Regional Plans. Annual Report on Regional Offices' Activities during 2021 and Operating Plans for 2022.
34. NACC Office (2020). NACC Operating Plan 2020 version December 11.

ANNEX 4: BUDGET VS COSTS, 2017-2022 - NACC RO

A. Regular Fund (CAD\$)

Item	2017		2018		2019		2020		2021		2022	
	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual
Salaries	3,818,414	2,752,080	3,836,080	2,920,769	4,204,204	3,544,748	3,308,704	<u>3,328,196</u>	3,665,955	3,390,016	3,758,820	<u>3,770,853</u>
Hospitality and Retreats	7,834	6,488	3,631	2,434	4,031	2,471	122	122	6,163	753	6,332	2,339
Operational expenditure	87,619	58,779	85,397	27,454	194,630	129,630	204,998	60,269	67,460	24,145	63,547	25,896
Meetings	97,147	85,826	78,897	69,558	94,079	57,488	50,540	19,711	79,213	21,701	69,587	68,819
Travel	139,492	139,127	178,317	175,513	214,088	191,951	56,819	31,881	128,563	55,537	290,829	268,923
Rental and maintenance of premises	265,150	235,077	1,106,165	105,294	1,229,475	1,041,637	269,904	82,492	57,390	32,906	57,754	3,095
Telecommunication	28,027	17,562	24,078	11,320	17,727	<u>18,779</u>	11,190	9,244	20,140	12,887	20,692	19,290
Total	4,443,683	3,294,939	5,312,565	3,312,342	5,958,234	4,986,704	3,902,277	3,531,915	4,024,884	3,537,945	4,267,561	4,159,215

Source: ICAO Finance Office, 2023

B. Voluntary Fund (CAD\$)

Item	2017		2018		2019		2020		2021		2022	
	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual	Budget	Actual
AVSEC/FAL Fund	-	-	-	-	-	-	-	=	-	-	-	=
SAFE Fund	-	7,722	-	1840	187,750	25,101	-	-1,824	-	36,776	-	47,375
Resource Mobilization Funds	-	-	-	-	348,932	29,757	-	48,342	-	12,896	67,554	112,028
RO Cost Recovery Fund	351,983	298,817	537,379	521,344	510,431	558,406	440,178	426,746	553,004	427,365	500,422	509,023
Total	351,983	306,539	537,379	523,184	1,047,113	613,264	440,178	<u>473,264</u>	553,004	477,037	567,976	668,426

Source: ICAO Finance Office, 2023

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
2	The Regional Office should develop and implement an action plan to systematically support and follow up NACC Member States in the finalization and implementation of their NASPs, NANPs, and State Action Plans on CO ₂ Emissions	High	Y	ICAO NACC will consider the specific approved Projects for NASP and NANP assistance- approved in 2022 and its deployment planned for 2023-2024. The NACC Systemic Assistance Programme (SAP) will include a more active support on ENV State Action Plan follow-up together with the deployment of the NACC ENV Dashboards	Prioritize the implementation of projects approved in 2022 to assist States in the development and updating of their NASP and NANP, using the regional dashboards. Collaborate with ANB and external stakeholders to identify additional opportunities and resources to engage States in the implementation of NASP and NANP activities. In collaboration with ATB, and with support of ENV implementation support programs, incorporate State Action Plan review and promotion in the Systemic Assistance Program (SAP), and in other regional programs and efforts.	ICAO NACC RO with support from ANB, ATB, and external stakeholders	November 2024
3	The Regional Office should organize a training for the RO staff in RBM in general and in result-based planning, monitoring, and reporting, in particular, in advance of further actions by ICAO HQ for effective results monitoring and reporting.	Medium	Y	Activity to be done in coordination with ICAO HQ/HR and SPCP and funding/ budget	The Regional Office in collaboration with SPCP will organize a training for RO staff in result-based planning, monitoring, and reporting.	ICAO NACC RO with the support from SPCP	December 2024

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
4.	The Regional Office should develop a mechanism to conduct a brief diagnostic/feasibility assessment before trainings/ capacity-building/iPack distribution, to troubleshoot the constraints to State participation and ensure that trainings and capacity-building are designed to facilitate institutional systems building in addition to improving individual skillsets.	Medium	Y	Annual Assessment of States needs and priorities are done under the NACC Systemic Assistance Programme (SAP) (NACC DCA and NACC Technical Meetings)	<p>In collaboration with CDI, develop a diagnostic mechanism to assess constraints to State effective participation in capacity building and to ensure institutional systems and sustainability are prioritized in capacity building efforts.</p> <p>Deploy diagnostic mechanism as part of annual needs assessment and prioritization of training and capacity building efforts.</p> <p>Re-focus training and capacity building efforts more toward those that address institutional systems and sustainability over individual skillsets.</p>	ICAO NACC with support from CDI	December 2024
5.	The Regional Office, in collaboration with CDI, ADB and SPCP, should develop an action plan to improve human and financial resource availability for NACC RO. The action plan could include, but not be limited to, acquiring secondees and training on preparing costed project documents for donor funding.	High	Y	Project management enhancement and the recruiting of secondees are ongoing tasks	<p>Assess NACC RO human and financial resource needs based on current and projected commitments, including those under regular budget and externally funded programs.</p> <p>Develop and implement an action plan in collaboration with CDI, ADB, ANB, ATB, and SPCP to match human and financial resources to prioritized list of commitments, and address gaps by, inter alia, recruiting secondments, collaborating with external stakeholders on projects, requesting donor funding for specific projects, and re-allocating financial resources (including donor funding, as applicable) toward higher priority and/or more feasible or sustainable projects and programs.</p>	ICAO NACC RO with support from CDI, ADB, ANB, ATB, and SPCP	July 2024

Ref	Recommendation	Priority Rating	Accepted (Y/N)	Management Comments	Agreed Actions	Office/ Section Responsible	Target Date
6.	The Regional Office should integrate a mechanism to incorporate economic development of air transport and environmental protection into the Systemic Assistance Programme (SAP) process as key strategic objectives, to address current limitations in the consideration of each area.	Medium	Y	<p>Enhancement of an improved technical assistance of ICAO NACC SAP.</p> <p>Revising the ICAO NACC SAP and other projects and programs to include ECD and ENV key matters will require additional resources as the office currently does not have an Air Transport Officer.</p>	<p>Review specific elements of assistance in ENV and ECD for their inclusion as tasks in NACC programs, including in the Systemic Assistance Program (SAP).</p> <p>Subject to available resources, revise the ICAO NACC SAP and other projects and programs to include ECD and ENV key matters.</p>	ICAO NACC RO, CDI, ENV, ATB	December 2024
7	The Regional Office in collaboration with OSG should address the communication gap on the status of ECCAA as the CAA of the Eastern Caribbean States.	High	Y		<p>Prepare Internal communication clarifying ECCAA's functions and responsibilities on behalf of the six States of the OECS, including explanation of difference between a multi-state authority and RSOO.</p> <p>Coordinate with OECS States to notify ICAO of ECCAA's role to update the DGCA database and other internal and external ICAO lists and templates.</p>	ICAO NACC RO and other ICAO HQ offices	June 2024

— END —