



ICAO

International Civil Aviation Organization
North American, Central American and Caribbean Office

WORKING PAPER

E/CAR/DCA/26 — WP/05
19/11/15

**Twenty-sixth Directors of Civil Aviation of the Eastern Caribbean Meeting (E/CAR/DCA/26)
New Orleans, United States, 1 - 3 December 2015**

Agenda Item 4: ICAO NACC NCLB Strategy

ICAO NACC NCLB STRATEGY

(Presented by the Secretariat)

EXECUTIVE SUMMARY	
<p>This Working Paper presents an update of the ICAO NACC No Country Left Behind (NCLB) Strategy developed by the ICAO NACC Regional Office, which has been presented to the Meeting of North American, Central American and Caribbean Directors General of Civil Aviation and ICAO Council (NACC DGCA-C) in Montego Bay, Jamaica. Following assistance actions for 2016 are also highlighted.</p>	
Action:	Suggested actions are presented in section 3.
<i>Strategic Objectives:</i>	<ul style="list-style-type: none">• Safety• Air Navigation Capacity and Efficiency• Security & Facilitation• Economic Development of Air Transport• Environmental Protection
<i>References:</i>	<ul style="list-style-type: none">• Individual NCLB State Letters• Doc 7300 - <i>Convention on International Civil Aviation</i>, Chicago Convention• Final Report on the Fourteenth Directors of Civil Aviation of the Central Caribbean Meeting (C/CAR/DCA/14), Kingston, Jamaica, 11 to 13 May 2015• Final Report on the Meeting of North American, Central American and Caribbean Directors General of Civil Aviation and ICAO Council (NACC DGCA-C), Montego Bay, Jamaica, 13 October 2015

1. Introduction

1.1 During the C/CAR/DCA/14 Meeting the Secretariat presented the NACC No Country Left Behind (NCLB) Strategy developed in support of the ICAO NCLB campaign reinforced by the ICAO Council, which highlights efforts to assist States in implementing ICAO Standards and Recommended Practices (SARPs) and increasing their Effective Implementation (EI) of SARPs. The Meeting adopted a Conclusion C/CAR/DCA/14/3 - “*No Country Left Behind (NCLB)*” *Implementation Strategy Tailored for each State*.

1.2 During the NACC/DGCA-C Meeting the ICAO NACC Regional Office (RO) presented the refined NACC “No Country Left Behind (NCLB) Strategy”. The main goal of this strategy is to ensure that SARPs implementation is better harmonized so that States can meet their ICAO obligations as signatory members to the Chicago convention. This will enhance Aviation safety and security and better prepare Member States to have access to the significant socio-economic benefits of safe and reliable air transport system. The global NCLB information is available at: <http://www.icao.int/abouticao/NCLB/Pages/default.aspx>.

2. Discussion

2.1 The Port-of-Spain Declaration commitments require close collaboration from States and the ICAO NACC RO to develop an implementation strategy tailored for each State. However, such a tailored strategy was not completed in various areas. This contributed to the strong possibility that some of these commitments will not be met in the proposed timeframe or before the end of 2016, as projected in the Declaration. Noting that such commitments are outstanding and corrective measures are still needed, the NACC NCLB takes into account the Port-of-Spain commitments and incorporates them into the NACC NCLB Strategy. This will provide focus, continuity and ensure agreed actions.

2.2 The specific “No Country Left Behind (NCLB) Strategy” developed by ICAO NACC RO promotes efforts to resolve Significant Safety Concerns (SSCs) identified through the ICAO Universal Safety Oversight Audit Programme-Continuous Monitoring Approach (USOAP-CMA). The Strategy also aims to assist States to achieve an effective implementation of the deficient areas that are critical for the States in order to have a safe, secure, environmentally sound, and sustainable civil aviation system.

2.3 In accordance with the strategic transformational concept, the implementation of NCLB was developed by the ICAO NACC RO as a new leadership approach to transform the way assistance is provided to our member States. This also includes transforming the way business is done in the defining of specific metrics, measureable deliverables, outcomes, and accountability for achievements of the set goals. Such accountable leadership approach must, of course, start with the ICAO NACC Regional Director (RD) and with support and commitment of the Directors General.

2.4 The NACC NCLB approach has a cultural change component of how assistance is provided by NACC RO. This includes project management techniques, hand-holding concepts when necessary, and more constant and direct NACC technical staff assistance to the States. Additionally, it requires leadership involvement and accountability of the RD, as well as the RD acceptance of his direct and accountable role in ensuring NCLB strategy success. This success can be enhanced through mutual partnerships with the Directors General and the RD responsibility to foster and create the environment for strengthening political will and senior level government commitments.

2.5 Following the ICAO Council President presentation in January, the RD of the ICAO NACC RO presented to the NACC/DGCA-C Meeting a clearer and complete explanation of the four phases NACC RO NCLB strategy, as follows:

- Phase I: Senior Level Engagement and Commitment beyond the Director General, to include ministers and other senior level government officials that can influence political will towards government commitment to the development and support of a sustainable and ICAO-compliant aviation system

- Phase II: Intelligence gathering and strategic plan, and prioritization via data analysis to ensure that all deficiencies in all areas of a State aviation system are identified and communicated to the State, and updated as required for the development of an accurate, measurable and accountable action plan that can be agreed upon between ICAO NACC RD, Mexico, the Director General and the minister (if required)
- Phase III: Implementation – NCLB TEAM visit – in situ for formal development initiation and implementation of the action plan by the technical teams. This includes a monthly videoconference and quarterly on-site visits by the ICAO NACC Regional Officers to ensure continuous progress
- Phase IV: Continuous Measuring/Monitoring. Quarterly reports provided to the Director General and the ICAO RD, Mexico, by the State Senior NCLB Point-of-Contact (PoC) in each specialty and the ICAO NACC Regional Officers, and a biannual brief sent to the minister on the NCLB strategy implementation status

2.6 While the ICAO NACC RO has had many successes in the past it can, and must, improve and wherever necessary transform itself, from status-quo (or business as usual) organization to an organization that can demonstrate its measurable effectiveness. The ICAO NACC RO must also be an effective resource for all its Member States by providing Regional aviation leadership to ensure safe, secure, and environmentally sound global aviation systems within each and every Member State and Territories to which it is accredited.

2.7 The NAM/CAR Member States have been classified in three priority assistance ranked by percentage of SARPs EI, risk, and commitment, including the regional targets as established in the Port-of-Spain Declaration, as follows:

- | | | |
|----|--|--------------|
| a) | First priority: all States with EI% below 70% | RED Color |
| b) | Second priority: all States with EI% between 70% and 80% | YELLOW Color |
| c) | Third priority: all States with EI% over 80% | GREEN Color |

2.8 Each E/CAR State had received a country specific NCLB Strategy briefing (see **Appendix**)

2.9 The expected outcomes from the NACC NCLB Strategy are:

- Short Term, 1 Year – Development and initiation of the ICAO NACC NCLB Strategy
- Medium Term, 2 years (By Dec 2016) - have NCLB Strategy implemented in all NACC States
- Long Term, 4 years - No more than 2 States below 80% of EI

2.10 NCLB Strategy success depends on the participation and commitment of the NAM/CAR States. In this sense, it is essential that Civil Aviation Authorities (CAA) designate a PoC in order to keep continuous communication on activities and outcomes achieved by the State.

Synergies with Caribbean Aviation Safety and Security Oversight System (CASSOS)

2.11 CASSOS can offer significant value to its members in terms of capability and self-sufficiency in the short and long term. To that end, States should also analyze and clearly define the roles and functions between national systems of the States and the regional safety oversight organization. For example in terms of:

- a) what are the similar deficiencies or findings of CASSOS Member States that have been identified under the NCLB Strategy; and
- b) what can be mutual solutions for those similar deficiencies or findings.
- c) what technical assistance can CASSOS provide, in coordination with the NACC Office, to ensure resolution of issues identified under the NACC NCLB strategy.

2.12 CASSOS can assist Member States with implementation of Annex 19 requirements regarding the State safety oversight system, State Safety Programme/Safety Management System (SSP/SMS) processes and components, an incident reporting system to facilitate collection of information on safety deficiencies, and accident and incident investigation system.

2.13 The meeting should take note that CASSOS participation in the NCLB strategy is important to provide appropriate assistance to their E/CAR member States in coordination with ICAO NACC RO. Therefore, States should analyze and clearly define the roles and functions among State national safety oversight systems and CASSOS.

2.14 It should be noted that the Agencia Centroamericana de Seguridad Aerea (ACSA) of Coporacion Centroamericana de Servicios de Navegacion Aerea (COCESNA) actively participates in safety oversight activities of its members providing significant support to Central American States in their respective ICVM activities. As such the NACC office encourages strong consideration to be given by E/CAR States to establish a Memorandum of Understanding (MoU) between the two Regional Organizations. While it is recognized that there are differences within the respective sub-regions, it is also recognized that there are vast similarities and responsibilities that will help strengthen both organizations, for the benefit of both organizations and their member States.

3. Suggested Actions

3.1 The meeting is invited to:

- a) take note of the information contained in this Working Paper;
- b) encourage E/CAR States designate their NCLB PoC to the ICAO NACC RO for timely coordination on NCLB activities;
- c) encourage E/CAR States to actively participate in the regional activities of the NACC NCLB Strategy, as required; and
- d) recommend other actions as deemed necessary.

APPENDIX



International
Civil Aviation
Organization

Organisation
de l'aviation civile
internationale

Organización
de Aviación Civil
Internacional

Международная
организация
гражданской
авиации

منظمة الطيران
المدني الدولي

国际民用
航空组织

When replying please quote:

Subject: **International Civil Aviation Organization No Country Left Behind Strategy (NCLB) for the (STATE) Civil Aviation Authority**

Action

Required: **Review NCLB Effective Implementation Status**

Dear Sir:

As you may be aware, the International Civil Aviation Organization (ICAO) North America, Central America and Caribbean (NACC) Regional Office, in support of ICAO's No Country Left Behind (NCLB) campaign, has developed a comprehensive strategy for implementing our NCLB initiative in the North America and Caribbean (NAM/CAR) Regions.

As part of this strategy, the ICAO NACC Office has undertaken a complete data analysis of unresolved findings and deficiencies and reviewed data from other sources that defines a country's Effective Implementation (EI) status. From our review, we have found almost half of the Member States in the NAM/CAR Regions do not currently meet the minimum global average of **62.8%** of EI, and even less meet the regional target average of 80% EI. More specifically, **STATE** currently has a **%** EI. We note that the State's aviation system has **XX** deficiencies/findings that have not been addressed.

As Regional Director, together with the NACC Regional Office team, I want to assure you that we remain **fully committed** to expanding our mutually accountable relationship to ensure success in improving your State's EI status through the NCLB strategy.

To fully implement the NCLB strategy, States, Territories and International Organizations will collaborate with the ICAO NACC Regional Office to provide technical assistance to the States' Civil Aviation Authorities, aerodrome operators and Air Navigation Services Providers through the use of Technical Assistance Missions (TEAMs). These TEAMs will facilitate States implementation of operational improvement initiatives to resolve deficiencies in the critical areas of aviation safety and security. The TEAMs will also work with States to implement regional objectives in capacity building and efficiency improvements, provide expert advice in the interpretation of regulations and guidance material, and lastly, facilitate States implementation of a safe and sustainable air transport system.

.../2

Your aviation stakeholders should be aware that the process and the decisions related to the implementation of the NCLB strategy correspond to the State and its designated responsible entities. Therefore, the main objectives of the NCLB strategy activities including its TEAMS are to collaborate with the States and Territories in the implementation phase through direct technical assistance, training seminars, evaluations and questionnaires, assessments, presenting guidance material, project assistance and development and continuous support plans through the execution phase. For your information, I have attached information that explains data points reflecting your State's and the rest of NACC States EI rates (**Attachment A**), as well as the NCLB regional collaboration activities process (**Attachment B**).

Sir, this Regional Office is fully committed to working with you, your Civil Aviation Authority, and its members to ensure your State's success in increasing the EI status through our joint commitment for implementing the NACC Regional Office NCLB Strategy. I am convinced that if we commit to implementing the NCLB strategy as a team, and both be held accountable to accomplish the necessary follow-up to ensure its implementation, as leaders we can, within the next two years, transform the EI status of not only **STATE**, but also the rest of the Region.

Accept, Sir, the assurances of my highest consideration.

Melvin Cintron
Regional Director
North American, Central American and
Caribbean (NACC) Regional Office

Enclosure:
As indicated

A-A1 –

ATTACHMENT A

Universal Safety Oversight Audit Programme (USOAP) Effective Implementation (EI) and Air Navigation Deficiencies

Source: ICAO iSTARS/SPACE – State Safety Briefings & GREPECAS Air Navigation Deficiencies Database (GANDD)

State

Your State currently has an **XX%** EI. The State’s aviation system has **XX** deficiencies/findings that have not been addressed. These include air navigation deficiencies in the following areas:

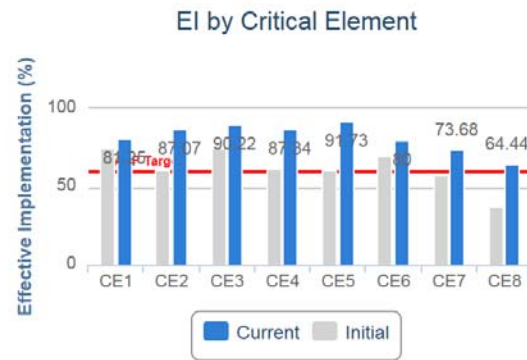
AGA	ATM	CNS	MET	SAR	AIM
XX	XX	XX	XX	XX	XX

USOAP Results by Area and Critical Element

Audit Period: 24 November to 3 December 2009

Progress Validation Period: 5 to 11 February 2014

X areas and X critical elements are above the target of 60% EI.



State currently has **xx** open USOAP protocol findings. The highest number of protocol findings (**xx**) concern Licensing, Certification, Authorization and Approval Obligations (CE-6) in the area of Operations (OPS).

	LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
CE-1	2			1		6	1	
CE-2	4		4	5	8	11	4	14
CE-3		3	3	6	3	5	27	1
CE-4			4	5	5	5	23	5
CE-5	1		1	6	12	18		7
CE-6			6	35	17		11	20
CE-7			6	9	5		10	9
CE-8				2		7	6	2




Protocol findings by Area and Critical Element intersection

Note: Due to ongoing work on our data management platform, the above results may slightly differ from the ones published on the CMA online framework.

**NORTH AMERICAN, CENTRAL AMERICAN AND CARIBBEAN (NACC) STATES
EFFECTIVE IMPLEMENTATION (EI) %**

**NACC States
Effective Implementation (EI) %**

According to the percentage of Effective Implementation (EI%), the NACC States are divided in three categories:

	0%	≤	EI%	≤	70%
	70%	<	EI%	≤	80%
	80%	<	EI%	≤	100%

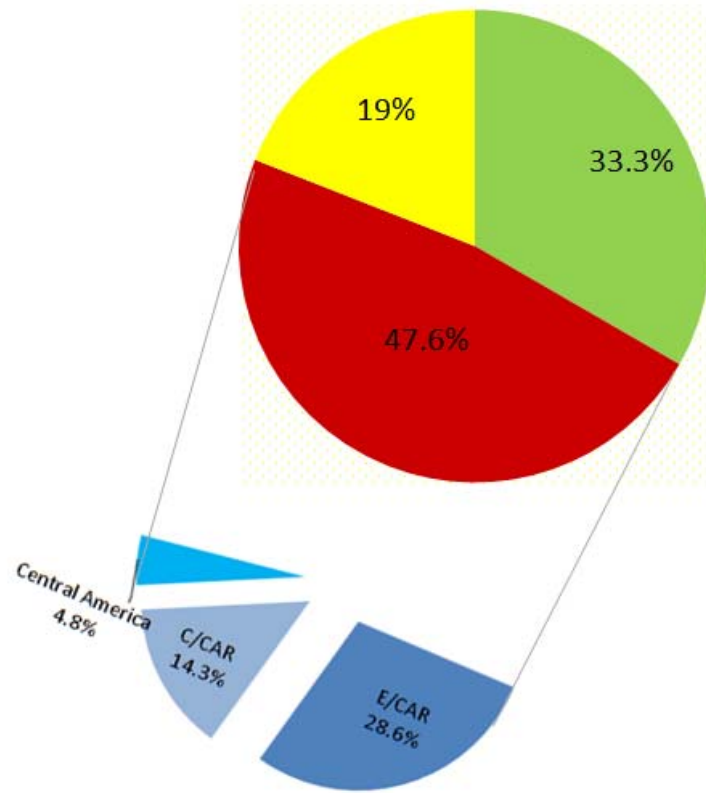
As shown in the graph, in the NACC States:

- **47.6%** of the States have an EI% below 70%
- **19%** of the States have an EI% between 70% and 80%
- **33.3%** of the States have an EI% over 80%

Of the States with an EI% below 70%:

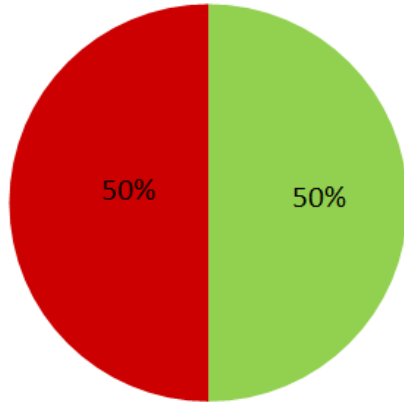
- 28.6% Eastern Caribbean
- 14.3% Central Caribbean
- 4.8% Central America

A-A3-



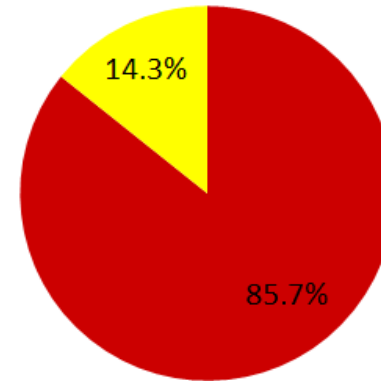
A-A4-

Central Caribbean — C/CAR



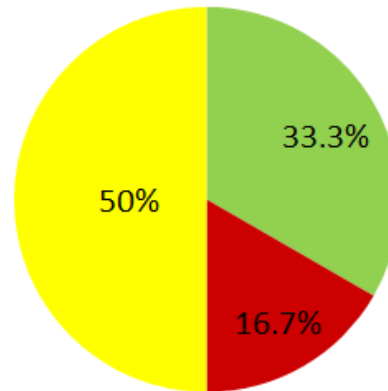
Half of the States in the Central Caribbean have an EI% below 70%.

Eastern Caribbean — E/CAR



85.7% of the States in the Eastern Caribbean have an EI% below 70%

Central America



16.7% of the States in Central America have an EI% below 70%

- A-B1-

ATTACHMENT B
ICAO NO COUNTRY LEFT BEHIND (NCLB)
REGIONAL COLLABORATION ACTIVITIES

Activities in the North America and Caribbean (NAM/CAR) Regions NCLB strategy consist of **four main phases**:

Phase I - Commitment. Service level engagement between the ICAO NACC Regional Director, and you, as authority, and with your appropriate Minister, as well as any other senior government official that can help to contribute to supporting your Civil Aviation Authority and your personal efforts as the leader of **the State** aviation system.

Phase II - Intelligence gathering and Strategic Plan - A complete review of all ICAO data related to your State's findings and deficiencies in all areas of your aviation system and the EI of ICAO's Standards and Recommended Practices (SARPS) will be conducted. In this phase, all available data is gathered and a letter is sent indicating all the areas where your country lacks EI, and some identified recommendations and possible solution options. Upon receipt of this data, we request that your technical personnel reviews it and that, within three weeks, we could hold a videoconference between your technical experts and ICAO's in order to discuss any disagreements your personnel might have with the EI status that we indicate. This would be the opportunity for your staff to provide any documentation to support updating the State's actual EI status.

Once our technical teams agree on the current and factual EI status of your State's compliance with the SARPS, we will provide you another report. This report will have the recommendations, of this Regional Office, to you as the leader of your State's aviation system on what we consider should be the State's priorities to achieve compliance with ICAO SARPS.

The expectation is that you and I will have frank and open communications and that you, as the leader of aviation, will also identify what you consider, or need, the priorities to be, based on all the factors of your State. The end goal will be for us, as Senior Leaders, to agree on the **mutual priorities** for the next two years.

In this phase, the NCLB TEAM visit programme will be coordinated with your State, including the logistics of the mission.

Phase III – Implementation – NCLB TEAM visit – In this phase a multidisciplinary ICAO team will travel to meet with your team and develop together an action plan, that we can hold our teams' accountable for. The action plan will, at minimum, identify the problem, the proposed solution, who will be accountable for the expected outcome, and what the timeframe for completion will be. This will provide a clear roadmap for success as well as identifying challenges and possible weak points for us to work together to mitigating them.

Report Development. The ICAO NACC Regional Office will present **to the State** the detailed NACC and State tailored NCLB implementation plan with the required actions/activities a few weeks after the visit. It is expected that, no later than one month after the report is submitted, **State** begins the short and medium terms implementation of the agreed activities with the support of the NACC Regional Office.

Phase IV – Continuous Follow-up. The ICAO NACC Regional Office, in coordination with the involved stakeholders, will monitor the developed activities in every phase, in order to measure the efficiency of the obtained results and present a detailed report to the Civil Aviation Authority

- A-B2 -

and to the ICAO Secretary General, as needed. T

The NACC Regional Office technical personnel and your technical personnel will hold monthly teleconferences, as well as a quarterly NACC Regional Office on-site support visits, as further assistance. We will work with you on identifying external assistance whenever necessary, funding sources and other such solutions. Additionally, the State Director General and ICAO NACC Regional Director will be briefed quarterly by our joint technical teams on the implementation progress.

— END —