



## NOTA DE ESTUDIO

AVSEC/FAL/RG/6 — WP/06  
04/06/16

### SIXTH MEETING OF THE AVIATION SECURITY AND FACILITATION REGIONAL GROUP (AVSEC/FAL/RG/6)

ICAO NACC Regional Office, Mexico City, Mexico, 8 to 10 June 2016

**Agenda Item 3: Global and regional developments**  
**3.2: Contributions by LACAC**

#### ACTIVITIES SUMMARY ON SECURITY AND FACILITATION

(Presented by the LACAC Secretariat)

EXECUTIVE SUMMARY	
In this working paper the LACAC Secretariat presents to the Group a summary of the activities related to the Macro-task on Security and Facilitation.	
<b>Action:</b>	Suggested actions are presented in Section 7.
<i>Strategic objectives:</i>	<ul style="list-style-type: none"><li>• Security and facilitation (ICAO)</li><li>• Macro-task on facilitation and security (LACAC)</li></ul>
<i>References:</i>	<ul style="list-style-type: none"><li>• Report of the XXI Ordinary Assembly of LACAC</li><li>• 2015-2016 LACAC Strategic Plan</li><li>• Report of the Fifth Meeting of the ICAO/LACAC NAM/CAR/SAM</li><li>• Report of the LXXXVII Executive Committee of LACAC</li><li>• Report of GEPEJTA/36</li></ul>

#### 1. Background

1.1 As is well known, the Strategic Plan of LACAC for the period 2015-2016 contains six (6) Macro-tasks, namely: Transport and air policy, Airport management, Training, Environment, Safety, and **Security and Facilitation.**

1.2 The AVSEC/FAL macro-task is based on the work conducted by the Regional Group ICAO/LACAC NAM/CAR/SAM, established on 25 May 2011 in the city of Asunción, Paraguay, within the framework of the Mutual Cooperation Agreement signed between LACAC and ICAO in Montreal, Canada, on 27 September 2010.

1.3 The procedure followed by LACAC to enact the agreements reached within the Regional Group ICAO/LACAC NAM/CAR/SAM is based on the report submitted by the Secretariat to the Executive Committee, and on the Decisions adopted by the Assembly, that is, the Resolutions and Recommendations.

## 2. Decisions adopted by the XXI Assembly of LACAC

2.1 It should be recalled that the last Assembly of the Latin American Civil Aviation Commission, held in Antigua, Guatemala in November 2014, approved and enacted five (5) Decisions, which can be consulted at <http://bit.ly/1UCUlvu>:

- Recommendation A21-06 *“Model of a national air cargo security programme”*
- Recommendation A21-08 *“Framework for the acquisition, testing, and deployment of security equipment”*
- Recommendation A21-10 *“Standardisation of the aviation security (AVSEC) instructor certification process in the region”*
- Recommendation A21-12 *“Standardisation of passenger and carry-on luggage screening procedures and a list of forbidden objects”*

2.2 The draft resolution concerning the “Course on identification of individuals with suspicious behaviours” was not approved because some delegates considered that some parts of the text harmed human rights and might be considered discriminatory. Accordingly, it was resolved that the Regional Group ICAO/LACAC NAM/CAR/SAM should modify the aforementioned terms. This was already analysed at the previous meeting of the Group, and the corresponding corrections were made. Therefore, the draft resolution will be submitted to the consideration of the Executive Committee at its next meeting and then to the LACAC Assembly to be held in Medellin, Colombia, on 14-16 November 2016.

## 3. Decisions for the XXII Assembly of LACAC

3.1 Upon reviewing the work done by the Regional Group ICAO/LACAC NAM/CAR/SAM, it may be noted that the following issues could be taken into account when formulating the corresponding draft decisions to be submitted to the LACAC Assembly in November this year.

- Updated list of prohibited objects in carry-on luggage that may be consulted by the authorities of member States of the Regional Group.
- Security management system (SeMS)
- Standardisation of procedures for auditing aviation security systems.
- Guidance for AVSEC authorities on compliance with Standard 3.5 of Annex 17.
- Course on cyber-security.
- Standardisation of security measures for compliance with the standards contained in Annex 9 and Doc 9303 on machine-readable travel documents.
- Standard teaching material on facilitation.

- List of items restricted by non-AVSEC authorities.
- Single control and security system for airports validated by the States involved.

3.2 In this sense, the Group is requested at this meeting to formulate the corresponding decisions for submission by the LACAC Secretariat at the LXXXVIII meeting of the Executive Committee to be held in Havana, Cuba, on 17-18 August 2016, and then at the XXII Assembly of LACAC.

#### 4. Participation at the 39<sup>th</sup> Session of the ICAO Assembly

4.1 As the experts may know, the 39<sup>th</sup> Session of the ICAO Ordinary Assembly will be held this year (Montreal, Canada, 27 September to 7 October 2016) and, as in previous occasions, LACAC will present several working and information papers on the different items of the Agenda, based on the “Guide” being prepared by an *ad hoc* group established for that purpose (Argentina, Chile, Colombia (presenter), Cuba, Guatemala, Paraguay, and Uruguay). This group is compiling all the working papers to be presented by both LACAC and individual States that wish to do so.

4.2 Accordingly, the part of the “Guide” that corresponds to facilitation and security is presented below so that the Regional Group may decide and prepare, if applicable, the corresponding working and/or information papers on the cited agenda items:

#### LACAC GUIDE

#### 39<sup>th</sup> SESSION OF THE ICAO ASSEMBLY

ITEM	ISSUES TO BE ADDRESSED	POSITION / ACTION
<b>EXECUTIVE COMMITTEE</b>		
<b>Item X5: Aviation security — Policy</b>	The Council will submit a report on the progress made with respect to the global aviation security policy framework and the implementation of the ICAO Comprehensive aviation security strategy (ICASS), as well as developments concerning risk assessment, innovation and cyber-security. The Council will propose the establishment of a global aviation security plan and the adoption of a revised version of the Consolidated statement of continuing ICAO policies related to aviation security (Assembly Resolution A38-15).	<p>This issue shall be analysed by the AVSEC/FAL group in order to present a stance on this topic.</p> <p>Entrust the Secretariat with the task of coordinating the analysis of agenda items related to FAL and AVSEC with the Chairperson of the Group.</p>

ITEM	ISSUES TO BE ADDRESSED	POSITION / ACTION
<b>EXECUTIVE COMMITTEE</b>		
<b>Item X6:</b> <b>Universal security audit programme – Continuous monitoring approach (USAP-CMA)</b>	Pursuant to Resolution A38-15, Appendix E, the Council will submit a general report on the Universal security audit programme – Continuous monitoring approach (USAP-CMA). Information will be provided on global implementation of the Programme, the main audit outcomes, an analysis of the degree of implementation of the critical elements of State security oversight systems, and an indication of the level of compliance with the standards of Annex 17, Security.	<p>This issue shall be analysed by the AVSEC/FAL group in order to present a stance on this topic.</p> <p>Entrust the Secretariat with coordinating the analysis of agenda items related to FAL and AVSEC with the Chairperson of the Group.</p>
<b>Item X7:</b> <b>Implementation support and development – Security (ISD – SEC)</b>	The Council will submit a report on the activities of the Programme on Implementation support and development – Security (ISD-SEC) to support States in complying with the standards and recommended practices (SARPs) of Annex 9 (Facilitation) and Annex 17 (Security), including information on the development and implementation of goals and performance indicators used for measuring the efficacy of assistance activities. The Council will also provide information on the Aviation security/facilitation initiative in Africa (AFI SECFAL), the status of the network of aviation security training centres (ASTC), and the development of training activities and teaching material. Priorities will be proposed for the triennium 2017-2018-2019.	<p>This issue will be analysed by the AVSEC/FAL group in order to develop a position on this topic.</p> <p>Entrust the Secretariat with coordinating the analysis of agenda items related to FAL and AVSEC with the Chairperson of the Group.</p>

ITEM	ISSUES TO BE ADDRESSED	POSITION / ACTION
EXECUTIVE COMMITTEE		
<b>Item X8: Facilitation and the strategy of the ICAO traveller identification programme (ICAO TRIP)</b>	The Council will submit a report on activities related to the Facilitation programme, including the status of implementation of the strategy of the ICAO traveller identification programme (ICAO TRIP), an update of the Public key directory (PKD) and the feasibility of expanding ICAO audit activities to include the standards contained in Annex 9 — Facilitation. The Council will identify the priorities of the Facilitation programme for the triennium 2017-2018-2019 and will propose the adoption of a revised Consolidated statement of continuing ICAO policies related to facilitation (Assembly Resolution A38-16).	<b>Entrust the AVSEC/FAL Group with reviewing these items.</b>

## 5. Best practices

5.1 Pursuant to Conclusion 5/5 of the report of the Fifth meeting of the Regional Group ICAO/LACAC NAM/CAR/SAM concerning a **Best facilitation practices database**, the LACAC Secretariat created the corresponding space in its website on 1 January 2015 for the publication of best practices received from States under the different macro-tasks. Regarding Facilitation and Security, there are seven (7) registries, which may be consulted in the following link: <http://bit.ly/1TWIag3>. Registry titles are shown below:

BEST FACILITATION AND SECURITY (AVSEC/FAL) PRACTICES		
TABLE OF CONTENTS		
Registry	Description	Regulation
<a href="#">Reg FALAVSEC 001</a>	Unification of security controls in public airports (sent by <b>Colombia</b> )	Cali airport – Single check point protocol
<a href="#">Reg FALAVSEC 002</a>	Creation of a Security biometric identification system and elimination of the “Entry/Exit” card (sent by <b>Argentina</b> )	Provision 843/2012 of the National Migration Bureau
<a href="#">Reg FALAVSEC 003</a>	Establishment of a National FAL programme (sent by <b>Dominican Republic</b> )	<a href="#">Decree 746-08</a> <a href="#">Decree 500-09</a> Air transport facilitation inspection form
<a href="#">Reg FALAVSEC 004</a>	Model FAL Programme for airport managers (sent by <b>Bolivia</b> )	<a href="#">Programa BOL AdmAer</a>
<a href="#">Reg FALAVSEC 005</a>	Model FAL Programme for aircraft operators (sent by <b>Bolivia</b> )	<a href="#">Programa BOL OpeAer</a>
<a href="#">Reg FALAVSEC 006</a>	Air transport facilitation training programme (sent by <b>Bolivia</b> )	<a href="#">Programa BOL Capac</a>
<a href="#">Reg FALAVSEC 007</a>	Procedure applicable to passengers to avoid dual processing for exemption from the national tax (sent by <b>Colombia</b> )	<a href="#">Resolution No. 01545</a> <a href="#">RAC 200</a> (Resolution No. 0012)

## 6. 2016-2025 LACAC Strategic Plan

6.1 It will be recalled that when discussing agenda item 6.1 at the Fifth Meeting of the Regional Group, the LACAC Secretary, among other things, stated: “...that the Assembly gathered in Guatemala in November 2014, inter alia, decided to create a Standing working group to modify Resolution A20-11 (on the Strategic Plan). This Group is made up by Argentina, Brazil (presenter), Chile, Cuba, Guatemala, Nicaragua, Peru, and the Secretariat. He also explained that this Group had already started working and its terms of reference included the updating of the LACAC Strategic Plan, optimising performance indices and correlating the tasks contained in the plan with budget management...”.

6.2 Subsequently, with the support of Brainstorming (consultant engaged through the aeronautical authority of Brazil for a UNDP project), this Group developed the New Strategic Plan for 2016-2025 and held seven (7) face-to-face meetings, three (3) of which took place with the participation of the consultant. The LXXXVII meeting of the Executive Committee (Mendoza, Argentina, March 2016) was presented with and welcomed the corresponding document, which will be enacted at the XXII Assembly of LACAC. The aforementioned document is contained in the **Appendix** to this working paper.

6.3 As may be noted, the work carried out by the Regional Group ICAO/LACAC NAM/CAR/SAM and its Strategic Plan must be aligned with the new Strategic Plan of LACAC, as discussed by the Executive Committee at its LVXXXII meeting held in Mendoza, Argentina, on 15-16 March 2016, which also agreed, *inter alia*, to:

- a) *invite the Chairperson of the AVSEC/FAL Group to participate at the meetings of the Executive Committee or to designate a delegate to share ideas on the work done and/or to clarify any technical queries; and*
- b) *Assess the work of the Group, not in terms of quality or relevance of its activities, but in terms of whether or not it is relevant to continue working in this manner.*

6.4 In any case, it should be noted that, henceforth, whoever chairs the AVSEC/FAL/RG or his/her delegate must participate at the meetings of the LACAC Executive Committee to report on the activities of the corresponding macro-task and to explain, as applicable, issues of interest to the aeronautical authorities on the work of the Group. In this sense, this action should be taken into account for its inclusion in the conclusions of this Meeting.

## 7. **Suggested action**

7.1 The Meeting is invited to take note of the information presented herein and to adopt the following actions:

- a) that experts agree on, and formulate, the draft decisions they deem appropriate for enactment as Resolutions or Recommendations at the XXII Ordinary Assembly of LACAC;
- b) that experts prepare draft working and information papers for inclusion in the “Guide” and/or stance that, in their opinion, should be taken on the agenda items of the ICAO Assembly, as shown in paragraph 4.2 above;
- c) that experts make recommendations to leverage the platform where “best practices” are posted in the LACAC website; and
- d) that, henceforth, the Chairperson of the Group and/or his/her delegate participate at the meetings of the LACAC Executive Committee to respond to queries on the work done by the Regional Group ICAO/LACAC NAM/CAR/SAM.

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# Strategic Plan 2016 – 2025



# Summary

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# Introduction

## 1. Background

LACAC was established in December 1973, on occasion of the Second Latin American Conference of Aeronautical Authorities, held in Mexico City. On that occasion, 15 Latin American States signed the LACAC bylaws and, at present, the Commission has 22 Latin American and Caribbean member States. It should be noted that LACAC is a consultative body, that is, its decisions are not binding for the States.

Between 1978 and 2006, a *modus vivendi* agreement between ICAO and LACAC was in force, which defined various elements concerning Secretariat services, as well as financial and consultation aspects. On 21 December 2005, this agreement was replaced with the Mutual Cooperation Agreement between LACAC and ICAO, which became effective in January 2007 and was based on managerial and financial autonomy. This agreement, which is still in effect, is extremely important since it represents a structural, administrative, and financial change for the Commission. On 22 February 2007, LACAC and ICAO signed an Administrative Management Agreement that establishes that ICAO will take care of the administrative and financial aspects of LACAC.

As defined in its bylaws, the main purpose of the Commission is to provide civil aviation authorities of member States with an appropriate structure for discussing, planning, and managing all the measures required for cooperation and coordination of civil aviation activities and for promoting an efficient, sustainable, safe, secure, orderly, and harmonised development of Latin American air transport for the benefit of all its users.

## 2. LACAC Permanent Group

At the XX Assembly held in November 2012 in Brasilia, the LACAC member States established an *ad hoc* group charged with the important task of modifying Resolution A20-11. Initially, the idea was for the Group to prepare a proposal to improve the indicators for macro-task activities, and guidelines on the LACAC work plan. To that end, the level of implementation of Commission decisions by States should also be taken into account. In this first phase of the work, the Group prepared a diagnosis of the main issues that would need to be changed in relation to the definition of the mission and vision concepts, short- and medium-term objectives, the composition and definition of macro-tasks, and an assessment of the impact of LACAC decisions on member States. Based on this diagnosis, the *ad hoc* Group concluded that it would be advisable to have the support of experienced strategic planning experts for the fulfilment of its work.

At the 86th meeting of the Executive Committee, held in Brasilia in August 2014, the States decided that the *ad hoc* Group on the LACAC Strategic Plan should acquire permanent status. To that end, the Executive Committee also agreed to draft a work plan and terms of reference for the Permanent Group. The XXI Assembly confirmed the decision of the Committee and determined that the Permanent Group should submit its proposal at the following Assembly.

The 2015/2016 biennium started with an extensive work timetable for the Group. First, the Group conducted an in-depth *benchmarking* study on the structure and organisation of ICAO, AFCAC and ECAC, to be used as a reference for its own work. Then, the Group pursued the initial diagnosis with a view to including a more in-depth and systematic analysis of the strengths and weaknesses of the Commission, to serve as a starting point for the LACAC Strategic Plan.

Likewise, a cooperation project was established between the Government of Brazil and the United Nations Development Programme (PNUD), through which, based on internationally recognised criteria, a strategic planning expert was engaged to provide technical support to the work of the Group.

With the specialised technical support, the full identification of the system, and the diagnostic documents produced, the Group held face-to-face meetings in Santiago, Bogota, and Rio de Janeiro to draft the LACAC Strategic Plan, based on the analysis of prospective scenarios and the use of traditional tools such as SWOT, DELPHI, and Monte Carlo.

Therefore, this Strategic Plan is the result of a joint effort made by LACAC member countries to support coordination among Latin American countries and the development of air transport in the region.

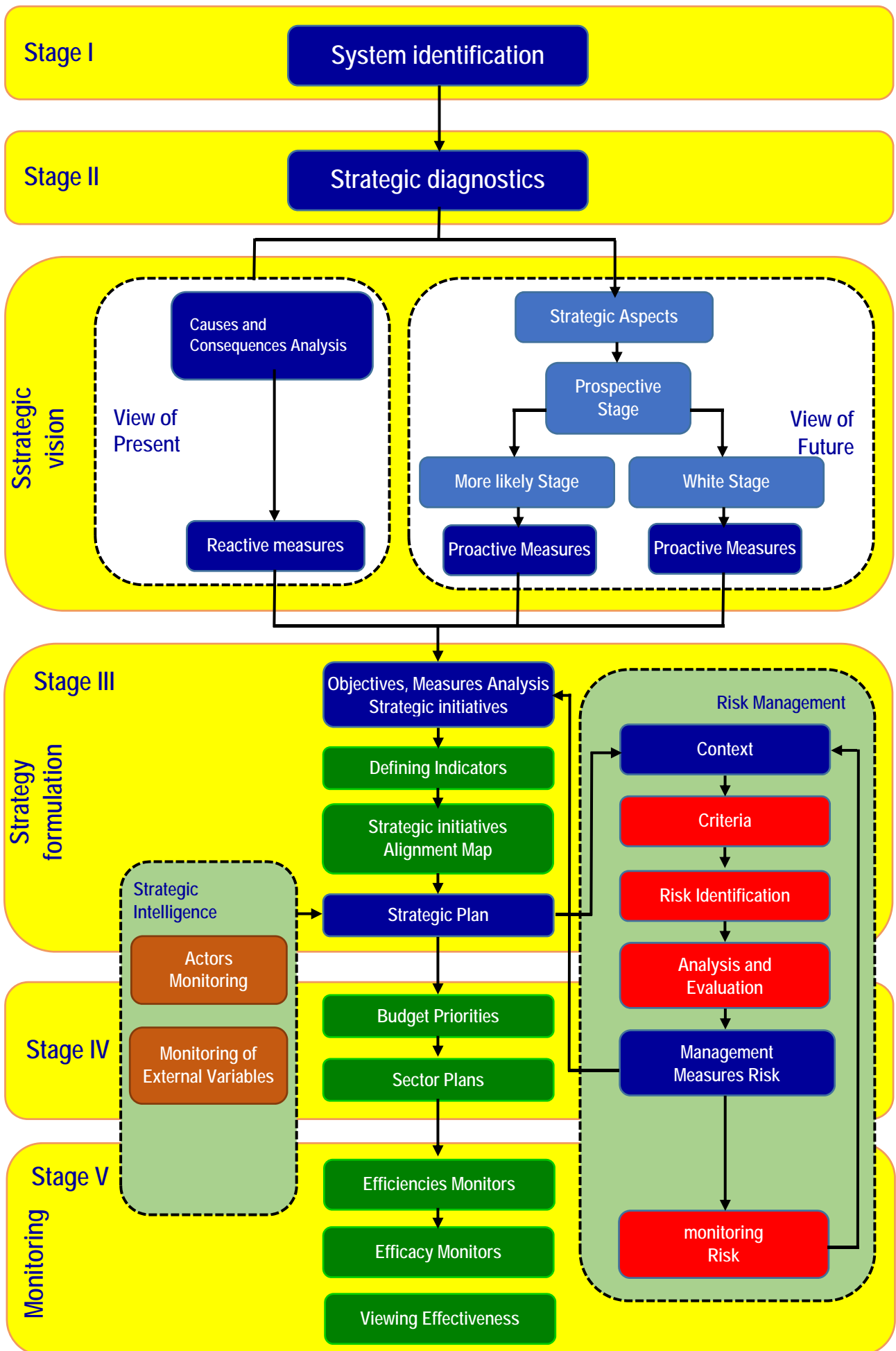
# Planning Process

## Methodology

The definition of a strategic planning model for an international organisation is surely more complex and diversified, since the decision-making process is not focused on a single individual or a small group of managers. In the case of inter-governmental organisations, member States define policies and make decisions based on the principle of sovereign equality. The complexity and scope of this system require integrated coordination of the planning and implementation of activities to achieve the objectives set at a high level.

Accordingly, the methodology used for drafting the LACAC Strategic Plan adopted a participatory approach whereby all member States were invited to give their input in all the stages of the process. Furthermore, the method chosen by the Permanent Group enabled the use of traditional basic strategic planning tools, to which the prospective scenario methodology was added, allowing for medium- and long-term strategic management.

The table below illustrates the LACAC strategic planning process and its main stages:



The Strategic Plan, despite being a medium- and long-term document, must always contain a diagnosis of the current structure of the institution, identifying strengths and weaknesses, and analysing opportunities and threats of the system, based on a SWOT analysis.

Thus, as the first step of the LACAC Strategic Plan, an extensive and in-depth diagnosis was made, including an analysis of both the internal system—assessment of macro-processes and resources—and the environment—assessment of external variables and actors. In this stage, all member States were invited to participate.

In the second stage of the process, a survey on future scenarios was developed and delivered to recognized experts in civil aviation and strategic thinking of the region, including academicians, directors and chairpersons of civil aviation authorities, and State representatives in the ICAO Council.

#### Events assessed by the experts:

How likely is it that between now and 2025...

- > 1. a large terrorist attack is perpetrated against any part of the aeronautical system of the Region, causing serious disruption and requiring LACAC intervention?
- > 2. the occurrence of disasters associated to extreme natural events increases in the Latin American region to the point of causing serious damage to airport infrastructure and aeronautical systems, and resulting in human losses?
- > 3. 80% or more of LACAC member States meet the security requirements of the secure cargo chain?
- > 4. unlawful use of civil aviation for arm and drug trafficking becomes such a frequent and serious phenomenon that it requires action and coordination by LACAC?
- > 5. 90% of countries attain 80% implementation of ICAO standards?
- > 6. LACAC loses at least one seat in the ICAO Council or the representativeness of the region is reduced?
- > 7. ICAO approves a global market-based mechanism?
- > 8. the Conference of the Parties approves levying taxes on aviation fuel?
- > 9. a big gap exists between technological development of the industry and operational and air transport service capacity of the region?
- > 10. there is sufficient skilled technical personnel to match the increase in global demand foreseen in commercial air transport?
- > 11. the civil aviation sector in Latin America experiences a minimum mean annual growth rate of 6%?



According to the Delphi methodology (a structured technique of interviews to experts), the survey was conducted in two stages. First, the expert made a personal assessment of the likelihood of occurrence of each element of the scenario, represented by 11 questions, as well as the importance assigned to each event and level of knowledge of, and familiarity with, the topic.

The results of the Delphi survey were assessed based on the convergence of probabilities of each event and on a qualitative analysis to define proactive and reactive actions. Translating this analysis to new probabilities using the Bayesian probability theory, it was possible to run a Monte Carlo simulation, which led to the most likely scenario and the establishment of the target scenario for LACAC.

Based on the diagnosis and analysis of prospective scenarios, the third stage of the process was started, that is, the strategic formulation. In this phase, actions were suggested to address the diagnosis, based on correcting the causes and mitigating the consequences of weaknesses, optimising the use of strengths, neutralising or reducing the impact of threats, and taking advantage of opportunities. Furthermore, an analysis was made of future scenarios for strategic initiatives (programmes, projects, and actions) to be implemented by LACAC, taking into account the proposed objectives.

In summary, the strategic formulation included:

1. Formulation of proposed strategic objectives;
2. Definition of the strategic identity;
3. Assessment of actions;
4. Development of strategies (lines of action);
5. Development of strategic initiatives (programmes, projects, and actions).

Based on this process, the Permanent Group arrived at this proposed Strategic Plan for the period 2016-2025, which contains the strategic identity of LACAC—mission, vision, values, key success factors, and corporate policies—objectives, strategies, and initiatives.

It should be noted that the LACAC Strategic Plan is a living document and, therefore, requires constant follow-up and monitoring of indicators to check the level of compliance and assess the need to update the document based on new realities. The Permanent Group is responsible for ensuring effective implementation and execution of the strategic management projects of the Commission.

# Strategic Identity

## Mission

*Coordinate and support civil aviation activities with a view to promoting an efficient and outstanding air transport in Latin America.*

## Vision

*Be indispensable to member States and serve as a point of reference in the area of civil aviation for other international organisations.*

## Values

### *“Tolerance and understanding”*

Tolerance and understanding are essential values of LACAC members, who must respect the internal policies of each State, seeking regional consensus in its decisions.

### *“Transparency”*

The work of LACAC must be clear, accessible, and unambiguous in all aspects.

### *“Commitment”*

High level of identification and fulfilment of the obligations acquired by member States and LACAC staff.

### *“Equality”*

LACAC member States are sovereign and have the same rights and obligations.

### *“Integrity”*

Member State representatives and LACAC officials must act with integrity, honesty, and faultlessly.

### *“Non discrimination”*

Member State representatives and LACAC officials must not make arbitrary distinctions on the basis of ethnicity, religion, language, gender, opinion, culture, and sexual orientation.

## Key Success Factors

### Fulfilment of obligations

All member States must fulfil their commitments.

### Active participation

Ensure that States have on-going presence in all LACAC activities in terms of the appropriate numbers, rank and competencies.

### Support to States

Understanding by member State authorities of LACAC activities and relevance.

## Corporate policies

*Respect to the different cultures and traditions*

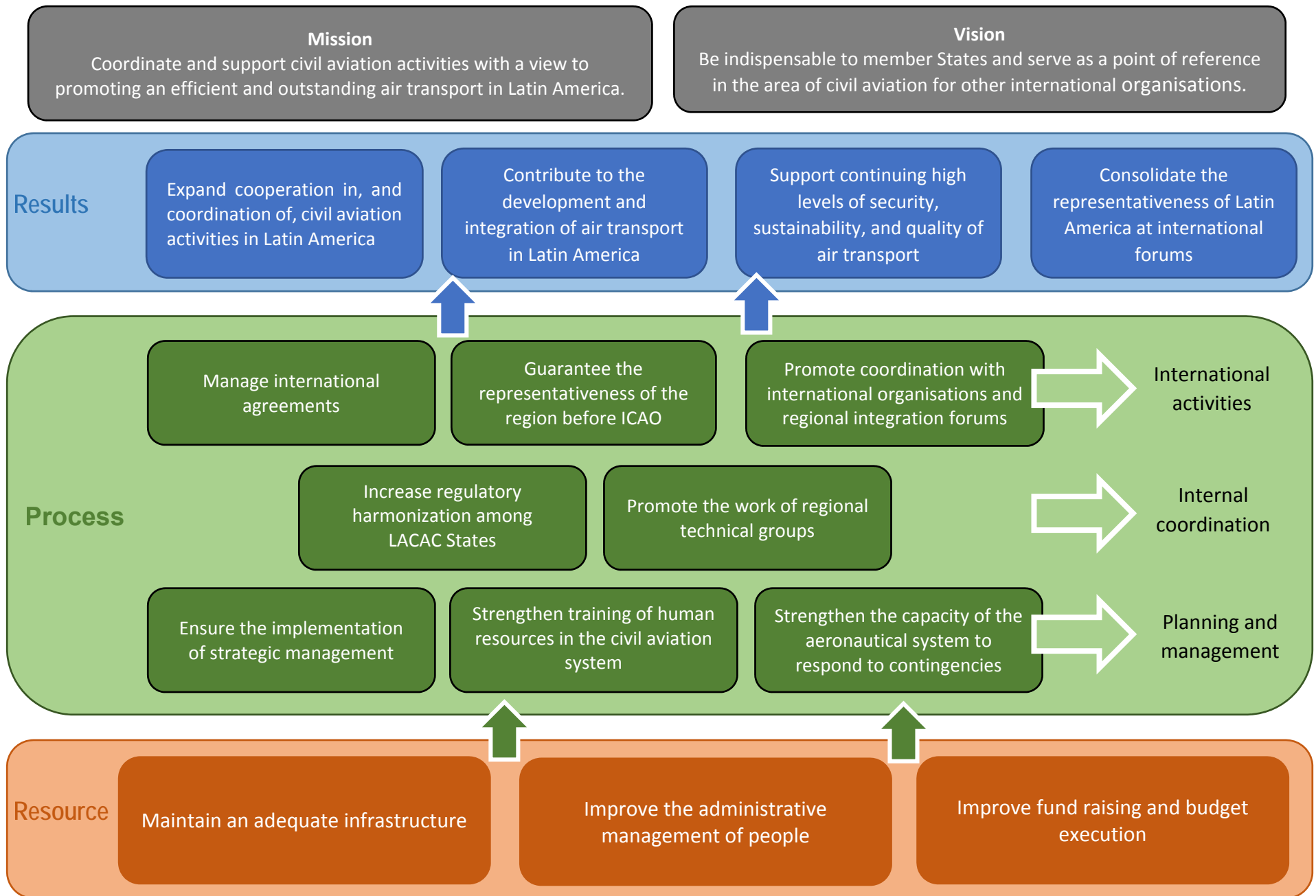
### Job security and protection

LACAC must grant its employees all their labour and health rights in accordance with the ICAO system.

### Promote an air transport of excellence

Excellence is understood as a sustainable, integrated, harmonised, and secure air transport throughout Latin America.

# Strategic Map



## Strategic Map

The strategic map defines the causal sequence of how financial and human resources enable the implementation of internal processes that contribute to the achievement of LACAC objectives, in accordance with the *Balanced Scorecard* methodology.

In the case of an intergovernmental organisation, the starting point are the resources—financial and human—that will permit the execution of internal processes—international activities, internal coordination among States, and planning, aimed at delivering effective results to air transport users in the region. The LACAC Strategic Map is organised based on these perspectives.

The following section presents each strategic objective, its strategies and strategic initiatives, in more detail and within the respective perspectives.

Objectives are the results sought, while strategies are the paths to be followed in order to achieve each objective. Strategies consist of initiatives, which exist to create or improve the internal processes of the organisation, and can become an action, a programme, or a specific project.

# **Objectives, Strategies, and Initiatives**



## 1. Targeted results:

Targeted results are the long-term strategic objectives of the Commission. In other words, they are the objectives to be achieved after concluding the implementation of the Plan. They are the final deliverables to air transport users of the region. They must be seen in a holistic manner. If LACAC meets its objectives in terms of resources and processes, it will have attained its targeted results and, thus, its mission and vision.

LACAC has four targeted results, namely:

- 1.1 – Objective:** Expand cooperation in, and coordination of, civil aviation activities in Latin America.
- 1.2 – Objective:** Contribute to the development and integration of air transport in Latin America.
- 1.3 – Objective:** Support continuing high levels of security, sustainability, and quality of air transport.
- 1.4 – Objective:** Consolidate the representativeness of Latin America at international forums.

## 2. Process objectives:

Process objectives are the core of the Strategic Plan. This part defines the macro-objectives of each process considered as strategic for delivering the results of the Commission.

Being an intergovernmental organisation, it is only natural that some of the processes deal with the international activities of the Commission, specifically the management of cooperation and air service agreements, coordination with other international organisations, and the representativeness of the region before the International Civil Aviation Organization.

Another important part of LACAC processes has to do with internal coordination among States, with a view to achieving regulatory harmonisation in the different areas of civil aviation, and promoting the work of the different regional technical groups, mainly the SRVSOP, COCESNA, and RASP-PA.

Finally, the effective implementation of processes depends on proper planning and management of the Commission to ensure the implementation of the Strategic Plan, technical training, and the strengthening of the States' ability to respond to contingencies and crises.

Accordingly, LACAC has eight process objectives, namely:

## **2. 1 – Objective: Manage international agreements**

**2. 1. 1 – Strategy:** Adopt a proactive attitude when approaching other States and international organisations to enter into mutual cooperation agreements.

**2. 1. 1. 1 – Initiative:** Review existing agreements.

**2. 1. 1. 2 – Initiative:** Identify other actors and topics of interest.

**2. 1. 1. 3 – Initiative:** Establish work priorities and timetables.

**2. 1. 2 – Strategy:** Manage horizontal cooperation agreements between member States.

**2. 1. 2. 1 – Initiative:** Review Resolution A19-09.

**2. 1. 2. 2 – Initiative:** Implement the procedure foreseen in the LACAC Resolution for the establishment of horizontal technical cooperation agreements.

**2. 1. 3 – Strategy:** Promote the negotiation and establishment of bilateral, plurilateral, and multilateral air service agreements.

**2. 1. 3. 1 – Initiative:** Reassess the procedure for negotiating and establishing bilateral air service agreements in order to include plurilateral and multilateral agreements.

**2. 1. 3. 2 – Initiative:** Diagnose the situation of existing agreements and propose measures to facilitate and promote regional integration.

**2. 1. 3. 3 – Initiative:** Exchange national negotiation strategies with other countries.

## **2. 2 – Objective: Guarantee the representativeness of the region before ICAO**

**2. 2. 1 – Strategy:** Identify alternatives that guarantee the representativeness of Latin America before the ICAO Council.

**2. 2. 1. 1 – Initiative:** Prepare a diagnosis of all possible strategies and define courses of action.

**2. 2. 2 – Strategy:** Approach other regional commissions to obtain support in ICAO Council elections.

**2. 2. 2. 1 – Initiative:** Establish an on-going communication mechanism with the secretariats and chairs of regional commissions.

**2. 2. 3 – Strategy:** Increase the number of Latin American officials and representatives in ICAO.

**2. 2. 3. 1 – Initiative:** Prepare databases of experts of the region duly qualified to become candidates and encourage them to do so.

**2. 2. 4 – Strategy:** Urge member States to apply a common strategy in the various international groups and panels.

**2. 2. 4. 1 – Initiative:** Make a diagnosis of ICAO groups and panels, and of the experts of the participating States.

**2. 2. 4. 2 – Initiative:** Identify regional differences.

**2. 2. 5 – Strategy:** Analyse the participation of other States in LACAC.

**2. 2. 5. 1 – Initiative:** Conduct a cost-benefit analysis of the accession of new member States and observers.

**2.3 – Objective: Promote coordination with international organisations and regional integration forums.**

**2. 3. 1 – Strategy:** Develop and implement a procedure for integration with other regional forums so as to avoid duplication of efforts.

**2. 3. 1. 1 – Initiative:** Assess the structure and functions of the different international organisations and integration forums.

**2. 3. 1. 2 – Initiative:** Identify the organisations and forums that deal with air transport.

**2. 3. 1. 3 – Initiative:** Promote a closer relationship with other organisations and forums to explain the work carried out by LACAC.

**2. 4 – Objective: Increase regulatory harmonisation among LACAC States**

**2. 4. 1 – Strategy:** Identify and assess regulatory differences among LACAC States.

**2. 4. 1. 1 – Initiative:** Prepare a diagnosis of regulatory differences among LACAC States (including the work plan of the LACAC-ICAO AVSEC/FAL Regional Group).

**2. 4. 1. 2 – Initiative:** Propose regulatory standards and harmonised procedures, or refer them to the technical groups or panels as applicable.

**2. 4. 1. 3 – Initiative:** Promote mechanisms for the approval and effective implementation of the proposed standards that are not being developed by other technical groups.

**2.5 – Objective: Promote the work of regional technical groups**

**2. 5. 1 – Strategy:** Provide political support to the technical issues addressed by regional groups.

**2. 5. 1. 1 – Initiative:** Promote the participation of experts in the regional groups.

**2. 5. 1. 2 – Initiative:** Include in the work agenda of the Executive Committee items of the regional groups that need political support.

**2. 5. 2 – Strategy:** Monitor the work conducted by the regional technical groups.

**2. 5. 2. 1 – Initiative:** Assign to the focal point the responsibility of informing LACAC about the progress made in the work of the regional technical groups.

**2. 5. 3 – Strategy:** Identify matters that must be submitted to the consideration of the regional technical groups.

**2. 5. 3. 1 – Initiative:** Request the corresponding regional group to analyse and develop the issue identified.

**2. 6 – Objective: Ensure the implementation of strategic management**

**2. 6. 1 – Strategy:** Review the LACAC governance model.

**2. 6. 1. 1 – Initiative:** Review the organisational structure and work methodology of LACAC (Assembly, Executive Committee, working groups, and Secretariat) to optimise the management of the organisation.

**2. 6. 1. 2 – Initiative:** Review the methods and procedures for drafting LACAC documents.

**2. 6. 2 – Strategy:** Establish a data bank with current and complete information on the civil aviation system of the region.

**2. 6. 2. 1 – Initiative:** Prepare a diagnosis and a comprehensive study of those issues that are more sensitive and of highest priority for the region.

**2. 6. 3 – Strategy:** Improve the qualitative and quantitative level of State responses to LACAC requirements.

**2. 6. 3. 1 – Initiative:** Establish a procedure for State responses to LACAC requests and requirements.

**2. 6. 3. 2 – Initiative:** Establish a procedure for communication and exchange of correspondence between States and LACAC, taking into account the top authorities and the designated points of contact.

**2. 6. 3. 3 – Initiative:** Establish a procedure for the conduction of familiarisation visits by new authorities of LACAC member States.

**2. 6. 4 – Strategy:** Monitor the implementation of the Strategic Plan.

**2. 6. 4. 1 – Initiative:** Entrust the Permanent Group with monitoring strategic management processes.

**2. 6. 4. 2 – Initiative:** Establish a programme of activities and schedule of meetings for the Permanent Management Group;

**2. 6. 4. 3 – Initiative:** Train the Secretariat in the use of the *Brainstormingweb* system.

**2. 6. 4. 4 – Initiative:** Formulate and implement the Work Plan, with strategic goals and indicators.

**2. 6. 4. 5 – Initiative:** Establish a procedure for the analysis and review of the Strategic Plan.

**2. 6. 5 – Strategy:** Associate the LACAC budget with the Strategic Plan.

**2. 6. 5. 1 – Initiative:** Adjust the LACAC budget to the objectives defined in the strategic plan.

**2. 6. 6 – Strategy:** Increase the participation of member States in LACAC meetings.

**2. 6. 6. 1 – Initiative:** Review the meeting communications plan.

**2. 6. 6. 2 – Initiative:** Review the procedure for defining the agenda for the meetings.

**2. 6. 6. 3 – Initiative:** Establish an incentive to increase and improve the participation of member States in LACAC meetings.

**2. 6. 7 – Strategy:** Increase the effectiveness of LACAC meetings.

**2. 6. 7. 1 – Initiative:** Update the work methodology and procedures of Executive Committee panels, including: improved communications for convening to meetings, definition of profiles and requirements for representatives, drafting of the preliminary report containing the decisions.

**2. 6. 7. 2 – Initiative:** Analyse the advisability of providing simultaneous interpretation services and translation of documents into Portuguese and English.

**2. 6. 8 – Strategy:** Monitor the adoption of resolutions by member States.

**2. 6. 8. 1 – Initiative:** Develop and implement mechanisms to monitor the adoption of resolutions by member States.

**2. 6. 9 – Strategy:** Reduce the level of dependence of States on the Secretariat.

**2. 6. 9. 1 – Initiative:** Develop and implement knowledge management.

**2. 6. 9. 2 – Initiative:** Develop and implement a procedure for the transfer of the position of Secretary.

**2. 7 – Objective: Strengthen training of human resources in the civil aviation system**

**2. 7. 1 – Strategy:** Expand the supply of courses and scholarships offered by LACAC with the support of other organisations or States.

**2. 7. 1. 1 – Initiative:** Make a diagnosis of the training needs of member States.

**2. 7. 1. 2 – Initiative:** Formulate and implement a programme of courses and scholarships.

**2. 7. 2 – Strategy:** Establish an internship programme among member States.

**2. 7. 2. 1 – Initiative:** Make a diagnosis of the supply and resources available in the States to receive experts from other countries of the region.

**2. 7. 2. 2 – Initiative:** Formulate and implement internship programmes among member States.

**2. 7. 3 – Strategy:** Reactivate IPAC.

**2. 7. 3. 1 – Initiative:** Monitor the process of reactivation of IPAC.

## **2. 8 – Objective: Strengthen the capacity of the aeronautical system to respond to contingencies**

**2. 8. 1 – Strategy:** Foster coordination in the region in case of contingencies, such as natural phenomena and disasters, endemics, terrorism, aircraft accidents, airline bankruptcy, or strikes.

**2. 8. 1. 1 – Initiative:** Develop risk mitigation plans for matters identified as priority issues.

**2. 8. 2 – Strategy:** Establish mechanisms to respond to crises.

**2. 8. 2. 1 – Initiative:** Develop crisis management plans.

## **3. Resource objectives**

Resource objectives are related to the way in which member States guarantee adequate availability of budgetary resources for the execution of the Strategic Plan.

They also include objectives concerning improved management of people so that LACAC may have the necessary human resources, in number and quality, for the execution of the foreseen projects.

LACAC has three resource objectives, namely:

### **3. 1 – Objective: Maintain an adequate infrastructure**

**3. 1. 1 – Strategy:** Maintain an adequate physical infrastructure.

**3. 1. 1. 1 – Initiative:** Assess whether the existing infrastructure is sufficient for the execution of the Strategic Plan.

**3. 1. 2 – Strategy:** Have the appropriate information and communication technology (ICT).

**3. 1. 2. 1 – Initiative:** Assess whether the existing ICT is sufficient for the execution of the Strategic Plan.

### **3. 2 – Objective: Improve the administrative management of people**

**3. 2. 1 – Strategy:** Ensure the transparency in the selection and administrative management of people in LACAC.

**3. 2. 1. 1 – Initiative:** Conduct a study on the budgetary impact of aligning the payment and labour right system of CLAC staff to the level of ICAO.

**3. 2. 1. 2 – Initiative:** Update and implement regulations for personnel selection and administration in LACAC (Secretary and technical personnel).

**3. 3. 2 – Strategy:** Have sufficient number of people aligned with the Strategic Plan.

**3. 2. 2. 1 – Initiative:** Conduct a study on the designation of officials of member States to be seconded to LACAC.

### **3. 3 – Objective: Improve fund raising and budget execution**

**3. 3. 1 – Strategy:** Ensure an effective budget execution.

**3. 3. 1. 1 – Initiative:** Establish a procedure for submitting accounts and disclosing the results of ICAO external audits.

**3. 3. 1. 2 – Initiative:** Establish an internal audit procedure to verify the alignment of expenditures to the Strategic Plan (cost/benefit analysis of resources).

**3. 3. 1. 3 – Initiative:** Establish a Reserve Fund.

**3. 3. 2 – Strategy:** Make sure that financial resources are sufficient for the Strategic Plan.

**3. 2. 2. 1 – Initiative:** Conduct a study to review the contributions to the LACAC budget to ensure an effective implementation of the Strategic Plan.

## Conclusion

This Strategic Plan is not the conclusion of the work of the Permanent Group. Once the objectives, strategies and initiatives have been established, the stage of implementation and execution follows.

It should also be noted that the Strategic Map, as well as the strategies and initiatives, constitute a set of assumptions to fulfil the Mission and Vision and the Strategic Objectives of the Commission. Accordingly, it is essential to define indicators for an effective follow-up and monitoring of initiatives.

Furthermore, it should be borne in mind that external variables, some of which are considered as assumptions of the plan, may change during the execution of the plan, requiring an update and adjustment.

In summary, this document is not definitive or unchangeable, but rather flexible, in constant evolution, and reflects the different visions of the region. Therefore, it is the first step in a long and consistent process of furthering the efficiency and transparency of our Commission. It is the road that leads to the strengthening of LACAC in face of the challenges of the international civil aviation system and to the fulfilment of its mission *vis-a-vis* member States.



# Attachment – Strategic Diagnosis

# Attachment 01

## Permanent Group for Updating Resolution A20-11

### *Consolidated diagnosis for the LACAC strategic plan*

#### I. Objective

1. The purpose of this document is to present a preliminary consolidated diagnosis of the strengths, opportunities, weaknesses and threats of the current strategic plan of the Latin American Civil Aviation Commission (LACAC). This diagnosis is the result of the inputs of the members of the Permanent Group for Updating Resolution A20-11 and will support the work not only of the Group but also of the consultant to be hired to assist in the development of the strategic plan of the Commission.

#### II. The Latin American Civil Aviation Commission

##### *a) Functions of LACAC*

2. As defined in its bylaws<sup>1</sup>, the main objective of the Commission is to provide civil aviation authorities of member States an adequate structure for discussing, planning and managing all the measures required for cooperation and coordination of civil aviation activities, and to promote an efficient, sustainable, safe, secure, orderly, and harmonised development of Latin American air transport for the benefit of all its users.

3. In order to meet its objectives, LACAC will perform all the necessary functions, especially:

- i. Foster and support coordination and cooperation among member States for the orderly development and best use of air transport within, to, and from Latin America;
- ii. Conduct economic studies on air transport in the region;
- iii. Promote a greater exchange of statistical information among member States through improved and timely reporting of information;
- iv. Encourage the implementation of ICAO standards and recommended practices, as well as LACAC decisions related to facilitation, and propose

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<sup>1</sup> <http://clacsec.lima.icao.int/2013-Normativa/estaatuto.htm>

supplementary measures for a more expeditious development of facilitation in the movement of passengers, cargo and mail within the region;

- v. Foster agreements among member States that may contribute to a better implementation of ICAO regional plans for the establishment of air navigation facilities and services and the adoption of ICAO specifications regarding safety, airworthiness, aircraft maintenance and operation, licensing, and investigation of aircraft accidents;
- vi. Foster agreements for personnel training in all civil aviation specialties;
- vii. Foster collective technical cooperation agreements in the field of civil aviation, with a view to making better use of all available resources;
- viii. Report and provide technical or specialised opinions on matters that are submitted to its consideration and that are consistent with its objectives;
- ix. Contribute to the development and integration of air transport among its member States; and
- x. Safeguard the aeronautical interests of its member States at the different global or regional forums where these issues are discussed.

4. These objectives and functions are based on the mission and vision established for the Commission, which are:

**Mission:** The integration of air transport in Latin America.

**Vision:** Envisage LACAC as an essential body to support member States and become a platform for fostering the development and safety of international civil aviation in the Latin American region.

## ***b) LACAC structure***

5. As established in Chapter IV of its bylaws, the structure of LACAC consists of two bodies, namely the Assembly and the Executive Committee. It also has a permanent Secretariat, based in the city of Lima, Peru.

6. The Assembly, as the highest body of the Commission, is made up by representatives of all member States, and must meet at least once every two years. In addition to approving Conclusions, Recommendations, and Resolutions, for which a simple majority of the represented States is enough, the LACAC Assembly, at each ordinary meeting, approves the composition of the Executive Committee (1 chairperson and 4 vice-chairpersons), always taking into account the geographical representation of the region and, in general, the principle of rotation and the contribution of each State to air transport in the region.

The Assembly also approves the work programme for the following biennium, including budget planning, and reviews the activities conducted during the previous period.

7. The Executive Committee, in turn, is the body of LACAC responsible for performing executive functions, especially the administration, coordination, and management of the work programme approved by the Assembly. In fulfilling its functions, the Executive Committee may establish committees and working groups or panels. Internal rules for LACAC meetings establish:

*“Article 40.*

*1. The Agenda for Executive Committee meetings, among other things, will include the following topics:*

- a. LACAC work programme and methodology.*
- b. LACAC expense budget.*
- c. The general meeting schedule (Assembly, committees, and working groups and panels).*
- d. Establishment and duties of subsidiary bodies (committees and working groups and panels).*
- e. The activities of the Secretariat and of the subsidiary bodies (committees and working groups and panels).*
- f. The relationship with ICAO and with the bodies mentioned in Article 7 of LACAC bylaws.*
- g. Non-member States and organisations that may participate as observers at the meetings of the Assembly and the subsidiary bodies.*
- h. The provisional agenda for Assembly meetings.”*

8. The current Executive Committee, which was elected at the 21st Session of the LACAC Assembly, consists of the following member States:

Latin American Civil Aviation Commission– LACAC EXECUTIVE COMMITTEE / 2015 – 2016 BIENNIUM	
Chair	GUATEMALA
1st Vice-Chair	COLOMBIA
2nd Vice-Chair	CUBA
3rd Vice-Chair	URUGUAY
4th Vice-Chair	ARGENTINA

9. The chairperson of the Committee, with the advice as needed of the four vice-chairpersons, holds the chair of LACAC for a period of 2 (two) years, and has the main function of externally representing the Commission. Furthermore, his/her functions, as defined in LACAC bylaws, are to:

- a) Consult with member State representatives or any other person or organisation with a view to meeting the objectives of the Commission;
- b) Convene ordinary, extraordinary, and special meetings of the Commission, the committees, and working groups and panels;
- c) Preside over Assembly and the Executive Committee meetings;
- d) Provide guidance and promote actions on topics of interest to member States;
- e) Coordinate a joint stance of member States at international forums and negotiations in its areas of competence;
- f) Represent the Commission on matters and acts of common interest within its area of competence, in accordance with its standards and objectives;
- g) Recommend or adopt measures to ensure the attainment of the goals and objectives of the Commission, including the signing of contracts or agreements, as may be deemed appropriate, after their approval by the Executive Committee;
- h) Ensure harmonious compliance with the obligations derived from LACAC bylaws; and
- i) Entrust the conduction of (financial and administrative) management audits of the Commission when deemed necessary or when so requested by any member State.

10. In accordance with the LACAC strategic plan, whose format was approved through Resolution A20-11, the Assembly must select 6 (six) macro-tasks, to be distributed among the members of the Executive Committee and another country volunteering to act as focal point. In general, the selection of macro-tasks is done by consensus among the States.

11. At present, the focal points are as follows:

Macro-tasks / 2015 – 2016 Biennium	
Safety	BRAZIL
Facilitation and Security (AVSEC/FAL)	CUBA
Airport management	URUGUAY
Transport and air policy	COLOMBIA
Training	ARGENTINA
Environment	GUATEMALA

12. As previously stated, the Executive Committee may set up panels to advise the Executive Committee on more technical matters that require a more in-depth study by States. To this end, the Panel on political, economic, and legal matters in air transport (GEPEJTA) was created to examine, study, and propose actions aimed at the development of regional air transport. The group meets twice a year, in accordance with the Programme of Activities approved at LACAC ordinary assemblies.

13. The main functions of GEPEJTA include the following:

- i. Analyse political, economic, and legal developments in air transport at sub-regional, regional, and global level;
- ii. Assess the sub-regional, regional, and global integration processes from the political, legal, and economic points of view;
- iii. Study and propose measures to promote the implementation of ICAO standards and recommended practices in terms of safety, facilitation and security;
- iv. Periodically review the regional decision regarding air transport policy criteria and guidelines, taking into account sub-regional trends and their possible harmonisation;
- v. Study policies and strategies for approaching other regional and sub-regional bodies that deal with topics related to air transport;
- vi. Propose positions and actions to be taken by LACAC member States at regional and global meetings convened by ICAO or other international organisations; and
- vii. Study the new trends in the area of Airport Administration, taking into account, *inter alia*, the privatisation of areas and services.

14. The GEPEJTA consists of technical experts designated by the civil aviation authorities of LACAC member States. Observers from other States, international organisations, and private entities can also participate. In order to support the fulfilment of its activities, the GEPEJTA creates thematic *ad hoc* working subgroups whenever specific issues are being addressed that warrant the use of such resource. These subgroups present their work through a rapporteur at ordinary panel meetings.

15. During GEPEJTA meetings, the focal points must present working papers and conduct the activities scheduled for their respective macro-tasks during the biennium. At the first meeting of GEPEJTA following the Assembly, each focal point must present a working paper describing all the activities to be carried out during the biennium, with their respective goals. At the end of the period, at the last meeting prior to the Assembly, the focal points must present a preliminary report of the status of implementation of the activities, for approval by the other members of the Group.

16. In addition to GEPEJTA, the LACAC-ICAO AVSEC/FAL Regional Group was also created within the framework of the Cooperation Agreement between the International Civil Aviation Organization (ICAO) and LACAC, signed in 2010. It should be noted that the AVSEC/FAL Group already existed within LACAC, so the LACAC-ICAO Agreement only grouped together the tasks of the LACAC Group with those of interest to ICAO in order to avoid duplication of efforts.

17. The main objective of the Group is to improve and establish security and facilitation requirements for air transport operations in the region, settling and reducing potential acts of unlawful interference against civil aviation. In addition to promoting and strengthening regional cooperation, the Group shall also establish a regional mechanism for the implementation of the standards contained in Annexes 9 and 17, with emphasis on the development of a regional policy for the organisation, operation, and compliance with international regulations.

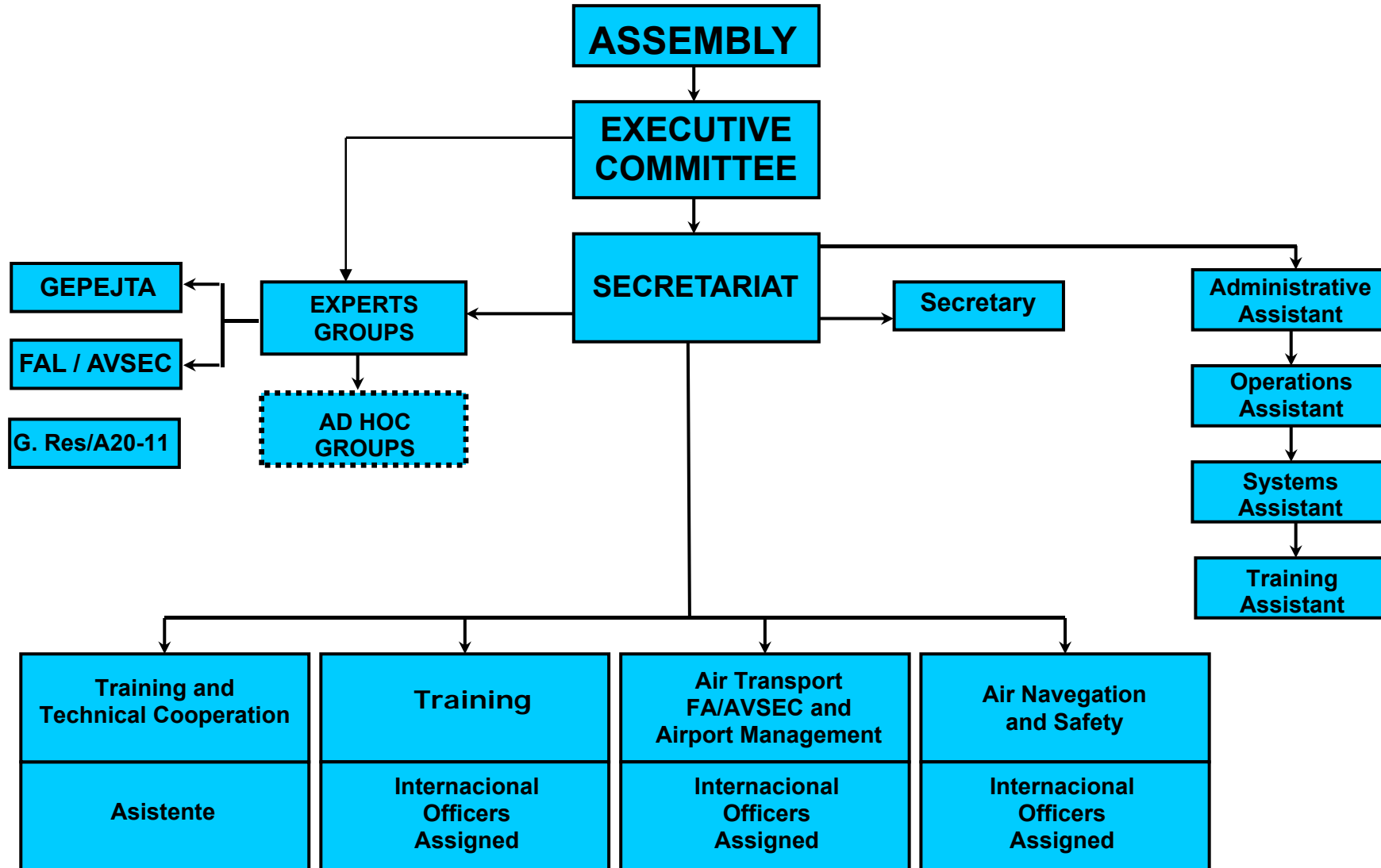
18. The Group meets once a year, in accordance with the Meeting Schedule approved at LACAC ordinary assemblies, and in coordination with the agenda of ICAO Regional Offices. The AVSEC/FAL/RG is made up by experts of the NAM/CAR/SAM Regions, and must report on its activities and results to the directors of civil aviation and appropriate authorities through reports prepared by the ICAO and LACAC Secretariats.

19. It should be noted that, all throughout 2014, the Group did substantial work on its strategic plan, based on the technical support of a specialised consultant. At its third meeting, the LACAC-ICAO ASVSEC/FAL Regional Group (Lima, Peru, June 2013) established a working group to design a Strategic Plan, with medium- and long-term objectives, which defined strategies and quantifiable goals based on a timetable. To that end, the Group took into account the LACAC Strategic Plan, the ICAO Strategic Plan, LACAC Resolution A20-11, and the terms of reference, work programme and projects of the AVSEC/FAL/RG. The results of the work carried out by the Group are shown in the attachment to this document.

20. The main functions of the Regional Group are as follows:

- i. Provide a forum for States, partners, and parties concerned to discuss, coordinate, and cooperate issues related to security and facilitation, exchange relevant information, and assess threats and risks;
- ii. Review the analyses of regional trends of security and facilitation weaknesses, and develop a regional harmonised action plan to resolve them;
- iii. Promote and provide a mechanism for regional coordination and cooperation among aviation security and facilitation authorities of the States, international organisations, regional oversight bodies, and the industry; and
- iv. Share “best practices” among States and use the capacity available in some States/administrations to assist others.

21. The organisational structure of LACAC is schematically shown below:



Secretariat's role is to manage the contribution of the Member States by temporary allocation international Officers Assigned for the development of specific projects under the designating State.



### *c) The Secretariat*

22. The main functions of the LACAC Secretariat involve administrative management, budget coordination, organisation of meetings, conduction of studies, processing of correspondence, file keeping, and monitoring of the work programme.

23. The Secretary of LACAC is selected by the Executive Committee for a period of 4 (four) years, and can be re-elected to that position for an indefinite period, at the discretion of the Executive Committee. The candidate must have ample experience in civil aviation matters, renowned prestige and be a citizen of one of the member States. The current secretary of LACAC has occupied that position since 2007. It should be noted, however, that between 1994 and 2006, the functions of the Secretariat were handled by the ICAO Regional Transport Office, which also provided LACAC with secretarial services.

24. In accordance with LACAC bylaws, the Secretary has the following functions:

- i. Be the legal representative of the Secretariat before the host State, in accordance with the Host Agreement signed;
- ii. Perform the technical and administrative tasks of the Secretariat;
- iii. Manage the assets of the Commission and prepare the relevant reports;
- iv. Keep member State representatives informed about the activities of the Commission;
- v. Submit to the Executive Committee the draft Internal Regulation and Procedures for meetings, and keep them updated;
- vi. Hire and dismiss the technical and administrative staff of the Secretariat, strictly taking into account their eligibility, competence and honesty;
- vii. Manage member States contributions in terms of secondment of international officials to specific projects, at the cost of the designating State;
- viii. Submit to the approval of the Executive Committee the draft expense budget of the Commission for the period between assemblies; and
- ix. Participate in events related to the activity of the Commission, with the permission of the Chairperson, and submit reports to the Executive Committee.

### *d) The budget*

25. At each ordinary meeting, the Assembly is responsible for ratifying and defining the expense budget for the activities of the Commission, in accordance with the work programme foreseen for the following years. In turn, the Executive Committee may modify this budget following consultation with member States and with the approval of two thirds of said States.

26. At the last meeting prior to the Assembly, and also during the Ordinary Assembly itself, the LACAC Secretary submits to the States the accounts of the previous biennium for approval, with all expenses duly classified.

The Secretary also presents the expenses for the following biennium, with the respective fee that corresponds to each member State.

27. However, it should be noted that the budget accounting method available to the States is the report of the Secretary submitted to both the Executive Committee and the Assembly, at the end of each biennium. Based on the "Administrative service agreement between LACAC and ICAO", ICAO must send to LACAC, on a quarterly basis, the status of income and expenditures, and the audited balance once a year, in accordance with ICAO procedures and its external auditor. However, the budget is not aligned with the strategic objectives and the work plan of the Commission for the biennium, which restricts significantly the scope of action of LACAC on matters of great impact for the States.

### III. Preliminary diagnosis of the current Strategic Plan

28. The current form of strategic plan of LACAC, as established in Resolution A20-11<sup>2</sup>, provides the Commission with a structure that guides the work done by member States and the Secretariat. It also provides a formula to calculate the status of implementation of the actions planned for each biennium, and defines operational responsible parties (focal points) for the macro-tasks of the Commission.

29. Despite the advantages of the current model, there are some issues in the format approved by said Resolution and reflected in the strategic plans approved by the recent LACAC Ordinary Assemblies.

#### *i. Strategic objectives*

30. In the first place, it is important to have clarity regarding the guiding objectives of the Commission. According to the strategic plan approved for the biennium 2013/2014 and confirmed for the current biennium, the main objective of LACAC is air transport integration. Although it is one of the reasons for the existence of an organisation like LACAC, the integration statement is too broad and generic to serve as guidance, on its own, for the actions of the Commission.

31. In the case of macro-tasks, the strategic plan is more concrete. Nevertheless, the directives and priority issues within each macro-task are not defined. Although it is possible to identify the areas of civil aviation more important for LACAC, it is not possible to tell which actions are to be performed in each of them.

That is, the LACAC strategic plan does not define long-term objectives and guidelines for macro-tasks, based on a precise diagnosis.

32. Therefore, it is essential for LACAC to define, as part of its strategic plan, the long-term guiding objectives capable of guiding the actions of the entity for a period beyond 2 (two) years, in order to provide the stability and clarity sought through the actions of the Commission. To that end, specific plans would need to be approved to define the operating guidelines of LACAC with respect to macro-tasks, stemming from the guiding objectives.

33. In this regard, the Resolution that approves the Strategic Plan should define the guiding objectives of LACAC, which should remain valid for at least several biennia—no less than 2 (two), thus ensuring long-term survival of the main approach of LACAC.

#### *ii. Focal points*

34. The establishment of focal points is critical for a responsibility assignment system to ensure full execution of the tasks envisaged. In accordance with Resolution A20-11, it is within the competence of focal points to submit to the approval of the Executive Committee

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<sup>2</sup> Resolution A20-11 was adopted at the 20th LACAC Assembly, which took place in Brasilia in 2012. It established LACAC mission, vision, objectives and goals of each 6 “General task”, which would guide State’s work for biennium 2013-2014.

the objectives and activities to be accomplished in order to comply with the macro-task under their responsibility.

35. However, the competencies and responsibilities of focal points are not defined in terms of the execution of the proposed tasks, which together with the lack of definition of short- and long-term guiding objectives, prevents a more effective action by focal points.

### *iii. Quantifiable goals*

36. Taking into account the absence of more specific guiding objectives to guide the actions of the Commission, the selection of tasks to be carried out under the macro-tasks does not obey to pre-established criteria. The basic criterion for the inclusion of a task in the LACAC strategic plan is the request by a member State. Although this procedure guarantees flexibility in the construction of the plan, it also generates dispersion of efforts by the agents responsible for complying with the macro-tasks (focal points). Therefore, when consolidating the Strategic Plan, there is no assurance of cohesion, thus preventing an objective assessment of progress made in the attainment of the strategic objectives of the Commission.

37. Consequently, the guidelines for the formulation of the Strategic Plan must contain a general definition of a macro-task, and a system for clear insertion or modification of the macro-tasks of the Strategic Plan. It is important to note that the macro-tasks, by themselves, represent the strategic objectives of LACAC, or, in other words, the mode of operation of LACAC to attain its “vision”, taking into account its guiding objectives.

38. The strategic objectives of an organisation consist of quantifiable goals, established through a rational process that takes into account the diversity of interests, the selection of priorities, and the efficient allocation of resources.

39. As a result of equating LACAC macro-tasks with its strategic objectives, the composition of each macro-task must be defined in groups of issues associated to the same strategic objective, and the same to its goals. This would provide the entity specific guidelines for each of its activities.

40. The advantage of establishing goals for each macro-task is that tasks can be organised in consistent groups whose results can be assessed based on one same macro-task. Another advantage is that it solves the problem of lack of precision in the assessment of compliance with objectives, an issue that was extensively discussed at the 83rd meeting of the Executive Committee.

### *iv. Imprecision of the “vision” and “purpose” (mission) concepts*

41. The “vision” concept described in academic literature on strategic planning refers to the environment in which the organisation operates. It is a statement that describes the ideal environment resulting from the actions taken by the organisation. The “vision” statement presented in Resolution A20-11 makes reference to the purpose of the actions of LACAC, and makes no reference to the environment pursued by the Commission.

42. The “purpose” (mission) concept refers to the actions to be carried out by the organisation to attain its “vision”. In Resolution A20-11, the “purpose” statement gets mixed up with the purpose of the strategic plan itself. Furthermore, the stated “purpose” makes reference to the defined objectives, without considering that the strategic plan only mentions one extremely generic objective (integration of air transport in Latin America).

43. It is necessary to redefine the “vision” and “purpose” statements in order to adjust the concepts used in the LACAC strategic plan, and communicate more clearly the role of LACAC among member States and the international organisations involved.

#### *v. Assessment of the impact of the decisions by the Commission*

44. The grouping of tasks in quantifiable goals permits the assessment of each macro-task, defined by a set of consistent goals, in a given period. For example, it gives a more precise idea of the progress made in each macro-task at the end of the biennium.

45. Furthermore, in order to have a more precise knowledge of the impact of LACAC decisions on the national regulations of its member States (in other words, the effectiveness of the decisions that will guide the definition of the Strategic Plan), some type of assessment must be established to supplement the work performed by the Executive Committee.

46. It is proposed here that, at the Ordinary Assemblies of the Commission, member States be strongly advised to report on the laws, regulations or other national standardisation provisions that have been adopted, supplemented, or amended as a result of LACAC decisions (resolutions or recommendations). Thus, LACAC may have a comprehensive way of assessing the efficiency (related to the completion of tasks) and efficacy (the impact of its approved measures) of its actions.

47. Consequently, with a systematic assessment, the Commission will have concrete data to guide its decisions concerning the Strategic Plan, whether modifying its objectives (changing the group of macro-tasks), or changing the approach to a macro-task, always seeking to improve the efficacy of its decisions in order to become a point of reference concerning best practices in Latin America.

#### *vi. Other issues*

48. In addition to the aforementioned issues, the members of the Permanent Group must take note of other matters for proper evaluation of the Strategic Plan and the capacity to deliver of LACAC, namely:

- a. Lack of a precise diagnosis of LACAC functions, short- and medium-term scenarios of the environment at the international and Commission level;
- b. Lack of relationship between the objectives of the Commission and its financial capabilities;
- c. Lack of a methodology for periodically reviewing the Strategic Plan and Work Plans of LACAC; and

- d. Lack of a more clear and objective definition of the responsibilities, duties, and powers of the Secretary of LACAC, as well as of the process for his/her election and re-election.

49. In summary, this preliminary diagnosis can be consolidated in the following table:

#### IV. Analysis of strengths, weaknesses, opportunities, and threats (SWOT analysis)

Deficiencies identified	Desirable actions
<b>Lack of a precise diagnosis of LACAC functions, weaknesses and strengths<sup>3</sup>, short- and medium-term scenarios of the environment at international and Commission level.</b>	a) Internal diagnosis: survey of processes, activities, and resources; b) Survey of the respective strengths and weaknesses; c) External diagnosis: table of variables and key actors, with an analysis of opportunities and threats; d) Drafting of the current vision: crossing of strengths, weaknesses, opportunities, and threats (swot matrix); e) Development of prospective scenarios: definition of strategic issues, consultation with experts (Delphi method), definition of most likely, most desirable scenarios.
<b>Lack of definition of long-term objectives and selection of priorities.</b>	Definition of strategic objectives: strategic map (BSC), indicators, quantifiable goals related to the strategic objectives of the Commission and tasks.
<b>Lack of specific and detailed work plans for macro-tasks.</b>	a) Development of criteria for defining specific plans for macro-tasks; registry of initiatives (projects) and strategies to attain objectives.
<b>Lack of responsibilities and powers of focal points.</b>	Definition of responsibilities and powers of focal points.
<b>Lack of relationship between the objectives of the Commission and its financial capabilities.</b>	Analysis of financial aspects is close connection with LACAC strategic objectives.
<b>Imprecision of the “vision” and “purpose” (mission) concepts.</b>	Redefinition of the vision and mission concepts of the Commission.
<b>Lack of assessment of the impact and acceptance of Resolutions and Recommendations.</b>	Establishment of a methodology for assessing the implementation and acceptance of Resolutions and Recommendations.
<b>Lack of a methodology to periodically review the LACAC Work Plans and Strategic Plan.</b>	Development of a Guide for Reviewing LACAC Work Plans and Strategic Plan.
<b>Lack of a more clear and objective definition of responsibilities, duties, and powers of the LACAC Secretary, as well as of the process for his/her election and re-election.</b>	More objective establishment and review of the responsibilities, duties, and powers of the LACAC Secretary, and of the process for his/her election and re-election.

50. Between 23 and 24 March 2015, the members of the Permanent Group held a face-to-face meeting in the city of Bogota, Colombia, to conduct an in-depth SWOT analysis of the strengths and weaknesses of LACAC that must be taken into account in the formulation of

<sup>3</sup> SWOT analysis conducted by the Permanent Group and shown in the section following this diagnosis.

the strategic plan. They also mapped the opportunities and threats that the Commission might be facing in the short and medium term.

51. According to the proposed methodology, the Group first did some brainstorming and then analysed in more detail each one of the resulting ideas. Based on that, the Group prepared the following SWOT matrix:

#### 4.1. Strengths

52. In the initial brainstorming, the experts of the Permanent Group listed the following strengths of LACAC that needed to be reinforced in the strategic plan of the institution:

Idea	Rationale
<b>1. Culture of meetings and high power of appeal.</b>	Important culture for sharing information in the region and establishing common positions.
<b>2. Consultative rather than binding nature of resolutions and decisions.</b>	This allows discussions to be more comprehensive and to take into account the different viewpoints of the States. Not binding does not mean not important. (Possible strategy: mechanisms to disseminate LACAC decisions and procedures, and their significance).
<b>3. Forum for discussing common issues of the region.</b>	Extra-regional recognition and negotiating power.
<b>4. Qualitative products, especially on political matters – political power of LACAC.</b>	
<b>5. Establishment of agreements and arrangements with other regions and countries.</b>	LACAC facilitates the establishment of these agreements.
<b>6. Political management of technical issues (i.e., safety).</b>	LACAC provides the necessary political drive for the adoption of technical issues by States.
<b>7. Promote integration of the regulatory framework and assistance to the States that have not yet adopted the standards of the regional system.</b>	Refer to the previous item.
<b>8. Respect to the different viewpoints of the region.</b>	
<b>9. International presence of LACAC.</b>	The participation of LACAC in different international forums enables the regional stance to be taken into account in discussions.
<b>10. Capacity to coordinate and guide the work of LACAC.</b>	
<b>11. Democratic nature of LACAC decisions – search for consensus.</b>	The search for consensus allows all viewpoints to be taken into account during discussions.
<b>12. Political role of LACAC.</b>	LACAC plays an important role in international negotiations with ICAO and other regional bodies and independent States. Refer also to item 7 (Political contribution to technical issues).

<b>13. Training forum.</b>	LACAC offers States various courses and workshops on aviation issues.
<b>14. Forum for feedback and exchange with technical groups and forums (i.e., SRVSOP, RASG-PA, COCESNA/ACSA).</b>	
<b>15. LACAC becomes an entity with broad participation of extra-regional States and organisations, as well as other actors of the sector (i.e., airlines).</b>	In addition to States, we have other actors attending LACAC meetings as observers.
<b>16. Experience and skill of the current Secretary of LACAC.</b>	
<b>17. Offering of internships and fellowships to member States based on training agreements signed with other States and international organisations.</b>	

## 4.2. Weaknesses

53. In addition to the items mentioned in the previous section, the experts of the Permanent Group arrived at the following conclusions regarding the weaknesses of the current work model of LACAC:

Idea	Rationale
<b>1. Position adopted by some States at the Assembly, even though they have not participated in the work carried out during the biennium.</b>	Some States do not participate in the discussions during the biennium and, on occasion of the Assembly, take diverging positions that may affect the decision-making process of LACAC. (A procedure or mechanism is needed to encourage constant participation of States).
<b>2. Lack of objectiveness at meetings and delays in discussions.</b>	
<b>3. Lack of continuity of experts designated by States to work in the groups.</b>	This lack of continuity can hinder discussions within the groups, since sometimes it is necessary to pick up already concluded matters or discussions, thus delaying tasks.
<b>4. Little response from States (i.e., surveys and requests/requirements for information by LACAC groups).</b>	
<b>5. Consultative rather than binding nature of LACAC decisions<sup>4</sup></b>	Because of this consultative nature, decisions are not binding.

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<sup>4</sup> As to the fact that this characteristic is considered as both a strength and an weakness, the comment of Argentina should be noted: "This dichotomy requires an analysis of both statements. We believe that it should be summarised in a single statement. This is based on the fact that, first of all, the non-binding nature, expressed as a weakness in such a succinct and simple way, does not reflect the importance of the topic, since it is not expressly associated to the issue that causes this situation. Therefore, if it is to be maintained as a "weakness", it should be completed. By way of example, safety-related issues are not the same as those related to aspects of a different nature. Secondly, if expressed as a strength, more



6. Duplication of efforts.	Sometimes, the advances made by other organisations or States are not taken into account when addressing certain aeronautical issues in LACAC.
7. Lack of coordination with other bodies for the establishment of a political approach of LACAC to aeronautical issues.	There are issues addressed by other regional forums that are submitted (or not) for discussion in LACAC, without a clear idea as to the most political approach to be adopted by LACAC groups regarding these aeronautical matters.
8. Little coordination with technical forums (SRVSOP, RASG-PA, etc.) regarding the input required from LACAC.	There must be coordination and exchange of information with these forums.
9. Lack of clarity regarding the powers and responsibilities of focal points in their role as macro-task coordinators.	For example, sometimes, the focal point does not assume his/her role of coordinator at international conferences, resulting in the publication of individual working papers instead of coordinating a common position of the region.
10. Lack of support from the other States to the activities proposed by the focal point.	It can also be seen as a threat of what can be achieved from the work.
11. Lack of a procedure in case of non-compliance of tasks by the focal point.	Need to develop a mechanism to replace the focal point to ensure compliance with the task.
12. Lack of progress in some tasks.	Refer to the previous item.
13. Lack of internal support to national authority representatives.	
14. Types of LACAC meetings (duplication of meetings; e.g., GEPEJTA/CE).	It occurs in the four cases: <i>ad hoc</i> groups, GEPEJTA, Executive Committee, and Assembly.
15. Lack of coordination and follow-up to the participation of States throughout the biennium.	Refer to item 21.
16. Selection of topics for the work agenda.	Little interest of States on certain topics. Thus, the selection of topics must take into account the issues considered to be of greater importance or priority for the States.
17. Lack of clarity with respect to the air transport integration concept.	
18. Role of LACAC in terms of regional integration, <i>vis-à-vis</i> airlines.	
19. Delay in the posting of working papers on the LACAC website.	
20. Lack of a clear distinction between the integration and liberalisation concepts.	

21. Definition by LACAC of unique or general market trends in air transport (e.g., in the case of market liberalisation).	There are cases in which LACAC items do not clearly define the different perspectives and policies adopted by the States.
22. Lack of follow-up to the work or working papers presented at ICAO conferences, groups and assemblies.	
23. Lack of coordination with aeronautical authorities and their representatives at the ICAO Council on issues addressed by LACAC.	
24. The lack of initiative by States generates a high degree of dependence of LACAC on the work of the Secretariat.	
25. Delay in the response of focal points for the construction of the agenda for LACAC meetings and in the delivery of working papers.	
26. Lack of analysis of working papers by State representatives prior to the meetings.	
27. Resolution A20-11 does not clearly specify the function of focal points regarding the drafting of documents required for discussing, within LACAC, those issues that will be taken to international conferences or meetings (Guide).	
28. Lack of clarity in the definition of focal points and their activities during LACAC coordination meetings within the context of international conferences or meetings.	
29. Lack of clarity as to the methods of accession by new States.	
30. Lack of definition of how the budget will be adjusted to the expected structure of LACAC.	
31. Lack of clarity in the structure of documents issued by LACAC.	
32. Need to review the mechanisms for communication with States.	Need to modify Recommendation A17-18.
33. Not all States express their opinion regarding the topics addressed by LACAC groups.	

### 4.3. Opportunities

Idea
1. Need to use other languages (English and Portuguese) in the work carried out in the region, as an incentive to the participation of other States.
2. International presence of LACAC.
3. Assistance by ICAO (studies and resolutions issued by the organisation).
4. Use of virtual tools for some LACAC meetings.
5. Conduction of economic studies of air transport.
6. Coordination with other international organisations dealing with air transport issues ( <i>i.e.</i> , WTO) through a forum.
7. Establishment of binding and non-binding mechanisms (like ICAO).
8. Review of Resolution A16-11.
9. Establishment of mechanisms for communication between the States of the region and organisations or States from other regions.
10. Establishment of LACAC as a point of reference in documents presented by the region, given its international standing.
11. Concerted action of the region at international forums and conferences.
12. Procedure for aeronautical authorities to instruct their representatives before the ICAO Council to coordinate the LACAC position.
13. Establish mechanisms to handle different positions and policies.
14. International officials seconded to the Secretariat for the implementation of projects and studies.

### 4.4. Threats

Idea	Rationale
<b>1. Lack of a clear relationship between LACAC and other sub-regional forums (<i>e.g.</i>, Andean Community, Fortaleza Agreement, UNASUR) – establishment of limits to action.</b>	Possibility that these forums do not recognise LACAC as the main regional body on air transport matters.
<b>2. Risk of losing representativeness in the ICAO Council, as well as in the chart of dignitaries of ICAO.</b>	It has been noted that other States and regions consider that there is overrepresentation of Latin America in the ICAO Council.
<b>3. Loss of motivation by States in relation to the role of LACAC.</b>	
<b>4. Loss of influence of LACAC within the ICAO Council due to lack of competence and experience of some representatives of Latin American States.</b>	