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COMMITTEE B

Agenda Item 6: Organizational safety issues
6.1 Strategic plan
6.1.1: Vision and overview of the Global Aviation Safety Plan (GASP), 2020-2022 edition
6.1.2: Enabling safety performance monitoring; goals, targets and indicators in the 2020-2022 edition of the GASP

PERFORMANCE OF THE SAM REGION WITHIN THE USOAP CMA AND REGIONAL PLANNING IN ORDER TO MEET THE STRATEGIC OBJECTIVE FROM THE GASP 2020-2022, RELATED TO STRENGTHENING SAFETY OVERSIGHT

(Presented by Argentina, supported by SAM States[2], except Chile)

REVISION NO. 2

EXECUTIVE SUMMARY

This paper presents the performance of the SAM Region within the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) and the planning required in order to meet the Strategic Objective (SOs) from the draft Global Aviation Safety Plan (GASP, 2020-2022) related to improving effective implementation (EI) by 2028 and achieving and maintaining a positive safety oversight margin for all categories as of 2022.

Action: The Conference is invited to:
a) take note of the information presented in this working paper; and
b) consider the planning and measurement initiatives described in Section 3 of this working paper and to promote similar mechanisms in other Regions to enable States to comply with the national and regional safety objectives derived from the GASP objectives.

[1] Spanish version provided by Argentina.
[2] Supported by 12 Contracting States, except Chile (Argentina, Bolivia (Plurinational State of), Brazil, Colombia, Ecuador, Guyana, Panama, Paraguay, Peru, Suriname, Uruguay and Venezuela (Bolivarian Republic of)).

1. INTRODUCTION

1.1 The two-year transition to the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) took place from 2011 to 2012 and the full programme was launched on 1 January 2013, as scheduled and adopted by the Council of ICAO during its 197th Session in November 2012. The transition plan included several activities related to the USOAP CMA, such as: the launching of the Online Framework (OLF), the preparation of supporting guidance texts and documentation, the training of auditors and experts, and the conduct of *in situ* CMA activities within the States. During the transition, ICAO changed its approach in order to generate findings related to protocol questions (PQs) instead of findings and recommendations (F&Rs). ICAO also modified the formulas for calculating effective implementation (EI) in order to render the EI percentage more accurate.

1.2 Furthermore, ICAO introduced the first version of the GASP in 1997 to guide and establish priorities and objectives within the Organization's technical work programme. This plan is updated regularly to ensure its relevance over time. The 2020-2022 draft edition is currently being prepared, which includes new objectives in the safety management area, the proposals of which have been considered in the development of the safety axis (SAMSP) of the *Regional Plan for the Sustainability of Air Transport in the SAM Region*.

1.3 Within the area of safety axis (SAMSP), SAM States have established the corresponding tasks in order to meet the strategic objectives of the SAM Region, the Regional Aviation Safety Group-Pan America (RASG –PA) and the draft Global Aviation Safety Plan (GASP, 2020-2022).

2. PERFORMANCE OF THE SAM REGION WITHIN THE USOAP CMA

2.1 The USOAP CMA activities in the SAM Region were initiated in November 2011. Until 31 July 2018, five CMA audits, fourteen ICAO-coordinated validation missions (ICVMs), two integrated validation activities (IVAs), and five *ex situ* observation activities were carried out. The current EI average for the SAM Region is 78.62 per cent, while the overall improvement average in the seven (7) years of analysis (November 2011 – July 2018) is more than 12.34 per cent, which indicates that the SAM Region improved its EI by an average annual percentage of 1.76 per cent.

2.2 With the EI of 78.62 per cent, the SAM Region confirms the commitment made to continuous improvement, with sustained growth in the 2011-2018 period.

3. SAM REGIONAL PLANNING IN ORDER TO MEET THE STRATEGIC OBJECTIVE FROM THE GASP 2020-2022, RELATED TO STRENGTHENING SAFETY OVERSIGHT

Effective Implementation (EI) and Safety Oversight Margin (SOM)

3.1 To ensure regional planning for South America in terms of safety, the SAM Region has developed the safety axis (SAMSP) within the *Regional Plan for the Sustainability of Air Transport in South America*. The SAMSP establishes the regional safety priorities, goals, indicators and targets based on the global goals, indicators and targets from the GASP to guide SAM States in the development of their national priorities, goals, indicators and targets.

3.2 In order for SAM States to attain their national objectives of 95 per cent EI in 2028 in compliance with SAMSP and GASP, four groups of States have been established based on their current

EI: Group 1 for States with an EI below 65 per cent; Group 2 for States with an EI between 65 and 74.99 per cent; Group 3 for States with an EI between 75 per cent and 84.99 per cent; and Group 4 for States with an EI between 85 and 95 per cent. States with lower EIs should make a greater effort than States with higher EIs to reach the 95 per cent SAMSP objective in 2028. In addition, the SAM Office will manage technical assistance projects to support the States with lower EIs, in compliance with the targets established in their national safety plans. The following table presents the indicators, goals and targets of South American States based on the objectives of the SAM Region and its annual projection.

States with Effective Implementation (EI):	**2020** SSP implementation percentage EI improvement percentage Improvement in the Safety Oversight Margin (SOM)	**2022** EI improvement percentage SOM+	**2024** EI improvement percentage SOM+	**2025** SSP implementation percentage EI improvement percentage SOM+	**2026** EI improvement percentage SOM+	**2028** EI improvement percentage SOM+
below 65 per cent **Group 1**	Sustainable SSP (100 per cent) 75 per cent and SOM improvement	80 per cent and SOM+	85 per cent and SOM+	effective SSP (100 per cent) 87.5 per cent and SOM+	90 per cent and SOM+	95-100 per cent and SOM+
between 65 and 74.99 per cent **Group 2**	Sustainable SSP (100 per cent) 80 per cent and SOM improvement	85 per cent and SOM+	90 per cent and SOM+	effective SSP (100 per cent) 92.5 per cent and SOM+	95 per cent and SOM+	95-100 per cent and SOM+
between 75 and 84.99 per cent **Group 3**	Sustainable SSP (100 per cent) 85 per cent and SOM improvement	90 per cent and SOM+	95 per cent and SOM+	effective SSP (100 per cent) 95 per cent and SOM+	95 per cent and SOM+	95-100 per cent and SOM+
between 85 and 95 per cent **Group 4**	Sustainable SSP (100 per cent) 95 per cent and SOM improvement	95 per cent and SOM+	95 per cent and SOM+	effective SSP (100 per cent) 95 per cent and SOM+	95 per cent and SOM+	95-100 per cent and SOM+

3.3 Considering that the SAM Region has improved its EI by 12.34 per cent during the last seven (7) years corresponding to the USOAP CMA cycle and that the annual improvement average is 1.76 per cent, in the planning of targets for each State, a progressive annual improvement of 2.5 per cent has been considered in the SAMSP. This proposal for progressive annual improvement is based on the fact that several States will receive technical assistance from the SAM Office and SRVSOP regarding the completion of their corrective action plans (CAPs) and the review of the Protocol Questions (PQs). Similarly, the States will develop in their safety plans activity timelines for the implementation of CAPs and for the review of PQs. Once the technical assistance projects have been initiated, the SAM States will be able to reach and maintain a positive safety oversight margin (SOM+) as of 2022.

Safety measurement

3.4 In order to measure the progress of States related to their targets established based on the national and regional objectives from the SAMSP and RASG-PA and on the global objectives from the GASP, the following measures are proposed:

a) modify the frequency between USOAP CMA audits to five years, considering that an approximate 10-year frequency is currently being maintained. The GASP objective regarding the strengthening of safety oversight is based on a 10-year period (2020-2030); therefore, measuring the States' progress at least once in the middle of the period (at five years) would make it possible to determine whether or not the States

have made progress in the established targets, and if they have not achieved the targets, to be able to establish the necessary measures to ensure that the States achieve the set targets. Otherwise, if the measurement is made at the end of the 10-year period (2030), there will be no time to implement the necessary corrective measures; or

b) if the approximate ten-year cycle is maintained, allow the Regional Offices to carry out the necessary measurements through regional audits, the results of which do not affect the EI obtained based on USOAP CMA activities; or

c) identify other measurement methods.

4. CONCLUSION

4.1 During the last decade, the SAM Region has experienced significant progress in terms of safety improvement, which is reflected in an EI with an average annual percentage of 1.76 per cent of positive growth and an approximate 80 per cent reduction in the accident rate related to the regular commercial air transport sector, with aircraft above 5 700 kg. as of 2009.

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