



International Civil Aviation Organisation
South American Regional Office
Eleventh Meeting of Civil Aviation Authorities of the South American Region
(RAAC/11)
(Santiago, Chile, May 6-8, 2009)

Agenda Item 4: Analysis of the level of safety oversight achieved in the Region

d) Review of the activities being carried out by the Regional Aviation Safety Group - Pan-American

(Presented by the Secretariat)

SUMMARY

This working paper presents the background of the creation of the Regional Aviation Safety Group – (Pan American) and the progress made since its inception in May 2008, with a view to urging the SAM Regional Directors to actively participate in the implementation of the ICAO Global Aviation Safety Plan (GASP) and the Roadmap.

References:

- Resolution A 36-7 of the 36th Session of ICAO Assembly;
- Declaration of the Conference of Directors General of Civil Aviation on a Global Safety Strategy (Montreal, 2006); and
- ICAO Global Aviation Safety Plan (GASP).

Strategic Objectives:

A: Safety — *Enhance global civil aviation safety*

1. Identify and monitor existing types of safety risks to civil aviation and develop and implement an effective and relevant global response to emerging risks.
4. Develop global remedial plans that target the root causes of deficiencies.
5. Assist States to resolve deficiencies through regional remedial plans and the establishment of safety oversight organisations at the regional or sub-regional level.
6. Encourage the exchange of information between States to promote mutual confidence in the level of aviation safety between States and accelerate the improvement of safety oversight.
8. Support the implementation of safety management systems across all safety-related disciplines in all States.

1. Introduction

1.1 The Regional Aviation Safety Group – (Pan American) (RASGPA) was established in 2008 in order to comply with:

- a) The Strategic Objectives of the International Civil Aviation Organization (ICAO), as approved by the 36th Session of the ICAO Assembly held in 2007.
- b) Resolution A36-7 - ICAO Global Safety and Efficiency Plan.
- c) ICAO Global Aviation Safety Plan (GASP), Global Safety Initiative (GSI) 5 – *Subsequent Coordination of Regional Programmes.*
- d) The Global Aviation Safety Roadmap (GASR), Focus Area 5 – *Lack of uniformity in the coordination of regional programmes*, prepared for ICAO by the Industry Safety Strategy Group (ISSG) in 2006, and supported by the recommendation of the DGAC/6 meeting (Montreal, 2006) approved by the ICAO Council in 2006.

1.2 The first CAR/SAM workshop on the implementation of the Safety Roadmap was held in Bogota, Colombia in May 2008. This workshop was organised by ICAO and ISSG, with the support of UAEAC of Colombia in Bogota, in turn supported by the Regional Safety Oversight System (SRVSOP) in Latin America. Over 120 participants from 19 NAM/CAR/SAM States, 4 International Organisations (ALTA, COCESNA, IATA, and IFALPA), 22 airlines, 4 airport operators, 2 aircraft manufacturers attended the event.

Note: The holding of this workshop required the coordinated work of the members of ISSG and ICAO, and one of the key elements for the success of this workshop was the use of teleconferences for monthly coordination meetings in a cost-effective manner.

1.3 The Roadmap methodology was used in this workshop in order to analyse three of the twelve paths, also called safety global initiatives or focus areas, known for short as “GSIs”. As a result of this analysis, actions were recommended for GSI 3 – *Obstacles to Error and Incident Reporting*, GSI/12 – *Gaps in the Use of Technology to Enhance Safety*; and GSI 5 – *Lack of Uniformity in the Coordination of Regional Programmes.*

1.4 The final session of the workshop was held in a plenary, in which the participants discussed the recommended actions resulting from the analysis of Focus Area 5 concerning the creation of a Regional Aviation Safety Group – Pan American (RASG-PA). The provisional Terms of Reference (ToRs) were reviewed, together with the short- and long-term goals, the organisational structure, and membership. The establishment of the RASG-PA was endorsed by all of the participants attending the workshop.

1.5 In August 2009, a planning group got together in the ICAO Regional Office in Mexico in order to follow up on the recommendations made by the workshop and organise the first meeting of the Regional Aviation Safety Group – (Pan American) in November 2008, in Costa Rica. This meeting reviewed the ToRs of the RASGPA; the establishment of the RASG-PA Executive Steering Committee (ESC); the RASG-PA structure, its subgroups, work schedule, and meeting schedule; the follow up on the actions recommended by the GASR workshop; and the preparation of the first RASG-PA meeting, including the tentative agenda and expected results. Participants from Brazil, Chile, Colombia, Costa Rica, United States, ACI/LAC, BOEING, IATA, IFALPA, and ICAO attended the meeting.

RASG-PA project-based work methodology

1.6 Since the beginning, RASG-PA agreed to use a result-based approach, and that the best way to achieve this objective was through the implementation of action plans in the form of projects, with concrete results, and a defined budget.

1.7 In this sense, ICAO presented to the meeting the following draft projects related to GASP GSI/2- *Consistent Regulatory Oversight*; GSI/3 – *Effective Error and Incident Reporting*; and GSI/12 – *Effective Use of Technology to Enhance Safety*, in response to the recommendations made by the GASR workshop:

- a) Project GSI 3-a: Effective Flow of Information on Hazards
- b) Project GSI 12-a: Elimination of Gaps in the Use of Technology to Enhance Safety.
- c) Project GSIs 2 and 12 a: Pilot Project on the Oversight of Air Operators Using State-of-the-Art Technology.

1.8 The first meeting of the Regional Safety Group – (Pan American) was held in Puntarenas, Costa Rica, on 11-14 November 2008, sponsored by the Civil Aviation Bureau of Costa Rica. Fifty-six delegates from 14 NAM/CAR/SAM States/Territories, 8 International Organisations (ACI/LAC, ALTA, CASSOS, ACSA, EASA, IATA, IFALPA, IFATCA), 4 airlines, 2 airport operators, and 2 aircraft manufacturers attended the meeting.

RASG-PA Structure

1.9 RASG-PA/01 reviewed and approved the RASG-PA ToRs as shown in **Appendix A** to this paper. The meeting then reviewed and agreed on the RASG-PA organisational structure, which defines RASG-PA membership, the composition of the Executive Steering Committee, and the criteria for electing the chairperson and four vice-chairpersons to represent the sub-regions, as shown in **Appendix B** to this paper.

1.10 Mr. Oscar Derby (Jamaica) was elected as RASG-PA Chairperson, Mr. Carlos Pellegrino (Brazil) was elected as first Vice-Chairperson, Mr. Ricardo Arias Borbón (Costa Rica) was elected as second Vice-chairperson, Mr. Lorenzo Sepúlveda (Chile) was elected as third Vice-chairperson, and Mr. Glenn Michael (United States) was elected as fourth Vice-chairperson.

1.11 The Conclusions and Decisions resulting from the RASG-PA/01 meeting are included in **Appendix C** to this paper.

Consistent Use of SMS (GSI 7)

1.12 The RASG-PA/01 meeting analysed the GSI/7 on the “*Consistent Use of Safety Management Systems*” following the GASP/GASR process. The result of the workshop was that the

maturity level was 1, “*Under development*” for GSI/7. Taking into account the level of SMS implementation, the implementation date of the associated SARPs, and the importance of assigning high priority to the SMS, it was deemed necessary to develop projects to implement the recommendations.

1.13 It is important to highlight that among the actions recommended by RASG-PA, it is requested that regional safety oversight systems, such as SRVSOP, ACSA for Central America, and CASSOS for the Caribbean, use the ICAO regulatory framework to develop model regulations and guidance materials to support Pan American States in SSP implementation, and service providers in SMS implementation.

1.14 In this sense, the Regional System has already developed model regulations for SMS implementation in commercial air operators, which have already been incorporated in the recent version of LAR 121 and LAR 135 approved by the General Board, and LAR 145 Version 3 on Maintenance Organisations.

1.15 Likewise, the pilot project for SMS implementation in Aircraft Maintenance Organisations (OMAs) was supported by RASG-PA¹. The last meeting of the RASG-PA Executive Committee (Lima, 24-25 March, 2009) asked the Regional System to present the progress made in this plan at the next RASG-PA meeting (Colombia, November 2009).

Work Approach based on the Risk Analysis for the Prioritisation of Work Initiatives

1.16 GASP implementation requires the coordinated effort of the different industry sectors in order to reach a consensus on the main safety risks, so that both the industry and the States may channel their resources to the implementation of coordinated strategies to mitigate such risks in accordance with the best practices of the Roadmap.

1.17 To this end, the RASG-PA Executive Committee is analysing the various sources of statistical information available on safety that will be analysed by the RASG-PA/02 (Colombia, November 2009). The Meeting is expected to reach a consensus on the main safety risks in the region and to define the mitigation strategies to be implemented by both the industry and the States.

2. Discussion

2.1 Resolution A 36-7 defines ICAO policy on planning for the implementation of its Efficiency and Safety Strategic Objectives. Thus, the Global Air Navigation Plan defines the implementation strategy in the area of efficiency, and the ICAO Global Aviation Safety Plan (GASP) defines the strategy in the safety area.

2.2 At the regional level, GREPECAS is the body in charge of developing and promoting the implementation of the Regional Air Navigation Plan in accordance with the GANP. Likewise RASG-PA is the body in charge of developing and promoting the implementation of the GASP in the region.

2.3 RASG-PA planning is aimed at eliminating the duplication of efforts and making better use of human and financial resources.

2.4 The process for the implementation of the GASP in the States will require an active participation at RASG-PA meetings and the continuity of the designated personnel.

¹ Ref. Decision RASG-PA/01/2

3. **Conclusions**

3.1 The establishment of the RASG-PA for regional cooperation and harmonisation aimed at the implementation of safety initiatives and enhancements meets the GASP GSI/5 objectives and the strategy of Focus Area 5 to ensure the consistent coordination of regional aviation safety programmes. The achievements and results obtained by the RASG-PA to date include workshops on GSI/3, GSI/5, GSI/7, and GSI/12, projects on GSI/2, GSI/3, and GSI/12, and the beginning of the exchange, analysis, and consolidation of safety information.

3.2 However, the success of RASG-PA depends on the commitment, participation, and contribution of its members, both the States and the industry equally, with support in financial terms or in kind.

3.3 The results achieved so far have been accomplished without any funding and only based on the support in kind provided by RASG-PA members, like sponsoring events, seconding experts, making contributions to projects, and exchanging proprietary information and tools on safety. The donors that have provided support in kind have been Colombia, Costa Rica, United States (CAST), Jamaica, ACI/LAC, BOEING, COCESNA (ACSA), IATA, IFALPA, and Shell Aviation. This support in kind needs to continue and grow, and funding must be secured so that the RASG-PA may continue meeting its objectives.

4. **Suggested Action**

4.1 The meeting is invited to:

- a) Take note and comment on the information provided herein;
- b) Express its commitment to the Implementation of the Global Aviation Safety Plan (GASP), ensuring continuity in the participation of the staff designated by the Administrations to participate in the various RASG-PA events, preferably personnel holding positions equivalent to the head of the safety department.
- c) Take the necessary actions to ensure the active participation of the industry in RASG-PA events.

APPENDIX A

TERMS OF REFERENCE OF THE REGIONAL AVIATION SAFETY GROUP – PAN AMERICA (RASG-PA))

Background

Quote from Assembly Resolution A36-7 - Global Planning for Safety and Efficiency

Resolved that these global plans [*Global Aviation Safety Plan and Global Air Navigation Plan*] shall provide the framework in which regional, sub-regional and national implementation plans will be developed and implemented thus ensuring harmonization and coordination of efforts aimed at improving international civil aviation safety and efficiency;

Recognized the importance of regional and national plans and initiatives based on the global framework for effective implementation;

Recognized that further progress in improving global safety and efficiency of civil aviation is best achieved through a cooperative, collaborative and coordinated approach in partnership with all stakeholders under the leadership of ICAO;

Urged Contracting States and the industry to apply the Global Aviation Safety Plan and Global Aviation Safety Roadmap principles and objectives and to implement its methodologies in partnership with all concerned stakeholders to reduce the number and rate of aircraft accidents;

Terms of Reference

The RASG-PA is established to be the focal point to ensure harmonization and coordination of safety efforts aimed at reducing aviation risks in the North American, Central American, Caribbean (NACC), and South American (SAM) Regions and to promote the implementation of resulting safety initiatives by all stakeholders.

This will be achieved through the involvement of all stakeholders including ICAO, States, International Organizations and the industry.

Short term

Develop and implement a work programme to continue implementation of the Global Aviation Safety Plan (GASP) and Global Aviation Safety Roadmap (GASR) in the region to ensure implementation of resulting action plans.

Longer term

- 1) Using the framework provided by the GASP and GASR, support the establishment and operation of a performance-based safety system for the Pan American region by:
 - a) Ensuring that all safety activities at the regional and sub-regional level are properly coordinated to avoid duplication of efforts;

- b) Facilitating the sharing of safety information and experiences among all stakeholders from the region;
 - c) In part of the region where such a performance-based safety system does not exist, analyzing the risks to civil aviation at the regional level, develop action plans necessary to mitigate the risks and coordinate and support their implementation; and
 - d) Conducting follow-up activities as required.
- 2) Provide feedback to ICAO and the ISSG to continually improve and ensure an up-to-date global safety framework (GASP and GASR).

APPENDIX B

REGIONAL AVIATION SAFETY GROUP - PAN-AMERICA (RASG-PA)

Organizational Structure

RASG-PA Membership

NAM/CAR/SAM States/Territories.

- For the purpose of electing the Chairperson and Vice-Chairpersons, the CAR region will be divided into sub-regions as English speaking States and Spanish speaking States. Therefore, regions/sub-regions for election of the Chairperson and Vice-Chairpersons are the following:
 - (a) NAM (1);
 - (b) CAR-English speaking States (CAR-E) (1);
 - (c) CAR-Spanish speaking States (CAR-S) (1);
 - (d) SAM (2).

In total, there will be five regional/sub-regional representatives including the Chairperson.

Chairperson (NAM/CAR-E/CAR-S/SAM State).

- After election of the Chairperson, the Vice-Chairpersons will be selected from the four remaining regions/sub-region(s).

Vice-Chairpersons (4)

ICAO NACC/SAM Directors (1 to serve as Secretary)

ICAO HQ

NAM/CAR/SAM States/Territories

International Organizations

NAM/CAR/SAM Safety Groups

Manufacturers

- ICAO Contracting States from outside the region, other representative organizations, or any entity directly involved in aviation safety may be invited by the RASG-PA to join the group as a full member or observer as decided by RASG-PA.

Steering Committee

A Steering Committee composed of representatives from States, International Organizations and industry will be established to guide the work of the RASG-PA and ensure that safety initiatives are discharged in a timely and efficient manner. To that end, the Steering Committee will:

- a) propose the RASG-PA work programme;
- b) coordinate the activities of the RASG-PA and all GASP/GASR safety related initiatives and adjust strategy as necessary;
- c) act as an advisory body to the RASG-PA membership;
- d) provide regular safety environment assessments to the RASG-PA; and
- e) undertake any action required to ensure that the RASG-PA achieves its objective to reduce aviation risks in the NACC and SAM Regions.

RASG-PA Executive Steering Committee Membership

RASG-PA Chairperson
RASG-PA Vice-Chairpersons (4)
ICAO NACC/SAM Directors
ICAO HQ Representative
ISSG Representative
ACI Representative
IATA/ALTA Representative(s)
IFALPA Representative
IFATCA Representative

APPENDIX C

**Conclusions and Decisions of the First Regional Aviation Safety Group – Pan America Meeting
(RASG-PA/01)**

(Puntarenas, Costa Rica, 12 to 14 November 2008)

**CONCLUSION RASG-PA/01/1 RECOMMENDATIONS OF THE RASG-PA/01
CONCERNING (GSI/7) - THE CONSISTENT
IMPLEMENTATION OF SAFETY MANAGEMENT
SYSTEMS**

That:

- a) the RASG-PA/01 forward the recommendations at the **Appendix** to this part of the Report concerning the implementation of Safety Management Systems (SMS) for consideration and prioritization by the RASG-PA Executive Steering Committee; and
- b) the RASG-PA Executive Steering Committee afford the recommendations a high priority, bearing in mind the low level of SMS implementation maturity in the regions, the impending applicability date of the SMS SARPs, and importance of SMS.

**DECISION RASG-PA/01/2 SUPPORT TO THE PILOT SMS IMPLEMENTATION
PROJECT IN THE AMOs OF THE SRVSOP**

That, taking into consideration the best practices of the Global Aviation Safety Roadmap, RASG-PA supports the pilot SMS implementation project for Aircraft Maintenance Organizations of the Regional Safety Oversight System.

CONCLUSION RASG-PA/01/3 FUNDING OPTIONS FOR RASG-PA PROJECTS

That the RASG-PA Executive Steering Committee pursue alternative options for financial/other support for RASG-PA projects, including but not limited to the ISSG and other industry partners, IFFAS, aviation insurance providers, GEASSA/Transport Canada, the U.S. Trade Development Association, and other institutions and organizations having a vested interest in aviation safety; results to be reported at the next RASG-PA Meeting in 2009.

**CONCLUSION RASG-PA/01/4 REGIONAL APPROACH TOWARDS THE
IMPLEMENTATION OF THE GLOBAL AVIATION
SAFETY PLAN**

That:

- a) the Executive Steering Committee adopt the performance framework forms (PFF) at the **Appendix** to this part of the Report and establish overarching timeframes for completion of the short, medium and long-term objectives of GASP/GASR, in consultation with all members of the RASG-PA; and
- b) the RASG-PA use the performance framework forms as a management tool for use by States, sub-regional organizations and the region to track the progress of implementation of the GASP/GASR.

**CONCLUSION RASG-PA/01/5 ALTA INITIATIVE FOR INCREASING OPERATIONAL
SAFETY**

That, in order to avoid duplicity of efforts, the RASG-PA Executive Steering Committee analyze the scope and objectives of the safety enhancement initiatives (SEI) of ALTA with IATA safety initiatives and make appropriate recommendations.