



Agenda Item 1: Follow-up on conclusions adopted by previous RAAC meetings

**UPDATE ON THE ANALYSIS OF THE REGIONAL PLAN FOR THE SUSTAINABILITY OF
AIR TRANSPORT IN THE SAM REGION**

(Presented by the Secretariat)

SUMMARY

This working paper presents information on the action taken to draft the regional plan for the sustainability of air transport in the SAM Region and the implementation statement document required by RAAC/15.

REFERENCES

- RAAC/13 meeting report - “Declaration of Bogota” (Bogota, Colombia, 4-6 December 2013).
- Third meeting of air navigation and flight safety directors of the SAM Region, Lima, 22-24 August 2016.
- Resolutions issued by the 39th Session of the ICAO Assembly (Montreal, Canada, 27 September-6 October 2016).
- 19th Workshop/meeting of the SAM Implementation Group (Lima, Peru, 22-26 May 2017).
- Fourth meeting of air navigation and flight safety directors of the SAM Region, 2-4 October 2017.
- Fifth meeting of air navigation and flight safety directors of the SAM Region (ANFS/5) (Lima, Peru, 20-22 August 2018)
- RAAC/15 meeting report (Lima, Peru, 4-6 December 2017).
- 4th ICAO World Aviation Forum (IWAF/4) (17-19 September 2018, Fortaleza, Brazil)

1. Background

1.1 In view of the high growth rate of air transport in the South American Region, the RAAC/13 meeting felt the need to establish a process to improve the capacity, efficiency, and safety of the air traffic management system, through securing the commitment of all directors general of the SAM Region, with the support of the following international organisations: IATA, ACI-LAC, CANSO, and ALTA, for the implementation of the 15 regional goals for the period 2014-2016, aligned with the objectives of the global air navigation and safety plans approved at the 38th Session of the ICAO Assembly. This commitment received the name of Declaration of Bogota, valid until 2016.

1.2 As a follow-up to this item, the RAAC/15 meeting recognised that the Declaration of Bogota was the first step in a result-based management process with clearly defined indicators. It also agreed that the SAM Region was ready to take on a new management commitment at the highest government level to help prioritise those initiatives that would generate the greatest impact on the safe and orderly development of air transport in South America. In this regard, it felt the need for a regional plan for the sustainability of air transport in the SAM Region to serve as a management tool in support of decision-making by the States to ensure sustainable development of air transport until 2035, clearly aligned with the sustainable development goals (SDGs) established by the United Nations to ensure the prosperity of humankind and environmental protection.

1.3 In this context, the RAAC/15 meeting, upon assessing the draft plan, gave its support to the vision of the Plan while expressing some reservations regarding the challenges that some of the proposals contained in the draft posed to the States, and the need to have sufficient time to develop a feasible strategy for the implementation of the vision of the Plan, taking into account the asymmetries amongst the States of the Region. **Appendix A** contains the text of Conclusion RAAC/15.7.

2. Discussion

2.1 The vision of the Regional plan for the sustainability of air transport in the SAM Region seeks to ensure sustained growth of civil aviation in the Region, with emphasis on the following four axes:

- Air connectivity
- Safety
- Capacity building
- Environmental protection

2.2 Pursuant to Conclusion RAAC/15-7 b), the working group was established in May 2018, with the composition shown in **Appendix B**, and held three virtual meetings.

2.2.1 *First virtual meeting (3 April 2018) - 18 participants from 9 States*

Information was provided on action taken to date regarding the SAM Plan, its objectives, and the States gave feedback in this regard. See the report in **Appendix C**.

Information was provided on the ICAO World Aviation Forum (IWAF) (17-19 September 2018, Fortaleza, Brazil), and the opportunity it offered for endorsing the aspirational declaration of the SAM Plan.

Accordingly, the meeting considered that the Declaration should be reviewed so that it could be made available to State ministerial authorities for the aforementioned event.

2.2.2 *Second virtual meeting (8 June 2018) - 25 participants from 11 SAM States and IATA as observer*

The first draft of the Aspirational Declaration was presented. The participants requested a more concise text and committed to sending comments on the axes of the regional vision. Furthermore, working groups were established for each axis in order to start a detailed review thereof. See the report in **Appendix D**.

The Secretariat also held a teleconference with Guyana to discuss their concerns regarding the connectivity, capacity building and environmental protection axes, especially those actions that required internal State policies, and assistance for their fulfilment. These concerns will be addressed by the corresponding working group.

Pursuant to the mandate of the RAAC/15 meeting, the Secretariat conducted a more detailed analysis of each axis in order to define its work framework: scope, purpose, expected results, objectives, goals, priorities and guiding principles. This will be applied to the connectivity, capacity building and environmental protection axes.

2.2.3 *Third virtual meeting (8 June, 6 and 17 August 2018) - 21 participants from 9 SAM States and IATA as observer*

The participants defined the work modality to be followed by the groups created to analyse the four axes of the SAM Plan. Each group will be provided with the material developed by the consultants for each axis, and virtual meetings will be organised for conducting the work.

2.3 Likewise, at the AN&FS/5 meeting, when reporting on the progress made in relation to the Plan, the delegate of DECEA - Brazil noted that he perceived a sense of urgency in the approval of the SAM Plan, and that there were several aspects of the draft Plan that were in conflict with State sovereignty principles, especially in relation to “capacity building”. He also noted that there were global plans that addressed the axes of the SAM Plan, and it would not be advisable to issue new documents to guide the actions of the States towards the implementation of air navigation and safety improvements. In this regard, the delegate of ANAC – Brazil endorsed the comments of the DECEA representative and considered that the SAM Plan should not proceed. The Safety Director of Chile supported the comments and proposals of Brazil, and noted that ICAO did not have a global plan on “connectivity”. He also noted that although a draft had been prepared at the Air Transport Conference, it had not been officially issued, and considered that the Region should not venture in this area. The delegates of Paraguay and Uruguay supported the comments of Brazil and Chile.

2.4 In this regard, it was noted that the Plan was to be used by other non-aviation State authorities with decision-making power in relation to the strategic plans of the State. It was also recalled that the AN&FS/4 meeting had adopted a draft conclusion (see paragraph 5.3 of the AN&FS/4 report) that had been submitted to the approval of the RAAC/15 meeting. Likewise, it was recalled that Conclusion RAAC/15-7 had been reviewed and approved by the aforementioned meeting without comments. It was also noted that the States had made comments at the RAAC/15 meeting that had been incorporated into the report, which had been approved by the RAAC/15 meeting.

2.5 In this regard, a representative of Brazil proposed that the axes of the SAM Plan continue to be addressed in the task forces, where all comments and opportunities for improvement should be discussed in order to prepare a final document to be submitted to the RAAC/16 meeting, and this latter meeting should decide about the fate of the SAM Plan. He also proposed that the Declaration to be submitted to the IWAF/4 should not be linked to the SAM Plan. The President of the AN&FS/5 submitted the proposal to the consideration of the meeting and, in the absence of views against the proposal, it was deemed accepted.

2.6 Likewise, the delegate of Peru recognised the need for a regional plan that reflected the common position and vision of the Region, which should serve to identify and potentiate the Region. In the opinion of Peru, the implementation of the Plan was not being challenged, but the axes could be improved in terms of their scope, which was too ambitious. It was felt that a plan that reconciled the different positions was highly feasible.

Declaration to promote connectivity through the development and sustainability of air transport in the Pan-American Region - Vision 2020-2035

2.7 Regarding the Declaration, as stated in paragraph 2.4, its wording was coordinated during the teleconferences held with the focal points.

2.8 ICAO Headquarters in Montreal reviewed the document and felt that, since Latin American countries would be attending the IWAF/4, the Declaration should be extended to all of Latin America. Consequently, it was revised to make the text more generic to address the two regions, while maintaining the vision.

2.9 This Declaration was circulated among focal points for review at the Third virtual meeting of focal points, held on 6 August. At that meeting, some concerns were expressed regarding the text of the declaration, and a State recalled that the initial proposal was to work first in the working groups before drafting a high-level declaration. In this sense, the Secretariat proposed drafting a declaration for IWAF, without reference to the SAM Plan and with a more Latin American context, addressing the concerns expressed and giving sufficient time for the working groups to discuss and define the specific action plans for each axis. The reports of the third virtual meeting and its follow-up (6 and 17 August) can be found in **Appendix E**.

2.10 On 19 September, following coordination as needed, the Pan-American States at the Fourth ICAO World Aviation Forum (IWAF/4) adopted the “***Declaration to promote connectivity through the development and sustainability of air transport in the Pan-American Region – Vision 2020-2035***”; which supports the regional vision and commits to the development of national and regional action plans for the implementation of said vision, noting that States were ultimately responsible for the follow-up and review of the progress achieved. At the IWAF/4, the President of ICAO, Dr. Bernard Aliu, entrusted Brazil, as the host country, to consult the final text of the declaration with the States and submit it to the ICAO Council. The resulting document can be found in **Appendix F** and the Declaration in **Appendix G**.

Progress made in the working groups on the Plan axes

2.11 The working group for the ***Connectivity*** axis has been created and the Secretariat is currently reviewing the draft work plan, in order to start teleconferencing with the working group. The connectivity axis includes GANP and GAsEP initiatives, in addition to any air transport initiatives to be adopted.

2.12 Regarding AVSEC/FAL activities, efforts are being made for the implementation of a single common regulatory framework in the SAM Region to facilitate security arrangements, eliminating additional security controls for in-transit passengers and baggage, reducing transfer times, significantly expediting transfer procedures, and reducing costs associated to the possible loss of baggage and use of security personnel and equipment (see WP/05).

2.13 With respect to ***safety***, the representatives of Brazil, Colombia, Peru, Uruguay, Venezuela and IATA have been working in this area, reviewing the proposal. Brazil and Uruguay made some comments that were incorporated. The members of the working group were convened to a virtual meeting on Thursday 22 November 2018 for a final assessment of the draft of the safety axis. The representatives of Brazil, Peru, and Venezuela attended this meeting, and after making minor changes to the document, they approved it and agreed to its presentation at the RACC/16 meeting for approval.

2.14 **Appendix H** contains the safety axis proposal for review by the meeting. Likewise, the following conclusion is submitted for approval:

CONCLUSION RAAC 16/XX		APPROVAL OF THE SAFETY AXIS OF THE REGIONAL PLAN FOR THE SUSTAINABILITY OF AIR TRANSPORT IN THE SAM REGION	
That: South American States approve the safety axis of the Regional plan for the sustainability of air transport in the SAM Region.		Expected impact: <input checked="" type="checkbox"/> Political / global <input checked="" type="checkbox"/> Interregional <input checked="" type="checkbox"/> Economic <input checked="" type="checkbox"/> Environmental <input checked="" type="checkbox"/> Technical/operational	
Why: To comply with the guidelines of the Global aviation safety plan (GASP), in line with the commitments of the declaration of IWAF/4.			
When: Before 2030		Status: Proposal to be submitted to RAAC/16	
Who: <input type="checkbox"/> Coordinators <input checked="" type="checkbox"/> States <input type="checkbox"/> ICAO Secretariat <input type="checkbox"/> ICAO HQ <input type="checkbox"/> Others:			

2.15 Regarding the *Capacity building* axis, this working group will start its activities in early December with a teleconference aimed at providing guidelines for the work to be undertaken and outlining a work plan so as to have its conclusions and recommendations regarding the scope, purpose, expected results (outcome), objective, goals, action priorities, and guiding principles by mid 2019.

2.16 The *Environmental protection* axis has already created its working group and the Secretariat is developing a work plan proposal to initiate the corresponding teleconferences to examine it.

2.17 Once the working groups of the remaining axes have completed their review, the final documents will be circulated to the authorities for subsequent delivery to the Meeting of civil aviation authorities of the Region for analysis and approval.

3 Suggested action

3.1 The Meeting is invited to:

- a) take note of the information presented herein;
- b) review the information contained in section 2 of the working paper and provide comments or guidelines as it may deem appropriate;

- c) review the information contained in paragraph 2.13 and, if deemed appropriate, approve the draft conclusion shown in paragraph 2.14; and
- d) review any other related issues it may deem appropriate.

APPENDIX A***Conclusion RAAC/15-7 – Action to be taken for the approval of the Regional plan for the sustainability of air transport in the SAM Region and the declaration of implementation***

In order to develop a regional plan for the sustainability of air transport in the SAM Region and a declaration of implementation, the Directors General of Civil Aviation of the SAM Region:

- a) support the four axes of the proposal of a Regional plan for the sustainability of air transport in the SAM Region: connectivity, safety, institutional building, and environmental protection, which are aligned with ICAO strategic objectives and with the sustainable development goals of the United Nations;*
- b) undertake to designate during the first quarter of 2018 focal points to be part of a group that, together with the ICAO Secretariat, the LACAC Secretariat, and representatives of interested international organisations, would analyse the scope of the plan in each of its axes, identify the experts that would be required for the drafting of the plan in its different axes, and establish a timetable for conducting the activities of the plan;*
- c) undertake to carry out the activities defined by the group that may be required for the drafting of the aforementioned plan and its respective declaration; and*
- d) undertake to participate in the teleconferences and the required face-to-face meetings.*

APPENDIX B

WORKING GROUPS FORMED FOR THE AXES OF THE SAM PLAN

Air connectivity axis:

- David Dueñas (Chile)
- Amira Padron (Venezuela)
- Carlos Von Siedlitz (Panama)
- Carlos Caballero (Bolivia)
- Jorque Yanqui (Peru)
- Sergio Pérez Lauro (Uruguay)
- Virginia Silvera (Uruguay)
- Alexandra Palomino Pineda (Colombia)
- Julio Pereira (IATA)
- Filipe Reis (IATA)
- Saheed Sulaman (Guyana)

Safety axis:

- João Souza Dias Garcia (Brazil)
- Neverton Alves de Novais (Brazil)
- Paulo Henrique Iengo Nakamura (Brazil)
- Sergio Roberto Rodrigues Silva (Brazil)
- Felipe Koeller Rodrigues Silva (Brazil)
- David Romero (Venezuela)
- Fernando Torres (Peru)
- Marcos Revetria (Uruguay)
- Julio Danzov (Uruguay)
- Luis Alberto Valencia (Colombia)
- Julio Pereira (IATA)

Institutional strengthening axis:

- Marcelo Rezende Bernardes (Brazil)
- Gustavo Machado de Freitas (Brazil)
- Marcelo Moraes de Oliveira (Brazil)
- Jorge Wilson de Avila Ferreira Penna (Brazil)
- Roberto Fernandez Alves (Brazil);
- Macarena Roa (Chile)
- Luis Nuñez (Peru)
- Marisela Estrada (Venezuela)
- Pablo Simone (Uruguay)
- José Palermo (Uruguay)
- Oracio Márquez (IATA)

Environmental Protection axis:

- Marcela Braga Anselmi (Brazil)
- Rodrigo Ayres Padilha (Brazil)
- José Pereira (Venezuela)
- Pedro Cardeillac (Uruguay)
- Adriana Jackson (Uruguay)
- Arturo Luján (Peru)
- Oracio Márquez (IATA)
- Saheed Sulaman (Guyana)
- Dorsa Sabet-Rasekh (Panama)



SAM/PLAN/1

**INTERNATIONAL CIVIL AVIATION ORGANIZATION
SOUTH AMERICAN REGIONAL OFFICE**

**FIRST VIRTUAL MEETING OF FOCAL POINTS
FOR THE REGIONAL PLAN FOR THE SUSTAINABILITY
OF AIR TRANSPORT IN THE SAM REGION**

(SAM/PLAN/1)

REPORT

3 May 2018

The designations employed and the presentation of material in this publication do not imply the expression of any opinion whatsoever on the part of ICAO concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries.

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HISTORY OF THE MEETING

ii-1 PLACE AND DURATION OF THE MEETING

The First Virtual Meeting of Focal Points for the Regional Plan for the sustainability of air transport in the SAM Region (SAM/PLAN/1) was held on 3 May 2018, from 09:00 to 10:30 hours, Lima, Peru time.

ii-2 WORKING METHOD

The Meeting was developed through teleconference with the focal points nominated by States.

ii-3 AGENDA

The following agenda was adopted:

Agenda

Item 1: Aerial connectivity axis

Under this Agenda item, the first axis of the Plan was reviewed expecting to obtain feedback on the points outlined in the Plan and define strategies to increase aerial connectivity in SAM Region States, with a focus on socioeconomic development.

Agenda

Item 2: Safety axis

Under this subject, safety axis of the Plan was analysed. In this regard, the improvement opportunities presented by States were collected, which will be analysed and included in the draft text of said axis, if pertinent.

Agenda

Item 3: Institutional strengthening axis of SAM Plan

Under this part of the Agenda, improvement opportunities identified in the document prepared by the Secretariat concerning the third axis were analysed. Focal Points were requested to present specific matters to be considered for its inclusion in the Plan or possible focus changes recommended to be considered in same.

Agenda

Item 4: Environmental protection axis

Under this subject, improvement opportunities concerning environmental protection axis were analysed, collecting proposals of strategies to implement same, taking into account the main elements considered in the Plan: noise management, terrain management, plan to reduce CO₂ emissions and CORSIA.

Agenda**Item 5: Other business**

Under this Agenda item the Meeting was able to review other aspects which have not been considered in the previous subjects and are related with the matters under analysis.

ii-4 ATTENDANCE

The Virtual Meeting was attended by 18 participants from 9 SAM States (Argentina, Bolivia, Brazil, Chile, Colombia, Guyana, Panama, Paraguay and Venezuela) and 7 ICAO officers.

The list of participants is presented in page iii-1.

**FIRST VIRTUAL MEETING OF FOCAL POINTS
FOR THE REGIONAL PLAN FOR THE SUSTAINABILITY OF AIR TRANSPORT IN THE
SAM REGION**

(SAM/PLAN/1)

LIST OF PARTICIPANTS

ARGENTINA

1. Hernán Adrián Gómez
2. Horacio Ernesto Kuobel

BOLIVIA

3. Carlos Alberto Caballero Guzmán

BRAZIL

4. Daniel Longo
5. Gil Lessa Amaral de Carvalho
6. Claudio Fidalgo

CHILE

7. Germán A. Olave
8. Jaime Binder
9. Luis A. Rossi
10. David Dueñas

COLOMBIA

11. Jazmin Alexandra Palomino Pineda
12. Melva Castañeda

GUYANA

13. Sahed Sulaman

PANAMA

14. Carlos F. von Seidlitz W.

PARAGUAY

15. Roque Díaz Estigarribia

VENEZUELA

16. Daniela Caraballo
17. Héctor Acosta
18. Anira Padrón Barito

ICAO

19. Fabio Rabani
20. Oscar Quesada-Carboni
21. Verónica Chávez
22. Jorge Armoa
23. Fabio Salvatierra
24. Fernando Hermoza
25. Roberto Sosa

1. **Introduction**

1.1 Mr. Oscar Quesada-Carboni, Deputy Director of the ICAO South American Office, made a brief introduction on the content of the SAM Plan. His address included the background of the Plan, referring to the Declaration of Bogota and the Decisions adopted by the AN&FS/4 (Lima, Peru, October 2017) concerning the approval of the Vision of the Plan, as well as the feedback provided by Civil Aviation Directors during the RAAC/15 meeting held in Asuncion, Paraguay in November 2017.

1.2 The Deputy Director emphasized the need to formulate a high-level plan for the inclusion of aviation in the development plans of the States, as an engine that drives the economy through improvements in connectivity and institutional strengthening. He also indicated that the SAM Region has enormous opportunities to increase connectivity with other Regions besides the NACC Region and Europe. Studies have demonstrated that SAM is a region relatively disconnected from the world and with great opportunities for improvement in this regard.

1.3 He also mentioned that a high level of safety would help to increase operations in the SAM Region, considering that the compliance with ICAO standards would be observed by air operators as a guarantee of safe operations. Additionally, he indicated that the world trend is for industries to implement processes that guarantee respect for the environment. ICAO has taken this commitment including the environmental protection as a strategic objective, therefore calling on all States to promote measures that lead air operations to be environment friendly.

1.4 With these words, the Deputy Director made an introduction of the objectives and axes of the SAM Plan, in addition to the reasons that have encouraged the Regional Office to prepare the document and submit it to civil aviation authorities for consideration, feedback and strategy formulation to achieve the objectives indicated in said plan.

1.5 Additionally, he recalled that during the RAAC/15 meeting, the SAM Plan was endorsed by civil aviation authorities, asking the Secretariat to organize teleconferences and face-to-face meetings to identify improvement opportunities in the developed document.

2. Comments

2.1 Following the introduction made by the Deputy Director, the floor was given to delegates of States, who indicated the following:

- a) **Guyana** supported the Plan in the development of the axes. However, expressed his concern regarding the release of taxes on some items in which the civil aviation authority has no jurisdiction.
- b) **Colombia** stated that the axis of connectivity, in the way it was formulated, involves competition from other State institutions, such as tax charges, open skies policies and regulatory frameworks for foreign investment. He advised that all details should be thoroughly analysed and look for a regional agreement to increase connectivity. A starting point that could be analysed as part of the connectivity axis might be a regional strategy to increase tourism.

He also mentioned that an “Aviation Forum with a vision to 2030” was held on 9 and 10 April this year, where it could be observed that the vision was aligned with the thematic axes of the SAM Plan. He indicated as well that the SAM Plan would be used to delineate the Government Plan for the next four years, where two main axes are included, namely “strengthening of the industry” and “strengthening of human talent”, where the CEA will have a preponderant participation concerning training and qualification of aviation professionals.

- c) **Brazil** expressed his enthusiasm with the initiative of the Plan. However, expressed his reservations about the percentages mentioned in the connectivity axis, mainly indicating that they would like to have more knowledge concerning the meaning of these percentages and their origins. The Secretariat explained that the proposal was born from a study on connectivity carried out by a consultant and that all metrics should be understood as an initial draft to be analysed and agreed upon.
- d) **Paraguay** informed that they are working to increase connectivity and that they are currently developing a Master Plan for the development of aviation with the support of the Korea Technical Cooperation Agency (KOICA). He also mentioned that it is important to count as well with the users’ vision and requested that delegates from IATA should be invited for the next session.
- e) **Chile** indicated that the Plan to consolidate connectivity in the SAM Region was ambitious, but that part of the way was already being carried out. He mentioned that Chile had a plan which served to develop an encouraging scenario for the installation of Low Cost Companies (LCC). At this point, he expressed his discrepancy with the need to develop secondary airports for these LCCs, since with a reformulation of the operations and the adequate management of the infrastructure of the main airports, the operations of the Low Cost could also be supported. Moreover, he indicated that there is already a plan designed by LACAC for this point. The Secretariat will ask Chile for their suggestions in order to review the proposal. It was clarified that a plan of transformation like this one requires the efforts of all different institutions and that LACAC represents an important actor concerning air transport issues. The duplication of efforts should be avoided and the important thing is to add support in order to achieve the objectives of the Plan.

- f) **Argentina** requested time to analyse the documents related to the SAM Plan in order to provide input and identify opportunities for improvement.
- g) **Venezuela** indicated they are working on their implementation plans related to safety and AVSEC, which had given them high levels of compliance. This task allowed the Bolivarian State of Venezuela the possibility of providing technical assistance to other States. There was also reported that they are working on improving their airport infrastructure, in addition to planning an increment in connectivity. In this sense, they are promoting the use of the Maiquetia Airport as a HUB. In order to achieve this goal, they are exploring strategic alliances with national and foreign airlines.

2.2 The Secretariat made a summary of all comments received from delegates, highlighting the most important points mentioned. In addition, it informed that the World Aviation Forum (IWAF) organized by ICAO, will take place in Fortaleza, Brazil, from 17 to 19 September 2018. This Forum will gather the most important national authorities and has been observed as a brilliant opportunity to proceed to the endorsement of the *Aspirational Declaration of the SAM Plan* by the Ministers of Transports and Communications, as well as the other Ministers under whose umbrella the administrative functioning of the civil aviation authority of its States is located. Delegates of States agreed with this assessment and supported reviewing said Declaration to make it available to the ministerial authorities of States by the aforementioned event.

2.3 Subsequently, the delegate of Guyana invited States to participate in the ICAO Air Transport Conference, which will be held in Guyana on 19 to 23 November 2018.

2.4 Finally, the Secretariat requested from States to submit comments and opportunities of improvement identified in the Plan, in order to be reviewed during the next session.

2.5 With no other point to discuss, the virtual session finished at 10:30 hours, Lima, Peru time.



SAM/PLAN/2

**INTERNATIONAL CIVIL AVIATION ORGANIZATION
SOUTH AMERICAN REGIONAL OFFICE**

**SECOND VIRTUAL MEETING OF FOCAL POINTS
FOR THE REGIONAL PLAN FOR THE SUSTAINABILITY
OF AIR TRANSPORT IN THE SAM REGION**

(SAM/PLAN/2)

REPORT

8 June 2018

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HISTORY OF THE MEETING

ii-1 PLACE AND DURATION OF THE MEETING

The Second Virtual Meeting of Focal Points for the Regional Plan for the sustainability of air transport in the SAM Region (SAM/PLAN/2) was held on 8 June 2018, from 09:00 to 10:30 hours, Lima, Peru time.

ii-2 WORKING METHOD

The Meeting was developed through teleconference with the focal points nominated by States.

ii-3 AGENDA

The following agenda was adopted:

Agenda

Item 1: Review of the report of the First Virtual Meeting

In this part of the Agenda, the report of the First Virtual Meeting was analysed to define subjects that may have been omitted involuntarily in the document.

Agenda

Item 2: Review of the axes of the SAM Plan as well as provision of comments and opportunities for improvement

Under this subject, comments were received on the proposed Declaration to be presented at IWAF. Information, feedback, opportunities for improvement and clarifications on the objectives of each axis, as well as on their contents, were also collected.

Agenda

Item 3: Establishment of teams for the review of the axes

Under this part of the Agenda, multinational teams were established to develop the specific objectives, goals and activities of each axis included in the SAM Plan, as well as to identify opportunities for improvements in the documents.

Agenda

Item 4: Other business

Under this Agenda item the Meeting was able to review other aspects which have not been considered in the previous subjects and are related with the matters under analysis.

ii-4 INTRODUCTION

Mr. Oscar Quesada-Carboni, Deputy Director of the ICAO South American Regional Office, after welcoming the participants, asked them to give some introductory words.

ii-5 ATTENDANCE

The Virtual Meeting was attended by 25 delegates from 11 SAM Region States (Bolivia, Brazil, Chile, Colombia, Ecuador, Guyana, Panama, Paraguay, Peru, Uruguay and Venezuela), 2 representatives of IATA and 6 ICAO officers.

The list of participants is shown in page iii-1.

**SECOND VIRTUAL MEETING OF FOCAL POINTS
FOR THE REGIONAL PLAN FOR THE SUSTAINABILITY OF AIR TRANSPORT IN THE
SAM REGION**

(SAM/PLAN/2)

LIST OF PARTICIPANTS

BOLIVIA

1. Carlos Alberto Caballero Guzmán

BRAZIL

2. Neverton Novais
3. Gil Lessa Amaral de Carvalho
4. Rodrigo Godinho
5. Claudio Fidalgo

CHILE

6. Jaime Binder
7. Macarena Roa
8. David Dueñas
9. Alfonso Sepúlveda de la Vega

COLOMBIA

10. Jazmin Alexandra Palomino Pineda

ECUADOR

11. María Luisa Ortega
12. Giovanna Hidalgo

GUYANA

13. Sahed Sulaman
14. *Egbert Field (side meeting 18/6/18)*

PANAMA

15. Carlos F. von Seidlitz W.

PARAGUAY

16. Roque Díaz Estigarribia
17. Liz Portillo

PERU

18. Luis Núñez
19. Fernando Torres
20. Jorge Yanqui
21. Arturo Luján

URUGUAY

22. Pablo Simone

VENEZUELA

23. Amira Padrón Barito
24. David Romero
25. José Pereira

IATA

26. Julio Pereira
27. Filipe Reis

ICAO

28. Oscar Quesada-Carboni
29. Verónica Chávez
30. Jorge Armoa
31. Fabio Salvatierra
32. Roberto Sosa
33. Javier Puente

Agenda Item 1: Review of the report of the First Virtual Meeting

1.1 Following the introduction made by participants, the Meeting went on to consider Agenda Item 1, for which Mr. Jorge Armoa, SAM AIM/MET Regional Officer, summarized the report on the First Virtual Meeting, which was transmitted to States on 25 May 2018 by letter LT 2/12-SA180.

1.2 In addition, the Secretariat reminded participants that the draft of the Aspirational Declaration planned to be presented at the ICAO World Aviation Forum (IWAF) for its endorsement by the Ministers of States, was attached to the aforementioned letter.

1.3 When considering the report on the First Meeting, following comments were collected:

1.3.1 **Brazil:** Delegates from DECEA participating for the State, indicated that there is an authority in Brazil (ANAC) and that the comments transcribed in the report were made by DECEA. In such sense, they request that when referring to Brazil, it should be mentioned that comments were provided by DECEA.

1.3.2 **Chile:** The delegate of Chile indicated that he supports the report. However, he clarified that it should be included that Chile has an open policy through which the expansion of its aeronautical activity was developed. In addition, he indicated that the wording related to LACAC Plan should be eliminated. Considering the comments made by Chile, the related paragraph in the report should finally read as follows:

“**Chile** indicated that the Plan to consolidate connectivity in the SAM Region was ambitious, but that part of the way was already being carried out, for which he supports it. He mentioned that Chile had an open policy which served to develop an encouraging scenario for the installation of Low Cost Companies (LLC). At this point, he expressed his discrepancy with the need to develop secondary airports for these LLCs, since with a reformulation of the operations and the adequate management of the infrastructure of the main airports, the operations of the Low Cost could also be supported. He clarified that a plan of transformation like this one requires the efforts of all different institutions and that LACAC represents an important actor concerning air transport issues. The duplication of efforts should be avoided and the important thing is to add support in order to achieve the objectives of the Plan”.

1.3.3 **Guyana:** Supported the report of the First Virtual Meeting but mentioned that it would be important to have a meeting with the English-speaking States to gather other comments concerning points that are not the competence of the civil aviation authority.

1.3.4 Delegates of the other participating States expressed their agreement with the content of the report on the First Meeting, for which Agenda Item 1 was closed.

Agenda Item 2: Review of the axes of the SAM Plan as well as provision of comments and opportunities for improvement

2.1 The Meeting went on to consider Agenda Item 2. In such sense, comments submitted by participant States and organizations were as follows:

2.1.1 **Venezuela:** Considered that concerning the Environment axis within the Declaration, it is necessary to indicate that the action plans and the participation within CORSIA by the States, is voluntary.

2.1.2 **IATA:** Expressed its support to the Aspirational Declaration, indicating however that same should be more concise and stronger, and that it should be appropriate for the political level.

2.1.3 **Perú:** Presented an extensive comment on the Aspirational Declaration, on each one of the axis of the Plan, which is summarized as follows:

- a) **Connectivity:** It requires infrastructure, but accompanied by policy and strategies focused on the efficiencies of multilateral and bilateral agreements, reducing the transport tax and promoting favorable frameworks for foreign investment. Likewise, improvements to the infrastructure must be accompanied by a training programme to the staff that will manage the new infrastructure. They indicated that taking into account the Peruvian context, it would be better to work towards the air transport liberalization on a bilateral basis;
- b) **Safety:** With reference to Objective B, *Progressively reduce fatal accidents to become the Region with major level of safety at world level*, they indicate that the goals and objectives will be included in the SSP, for which they develop two additional objectives;
- c) **Institutional strengthening:** regarding this axis, they fully support it; and
- d) **Environment:** With reference to this axis, they request to withdraw from the Declaration the management of flora and fauna that coexist with the aviation activity.

2.1.4 The Secretariat thanked Peru for its contribution. However, it was clarified that the Declaration is aspirational and that a second phase would be developed on a later stage, at civil aviation authorities' level, which would involve activities to be considered within the axes of the SAM Plan. The Secretariat considered that the points proposed by Peru, in a high percentage, should be focused on this second phase, within the tasks of the groups of each axis.

2.1.5 **Guyana:** To its turn, the delegate of Guyana supported the Declaration, indicating however that the IWAF would be attended by high-level (Ministerial) officials and therefore the Declaration should be more concise, without going into detail, at a ministerial level. He observed as well, that some comments included in the Declaration are also part of the SAM Plan and in his opinion, should not be included. He also asked if the SAM Plan would also be presented at the IWAF to be considered by the Ministers.

2.1.6 Regarding Guyana's consultation, the Secretariat clarified that the SAM Plan has been presented in several forums previously and that, in addition, the Fifteenth Meeting of Civil Aviation Authorities held in Asuncion, Paraguay, in December 2017, endorsed the Plan.

2.1.7 In a side teleconference conducted between the Civil Aviation Authority of Guyana and the Regional Office, that State indicated that it supports the SAM Plan, providing following comments on each of its axes:

- a) **Connectivity:** There is a growing number of operators interested in operating in Guyana, given that progress is being made in the development of CAP USOAP as part of the State's strategy to increase connectivity.

In regards to liberalization of air transport, GCAA believes that it is more important the concept of main place of business, rather than percentages of airline ownership.

Referring to taxes, GCAA expressed that taxes is a sovereign matter. ICAO Regional Office's position, however, is that States should evaluate the impact that taxes have to civil aviation and take an informed decision if they are properly justified or if more economic and social benefits could be gained by removing them.

In regards to facilitation, GCAA believes that there are many opportunities in removing or reducing the burden created by visas to travel.

GCAA also commented that greater participation of SAM Region in the ICAO Air Services Negotiation Conferences (ICAN) should be encouraged.

- b) **Safety:** Referring to accident and incidents investigation (AIG), GCAA expressed their limitations and some strategies to have more independence, but operating within the GCAA.
- c) **Institutional strengthening:** Greater autonomy of the aeronautical authority within the State scheme is trying to be achieved. In regards to the level of independence, Guyana believes that this is a State responsibility and it is important striking a balance among State responsibilities and freedom to discharge its obligation as authority. For the ICAO Regional Office, the SAM Plan should provide a vision for the future, maintaining however State sovereignty as a very high level principle.
- d) **Environment:** Regarding this axis, GCAA expressed that the ICAO Regional Office should provide more technical assistance on the implementation of MRV, which will become effective by 2019.

2.1.8 **Chile:** Fully supported the Declaration.

2.1.9 **Bolivia, Colombia and Ecuador:** Asked for one week of time for its analysis and provide feedback.

2.1.10 **Brazil (ANAC):** Indicated that they are coordinating the implementation of the SAM Plan and will provide comments on the Declaration. Such comments will be sent by mail, but in general, same are related to the safety axis. He also agreed that the Declaration should be shorter.

2.1.11 Upon consultation of the Secretariat on the desirable length of the Declaration, the participating delegates indicated that it should be contained within a maximum of two to three pages.

Agenda Item 3: Establishment of teams for the review of the axes

3.1 With reference to Agenda Item 3, States provided names of the experts for each Working Group, which were formed as follows:

Air connectivity axis:

- David Dueñas (Chile)
- Amira Padron (Venezuela)
- Carlos Von Siedlitz (Panama)
- Carlos Caballero (Bolivia)
- Jorque Yanqui (Peru)
- Sergio Pérez Lauro (Uruguay)
- Virginia Silvera (Uruguay)
- Julio Pereira (IATA)
- Filipe Reis (IATA)

Safety axis:

- David Romero (Venezuela)
- Fernando Torres (Peru)
- Marcos Revetria (Uruguay)
- Julio Danzov (Uruguay)
- Julio Pereira (IATA)

Institutional strengthening axis:

- Macarena Roa (Chile)
- Luis Nuñez (Peru)
- Marisela Estrada (xxx)
- Pablo Simone (Uruguay)
- José Palermo (Uruguay)
- Oracio Márquez (IATA)

Environmental protection axis:

- José Pereira (Venezuela)
- Pedro Cardeillac (Uruguay)
- Adriana Jackson (Uruguay)
- Arturo Luján (Peru)
- Oracio Márquez (IATA)

Agenda Item 4: Other business

4.1 After forming the Working Groups, the Secretariat opened Agenda Item 4. Delegates indicated that they had no other comments and/or suggestions beyond requesting that it would be important to begin to focus the activities of each group in order to be able to begin to outline the activities in the context of the SAM Plan

4.2 With no other point to discuss, the virtual meeting finished at 10:30 hours, Lima, Peru time.

T



SAM/PLAN/3

**INTERNATIONAL CIVIL AVIATION ORGANIZATION
SOUTH AMERICAN REGIONAL OFFICE**

**THIRD VIRTUAL MEETING OF FOCAL POINTS
FOR THE REGIONAL PLAN FOR THE SUSTAINABILITY
OF AIR TRANSPORT IN THE SAM REGION**

(SAM/PLAN/3)

REPORT

6 August 2018

The designations employed and the presentation of material in this publication do not imply the expression of any opinion whatsoever on the part of ICAO concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries.

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HISTORY OF THE MEETING

ii-1 PLACE AND DURATION OF THE MEETING

The Third Virtual Meeting of Focal Points for the Regional Plan for the sustainability of air transport in the SAM Region (SAM/PLAN/3) was held on 6 August 2018, from 09:00 to 11:00 hours, Lima, Peru time.

ii-2 WORKING METHOD

The Meeting was developed through teleconference with the focal points nominated by States.

ii-3 AGENDA

The following agenda was adopted:

Agenda

Item 1: Review of the report of the Second Virtual Meeting

In this part of the Agenda, the report of the Second Virtual Meeting was analysed to define subjects that may have been omitted involuntarily in the document.

Agenda

Item 2: Review of the draft of the SAM Plan Aspirational Declaration to be presented for endorsement by the IWAF

Under this Agenda item, opportunities for improvements to the proposal of the Aspirational Declaration prepared by the Secretariat and submitted to the States for consideration were analysed.

Agenda

Item 3: Tasks planning for the working groups

Under this part of the Agenda, a draft of the tasks planning for the teams designated during the second virtual meeting was presented.

Agenda

Item 4: Other business

Under this subject, the Meeting was able to review other aspects which have not been considered in the previous subjects and are related with the matters under analysis.

ii-4 INTRODUCTION

Mr. Oscar Quesada-Carboni, Deputy Director of the ICAO South American Regional Office, after welcoming the participants, asked them to give some introductory words.

ii-5 ATTENDANCE

The Virtual Meeting was attended by 20 delegates from 9 SAM Region States (Bolivia, Brazil, Chile, Colombia, Guyana, Panama, Paraguay, Uruguay and Venezuela), 1 representative of IATA and 2 ICAO officers.

The list of participants is shown in page iii-1.

**THIRD VIRTUAL MEETING OF FOCAL POINTS FOR THE REGIONAL
PLAN FOR THE SUSTAINABILITY OF AIR TRANSPORT IN THE SAM REGION**

(SAM PLAN)

LIST OF PARTICIPANTS

BOLIVIA

1. Carlos Alberto Caballero Guzmán

BRAZIL

2. Daniel Longo
3. Ary Rodrigues Bertolinno

CHILE

4. Germán A. Olave
5. Jaime Binder
6. David Dueñas
7. Macarena Roa

COLOMBIA

8. Jazmin Alexandra Palomino Pineda

GUYANA

9. Sahed Sulaman

PANAMA

10. Carlos F. von Seidlitz W.

PARAGUAY

11. Roque Díaz Estigarribia
12. María Liz Viveros
13. Tomas Alfredo Yentzsch

URUGUAY

14. Pablo Simone
15. Marcos Revetria
16. Sergio Perez Lauro
17. Pedro Cardeillac

VENEZUELA

18. Anira Padrón Barito
19. Daniela Caraballo
20. José Perira

IATA

21. Julio Pereira

ICAO

22. Oscar Quesada-Carboni
23. Jorge Armoa

Agenda Item 1: Review of the report of the Second Virtual Meeting

1.1 Following the introduction made by participants, the Meeting went on to consider Agenda Item 1. The Secretariat presented the report on the Second Virtual Meeting, which was transmitted to States on 31 July 2018 by letter LT 2/12-SA261.

1.2 When considering the report on the Second Meeting, following comments were collected:

1.2.1 **Brazil:** Representatives from DECEA and ANAC participating for the State indicated they will submit the names of the delegates to integrate the working groups concerning SAM Plan axes. They requested as well to include such names in the working groups.

1.2.2 **Colombia:** Colombia requested to modify the report to include the names of the delegates of that State who will participate in the tasks of the SAM Plan axes.

1.2.3 **Venezuela:** Requested to correct the data corresponding to Dr. Marisela Estrada, representative of the Bolivarian State of Venezuela for the institutional strengthening axis of the SAM Plan, whose data appear as *Marisela Estrada - xxx*.

1.2.4 The corrections requested are presented as **Appendix A** to this part of the report.

1.2.5 Delegates of the other participating States expressed their agreement with the content of the report on the Second Meeting, for which Agenda Item 1 was closed.

APPENDIX A

Regarding Appendix A to Agenda Item 3 of the Second Virtual Meeting, States provided names of the experts for each Working Group, which were formed as follows:

Air connectivity axis:

- Roberto da Rosa Costa (Brazil)
- David Dueñas (Chile)
- Amira Padron (Venezuela)
- Carlos Von Siedlitz (Panama)
- Carlos Caballero (Bolivia)
- Jorque Yanqui (Peru)
- Sergio Pérez Lauro (Uruguay)
- Virginia Silvera (Uruguay)
- Alexandra Palomino Pineda (Colombia)
- Julio Pereira (IATA)
- Filipe Reis (IATA)

Safety axis:

- João Souza Dias Garcia (Brazil)
- Neverton Alves de Novais (Brazil);
- Paulo Henrique Iengo Nakamura (Brazil)
- David Romero (Venezuela)
- Fernando Torres (Peru)
- Marcos Revetria (Uruguay)
- Julio Danzov (Uruguay)
- Luis Alberto Valencia (Colombia)
- Julio Pereira (IATA)

Institutional strengthening axis:

- Marcelo Rezende Bernardes (Brazil);
- Gustavo Machado de Freitas (Brazil);
- Macarena Roa (Chile)
- Luis Nuñez (Peru)
- Marisela Estrada (Venezuela)
- Pablo Simone (Uruguay)
- José Palermo (Uruguay)
- Oracio Márquez (IATA)

Environmental protection axis:

- Marcela Braga Anselmi (Brazil);
- Rodrigo Ayres Padilha (Brazil).
- José Pereira (Venezuela)
- Pedro Cardeillac (Uruguay)
- Adriana Jackson (Uruguay)
- Arturo Luján (Peru)
- Oracio Márquez (IATA)

Agenda Item 2: Review of the draft of the SAM Plan Aspirational Declaration to be presented for endorsement by the IWAF

2.1 The Meeting went on to consider Agenda Item 2. Prior to the analysis of comments made by States, the Secretariat considered it important to clarify that the draft Declaration sent attached to letter LT 2/12-SA261 of July 31, 2018, has been modified to cover Caribbean and Latin America, considering a vision of integration of the mentioned regions suggested by the General Secretariat of ICAO, **Dr. Fang Liu**. Moreover the Secretariat indicated that the methodology of the analysis would be to read paragraph by paragraph, in order to review the document.

2.2 Before going on with the lecture of the proposal, Uruguay mentioned that it would be important to review the axes of the SAM Plan, in order to exclude safety. This recommendation is based on the virtual meetings held by focal points to analyse the SSP Plan for the SAM Region.

2.3 Likewise, the delegate of DECEA – Brazil, mentioned that there are regional and global forums and plans where the contents and proposals of the SAM Plan axes are analysed, for which they considered not endorse neither the Declaration nor the SAM Plan.

2.4 Considering the comments made by the delegates of DECEA - Brazil and Uruguay, the Secretariat reminded the participants the mandate of RAAC/15 through Conclusion RAAC 15/7, by which States supported the four axes of the SAM Plan, as well as to designate focal points for same in addition to committing their participation in virtual meetings. In such sense, the Secretariat considers that this would not be the appropriate forum to modify the SAM Plan so that this intention should be taken to the RAAC/16 for consideration and analysis.

2.5 The other participating States supported the point of view of the Secretariat, for which the revision of the draft **SAM Plan Aspirational Declaration** to be presented for endorsement by the IWAF was requested.

2.5.1 Regarding the analysis of the draft Aspirational Declaration, all participating States considered it important to include changes in it, as well as some style and grammatical corrections. Likewise, the secretariat has received comments on the document under analysis. The proposed changes and comments received by secretariat are reflected in the draft Declaration attached as **Appendix A** to this part of the report.

APPENDIX A

DRAFT

**DECLARATION TO PROMOTE CONNECTIVITY THROUGH THE DEVELOPMENT
AND SUSTAINABILITY OF AIR TRANSPORT IN THE LATIN AMERICAN AND
CARIBBEAN REGION –**

2020-2035



International
Civil Aviation
Organization

Organisation
de l'aviation civile
internationale

Organización
de Aviación Civil
Internacional

Международная
организация
гражданской
авиации

منظمة الطيران
المدني الدولي

国际民用
航空组织

Declaration to promote Connectivity through the Development and Sustainability of Air Transport in the Latin American and Caribbean Region - Vision 2020-2035

We, the Ministers and Authorities of the Latin American and Caribbean Member States, representatives of international and regional organizations, and of the industry, participating at the Fourth International Civil Aviation Organization Global Civil Aviation Forum, held in Fortaleza, Brazil, from 17 to 19 September 2018, who have gathered to “promote investment for the development of civil aviation” through the establishment of a framework commitment to collaborate in the sustainable growth of air transport in Latin America and the Caribbean for the next 15 years, declare the following:

Our vision

Reaffirming that the future development of international civil aviation can strongly contribute towards establishing and preserving the friendship and understanding among nations and people of the world, and that each, State has full and exclusive sovereignty of the airspace over its territory.

Recognizing that each State has full and exclusive sovereignty in the establishment of its public policies in accordance with its level of development and national priorities.

Understanding that the adoption of a Multi-Regional vision of the future promotes the opportunity for mutual cooperation and optimization of the use of resources to achieve common objectives.

Aligned with the ICAO vision to achieving the sustainable development of the global civil aviation system.

Recognizing that, with a greater air connectivity with acceptable safety levels, with strong government institutions having respect for the environment, we can support the United Nations Sustainable Development Objectives to welfare of our States

The Latin America and Caribbean air transport authorities have today agreed upon the vision to follow in order to foster a sustainable air transport growth in the Region, in favor of the social and economic development of the people, and recognizing air transport as a key tool to achieve this purpose.

We envisage that our regions offering greater access to the population to the benefits of air transport. Where the development of our populations will count with the timely support of a heterogeneous, seamless, dynamic and safe air transport network in all of its levels, whose efficiency in its infrastructure and services will be of global reference, achieving a greater degree of connectivity between the people of the regions and the rest of the world, and thus encouraging a greater commercial, social and cultural exchange.

We envisage the leadership of our regions within the global context of safety, in compliance with international civil aviation standards, and within a harmonized environment that makes it possible to take advantage of

economies of scale for the civil aviation authorities to offer an appropriate level of oversight to its air navigation services providers in an effective and efficient manner, without creating unnecessary costs to States and the industry, and building an advantageous environment for the development of the air transport business.

We envisage that the States' entities in charge of guaranteeing the safe, orderly and sustainable development of air transport will be empowered institutions to develop their functions efficiently and effectively, generating confidence, stimulating innovation and promoting the continued growth of the sector.

We envisage an aviation responsible for the sustainability of the environment that is developed in harmony with nature and protecting life on the planet and preserving the natural values that coexist day by day with the activity, ensuring compliance with the goals of reducing greenhouse gases.

Our common principles and commitments

Reaffirming the commitment for the harmonized implementation of the global plans and objectives set in the Global Aviation Safety Plan (GASP), Global Air Navigation Plan (GANP) and Global Aviation Security Plan (GASeP);

Recalling that the ICAO Council encourages States to integrate into their legislation, regulations, and policies, as well as their air services agreements, the four basic principles of the set of rights: non-discrimination, cost-related, transparency and consultation with users, in order to ensure compliance by airport operators and air navigation service providers (ANSP).

Noting ICAO Assembly Resolution A39-14 Regional on cooperation and assistance to resolve safety deficiencies, establishing priorities and setting measurable targets;

Noting ICAO Assembly Resolution A39-25 on aviation's contribution towards the United Nations 2030 Agenda for Sustainable Development, as regards achievement of its objectives with the support of air transport;

Taking into account that, collaborative efforts are required between the State and the industry to implement these plans, in light of United Nations (UN) Sustainable Development Goal (SDG), and that these implementations will effectively support States for the attainment of both national development objectives and Sustainable Development Objectives.

Taking into account the scope of the No Country Left Behind (NCLB) initiative, approved by Resolution A39-23 of the Thirty-ninth Session of the ICAO Assembly.

Our Agenda

We announce today our Agenda that will frame the vision of the Regions, and we commit to work in collaboration among States and the industry, in order to promote measures necessary to guarantee the implementation of actions required to achieve our overarching goals

We recognize that aviation in the Region is a growing industry that is vital for the promotion of regional connectivity, and that its sustainable development depends on: the availability of capacity and efficiency of its operations, through coordinated actions, in alignment with the Global Air Navigation Plan; the promotion of systemic measures to promote operational safety, and the security and facilitation, through measures

aligned with the Global Aviation Safety Plan (GASP) and Global Aviation Security Plan (GASeP); and the adoption of actions to create economic stimuli for the development of air transport business plans in the Regions, and the application of environmentally responsible measures.

Therefore, we have, as a vision, the following general objectives for the promotion of connectivity through the development and sustainability of air transport in the Latin American and Caribbean Regions:

- become the Regions where air transport is available, affordable, seamless and sustainable for all our citizens, turning even more available and efficient to overcome current logistical challenges;
- be the Regions that maintain the planning of the civil aviation integrated into the development plans of the States, intending on attending with the quality the growing demand for air transport services;
- become the Regions where States and the industry systematically adopt air navigation safety improvement measures, progressively reducing fatal accidents;
- be the Regions where the culture of air transport security is incorporated into the training and operation of civil aviation organizations;
- be the Regions that the civil aviation authorities support to achieve their functions of promoting the safe, orderly and sustainable development of air transport;
- be the Regions where the growth of air operations is sustainable and keeps the contribution of carbon to the environment stable.

Implementation

We will support the civil aviation authorities of the Region for the development of the national and regional action plans necessary for the implementation of our vision.

All our governments are responsible for the follow-up and review of the progress made regarding the achievement of overarching goals.

We invite Latin American and Caribbean States, as well as other ICAO Member States, industry associations, industry, Latin American Civil Aviation Commission (LACAC), aircraft manufacturers and other sectors interested, to support in the achievement of this vision.

We hereby express our sincere gratitude to our host, the Federal Government of Brazil, for its warm hospitality and support in the organization of this Fourth ICAO Global Aviation Forum, as well as for its contribution in achieving sustainable civil aviation growth in Caribbean and Latin American.

Drafted and adopted in Fortaleza, Brazil, 19 September 2018

Agenda Item 3: Tasks planning for the working groups

3.1 After the analysis of Agenda Item 2, the Secretariat, together with the delegates of the States, for time reasons, considered it important to postpone the review of tasks planning for the working groups for a next virtual meeting to be scheduled opportunely.

Agenda Item 4: Other business

4.1 Likewise for time reasons, after concluding with the analysis of Agenda Item 2 the Secretariat, together with the delegates of the States, decided to postpone the discussion of other business for the next virtual meeting to be scheduled opportunistically

4.2 With no other point to discuss, the virtual meeting finished at 11:00 hours, Lima, Peru time.



SAM/PLAN/3 (cont. 1 and 2)

**INTERNATIONAL CIVIL AVIATION ORGANIZATION
SOUTH AMERICAN REGIONAL OFFICE**

**THIRD VIRTUAL MEETING (CONTINUATION)
OF FOCAL POINTS FOR THE REGIONAL PLAN
FOR THE SUSTAINABILITY OF AIR TRANSPORT
IN THE SAM REGION**

(SAM/PLAN/3)

REPORT

17 and 27 August 2018

The designations employed and the presentation of material in this publication do not imply the expression of any opinion whatsoever on the part of ICAO concerning the legal status of any country, territory, city or area or of its authorities, or concerning the delimitation of its frontiers or boundaries.

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HISTORY OF THE MEETING

ii-1 PLACE AND DURATION OF THE MEETING

The Third Virtual Meeting (continuation) of Focal Points for the Regional Plan for the sustainability of air transport in the SAM Region (SAM/PLAN/3) was held on 17 August 2018, from 09:00 to 10:30 hours, Lima, Peru time. Same was recessed and discussions were resumed on 27 August 2018.

ii-2 WORKING METHOD

The Meetings were developed through teleconferences with the focal points nominated by States.

ii-3 AGENDA

The following agenda was adopted:

Agenda

Item 3: Tasks planning for the working groups

In this part of the Agenda, a draft of the tasks planning for the teams designated during the second virtual meeting was presented.

Agenda

Item 4: Other business

Under this subject, the Meeting was able to review other aspects which have not been considered in the previous subjects and are related with the matters under analysis.

ii-4 INTRODUCTION

Mr. Oscar Quesada-Carboni, Deputy Director of the ICAO South American Regional Office, after welcoming the participants, asked them to give some introductory words.

For the continuation of the Meeting, on 27 August 2018, the Secretariat welcomed the participants, asking them to give some introductory words.

ii-5 ATTENDANCE

The Virtual Meeting of 17 August 2018, was attended by 23 delegates from 9 SAM Region States (Bolivia, Brazil, Chile, Colombia, Guyana, Panama, Paraguay, Peru and Venezuela), 1 representative of IATA and 2 ICAO Officers. The continuation meeting of 27 August 2018 was attended by 22 delegates from 8 SAM Region States (Bolivia, Brazil, Chile, Colombia, Ecuador, Panama, Peru and Venezuela), as well as 2 ICAO Officers.

The lists of participants are shown in pages iii-1 and iii.2.

**THIRD VIRTUAL MEETING (cont.) OF FOCAL POINTS FOR THE REGIONAL PLAN
FOR THE SUSTAINABILITY OF AIR TRANSPORT IN THE SAM REGION (17/08/2018)**

(PLAN SAM)

LIST OF PARTICIPANTS

BOLIVIA

1. Carlos Alberto Caballero Guzmán

BRAZIL

2. Daniel Longo
3. Ary Rodrigues Bertolinno
4. Marcelo Moraes de Oliveira
5. Sergio Roberto Rodrigues Silva

CHILE

6. Germán A. Olave
7. Jaime Binder
8. David Dueñas
9. Macarena Roa

COLOMBIA

10. Jazmin Alexandra Palomino Pineda

GUYANA

11. Saheed Sulaman

PANAMA

12. Carlos F. von Seidlitz W.

PARAGUAY

13. Roque Díaz Estigarribia
14. María Liz Viveros
15. Tomas Alfredo Yentzsch

URUGUAY

16. Pablo Simone
17. Marcos Revetria
18. Sergio Perez Lauro
19. Pedro Cardeillac

VENEZUELA

20. Anira Padrón Barito
21. Daniela Caraballo
22. José Perira

IATA

23. Julio Pereira

ICAO

24. Oscar Quesada-Carboni
25. Jorge Armoa

**TERCERA REUNIÓN VIRTUAL (cont.) PARA PUNTOS FOCALES DEL PLAN SAM
PARA EL SOSTENIMIENTO DEL TRANSPORTE AÉREO (27/08/2018)**

(PLAN SAM)

LISTA DE PARTICIPANTES

BOLIVIA

1. Carlos Alberto Caballero Guzmán

BRASIL

2. Daniel Longo
3. Ary Rodrigues Bertolinno
4. Marcelo Moraes de Oliveira
5. Sergio Roberto Rodrigues Silva
6. Jorge Wilson de Avila

CHILE

7. Cesar McNamara
8. Germán A. Olave
9. Jaime Binder
10. David Dueñas
11. Macarena Roa

COLOMBIA

12. Jazmin Alexandra Palomino Pineda

ECUADOR

13. María José Landazuri

PANAMÁ

14. Carlos F. Von Seidlitz W.
15. Dorsa Sabet-Rasekh

PERÚ

16. Luis Nueñez
17. Fernando Torres
18. Arturo Lujan

VENEZUELA

19. Anira Padrón Barito
20. Daniela Caraballo
21. José Perira
22. David Romero

OACI

23. Oscar Quesada-Carboni
24. Jorge Armoa

Agenda Item 3: Tasks planning for the working groups

3.1 The Meeting analysed Agenda Item 3 of the Third Virtual Meeting on the SAM Plan.

3.2 The Secretariat recalled that in the first session of the Third Virtual Meeting held on 6 August, it was considered to postpone the treatment of Agenda Items 3 and 4.

3.3 The Meeting considered to plan the work of the groups of focal points for each one of the SAM Plan axes.

3.4 The delegates attending the Virtual Meeting indicated that one Secretary should be nominated for each axis. Additionally it was indicated that each group Secretary should contact first all members of their working group by e-mail and send them a first message including the draft working documents and related documentation to request, based on them, comments by e-mail. Based on the comments received a first working paper should be prepared, which will be the input of a first virtual meeting. Con los comentarios recibidos se preparará una primera nota de estudio, que será el insumo de una primera reunión virtual.

3.5 The Secretariat nominated the Secretaries of each axis, which were established as follows:

- Connectivity axis: Messrs. Fernando Hermoza and Pablo Lampariello
- Safety axis: Mr. Marcelo Ureña
- Institutional strengthening axis: Mrs. Verónica Chávez
- Environmental protection axis: Mr. Jorge Armoa

3.6 The Secretariat will provide the material developed by the consultants in each of the axes and will accompany the work. Should face-to-face meetings be required, these would be scheduled opportunely.

3.7 The delegates approved the designation of Secretaries as well as the methodology to be implemented. Additionally, the names for the Working Groups were provided, which were formed as shown on **Appendix A** to this part of the Report.

APPENDIX A

Regarding Appendix A to Agenda Item 3 of the Second Virtual Meeting, States provided names of the experts for each Working Group, which were formed as follows:

Air connectivity axis: (Fernando Hermoza and Pablo Lampariello)

- Roberto da Rosa Costa (Brazil)
- Jorge Wilson de Avila (Brazil)
- David Dueñas (Chile)
- Anira Padron (Venezuela)
- Carlos Von Siedlitz (Panama)
- Carlos Caballero (Bolivia)
- Jorque Yanqui (Peru)
- Sergio Pérez Lauro (Uruguay)
- Virginia Silvera (Uruguay)
- Alexandra Palomino Pineda (Colombia)
- Julio Pereira (IATA)
- Filipe Reis (IATA)
- Saheed Sulaman (Guyana)

Safety axis: (Marcelo Ureña)

- João Souza Dias Garcia (Brazil)
- Neverton Alves de Novais (Brazil);
- Paulo Henrique Iengo Nakamura (Brazil)
- David Romero (Venezuela)
- Fernando Torres (Peru)
- Marcos Revetria (Uruguay)
- Luis Alberto Valencia (Colombia)
- Julio Danzov (Uruguay)
- Julio Pereira (IATA)

Institutional strengthening axis: (Veronica Chávez)

- Marcelo Rezende Bernardes (Brazil);
- Gustavo Machado de Freitas (Brazil);
- Macarena Roa (Chile)
- Luis Nuñez (Peru)
- Marisela Estrada (Venezuela)
- Pablo Simone (Uruguay)
- José Palermo (Uruguay)
- Oracio Márquez (IATA)

Environmental protection axis: Jorge Armoa)

- Marcela Braga Anselmi (Brazil);
- Rodrigo Ayres Padilha (Brazil).
- José Pereira (Venezuela)
- Pedro Cardeillac (Uruguay)
- Adriana Jackson (Uruguay)
- Arturo Luján (Peru)
- Oracio Márquez (IATA)
- Saheed Sulaman (Guyana)

Agenda Item 4: Other business

4.1 The Secretariat opened the possibility of considering other issues not included in the previous items and that are important in the context of the meeting.

4.2 The delegates of the States indicated that they had received the partial report of the Third Virtual Meeting (Agenda Items 1 and 2), as well as the draft Declaration for IWAF/4. The Secretariat indicated that during the session of 6 August, comments had been received from all States and that in the Declaration the Secretariat had tried to reflect the position of all States participating in the virtual meeting. Concerning to same, the Secretariat clarified that, at the initiative of ICAO General Secretariat and considering that authorities of the Caribbean and South American States would be attending the IWAF, it was proposed to prepare a Declaration for the IWAF without making reference to the SAM Plan, considering a more Latin American context that would address the concerns expressed, giving the Working Groups the required time for the discussions and definition of the specific action plans of each axis.

4.3 The delegate of Guyana indicated that it would be essential to differentiate the versions of the drafts of the proposed Declaration for IWAF/4. The Secretariat noted that, with the consent of all delegates, the versions of the Declaration proposals could be differentiated and, besides, respective corrigenda to the reports of the virtual meetings previously carried out could be prepared to introduce the references of the versions of the Declaration. This proposal was approved by the delegates.

4.4 Regarding the proposed Declaration presented at the Virtual Meeting, the States requested additional time to analyze the contents of the IWAF/4 Declaration and provide comments to the Secretariat before the next virtual meeting, to be held on Monday 27 August at 09:00 hrs. (Lima time -5 UTC).

4.5 Concerning the report to Agenda Item 1, the delegate of Venezuela requested to correct her name. Moreover, the Secretariat informed that it had received an e-mail from Brazil requesting the inclusion of Mr. Jorge Wilson de Avila, involuntarily omitted in the partial report of the Third Virtual Meeting. Additionally, some delegates asked for the inclusion of other focal points to work on the axes of the SAM Plan. The Secretariat will prepare the corresponding corrigenda to the partial report of the Third Virtual Meeting to reflect what was requested by the States.

4.6 The Meeting was resumed on 27 August 2018. The Secretariat requested if there were comments on the proposed Declaration. Regarding same, the Secretariat clarified that on the initiative of the ICAO NACC Office, the coverage of the Declaration had been extended to the Pan-American level. The delegate from Chile requested one additional week of time for the analysis of the content of the Declaration. The representative of Brazil indicated that if the change introduced was only to extend the coverage, they supported the Declaration. The other States requested one more week for a new analysis. The Secretariat urged the States to send their comments during the week, considering the proximity of the IWAF/4 event.

4.7 The Secretariat referred to Decision ANFS/5-3, which is transcribed below:

DECISION ANFS/5-03: PLAN FOR THE SUSTAINABILITY OF AIR TRANSPORT IN THE SAM REGION - PLAN SAM

- a) That the Plan continue to be worked by the working groups, where all comments and improvement opportunities presented in the ANFS/5 should be collected, in order to

elaborate a final document to be presented to the RAAC/16, and that this meeting should decide about the future of the SAM Plan, and

- b) That the decision made during the Third Virtual Meeting of the SAM Plan Focal Points in terms that the Declaration to be presented to the IWAF/4 should not have any bond with SAM Plan is being supported.

4.8 Concerning the same, the delegate of Chile mentioned that at the AN&FS/5 meeting, Brazil, Chile, Paraguay and Uruguay, together with all the assistants, indicated that the SAM Plan would not prosper until there is not a higher document issued by ICAO.

4.9 The Secretariat indicated that the study of the SAM Plan is a mandate of the RAAC/15 and that the Decision ANFS/5-3 itself, in its literal a) recognizes this point and urges to continue with the work of analyzing the axes and submit a proposal for a final document to RAAC/16, a forum that must decide the future of the Plan.

4.10 As there was no other subject to discuss, the Virtual Meeting was adjourned at 10:40 hrs. Lima time, asking to submit comments on the proposed Declaration for IWAF/4, presented for consideration on 27 August 2018.

4.11 As of 3 September 2018 the Secretariat had not received any new comments on the terms of the draft Declaration submitted for consideration by the States in the Virtual Meeting of 27 August 2018, which appears as **Appendix A** to this part of the Report. In such sense, the discussions about the Third Virtual Meeting were closed and the proposed Declaration was considered approved in the terms found in the above mentioned Appendix.

APPENDIX A

DRAFT

**DECLARATION TO PROMOTE CONNECTIVITY THROUGH THE DEVELOPMENT
AND SUSTAINABILITY OF AIR TRANSPORT IN THE PAN-AMERICAN REGION –
VISION 2020-2035
THIRD VERSION**



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Declaration to Promote Connectivity through the Development and Sustainability of Air Transport in the Pan-American Region - Vision 2020-2035

We, the Ministers and Authorities of the Pan-American Member States, representatives of international and regional organizations, and of the industry, participating at the Fourth International Civil Aviation Organization (ICAO) World Aviation Forum (IWAF/4), held in Fortaleza, Brazil, from 17 to 19 September 2018, who have gathered to “promote investment for the development of civil aviation” through the establishment of a framework commitment to collaborating in the sustainable growth of air transport in our Region for the next 15 years, declare the following:

Our vision

Reaffirming that the future development of international civil aviation can strongly contribute towards establishing and preserving the friendship and understanding among nations and people of the world, and that each State has full and exclusive sovereignty of the airspace over its territory.

Recognizing that each State has full and exclusive sovereignty in the establishment of its public policies in accordance with its level of development and national priorities.

Recognizing the importance of regional collaboration among States, international organizations and industry for supporting the harmonized and sustainable development and growth of air transport.

Understanding that the adoption of a regional vision of the future promotes the opportunity for mutual cooperation and optimization of the use of resources to achieve common objectives.

Aligned with the ICAO vision to achieving the sustainable development of the global civil aviation system.

Recognizing that, with a greater air connectivity with acceptable safety levels, supported by strong government institutions and having respect for the environment, we can contribute to the attainment of the United Nations (UN) *Transforming our World: 2030 Agenda for Sustainable Development*, including Sustainable Development Goals (SDGs), to welfare of our States.

The Pan-American air transport authorities have today agreed upon the vision to follow in order to foster a sustainable air transport growth in the Region, in favor of the social and economic development of the people, and recognizing air transport as a key tool to achieve this purpose.

We envisage our Region offering greater access of the benefits of air transport to the population, where the development of our populations will count with the timely support of a heterogeneous, seamless, dynamic and safe air transport network in all of its levels, whose efficiency in its infrastructure and services will be of

global reference, achieving a greater degree of connectivity between the people of the Region and the rest of the world, and thus encouraging a greater commercial, social and cultural exchange.

We envisage the leadership of our Region within the global context of safety, in compliance with international civil aviation standards, and within a harmonized environment that makes it possible to take advantage of economies of scale for the civil aviation authorities to offer an appropriate level of oversight to its air navigation services providers (ANSPs) in an effective and efficient manner, without creating unnecessary costs to States and the industry, and building an enabling environment for the development of the air transport business.

We envisage that the States' entities in charge of guaranteeing the safe, orderly and sustainable development of air transport will be empowered institutions that are able to develop their functions efficiently and effectively, generating confidence, stimulating innovation and promoting the continued growth of the sector.

We envisage an aviation responsible for the sustainability of the environment that is developed in harmony with nature and protecting life on the planet and preserving the natural values that coexist day by day with the activity, ensuring compliance with the goals of reducing greenhouse gases.

Our common principles and commitments

Reaffirming the commitment for the harmonized implementation of the global plans and objectives set in the Global Aviation Safety Plan (GASP), Global Air Navigation Plan (GANP) and Global Aviation Security Plan (GASeP);

Recalling that the ICAO Council encourages States to integrate into their legislation, regulations, and policies, as well as their air services agreements, the four basic principles of the set of rights: non-discrimination, cost-related, transparency and consultation with users, in order to ensure compliance by airport operators and ANSPs.

Noting ICAO Assembly Resolution A39-14 on regional cooperation and assistance to resolve safety deficiencies, establishing priorities and setting measurable targets;

Noting ICAO Assembly Resolution A39-25 on aviation's contribution towards the UN 2030 Agenda for Sustainable Development, as regards achievement of its objectives with the support of air transport;

Taking into account that, collaborative efforts are required between the State and the industry to implement these plans, in light of UN SDGs, and that these implementations will effectively support States for the attainment of both national development objectives and SDGs.

Taking into account the scope of the No Country Left Behind (NCLB) initiatives, approved by ICAO Assembly Resolution A39-23.

Our Agenda

We announce today our Agenda that will frame the vision of the Region, and we commit to working in collaboration among States and the industry, in order to promote measures necessary to guarantee the implementation of actions required to achieve our overarching goals.

We recognize that aviation in the Region is a growing industry that is vital for the promotion of regional connectivity, and that its sustainable development depends on: the availability of capacity and efficiency of its operations, through coordinated actions, in alignment with GANP; the promotion of systemic actions to promote safety, security and facilitation, through measures aligned with GASP and GASeP; and the adoption of actions to create economic stimuli for the development of air transport business plans in the Region, and the application of environmentally responsible measures.

Therefore, we have, as a vision, the following general objectives for the promotion of connectivity through the development and sustainability of air transport in the Region:

- become a Region where air transport is available, affordable, seamless and sustainable for all our citizens, turning it even more accessible and efficient to overcome current logistical challenges;
- become a Region that maintains the planning of the civil aviation integrated into the development plans of the States, in order to meet the growing demand for air transport services;
- become a Region where States and the industry systematically adopt civil aviation safety improvement measures, progressively reducing fatal accidents;
- become a Region where the culture of air transport security is incorporated into the training and operations of civil aviation organizations;
- become a Region that supports the civil aviation authorities to succeed in their functions of promoting a safe, orderly and sustainable development of air transport; and
- become a Region where the growth of air operations is sustainable and keeps the contribution of carbon to the environment stable.

Implementation

We will support the civil aviation authorities of the Region for the development of the national and regional action plans necessary for the implementation of our vision.

All our governments are responsible for the follow-up and review of the progress made regarding the achievement of overarching goals.

We invite Pan-American States, as well as other ICAO Member States, industry associations, industry, Latin American Civil Aviation Commission (LACAC), aircraft manufacturers and other sectors interested, to support in the achievement of this vision.

We hereby express our sincere gratitude to our host, the Federal Government of Brazil, for its warm hospitality and support in the organization of this Fourth ICAO World Aviation Forum, as well as for its contribution in achieving sustainable civil aviation growth in our Region.

Drafted and adopted in Fortaleza, Brazil, 19 September 2018.



AGÊNCIA NACIONAL DE AVIAÇÃO CIVIL
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Telefone: 3314-4202

Ofício nº 787/2018/GAB-ANAC

Brasília, 23 de outubro de 2018.

OLUMUYIA ALIU
President of the Council
International Civil Aviation Organization (ICAO)
999 Robert-Bourassa Boulevard
Montréal, Quebec H3C 5H7, Canada

Subject: Submission of the Declaration of Fortaleza.

Dear Mr. President,

1. I would like to thank you for attending the 4th ICAO Aviation Forum in the city of Fortaleza, in last September. It was a great honor for our National Civil Aviation Agency to host such an important ICAO high-level event. IWAF has gathered representatives from ICAO Member-states, industry and other stakeholders to discuss ways to promote investment in the aviation sector. I believe that discussions were very productive, and we were able to exchange views and best practices to face future and common challenges.
2. One paramount outcome from IWAF was the adoption of the *Declaration to promote connectivity through the development and sustainability of air transport in the Pan-American Region – Vision 2020-2035*. The Declaration expresses the commitment of the Pan-American States to the vision to be pursued. In this sense, the region is committed to foster a sustainable air transport growth, in favor of the social and economic development of the people, while recognizing air transport as a key tool to achieve this purpose. This vision should be achieved by the implementation and development of the national and regional action plans, with the support of all stakeholders involved – Governments and industry alike.
3. As it was agreed, Brazil was held responsible for consolidation of any suggestions that states could have on the proposed text of the Declaration. As any further comments were received up to this date, it is my understanding that the proposed text was dully accepted by States according to the version presented at the IWAF/4.
4. In this regard, it is my pleasure to submit to you, on behalf of the Pan-American Region, the Declaration adopted in Fortaleza, on September 19th 2018, for your consideration and appropriate actions to the ICAO Council.
5. I would like to thank you for your constant support and I take the opportunity to express my sincere feeling of highest esteem and consideration.

Yours sincerely,

JOSÉ RICARDO BOTELHO DE QUEIROZ
President-Director



Documento assinado eletronicamente por **José Ricardo Pataro Botelho de Queiroz, Diretor-Presidente**, em 24/10/2018, às 18:41, conforme horário oficial de Brasília, com fundamento no art. 6º, § 1º, do [Decreto nº 8.539, de 8 de outubro de 2015](#).



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**DECLARATION TO PROMOTE CONNECTIVITY THROUGH THE
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Recognizing the importance of regional collaboration among States, international organizations and industry for supporting the harmonized and sustainable development and growth of air transport.

Understanding that the adoption of a regional vision of the future promotes the opportunity for mutual cooperation and optimization of the use of resources to achieve common objectives.

Aligned with the ICAO vision of achieving the sustainable development of the global civil aviation system.

Recognizing that, with greater air connectivity with acceptable safety levels, supported by strong government institutions and having respect for the environment, we can contribute to the attainment of the United Nations (UN) 'Transforming our World: 2030 Agenda for Sustainable Development, including Sustainable Development Goals (SDGs) for the welfare of our States



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The Pan-American air transport authorities have today outlined the vision to pursue in order to foster a sustainable air transport growth in the Region, in favor of the social and economic development of the people, while recognizing air transport as a key tool to achieve this purpose.

We envisage our Region offering to the population greater access to the benefits of air transport in which the development of our populations will count with the timely support of a heterogeneous, seamless, dynamic and safe air transport network at all levels, whose efficiency in its infrastructure and services will be of global reference, achieving a greater degree of connectivity between the people of the Region and the rest of the world, and thus encouraging a greater commercial, social and cultural exchange.

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Our common principles and commitments

Reaffirming the commitment for the harmonized implementation of the global plans and objectives set in the Global Aviation Safety Plan (GASP), Global Air Navigation Plan (GANP) and Global Aviation Security Plan (GASeP);

Recalling that the ICAO Council encourages States to integrate in their legislations, regulations, and policies, as well as their air services agreements, the four basic principles of the set of rights: non-discrimination, cost-relatedness, transparency and consultation with users, in order to ensure compliance by airport operators and ANSPs.

Noting ICAO Assembly Resolution A39-14 on Regional Cooperation and assistance to resolve safety deficiencies, establishing priorities and setting measurable targets;

Noting ICAO Assembly Resolution A39-25 on aviation's contribution towards the United Nations 2030 Agenda for Sustainable Development, as regards achievement of its objectives with the support of air transport;

Taking into account that, collaborative efforts are required between States and the industry to implement these plans, in light of United Nations (UN) Sustainable Development Goals (SDGs), and that the implementations of these will effectively support States for the attainment of both national development objectives and SDGs.

Taking into account the scope of the No Country Left Behind (NCLB) initiative, approved by ICAO Resolution A39-23.



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We announce today our Agenda that will frame the vision of the Region, and we aim to work in collaboration among our States and the industry, in order to promote measures necessary to guarantee the implementation of actions required to achieve our overarching goals.

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Therefore, we have, as a vision, the following general objectives for the promotion of connectivity through the development and sustainability of air transport in the Region to:

- become a Region where air transport is available, affordable, seamless and sustainable for all our users, ensuring that it is even more accessible and efficient to overcome current logistical challenges;
- become a Region that plans and integrates civil aviation into the development plans of the States, in order to meet the growing demand for air transport services;
- become a Region where States and the industry systematically adopt civil aviation safety improvement measures, progressively reducing fatal accidents;
- become a Region where the culture of air transport security is incorporated into the training and operations of civil aviation organizations;
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- become a Region where the growth of air operations is sustainable and keeps stable and to reduce the contribution of carbon emissions to the environment stable.



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Implementation

We will support the implementation development of the national and regional action plans necessary for the implementation of our vision.

All our governments are responsible for the follow-up and review of the progress made regarding the achievement of our overarching goals.

We invite Pan-American States, as well as other ICAO Member States, Latin American Civil Aviation Commission (LACAC), industry associations, industry, aircraft manufacturers and other sectors interested, to give support in the achievement of this vision.

We hereby express our sincere appreciation to our host, the Federal Government of Brazil, for its warm hospitality and support in the organization of this Fourth ICAO World Aviation Forum (IWAF/4), as well as for its contribution in achieving sustainable civil aviation growth in our Region.

Drafted and adopted in Fortaleza, Brazil, 19 September 2018.



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Recalling that the ICAO Council encourages States to integrate in their legislations, regulations, and policies, as well as their air services agreements, the four basic principles of the set of rights: non-discrimination, cost-relatedness, transparency and consultation with users, in order to ensure compliance by airport operators and ANSPs.

Noting ICAO Assembly Resolution A39-14 on Regional Cooperation and assistance to resolve safety deficiencies, establishing priorities and setting measurable targets;

Noting ICAO Assembly Resolution A39-25 on aviation's contribution towards the United Nations 2030 Agenda for Sustainable Development, as regards achievement of its objectives with the support of air transport;

Taking into account that, collaborative efforts are required between States and the industry to implement these plans, in light of United Nations (UN) Sustainable Development Goals (SDGs), and that the implementations of these will effectively support States for the attainment of both national development objectives and SDGs.

Taking into account the scope of the No Country Left Behind (NCLB) initiative, approved by ICAO Resolution A39-23.



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Our Agenda

We announce today our Agenda that will frame the vision of the Region, and we commit to work in collaboration among our States and the industry, in order to promote measures necessary to guarantee the implementation of actions required to achieve our overarching goals.

We recognize that aviation in the Region is a growing industry that is vital for the promotion of regional connectivity, and that its sustainable development depends on: the availability of capacity and efficiency of its operations, through coordinated actions, in alignment with the GANP; the promotion of systemic actions to promote safety, security and facilitation, through measures aligned with the GASP and the GAsEP; and the adoption of actions to create economic stimuli for the development of air transport business plans in the Region, and the application of environmentally responsible measures.

Therefore, we have, as a vision, the following general objectives for the promotion of connectivity through the development and sustainability of air transport in the Region to:

- become a Region where air transport is available, affordable, seamless and sustainable for all our users, ensuring that it is even more accessible and efficient to overcome current logistical challenges;
- become a Region that plans and integrates civil aviation into the development plans of the States, in order to meet the growing demand for air transport services;
- become a Region where States and the industry systematically adopt civil aviation safety improvement measures, progressively reducing fatal accidents;
- become a Region where the culture of air transport security is incorporated into the training and operations of civil aviation organizations;
- become a Region that encourages and supports civil aviation authorities to succeed in their functions of promoting a safe, orderly and sustainable development of air transport; and
- become a Region where the growth of air operations is sustainable and keeps stable and to reduce the contribution of carbon emissions to the environment stable.



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Implementation

We will support the implementation development of the national and regional action plans necessary for the implementation of our vision.

All our governments are responsible for the follow-up and review of the progress made regarding the achievement of our overarching goals.

We invite Pan-American States, as well as other ICAO Member States, Latin American Civil Aviation Commission (LACAC), industry associations, industry, aircraft manufacturers and other sectors interested, to give support in the achievement of this vision.

We hereby express our sincere appreciation to our host, the Federal Government of Brazil, for its warm hospitality and support in the organization of this Fourth ICAO Global Aviation Forum (IWAF4), as well as for its contribution in achieving sustainable civil aviation growth in our Region.

Drafted and adopted in Fortaleza, Brazil, 19 September 2018.



**INTERNATIONAL CIVIL
AVIATION ORGANIZATION**

SOUTH AMERICAN REGIONAL OFFICE

SAFETY AXIS

SAM SAFETY PLAN (SAMSP)

Original Version

December 2018

DRAFT

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FOREWORD

The *SAM Safety Plan (SAMSP)* is published by the ICAO South American Regional Office on behalf of the accredited States and International Organisations involved. It addresses the implementation of *safety management* with respect to three main priorities: effective implementation (EI) and safety oversight margin (SOM) improvement within the context of the ICAO Universal safety oversight audit programme (USOAP) continuous monitoring approach (CMA); the implementation of the State safety programme (SSP); and the reduction of the accident rate in the high-risk categories identified in the South American (SAM) Region. The SAMSP objectives have been developed in accordance with the objectives of the Global Aviation Safety Plan (GASP), Edition 2020-2022.

The instance for the approval of the SAMSP and its future versions is the Meeting of Civil Aviation Authorities (RAAC) of the SAM Region. The ICAO SAM Regional Office will publish, on behalf of the States and International Organisations involved, revised versions of the plan as may be required to reflect current implementation activities.

Copies of the plan may be obtained from:

ICAO SAM REGIONAL OFFICE**LIMA, PERU**

E-mail	:	icaosam@icao.int
Website	:	www.lima.icao.int
Tel	:	+511 6118686
Fax	:	+511 6118689
Address	:	Apartado Postal 4127, Lima 100, Peru

The present edition (original) contains guidance and recommendations of Doc 10004 – Global Aviation Safety Plan (GASP) – 2020-2022. Subsequent amendments and/or corrigenda will be shown in the amendment and corrigendum record table, as per the procedure established in Page 5.

1. Chapter 1: Foreword

1.1 Objective

1.1.1 The South American Region Safety Plan (SAMSP) has been developed taking into account the latest revision of the Global Aviation Safety Plan (GASP), and falls within a preventive strategy for improving safety performance in the South American Region (SAM). This preventive safety-related strategy is based on the implementation of the State safety programme (SSP), which systematically addresses risks and the effective implementation and continuous improvement of the eight (8) critical elements (CE) of the safety oversight system.

1.1.2 The plan is aimed at establishing a safety management implementation strategy in the SAM Region, mainly based on GASP guidelines, the provisions of Annex 19 and other safety-related Annexes, as well as the guidelines contained in Doc 9859 – Safety Management Manual (SMM).

1.1.3 The document contains the vision of the SAM Region regarding safety management, therefore States will have the opportunity to manage a decrease in the accidents and incidents rates in all the segments of their national aviation system.

1.1.4 **The ultimate objective of this plan is to save as many human lives as possible, reducing accidents in all aviation sectors to an acceptable minimum. In accordance with the GASP and as an “aspirational” objective, this plan intends to reach and maintain zero fatalities in commercial operations for 2030 and subsequent.**

1.2 Scope

1.2.1 1.2.1 This plan covers the flight information regions (FIR) of the SAM Region and addresses safety management implementation based on GASP objectives to be achieved by 2022, 2025, 2028 and 2030.

1.3 Background

1.3.1 The International Civil Aviation Organization (ICAO) published the first version of the GASP in 1997, formalising a series of conclusions and recommendations formulated during an informal meeting held between the ICAO Air Navigation Commission (ANC) and the industry. The GASP was used to guide and set priorities for the technical work programme of the Organization.

1.3.2 The GASP constitutes a high level strategic document on flight safety policies related to planning and execution. The GASP pursues an approach and a philosophy similar to the Air Navigation Global Plan (Doc 9750), also called GANP. Both documents encourage coordination and collaboration between international, regional and national initiatives intended to attain a harmonized, secure and efficient international civil aviation system.

1.3.3 The GASP presents a continuous improvement strategy that includes objectives to be reached by the States through the implementation of effective systems for the supervision of flight safety and State Safety Plans (SSP), elaborating advanced safety management systems that include risk predictive management. GASP also include deadlines for the global collective achievement of said objectives that adjust to the established procedure for the GASP and GANP update, which are object of revision every three years.

1.3.4 The GASP has undergone significant changes since its introduction in 1997, and has evolved through continuous consultation and review. The 2014-2016 edition was published in 2013 and included GASP objectives to be achieved by States through the implementation of an effective safety oversight system, a State safety programme (SSP) and the safety capabilities required to support future aviation systems. The 2017-2019 edition updates the GASP and includes a global aviation safety roadmap developed to support an integrated approach to implementation. The 2020-2022 edition is currently being drafted, and will include new safety management objectives, whose proposals have been taken into account for the formulation of this plan.

1.4 Role and responsibilities of stakeholders

1.4.1 The stakeholders, including regional safety groups, air service operators, service providers, regulatory bodies, and manufacturers, will be facing higher levels of interaction when implementing safety management. Interaction between the SSP and the service providers' SMS, as well as the sharing and exchange of safety data and information are highly integrated and, therefore, require a significant level of coordination and cooperation among all stakeholders.

1.4.2 States, air service operators and the industry will benefit from this plan and from the availability of international standards and recommended practices (SARPs) related to safety management, since they will permit the implementation of a more efficient, economical and safe aviation system in our Region.

Regional Aviation Safety Group – Pan America (RASG-PA)

1.4.3 RASG-PA planning will take place at the strategic level, in support of ICAO strategic objectives set forth in the GASP. This regional group will actively participate in the coordination and harmonisation of all activities carried out for the resolution of regional aviation safety problems.

1.4.4 The RASG-PA will facilitate the exchange of best practices, cooperation, and collaboration by applying a top-down approach to supplement the bottom-up planning and implementation approach of the SAM States and Region. RASG-PA activities will be fully aligned with GASP objectives, while ensuring that the safety priorities of the SAM Region are taken into consideration. Likewise, the RASG-PA will monitor compliance with the SAMSP and will facilitate the publication of the safety reports of the Region.

1.4.5 The RASG-PA will also facilitate the sharing and exchange of information with SAM States, for the benefit of their SSPs.

1.4.6 The RASG-PA will annually inform the ICAO Air Navigation Commission (ANC) on the progress made in the GASP. Likewise, the RASG-PA has tasked the SAM Regional Office with the development of the Pan American Safety Report, which is presented every year at the plenary meeting of this Regional Group and is subsequently shared with the ANC.

ICAO South American Regional Office

1.4.7 The South American Regional Office will conduct its safety planning and implementation at a strategic level, and will provide support to the States at a tactical level for the achievement of their objectives and goals.

1.4.8 The SAM Office will provide support to the States in the planning and implementation of their national plans. To provide this support, the Regional Office will coordinate with the corresponding States the necessary virtual and on-site technical assistance by its officers and SRVSOP Technical Committee (TC) and ARCM experts.

Regional Safety Oversight Cooperation System (SRVSOP)

1.4.9 Planning and implementation by the SRVSOP will be accomplished at a tactical level. The Regional System will support its States in the resolution of the safety issues identified during USOAP CMA activities.

AIG Regional Cooperation Mechanism (ARCM)

1.4.10 Planning and implementation by the ARCM will be at a tactical level. This mechanism will assist member States in improving their EI in the area of aviation accident and incident investigation (AIG), and will participate in the coordination of AIG cooperation between ARCM member States. It will also provide reactive information to ICAO, to the regional groups and to State SSPs for safety management purposes.

2. Chapter 2: Air traffic in the SAM Region

2.1 Aircraft and passenger movement forecasts are important for safety management planning, since they provide a future outlook and help define capacity expansions. In order to calculate the rate of accidents, serious incidents, and incidents, it is necessary to know aircraft movements and their projection. These forecasts play an important role in SSP implementation by States and SMS implementation by service providers.

2.2 For purposes of this Plan, use has been made of the 2007-2027 forecasts prepared at the Seventh meeting of the CAR/SAM Traffic Forecasting (Doc 9917) Working Group. The following paragraph summarises the expected passenger and aircraft movement growth estimates. Doc 9917 can be reached at ICAO portal under documents.

2.3 According to forecasts, passenger traffic in the South American Region is expected to grow at an annual rate of 8.8%, reaching 73 million passengers in 2027. Aircraft movements for the same period are expected to grow 7.9% per year, reaching 497,000 movements by 2027.

3. Chapter 3: Safety status of the SAM Region

3.1 Introduction

3.1.1 This chapter presents an analysis of the safety performance of the SAM Region between November 2011 and 31 July 2018 in the following areas:

- ✓ USOAP CMA;
- ✓ accidents during scheduled commercial air transport operations with aircraft over 5 700 kg;
- ✓ runway excursion (RE) accidents during scheduled commercial air transport operations with aircraft over 5 700 kg;
- ✓ SSP implementation; and
- ✓ goals achieved with regard to the Declaration of Bogota

3.1.2 The information contained in this chapter will facilitate the identification of objectives and indicators and the planning and implementation of the performance goals that States shall establish in their national safety plans.

3.2 Results in the SAM Region within the framework of the Universal Safety Oversight Audit Programme (USOAP) continuous monitoring approach (CMA)

3.2.1 USOAP CMA activities in the SAM Region started in November 2011. As of 31 July 2018, 5 CMA audits have been conducted, as well as 14 ICAO coordinated validation missions (ICVMs), 2 integrated validation activities (IVAs) and 5 off-site monitoring activities. At present, the average effective implementation (EI) in the SAM Region is **78.72%**, while the overall improvement average over the seven (7) years of analysis (November 2011-July 2018) is **+12.44**, which indicates that the SAM Region has improved its EI by an average **1.77%** per year.

3.2.2 The performance of the SAM Region during the USOAP CMA shows that CEs 8, 7 and 4, and audit areas AIG, AGA and ANS have the lowest percentage of EI. Accordingly, priority should be given to these CEs and audit areas when drafting the corrective action plans (CAPs) that States must include in their national safety plans.

3.2.3 **Attachment A** to this plan contains a more detailed analysis of the results of the USOAP CMA in the SAM Region.

3.3 Analysis of accidents occurred in the SAM Region during the period 2009-2017 in scheduled commercial air transport operations with aircraft over 5 700 kg

3.3.1 The accident rate in South America for scheduled commercial air transport operations with aircraft over 5 700 Kg has progressively decreased since 2009, achieving in 2017 an accident rate of **1.65** per every 1,000,000 departures, far below the global rate of **2.42**. During years 2015, 2016 and 2017, the SAM Region has consecutively maintained an accident rate below the world rate.

3.3.2 **Attachment B** to this plan presents a more detailed analysis of the accidents occurred between 2009-2017 in the SAM Region during scheduled air transport operations with aircraft over 5 700 kg.

3.4 **Analysis of runway excursion (RE) accidents occurred in the SAM Region during the period 2007-2017 in scheduled air transport operations with aircraft over 5 700 kg**

3.4.1 Starting in 2007, the accident rate due to REs has been gradually decreasing, with the exception of 2011 and 2013. In 2016, the rate increased slightly but remained stable in 2017.

3.4.2 **Attachment B** to this plan provides a more detailed analysis of RE accidents occurred in the SAM Region in scheduled air transport operations with aircraft over 5 700 Kg during the 2007-2017 period.

3.5 **SSP implementation results**

3.4.3 Starting in 2013, the SAM Regional Office established the SSP implementation meeting. At its fifth meeting, held in Lima, Peru, on 7-11 November 2016, an analysis was made of the status of SSP implementation in SAM States.

3.4.4 At this meeting, some States showed more progress than others. Accordingly, it was agreed to look for a mechanism that would allow all to make progress at the same pace. In this sense, Bolivia, Chile, Colombia, Ecuador, Panama, Peru and Venezuela expressed their intention to participate in a pilot project for SSP implementation by the end of 2018.

3.4.5 The SAM SSP implementation pilot project was launched on 16 March 2017, with the participation of the aforementioned seven (7) States. Subsequently, Guyana, Argentina, Uruguay and Paraguay requested their inclusion. At present, the aforementioned 11 States are active members of the SAM SSP implementation pilot project.

3.6 **SAM performance in relation to the Declaration of Bogota**

3.4.6 The Thirteenth Meeting of Civil Aviation Authorities of the SAM Region (RAAC/13), held in Bogota, Colombia, on 4-6 December 2013, pledged to achieve by December 2016, among other things, the goals of the following safety areas: safety oversight, accidents, runway excursion accidents, aerodrome certification, and SSP implementation, the performance of which is analysed below:

- a) **Safety oversight:** The goal was to achieve **80%** effective implementation (EI) in the SAM Region by December 2016.

At present, the average EI in the SAM Region is **78.72%**. Therefore, this goal was not achieved in 2016.

- b) **Accidents:** The goal was to reduce the gap between the SAM Region accident rate and the global accident rate by 50%.

As mentioned in paragraph 4.3, the SAM accident rate for scheduled commercial air transport operations with aircraft over 5 700 kg has been gradually decreasing since 2009, reaching **1.65** accidents per 1,000,000 departures in 2017, far below

the global rate of **2.42**, thus giving compliance to the goal set forth in the Declaration of Bogota.

- c) **Runway excursion accidents:** The goal was to reduce the RE accident rate by 20% with regard to the SAM average rate (2007-2012).

The average RE accident rate between 2007 and 2012 in the SAM Region was **2.24** accidents per one million departures. The 20% reduction pledged in the Declaration of Bogota was equivalent to **1.8** accidents per one million departures. Starting in 2012, the indicator remained below the regional average, and thus the goal set in the Declaration of Bogota was met in this accident category.

- d) **Aerodrome certification:** The goal was to get **20%** of aerodromes certified.

By December 2016, **24%** of the international aerodromes had been certified, thus exceeding the established goal.

- e) **SSP implementation and service providers' SMS oversight capacity:** The goals pledged were 76% for SSP implementation, and 100% for service providers' SMS oversight capacity.

The Fifth SSP implementation meeting, held in Lima, Peru, from 7 to 11 November 2016, after qualitatively assessing the progress made in the SSP, agreed to start SSP implementation from the first element of the first phase of SSP implementation. Therefore, the goals agreed upon were not achieved by December 2016.

4. Chapter 4: Planning and implementation considerations

4.1 Introduction

4.1.1 As air traffic volumes increase in the SAM Region and worldwide, so do the demands over air service operators and the related services supporting the operations of these operators and, thus, the number of ground and flight operations increase, posing a risk to air operations.

4.1.2 Improved effective implementation (EI) in the eight critical elements (CEs) of a safety oversight system, and in the eight audit areas, is a barrier against latent safety hazards. Therefore, it is necessary to start planning for a gradual and sustainable improvement of EI in each State and in the SAM Region.

4.1.3 It is foreseen that SSP implementation, together with EI and SOM improvement, will allow for proper safety risk management and mitigation of hazards, resulting in safer, more efficient and sustainable operations.

4.2 ICAO strategic objective concerning safety

4.2.1 ICAO has established five general strategic objectives that are reviewed every three years. One of them is to *strengthen global civil aviation safety*, which is mainly focused on the regulatory oversight capacity of States. The objective is set within the context of a higher volume of passengers and cargo movements, and the need to respond to changes regarding efficiency and the environment. Based on this objective, the GASP describes the key activities for the triennium. The ICAO website www.icao.int/abouticao/Pages/Strategic-Objectives.aspx contains additional information on the ICAO strategic objectives.

4.3 SAM strategic objectives

4.3.1 For the purpose of this plan, the safety objectives of the SAM Region are the following:

- ✓ to improve the effective implementation (EI);
- ✓ to implement the SSP effectively;
- ✓ to reduce accident rates in all aviation segments;
- ✓ to increment regional collaboration;
- ✓ to expand the use of industry programmes; and
- ✓ to ensure the appropriate air navigation service and aerodrome infrastructure to support safe operations.

4.4 Safety performance indicators

4.4.1 For the purpose of this plan, the following indicators will be considered:

- ✓ EI improvement percentage;
- ✓ SSP implementation percentage in reference to the number of elements of the four implementation phases;
- ✓ rate of accidents in scheduled and non-scheduled commercial air transport operations with aeroplanes over 5 700 kg and helicopters over 3 715 kg and with aeroplanes of 5700 kg or less and helicopters of 3 175 kg or less;
- ✓ number of accidents for all types of operations with aeroplanes over 5 700 kg and helicopters over 3 175 kg, and with aeroplanes of 5 700 kg or less and helicopters of 3 175 kg or less in all aviation sectors other than scheduled and non-scheduled commercial air transport, in case aircraft movement data are not available;
- ✓ safety oversight margins;
- ✓ globally harmonised SPIs and level of participation in industry assessment programmes; and
- ✓ percentage of improvement in essential air navigation and aerodrome infrastructure to support safe operations.

4.5 Performance targets with regard to EI improvement and SOM, and SSP implementation

4.5.1 In order to meet the SAM strategic objectives, **Table 5-1** present EI and SOM in order that States consider within their safety national plans these goal. Goals have been set for years 2020, 2022, 2024, 2026, 2028 and 2030, and for each of the four groups of States indicated in the left hand side column of the referred chart. Group percentages have been selected gradually and based on the present situation of each States regarding EI.

4.5.2 On the other hand, SSP implementation goal are presented in Table 5-2. These goal have been established for years 2022 and 2025 equally for all the States

4.5.3 Considering that the SAM Region has improved its EI by **12.33%** during the period 2011 to 2018 corresponding to the USOAP CMA cycle, and that the average annual increase is 1.76% in the planning of goals for each State, it has been taken into account a gradual annual improvement of **2.5%**, or **5%** every two years. This proposed annual improvement stems from the fact that several States have received, are receiving, or will receive, technical assistance from the SAM Regional Office and the SRVSOP for the completion of their corrective action plans (CAPs) and the complete review of the PQs. States will also achieve and maintain a positive safety oversight margin (SOM+) starting in 2022.

Table 5-1 – Indicators and targets regarding EI improvement and safety oversight margin (SOM)

States with effective implementation (EI):	✓ % EI improvement ✓ Safety oversight margin (SOM)					
	2020	2022	2024	2026	2028	2030
Less than 65% Group 1	EI = 70 % SOM improvement	EI = 75 % SOM+	EI = 80 % SOM+	EI = 85 % SOM+	EI = 90 % SOM+	EI = 95 % SOM+
between 65 and 74.99% Group 2	EI = 75 % SOM improvement	EI = 80 % SOM+	EI = 85 % SOM+	EI = 90 % SOM+	EI = 95 % SOM+	EI = 95 % SOM+
between 75 and 79.99 % Group 3	EI = 80 % SOM improvement	EI = 85 % SOM+	EI = 90 % SOM+	EI = 95 % SOM+	EI = 95 % SOM+	EI = 95 % SOM+
More than 80 % Group 4	EI = 85 % SOM improvement	EI = 90 % SOM+	EI = 95 % SOM+	EI = 95 % SOM+	EI = 95 % SOM+	EI = 95 % SOM+

Table 5-2 – Indicators and targets regarding improvement of SSP implementation

Indicators for the States	Targets	
	2022	2025
% SSP implementation	Sustainable SSP (100%)	Effective SSP (100%)

- ✓ **EI improvement % indicator metric:** In order to know the percentage achieved by the States, the following formula will be applied:

$$EI (\%) = \frac{\text{number of satisfactory PQs}}{\text{number of total applicable PQs}} \times 100$$

- ✓ **SSP implementation indicator metric:** This metric will be based on the number of elements presented to the SSP Secretariat (SAM Office) of the total elements of the SSP implementation phases.

4.6 Performance goals related to accident rate reduction

4.6.1 In order to manage accident rate reduction, a **10%** reduction in SAM performance curve slope values has been planned for both scheduled commercial air transport accidents and runway excursion (RE) accidents with aircraft over 5 700 kg.

4.6.2 Based on the moving average, accident rate goal for 2018 would be 1.98 and, for RE, 0.84. Values for future goal would be calculated every year.

4.6.3 For accidents occurred with aeroplanes over 5 700 kg or less, and helicopters over 3 175 kg or less in all aviation sectors other than scheduled and non-scheduled commercial air transport, States will establish the annual reduction percentages (goals) in case of availability of movement information or the number of accidents and fatalities in case aeroplane and helicopter movement data are not available, in accordance with their safety oversight capabilities.

- ✓ **Accident rates indicators metric established by the SAM Region:** Calculations will be done directly by accident rate using ICAO formula. In the case of number of accidents, the corresponding percentage will be applied by rule of three.

4.7 Alert levels for accident and incident rate control and monitoring

4.7.1 For the purposes of this plan, three alert levels are considered associated with the trend of the historical data of an indicator, which performance is measured specifically through the average value and the standard deviation (SD) value.

4.7.2 The alert levels for a new follow-up period (current year) are based on the performance of the previous period (preceding year) and are derived from these two values (average and standard deviation). Alert levels are illustrated in the safety indicator chart through three alert lines as follows:

- ✓ average + 1 SD;
- ✓ average + 2 SD; and
- ✓ average + 3 SD.

4.7.3 For purposes of indicator control and follow up, States should take certain specific action if:

- ✓ 1 point is above the third alert level
- ✓ 2 consecutive points are above the second alert level
- ✓ 3 consecutive points are above the first alert level

4.8 Performance goals with respect to the other objectives.

Table 5-3– Indicators and goals concerning State collaboration at regional level, use of industry programmes, and availability of the appropriate air navigation service and aerodrome infrastructure

Objectives	Goals	Indicators
Increase State collaboration at regional level;	By 2020, States needing assistance in categories with an SOM below zero will use the SRVSOP or other SAM States.	<ul style="list-style-type: none"> ✓ Number of States that request support ✓ Number of States that actively request assistance ✓ Number of States that receive assistance ✓ Number of States that offer assistance
	By 2022, all States will provide safety risk information, including the SPIs of their SSP, to ICAO, RASG-PA, SRVSOP and ARCM	<ul style="list-style-type: none"> ✓ Number of States that provide safety risk information to ICAO, RASG-PA, SRVSOP and ARCM ✓ Number of States that share their SSP SPIs with ICAO, RASG-PA, SRVSOP and ARCM ✓ Number of States that provide safety information to ICAO, RASG-PA, SRVSOP, ARCM and other States
	By 2022, all States with an SOM+ and an effective SSP will actively lead risk management activities of ICAO, RASG-PA, SRVSOP and ARCM	<ul style="list-style-type: none"> ✓ Number of States with an SOM+ and an effective SSP that lead safety management activities of ICAO, RASG-PA, SRVSOP and ARCM
Extend the use of industry programmes	By 2020, all service providers will use globally-harmonised SPIs as part of their SMS	<ul style="list-style-type: none"> ✓ Number of service providers that use globally-harmonised metrics for their SPIs
	By 2022, increase the number of service providers that participate in the corresponding industry assessment programmes recognised by ICAO	<ul style="list-style-type: none"> ✓ Number of service providers that participate in the corresponding industry assessment programmes recognised by ICAO
Ensure the availability of the appropriate air navigation service and aerodrome infrastructure to support safe operations	By 2022, all States will implement the basic air navigation and airport infrastructure	<ul style="list-style-type: none"> ✓ Number of States that have implemented the basic air navigation and airport infrastructure

4.9 State safety plan

4.9.1 Each State will develop a safety plan to implement established goals for EI improvement, SSP implementation and accident rate decrease. In this plan, the State will define the policy, directives, objectives, indicators, goals and alert levels, in accordance with the directives, objectives, indicators and goals established in this plan, as well as with the size and complexity, with limitations (financial, technological, political and regulatory, and with the safety performance of its own system. Its development will depend on the level of maturity of the State with respect to the implementation of a safety management system, which contemplates the integration of the eight critical elements (CE) of the safety oversight system with SSP provisions.

4.9.2 The State safety plan, with its corresponding parts, will be submitted to the ICAO South

American Regional Office for control and monitoring purposes.

4.9.3 **Attachment C** shows a State safety plan model.

4.10 Follow up of States National Safety Plans

4.10.1 For follow up purposes, the following meetings organized by the ICAO South American Regional Office will be used:

- ✓ **For EI improvement and maintenance.**- National Continuous Monitoring Coordinators (NCCMC) and Flight Safety Director (DSO) annual meetings.
- ✓ **For the SSP implementation.**- SAM Region SSP implementation and Flight Safety Directors (DSO) annual meetings.
- ✓ **To evaluate the performance of accident rates indicators and goals as established by the SAM Region in this plan.**- Flight Safety Director (DSO) and ARCM Executive Committee annual meetings.

4.10.2 Reports will be published during the first three months of the following years, in the ICAO SAM Office webpage, intended for this purpose.

4.10.3 **Attachment D** shows a report model.

4.11 Safety data and information sources

4.9.1 The safety data and information sources that States could consult during the planning and implementation of their national safety plans include: ICAO iSTARS-3 and SIMS, RASG-PA data sources, IATA data sources, ARCM data sources, and their own data sources (SDCPS, safety and ADREP/ECCAIRS platforms).

4.9.2

ATTACHMENT A

ANALYSIS OF SAM PERFORMANCE BETWEEN NOVEMBER 2011 AND JULY 2018 WITHIN THE FRAMEWORK OF THE USOAP CMA

1. Transition to the continuous monitoring approach (CMA) of the Universal safety oversight audit programme (USOAP)

1.1 The two-year transition to the USOAP CMA took place between 2011 and 2012, and the complete programme was launched on 1 January 2013, as scheduled and approved by the ICAO Council at its 197th Session in November 2012. The USOAP CMA transition plan included several activities related to communication with the States and stakeholders, the development and launching of the on-line framework (OLF) with its multiple instruments and modules, the development of documentation and supporting guidelines, the enhancement of the USOAP CMA quality management system (QMS), documentation related to processes and procedures, training of auditors and experts, the conduction of on-site CMA activities in the States, and the establishment and extension of agreements with the relevant partners to promote coordination and cooperation.

1.2 During the transition, ICAO changed its approach to generate PQ-based findings instead of findings and recommendations (F&R). ICAO also modified the formulae for calculating effective implementation (EI) and obtaining a more accurate EI percentage.

2. USOAP CMA activities in the SAM Region between November 2011 and July 2018

2.1 USOAP CMA activities in the SAM Region started in 2011. By 31 July 2018, 5 CMA audits, 14 ICVMs, 2 integrated validation activities (IVAs), and 5 off-site monitoring activities had been carried out as shown in Table 1 below.

Table 1 – USOAP CMA activities – November 2011 - July 2018

Years	CMA audits	ICVMs	Integrated validation activity (IVA)	Off-site monitoring activities
2011		Colombia		
2012		Ecuador: ICVM 1 Suriname		
2013	Bolivia	Argentina Venezuela		
2014	Peru	Uruguay: ICVM 1		Ecuador Uruguay
2015	Panama	Ecuador: ICVM 2 Brazil		Brazil
2016		Uruguay: ICVM 2 Paraguay Bolivia Guyana		Paraguay
2017	Colombia	Chile Panama	Uruguay (AGA) Chile (AIG)	
2018	Brazil (AIG)			Bolivia (MIR)
Total	05	14	2	5

2.2 *Table 2 – Results of USOAP/CMA activities carried out in the SAM Region between November 2011 and July 2018*, describes the activities carried out in each State, the percentage of effective implementation (EI) achieved in each activity, and the final percentages of each of them, with general averages.

**Table 2 – Results of USOAP/CMA activities carried out in the SAM Region
(November 2011 – July 2018)**

State	Last CSA audit	CMA audits	ICVMs Original EI	IVA	Off-site validation activity	Total improvement achieved	% EI Current / *Partial
01. Argentina	2008: 77.5		2013: 86.3 (+8.8)			+ 9.07	86.57 (% updated)
02. Bolivia	2008: 72.26	2013: 67.73 (-4.53)	2016: 86.22 (+18.49)		2018: 82.21 (-4.01)	+ 10.78	83.04
03. Brazil	2009: 85.75	2018: 94.72 (AIG) (-0.35)	2015: 95.07 (+7.47)		2015: 87.60 (+1.85)	+ 9.39	95.14
04. Chile	2008: 84.29		2017: 94.1 (+11.05)	2017: 94.65 (AIG) (+0.55)		+ 10.36	94.65
05. Colombia	2007: 63	2017: 74.38 (+11.38)	2011: 78.23 (+15.23)			+ 11.71	74.71 (% updated)
06. Ecuador	2009: 55.40		2012: 67.80 (+12.40) 2015: 89.32 (+21.20)		2014: 68.12 (+00.32) (report not available)	+ 34.85	90.25 (% updated)
07. Guyana	2007: 44.21		2016: 64.4 (+20.19)			+ 21.01	65.22 (% updated)
08. Panama	2005: 85.79	2015: 36.58 (-49.21)	2017: 61.79 (+25.21)			- 23.37	62.42 (% updated)
09. Paraguay	2009: 51.04		2016: 71.82 (+18.19)		2016: 53.63 (+2.59)	+ 20.29	71.33 (% updated)
10. Peru	2007: 68.22	2014: 74.34 (+6.12)	2018:			+ 6.59	74.81 (% updated)
11. Suriname	2009: 50.7		2012: 60.3 (+7.71)			+ 9.33	60.03
12. Uruguay	2008: 41.49		2014: 57.88 (+16.39) 2016: 71.45 (+13.57)	2017: 71.37 (0.0)	2014 (report not available)	+ 30.23	71.72 (% updated)
13. Venezuela	2009: 82.1		2013: 93.00 (+11.03)			+ 11.41	93.51 (% updated)
Averages	66.28	- 9.76 per audit	14.78 per ICVM	0.27 per activity	0.18 per activity	+ 12.44 (1.77)	78.72 (12.44)

2.3 The table above shows that the overall average for the 7 years of analysis (November 2011 – July 2018) is + **12.44%**, which indicates that the EI of the SAM Region improved by an average of **1.77%** per year.

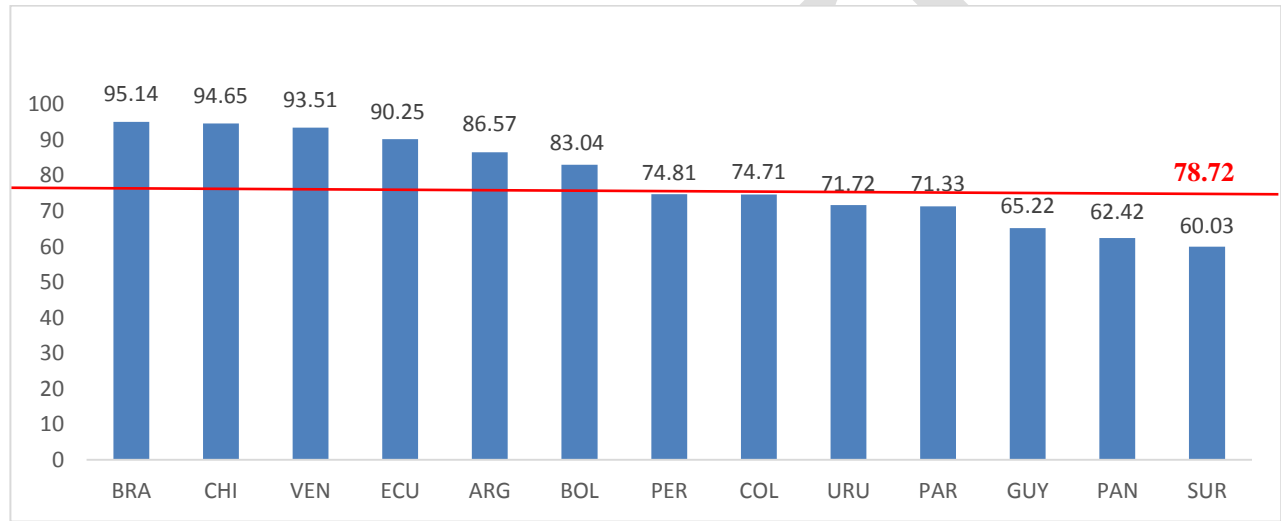
2.4 The 78.72 EI does not take into account the preliminary results of the ICVM of Peru.

3. Status of SAM States in relation to the USOAP CMA as of July 2018

3.1 The status and general average of SAM States regarding effective implementation (EI) by audit area are shown in *Table 3 – Status of SAM States in relation to the USOAP CMA (November 2011 – July 2018)*.

3.2 According to Table 3, the average EI of the SAM Region is **78.72%**.

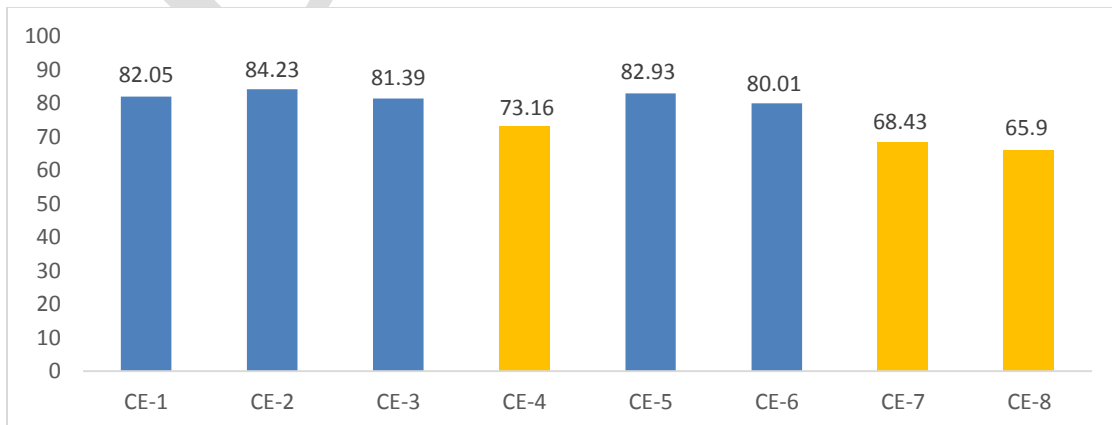
Table 3 – Status of SAM States in relation to the USOAP CMA (November 2011 – July 2018)



4. Average effective implementation (EI) of the SAM Region, per critical element (CE)

4.1 Table 4-1 – Average effective implementation (EI) of the SAM Region per CE shows the average EI of the SAM Region with respect to the eight (8) critical elements (CEs) of a State safety oversight system. CEs 8, 7 and 4 have the lowest percentage of EI. Accordingly, States shall give priority to these CEs in their national safety plans.

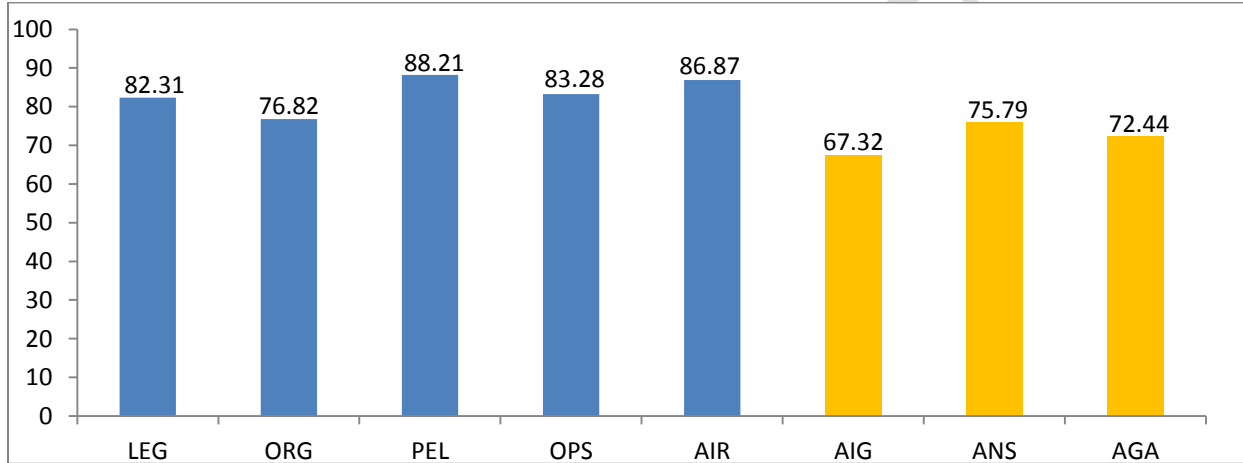
Table 4-1 – Average effective implementation (EI) of the SAM Region, by CE



5. Average effective implementation (EI) of the SAM Region by audit area

5.1 Table 5-1 – Average effective implementation (EI) of the SAM Region by audit area, shows the average EI of the SAM Region with respect to each USOAP CMA audit area. The AIG, AGA and ANS audit areas have the lowest percentage of EI. Accordingly, States shall assign priority to these areas in their national safety plans, if applicable.

Table 5-1 – Average effective implementation (EI) of the SAM Region, by audit area



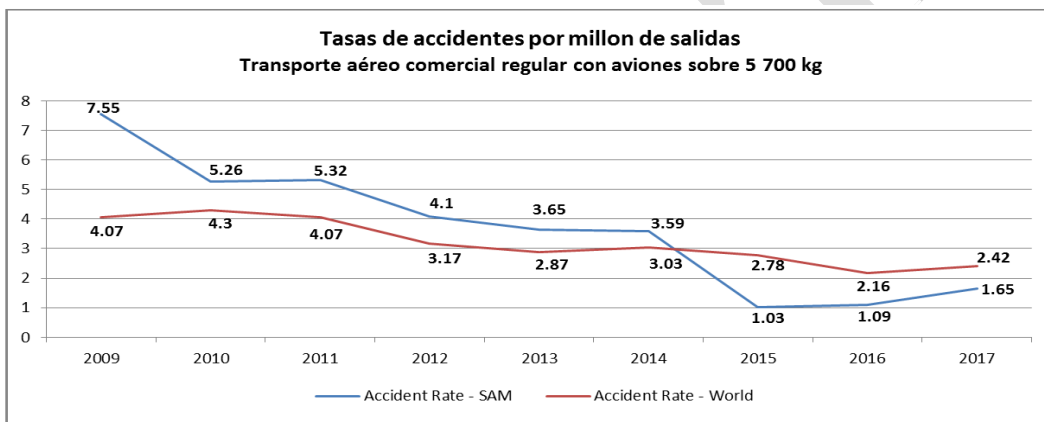
ATTACHMENT B

ANALYSIS OF AIRCRAFT ACCIDENTS IN THE SAM REGION

1. Analysis of accidents occurred in the SAM Region in scheduled air transport operations with aircraft over 5 700 kg during the period 2009-2017

1.1 According to the information contained in ICAO iSTARS-3, the accident rate in South America in scheduled commercial air transport operations with aircraft over 5 700 kg has been gradually decreasing since 2009 until reaching in 2017 a rate of **1.65** accidents per 1,000,000 departures, far below the global rate of 2.42. During 2015, 2016 and 2017, the SAM Region maintained an accident rate below the global rate.

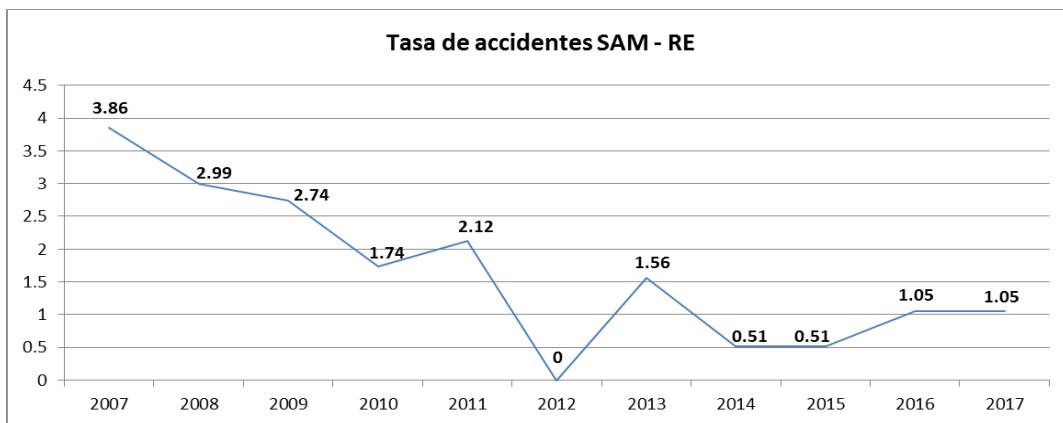
Table 1 – Accident rate in scheduled commercial air transport operations with aircraft over 5 700 kg



2. Analysis of accidents due to runway excursions (REs) occurred in the SAM Region in scheduled air transport operations with aircraft over 5 700 kg during the period 2007-2016

2.1. Based on the information contained in the ICAO iSTARS-3, the rate of accidents due to REs has been gradually decreasing since 2007, except in 2011 and 2013. In 2016, the rate increased slightly and remained stable in 2017.

Table 2 – Rate of RE accidents in the SAM Region 2007-2017



ATTACHMENT C
STATE SAFETY PLAN MODEL
CONTENTS

The State Safety Plan should at least contain the following sections:

- a) Introduction;
- b) Purpose of the national plan, including links to the regional safety plan and the GASP;
- c) The State strategic approach to manage civil aviation safety, including safety national objectives, goals and indicators;
- d) The description of the national safety operational risks description and planned initiatives to address them;
- e) A description of other safety problems, such as challenges related to SSP implementation and planned initiatives to address them; and
- f) A description on how the State will measure safety performance to supervise the plan implementation.

ATTACHMENT D
STATE SAFETY REPORT MODEL

CONTENTS

Foreword

Executive summary

- General statistics
 - Summary of performance in terms of safety
1. Chapter 1: Continuous monitoring approach (CMA) of the Universal safety oversight audit programme
 - 1.1 Status of completion of CAP
 - 1.2 Status of completion of the protocol question (PQ) review
 - 1.3 Activities carried out within the framework of the USOAP CMA
 2. Chapter 2: Occurrences (accidents, serious incidents and incidents) in scheduled/non-scheduled commercial air transport with aeroplanes over 5 700 kg and helicopters over 3 175 kg
 - 2.1 Aeroplanes
 - 2.2 Helicopters
 3. Chapter 3: Occurrences in scheduled/non-scheduled commercial air transport with aeroplanes of 5 700 kg or less and helicopters of 3 175 kg or less
 - 3.1 Aeroplanes
 - 3.2 Helicopters
 4. Chapter 4: Occurrences in non-commercial operations (business aviation, general aviation, aerial work)
 - 4.1 Aeroplanes
 - 4.2 Helicopters
 - 4.3 Remote piloted aircrafts
 5. Chapter 5: Occurrences in aerodromes and air navigation services
 - 5.1 Aeroplanes
 - 5.2 Helicopters
 6. Chapter 6: Occurrences with Remote piloted aircrafts (RPA)
 7. Chapter 7: Reporting systems
 - 7.1 Mandatory safety reporting system
 - 7.2 Voluntary safety reporting system

7.3 Key safety performance indicators (SPIs)

8. Chapter 8: Progress made in mitigation plans to reduce accident rates

8.1 Commercial aviation

8.2 Non-commercial aviation

ATTACHMENTS

As applicable

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ATTACHMENT E

REFERENCE DOCUMENTS

- Annex 19 to the Convention on International Civil Aviation, Second edition – Safety management
- Doc 9859, Tercera edición – Manual de gestión de la seguridad operacional (SMM)
- Doc 9917 – Seventh meeting of the CAR/SAM forecasting working group
- Global aviation safety plan (GASP), version 2020-2022
- Current USOAP CMA on-line framework
- ICAO iSTARS-3

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ATTACHMENT F

GLOSSARY

ADREP	Accident/incident data reporting
AGA	Aerodromes and ground aids
AIG	Aviation accident and incident investigation
AIR	Airworthiness
ALoSP	Acceptable level of safety performance
ANC	Air Navigation Commission
ANS	Air navigation services
AOC	Air operator certificate
ARCM	AIG Regional cooperation mechanism (South America)
ATM	Air traffic management
CAA	Civil aviation authority
CAP	Corrective action plan
CAR	Central America and the Caribbean
CE	Critical elements
CE-1	Primary aviation legislation
CE-2	Specific operating regulations
CE-3	State systems and functions
CE-4	Qualified technical personnel
CE-5	Technical guidance, instruments and provision of critical safety information
CE-6	Licensing, certification, clearance and/or approval obligations
CE-7	Oversight obligations
CE-8	Resolution of safety concerns
CMA	Continuous monitoring approach
CRM	Crew resource management
DGAC	Directors general of civil aviation
DSO	Safety director
ECCAIRS	European Coordination Centre for Accident and Incident Reporting Systems
EI	Effective implementation
ESC	Executive Steering Committee
F&R	Findings and recommendations
FFHH	Human factors
FIR	Flight information regions
GANP	Global air navigation plan
GAP	Gap
GASP	Global Aviation Safety Plan
GASPRG	Global aviation safety plan roadmap group
GREPECAS	CAR/SAM Regional Planning and Implementation Group
HLSC	High-level safety conference
IATA	International Air Transport Association
ICVM	ICAO coordinated validation mission
INFRA	Infrastructure factors
ISSG	Industry safety strategy group
iSTARS	Integrated Safety Trend Analysis and Reporting System
LEG	Primary aviation legislation and civil aviation regulations
MET	Meteorological factors

NCMC	National continuous monitoring coordinator
OLF	On-line framework
OPS	Aircraft operations
ORG	Civil aviation organisation
PEL	Licensing and training
PQ	Protocol question
QMS	Quality management system
RAAC	Meeting of the civil aviation authorities
RAIO	Regional accident and incident investigation organisation
RASG	Regional aviation safety group
RASG-PA	Regional aviation safety group – Pan-America
RE	Runway excursion
RPA	Remotely piloted aircraft
RSOO	Regional safety oversight organisation
SAM	South American Region
SAMSP	South American safety plan
SARP	Standards and recommended practices
SD	Standard deviation
SDCPS	Safety data collection and processing system
SMM	Safety management manual
SMP	Safety management panel
SMS	Safety management system
SPI	Safety performance indicators
SRVSOP	Regional safety oversight cooperation system
SSO	State safety oversight system
SSP	State safety programme
SSR	State safety report
SWIM	System-wide information management
TBD	To be defined
TEC	Technical factors
USOAP	Universal safety oversight audit programme