



Trigésimo Cuarta Reunión del Comité Directivo Ejecutivo del Grupo Regional sobre Seguridad Operacional de la Aviación – Pan América (ESC/34)
Teleconferencia 28 y 29 de mayo de 2020

Ítem de la agenda 2: Aspectos relacionados con la operación interna del RASG-PA

Reporte Anual de Seguridad Operacional (ASR)
(Presentado por la Secretaría)

RESUMEN EJECUTIVO	
Acción sugerida:	La que se indica en el párrafo 2.1
Objetivo estratégico:	<ul style="list-style-type: none">Seguridad operacional
Referencias:	<ul style="list-style-type: none">Manual de procedimientos del RASG-PA

1. Proceso de desarrollo de la ASR, basado en un intercambio colaborativo de información

1.1. La redacción del Informe Anual de Seguridad Operacional (ASR) del RASG-PA requiere una participación activa de los miembros del equipo (ASRT), para realizar a un análisis conjunto de los datos de seguridad operacional proporcionados por las diferentes fuentes de información, utilizando para la evaluación las métricas desarrolladas específicamente para este propósito. Asimismo, esto permite el establecimiento de una visión compartida para la identificación de las principales áreas de interés.

1.2. Durante 2019, el equipo a cargo de desarrollar el ASR se redujo a dos personas, y luego a solo una. Se formó un equipo virtual ad-hoc para completar el desarrollo de la Novena Edición. En tales circunstancias, se acordó utilizar la estructura de la Octava Edición como base y actualizar los datos y las tablas con los valores de 2018.

1.3. Para la redacción de la novena edición de la ASR, la OACI, Boeing, IATA y CARSAMMA proporcionaron datos para las diferentes secciones del informe.

1.4. Debido a situaciones particulares para el intercambio e integración de la información contenida en el Informe Anual, y la situación del equipo descrita anteriormente, se tardó más de lo habitual en completar el informe. Esta condición, así como otras dificultades pasadas para que el ASR se produzca y esté disponible en un momento adecuado cada año, podría considerarse una oportunidad para proveer más dinamismo al Equipo del Informe Anual y su proceso interno, de acuerdo con las disposiciones presentadas en la nueva propuesta del Manual de Procedimientos del RASG-PA.

1.5. Sin embargo, es fundamental el compromiso y la participación activa de los diferentes actores en el desarrollo y publicación del Informe Anual de Seguridad para el flujo de información adecuado y oportuno.

2. Acción sugerida

2.1 Se invita al RASG-PA ESC/34 a:

- a) tomar nota de la información proporcionada en este documento de trabajo;
- b) aprobar el contenido de la novena edición de la ASR y su publicación (Apéndice A); y
- c) en virtud de los términos de referencia propuestos para el SMRT, solicite que presente a través de la vía del *fast-track* la estructura propuesta del ASR y el tablero de control (Dashboard)

- FIN -

ANNUAL SAFETY REPORT

Ninth Edition

INFORME ANUAL DE SEGURIDAD OPERACIONAL – Novena Edición

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

Grupo Regional de Seguridad Operacional de la Aviación – Pan América (RASG-PA)

Information mainly produced with data from 2008 until 2018

Información producida con datos desde 2008 hasta 2018

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Contents

Foreword.....	3
Executive Summary.....	4
About the report	5
How this report is structured.....	5
Sources of information	7
Interacting with the Annual Safety Report	8
Part One: Safety information	9
1. Reactive Safety Information	9
1.1 Reporting culture	Error! Bookmark not defined.
1.2 Pan American accident statistics and rates	9
1.3 NAM Region Analysis	10
1.4 CAR and SAM Regions Analysis	12
1.5 Specific analysis.....	14
2. Proactive Safety Information	20
2.1 Proactive information at the level of the States.....	20
2.2 Information at the level of the Air Operators.....	25
3. Predictive Safety Information	29
Part Two: Safety Intelligence	32
1. Conclusions based on reactive information.....	32
2. Conclusions based on proactive information	32
3. Conclusions based on predictive information	32
4. Safety Intelligence correlations	32
List of Acronyms.....	- 34 -

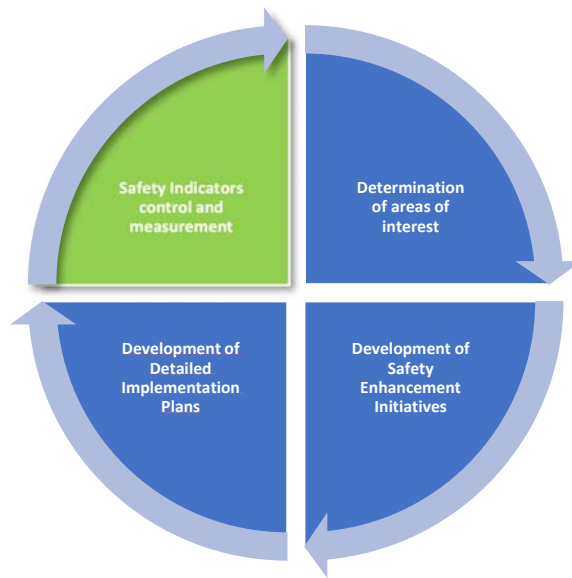
Foreword

The Regional Aviation Safety Group – Pan America (RASG-PA) was established in November 2008 with a vision to remain ahead of any risks to commercial aviation, seeking to achieve the highest level of safety in the Pan American Region, as well as addressing global aviation safety matters from a regional perspective.

RASG-PA membership includes representatives from all States/Territories of ICAO North American (NAM) Caribbean (CAR) and South American (SAM) Regions, international organizations and industry. ICAO serves as the group Secretariat, providing administrative, coordination and technical support to the RASG-PA, its working groups, and committees.

The RASG-PA safety management process, as depicted in Figure 1, consists of four recurrent stages. The process begins with the safety data gathering and analysis to produce safety intelligence, allowing for a consolidated vision of the main areas of interest for the development of safety improvement actions, tailored to the realities of the Pan American Region.

Figure 1. RASG-PA Safety Management Process



Previous editions of the Annual Safety Report and other RASG-PA related documentation can be downloaded at: www.icao.int/rasgpa. For additional information contact: rasg-pa@icao.int

Executive Summary

The results of the analysis of regional aviation safety data continue to show that the top categories to focus safety enhancement initiatives (SEIs) remain:

- Loss of Control In-flight (LOC-I)
- Runway Excursion (RE)
- Controlled Flight Into Terrain (CFIT)
- Mid-Air Collision (MAC)

According to the statistics contained in this report, the number of accidents in 2018 in the Pan American Region (ICAO North America (NAM), Caribbean (CAR) and South America (SAM)) for scheduled commercial air transport operations involving aircraft with maximum take-off mass (MTOM) above 5,700 kilograms was higher than the previous years, however, the accident rate was lower.

The four SEI's continue to show decreasing trends through the latest ten-year period, not only while looking at the reactive data, but also according to the behaviour of their precursors, as described in the predictive safety information section of this report.

The analysis conducted to determine correlations between the critical elements (CE) of an effective safety oversight system and areas of the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA), showed that main findings for the Pan American Region were related to CEs 4 (Technical personnel qualification and training) 7 (Surveillance obligations) and 8 (Resolution of safety concerns); in relation to Aerodrome and Ground Aids (AGA) and Air Navigation Services (ANS) areas.

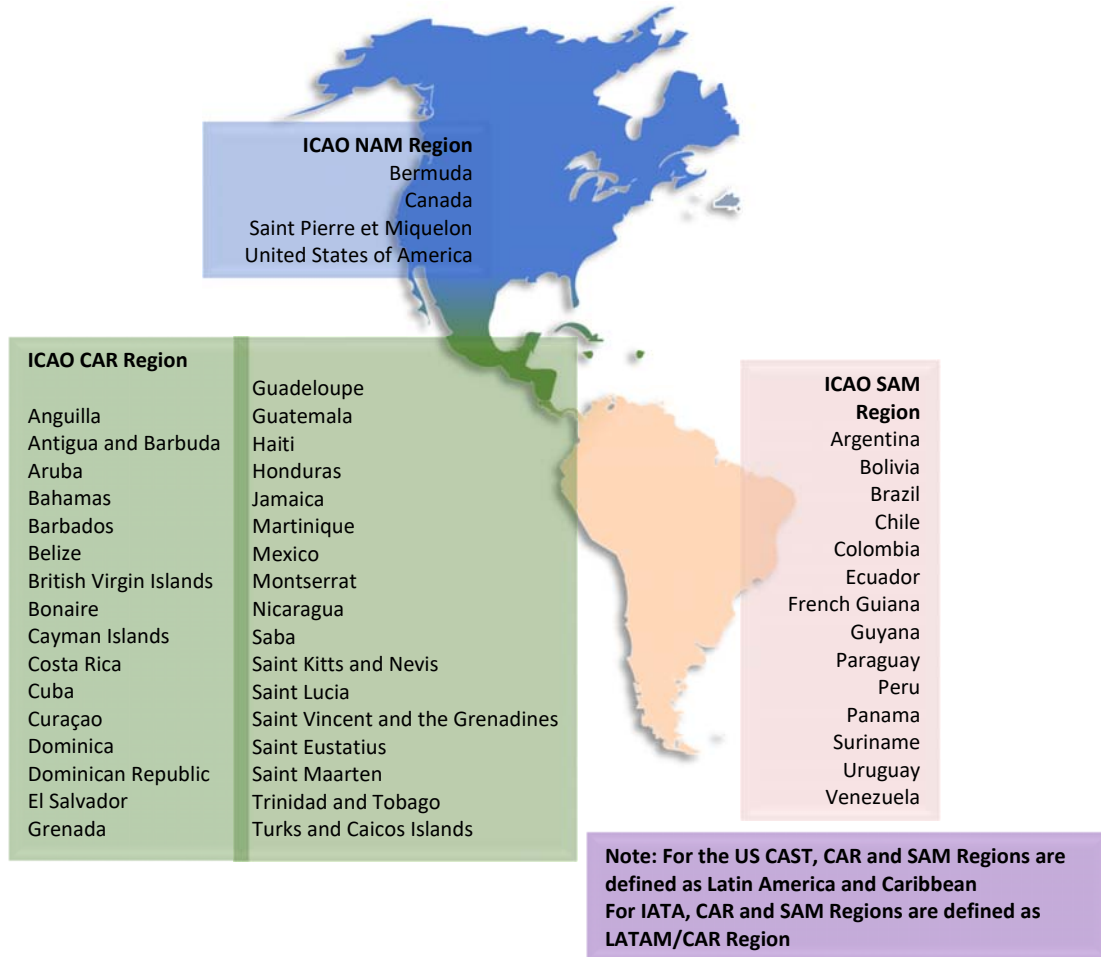
Considering the projected commercial traffic growth for CAR and SAM Regions, proactive analysis also reinforces the necessity to improve Air Navigation Services (ANS), Aerodromes and Ground Aids (AGA) areas, especially in the CAR and SAM Regions.

Information on LHDs registered in the CAR and SAM Regions during 2017 and 2018, shows that the technical error satisfies the goal of not exceeding 2.5×10^{-9} fatal accidents per flight hour due to loss of standard vertical separation of 1,000 ft and all other causes.

About the report

The principal objective for publishing this report is to highlight its usefulness as a safety intelligence tool, by focusing on the main aviation safety areas of interest in the Pan American Region, incorporating an integrated vision from different stakeholders. The improvements in every new edition of the Annual Safety Report are oriented to facilitate the comprehension of the methodologies, data analysis tools, and other information necessary to implement safety management activities, plans and programs to ensure risk mitigation in the aviation sector.

Figure 2. The Pan American Region (RASG-PA Region)



How this report is structured

The report is structured into two parts:

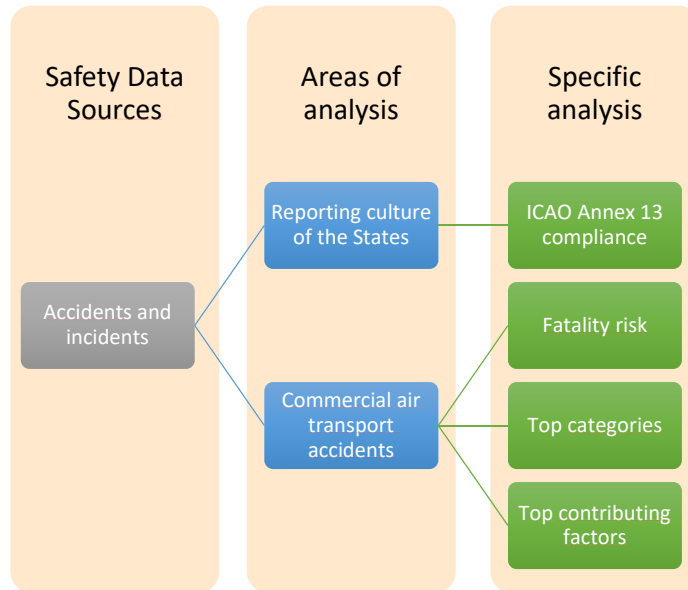
Part One: Safety Information

The first part of the report is oriented to present relevant safety information, according to aviation safety management principles¹, which state that hazards can be identified using three distinct methodologies:

¹ ICAO Annex 19 and Document 9859.

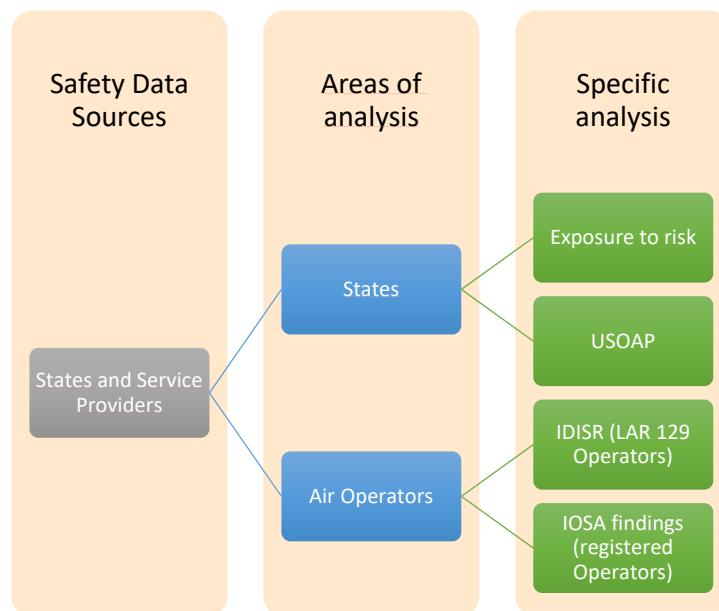
1. Reactive: Refers to the analysis of results or past events. Through investigation processes, hazards contributing to accidents or incidents can be identified. In this report, the reactive section presents safety analysis based upon accidents and incidents, as shown in the following figure.

Figure 3. Reactive Safety Data Analysis



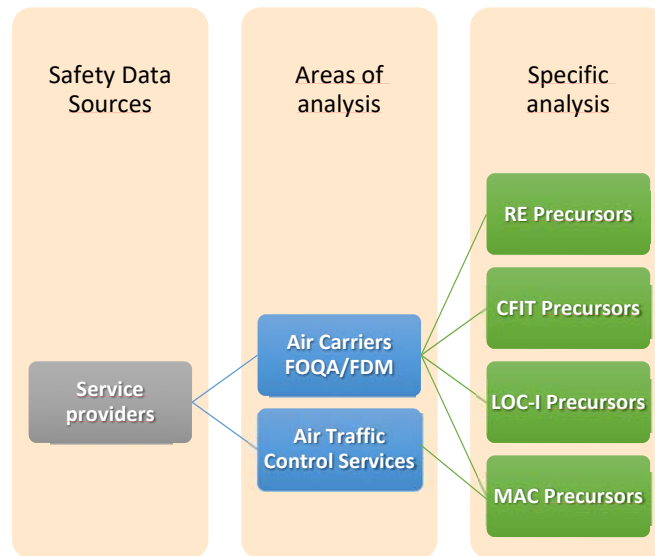
2. Proactive: Refers to the analysis of existing conditions. Safety assurance processes, such as audits or evaluations, could provide information on hazards into processes in place. The proactive section of this report includes analysis of audit results for the States' (ICAO Standards and Recommended Practices implementation, traffic) and service providers (IATA Operational Safety Audits).

Figure 4. Proactive Safety Data Analysis



- Predictive: oriented to detect possible future negative events, through system processes and contextual data collection and analysis. For this report, the predictive section highlights analysis of de-identified Flight Operations Quality Assurance (FOQA) data, which is oriented to the identification of future hazards in-order to develop corresponding risk mitigation actions.

Figure 5. Predictive Safety Data Analysis



Through this structure, subsequent editions of the report shall reflect the improvements in safety information processing and exchange; by transitioning from almost only reactive information (in earlier editions), to the current balance of the contents on each section.

Part Two: Safety Intelligence

The second part of the report reflects the use of the data analysis results to develop safety intelligence, establishing correlations to facilitate the decision-making process and for the benefit of aviation safety.

Sources of information

Information is only as good as the sources from which it is obtained. To be valid and included in the Annual Safety Report, the information used requires the existence of processes to assure data quality and traceability.

Every stakeholder has a specific approach and uses distinct indicators to measure aviation safety. A goal of the Annual Safety Report is to highlight the main common areas of interest, providing a context in which joint efforts could allow better resources allocation and significant improvement of safety.

Currently, the Annual Safety Report is only possible by the in-kind contribution of the US CAST, Boeing, IATA, ICAO, the SRVSOP and CARSAMMA, who provide the safety information supporting the identification of areas of interest for aviation safety with an integrated view. Other stakeholders are invited to contribute to aviation safety by providing useful information for the Annual Safety Report, or by participating in the RASG-PA, its work groups and committees.

Interacting with the Annual Safety Report

As mentioned previously, the Annual Safety Report is intended to show the behavior of aviation safety at a regional level, with a consolidated perspective amongst the stakeholders.

Users of the Annual Safety Report are invited to apply the proposed methodology; to establish a starting point or a mechanism to improve safety data management by consolidating relevant information from different sources, and by deepening the analysis of the exposed areas, to be more representative of their specific reality and context.

Part One: Safety information

1. Reactive Safety Information

Using the reactive methodology, this section is intended to assist with comprehending the behavior of Safety in the Pan American Region, based upon the analysis of accidents and incidents, according to the data provided by the US CAST, Boeing, IATA and ICAO.

It is important to note that each stakeholder captures a specific portion of data and develops metrics applicable to particular areas of interest. The Annual Safety Report challenge is to identify and apply the data to allow for a cross-sectional understanding of safety, thus overcoming individual limitations. To develop the metrics in this report, commercial aviation accidents data, gathered and processed by the different stakeholders was considered, according to the following criterions.

- ICAO data on accidents, serious incidents and incidents occurred during scheduled commercial air transport operations, involving aircraft with maximum takeoff mass above 5,700 kg, classified by State of Occurrence. The analyzed time frame was 2009-2018.
- Accidents occurred from 2009 to 2018 resulting in hull losses and/or onboard fatalities involving western built aircraft during part 121 or equivalent operations (greater than 9 seats or greater than 7,500 pounds of cargo capacity), classified by the State of Operator, provided by the US CAST.
- IOSA results and accidents involving fixed-wing aircraft over 5,700 kg with jet or turboprop propulsion engaged in commercial operations, in the time period 2013-2018, provided by IATA.

1.1 Pan American accident statistics and rates

According to ICAO data, 45 accidents during regular commercial air transport operations, involving aircraft above 5,700 kilograms occurred in Pan America, 3 of those accidents resulted in fatalities.

The distribution of 2018 global accidents, fatal accidents and fatalities by RASG (Regional Aviation Safety Group) is shown in table 1. Also, table 2 shows the specific numbers for the Pan American Region.

Table 1. Accident Statistics and Accident Rates – 2018

RASG	Estimated Departures (in millions)	Number of accidents	Accident rate (per million departures)	Fatal accidents	Fatalities	Share of Traffic	Share of Accidents
AFI	1 440 702	4	2.8	2	21	3.8%	4.1%
APAC	12 445 017	20	1.6	3	241	32.7%	20.4%
EUR	9 298 706	26	2.8	2	72	24.4%	26.5%
MID	1 326 656	3	2.3	1	66	3.5%	3.1%
PA	13 575 682	45	3.3	3	114	35.6%	45.9%
WORLD	38 086 763	98	2.6	11	514	100%	100%

Table 2. 2009-2018 Scheduled Commercial Air Transport Accidents occurred in Pan America

Year	Total Accidents	Fatal accidents ²	Total fatalities
2009-2018 avg.	40.5	2.3	37.5
2018	45	3	114
2017	47	1	1

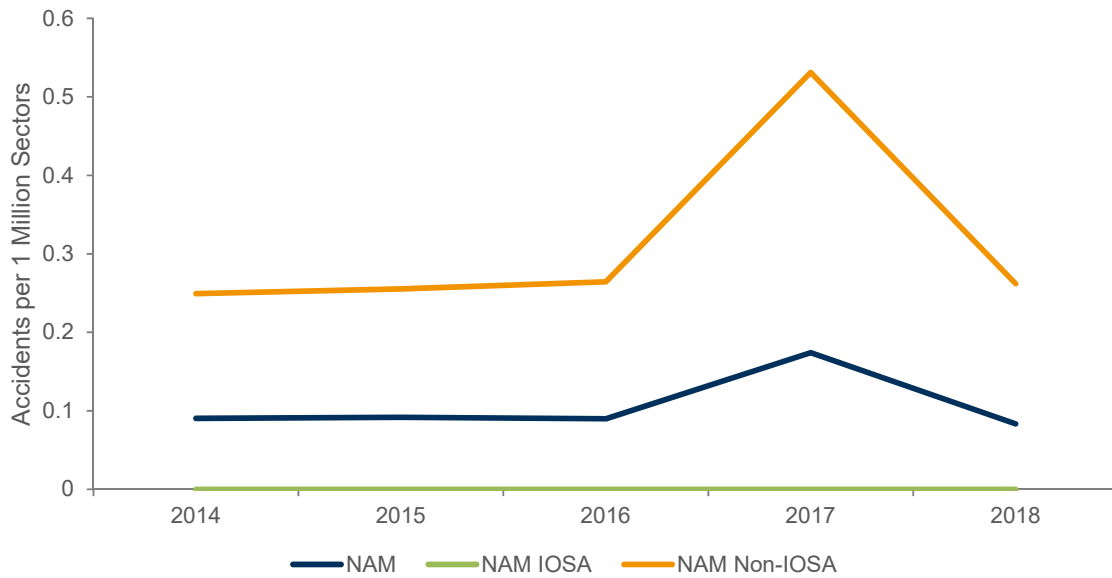
In 2018, both the number of total accidents total fatalities is higher than the 10-year average.

1.2 NAM Region Analysis

1.2.1 IATA Operational Safety Audit (IOSA) summary

The comparison of the number of recorded accidents per million sectors flown for IOSA registered airlines versus non-IOSA registered airlines in the North American (NAM) Region, indicated significantly lower rates for IOSA registered operators, as shown in the following figure:

Figure 6. NAM Region IOSA v. Non-IOSA accident rates 2014-2018



1.2.2 Contributing Factors to 2014-2018 Accidents

Using a classification model based on the Threat and Error Management (TEM) framework, IATA identified contributing factors to NAM 2014-2018 accidents, as follows.

² An accident where at least one passenger or crewmember is killed or later dies (within 30 days following the accident date).

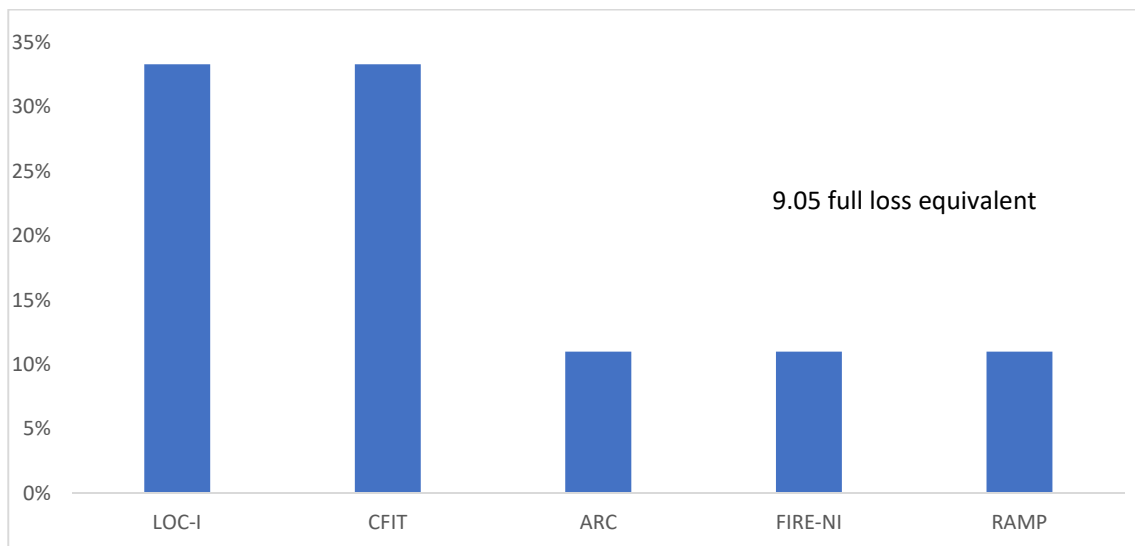
Table 3. Top Contributing Factors to NAM 2014-2018 accidents

Latent conditions	Regulatory Oversight (19%) Safety Management (13%) Maintenance Operations: SOPs & Checking (13%) Design (10%)
Threats (Environmental)	Environment/Meteorology (35%) Wind/Windshear/Gusty wind (25%) Poor visibility/IMC (13%) Lack of visual reference (10%)
Threats (Airline)	Aircraft malfunction (38%) Gear/Tyre (21%) Maintenance events (13%) Fire/Smoke (Cockpit/Cabin/Cargo) (6%)
Flight Crew Errors	Manual Handling / Flight Controls (23%) SOP Adherence / SOP Cross-verification (21%) Pilot-to-Pilot Communication (6%)
Undesired Aircraft States	Vertical / Lateral / Speed Deviation (17%) Long/floated/bounced/firm/off-center/crabbed land (17%) Unstable Approach (8%) Continued landing after Unstable Approach (6%)
Countermeasures	Overall Crew Performance (17%) Monitor/Cross-check (13%) Leadership (8%) Workload Management (8%)

1.2.3 Fatality risk

The US CAST utilizes a model to determine fatality risk associated to accidents. For this analysis, accidents are classified in categories, based on specific characteristics of each occurrence, consistent with ADREP Taxonomy. According to the information provided by this stakeholder, the distribution of fatality risk in 2009-2018 accidents affecting Operators allocated on the NAM region, is presented in the following chart.

Figure 7. NAM Region fatality risk distribution by CICTT (2008-2017)



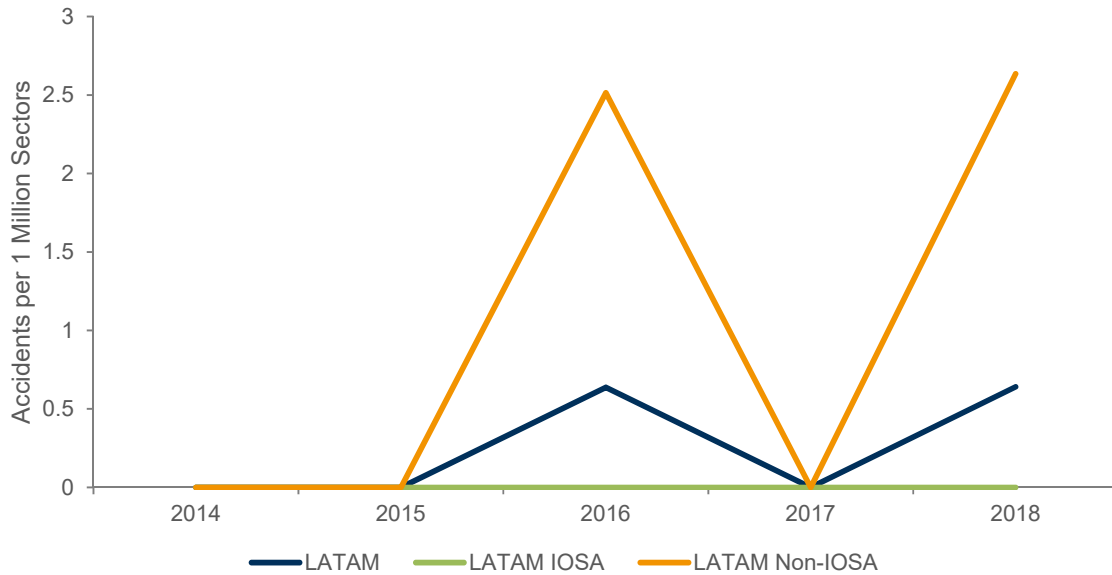
1.3 CAR and SAM Regions Analysis

Because of the ways of gathering and processing data made by the different stakeholders, in many cases it is not possible to separate CAR and SAM Regions data.

1.3.1 IATA Operational Safety Audit (IOSA) summary

The comparison of the number of recorded accidents per million sectors flown for IOSA registered airlines versus non-IOSA registered airlines in the Latin American and Caribbean (LATAM/CAR) Regions Region, indicated lower rates for IOSA registered operators, as shown in the following figure:

Figure 8. CAR and SAM Regions IOSA v. Non-IOSA accident rates 2014-2018



1.3.2 Contributing Factors to 2014-2018 Accidents

IATA identified the top contributing factors to CAR and SAM Regions 2014-2018 accidents, as follows.

Table 4. Top Contributing Factors to CAR and SAM 2014-2018 accidents

Latent conditions	Regulatory Oversight (39%) Safety Management (39%) Selection Systems (21%) Flight Ops: SOPs & Checking (18%)
Threats (Environmental)	Meteorology (21%) Airport Facilities (21%) Thunderstorms (11%) Poor visibility/IMC (11%) Contaminated runway/Taxiway – poor braking action (11%)
Threats (Airline)	Aircraft Malfunction (43%) Gear/Tire (21%) Maintenance events (29%) Dispatch/Paperwork (14%) Operational pressure (11%)
Flight Crew Errors	SOP Adherence / SOP Cross-verification (21%) Manual Handling / Flight Controls (18%)

	Callouts (11%)
Undesired Aircraft States	Operation Outside Aircraft Limitations (14%) Unnecessary weather penetration (14%) Long/floated/bounced/firm/off-center/crabbed land (11%) Weight & Balance (7%)
Countermeasures	Overall Crew Performance (18%) Monitor / Cross-check (11%) Taxiway / Runway Management (7%)

1.3.3 Fatality risk

According to the information provided by The US CAST, the distribution of fatality risk for the accidents occurred within the 2009-2018 period affecting Operators with domicile in the CAR and SAM Regions, is shown in the following figures.

Figure 9. CAR Region fatality risk distribution by CICTT (2008-2018)

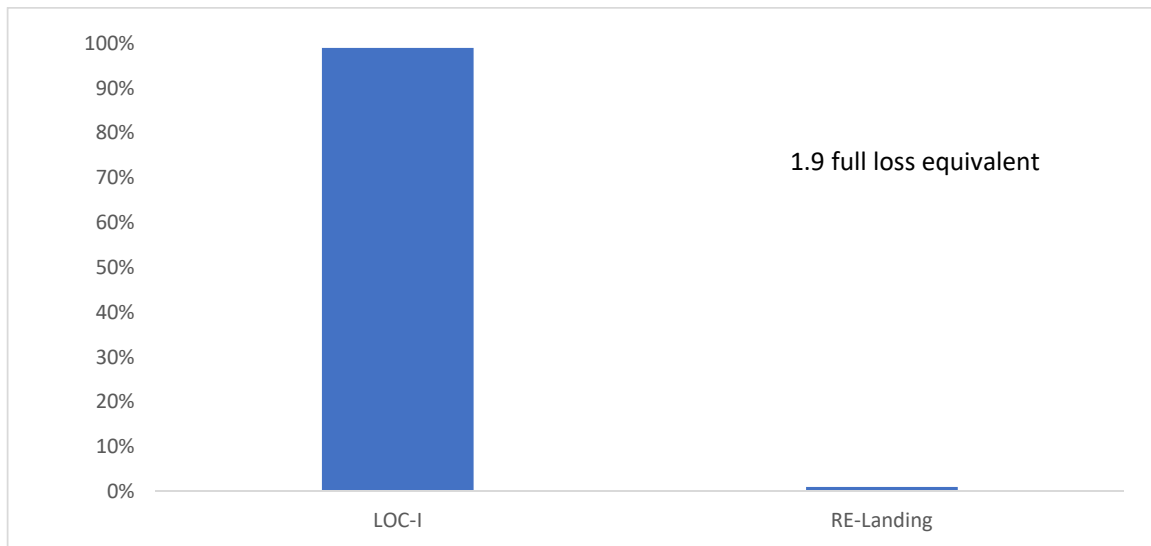
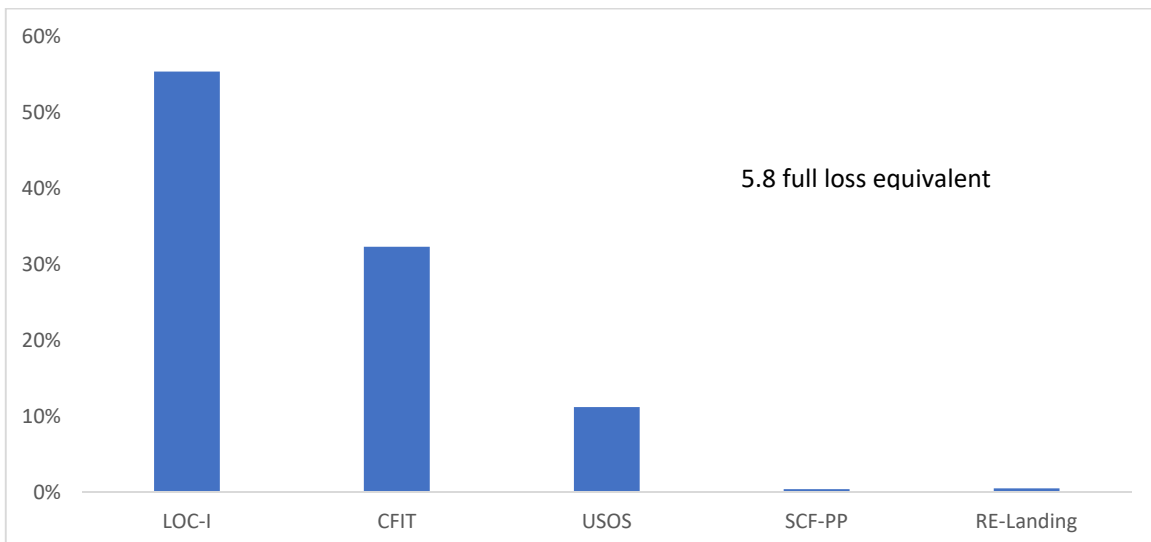


Figure 10. SAM Region fatality risk 2007-2017. Part 121 equivalent



1.3.4 Accident data in the SAM Region

The States of the SAM Region implemented the AIG Regional Coordination Mechanism (ARCM), in order to enhance regional accident and incident investigation and the related data. At the time of this version of the Annual Safety Report, ECCAIRS system has been implemented in the States of the SAM Region, and standardization and quality processes are under development.

1.3.5 RAIO in the CAR Region

The States of the CAR region, under a Memorandum of Agreement between COCESNA and CASSOS, are in the development phase of a Regional Accident and Incident Organization. The group will also establish a safety data collection and processing system to guarantee the collection, storage and management of accidents and incidents data of member States. This system will permit establishing the necessary preventive measures to improve safety in the Region.

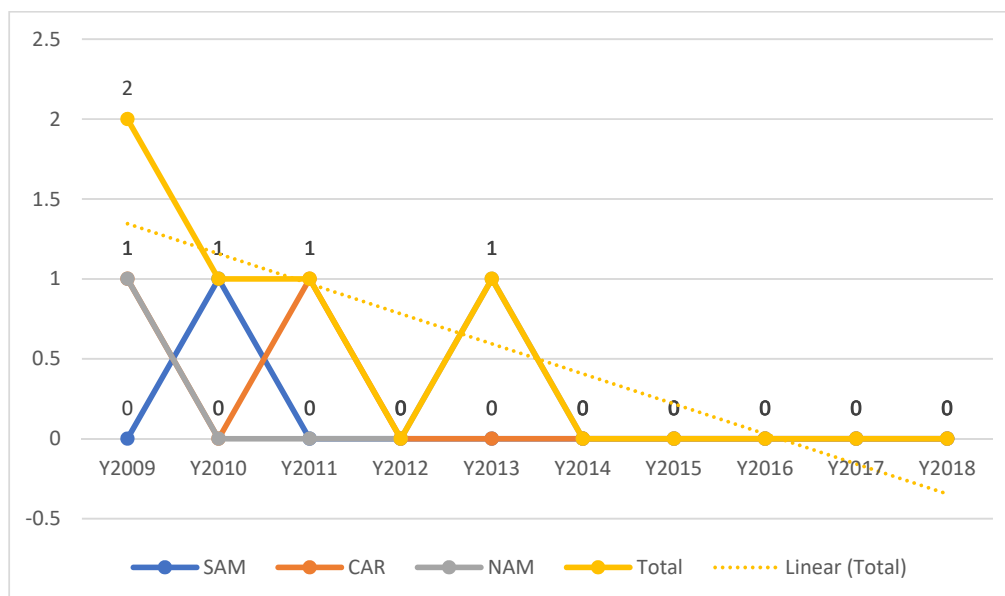
1.4 Specific analysis

After the determination of the most significant accident categories for the Pan American Region was made, a more in-depth analysis was performed to determine the behaviour and recurrent aspects of each category, to be considered in the safety decision making process.

1.4.1 Specific analysis of Controlled Flight Into Terrain

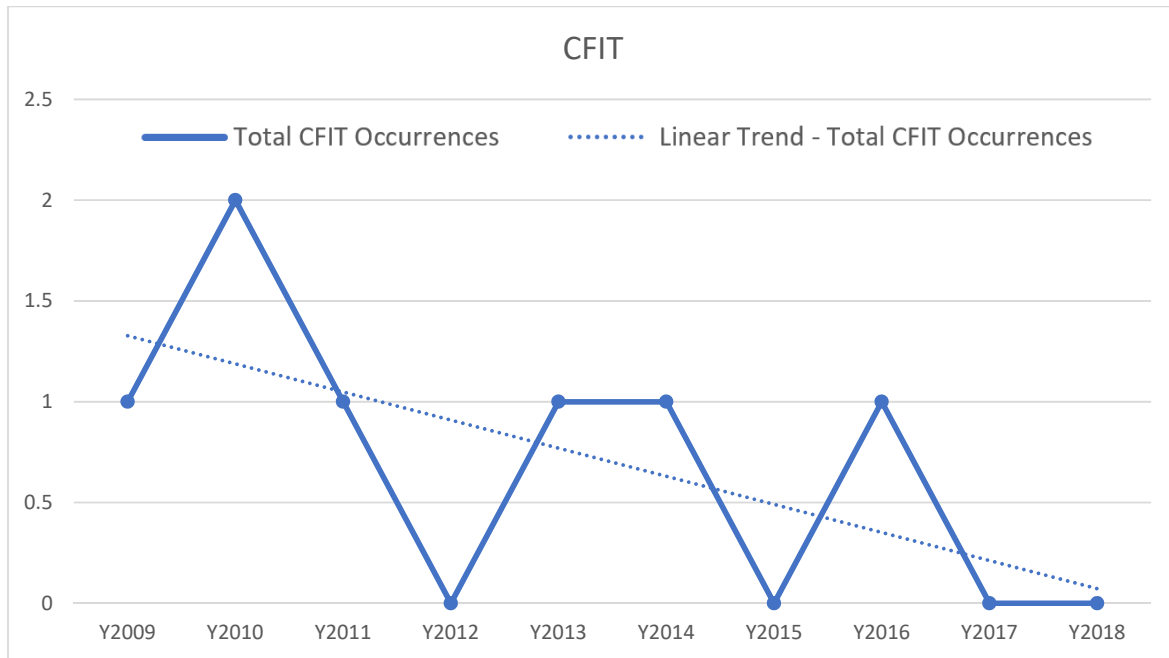
Accidents recorded by the ICAO/ADREP show a decreasing trend in the Pan American Region, as presented in the following chart.

Figure 11. CFIT accidents distribution per year by Region



Accident, serious incident and incident data provided by ICAO, showed an average of 0.7 total occurrences in the Pan American Region within the latest 10-year moving average (2009-2018), with a decreasing trend. The specific numbers of CFIT occurrences per year are presented in the following figure.

Figure 12. CFIT Total Occurrences Distribution per Year - Pan America



Contributing factors determined by IATA for Pan America CFIT accidents 2014-2018, were:

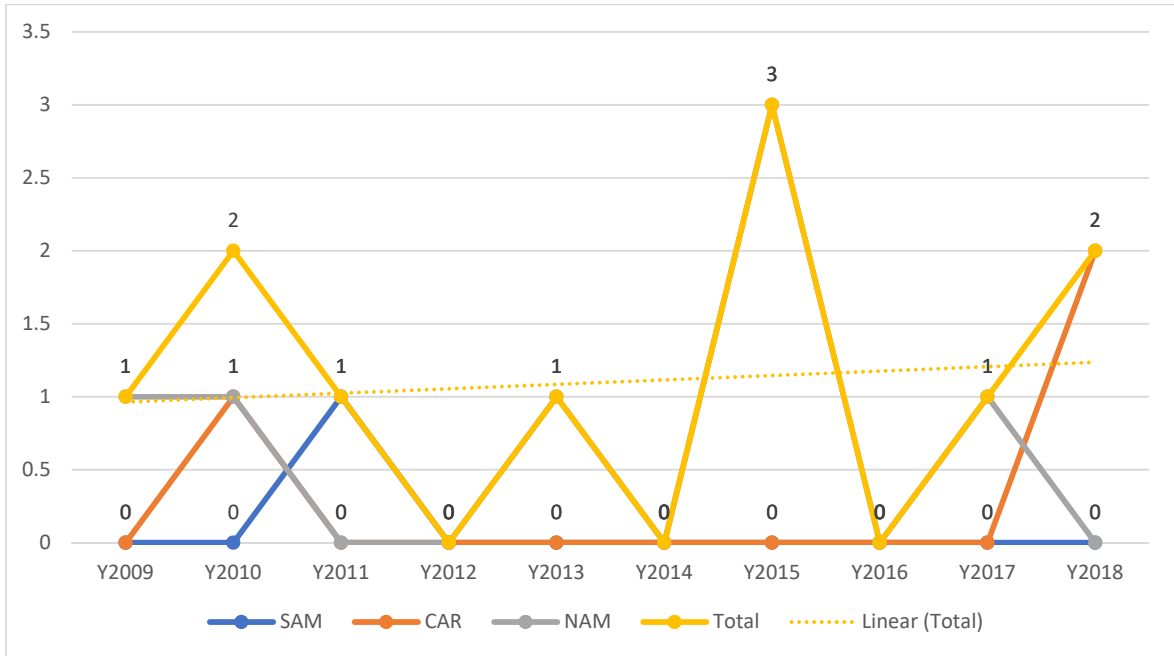
Table 5. Contributing factors to CFIT

Latent conditions	Management Decisions (100%) Regulatory Oversight (50%) Safety Management (50%) Technology & Equipment (50%)
Threats (Environmental)	Lack of visual reference (100%) Nav Aids (50%) Ground based Nav Aid malfunction or not available (50%) Airport facilities (50%)
Threats (Airline)	Operational Pressure (50%) Dispatch/Paperwork (50%) Manuals/Charts/Checklists (50%)
Flight Crew Errors	SOP Adherence/SOP Cross-verification (33%) Manual Handling/Flight Controls (50%)
Undesired Aircraft States	Controlled Flight into Terrain (100%) Unnecessary Weather Penetration (50%) Long/Floated/Bounced/Firm/Off-center/Crabbed land (50%)
Countermeasures	Monitor / Cross-check (100%) Overall Crew Performance (50%)

1.4.2 Specific analysis of Loss of Control In-flight

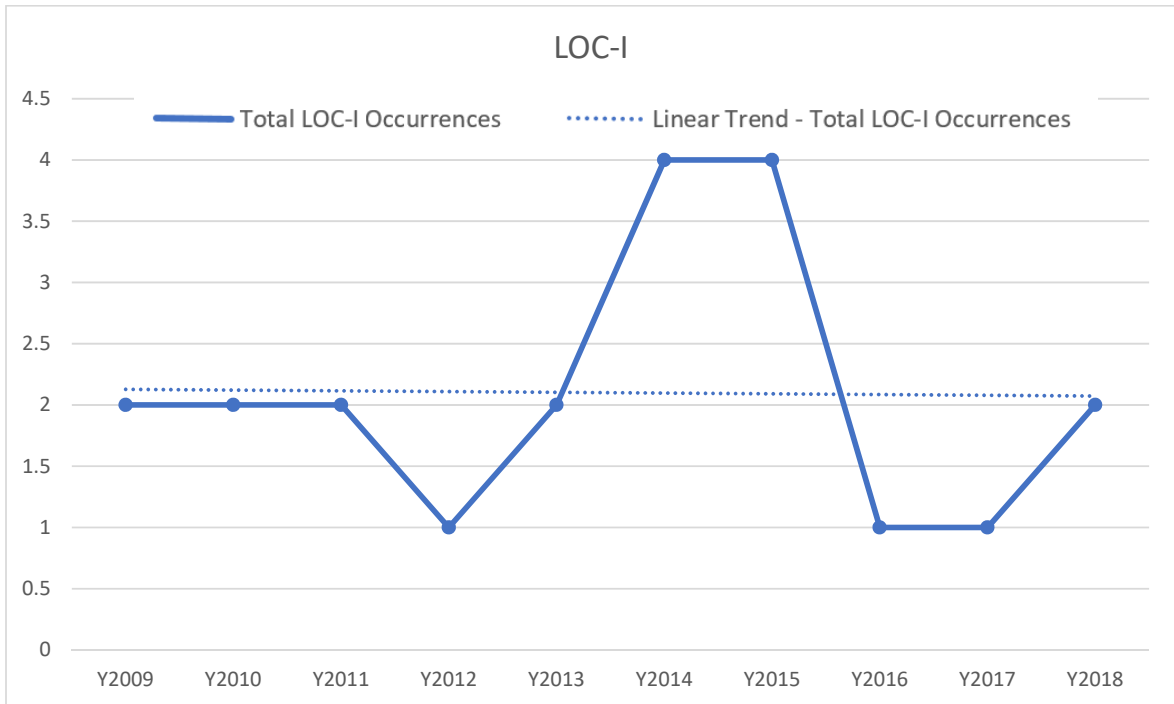
Accidents recorded by the ICAO-ADREP show a slightly increasing trend through the latest ten-year period, as presented in the following figure.

Figure 13. LOC-I accidents per year by Region



According to ICAO accident, serious incident and incident data, LOC-I total occurrences showed an average of 2.1 per year, with a decreasing trend in the period 2009-2018. The distribution of LOC-I occurrences per year is shown in the following figure.

Figure 14. LOC-I Total Occurrences Distribution per Year - Pan America



Contributing factors determined for Pan America Loss of Control In-flight 2014-2018 accidents by IATA were:

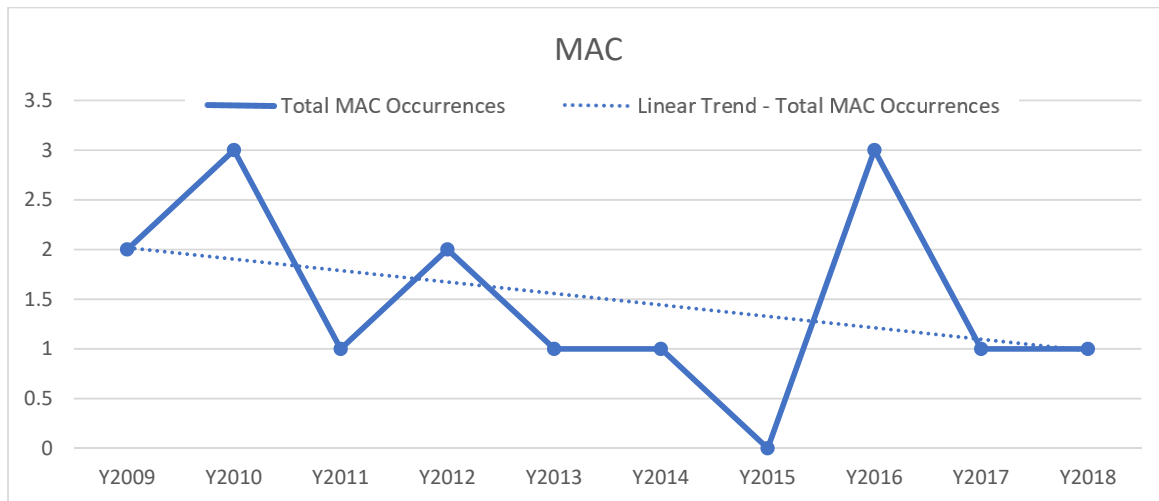
Table 6. Contributing factors to LOC-I

Latent conditions	Regulatory Oversight (50%) Safety Management (50%) Selection Systems (33%) Flight ops: Training Systems (33%)
Threats (Environmental)	Meteorology (33%) Thunderstorms (17%) Wind/Windshear/Gusty wind (17%) Lack of visual Reference (17%)
Threats (Airline)	Ground Events (17%)
Undesired Aircraft States	Operation Outside Aircraft Limitations (33%) Unnecessary Weather Penetration (17%) Weight & Balance (17%)

1.4.3 Specific analysis of Mid Air Collision

Accident, serious incident and incident data provided by ICAO, showed 15 MAC occurrences in total, for the time frame from 2009 to 2018, in the Pan American Region, with a decreasing trend, as presented in the following figure.

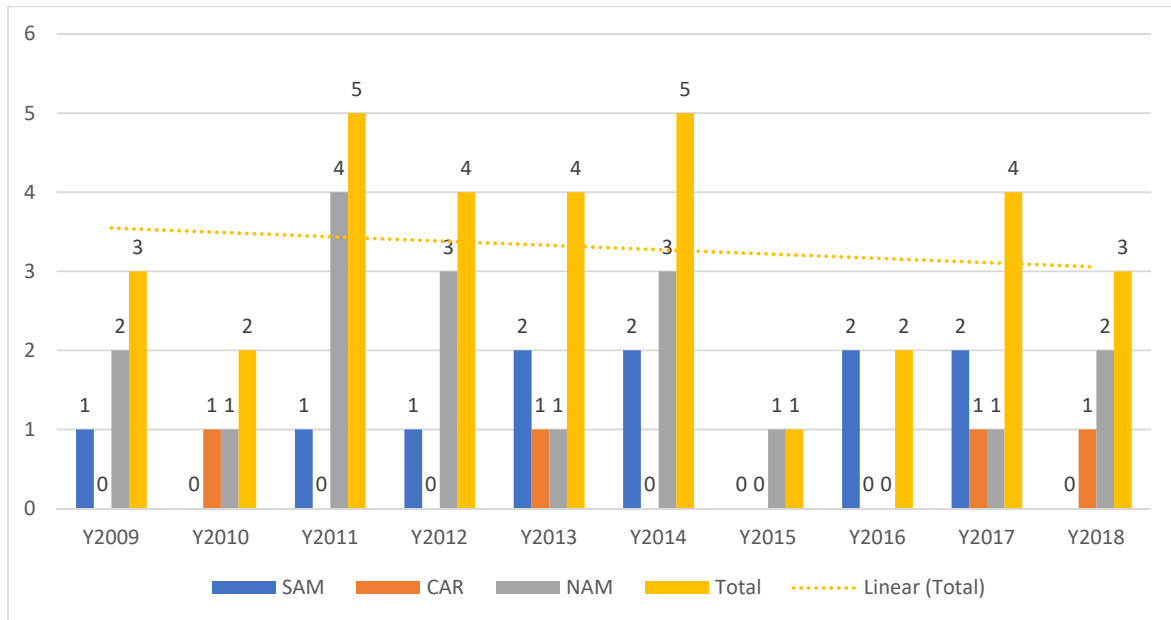
Figure 15. MAC Total Occurrences Distribution per Year – Pan America



1.4.4 Specific analysis of Runway Excursion

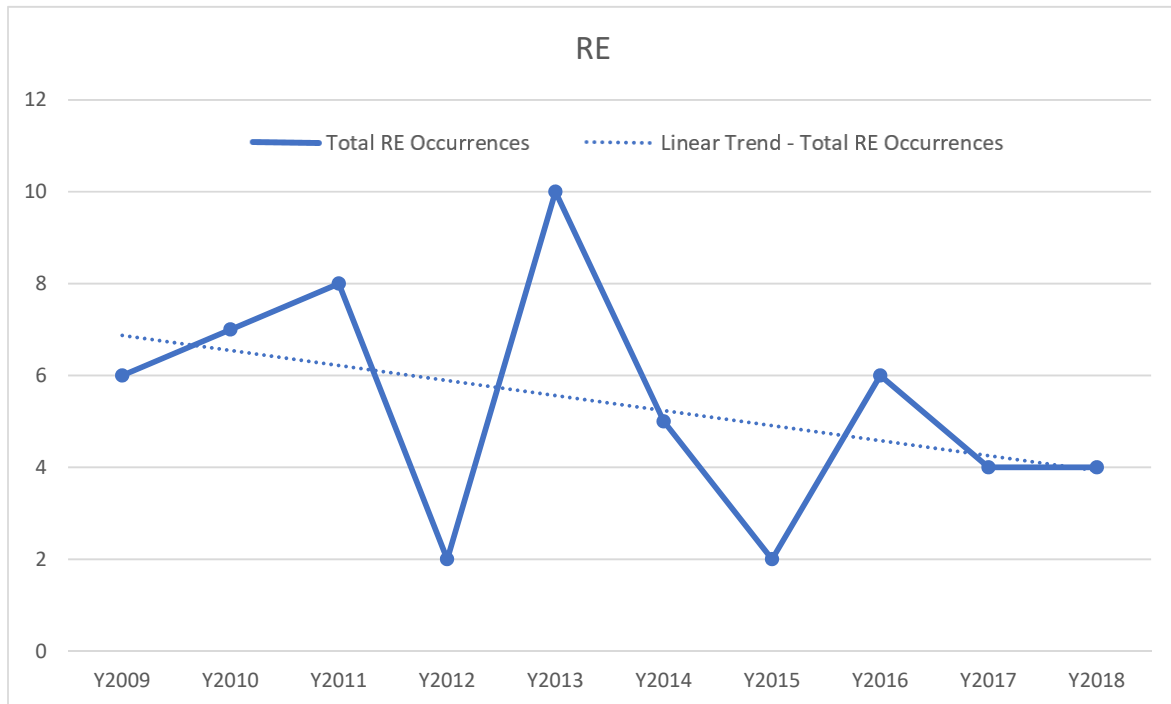
Accidents recorded by the ICAO-ADREP for the 2009-2018 period show a decreasing trend, as presented in the following figure.

Figure 16. RE accidents per year by Region



Accident, serious incident and incident data provided by ICAO, showed 33 runway excursions (an average of 3.3 per year) in the last 10-year moving period (2009-2018) with a decreasing trend. The most frequent categories associated to RE were Abnormal Runway Contact (ARC) (21.2% of REs) and System/Component Failure or Malfunction non-powerplant (SCF-NP) (21.2% of REs), all of them showing decreasing trends. The number of REs per year are depicted in the following figure.

Figure 17. RE Total Occurrences Distribution per Year - Pan America



Contributing factors for Pan America Runway Excursions 2014-2018 determined by IATA are shown in the following table:

Table 7. Contributing factors to RE

Latent conditions	Safety Management (18%) Regulatory Oversight (12%) Design (12%)
Threats (Environmental)	Meteorology (29%) Wind/Windshear/Gusty wind (24%) Airport Facilities (24%) Contaminated runway/Taxiway – poor braking action (18%)
Threats (Airline)	Aircraft Malfunction (41%) Contained Engine Failure/Powerplant Malfunction (6%) Maintenance events (6%) Hydraulic System Failure (6%)
Flight Crew Errors	SOP Adherence / SOP Cross-verification (29%) Manual Handling / Flight Controls (18%) Callouts (12%)
Undesired Aircraft States	Long/floated/bounced/firm/off-center/crabbed land (29%) Brakes / Thrust Reversers / Ground Spoilers (12%) Rejected Take-off after V1 (12%) Engine (12%)
Countermeasures	Overall Crew Performance (24%) Monitor/Cross check (12%) Taxiway/Runway Management (12%)

2. Proactive Safety Information

This section is intended to apply the proactive methodology to show the risk exposure level in aviation, based upon the results of safety oversight and management processes.

At the level of the States, ICAO USOAP CMA results and data from IDISR program were used to establish the current context for safety.

At the level of the operator, IOSA results were used by IATA to identify latent conditions that eventually could affect safety.

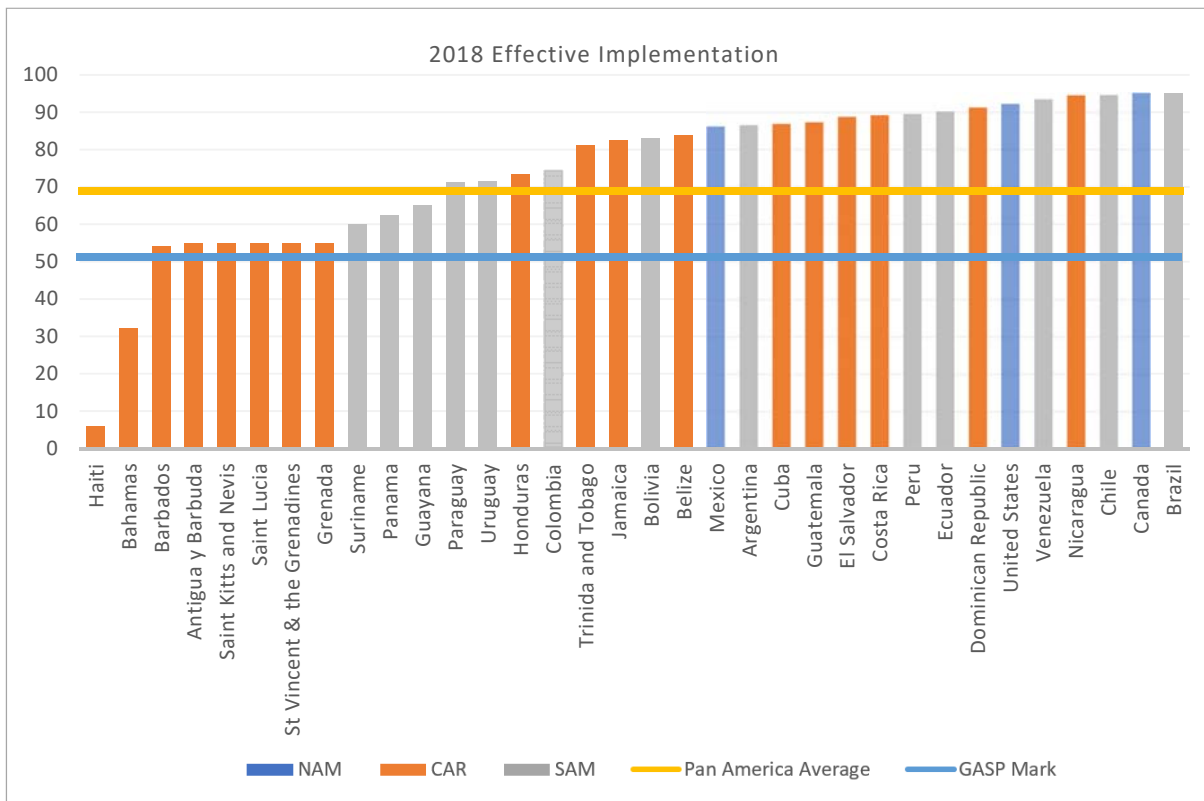
2.1 Proactive information at the level of the States

2.1.1 ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA)

It is essential to ICAO that States establish, maintain and improve the eight critical elements of an effective safety oversight system, as well as the eight technical areas.

The following figure shows detailed distribution of the percentage of effective implementation by State in the Pan American Region, based upon the latest USOAP audit or validation mission.

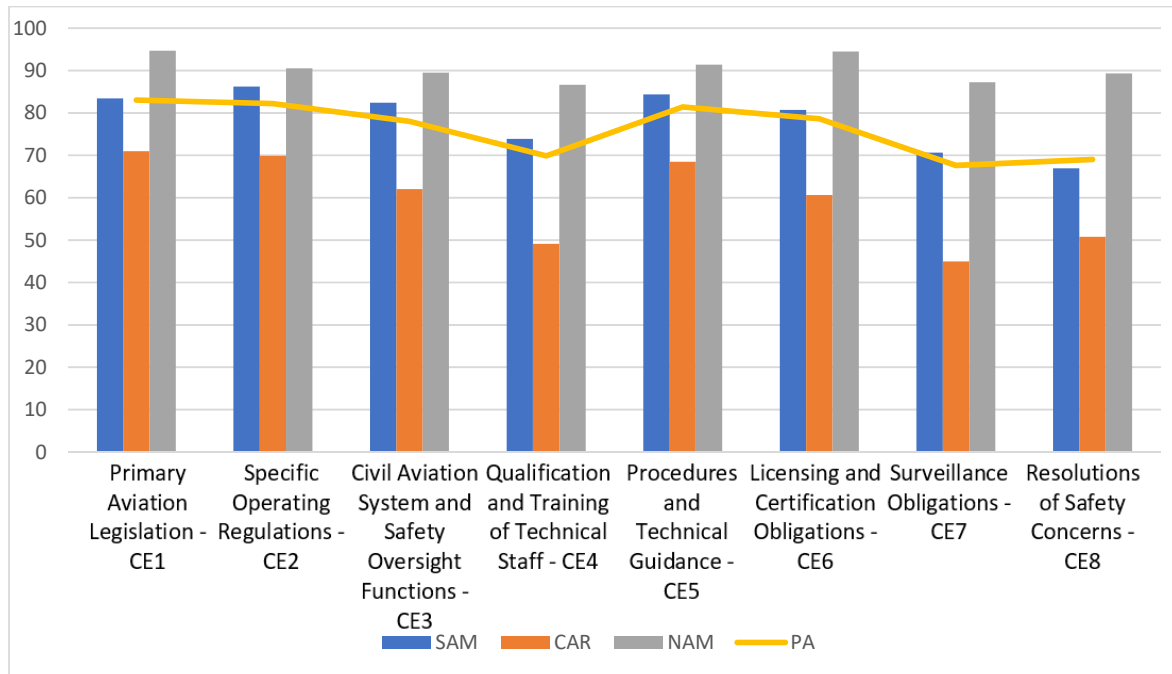
Figure 18. Percentage of Effective Implementation per State by Region



According to the previous chart, the average effective implementation in the Pan American Region increased from 65.2% in 2010 to 74.59% as of December 2018, achieved as result of the audits conducted on 31 States in the Region. According to ICAO Global Aviation Safety Plan (GASP), States should target their efforts to increase and maintain effective implementation above 60%.

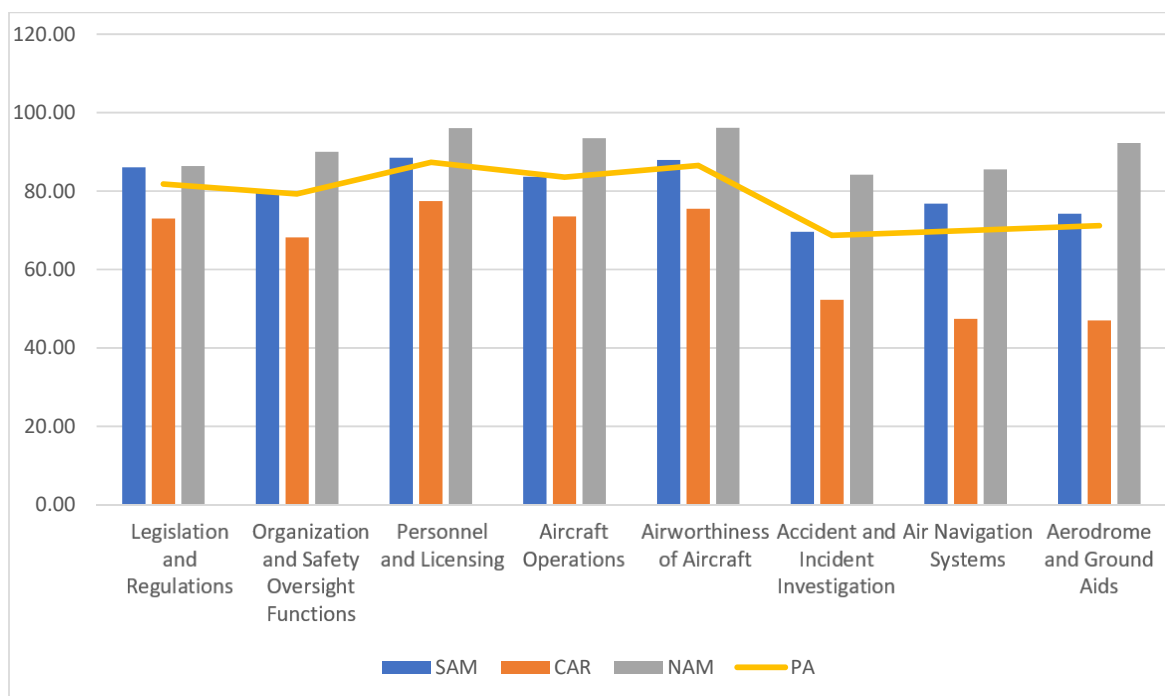
According to ICAO USOAP and ICVM information, the critical elements showing the lowest percentage of effective implementation in the Pan American Region are **CE7: Surveillance obligations** and **CE8: Resolution of Safety Concerns**. This and other facts are shown in the following figure:

Figure 19. Percentage of Effective Implementation per CE by Region



Regarding the eight technical areas, Accident Investigation (AIG), Aerodromes and Ground Aids (AGA) and Air Navigation Systems (ANS) continue to be the areas that show the lowest levels of effective implementation, especially in the CAR Region, as presented in the following figure:

Figure 20. Percentage of Effective Implementation per Area by Region



To determine the correlation of areas and critical elements, an analysis of the allocation of findings was conducted, using iSTARS. The following tables show the average findings per area and critical element for each Region.

Table 8. NAM Region USOAP CMA average finding per area v. CE

CE	LEG	ORG	AIG	PEL	OPS	AIR	ANS	AGA
CE1	1		1		1			
CE2	2		1	2	2	3	3	4
CE3			3		1		4	
CE4			2		1	1	3	1
CE5			5		1	3	2	
CE6				2	6	2	5	2
CE7				1		3	5	
CE8			3				1	

In the case of the NAM Region, the highest numbers were in OPS/CE6, specifically regarding the existence of a flight data analysis programme as part of the operator’s SMS.

Table 9. CAR Region USOAP CMA average finding per area v. CE

CE	LEG	ORG	AIG	PEL	OPS	AIR	ANS	AGA
CE1	3	1	3	1	1	5	2	1
CE2	3		4	3	4	6	4	9
CE3		3	4	3	3	4	17	3
CE4		2	4	4	3	3	18	3
CE5	1	1	12	5	7	9	5	6
CE6			11	7	11	5	19	26
CE7			6	3	4	3	14	12
CE8			6	2	3	4	5	5

In the case of CAR Region, main findings regarding AGA/CE6 were related to the systems in place in the States to ensure certain aspects of aerodromes certifications such as documentation clearance, compliance with the regulations by the aerodrome operator, especially with regard to aerodrome data, determination and reporting of pavement bearing strengths, emergency plans and provision of power supplies.

Table 10. SAM Region USOAP CMA average finding per area v. CE

CE	LEG	ORG	AIG	PEL	OPS	AIR	ANS	AGA
CE1	3	1	4		1	5	1	1
CE2	2		3	3	4	4	3	4
CE3		3	4	1	2	2	7	2
CE4		1	4	2	3	3	11	2
CE5	1	1	12	1	3	6	2	3
CE6			3	5	11	5	12	17
CE7				3	4	2	10	9
CE8			5	2	3	3	5	4

In the case of SAM Region, the highest numbers were reached in AGA/CE6, mainly on the assurance of aerodrome operators employing competent personnel for critical activities, a quality system to ensure

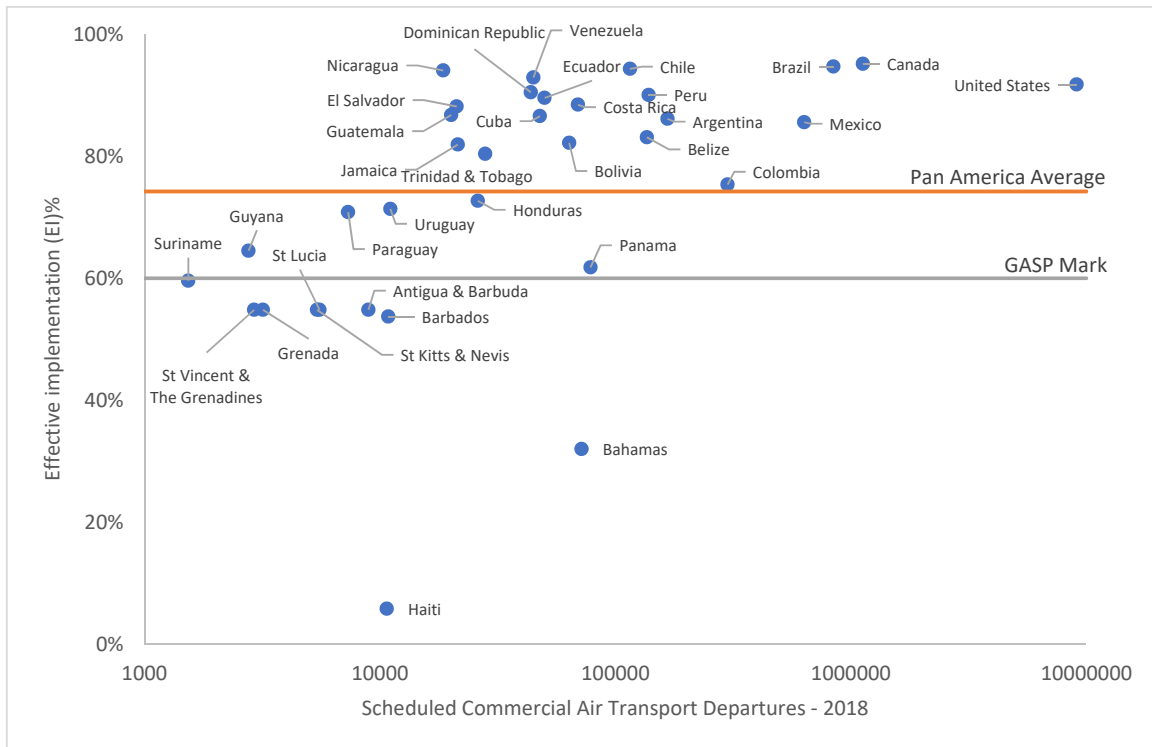
data compliance, integrity, accuracy and protection, safety of the runway surrounding areas and integration of lighting, marking and signals as part of the aerodrome’s runway incursion and collision avoidance strategy.

According to the ICAO Global Air Transport Outlook to 2030, forecasts for total Latin America and Caribbean passenger traffic call for an annual growth rate of 5.9% to 2030. By 2030, Latin America and Caribbean international markets are expected to account for 74% of the total passenger traffic from, to and within the region.

Considering the projected traffic growth, the RASG-PA highly recommends that the CAR and SAM Regions continuously monitor and improve the implementation of the ICAO SARPs, which could result in minimizing exposure to the associated risk derived from traffic growth, especially in CE7 and CE8, and also in the areas of ANS, AGA and AIG.

Figure 22 shows a comparison between effective implementation (EI) and traffic volume (departures) by Pan American States in 2017, based upon ICAO iSTARS data, which could be an indicator for risk exposure to States.

Figure 21. Effective Implementation vs. 2017 departures by State



2.1.2 IDISR Program

The Data Exchange Program of Ramp Safety Inspections (IDISR) is a reporting system designed to store, process and share information on ramp inspections conducted on foreign operators (under LAR 129)

within the Member States of the Regional Safety Oversight Cooperation System (SRVSOP) which includes 11 States of the SAM Region and 1 from the CAR Region.

In 2018, IDISR initiated the migration of its database into ICAOs Safety Information Monitoring System (SIMS) to benefit from global exchange of data.

Since 2008 until 2018, IDISR recorded more than 4,000 inspections with an average of 0.43 findings per inspection.

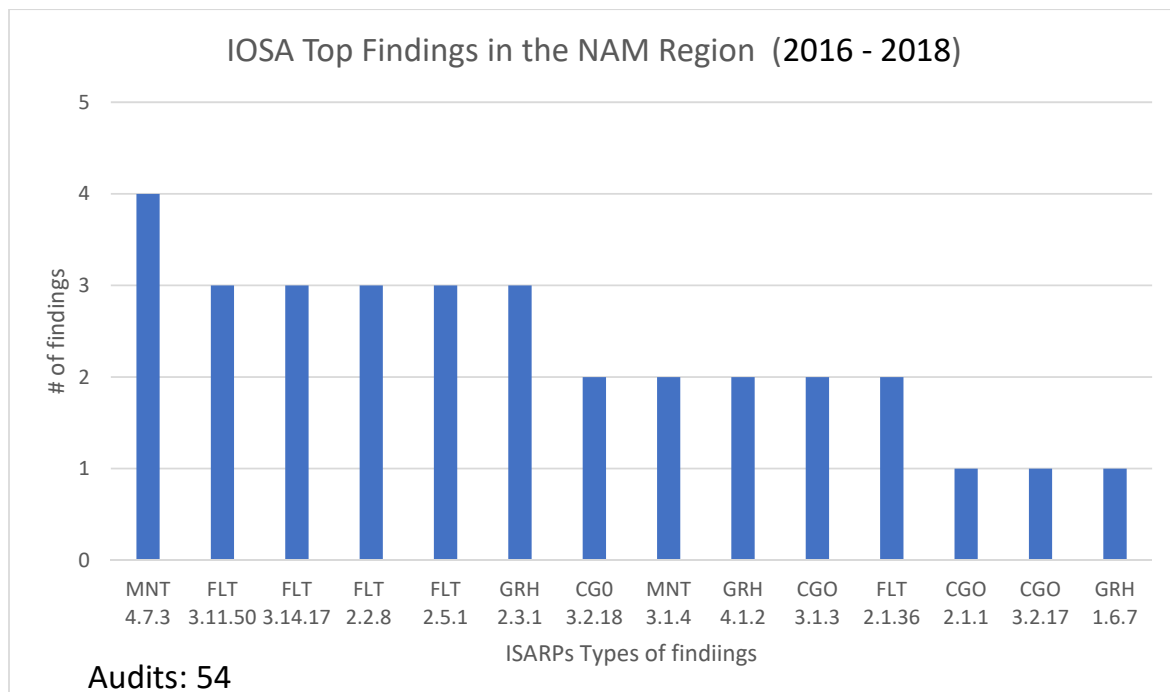
2.2 Information at the level of the Air Operators

2.2.1 IOSA main findings

IATA prepared a review of the IOSA Standards and Recommended Practices (ISARPs), related to Loss of Control In-Flight (LOC – I), Controlled Flight into Terrain (CFIT), and Runway Excursion (RE) including the top findings in the North America (NAM) and the Latin America and Caribbean (LATAM/CAR) region. References for each of the findings in the eight (8) disciplines Organization (ORG), Flight Operations (FLT), Dispatch (DSP), Cabin (CAB), Maintenance (MNT), Cargo (CGO), Ground Operations (GRH) and Security (SEC) can be found in the IOSA Standards Manual (ISM) documentation through <https://www.iata.org/whatwedo/safety/audit/iosa/documentation/Pages/default.aspx>.

In the NAM region, the top three (3) findings for the period under review were related to guidance that requires flight crews, when operating an aircraft at low heights AGL, to restrict rates of descent for the purposes of reducing terrain closure rate and increasing recognition/response time in the event of an unintentional conflict with terrain (ISARPs FLT 3.11.50); maintenance organization having an Electrostatic Sensitive Devices (ESD) Program (ISARPs MNT 4.7.3); and dangerous goods report made to the appropriate authorities of the State of the Operator and the State of Condition Origin (ISARPs CGO 3.2.18). The figure below shows findings.

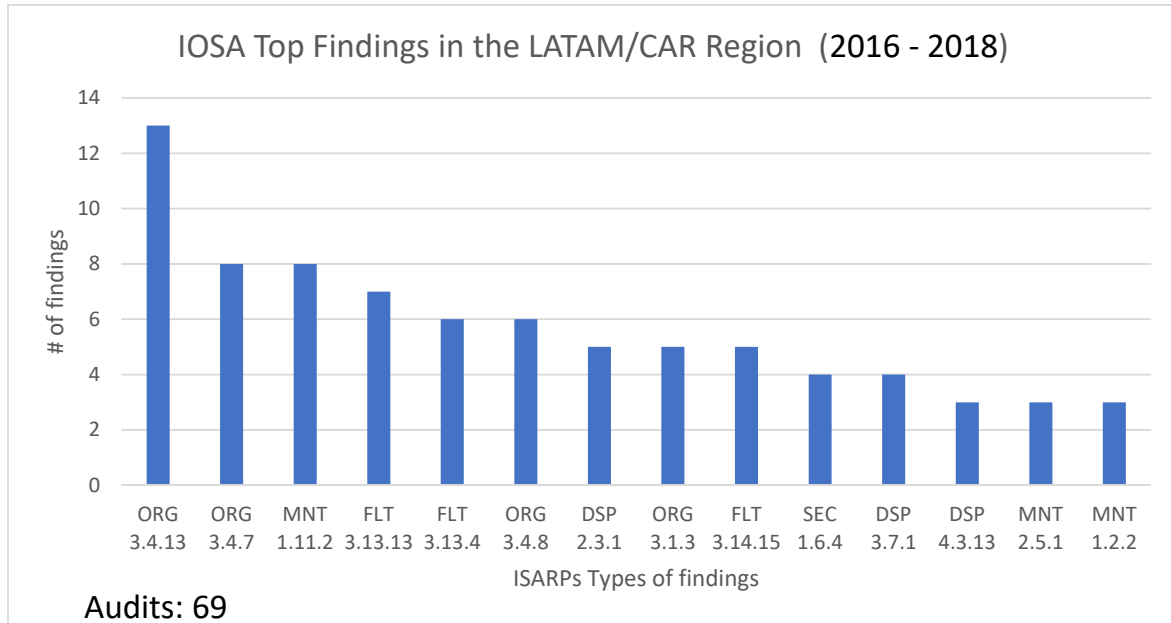
Figure 22. IOSA Top Findings in the NAM Region



In the LATAM/CAR region, the top three (3) findings for the period under review were related to training and qualification program for auditors that conduct auditing under the quality assurance program as

specified in ISARP ORG 3.4.1 (ISARPs ORG 3.4.13); a process for the production of a Conformance Report (CR) that is certified by the accountable executive (or designated senior management official) as containing accurate information related to the audit of all ISARPs as is specified in ORG 3.4.6 (ISARP ORG 3.4.7); and having flight crew procedures for transport of passengers and/or supernumeraries without the use a cabin crew (ISARPs FLT 3.13.13). The figure below shows the findings

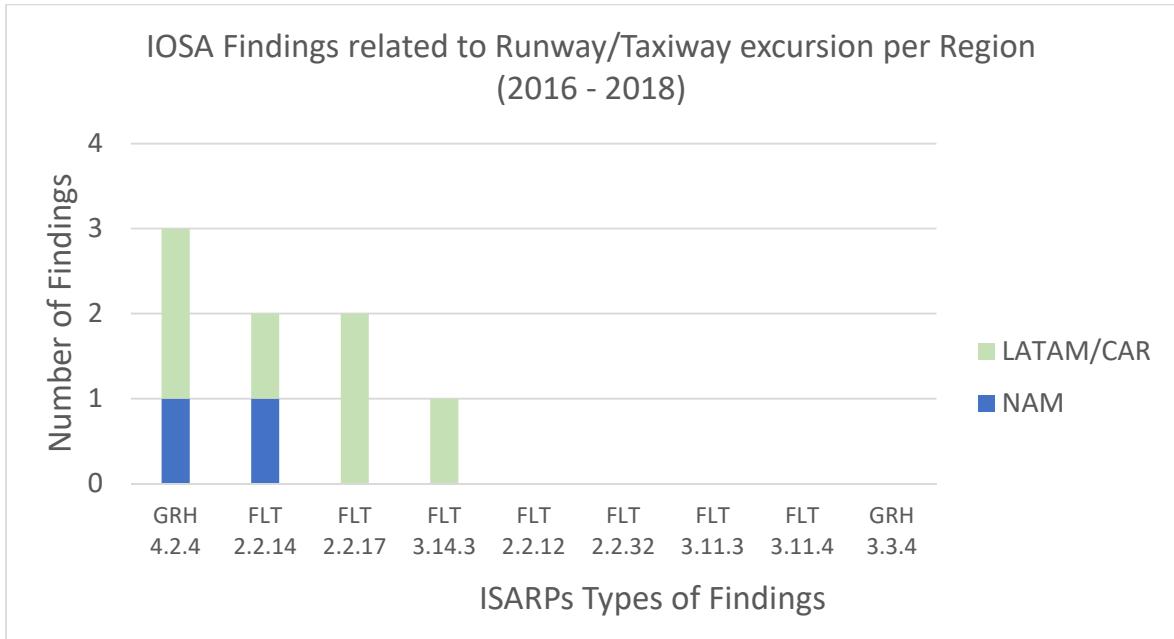
Figure 23. IOSA Top Findings in the LATAM/CAR Region



To assist operators in better understanding the latent conditions related to the high-risk accident categories on RE, LOC –I and CFIT, the top findings for the Pan American region are shown in the accompanying figures.

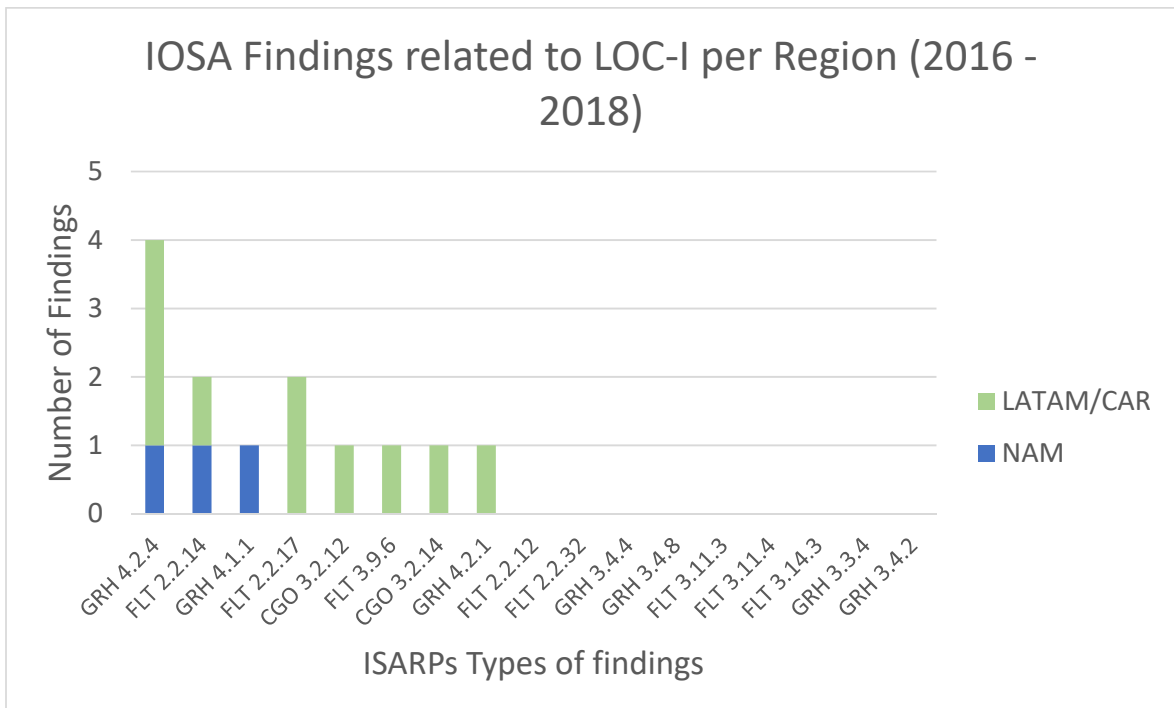
Figure 25 presents the top findings associated with RE for the period under review. ISARP GRH 4.2.4 remains a top factor which is regarding the storage and handling of fluids used in de-icing and anti-icing operations for operators with De-/Anti-Icing programs.

Figure 24. IOSA Findings related to Runway/Taxiway excursion per Region



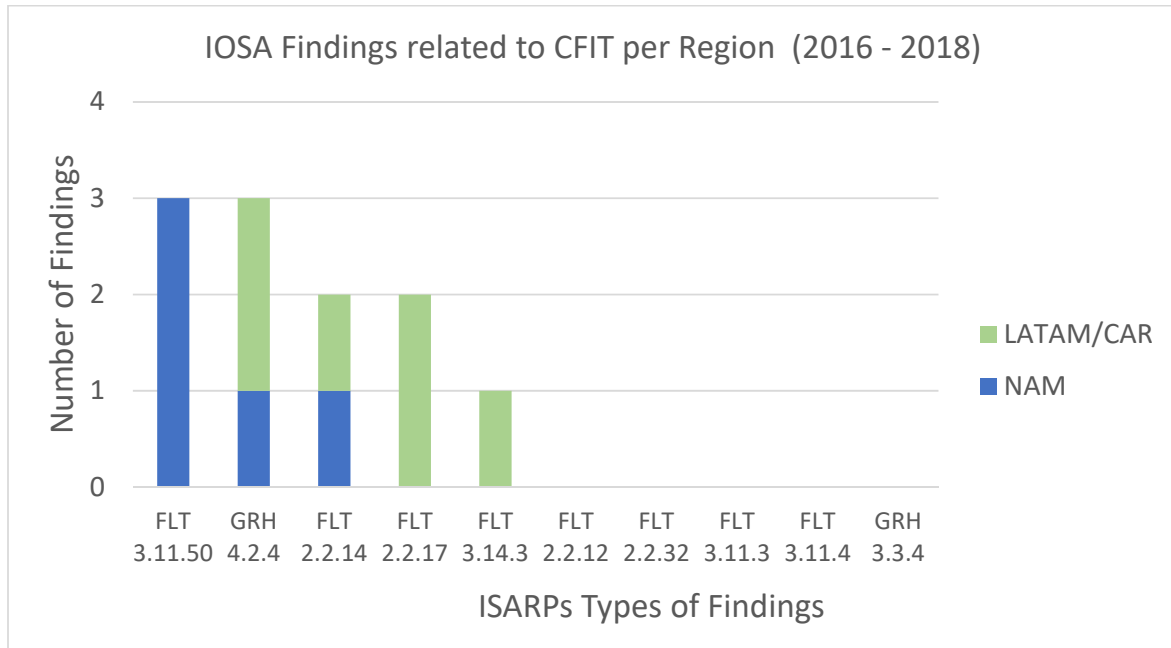
The top findings associated with LOC-I can be seen in the figure below. ISARP FLT 2.2.14 which addresses complete training in procedures for aircraft upset recovery during initial ground training and subsequently during recurrent training still remains for period under review amongst other areas in FLT, GHR and CGO ISARPs.

Figure 25. IOSA Findings related to LOC-I per Region



The top findings associated with CFIT for the period under review remains guidance regarding operating an aircraft at low heights AGL, to restrict rates of descent for the purposes of reducing terrain closure rate and increasing recognition/response time in the event of an unintentional conflict with terrain (ISARPs FLT 3.11.50).

Figure 26. IOSA Findings related to CFIT per Region



3. Predictive Safety Information

This section is intended to use the predictive methodology to represent the analysis of data captured during regular airline operations. Specifically, this analysis refers to FOQA/FDA events that occurred in the CAR and SAM Regions, showing conditions that could be considered as precursors of the most significant accident categories. This information was shared with RASG-PA under Memorandums of Understanding (MOUs).

Caribbean and South America (CARSAMMA) Regional Monitoring Agency provided data on Large Height Deviations (LHDs) in the RVSM airspace of the CAR and SAM Regions.

As part of the safety oversight in the RVSM airspace of the Caribbean and South America regions (CAR/SAM), the States, in coordination with the Regional Monitoring Agency (RMA) CARSAMMA, carry out a follow-up of all large height deviations (LHD) detected in the airspace.

Each deviation has an initial validation process, and then the total information is validated by the States focal points, this process ensures that all the events considered for the calculation of the RVSM safety level, fulfil the criteria, as part of the RVSM Target Level of Safety RVSM assuring process.

Table a shows the validated LHDs per month as well as the total monthly time in minutes, parameters that are considered to determine the RVSM Target Level of Safety (TLS).

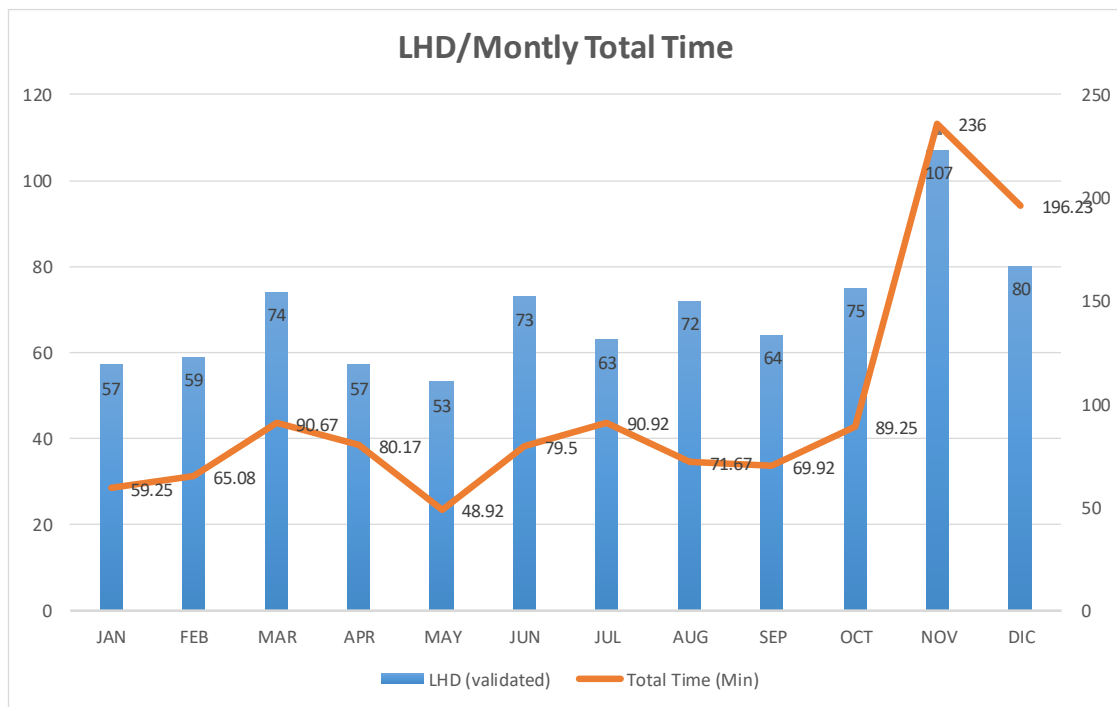


Table a

The collision risk methodology (CRM) has been used for the safety assessment of RVSM airspace in the Caribbean and South America. The estimated values of the CRM on operational and technical error result from processing all LHDs received and validated in 2018.

The sample data to estimate the pass frequency and physical parameters, as well as the dynamics of a typical aircraft for the assessment of vertical collision risk were collected from 1 December to 31 December 2018 from the 34 CAR/SAM FIRs with a total of 1,038,066 hours of flights.

The risk values (table b) were estimated based on the FIR values obtained after processing all data received, compiled and processed in the specific CRM software:

- a) **The estimated total risk for the assessed FIRs is 2.32×10^{-9} under the TLS (5.0×10^{-9}).**
- b) The technical risk of the CAR/SAM FIRs meets the TLS value, not exceeding 2.5×10^{-9} fatal accidents per flight hour due to loss of the standard vertical separation of 1,000 ft. and all other causes.
- c) The operational risk does not have a predefined limit, in accordance with ICAO Doc 9574.

Source of risk	Estimated risk	TLS
Technical risk	0.0401×10^{-9}	2.5×10^{-9}
Operational risk	2.28×10^{-9}	-
Total risk	2.32×10^{-9}	5.0×10^{-9}

Table b CAR/ SAM Risk Levels

The CAR/SAM regions showed an annual reduction in the number of LHDs received and validated (Table C). Although this trend has remained the same during the last triennium (2016-2018), the behaviour of the risk level has been the opposite, showing an upward trend during the same period (Table D). The 2018 risk level increased by 6.45×10^{-1} , with respect to 2017. Although the CAR/SAM Regions are below the TLS, the States and ATS providers are developing strategies to reduce the trend.

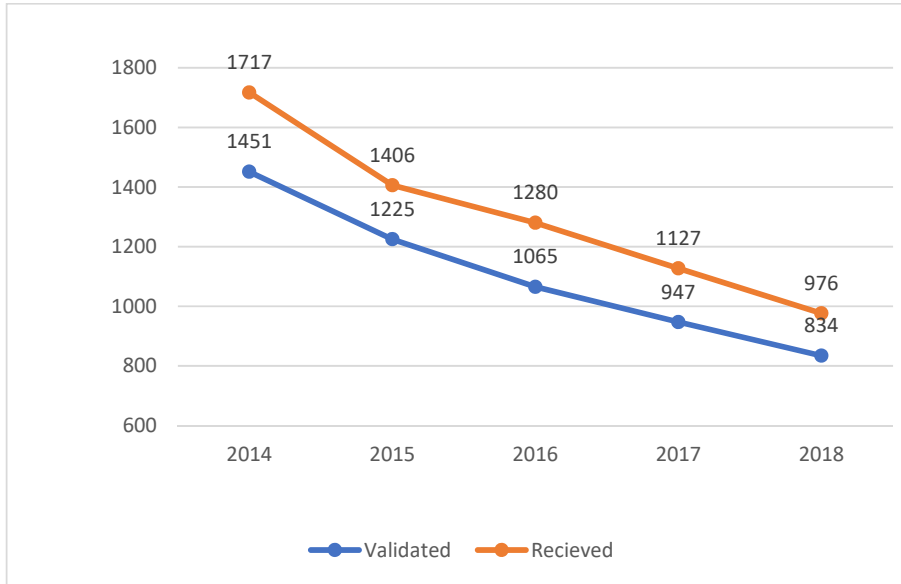


Table C

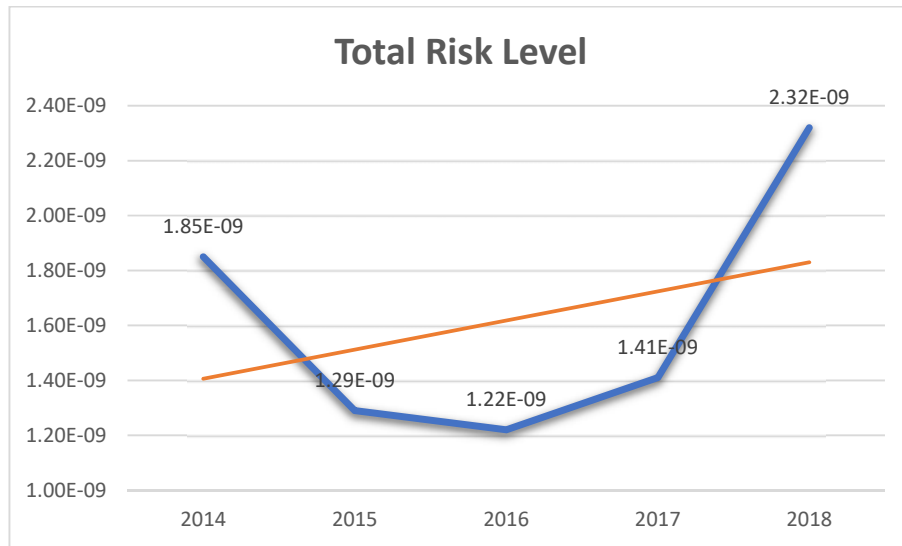


Table D

Part Two: Safety Intelligence

This part of the report is intended to present correlations and conclusions based on the information contained of the first part.

To be consistent with the structure of the first part of the report, conclusions are described according to the safety analysis methodologies, and correlations are the result of the cross-sectional analysis, thus increasing the frame of reference for safety decision making process.

1. Conclusions based on reactive information

- Accidents in the Pan American Region showed a decreasing trend across the ten years period analyzed (2009-2018). In 2018 the accident rate was higher than world average.
- The analyzed reactive data also highlighted Loss of Control In-flight (LOC-I), Runway Excursion (RE), Controlled Flight into Terrain (CFIT) continue to be the top categories of interest in the Pan American Region. All high risk categories but LOC-I showed decreasing trends across the period.
- As it relates to the Mid-Air Collision (MAC) category, serious incident and incident data, showed a decreasing trend.
- Management decisions, Safety management, and Regulatory oversight was identified as the top latent condition for 2013-2018 accidents in the both North America and Latin America & Caribbean regions.

2. Conclusions based on proactive information

- Since the last edition of this report, the level of effective implementation (EI) of the ICAO Standards and Recommended Practices below 60% decreased from 10 to 8 States in the Pan American Region according to the ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach (USOAP CMA). Also, the regional effective implementation average improved in more than 9% since 2010.
- USOAP findings on Licensing and Certification obligations (CE 6) in the operations area (OPS) was the most common in NAM Region, related to the existence of a flight data analysis as part of operators SMS. In the case of CAR and SAM Regions, main findings were also related to CE 6, but specifically in the Aerodrome and Ground Aids (AGA) area, related to aerodrome data, runway safety areas and runway incursion and collision avoidance.
- Furthermore, due to the forecasted increase in regional traffic, risk exposure of the States in the CAR and SAM Regions could be affected due to low EI in Air Navigation Systems (ANS) including Aerodromes and Ground Aids (AGA) areas.

3. Conclusions based on predictive information

- Information on LHDs captured in the CAR and SAM Regions during 2017 and 2018, determined the technical error satisfies the goal of not exceeding 2.5×10^{-9} fatal accidents per flight hour due to loss of standard vertical separation of 1,000 ft and all other causes.

4. Safety Intelligence correlations

- Accidents and their precursors, presented in the first part of the report, provide a perspective of the entire aviation system about safety. To manage safety in an efficient manner, it is important

to maintain reliability in safety information and intelligence, which is only achievable by developing and improving safety data gathering, validation, exchange and analysis processes.

- Even though different stakeholders maintain their own initiatives for safety data collection and analysis, the development of safety reports could allow the aviation community to obtain a harmonized view of the aviation system. Stakeholders are encouraged to use ADREP, US CAST, ISARPs and other standardized taxonomies, which could facilitate addressing a shared comprehension of conditions and situations related to safety.
- Technological improvement in the aviation system requires fast and complete data exchange. In the age of intelligence, data availability is key to be up to date. Applied to safety, decision making on data transformed into information should support proper and timely response to key issues. Stakeholders are invited to use the areas showed in this Annual Safety Report to develop more in-depth analysis oriented to support the establishment of indicators, acceptable levels of safety and safety targets.

List of Acronyms

ADREP	Accident/Incident Data Reporting System (ICAO)	IMC	Instrument meteorological conditions
ADRM	Aerodrome	IOSA	IATA Operational Safety Audit
AFI	Africa (IATA Region)	ISARPs	IOSA Safety and Recommended Practices
AIS	Aeronautical Information Service	ISTARS	ICAO Integrated Safety Trend Analysis and Reporting System
AMAN	Abrupt manoeuvre	LALT	Low altitude operations
ARC	Abnormal runway contact	LATAM/CAR	Latin America and Caribbean (IATA Region)
ASPAC	Asia/Pacific (IATA Region)	LOC-G	Loss of control - ground
ASRT	Annual Safety Report Team	LOC-I	Loss of control - inflight
ATM	Air Traffic Management, Communications, Surveillance	MAC	AIRPROX/TCAS alert/loss of separation/near miss collisions/mid-air collisions
BIRD	Birdstrike	MNT	Aircraft Engineering and Maintenance (IOSA)
CABIN	Cabin safety events	MENA	Middle East and North Africa (IATA Region)
CAR	Caribbean (ICAO Region)	MTOM	Maximum Take-off Mass
CASSOS	Caribbean Aviation safety and Security Oversight System	NAM	North America (ICAO and IATA Region)
CAST	Commercial Aviation Safety Team	NASIA	North Asia (IATA Region)
CEs	Critical Elements (ICAO)	OTHR	Other
CFIT	Controlled flight into terrain	ORG	Organization and Management System (ORG)
CGO	Cargo Operations (IOSA)	PA-RAST	Pan America – Regional Aviation Safety Team
CIS	Commonwealth of Independent States (IATA Region)	RA	Resolution Advisory
CMA	Continuous monitoring approach	RAMP	Ground handling operations
COCESNA	Central American Corporation for Air Navigation Services	RASG-PA	Regional Aviation Safety Group – Pan America
DGAC	Directorate General of Civil Aviation	RE	Runway excursion (departure or landing)
DIPs	Detailed Implementation Plans	RI	Runway Incursion
ECCAIRS	European Coordination Centre for Accident and Incident Reporting Systems	RI-A	Runway Incursion – Animal
E-GPWS	Enhanced Ground Proximity Warning System	RI-VAP	Runway Incursion – vehicle, aircraft or person
EI	Effective Implementation of ICAO SARPs	SAM	South America (ICAO Region)
EUR	Europe (ICAO and IATA Region)	SARPs	Standards and Recommended Practices (ICAO)
EVAC	Evacuation	SEC	Security Management (IOSA)
FDA	Flight Data Analysis	SEIs	Safety Enhancement Initiatives
FLT	Flight Operations (IOSA)	SCF-NP	System/component failure or malfunction (non-powerplant)
F-NI	Fire/smoke (none-impact).	SCF-PP	Powerplant failure or malfunction
FOQA	Flight Operations Quality Assurance	SEC	Security-related
F-POST	Fire/Smoke (post-impact)	SOP	Standard Operating Procedure
FUEL	Fuel related	SRVSOP	Regional Safety Oversight System
GASP	ICAO Global Aviation Safety Plan	TCAS	Traffic Collision and Avoidance System
GCOL	Ground collision	TCAS RA	Traffic Collision and Avoidance System-Resolution Advisory
GPWS	Ground Proximity Warning System	TEM	Threat and Error Management
GRH	Ground Handling Operations (IOSA)	TURB	Turbulence encounter
GSI	Global Safety Initiative	UNK	Unknown or Undetermined
ICAO	International Civil Aviation Organization	USOAP	Universal Safety Oversight Audit Programme
ICE	Icing	USOS	Undershoot/Overshoot
ICVM	ICAO Coordinated Validation Missions	WSTRW	Wind shear or thunderstorm

CREDITS – CRÉDITOS

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