



ICAO

International Civil Aviation Organization
South American Regional Office
Second SAM Region AGA/AOP Focal Points Meeting
(SAMAGA/02)
Video Teleconference, 20, 21 & 22 June 2022

Agenda Item 2: REGIONAL UPDATES AND REPORTS

USOAP CMA MONITORING FOR THE SAM REGION

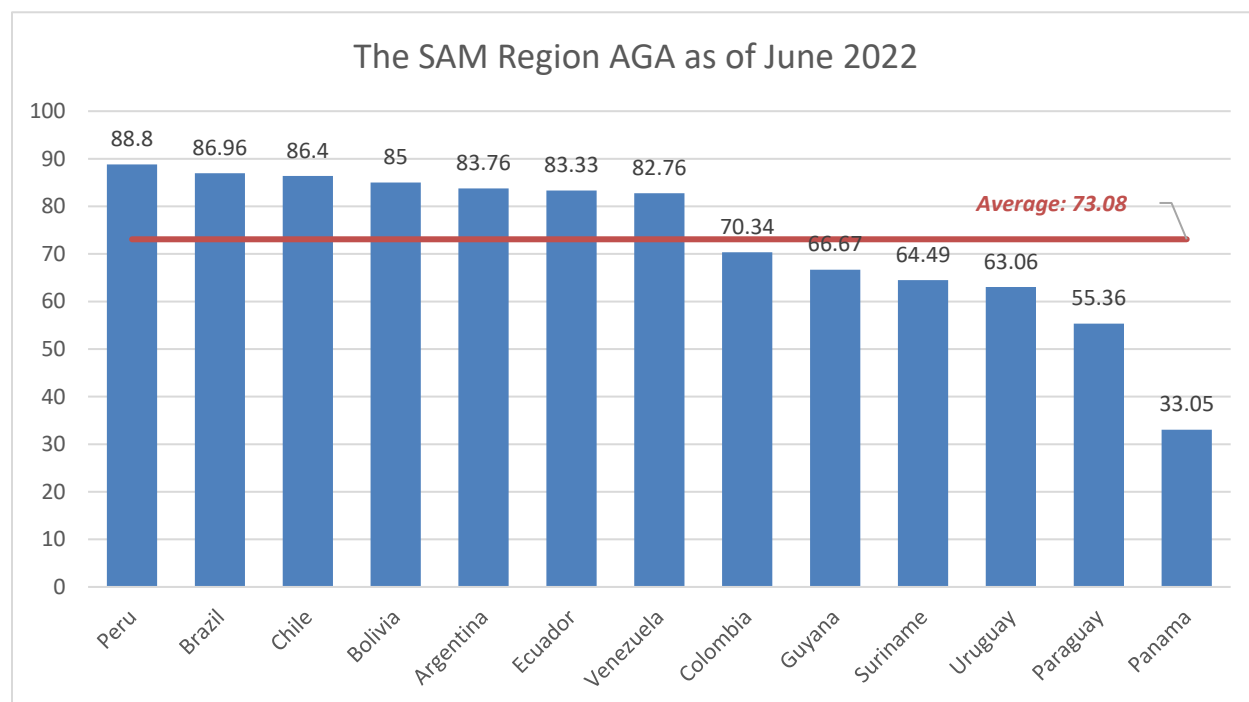
(Presented by Secretariat)

SUMMARY

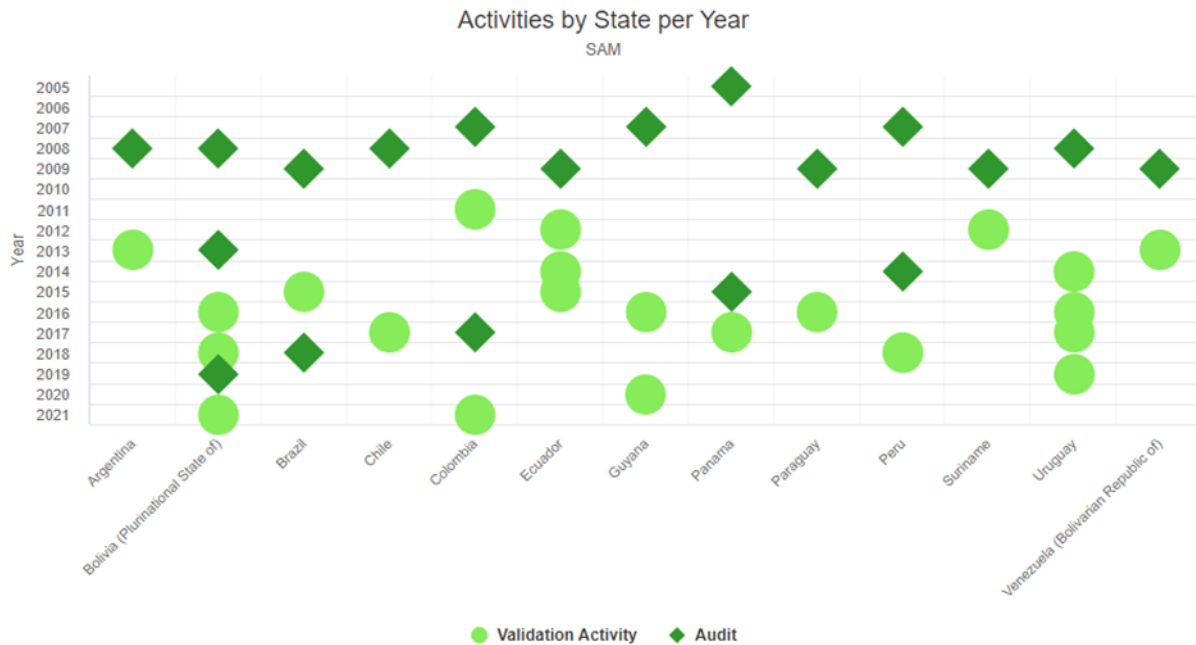
This working paper presents the USOAP CMA current situation analysis for the SAM Region.

1. INTRODUCTION

1.1 The ICAO South American Region has one of the highest percentages of effective implementation in the world, averaging 81.8%. The AGA area currently averages 73%, a figure that changed slightly due to the change of the USOAP protocol questions to the new 2020 version. This figure is subject to change, with the results of audits recently carried out in Colombia and one in progress in Argentina.



1.2 Although these are encouraging numbers, it is important to note that there are several States that have not received a complete audit of their safety management systems for more than a decade. The following image shows details of the activities received by the SAM States up to 2021 (source: ICAO iStars).



1.3 It can be observed that several States such as Chile, Ecuador, Guyana, Paraguay, Suriname, Uruguay and Venezuela have not received a complete audit since the last decade. Full audits are scheduled for 2022 in Argentina and Colombia. The main challenge for States with high levels of effective implementation is maintaining these levels. That is why it is essential that States consider constantly preparing to achieve the expected results.

2. ANALYSIS

2.1 Critical Elements (CE) are essentially the State Safety Oversight System (SSO) safety defense instruments that are needed for the effective and sustainable implementation of a safety-related policy and related procedures. To establish and implement an effective and sustainable OHS system, ICAO Member States must implement eight CEs. The effective application of the latter is an indication of the State capacity for safety oversight.

2.2 The eight CEs of an SSO system are interrelated and complement each other. CE-1 to CE-5 are presented as “establishment CE”, while CE-6 to CE-8 are “implantation CE”. These are the following:

“Establishment CE”:

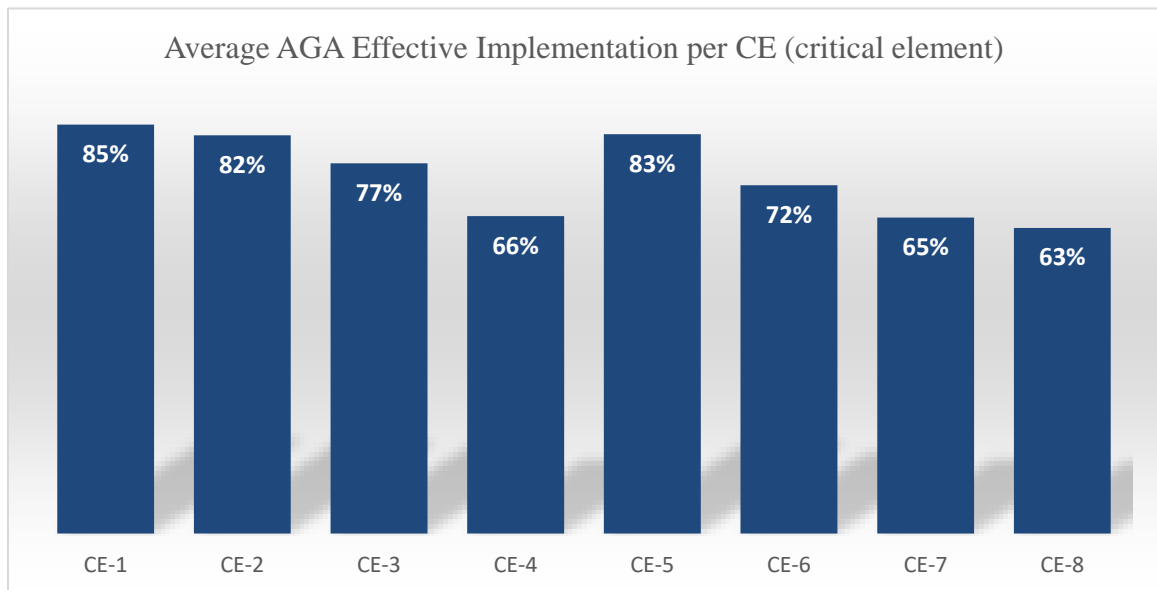
- CE-1 — Basic aeronautical legislation
- CE-2 — Specific Operating Regulations
- CE-3 — State system and functions
- CE-4 — Qualified technical personnel

- CE-5 — Technical guidance, tools and provision of critical safety information; and

“Implantation CE”:

- CE-6 — Licensing, Certification, Authorization and Approval Obligations
- CE-7 — Surveillance obligations
- CE-8 — Solution of safety problems.

2.3 After analyzing the data available on the *ICAO Universal Safety Oversight Audit Program (USOAP) Continuous Monitoring Approach (CMA) Online Framework* (<https://soa.icao.int>), it is observed that on average, the SAM Region AGA area has the following percentages of effective implementation:



SOURCE: OLF PORTAL – JUNE 2022

2.4 This graph clearly shows that the main gaps continue to be in the elements related to qualified technical personnel (CE-4), surveillance obligations (CE-7) and resolution of safety problems (CE-8).

Other analyzes

2.5 Reviewing the data provided by the OLF portal, it can be confirmed that most States are working on updating CAPs (corrective action plans) as a result of past USOAP activities, however, several States have not completed such plans and are therefore presented as "In Progress" or "Not Started".

State	Completed CAPs (including evidence)	CAP in process (they lack evidence or more information)	CAP not started
Argentina	0	13	6
Bolivia	3	12	3
Brazil	4	6	5
Chile	13	4	0
Colombia	6	21	8
Ecuador	0	17	2
Guyana	0	30	6
Panama	0	68	11
Paraguay	11	39	0
Peru	0	11	3
Suriname	0	29	9
Uruguay	3	19	20
Venezuela	7	13	0

2.6 In other analyses, the Self Assessments completion status by State was reviewed. ICAO encourages States to review the self-assessments at least once a year, so that it is kept up to date and thus promote a continuous monitoring system. Currently, most SAM States have self-assessment levels above 90%, with the latest recent review dates (2021 and 2022). However, there are States with very low percentages (below 25%) and with reviews dating from 2018 and another from 2013.

3. CONCLUSION

3.1 The Regional Safety Plan for the SAM Region (SAMSP, available at <https://www.icao.int/SAM>) in its section 4.5 establishes as a regional goal, an average increase in EI of 2.5% per year. Taking this goal into account (applicable to all audit areas), it is estimated that for the next triennium 2022-2025, the SAM Region AGA area should have a goal of increasing its EI from the baseline of 73% to 80.5 % for the year 2025.

3.2 To achieve this objective, the SAM Region focal points are encouraged to actively participate in the mechanisms implemented by the regional office (such as the PROSAM 001 procedure) to carry out a constant review of the pending CAPs and the self-assessments, so that the State has a permanent preparedness condition. Some States have also successfully implemented assistance programs with the SRVSOP support. The SAM Regional Office and the SRVSOP are always available to offer support to States that require it.

— END —