



**WORKING PAPER**

**ASSEMBLY — 40TH SESSION**

**TECHNICAL COMMISSION**

**Agenda Item 29: Aviation Safety and Air Navigation Regional Implementation Coordination Mechanisms**

**REGIONAL COOPERATION ACTIVITIES IN THE SAM REGION – ROLE OF THE RASG-PA IN THE INTEGRATION OF REGIONAL ORGANIZATIONS**

(Presented by Peru, with the support of the ICAO SAM States and Latin American Civil Aviation Commission (LACAC) States<sup>2</sup>)

**EXECUTIVE SUMMARY**

The working paper presented by the ICAO Council contains an update with respect to ICAO activities in support of regional planning and implementation mechanisms in the light of current requirements and in direct support of sustainable development of aviation worldwide.

This working paper presents information on work carried out by the South American (SAM) Region as an example of a coordinated and integrated approach by the Regional Office, States and the Regional Aviation Safety Group – Pan America (RASG-PA) to identify regional priorities and develop a regional safety plan based on the *Global Aviation Safety Plan* (GASP, Doc 10004) that integrates the efforts of regions, countries and the industry.

Attention is drawn to the interrelationship between the various SAM Region initiatives (Regional Safety Oversight Cooperation System (SRVOSP), pilot programme for the implementation of State safety programme (SSP), aircraft accident and incident investigation (AIG) regional cooperation mechanism (ARCM) and collaborative safety teams (CST)) with the aim of facing the challenges and risks of a region where an increase in air traffic is expected.

**Action:** The Assembly is invited to:

- a) endorse the working paper and ensure support for the regional offices in respect of this initiative as major linchpins of regional coordination;
- b) encourage States, regional organizations and the industry as a whole to participate actively and with commitment in the work of the planning and implementation regional group (PIRG), the regional aviation safety group (RASG) and their respective contributing organizations; and
- c) ensure that the proposed terms of reference of the RASG are sufficiently flexible so that each RASG can establish its own internal procedures in the best possible way so as to take into account the conditions specific to the region and encourage the fullest participation of its members.

<sup>1</sup> Spanish version provided by Peru.

<sup>2</sup> Belize, Bolivia, Brazil, Colombia, Costa Rica, Cuba, El Salvador, Guatemala, Guyana, Honduras, Nicaragua, Panama, Paraguay, Uruguay and Venezuela (Bolivarian Republic of).

<i>Strategic Objectives:</i>	This working paper relates to the Strategic Objective of Aviation Safety.
<i>Financial implications:</i>	N/A
<i>References:</i>	WP/53, Update on Regional Implementation Support Mechanisms

## 1. INTRODUCTION

1.1 In the framework of the Fourth ICAO World Aviation Forum (IWAF/4) declaration, the SAM States approved, at the most recent meeting of Directors of Civil Aviation (RAAC/16, December 2018), the South American Safety Plan (SAMSP), taking into account the *No Country Left Behind* initiative and in accordance with the *Global Air Navigation Plan* (GANP, Doc 9750) and the GASP.

1.2 ICAO is promoting regional planning and implementation, data collection, the exchange of information, the identification and elimination of air navigation deficiencies, and the coordination of activities through various regional mechanisms with the aim of improving safety and pooling implementation efforts in the sphere of air navigation.

1.3 The foregoing has been supplemented directly by the work of various regional mechanisms for supporting implementation, such as the PIRGs and RASGs, which make a major contribution to the regional implementation of the GANP and the GASP.

1.4 The ICAO Council presented a working paper in which it provided an update of ICAO's activities in support of these regional planning and implementation mechanisms and proposed to the Assembly a consequential updating and harmonization of the terms of reference for PIRGs and RASGs.

1.5 Additionally, the 2020-2022 edition of the GASP has identified strategies for collaborating with key aviation stakeholders in support of the use of proactive risk modelling capabilities, as a safety enhancement initiative (SEI), and makes an appeal to States to promote and participate in associations along the lines of commercial aviation safety teams in order to identify and implement measures for improving the safety of the system. This initiative is in line with United Nations Sustainable Development Goal 17, "Strengthen the means of implementation and revitalize the global partnership for sustainable development".

1.6 In addition, ICAO Annex 19 — *Safety Management*, 5.4.2, provides that "States shall promote the establishment of safety information sharing or exchange networks among users of the aviation system, and facilitate the sharing and exchange of safety information, unless national law provides otherwise".

1.7 In spite of all the efforts that have been made, States continue to face challenges with respect to the implementation of ICAO Standards and Recommended Practices (SARPs) (SSP) and implementation of the GASP. It is therefore important to highlight the role played by the RASG-PA in bringing together the different stakeholders of the aviation system, and the interrelationship between the various initiatives in the SAM Region (SRVSOP, pilot programme for SSP implementation, ARCM, CST) aimed at meeting the challenges facing aviation.

## 2. ANALYSIS

2.1 In order to meet the new challenges, it is essential that all stakeholders of the world aviation system – States, international and regional organizations, industry and the users of airspace – work collaboratively and proactively together, and that the efforts of the PIRG and the RASG be harnessed in this endeavour.

2.2 The contribution of States and international organizations in the form of proposals for initiatives, research, working papers, and the active participation of high-level representatives of States with the advice technical experts, should be the indispensable commitment of all aviation stakeholders.

2.3 This includes continuous feedback from States to identify and publicize, through the PIRG and the RASG, opportunities for improvement, recommendations and actions needed by ICAO governing bodies to take decisions on possible amendments to ICAO provisions, global plans, guidance documents or the prioritization of resources, as well as the monitoring of progress in the implementation of global plans.

2.4 The SAM Region has made great strides in its collaborative and proactive work to meet the challenges to the region. In this context, it has defined in its regional plan the responsibilities of stakeholders, including RASGs.

2.5 Examples of regional processes that, through an integrating approach, are enabling States to achieve the goals set in their regional aviation safety plans and to implement the GASP, are given below:

2.5.1 SRVSOP (Latin American regional safety oversight organization (RSOO)). Established in 1998 by a Memorandum of Understanding between LACAC and ICAO, SRVSOP develops and implements a harmonized set of standards, procedures, training programmes and horizontal cooperation. It seeks to raise States' levels of effective implementation (EI) through economies of scale.

2.5.2 The regional cooperation mechanism for AIG (ARCM) provides support to improve the EI of member States in the area of AIG and participates in the coordination of AIG cooperation among the ARCM States. It will also provide reactive information to the RASG-PA and national SSPs for aviation safety management.

2.5.3 On the basis of an International Air Transport Association (IATA) initiative and the SSP pilot implementation plan of the SAM Office, the RASG-PA supports States' SSPs through CSTs, in which all members participate on an equal footing, respecting all viewpoints as worthy of consideration, working towards a common and voluntary goal on the basis of data with the aim of identifying hazards, assessing risks and designing mitigation strategies at the national level, along the lines of the work carried out by Pan-America - Regional Aviation Safety Team (PA-RAST), which is an essential part of the RASG-PA. A significant increase in the number of CSTs established in the region has been noted in recent years, constituting proof of the model's success.

2.6 While the provisions of the new version of the GASP substantially broaden the role of the RASG in their respective regions, the proposed terms of reference put forward by the ICAO Council seem to go unnecessarily into matters that are not directly related to risk management at the regional level, which is what one expects of a RASG.

2.7 In this regard, there is a recognition of the importance of a RASG establishing safety performance oversight processes based on data and information received from various sources: reactive and proactive data from the industry, information on compliance programmes relating to the Universal Safety Oversight Audit Programme (USOAP) (RSOO), the results of accident and incident investigations (regional

accident and incident investigation organization), information from air navigation services providers and other relevant sources, which is clearly reflected in the 2020-2022 edition of the GASP. In this connection, RASG-PA has worked on identifying opportunities for improvement and change in its processes through a gap analysis.

2.8 The analysis in this working paper finds that the proposed terms of reference put forward by the ICAO Council would introduce excessive rigidity in the management processes of a RASG, while addressing other matters that are not reflected in the GASP, since they do not relate directly to risk management and safety promotion and oversight at the regional level.

2.9 As regards administrative matters, sufficient justification has not been provided for the excessive use of the verb “shall” with regard to the agenda of meetings linked to the agenda of other groups, the use of teleconferencing or the imposition of a rule requiring industry representatives to be limited to the role of observers. This last measure reverses the logic adopted by other groups, for example the RASG-PA, inasmuch as a RASG is understood to be based of full and equal cooperation between States and industry.

2.10 As regards additional mandates, once again there is no direct relationship or sufficient grounds for assigning to RASGs tasks involving mediation with respect to bilateral or multilateral agreements or the identification of security, environmental or other economic issues of air transport with their own resources. The resources available to the RASG are limited and are shared between States and the industry; the understanding is that a RASG should decide how to use its available resources on the basis of its own considerations, not because of some requirement laid down in a standard terms of reference.

2.11 Accordingly, a convincing case has not been made for why no suggestions and recommendations have been presented that would leave it to each RASG to decide how best to conduct its work processes in accordance with the specific characteristics of its region.

### 3. CONCLUSION

3.1 The operation of the PIRGs and the RASGs in the world, with a palpable example in the SAM Region, demonstrates the major impetus that has been given to regional planning, allowing for the effective fusion of the top-down approach involving guidance at the international level and harmonization at the regional level, and a bottom-up approach based on the national planning of States.

3.2 The support of the ICAO regional offices for these initiatives is essential and critical if States are to be able to carry out their responsibilities for aviation safety and air navigation; such support is becoming the cornerstone of coordination aimed at promoting the collaborative and proactive efforts of all stakeholders. Thus, States, regional organizations and the industry as a whole should be encouraged to participate actively and with commitment in the work of the PIRG, the RASG and their respective contributors.

3.3 Consequently, on the basis of this analysis, it is proposed that the proposed terms of reference should be taken as non-binding examples in the case of both the PIRG and the RASG, so that the regional groups will have a clear and sufficiently flexible mandate to conduct their processes in accordance with the realities of their region with the aim of efficiently and effectively supporting the implementation of the provisions of the Global Plans GANP and GASP.