

14th STEERING COMMITTEE MEETING**Discussion Paper 2****Programme Progress Report*****(Presented by the CTA)*****SUMMARY**

The purpose of this paper is to outline the progress made to achieve programme objectives as stated in the COSCAP-NA Programme Document and other additional objectives approved at the 1st through 13th Steering Committee Meetings.

A Summary of Event Participation since the inception of COSCAP-NA is provided in Appendix A. The Detailed Course participation information for 2013 and to mid-2014 is provided in Appendix B and a Summary Report of On-site Missions & Regional Events is provided in Appendix C.

1 Background

1.1 At the 1st Steering Committee Meeting conducted in Beijing, China on the 8th and 9th of April 2003, the priorities for the programme were established and at subsequent meetings priorities were reviewed and amended as required.

The assignment of priorities was based on the following criteria:

- 1) **High** - Work to achieve the objectives will be continuous.
- 2) **Medium** - Work to achieve the objectives will be carried out as time permits.
- 3) **Low** - Little or no work will be carried out to achieve the objectives.

After review of this report decisions may be made whether priorities require further amendment.

Note:

CTA comments on the objectives/outputs are in bold italics.

2 Discussion of IMMEDIATE OBJECTIVES and OUTPUTS

Since Phase III is, in some respects, a continuation of Phase II, the immediate objectives, outputs and activities of the earlier Phase II of the Programme with the addition of **Immediate Objective 6 (Phase III)** *States have implemented an SSP commensurate with the size and complexity of the State's aviation system*, are included herein albeit sometimes in a modified form to reflect Phase III considerations. The implementation status and the aspects that continue to be relevant in Phase III are shown in bold letters under each item.

2.1 Immediate Objective 1

Ensuring that safety oversight capabilities of Member States meet international requirements and that the deficiencies identified by the ICAO Universal Safety Oversight (USOAP) Audit Reports have been fully corrected.

Output 1.1

Action Plans, where needed, for correcting outstanding deficiencies, are prepared and implemented as appropriate.

Output 1.2

In response to ICAO's new USOAP Continuous Monitoring Approach, review States' implementation of SARPs and related safety oversight programmes; provide technical assistance to rectify deficiencies noted and engage suitable short-term experts as required by Member States.

Steering Committee Priority – **High**

The main activity of the CTA, which until 2010 had been working with Member States to assist the review on implementation of SARPs in preparation of USOAP audits, has shifted to execution of corrective action plans, and supporting the implementation of the Safety Management System (SMS) and State Safety Programme (SSP).

Update for 14th SCM

In 2013, missions to DPRK and Mongolia focused on the Continuous Monitoring Approach (CMA) On Line Framework (OLF) activities including but not limited to the updating of CAPs, completion of the respective State Aviation Activity Questionnaire (SAAQs) and updating information in the EFoD system. In addition, CMA OLF training was conducted on separate occasions in the COSCAP-NA Office in Beijing with participants from DPRK and Mongolia. The Corrective Action Plans (CAP) for DPRK and Mongolia were updated in their entirety during 2013.

2.2 Immediate Objective 2

Establishing a dedicated forum for coordination and cooperation among the Civil Aviation Authorities of Member States, with the aim of the harmonization of regulations, policies and procedures related to safety oversight, improving safety standards, and applying accident prevention measures.

Output 2.1

The Steering Committee of the COSCAP-NA project, formally established by the project, will have become the forum for flight safety in North Asian states. Given the maturity of the regulatory framework of the COSCAP-NA member States, harmonization initiatives will focus on new ICAO requirements as they are implemented.

Steering Committee Priority LOW except for Foreign Air Operator Regulation – **High**

Major initiatives towards harmonization of regulations were assigned a **LOW** priority at the 1st SC Meeting. However, to assist the development of a harmonization mechanism within COSCAP-NA, harmonization of Foreign Air Operator Regulation (technical draft) was undertaken by COSCAP-NA as a trial and assigned a **HIGH** Priority. At the 2nd COSCAP-NA SC Meeting approval in principle was provided to the Foreign Air Operator Regulation and Manual of Foreign Air Operator Regulation and Surveillance. These documents were forwarded to Member States on 24 December 2003. To support State implementation of Annex revisions related to Foreign Air Operator validation and surveillance, the Asia Region COSCAPs, with support from ICAO, the FAA and EASA, have developed model regulations, model procedures manual and associated training course. This material was refined at a workshop in February 2009 involving the COSCAPs, Australia, ICAO, FAA and EASA and experienced Inspectors from a number of States and is available to Members upon request. Additional guidance is provided in *ICAO Doc 8335 Manual of Procedures for Operations Inspection, Certification and Continuing Surveillance – Fifth Edition*.

Update for 14th SCM

COSCAP-NA will provide further courses, workshops and support in Member States on request.

Output 2.2

A North Asia Regional Aviation Safety Team (NARAST), as proposed by the ICAO Assembly in 1998, for recommending accident prevention interventions in the Member States, is established under the project. In Phase III and beyond with the evolution of the RASG/APRAST forums, NARAST will play a significant role both in participation and as an important forum for the exchange of technical information.

Steering Committee Priority – **High**

Following decisions of the 8th Steering Committee Meeting, the NARAST evolved during 2008 to form the combined Asian Regional Aviation Safety Team (ARAST). Fifteen meetings of NARAST have now been completed, plus 4 of the combined ARAST and implementation of recommendations is ongoing once these are approved by the Steering Committee.

Update for 14th SCM

The results of these meetings will be reviewed in detail under DP3 –Safety Team Reports and Proposed Actions.

2.3 Immediate Objective 3

Establishment of a systematic programme for the inspection of air operators and maintenance organizations in Member States where Civil Aviation Authorities currently lack the capability to do so independently.

Output 3.1

Systematic surveillance, inspection and certification capability of air operators and maintenance organizations established in Member States that lack such capability.

Steering Committee Priority – **High**

Member States needs in this area vary considerably. During regular missions to States, the CTA provides required guidance material that is available from material developed by the COSCAP programme. The 2nd COSCAP-NA Steering Committee Meeting established the process for On-Job-Training (OJT) that could be provided at the request of Member States.

In States where most of the classroom training has been completed, a programme of OJT has been established based on needs. During the programme, specialist and joint inspections of air operators have been conducted to permit best practices exchange between COSCAP-NA and National Inspectors.

Update for 14th SCM

In 2013 COSCAP-NA in coordination with ICAO delivered Airworthiness Workshops in Beijing and Seoul focusing on the new ICAO Airworthiness Manual Doc 9760. An Airworthiness Engineering Workshop was developed by an Airworthiness Inspector from the Civil Aviation Authority of Mongolia who was working on a COSCAP-NA Internship and was delivered in Mongolia and DPRK. COSCAP-NA will provide further courses, workshops and support in Member States on request.

2.4 Immediate Objective 4

Safety oversight inspectors and technical personnel in North Asian Member States are qualified and sufficient for undertaking surveillance, inspection, testing, certification and regulation of flight operations, airworthiness and personnel licensing through recruitment and training.

Output 4.1

The required number of safety oversight inspectors and technical personnel in the Civil Aviation Authorities of Member States are recruited, trained and qualified to undertake fully the tasks required of them. In Phase III, ongoing support (initial and recurrent training) to States will be required to address the scope of expansion of the USOAP CMA.

Steering Committee Priority – **High**

At the 1st COSCAP-NA Steering Committee Meeting a programme of required training was approved by the Steering Committee. Based on the needs of each Member State, COSCAP-NA has conducted specific training.

Donor organizations continue to provide training in support of the COSCAP programme. Boeing supported the delivery of Designated Check Pilot courses in Mongolia in 2007, China in 2009 and again in Mongolia in 2010. In addition, Boeing supported a Ground Icing Course in Mongolia and delivered a Flight Operations Symposium in both Beijing and Bangkok. The NATS United Kingdom provided an ATM SMS Implementation Seminar in Bangkok, Thailand with the support of the COSCAP programmes. ENAC sponsored PBN training in Beijing in December 2007, Flight Safety Foundation and AAPA provided a Ground Accident Prevention Seminar in Beijing in March 2008. Between May 2008 and February 2009 the EC Joint Research Commission and the BEA jointly provided ECCAIRS training in Bangkok.

Transport Canada released a specialist who provided Initial and Recurrent Dangerous Good Safety Oversight Course in Bangkok and Beijing in January 2013 and early 2014 which was supported by Airbus and Boeing.

Update for 14th SCM

COSCAP delivered 11 courses/workshops following April 1, 2013, including 1 in China, 5 in DPRK, 4 in Mongolia, and 1 in the Republic of Korea.

In 2014 COSCAP has delivered up until June 1, 5 courses/workshops: 1 in China, 3 in Mongolia and 2 in ROK. An Auditing Technique for Regulators Workshop will be delivered in Ulaanbaatar, Mongolia in early June 2014. More workshops/courses are in the planning stage for 2014.

Member States are encouraged to view available training options at the ROK-ICAO Fellowship Training Programme: <http://www.korea-ftp.org/> and the Singapore Aviation Academy: <http://www.saa.com.sg/saa/en/index.html>

2.5 Immediate Objective 5 (Phase I)

Establishment of aerodrome certification capability and related management system in Member States.

Output 5.1

Harmonized aerodrome certification regulations and procedures will have been developed and adopted by the Member States.

Output 5.2

The capability and effectiveness of regulatory authorities and airport operators in airport safety will have been enhanced by the development of Aerodrome Manuals and establishment of SMS.

Steering Committee Priority – High

During missions to States aerodrome experts have conducted or assisted States with training, including On-Job-Training, of Aerodrome Safety Inspectors. In addition, experts provided or reviewed aviation legislation requirements for certification, provided Model Regulations, produced State-specific aerodrome standards, produced a Manual of Aerodrome Certification Procedures for guidance of regulatory staff and provided Generic Aerodrome Manual for adoption by aerodrome operators. Additional short term assistance was provided to some States to assist with their USOAP preparations. The CAAC also directly supported DPRK preparations in the area of Aerodrome Safety oversight. The Regional Aerodrome Expert from COSCAP-SA provided support to the DPRK 13 to 17 December 2010 and again 22-26, October 2012.

Update for 14th SCM

Dr. Punya Shakya Regional Aerodrome Expert from COSCAP-SA will deliver a Workshop on Aerodrome Design ICAO Document 9157 Chapter 3 – Pavement June 2-6, 2014. Members requiring assistance with implementation of Runway Safety Teams (RST) are requested to contact the CTA.

2.5.1 Immediate Objective 5 (Phase II/Phase III)

Member States have established effective Safety Management Systems in the area of Aircraft Operations, Aerodromes and Air Traffic Management.

Output 5.1 (Phase II/III)

Regulations, standards and guidance material have been developed by Member States to implement ICAO SARPs requiring air operators and service providers to implement Safety Management Systems.

Output 5.2 (Phase II/III)

Training programmes, seminars and evaluations are conducted to assist CAAs, air operators and service providers with the implementation of Safety Management Systems.

Steering Committee Priority – **High**

Numerous training and SMS support activities have been delivered for the support of Member States during Phase I and II of the programme. Demand for support to Member States for the implementation of safety management systems as part of a SSP is increasing, with the focus shifting from concepts and foundation training to implementation strategy and oversight programme development.

Update for 14th SCM

During 2013 missions to DPRK and Mongolia, the CTA provided support in the area of SMS for air operators. In addition, a workshop was delivered in Beijing on “Safety Performance Measurements” for regulators and service providers. A Hazard Identification and Risk Management (HIRM) Workshop was delivered in Ulaanbaatar. HIRM Workshops are planned for DPRK, ROK and China in 2014.

2.6 Immediate Objective 6 (Phase III)

States have implemented an SSP commensurate with the size and complexity of the State’s aviation system.

Output 6.1

Training programmes, seminars and evaluations are conducted to assist CAAs with the development of and implementation of State Safety Programmes.

Output 6.2

States have completed a gap analysis, in order to ascertain the existence and status of maturity within the State of the components and elements of an SSP thereby promoting the development and implementation of an SSP that combines elements of both prescriptive and performance-based approaches to the management of safety.

Output 6.3

States have developed an SSP Implementation Plan that describes how a State will put in practice, in a sequential, principled manner, the processes, procedures and means that will allow the State to discharge its responsibilities associated with the management of safety in civil aviation.

Steering Committee Priority – **High**

In support of the implementation of the Global Aviation Safety Plan (GASP) and the ICAO SSP, in 2009 and 2010 the Asian Region COSCAPs through the ARAST undertook a systematic review of the best practices in the first 5 focus areas and identified specific actions. The review concluded that the implementation of the SSP will fully address the best practices of the GASP.

At the 4th ARAST (February 2011) members proposed that COSCAP SSP support efforts focus on ICAO SSP elements *1.4 Enforcement Policy, 2.2 Agreement on Service Provider Performance, 3.1 Oversight and 3.2 Safety Data Collection, Analysis and Exchange.*

Update for 14th SCM

During 2013 missions to DPRK and Mongolia, the CTA provided support in the area of SSP development. In addition, workshops were delivered in Beijing and Seoul on “Safety Performance Measurements”. The Beijing workshop was supported by Airbus.

In early 2014 a workshop on Safety Performance Measurements was delivered in Ulaanbaatar by the CTA followed by a workshop on HIRM. HIRM Workshops are planned for DPRK, ROK and China in 2014.

3 Air Traffic Services

At the 1st COSCAP North Asia Steering Committee Meeting Member States strongly supported a role for COSCAP-NA to assist States with their preparations for USOAP audit of Annex 11 – Air Traffic Services and related guidance material (*subject to the availability of funding).

Steering Committee Priority – **High**

Airbus and Boeing supported the engagement of Air Traffic Services (ATS) and Air Traffic Management (ATM) experts to assess compliance with Annex 11 SARPs and provide assistance to Members concerning implementation of ICAO SARPs and assist in the establishment of ATM Safety Management programmes. The ICAO Regional Officer ATM provided assistance to Mongolia to support their radar implementation project and reviewed preparations for the transition to radar surveillance.

The 9th COSCAP-NA Steering Committee meeting extended the programme to include Air Navigation Services (ANS).

Update for 14th SCM

The CTA organized the delivery of a SMS/Human Factors for ATC Workshop in Ulaanbaatar, Mongolia in December 2013. The CTA continues to discuss with COSCAP-NA members their

priorities in this area during regular missions and subject to the availability of expertise and funding will make the necessary arrangements for training in cooperation with the ICAO Regional Office and Regional Sub-Office.

4 Action of the Meeting

The Steering Committee is invited to:

- 4.1 Comment on the nature of the work completed; and,
- 4.2 Confirm or revise programme priorities.

Summary of Training for COSCAP-NA

Appendix A

YEAR	CHINA		ROK		MONGOLIA		DPRK		TOTAL	
	CAA	IND	CAA	IND	CAA	IND	CAA	IND	CAA	IND
2003	29	127	24	13	34	40	20	6	107	186
2004	219	107	105	66	44	121	68	42	436	336
2005	213	333	73	103	26	63	25	9	337	508
2006	211	146	32	15	62	59	41	22	346	242
2007	128	109	30	4	26	54	0	0	184	167
2008	247	262	1	4	28	30	23	18	299	314
2009	123	97	50	93	53	55	92	46	318	291
2010	93	2	56	34	38	21	46	23	233	80
2011	15	42	293	175	34	3	32	16	374	236
2012	41	0	48	99	61	20	71	9	221	128
2013	138	24	127	32	88	84	66	34	419	174
2014	18	0	32	53	66	32	3	0	119	85
2015									0	0
2016									0	0
2017									0	0
2018									0	0
TOTAL	1479	1249	839	638	495	550	487	225	3393	2747

CAA: 3393
 IND: 2747
 TOTAL: 6140
 Course
 No. 189

NOTE:

1. #COSCAP Staff not included in total
2. All Courses/Seminars/Workshops included up to June 2014

S.No	COURSE	LOCATION	DATE	CHINA		ROK		MONGOLIA		DPRK		TOTAL
				CAA	IND	CAA	IND	CAA	IND	CAA	IND	
1	AIS Training	UB, Mongolia	7-11 January 2013					6		2		8
2	DG Recurrent Training	Beijing, China	14-18 January 2013	20						2		22
3	Aerodrome Workshop	Bangkok, Thailand	30 Jan - 1 Feb 2013			2						2
4	CMA Course	Bangkok, Thailand	26-28 Feb 2013	2		7		2				11
5	SSP Workshop	UB, Mongolia	18-22 March 2013					16	8			24
6	AIR Seminar	Seoul, ROK	2-4 April 2013			102						102
7	AIR Seminar	Beijing, China	9-11 April 2013	47								47
8	Performance Measurement Course	Seoul, ROK	14-16 May 2013			16	32		2			50
9	Evolution of Aviation Safety Workshop for CAAM	Bangkok, Thailand	27-28 May 2013					5				5
10	Airworthiness Engineering Workshop	UB, Mongolia	3-5 July 2013					3	19			22
11	Aircraft Leasing and Introduction into Service New Aircraft	Pyongyang, DPRK	19 August							12	7	19
12	Performance Measurement Course	Pyongyang, DPRK	20-23 August 2013							14	15	29
13	Airworthiness Engineering Workshop	Pyongyang, DPRK	11-16 August 2013							5	3	8
14	Winter Aircraft Operations Seminar	UB, Mongolia	20 September 2013						55			55
15	Jet Upset Training	Pyongyang, DPRK	14-Oct-13							12	7	19
16	ALAR Training	Pyongyang, DPRK	15-16 October							19	2	21
17	Safety Performance Measurements Workshop	Beijing, China	23-25 October	69	24							93

18	SMS and Human Factors for ATC Workshop	Ulaanbaatar, Mongolia	2-5 December					56				56
	Total:			138	24	127	32	88	84	66	34	593

COSCAP-NA DETAILED TRAINING COURSES 2013	CAA: CIVIAL AVIATION AUTHORITY 419	IND: INDUSTRY 174
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COSCAP-NA Detailed Training/Workshops for June 1, 2014

S.No	COURSE	LOCATION	DATE	CHINA		ROK		MONGOLIA		DPRK		TOTAL
				CAA	IND	CAA	IND	CAA	IND	CAA	IND	
1	DG Recurrent Training	Beijing, China	20-25 January	18				1		3		22
2	Safety Performance Measures	Ulaanbaatar, Mongolia	17-19, February					41	18			59
3	Hazard Identification and Risk Management	Ulaanbaatar, Mongolia	24-26 March					24	14			38
4	Basic SMS	Seoul, ROK	16-17 April			17	53					70
5	Performance Based Safety Oversight	Seoul, ROK	18 April			15						15
6												0
	Total:			18	0	32	53	66	32	3	0	204

CAA: CIVIAL AVIATION AUTHORITY	119	IND: INDUSTRY	85
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Bangkok 2013

3rd APRAST Bangkok, Thailand May 7-10 – Facilitator for CFIT WG

Kuala Lumpur, Malaysia 2013

Regional Runway Safety Symposium Nov 16-21 – CTA was a Panel Moderator

Manila, Philippines 2014

4th APRAST Manila, Philippines April 22-25, 2014 – Facilitator for CFIT WG

15th NARAST Manila, Philippines April 25, 2014 – Chaired meeting of COSCAP-NA 15th NARAST meeting

China 2013

DG Recurrent Training delivered by DG Expert – Recurrent Training on Technical Instructions and Safety Oversight
Beijing, China 14-18 January

AIR Seminar delivered by ICAO Montreal Beijing, China 9-11 April

Foreign Air Operator (FAO) Workshop – delivered presentation FAO Oversight Shijiazhuang, China 06-8 June

Safety Performance Measurements – delivered by contracted expert - Beijing, China 23-25 Oct

2014

DG Recurrent Training - Training delivered by DG Expert – Recurrent Training on Technical Instructions and Safety Oversight Beijing, China 20-25 January 2014

DPRK

2013

Engineering for Airworthiness – delivered by CAAM Airworthiness Intern Pyongyang, DPRK 12-13 Aug

Aircraft Leasing and Introduction into Service New Aircraft - CTA Pyongyang, DPRK 22 August

Performance Measurements - CTA Pyongyang, DPRK 19-21 Aug

Jet Upset - CTA Pyongyang, DPRK 14-15 October

ALAR - CTA Pyongyang, DPRK 16-17 October

CMA Updating - CTA Pyongyang, DPRK 18 October

Mongolia

2013

Evolution of Aviation Safety Workshop – delivered by CTA Bangkok, Thailand 27-28 May

Engineering for Airworthiness – delivered by CAAM Airworthiness Intern Ulaanbaatar, Mongolia 1-6 July

Continuous Monitoring Approach (CMA); Performance Based Navigation (PBN); Winter Operations – delivered by CTA Ulaanbaatar, Mongolia 16-20 September

Mongolia General Aviation Association Forum – CTA delivered presentation on ICAO requirements for General Aviation Ulaanbaatar, Mongolia 14 Sept

CMA Tools Updating – facilitated by CTA Ulaanbaatar, Mongolia 4-14 Nov

SMS and Human Factors for ATC Training – delivered by ATC expert from Manila DCA Ulaanbaatar, Mongolia Dec 2-6

2014

Safety Performance Measurement Workshop - CMA Updating – delivered by CTA

Ulaanbaatar, Mongolia 17-21 February

Hazard Identification and Risk Management Workshop and SSP Consultation

Ulaanbaatar, Mongolia 24-26 March

COSCAP-NA Programme Initiatives 2014-15

APPENDIX C

ROK

2013

Safety Performance Measurements Seoul, ROK 14-16 May

2014

Basic SMS Workshop Seoul, ROK 16-17 April

Performance Based Oversight Gimpo, ROK 18 April