

15th 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 14th 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 2014 and to May 2015 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 15th SCM

In 2014/15, missions to DPRK and Mongolia continued to focus on the Continuous Monitoring Approach (CMA) On Line Framework (OLF) activities including but not limited to the updating of CAPs, SAAQs and information in the EFoD system. The Corrective Action Plans (CAP) for DPRK and Mongolia were updated during early 2015 missions including the addition of evidence and the beginning of self-assessment of the new PQs.

CMA OLF support is available on regular CTA missions.

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 15th SCM

A Foreign Air Operator Approval Workshop was held in DPRK during a 2014 Mission by the CTA. Foreign Air Operator Surveillance Database (FAOSD) Familiarization Training was provided to CAAM Foreign Air Operators Inspectors during a mission in 2014 and GACA Inspectors in April 2015. In addition a presentation on the FAOSD was made by the CTA to the CAAC East Foreign Air Operator Meeting in Nanjing, China in 2014. COSCAP-NA will provide courses, workshops, etc. 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 15th 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. 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.

Update for 15th SCM

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, 2014 and 2015 which have been supported by Airbus and Boeing.

Update for 15th SCM

COSCAP delivered 14 courses/workshops/presentations, etc. following the 14th COSCAP-NA Steering Committee Meeting in Mongolia up to May 7, 2015 including 3 in China, 4 in DPRK, 5 in Mongolia, and 2 in the Republic of Korea.

The CTA supported COSCAP-SA with a mission to Colombo Sri Lanka to facilitate an SSP Workshop and support COSCAP-SEA with a HIRM Workshop in Macau, China.

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 15th SCM

Ms. Qizhen Hou from the School of Aeronautical Automation, Civil Aviation University of China delivered a Workshop on Aerodrome Design ICAO Document 9157 Chapter 5 – Electrical Systems 27-31 October 2014 in DPRK.

Members requiring assistance with implementation/maintenance 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 15th SCM

During 2014 experts Drs. Li Tong and Yang Jiang delivered a 3 – day workshop on FRMS to the regulator and industry participants in Pyongyang, DPRK. In addition, a Hazard Identification and Risk Management (HIRM) Workshop was delivered in Pyongyang, DPRK. An SMS Workshop was delivered in Ulaanbaatar, Mongolia in November in conjunction with a workshop on Performance Based Oversight. The CTA facilitated a two day Flight Data Analysis Workshop in November and a Go Around Panel during the 4th Safety Seminar for Regulators and Operators in December in Seoul, ROK.

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 15th SCM

During 2014/15 missions to DPRK and Mongolia, the CTA provided support in the area of SSP development and implementation including Gap Analysis, planning and drafting any required regulations.

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 15th SCM

The CTA continues to consult with COSCAP-NA members on 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.

YEAR	CHINA		ROK		MONGOLIA		DPRK		TOTAL		CAA:	3733
	CAA	IND	CAA	IND	CAA	IND	CAA	IND	CAA	IND	IND:	2888
2003	29	127	24	13	34	40	20	6	107	186	TOTAL:	6621
2004	219	107	105	66	44	121	68	42	436	336	Course No.	217
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	121	20	127	25	32	84	35	25	315	154		
2014	36	0	300	96	121	118	81	14	538	228		
2015	25	53					20		45	53		
2016									0	0		
2017									0	0		
2018									0	0		
TOTAL	1501	1298	1139	727	559	668	554	230	3753	2923		

NOTE:

1. #COSCAP Staff not included in total
2. All Courses/Seminars/Workshops included up to May 1, 2015

S.No	COURSE	LOCATION	DATE 2014	CHINA		ROK		MONGOLIA		DPRK		TOTAL
				CAA	IND	CAA	IND	CAA	IND	CAA	IND	
1	DG Recurrent Course	Beijing, China	20-15 Jan	36						3		39
2	Safety Performance Measurements Workshop	UB, Mongolia	18-20 Feb					40	19			59
3	Hazard Identification and Risk Management	UB, Mongolia	24-28 March					34	6			40
4	Aerodrome Pavement	Pyongyang, DPRK	2-6 June							24		24
5	Auditing Techniques for Regulators Workshop	UB, Mongolia	10-13 June					18	30			48
6	SMS and Performance Based Oversight	Seoul, ROK	15-18 April			28	15					43
7	HIRM, SSP and CMA updating	Pyongyang, DPRK	June 28 - July 5							16	4	20
8	Cabin Safety Workshop	Singapore	23-25 July			1						1
9	SMS and FRMS Workshop	Pyongyang, DPRK	11-15 August							14	10	24
10	SSP Workshop	Ulaanbaatar, Mongolia	18-22 August					21				21
11	Aircraft Ground Icing Seminar	Ulaanbaatar, Mongolia	22-24 September					8	63			71
12	Aerodrome Electrical Systems	Pyongyang, DPRK	27-31 October							24		24
13	Flight Data Analysis Workshop	Seoul, ROK	12-13 November			21	31					52
14	Safety Seminar-Go Around Forum	Seoul, ROK	1-2 December			250	50					300
	Total:			36	0	300	96	121	118	81	14	766
COSCAP-NA DETAILED TRAINING COURSES 2014		CAA: CIVIL AVIATION AUTHORITY 538		IND: INDUSTRY 228								

COSCAP-NA 2015 Detailed Training/Workshops up to May 1, 2015

S.No	COURSE	LOCATION	DATE	CHINA		ROK		MONGOLIA		DPRK		TOTAL
				CAA	IND	CAA	IND	CAA	IND	CAA	IND	
1	DG Recurrent Training	Beijing, China	12 - 16 January	25	18							43
2	LOSA – China Eastern Airlines	Shanghai, China	1-2 April		35							35
3	SSP/SMS Implementation Support; CMA Updating; FAOSD Familiarization	Pyongyang, DPRK	27 April - 1 May							20		20
4												
5												
6												
	Total:			25	53					20		98

CAA: CIVIAL AVIATION AUTHORITY	45	IND: INDUSTRY	53
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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

Bangkok, Thailand 2014

5th APRAST Bangkok Thailand September 16-20, 2014

16th NARAST Bangkok, Thailand September 20, 2014

Bangkok, Thailand 2015

6th APRAST Bangkok, Thailand April 6-10, 2015

17th NARAST Bangkok, Thailand April 10, 2015

ICAO Montreal, Canada 2014

CTA Training 6-11 October

Colombo Sri Lanka 2014

SSP Workshop 15-19 December

Macau, China 2015

HIRM Workshop – May 5-7, 2015

China

2014

- DG Recurrent Training delivered by DG Expert – Recurrent Training on Technical Instructions and Safety Oversight Beijing, China 14-18 January
- Foreign Air Operator Meeting Nanjing, China 11 December

2015

- *DG Recurrent Training - Training delivered by DG Expert – Recurrent Training on Technical Instructions and Safety Oversight Beijing, China 12-17 January 2015*
- *LOSA 1-2 April – presentation to China Eastern Airlines*

DPRK

2014

- Aerodrome Pavement Workshop – delivered by contracted expert Dr. Punya Shakya 2-6 June
- Hazard Identification and Risk management (HIRM) Workshop; State Safety Programme development support and Continuous Monitoring Approach update support 28 June to 5 July
- Foreign Air Operator approval; Approved Training Organization approval process (ATO); Fatigues Risk Management System Workshop – delivered by contracted experts from China 11-15 August June
- Aerodrome Electrical Systems Workshop – delivered by contracted expert Ms. Qizhen Hou 27-31 October

2015

- *CMA/SSP/FAOSD familiarization support 27 April - 1 May*

Mongolia

2014

- Safety Performance Measurement Workshop - CMA Updating – delivered by CTA 17-21 February
- Hazard Identification and Risk Management Workshop and SSP Consultation 24-26 March
- Auditing Techniques for Regulators 10-13 June
- 14th COSCAP-NA Steering Committee Meeting 18-20 June
- SSP/CMA Support; SSP GAP Analysis; SSP Implementation Planning 17-23 August

Summary Report of On-site Missions & Regional Events - 2014-2015

APPENDIX C

- Aircraft Ground Icing Seminar 22-24 September 2014
- FAOSD Familiarization; SMS Regulation Drafting; Performance Based Oversight 23-28 November

2015

- *PBN Stakeholder Meeting 27-30 January 2015*
- *CMA/ICAO USOAP Audit CAP Follow Up/SAAQ Support 2-6 March 2015*

ROK

2014

- Basic SMS Workshop 16-17 April
- Performance Based Oversight 18 April
- Flight Data Analysis Workshop 12-13 November
- 4th Safety Seminar – Go Around Forum 1-2 December

2015

- *SMS Assessment Support 9-16 February*