

17th STEERING COMMITTEE MEETING

Discussion Paper 2

Programme Progress Report

(Presented by Wayne Chapin)

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 16th 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 2016 and to May 2017 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 17th SCM

In 2016/2017, 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 the CAPs, SAAQs and information in the EFoD. The Corrective Action Plans (CAP) for DPRK and Mongolia were reviewed and updated accordingly with a focus on submitting evidence in support of the implementation of the CAPs. Self-assessment activities were reviewed and clarification provided where questions of interpretation of ICAO requirements were an issue.

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 17th SCM

COSCAP-NA will provide courses, workshop, etc. and support Member States upon 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 17th SCM

The results of the Safety Team meetings will be reviewed in detail under DPR3 – 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 COSCAPNA 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 17th SCM

A Generic Audit Procedures Workshop was delivered in DPRK to GACA and in Mongolia to CAAM Inspectors. 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 Workshop in Mongolia in 2014. 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. Airbus and Boeing have consistently supported COSCAP PBN activities including an Operational Approval Workshop in Beijing in 2015.

Transport Canada released a specialist who provided Initial and Recurrent Dangerous Good Safety Oversight Course in Bangkok and Beijing in January 2013, 2014, 2015 and 2016 which have been supported by Airbus and Boeing.

Update for 17th SCM

COSCAP delivered 9 workshops/courses/etc. following the 16th COSCAP_NA Steering Committee meeting in Pyongyang, DPRK up to May 1, 2017. This included 2 in China, 2 in DPRK and 2 in Mongolia and 3 in Bangkok, Thailand.

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 December 2010, October 2012 and again in June 2014. 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 in October 2014 in the DPRK.

Update for 17th SCM

During 2016 the CTA supported an aerodrome mission to Ulaanbaatar with the ICAO aerodrome expert Dr. Punya Shakya for the purposes of conducting a technical assessment of the new Ulaanbaatar International Airport for the CAAM.

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 17th SCM

A presentation was delivered by the CTA at an SMS Workshop for China Eastern Airlines as well as the Civil Aviation Management Institute of China. Support on SMS is upon request of Members.

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 17th SCM

In 2017 the CTA delivered an SSP Workshop in DPRK. The development and implementation of SSP in COSCAP-NA continues in Member States. The CTA will maintain support to Members as requested in the area of SSP development and implementation.

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 COSCAPNA Steering Committee meeting extended the programme to include Air Navigation Services (ANS).

Update for 17th SCM

The CTA will provide support in the area of ANS/ATM subject to the availability of funds and experts in coordination with the ICAO Regional Sub-Office in Beijing, China.

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														
YEAR	CHINA		ROK		MONGOLIA		DPRK		TOTAL		CAA: 4109	IND: 3012	TOTAL: 7121	Course No. 243
	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	121	20	127	25	32	84	35	25	315	154				
2014	36	0	300	96	121	118	81	14	538	228				
2015	37	59	80	0	60	0	77	3	254	62				
2016	7	25	7	2	87	27	10	5	111	59				
2017	0	21	1	0	14	0	22	0	36	21				
2018									0	0				
TOTAL	1520	1350	1227	729	720	695	642	238	4109	3012				

NOTE:

1. #COSCAP Staff not included in total
2. All Courses/Seminars/Workshops included up to May 1, 2017

COSCAP-NA Detailed Courses/Workshops 2016

Appendix B

S.No	COURSE	LOCATION	DATE	CHINA		ROK		MONGOLIA		DPRK		TOTAL
				CAA	IND	CAA	IND	CAA	IND	CAA	IND	
1	DG Training	Bangkok, Thailand	25-30 January 2016					2				2
2	Enforcement Manual Workshop	Ulaanbaatar, Mongolia	11-13 April 2016					29				29
3	Risk Assessment Workshop	Ulaanbaatar, Mongolia	13-14 April 2016					29				29
4	SMS, FAO, Human Factors , ICAO, Updates Lectures	Beijing, PRC	19-20 April 2016	7	25							32
5	ECCAIRS End User Course	Bangkok, Thailand	13-16 June 2016					1				1
6	Simulator Evaluation Workshop	Pyongyang, DPRK	20-22 July 2016							8	5	13
7	Cabin Safety Inspector Workshop	Bangkok, Thailand	15-19 Aug 2016				2					2
8	Flight Operations Safety Oversight Course	Bangkok, Thailand	22-26 Aug 2016			4						4
9	Aircraft Accident Investigation	Ulaanbaatar, Mongolia	6-8 Dec 2016			3		26	27	2		58
	Total:			7	25	7	2	87	27	10	5	170

CAA: CIVIAL AVIATION AUTHORITY

111 IND: INDUSTRY

59

Total

170

S.No	COURSE	LOCATION	DATE	CHINA		ROK		MONGOLIA		DPRK		TOTAL
				CAA	IND	CAA	IND	CAA	IND	CAA	IND	
1	DG Training	Bangkok, Thailand	Jan 16-21									0
2	Auditing Techniques and Practices for Aviation Safety Regulators	Bangkok, Thailand	Feb 6-10			1						1
3	Audit Procedures Workshop	Pyongyang, DPRK	Apr 10-14							21		21
4	Basic SMS	Beijing, China			21							21
5	Audit Procedures Workshop	Ulaanbaatar, Mongolia	Apr 24-28					14				14
6												0
7												0
8												0
9												0
10												0
11												0
12												0
13												0
												0
	Total:			0	21	1	0	14	0	21	0	57

CAA: CIVIAL AVIATION AUTHORITY

36 IND: INDUSTRY 21

Total

57

Bangkok, Thailand 2016

9th APRAST October 31 – November 4
State Safety Programme 7-11 November

Bangkok, Thailand 2017

Dangerous Goods Recurrent Training January 16-21
10th APRAST 22-26 May

Colombo, Sri Lanka

RASG/DGCA Conference 30 July - 6 August

Jakarta, Indonesia

Combined Action Team (CAT) 11-15 July

Manila, Philippines 2016

Combined Action Team (CAT) 26-30 September

Montreal, Canada 2016

Technical Assistance Officer Training 21-25 November

Yangon, Myanmar

Combined Action Team (CAT) 24-28 October

China

2016

20th NARAST 21 September

China Eastern Airlines – Safety Management Systems Workshop 13 September

Civil Aviation Management Institute of China (CAMIC) ICAO Updates 15 November

Civil Aviation Management Institute of China (CAMIC) Basic SMS and Foreign Operations 19 April

2017

21st NARAST 4 April

Civil Aviation Management Institute of China (CAMIC) Basic SMS and Foreign Operations 20 April

DPRK

2016

Simulator Evaluation Workshop 19-23 July

2017

Audit Procedures Workshop 10-14 April

Mongolia

2016

Aerodrome Assistance Mission 29 August - 2 September

Continuous Monitoring Approach/USOAP Audit CAP/Protocol Questions Review 17 – 20 October

COSCAP-NA Detailed Courses/Workshops 2017

Appendix C

USOAP Audit CAP Update 28 November - 16 December

Aircraft Accident Investigation Workshop 6 – 8 December

2017

Generic Auditing Procedures Workshop 24 -28 April

ROK

2016

2017