



ASSEMBLY — 38TH SESSION

TECHNICAL COMMISSION

Agenda Item 29: Aviation Safety - Monitoring and Analysis

CORRECTIVE ACTION PLAN OF VIET NAM TO ADDRESS THE USOAP AUDIT DEFICIENCIES AND THE MOVEMENT FROM COMPREHENSIVE SYSTEM APPROACH (CSA) TO CONTINUOUS MONITORING APPROACH (CMA)

(Presented by Viet Nam)

EXECUTIVE SUMMARY

This paper provides the action plan for the USOAP audit conducted from 24 to 28 October 2011, and the movement from Comprehensive System Approach (CSA) to Continuous Monitoring Approach (CMA).

| | |
|--------------------------------|--|
| <i>Strategic Objectives:</i> | This information paper relates to the Safety Strategic Objective. |
| <i>Financial implications:</i> | Not applicable. |
| <i>References:</i> | Doc 9735, <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i> |

1. INTRODUCTION

1.1 Background

1.1.1 Following successful implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) Comprehensive System Approach (CSA), the 37th Session of the Assembly (28 September — 8 October 2011) adopted Resolution A3 7-5, formalizing the evolution of the USOAP to a Continuous Monitoring Approach (CMA). The activities under the CMA framework include, among others, the ICAO Coordinated Validation Mission (ICVM).

1.1.2 A safety oversight audit of the civil aviation system of the Socialist Republic of Viet Nam, hereafter referred to as Viet Nam, was conducted from 10 to 18 December 2007 under the USOAP CSA. Accordingly, Viet Nam provided an action plan to ICAO, addressing the USOAP Findings and Recommendations (F&Rs) and outlining specific actions and deadlines for the correction of the deficiencies identified. On 12 October 2011, Viet Nam signed a Memorandum of Understanding (MOU) with ICAO regarding the USOAP CMA.

1.1.3 As provided for in the Memorandum of Understanding, Viet Nam also agreed to an ICVM, which was conducted from 24 to 28 October 2011. The mission evaluated the status of implementation of the latest corrective action plan (CAP) of the State on the USOAP F&Rs.

1.1.4 The mission was conducted in accordance with the guidelines and principles set forth in the third edition of the ICAO *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) as well as in conformity with the International Organization for Standardization (ISO) 9001:2008 series of quality management standards.

1.2 ICVM team composition

1.2.1 The ICVM team was composed of:

- a) Mr. Rick Kawaguchi, team leader, primary aviation legislation (LEG)/aircraft accident and incident investigation (AIG);
- b) Mr. Amal Hewawasam, team member, civil aviation organization (ORG)/airworthiness of aircraft (AIR), and
- c) Mr. Allan Tang, team member, personnel licensing (PEL)/aircraft operations (OPS).

1.2.2 The scope of the ICVM did not include the areas of aerodromes (AGA) and air navigation services (ANS). However, Mr. Leonard Wicks and Mr. Natarajan Chandra Sekhar observed the areas of ANS and AGA, respectively.

2. ICVM RESULTS

2.1 The USOAP audit of the civil aviation system of Viet Nam conducted in 2007 generated 92 findings, with 478 PQs found not satisfactory. The LEI of the eight critical elements (CEs) was 58 per cent.

2.2 The ICVM of Viet Nam was conducted from 24 to 28 October 2011. The ICVM team reviewed the progress in resolving 267 PQs in the areas of LEG, ORG, PEL, OPS, AIR and AIG. The status of 117 PQs was changed to satisfactory and that of 13 PQs changed to not applicable, which resulted in an updated LEI of 43.5 per cent.

3. CAAV CORRECTIVE ACTION PLAN

3.1 The Plan of Action is comprised of three phases: immediate, near and long term. In the immediate term, the acceptance by the State of the Plan of Action signifies CAAV strong commitment to resolving the SSCs.

3.2 In the near term, CAAV will focus on the implementation of the State's CAP in the areas of OPS and AIR, with particular emphasis on establishing an appropriate organizational structure, hiring and training qualified and experienced inspectorate staff (with a focus on the provision of the necessary on-the-job training to all inspectorate staff, which will have to be provided by qualified and experienced inspectors and over a sufficient period) and establishing and implementing comprehensive and detailed certification, surveillance and enforcement procedures.

3.3 In the long term, the Plan of Action will focus on regional cooperation; the enhancement of safety oversight; and increased safety data/information exchange with the relevant regional organizations and ICAO.

3.4 The effective implementation of this Plan of Action requires CAAV direct participation and involvement in all phases, including active monitoring of expected deliverables, taking into account the established target dates.

4. **MOVEMENT FROM COMPREHENSIVE SYSTEM APPROACH (CSA) TO CONTINUOUS MONITORING APPROACH (CMA)**

4.1 Viet Nam is a member of the COSCAP-SEA and therefore should, where possible, make use of the COSCAP-SEA in efforts to resolve the safety oversight deficiencies.

4.2 CAAV has cooperated with COSCAP-SEA from 10 to 13 September 2013 to review the corrective action plan regarding the USOAP audit in 2011 and making use of COSCAP-SEA expertise to upgrade our system from CSA to CMA.

5. **CONCLUSION**

5.1 In order to cope with challenges of civil aviation authorities (CAA) and service providers to put in place ICAO safety regulation and oversight mechanisms (SMS and ICAO SSP), CAAV has set up a group of safety experts combining the best skills and competences of its major domains of expertise: ATM, Aerodromes and Air Operations. The capitalization of more than 40 years of experiences has to allow us to supply the effort required for a continuous and effective support to States and service providers, having to deal with these new ICAO safety challenges.

5.2 For more information: hmtan@caa.gov.vn