



**COSCAP-NA INSTITUTIONAL FRAMEWORK AND
ADMINISTRATIVE PROCEDURES MANUAL**

Date:
Rev No.

**CO-OPERATIVE DEVELOPMENT OF OPERATIONAL SAFETY
AND CONTINUING AIRWORTHINESS PROGRAMME
NORTH ASIA**

**INSTITUTIONAL FRAMEWORK

AND

ADMINISTRATIVE PROCEDURES MANUAL**

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Signed

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ABBREVIATIONS

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ACSTE	Aerodrome Certification and Safety Training Expert
APRAST	Asia Pacific Regional Aviation Safety Team
ASFP	Agency Security Focal Point
ATS	Air Traffic Services
COSCAP-NA	Cooperative Development of Operational Safety and Continuing Airworthiness Programme- North Asia
CTA	Chief Technical Advisor
CMA	Continuous Monitoring Approach
EASA	European Aviation Safety Agency
FAA	Federal Aviation Administration
FOE	Flight Operations Expert
ICAO	International Civil Aviation Organization
ESSI	European Safety Strategy Initiative
MOU	Memorandum of Understanding
NARAST	North Asia Regional Aviation Safety Team
OJT	On-the-Job Training
PC	Programme Coordinator
PLE	Personnel Licensing Expert
RAI	Regional Airworthiness Inspector
RASG	Regional Aviation Safety Group
RFOI	Regional Flight Operations Inspector
SARPs	Standards and Recommended Practices
SC	Steering Committee
SCM	Steering Committee Meeting
TCB	Technical Co-operation Bureau (of ICAO)
UNDP	United Nations Development Programme

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SECTION A

INTRODUCTION

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SECTION A INTRODUCTION

A.1 General

A.1.1 The COSCAP-NA Institutional Framework and Administrative Procedures Manual (IFAPM) contains the policies and procedures of COSCAP-NA.

A.1.2 The COSCAP-NA Members are China, Democratic People's Republic of Korea (DPRK), Hong Kong China, Macao China, Mongolia, and Republic of Korea (hereinafter referred to as COSCAP-NA Members or as Programme Members).

A.1.3 The policies of COSCAP-NA Programme are decided by a Steering Committee (SC) which is its Governing Body. The Steering Committee is composed of the heads of civil aviation administrations of COSCAP-NA Members responsible for regulatory functions.

A.1.4 The administrative procedures described in this Manual are based on ICAO TCB guidelines and associated practices that have proven to be appropriate for the operation of this innovative programme.

A.1.5 Reference has been made in the Manual, where required, to relevant ICAO Technical Co-operation Bureau (ICAO/TCB) rules, manuals and instructions concerning field staff.

A.2 Identification and Classification of Contents


A.2.1 The format of this Manual will permit incorporation of amendments in the form of additions or deletions or substitution.

A.2.2 Contents are segregated by subject headings, reference serial number and date of issue.

A.3 Amendment Procedure for the Manual


A.3.1 Amendments to the Manual must be incorporated on the authority of the COSCAP-NA Steering Committee (SC). After each SC Meeting, the CTA will make the required amendments which will be approved by the Chairman COSCAP-NA. The subsequent amendment to the Manual will then be forwarded to Member. Any deviation from the established rules and administrative procedures of the ICAO Technical Cooperation Programme under which its services are provided will, however, require consultations with ICAO/TCB.

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SECTION B

COSCAP-NA AS A REGIONAL INSTITUTION

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SECTION B

COSCAP-NA REGIONAL INSTITUTION

B.1 COSCAP-NA as a Regional Institution

B.1.1 Background

B.1.1.1 The ICAO Assembly, by Resolution A29-13 - *Improvement of Safety Oversight*, recognized that many Contracting States may not have the regulatory framework or financial or technical resources to carry out the minimum requirements of the Chicago Convention and its Annexes. Having noted that many Contracting States might experience difficulty in carrying out their responsibilities under international law for safety oversight of air carrier operations, the Assembly called upon all contracting States to reaffirm their safety oversight obligations, to review their Safety oversight procedures to ensure effective implementation and, with respect to those States able to do so, to provide requesting States with assistance in the form of financial and technical resources to enable such States to carry out their responsibilities for Safety oversight of air carrier operations.


B.1.1.2 In June 1997, the Council of ICAO considered proposals by the Air Navigation Commission for the establishment of an ICAO Action Plan for Global Aviation Safety (GASP). In November 1997, the Directors General of Civil Aviation Conference endorsed the GASP. The 32nd Session of the Assembly, through Resolution A32-15: Global Aviation Safety Plan, urged all Contracting States to support its various elements and urged all Contracting States to provide the needed support for its various elements and encouraged States to foster regional and sub-regional safety groups, and to take measures to ensure that human resources in civil aviation obtain and maintain the appropriate level of competency.

B.1.1.3 By Resolution A33-16 – *ICAO Global Aviation Safety Plan*, the Assembly, *inter-alia*, urged the Contracting States to adopt the GASP objectives to reduce aircraft accidents and to reduce the worldwide accident rate.

B.1.1.4 The ICAO Assembly, by Resolution A32-11 – *Establishment of an ICAO Universal Safety Oversight Audit Programme (USOAP)* resolved that such a Programme be established comprising regular, mandatory, systematic and harmonized Safety audits, to be carried out by ICAO.

B.1.1.5 By Resolution A33-8 – *Continuation and Expansion of the ICAO Universal Safety Oversight Audit Programme*, the Assembly resolved, *inter-alia*, to expand the ICAO USOAP to Annex 11 – Air Traffic Services and Annex 14 – Aerodromes as of 2004.

B.1.1.6 By Resolution A33-9 – *Resolving deficiencies identified by the Universal Safety Oversight Audit Programme and encouraging quality assurance for technical cooperation Programmes*, the Assembly, *inter-alia*, requested the Secretary General to support, foster and facilitate the use of bilateral and multilateral agreements for Programmes between States and international or regional organizations.

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B.1.1.7 The Minister Administrator or Directors General of the North Asian States approved the Programme Document for the Cooperative Development of Operational Safety and Continuing Airworthiness Programme – North Asia Area (COSCAP-NA) with the intent to co-operate in strengthening their flight safety oversight capabilities in association with ICAO.

B.1.1.8 The Programme implementation commenced in February 2003 with the arrival of the PC in Beijing, China. At the first Steering Committee Meeting held in April 2003 at Beijing, the Programme objectives addressing the areas of flight safety, flight operations and airworthiness of aircraft were consolidated as follows:

- (a) Establishing North Asia Regional Aviation Safety Team (NARAST) under the umbrella of the Programme;
- (b) Professional development of inspectors;
- (c) Harmonisation of policies and procedures;
- (d) Supplemental inspections and surveillance assistance;
- (e) Coordination of Technical Assistance;
- (f) Implementation of ICAO SARPs; and
- (g) Preparation for USOAP CMA Continuous Monitoring Approach activities.

B.1.2 Justification for the Institutionalization of COSCAP-NA

- (i) The following factors need to be taken into account:
 - A need for assistance, to varying degrees, will arise in addressing the shortcomings identified through safety oversight audits conducted under ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach;
 - The advantages in the sharing of ‘best practices’ amongst Programme Members and utilization of the potential in some Members to assist others;
 - the continuation of NARAST established under the COSCAP-NA Programme appears essential, following ICAO Assembly Resolution A32-15: *ICAO Global Aviation Safety Plan (GASP)* in which States were *encouraged* to foster

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regional and sub-regional safety groups, and to take measures to ensure that human resources in civil aviation obtain and maintain an appropriate level of competency;

- the proven cost-effectiveness of regional cooperation in enhancing aviation safety, and
- there is expectation of continued regional cooperation on the part of the donor community whose contribution in cash and kind is crucial to the success of the Programme.

It is also relevant that through the implementation of the COSCAP-NA Programme:


- experience has been gained by a number of national experts in COSCAP-NA members whose expertise will henceforth be available for sharing in the region;
- the foundations have been laid, through training courses, workshops and other activities, for gradually increasing the ability of COSCAP-NA members to comply with new ICAO safety-related requirements laid down in new SARPS; the need for assistance from COSCAP-NA in this regard will continue to exist for the foreseeable future (e.g. for the implementation of the Safety Management Systems (SMS) concept and State Safety Programme (SSP).

These factors combined, support the institutionalization of the COSCAP-NA Programme

(ii) The “**Institutional Framework**” for COSCAP-NA duly approved on behalf of the Programme Members needs to provide the Programme with its own work programme, its own budget and its own core staff, but without being incorporated as a legal entity under international or national law. It is therefore a co-operative, unincorporated institution funded in cash partly through yearly contributions from Participating Members, partly through grants from third-party multilateral and bi-lateral donors and partly through special funds provided by Programme members requiring specific assistance. Additionally the Programme may receive contributions in kind from the donor community and also from some of the Programme Members.

(iii) It is considered that:

- generally the existing institutional structure is adequate to serve the objectives of the Programme and is not considered advisable to increase its complexity and costs, by e.g. setting it up as a formal international organization under a formal treaty or by incorporating it under national law, as these avenues are considered unnecessary and too costly;

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- in view, however, of the evolving needs of the Programme Members, coupled with the requirements of donors and following the evolution of other regional aviation safety organizations, it may be advisable from time to time to take into account the need for:


- change in Programme structure;
- change in funding structure; and
- harmonization of certain standards and procedures.

(iv) Some Programme Members are also in need of:

- assistance in carrying out certain functions, in particular, certification/recertification of air operators, of maintenance organizations, personnel licensing, aerodrome certification, ATS and airport safety management planning and implementation; and
- further enhancement of national safety oversight capabilities and expertise to implement new ICAO safety requirements laid down in SARPS through continuation of the existing Programme activities.

Therefore, a need exists for institutionalization of a mechanism for use by the international experts in the Programme and/or the personnel available in certain Members in carrying out specific tasks in other Members on a non-commercial cost-compensation basis, in the spirit of regional cooperation.

(v) The Institutional Framework is included in this Manual in Chapter B.2.

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B.2 Institutional Framework for the Cooperative Development of Operational Safety and Continuing Airworthiness Programme – North Asia (COSCAP-NA)

Article 1 Objectives

1.1 The development objective of COSCAP-NA is to contribute to the social and economic development of the participating Members by improving their capability to maintain suitable, harmonious and efficient airworthiness, flight operations, aerodrome, air traffic control and other safety-related regulatory systems subject to USOAP CMAs as per provisions contained in the Convention on International Civil Aviation.

1.2 The immediate objectives of COSCAP-NA are:

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

1.2.2 Establishing a dedicated forum for coordination and cooperation among the civil aviation authorities of Members, with the aim of the harmonization of regulations, policies and procedures related to safety oversight, improving safety standards and applying accident prevention measures.


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

1.2.4 Ensuring that safety oversight inspectors and technical personnel in North Asian Members are qualified and sufficient for undertaking surveillance, inspection, testing, certification and regulation of flight operations, airworthiness and personnel licensing through recruitment and training.


Article 2 Functions

2.1 The objectives stated in Article I will be achieved through undertaking tasks of common benefit to all COSCAP-NA Members. These tasks involve core services, on the one hand and services at request for the benefit of a Member or groups of Members, on the other hand; as follows:

- (i) **Core services:** Undertaking tasks for the common benefit of all COSCAP-NA Members:

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- (a) improving the proficiency of inspectors and other professional staff by participation in training workshops/seminars and courses as well as on-the-job training;
 - (b) developing, to the extent practicable, a harmonized regulatory framework based on ICAO SARPs and guidelines for aviation Safety oversight in the COSCAP-NA Members and at a pace to be determined by the Steering Committee;
 - (c) developing a set of standards, procedures manuals and other guidance material, and fostering their application;
 - (d) adapting accident prevention interventions in line with the Global Aviation Safety Plan (GASP);
 - (e) assisting in harmonized implementation of new SARPs;
 - (f) assisting in the implementation of the Regional Air Navigation Plan;
 - (g) mobilizing, with the assistance of ICAO, technical resources from stakeholders in aviation safety;
 - (h) organizing the meetings and activities of the North Asia Regional Aviation Safety Team;
 - (i) participating as an active Members in the Asia Pacific Regional Aviation Safety Team (APRAST), and
 - (j) undertaking any other common benefit task determined by the Steering Committee.
- (ii) **Services at request:** Undertaking tasks for the benefit of a Member or groups of Members, on “as requested” basis:
- (a) providing assistance in the implementation of regulations, standards, procedures manuals and other guidance material;
 - (b) execution of suitable safety oversight functions on behalf of COSCAP-NA members, such as annual safety inspections/audits, certification/recertification of air operators, maintenance organizations, airports and ATS systems, establishment and implementation of Safety Management Systems;
 - (c) assisting the inspectors in specific safety oversight tasks and providing them with on-the-job training;

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- (d) providing assistance in resolving safety-related deficiencies identified by ICAO USOAP CMA audits activities and providing quality assurance functions; and
- (e) any other specific tasks falling within the scope of the objectives of COSCAP-NA requested by a Programme Member or a group of Members and decided by the Steering Committee.

Article 3 Organs and Funding

3.1 The work and priorities of COSCAP-NA must be decided upon by the Steering Committee.


3.2 The COSCAP-NA Programme must be implemented by the Technical Co-operation Bureau of ICAO within the existing ICAO legal regime applicable to the ICAO Technical Cooperation Programme.

3.3 The core services listed in Article 2.1 above provided under the Programme must be funded primarily by the Members through annual contributions in accordance with a cost-sharing formula approved by the Steering Committee. The funds must be placed by ICAO in a Trust Fund account for the COSCAP-NA Programme.

3.4 Contributions in the form of grant funds and/or contributions in kind from external donors such as international organizations in the field of aviation or associated with it, regional organizations of States, individual donor States or administrations, aircraft or aircraft component manufacturers, airlines, airports, air navigation services providers, other members of aero-space industry and any other non-public sector stakeholders in aviation Safety accepted by the Programme Steering Committee for participation in the Programme will be welcomed. ICAO must enter as needed into agreements with the respective donors for the use of such grant funds, the conditions for which must be agreed between the specific donors and ICAO. These grant funds must be considered as supplemental resources, the primary source of funds being the contribution of the Programme Members themselves as indicated in 3.3 above.

3.5 The non-public sector stakeholders in aviation safety may be permitted as Programme donors by the Steering Committee (Refer Article 7) after satisfying itself on the background of such stakeholders and their compatibility with the COSCAP-NA Programme objectives defined in Article 1.

3.6 Members' annual contributions supplemented, as available, by donor funds for the general pool of the COSCAP-NA Trust Fund in ICAO will be used for common benefit functions defined in Article 2.1 (i).


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3.7 For functions described in Article 2.1 (ii), the CAAs, air operators, aircraft maintenance organizations, airport operators or the ATS service providers receiving the service must deposit the estimated cost of the service in the COSCAP-NA Trust Fund in ICAO; the service recipient may also request ICAO through the CAA to approach the donor community to contribute in full or in part to the service cost.

Article 4 COSCAP-NA Programme Management

4.1 The ICAO Technical Co-operation Bureau must provide the Services specified in the latest applicable revision of the COSCAP-NA Programme Document in accordance with established ICAO rules, policies, procedures and practices. In general, the Services must include:

- (a) Recruitment, contracting, fielding, and administration of the international and regional experts constituting core professional staff of the Programme;
- (b) Recruitment, contracting, fielding and administration of short-term international experts and such national experts from Programme Member (s) offered on non-commercial basis for deployment in other Programme Members for the provision of specific service;
- (c) Procurement of Programme equipment and specific equipment required by a Programme Member;
- (d) Arrangement and administration of fellowship training offered by donors or a Programme Member;
- (e) Maintenance and administration of Programme funds according to applicable ICAO regulations, rules, directives, procedures and practices;
- (f) Financial and budgetary control to ensure that Programme expenditures, obligations and commitments are within the limitation of the available funds;
- (g) Preparation and submission of periodic financial statements;
- (h) Technical back-stopping and support to the field personnel;
- (i) Preparation, or finalization of Working and Discussion Papers for submission to the Steering Committee Meeting;
- (j) Review and finalization of Programme reports;
- (k) Programme monitoring;

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(l) Other miscellaneous programme management functions; and

(m) Membership in the Steering Committee and participation in its meetings.

4.2 COSCAP-NA must hold ICAO, including its field staff, harmless with regard to any claims, demands or legal actions by third parties arising from or relating to the operation of COSCAP-NA.

4.3 Nothing set down in this Institutional Framework or related thereto must be considered as constituting renunciation of the privileges and immunities of ICAO, a specialized agency of the United Nations.

Article 5 Location

5.1 COSCAP-NA is based in Beijing, China; the Civil Aviation Administration of China provides administrative support to the Office.

Article 6 Operation

6.1 The core services of COSCAP-NA as defined in Article 2.1(i) must be provided by a core team of internationally and/ or regionally recruited safety oversight experts, supplemented, as required, by regionally or internationally recruited short term consultants. One of the core experts must be designated as the Chief Technical Advisor/Programme Coordinator (Qualifications and Duties contained in Appendix III).


6.2 Any specific service for the benefit of a Programme Member, groups of Programme Members, specific operator or service provider on “as requested” basis (as indicated in Article 2.1(ii), must be provided through deployment of additional international or regional experts in the Programme core team on cost recovery basis, or, through mobilization of such resources available in, and offered by any other Member(s) on non-commercial basis, as warranted.

6.3 Annual work plans must be prepared by the Chief Technical Advisor/Programme Coordinator in collaboration with Member Coordinators based upon the decisions taken and priorities determined by the Steering Committee, taking into account the immediate needs of the Programme Members and the available funds.

6.4 Programme Members will ensure full participation of their relevant national staff in the Programme activities.

Article 7 Governing Body – The Steering Committee

7.1 The Steering Committee must be composed of:

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- (a) Programme Members: the heads of civil aviation administration's responsible for regulatory functions, (Minister/Administrator or Directors General of Civil Aviation) or their designated representatives;
- (b) The Director, ICAO Technical Co-operation Bureau or his representative and ICAO Regional Director, Bangkok, or his representative; and
- (c) The Chief Technical Advisor/Programme Coordinator who will act also as the Secretary of the Steering Committee.

7.2 Donor Members, agencies, organizations and industry having made a financial contribution or contribution in kind would be recognized as "Partners" in the implementation of the Programme and invited to Steering Committee Meetings. Representatives from non-member States, agencies, organizations and industry with an interest in aviation safety issues in Asia may be invited to participate in meetings as observers.

7.3 The COSCAP-NA Steering Committee must meet, at least once a year at a venue and time agreed upon by the Programme Members.


7.4 The Steering Committee must:

- (a) Monitor and evaluate the Programme activities since the previous meeting;
- (b) Formulate policies and assign priorities for the activities of COSCAP-NA taking into account the requirements of this Institutional Framework, and the provisions of the current Phase of the COSCAP-NA Programme document and the availability of funds;
- (c) Review and approve the annual work programme and budget of COSCAP-NA; and
- (d) Review and direct the work of NARAST.

Article 8 Joining COSCAP-NA

8.1 Administrations in the North Asia sub-region or adjoining area would be eligible to join COSCAP-NA by submitting a request to the Steering Committee, which must decide on the matter at its next meeting. However, this must not preclude the Steering Committee from considering requests by other ICAO Member States to join COSCAP-NA.


Article 9 Amendments

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9.1 This Institutional Framework may be amended by the Steering Committee. Any amendment that may have impact on the established rules and administrative procedures of the ICAO Technical Cooperation Programme under which its services are provided will, however, require consultations with ICAO/TCB.

Article 10 Dissolution

10.1 COSCAP-NA must operate, and retain validity and effect until dissolved by the Steering Committee. Upon dissolution, disbursement of any funds remaining in the Trust Fund account of the COSCAP-NA after liquidation of all obligations and commitments entered into by ICAO must be made in accordance with the principles to be established by the Steering Committee.

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B.3 North Asia Regional Aviation Team (NARAST)

B.3.1 Formation of NARAST

NARAST was instituted under the umbrella of COSCAP-NA Programme in response to the ICAO Global Aviation Safety Plan (GASP) endorsed by the 33rd Assembly of ICAO which stresses the need for a reduction in the rate of fatal accidents in air transport operations.

NARAST work constitutes an important activity of the COSCAP-NA Programme.


In its formation, NARAST benefited from the experience of the US Federal Aviation Administration (FAA) and the European Aviation Safety Agency (EASA) and from the formation and work of the Commercial Aviation Safety Team (CAST) and the European Safety Strategy Initiative (ESSI). Both CAST and ESSI draw upon a broad base of experts from government agencies, airlines, manufacturers, aviation associations, labour unions and other stakeholders in aviation safety. The focus of their efforts has been on rigorous analyses of accidents that occurred over the most recent ten year period for which significant data was available. These initiatives identified and categorized the major causes of accidents and assigned priorities for the purpose of pursuing remedial actions. Top accident causal categories being examined by these groups are:

- Controlled flight into terrain;
- Approach and Landing;
- Loss of control;
- Uncontained engine failure;
- Runway incursions; and
- Weather.

CAST and ESSI work in close co-operation to analyze significant worldwide accidents/incidents, develop recommendations for improvement actions and commit/monitor the implementation thereof. Members from each group participate in the activities of the other group on a regular basis.

B.3.2 Terms of Reference

B.3.2.1 The Terms of Reference for the NARAST follow at Appendix II.

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Appendix I Institutional Structure

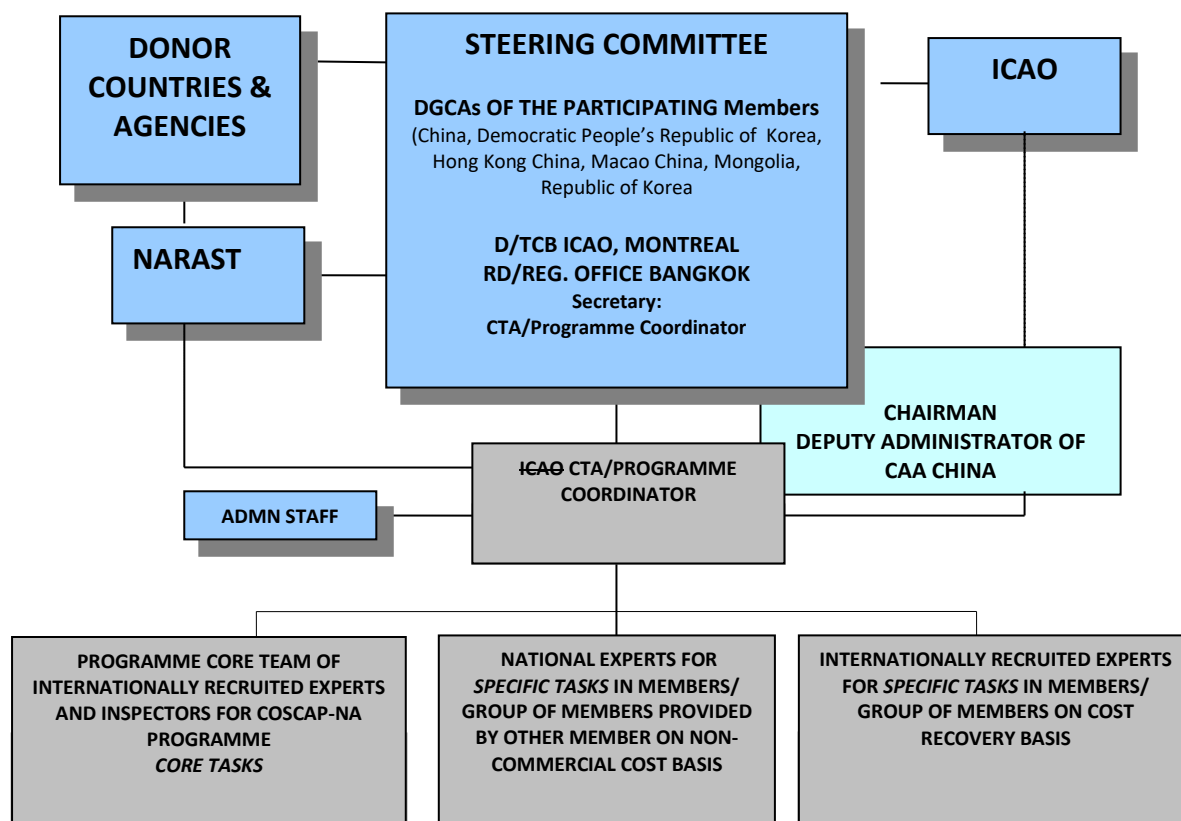



Figure 3-1. COSCAP – NA INSTITUTIONAL STRUCTURE

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Appendix II NARAST ToR

TERMS OF REFERENCE (ToR) **NORTH ASIA REGIONAL AVIATION** **SAFETY TEAM (NARAST) UNDER COSCAP-NA**

1.0 Background

1.1 These Terms of Reference outline the concept and modalities for the North Asia Regional Aviation Safety Team (NARAST) under the COSCAP-NA Steering Committee.

1.2 The ICAO Global Aviation Safety Plan (GASP), which was endorsed by the 33rd Session of the ICAO Assembly in 2001, stressed the need for a reduction in the rate of fatal accidents in air transport operations. The GASP endorses the concept of concentrating the safety-related activities of ICAO on those safety initiatives – planned or currently underway – which offer the best safety dividends in terms of reducing the accident rate. Additionally, the GASP encourages States to foster regional and sub-regional safety groups for the purpose of furthering the global safety effort.

1.3 Two major safety initiatives have been established which are in keeping with the broad objectives of the GASP. The United States, as part of the FAA's Safer Skies agenda, established the Commercial Aviation Safety Team (CAST) in June 1998. Similarly, in 1998 the States represented by the then JAA formed the Joint Strategic Safety Initiative (JSSI). Both initiatives draw upon a broad base of experts from government agencies, airlines, manufacturers, aviation associations, labour unions, and other safety-related organizations. The focus of their efforts resulted from a rigorous analysis of accidents, which occurred over the most recent ten-year period for which significant data was available. Major causes of accidents were identified and categorized, and priorities were assigned to for the purpose of pursuing remedial actions. Top accidents categories initially examined by these groups were:

- Controlled flight into terrain
- Approach and landing accidents
- Loss of Control
- Uncontained engine failures
- Runway incursions
- Weather

1.4 Consistent with the Objectives/Outputs of the COSCAP-NA Programme Document, in 2002 the COSCAP-NA Steering Committee formally constituted the North Asia Regional Aviation Safety Team (NARAST) to play an active role in the global effort to reduce accidents. The development and implementation of safety enhancements is tracked by the COSCAP-NA programme and a regular report provided to the Steering Committee.

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1.5 The ICAO Global Aviation Safety Plan (GASP) was extensively revised in 2007 and subsequently endorsed by States at the 36th and 37th Meetings of the Assembly (Resolutions A36-7 and A37-4 refer). The GASP as amended from time to time provides a common frame of reference for all stakeholders in order to allow a more proactive approach to aviation safety and to help coordinate and guide safety policies and initiatives worldwide to reduce the accident risk for civil aviation. The GASP is to be used in conjunction with the Global Aviation Safety Roadmap (GASR) developed by aviation industry for ICAO.

1.6 The GASP is based on the following four principles:


- **Participation of all stakeholders:** to ensure consistency of objectives and to avoid duplication of effort.
- **Defining Global Safety Initiatives:** setting best practices, metrics and maturity levels which are defined in the GASR to ensure that implementation makes full use of the collective experience of the aviation community and that progress is measured in a transparent and consistent way;
- **Planning process:** for collaborative development of action plans that define the specific activities that should take place in order to improve safety.
- **Consistency with the ICAO Global Planning Process:** GASP follows an approach and philosophy which is consistent with the *Global Air Navigation Plan for CNS/ATM Systems* (Doc 9750). Both were developed with close coordination and participation of industry, and both provide a common framework to ensure that regional, sub-regional, national and individual initiatives are coordinated to deliver a harmonized, safe and efficient international civil aviation system.

1.7 At the 8th COSCAP-NA Steering Committee meeting, the Chief Technical Advisor was directed to ensure that components of ICAO GASP are utilized for planning, designing, implementation and prioritizing the future technical work of the COSCAP-NA to the extent possible. At its 10th Meeting, the Steering Committee concluded that the implementation of a State Safety Programme (SSP) framework would address the global safety initiatives and best practices of the GASP and GASR, and provide the benefit of a logical, phased implementation.

1.8 At the 4th Meeting of its 190th Session, held on 25 May 2010, the ICAO Council approved the establishment of Regional Aviation Safety Groups (RASG). This decision established the mandate for the ICAO Secretariat to establish RASGs, nurture their development and guide their activities, recognizing that the planning must consider the related resources such as COSCAPs.

2.0 Objective

2.1 The objective of the NARAST team is to recommend safety interventions to the Steering Committee which will reduce aviation risks. The recommendations, once approved by the Steering Committee, may be implemented through the coordinated efforts of the

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regulatory authorities, in collaboration with service providers, airlines and aircraft manufacturers. When such actions are endorsed by the Steering Committee, the Team Members will serve as focal points for introducing the interventions within their respective States and for coordinating their government's efforts with industry.

2.2 To accomplish the objectives, the team will:

2.2.1 Participate as a component of the Asia Pacific Regional Aviation Safety Team (APRAST), established under the Regional Aviation Safety Group- Asia Pacific (RASG-APAC).

2.2.2 Review, for application within the North Asia area, existing safety interventions which have already been developed through the efforts of well-established, multi-national, regional, etc. safety initiatives.

2.2.3 Review, for application within the North Asia area, the global safety initiatives and best practices and metrics defined in the GASP and GASR. ~~and~~

2.2.4 Review regional accidents and significant incident trends and other areas of local concern to determine unique issues which may warrant locally-developed interventions.


Note: For clarity, the NARAST will undertake its deliberations and actions in full consideration of the work of the RASG-APAC (APRAST). The focus and priority for the Team will be to introduce, support, and develop actions, which have the potential to effectively and operationally reduce the sub regional aviation risk to enhance aviation safety.

3.0 NARAST Modalities

3.1 The CTA will serve as the Team Leader. Membership in the NARAST includes respective regulatory authorities (flight operations, airworthiness, aerodrome and ATM representatives), air operators, service providers, manufacturers and industry organizations. Others may be invited to participate as appropriate to the subjects under consideration.

3.2 As a component of the APRAST, the NARAST will accomplish the following:

- Review safety interventions which have already been developed by existing safety groups such as ICAO, CAST and ESSI for implementation in the North Asia sub-region;
- Review the global safety initiatives of the Global Aviation Safety Plan (GASP), and the focus areas, best practices, metrics and maturity levels defined by the Global Aviation Safety Roadmap (GASR);
- Review the Asia And Pacific Regional Aviation Safety Priorities And Targets as updated from time to time and recommend implementation strategies for the consideration of the Steering Committee with a view to achieving the identified

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targets.

3.3 The NARAST will:

- Consider the recommendations of the APRAST, as approved by the RASG, and advise the Steering Committee how to implement these within the North Asia sub region;
- Identify areas of concern to safety that may be unique to the North Asia sub region or require emphasis within the North Asia sub-region, and develop data based safety enhancements to address those concerns;
- Support implementation of data driven action plans developed using risk analysis developed from performance-based safety systems;
- Work closely with service providers, airlines, manufacturers, industry and labour associations, and other appropriate organizations to ensure that safety enhancements are implemented through a coordinated effort.

3.4 The NARAST Team Leader will facilitate the sharing of safety information and experiences among all stakeholders in the region and will work to minimize duplication of safety activities at the regional and sub-regional level.

3.5 The NARAST Team Leader will maintain close contact with ICAO to benefit from its experience and to this effect he will provide regular feedback to ICAO on the activities of NARAST and on the emerging safety enhancement proposals. In addition, he will liaise as required with other regional safety teams to benefit from their efforts.


3.6 The NARAST Team Leader will conduct follow-up activities as required.

3.7 NARAST will make safety recommendations to the Steering Committee for its review and approval and where necessary develop Working Papers (WPs) for submission to APRAST for their consideration.

3.8 The Steering Committee will monitor activities of NARAST and support the implementation of those safety enhancements that are deemed appropriate for the North Asia sub-region.

3.9 The ongoing work and coordination activities of NARAST may be accomplished through electronic communications. The Team will however meet as necessary to a maximum of twice each year prior to the meeting of the APRAST.

-END-

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B.4 COSCAP-NA Member Coordinators

B.4.1 Objective


The objective of having COSCAP-NA Member Coordinators in each Member Administration is to enhance efficiency and productivity of the program by improving communication and coordination amongst all parties involved.

With two additional Members (Hong Kong China and Macao China) in the programme, there is a need to ensure that the effectiveness and productivity of the COSCAP-NA programme and communications between Members meets our needs.

B.4.2 Roles and Responsibilities

The roles and responsibilities of the Member Coordinators are defined in the **Terms of Reference (ToR) located at B Appendix I.**

Attached to the ToR is the Member Coordinator nomination form.

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Appendix I

COSCAP-NA Member Coordinators (MC) Terms of Reference

1.0 Objective

1.1 The objective of having COSCAP-NA Member Coordinators in each Member Administration is to enhance efficiency and productivity of the program by improving communication and coordination amongst all parties involved.

1.2 With the potential of having two additional Members (Hong Kong China and Macao China) in our programme, there is a need to ensure that the effectiveness and productivity of the COSCAP-NA programme and communications between Members meets our needs. One of the ways to meet our needs is to adopt a best practice currently in use in other COSCAPs by creating Coordinators.

1.3 For this purpose, there are specific tasks and functions expected from each Member Coordinator to be performed.

2.0 Rationale


2.1 COSCAP-NA is a cooperative arrangement between the respective member Civil Aviation Administrations for the development of safety, efficiency and regularity in civil aviation, with the support of the International Civil Aviation Organization and applicable donor organizations who have interests in the field of aviation safety.

2.2 The work and functions of the COSCAP-NA are determined and monitored by a Steering Committee which comprises the Heads of the respective member Civil Aviation Administrations. The volume and success of the work undertaken by COSCAP-NA including its progress, is therefore primarily dependent on the degree of cooperation and coordination of matters with participating Administrations.

2.3 In order to help COSCAP-NA carry forward its planned activities and programmes with a desired level of efficiency and productivity while maintaining the momentum that has been achieved, it is considered necessary to have a dynamic mechanism in each member Civil Aviation Administration which will readily assist the Steering Committee Member of that administration to perform his/her duties, functions and obligations towards the COSCAP-NA more diligently amidst many diverse tasks. Nomination of a senior staff member attached to each Civil Aviation Administration as Coordinator is therefore proposed under the following framework.

3.0 Qualification & Experience Requirements

3.1 The nominee for a COSCAP-NA Member Coordinator must have as determined by the nominator:

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- (i) Technical qualifications in an aviation discipline or equivalent qualifications in any of the civil aviation related fields at a senior level in a civil aviation administration;
- (ii) A minimum of three years of experience in the respective civil aviation administration, which nominates the candidate;
- (iii) Detailed knowledge and understanding of the established principles, practices and procedures relevant to the regulatory functions in regard to initial certification and continued surveillance;
- (iv) Enforcement action of aviation personnel and organizations, including the associated ICAO SARPS, as well as applicable guidance material relating to the regulation and operation of civil aviation system in the country;
- (v) Fully familiar with the organization and the mode and manner of the conduct of the COSCAP-NA Programme;
- (vi) Fluency in the English Language;
- (vii) Computer literacy; and,
- (viii) Initiative, tact, sound judgment and ability to maintain harmonious working relations with multi-disciplined teams.

4.0 Method of Selection & Designation

4.1 A Steering Committee Member is expected to identify a suitable individual attached to their Civil Aviation Administration to be the COSCAP-NA Member Coordinator for the respective nominating authority to serve at the discretion of the authority. A nomination form is attached at Appendix A.

5.0 Roles and Responsibilities


5.1 Subject to the direction, guidance and close supervision of the Steering Committee Member of the respective Civil Aviation Administration and in close liaison with the relevant civil aviation staff, industry representatives, service recipients or beneficiaries of COSCAP-NA, the Member Coordinator of a Member must:

- (i) Liaise with the Chief Technical Advisor/Programme Coordinator on all matters that are connected with or incidental to the planning,

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implementation and monitoring of the tasks, work programmes and activities undertaken by COSCAP-NA;

- (ii) Establish and maintain a harmonious working relationship with the respective domestic Aviation Safety Team and provide feedback to COSCAP-NA;
- (iii) Coordinate and/or follow up as may be required, the level of implementation of Steering Committee Resolutions and Recommendations of the NARAST for Safety Enhancements in the respective Civil Aviation Administration and provide feedback to the COSCAP-NA;
- (iv) Coordinate and facilitate the conduct of in-country Technical Missions of International/Regional Experts which may be programmed by COSCAP-NA, take necessary follow up actions on the Experts' Mission Reports and provide feedback to the COSCAP-NA;
- (v) Coordinate with the Chief Technical Advisor/Programme Coordinator COSCAP-NA in regard to preparation and implementation of the Annual Work Programme for the respective Member, which may require assistance from COSCAP-NA;
- (vi) Coordinate with the Chief Technical Advisor/Programme Coordinator COSCAP- NA in regard to preparation and implementation of the Specific Training Programmes for the respective Member, which may require assistance from COSCAP-NA;
- (vii) Coordinate with the Chief Technical Advisor/Programme Coordinator COSCAP-NA in regard to providing assistance to the respective Member for preparation of USOAP audits, preparation of Corrective Action Plans, depending on the decisions of the respective Civil Aviation Administration;
- (viii) Supply and frequently update the necessary data, statistics and other relevant information on behalf of the respective Member to COSCAP-NA to support its work, functions and activities;
- (ix) Monitor the fulfillment of the obligations of the Members towards the operation of the COSCAP-NA by ensuring timely completion of signatory requirements of the applicable Project/Programme Documents and payment of the annual contributions;
- (x) Keep the respective Steering Committee Member adequately briefed and constantly updated in regard to all on-going and planned activities of the COSCAP-NA which has relevance to the particular civil aviation administration and which is known to the Member Coordinator;

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- (xi) Assist the Steering Committee Member to prepare for the Steering Committee Meetings or similar meetings and activities by providing the relevant data and information in liaison with the Chief Technical Advisor; and,
- (xii) Perform any other tasks as assigned by the Steering Committee Members.




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Attachment A

COSCAP-NA Member Coordinator Nomination Form	
Member	
Name	
Title	
Position	
Address	
Office phone	
Cell phone	
Email	
Summary of experience or attach resume.	

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SECTION C

COSCAP-NA FUNDING AND COST-SHARING

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SECTION C

COSCAP-NA FUNDING AND COST-SHARING

C.1 General Information on Trust Funds Modality


- (a) Trust Funds are funds deposited directly with ICAO to meet specific, defined technical cooperation requirements, usually but not always those of the country or countries providing the funds.
- (b) When a government requests assistance, which is to be financed through the establishment of a Trust Fund, a Programme is formulated. However, as there is no funding reserve within ICAO, it is required that the contributors to the trust fund pay ICAO (as monies to be administered on its behalf) sufficient funds to cover the estimated cost of the assistance for the duration of the Programme or for at least one year, plus a charge for ICAO's support costs at the percentage rate established by the ICAO Council for application to trust fund arrangements.
- (c) Trust funds are normally payable in convertible currency. Any interest accruing on the deposited funds is credited to the Trust Fund account.

C.2 Institutional Framework Provisions on Funding

- (a) Article 3.3 of the COSCAP-NA Institutional Framework stipulates that the core services defined in Article 2.1 (i) that are provided under the Programme must primarily be funded by the Members through annual contributions in accordance with a cost-sharing formula approved by the Steering Committee. Article 3.4 stipulates mobilization of grant funds from the donor community to supplement the Programme funds. Article 3.6 stipulates that such Members' annual contributions supplemented, where applicable, by donor- provided funds, must constitute the general pool of the COSCAP-NA Trust funds to be maintained by ICAO and must be used for common benefit functions defined in Article 2.1 (i).
- (b) Article 3.7 stipulates that for functions described in Article 2.1 (ii), the party or parties to receive the required specific service must deposit the estimated cost thereof in the COSCAP-NA Trust Fund maintained by ICAO. The service recipient (s) may also request ICAO through the CAA to approach donors that may contribute in full or in part to the service cost.

C.3 Programme Funding Process

C.3.1 Programme core services

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- (a) ICAO/ TCB must prepare the COSCAP-NA Programme Budget for *the services to be provided for the common benefit of all Programme Members* and subsequent revisions thereof and present them to the Steering Committee for consideration /approval.
- (b) ICAO/TCB will also prepare annual budgets and present them to the Steering Committee at its annual meetings for consideration/ approval.
- (c) The Steering Committee at its 1st meeting held in Beijing China agreed to provide annual support to the programme as follows: China \$80,000 plus programme offices and \$8000 Administrative fund, DPRK \$30,000, Mongolia \$50,000 and ROK \$100,000. The Steering Committee at its 7th Meeting approved revised contributions for Phase II: China \$92,000 plus programme offices; Mongolia \$58,000 and ROK \$116,000.
- (d) The Steering Committee at its 12th meeting approved revised contributions for Phase III as follows: China \$110,000 plus programme offices; DPRK \$41,000; Mongolia \$70,000 and ROK \$139,000.
- (e) The Steering Committee at its 17th meeting approved revised contributions for Phase IV as follows: China \$110,000 plus programme offices; DPRK \$41,000; Hong Kong China \$45,000, Macau China \$45,000, Mongolia \$70,000 and ROK \$139,000.
- (f) COSCAP-NA must keep a record of the in kind contribution received from donors and Programme Members which must be evaluated in monetary terms. (Refer Paragraph C.5)
- (g) Members' share of funding may be changed to meet any revised requirements of the COSCAP-NA Programme. The Chairman of the Steering Committee must write to the Programme Members to take necessary action on the revised funding requirements.

C.3.2 *Specific services for a Programme Member or Group of Members aerodrome operators, air operators, aircraft maintenance organizations or other service providers*

- (a) Details of the specific services required must be intimated to the Chief Technical Advisor/Programme Coordinator by the Programme Member (s) CAA(s), operators or civil aviation service providers requesting these specific services who will first explore with ICAO/TCB the possibility of obtaining the service free of cost from a donor.

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- (b) If timely free of cost service cannot be arranged then the total cost of the service must be estimated by ICAO following its established practice. The service may include some or all of the following elements:

- (i) Professional Manpower to be deployed in the recipient Programme Members;
- (ii) Use of equipment/aviation hardware/software such as those required for flight inspection of radio navigation aids;
- (iii) Training in the service provider's training establishments; and
- (iv) Admissible miscellaneous costs including ICAO overhead costs

- (c) Specific Service(s) Cost apportionment:

Single service recipient Programme Member, operator/service provider:

The total estimated cost of the service must be deposited by the Programme Member in the separate Trust Fund account maintained by ICAO/TCB for this purpose.

Group service recipient Programme Members:

The total estimated cost of the specific services must be the sum of the service cost for each Programme Member. The Programme Members must deposit their respective shares of the total estimated cost in the separate Programme Trust Fund account maintained by ICAO TCB. The apportionment will be subject to revision at the end of the service provision, considering the actual cost of service provided to each recipient Programme Member.

- (d) The Chief Technical Advisor/Programme Coordinator will circulate the cost estimate of the specific service(s) to other Programme Members, inviting proposals for the provision of professional expertise and other service on non-commercial basis. Where more than one Programme Member is willing to provide the service on such terms, the proposal that entails least cost to the service recipient Programme Member(s) must be accepted by ICAO with its (their) prior approval.
- (e) If the requested specific service is not available from other Programme Members then the cost estimate will be revised to allow for recruitment and deployment of internationally recruited experts and upon approval thereof by the concerned Programme Member(s) and deposit of

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additional funds as may be required, ICAO/TCB will implement the Programme.

C.4 Policy on donor participation in the Programme

Donor support both in cash and kind has been crucial to the sustenance and success of the Programme. The purpose of the policy is not to unduly restrict the participation of donor organizations but to ensure the compatibility of the donor organization with the COSCAP-NA programme. The following policy will be applied by the Steering Committee to determine the participation of any new donor organization to the COSCAP-NA Programme:

- (a) The donor organization may be asked to provide some background on their organization and their interest in providing support to the COSCAP-NA programme.
- (b) The donor organization would be asked to provide an indication on the cash and/or in kind contribution it intends to provide in support of the objectives and outputs of the COSCAP-NA programme.

C.5 Policy/Guidelines on evaluation in monetary terms of in-kind voluntary contributions provided by Programme Members and Donors for the purpose of their recognition

(a) Training Courses /Workshops

- (i) Preparation time required by Donor staff. This will vary considerably depending on whether the course/workshop has been developed specifically for the Programme or has been adapted from previously developed material. The donor will provide the number of days (hours) spent on preparatory work and the cost of employee time;
- (ii) Air transportation cost may be calculated on the basis of actual expenses;
- (iii) Per diem or DSA requirements (as per Donor rules);
- (iv). Training material actual costs; and
- (v) Total of above cost

(b) Manpower Assistance

- (i) Air transportation charges based on actual fares;



- (ii) Cost of staff remuneration (only direct salary for period of assignment);
- (iii) Per diem or DSA - as per Donor rules; and
- (iv) Total valuation: Add (i) + (ii) + (iii) above.

(c) Guidance Material

- (i) If developed exclusively at the Programme's request, then the actual cost will be determined by the Donor.
- (ii) If guidance material used is already available on the Donor's web site, and accessible to all, it must not be included in the valuation.
- (iii) If Donor has had to purchase the requested material for delivery to COSCAP, then its actual cost must be included.

(d) Participation in Programme Meetings / Conferences

- (i) The cost of participation or hosting routine meetings of Steering Committee and NARAST must not be evaluated.
- (ii) If a Donor organization makes a presentation, the evaluation will be done on the basis of actual airfare, travel time, preparation time and per diem or DSA for the duration of the meeting.

C.6 Sharing of Expertise

C.6.1 Introduction

COSCAP-NA Members will sometimes require support in areas which are outside of the expertise of the COSCAP-NA CTA. On a short term basis these needs are often met with the assignment of experts provided by Members (see Section C.3 Programme Funding Process) or through donor funding. It is also possible that needed expertise can be found within other COSCAP programmes. In that case, subject to the agreement of the other COSCAP programme CTA, it may be possible for the COSCAP NA CTA to arrange an exchange of expertise.

Where such an exchange is possible, it will be important that each COSCAP receives support in balance with what it provides



C.6.2 Mission Planning, Oversight and Reporting

The CTA COSCAP-NA must determine the mission objectives and provide guidance for any experts under the exchange. Reporting must be in accordance with COSCAP NA reporting procedures.

C.6.3 Mission Administration and Expenses

Administration of the visiting expert will normally be addressed by the host COSCAP. Mission expenses (i.e. travel and DSA) will normally be charged to the host COSCAP.

C.6.4 Tracking

The CTA COSCAP-NA must maintain a record of exchanges to ensure that a balance is maintained between the organizations. Exchanges must normally be balanced day for day except in the case of significant differences in contract rates, in which case an in kind value will be calculated. The record must be maintained using the tracking and reporting format set out at section C.6.6 below.

C.6.5 Reporting

The CTA COSCAP-NA will report to the Steering Committee during the Steering Committee meeting on any exchanges conducted since the previous meeting.

C.6.6 Tracking and Reporting Form

Record of COSCAP Resource Sharing

Record of COSCAP Resource Sharing					
Name	Home COSCAP	Area of Expertise	Mission	Days	In-Kind Value*

* In-kind value determined only in cases of significant differences in contract rates.



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SECTION D

ADMINISTRATIVE AND OPERATIONAL PROCEDURES



SECTION D
ADMINISTRATIVE AND OPERATIONAL PROCEDURES

D.1 ADMINISTRATION

D.1.1 COSCAP-NA Steering Committee

D.1.1.1 Preparatory Actions for Steering Committee Meetings (SCM)

- (i) A Letter of invitation together with an annotated agenda will be prepared by the Chief Technical Advisor/Programme Coordinator and must be sent to all COSCAP-NA Members and Observers under the signature of the Chairman of the Steering Committee at least one month before the scheduled meeting date.
- (ii) In addition to the Steering Committee members, representatives of donors, service providers, stakeholders in aviation safety in the public sector and non-public sector organizations accepted for participation in the Programme activities by the Steering Committee will usually be invited to participate in the Steering Committee meetings as Observers.
- (iii) The Chief Technical Advisor/Programme Coordinator, with the assistance of ICAO/TCB as appropriate, must prepare Discussion Papers (DPs) and Information Papers (IPs) on the record of progress achieved on the decisions taken at the previous SC Meetings, as well as the budgetary situation and the next annual work programme.
- (iv) Information Papers and Discussion Papers prepared by Members and other participants must be submitted by them to the Chairman of the Steering Committee at least four weeks before the meeting.
- (v) The papers must be forwarded by the Chairman to all SC Members and participants at least two weeks before the meeting date.

D.1.1.2 SCM Proceedings and Records

- (i) The Chief Technical Advisor/Programme Coordinator must act as the Secretary of the meetings.
- (ii) The Chief Technical Advisor/Programme Coordinator must record the decisions adopted at the meetings.

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- (iii) The Chief Technical Advisor/Programme Coordinator must record the minutes of the meeting;
- (iv) The draft minutes must be forwarded by the Chairman to the Steering Committee Members and donors participating in the meeting for their concurrence within fifteen days from the last day of the meeting. The final minutes must be issued to all participants at the earliest convenience of the Chairman.

D.1.1.3 Functions of the Steering Committee Chairman

- (i) To monitor the functioning of the Programme and the Institution and apprise the members of any difficulties or problems being faced.
- (ii) Consult with other members of the Steering Committee when significant issues arise that have not been identified in the annual work plan or which may negatively impact on the implementation of the work plan.
- (iii) Represent the Steering Committee in discussions with ICAO/TCB concerning funding issues or any other matter.
- (iv) Meet with the Chief Technical Advisor/Programme Coordinator as and when required.
- (v) Consult with other members of the Steering Committee, as required, concerning staffing and other matters.
- (vi) Organize Steering Committee meetings in consultation with the Chief Technical Advisor/Programme Coordinator.
- (vii) Monitor Programme funding and its utilization.

D.1.2 COSCAP-NA Programme Services and Financial Management by ICAO

D.1.2.1 In addition to those services listed in Article 4 of the COSCAP-NA Institutional Framework, ICAO TCB also assists in approaching external donors for the mobilization of supplemental funds for the Programme. (see Articles 3.4 to 3.6 of the Institutional Framework)



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D.1.2.2 ICAO services are provided in accordance with established ICAO TCB rules, policies, procedures and practices. The TCB publications on the subject include:

- ICAO Field Staff Services Rules (FSSR);
- Procurement Code;
- Field Operation Manual;
- Technical Cooperation Bureau Administrative Manual.

*Copies of these documents are available from the ICAO Technical Cooperation field personnel. Additionally, the full range of ICAO material listed in the printed Catalogue of ICAO Publications and Audio-Visual Aids issued every year are also available as required to Technical Cooperation field personnel.

D. 1.2.3 Financial management of the Institution's Programme is provided by ICAO in accordance with the ICAO Financial Regulations.

D.1.2.4 The Technical Cooperation Programme is managed by the Director of TCB with the assistance of the Field Operations Section (Asia and Pacific), which plays the key coordinating role in the management of ICAO services to COSCAP-NA.

D.1.3 COSCAP-NA Personnel

D.1.3.1 Professional personnel

Professional personnel, recruited by ICAO, will belong to one of the following two broad categories:

(i) International Experts

- (a) Long-Term or Intermediate-Term International Experts (Programme core Team members)

The duration of these posts will generally be 12 months or more:

- (b) Short-Term International Consultants
(Programme Core Team members)

The duration of these posts will be less than 12 months

- (c) Short-Term International Consultants



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(Recruited for specific service(s) requested by a Programme Member or a Group of Members)

The duration of these posts will be less than 12 months

- (d) Short-Term Experts provided *free of charge* to the Programme by donors for certain Programme activities such as training programmes, participation in Steering Committee meetings and NARAST meetings

(ii) **National Experts**

- (a) National Experts provided free of cost to the Programme

The services of experienced professionals currently in the employment of the civil aviation regulatory administrations, airport authorities / administrations and air traffic service providers as made available voluntarily by the COSCAP-NA Members, free of cost to the Programme, to supplement the **core** Programme Professional team.

Duty air travel of such national experts must be arranged free of cost to the Programme trust fund budget by the Member requesting their services. Their daily subsistence allowance must, however, be charged to the Programme trust fund budget.

- (b) National Experts/ Inspectors provided by one Programme Member for assignment under a specific service Programme to another Programme Member or a group of Programme Members on non-commercial cost basis.

The arrangement modalities are described in Paragraphs C.3.2 (c) and (d).

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D.1.3.2 Requirement of Letter of Authority from Member CAA

The Members receiving assistance from the core team of Programme professionals or from national experts/inspectors provided by Members referred to in paragraph D.1.3.1 (ii) (b) above must notify the entity to be inspected/ audited/ assisted the names of these foreign experts/inspectors and designate them as officials to carry out the said inspection/ audit/ assistance functions on its behalf.

D.1.4 Duty Travel of Programme Professional Personnel

D.1.4.1 All duty travel on missions by professional personnel must be planned well in advance to give adequate time to the Members to plan for the officials' visits and to avoid any problems in travel arrangements.

D.1.4.2 Necessary authorizations for travel must be obtained on the recommendation of the Chief Technical Advisor/Programme Coordinator, from Director TCB ICAO, before the commencement of journey. ICAO may authorize payment of the necessary advance DSA from the Accounts section of the UNDP office. Upon completion of the mission, a statement of expenditure must be filled up in the prescribed Travel Claim form. Same provisions apply to the Chief Technical Advisor/Programme Coordinator's own missions.

D.1.4.3 Before embarking on a mission, the Programme's professional personnel will carefully examine the relevant documents/reports/correspondence and be professionally prepared to undertake the mission.

D.1.4.4 Transportation of Programme professional personnel for COSCAP-NA missions will be provided to the extent possible by air operators of the Member to be visited. Recognizing the need to reduce cost of the Programme, the DGCA of the Programme host Members may, on request provide gratis transportation for COSCAP-NA staff for missions where transportation is not available from other Members. This contribution and free transportation provided by all Members is tracked and noted as contribution in kind to the Programme by the Members.

D.1.4.5 Missions must be planned in a manner to minimize cost to the programme and provide maximum benefits to the Members.

D.1.4.6 For any missions that may be required for liaison with training organizations or resource centers or for further donor mobilization, Director TCB ICAO must make a proposal to the Chairman of the Steering Committee for his approval.

D.1.4.7 After each mission, a mission report must be prepared in the prescribed format and necessary follow up action must be taken.

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D.1.5 Office Management – Filing System

D.1.5.1 Function of a file

The main purpose of maintaining a file is to collect and preserve the complete history of a particular aspect of a subject, in a chronological sequence, which would facilitate reference and related action. The COSCAP-NA programme uses an e-filing system to manage the considerable volume of correspondence. This system was implemented in 2017 and prior hard copy files were migrated to digital form and stored on a common shared drive. Files include e-mail exchanges which must be saved in .pdf format whenever possible for ease of reference as well as stored in .msg format.

D.1.5.2 General Principles for Electronic Records Management

D.1.5.2.1 File Naming

A file name is the chief identifier for a record. In the world of electronic records, the record's file name provides information that places the record in context with other records, records series, and records retention schedules. In most organizations, the policy for naming a file (and hence a record) is left to individuals or to groups of individuals (e.g., departments, committees).

Consistently named records foster collaboration based on mutual understanding of how to name files and use file names (including the file name metadata). Consistently named records also help us to meet our legal requirements. Records that are consistently and logically named are easier to manage to meet these requirements.

In other words, with each staff member consistently naming electronic records, other staff members will be able to look at a record's file name and use that information to recognize the contents and characteristics of the record and to make decisions about it.

Note: Files include e-mail exchanges which must be saved in .pdf format whenever possible for ease of reference as well as stored in .msg format.

For example, a staff member could see that "Mission_report_DPRK_20170721.pdf" is a Mission Report about a mission to DPRK conducted on July 21, 2017.

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D1.5.2.2 Key Concepts

The COSCAP-NA file naming protocol complements our electronic records management strategy.

The following factors are considered in our protocol for naming of files:

- (a) Differences Among File Names, File Paths, and Location
- (b) Common File Name Elements
- (c) Create unique file names. Duplicate file names will cause problems.
- (d) File names should be simple and easy to understand.
- (e) Use only alpha-numeric characters. Avoid using special characters such as: ? / \$ % & ^ # . \ : < >. Special characters are often reserved for use by the operating system.
- (f) Use underscores (_) and dashes (-) to represent spaces. Spaces are often reserved for operating system functions and might be misread.
- (g) Use leading zeros with the numbers 0-9 to facilitate proper sorting and file management.
- (h) Dates should follow the ISO 8601 standard of YYYY_MM_DD or YYYYMMDD.
- (i) Variations include YYYY, YYYY-MM, and YYYY-YYYY. This maintains chronological order. If dates of creation are used, these can make following retention easier.
- (j) Keep the file name as short as possible and always include the three character file extension preceded with a period (Ex: .jpg or .doc).
- (k) Include the version number in the file name by using 'v' or 'V' and the version number at the end of the document. (Ex: 2004_Notes_v01.doc)
- (l) Avoid using the word version or draft at the beginning of the file name for access purposes (Ex: Version1_2004_Notes.doc).
- (m) Order the pieces of information or elements being used to create the file name in the most logical order based on retrieval methods. For example, use the date first on events that are time specific or reoccurring, and use the name of the event for events that are infrequent and will be easier to find by name rather than date.

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D1.5.2.3 File Name

A file name is the name of the file as it stands alone. The file path shows the location of the file. For example, the file named “SteeringCommittee17Minutes.doc” might be stored in a series of nested directories (its file path) for all Steering Committee Meetings as:

“D:SteeringCommittees/Committee17/Minutes/2017/May/Committee17Minutes.doc.”

D1.5.2.4 Common File Name Elements

The following common elements are to be considered in developing a file name:

- Version number (e.g., version 1 [v1, vers1])
- Date of creation (e.g., February 24, 2001 [022401, 02_24_01])
- Name of creator (e.g., Rupert B. Smith [RBSmith, RBS])
- Description of content (e.g., media kit [medkit, mk])
- Name of intended audience (e.g. Member Coordinators [MC])
- Name of group associated with the record (e.g. NARAST_22)
- Project number (e.g. RAS02901)

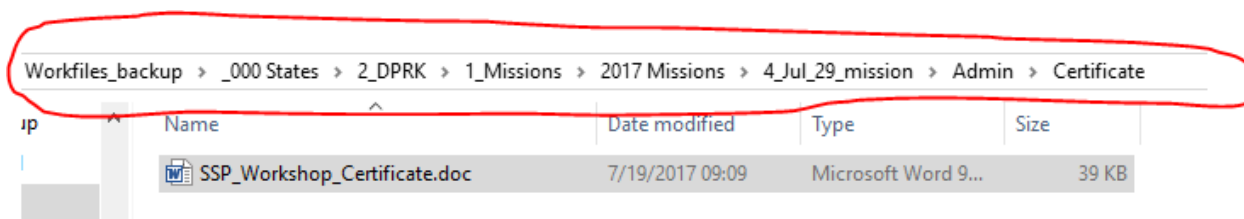
D1.5.2.5 Electronic File Name Policy

1. All electronic information must be saved into a general drive which holds all of the information on our programme – this is so that in the absence of admin staff, files can continue to be accessed;
2. All general electronic information (e.g. weekly/monthly spreadsheets etc.) must also be saved into the general drive;
3. Do not use automatic dates on letters/reports as these change when documents are emailed and re-opened;
4. Each staff member should have an individual electronic folder where all of their “working files” can be stored on their hard/external drive with whenever possible backup copies on the main server;
5. Sensitive data must not be held on non-encrypted devices such as memory sticks;
6. Every original document should have an identifying footnote so that in the absence of “author” others know where to access them on the general drive.

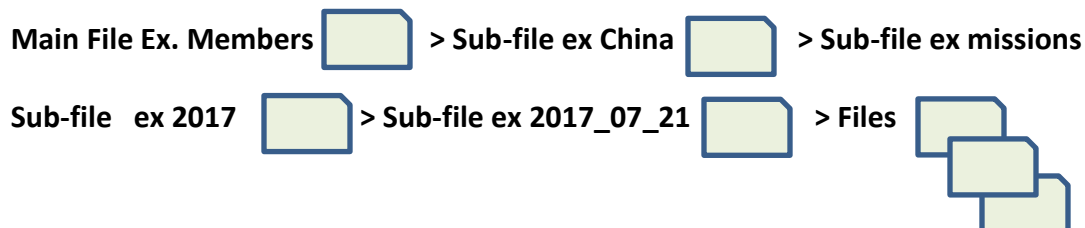
You do this by:

- Saving the document in the correct drive area;
- Click on “Insert” and select “Header Footer”;
- Click on “Footer”;
- Click on “Path” (see below);
- Select “File name and Path”;
- Copy that and then “paste”.

Example Path:



Example File Set-up:



D.1.5.3 Working on Files

D.1.5.3.1 Back-up

Whenever correspondence (e-mail, printed copy, etc.) is received for action or information, the receiving individual must create a file folder on the server and copy the documentation into the file. Where necessary reference to a document in the same file must be made by its enclosure number; if the document is in another file, that file name “path” should be referenced.

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The working file should be maintained on the hard-drive of the desk officer assigned to the file. Final copies (signed) are to be copied onto the server.

D.1.5.3.2 Safe custody of files

The assigned officer is responsible for safe custody and security of files in their possession. They must ensure that files are stored in a safe place and under appropriate protection.

D.1.5.3.3 Back-up of Files

Periodic (weekly) back-ups of files must be carried out by the Programme Secretary to an external hard-drive dedicated for that purpose and the external hard drive kept in a secure place.

D1.5.4 COSCAP-NA Standard Operating Procedures (SOP)

D1.5.4.1 Use of SOP

COSCAP-NA has documented “standard operating procedures” (SOP) which are used by staff to perform administrative functions such as completing a mission travel request, leave request, expense claim, etc. The SOPs are updated as required in coordination with the Regional Office and TCB and stored on the programme server for ease of access. The SOPs contains a form that is to be used by programme staff to suggest revisions, additions, deletions to the document.

D.1.6 Security of Staff

D.1.6.1 Arrangements for the protection of personnel and property of the Family of organizations of the United Nations have been made by the UN Secretary General. He has designated a senior UN official in each country (usually the Resident Representative) to ensure security in emergency situations arising from political and other crises, including national disasters. Should the occasion arise, ICAO COSCAP-NA personnel must cooperate fully with the designated official and follow his instructions.

D.1.6.2 The Chief Technical Advisor/Programme Coordinator of COSCAP-NA is required to review the security plan with the Resident Representative (or any other designated official). They should keep the ICAO field staff informed of planned procedures and advise them of any particular duties they must assume should security action be required.

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D. 1.6.3 UN Security Office instructions with regard to security must be followed. All international / regional staff and their dependents must be issued with UN security ID cards. The staff members must keep such ID cards in their possession at all times.

D.1.6.4 For security of the office premises, norms/ procedures laid down by the Civil Aviation Administration of the host Member must be followed.

D.2 COSCAP-NA OPERATIONAL PROCEDURES

D.2.1 Planning of Operational Activities

D.2.1.1 Work Plan Development

- (a) The Chief Technical Advisor/Programme Coordinator will develop a draft Work Plan in consultation with the Steering Committee, taking into account the outputs planned in the current revision of the COSCAP-NA Programme Document.
- (b) The Work Plan will be based on the priorities as determined by the Steering Committee from year to year.
- (c) The proposed Work Plan will take into account the actual availability of funds.
- (d) The Chief Technical Advisor/Programme Coordinator will forward the draft Work Plan to Member Coordinators for review not later than 1 December of the year preceding the plan year and on receipt of the concurrence of Member Coordinators forward it to all Programme Members not later than 31st December of the same calendar year. The Work Plan must include to the extent possible the programme of missions planned for the year.
- (e) The Programme Coordinator will provide the Chairman COSCAP-NA with an outline of the proposed missions.

D.2.1.2 Planning of Member - Specific Activities

Based on the 50% time allocated for Member-specific activities, technical assistance will be provided to Members generally in accordance with the following considerations:



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- (a) Members will notify the Chief Technical Advisor/Programme Coordinator of their requirement for missions and the purpose thereof.
- (b) Each Member should receive in-country Safety oversight missions at least once every six months.
- (c) Additional in-country technical missions will be based on the actual needs of the Member.
- (d) DGCA's may wish to authorize an official in their administration the task of coordinating COSCAP missions directly with the Chief Technical Advisor/Programme/Institute Coordinator.
- (e) COSCAP-NA experts/consultants will among other things assist Members in preparations for ICAO USOAP CMA activities and in development of corrective action plans on as required basis.

D.2.2 Training

D.2.2.1 Training is a high priority of the COSCAP-NA Programme. The Training programme will cover both Programme-specific and Member - specific Training.

D.2.2.2 The Chief Technical Advisor/ Programme Coordinator will prepare a tentative training programme for the year. The programme must show separately the training to be provided by COSCAP-NA Staff, Donors or the training that has to be funded by a specific Member to meet its exclusive requirement. The programme will be sent to the Members at the earliest but not later than 31st December of every year.

D.2.2.3 To facilitate development of the Annual training programme and to meet Member specific requirements, DGCA's will forward their requirements to the Chief Technical Advisor/Programme Coordinator in the month of December of every year. Unforeseen training may be requested as the need arises.

D.2.2.4 The Steering Committee may prioritize the requirement of Programme-specific Training based on actual needs which will be determined at the Steering Committee Meetings.

D.2.2.5 Donor agency provided training programme will be agreed with the agency. If training in each Programme Member is not feasible, efforts will be made to plan it in at least two locations where trainees from all Members will be able to participate.

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D.2.3 Operation of NARAST

D.2.3.1 The Chief Technical Advisor/Programme Coordinator of COSCAP-NA will serve as the NARAST Team Leader.

D.2.3.2 Each Programme Member will designate one or more representatives from functional areas as members of the NARAST.

D.2.3.3 The NARAST Team will meet as necessary, not more than twice each year.

D.2.3.4 Appropriate industry groups must be invited to the NARAST meetings; representatives of CAST and ESSI would also be invited.

D.2.3.5 The NARAST Team Leader must maintain close liaison with ICAO to benefit from its advice and to this effect he will provide regular feedback to ICAO on NARAST activities and on the emerging accident prevention interventions.

D.2.3.6 The NARAST Team Leader will liaise with other regional Safety teams to benefit from their efforts.

D.2.3.7 The Steering Committee will monitor the activities of NARAST and promote the implementation of those interventions that are considered appropriate for North Asia region.

D. 2.4 COSCAP Support to Members relative to USOAP Audit

D. 2.4.1 Introduction

This policy establishes a protocol for the provision by COSCAPs of assistance to Members before, during and after a USOAP audit. While such support may be valuable to the Members, given that both the COSCAPs and the USOAP are ICAO programmes it is important to avoid real or perceived conflict of interest so as to protect the value and positive contribution of each programme.

D. 2.4.2 Purpose

The purpose of the policy is to provide direction to COSCAPs regarding appropriate conduct in respect of the USOAP audit. This includes, but is not limited to:

- Use of the protocol questions
- Seeking guidance on and interpretation of SARPs and protocol questions as Members prepare for a USOAP CMA AUDIT
- Provision of assistance to Members as they prepare for the USOAP audit,



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including SAAQ, compliance checklist and protocol questions

- during all phases of the on-site audit process, at the discretion of the auditee
- during the post-audit phases, including preparation and implementation of corrective action plans

D. 2.4.3 Policy

At the request its Members, COSCAPs may assist the Members as they prepare for, undergo, and respond to a USOAP CMA Audit. In so doing, COSCAPs must conduct themselves in full respect of the principles and practices set out in this policy.

D. 2.4.4 Applicability

This policy applies to all COSCAP personnel, whether employee or contractor, working under auspices of a COSCAP.

D. 2.4.5 Principles

- COSCAP, as an ICAO administered programme, must at all times conduct themselves in a manner that brings credit to the organization.
- COSCAP, in accordance with the established practices, must assist their member Members in using a range of effective and efficient approaches.
- COSCAP, albeit knowledgeable in a wide range of safety oversight programmes, SARPS and the USOAP CMA Audit methodology, must recognize the bounds of their responsibility and authority. For clarity, they must respect the fact that the CMO has the organizational responsibility, authority and accountability for all matters related to the USOAP CMA Audit programme.

D. 2.4.6 Practices related to USOAP

The following points set out in general terms the nature of COSCAP conduct related to USOAP.

Assessment

- The use of USOAP materials, including generic protocol questions, to assist Members is acceptable.
- Should interpretation or assistance regarding SARPS be required, the COSCAP preliminary point of contact will be the ICAO bureau responsible for development of the ICAO SARP(s).
- Mission reports are confidential between the COSCAP-NA, Members and



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ICAO. The Chief Technical Advisor/Programme Coordinator must coordinate draft mission reports with the respective head of organization or designated office of the Member. Only after the head of organization or designated office has consented to the release of the mission report as a final document will it be sent to the APAC ICAO Regional Director Bangkok, Thailand. Mission reports must contain the following disclaimer:

COSCAP


This report has been prepared as part of COSCAP-NA support to [Member]. Any findings or recommendations relating to the effective and efficient implementation of the ICAO Standards and Recommended Practices (SARPs) contained in this report are independent of the findings and recommendations that may result from a safety oversight audit conducted under the ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach.

D. 2.4.7 During on-site audit

- The purpose of COSCAP participation during the audit is to assist the Members. Without being limiting, this will generally include functions related to interpretation of language or provisions, and the provision of support related to the meaning of findings or questions.
- COSCAP may act as an observer, as set out below, for the sole purpose of developing a clear understanding of the issues, questions and findings of the audit team so that the COSCAP may be in a position of knowledge as they subsequently assist the Members.
- COSCAP may, at the discretion of the auditee, participate as an observer during all phases of the audit that are normally attended by the auditee.

D. 2.4.8 Post-audit

- COSCAP may, at the request of the Members, assist them as they prepare a response to the audit report. Such assistance, consistent with other provisions of this policy, must be portrayed as guidance. In no cases must COSCAP assistance be portrayed as the official ICAO position with regard to any USOAP-related matter.

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SECTION E

PROGRAMME MONITORING, REPORTING AND EVALUATION



SECTION E

PROGRAMME MONITORING, REPORTING AND EVALUATION

E.1 Introduction

E.1.1 The general requirements of Programme monitoring, reporting and evaluation are described in detail in ICAO TCB Field Operations Manual. Specific requirements of Monitoring and Reporting in respect of COSCAP-NA Programme are described in the Programme document.

E.1.2 General Principles

Monitoring and Evaluation must be integrated into the Programme cycle to enhance the implementation and achievement of results from current programmes as well as evaluate the need for future Programme activity. Results must be results-oriented and include assessments of the relevance, performance and success. While mainly persons involved in managing a Programme do monitoring, evaluation may be done by persons who have not been involved in managing it.

E.2 Monitoring

E.2.1 General

E.2.1.1 Monitoring must be undertaken on a continuous basis; it must aim primarily to provide all parties participating in the Programme with early indications of progress or lack thereof in the achievement of Programme objectives; while reporting it in a systematic and timely manner and providing essential information needed for decision-making by the competent authority.

E.2.1.2 Reporting is an integral part of the monitoring function. Monitoring aims at correcting problems related to the effective utilization of the results of the Programme.

E.2.1.3 Monitoring of the Programme must specially address the following:

- (a) the extent of progress of Programme activities and sub-activities and the production of outputs as envisaged in the Programme Document against established schedules and indicators of progress;



(b) identification and assessment of the factors affecting the progress of Programme activities and sub-activities and the production of outputs;

(c) assessment of prospects of the Programme achieving its immediate objectives;

(d) identification of actions necessary, and the deadlines by which they should be carried out in order to utilize opportunities for improving or correcting problems related to the implementation of the Programme.

E.2.1.4 Monitoring must normally result in immediate actions to promote the timely implementation of a Programme and the utilization of its results within the framework of established objectives and work plans. It may, however, result in a modification of the work plan or even in a revision of the Programme document.

E.2.2 COSCAP-NA Programme Monitoring

E.2.2.1 Programme Monitoring and review by Director TCB

The Director, Technical Cooperation Bureau, ICAO must monitor the Programme continuously through on-going correspondence on Programme implementation issues with the Chief Technical Advisor/Programme Coordinator.

E.2.2.2 Programme Monitoring and review by the Steering Committee

The Steering Committee must monitor the Programme through the working and discussion papers prepared for its regular meetings. During the meetings, the Steering Committee must review the progress of the Programme, adjust the Work Plan methodology and reapportion of costs as necessary.

E.3 Programme Reports

E.3.1 Progress reporting to ICAO/TCB

E.3.1.2 Brief Annual Report

The Chief Technical Advisor/Programme Coordinator must prepare and submit Annual Reports to the Director TCB for inclusion in the Annual Report of the Council of ICAO.

E.3.2 Progress Reporting to the Steering Committee



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E.3.2.1 The Chief Technical Advisor/Programme Coordinator must draft Working/Information Papers for each Steering Committee Meeting which will include, *inter-alia*, a paper on the progress of the Programme. After review by the Director, TCB, the papers will be submitted to the SC members and other participants in the meeting.

E.3.2.2 The activities undertaken by the COSCAP-NA programme can be categorized under three main headings, namely: Training (Courses/Workshops/Seminars), North Asia Regional Aviation Safety Team (NARAST), and Missions to Members to provide technical support. These activities are quite different, so different means of reporting on the results are required. The 7th Steering Committee of COSCAP-NA held in Xi'an, China 19-21 June 2007, adopted the Programme Results Reporting System contained in **E. 5 Appendix I** to be utilized for all reporting to the Steering Committee from SCM 8 onward.

E.3.2.3 For all Steering Committee Meetings an Implementation Report on the decisions taken in previous meetings must be prepared by the CTA/Programme Coordinator.

E.3.3 Technical Reports

Technical reports must be prepared – one for each of the technical specialties upon completion of the activities related to the specialty by the contracted expert/consultant. All technical reports, whether whole or in parts, must be treated as confidential and must not be made available to other than Programme Members without the consent of the Member(s) concerned.

E.3.4 Experts' End-of-Assignment Reports

At the end of his/her assignment each expert will prepare an End of Assignment report in accordance with the requirement of the ICAO TCB Field Operations Manual.

E.3.5 Experts' Mission Reports

Mission reports must be prepared after each mission outside the home base of the Programme. The reports must be prepared in conformity with the prescribed format and must bring out the mission's objective and its results in a precise manner. Any follow-up required must be indicated in the report. After the approval of the Chief Technical Advisor/Programme Coordinator, the report must be forwarded to the TCB and a copy of the same must be filed. Likewise, the Chief Technical Advisor/Programme Coordinator will submit his own Mission Reports to the, TCB.

E.4 Programme Evaluation

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The Steering Committee may undertake evaluation of the Programme at its discretion. ICAO may also undertake a detailed evaluation of the Programme as part of its functions. Similarly, a major donor agency may also undertake evaluation of the outcome of its contribution to the Programme.

E.5 Appendix I Programme Results Reporting System

E 5.1 Common System of Member Feedback/Input

E 5.1.1 As indicated in para E.3.2.2, the activities undertaken by the COSCAP-NA programme can be categorized under three main programme headings. COSCAPs have neither the resources nor the means, in most cases, to follow up on each programme heading provided to a Member in a timely manner. Members can greatly support these efforts by providing a feedback report to the COSCAP-NA programme at an appropriate time. Because many Members could be involved for certain programmes, it is important that a common system be established and that COSCAP-NA be the focal point for gathering and compiling the information.

E 5.2 Training (Courses/Workshops/Seminars)

E 5.2.1 One month after completion of a Course/Workshop/Seminar, the CTA will forward to the participants' Director General(s), a results report form (**see Attachment I**) to be completed by the Programme Member. The form will allow the Programme Member to offer feedback on the programme provided by COSCAP/donor, as well as to identify follow-up activities that may require the further support of COSCAP/donor. In addition, the Programme Member can identify results such as the intention to adapt material provided during the programme or to amend regulations, guidance material, etc.

E 5.2.2 In addition, participants to COSCAP-NA courses/seminars/workshops will be provided with an Evaluation Form (**see Attachment II**) which is to be completed and returned to the CTA upon completion of the training. A summary record of the Evaluation Forms will be posted on the COSCAP-NA website (<http://www.coscap-na.com/>).

E 5.2.3 COSCAP-NA programme will compile these forms and provide a summary in the Programme Progress Report presented at each Steering Committee Meeting.

E 5.2.4 It should be noted that some of the programmes provided by COSCAP (mainly seminars) serve as advance information on future requirements or provide general safety

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information of an educational nature. While feedback on the effectiveness of the programme may be solicited, there may not be any other resulting action required by COSCAP-NA or the Member.

E 5.2.5 While the objective of the COSCAP programme is to provide training support to Programme Members CAAs, their air operators and service providers may also participate where space is available. While participation of air operators and/or service providers is encouraged, results report forms will not be requested from them unless the service provider is part of the CAA.

E. 5.3 North Asia Regional Aviation Safety Team Results

E 5.3.1 North Asia Regional Aviation Safety Team (NARAST) meetings are normally conducted in advance of APRAST meetings, and a detailed record of discussions is prepared and forwarded to participants at the end of each meeting.

E 5.3.2 In addition to the record of discussions, a NARAST Implementation Status Report is prepared and provided to the NARAST and Steering Committee Meetings. The NARAST Implementation Status Report provides details of the implementation of NARAST recommendations by NARAST Members and, subsequently, the action taken by Members.

E 5.4 Missions to Members

E 5.4.1 In consultation with Members, a Work Plan of missions to Members is established by COSCAP-NA in December to cover the next calendar year. These missions offer the opportunity for COSCAP-NA to provide individual support to specific Members, such as Member-specific training programmes, on-the-job training, safety oversight support, USOAP preparations, and technical advice.

E.5.4.2 In advance of each mission, the schedule for the mission is to be confirmed in writing with the Member and ICAO TCB requested to authorize the mission. After completion of the mission, a mission report is provided to the Director General of the CAA and the APAC ICAO Regional Office on the activities completed and follow-up recommendations. The reports must be treated as draft until such time as Members declare it final. All reports, both in part or whole, shall be treated as confidential between the Member and ICAO and shall not be made available to other parties without the explicit written consent of the respective Member.

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E 5.4.3 As feedback to Steering Committee Members, the CTA will provide a brief report on what was accomplished during the missions to Members since the previous Steering Committee Meeting. The report will provide an overview of specific COSCAP-NA activities being conducted for each Member.



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Attachment I

COSCAP-NA Results Report From

Note: The information provided by your State will identify areas where improvements can be made to future programmes, identify follow-on support required by your State, and provide feedback on the results of the programme. Based on the information provided by all CAA participants, a consolidated report will be provided to the next Steering Committee Meeting. If there was more than one participant from your State, kindly consolidate the information onto one form.

1. Programme Venue:	
2. Subject:	
3. Names of participants from China:	
4. Comments on the quality of the programme and recommendations for improvement.	
5. If applicable, did the programme meet your training and/or information needs?	
6. As a result of this programme, what course of action may the CAA take to amend your requirements (if required).	
7. For the items identified in 6., above, or if you feel that additional training or information is required, kindly identify what additional support (if any) that you feel COSCAP/donors could provide.	

Signed on behalf of CAA:

Kindly email the completed form to COSCAP-NA at: email address



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Attachment II

Evaluation Form

COURSE EVALUATION BY PARTICIPANTS

(Classification: 5 = Excellent / 4 = Good / 3 = Average / 2 = Poor / 1 = Unacceptable)

	Classification				
Nº 1 Assessment of the course contents	5	4	3	2	1
a. Course topics are relevant.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. The training programme is?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. The training material is?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Theoretical aspects are properly complemented by practical exercises.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. The topics presented are related to aviations operations and/or can be applied in actual cases.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
f. The level of information is?	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Nº 2 Assessment of the instructors	5	4	3	2	1
a. Facilitate comprehension of the different topics presented.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
b. Facilitate group dialog, participation and teamwork.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
c. Motivate participants in the course topics.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
d. Maintain order and control timetable.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
e. Make adequate use of the training material and facilities.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>



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COURSE COMMENTS BY PARTICIPANTS

Nº 3 What suggestions can you offer to improve the course?

Nº 5 Other comments?

Name of the participant *(Optional)*:

Date: / /