ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME
Continuous Monitoring Approach

FINAL REPORT OF THE ICAO COORDINATED VALIDATION MISSION IN MONGOLIA

(29 August to 4 September 2017)

International Civil Aviation Organization

TABLE OF CONTENTS

— — — — — — — —

ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME
Continuous Monitoring Approach

Final Report of the ICAO Coordinated Validation Mission in Mongolia

(29 August to 4 September 2017)

1. INTRODUCTION

1.1 Background

1.1.1 Following successful implementation of the ICAO Universal Safety Oversight Audit Programme (USOAP) Comprehensive Systems Approach (CSA), the 37th Session of the Assembly (28 September – 8 October 2010) adopted Resolution A37-5, formalizing the evolution of the USOAP to a Continuous Monitoring Approach (CMA). The activities under the CMA framework include, among others, the ICAO Coordinated Validation Mission (ICVM).

1.1.2 A safety oversight audit of the civil aviation system of Mongolia was conducted from 28 June to 7 July 2010 under the USOAP CSA. Accordingly, Mongolia provided a corrective action plan (CAP) to ICAO, addressing the USOAP Findings and Recommendations (F&Rs) and outlining specific actions and deadlines for the correction of the deficiencies identified.

1.1.3 On 17 August 2012, Mongolia signed a Memorandum of Understanding (MOU) with ICAO regarding the USOAP CMA. According to the MOU, Mongolia agreed to an ICVM, which was conducted from 29 August to 4 September 2017. The mission evaluated the status of implementation of the latest CAP of the State on the USOAP F&Rs.

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

1.2 ICVM team composition

1.2.1 The ICVM team was composed of:

a) Mr. Nicolas Rallo, team leader, primary aviation legislation and specific operating regulations (LEG);
b) Mr. Jérôme Patoureaux, team member, personnel licensing and training (PEL)/aircraft operations (OPS); and
c) Mr. Len Wicks, team member, air navigation services (ANS).

1.2.2 The scope of the ICVM did not include the areas of civil aviation organization (ORG), airworthiness of aircraft (AIR), aircraft accident and incident investigation (AIG) and aerodromes and ground aids (AGA).

1.3 Acknowledgements

1.3.1 ICAO expresses its sincere appreciation for the assistance provided to the ICVM team during the preparation and conduct of the mission. The professionalism and enthusiasm of all personnel who interacted with the ICVM team contributed greatly to the success of the mission.

2. OBJECTIVES AND ACTIVITIES OF AN ICVM

2.1 The objective of an ICVM is to assess and validate the status of the corrective actions or mitigating measures taken by a State to address previously identified F&Rs, including any Significant Safety Concerns (SSCs). ICVMs also provide the State with on-site guidance on how to resolve the remaining deficiencies.

2.2 The scope of each ICVM is based on the following considerations:

a) the level of progress made by the State in resolving previously identified deficiencies;
b) significant changes in any of the audit areas within the State's civil aviation system;
c) the State safety risk profile; and
d) whether or not an on-site activity is required or requested.

2.3 The ICVM process reviews and updates the status of Protocol Questions (PQs) previously assessed as "not satisfactory" based on progress made by the State in resolving identified F&Rs and in implementing its CAP. The information collected and documented through ICVMs is validated at ICAO Headquarters (HQ) and the status of the State's overall Effective Implementation (EI) duly updated.

2.4 Corrective actions taken by a State to resolve SSCs, if any, are also reviewed during the ICVM and submitted to ICAO HQ for further action.

3. ICVM RESULTS

3.1 Executive summary

3.1.1 The USOAP audit of the civil aviation system of Mongolia conducted in 2010 generated an overall EI of 87.92 per cent for the eight critical elements (CEs) of the State's safety oversight system.

3.1.2 The ICVM in Mongolia was conducted from 29 August to 4 September 2017. The ICVM team reviewed the progress in addressing 55 PQs in the areas of LEG, PEL, OPS and ANS. Following this review, the status of 12 PQs was changed to satisfactory, resulting in an updated overall EI of 89.55 per cent.

3.1.2.1 The scope of the mission did not include the areas of ORG, AIR, AIG and AGA.

3.1.3 The CEs with the lowest EIs after the ICVM are:

a) CE-2, *Specific operating regulations*, at 78.35 per cent;
b) CE-7, *Surveillance obligations*, at 81.08 per cent; and
c) CE-1, *Primary aviation legislation*, at 87.50 per cent.

3.1.4 Information on the civil aviation system and activities in the areas of LEG, ORG, PEL, OPS, AIR, AIG, ANS and AGA of Mongolia may be found in the State Aviation Activity Questionnaire (SAAQ), which is updated regularly by the Civil Aviation Authority of Mongolia (MCAA) through the USOAP CMA online framework.

3.1.5 Analyses of the EI by the eight CEs of the safety oversight system in Mongolia (Figure 1) as well as by areas (Figure 2) are found in Appendix 1 of this report. Also highlighted are recommendations for the State's high and other priorities to resolve the identified deficiencies.

3.2 Analysis of ICVM results

3.2.1 A breakdown of the ICVM results by sub-areas of CEs 1 to 4 is provided in Appendix 2 of this report.

3.2.2 A breakdown of the ICVM results by sub-area groupings for PEL, OPS and ANS is provided in Appendix 3 of this report.

3.2.3 The status of the PQs in the areas of LEG, PEL, OPS and ANS resulting from the ICVM conducted in Mongolia may be accessed by registered users on the USOAP CMA online framework: https://www.icao.int/usoap.

4. VISITS TO THE INDUSTRY/SERVICE PROVIDERS

4.1 Accompanied by staff members of the State's civil aviation system, the ICVM teams visit aviation service providers, operations and maintenance departments of operators and maintenance organizations, aeronautical product/equipment manufacturers, aviation training institutes, etc. The objective of the visits is to validate the capability of the State to supervise the activities of these service providers, airlines and organizations.

4.2 In the case of Mongolia, the ICVM team visited the following organizations:

a) MIAT Mongolian Airlines, Hunnu Air and Aero Mongolia (OPS); and
b) Air Traffic Services Division of Mongolia (Air Traffic Services and Search and Rescue Services Provider); Aviation Meteorological Centre, part of the National Agency for Meteorology and Environment Monitoring (NAMEM); and Aeronautical Information Services Division (ANS).

5. FOLLOW-UP ACTION

5.1 In accordance with the MOU agreed to between Mongolia and ICAO, Mongolia replied in a letter dated 5 December 2017 that it had no comments on the draft report.

5.2 According to the MOU, the State undertakes to submit its updated CAPs directly on the USOAP CMA online framework (https://www.icao.int/usoap) within 45 days after receipt of this final report.

5.3 The CAPs should provide specific actions and estimated implementation dates, as well as a responsible office for taking action to correct the deficiencies identified in the findings. Further guidance on how to develop effective CAPs is outlined in the "Guidance for States on Developing Corrective Action Plans (CAPs)", which can be found in the "CMA Library" of the online framework.

5.4 ICAO will provide Mongolia with feedback on the acceptability of the proposed updated CAPs. If any proposed corrective actions do not fully address the associated findings, the State will be notified accordingly.

5.5 If no CAP is submitted, ICAO will contact Mongolia to determine the reasons for not providing a CAP and report its findings to Council.

— — — — — — — —

Appendix 1 — Executive Summary

Mongolia	EI before ICVM:	87.92%
	EI after ICVM:	89.55%

Figure 1. Effective Implementation by Critical Element of a Safety Oversight System

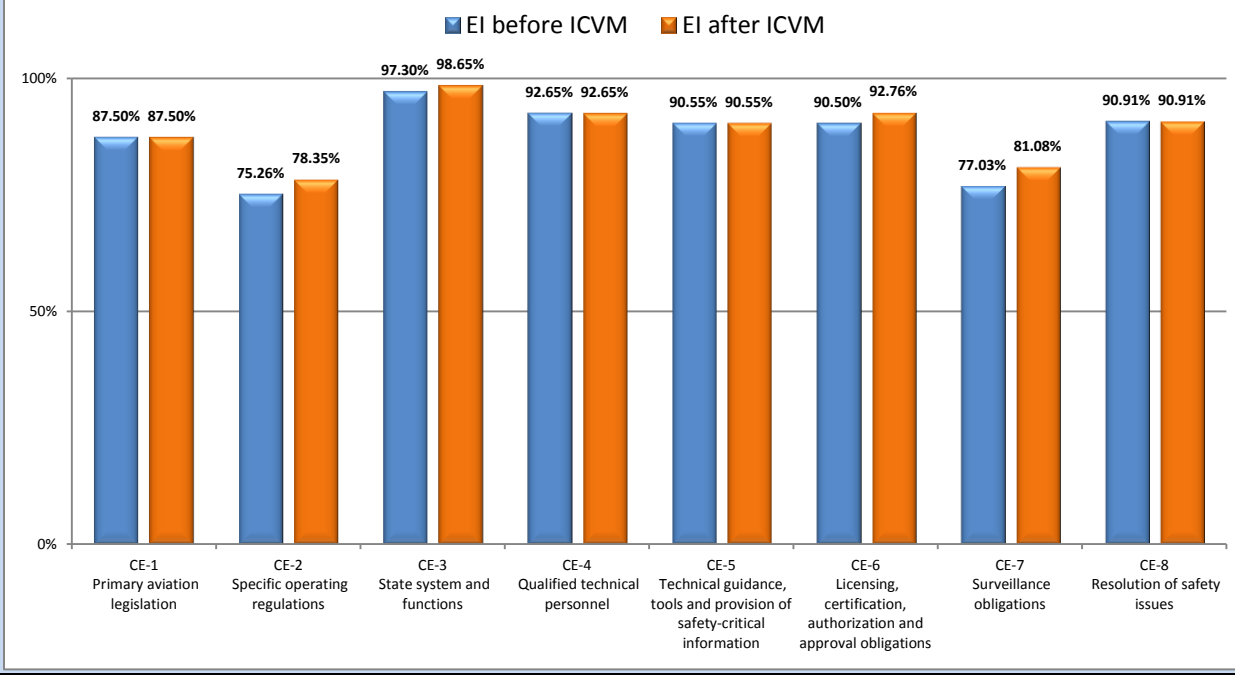
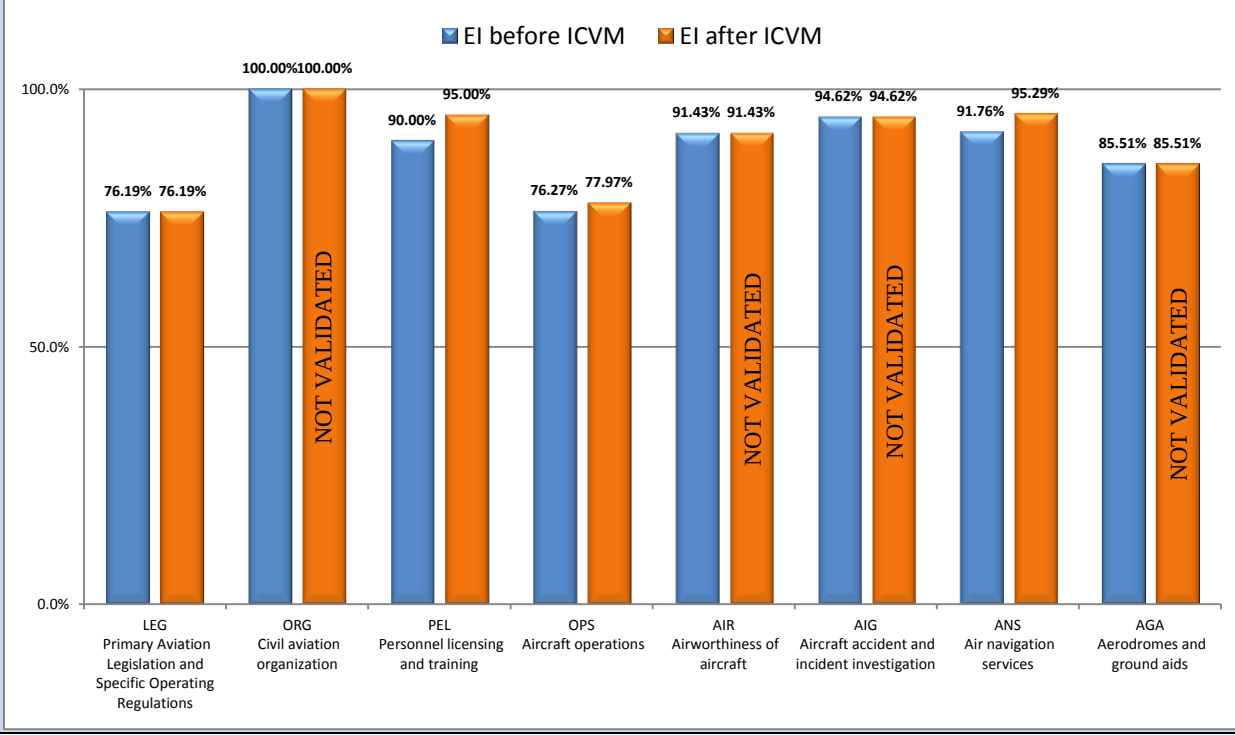


Figure 2. Effective Implementation by Area



Analysis

Considering the overall results outlined in Figures 1 and 2, the information below has been developed to assist the State in prioritizing its remedial actions.

High Priorities:

LEG:

1) Establish and implement amended procedures, with timelines and guidance as needed for the various tasks, to identify and notify to ICAO the differences between the State's regulations and practices and the Standards and Recommended Practices (SARPs), and to determine the need for amendments to the State's legislation.
2) Significantly increase the amounts of the penalties included in the State's primary legislation to ensure that they act as a deterrent against violations of the applicable legislation.
3) Take actions to ensure a formal, relevant and clear delegation of authority from the MCAA Director General to each inspector.
4) Publish in the Aeronautical Information Publication of Mongolia, and periodically amend, as needed, the list of significant differences between the State's regulations and practices and the SARPs, Procedures for Air Navigation Services and Regional Supplementary Procedures.
5) Amend the regulations related to aircraft operations and the transport of dangerous goods by air in order to transpose all applicable provisions of the related Annexes to the Chicago Convention.
6) Promulgate regulatory provisions to make it mandatory for any civil aircraft under the Mongolia registry or operated by Mongolian air operators to comply with interception orders from other States.
7) Promulgate regulations and additional requirements for an air operator applying for a special authorization to operate a single-engine turbine powered aeroplane at night.

*PEL***:**

1) Establish and implement a comprehensive surveillance programme of approved training organizations.
2) Implement a system to ensure consistency and reliability of testing by the designated flight examiners, regarding all types of aircraft ratings.

OPS:

1) Ensure effective evaluations by the MCAA inspectors through accurate, thorough and documented reviews (including desktop and/or on-site reviews, as appropriate) for all items to be assessed, as per the established requirements, procedures and checklists.
2) Perform a thorough and documented review of the training programmes for all categories of personnel of the air operators.
3) Ensure that all air operators maintain current records of flight time, flight duty periods, duty periods and rest periods of flight and cabin crew members.
4) Implement a comprehensive surveillance programme to verify that all air operator certificate holders (including foreign air operators) comply, on a continuing basis, with applicable regulations.
5) Perform regular and random inspections of all entities, including freight forwarders (shippers), involved in the transport of dangerous goods by air.

ANS:

Review and update the Air Traffic Management (ATM) Contingency Plan, including coordination with ICAO, stakeholders, the Russian Federation and China, taking into account partial degradations, natural disasters and public health emergencies.

Other Priorities:

ANS:

1) Implement the World Aeronautical Chart — ICAO 1:1 000 000 series for Mongolia.
2) Perform a thorough assessment of the air traffic service (ATS) provider's safety management system (SMS), through accurate and documented reviews (including desktop and/or on-site reviews, as appropriate) by MCAA inspectors, with a view to ensuring an effective implementation of the SMS, especially with respect to:
   a) open safety reporting within a just culture environment;
   b) integrated safety reporting databases;
   c) proactive safety assessments for all significant changes; and
   d) safety reviews that include corrective and preventive action assessments.
3) Establish an acceptable level of safety performance to be achieved in the provision of ATS.

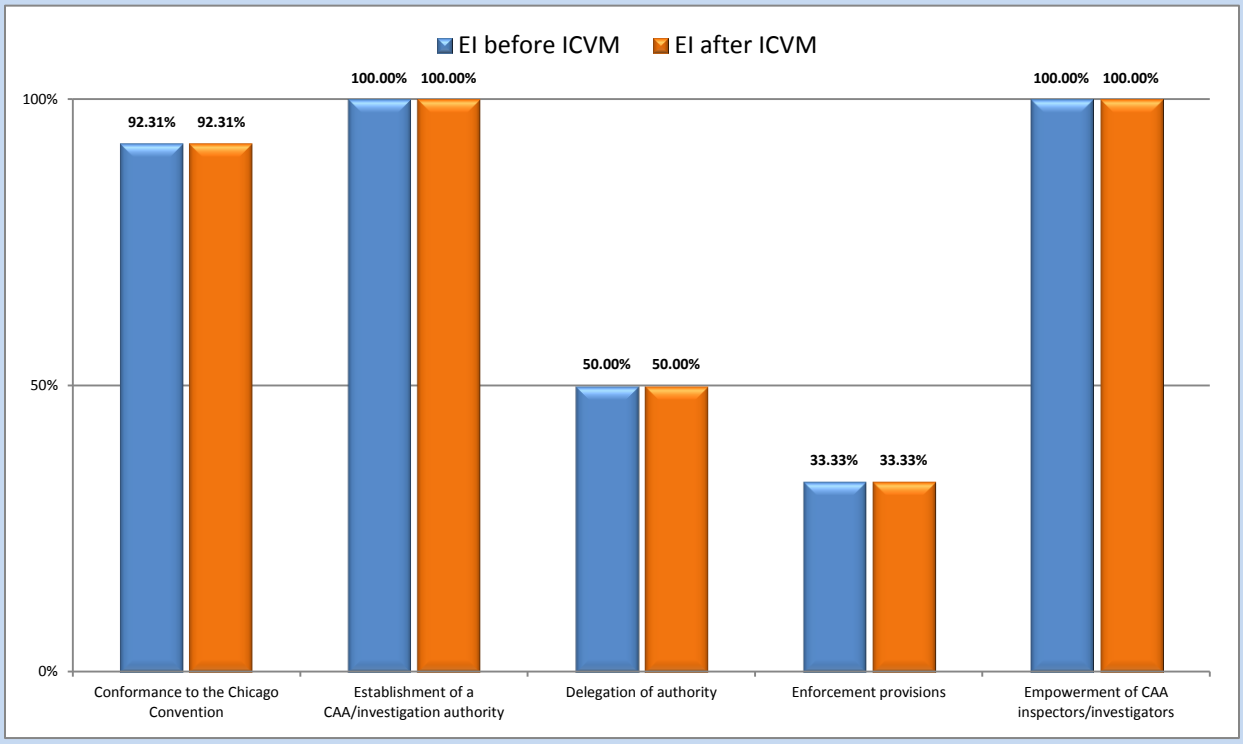
— — — — — — — —

Appendix 2 — Analysis of Results by Sub-Areas of Critical Elements 1 to 4

CE-1 Primary Aviation Legislation	EI before ICVM:	87.5%
	EI after ICVM:	87.5%

The promulgation of a comprehensive and effective aviation law, commensurate with the size and complexity of the State's aviation activity and consistent with the requirements contained in the Convention on International Civil Aviation, to enable the oversight and management of civil aviation safety and the enforcement of regulations through the relevant authorities or agencies established for that purpose.

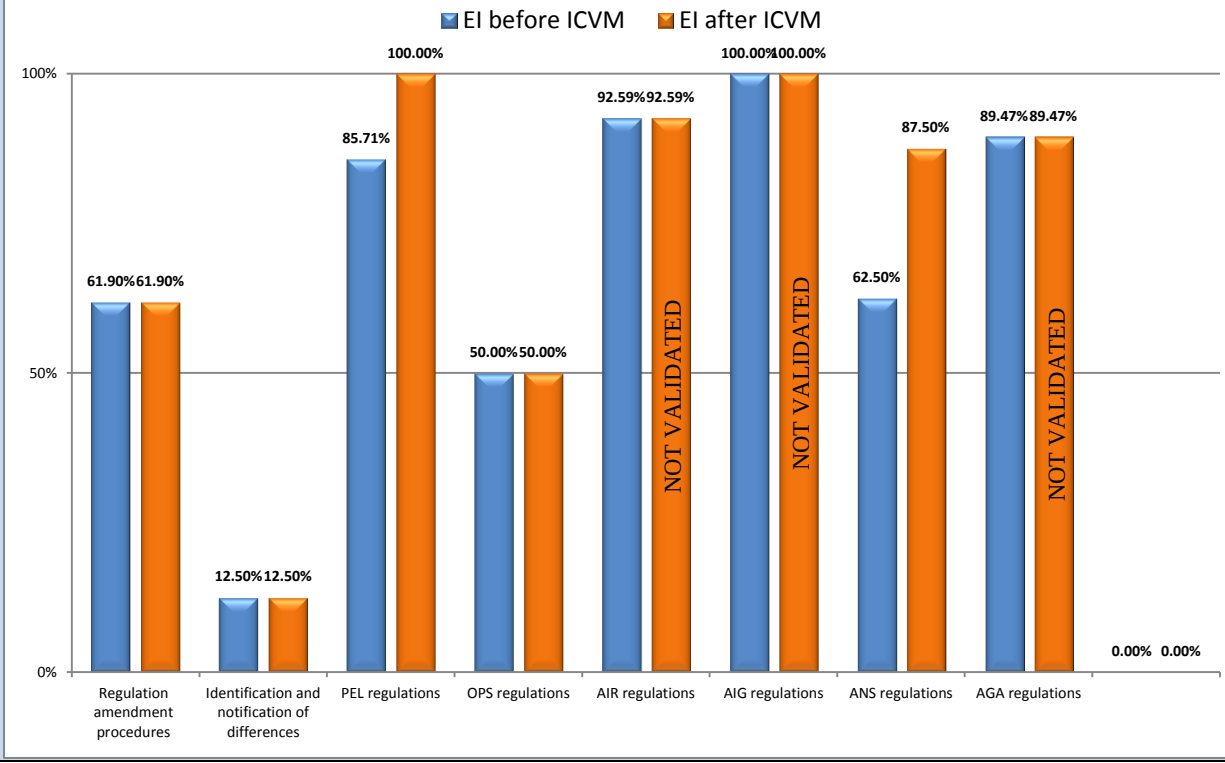
Figure 3. Effective Implementation (%) in CE-1 sub-areas



CE-2 Specific Operating Regulations	EI before ICVM:	75.26%
	EI after ICVM:	78.35%

The promulgation of regulations to address, at a minimum, national requirements emanating from the primary aviation legislation, for standardized operational procedures, products, services, equipment and infrastructures in conformity with the Annexes to the Convention on International Civil Aviation.

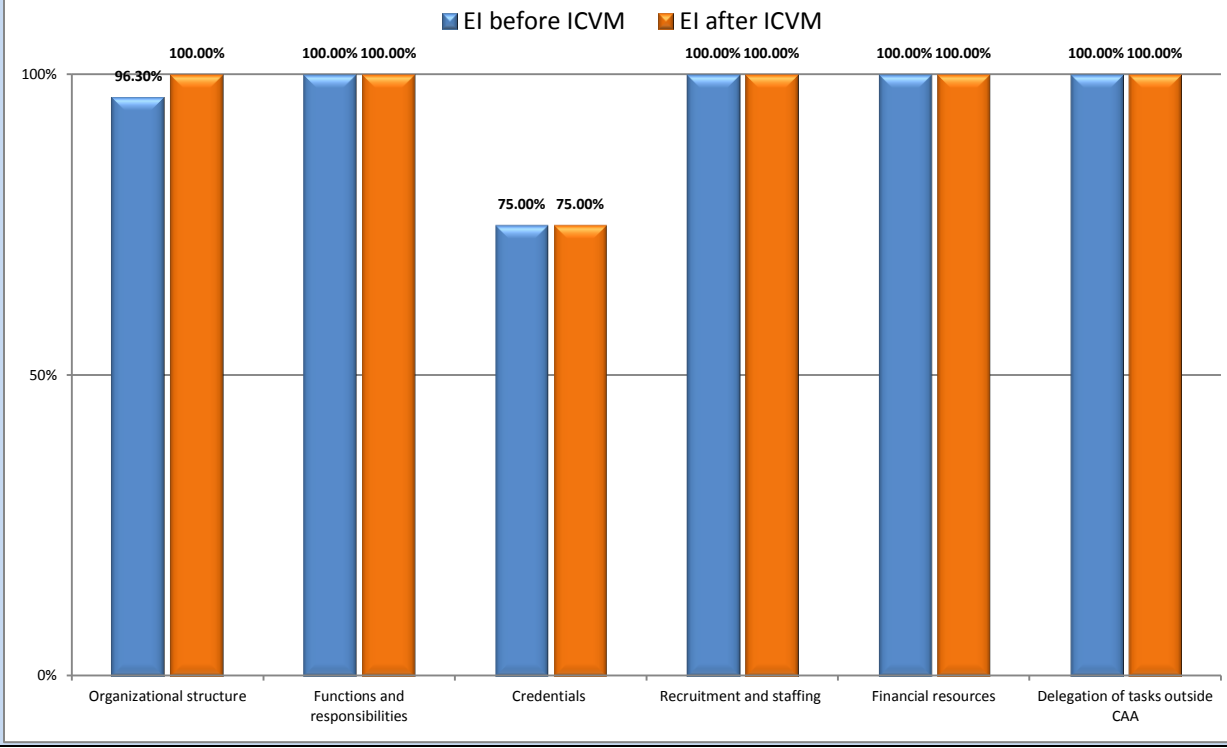
Figure 4. Effective Implementation (%) in CE-2 sub-areas



CE-3 State System and Functions	EI before ICVM:	97.3%
	EI after ICVM:	98.65%

The establishment of relevant authorities or government agencies, as appropriate, supported by sufficient and qualified personnel and provided with adequate financial resources for the management of safety. The State authorities or agencies shall have stated safety functions and objectives to fulfil their safety management responsibility.

Figure 5. Effective Implementation (%) in CE-3 sub-areas

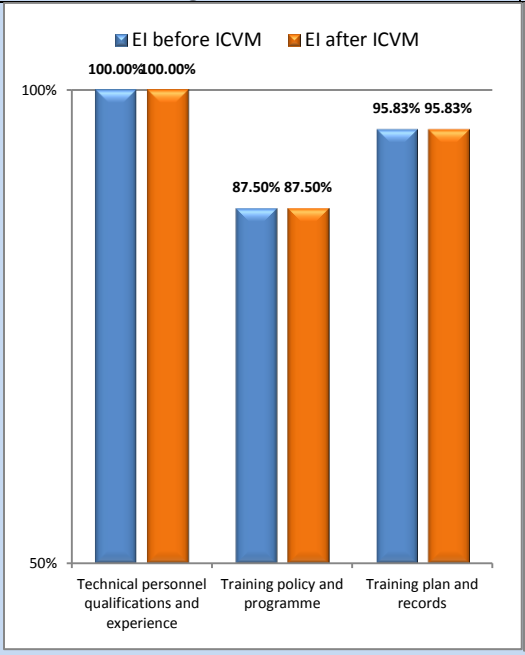


CE-4 Qualified Technical Personnel	EI before ICVM:	92.65%
	EI after ICVM:	92.65%

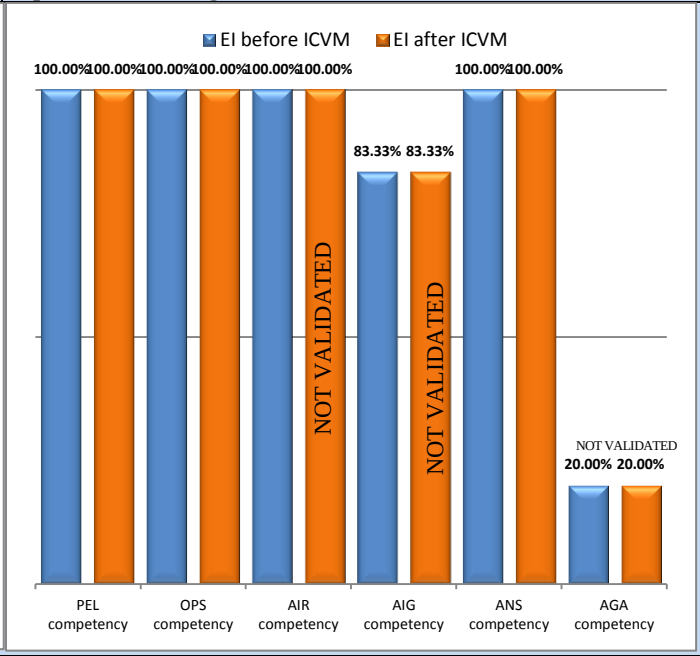
The establishment of minimum qualification requirements for the technical personnel performing safety-related functions and the provision of appropriate initial and recurrent training to maintain and enhance their competence at the desired level. States shall implement a system for the maintenance of training records for technical personnel.

Figure 6. Effective Implementation (%) in CE-4 sub-areas

Overall Training Areas



Specific Training Areas



— — — — — — — —

Appendix 3 — Analysis of Results by Validated Areas

Figure 7. Personnel Licensing and Training (PEL)
Protocol Questions by sub-area groupings

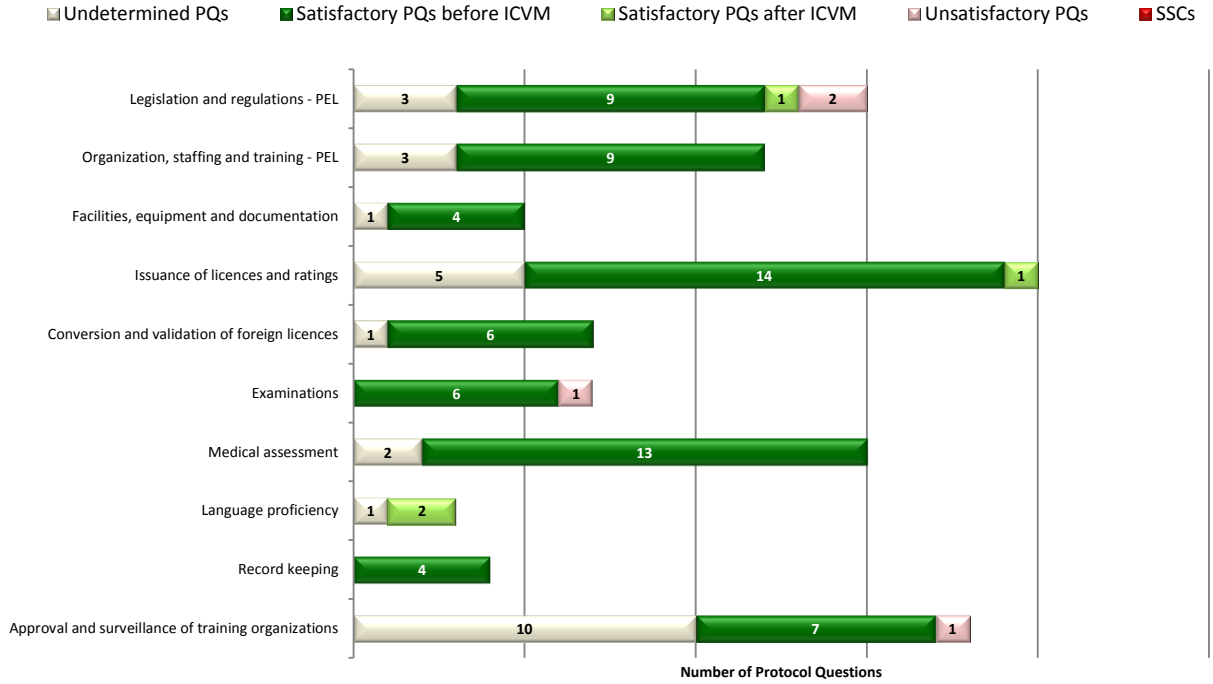


Figure 8. Aircraft Operations (OPS)
Protocol Questions by sub-area groupings

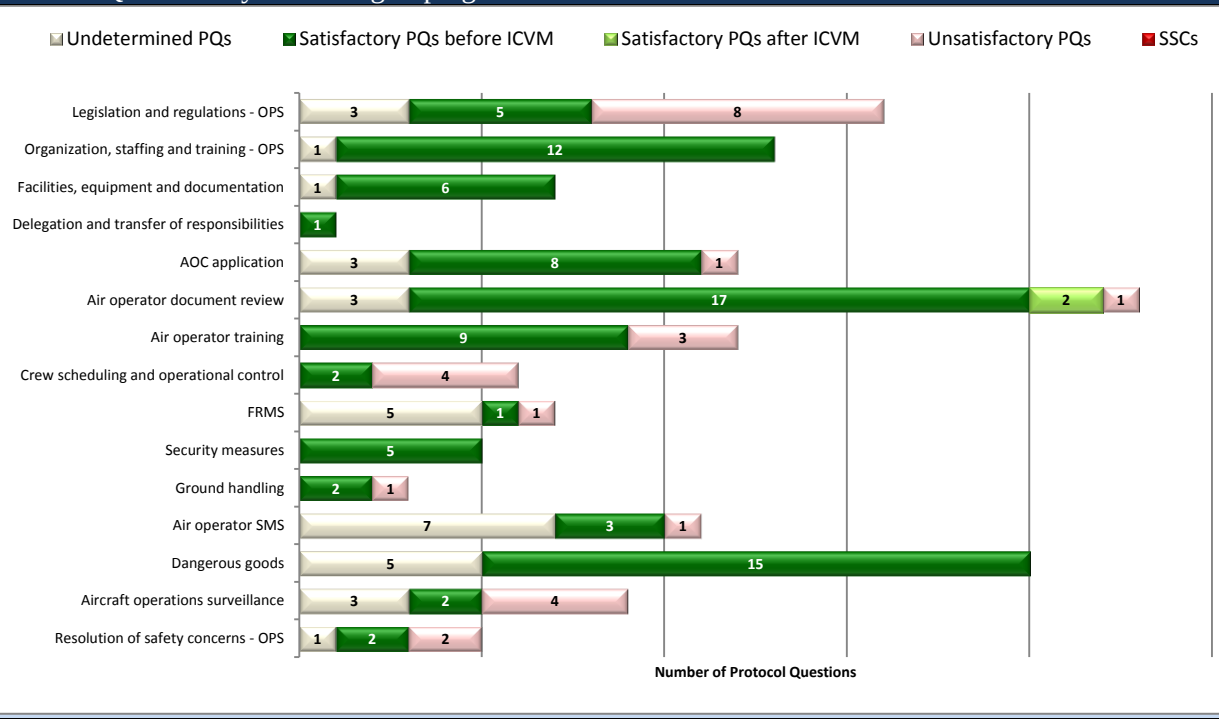
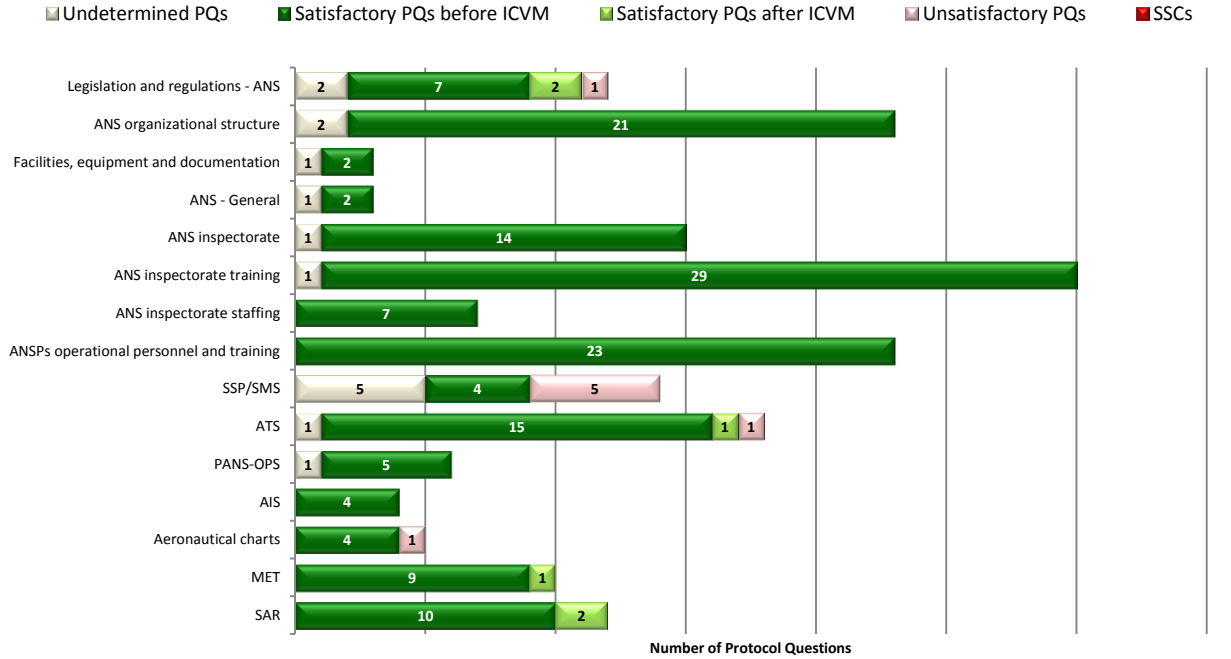


Figure 9. Air Navigation Services (ANS)
Protocol Questions by sub-area groupings



— END —