

ICAO Universal Safety Oversight Audit Programme

**FINAL REPORT
ON THE SAFETY OVERSIGHT AUDIT
OF THE
CIVIL AVIATION SYSTEM
OF
MONGOLIA**

(28 June to 7 July 2010)



International Civil Aviation Organization

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ICAO UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME

Final Report on the Safety Oversight Audit of the Civil Aviation System of Mongolia

(28 June to 7 July 2010)

1. INTRODUCTION

1.1 Background

1.1.1 The 32nd Session of the ICAO Assembly (Assembly Resolution A32-11 refers) resolved the establishment of the ICAO Universal Safety Oversight Audit Programme (USOAP), comprising regular, mandatory, systematic and harmonized safety audits of all Contracting States. The mandate for regular audits foresaw the continuation of the Programme, and the term “safety audits” suggested that all safety-related areas should be audited. The expansion of the Programme “at the appropriate time”, as recommended by the 1997 Directors General of Civil Aviation Conference on a Global Strategy for Safety Oversight, had thus been accepted as an integral part of the future of the Programme.

1.1.2 The 35th Session of the ICAO Assembly considered a proposal of the Council for the continuation and expansion of the USOAP as of 2005 and resolved that the Programme be expanded to cover all safety-related Annexes to the *Convention on International Civil Aviation*, hereinafter referred to as the “Chicago Convention” (Assembly Resolution A35-6 refers). The Assembly also requested the Secretary General to adopt a comprehensive systems approach for the conduct of safety oversight audits.

1.1.3 Assembly Resolution A35-6 further directed the Secretary General to ensure that the comprehensive systems approach maintain as core elements the safety provisions contained in Annex 1 — *Personnel Licensing*, Annex 6 — *Operation of Aircraft*, Annex 8 — *Airworthiness of Aircraft*, Annex 11 — *Air Traffic Services*, Annex 13 — *Aircraft Accident and Incident Investigation* and Annex 14 — *Aerodromes*; to make all aspects of the auditing process visible to Contracting States; to make the final safety oversight audit reports available to all Contracting States; and also to provide access to all relevant information derived from the Audit Findings and Differences Database (AFDD) through the restricted website of ICAO.

1.1.4 In accordance with Assembly Resolution A35-6, safety oversight audit reports have been restructured to reflect the critical elements of a safety oversight system, as presented in ICAO Doc 9734 — *Safety Oversight Manual*, Part A — *The Establishment and Management of a State’s Safety Oversight System*. ICAO Member States, in their effort to establish and implement an effective safety oversight system, need to consider these critical elements.

1.2 ICAO audit team composition

1.2.1 The safety oversight audit team was composed of: Mr. Richard Kawaguchi, team leader, primary aviation legislation (LEG)/civil aviation organization (ORG)/airworthiness of aircraft (AIR); Ms. CJ Collins, team member, personnel licensing (PEL)/aircraft operations (OPS); Mr. Allan Tang, team member, aircraft accident and incident investigation (AIG); Mr. Samuel Ko Oon Kok, team member, air navigation services (ANS); and Ms. Aude Bernadac, team member, aerodromes (AGA).

1.3 Acknowledgements

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

2. OBJECTIVES AND ACTIVITIES OF THE AUDIT MISSION

2.1 The comprehensive systems approach for the conduct of safety oversight audits consists of three phases. In the first phase, the level of implementation of Annex provisions is assessed and differences from ICAO Standards and Recommended Practices (SARPs) are identified for each Contracting State through a review of a duly completed State Aviation Activity Questionnaire (SAAQ) and Compliance Checklists (CCs) for all safety-related Annexes, as well as through a review of documents developed by the State to assist it in implementing SARPs and in maintaining an effective safety oversight system. In the second phase, the State being audited is visited by an ICAO audit team to validate the information provided by the State and to conduct an on-site audit of the State's overall capability for safety oversight. The third phase of the audit process consists of the activities following the completion of the on-site audit.

2.2 The safety oversight audit of Mongolia was carried out from 28 June to 7 July 2010 in accordance with the standard auditing procedures provided for in ICAO Doc 9735 — *Safety Oversight Audit Manual* and the revised Memorandum of Understanding (MOU) as approved by the ICAO Council on 29 November 2006 (C-DEC 179/12 refers) and agreed to on 4 August 2009 between Mongolia and ICAO. The audit was carried out with the objective of fulfilling the mandate given by the Assembly which requires ICAO to conduct a safety oversight audit of all Contracting States (Assembly Resolutions A32-11 and A35-6 refer), reviewing a State's compliance with ICAO SARPs set out in all safety-related Annexes and their associated guidance material, as well as with related Procedures for Air Navigation Services (PANS). Furthermore, the objective was also to offer advice, as applicable, to Mongolia in implementing these provisions.

2.3 The audit team reviewed the SAAQ and the CCs submitted by Mongolia prior to the on-site audit in order to have a preliminary understanding of the civil aviation system established in the State, to determine its various functions as well as to assess the status of implementation of relevant Annex provisions. Information provided and assessed prior to the conduct of the audit was validated during the on-site audit phase. In this regard, particular attention was given to the presence of an adequate organization, processes, procedures and programmes established and maintained by Mongolia to assist it in fulfilling its safety oversight obligations.

2.4 The audit results, including the findings and recommendations contained in this report, reflect the capabilities and limitations of the civil aviation system of Mongolia as assessed by the audit team. They are thus based on evidence gathered during interviews by the audit team with Mongolia's technical experts and background information provided by such personnel, review and analysis of civil aviation legislation, specific regulations, related documentation and file records. Considering the time that was available to conduct the audit and the fact that the safety oversight audit team members could only review and analyse information and documentation made available by the State, it is possible that some safety concerns may not have been identified during the audit. The findings and recommendations related to each audit area are found in Appendix 1 to this report.

3. AUDIT RESULTS

3.1 Critical element 1 — Primary aviation legislation

“The provision of a comprehensive and effective aviation law consistent with the environment and complexity of the State’s aviation activity, and compliant with the requirements contained in the *Convention on International Civil Aviation*.”

3.1.1 The State’s primary aviation legislation is the *Civil Aviation Law of Mongolia* (hereinafter referred to as the “Law”), which was drafted by the Ministry of Roads, Transportation, Construction and Urban Development (hereinafter referred to as the “Ministry”) and approved by Parliament on 21 January 1999. The Law has since been amended four times; the latest amendment was issued in the State Information Publication on 19 December 2008. Amendments to the Law are initiated or drafted by the Minister, who then consults with any related government organizations. The draft is submitted to the Ministry of Justice for acceptance or approval and subsequently to the Cabinet of the Prime Minister for discussion. The draft amendment to the Law is then submitted to Parliament for promulgation. It officially goes into effect when it appears in the State Information Publication. The process typically takes one and a half years to be completed.

3.1.1.1 The Law applies to the airspace of Mongolia and all matters related to civil aviation safety and security. It consists of 44 articles which are grouped under the following ten chapters:

- a) Chapter I, General Provisions (Articles 1 to 4);
- b) Chapter II, State Regulation of Civil Aviation (Articles 5 to 14);
- c) Chapter III, Civil Aircraft (Articles 15 to 18);
- d) Chapter IV, Aerodromes (Articles 19 to 22);
- e) Chapter V, Flight Operations (Articles 23 to 29);
- f) Chapter VI, International Air Services (Articles 30 to 33);
- g) Chapter VII, Air Transportation (Articles 34 to 38);
- h) Chapter VIII, Safety Regulation of Civil Aviation (Articles 39 to 40);
- i) Chapter IX, Air Accident Investigation (Articles 41 to 43); and
- j) Chapter X, Miscellaneous (Article 44).

Article 7 of the Law establishes that the Minister has the authority to approve the organizational structure of the Civil Aviation Authority of Mongolia (MCAA) and approve the Mongolian Civil Aviation Rules (MCARs). The MCAA is the agency charged with the oversight and regulation of civil aviation activities in Mongolia. The MCAA also has the authority to draft aviation safety regulations and standards in compliance with the Annexes to the Chicago Convention and present them for approval by the Minister. Article 6 establishes the appointment of the Director General of the MCAA at the suggestion of the Minister. Article 8 of the *State Agency Law of Mongolia*, dated 15 April 2004, empowers the Director General of the MCAA to issue additional orders and circulars in support of safety oversight activities.

3.1.1.2 Article 8 of the Law allows for the delegation of certain powers relating to aviation safety surveillance/oversight by the MCAA to its employees or an appointed aviation safety inspector. This delegation is detailed in the Delegation Agreement between the Director General of the MCAA and the directors of each MCAA division. In addition, Article 9 of the Law directly grants the following powers to inspectors:

- a) to have unrestricted access to civil aviation related areas for the purpose of conducting safety inspections;
- b) to demand copies of aviation documents;
- c) to detain an aircraft in case of necessity; and
- d) to suspend aviation documents, if necessary.

Inspectors are provided with credentials issued by the Director General of the MCAA; they include reference to Article 9 of the Law and a listing of their direct powers. Credentials for some of the inspectors state that they have the power to detain aircraft and suspend aviation documents; however, clear guidance in performing these actions has not been provided to inspectors in the relevant procedures manuals.

3.1.1.3 The MCAA has established policies and procedures for enforcement. Article 44 of the Law addresses liability for violation of the law or regulations. For those violations that do not constitute grounds for criminal liability, this article empowers a judge or State inspector to impose penalties, which can be either in the form of a monetary fine or a suspension of a licence, certificate or authorization. These fines fall within the guidelines established by the *Administrative Liability Law* promulgated on 27 November 1992; however, they are not sufficient to serve as a deterrent to regulatory violations.

3.1.1.4 Article 33 of the Law provides for the recognition of foreign aircraft documents, provided they comply with the provisions of international conventions and agreements. Mongolia ratified Article 83 *bis* of the Chicago Convention on 22 September 1999, and it has entered into an Article 83 *bis* agreement with Ireland.

3.1.2 With respect to personnel licensing, Article 39¹.1 of the Law grants the MCAA the authority to issue licences and medical certificates to civil aviation personnel.

3.1.3 Regarding aircraft operations, Article 7.1.9 of the Law grants to the Ministry the power to approve procedures for granting special permissions for engaging in commercial air transport operation. Article 7.1.11 grants the power to regulate the designation of air operators for performing international flights. Article 13.1.1 requires an organization or individual intending to engage in commercial air transport operations to obtain special permission granted by the MCAA, while Article 30.1 requires international flights to and from Mongolia to be subject to authorization from the MCAA. Article 34.1 requires air operators to comply with the rules for air transportation, and Article 35.1 requires the transport of dangerous goods by air to be conducted in accordance with Mongolian laws and regulations, as well as international conventions. Article 39³.1 grants the MCAA the authority to issue air operator certificates (AOCs) for commercial air transport operations, and Article 39⁴.1 requires air operators to develop standard procedures for safe operations.

3.1.4 Concerning airworthiness, Article 15 of the Law contains general provisions, stating that design, modification and alteration of aircraft shall be approved by the MCAA. Article 15 also states that foreign manufactured aircraft require type acceptance by the MCAA prior to commencing operations. Articles 11.2.1 and 16 of the Law make provisions for registration and deregistration of aircraft. Articles 11.2.2 and 39.2 provide for the certificate of airworthiness and its contents. Environmental noise requirements and surveillance of maintenance organizations are addressed in Articles 11.2.15 and 11.2.3, respectively.

3.1.5 In the area of air navigation services, Articles 8 and 9 of the Law provide the air navigation services inspectorate staff with the powers and enforcement to carry out its safety oversight functions. In regulating civil aviation activities, Article 11.2.8 states that the MCARs shall address the safety, efficiency and regularity of air navigation. The provision of air traffic control service within the airspace of Mongolia by the civil aviation Air Traffic Services (ATS) Division is covered in Article 24 of the Law.

3.1.5.1 Article 11.2.9 of the Law enables the MCAA to issue certificates to the aviation meteorological organization. The MCAA has an agreement with the National Agency of Meteorology, Hydrology and Environment Monitoring concerning the certification of the Aviation Meteorological Centre as the service provider for aeronautical meteorological services (MET). Article 29 of the Law addresses the provision of search and rescue services (SAR) for aircraft in danger or in an emergency situation. The Rescue Coordination Centre (RCC) in the ATS Division of the Aeronavigation Services Department coordinates search and rescue efforts in conjunction with the National Emergency Management Agency, in accordance with the *Disaster Relief Law of Mongolia*, promulgated in 2003.

3.1.6 With respect to aerodromes, the Law provides for a legal framework. Articles 7.1 and 8.4 of the Law empower the Ministry to promulgate aerodrome regulations developed by the MCAA for the implementation of Annex 14, Volume I to the Chicago Convention. Furthermore, the MCAA is empowered to develop technical requirements. Article 13.1 of the Law stipulates that an aerodrome operator shall obtain a “permission” or aerodrome certificate. No heliports or military aerodromes are used for international civil aviation purposes.

3.1.7 Under Article 7 of the Law, the Minister may appoint the General Investigator/Director and investigators of the Air Accident Investigation Bureau (AAIB). The Minister may also approve the by-laws of the AAIB. Concerning aircraft accident and serious incident investigation, the regulatory framework for the creation of an independent and separate agency is provided in Chapter IX of the Law. Article 42 of the Law also empowers the AAIB to conduct aircraft accident and serious incident investigations and to allow participation of all States concerned in an investigation in conformance with the provisions of Annex 13 to the Chicago Convention.

3.2 **Critical element 2 — Specific operating regulations**

“The provision of adequate regulations to address, at a minimum, national requirements emanating from the primary aviation legislation and providing for standardized operational procedures, equipment and infrastructures (including safety management and training systems), in conformance with the Standards and Recommended Practices (SARPs) contained in the Annexes to the *Convention on International Civil Aviation*.

Note.— The term ‘regulations’ is used in a generic sense to include instructions, rules, edicts, directives, sets of laws, requirements, policies, orders, etc.’”

3.2.1 Article 8 of the Law specifies that the MCAA has the authority to draft MCARs in compliance with the Annexes to the Chicago Convention and then present them for approval to the Ministry. According to Article 7, only the Minister has the power to approve the MCARs. Procedures for the amendments to the MCARs are contained in MCAR-11, Rule Making and Exemption, last amended on 7 May 2010. The proposed amendment is initiated by a petition for rulemaking, which is submitted to the Aviation Safety Regulations Department of the MCAA for discussion. Once the petition is approved, the Department will designate a project manager and initiate a project working group. The Rulemaking and Rule Registration Division of the Department then begins the development of the proposed draft rule. The working group consults with air operators, service providers and other related organizations. Subsequently, the Director General of the MCAA conducts a general board meeting to consider the final draft version of the proposed rule. The MCAA submits the draft rule to the Minister for approval, who in turn submits the rule to the Ministry of Justice and Home Affairs for registration and publication. The regulations are available to the public on the MCAA website: www.srd.mcaa.gov.mn.

3.2.1.1 The Director General of the MCAA has approved and issued the ICAO Related Document Handling Procedure, dated November 2009, which addresses the identification and notification of differences between the MCARs and the Annexes to the Chicago Convention. The Air Talk Division of the MCAA receives the ICAO State Letters and distributes them to the relevant technical divisions for the review of the current regulations to confirm compliance with the Annexes. If differences are identified, the Rulemaking and Rule Registration Division and the appropriate MCAA technical division will coordinate to amend the regulation. The relevant division then submits an updated list of the differences to the Air Talk Division, which obtains endorsement from the Director General of the MCAA or the Senior Deputy Director. Subsequently, the differences are notified to ICAO, and significant differences are published in the Aeronautical Information Publication (AIP) of Mongolia. However, the notification of differences to ICAO does not always include the latest amendment of the Annexes to the Chicago Convention. In addition, the references to the Annexes contained in the AIP do not include the amendment or the edition numbers. Furthermore, the amendments to the MCARs are sometimes promulgated well after the effective date of the amendment to the Annex.

3.2.1.2 MCAR-11 also provides the procedures related to the application for and the issuance of exemptions. The Aviation Safety Regulations Department accepts and registers the application and then reviews it with the relevant MCAA division. The relevant division then issues a conclusion with the condition of exemption to the Director General of the MCAA, who has the authority to grant the exemption, after which it is introduced to the public through the MCAA website and the AIP.

3.2.2 In the area of personnel licensing, various sections of the MCARs provide regulations to implement the provisions of Annex 1 to the Chicago Convention. These were last amended on 16 April 2010 and are available to the public. The personnel licensing regulations include the following:

- a) MCAR-61, Pilot Licences and Ratings;
- b) MCAR-63, Flight Crew Member Other Than Pilots – Licences and Ratings;
- c) MCAR-65, Air Traffic Services Personnel Licences and Ratings;
- d) MCAR-66, Aircraft Maintenance Personnel Licensing;
- e) MCAR-67, Medical Standards and Certification;
- f) MCAR-141, Aviation Training Organizations – Certification; and
- g) MCAR-183, Representatives of the MCAA.

MCAR-61 contains regulations for aviation personnel to demonstrate their ability to speak and understand the English language for radiotelephony communications. However, rather than complying with the Annex 1 implementation date of 5 March 2008, the regulations require language proficiency demonstration only after 1 March 2011.

3.2.3 In the area of aircraft operations, various sections of the MCARs allow for implementation of the provisions of Annexes 6 and 18 to the Chicago Convention. These were last amended on 16 April 2010 and 7 May 2010, respectively, and are readily available to the public. However, these MCARs do not include the provisions contained in the latest amendments to Annexes 6 and 18. The MCARs related to aircraft operations include the following:

- a) MCAR-91, General Operating and Flight Rules;
- b) MCAR-92, Carriage of Dangerous Goods;
- c) MCAR-95, Flight Instrument Procedures and GPS Operations;
- d) MCAR-108, Air Operator Security Programme;
- e) MCAR-119, Air Operator — Certification;
- f) MCAR-121, Air Transport Operations — High Capacity Aeroplanes;
- g) MCAR-129, Foreign Air Operator — Certification;

- h) MCAR-131, Aircraft Lease; and
- i) MCAR-135, Air Operations — Helicopters and Low Capacity Aeroplanes.

3.2.4 With respect to airworthiness in Mongolia, specific operating regulations pertaining to the airworthiness-related provisions of Annexes 6, 7, 8 and 16 to the Chicago Convention are addressed by the following MCARs:

- a) MCAR-21, Certification of Products and Parts;
- b) MCAR-26, Additional Airworthiness Requirements;
- c) MCAR-39, Airworthiness Directives;
- d) MCAR-43, General Maintenance Rules;
- e) MCAR-47, Aircraft Registration and Marking;
- f) MCAR-91, General Operating and Flight Rules;
- g) MCAR-119, Air Operator — Certification;
- h) MCAR-121, Air Transport Operation — High Capacity Aeroplanes;
- i) MCAR-135, Air Operations — Helicopters and Low Capacity Aeroplanes; and
- j) MCAR-145, Aircraft Maintenance Organizations — Certification.

However, the MCARs that pertain to operations-derived equipment do not fully address the latest requirements of Annex 6. In addition, MCAR-145 includes provisions for a maintenance organization to implement a safety management system (SMS) acceptable to the State, but not until 1 January 2011. The detailed national code of airworthiness that forms the basis for type acceptance is MCAR-21, which was last amended on 16 April 2010. Airworthiness-related regulations, guidance manuals and advisory circulars are all available on the MCAA website and in a library that is open to the public.

3.2.5 In the area of air navigation services, the MCARs provide specific regulatory controls for the implementation of the provisions of Annexes 2, 3, 4, 10, 11, 12 and 15 to the Chicago Convention. The standards for Units of Measurement, MNS ISO 1000/2002, established by the Mongolia Centre of Standardization and Measurement, are published in conformance with Annex 5. The safety-related regulations for the provisions of air navigation services are contained in the following MCARs:

- a) MCAR-71, Designation of Airspace;
- b) MCAR-73, Special Use Airspace;
- c) MCAR-75, Air Navigation Separation Standards;
- d) MCAR-91, General Operating and Flight Rules;
- e) MCAR-138, Search and Rescue;
- f) MCAR-171, Aeronautical Telecommunication Service Organizations — Certification;
- g) MCAR-172, Air Traffic Service Organizations — Certification;
- h) MCAR-173, Instrument Flight Procedure Service Organizations — Certification;
- i) MCAR-174, Aviation Meteorological Service Organizations — Certification; and
- j) MCAR-175, Aeronautical Information Service Organizations — Certification.

The MCARs are supported by safety orders, manuals and guidance material, for example, the ATS Operational Requirements Manual, and Rules on Aviation Meteorology.

3.2.5.1 In the area of SAR, Mongolia has established agreements with the Russian Federation concerning SAR operations in border areas. However, similar agreements have not yet been agreed upon between Mongolia and all its bordering States.

3.2.5.2 With respect to Article 3 *bis*, Mongolia has established regulations in MCAR-172 requiring the air traffic service (ATS) organization to comply with the interception orders that are issued by the State. The ATS Division of the Aeronautical Services Department has published such requirements in the ATS operations manual. However, the appropriate interception orders have not yet been published in the AIP.

3.2.5.3 Mongolia has not yet established a safety programme in order to achieve an acceptable level of safety in the provision of ATS. The ATS Division does not have an SMS in place, although the service provider has developed a comprehensive implementation plan that was agreed upon by the MCAA.

3.2.6 Concerning aerodromes, there are three MCARs that provide for specific regulations:

- a) MCAR-77, Object and Activities Affecting Navigable Airspace;
- b) MCAR-139, Aerodromes Certification, Operation and Use; and
- c) MCAR-157, Construction, Alteration, Activation and Deactivation of Aerodromes.

They are complemented by the Aerodrome Technical Requirements, last amended on 7 May 2010 by the MCAA, and several advisory circulars in which provisions for aerodrome design and operations are specified in conformance with Annex 14, Volume I. MCAR-139 stipulates the criteria by which aerodromes are certified. Aerodromes used for civil aviation purposes are divided into five classes; the first class requires that aerodromes used for international operations are to be certified. MCAR-139 also requires certified aerodrome operators to develop an SMS as part of the certification process. However, this regulation has not been implemented. In addition, Mongolia has not established a safety programme in order to achieve an acceptable level of safety in aerodrome operations. In accordance with Articles 8.7 and 9 of the Law and MCAR-139, aerodrome safety inspectors are empowered to conduct continuing oversight of certified aerodromes. Some differences between aerodrome-related MCARs and Annex 14, such as those pertaining to the State safety programme and aerodromes SMS, have not been notified to ICAO. Up-to-date copies of the aerodrome regulations are available to the public on the MCAA website, and hardcopies are distributed to all users after each amendment.

3.2.7 With regard to aircraft accident investigation, the operating regulations for the notification, investigation and reporting of aircraft accidents and serious incidents are the AAIB Operating Regulations, promulgated on 24 March 2005 and MCAR-203, Aircraft Accident and Incident Investigation. They are issued by the Minister and the Director of AAIB, respectively. MCAR-203 provides for the protection and custody of the aircraft and relevant evidence and the protection from disclosure of all records as specified by Annex 13. MCAR-203 also specifies that the objective of the investigation is to prevent future accidents and incidents and not to apportion blame or liability. MCAR-203 requires the notification and the reporting of aircraft accidents and incidents to the AAIB. However, the AAIB Operating Regulations have not been promulgated in a timely manner to meet the effective date of the latest Annex 13 amendments. The Director of the AAIB is empowered to delegate any investigation tasks to another Contracting State under the AAIB Operating Regulations. In addition, MCAR-203 allows the AAIB to re-open any aircraft accident investigations if new and significant evidence becomes available. For accidents or serious incidents occurring in Mongolia, MCAR-203 and the AAIB Operating Regulations enable the participation of accredited representatives with the rights and entitlements required by Annex 13. The powers of the investigator-in-charge (IIC) during an accident investigation are also provided for in MCAR-203.

3.3 **Critical element 3 — State civil aviation system and safety oversight functions**

“The establishment of a civil aviation authority (CAA) and/or other relevant authorities or government agencies, headed by a Chief Executive Officer, supported by the appropriate and adequate technical and non-technical staff and provided with adequate financial resources. The State authority must have stated safety regulatory functions, objectives and safety policies.

Note.— The term ‘State civil aviation system’ is used in a generic sense to include all aviation-related authorities with aviation safety oversight responsibility which may be established by the State as separate entities, such as: CAA, airport authorities, air traffic service authorities, accident investigation authority, meteorological authority, etc.”

3.3.1 The MCAA was established on the basis of Article 8 of the Law. The Minister has the authority to approve the organizational structure of the MCAA; however, the Director General of the MCAA has been delegated the authority to approve the organizational structure of the subordinate units or departments. The Director General of the MCAA is assisted by the Senior Deputy Director, who heads the Aviation Safety Regulations Department. The MCAA headquarters are located in Ulaanbaatar; the Aviation Safety Regulations Department is located in a separate building, adjacent to the “Chinggis Khaan” International Airport. The MCAA division directors consult with one another before proposing the annual budget, which is then submitted to the Ministry of Finance for approval. At present, the amount of funding is sufficient for meeting the national and international obligations related to civil aviation safety oversight.

3.3.1.1 The MCAA is divided into six departments, they are as follows:

- a) the Aviation Safety Regulations Department;
- b) the Administration and Human Resources Department;
- c) the Finance and Planning Department;
- d) the Air Transport Policy and Regulation Department;
- e) the Aeronavigation Services Department; and
- f) the Airport Services Department.

The Aviation Safety Regulations Department takes on the regulatory role, which includes certification/licensing, inspection/audit, enforcement and rulemaking. Meanwhile, the Aeronavigation and the Airport Services Departments take on the service provider roles within civil aviation in Mongolia. Separation of the service providers from the regulatory department ensures that there is no conflict of interest when the MCAA is carrying out its safety oversight functions. Furthermore, the one State-owned air operator, MIAT Mongolian Airlines, is overseen by the State Property Committee, which reports directly to the Prime Minister. The State Property Committee is completely separated from the Ministry. The Aviation Safety Regulations Department is further sub-divided into five functional divisions:

- a) the Flight Standards and Operations Surveillance Division;
- b) the Airworthiness Division;
- c) the Personnel Licensing Division;
- d) the Aerodrome and Air Navigation Division; and
- e) the Rule Making and Rule Registration Division.

These five divisions also coordinate with the Administration and Internal Quality Section, which establishes internal process control and initiates continuous improvement activities.

3.3.1.2 For each division within the MCAA, job descriptions are established for all positions in the Human Resources Management Manual and approved by the Senior Deputy Director of the MCAA. Recruitment procedures are carried out by the Administration and Human Resources Department in accordance with Chapter 2 of the Human Resources Management Manual. The Director General of the MCAA makes the final recruiting decisions. Overall, the staff of the MCAA are experienced and qualified to perform its assigned tasks. The staffing level is sufficient and currently the MCAA has no vacant positions.

3.3.1.3 In addition to the MCAA, there are five other agencies which are involved with civil aviation safety oversight in Mongolia:

- a) the Air Accident Investigation Bureau, within the same Ministry as the MCAA;
- b) the Centre of Standardization and Measurement;
- c) the Aviation Meteorological Centre, within the Ministry of Environment;
- d) the Communications Regulatory Committee; and
- e) the National Emergency Management Agency.

To ensure that there is no overlap between these agencies, the applicable laws are periodically checked. An audit was conducted in 2008 which confirmed a clear definition of duties and responsibilities.

3.3.2 Regarding personnel licensing, within the Aviation Safety Regulations Department, the Personnel Licensing Division is assigned the responsibility for issuing aviation licences and ratings and medical certificates, as well as certificates to approved training organizations (ATO). The Division currently issues private pilot, commercial pilot, airline transport pilot, flight engineer, maintenance engineer, air traffic controller, flight dispatcher and aeronautical station operator licences. The Division is sufficiently staffed by a Director, a senior inspector, one pilot inspector, one air traffic control (ATC) inspector, one maintenance inspector, two medical officers and one record-keeping clerk. The authority to sign licences and certificates has been delegated to the Director. Inspectors have been issued MCAA credentials to facilitate the performance of their activities. The Personnel Licensing Division has a medical officer who serves as the medical assessor for the tasks performed by the 12 designated medical examiners. These examiners have received a designation letter with a one-year validity period signed by the Senior Deputy Director of the MCAA. The MCAA has designated nine flight examiners, two practical examiners for air traffic controller licences and four practical examiners for maintenance engineer licences. The validity periods of designation are two years for flight examiners, three years for maintenance engineer examiners, and two years for the initial designation for ATC examiners followed by one year for renewals. These examiners receive designation in an order issued by the Senior Deputy Director of the MCAA.

3.3.3 With respect to aircraft operations, the Flight Standards and Operations Surveillance Division within the Aviation Safety Regulations Department is responsible for the operations inspections, air operator certifications, surveillance and enforcement. The primary goals of the Division are ensuring that air operators comply with the MCARs and assisting in improving the civil aviation legislation and safety oversight systems. Duties of the Division include: approval of operations specifications; certification of foreign air operators; authorization for the transport of dangerous goods by air; certification of freight forwarders; and development of specific operating regulations. The Division is headed by a Director, who is assisted by a senior inspector, and is staffed by: four flight operations inspectors; one dangerous goods inspector; one cabin safety inspector; one ground operations inspector; one safety and quality inspector; and one administrative officer. For each position there is a job description that defines the scope of the assigned duties, the level of responsibility and how the position will be evaluated.

3.3.4 The Airworthiness Division within the Aviation Safety Regulations Department is responsible for ensuring airworthiness of aircraft and that air operators and approved maintenance organizations (AMOs)

comply with the national regulations. More specifically, the responsibilities include: acceptance of type certificate; issuance of documents attesting to noise certification; approval of minor modifications and repairs; issuance and renewal of the certificates of airworthiness; handling of special flight permits; approval of air operator maintenance control manuals and maintenance programmes; evaluation of air operator specific operating provisions; approval and surveillance of maintenance organizations; and continuing airworthiness responsibilities as the State of Registry. The Airworthiness Division is headed by a Director and is staffed by six persons: one senior inspector, who serves as a backup for the Director; three airworthiness inspectors (inspection responsibilities among the Director, senior inspector and airworthiness inspectors are divided by aircraft type); one fuel safety inspector, who maintains surveillance of fuel supply organizations; and one airworthiness officer, who is responsible for the issuance of the certificates of registration and maintenance of the aircraft registry. Detailed job descriptions for individuals are documented and included in their personnel files. Credentials have been issued to inspectors; they include the proper reference to Article 9 of the Law and specify the appropriate powers, including the right to detain aircraft, when necessary. At present, there are sufficient human resources to fully address airworthiness oversight responsibility. The MCAA is able to attract and retain staff, and there are no current vacancies.

3.3.5 With respect to air navigation services, the Aerodrome and Air Navigation Division of the Aviation Safety Regulations Department is responsible for safety oversight. The Division is headed by a Director, who is assisted by five inspectors to carry out the safety oversight duties and responsibilities. The functions of the Division staff are exercised in accordance with the powers under the Law. The inspectors conduct the initial inspections prior to the issuance of certificates, in compliance with the requirements contained in MCARs 171, 172, 173, 174 and 175. In addition, the inspectors conduct the continuing surveillance of air navigation services providers, approve or accept aviation documents, and perform enforcement activities, when required.

3.3.5.1 The Aeronavigation Services Department is responsible for the provision of ATC services within the airspace of Mongolia. The Department is supported by the Air Navigation Division and the Flight Planning Division. In addition, the Department has several divisions under its charge:

- a) the ATS Division;
- b) the Flight Inspection and Procedure Design (FIP) Division;
- c) the Aeronautical Information Services (AIS) Division;
- d) the Communication, Navigation and Surveillance (CNS) Division; and
- e) the Calibration and Testing Laboratory Division.

3.3.5.2 The Director of the ATS Division is in charge of the area control center (ACC), aerodrome, approach and flight information center, training section, flight planning section and the RCC. It is supported by an administration section and a safety quality control section. There is a total of about 200 staff employed to carry out its duties. The ATS Division has one RCC that is staffed 24 hours per day for the purpose of providing rescue coordination services to any flights in the event of emergency within the Mongolia flight information region. SAR are coordinated with the defense forces under the *Disaster Relief Law of Mongolia*, which was promulgated in 2003. The AIP of Mongolia indicates that the RCC is the designated SAR point of contact for the receipt of Cospas-Sarsat distress data.

3.3.5.3 The Flight Inspection and Procedure Design Division was established by the Ministry by Order No. 156, dated 7 May 2010. Subsequently, the organization and the staff of the Division were restructured in May 2010 by Order No. A/161 of the Director General of the MCAA.

3.3.5.4 The types of services provided by the AIS Division include:

- a) publication of the AIP;
- b) issuance of NOTAM;
- c) pre-flight information briefings; and
- d) publication of charts.

3.3.5.5 The CNS Division provides the services for communication, navigation and surveillance. The Electrical Supply Section ensures the reliable operation of aeronautical equipment. The Engineering Section is responsible for research and development of CNS/ATM equipment and the updating of documentation. This Division has a Safety and Quality Section that ensures compliance with the laws, regulations and procedures. It also manages the quality assurance programme within the Division.

3.3.5.6 The National Agency of Meteorology, Hydrology and Environment Monitoring of the Ministry of the Environment provides aeronautical meteorological services (MET) by way of the Aviation Meteorological Centre. The Centre has a service agreement with the ATS Division detailing the roles and responsibilities and types of services required for the provision of MET, in compliance with MCAR-174. The safety oversight of the Aviation Meteorological Centre is provided by the Aerodrome and Air Navigation Division of the MCAA.

3.3.6 The responsibility for aerodrome certification and surveillance also lies within the Aerodrome and Air Navigation Division of the MCAA. This Division provides regulatory oversight and contributes to the development of the technical rules and guidance material. The Airport Services Department, within the MCAA, operates most of the aerodromes and is clearly separated from the regulatory part of the MCAA. All the aerodrome certification safety inspectors have been issued credentials to facilitate access to aerodromes and aerodrome-related documentation. Two aerodrome inspectors and one inspector specialized in rescue and fire fighting (RFF) are in charge of the 21 Mongolian aerodromes.

3.3.7 Concerning aircraft accident and incident investigation, the AAIB is a permanent accident investigation entity set up within the Ministry to receive and act upon notifications of accidents and serious incidents. The AAIB is headed by a Director, who reports directly to the Minister. The Director of the AAIB is also responsible for the publication of the final reports of all accident or serious incident investigations. There are a total of four full-time and 11 part-time aircraft accident investigators in the AAIB, including a staff member who oversees the readout of flight recorders. All the administrative support to the AAIB is provided by a corporate section consisting of three members of the staff. All aircraft accidents and incidents are investigated by an IIC appointed by the Director. The MCAA and the AAIB are the entities designated to receive notifications of accidents and serious incidents from within the State and from other States, respectively. Sufficient funding for non-major investigations comes under the annual budget for the AAIB. There is an established mechanism in place within the AAIB to seek supplementary funding from the Ministry of Finance in case of a major investigation.

3.4 **Critical element 4 — Technical personnel qualification and training**

“The establishment of minimum requirements for knowledge and experience of the technical personnel performing safety oversight functions and the provision of appropriate training to maintain and enhance their competence at the desired level. The training should include initial and recurrent (periodic) training.”

3.4.1 The MCAA has issued the Safety Inspector Training Policy and Procedure Manual, approved by the Director General of the MCAA on 20 April 2010. According to this document, the MCAA training

policy states that aviation safety inspectors, in order to exercise the powers granted to them by Article 9 of the Law, shall receive a level of training that enables them to attain a level of expertise that is equal to or greater than that of the service providers that they oversee. The Training Programme for Aviation Safety Regulations Department Manual contains details for maintaining training records, which are kept up to date by the Administration and Internal Quality Section of the Department. Additional copies of training records are maintained in each technical division.

3.4.2 Regarding personnel licensing, the MCAA has established minimum qualifications and work experience requirements for the various technical positions in the Personnel Licensing Division. For designated flight, practical and medical examiners, minimum qualifications and knowledge requirements have been established and are contained in the applicable MCAA manuals. The Division has developed and is implementing an annual training programme for its technical staff, as well as periodic training plans for the designated medical, practical and flight examiners who perform examinations on behalf of the MCAA.

3.4.3 Regarding aircraft operations, the MCAA has established minimum qualifications and work experience requirements for the various inspectorate positions within the Flight Standards and Operations Surveillance Division. These include a minimum of 5 000 flight hours and at least eight years of experience in air transport for the four flight operations inspectors; more than ten years of cabin crew experience for the cabin safety inspector; at least five years of regulatory experience for the dangerous goods inspector; and more than five years of air transport experience for the ground operations inspector. The Division has developed and is implementing an annual training programme and periodic training plans for its inspectorate staff. The programme includes initial, recurrent, on-the-job and specialized training.

3.4.4 In the field of airworthiness, the MCAA has established minimum qualifications and experience requirements for airworthiness inspectors. There is a requirement of at least five years of experience, possession of aeronautical licences, certificates or academic degrees appropriate for their responsibilities and experience compatible with their oversight activities. In addition, they are required to have knowledge of at least one of the six ICAO languages, which is normally English or Russian. The training programme has been established for airworthiness technical personnel in the Training Programme for Aviation Safety Regulations Department Manual, which was last revised in May 2010. The training programme includes provisions for initial, recurrent and specialized training, such as SMS and human factors. On-the-job training is supervised by either the Director or Senior Inspector. The training plan is approved on an annual basis by the Director General of the MCAA.

3.4.5 In the air navigation services field, the Aerodrome and Air Navigation Division is staffed by experienced and qualified inspectorate staff that are assigned the responsibility of regulatory and safety oversight. The minimum qualifications, experience, job functions and responsibilities for air navigation services inspectors are incorporated in the duty statements, job descriptions and training records kept by an officer of the Division. The *Aerodrome and Air Navigation Division Procedures Manual* describes the training programme for inspectors, and includes initial, on-the-job and specialized training. Inspectors undergo recurrent training once every three years to maintain the knowledge required to carry out their functions in their areas of responsibility.

3.4.5.1 The RCC also has a training programme for SAR technical personnel. However, this training does not cover specific areas concerning SAR operations, for example, the determination of search area, the selection of appropriate SAR patterns to conduct the search and the allocation of SAR resources.

3.4.6 In the area of aerodromes, the MCAA has established minimum qualifications and experience required for its staff, including RFF and aerodrome inspectors. These qualifications are documented in the *Aerodromes and Air Navigation Operation Manual*, revised on 14 June 2010, and in the individual job

descriptions. The inspectors are required to have an engineering degree, be capable of producing reports, have five years of experience in the area they inspect and have good knowledge of at least one ICAO working language. The MCAA has developed a training policy and a training programme for aerodrome technical staff which includes initial, on-the-job and recurrent training. However, the training programme does not detail what type of specialized training should be provided to its aerodrome inspectors. Limited specialized training has been provided to the aerodrome inspectors; however, the annual training plan does not detail and prioritize what type of specialized training will be provided. Furthermore, most of the aerodrome technical staff has not been trained on the development, use and evaluation of SMS and aeronautical studies.

3.4.7 With respect to aircraft accident and incident investigation, minimum qualifications and experience requirements for the recruitment of investigators are contained in the *Aircraft Accident Investigation Manual* issued by the Director of the AAIB. The requirements for pilot investigators include an airline transport pilot licence with a minimum of 5 000 hours of total flying experience of which not less than 2 000 hours shall be on public transport operations. For aircraft maintenance and ATC investigators, they are required to have a minimum of ten years of relevant working experience with a valid aircraft maintenance engineer's licence or air traffic controller qualifications. The AAIB provides training to its investigators. A review of past records indicates that the training provided to the investigators was carried out as planned for the last two years. However, the training programme does not contain details for recurrent and specialized training.

3.5 **Critical element 5 — Technical guidance, tools and the provision of safety critical information**

“The provision of technical guidance (including processes and procedures), tools (including facilities and equipment) and safety critical information, as applicable, to the technical personnel to enable them to perform their safety oversight functions in accordance with established requirements and in a standardized manner. In addition, this includes the provision of technical guidance by the oversight authority to the aviation industry on the implementation of applicable regulations and instructions.”

3.5.1 The MCAA staff has access to reference documentation, including those from ICAO and other relevant organizations, through subscription to an Intranet-based system. In addition, the MCAA maintains hard copies of certain ICAO documents and technical publications in its central library. These materials are available not only to the technical staff of the MCAA, but to the general public as well. The library also has a document control system in place which ensures availability and currency of the documents. All areas of the MCAA have adequate facilities, tools/equipment and transportation that allow the technical staff to carry out their duties and responsibilities effectively.

3.5.2 In the area of personnel licensing, procedures for the validation or conversion of licences and ratings are contained in the Personnel Licensing Division Procedures Manual. In addition, there are manuals for aviation training organizations, medical examiners and designated examiners. Medical reports are maintained by the medical assessor in a locked cabinet and are kept confidential from the general documentation maintained in the files of individual licence holders.

3.5.3 In the area of aircraft operations, the Flight Standards and Operations Surveillance Division Procedures Manual has been approved for use by the technical staff. In addition, there are manuals for dangerous goods, operations manual approvals, ground handling inspections, specific operational approvals and other operations-related procedures. To provide information to the public, the MCAA issues advisory circulars on a variety of subjects such as aircraft performance, dangerous goods packaging and the certification process for issuing an AOC. The Aviation Safety Regulation Department has developed procedures for the operations inspectorate staff regarding the approval of aircraft leasing arrangements. However, these

procedures are not being followed prior to the approval by the MCAA of aircraft leasing arrangements and agreements. In addition, the MCAA has not developed requirements and procedures for the safe operations of a single-engine turbine-powered aeroplane when an air operator requests approval for operations in instrument meteorological conditions and/or at night.

3.5.4 With respect to airworthiness, the MCAA has developed procedures and checklists that are contained in the Airworthiness Division Procedures Manual, last updated 25 March 2010. In addition, there are the Foreign Air Operators Surveillance Manual, the Aircraft Leasing Procedures Manual and the Enforcement Manual. All airworthiness procedures are addressed in these manuals. However, the procedures for the approval of maintenance organizations do not contain the implementation of SMS, and there are no guidelines for scheduling inspections of foreign maintenance organizations. There is no technical library dedicated to the Airworthiness Division. However, airworthiness inspectors are provided with access to design organization documentation and continuing airworthiness information for most types of aircraft on the State registry through the Internet or subscription-based CDs. For former Soviet Union-manufactured aircraft, the Airworthiness Division is provided with a listing of updates to design organization information on a monthly basis by the Federal Air Transport Agency of the Russian Federation.

3.5.5 The MCARs pertaining to air navigation services are available to air navigation service providers and operators through the Internet. In addition, the Aerodrome and Air Navigation Division has developed the Aerodrome and Air Navigation Division Procedures Manual, which contains procedures related to ATS, CNS, AIS, PANS-OPS, MET and SAR. These procedures are intended to provide guidance for the inspectors in discharging the functions of the MCAA.

3.5.5.1 The ATS, FIP, AIS and CNS Divisions, as well as the Aviation Meteorological Centre, have published operational manuals to guide the technical staff in the discharge of their services, in compliance with the respective MCARs. The General Procedures for Joint Operations for Search and Rescue document was developed in conjunction with the air operators and defense forces. The MCAA has published the AIP in three parts. However, the current AIP contains sections and subsections that are missing or not complete.

3.5.5.2 Mongolia has developed a national contingency plan to assist in providing for the safe and orderly flow of air traffic in the event of a disruption or potential disruption of ATS or related supporting services. However, Mongolia has not yet developed or implemented similar contingency measures with adjacent airspaces which are likely to be affected by such disruptions.

3.5.6 In the area of aerodromes, the Aerodrome and Air Navigation Division has developed guidance material for both regulatory technical staff and aerodrome operators in various specialist areas. The Aerodrome Inspectors Handbook details the process to be followed by aerodrome safety inspectors. Inspection checklists are used for the review of the aerodrome manual and initial certification inspection and continuing surveillance. However, these checklists are not adequately detailed to ensure that compliance with the regulations is properly documented. The MCAA has established a process for the certification of aerodromes and has developed the Aerodrome Certification and Licensing Procedure Manual. Templates have been developed for the application by the aerodrome operator for initial certification, renewal and changes. However, some of the information in the aerodrome-related portion of the AIP is lacking or out of date. Furthermore, the MCAA has not established a process and quality system to verify the accuracy and integrity of aeronautical data reported by the aerodrome operator throughout the data transfer process. The MCAA developed and issued the Aerodrome Safety Management System Manual on 26 February 2010. This manual provides guidance for both regulators and aerodrome operators in the establishment of an SMS. However, no guidance has been developed on how to conduct and assess aeronautical studies to justify the granting of an exemption, and the MCAA has not established a process to control the use of aeronautical studies/risk assessments.

3.5.7 With respect to aircraft accident and incident investigation, the investigators are provided with the necessary investigation equipment, as well as the transportation and communication means to carry out their tasks. However, the AAIB has not included blood-borne pathogen kits as part of the protective equipment for its investigators. The Aircraft Accident Investigation Policy and Procedures Manual contains a wide range of procedures which include, but are not limited to, the notification, reporting and conduct of aircraft accident and serious incident investigations. However, these procedures do not address timely notification to families and accident survivors on the progress of the investigation.

3.6 **Critical element 6 — Licensing, certification, authorization and/or approval obligations**

“The implementation of processes and procedures to ensure that personnel and organizations performing an aviation activity meet the established requirements before they are allowed to exercise the privileges of a licence, certificate, authorization and/or approval to conduct the relevant aviation activity.”

3.6.1 In the area of personnel licensing, the Personnel Licensing Division has developed and implemented detailed procedures for the processing of applications for aviation licences for pilots, other flight crew, maintenance engineers, air traffic controllers and aeronautical station operators. However, the Division does not conduct practical examinations prior to the issuance of flight dispatcher licences. For the processing of licences, applicants must first complete a computer-based knowledge test and oral examination. When practical examiners and flight examiners complete their assigned examinations, they do not directly issue licences, but instead they provide examination reports to the Division. If an examination is satisfactory and all required elements are complete, the Director of the Personnel Licensing Division signs and issues the licence and ratings.

3.6.1.1 MCAR-67, the Designated Aviation Medical Examiners Handbook and the Medical Manual contain the rules and procedures for the issuance of medical certificates. The designated medical examiners do not directly issue certificates, but instead they provide medical reports to the medical assessor in the Personnel Licensing Division for review. Once the reports are reviewed, and if all required standards are met, the medical assessor signs and issues the appropriate class of medical certificate.

3.6.1.2 MCAR-141 and the Aviation Training Organization Certification Manual contain the rules and procedures for the certification of ATOs. Applicants are required to submit an application form along with an organization disposition; training manual; details of the training programmes, facilities and courses; a quality manual; and details of the system for record keeping. The application package is reviewed by the staff of the Personnel Licensing Division, and if successful, it is approved by the Director. Presently, one ATO is certified for air traffic controller training and one ATO for maintenance engineer training. These organizations have received a certificate of approval, written in Mongolian and English languages, with a two-year validity period issued by the Director of the Division. Four foreign training organizations have received approval by the Director to provide training to Mongolian aviation personnel. Each of these four organizations has received a certificate of approval in the same style as those issued to the Mongolian ATOs.

3.6.1.3 MCAR-61 requires pilots, air traffic controllers and aeronautical station operators to demonstrate their ability to speak and understand the English language for radiotelephony communications. However, rather than complying with the Annex 1 implementation date of 5 March 2008, MCAR-61 requires language proficiency demonstration only after 1 March 2011. The Personnel Licensing Division is developing a plan for the implementation of the new regulations and is establishing a system for the evaluation of language

ability at the various proficiency levels. However, the implementation plan and the evaluation system are not fully completed, and details have yet to be developed.

3.6.2 With respect to aircraft operations, the Aviation Safety Regulations Department has established a documented, five-phase process for the certification of air operators. The assessment of financial and economic matters is conducted by the Economic Policy and Regulations Division of the MCAA. A prospective applicant for an AOC completes MCAA Form 119/01 and submits it, along with the required documentation. After document review, inspections and demonstration flights, the Aviation Safety Regulations Department submits a recommendation to its Safety Board for final review. The members of the Safety Board are the Senior Deputy Director, the Directors of the five Divisions within the Department, and the Director of the Administration and Internal Quality Section. When the Safety Board determines that all requirements have been completed in a satisfactory manner, the Director General of the MCAA issues an AOC with a validity period of three years, along with accompanying operations specifications issued by the Director of the Flight Standards and Operations Surveillance Division. The information on the AOC conforms to Annex 6 of the Chicago Convention and is printed in the Mongolian and English languages. However, the certification process does not include thorough evaluations in all of the required areas prior to the issuance of an AOC. There are currently nine AOC holders, three of which use large capacity aeroplanes and operate internationally. These AOC holders adhere to the requirements contained in MCAR-121, while the remaining six adhere to MCAR-135. Two of the AOC holders operating international flights have been granted authorization to transport dangerous goods by air through information provided in their respective operations specifications. Security training programmes for flight and cabin crew are reviewed by the Security Inspector in the Aerodrome and Air Navigation Division of the MCAA and approved by the Director of the same Division. Four air operators have been issued Foreign AOCs by the Director General of the MCAA and operations specifications issued by the Senior Deputy Director. These Foreign AOCs have a validity period of five years and have been issued to operators from China, Kazakhstan, Republic of Korea and Russian Federation. The Flight Standards and Operations Surveillance Division is responsible for ensuring that an air operator establishes the details of flight dispatcher training in its training programme. However, no personnel within the Division have the background and experience for performing reviews and approvals of flight dispatcher training. In addition, the Division does not conduct a thorough review of an air operator's management, procedures and assigned responsibility for operational control of all flights prior to the approval of the operations manual.

3.6.3 In the airworthiness area, the Airworthiness Division has issued certificates of airworthiness and documents attesting to noise certification in accordance with the Airworthiness Division Procedures Manual. The Airworthiness Division does not approve major modifications and repairs. Instead, it relies upon the State of Design for approval, which they subsequently accept. The Airworthiness Division coordinates with the Flight Standards and Operations Surveillance Division when evaluating air operator certification, as detailed in the Airworthiness Division Procedures Manual. Similarly, specific operating provisions such as the minimum equipment list and reduced vertical separation minima operations are reviewed by the Airworthiness Division, and then ultimately approved by the Flight Standards and Operations Surveillance Division. The Airworthiness Division approves both domestic and foreign maintenance organizations, using the *Airworthiness Division Procedures Manual* and a detailed checklist. The AMO certificate has a validity period of three years and is issued by the Senior Deputy Director of the MCAA. There are a total of eight Mongolian and eight foreign AMOs. Annex 6 to the Chicago Convention requires an SMS to be implemented by AMOs by 1 January 2009. However, none of these AMOs has yet developed an SMS.

3.6.4 With respect to air navigation services, the MCAA has established and implemented processes and procedures to oversee the certification requirements for ATS, aeronautical telecommunication services, instrument flight procedure design services, AIS and MET services. The MCAA has adopted a five-phase approach leading to certification: pre-application, formal application, document evaluation, inspection and issuance of the certificate.

3.6.4.1 The AIS Division has an internal quality assurance section to ensure that aeronautical data quality requirements related to publication resolution and data integrity are in conformance with the provisions of Annex 15. The AIS service quality system is also certified by an international standard organization.

3.6.4.2 The Aviation Meteorological Centre has an internal audit and quality assurance section to ensure that MET service requirements are provided in conformance with the provisions in Annex 3. However, the quality system has not been certified by an approved organization.

3.6.4.3 The MCAA has not established a safety programme in order to achieve an acceptable level of safety in the provision of ATS. Although the MCAA has promulgated regulations for the ATS provider to implement an SMS, the ATS provider's SMS has yet to be established. The ATS provider has developed an implementation plan with the intention to establish an SMS by the end of 2011.

3.6.4.4 The Flight Instrument Procedures Design Division of the Aeronavigation Services Department is responsible for the flight inspections of the navigation aids. The requirements for flight inspections are established in the MCARs, and periodic flight inspections are carried out on radio navigation aids.

3.6.5 Concerning aerodromes, all 21 civil aviation aerodromes in Mongolia have been certified. The aerodrome certificates for the two aerodromes used for international operations are valid for two years. Prior to issuance of an aerodrome certificate, the aerodrome inspectors review a draft aerodrome manual submitted by the operator and then inspect the aerodrome facilities and operating conditions. This process does not yet include implementation of an SMS, although the MCAA has established an SMS implementation plan dated 20 April 2010, with the intention of full implementation at certified aerodromes by 2014. Copies of aerodrome manuals, certificates and other relevant documents are kept by the Aerodrome and Air Navigation Division of the MCAA.

3.7 **Critical element 7 — Surveillance obligations**

“The implementation of processes, such as inspections and audits, to proactively ensure that aviation licence, certificate, authorization and/or approval holders continue to meet the established requirements and function at the level of competency and safety required by the State to undertake an aviation-related activity for which they have been licensed, certified, authorized and/or approved to perform. This includes the surveillance of designated personnel who perform safety oversight functions on behalf of the CAA.”

3.7.1 Regarding personnel licensing, the Personnel Licensing Division conducts audits of ATOs as part of the issuance or renewal of an ATO certificate. However, a comprehensive surveillance programme of all ATOs has not been developed to ensure continuing compliance with national regulations. In addition, an effective system of surveillance and supervision of flight and practical test delivery by the designated flight and practical examiners has not been developed by the Division to ensure consistency and reliability of testing.

3.7.2 With respect to aircraft operations, the Flight Standards and Operations Surveillance Division has developed a surveillance programme for the operations inspectorate staff for the conduct of continuing oversight of AOC holders and foreign air operators. However, the surveillance programme does not include all of the types and frequencies of inspections to ensure compliance, on a continuing basis, with national regulations, ICAO provisions and AOC holders' operations specifications.

3.7.3 In the airworthiness area, AOC holders and Mongolian AMOs receive full base inspections approximately once and twice per year, respectively. Foreign air operators are inspected approximately twice

per year, in accordance with the Foreign Air Operators Surveillance Manual, last amended on 7 March 2008. These surveillance programmes also include random checks and ramp inspections. A review of the Airworthiness Division surveillance programmes for the past year revealed that approximately 90 per cent of all scheduled inspections were accomplished. The Airworthiness Division also maintains ongoing oversight of the AOC holders' reliability programmes. At present there is no surveillance programme for foreign AMOs. The MCAA is also exploring the possibility of bi-lateral agreements, whereby the foreign civil aviation authority may conduct surveillance on behalf of the MCAA. However, to date, there are no such agreements in place.

3.7.4 With respect to air navigation services, the Aerodrome and Air Navigation Division oversees the certification of ATS, aeronautical telecommunication services, instrument flight procedure design services, AIS and MET services. The certificates issued to the service providers are valid for three years. After initial certification of a service provider, the Division conducts a post-certification inspection to ensure that safety-related standards are maintained. In addition, surveillance audits are scheduled annually. Random checks are conducted as required by the Division. All inspection reports, checklists, service provider corrective action plans and remedial actions taken are systematically documented and filed.

3.7.5 In the area of aerodromes, the Aerodrome and Air Navigation Division has established a programme for the continuing surveillance of certified aerodromes. The *Aerodrome and Air Navigation Division Operation Manual* specifies the types and frequencies of certified aerodrome inspections, which include certification, scheduled and special purpose inspections. The surveillance programme is complemented by the *Aerodrome Inspectors Handbook* and an annual surveillance plan. A recent change in the surveillance programme specifies two inspections per year of some aspects of the aerodrome certification for each of the two aerodromes used for international operations. Aerodrome inspectors draft a proposal which specifies which aspects of the aerodrome certification will be inspected. The proposal is then submitted for approval by the Senior Deputy Director of the MCAA. The inspections are coordinated with the aerodrome operator through an official letter and conducted by the inspectors using checklists developed by the Division. However, neither a process nor a mechanism has been established to ensure that all the aspects of the aerodrome certification are regularly inspected. Furthermore, a review of an aerodrome manual and a review of the AIP showed that the requirements related to the calculation of declared distances are not being met.

3.8 Critical element 8 — Resolution of safety concerns

“The implementation of processes and procedures to resolve identified deficiencies impacting aviation safety, which may have been residing in the aviation system and have been detected by the regulatory authority or other appropriate bodies.

Note.— This would include the ability to analyse safety deficiencies, forward recommendations, support the resolution of identified deficiencies as well as take enforcement action, when appropriate.”

3.8.1 In the area of personnel licensing, the guidance contained in the *Personnel Licensing Division Procedures Manual* is used to determine what actions are to be taken in the event of regulatory violation of the MCARs. Past enforcement actions include suspensions of two pilot licences, for three months each, for pilot logbook inaccuracies and the termination of designation as a practical examiner. The Division maintains a paper file of identified deficiencies and MCAA recommendations in order to monitor progress and timely resolution.

3.8.2 In the area of aircraft operations, the Flight Standards and Operations Surveillance Division keeps reports of inspections and identified deficiencies, and in some areas, additional reports that show actions

taken by air operators to resolve any deficiencies. However, the Division has not established a formal system for the monitoring and tracking of identified deficiencies, the resulting corrective actions taken by the air operator and the follow-up activities of the MCAA operations inspectorate. Examples of past enforcement actions include the issuance of a warning letter to an air operator and a monetary penalty to a pilot-in-command.

3.8.3 In the area of airworthiness, general follow-up of deficiencies identified during the inspections of air operators and AMOs is defined in the Enforcement Manual. Specific guidelines for actions to be taken by airworthiness inspectors in the case of lack of timely rectification are described in the Airworthiness Division Procedures Manual. This manual also includes criteria and notification procedures if it becomes necessary for an inspector to detain aircraft. Examples of past timely corrective actions include the temporary suspension of a certificate of airworthiness. In the event that acceptable levels of reliability are not maintained, the Airworthiness Division may initiate special evaluations or impose special operational restrictions until the problems are resolved. As the State of Registry, the MCAA has established requirements for AOC holders and AMOs to report failures, malfunctions or defects to both the design organization and to the Airworthiness Division of the MCAA. This is verified as a checklist item during surveillance audits. The Airworthiness Division Procedures Manual includes procedures for the control and issuance of airworthiness directives. Mongolia directly adopts airworthiness directives issued by the State of Design in compliance with MCAR-39.

3.8.4 With respect to air navigation services, service providers are briefed on any deficiencies identified by the air navigation services inspectors. The service provider is required to develop a corrective action plan to address the deficiencies in a reasonable time. The Aerodrome and Air Navigation Division approves the corrective action plan and conducts follow-up inspections to ensure that the identified deficiencies are addressed. A copy of the final report is submitted to the Director of the Division and to the Senior Deputy Director of the MCAA.

3.8.5 Concerning aerodromes, the aerodrome safety inspectors send a completed inspection report to the aerodrome operator. The aerodrome operator then submits a corrective action plan, if necessary. The Aerodrome and Air Navigation Division follows up on the corrective actions and ensures that they are implemented within the appropriate period of time. If the aerodrome operator does not implement the required measures within the required time frame, enforcement actions may be taken, such as suspension of the aerodrome certificate or issuance of monetary fines. Exchange of safety information across the aerodrome industry is carried out through the MCAA website and through annual seminars organized by the MCAA. However, aerodrome operators do not monitor and analyse incident occurrences and trends as an element of the oversight system.

3.8.6 In the area of aircraft accident and incident investigation, the AAIB issues safety recommendations as part of the final report and/or before the publication of the report. In addition, the AAIB has established and implemented procedures for the submission of preliminary and data reports to ICAO as required by Annex 13 to the Chicago Convention. The investigations of serious incidents have been completed and the final reports released within 12 months from the date of the incident. The accident and incident information received is stored in an electronic database which uses the ICAO Accident/Incident Data Reporting taxonomies. The MCAA carries out safety trend analyses of the incident information received. Mongolia has established a voluntary occurrence reporting system with legislation to ensure that the voluntary occurrence reporting system is non-punitive and protects the sources of the information.

4. VISITS TO THE INDUSTRY/SERVICE PROVIDERS

4.1 Accompanied by staff members of the State's civil aviation system, the audit 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 audit team visited the following organizations:

- a) MIAT Mongolian Airlines (OPS);
- b) MIAT Mongolian Airlines AMO (AIR);
- c) ACC, RCC and Aeronavigation Services Department, Ulaanbaatar and ANS facilities at Chinggis Khaan International Airport (ANS); and
- d) Chinggis Khaan International Airport (AGA).

5. AUDIT FINDINGS AND DIFFERENCES DATABASE (AFDD)

5.1 The general objective of the AFDD is to assist States in identifying the elements that need attention in the implementation of the proposed corrective action plan. The information is also intended to assist States in establishing a priority of actions to be taken to resolve safety concerns identified by the audits. Appendix 2 to this report contains a graphic representation of the lack of effective implementation of the critical elements of safety oversight (ICAO Doc 9734, Part A refers) in Mongolia and at a global level (average results from all States audited). The graphic representation enables the audited State to prioritize the necessary corrective actions and to identify assistance requirements based on its personnel, technical and financial capabilities in consideration of its safety oversight obligations.

6. STATE AVIATION ACTIVITY QUESTIONNAIRE (SAAQ)

6.1 The SAAQ is one of the major tools required for conducting a comprehensive systems approach-based safety oversight audit. As such, all Contracting States are required to complete the SAAQ and submit it to ICAO for proper evaluation and recording. The submitted information enables ICAO to maintain an up-to-date database on the State's civil aviation activities. Mongolia has submitted its SAAQ to ICAO, which can be found at <http://www.icao.int/soa>.

7. COMPLIANCE CHECKLISTS (CCs)

7.1 The CCs are one of the main tools used in the conduct of safety oversight audits under the comprehensive systems approach. As such, all Contracting States are required to complete the CCs and submit them to ICAO for evaluation and recording. The submitted information enables ICAO to maintain an up-to-date database on the State's level of compliance to the ICAO SARPs and assist in facilitating the conduct of a standardized audit of all Contracting States. As a result, States will be enabled to have a clear picture of the implementation status of the relevant SARPs. Mongolia has submitted its CCs to ICAO, which can be found at <http://www.icao.int/soa>.

8. FOLLOW-UP ACTION

8.1 In accordance with the MOU agreed to between Mongolia and ICAO, Mongolia submitted a corrective action plan on 16 December 2010. The action plan submitted was reviewed by the Continuous Monitoring and Oversight Section and was found to fully address most of the findings and recommendations contained in this report. The proposed action plan, including comments and clarifications provided by the State, is attached as Appendix 3 to this report. Comments by ICAO on each corrective action are found in Appendix 1 to this report.

APPENDIX 1

APPENDIX 1-1-01
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

| | | | | | | | |
|--|--|-------------|-------------|-------------|-------------|-------------|-------------|
| MONGOLIA | LEG/01 1.009; 3.005; 4.003; 4.333; 5.005; 6.015; 7.011; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Mongolia has established procedures for performing technical assessments of the amendments to the Annexes to the Chicago Convention for review and adoption into Mongolian civil aviation rules and regulations. However, the technical assessments of the amendments to the Annexes are not consistently completed in a timely manner. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should implement the procedures for performing technical assessments of the amendments to the Annexes for review and adoption into national civil aviation rules and regulations in a timely manner, in order to allow Mongolia to keep pace with the changing environment of civil aviation and to remain up-to-date with international standards. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-1-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-1-02
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

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|--|---|-------------|-------------|-------------|-------------|-------------|-------------|
| MONGOLIA | LEG/02 1.025; 1.205; 3.007; 3.011; 4.005; 4.011; 5.007; 8.015; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Mongolia has established and implemented procedures for the identification and notification of differences to ICAO. However, the notifications to ICAO are not always complete and up-to-date with the latest Annex amendments. Significant differences are stated in the Aeronautical Information Publication (AIP) of Mongolia. However, the list of differences in the AIP only mentions the Annex number and does not indicate the latest Annex amendment. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should implement a mechanism to ensure that notifications of differences to ICAO are complete and up-to-date with the latest Annex amendments. | | | | | | | |
| The Civil Aviation Authority of Mongolia (MCAA) should publish significant differences in the AIP that include the Annex number and the latest Annex amendment. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-1-2 of this report. | | | | | | | |
| Estimated Implementation Date: 29/07/2010 | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-1-03
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

| | | | | | | | | | |
|---|------------------------------------|---------------|-------------|-------------|-------------|-------------|-------------|-------------|-------------|
| <p>MONGOLIA</p> <p>Audit Period: 28/06/2010 - 07/07/2010</p> | <p>LEG/03 1.031; 1.033;</p> | | | | | | | | |
| <p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p> | | | | | | | | | |
| <table border="1" style="width: 100%; border-collapse: collapse;"> <tr> <td style="width: 12.5%;">CE-1 X</td> <td style="width: 12.5%;">CE-2</td> <td style="width: 12.5%;">CE-3</td> <td style="width: 12.5%;">CE-4</td> <td style="width: 12.5%;">CE-5</td> <td style="width: 12.5%;">CE-6</td> <td style="width: 12.5%;">CE-7</td> <td style="width: 12.5%;">CE-8</td> </tr> </table> | | CE-1 X | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 |
| CE-1 X | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 | | |
| <p>FINDING:</p> <p>Mongolia has established regulations regarding the interception of civil aircraft above its territory, and the MCAA has published these requirements in the <i>Air Traffic Service Operations Manual</i>. However, these requirements are not included in the AIP. In addition, Mongolia has not established rules or regulations to make compliance with interception orders from other States mandatory for any civil Mongolian-registered aircraft or for aircraft operated by a Mongolian air operator.</p> | | | | | | | | | |
| <p>RECOMMENDATION:</p> <p>The MCAA should publish in the AIP requirements regarding the interception of civil aircraft above its territory. In addition, Mongolia should establish rules or regulations that require mandatory compliance with interception orders received from other States by any civil Mongolian-registered aircraft and any aircraft operated by a Mongolian air operator.</p> | | | | | | | | | |
| <p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-1-3 of this report.</p> | | | | | | | | | |
| <p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not addressed how it will establish rules or regulations that require mandatory compliance with interception orders received from other States.</p> | | | | | | | | | |

APPENDIX 1-1-04
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

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|---|------------------------------------|-------------|-------------|-------------|-------------|-------------|---------------|
| MONGOLIA | LEG/04 1.051; 4.371; 8.013; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 X | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 X |
| FINDING: | | | | | | | |
| The <i>Civil Aviation Law of Mongolia</i> contains provisions related to the enforcement of the legislation and regulations. It establishes monetary penalties in case of violations, including specific fines for violations of aviation safety regulations. However, the amounts of these fines are too low to serve as a deterrent to regulatory violations. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should review and amend the monetary penalties currently established in Mongolian legislation to ensure that they are set at a monetary level that would serve as a proper deterrent to regulatory violations. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Comments submitted by the State are found at Appendix 3-1-4 of this report. | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The State has indicated that it will not take any corrective action to address this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-1-05
FINDINGS AND RECOMMENDATIONS RELATED TO
PRIMARY AVIATION LEGISLATION AND CIVIL AVIATION REGULATIONS

| | |
|--|------------------------------------|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | LEG/05 1.105; 4.037; 8.045; |
| DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | |
| CE-1 X CE-2 CE-3 X CE-4 CE-5 CE-6 CE-7 CE-8 | |
| FINDING: The MCAA has issued official credentials to the inspectorate staff that include the empowerment reference in Article 9 of the <i>Civil Aviation Law of Mongolia</i> . Some inspectors have credentials that authorize them to detain aircraft and suspend aviation documents; however, clear guidance in performing these actions has not been provided in the relevant MCAA inspector procedures manuals. Furthermore, not all inspectors who have been granted these powers, namely cabin safety inspectors, ground operations inspectors, dangerous goods inspectors and aerodrome inspectors, require them in order to fulfill their job functions. | |
| RECOMMENDATION: The MCAA should issue credentials to aviation safety inspectors that clearly state the appropriate powers granted to each individual based upon job functions and assigned responsibilities. | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-1-5 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/01/2011</div> | |
| COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | |

**APPENDIX 1-2
FINDINGS AND RECOMMENDATIONS RELATED TO
CIVIL AVIATION ORGANIZATION**

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APPENDIX 1-3-01
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

| | | | | | | | |
|---|----------------------|-------------|-------------|-------------|---------------|-------------|-------------|
| MONGOLIA | PEL/01 3.203; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 X | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The Personnel Licensing Division of the MCAA has developed and implemented detailed procedures for processing applications for aviation licences for pilots, other flight crew, maintenance engineers, air traffic controllers and aeronautical station operators. However, the Personnel Licensing Division does not conduct practical examinations prior to the issuance of flight dispatcher licences. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The Personnel Licensing Division of the MCAA should develop and implement detailed procedures for processing applications for flight dispatcher licences that include the applicant's satisfactory completion of a practical examination prior to the issuance of a flight dispatcher licence. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-3-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-3-02
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

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|--|----------------------|-------------|-------------|-------------|-------------|---------------|-------------|
| MONGOLIA | PEL/02 3.605; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 X | CE-8 |
| FINDING: | | | | | | | |
| The Personnel Licensing Division of the MCAA has not implemented an effective system of surveillance and supervision of flight and practical test delivery to ensure consistency and reliability of testing by designated flight and practical examiners. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The Personnel Licensing Division of the MCAA should develop and implement an effective system of surveillance and supervision of flight and practical test delivery to ensure consistency and reliability of testing by designated flight and practical examiners. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-3-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 25/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-3-03
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

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| <p>MONGOLIA</p> <p>Audit Period: 28/06/2010 - 07/07/2010</p> | <p>PEL/03 3.651; 3.653; 3.655; 3.657;</p> |
| <p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p> | |
| <p>CE-1 CE-2 X CE-3 CE-4 CE-5 CE-6 X CE-7 X CE-8</p> | |
| <p>FINDING:</p> <p>Mongolia has promulgated regulations for aviation personnel to demonstrate their ability to speak and understand the English language for radiotelephony communications. However, rather than complying with the Annex 1 implementation date of 5 March 2008, the regulations require language proficiency demonstration only after 1 March 2011. The Personnel Licensing Division of the MCAA is developing a plan for implementing the new regulations and is establishing a system for evaluating language ability at the various proficiency levels. However, the implementation plan and the evaluation and re-evaluation systems are not fully completed, and details remain to be developed.</p> | |
| <p>RECOMMENDATION:</p> <p>Mongolia should promulgate and implement regulations that comply with the provisions of Annex 1 regarding the demonstration of the ability to speak and understand the English language for radiotelephony communications by aviation personnel.</p> <p>The Personnel Licensing Division of the MCAA should:</p> <ol style="list-style-type: none"> a) complete the development of a plan for implementing the new regulations regarding language proficiency; b) establish and implement a system for evaluating the language ability of pilots, air traffic controllers and aeronautical station operators at the proficiency levels specified in Annex 1; and c) establish and implement a system for re-evaluating those personnel who demonstrate proficiency below the Expert Level (Level 6) at intervals in accordance with the individual's demonstrated proficiency level. | |
| <p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-3-3 of this report.</p> | |
| <p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not addressed how it will establish and implement a system for re-evaluating those personnel who demonstrate proficiency level below the Expert Level (Level 6) at intervals in accordance with the individual's demonstrated proficiency level.</p> | |

APPENDIX 1-3-04
FINDINGS AND RECOMMENDATIONS RELATED TO
PERSONNEL LICENSING AND TRAINING

| | | | | | | | |
|--|----------------------|-------------|-------------|-------------|-------------|---------------|-------------|
| MONGOLIA | PEL/04 3.767; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 X | CE-8 |
| FINDING: | | | | | | | |
| The Personnel Licensing Division of the MCAA conducts audits of approved training organizations (ATOs) as part of the issuance or renewal of an ATO certificate. However, a comprehensive surveillance programme of all ATOs has not been developed to ensure continuing compliance with national regulations. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The Personnel Licensing Division of the MCAA should develop and implement a comprehensive surveillance programme of all ATOs to ensure continuing compliance with national regulations. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-3-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-4-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

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|--|-----------------------------|-------------|-------------|-------------|-------------|-------------|-------------|
| MONGOLIA | OPS/01 4.001; 4.331; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Mongolia has promulgated Mongolian Civil Aviation rules (MCARs) 91, 92, 95, 119, 121, 129, 131 and 135 pertaining to aircraft operations. However, these regulations do not include the provisions contained in the latest amendments to Annexes 6 and 18 to the Chicago Convention. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should promulgate and implement regulations and rules pertaining to aircraft operations which include all of the provisions of the latest amendments to Annexes 6 and 18. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-4-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not indicated the appropriate responsible action office for all elements of the corrective action plan. | | | | | | | |

APPENDIX 1-4-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

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|---|--|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | OPS/02 4.109; 4.135; 4.137; 4.181; 4.205; 4.221; 4.273; 4.287; 4.289; |
| DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | |
| CE-1 CE-2 CE-3 CE-4 CE-5 X CE-6 X CE-7 CE-8 | |
| FINDING: The Aviation Safety Regulations Department of the MCAA has established a documented process for the certification of air operators. However, this process does not include thorough technical evaluations of required procedures, documents and operations prior to the issuance of an air operator certificate (AOC). Areas not addressed in the certification requirements, procedures and/or process include the following: <ul style="list-style-type: none"> a) thorough reviews of all personnel training programmes prior to granting MCAA approvals; b) the preservation of flight recorders and records, and their retention in safe custody, in the event an aeroplane becomes involved in an accident or incident; c) ensuring that the air operator's flight data analysis programme is non-punitive and protects the sources of the data; d) a policy and procedures for flight crew to record and report on volcanic activity; and e) dissemination to flight crew and operations personnel the information contained in the aeronautical information regulation and control (AIRAC) and the aeronautical information circular (AIC). | |
| RECOMMENDATION: The Aviation Safety Regulations Department of the MCAA should establish and implement a documented process for the certification of air operators that includes thorough technical evaluations of required procedures, documents and operations prior to the issuance of an AOC. The certification requirements, procedures and process should include the following subject areas: <ul style="list-style-type: none"> a) thorough reviews of all personnel training programmes prior to granting MCAA approvals; b) the preservation of flight recorders and records, and their retention in safe custody, in the event an aeroplane becomes involved in an accident or incident; c) method for ensuring that the air operator's flight data analysis programme is non-punitive and protects the sources of the data; d) a policy and procedures for flight crew to record and report on volcanic activity; and e) a method for dissemination to flight crew and operations personnel the information contained in the AIRAC and the AIC. | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-2 of this report. | |

APPENDIX 1-4-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

| | |
|--|--|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | OPS/02 4.109; 4.135; 4.137; 4.181; 4.205; 4.221; 4.273; 4.287; 4.289; |
| COMMENTS BY ICAO: The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not addressed the inclusion in the procedures of thorough reviews of all personnel training programmes prior to the granting of AOCs by the MCAA. Furthermore, the State has not indicated the appropriate responsible action office for all elements of the corrective action plan. | |

APPENDIX 1-4-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

| | | | | | | | |
|--|-----------------------------|-------------|-------------|-------------|---------------|-------------|-------------|
| MONGOLIA | OPS/03 4.187; 4.231; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 X | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The Flight Standards and Operations Surveillance Division of the MCAA is responsible for ensuring that an air operator establishes the details of flight dispatcher training in its training programme. However, no personnel within the Division have the background and experience for performing reviews and approvals of flight dispatcher training. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The Flight Standards and Operations Surveillance Division should establish and implement a mechanism for the review and approval of an air operator's flight dispatcher training programme by qualified personnel prior to the issuance of an AOC. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-4-3 of this report. | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not addressed establishment and implementation of a mechanism for the review and approval of an air operator's flight dispatcher training programme prior to the issuance of an AOC. | | | | | | | |

APPENDIX 1-4-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

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|--|-----------------------------|-------------|-------------|-------------|---------------|-------------|---------------|-------------|-------------|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | OPS/04 4.261; 4.263; | | | | | | | | |
| DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | | | |
| <table style="width: 100%; border: none;"> <tr> <td style="width: 12.5%;">CE-1</td> <td style="width: 12.5%;">CE-2</td> <td style="width: 12.5%;">CE-3</td> <td style="width: 12.5%;">CE-4</td> <td style="width: 12.5%;">CE-5</td> <td style="width: 12.5%;">CE-6 X</td> <td style="width: 12.5%;">CE-7</td> <td style="width: 12.5%;">CE-8</td> </tr> </table> | | CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 X | CE-7 | CE-8 |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 X | CE-7 | CE-8 | | |
| FINDING: The Flight Standards and Operations Surveillance Division does not conduct a thorough review of an air operator's management, procedures and assigned responsibility for operational control of all flights prior to the approval of the operations manual. | | | | | | | | | |
| RECOMMENDATION: The Flight Standards and Operations Surveillance Division should establish and implement a mechanism for conducting a thorough review of an air operator's management, procedures and assigned responsibility for operational control of all flights prior to granting MCAA approval of the operations manual. | | | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/12/2010</div> | | | | | | | | | |
| COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | | | |

APPENDIX 1-4-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

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|--|----------------------|
| <p>MONGOLIA</p> <p>Audit Period: 28/06/2010 - 07/07/2010</p> | <p>OPS/05 4.383;</p> |
| <p>DOCUMENT REFERENCE:</p> <p>Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding.</p> | |
| <p>CE-1 CE-2 CE-3 CE-4 CE-5 X CE-6 CE-7 CE-8</p> | |
| <p>FINDING:</p> <p>MCAR-131 allows for commercial aircraft operations with leased aircraft, and the Aviation Safety Regulations Department of the MCAA has developed procedures for the operations inspectorate staff regarding the approval of aircraft leasing arrangements. However, these procedures are not being followed prior to the approval by the MCAA of aircraft leasing arrangements and agreements.</p> | |
| <p>RECOMMENDATION:</p> <p>The Aviation Safety Regulations Department should implement procedures for the operations inspectorate staff regarding the approval of aircraft leasing arrangements and agreements. Procedures should include, as applicable, reviews and approvals in the following areas:</p> <ul style="list-style-type: none"> a) flight crew training; b) cabin crew training; c) the operational control agreement; d) arrangements for dispatch and flight watch; and e) flight and cabin crew scheduling. | |
| <p>CORRECTIVE ACTION PLAN PROPOSED BY THE STATE:</p> <p>Corrective action plan and comments submitted by the State are found at Appendix 3-4-5 of this report.</p> | |
| <p>COMMENTS BY ICAO:</p> <p>The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not provided sufficient details to ensure that all areas of the finding and recommendation are addressed. For example, the areas of flight crew training, cabin crew training, operational control agreement, arrangements for dispatch and flight watch, and flight and cabin crew scheduling are not specifically addressed in the corrective action plan.</p> | |

APPENDIX 1-4-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

| | |
|--|---|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | OPS/06 4.235; 4.247; 4.253; 4.325; 4.359; 4.443; |
| DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | |
| CE-1 CE-2 CE-3 CE-4 CE-5 CE-6 CE-7 X CE-8 | |
| FINDING: The Flight Standards and Operations Surveillance Division has developed a surveillance programme for the operations inspectorate staff for conducting oversight of AOC holders and foreign air operators. However, the surveillance programme does not include all of the types and frequencies of inspections to ensure compliance, on a continuing basis, with national regulations, ICAO provisions and AOC holders' operations specifications, including maintenance and accomplishment of the following: <ul style="list-style-type: none"> a) knowledge, skills and qualifications for flight dispatch/flight operations officers ground instructors; b) competency with respect to delegated tasks for appointed instructors and examiners for cabin crew; c) current records of flight time, flight duty periods and rest periods for all crew members; d) permanent ground handling responsibility by the air operator, when all or part of the functions and tasks related to ground handling services have been contracted to a service provider; and e) regular and random inspections by those responsible for the transport of dangerous goods by air to ensure conformance with Annex 18 to the Chicago Convention and ICAO Doc 9248 - <i>Technical Instructions for the Safe Transport of Dangerous Goods by Air</i> (TI). | |
| RECOMMENDATION: The Flight Standards and Operations Surveillance Division should develop and implement a comprehensive surveillance programme that includes all of the types and frequencies of inspections to ensure that all AOC holders and foreign air operators comply, on a continuing basis, with national regulations, ICAO provisions and the AOC holders' operations specifications, including maintenance and accomplishment of the following: <ul style="list-style-type: none"> a) knowledge, skills and qualifications for flight dispatch/flight operations officers ground instructors; b) competency with respect to delegated tasks for appointed instructors and examiners for cabin crew; c) current records of flight time, flight duty periods and rest periods for all crew members; d) permanent ground handling responsibility by the air operator, when all or part of the functions and tasks related to ground handling services have been contracted to a service provider; and e) regular and random inspections by those responsible for the transport of dangerous goods to confirm compliance with Annex 18 and the TI. | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-6 of this report. | |

APPENDIX 1-4-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

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|---|---|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | OPS/06 4.235; 4.247; 4.253; 4.325; 4.359; 4.443; |
| COMMENTS BY ICAO: The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not addressed the inclusion in the surveillance programme of permanent ground handling responsibility by the air operator, when ground handling services have been contracted to a service provider, and regular inspections by those responsible for the transport of dangerous goods. | |

APPENDIX 1-4-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

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|--|----------------------|-------------|-------------|-------------|-------------|-------------|-------------|
| MONGOLIA | OPS/07 4.421; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The MCAA has not developed requirements and procedures for the safe operation of a single-engine turbine-powered aeroplane when an air operator requests approval for operations in instrument meteorological conditions and/or at night. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should develop and implement requirements and procedures for the safe operation of a single-engine turbine-powered aeroplane when an air operator requests approval for operations in instrument meteorological conditions and/or at night. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-4-7 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not indicated the appropriate responsible action office. | | | | | | | |

APPENDIX 1-4-08
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION

| | | | | | | | | | |
|--|----------------------|-------------|-------------|-------------|-------------|-------------|---------------|-------------|---------------|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | OPS/08 4.453; | | | | | | | | |
| DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | | | |
| <table style="width: 100%; border: none;"> <tr> <td style="width: 12.5%;">CE-1</td> <td style="width: 12.5%;">CE-2</td> <td style="width: 12.5%;">CE-3</td> <td style="width: 12.5%;">CE-4</td> <td style="width: 12.5%;">CE-5</td> <td style="width: 12.5%;">CE-6</td> <td style="width: 12.5%;">CE-7</td> <td style="width: 12.5%;">CE-8 X</td> </tr> </table> | | CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 X |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 X | | |
| FINDING: The Flight Standards and Operations Surveillance Division has not established a system for the monitoring and the recording of progress, including actions taken by the air operator in resolving identified deficiencies, and the follow-up activities of the MCAA operations inspectorate. | | | | | | | | | |
| RECOMMENDATION: The Flight Standards and Operations Surveillance Division should establish and maintain a system for the monitoring and the recording of progress, including actions taken by the air operator in resolving identified deficiencies, and the follow-up activities of the MCAA operations inspectorate, in order to enable the tracking of past deficiencies and regulatory non-compliance. | | | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-4-8 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/05/2011</div> | | | | | | | | | |
| COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | | | |

APPENDIX 1-5-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

| | | | | | | | |
|--|----------------------|-------------|-------------|-------------|-------------|-------------|-------------|
| MONGOLIA | AIR/01 5.153; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Mongolia has promulgated regulations to implement the airworthiness-related provisions of Annexes 6, 7, 8 and 16 to the Chicago Convention, including regulations for operations-derived equipment which are not part of the type certification of the aircraft. However, these regulations do not address all the applicable provisions of Annex 6. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should promulgate and implement regulations for operations-derived equipment which are not part of the type certification of the aircraft, to fully address provisions of Annex 6. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-5-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not indicated the appropriate responsible action office for all elements of the corrective action plan. | | | | | | | |

APPENDIX 1-5-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

| | | | | | | | |
|---|------------------------------------|-------------|-------------|---------------|---------------|-------------|-------------|
| MONGOLIA | AIR/02 5.371; 5.373; 5.377; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 | CE-4 | CE-5 X | CE-6 X | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Mongolia has promulgated regulations for obtaining a maintenance organization approval, including requirements for a safety management system (SMS), as of 1 January 2011. However, this implementation date is two years after the standard specified in Annex 6 to the Chicago Convention. | | | | | | | |
| In addition, the MCAA has not yet developed related procedures for the approval of maintenance organizations to include the aspect of SMS or a plan for the implementation of this new requirement. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should promulgate legislative requirements to fully comply with the provisions of Annex 6 to establish an SMS as of 1 January 2009. | | | | | | | |
| The MCAA should establish and implement procedures to ensure that AMOs fully comply with the provisions of Annex 6, including the requirement to establish and implement an SMS. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-5-2 of this report. | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not provided sufficient details on how it will ensure that all AMOs will implement an SMS that is satisfactory to the State. Furthermore, the State has not provided a realistic target date for full implementation of an SMS by all AMOs. | | | | | | | |

APPENDIX 1-5-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRWORTHINESS OF AIRCRAFT

| | | | | | | | | | |
|--|--|-------------|-------------|---------------|-------------|---------------|---------------|---------------|---------------|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | AIR/03 5.441; 5.443; 5.445; | | | | | | | | |
| DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | | | |
| <table style="width: 100%; border: none;"> <tr> <td style="width: 12.5%;">CE-1</td> <td style="width: 12.5%;">CE-2</td> <td style="width: 12.5%;">CE-3</td> <td style="width: 12.5%;">CE-4</td> <td style="width: 12.5%;">CE-5 X</td> <td style="width: 12.5%;">CE-6</td> <td style="width: 12.5%;">CE-7 X</td> <td style="width: 12.5%;">CE-8 X</td> </tr> </table> | | CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 X | CE-8 X |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 X | CE-8 X | | |
| FINDING: The MCAA has developed and implemented a formal surveillance programme to verify that all AOC holders, foreign air operators and domestic AMOs comply, on a continuing basis, with the applicable requirements. In addition, the Airworthiness Division has implemented a documented process to take appropriate corrective actions to resolve identified deficiencies and safety issues in a timely manner. However, the surveillance programme does not include oversight of foreign AMOs. | | | | | | | | | |
| RECOMMENDATION: The MCAA should develop and implement a formal surveillance programme to verify that all foreign AMOs comply, on a continuing basis, with the AMO certificate. The Airworthiness Division should implement its documented process to address foreign AMOs when taking appropriate corrective actions to resolve identified deficiencies and safety issues in a timely manner. | | | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-5-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | | | |
| COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | | | |

APPENDIX 1-6-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

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|--|----------------------|-------------|---------------|-------------|-------------|-------------|-------------|
| MONGOLIA | AIG/01 6.123; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 X | CE-5 | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The Accident and Incident Investigation Bureau (AAIB) has provided comprehensive training to its investigators. However, the AAIB has not established a formal training programme detailing what type of recurrent and specialized training should be provided to its investigators. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The AAIB should establish and implement a formal training programme detailing what type of recurrent and specialized training should be provided to its investigators. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-6-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/01/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-6-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

| | | | | | | | |
|--|----------------------|-------------|-------------|---------------|-------------|-------------|-------------|
| MONGOLIA | AIG/02 6.207; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The AAIB investigators are provided with investigation field kits, protective equipment, as well as transportation and communication means to carry out investigation tasks. However, the AAIB has not included blood-borne pathogen kits as part of the protective equipment provided to the investigators. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The AAIB should include blood-borne pathogen kits as part of the protective equipment to be provided to its investigators when they carry out aircraft accident investigations. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-6-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2010</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-6-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

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|---|----------------------|-------------|-------------|---------------|-------------|-------------|-------------|
| MONGOLIA | AIG/03 6.381; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The AAIB has not established procedures to ensure that relevant and timely information on the progress of the investigation will be provided to the families and accident survivors. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The AAIB should establish and implement procedures to ensure that relevant and timely information on the progress of the investigation will be provided to the families and accident survivors. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-6-3 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/10/2010</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-6-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION

| | | | | | | | |
|--|----------------------|-------------|-------------|---------------|-------------|-------------|-------------|
| MONGOLIA | AIG/04 6.411; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The AAIB has not established procedures to ensure it will amend the draft report to include the comments received or, if desired by the State which provided the comments, append the comments to the final report. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The AAIB should establish and implement procedures to ensure it will amend the draft report to include the comments received or, if desired by the State which provided the comments, append the comments to the final report. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-6-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 30/09/2010</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-7-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

| | | | | | | | |
|---|----------------------|-------------|-------------|---------------|-------------|-------------|-------------|
| MONGOLIA | ANS/01 7.153; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Mongolia has developed a national contingency plan in the event of a disruption or potential disruption of air traffic services (ATS) or related supporting services. However, Mongolia has not yet developed similar contingency measures with adjacent airspaces which are likely to be affected by such disruptions. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should develop and implement contingency plans in conformance with Annex 11 to the Chicago Convention in order to provide a safe and orderly flow of international traffic in the event of disruptions of ATS and related supporting services. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-7-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2012</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-7-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

| | | | | | | | |
|--|----------------------|-------------|-------------|---------------|-------------|-------------|-------------|
| MONGOLIA | ANS/02 7.159; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The MCAA has established requirements for the ATS provider to establish air traffic control (ATC) contingency procedures for emergency separation when it is not possible to ensure that the minimum horizontal separation can be maintained. However, the ATS provider has not developed ATC contingency procedures for emergency separation. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should ensure that the ATS provider develops and implements ATC contingency procedures for emergency separation when it is not possible to ensure that the minimum horizontal separation can be maintained. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-7-2 of this report. | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not provided sufficient details on how it will ensure that the ATS provider will develop and implement ATC contingency procedures. | | | | | | | |

APPENDIX 1-7-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

| | | | | | | | |
|--|--|---------------|-------------|---------------|-------------|---------------|-------------|
| MONGOLIA | ANS/03 7.161; 7.163; 7.165; 7.171; 7.173; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 X | CE-4 | CE-5 X | CE-6 | CE-7 X | CE-8 |
| FINDING: | | | | | | | |
| The MCAA has not established a safety programme in order to achieve an acceptable level of safety in the provision of ATS. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should establish a safety programme in order to achieve an acceptable level of safety in the provision of ATS. The safety programme should include, but not be limited to: | | | | | | | |
| <ul style="list-style-type: none"> a) the identification of required resources to support its establishment and implementation; b) the establishment criteria for the determination of safety performance indicators and safety performance targets to be used for monitoring of safety performance; c) the acceptance of the SMS established by the ATS provider; and d) safety oversight of the SMS. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-7-3 of this report. | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not provided sufficient details to ensure it has addressed the entire scope of the recommendation. | | | | | | | |

APPENDIX 1-7-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

| | | | | | | | |
|--|--|-------------|-------------|-------------|---------------|---------------|-------------|
| MONGOLIA | ANS/04 7.169; 7.175; 7.177; 7.179; 7.181; 7.183; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 X | CE-7 X | CE-8 |
| FINDING: | | | | | | | |
| The MCAA has promulgated regulations for the ATS provider to implement an SMS, and the ATS provider has developed an ATS SMS implementation plan. However, the ATS provider's SMS has not yet been established. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should ensure that the ATS provider establishes and implements an SMS that is acceptable to the MCAA and includes, but is not limited to, the following: | | | | | | | |
| <ul style="list-style-type: none"> a) clearly defined lines of safety accountability, including direct accountability for safety on the part of senior management; b) proactive approach for the identification of safety hazards; c) provision for the service provider to conduct regular safety reviews; d) implementation of remedial actions necessary to mitigate the risks/hazards; and e) provision for post implementation monitoring and regular safety assessment for any significant safety-related change to the ATS system. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-7-4 of this report. | | | | | | | |
| Estimated Implementation Date: 01/12/2011 | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-7-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

| | | | | | | | |
|---|----------------------|-------------|-------------|---------------|-------------|-------------|-------------|
| MONGOLIA | ANS/05 7.307; 7.363; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The MCAA has published the AIP in three parts. However, the current AIP contains sections and subsections that are missing or not complete. For example, the following are not published in the AIP: the World Aeronautical Chart - ICAO 1:1 000 000, Aeronautical Chart - ICAO 1:500 000, or Aeronautical Navigation Chart - ICAO Small Scale. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should review the contents of the current AIP, publish an AIP that is in conformance with Chapter 4 and Appendix 1 of Annex 15 to the Chicago Convention and establish a mechanism to ensure that all charts applicable in Mongolia are made available to all users. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-7-5 of this report. | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not addressed how it will establish a mechanism to ensure that all charts applicable in Mongolia will be made available to all users. | | | | | | | |

APPENDIX 1-7-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

| | | | | | | | |
|---|---------------|-------------|-------------|-------------|-------------|---------------|-------------|
| MONGOLIA | ANS/06 7.451; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 X | CE-8 |
| FINDING: | | | | | | | |
| Mongolia has published requirements for the Aviation Meteorological Centre to have a quality system. However, the quality system established by the Aviation Meteorological Centre is not certified by an approved organization in conformity with the International Organization for Standardization (ISO) 9000 series of quality assurance standards. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should establish a mechanism to ensure that the entity providing aeronautical meteorological services implements a properly organized quality system. The quality management system should conform to the ISO 9000 series of quality assurance standards and should be certified by an approved organization. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-7-6 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/10/2012</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-7-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

| | | | | | | | |
|--|----------------------|---------------|-------------|-------------|-------------|-------------|-------------|
| MONGOLIA | ANS/07 7.517; 7.519; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 X | CE-4 | CE-5 | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Mongolia has established international letters of agreement with the Russian Federation for coordination with aeronautical search and rescue (SAR) organizations. However, similar letters of agreement have not yet been agreed between Mongolia and China, including arrangements to enable expeditious entry into Mongolia of SAR units from neighbouring States. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should ensure that letters of agreements are established in relation to aeronautical SAR arrangements with all neighbouring States, including provisions for the expeditious access of SAR units from neighbouring States for the purposes of SAR operations. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-7-7 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-7-08
FINDINGS AND RECOMMENDATIONS RELATED TO
AIR NAVIGATION SERVICES

| | | | | | | | |
|---|---------------|-------------|-------------|-------------|---------------|-------------|-------------|
| MONGOLIA | ANS/08 7.545; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 X | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The rescue coordination centre has a training programme for SAR technical personnel. However, the SAR training does not cover specific areas concerning SAR operations; for example, the determination of search area, the selection of appropriate SAR patterns to conduct the search and the allocation of SAR resources. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| Mongolia should develop and implement regular training for SAR personnel that includes specific areas such as the determination of search area, the selection of appropriate SAR patterns to conduct the search and the allocation of SAR resources. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-7-8 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-8-01
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

| | | | | | | | |
|--|-----------------------------|-------------|---------------|-------------|-------------|-------------|-------------|
| MONGOLIA | AGA/01 8.051; 8.053; 8.055; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 X | CE-5 | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The MCAA has developed a training programme and a periodic training plan for aerodrome regulatory staff which includes initial, on-the-job and recurrent training. However, the training programme and the training plan do not detail what type of specialized training should be provided to the aerodrome inspectors. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should develop and implement a training programme and annual training plan for aerodrome regulatory staff to include appropriate types and frequencies of specialized training. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-8-1 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-8-02
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

| | | | | | | | |
|--|----------------------|-------------|-------------|---------------|---------------|-------------|-------------|
| MONGOLIA | AGA/02 8.091; 8.169; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 X | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Aerodrome and rescue and fire fighting (RFF) inspectors use checklists to track compliance with the certification requirements. However, the checklists used by aerodrome inspectors for the review of the aerodrome manual and the on-site inspections of the physical characteristics, facilities and equipment are not adequately detailed to ensure compliance with the regulations. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should develop and implement detailed checklists for use by aerodrome inspectors for the review of the aerodrome manual and for on-site inspections of the physical characteristics, facilities and equipment to ensure compliance with the regulations. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-8-2 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/01/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-8-03
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

| | | | | | | | |
|---|------------------------------------|---------------|-------------|---------------|---------------|-------------|-------------|
| MONGOLIA | AGA/03 8.131; 8.133; 8.135; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 X | CE-4 | CE-5 X | CE-6 X | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| Aerodrome-related aeronautical data are collected and delivered directly from the certified aerodrome operator to the Aeronautical Information Service (AIS) Division of the MCAA. However, some information in the AIP is lacking or is out of date. Furthermore, the MCAA has not established a process and quality system for the verification of the accuracy and the integrity of aeronautical data reported by the aerodrome operator throughout the data transfer process and to ensure compliance with the regulations. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should establish and implement the following: | | | | | | | |
| <ul style="list-style-type: none"> a) a process, including coordination between aerodrome operators and AIS, that ensures that aerodrome operators provide complete and up-to-date information for publication in the AIP; and b) a quality system for ensuring that the accuracy and the integrity of aeronautical data reported by the aerodrome operator are maintained throughout the data transfer process. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-8-3 of this report. | | | | | | | |
| Estimated Implementation Date: 31/12/2011 | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-8-04
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

| | | | | | | | |
|---|----------------------|-------------|-------------|---------------|-------------|-------------|-------------|
| MONGOLIA | AGA/04 8.141; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 X | CE-6 | CE-7 | CE-8 |
| FINDING: | | | | | | | |
| The MCAA has established detailed requirements and guidance for calculating declared distances, to the specified accuracy, for runways intended for use by international commercial air transport. However, a review of the AIP and of an aerodrome manual indicates that these requirements are not being met. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The MCAA should establish and implement a mechanism to ensure compliance with the requirements related to the calculation of declared distances, to the specified accuracy, for runways intended for use by international commercial air transport. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-8-4 of this report. <div style="text-align: right;">Estimated Implementation Date: 01/04/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 1-8-05
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

| | | | | | | | |
|--|---|-------------|-------------|-------------|---------------|-------------|---------------|
| MONGOLIA | AGA/05 8.361; 8.363; 8.365; 8.407; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 X | CE-3 | CE-4 | CE-5 | CE-6 X | CE-7 | CE-8 X |
| FINDING: | | | | | | | |
| <p>Mongolia has established regulations for certified aerodrome operators to develop an SMS as part of the certification process. However, Mongolia has not established a State safety programme in order to achieve an acceptable level of safety in aerodrome operations. The MCAA has developed the Aerodrome Safety Management System Manual which provides guidance for the establishment of an SMS. However, the requirement for certified aerodromes to have an SMS in operation has not been implemented for all aerodromes receiving international flights. In addition, the MCAA does not ensure that aerodrome operators analyse accident and incident occurrences and trends and take appropriate action as part of their SMS.</p> | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| <p>Mongolia should establish and implement a State safety programme.</p> <p>The MCAA should establish mechanisms to ensure that aerodrome operators:</p> <ul style="list-style-type: none"> a) implement SMS requirements for all aerodromes receiving international flights; and b) analyse accident and incident occurrences and trends and take appropriate action as part of their SMS. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| <p>Corrective action plan and comments submitted by the State are found at Appendix 3-8-5 of this report.</p> <p style="text-align: right;">Estimated Implementation Date: 31/12/2011</p> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| <p>The corrective action plan submitted by the State partially addresses this ICAO finding and recommendation. The State has not indicated the appropriate responsible action office for all elements of the corrective action plan.</p> | | | | | | | |

APPENDIX 1-8-06
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

| | |
|---|------------------------------------|
| MONGOLIA Audit Period: 28/06/2010 - 07/07/2010 | AGA/06 8.369; 8.371; 8.373; 8.375; |
| DOCUMENT REFERENCE: Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | |
| CE-1 CE-2 CE-3 CE-4 X CE-5 X CE-6 CE-7 X CE-8 | |
| FINDING: Mongolia has promulgated regulations which define the circumstances and rationale for the conduct of aeronautical studies or risk assessments to justify applications for exemptions. However, no guidance has been developed for the conduct and evaluation of aeronautical studies. Most of the aerodrome technical staff has not received training on the development, use and evaluation of SMS and aeronautical studies. In addition, the MCAA has not established a process to review the validity of using aeronautical studies or risk assessments and assessing outcomes of these studies. | |
| RECOMMENDATION: The MCAA should: <ul style="list-style-type: none"> a) develop and implement guidance for conducting and assessing aeronautical studies; b) provide training to all aerodrome technical staff on the development, use and evaluation of SMS and aeronautical studies; c) establish and implement a formal process to review the validity of using aeronautical studies or risk assessments; and d) establish a mechanism to ensure that the outcomes of the conduct of risk assessments and aeronautical studies are assessed and published in a document which is accessible to the public, such as the AIP. | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: Corrective action plan and comments submitted by the State are found at Appendix 3-8-6 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/07/2012</div> | |
| COMMENTS BY ICAO: The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | |

APPENDIX 1-8-07
FINDINGS AND RECOMMENDATIONS RELATED TO
AERODROMES

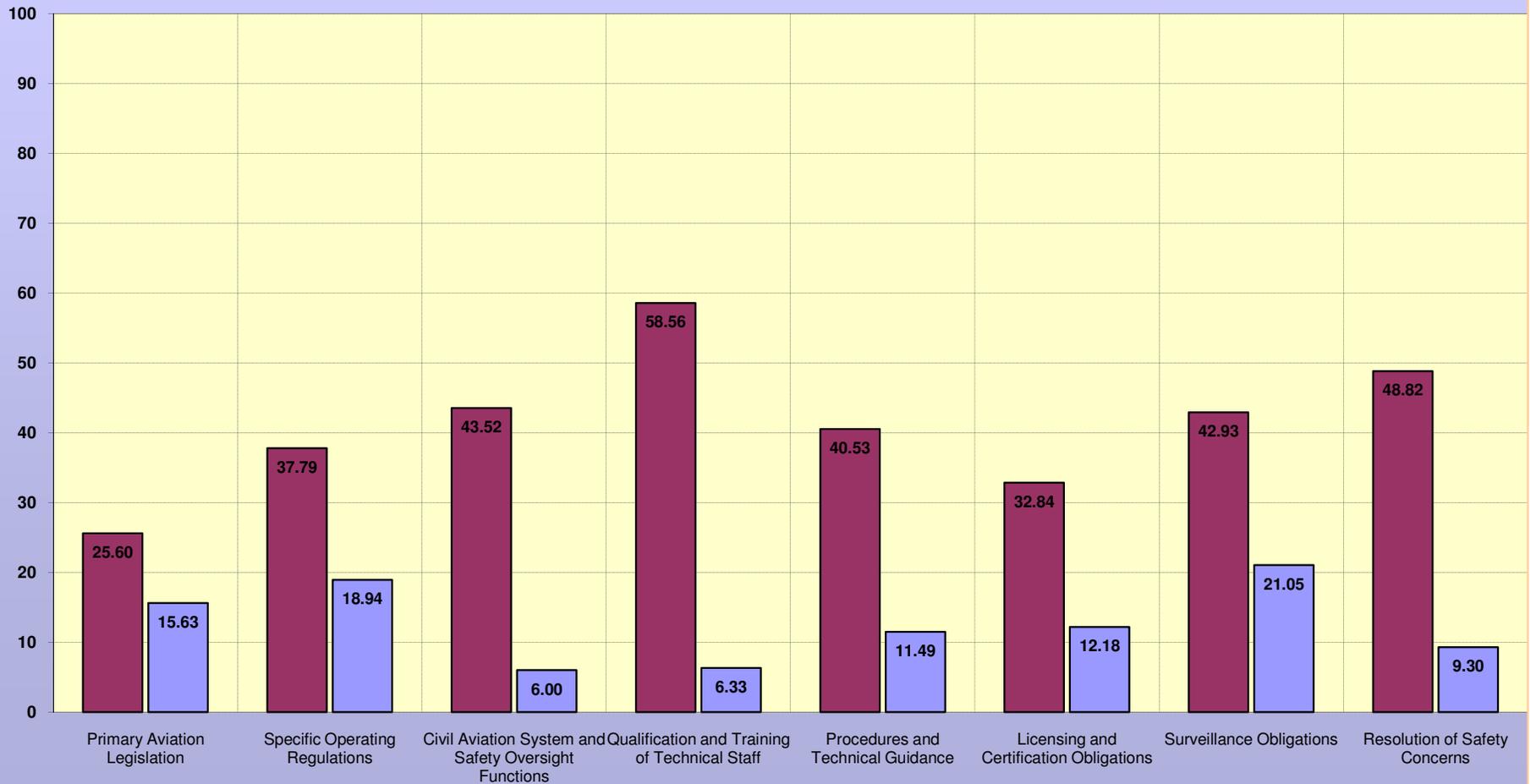
| | | | | | | | |
|---|---------------|-------------|-------------|-------------|-------------|---------------|-------------|
| MONGOLIA | AGA/07 8.403; | | | | | | |
| Audit Period: 28/06/2010 - 07/07/2010 | | | | | | | |
| DOCUMENT REFERENCE: | | | | | | | |
| Refer to Doc 9735, Appendix F for the document reference(s) associated with the protocol questions identified in this finding. | | | | | | | |
| CE-1 | CE-2 | CE-3 | CE-4 | CE-5 | CE-6 | CE-7 X | CE-8 |
| FINDING: | | | | | | | |
| The Aerodrome and Air Navigation Division of the MCAA has established a surveillance programme which specifies the types and frequencies of inspections of the operations conducted by aerodrome certificate holders. However, the surveillance activities do not include all aspects of the certification and operation of an aerodrome. | | | | | | | |
| RECOMMENDATION: | | | | | | | |
| The Aerodrome and Air Navigation Division should develop and implement a formal surveillance programme which includes continuing supervision of all aspects of the certification and operation of aerodromes. | | | | | | | |
| CORRECTIVE ACTION PLAN PROPOSED BY THE STATE: | | | | | | | |
| Corrective action plan and comments submitted by the State are found at Appendix 3-8-7 of this report. <div style="text-align: right;">Estimated Implementation Date: 31/12/2011</div> | | | | | | | |
| COMMENTS BY ICAO: | | | | | | | |
| The corrective action plan submitted by the State fully addresses this ICAO finding and recommendation. | | | | | | | |

APPENDIX 3

CRITICAL ELEMENTS OF A SAFETY OVERSIGHT SYSTEM LACK OF EFFECTIVE IMPLEMENTATION (%)

■ Global: (178) Audited States: 41.32%

■ MONGOLIA 12.61%



APPENDIX 2

APPENDIX 3-1-1

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PRIMARY AVIATION LEGISLATION
AND CIVIL AVIATION REGULATIONS**

| AUDIT FINDING LEG/01 | | |
|--|--|---|
| Please refer to Appendix 1-1-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To implement the procedures for performing technical assessments of amendments to the Annexes for review and adoption into national regulations in a timely manner, in order to allow Mongolia to keep pace with the changing environment of civil aviation and to remain up-to-date with international standards. | Air Transport Division of MCAA and RMD | 31 December 2011 |

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APPENDIX 3-1-2

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PRIMARY AVIATION LEGISLATION
AND CIVIL AVIATION REGULATIONS**

| AUDIT FINDING LEG/02 | | |
|--|----------------------|---|
| Please refer to Appendix 1-1-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA disagrees the finding but it could be accepted as a recommendation and a good practice. There is no reference in the Annex 15 that requires the AIP to include the amendment number. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| MCAA has published a new AIP, affected by 29 July, 2010. The new AIP contains the notifications differences to ICAO which are indicated the latest Annex amendments. | AIS MCAA | 29 July 2010 |

* Text reproduced as submitted by Mongolia

APPENDIX 3-1-3

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PRIMARY AVIATION LEGISLATION
AND CIVIL AVIATION REGULATIONS**

| AUDIT FINDING LEG/03 | | |
|--|----------------------|---|
| Please refer to Appendix 1-1-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| The requirements are in GEN. 1.12 of new AIP. The AIP was implemented 29 of July, 2010. | AIS MCAA | 29 July 2010 |

* Text reproduced as submitted by Mongolia

APPENDIX 3-1-4

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PRIMARY AVIATION LEGISLATION
AND CIVIL AVIATION REGULATIONS**

| AUDIT FINDING LEG/04 | | |
|---|----------------------|---|
| Please refer to Appendix 1-1-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| <p>The MCAA disagrees with the finding of the ICAO audit team.</p> <p>The Administrative Penalty Law of Mongolia regulates the amount of monetary penalties imposed in all other laws of Mongolia. Therefore, the monetary penalties specified in the Civil Aviation Law of Mongolia must be same amount as the Administrative Penalty Law of Mongolia and all other laws. Living conditions and minimum wage in Mongolia are the factors considered in the establishment of these amounts.</p> <p>The monetary penalties shall be charged on per violation and per day basis according to Article 44.2 of the existing Civil Aviation Law of Mongolia.</p> | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| NIL | | |

* Text reproduced as submitted by Mongolia

APPENDIX 3-1-5

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PRIMARY AVIATION LEGISLATION
AND CIVIL AVIATION REGULATIONS**

| | | |
|--|----------------------|---|
| AUDIT FINDING LEG/05 | | |
| Please refer to Appendix 1-1-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To issue credentials to aviation safety inspectors that clearly state the appropriate powers granted to each individual based upon job functions and assigned responsibilities. | SRD MCAA | 31 January 2011 |

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APPENDIX 3-2

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO CIVIL AVIATION ORGANIZATION**

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APPENDIX 3-3-1

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PERSONNEL LICENSING AND TRAINING**

| AUDIT FINDING PEL/01 | | |
|---|----------------------|---|
| Please refer to Appendix 1-3-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To develop detailed procedures for processing applications for flight dispatcher licenses that include the applicant's satisfactory completion of a practical examination prior to the issuance of a flight dispatcher license. | PEL Division | 15 June 2011 |
| To implement detailed procedures for processing applications for flight dispatcher licenses that include the applicant's satisfactory completion of a practical examination prior to the issuance of a flight dispatcher license. | PEL Division | 31 December 2011 |
| To train inspector for conducting practical examination prior to the issuance of flight dispatcher licenses. | PEL division | 31 December 2011 |

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APPENDIX 3-3-2

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PERSONNEL LICENSING AND TRAINING**

| AUDIT FINDING PEL/02 | | |
|---|----------------------|---|
| Please refer to Appendix 1-3-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To develop procedure and an effective system of surveillance and supervision of flight and practical test delivery and to ensure consistency and reliability of testing by designated flight and practical examiners. | PEL Division | 15 June 2011 |
| To implement an effective system of surveillance and supervision of flight and practical test delivery and to ensure consistency and reliability of testing by designated flight and practical examiners. | PEL Division | 25 December 2011 |

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APPENDIX 3-3-3

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PERSONNEL LICENSING AND TRAINING**

| AUDIT FINDING PEL/03 | | |
|--|----------------------|---|
| Please refer to Appendix 1-3-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To complete the development of a plan for implementing the new regulations regarding language proficiency. | PEL Division | 30 September 2010 |
| To establish and implement a system for evaluating the language ability of pilots, air traffic controllers and aeronautical station operators at the proficiency levels specified in Annex 1 | PEL Division | 28 February 2011 |

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APPENDIX 3-3-4

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO PERSONNEL LICENSING AND TRAINING**

| AUDIT FINDING PEL/04 | | |
|--|----------------------|---|
| Please refer to Appendix 1-3-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To develop a comprehensive annual surveillance programme of all ATOs to ensure continuing compliance with national regulations | PEL Division | 31 December 2010 |
| To implement the comprehensive surveillance programme of all ATOs to ensure continuing compliance with national regulations | PEL Division | 31 December 2011 |

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APPENDIX 3-4-1

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

| AUDIT FINDING OPS/01 | | |
|--|----------------------|---|
| Please refer to Appendix 1-4-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA accepts the finding of the ICAO audit team with some reservations.MCAR -92 includes the latest amendments to Annex 18. Existing provisions MCAR-92.185 requires the operator to report dangerous goods accident and incidents to appropriate authorities in accordance with the last amendment 9 to Annex 18. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| Review the latest amendments to Annex 6 and determine rule requirements to be amended. | FSOSD | 1 March 2011 |
| Implement "Procedures for handling ICAO State letters regarding proposals for amendment of Annexes" and amend relevant MCARs. | RMD | 1 December 2011 |

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APPENDIX 3-4-2

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

| AUDIT FINDING OPS/02 | | |
|--|----------------------|---|
| Please refer to Appendix 1-4-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| Amend and implement a procedure that requires to conduct thorough evaluations of the following prior to the issuance of an AOC in the Flight Standards and Operations Surveillance Division procedure manual, Part 3 "AOC Certification procedures": <ul style="list-style-type: none"> - ensure that an air operator has established procedures for the preservation of flight recorders and their retention in safe custody; - ensure that the air operator's flight data analysis programme is non punitive and contains safeguards to protect the source(s) of the data; - ensure that the air operator has established a policy and procedures for flight crew to record and report on volcanic activity; - ensure that the air operator has procedures for the preparation and dissemination of the information contained in AIRAC and AIC to flight crew and operations personnel. | FSOSD | 31 January 2011 |
| Amend MCAR-12 to require the preservation of flight recorders and records, and their retention in safe custody, in the event an aeroplane becomes involved in an accident or incident. | FSOSD RMD | 1 April 2011 |
| Amend MCAR-91 to require operator to develop a procedure to report on volcanic activity. | FSOSD RMD | 1 April 2011 |

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APPENDIX 3-4-3

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

| AUDIT FINDING OPS/03 | | |
|--|----------------------------|---|
| Please refer to Appendix 1-4-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| MCAA will appoint a new inspector, who has the background and experience for performing reviews and approvals of flight dispatcher training. | MCAA and Ministry of RTCUD | 1 June 2011 |

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APPENDIX 3-4-4

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

| AUDIT FINDING OPS/04 | | |
|--|----------------------|---|
| Please refer to Appendix 1-4-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| The Flight Standards and Operations Surveillance Division procedure manual, Part 3 "AOC Certification procedures" contains a procedure for conducting a review of an air operator's management, procedures and assigned responsibility for operational control prior to the approval of the operational manual. Implement the procedure for conducting a thorough review of an air operator's management, procedures and assigned responsibility for operational control of all flights prior to the approval of the operations manual. | FSOSD | 1 December 2010 |

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APPENDIX 3-4-5

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

| AUDIT FINDING OPS/05 | | |
|--|----------------------|---|
| Please refer to Appendix 1-4-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| Implement procedures for the operations inspectorate staff regarding the approval of aircraft leasing agreements as prescribed in "Aircraft leasing procedures manual", chapter 1.19. | FSOSD | 31 December 2010 |

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APPENDIX 3-4-6

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

| AUDIT FINDING OPS/06 | | |
|---|----------------------|---|
| Please refer to Appendix 1-4-06 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| Amend to the existing surveillance programme the following types of inspections and their frequencies: <ul style="list-style-type: none">- cabin crew examiner;- flight dispatcher ground instructor;- dangerous goods random inspections;- flight duty records. | FSOSD | 31 December 2010 |

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APPENDIX 3-4-7

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

| AUDIT FINDING OPS/07 | | |
|--|----------------------|---|
| Please refer to Appendix 1-4-07 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To amend MCAR-135 in accordance with the latest amendment of Annex 6. | FSOSD and RMD | 31 December 2011 |

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APPENDIX 3-4-8

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT OPERATIONS CERTIFICATION AND SUPERVISION**

| AUDIT FINDING OPS/08 | | |
|--|----------------------|---|
| Please refer to Appendix 1-4-08 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| Establish and maintain a system for monitoring and tracking identified deficiencies, the resulting corrective actions taken by the air operator and the follow-up activities. | FSOSD | 31 May 2011 |

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APPENDIX 3-5-1

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRWORTHINESS OF AIRCRAFT**

| AUDIT FINDING AIR/01 | | |
|--|----------------------|---|
| Please refer to Appendix 1-5-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To amend related regulations, to fully address provisions of Annex 6. | AW Division | 30 June 2011 |
| To establish the implementation of the amended regulations. | AW Division | 31 December 2011 |

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APPENDIX 3-5-2

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRWORTHINESS OF AIRCRAFT**

| AUDIT FINDING AIR/02 | | |
|--|----------------------|---|
| Please refer to Appendix 1-5-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To establish procedures to ensure that AMOs fully complies with the provisions of Annex 6, including the requirement to establish and implement an SMS. | AW Division | 1 December 2010 |
| To implement the procedures. | AW Division | 31 December 2010 |

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APPENDIX 3-5-3

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRWORTHINESS OF AIRCRAFT**

| AUDIT FINDING AIR/03 | | |
|--|----------------------|---|
| Please refer to Appendix 1-5-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To develop and implement a formal surveillance programme to verify that all foreign AMOs comply on a continuing basis with the AMO certificate. | AW Division | 31 December 2010 |
| To implement its documented process to address foreign AMOs when taking appropriate corrective actions to resolve identified deficiencies and safety issues in a timely manner. | AW Division | 31 December 2011 |

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APPENDIX 3-6-1

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

| AUDIT FINDING AIG/01 | | |
|---|----------------------|---|
| Please refer to Appendix 1-6-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The AAIB agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To implement formal training programme detailing the type of recurrent and specialized training should be provided to its investigators, to be included in the renewing Aircraft accident investigation policy and procedures manual. | AAIB | 31 January 2011 |

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APPENDIX 3-6-2

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

| AUDIT FINDING AIG/02 | | |
|--|----------------------|---|
| Please refer to Appendix 1-6-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The AAIB agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| AAIB will be include Blood-borne Pathogen kits part of investigation field kits. | AAIB | 31 December 2010 |

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APPENDIX 3-6-3

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

| AUDIT FINDING AIG/03 | | |
|--|----------------------|---|
| Please refer to Appendix 1-6-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The AAIB agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| AAIB has established and implemented procedures to ensure that relevant and timely information on the progress of the investigation will be provided to families and accident survivors | AAIB | 31 October 2010 |

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APPENDIX 3-6-4

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION**

| AUDIT FINDING AIG/04 | | |
|--|----------------------|---|
| Please refer to Appendix 1-6-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The AAIB agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| AAIB amended the aircraft accident investigation policy and procedures manual to ensure that it either amends the draft report to include the comments received or, if desired by the State which provided the comments send the comments to the final report. | AAIB | 30 September 2010 |

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APPENDIX 3-7-1

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIR NAVIGATION SERVICES**

| AUDIT FINDING ANS/01 | | |
|--|----------------------|---|
| Please refer to Appendix 1-7-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To develop contingency plans in accordance with Annex 11 to the Chicago Convention in order to provide a safe and orderly flow of international traffic in the event of disruptions of air traffic services and related supporting services. | MCAA | 31 December 2012 |
| To implement the contingency plans. | MCAA | 31 December 2012 |

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APPENDIX 3-7-2

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIR NAVIGATION SERVICES**

| AUDIT FINDING ANS/02 | | |
|--|----------------------|---|
| Please refer to Appendix 1-7-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| The ATS provider will develop and implement ATC contingency procedures for emergency separation when it is not possible to ensure that the minimum horizontal separation can be maintained. | SRD | 1 November 2011 |

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APPENDIX 3-7-3

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIR NAVIGATION SERVICES**

| AUDIT FINDING ANS/03 | | |
|--|----------------------|---|
| Please refer to Appendix 1-7-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To establish a safety programme in order to achieve an acceptable level of safety in the provision of ATS. | MCAA | 1 July 2011 |

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APPENDIX 3-7-4

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIR NAVIGATION SERVICES**

| AUDIT FINDING ANS/04 | | |
|--|----------------------|---|
| Please refer to Appendix 1-7-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To support that the ATS provider establish and implement a safety management system that is acceptable to the MCAA and includes, but is not limited to, the following: a) clearly defined lines of safety accountability, including direct accountability for safety on the part of senior management; b) proactive approach for the identification of safety hazards; c) provision for the regular conduct of safety reviews; d) implementation of remedial actions necessary to mitigate the risks/hazards; and provision for continuous monitoring and regular safety assessment of the safety level achieved. | SRD MCAA | 1 December 2011 |

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APPENDIX 3-7-5

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIR NAVIGATION SERVICES**

| AUDIT FINDING ANS/05 | | |
|--|----------------------|---|
| Please refer to Appendix 1-7-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To publish an AIP that is in accordance with Chapter 4 and Appendix 1 of Annex 15 to the Chicago Convention | AIS | 1 December 2011 |

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APPENDIX 3-7-6

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIR NAVIGATION SERVICES**

| AUDIT FINDING ANS/06 | | |
|--|--------------------------------|---|
| Please refer to Appendix 1-7-06 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| The entity providing aeronautical meteorological services is to be certified in conformity to the ISO 9000 series of quality assurance standards. | Aviation Meteorological Centre | 31 October 2012 |
| To establish a mechanism to ensure that the entity providing aeronautical meteorological services implements a properly organised quality system. | SRD | 31 October 2012 |

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APPENDIX 3-7-7

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIR NAVIGATION SERVICES**

| AUDIT FINDING ANS/07 | | |
|--|----------------------|---|
| Please refer to Appendix 1-7-07 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To make arrangement with China. | MCAA | 31 December 2011 |

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APPENDIX 3-7-8

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AIR NAVIGATION SERVICES**

| AUDIT FINDING ANS/08 | | |
|---|----------------------|---|
| Please refer to Appendix 1-7-08 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To develop and implement a training programme for SAR personnel that includes specific areas such as the determination of search area, the selection of appropriate SAR patterns to conduct the search and the allocation of SAR resources. | MCAA | 31 December 2011 |

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APPENDIX 3-8-1

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AERODROMES**

| AUDIT FINDING AGA/01 | | |
|--|----------------------|---|
| Please refer to Appendix 1-8-01 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To amend SRD training programme and annual training plan for aerodrome regulatory staff to include appropriate types and frequencies of specialized training. | SRD | 31 December 2010 |
| To implement the training programme and annual training plan. | SRD | 31 December 2011 |
| To maintain records of training program implementation. | SRD | 31 December 2011 |

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APPENDIX 3-8-2

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AERODROMES**

| AUDIT FINDING AGA/02 | | |
|--|----------------------|---|
| Please refer to Appendix 1-8-02 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To develop and implement detailed checklists for use by aerodrome inspectors for review of the aerodrome manual and for on-site inspections of the physical characteristics, facilities and equipment to ensure compliance with the regulations. | AAD | 31 January 2011 |

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APPENDIX 3-8-3

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AERODROMES**

| AUDIT FINDING AGA/03 | | |
|--|----------------------|---|
| Please refer to Appendix 1-8-03 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To establish and implement the following: <ul style="list-style-type: none">• a process that ensures aerodrome operators provide complete and up to date information for publication in the AIP; and | AAD | 30 June 2011 |
| <ul style="list-style-type: none">• a quality system for ensuring that the accuracy and integrity of aeronautical data reported by the aerodrome operator are maintained throughout the data transfer process. | AAD | 31 December 2011 |

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APPENDIX 3-8-4

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AERODROMES**

| AUDIT FINDING AGA/04 | | |
|--|----------------------|---|
| Please refer to Appendix 1-8-04 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To amend the mechanism to ensure compliance with the requirements related to the calculation of declared distances, to the specified accuracy, for runways intended for use by international commercial air transport. | AAD | 1 April 2011 |

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APPENDIX 3-8-5

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AERODROMES**

| AUDIT FINDING AGA/05 | | |
|--|----------------------|---|
| Please refer to Appendix 1-8-05 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To: <ul style="list-style-type: none">• establish and implement a safety programme; and• promulgate regulations that provide a definition of SMS. | MCAA | 1 July 2011 |
| To establish mechanisms to ensure that aerodrome operators receiving international flights <ul style="list-style-type: none">• implement SMS requirements; and• analyze accident and incident occurrences and trends and take appropriate action as part of their SMS | MCAA | 31 December 2011 |

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APPENDIX 3-8-6

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AERODROMES**

| AUDIT FINDING AGA/06 | | |
|---|----------------------|---|
| Please refer to Appendix 1-8-06 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To: <ul style="list-style-type: none"> develop and implement guidance for conducting and assessing aeronautical studies; | AAD | 31 July 2011 |
| <ul style="list-style-type: none"> provide training to all aerodrome technical staff on the development, use and evaluation of SMS and aeronautical studies; | SRD | 31 December 2011 |
| <ul style="list-style-type: none"> establish and implement a formal process to review the validity of using aeronautical studies or risk assessments; and | MCAA | 31 December 2011 |
| <ul style="list-style-type: none"> establish a mechanism to ensure that the outcomes of the conduct of risk assessments and aeronautical studies are assessed and published in a document which is publicly accessible, such as the AIP. | MCAA | 31 July 2012 |

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APPENDIX 3-8-1

**CORRECTIVE ACTION PLAN PROPOSED BY MONGOLIA
RELATED TO AERODROMES**

| | | |
|--|----------------------|---|
| AUDIT FINDING AGA/07 | | |
| Please refer to Appendix 1-8-07 of this report for the text of the finding and recommendation along with the related protocol questions which should be considered in order to fully address this audit finding. | | |
| STATE'S COMMENTS AND OBSERVATIONS* | | |
| The MCAA agrees with the finding of the ICAO audit team. | | |
| CORRECTIVE ACTION(S) PROPOSED* | ACTION OFFICE | ESTIMATED IMPLEMENTATION DATE(S) |
| To develop and implement a formal surveillance programme which includes continuing supervision of all aspects of the certification and operation of aerodromes. | SRD | 31 December 2011 |

— END —

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