



**INTERNATIONAL CIVIL AVIATION ORGANIZATION**

*A United Nations Specialized Agency*

# **USOAP Continuous Monitoring Approach (CMA) Workshop**

## Module 4

How to conduct a self-assessment with  
Protocol Questions (PQs) and How to  
Update Corrective Action Plans (CAPs)

# Objective



The objective of this module is to explain how to:

- Conduct self-assessment PQs; and
- Submit and update CAPs.

# Outline



- How to conduct self-assessment (PQs)
- How to submit CAPs
- How to update CAPs

# How to conduct self-assessment

# How to complete PQs

- States shall complete PQs by:
  - Conducting self-assessment; and
  - Providing remarks/evidence.
- The self-assessment tool in the OLF provides States with functionalities to:
  - Indicate and update the status of implementation for each PQ; and
  - Submit evidence.
- The self-assessment tool may also be used by States to:
  - conduct internal audits;
  - prepare for ICAO USOAP CMA activities; and
  - monitor their own civil aviation safety oversight system.

# How to complete PQs

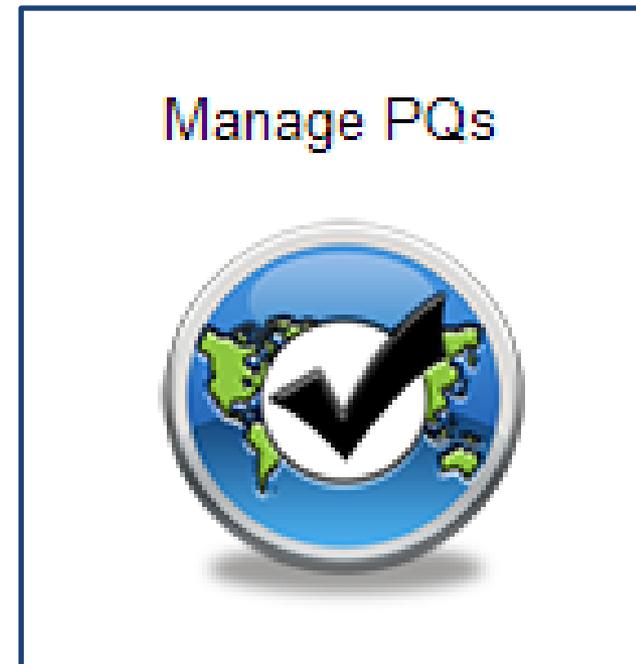


- ICAO will review and validate the level of implementation indicated by States and update and publish it on the OLF.
- This may lead to an update of States' LEI.
- ICAO will periodically revise the PQs in order to reflect amendments made to the referenced documents.
- It is therefore important for States to always refer to the latest revision of the referenced document.

# How to complete PQs



- Go to the USOAP CMA Online Framework (OLF) using the following link:  
[www.icao.int/usoap](http://www.icao.int/usoap)
- Click on “Manage PQs”



A copy of the PQs may also be obtained from the CMA Library on the OLF.

# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC  New Protocol Status  PQ/Finding No.  [Clear](#)

View the tool bar and select the options to ensure the desired information is demonstrated below.

PQ No.	Show/Hide Question	Details
1.001 LEG CE-1 S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	<p>The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:</p> <p>Progress Documented: <input type="button" value="Translate"/></p>
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?	<p>Evidence: <input type="button" value="Translate"/></p>
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?	
1.009 LEG CE-2 N/S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?	
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?	
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director	

**Results of State Assessment--"Read/Write" Draft Copy**

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

- The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment.
- Procedure ABC revised to verify all regulation(include aerodromes)remain up to date.
- AIP revised and published with all significant differences included aerodromes.

Evidence:

- www.futureland.com/regulations/aerodromes; Gazette N°1
- Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; (revision) and 10 (procedure):

# How to complete PQs



Language: English State: Futureland **ICAO CMA Training site - Any data updates are temporary and for practice only !!!** Welcome: Futureland NCMC [Logout](#) [Home](#) [Help](#)

State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation: All Audit Area: LEG Audit Area Group: All Critical Element: All Critical Element Group: All  
SSC: All PQ/Finding No.  Clear

Dropdown menu for Status of Implementation:  
All  
All  
Satisfactory  
Not satisfactory  
Not applicable

States preparing for an ICVM will conduct a self-assessment on all not satisfactory PQs.

Select the option "Not Satisfactory" to view the list of all not satisfactory PQs in the area selected.

PQ No.	Show/Hide Question	Status of Implementation by ICAO	CMA Protocols as of May 2013
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation, laws, and regulations to add to the Civil Aviation Regulations?	Reply to Protocol Question: <input type="text"/> Status of Implementation: <input type="text"/> CSA Audit Finding: LEG/01 SSC: <input type="checkbox"/>	
1.005 LEG CE-1 S	Does the State provide for the subsequent promulgation of civil aviation regulations?	Progress Documented: <input type="text"/> Translate	
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?	Evidence: <input type="text"/> Translate	
1.009 LEG CE-2 N/S	Has the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?		
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?	Reply to Protocol Question: <input type="text"/> Status of Implementation: <input type="text"/> Last Modified: 09/07/2013 <a href="#">Click To View CAP</a>	<input checked="" type="checkbox"/> Draft Copy
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?	Remarks: 1. The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment. 2. Procedure ABC revised to verify all regulation (include aerodromes) remain up to date. 3. AIP revised and published with all significant differences included aerodromes.	
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director	Evidence: 1. www.futureland.com/regulations/aerodromes; Gazette N°1 2. Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; (revision) and 10 (procedure).	

# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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State Dashboard **Protocol Question (PQ)** Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

## Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC    PQ/Finding No.  [Clear](#)

Show/Hide Question

PQ No.	Show/Hide Question
1.001 LEG CE-1 S	to address its obligations as a signatory to the Chicago Convention?
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?
1.007 LEG CE-2 S	Does the State's rule-making process...
1.009 LEG CE-2 N/S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director

### Status of Implementation by ICAO

CMA Protocols as of May 2013

States preparing for an audit will conduct a self-assessment on ALL PQs.

Select the option "ALL" to view all PQs.

Describe Protocol Question:

Description:

The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

Progress Documented:

**Results of State Assessment--"Read/Write"** Draft Copy

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

- 1.The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment.
- 2.Procedure ABC revised to verify all regulation(include aerodromes)remain up to date.
- 3.AIP revised and published with all significant differences included aerodromes.

Evidence:

1. www.futureland.com/regulations/aerodromes; Gazette N°1
2. Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; evidence) and 10 (procedure).

# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

## Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC  New Protocol Status  PQ/Finding No.  [Clear](#)

PQ No.	Show/Hide Extended Columns	Question
1.001 LEG CE-1 S		Has the State promulgated primary aviation legislation (including civil aviation acts, laws, decrees, resolutions, etc.) to enable it to address its obligations as a signatory to the Chicago Convention?
1.005 LEG CE-1 S		Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?
1.007 LEG CE-2 S		Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?
1.009 LEG CE-2 N/S		Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their
1.011 LEG CE-2 S		Are the primary aviation legislation and the associated operating regulations available to the public?
1.013 LEG CE-1 S		Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?
1.015 LEG		Does the State's primary aviation legislation clearly delegate authority to the Director

### Status of Implementation by ICAO

CMA Protocols as of May 2013

Reply to Protocol Question  Status of Implementation  CSA Audit Finding  SSC

Activity  Start Date  End Date  Report Publication Date

Description:

The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

Progress Documented:

Evidence:

Select the desired PQ.

### Results of State Assessment--"Read/Write"

Draft Copy

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

- 1.The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment.
- 2.Procedure ABC revised to verify all regulation(include aerodromes)remain up to date.
- 3.AIP revised and published with all significant differences included aerodromes.

Evidence:

1. www.futureland.com/regulations/aerodromes; Gazette N°1
2. Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; evidence) and 10 (procedure).

# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

## Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC  New Protocol Status  PQ/Finding No.  [Clear](#)

PQ No.	Show/Hide Extended Columns	Question
1.001 LEG CE-1 S		Has the State promulgated primary aviation legislation (including civil aviation acts, laws, decrees, resolutions, etc.) to enable it to address its obligations as a signatory to the Chicago Convention?
1.005 LEG CE-1 S		Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?
1.007 LEG CE-2 S		Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?
1.009 LEG CE-2 N/S		Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?
1.011 LEG CE-2 S		Are the primary aviation legislation and the associated operating regulations available to the public?
1.013 LEG CE-1 S		Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?
1.015 LEG		Does the State's primary aviation legislation clearly delegate authority to the Director

### Status of Implementation by ICAO

CMA Protocols as of May 2013

Reply to Protocol Question  Status of Implementation  CSA Audit Finding  SSC

Activity  Start Date  End Date  Report Publication Date

Description:

The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

Progress Documented:

Evidence:

### Results of State Assessment--"Read/Write"

Draft Copy

Refer to comments by ICAO from the previous activity report to conduct the self-assessment.

2.Procedure ABC revised to verify all regulation(include aerodromes)remain up to date.

Translate into your choice of ICAO language by clicking on the button

# How to complete PQs

**Status of Implementation by ICAO**
**CMA Protocols as of May 2013**

Reply to Protocol Question  Status of Implementation  CSA Audit Finding  SSC

Activity  Start Date  End Date  Report Publication Date

Description:

English	Français	Español	Русский	العربية	中文
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Le ministère des Transports du Futureland récemment mis en place une procédure générale pour examiner les lettres de l'État de l'OACI, la modification des règlements, au besoin, et d'informer l'OACI des différences avec les SARP de l'OACI. Toutefois: a) dans le domaine des aérodromes, il n'ya pas eu une modification systématique et rapide des réglementations nationales pour assurer l'application des dispositions énoncées dans les annexes de l'OACI; b) des différences existantes n'ont pas encore été

The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

Progress Documented:

Choose a language

The chosen language will appear on the top box with the original language description below.

Use the scoll bar to navigate up/down the box.

# How to complete PQs



Language: English State: Futureland **ICAO CMA Training site - Any data updates are temporary and for practice only !!!** Welcome: Futureland NCMC [Logout](#) [Home](#) [Help](#)

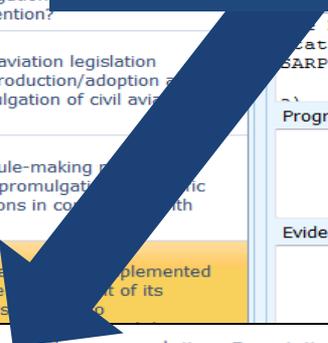
State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation: All Audit Area: LEG Audit Area Group: All Critical Element: All Critical Element Group: All  
SSC: All New Protocol Status: All PQ/Finding No.  Clear

PQ No.	Show/Hide Extended Column	Question
1.001 LEG CE-1 S		Has the State promulgated legislation (including civil laws, decrees, resolutions) to address its obligation under the Chicago Convention?
1.005 LEG CE-1 S		Does the primary aviation legislation provide for the introduction/adooption of subsequent promulgation of civil aviation regulations?
1.007 LEG CE-2 S		Does the State's rule-making ensure the timely promulgation of operating regulations in compliance with the Annexes?
1.009 LEG CE-2		Has the State developed and implemented procedures for the review of its specific regulations?

Scroll down to view the guidance and references related to the PQs or double-click on the PQ number.



legislation established clear lead of the civil aviation

Relevant law or regulations Description of authority delegated Include all DGs/CEOs dealing with civil safety oversight

Change page: Page 1 of 4, items 1 to 8 of 31.

Assessment--"Read/Write" Draft Copy

Question: Yes Status of Implementation: Satisfactory

09/07/2013 Click To View CAP

s NOW amended regulations included aerodromes with the provisions of the LATEST ICAO t.  
C revised to verify all regulation(include aerodromes)remain up to date.  
and published with all significant differences included aerodromes.

and.com/regulations/aerodromes; Gazette N°1  
ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5;  
0 (procedure):

# How to complete PQs

## Example

### OPS PQ 4.223 (CE-6)

Does the aircraft operations organization ensure that the air operator develops an ACAS training programme on ACAS-equipped aircraft for its pilots?

### Review evidence

- Verify implementation of operations inspectors' procedures as part of the certification process.
- Sample air operator's training manuals.
- Sample ACAS training programme and records to confirm implementation.

### Reference

STD A6 Part I App. 2, 2.1.31 GM Doc 8168 Vol I A6 Part III Sec. 3 C3 Att. 1

# How to complete PQs



Conduct self-assessment, taking into account the description and progress documented by ICAO (if PQ is Not Satisfactory). If the PQ is Satisfactory, it will not have this information.

SSC  New Protocol Status  PQ/Finding No.  [Clear](#)

PQ No.	Show/Hide Extended Columns	Question
1.001 LEG CE-1 S		Has the State promulgated primary aviation legislation (including civil aviation acts, laws, decrees, resolutions, etc.) to enable it to address its obligations as a signatory to the Chicago Convention?
1.005 LEG CE-1 S		Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?
1.007 LEG CE-2 S		Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?
1.009 LEG CE-2 N/S		Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?
1.011 LEG CE-2 S		Are the primary aviation legislation and the associated operating regulations available to the public?
1.013 LEG CE-1 S		Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?
1.015 LEG		Does the State's primary aviation legislation clearly delegate authority to the Director

**Status of Implementation by ICAO** CMA Protocols as of May 2013

Reply to Protocol Question  Status of Implementation  CSA Audit Finding  SSC

Activity  Start Date  End Date  Report Publication Date

Description:

The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

Progress Documented:

Evidence:

**Results of State Assessment--"Read/Write"** Draft Copy

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

- The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment.
- Procedure ABC revised to verify all regulation(include aerodromes)remain up to date.
- AIP revised and published with all significant differences included aerodromes.

Evidence:

- www.futureland.com/regulations/aerodromes; Gazette N°1
- Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; evidence) and 10 (procedure).

# How to complete PQs



Select the “Click to view CAP” link to view the CAP related to the PQ **OR**

The screenshot shows a table of PQs on the left and a detailed view of a response on the right. The table includes:

009	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?
011	Are the primary aviation legislation and the associated operating regulations available to the public?
013	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?
015	Does the State's primary aviation legislation

The detailed view for question 011 shows:

- Evidence: translate
- Results of State Assessment: "Read/Write" (Draft Copy)
- Reply to Protocol Question: Yes
- Status of Implementation: Satisfactory
- Last Modified: 09/07/2013
- Link: [Click To View CAP](#)
- Remarks:
  - The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment.
  - Procedure ABC revised to verify all regulation(include aerodromes)remain up to date.
  - AIP revised and published with all significant differences included aerodromes.
- Evidence:
  - www.futureland.com/regulations/aerodromes; Gazette N°1
  - Regulation ABC page 4 (Not Effective Page) 5 (Record of Aerodrome regulations page 3, 4 and 5;
  - AIP General Part page 6, 7, 11 ; Gazette N°2; www.futureland.com/AIP

Scroll at the bottom of the page to view the CAP.

The screenshot shows the bottom of the PQ form. It includes:

- Page size: 8
- Displaying page 1 of 3, items 1 to 8 of 23
- Page: 1 of 3
- Attachments list:
  - amendment.pdf 37,050 bytes Delete
  - reg\_Aerodrome.pdf 22,905 bytes Delete
  - approval-page-proced\_ABC.pdf 33,475 bytes Delete
  - reg\_Aerodrome.pdf 22,905 bytes Delete
  - approval-page-proced\_ABC.pdf 33,475 bytes Delete
  - AIP.pdf 13,597 bytes Delete
  - Arrêté N°722MTANAC du 18 mai 2012.pdf 918,039 bytes Delete
  - Essai 1.pdf 5,822 bytes Delete
  - decision 0831.pdf 80,774 bytes Delete
- Upload Files button
- Corrective Action Plan dropdown menu (highlighted with an orange box)

# How to complete PQs

**Results of State Assessment--"Read/Write"** Draft Copy

Reply to Protocol Question: **Yes** Status of Implementation: **Satisfactory**

Last Modified: 03/02/2013 [Click To View CAP](#)

Remarks:

- CAA
- Oper
- The Air

Evidence:

- CAA
- Oper
- The

Attach ev

Select

Upload Files

CAA AC-01305 Ops Manual Section 9.3.2 - Copy.pdf 536,056 bytes  
[Delete](#)

Ops Inspector manual, Chapter 4, section 2 - Copy.pdf 536,056 bytes  
[Delete](#)

[Save as Draft](#) [Submit to ICAO](#)

Reply to the PQ with "Yes" or "No" depending on whether the State answers to the protocol questions

Indicate the State's status of implementation.

- "Satisfactory" indicates that all the guidance requirements of the PQ have been complied with.
- "Not satisfactory" applies when any of the guidance requirements of the PQ has not been fully complied with.
- "Not applicable" means that the PQ does not apply in the State (e.g. PQ related to ROs and the State does not have any).

# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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State Dashboard **Protocol Question (PQ)** Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC  New Protocol Status  PQ/Finding No.  [Clear](#)

PQ No.	Question	Description:	Evidence:	Results of State Assessment--"Read/Write"
1.001 LEG CE-1 S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	<a href="#">Translate</a>		
1.005 LEG CE-1 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?	<a href="#">Translate</a>		
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?			
1.009 LEG CE-2 N/S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?			
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?			
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?			
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director			

**Results of State Assessment--"Read/Write"** Draft Copy

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

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Evidence:

1. www.futureland.com/regulations/aerodromes; Gazette N°1
2. Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; (evidence) and 10 (procedure).

Take into consideration the guidance for review of the PQ when providing remarks.

Provide **one sentence** on the progress of implementation for each of the guidance for review of the PQ indicating the evidence.

# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

## Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC

When required, provide evidence for each guidance element.

Include the document name and specific reference(s).

PQ No.	Show/H	Question	Reply to Protocol Question	Status of Implementation	CSA Audit Finding	SSC	Date
1.001 LEG CE-1 S		Has leg...		Not satisfactr	LEG/01		15/06/2008
1.005 LEG CE-1 S		Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?					
1.007 LEG CE-2 S		Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?					
1.009 LEG CE-2 N/S		Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?					
1.011 LEG CE-2 S		Are the primary aviation legislation and the associated operating regulations available to the public?					
1.013 LEG CE-1 S		Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?					
1.015 LEG		Does the State's primary aviation legislation clearly delegate authority to the Director					

**CMA Protocols as of May 2013**

Results of State Assessment--"Read/Write" Draft Copy

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

- 1.The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment.
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Evidence:

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2. Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; evidence) and 10 (procedure).

# How to complete PQs

**Results of State Assessment--"Read/Write"** Draft Copy

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

- CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f) includes the CAA requirements.
- Inspector guidance is detailed in Operation inspector Manual, chapter 4, section 2
- The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1, detail the certification process

Evidence:

- CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f) includes the CAA requirements.
- Operation inspector manual, chapter 4, section 2
- The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1

Attach evidence

**Copies of the references to be attached for each evidence.**

**Select the file to be uploaded**  
**Click on the "Upload Files" to upload**

**While completing the self-assessment, save your work using the button "Save as draft".**

**When the self-assessment is fully completed, click on "Submit to ICAO".**

# How to complete PQs



Results of State Assessment--"Read/Write"

Example of a complete self-assessment

## SUGGESTION For all revisions:

- Copy the original text to a word document
- Update the original text as required
- In the remarks box add the date of submission
- Below the date add the subject matter in CAPITALS
- Paste the original text with updates to the "remarks"

### Evidence:

- CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f) includes the CAA requirements.
- Operation inspector manual, chapter 4, section 2
- The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1

Attach evidence (e.g. PDF or XPS), limited to 10 files and maximum of 10 MB per file

Select

[Air Operator Certification Manual Chapter 10, and checklist in appendix 1.pdf](#) 536,056 bytes  
[Delete](#)  
[CAA-AC-OPS050 Ops Manual Section 9.3.2 - Copy.pdf](#) 536,056 bytes  
[Delete](#)  
[Ops Inspector manual, Chapter 4, section 2 - Copy.pdf](#) 536,056 bytes  
[Delete](#)

Upload Files

Save as Draft

Submit to ICAO

# How to complete PQs



## Exporting the self assessment checklist

State Dashboard **Protocol Questions (PQ)** Corrective Action Plan (CAP) CMA Activity Management Tools

Protocol Questions **Manage State Self-Assessment** **Export State Self-Assessment**

Status of Implementation All Audit Area LEG Audit Area Group All Critical Elements  
SSC All PQ/Finding No.  [Clear](#)

Change page:      
Page 1 of 4, items 1 to 8 of 31.

PQ No.	Show/Hide Extended Columns	Question
1.001 LEG CE-1 S		Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.)?
1.003 LEG		If the State has not promulgated primary aviation legislation, what method is used to

**Status of Implementation by ICAO**

Reply to Protocol Question  Status of Implem  
Not Reviewed   
Activity CSA Audit Start Date 12/04/2005  
Description:  
  
Progress Documented:

# How to complete PQs



## Select all protocols

State Dashboard Protocol Questions (PQ) Corrective Action Plan (CAP) CMA Activity Management Tools

Protocol Questions (PQ) / Export State Self-Assessment

**This export feature is utilized for the completion of the protocol questions offline.  
The exported file should be not merged or deleted.**

All Protocols  Only Not satisfactory Protocols

	Code	Description	Is Locked By State
<input type="checkbox"/>	LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input type="checkbox"/>	ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/>	PEL	personnel licensing and training	<input type="checkbox"/>
<input type="checkbox"/>	OPS	aircraft operations	<input type="checkbox"/>
<input type="checkbox"/>	AIR	airworthiness of aircraft	<input type="checkbox"/>
<input type="checkbox"/>	AIG	aircraft accident and incident investigation	<input type="checkbox"/>
<input type="checkbox"/>	ANS	air navigation services	<input type="checkbox"/>
<input type="checkbox"/>	AGA	aerodromes and ground aids	<input type="checkbox"/>

Refresh Submit

# How to complete PQs



## Select NS protocols

State Dashboard Protocol Questions (PQ) Corrective Action Plan (CAP) CMA Activity Management Tools

Protocol Questions (PQ) / Export State Self-Assessment

**This export feature is utilized for the completion of the protocol questions offline.**

**The exported file should be not merged or deleted.**

All Protocols  Only Not satisfactory Protocols

	Code	Description	Is Locked By State
<input type="checkbox"/>	LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input type="checkbox"/>	ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/>	PEL	personnel licensing and training	<input type="checkbox"/>
<input type="checkbox"/>	OPS	aircraft operations	<input type="checkbox"/>
<input type="checkbox"/>	AIR	airworthiness of aircraft	<input type="checkbox"/>
<input type="checkbox"/>	AIG	aircraft accident and incident investigation	<input type="checkbox"/>
<input type="checkbox"/>	ANS	air navigation services	<input type="checkbox"/>
<input type="checkbox"/>	AGA	aerodromes and ground aids	<input type="checkbox"/>

Refresh

Submit

# How to complete PQs



## Select the Protocols as per the scope (1 area at a time)

State Dashboard Protocol Questions (PQ) Corrective Action Plan (CAP) CMA Activity Management Tools

Protocol Questions (PQ) / Export State Self-Assessment

**This export feature is utilized for the completion of the protocol questions offline.  
The exported file should be not merged or deleted.**

All Protocols  Only Not satisfactory Protocols

Code	Description	Is Locked By State
<input type="checkbox"/> LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input checked="" type="checkbox"/> ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/> PEL	personnel licensing and training	<input type="checkbox"/>
<input type="checkbox"/> OPS	aircraft operations	<input type="checkbox"/>
<input type="checkbox"/> AIR	airworthiness of aircraft	<input type="checkbox"/>
<input type="checkbox"/> AIG	aircraft accident and incident investigation	<input type="checkbox"/>
<input type="checkbox"/> ANS	air navigation services	<input type="checkbox"/>
<input type="checkbox"/> AGA	aerodromes and ground aids	<input type="checkbox"/>

Refresh Submit

# How to complete PQs



Click on “submit” to download the file

State Dashboard Protocol Questions (PQ) Corrective Action Plan (CAP) CMA Activity Management Tools

Protocol Questions (PQ) / Export State Self-Assessment

**This export feature is utilized for the completion of the protocol questions offline.  
The exported file should be not merged or deleted.**

All Protocols  Only Not satisfactory Protocols

	Code	Description	Is Locked By State
<input type="checkbox"/>	LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input checked="" type="checkbox"/>	ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/>	PEL	personnel licensing and training	<input type="checkbox"/>
<input type="checkbox"/>	OPS	aircraft operations	<input type="checkbox"/>
<input type="checkbox"/>	AIR	airworthiness of aircraft	<input type="checkbox"/>
<input type="checkbox"/>	AIG	aircraft accident and incident investigation	<input type="checkbox"/>
<input type="checkbox"/>	ANS	air navigation services	<input type="checkbox"/>
<input type="checkbox"/>	AGA	aerodromes and ground aids	<input type="checkbox"/>

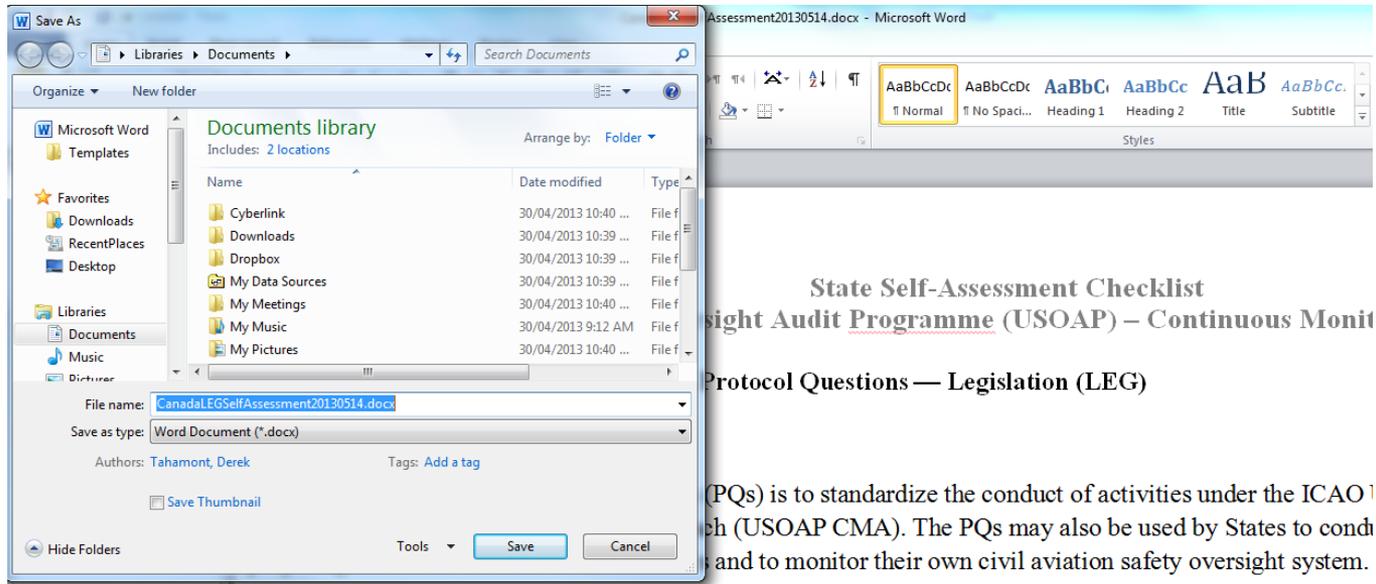
Refresh Submit

Wait for a few seconds for the file to load all depending on the internet speed. DO NOT press the submit button twice.

# How to complete PQs



Save the file in the desired location for use



PQs will be subject to periodic revision by ICAO in order to reflect amendments made to the referenced documents. PQs always refer to the latest version of the referenced documents.

When developing the “corrective action plan,” the State should consider all elements of the “not satisfactory”

# How to complete PQs



## Importing the self assessment checklist

State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

Protocol Question Manage State Self-Assessment  
Export Protocol Self-Assessment Checklist  
Import Protocol Self-Assessment Checklist

Area Group All Critical Element All

Change page: Page 1 of 4, items 1 to 8 of 31.

PQ No.	Show/Hide Extended Columns Question
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.)?
1.003 LEG CE-1 S	If the State has not promulgated primary aviation legislation, what method is used to meet its obligations as a signatory of the Chicago Convention?
1.005	Does the primary aviation legislation provide

**Status of Implementation by ICAO**

Reply to Protocol Question Status of Implementation Satisfactory

Activity CSA Audit Start Date 13/05/2008 End Date 22/05/2008

Description:

Progress Documented:

Evidence:

# How to complete PQs



Click on “select” to access the file to be imported

Language  State

State Dashboard **Protocol Question (PQ)** Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

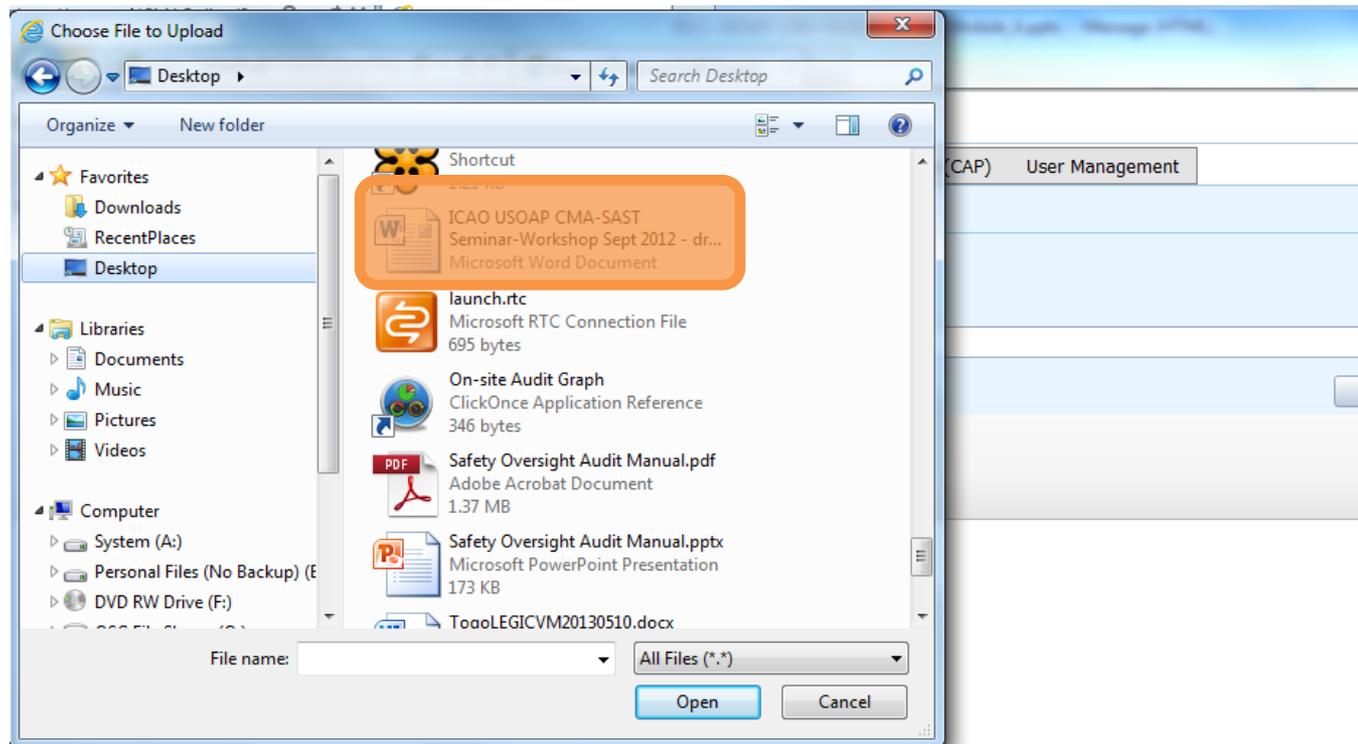
Protocol Question (PQ) / Import Protocol Self-Assessment Checklist

**This Import feature is utilized....**  
Browse and Select PQ file to import

© 2013 ICAO

# How to complete PQs

Click on “select” to access the file to be imported



# How to complete PQs



Once file name appears then click on “submit”

Language  State

State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) Corrective Action Plan (CAP) User Management

Protocol Question (PQ) / Import Protocol Self-Assessment Checklist

**This Import feature is utilized....**

Browse and Select PQ file to import

RepublicofKoreaLEGSelfAssessment20130514.docx

Select

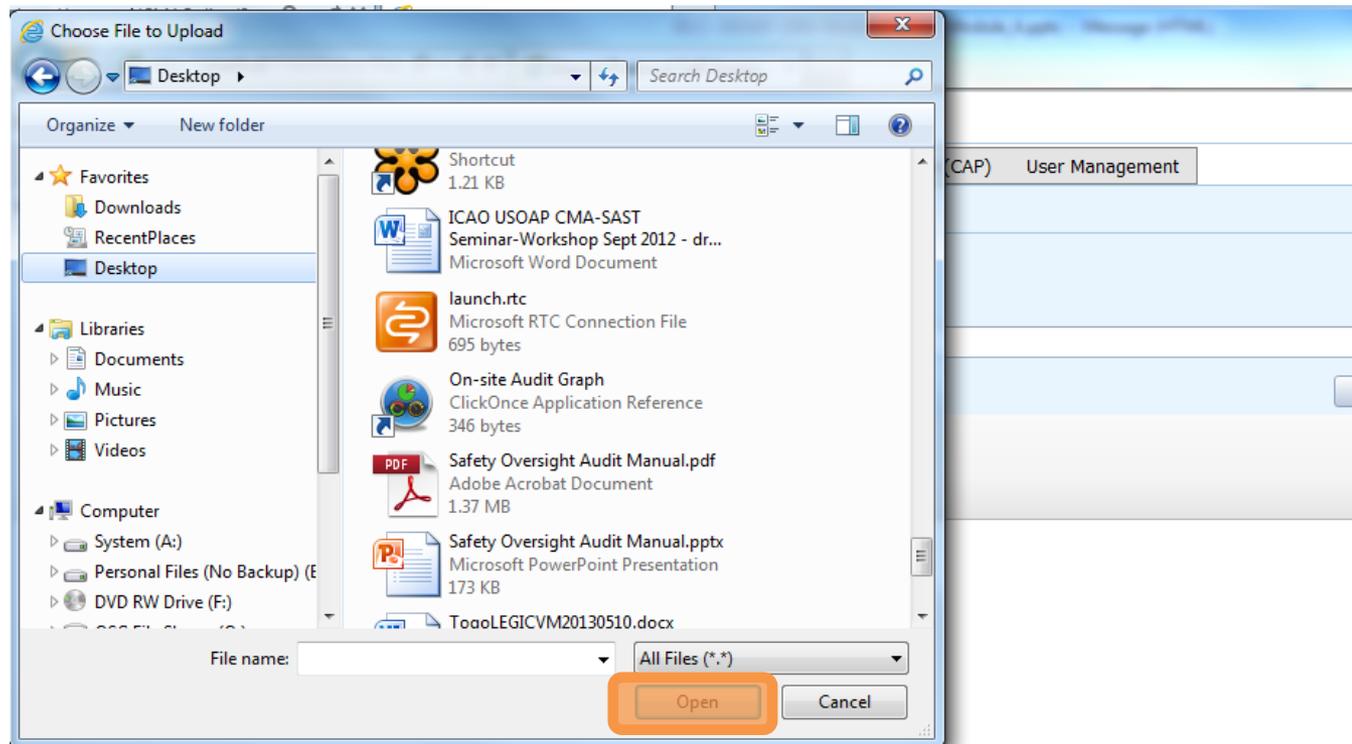
Submit

© 2013 ICAO, All

# How to complete PQs



Click on “open” to import the file



# How to complete PQs



## Points to keep in mind when providing remarks:

- The State must provide a response to each of the guidance items while providing a supporting evidence; and
- The State must make specific reference, such as chapter, page, paragraph, etc. where supporting evidence can be found.

# How to submit CAPs

# How to submit CAPs



States are required to submit:

- Effective CAPs;
- Regular CAP updates; and
- CAP progress reports as required by the MOU.

# How to submit CAPs



- These activities ensure that States are:
  - Fully addressing ICAO findings; and
  - Working effectively towards implementing corrective actions/ mitigating measures.
- Continuous updates provide a means for States to report their level of CAP implementation, enabling ICAO to monitor progress and plan USOAP CMA activities.

# How to submit CAPs



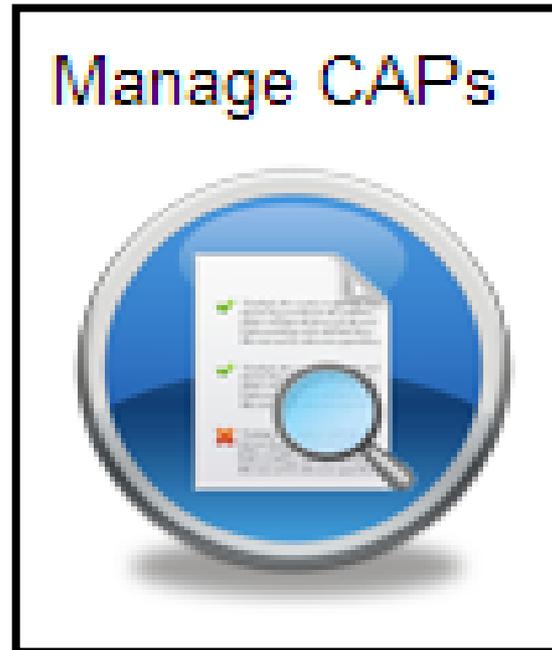
Why is it important for States to provide effective CAPs and CAP updates?

- It is required by the MOU.
- It ensures that States are fully addressing ICAO PQ findings.
- CAP updates allow States to report on the level of progress made.
- It enables ICAO to determine the next course of action.

# How to submit CAPs



- Go to the USOAP CMA Online Framework (OLF) using the following link:  
[www.icao.int/usoap](http://www.icao.int/usoap)
- Click on “Manage CAPs”



# How to submit CAPs



Language: English State: Futureland

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) **Corrective Action Plan (CAP)** User Management

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: **Live mode - Pub** Audit Area: LEG Audit Area Group: All  
 SSC: All  
 Live mode - NCMC only  
 Live mode - Public

Review description and progress documented boxes for the finding from previous USOAP report.

List Of Not Satisfactory PQs

Change page: Page 1 of 2, items 1 to 5 of 8.

PQ No.	Question	LEG	CE-2	CAP	Progress
1.009	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?	LEG	CE-2	33.33%	CAP fully addresses the finding.
1.025	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?	LEG	CE-2	33.33%	CAP fully addresses the finding.
1.027	Does the legislation and/or regulations provide for the issuance of exemptions and has the State established a policy and procedures for their issuance?	LEG	CE-2	0%	CAP fully addresses the finding.
1.055	Has the State established a policy and procedures for enforcement?	LEG	CE-1	100%	CAP fully addresses the finding.
1.105	Has the State established official inspectorate staff credentials?	LEG	CE-3	100%	CAP fully addresses the finding.

Activity: CSA Audit Start Date: 05/05/2008 End Date: 16/05/2008 Report Publication Date: 15/02/2008

Description:  
 The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State Safety Assessments (SSAs) submitted to the ICAO.

Select "Preview mode" to start preparing CAP before the result is published

**Corrective Action Plan** Draft Copy

Est. Imp. Date: 31/07/2010 Rev. Imp. Date: 31/07/2012 Date of Completion: 23/10/2008 Progress Status: 33.3%

State Comment (CAP update from IStars): 31/12/2012  [Click to Update PQ Status or Attach Evidence](#)

**Corrective Action Plan, Action Items:** 31/12/2012

+ Add new record		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

# How to submit CAPs



Language: English State: Futureland

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) **Corrective Action Plan (CAP)** User Management

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG Audit Area Group: All Critical Element: All CAP Review Result: All CAP Review Status: All

SSC: All PQ/Finding No.  [Clear](#)

Scroll down to view guidance and references or double-click on the PQ number.

## List Of Not Satisfactory PQs

Change page: Page 1 of 2, items 1 to 5 of 8.

PQ No.	Question
1.009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?
1.025 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33%	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?

Description:  
The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:  
Progress Documented:

**Corrective Action Plan** Draft Copy

Est. Imp. Date: 31/07/2010 Rev. Imp. Date: 31/07/2012 Date Of Completion: 23/10/2008 Progress Status: 33.3%

Date Comment (CAP update from IStars): 31/12/2012 [Save As Draft](#) [Click to Update PQ Status or Attach Evidence](#)

Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?	Verify that the d registration 2. C members' licence station licence 6.
Are significant differences stated in the AIP as per the requirements of Annex 15?	Review of AIP ar significant differ qualifying signific

Change page: Page 2 of 2, items 6 to 8 of 8.

**Corrective Action Plan, Action Items:** 31/12/2012

Add new record [Submit to ICAO](#) [Refresh](#)

	Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
<a href="#">Delete</a>	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
<a href="#">Delete</a>	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

# How to submit CAPs



Language: English State: Futureland

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Provide a realistic Estimated Implementation Date (EID) to identify when all steps will be completed.

Enter the completion date if the CAP is completed.

Enter CAP in a step-by-step format, clearly indicating the action and an action office per step.

State Dashboard Protocol Question (PQ) Find

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG

SSC: All PQ/Finding No.:

**List Of Not Satisfactory PQs**

Change page: Page 1 of 1

Show/Hide Extended Columns

PQ No.	Question	Description:
1.009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulatory consideration existing ICAO provisions amendments to ICAO Annexes?	
1.025 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?	
1.027 LEG CE-2 CAP: <input checked="" type="checkbox"/> 0% CAP fully addresses the finding.	Does the legislation and/or regulations provide for the issuance of exemptions and has the State established a policy and procedures for their issuance?	
1.055 LEG CE-1 CAP: <input checked="" type="checkbox"/> 100% CAP fully addresses the finding.	Has the State established a policy and procedures for enforcement?	
1.105 LEG CE-3 CAP: <input checked="" type="checkbox"/> 100% CAP fully	Has the State established official inspectorate staff credentials?	

**Corrective Action Plan** Draft Copy

Est. Imp. Date: 31/07/2010 Rev. Imp. Date: 31/07/2012 Date Of Completion: 23/10/2008 Progress Status: 33.3%

State Comment (CAP update from IStars): 31/12/2012 [Save As Draft](#) [Click to Update PQ Status or Attach Evidence](#)

**Corrective Action Plan, Action Items:** 31/12/2012

		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
<a href="#">Edit</a>	<a href="#">Delete</a>	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
<a href="#">Edit</a>	<a href="#">Delete</a>	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

# How to submit CAPs



Language: English State: Futureland

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) **Corrective Action Plan (CAP)** User Management

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG Audit Area Group: All Critical Element: All CAP Review Result: All CAP Review Status: All

SSC: All PQ/Finding No.  [Clear](#)

## List of Not Satisfactory PQs

Change page: Page 1 of 2, items 1 to 5 of 8.

Show/Hide Extended Columns

PQ No.	Question
1.009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulatory consideration existing ICAO provisions amendments to ICAO Annexes?
1.025 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?
1.027 LEG CE-2 CAP: <input checked="" type="checkbox"/> 0% CAP fully addresses the finding.	Does the legislation and/or regulations provide for the issuance of exemptions and has the State established a policy and procedures for their issuance?
1.055 LEG CE-1 CAP: <input checked="" type="checkbox"/> 100% CAP fully addresses the finding.	Has the State established a policy and procedures for enforcement?
1.105 LEG CE-3 CAP: <input checked="" type="checkbox"/> 100% CAP fully	Has the State established official inspectorate staff credentials?

## Protocol Finding

Reply to Protocol Question:  Status of Implementation: Not satisfact CSA Audit Finding: LEG/01 SSC:

Activity: CSA Audit Start Date: 05/05/2008 End Date: 16/05/2008 Report Publication Date: 15/02/2008

Description:

Enter any comments regarding CAP submission/update if required. This is not a necessary field to be completed.

## Corrective Action Plan

Est. Imp. Date: 31/07/2010 Rev. Imp. Date: 31/07/2012 Date of Completion: 23/10/2008 Progress Status: 33.3% **Draft Copy**

State Comment (CAP update from IStars): 31/12/2012 [Save As Draft](#) [Click to Update PO Status or Attach Evidence](#)

[Undo](#) [Redo](#) [Print](#) [Copy](#) [Paste](#) **B** *I* U

## Corrective Action Plan, Action Items: 31/12/2012

+ Add new record		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

# How to submit CAPs



Language: English State: Futureland

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) **Corrective Action Plan (CAP)** User Management

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG Audit Area Group: A  
 SSC: All PQ/Finding No.  Clear

**List of Not Satisfactory PQs**

Change page: Page 1 of 2, items 1 to 5 of 8.

PQ No.	Question
1,009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?
1,025 LEG	Has the State established and implemented procedures for identifying and notifying differences, if any, to

Or scroll down at the bottom of the page and click on "self-Assessment link to get to the same page.

Submit to ICAO when action is completed and CAP is fully addressed.

CAP fully addresses the finding.

Page size: 6 Displaying page 1 of 2, items 1 to 6 of 7

Page: 1 of 2

Comments by ICAO HQ:

The corrective action plan submitted by the State does not fully addresses this ICAO finding and recommendation. Jerome

Self-Assessment

CE-1 CAP: <input checked="" type="checkbox"/> 100% CAP fully addresses the finding.	
1,105 LEG CE-3 CAP: <input checked="" type="checkbox"/> 100% CAP fully	Has the State established official inspectorate staff credentials?

Corrective Action Plan, Action Items: 31/12/2012

+ Add new record		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

# How to submit CAPs



Language: English State: Futureland

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) **Corrective Action Plan (CAP)** User Management

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG Audit Area Group: All  
 SSC: All PQ/Finding No. Clear

### List Of Not Satisfactory PQs

Change page: Page 1 of 2, items 1 to 5 of 8.

PQ No.	Question	Response
1,009 LEG CE-2 CAP: 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?	
1,025 LEG CE-2 CAP: 33.33%	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?	

**Example**  
**PQ 5.453 (CE-8)**  
 Does the AID initiate a special evaluation or impose special operational restrictions if information obtained from reliability monitoring indicates degraded level of safety?

Protocol Finding  
 Report No. 5453  
 Activity: CSA  
 Description: The Ministry of Transport has issued State letter regarding the field of aerodromes. There has not been a systematic and timely amendment of the Progress Documented:

Corrective Action Plan  
 Est. Imp. Date: 31/07/2010  
 Date Comment (CAP update):  
 Add new record

**Guidance**  
 Review examples of action taken Note. — If oversight of reliability programmes is not conducted, this PQ is automatically Not satisfactory

**Reference**  
 GM Doc 9760 Vol. II Part B 7.4

Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?	Verify that the documents regarding aircraft registration 2. Check members' licence station licence 6.
Are significant differences stated in the AIP as per the requirements of Annex 15?	Review of AIP and significant differences qualifying significant

Change page: Page 2 of 2, items 6 to 8 of 8.

Corrective Action Plan, Acti

Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress				
Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

# How to submit CAPs



Language: English State: Futureland

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State Dashboard Protocol Question (PQ) Finding & Recommendation (F&R) **Corrective Action Plan (CAP)** User Management

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub

SSC: All PQ/Finding No.

List of Not Satisfactory PQs

Change page: 1 2 3

Show/Hide Extended Question

1,009  
LEG  
CE-2  
CAP:   
33.33%  
CAP fully addresses the finding.

Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?

1,025  
LEG  
CE-2  
CAP:   
33.33%  
CAP fully addresses the finding.

Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?

1,027  
LEG  
CE-2  
CAP:   
0%  
CAP fully addresses the finding.

Does the legislation and/or regulations provide for the issuance of exemptions and has the State established a policy and procedures for their issuance?

1,055  
LEG  
CE-1  
CAP:   
100%  
CAP fully addresses the finding.

Has the State established a policy and procedures for enforcement?

1,105  
LEG  
CE-3  
CAP:   
100%  
CAP fully

Has the State established official inspectorate staff credentials?

## Description and progress documented by ICAO:

CAA does not initiate a special evaluation or impose special operational restrictions if information obtained from reliability monitoring indicates degraded level of safety as part of its surveillance reliability programme.

Description:

Progress Documented:



### Corrective Action Plan

Draft Copy

Est. Imp. Date: 31/07/2010

Rev. Imp. Date: 31/07/2012

Date of Completion: 23/10/2008

Progress Status: 33.3%

State Comment (CAP update from IStars): 31/12/2012 [Save As Draft](#) [Click to Update PQ Status or Attach Evidence](#)

Rich text editor area for state comments.

[Submit to ICAO](#)

### Corrective Action Plan, Action Items: 31/12/2012

+ Add new record		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

# How to submit CAPs



Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG Audit Area Group: All Critical Element: All CAP Review Result: All CAP Review Status: All

SSC: All PQ/Finding No.  Clear

List of Not Satisfactory PQs

PQ No.	Question	CE	CAP Progress
1,009 LEG CE-2	Has the State amendment of consideration e amendments to	CE-2	CAP: 33.33% CAP fully addresses the finding.
1,025 LEG CE-2	Has the State e for identifying e ICAO?	CE-2	CAP: 33.33% CAP fully addresses the finding.
1,027 LEG CE-2	Does the legisla issuance of exe policy and proced	CE-2	CAP: 0% CAP fully addresses the finding.
1,055 LEG CE-1	Has the State established a policy and procedures for enforcement?	CE-1	CAP: 100% CAP fully addresses the finding.
1,105 LEG CE-3	Has the State established official inspectorate staff credentials?	CE-3	CAP: 100% CAP fully

**Steps to submit CAP:**

Step 1 - Programme AIR participation in all future reliability meetings held by the air operators.  
 Action office: AID; EID: 25/06/2013; Progress Completed

Step 2 - Collect and analyse existing reports from reliability monitoring.  
 Action office: AID; EID: 13/07/2013; Progress Completed

Step 3 - Establish a process to ensure the initiation of special evaluation or imposition of operational restrictions in cases of degraded level of safety.  
 Action office: AID; EID: 11/10/2013; Progress 25%

Step 4 - Define possible operational restrictions to be taken.  
 Action office: AID; EID: 11/10/2013 Progress Not Started

Corrective Action Plan, Action Items: 31/12/2012

+ Add new record		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

Submit to ICAO

# How to update CAPs



PQ No.	Question
5.001 AIR CE-2 N/S	Has the State promulgated airworthiness regulations to enable the State to implement the airworthiness-related provisions of ICAO Annexes 6, 7, 8 and 16?
5.003 AIR CE-2 S	Has the State issued a comprehensive and detailed national code of airworthiness or adopted and promulgated the code of another State, containing the full scope and extent of details necessary as the basis for the certification/acceptance of individual aircraft?
5.005 AIR CE-2 N/S	Has the State developed and implemented procedures for the amendment of its enabling regulations and national standards?
5.007 AIR CE-2 N/S	Has the State developed and implemented a procedure for identifying and notifying differences, if any, to ICAO?
5.009 AIR CE-2 N/A	If the State has adopted airworthiness regulations from another State, has it established and implemented a procedure for ensuring that these regulations comply with relevant ICAO Annexes initially and on an ongoing basis subsequent to an Annex amendment or an amendment by the originating State?
5.011 AIR CE-2 S	Are copies of the airworthiness enabling regulations (including directives, orders, circulars, publications, etc.) applicable in the State readily available to the public?

1 - Select the PQ to add the CAP.

2 - Click on "Add new records" to provide steps.



**Corrective Action Plan, Action Items:**

+ Add new record Refresh

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
No records to display.							

**Corrective Action Plan** Draft Copy

Est.Imp.Date  Rev. Imp. Date  Date Of Completion  Progress Status 0%

State Comment: 16/12/2011 Save As Draft [Click to Update PQ Status or Attach Evidence](#)

# How to update CAPs



Fill in the following:

- **Step number**: A CAP may have several steps based on the complexity. Each action will require a separate step to simplify the CAP assessment and validation.
- **Estimated Implementation Date**: Estimated implementation date should be indicated for when the step is expected to have been fully implemented.
- **Progress status**
- **Action office** in charge of completing this step

A screenshot of a web-based form titled 'Corrective Action Plan, Action Items:'. The form has a light blue header and a table with columns: Step, Proposed Action, Action Office, Evidence Reference, Est. Imp. Date, Rev. Imp. Date, Date of Completion, and Progress. Below the table, there are input fields for 'Step Number \*', 'Est. Imp. Date \*', 'Rev. Imp. Date', 'Date Of Completion', and 'Progress Status' (a dropdown menu set to 'Not started'). There are also text areas for 'Action Office \*', 'Proposed Action \*', and 'Evidence Reference:'. Each text area has a rich text editor toolbar with icons for undo, redo, cut, copy, paste, bold, italic, and underline. At the bottom right, there are 'Save As Draft' and 'Close' buttons. At the bottom left, it says 'No records to display'. A 'Refresh' button is in the top right corner of the table area.

# How to update CAPs



Fill in the following:

- **Proposed action:** Ensure to provide a proposed action item for the corresponding step.
- **Evidence reference:** Each reference should be clearly indicated (i.e. chapter, section, paragraph, etc.)
- **Save as draft**
- **Close:** To get to the previous view and to add next steps.

**Corrective Action Plan, Action Items:**

+ Add new record Refresh

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
Step Number *	<input type="text"/>	Est, Imp. Date *	<input type="text"/>	<input type="text"/>	Rev. Imp. Date <input type="text"/>	Date Of Completion <input type="text"/>	Progress Status <input type="text" value="Not started"/>
Action Office *:							
Proposed Action *:							
<input type="text"/>							
Evidence Reference:							
<input type="text"/>							

No records to display.

# How to submit CAPs



Evidence Reference:

Click on this link to provide self assessment and attach evidence

No records to display.

Provide additional comments (if needed) . This field is not necessary.

Corrective Action Plan

Click on this button when all the steps related to the CAP are completed and ready to be submitted to ICAO.

Est.Imp.Date

State Comment: 16/12/2011 [Save As Draft](#) [Click to Update PQ Status or Attach Evidence](#)

Submit to ICAO

# How to update CAPs

# How to update CAPs

5.005  
AIR  
CE-2  
CAP:  
  
0%  
CAP  
fully  
addresses  
the  
finding.

5.007  
AIR  
CE-2  
CAP:  
  
0%  
CAP  
fully  
addresses  
the  
finding.

5.123  
AIR  
CE-2  
CAP:  
  
0%  
CAP  
fully  
addresses  
the  
finding.

5.153  
AIR  
CE-2  
CAP:  
  
0%  
CAP  
fully  
addresses  
the  
finding.

Has the State developed and implemented procedures for the amendment of its regulations and national standards?

Has the State developed and implemented a procedure for identifying and notifying differences, if any, to ICAO?

Do the regulations dictate the type, location and measurements of the nationality, common and registration marks to be used on heavier than air aircraft registered in the State?

Has the State promulgate operations-derived equipment part of the type certification of aircraft?

Click on "Edit" to provide updates.

Select the PQ to be updated.

Note: If one step is too large, it may be divided into multiple steps .To introduce additional steps use the instructions demonstrated in the previous section.

[Refresh](#)

[+ Add new record](#)

			Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
<a href="#">Edit</a>	<a href="#">Delete</a>	1		Verify compliance of regulations with Annexes - Action office: SACAA/DOT/ SAWS - Estimated Implementation Date: 31 May 2008 Amend regulations to incorporate the amendments of the Annexes. - Action office: SACAA/DOT/ SAWS - Estimated Implementation Date: 31 December 2008. Review and adapt the regulations amendment process						Not started
				DOT & Agencies - Estimated Implementation Date: Completed Review liaison with all agencies (SACAA, ATNS, ACSA, SAWS, ICASA, SAR) icro the identification and notification of differences and amend procedures to ensure effectiveness. - Action office: DOT & Agencies - Estimated Implementation Date: 30 April 2008 Identify regional differences in Regional Supplementary Procedures and incorporate into South African regulations. - Action office: SACAA, ATNS - Estimated Implementation Date: 31 December 2008. Submit regulations for ICAO approval						

State Comment: 16/12/2011 [Save As Draft](#) [Click to Update PQ Status or Attach Evidence](#)

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[Submit to ICAO](#)

# How to update CAPs

Fill in the following:

- **Step number:** A CAP may have several steps based on the complexity. Each action will require a separate step to simplify the CAP assessment and validation.
- **Revised Implementation Date:** Based on the CAP update, if the EID is no longer realistic, then a revised implementation date should be indicated.
- **Date of completion:** The date for when the action was completed should be indicated.
- **Progress status**
- **Action office**

Corrective Action Plan, Action Items: 16/12/2011

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
1	1. Develop procedure to ensure allocation of aircraft registration like ZS-PAN/SOS etc are not allocated - Action office: GM:AS - Estimated Implementation Date: Completed 2. Amend MOP - Action office: GM:AS - Estimated Implementation Date: Completed 3. MOP Approval - Action office: GM:AS - Estimated Implementation Date: Completed 4. Negotiate allocation of new registration marks iro ZS-PAN - Action office: GM:AS - Estimated Implementation Date: Completed 5. Negotiate allocation of new registration marks iro ZS-SOS - Action office: GM:ASO - Estimated Implementation Date: Completed						Not started

Est. Imp. Date  ev. Imp. Date  Date Of Completion

Progress Status:

Action Office

Proposed Action

Evidence Reference

Corrective Action Plan Draft Copy

Est.Imp.Date  Rev. Imp. Date  Date Of Completion  Progress Status 0%

State Comment: 16/12/2011  [Click to Update PQ Status or Attach Evidence](#)

# How to update CAPs

Fill in the following:

- **Updated proposed action:** Ensure to provide a proposed action item for the corresponding step.
- **Evidence reference:** Each reference should be clearly indicated (i.e. chapter, section, paragraph, etc.)
- **Save as draft**
- **Close:** To get to the previous view and to edit other steps.
- **Submit to ICAO:** When all steps are fully edited and ready for submission.

**Corrective Action Plan, Action Items: 16/12/2011**

+ Add new record

	Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1						Not started

1. Develop procedure to ensure allocation of aircraft registration like ZS-PAN/SOS etc are not allocated - Action office: GM:AS - Estimated Implementation Date: Completed 2. Amend MOP - Action office: GM:AS - Estimated Implementation Date: Completed 3. MOP Approval - Action office: GM:AS - Estimated Implementation Date: Completed 4. Negotiate allocation of new registration marks iro ZS-PAN - Action office: GM:AS - Estimated Implementation Date: Completed 5. Negotiate allocation of new registration marks iro ZS-SOS - Action office: GM:ASO - Estimated Implementation Date: 3 April 2008

Step Number \* 1 Est. Imp. Date \* Rev. Imp. Date Date Of Completion

Progress Status Not started

Action Office \*:

Proposed Action \*:

1. Develop procedure to ensure allocation of aircraft registration like ZS-PAN/SOS etc are not allocated - Action office: GM:AS - Estimated Implementation Date: Completed 2. Amend MOP - Action office: GM:AS - Estimated Implementation Date: Completed 3. MOP Approval - Action office: GM:AS - Estimated Implementation Date: Completed 4. Negotiate allocation of new registration marks iro ZS-PAN - Action office: GM:AS - Estimated Implementation Date: Completed 5. Negotiate allocation of new registration marks iro ZS-SOS - Action office: GM:ASO - Estimated Implementation Date: 3 April 2008

Evidence Reference:

Save As Draft Close

**Corrective Action Plan** Draft Copy

Est.Imp.Date Rev. Imp. Date Date Of Completion Progress Status 0%

State Comment: 16/12/2011 Save As Draft Click to Update PQ Status or Attach Evidence

Submit to ICAO

Note: Evidence may be inserted using the instructions mentioned previously

# Review



- How to complete PQs
- How to submit CAPs
- How to update CAPs

The system is evolving. Feedback and suggestions from users is required for the system to mature!