Introduction to the Audit Protocol — Air navigation services (ANS)

General

The main purpose of the audit protocol questionnaires is to standardize the conduct of audits under the ICAO Universal Safety Oversight Audit Programme (USOAP). The audit protocol questionnaires may also be used by States to conduct internal safety oversight audits as a way of preparing for the ICAO USOAP audits and, subsequently, to monitor their own civil aviation safety oversight system.

The reference documents listed in the first column have been updated since the last publication of the protocols questionnaires. In case that the referenced ICAO Annex or guidance material is amended before another update of the protocols can be made, the preparation for the audit will be adapted accordingly as follows:

1. If the exact reference has changed, but the text remains the same, the question will still be applied.
2. If the text or the essence in the reference material has changed, the preparation of the protocols for the audit will reflect this change.
3. If an Annex provision has been removed, the protocol question will become "Not applicable".
4. If additional Annex provisions or guidance material are published, the preparation of the protocols for the audit may reflect this by incorporating the new provisions or guidance material if an appropriate protocol question is available.

The numbering of the protocol questions is provided for ease of reference on the audit findings and recommendations forms to the protocol questions that provide the basis for the finding. When developing the "corrective action plan", the audited State should refer to the actual protocol questions referenced in each finding and recommendation form in Appendix 1 of the safety oversight audit report in order to understand what actions are required to fully address each finding and recommendation.

The column entitled "Guidance for review of protocol question" is intended to further clarify the protocol question by providing some examples of the evidence that should be reviewed. States should use the information therein as a reference to prepare supporting documentation for the audit.

The column entitled "Status of implementation" is for indicating the result of the question after the evidence has been provided. Questions that do not have "Not applicable" as a choice are considered to be applicable in almost all cases. If no evidence is provided by the State, it will in most cases result in the "Status of implementation" column being marked "Not satisfactory" for that protocol question. All protocol questions marked "Not satisfactory" will be reflected in a finding. Each finding must have at least one "Not satisfactory" protocol question associated with it, but it may have more than one.

The column entitled "Evidence/Notes/Comments" is intended for the auditor to document evidence presented by the State and reviewed by the auditor to satisfy the protocol question. The last column, CE, identifies the critical element associated with the protocol question.

The status of each protocol question will be reflected in the graph that will be included in the safety oversight audit report showing the lack of effective implementation of each critical element of a State's safety oversight system as noted by the number indicated on the right-hand column.

Counterparts participating in the audit on behalf of the State should be familiar with the protocol questionnaires to be used during the audit so that responses and evidences to be provided to the audit team can be prepared in advance. The State may also wish to conduct internal audits of its civil aviation system before the actual USOAP audit in order to identify and either rectify or begin addressing some of its deficiencies before the audit is even conducted.

Specific guidelines for Audit Protocol — ANS

The audit in Air Navigation Services (ANS) addresses legislative and regulatory provisions, including operational and oversight activities in the 7 areas of:

1. Air Traffic Management (ATM);
2. Procedures for Air Navigation Services, Aircraft Operations (PANS-OPS);
3. Aeronautical Information Services (AIS);
4. Aeronautical Charts (CHART);
5. Communication Navigation and Surveillance (CNS);
6. Aeronautical Meteorology (MET); and
7. Search and Rescue (SAR).

The PQs addressing legislative and regulatory provisions in the ANS field relate to conformance with the Chicago Convention, in particular, Articles 37, and 38 (*establishment of procedures for identifying and notifying differences, if any, to ICAO*), Article 3 *bis (interception of aircraft),* Article 12 *(Rules of the Air)*, Article 25 *(assistance to an aircraft in distress*) and Article 28 *(provision of air navigation facilities and services).* ANS PQ 7.009 specifically asks whether the State has developed and promulgated ANS regulations to enable the State to implement the provisions of ICAO Annexes 2, 3, 4, 5, 10, 11, 12 and 15.

The ANS PQ Series are organized as follows:

ANS PQs	Scope of subject
7.001 to 7.019	Legislations for ANS which are not addressed in the Legislation (LEG) PQs or require further evidences
7.031 to 7.045	ANS - General aspects such as organization structure of ANS, establishment of a safety oversight system, the manual for ANS *inspectorate, availability of documents and mechanism for the elimination of deficiencies identified within the framework of Regional Planning Groups (PIRGs)
7.051 to 7.073	ATM - CAA oversight – Organization, staffing and training,
7.081 to 7.189	ATM – Operational aspects such as staffing, implementation, requirements for coordination, communications and information, emergency events and contingency planning and safety management
7.201 to 7.2 55	PANS-OPS (construction of visual and instrument flight procedures) - CAA oversight and operational aspects
7.261 to 7.311	AIS - CAA oversight and operational aspects
7.321 to 7.363	CHARTS- CAA oversight and operational aspects
7.3.71 to 7.405	CNS - CAA oversight and operational aspects
7.411 to 7.475	MET- CAA oversight and operational aspects
7.481 to 7.545	SAR - CAA oversight and operational aspects.

*The term *"Inspectorate"* as mentioned in the protocol questions should be defined in generic terms as *"an office, entity, or person designated by the regulatory body to carry out safety oversight of the service providers"* In addition, depending on the level of aviation activity in the State, "the inspectorate" could also be assigned other regulatory tasks and be an entity comprised of multidisciplinary and experienced officers to carry out safety oversight of the civil aviation system.

In a CAA with a low level of aviation activity, the regulatory/safety oversight and service provision functions may be provided by the CAA. However, a distinct separation should be made in the organisation to indicate that there are separate entities with clear responsibilities for the regulatory/safety oversight and service provision functions.

In many areas of regional cooperation, States can produce economies of scale leading to increased efficiency due to the possibility of sharing and pooling of human and financial resources. Regional programmes can be more effective through joint action, where they can address external factors and constraints more effectively. Participant States will also increase their capacity to develop harmonized regulations adapted to their local environment and in compliance with ICAO Standards and Recommended. Advice can be sought from the Safety Oversight Manual, Part B, *The Establishment and Management of a Regional Safety Oversight System, Doc 9734.*

The following points provide guidance with regards to the applicability of the PQs:

1. If the State has not established a clear separation between the State regulatory functions and the State service providers in any of the 7 ANS areas, it does not render the related PQs NOT APPLICABLE, i.e. in situations where the State (Civil Aviation Authority) is both the service provider AND the regulator, the PQs are still applicable. However, due to the absence of a clear separation, the protocols dealing with surveillance and resolution of safety concerns may be not satisfactory.
2. In the same situation above where the State is both the service provider AND the regulator, it is NOT always that there is a finding for lack of regulatory oversight. It is important to determine if the State has established or implemented a safety oversight system or <u>any other mechanism</u> to ensure in an objective manner the effective implementation of safety-related policy and procedures for that specific ANS area.
3. Some PQs will be verified during the industry visit such as a sampling of training records of service provider staff, recording and retention of ATS data (PQ 7.101), read back of ATC instructions (PQ 7.119), establishment of quality systems by AIS and MET, location of wind sensors at airports (PQ 7.459) and MET briefing office (PQ 7.473), and communications set-up in the ATC Centre, ATC Tower, RCC and CNS provider.

Abbreviations used in this document:
A = Annex
ACC = Area Control Centre
ACN = Aircraft Classification Number
AFTN = Aeronautical Fixed Telecommunications Network
AIP = Aeronautical Information Publication
AIRAC = Aeronautical Information Regulation and Control
AIS = Aeronautical Information Service
ANS = Air Navigation Services
AR = Assembly Resolution
ASMGCS = Advanced Surface Movement Guidance and Control System

ATM = Air Traffic Management
ATS = Air Traffic Service
CAA(s) = Civil Aviation Authority (ies). General term used to refer to any or all authorities having responsibility for civil aviation safety oversight in the State
CC = Chicago Convention
CE = Critical element
CIR = Circular
CNS = Communications, Navigation and Surveillance
DA/H = Decision Altitude/Height
FIR = Flight Information Region
FIS = Flight Information Service
GM = ICAO document guidance material
MDA/H = Minimum Descent Altitude/Height
MET = Meteorological
MSAW = Minimum Safe Altitude Warning
NOTAM = Notice to Airmen
OCA/H = Obstacle Clearance Altitude/Height
OJT = On-the-job training
OLS = Obstacle Limitation Surface
PANS = Procedures for Air Navigation Services
PIRG = Planning and Implementation Regional Group
RCC = Rescue Coordination Center
RNP = Required Navigational Performance
RP = Annex Recommended Practice
RSC = Rescue Sub-Centre
RVSM = Reduced Vertical Separation Minimum
SAAQ = State Aviation Activity Questionnaire
SAR = Search and Rescue
SID = Standard Departure Chart – Instrument
SMGCS = Surface Movement Guidance and Control System
SMS = Safety Management System
SRR = Search and Rescue Region
STAR = Standard Arrival Chart – Instrument
STCA = Short-term conflict alert (STCA)
STD = Annex Standard
SUPPs = Regional Supplementary Procedures

Note.— The term 'regulations' is used in a generic sense to include instructions, rules, edicts, directives, sets of laws, requirements, policies, orders, etc. that are considered enforceable within the legal framework of the State.

List of ICAO reference documents:

Annex 1 – Personnel Licensing
Annex 2 – Rules of the Air
Annex 3 - Meteorology
Annex 4 – Aeronautical Charts
Annex 5 – Units of Measurement
Annex 6 Part I – Operation of Aircraft
Annex 10 – Aeronautical Telecommunications
Annex 11 – Air Traffic Services
Annex 12 – Search and Rescue
Annex 13 – Aircraft Accident and Incident Investigation
Annex 14 Volume I – Aerodromes
Annex 15 – Aeronautical Information Services
Doc 4444 Air Traffic Management
Doc 7030 Regional Supplementary Procedures
Doc 7300 Convention on International Civil Aviation
Doc 8071 Manual on Testing of Radio Navigation Aids (Vol 1, 2, 3)
Doc 8126 Aeronautical Information Services Manual
Doc 8168 Procedures for Air Navigation Services – Aircraft Operations
Doc 8400 ICAO abbreviations
Doc 8697 Aeronautical Chart Manual
Doc 8896 Manual of Aeronautical Meteorological Practice
Doc 9156 Accident/Incident Reporting Manual
Doc 9368 Instrument Flight Procedures Construction Manual
Doc 9371 Template Manual for Holding, Reversal and Racetrack Procedures
Doc 9377 Manual on Coordination between Air Traffic Services, Aeronautical Information Services and Aeronautical Meteorological Services
Doc 9426 Air Traffic Services Planning Manual.
Doc 9432 Manual of Radio Telephony
Doc 9433 Manual Concerning Interception of Civil Aircraft.
Doc 9554 Manual Concerning Safety Measures Relating to Military Activities Potentially Hazardous to Civil Aircraft Operations.
Doc 9574 Manual on Implementation of a 300 m (1 000 ft) Vertical Separation Minimum
Doc 9613 Performance Based Navigation Manual
Doc 9643 Manual on Simultaneous Operations on Parallel or Near-Parallel Instrument Runways
Doc 9674 – World Geodetic System – 1984 (WGS-84) Manual
Doc 9689 Manual on Airspace Planning Methodology for the Determination of Separation Minima.
Doc 9691 Manual on Volcanic Ash, Radioactive Material and Toxic Chemical Clouds
Doc 9731 IAMSAR Manual - International Aeronautical and Maritime Search and Rescue Manual

Doc 9734 Safety Oversight Manual. (Parts A and B)
Doc 9735 Safety Oversight Audit Manual
Doc 9750 Global Air Navigation Plan for CNS/ATM Systems.
Doc 9854 Global ATM concept
Doc 9756 Manual of Aircraft Accident and Incident Investigation
Doc 9758 Human Factors Guidelines for Air Traffic Management(ATM) Systems
Doc 9806 Human Factors Guidelines for Safety Audits Manual
Doc 9815 Manual on Laser Emitters and Flight Safety
Doc 9817 Manual on Low-level Wind Shear
Doc 9830 Advance Surface Movement Guidance and Control System(A-SMGCS) Manual
Doc 9835 Manual on the Implementation of ICAO Language Proficiency Requirements.
RMA manual (draft)
Doc 9859 SMS Manual
Doc 9863 ACAS Manual
Doc 7192 Training manual (Parts 2&3)-ATM/AIS
Doc 9750 Global ATM concept
Cir 120   Methodology for the Derivation of Separation Minima Applied to the Spacing between Parallel Tracks in ATS Route Structures
Cir 185   Satellite-aided Search and Rescue- The COSPAS-SARSAT System
Cir 211   Aerodrome Flight Information Service (AFIS)
Cir 241   Human Factors Digest No. 8 - Human Factors in Air Traffic Control
Cir 247   Human Factors Digest No. 10 – Human Factors, Management and Organization
Cir 249   Human Factors Digest No. 11 – Human Factors in CNS/ATM Systems
Cir 257   Economics of Satellite-based Air Navigation Services
Cir 267   Guidelines for the Introduction and Operational Use of the GNSS
Cir 278   National Plan for CNS/ATM Systems
Cir 305   Operation of New Larger Aeroplanes at Existing Aerodromes

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
	ANS 7.000 – Legislation and regulations for air navigation services					
CC Art. 12 STD A2 2.1.1	ANS 7.001 Has the State developed and promulgated legislation/regulations with respect to the applicable provisions of Annex 2 in high seas airspace, without exception?	□ Yes □ No	➢ Review the legislation/regulations which provides for compliance with the Standards of Annex 2 ➢ Review the differences which have been filed with ICAO and verify whether exemptions are authorized with respect to compliance with Annex 2 provisions over the high seas.	□ Satisfactory □ Not satisfactory □ Not applicable		1
CC Art. 28	ANS 7.003 Has the State promulgated legislation to ensure that air navigation services (ANS) called for under Article 28 of the Chicago Convention are provided in accordance with ICAO SARPs or established from time to time, pursuant to the Convention?	□ Yes □ No	➢ Verify the legislation to ensure compliance with Article 28 to the Chicago Convention	□ Satisfactory □ Not satisfactory		1

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
CC Art. 25	ANS 7.005 Has the State promulgated regulations to facilitate the assistance of aircraft in distress in its territory in adherence to Article 25 of the Chicago Convention?	□ Yes □ No	➢ Verify regulations	□ Satisfactory □ Not satisfactory		1
CC Art. 3 *bis* STD A2 3.8, App. 1, App. 2 & Att. A A11 2.23.2	ANS 7.007 Has the State published appropriate regulations and directives regarding interception of civil aircraft?	□ Yes □ No	➢ Review regulations and directives which have been issued for use by the State, intercepted pilot and air traffic controller	□ Satisfactory □ Not satisfactory		2
CC Art. 12 GM Doc 9734 Part A 3.3.1	ANS 7.009 Has the State developed and promulgated ANS regulations to enable the State to implement the provisions of the related ICAO Annexes?	□ Yes □ No	➢ Title and date of last amendment for all regulations related to ANS Annexes: 2, 3, 4, 5, 10, 11, 12 and 15	□ Satisfactory □ Not satisfactory		2

State **XXX** – Prepared by: **XXX**/Audit dates: **…/…/…** to **…/…/…** (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.3	ANS 7.011 Has the State developed procedures for the amendment of its enabling regulations and national standards*?*	□ Yes □ No	➢ Documented evidence of procedures developed for the amendment of regulations ➢ Amendments of regulations effected in a timely manner whenever amendments to the ANS related ICAO Annexes are received ➢ Verify the action taken by the State after receipt of the last amendments to the ANS related ICAO Annexes	□ Satisfactory □ Not satisfactory		2
CC Art. 37 & 38 GM Doc 9734 Part A 3.3	ANS 7.013 Has the State established and implemented a procedure to amend its regulations subsequent to an Annex amendment and for identifying and notifying differences, if any, to ICAO?	□ Yes □ No	➢ Documented evidence of the process and effective implementation ➢ Review Compliance Checklist for ANS related ICAO Annexes to identify ALL differences and cross-check with differences notified to ICAO	□ Satisfactory □ Not satisfactory		2

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
C Art. 37 & 38 GM Doc 9734 Part A 3.3	ANS 7.015 If the State has adopted ANS 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?	□ Yes □ No	➢ Verify regulatory framework ➢ Confirm procedures address when: 1. amendments are made by the originating State 2. ANS-related ICAO Annexes are amended ➢ Review a sample case to confirm effective implementation	□ Satisfactory □ Not satisfactory □ Not applicable		2
GM Doc 9734 Part A 3.6	ANS 7.017 Has the State established a procedure for the formulation and distribution of guidance material on civil air navigation regulations to ANS providers and operators?	□ Yes □ No	➢ Verify that a procedure has been established for the formulation and distribution of guidance material on compliance with civil air navigation regulations to ANS providers and operators ➢ Review evidence to confirm effective implementation	□ Satisfactory □ Not satisfactory		5

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.6.5	ANS 7.019 Does the State ensure that safety-critical information is disseminated in an effective and efficient manner?	□ Yes □ No	➢ Verify process used for dissemination of NOTAMs, directives, maps, aviation-related publications, timeliness, etc. ➢ Review evidence to confirm effective implementation	□ Satisfactory □ Not satisfactory		5
	ANS 7.030 – Air navigation services – General					
GM Doc 9734 Part A 3.1 & 3.4	ANS 7.031 Has the State established an organizational structure for the safety oversight of air navigation service providers ?	□ Yes □ No	➢ Confirm current approved organizational structure for CAA and ANS safety oversight, including lines of responsibility ➢ Note names and acronyms of the established authorities and each section dealing with ANS safety oversight activities ➢ Cross-check SAAQ	□ Satisfactory □ Not satisfactory		3

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A C2	ANS 7.033 Has the State established and implemented a safety oversight system for ensuring the effective implementation of safety-related policy and procedures in the air navigation fields?	□ Yes □ No	➢ Evaluate mechanisms used to ensure effective oversight ➢ Review evidence of results from inspections, audits, surveillance, etc. to confirm effective implementation	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A C2	ANS 7.035 If a safety oversight system has not been established, is there any other mechanism being used to oversee, in an objective manner, that the entity responsible for the provision of ANS is effectively implementing safety-related policy and procedures?	□ Yes □ No	➢ Review evidence to confirm effectiveness of alternative arrangements which have been put in place	□ Satisfactory □ Not satisfactory □ Not applicable		3
GM Doc 9734 Part A 3.6	ANS 7.037 Has the State developed procedures to assist ANS inspectorate staff in effectively carry out their safety oversight duties and responsibilities?	□ Yes □ No	➢ Confirm availability of procedures to assist the inspectors in all ANS related fields *Note: procedures may be incorporated into an inspector handbook or manual*	□ Satisfactory □ Not satisfactory		5

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
PANS Doc 4444 2.5.2 a)	ANS 7.039 Are the relevant ICAO documents and other technical and regulatory publications readily available to all ANS technical staff?	□ Yes □ No	➢ Evaluate method to ensure receipt, control and distribution of the necessary technical documentation ➢ Evaluate method to determine currency of documents ➢ Verify accessibility of documents: 1. ICAO Annexes 1, 2, 3, 4, 5, 10, 11, 12 and 15 2. PANS, guidance material and other ANS-related publications *Note: Check for field/regional offices as well as Headquarters*	□ Satisfactory □ Not satisfactory		5
GM Doc 9734 Part A 3.3	ANS 7.041 Has the State ensured that sufficient legal authority has been delegated to the level of its ANS inspectorate staff to allow them to execute their mandate of regulatory oversight?	□ Yes □ No	➢ Review provisions contained in the legislation/regulations and verify authorization	□ Satisfactory □ Not satisfactory		1

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
AR A33-14 App. W GM Doc 9758	ANS 7.043 Does the State ensure that its ANS providers adopt policies and procedures on human factors principles?	□ Yes □ No	➤ Review internal ANS documentation for proof of awareness and application of the guidelines on human factors principles in Doc 9758 ➤ Human-centred automation ➤ Situational awareness ➤ Managing error, etc.	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.9	ANS 7.045 Has the State established a mechanism for the review and elimination of deficiencies identified within the framework of Planning and Implementation Regional Groups (PIRGs)?	□ Yes □ No	➤ Review list of deficiencies which have been identified in the ANS fields and remedial action proposed/taken by the State ➤ Review action plan and problems encountered	□ Satisfactory □ Not satisfactory		8
	ANS 7.050 – Air traffic management – CAA oversight – Organization, staffing and training					
GM Doc 9734 Part A 2.4.9	ANS 7.051 Is there a distinct separation between the ATS regulatory and service provision functions?	□ Yes □ No	➤ Review the organizational structure and confirm effective separation in respect of regulatory and service provision functions	□ Satisfactory □ Not satisfactory		3

	State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A	ANS 7.053 Are all the functions and responsibilities of the ATS inspectorate clearly defined?	□ Yes □ No	➢ Review document detailing functions and responsibilities of the ATS inspectorate	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.4	ANS 7.055 If regional offices have been established with ANS safety oversight responsibilities, has the headquarters office established a system for coordination and standardization?	□ Yes □ No	➢ Review functions assigned to the regional offices and procedures or mechanisms for coordination and standardization	□ Satisfactory □ Not satisfactory □ Not applicable		3
GM Doc 9734 Part A 3.4	ANS 7.057 Have job descriptions been developed for technical staff and key management personnel of the ATS inspectorate?	□ Yes □ No	➢ Review job descriptions for ATS inspectorate staff	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.5	ANS 7.059 Has the State established minimum qualifications and experience requirements for ATS inspectorate personnel?	□ Yes □ No	➢ Review qualifications and experience criteria established for technical and managerial posts	□ Satisfactory □ Not satisfactory		4

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.061 Does the State employ a sufficient number of qualified ATS inspectorate staff to carry out its safety oversight tasks and regulatory functions?	□ Yes □ No	➢ Review methodology established for determining staffing needs ➢ Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years ➢ Review ability to carry out all safety oversight related tasks including reviewing and revising regulations, training of technical staff, development of guidance material, issuance of approvals, conducting surveillance and resolving identified safety concerns	□ Satisfactory □ Not satisfactory	- Editorial correction	3

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*CE*
GM Doc 9734 Part A 3.8	ANS 7.063 Is a formal surveillance programme established for the continuing supervision of the service provider responsible for ATS?	□ Yes □ No	➢ Review surveillance programme for previous and current year (planned and completed) ➢ Confirm appropriate frequency of inspection (may be based on proven safety indicators or results of inspections from previous years) ➢ Inclusion of random checks	□ Satisfactory □ Not satisfactory	7
GM Doc 9734 Part A 3.5	ANS 7.065 Has the State developed a formal training programme detailing what type of training should be provided to its ATS inspectorate staff?	□ Yes □ No	➢ Review contents of training programme ➢ Confirm inclusion of initial, OJT, recurrent and specialized training including time periods to be provided, as applicable	□ Satisfactory □ Not satisfactory	4
GM Doc 9734 Part A 3.5	ANS 7.067 Does the State develop a periodic training plan detailing and prioritizing what type of training will be provided during the established period?	□ Yes □ No	➢ Review most recent training plan	□ Satisfactory □ Not satisfactory	4

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
GM Doc 9734 Part A 3.5	ANS 7.069 Is the training programme appropriately implemented for ATS inspectorate staff?	□ Yes □ No	➢ Verify that the type and frequency of training provided (initial, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5.2	ANS 7.071 Are ATS inspectorate staff required to satisfactorily complete OJT prior to being assigned tasks and responsibilities?	□ Yes □ No	➢ Review requirement for the provision of OJT ➢ Verify that OJT is provided by an experienced senior inspector	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.073 Does the ATS inspectorate have a system for the maintenance of training records for its technical staff?	□ Yes □ No	➢ Review instruction or requirement for the establishment and maintenance of training records ➢ Verify training records are systematically retained	□ Satisfactory □ Not satisfactory		4

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
	ANS 7.080 – Air traffic management – Operational – Personnel					
PANS Doc 4444 3.1	ANS 7.081 Does the State ensure that the service provider responsible for ATS has developed policy and procedures for determining the capacity of the ATS system including the number of staff required to ensure the provision of an adequate ATS system?	□ Yes □ No	➢ Review the documented process applied in determining staff requirements ➢ Confirm effective application to ensure provision of adequate service	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.4 & 3.7	ANS 7.083 Does the State ensure that the service provider responsible for ATS has developed job descriptions for its ATS staff?	□ Yes □ No	➢ Review job descriptions and confirm rational application	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.7	ANS 7.085 Does the State ensure that the service provider responsible for ATS has developed policies and procedures to enable recruitment and retention of appropriately qualified and experienced ATS staff?	□ Yes □ No	➢ Review documented staff records to assess conformity with determined need and stability in staff retention	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.7	ANS 7.087 Does the State ensure that the service provider responsible for ATS has developed a training programme, including refresher training, for its ATS staff?	□ Yes □ No	➢ Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training	□ Satisfactory □ Not satisfactory		6

	State **XXX** – Prepared by: **XXX**/Audit dates: **…/…/…** to **…/…/…** (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.7	ANS 7.089 Does the State ensure that the service provider responsible for ATS maintains training records for its ATS staff?	□ Yes □ No	➤ Review training records or files to confirm	□ Satisfactory □ Not satisfactory		6
PANS Doc 4444 2.5.2 GM Doc 9734 Part A 3.7	ANS 7.091 Does the State ensure that the service provider responsible for ATS has developed procedures to ensure the continued competency of air traffic controllers on new equipment, procedures and updated communications?	□ Yes □ No	➤ Review documented evidence of the procedures followed to ensure the continued competency of air traffic controllers on new equipment, procedures and updated communications ➤ Review evidence to confirm effective implementation	□ Satisfactory □ Not satisfactory		6
	ANS 7.100 – Air traffic management – Operational – Implementation					
RP A11 6.4.1 PANS Doc 4444 4.13.4	ANS 7.101 Does the State ensure that a system has been established and implemented for the recording and retention of ATS data?	□ Yes □ No	➤ Review documented evidence of the system used for the recording and retention of ATS data ➤ Review evidence to confirm effective implementation	□ Satisfactory □ Not satisfactory		6

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A11 2.6.1	ANS 7.103 If Class F airspace is designated, does the State ensure that an air traffic advisory service is implemented in Class F airspace?	□ Yes □ No	➤ Review documented evidence of the establishment and implementation of an air traffic advisory service in Class F airspace ➤ Review evidence to confirm effective implementation *Note: The designation of Class F airspace is not mandatory. However, once Class F is designated, an advisory service should be implemented. If Class F airspace is not designated, this PQ should be marked "Not applicable"*	□ Satisfactory □ Not satisfactory □ Not applicable		6
PANS Doc 4444 9.1.4.1	ANS 7.105 If an air traffic advisory service is implemented in Class F airspace, does the State have a plan for replacing the air traffic advisory service and implementing a higher classification of airspace?	□ Yes □ No	➤ Verify documented plan ➤ Confirm due date established for implementation	□ Satisfactory □ Not satisfactory □ Not applicable		6

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A11 2.1	ANS 7.107 Has the State delegated to another Contracting State or entity the responsibility for provision of ATS over its territory and/or any airspace over the high seas?	□ Yes □ No	➢ Review documented evidence of the airspace for which the State has delegated the responsibility to provide ATS ➢ Confirm that the delegation has been accepted by the other Contracting State ➢ Verify whether appropriate letters of agreement have been signed	□ Satisfactory □ Not satisfactory □ Not applicable		3

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A11 2.7 GM Doc 9613 Doc 9859	ANS 7.109 Has the State implemented performance-based navigation (PBN), or otherwise, has the State established a PBN programme implementation plan and if so, whether it includes safety assessments, on-going monitoring in accordance with Annex 11 and flight operations approvals?	□ Yes □ No	➢ Verify if implementation of PBN is addressed within PIRGs framework ➢ Where applicable, verify if a safety plan has been prepared for PBN implementation ➢ Verify if procedures for system monitoring are in place to ensure the safety of the system is maintained ➢ Where applicable, review the mechanism for safety assessments to be conducted after implementation ➢ Where applicable, review documented evidences that the safety of the system is assured: 1. Flight operations approvals 2. Procedure design capabilities 3. Flight plan adopted for PBN (letter "R" in item 10) 4. WGS-84 implementation.	□ Satisfactory □ Not satisfactory □ Not applicable	Note : PBN is area navigation based on performance requirements.. Navigation specifications (aircraft and crew requirements) to support PBN 2 kinds of Navigation specifications: RNP and RNAV. RNP includes requirements for monitoring and alerting	7

	State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A11 3.4.1 PANS Doc 4444 C5 & C6 SUPPS Doc 7030	ANS 7.111 Does the State ensure that separation minima are applied in accordance with PANS-ATM and Regional Supplementary Procedures (SUPPS)?	□ Yes □ No	➢ Review documented evidence of the separation minima selected ➢ Confirm effectiveness for the applicable airspace	□ Satisfactory □ Not satisfactory		6
STD A15 4.1.2 c) PANS Doc 4444 C5 & C6	ANS 7.113 If not, are the separation minima used listed in the AIP?	□ Yes □ No	➢ Review documented evidence of the separation minima selected ➢ Confirm publication of information in the AIP	□ Satisfactory □ Not satisfactory □ Not applicable		5
GM Doc 9574 4.3.4 & 4.3.6	ANS 7.115 If reduced vertical separation minimum (RVSM) is implemented in airspace, does the State ensure that a process has been established and implemented for verifying that aircraft is approved for operation in RVSM airspace?	□ Yes □ No	➢ Review documented evidence of the process to verify that aircraft is approved for operation in its RVSM airspace ➢ Review evidence to confirm effective implementation	□ Satisfactory □ Not satisfactory □ Not applicable		7

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9574 SUPPS Doc 7030	ANS 7.117 If RVSM is implemented, does the State ensure that monitoring mechanisms for RVSM are established and implemented?	□ Yes □ No	➢ Review documented evidence of the monitoring mechanisms used for RVSM ➢ Confirm effective implementation	□ Satisfactory □ Not satisfactory □ Not applicable		7
STD A11 3.7.3 PANS Doc 4444 4.5.7.5	ANS 7.119 Does the State ensure that Annex 11 requirements for read-back of safety-related parts and other relevant information of ATC clearances and instructions are adhered to?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of requirements for read-back of ATC clearances	□ Satisfactory □ Not satisfactory		7
STD A11 3.8	ANS 7.121 Does the State ensure that procedures are established and implemented to control the movement of persons or vehicles on the manoeuvring area of the aerodrome?	□ Yes □ No	➢ Review documented evidence of the procedures used to control the movement of persons or vehicles on the manoeuvring area of the aerodrome ➢ Evaluate mechanism to ensure effective implementation ➢ Review evidence to confirm	□ Satisfactory □ Not satisfactory		5

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
	ANS 7.130 – Air traffic management – Operational – Requirements for coordination, communication and information					
STD A11 2.15, 2.16, 2.17, 2.19 & 2.20	ANS 7.131 Does the State ensure that policies and procedures are established and implemented for coordination between ATS and other entities?	□ Yes □ No	➢ Review internal documented coordination procedures and confirm that they are applied ➢ Check if coordination is conducted with the following: 1. Air operators 2. Meteorological (MET) services 3. Aeronautical information services (AIS) 4. Aerodrome operators 5. Military authorities	□ Satisfactory □ Not satisfactory		3

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A11 C6	ANS 7.133 Has the State promulgated regulations to specify communications requirements in accordance with the provisions of Annex 11?	□ Yes □ No	➢ Verify communications requirements for: FIS, area, approach and aerodrome control services, AFTN, ATS direct-speech, MET offices, military units, AIS, rescue coordination centres (RCCs), apron management services units, adjacent ACCs/FIRs, etc. ➢ Cross-check with ICAO Annex 11 compliance checklist	□ Satisfactory □ Not satisfactory		2
STD A3 App. 9 1.1, 1.2, 1.3 & 1.4 A11 7.1	ANS 7.135 Does the State ensure that procedures are established for ensuring that MET information is promptly supplied to flight information centres, area control centres, approach control units, aerodrome control towers, and communication stations?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of procedures to ensure supply of MET information ➢ Confirm effective implementation	□ Satisfactory □ Not satisfactory		5

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
STD A11 7.2	ANS 7.137 Does the State ensure that procedures are established for ensuring that information on aerodrome conditions and the operational status of associated facilities is provided to the aerodrome control tower and unit providing approach control services?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of procedures to provide information on aerodrome conditions and the operational status of associated facilities	□ Satisfactory □ Not satisfactory		5
STD A11 7.3 STD A10 Vol. I 2.8	ANS 7.139 Does the State ensure that procedures are established for ensuring that information on the operational status of navigational aids is promptly forwarded to appropriate ATS units?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of procedures to provide information on visual and non-visual aids to ATS units	□ Satisfactory □ Not satisfactory		5

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
	ANS 7.150 – Air traffic management – Operational – Emergency events and contingency planning					
STD A11 2.23 PANS Doc 4444 15.1	ANS 7.151 Does the State ensure that procedures have been established for providing service to aircraft in the event of emergency?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of the procedures followed to render assistance to an aircraft in the event of the following emergencies: 1. Unlawful interference 2. Aircraft bomb threat 3. Emergency descent	□ Satisfactory □ Not satisfactory		5
STD A11 2.30 Att. C	ANS 7.153 Does the State ensure that contingency plans have been developed and promulgated for implementation in the event of disruption or potential disruption of ATS or related supporting services?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of the existence of contingency plans and how they are applied	□ Satisfactory □ Not satisfactory		5

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A11 2.23.1	ANS 7.155 Has the State promulgated regulations to require the ATS provider to establish procedures to assist and to safeguard strayed or unidentified aircraft?	□ Yes □ No	➢ Verify regulations ➢ Cross-check with ICAO Annex 11 compliance checklist ➢ Review documented evidence of the procedures followed to render assistance to stray or unidentified aircraft	□ Satisfactory □ Not satisfactory		2
STD A2 3.6.5.2 A10 Vol. II PANS Doc 4444 15.2 SUPPS Doc 7030	ANS 7.157 Does the State ensure that procedures for pilots are established and promulgated for air-ground radio communications failure?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify regulations ➢ Cross-check ICAO Annex 2 and 10 compliance checklists ➢ Review documented evidence of implemented procedures related to air-ground radio communications failure	□ Satisfactory □ Not satisfactory		2

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
PANS Doc 4444 15.6 & 15.7	ANS 7.159 Does the State ensure that ATC contingency procedures are established for: 1. Radio communications contingencies 2. Emergency separation 3. Short-term conflict alert (STCA) 4. Minimum safe altitude warning (MSAW)	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of ATC contingency procedures	□ Satisfactory □ Not satisfactory		5
		**ANS 7.160 – Air traffic management – Operational – Safety management**
STD A11 2.27	ANS 7.161 Has the State established a safety programme, in order to achieve an acceptable level of safety in the provision of ATS?	□ Yes □ No	➢ Review documented evidence	□ Satisfactory □ Not satisfactory		3
STD A11 2.27	ANS 7.163 If the State has yet to establish a systematic and appropriate ATS safety programme, has it identified required resources to support its establishment and implementation?	□ Yes □ No	➢ Review documented evidence of resource requirements for the establishment and implementation of a systematic and appropriate ATS safety programme	□ Satisfactory □ Not satisfactory □ Not applicable		3

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A11 2.27	ANS 7.165 If the State has yet to establish a systematic and appropriate ATS safety programme, has it developed guidelines to establish such programme?	□ Yes □ No	➢ Review documented evidence of technical guidance for the establishment of systematic and appropriate ATS safety programmes ➢ If the State has not developed guidelines, determine when the State intends to do so	□ Satisfactory □ Not satisfactory □ Not applicable		5
STD A11 2.27	ANS 7.167 Has the State promulgated a regulation, as part of its safety programme, for the ATS provider to implement a safety management system?	□ Yes □ No	➢ Verify regulations ➢ Cross-check with ICAO Annex 11 compliance checklist ➢ Review documented evidence ➢ Confirm the status of implementation of the safety management system by the service provider	□ Satisfactory □ Not satisfactory		2
STD A11 2.27	ANS 7.169 Does the State ensure that the ATS provider implemented a safety management system acceptable to the State?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify the implementation ➢ Verify the approval process	□ Satisfactory □ Not satisfactory		6

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
PANS Doc 4444 C2	ANS 7.171 Does the State carry out oversight of the ATS safety management system?	□ Yes □ No	➤ Verify establishment of appropriate entity to carry out oversight of ATS ➤ Verify that the oversight results are used with a view to: 1. Develop and update necessary regulations 2. Setting national safety performance targets 3. Carry out safety oversight of ATS providers	□ Satisfactory □ Not satisfactory		7
STD A11 2.27.2 & Att. E. 3	ANS 7.173 Has the State established the acceptable level of safety to be achieved?	□ Yes □ No	➤ Review documented evidence of the establishment of the acceptable level of safety expressed in terms of safety performance indicators and safety performance targets by the State ➤ Cross-check with ICAO Annex 11 compliance checklist	□ Satisfactory □ Not satisfactory		2

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	**Protocol question**	**Reply**	**Guidance for review of protocol question**	**Status of implementation**	**Evidence/Notes/Comments**	**CE**
STD A11 2.27	ANS 7.175 Does the State ensure that the safety management system established by the ATS provider is characterized by a proactive approach?	□ Yes □ No	➤ Review mechanism established to ensure effective implementation ➤ Review documented evidence of proactive approach being adopted by the service provider that incorporates procedures, at least, for the following: 1. Identification of safety hazards 2. Remedial action necessary to maintain an acceptable level of safety 3. Continuous monitoring and regular assessment of the safety level achieved 4. Continuous improvement to the overall level of safety	□ Satisfactory □ Not satisfactory		6

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A11 2.27.5	ANS 7.177 Does the State ensure that the safety management system developed by the ATS provider includes provisions for safety assessment to be carried out for any significant safety-related change to the ATS system?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence requiring safety assessment of any significant safety-related change to the ATS system and confirm enforcement ➢ Review methodology and effectiveness	□ Satisfactory □ Not satisfactory		6
STD A11 2.27.5	ANS 7.179 Does the State ensure that provisions are made for post-implementation monitoring to verify that the defined level of safety continues to be met?	□ Yes □ No	➢ Review documented evidence of the existence of post-implementation monitoring requirements ➢ Review methodology and effectiveness	□ Satisfactory □ Not satisfactory		7
A11 2.27.4	ANS 7.181 Does the State ensure that the safety management system developed by the ATS provider clearly defines lines of responsibility, including direct accountability for safety on the part of senior management?	□ Yes □ No	➢ Check if provision for accountability is included in the safety management system	□ Satisfactory □ Not satisfactory		6

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
PANS Doc 4444 2.5	ANS 7.183 Does the State ensure that safety reviews are being regularly conducted by the service provider?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Check findings of last safety review which has been carried out and follow-up action(s) taken	□ Satisfactory □ Not satisfactory		7
PANS Doc 4444 2.5.1	ANS 7.185 Does the State ensure that appropriately qualified personnel are available at the level of the service provider to conduct safety reviews?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify qualifications and experience of personnel involved	□ Satisfactory □ Not satisfactory		7
PANS Doc 4444 16.3	ANS 7.187 Has the State established and implemented a system for reporting air traffic incidents?	□ Yes □ No	➢ Review documented evidence confirming the existence and use of an incident reporting process inclusive of follow-up action	□ Satisfactory □ Not satisfactory		8
PANS Doc 4444 2.5.2	ANS 7.189 Has the State promulgated a regulation to require the establishment and implementation of a runway safety programme ?	□ Yes □ No	➢ Verify regulation ➢ Review documented evidence of the applied system approach	□ Satisfactory □ Not satisfactory		2

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
	ANS 7.200 – PANS-OPS (Construction of visual and instrument flight procedures) – CAA oversight					
PANS Doc 8168 OPS/611 Vol. II	ANS 7.201 Has the State promulgated regulatory criteria as a basis for procedure design in accordance with ICAO PANS-OPS provisions?	□ Yes □ No	➢ Verify regulatory requirements ➢ If criteria other than Doc 8168, Vol. II are used, verify that they provide an equivalent level of safety	□ Satisfactory □ Not satisfactory		2
GM Doc 9734 Part A	ANS 7.203 Are all the functions and responsibilities of the PANS-OPS inspectorate clearly defined?	□ Yes □ No	➢ Review document containing functions and responsibilities of the PANS-OPS inspectorate	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.4	ANS 7.205 Have job descriptions for PANS-OPS inspectorate staff been clearly defined?	□ Yes □ No	➢ Review job descriptions for the PANS-OPS inspectorate staff	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.5	ANS 7.207 Has the State established minimum qualifications and experience requirements for PANS-OPS inspectorate staff?	□ Yes □ No	➢ Review qualifications and experience criteria established for technical and managerial posts	□ Satisfactory □ Not satisfactory		4

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.209 Does the State employ a sufficient number of qualified PANS-OPS inspectorate staff to carry out its safety oversight tasks and regulatory functions over the service providers?	□ Yes □ No	➢ Review methodology established for determining staffing needs ➢ Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years ➢ Review ability to carry out all safety oversight related tasks including reviewing and revising regulations, training of technical staff, development of guidance material, issuance of approvals, conducting surveillance and resolving identified safety concerns	□ Satisfactory □ Not satisfactory		3

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.5	ANS 7.211 Has the State developed a formal training programme detailing what type of training should be provided to its PANS-OPS inspectorate staff?	□ Yes □ No	➢ Review contents of training programme ➢ Confirm inclusion of initial, OJT, recurrent and specialized training including time periods to be provided, as applicable	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.213 Does the State develop a periodic training plan detailing and prioritizing what type of training will be provided during the established period?	□ Yes □ No	➢ Review most recent training plan	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.215 Is the training programme appropriately implemented for PANS-OPS inspectorate staff?	□ Yes □ No	➢ Verify that the type and frequency of training provided (initial, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff	□ Satisfactory □ Not satisfactory		4

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.5.2	ANS 7.217 Are PANS-OPS inspectorate staff required to satisfactorily complete OJT prior to being assigned tasks and responsibilities?	□ Yes □ No	➢ Review requirement for the provision of OJT ➢ Verify that OJT is provided by an experienced, senior inspector	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.219 Does the PANS-OPS inspectorate have a system for the maintenance of training records for its technical staff?	□ Yes □ No	➢ Review instruction or requirement for the establishment and maintenance of training records ➢ Verify that training records are systematically retained	□ Satisfactory □ Not satisfactory		4
STD A6 Part I 4.4.8 GM Doc 9734 Part A 3.4	ANS 7.221 Has the State established a flight procedures design office or entity to oversee the process of development and maintenance of visual and instrument flight procedures?	□ Yes □ No	➢ Review the organizational structure including positions	□ Satisfactory □ Not satisfactory		3

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.223 If not, has the State delegated the responsibility for oversight of the process of development and maintenance of visual and instrument flight procedures to an agency, another Contracting State or group of States?	□ Yes □ No	➢ Verify how the responsibility or authority has been delegated to another State or agency ➢ If this responsibility is to be conducted by a group of States, review the joint venture	□ Satisfactory □ Not satisfactory □ Not applicable		3
GM Doc 9734 Part A	ANS 7.225 If the State delegates its duties to other CAA divisions, State bodies, Contracting States, regional organizations, private agencies or individuals, have the delegated tasks been clearly defined?	□ Yes □ No	➢ Review documentation clearly defining tasks delegated ➢ Verify the legal mechanism for the delegation	□ Satisfactory □ Not satisfactory □ Not applicable		3
PANS Doc 8168 OPS/611 Vol. I Part I Section 9	ANS 7.227 Has the State promulgated general regulatory criteria and developed procedures for the establishment of aerodrome operating minima?	□ Yes □ No	➢ Verify regulations and guidance for the development of procedures	□ Satisfactory □ Not satisfactory		2
GM Doc 9734 Part A 3.7	ANS 7.229 Has the State established minimum qualification requirements for procedures specialists and/or service providers who are responsible for the design of flight procedures?	□ Yes □ No	➢ Review qualifications required for new procedures design staff	□ Satisfactory □ Not satisfactory		6

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*CE*
GM Doc 9734 Part A 3.8	ANS 7.231 Does the State effectively conduct oversight over its procedures specialists or service providers?	□ Yes □ No	➢ Confirm inspection procedures and inspection reports ➢ Review checklist used by inspectorate staff ➢ Review inspection schedules	□ Satisfactory □ Not satisfactory		7
GM Doc 9734 Part A 3.9	ANS 7.233 Has the State established a mechanism/system with time frame for elimination of deficiencies identified by PANS-OPS inspectorate staff?	□ Yes □ No	➢ Review list of deficiencies which have been identified by inspection and remedial action planned/taken ➢ Review problems encountered	□ Satisfactory □ Not satisfactory		8
		**ANS 7.240 – PANS-OPS (Construction of visual and instrument flight procedures) – Operational**
GM Doc 9734 Part A 3.4 & 3.7	ANS 7.241 Does the State ensure that PANS-OPS service provider has developed job description for its PANS-OPS technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented terms of reference and confirm consistent application	□ Satisfactory □ Not satisfactory		6

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.7	ANS 7.243 Does the State ensure that PANS-OPS service providers develop a training programme for PANS-OPS technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.7	ANS 7.245 Does the State ensure that PANS-OPS service providers maintain training records for PANS-OPS technical staff?	□ Yes □ No	➢ Review method used by the State to confirm that training records are maintained	□ Satisfactory □ Not satisfactory		6
GM Doc 8071 Vol. I C8	ANS 7.247 Does the State ensure that flight inspections of instrument flight procedures, including obstacle checks, are carried out?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify reports and results of flight inspections of instrument flight procedures	□ Satisfactory □ Not satisfactory		7

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A4 11.10.7 PANS Doc 8168 Vol. II Part III 5.4.5, 5.5	ANS 7.249 Does the State ensure that the entity responsible for developing flight procedures publishes obstacle clearance altitude/height (OCA/H)?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review AIP AD 2.24 to see if published	□ Satisfactory □ Not satisfactory		5
STD A4 11.10.7	ANS 7.251 Does the State ensure that the entity responsible for developing flight procedures has established and published operating minima (e.g. visibility, MDA/H, DA/H) for instrument approaches at aerodromes?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review AIP AD 2.24 to see if published	□ Satisfactory □ Not satisfactory		5

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
PANS Doc 8168 OPS/611 Vol. II	ANS 7.253 Does the State ensure that the entity responsible for PANS-OPS develop procedures in accordance with the criteria promulgated by the State?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify that procedures in the AIP have been established in accordance with the criteria promulgated by the State ➢ Review the following, as applicable: 1. SID procedures 2. Approach procedures 3. Circling procedures 4. Holding procedures 5. Noise abatement procedures 6. Altimeter setting procedures 7. Procedures for simultaneous operations on parallel runways 8. Procedures for SSR and transponder	□ Satisfactory □ Not satisfactory		7

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A15 3.2.4	ANS 7.255 Does the State ensure that PANS-OPS service providers retain all procedure design documentation so as to allow any data anomalies or errors found during the production, maintenance or operational use of the procedure to be corrected?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review procedures, working files, documentation and data	□ Satisfactory □ Not satisfactory		7
	ANS 7.260 – Aeronautical information services – CAA oversight					
STD A15 3.1	ANS 7.261 Has the State established an aeronautical information service (AIS) office or entity?	□ Yes □ No	➢ Review organizational chart and evidence of the established service	□ Satisfactory □ Not satisfactory		3
STD A15 3.1.1 GM Doc 9734 Part A 3.4	ANS 7.263 If not, has the State agreed with other Contracting States for the provision of a joint service or delegated the authority for the provision of the service to a non-governmental agency?	□ Yes □ No	➢ Verify how the State agreed with other Contracting States or delegated the authority to a non-governmental agency ➢ Verify that each entity's responsibilities are clearly defined and that there is no conflict or overlap of responsibilities	□ Satisfactory □ Not satisfactory □ Not applicable		3

**State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 2.4.9	ANS 7.265 Has the State established a distinct separation between the regulatory body and the entity providing the AIS?	□ Yes □ No	➢ Review the organizational structure and confirm effective separation in respect of regulatory and service provision functions	□ Satisfactory □ Not satisfactory		3
STD A15 3.2	ANS 7.267 Does the State ensure that a properly organized quality system in the AIS has been established?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of established quality system which includes procedures, processes and resources	□ Satisfactory □ Not satisfactory		6

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.269 Does the State employ sufficient qualified technical staff to carry out its oversight tasks over the entity providing the AIS?	□ Yes □ No	➢ Review methodology established for determining staffing needs ➢ Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years ➢ Review ability to carry out all safety oversight related tasks including reviewing and revising regulations, training of technical staff, development of guidance material, issuance of approvals, conducting surveillance and resolving identified safety concerns	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.4	ANS 7.271 Are all the functions and responsibilities of the AIS inspectorate clearly defined?	□ Yes □ No	➢ Review document detailing functions and responsibilities of the AIS inspectorate	□ Satisfactory □ Not satisfactory		3

		State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)			
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.273 Have job descriptions been developed for AIS inspectorate staff?	□ Yes □ No	➢ Review job descriptions for AIS inspectorate staff	□ Satisfactory □ Not satisfactory	3
GM Doc 9734 Part A 3.5	ANS 7.275 Has the State established minimum qualifications and experience requirements for AIS inspectorate personnel?	□ Yes □ No	➢ Review qualifications and experience criteria established for technical and managerial posts	□ Satisfactory □ Not satisfactory	4
GM Doc 9734 Part A 3.5	ANS 7.277 Has the State developed a formal training programme detailing what type of training should be provided to its AIS inspectorate staff?	□ Yes □ No	➢ Review contents of training programme ➢ Confirm inclusion of initial, OJT, recurrent and specialized training including time periods to be provided, as applicable	□ Satisfactory □ Not satisfactory	4
GM Doc 9734 Part A 3.5	ANS 7.279 Does the State develop a periodic training plan detailing and prioritizing what type of training will be provided during the established period?	□ Yes □ No	➢ Review most recent training plan	□ Satisfactory □ Not satisfactory	4

			State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)			
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.5	ANS 7.281 Is the training programme appropriately implemented for AIS inspectorate staff?	□ Yes □ No	➢ Verify that the type and frequency of training provided (initial, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5.2	ANS 7.283 Are AIS inspectorate staff required to satisfactorily complete OJT prior to being assigned tasks and responsibilities?	□ Yes □ No	➢ Review requirement for the provision of OJT ➢ Verify that OJT is provided by an experienced, senior inspector	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.285 Does the AIS inspectorate have a system for the maintenance of training records for its technical staff?	□ Yes □ No	➢ Review instruction or requirement for the establishment and maintenance of training records ➢ Verify that training records are systematically retained	□ Satisfactory □ Not satisfactory		4

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.8	ANS 7.287 Does the State effectively conduct oversight over the entity providing the AIS?	□ Yes □ No	➢ Confirm inspection procedures and inspection reports ➢ Review checklist used by inspectorate staff ➢ Review inspection schedules	□ Satisfactory □ Not satisfactory		7
GM Doc 9734 Part A 3.9	ANS 7.289 Has the State established a mechanism/system with time frame for elimination of deficiencies identified by AIS inspectorate staff?	□ Yes □ No	➢ Review list of deficiencies which have been identified by inspection and remedial action planned/taken ➢ Review problems encountered	□ Satisfactory □ Not satisfactory		8
	ANS 7.300 – Aeronautical information services – Operational					
GM Doc 9734 Part A 3.4 & 3.7	ANS 7.301 Does the State ensure that AIS provider has developed job descriptions for its AIS technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented terms of reference and confirm rational application	□ Satisfactory □ Not satisfactory		6

	State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.7	ANS 7.303 Does the State ensure that AIS service providers develop a training programme for AIS technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.8	ANS 7.305 Does the State ensure that AIS service providers maintain training records for AIS technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review training records or files	□ Satisfactory □ Not satisfactory		7
STD A15 4.1 & App. 1	ANS 7.307 Has the State published its AIP in three parts, in accordance with Chapter 4 and Appendix 1 of Annex 15?	□ Yes □ No	➢ Review the AIP and identify parts, sections and subsections as per Chapter 4 and Appendix 1 of Annex 15	□ Satisfactory □ Not satisfactory		5

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A15 C4, 6.1 & App. 4	ANS 7.309 Does the State ensure that the AIRAC system is being used to notify the establishment, withdrawal and premeditated significant changes of circumstances listed in accordance with Chapters 4 and 6 and Appendix 4 of Annex 15?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review published sample of the AIRAC AIP amendment or supplement to identify compliance with Chapters 4 and 6 and Appendix 4 of Annex 15	□ Satisfactory □ Not satisfactory		6
STD A15 3.2.9	ANS 7.311 Has the State established a mechanism to ensure that aeronautical data quality requirements related to publication resolution and data integrity are in accordance with the provisions of Annex 15, Appendix 7, Tables A7-1 to A7-5?	□ Yes □ No	➢ Check compliance with Annex 15, Appendix 7, Tables A7-1 to A7-5	□ Satisfactory □ Not satisfactory		5

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
**State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)**					

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
	ANS 7.320 – Aeronautical charts – CAA oversight					
STD A4 1.3.2	ANS 7.321 Has a cartographic service been established by the State?	□ Yes □ No	➢ Review documented evidence of the established service	□ Satisfactory □ Not satisfactory		3
STD A4 1.3.2.1 GM Doc 9734 Part A 3.4	ANS 7.323 If not, has the State arranged for charts production by another Contracting State or by an agency?	□ Yes □ No	➢ Verify how the State arranged with the other Contracting State or agency for charts production ➢ Verify that each entity's responsibilities are clearly defined and that there is no conflict or overlap of responsibilities	□ Satisfactory □ Not satisfactory □ Not applicable		3

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.325 Does the State employ a sufficient number of qualified technical staff to carry out its safety oversight tasks over the entity providing the cartographic service?	□ Yes □ No	➢ Review methodology established for determining staffing needs ➢ Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years ➢ Review ability to carry out all safety oversight related tasks including reviewing and revising regulations, training of technical staff, development of guidance material, issuance of approvals, conducting surveillance and resolving identified safety concerns	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.4	ANS 7.327 Are all the functions and responsibilities of the cartographic inspectorate clearly defined?	□ Yes □ No	➢ Review document detailing functions and responsibilities of the cartographic inspectorate	□ Satisfactory □ Not satisfactory		3

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.329 Have job descriptions been developed for cartographic inspectorate staff?	□ Yes □ No	➢ Review job descriptions for cartographic inspectorate staff	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.5	ANS 7.331 Has the State established minimum qualifications and experience requirements for cartographic inspectorate personnel?	□ Yes □ No	➢ Review qualifications and experience criteria established for technical and managerial posts	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.333 Has the State developed a training programme detailing what type of training should be provided to its cartographic inspectorate staff?	□ Yes □ No	➢ Review contents of training programme ➢ Confirm inclusion of initial, OJT, recurrent and specialized training including time periods to be provided, as applicable	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.335 Does the State develop a periodic training plan detailing and prioritizing what type of training will be provided during the established period?	□ Yes □ No	➢ Review most recent training plan	□ Satisfactory □ Not satisfactory		4

	State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.5	ANS 7.337 Is the training programme appropriately implemented for cartographic inspectorate staff?	□ Yes □ No	➢ Verify that the type and frequency of training provided (initial, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5.2	ANS 7.339 Are cartographic inspectorate staff required to satisfactorily complete OJT prior to being assigned tasks and responsibilities?	□ Yes □ No	➢ Review requirement for the provision of OJT ➢ Verify that OJT is provided by an experienced, senior inspector	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.341 Does the cartographic inspectorate have a system for the maintenance of training records for its technical staff?	□ Yes □ No	➢ Review instruction or requirement for the establishment and maintenance of training records ➢ Verify training records are systematically retained	□ Satisfactory □ Not satisfactory		4

| **State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)** |

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.8	ANS 7.343 Does the State effectively conduct safety oversight over the entity providing the cartographic service?	□ Yes □ No	➢ Confirm inspection procedures and inspection reports ➢ Review checklist used by inspectorate staff ➢ Review inspection schedules	□ Satisfactory □ Not satisfactory		7
GM Doc 9734 Part A 3.9	ANS 7.345 Has the State established a mechanism/system with time frame for elimination of deficiencies identified by cartographic inspectorate staff?	□ Yes □ No	➢ Review list of deficiencies which have been identified by inspection and remedial action planned/taken ➢ Review problems encountered	□ Satisfactory □ Not satisfactory		8
	ANS 7.350 – Aeronautical charts – Operational					
GM Doc 9734 Part A 3.4 & 3.7	ANS 7.351 Does the State ensure that cartographic service provider has developed job descriptions for its cartographic technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented terms of reference and confirm rational application	□ Satisfactory □ Not satisfactory		6

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.7	ANS 7.353 Does the State ensure that cartographic service providers develop a formal training programme for cartographic technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review contents of training programme ➢ Confirm inclusion of initial, OJT, recurrent and specialized training including time periods to be provided, as applicable	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.8	ANS 7.355 Does the State ensure that cartographic service providers maintain training records for cartographic technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review training records or files	□ Satisfactory □ Not satisfactory		7
STD A4 1.3.2	ANS 7.357 Does the State ensure that aeronautical charts are readily available to users?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Check how the charts are readily available to users	□ Satisfactory □ Not satisfactory		5

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A4 2.17 & App. 6, Tables 1 to 5	ANS 7.359 Has the State established a mechanism to ensure that aeronautical data quality requirements related to the data integrity and charting resolution are in accordance with the provisions of Tables 1 to 5 in Appendix 6 of Annex 4?	□ Yes □ No	➢ Check compliance with Annex 4, Appendix 6, Tables 1 to 5	□ Satisfactory □ Not satisfactory		5
STD A4 1.3.3	ANS 7.361 Has the State taken reasonable measures to ensure that the information it provides and the aeronautical charts made available are comprehensive and accurate and that they are maintained up to date by a revision service?	□ Yes □ No	➢ Review the measures which ensure that the information on charts is comprehensive, accurate and up to date	□ Satisfactory □ Not satisfactory		5

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
STD & RP A4 3.2, 6.2, 7.2, 8.2, 9.2, 10.2, 11.2, 12.2, 13.2, 14.2, 15.2, 16.2, 17.2,18.2, 19.2 & 21.2	ANS 7.363 Has the State made available to users all charts which are applicable in the State?	□ Yes □ No	➢ Review if the following charts, as applicable, are made available by the State and are published in the AIP in compliance with the Annexes 4 and 15: 1. Aerodrome Obstacle Chart – ICAO Type A 2. Precision Approach Terrain Chart – ICAO 3. En-route Chart – ICAO 4. Area Chart – ICAO or, alternatively, Standard Departure Chart – Instrument (SID) – ICAO and Standard Arrival Chart – Instrument (STAR) – ICAO 5. Instrument Approach Chart – ICAO 6. Visual Approach Chart – ICAO	□ Satisfactory □ Not satisfactory		5

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
			7. Aerodrome/ Heliport Chart – ICAO 8. Aerodrome Ground Movement Chart – ICAO (only if not provided on the aerodrome/heliport chart) 9. Aircraft Parking/Docking Chart – ICAO (only if not provided on the aerodrome/heliport chart) 10. World Aeronautical Chart – ICAO 1: 1 000 000 or, alternatively, Aeronautical Chart – ICAO 1: 500 000 or Aeronautical Navigation Chart – ICAO Small Scale 11. Plotting Chart – ICAO (only where the En-route Chart – ICAO is not provided)			

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
			12. ATC Surveillance Minimum Altitude Chart – ICAO (only where vectoring procedures are established, but minimum vectoring altitudes can not be shown on the Area Chart, Standard Departure Chart – Instrument (SID) or Standard Arrival Chart-Instrument (STAR)			
**ANS 7.370 – Communications, navigation and surveillance (CNS) – CAA oversight**
STD A10 Vol. II 2.4.1 GM Doc 9734 Part A 3.1 & 3.4	ANS 7.371 Has the State designated the authority responsible for ensuring that the communications, navigation and surveillance (CNS) systems and facilities are operated in accordance with the procedures in Annex 10?	□ Yes □ No	➢ Confirm documented evidence, including organizational structure and responsibilities	□ Satisfactory □ Not satisfactory		3

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
GM Doc 9734 Part A 3.4	ANS 7.373 Does the State employ sufficient qualified technical staff to carry out its safety oversight tasks over the entity operating CNS systems and facilities?	□ Yes □ No	➢ Review methodology established for determining staffing needs ➢ Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years ➢ Review ability to carry out all safety oversight related tasks including reviewing and revising regulations, training of technical staff, development of guidance material, issuance of approvals, conducting surveillance and resolving identified safety concerns	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.4	ANS 7.375 Are all the functions and responsibilities of the CNS inspectorate clearly defined?	□ Yes □ No	➢ Review document detailing functions and responsibilities of the CNS inspectorate	□ Satisfactory □ Not satisfactory		3

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)				
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.377 Have job descriptions been developed for CNS inspectorate staff?	□ Yes □ No	➢ Review job descriptions for CNS inspectorate staff	□ Satisfactory □ Not satisfactory	3
GM Doc 9734 Part A 3.5	ANS 7.379 Has the State established minimum qualifications and experience requirements for CNS inspectorate staff?	□ Yes □ No	➢ Review qualifications and experience criteria established for technical and managerial posts	□ Satisfactory □ Not satisfactory	4
GM Doc 9734 Part A 3.5	ANS 7.381 Has the State developed a formal training programme detailing what type of training should be provided to its CNS inspectorate staff?	□ Yes □ No	➢ Review contents of training programme ➢ Confirm inclusion of initial, OJT, recurrent and specialized training including time periods to be provided, as applicable	□ Satisfactory □ Not satisfactory	4
GM Doc 9734 Part A 3.5	ANS 7.383 Does the State develop a periodic training plan detailing and prioritizing what type of training will be provided during the established period?	□ Yes □ No	➢ Review most recent training plan	□ Satisfactory □ Not satisfactory	4

	State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.5	ANS 7.385 Is the training programme appropriately implemented for CNS inspectorate staff?	□ Yes □ No	➢ Verify that the type and frequency of training provided (initial, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5.2	ANS 7.387 Are CNS inspectorate staff required to satisfactorily complete OJT prior to being assigned tasks and responsibilities?	□ Yes □ No	➢ Review requirement for the provision of OJT ➢ Verify that OJT is provided by an experienced, senior inspector	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.389 Does the CNS inspectorate have a system for the maintenance of training records for its technical staff?	□ Yes □ No	➢ Review instruction or requirement for the establishment and maintenance of training records ➢ Verify training records are systematically retained	□ Satisfactory □ Not satisfactory		4

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.8	ANS 7.391 Does the State effectively conduct oversight over the entity operating CNS systems and facilities?	□ Yes □ No	➢ Confirm inspection procedures and inspection reports ➢ Review checklist used by inspectorate staff ➢ Review inspection schedules ➢ Confirm that facilities and staff of entity are included	□ Satisfactory □ Not satisfactory		7
STD A10 Vol. I 2.7 GM Doc 8071 Vol. I C1 to C7	ANS 7.393 Does the State ensure that requirements for flight inspection are established and periodical flight inspections are provided for radio navigation aids?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review flight inspection regulations and procedures ➢ Verify flight inspection reports	□ Satisfactory □ Not satisfactory		7
GM Doc 9734 Part A 3.9	ANS 7.395 Has the State established a mechanism/system with time frame for elimination of deficiencies identified by CNS inspectorate staff?	□ Yes □ No	➢ Review list of deficiencies which have been identified by inspection and remedial action planned/taken ➢ Review problems encountered	□ Satisfactory □ Not satisfactory		8

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
	ANS 7.400 – Communications, navigation and surveillance (CNS) – Operational					
GM Doc 9734 Part A 3.7	ANS 7.401 Does the State ensure that the entity operating CNS systems and facilities has developed job descriptions for its technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented terms of reference and confirm rational application	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.7	ANS 7.403 Does the State ensure that the entity operating CNS systems and facilities has developed a training programme for its technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.8	ANS 7.405 Does the State ensure that the entity operating CNS systems and facilities maintains training records for its technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review training records	□ Satisfactory □ Not satisfactory		7

	State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
	ANS 7.410 – Meteorological services – Oversight					
STD A3 2.1.3	ANS 7.411 Is the MET authority of the State also the provider of MET services?	□ Yes □ No	➢ Review organizational chart and evidence of the established service	□ Satisfactory □ Not satisfactory		3
STD A3 2.1.4 GM Doc 9734 Part A 3.4	ANS 7.413 If not, has the MET authority of the State delegated the provision of the service to a non-governmental agency or another State?	□ Yes □ No	➢ Verify how the responsibility or authority has been delegated to another State or agency ➢ Ensure that the delegation is identified in the AIP, Appendix 1, GEN 1.1 ➢ Review the agreements between the State and the entity providing the service	□ Satisfactory □ Not satisfactory □ Not applicable		3
RP A3 4.2 & GM Doc 9377 App.2	ANS 7.415 Does the State ensure that an agreement has been established between ATS authorities and MET authorities for the provision of MET services?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify existence of any agreements between the two authorities ➢ Verify whether the agreement includes the calibration of MET equipment used by ATS	□ Satisfactory □ Not satisfactory		3

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A3 2.1.5 GM Doc 9734 Part A 3.4	ANS 7.417 Does the State ensure that the MET authority employs a sufficient number of qualified MET staff in the inspectorate?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review methodology established for determining staffing needs ➢ Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years ➢ Review ability to carry out all safety oversight related tasks including reviewing and revising regulations, training of technical staff, development of guidance material, issuance of approvals, conducting surveillance and resolving identified safety concerns	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.4	ANS 7.419 Are all the functions and responsibilities of the MET inspectorate clearly defined?	□ Yes □ No	➢ Review document detailing functions and responsibilities of the MET inspectorate	□ Satisfactory □ Not satisfactory		3

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.421 Have job descriptions been developed for MET inspectorate staff?	□ Yes □ No	➢ Review job descriptions for MET inspectorate staff	□ Satisfactory □ Not satisfactory	3
GM Doc 9734 Part A 3.5	ANS 7.423 Has the State established minimum qualifications and experience requirements for MET inspectorate personnel?	□ Yes □ No	➢ Review qualifications and experience criteria established for technical and managerial posts	□ Satisfactory □ Not satisfactory	4
GM Doc 9734 Part A 3.5	ANS 7.425 Has the State developed a formal training programme detaining what type of training should be provided to its MET inspectorate staff?	□ Yes □ No	➢ Review contents of training programme ➢ Confirm inclusion of initial, OJT, recurrent and specialized training including time periods to be provided, as applicable	□ Satisfactory □ Not satisfactory	4
GM Doc 9734 Part A 3.5	ANS 7.427 Does the MET authority develop a periodic training plan detailing and prioritizing what type of training will be provided during the established period?	□ Yes □ No	➢ Review most recent training plan	□ Satisfactory □ Not satisfactory	4

	State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.5	ANS 7.429 Is the training programme appropriately implemented for MET inspectorate staff?	□ Yes □ No	➢ Verify that the type and frequency of training provided (initial, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5.2	ANS 7.431 Are MET inspectorate staff required to satisfactorily complete OJT prior to being assigned tasks and responsibilities?	□ Yes □ No	➢ Review requirement for the provision of OJT ➢ Verify that OJT is provided by an experienced, senior inspector	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.433 Does the MET inspectorate have a system for the maintenance of training records for its technical staff?	□ Yes □ No	➢ Review instruction or requirement for the establishment and maintenance of training records ➢ Verify training records are systematically retained	□ Satisfactory □ Not satisfactory		4

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.8	ANS 7.435 Does the State effectively conduct safety oversight over the entity providing the MET service?	□ Yes □ No	➢ Confirm inspection procedures and inspection reports ➢ Review checklist used by inspectorate staff ➢ Review inspection schedules	□ Satisfactory □ Not satisfactory		7
GM Doc 9734 Part A 3.9	ANS 7.437 Has the State established a mechanism/system with time frame for elimination of deficiencies identified by MET inspectorate staff?	□ Yes □ No	➢ Review list of deficiencies which have been identified by inspection and remedial action planned/taken ➢ Review problems encountered	□ Satisfactory □ Not satisfactory		8
		**ANS 7.450 – Meteorological services – Operational**				
STD A3 2.2.1 RP 2.2.2 & 2.2.3	ANS 7.451 Does the State ensure that the entity providing the MET service has established a properly organized quality system?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence of established quality system which includes procedures, processes and resources	□ Satisfactory □ Not satisfactory		7

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A3 2.1.5 GM Doc 9734 Part A 3.4 & 3.7	ANS 7.453 Does the State ensure that the entity providing the MET service has developed job descriptions for its technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review job descriptions and confirm rational application	□ Satisfactory □ Not satisfactory		6
STD A3 2.1.5 GM Doc 9734 Part A 3.7	ANS 7.455 Does the State ensure that the entity providing the MET service has established a training programme for its technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.8	ANS 7.457 Does the State ensure that the entity providing the MET service maintains training records for its technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review training records or files	□ Satisfactory □ Not satisfactory		7

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
RP A3 4.6.1.2	ANS 7.459 Does the State ensure that the wind sensors for local routine reports are appropriately sited to give the best practicable indication of conditions along the runway/touchdown zone?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review the physical locations of the wind sensors to ensure that they are sited properly. Also see AIP GEN 3.5.3.	□ Satisfactory □ Not satisfactory		7
STD A3 7.1.1	ANS 7.461 Do MET watch offices issue SIGMET messages, including those for volcanic ash and tropical cyclones?	□ Yes □ No	➢ Review the three most recent SIGMET messages issued ➢ Where applicable, review an extract of staff instructions which cover the issuance of SIGMET messages for volcanic ash and tropical cyclones	□ Satisfactory □ Not satisfactory		5

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
STD A3 5.8 STD A11 2.19 PANS Doc 4444 4.12	ANS 7.463 Does the State ensure that provisions related to special air-reports, including those for volcanic ash, are being adhered to concerning their relay to the relevant MET offices?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify the existence of staff instructions at the ATS and MET units regulating the issuance of special air-reports ➢ Make sure that the specific case of volcanic ash is covered therein	□ Satisfactory □ Not satisfactory		6
STD A3 7.4.1	ANS 7.465 Does the State ensure that MET offices issue wind shear warnings for aerodromes where wind shear is considered as a safety factor?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify the existence of staff instructions concerning the issuance of wind shear warnings	□ Satisfactory □ Not satisfactory		6

State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)

ICAO ref.	Protocol question	Reply	Guidance for review of protocol question	Status of implementation	Evidence/Notes/Comments	CE
STD A3 4.4.1	ANS 7.467 Does the State ensure that the MET authority, in coordination with the ATS authority, has promulgated regulatory criteria for special observations?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Verify regulatory criteria ➢ Cross-check with ICAO Annex 3 compliance checklist	□ Satisfactory □ Not satisfactory		2
STD A3 4.1.3, 4.3.1, 4.3.2 & 4.4.2	ANS 7.469 Does the State ensure that the MET offices issue local routine and special reports?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review examples of the most recent local routine and special reports	□ Satisfactory □ Not satisfactory		6
STD A3 4.1.3, 4.3.1, 4.3.2, 4.4.2 & 6.2.1	ANS 7.471 Does the State ensure that the MET offices issue METAR, SPECI and TAF?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Request examples of METAR, SPECI and TAF issued over the last seven days	□ Satisfactory □ Not satisfactory		6
STD A3 3.3.2	ANS 7.473 Are MET offices readily accessible to provide briefing, consultation and flight documentation to flight crew members and/or other flight operations personnel?	□ Yes □ No	➢ Review the location and accessibility of the facility for provision of the flight documentation	□ Satisfactory □ Not satisfactory		6

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A3 4.5.1 & 11.1.9 App. 3 2.1.1, 2.1.2 & 3.1 App. 5 1.1 & 1.6 App. 6 1.1.1 & 1.2 App. 6 1.1.1 ,1.2, 2.1.1, 2.2, 5.1.1& 6.2.1	ANS 7.475 Does the State ensure that the following reports are issued in accordance with the format in Annex 3? 1. Local routine and local special reports 2. METAR and SPECI 3. TAF 4. SIGMET and AIRMET 5. Aerodrome warning and wind shear warning	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Compare with templates in Tables A3-1, A3-2, A3-4, A3-5, A5-1, A6-1, A6-2, A6-3 and A6-4 ➢ Check availability of reliable AFS communications means	□ Satisfactory □ Not satisfactory		6
	ANS 7.480 – Search and rescue – Oversight					
STD A12 2.1.1	ANS 7.481 Has the State established an entity which provides, on a 24-hour basis, search and rescue (SAR) services within its territory to ensure that assistance is rendered to persons in distress?	□ Yes □ No	➢ Review documented evidence of the establishment of the service which includes a legal framework ➢ Review organizational structure	□ Satisfactory □ Not satisfactory		3

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A12 2.1.1	ANS 7.483 If not, has the State arranged with another Contracting State or group of States to provide SAR services?	□ Yes □ No	➢ Verify how the responsibility or authority has been delegated to another Contracting State	□ Satisfactory □ Not satisfactory □ Not applicable		3
STD A12 2.1.1.2	ANS 7.485 Does the SAR services system include a legal framework, a responsible authority, organized available resources and a workforce skilled in coordination and operational functions?	□ Yes □ No	➢ Review State legislative documents, CAA structure, letters of agreement between service providers and training activities	□ Satisfactory □ Not satisfactory		3

| State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy) |

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.487 Does the State employ a sufficient number of qualified technical staff to carry out its safety oversight tasks over the RCC and, as appropriate, rescue sub-centre (RSC)?	□ Yes □ No	➢ Review methodology established for determining staffing needs ➢ Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years ➢ Review ability to carry out all safety oversight related tasks including reviewing and revising regulations, training of technical staff, development of guidance material, issuance of approvals, conducting surveillance and resolving identified safety concerns	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.4	ANS 7.489 Are all the functions and responsibilities of the SAR inspectorate clearly defined?	□ Yes □ No	➢ Review document detailing functions and responsibilities of the SAR inspectorate	□ Satisfactory □ Not satisfactory		3

	State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.4	ANS 7.491 Have job descriptions been developed for SAR inspectorate staff?	□ Yes □ No	➢ Review job descriptions of SAR inspectorate staff	□ Satisfactory □ Not satisfactory		3
GM Doc 9734 Part A 3.5	ANS 7.493 Has the State established minimum qualifications and experience requirements for SAR inspectorate personnel?	□ Yes □ No	➢ Review qualifications and experience criteria established for technical and managerial posts	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.495 Has the State developed a formal training programme detailing what type of training should be provided to its SAR inspectorate staff?	□ Yes □ No	➢ Review contents of training programme ➢ Confirm inclusion of initial, OJT, recurrent and specialized training including time periods to be provided, as applicable.	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.497 Does the State develop a periodic training plan detailing and prioritizing what type of training will be provided during the established period?	□ Yes □ No	➢ Review most recent training plan	□ Satisfactory □ Not satisfactory		4

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.5	ANS 7.499 Is the training programme appropriately implemented for SAR inspectorate staff?	□ Yes □ No	➢ Verify that the type and frequency of training provided (initial, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5.2	ANS 7.501 Are SAR inspectorate staff required to satisfactorily complete OJT prior to being assigned tasks and responsibilities?	□ Yes □ No	➢ Review requirement for the provision of OJT ➢ Verify that OJT is provided by an experienced, senior inspector	□ Satisfactory □ Not satisfactory		4
GM Doc 9734 Part A 3.5	ANS 7.503 Does the SAR inspectorate have a system for the maintenance of training records for its technical staff?	□ Yes □ No	➢ Review instruction or requirement for the establishment and maintenance of training records ➢ Verify training records are systematically retained	□ Satisfactory □ Not satisfactory		4

		State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)				
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
GM Doc 9734 Part A 3.8	ANS 7.505 Does the State effectively conduct safety oversight over the RCC and, as appropriate, RSC?	□ Yes □ No	➢ Confirm inspection procedures and inspection reports ➢ Review checklist used by inspectorate staff ➢ Review inspection schedules	□ Satisfactory □ Not satisfactory		7
GM Doc 9734 Part A 3.9	ANS 7.507 Has the State established a mechanism/system with time frame for elimination of deficiencies identified by SAR inspectorate staff?	□ Yes □ No	➢ Review list of deficiencies which have been identified by inspection and remedial action planned/taken ➢ Review problems encountered	□ Satisfactory □ Not satisfactory		8
	ANS 7.510 – Search and rescue – Operational					
STD A12 2.1.4 RP 2.1.5 & 2.1.6	ANS 7.511 Has the State established a joint RCC to coordinate aeronautical and maritime SAR operations, or otherwise, when separate aeronautical and maritime RCCs serve the same area, does the State ensure that there is closest practicable coordination between the centres?	□ Yes □ No	➢ Review the legislation which establishes a joint RCC ➢ Review the SAR organization ➢ When applicable, review the coordination process between the aeronautical and maritime RCCs	□ Satisfactory □ Not satisfactory		3

State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)						
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A12 2.3.1	ANS 7.513 Has the State established a RCC in each search and rescue region (SRR)?	□ Yes □ No	➢ Review the documentation to ensure that each SRR has a RCC	□ Satisfactory □ Not satisfactory □ Not applicable		3
STD A12 2.5.1 & 2.6.1	ANS 7.515 Has the State designated, as SAR units, elements of public or private services suitably located and equipped for SAR operations?	□ Yes □ No	➢ Review letters of designation/agreement and terms and conditions of SAR unit involvement ➢ Review list of equipments for SAR	□ Satisfactory □ Not satisfactory		3
STD A12 3.1.1 & 3.1.5	ANS 7.517 Does the State coordinate its SAR organization with those of neighbouring States?	□ Yes □ No	➢ Review international letters of agreement and national SAR plans	□ Satisfactory □ Not satisfactory		3
STD A12 3.1.3	ANS 7.519 Does the State permit, subject to such conditions as may be prescribed by its own authorities, entry into its territory of SAR units of other States for the purpose of searching for the site of aircraft accidents and rescuing survivors of such accidents?	□ Yes □ No	➢ Review international letters of agreement	□ Satisfactory □ Not satisfactory		2

**State XXX – Prepared by: XXX/Audit dates: …/…/… to …/…/… (dd/mm/yy)**

ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
RP A12 3.1.7	ANS 7.521 Does the State authorize its RCCs to provide, when requested, assistance to other RCCs, including assistance in the form of aircraft, vessels, persons or equipment?	□ Yes □ No	➢ Review standing orders to RCCs	□ Satisfactory □ Not satisfactory		3
STD A12 3.2.1	ANS 7.523 Has the State arranged for all aircraft, vessels and local services and facilities which do not form part of the SAR organization to cooperate fully with the latter in SAR and to extend any possible assistance to the survivors of aircraft accidents?	□ Yes □ No	➢ Review national SAR plan to confirm cooperation	□ Satisfactory □ Not satisfactory		3
STD A12 3.2.5	ANS 7.525 Has the State designated a SAR point of contact for the receipt of COSPAS-SARSAT distress data?	□ Yes □ No	➢ Review AIP (GEN 3.6)	□ Satisfactory □ Not satisfactory		3
STD A12 2.3.3	ANS 7.527 Does the State ensure that each RCC and, as appropriate, RSC is staffed 24 hours a day by trained and qualified personnel proficient in the use of the language used for radiotelephony communications?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review the training policy which confirms language proficiency	□ Satisfactory □ Not satisfactory		7

	State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)					
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A12 2.1.1.2	ANS 7.529 Has the State ensured that each RCC and RSC employ sufficient workforce skilled in coordination and operational functions?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented evidence	□ Satisfactory □ Not satisfactory		7
GM Doc 9734 Part A 3.4 & 3.7	ANS 7.531 Does the State ensure that each RCC and, if appropriate, RSC develop written job descriptions for each of their technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review job descriptions and confirm rational application	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.4 & 3.7	ANS 7.533 Does the State ensure that each RCC and, if appropriate, RSC establish a training programme for their staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training	□ Satisfactory □ Not satisfactory		6
GM Doc 9734 Part A 3.4 & 3.7	ANS 7.535 Does the State ensure that each RCC and, if appropriate, RSC maintain training records for their technical staff?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review training records or files	□ Satisfactory □ Not satisfactory		6

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
RP A12 2.3.4	ANS 7.537 Does the State ensure that RCC personnel involved in the conduct of radiotelephony communications are proficient in the use of the English language?	□ Yes □ No	➢ Review mechanism established to ensure effective implementation ➢ Review the policy that the English language proficiency is required in radiotelephony communications	□ Satisfactory □ Not satisfactory		6
STD A12 2.1.3	ANS 7.539 Has the State made arrangements for the use of SAR units and other available facilities to assist any aircraft or its occupants who are or appear to be in a state of emergency?	□ Yes □ No	➢ Review documented evidence, such as letters of agreement and terms and conditions of SAR unit involvement	□ Satisfactory □ Not satisfactory		3
RP A12 3.2.2	ANS 7.541 Has the State ensured the closest practicable coordination between the relevant aeronautical and maritime authorities to provide for the most effective and efficient SAR services?	□ Yes □ No	➢ Review national SAR plan and letters of agreement for indication of degree of cooperation established	□ Satisfactory □ Not satisfactory		3
STD A12 4.2.1	ANS 7.543 Has each RCC in the State prepared detailed plans of operation for the conduct of SAR operations within its SRR?	□ Yes □ No	➢ Review RCC plans of operation	□ Satisfactory □ Not satisfactory		5

**State <mark>XXX</mark> – Prepared by: <mark>XXX</mark>/Audit dates: <mark>…/…/…</mark> to <mark>…/…/…</mark> (dd/mm/yy)**
ICAO ref.	*Protocol question*	*Reply*	*Guidance for review of protocol question*	*Status of implementation*	*Evidence/Notes/Comments*	*CE*
STD A12 4.4	ANS 7.545 Does the State ensure that SAR personnel are regularly trained and that appropriate SAR exercises are arranged?	□ Yes □ No	➤ Review mechanism established to ensure effective implementation ➤ Review training schedule, SAR training syllabus, lesson plans and results of training	□ Satisfactory □ Not satisfactory		6

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