



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

USOAP Continuous Monitoring Approach (CMA) Workshop

Module 4

How to Conduct PQ Self-Assessment and Submit/Update Corrective Action Plans (CAPs)

Objective



The objective of this module is to explain:

- How to conduct PQ self-assessment; and
- How to submit and update CAPs.

Outline



- How to Conduct PQ Self-Assessment.
- How to Submit CAPs.
- How to Update CAPs.



How to Conduct PQ Self-Assessment

PQ Self-Assessment



- *PQ self-assessment* essentially means that States answer the Protocol Questions (PQs) on the CMA Online Framework (OLF) as a way to assess the state of their civil aviation safety oversight systems.
- Specifically, they:
 - Assess the “**Status of Implementation**” of each PQ (i.e. Satisfactory, Not Satisfactory or Not Applicable);
 - Provide “**Remarks**” to explain “Status”; and
 - Attach supporting “**Evidence**”.

Self-Assessment



PQ Self-Assessment



- Before conducting self-assessment on the OLF, States should implement their CAPs and update status of CAP implementation for each PQ finding.
- Through the “**Self-Assessment**” tool on the OLF, States can:
 - Indicate/update the status of implementation of each PQ;
 - Submit supporting evidence;
 - Conduct internal self-audits;
 - Prepare for ICAO USOAP CMA activities; and
 - Monitor their own civil aviation safety oversight systems.

PQ Self-Assessment



- As a priority, States' PQ self-assessment should focus on:
 - a) “Not Satisfactory” PQs from previous USOAP activity;
 - b) New PQs introduced through PQ amendments (classified as “undetermined PQs”);
 - c) Amended PQs which impact implementation status of PQs; and
 - d) PQs whose implementation status may have changed due to changes in States' aviation system, regulations and/or procedures.

After Self-Assessment...



- ICAO uses the results of a State's completed self-assessment to prepare for CMA activities.
- Through the CMA activities, ICAO reviews and validates a State's self-assessment to determine the *latest* level of efficient implementation (EI) of State's safety oversight capacity.
- ICAO will periodically revise the PQs in order to reflect amendments made to the referenced documents.
- It is important for States to always refer to the stated versions of the referenced documents.

How to Conduct PQ Self-Assessment



- Go to the USOAP CMA Online Framework (OLF) website using the following link:
www.icao.int/usoap.
- Click the **“Self-Assessment”** icon.

Self-Assessment



Conducting PQ Self-Assessment



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

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

Protocol Question (PQ) / Manage State Self-Assessment

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

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

PQ No.	Show/Hide Question	Details	Actions
1.001 LEG CE-1 S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	Translate
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?	The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However: a) _____ in the field of aerodromes, there has not been a systematic and timely amendment of the	Translate
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?		Translate
1.009 LEG CE-2 N/S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?		Translate
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?		Translate
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?		Translate
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director		Translate

View the toolbar and select the correct options to obtain the desired information, as shown here.

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

Reply to Protocol Question Status of Implementation
 Last Modified [Click To View CAP](#)

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

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

PQ Self-Assessment — for ICVM



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

Protocol Question (PQ) / Manage State Self-Assessment

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

- All
- All
- Satisfactory
- Not satisfactory
- Not applicable

States preparing for an ICVM should conduct a self-assessment on all “not satisfactory” PQs of selected audit area(s).

Select the option “Not satisfactory” to view the full list of “not satisfactory” PQs in the selected audit area.

PQ No.	Show/Hide Question	Status of Implementation by ICAO	CMA Protocols as of May 2013
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation, laws, regulations, rules, orders, etc. to add to the existing laws, regulations, rules, orders, etc.?	Reply to Protocol Question <input type="text" value=""/> Status of Implementation <input type="text" value="Not satisfact"/> CSA Audit Finding <input type="text" value="LEG/01"/> SSC <input type="checkbox"/>	Viewing ICAO the ICAO
1.005 LEG CE-1 S	Does the State provide for the introduction, adoption and subsequent promulgation of civil aviation regulations?	Progress Documented: <input type="text" value=""/> Translate	
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?	Evidence: <input type="text" value=""/> Translate	
1.009 LEG CE-2 N/S	Has the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?		
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?	Reply to Protocol Question <input type="text" value="Yes"/> Status of Implementation <input type="text" value="Satisfactory"/> Last Modified <input type="text" value="09/07/2013"/> Click To View CAP	Draft Copy <input checked="" type="checkbox"/>
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?	Remarks: 1.The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment. 2.Procedure ABC revised to verify all regulation(include aerodromes)remain up to date. 3.AIP revised and published with all significant differences included aerodromes.	
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director	Evidence: 1. www.futureland.com/regulations/aerodromes; Gazette N°1 2. Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; ...)	

PQ Self-Assessment — for Audit



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

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation Audit Area Audit Area Group Critical Element Critical Element Group
SSC New PQ/Finding No. [Clear](#)

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

Status of Implementation by ICAO

CMA Protocols as of May 2013

States preparing for an audit should conduct a self-assessment on all PQs.

Description:

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

Progress Documented:

Select the option "All" to view all PQs.

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

Reply to Protocol Question Status of Implementation

Last Modified [Click To View CAP](#)

Remarks:

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

Evidence:

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

Conducting PQ Self-Assessment



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

Protocol Question (PQ) / Manage State Self-Assessment

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

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

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

Status of Implementation by ICAO CMA Protocols as of May 2013

Reply to Protocol Question Status of Implementation CSA Audit Finding SSC

Activity Start Date End Date Report Publication Date

Description:

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

Progress Documented:

Evidence:

Select the desired PQ.

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

Reply to Protocol Question Status of Implementation

Last Modified [Click To View CAP](#)

Remarks:

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

Evidence:

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

Conducting PQ Self-Assessment



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

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

Protocol Question (PQ) / Manage State Self-Assessment

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

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

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

Status of Implementation by ICAO

CMA Protocols as of May 2013

Reply to Protocol Question Status of Implementation CSA Audit Finding SSC

Activity Start Date End Date Report Publication Date

Description:

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

Progress Documented:

Evidence:

Results of State Assessment--"Read/Write"

Draft Copy

Refer first to ICAO's comments from previous activity report in conducting self-assessment.

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

Click "Translate" button to obtain translation of text into desired ICAO language.

Translation of Text



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

Reply to Protocol Question Status of Implementation CSA Audit Finding SSC

Activity Start Date End Date Report Publication Date

Description:

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

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

Progress Documented:

Evidence:

Click to select the desired language.

The translated text will appear in the top box, while the text in the original language appears in the lower box.

Use the scroll bar to navigate up/down the textboxes.

Viewing Guidance and References

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

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

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation: All Audit Area: LEG Audit Area Group: All Critical Element: All Critical Element Group: All

SSC: All New Protocol Status

PQ No. Show/Hide Extended Columns Question

1.001
LEG
CE-1
S
Has the State promulgated legislation (including civil laws, decrees, resolutions to address its obligations as a signatory to the Chicago Convention?

1.005
LEG
CE-1
S
Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?

1.007
LEG
CE-2
S
Does the State's rule-making process ensure the timely promulgation of operating regulations in conformity with the Annexes?

1.009
LEG
C
N
Has the State developed documented procedures for the amendment of regulations?

To view guidance and references of selected PQ, double-click the PQ number (first column on left) and "Review Evidence & References" window will appear.



Review Evidence & Reference



Review Evidence:

1) Verify implementation of operations inspectors' procedures as part of the certification process. 2) Sample air operator's training manuals. 3) Sample ACAS training programme and records to confirm implementation.

Reference:

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

Translate

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

Progress Documented: Translate

Evidence: Translate

of State Assessment--"Read/Write"

Draft Copy

Protocol Question: Yes Status of Implementation: Satisfactory

Modified: 09/07/2013 [Click To View CAP](#)

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

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

Example



PQ No.	Question
4.223 OPS CE-6	Does the aircraft operations organization ensure that the air operator develops an ACAS training programme on ACAS-equipped aircraft for its pilots?

Review Evidence:

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

Reference

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

Review Evidence & Reference

 Review Evidence:
1) Verify implementation of operations inspectors' procedures as part of the certification process. 2) Sample air operator's training manuals. 3) Sample ACAS training programme and records to confirm implementation.

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

Conducting PQ Self-Assessment



For “Not Satisfactory” PQs, review the “Description” and “Progress Documented” under the “Status of Implementation by ICAO” toolbar.

Note.—“Satisfactory” PQs will not have this information.

SSC New Protocol Status PQ/Finding No.

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

Status of Implementation by ICAO CMA Protocols as of May 2013

Reply to Protocol Question Status of Implementation CSA Audit Finding SSC

Activity Start Date End Date Report Publication Date

Description:

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

Progress Documented:

Evidence:

Results of State Assessment--“Read/ Write” Draft Copy

Reply to Protocol Question Status of Implementation

Last Modified [Click To View CAP](#)

Remarks:

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

Evidence:

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

Viewing CAP



To view CAP of related PQ, click “Click To View CAP” link on the right. **OR**

009 G E-2 S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?
011 G E-2	Are the primary aviation legislation and the associated operating regulations available to the public?
013 G E-1	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?
015	Does the State's primary aviation legislation

Evidence: [Translate](#)

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

Reply to Protocol Question Status of Implementation

Last Modified [Click To View CAP](#)

Remarks:

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

Evidence:

1. [www.futureland.com/regulations/aerodromes](#); Gazette N°1
2. [Regulation ABC page 4 \(Not Effective Page\)](#); 5 (Record of Aerodrome regulations page 3, 4 and 5)

Scroll to bottom of page to view CAP inside “Corrective Action Plan” box.

1.019 LEG CE-1 S	If the State has transferred safety oversight tasks and/or responsibilities to a State/regional or supranational organization, is there a legal basis for this transfer?
---------------------------	--

Page size:

Displaying page 1 of 3 , items 1 to 8 of 23

Page: of 3

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

- [amendment.pdf](#) 37,050 bytes [Delete](#)
- [reg_Aerodrome.pdf](#) 22,905 bytes [Delete](#)
- [approval-page-proced_ABC.pdf](#) 33,475 bytes [Delete](#)
- [reg_Aerodrome.pdf](#) 22,905 bytes [Delete](#)
- [approval-page-proced_ABC.pdf](#) 33,475 bytes [Delete](#)
- [AIP.pdf](#) 13,597 bytes [Delete](#)
- [Arrêté N°722MTANAC du 18 mai 2012.pdf](#) 918,039 bytes [Delete](#)
- [Essais 1.pdf](#) 5,822 bytes [Delete](#)
- [decision 0831.pdf](#) 80,774 bytes [Delete](#)

Corrective Action Plan

Conducting PQ Self-Assessment

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

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

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

Remarks: CAS

Evidence:

Attachments:

[in appendix](#)

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Select "Yes" or "No" to "Reply to Protocol Question" based on whether or not the State has responded to the relevant PQ.

Indicate the State's status of implementation for said PQ.

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

Providing Remarks...



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

Protocol Question (PQ) / Manage State Self-Assessment

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

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

PQ No.	Show/Hide Question	Description	Translate
1.001 LEG CE-1 S	Has leg...	to address its obligations as a signatory to the Chicago Convention?	<input type="button" value="Translate"/>
1.005 LEG CE-1 S	Do pr...	sub...	
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?		
1.009 LEG CE-2 N/S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?		
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?		
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?		
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director		

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

Reply to Protocol Question Status of Implementation

Last Modified [Click To View CAP](#)

Remarks:

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

Evidence:

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

Use the guidance in the “Review Evidence & References” box to prepare and compose “Remarks” to explain “Status of Implementation”.

In the “Remarks” box, provide **one sentence** to describe progress of implementation for each guidance element outlined in “Review Evidence & References”.

Providing Remarks...

Points to keep in mind when providing “**Remarks**”:

- The State should provide “**Remarks**” to explain the reason for the “**Status of Implementation**” (Satisfactory/Not satisfactory/Not applicable) of the pertinent PQ.
- The “**Remarks**” should respond, point-by-point and in a single sentence, to each of the corresponding guidance elements found in “**Review Evidence & References**”.
- If supporting evidence is attached, the State should provide detailed references, such as chapter, page, paragraph, etc.

Providing Evidence...



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

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation

SSC

If necessary, provide/attach evidence to support corresponding "Remarks" and guidance elements.

Include document name and specific reference(s). For large documents, include detailed references to chapters, sections, pages, etc.

PQ No.	Show/Hide Extended Columns Question	Status of Implementation by ICAO	CMA Protocols as of May 2013
1.001 LEG CE-1 S	Has leg lav to a the		<input type="text" value="SSC"/> <input type="text" value="15/06/2008"/>
1.005 LEG CE-1 S	Do pro sub reg		are for reviewing ICAO ences with the ICAO
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?		amendment of the
1.009 LEG CE-2 N/S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?		
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?		
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?		
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director		

Evidence:

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

Reply to Protocol Question Status of Implementation

Last Modified [Click To View CAP](#)

Remarks:

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

Evidence:

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

Completing PQ Self-Assessment



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

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

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

Remarks:

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

Evidence:

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

Attach evidence

Select **Upload Files** **Save as Draft** **Submit to ICAO**

1.pdf 536.056 bytes Manual Chapter 10, and checklist in appendix

Copies of references to be attached for each item of evidence.

Click **"Select"** to open window and select file for upload.

Click **"Upload Files"** to upload.

Until self-assessment is completed, save your work using the button **"Save as Draft"**.

Once self-assessment is fully completed, click **"Submit to ICAO"**.

Example of Completed Self-Assessment



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

Reply to Protocol Question Yes No Status of Implementation Satisfactory Not Satisfactory

Last Updated

Remarks

- CAA-AC-001
- prog-
- Inspe
- The A

Helpful Tips

Helpful Tips in Revising/Updating "Remarks":

- 1) Copy the original "Remarks" text to a WORD document.
- 2) Revise/update the original text as required.
- 3) In the "Remarks" box, add the date of submission.
- 4) Below the date, add the subject matter in CAPITAL LETTERS.
- 5) Copy and Paste the revised/updated text into the "Remarks" box.
- 6) Click "Save as Draft" to save your work.

Evidence:

- CAA-
- Operation Inspector manual, chapter 4, section 2
- The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1

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

Select

[Air Operator Certification Manual Chapter 10, and checklist in appendix 1.pdf](#) 536,056 bytes
[Delete](#)

[CAA-AC-OPS050 Ops Manual Section 9.3.2 - Copy.pdf](#) 536,056 bytes
[Delete](#)

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

Upload Files

Exporting Self-Assessment Checklist



Under “**Self-Assessment**” tab, scroll down and select “**Export Protocol Self-Assessment Checklist**”.

A screenshot of a web application interface. At the top, there is a navigation bar with several tabs: 'State Dashboard', 'Self-Assessment', 'PQ Findings', 'Corrective Action Plan (CAP)', and 'Mandatory Information Requests (MIR)'. The 'Self-Assessment' tab is highlighted in orange. Below it, a dropdown menu is open, showing three options: 'Manage State Self-Assessment', 'Export Protocol Self-Assessment Checklist', and 'Import Protocol Self-Assessment Checklist'. A blue arrow points to the 'Export Protocol Self-Assessment Checklist' option. Below the menu, there are several filter fields: 'Audit Area' (set to 'LEG'), 'Audit Area Group' (set to 'All'), 'Critical Element Group' (set to 'All'), 'SSC' (set to 'All'), 'New Protocol Status' (set to 'All'), and 'State Acceptance' (set to 'All'). There are also 'Clear' and 'Search' buttons.

List Of Not Satisfactory PQs

PQ No.	Question	Language
1.151	Has the State ratified Article 83 bis of the Chicago Convention and modified the primary aviation legislation	English

Protocol Finding

PQ No.	Reply to PQ
1.151	

Exporting Self-Assessment Checklist — “All Protocols”



To view all PQs, Click “All Protocols”.

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

Protocol Questions (PQ) / Export State Self-Assessment

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

All Protocols Only Not satisfactory Protocols

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

Exporting Self-Assessment Checklist — “Only Not satisfactory PQs”



To view “Not Satisfactory” PQs only,
click “Only Not satisfactory Protocols”.

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

Protocol Questions (PQ) / Export State Self-Assessment

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

All Protocols Only Not satisfactory Protocols

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

Refresh Submit

Exporting Self-Assessment Checklist — Selected PQs



To view PQs of a particular audit area (1 area at a time), check box next to selected audit area.

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

Protocol Questions (PQ) / Export State Self-Assessment

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

All Protocols Only Not satisfactory Protocols

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

Refresh Submit

Exporting Self-Assessment Checklist



Once PQ selection is made, click “**Submit**” to download file.

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

Protocol Questions (PQ) / Export State Self-Assessment

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

All Protocols Only Not satisfactory Protocols

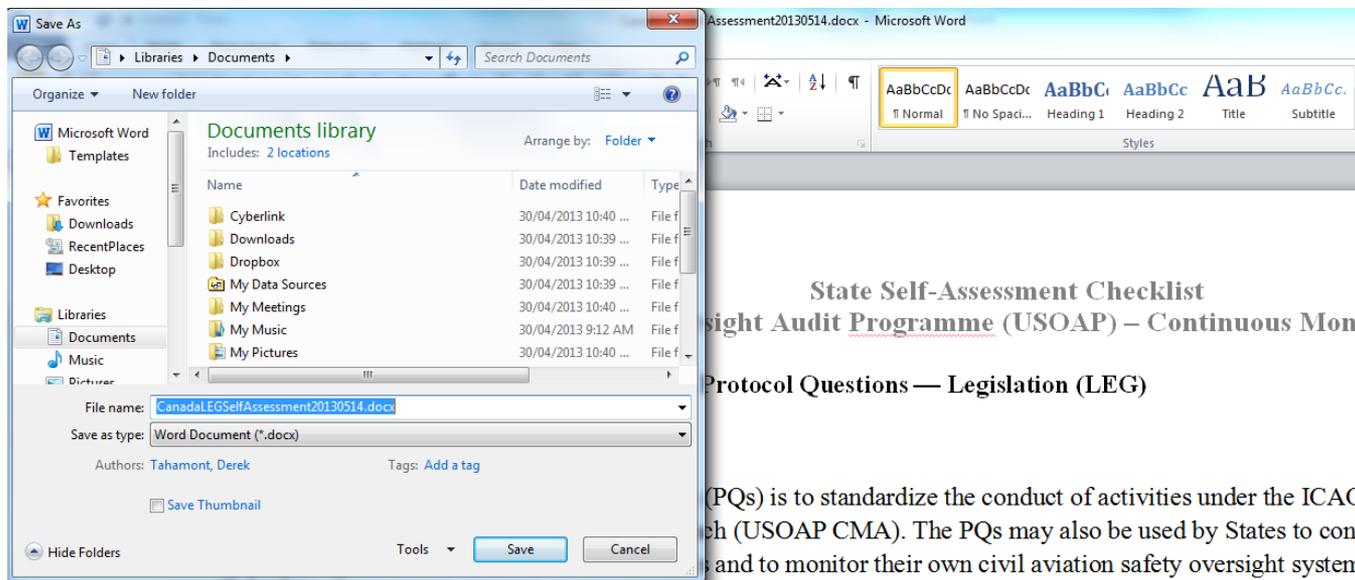
	Code	Description	Is Locked By State
<input type="checkbox"/>	LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input checked="" type="checkbox"/>	ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/>	PEL	personnel licensing and training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

Refresh Submit

!!! Wait a few seconds for the file to download, depending on the Internet speed. DO NOT press the “**Submit**” button twice.

Exporting Self-Assessment Checklist

Save the file in the desired location for use.



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

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

Exporting Self-Assessment Checklist

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

 The export feature is utilized for the completion of the self-assessment protocol questions offline.

 **Warning:** The Unlock feature should only be used to unlock the self-assessment when the original exported document has been lost or there is no need to import the document back into the OLF. The result of unlocking an exported document causes the exported file to become obsolete and cannot be imported into the OLF.

 The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native "docx" file format when saving. The exported file should not be merged or modified.

 All Protocols Not satisfactory Protocols based on last ICAO activity
 Include SSP Protocols

	Code	Description	Is Locked	Exported	Imported User Email
<input type="checkbox"/>	LEG	Primary aviation legislation and civil aviation regulations	<input type="checkbox"/>		
<input type="checkbox"/>	ORG	Civil aviation organization	<input checked="" type="checkbox"/>		
			Unlock		
<input type="checkbox"/>	PEL	Personnel licensing and training	<input checked="" type="checkbox"/>		
			Unlock		
<input type="checkbox"/>	OPS	Aircraft operations	<input checked="" type="checkbox"/>		
			Unlock		
<input type="checkbox"/>	AIR	Airworthiness of aircraft	<input checked="" type="checkbox"/>		
			Unlock		
<input type="checkbox"/>	AIG	Aircraft accident and incident investigation	<input checked="" type="checkbox"/>		
			Unlock		
<input type="checkbox"/>	ANS	Air navigation services	<input checked="" type="checkbox"/>		
			Unlock		
<input type="checkbox"/>	AGA	Aerodromes and ground aids	<input checked="" type="checkbox"/>		
			Unlock		

"Unlock" Exports that will not be re-imported into system.

[Refresh](#)

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Importing Self-Assessment Checklist



Under “**Protocol Question (PQ)**” tab, scroll down and select “**Import Protocol Self-Assessment Checklist**”.

The screenshot shows the ICAO system interface. At the top, there are navigation tabs: State Dashboard, Protocol Question (PQ), Finding & Recommendation (F&R), Corrective Action Plan (CAP), and User Management. The 'Protocol Question (PQ)' tab is active, and a dropdown menu is open, showing three options: Manage State Self-Assessment, Export Protocol Self-Assessment Checklist, and Import Protocol Self-Assessment Checklist. A blue arrow points to the 'Import Protocol Self-Assessment Checklist' option. Below the dropdown, there are filters for 'Audit Area Group' (set to All) and 'Critical Element' (set to All). The main content area displays a table of Protocol Questions (PQ) and a right-hand panel for the 'Status of Implementation by ICAO'.

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

Status of Implementation by ICAO

Reply to Protocol Question: Status of Implementation: Satisfactory

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

Description:

Progress Documented:

Evidence:

Importing Self-Assessment Checklist



Click “**Select**” to open window and select file to be imported.

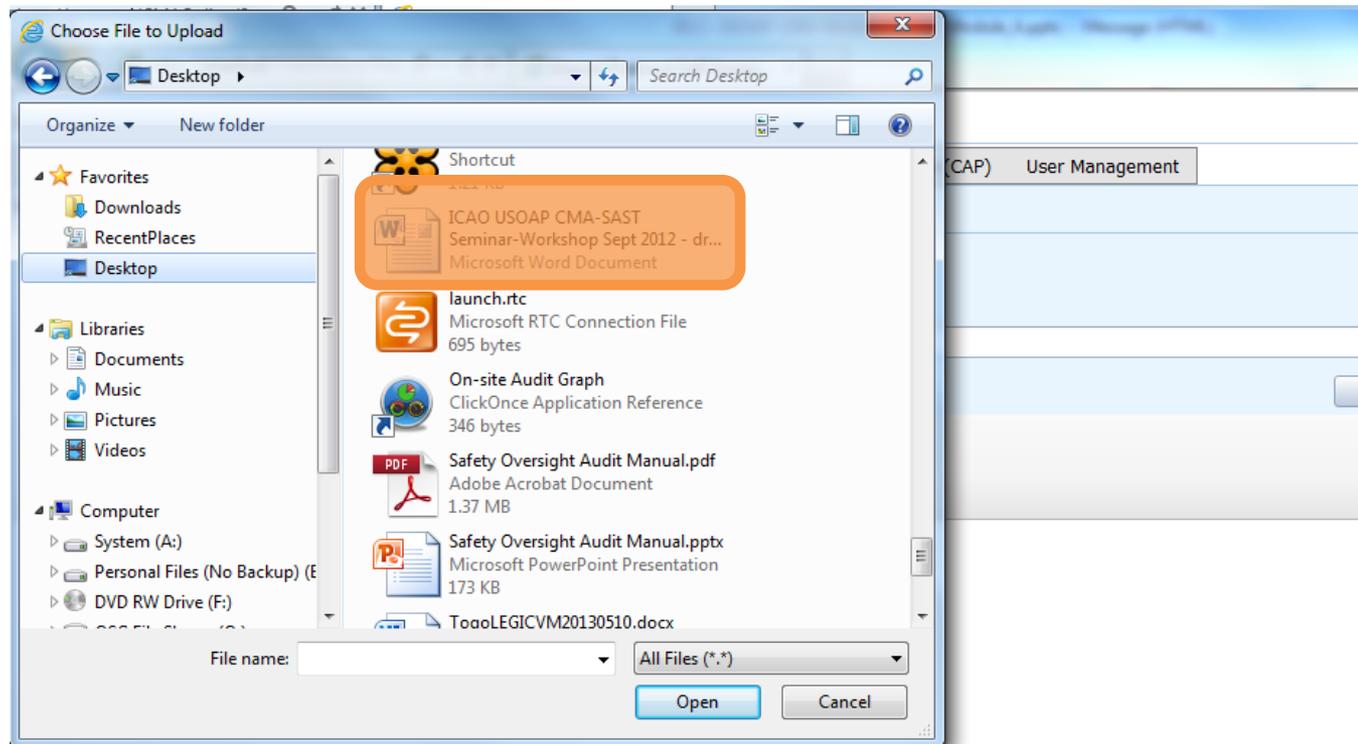
Browse and Select PQ file to import



Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist Override all duplicated exported document for the same activity

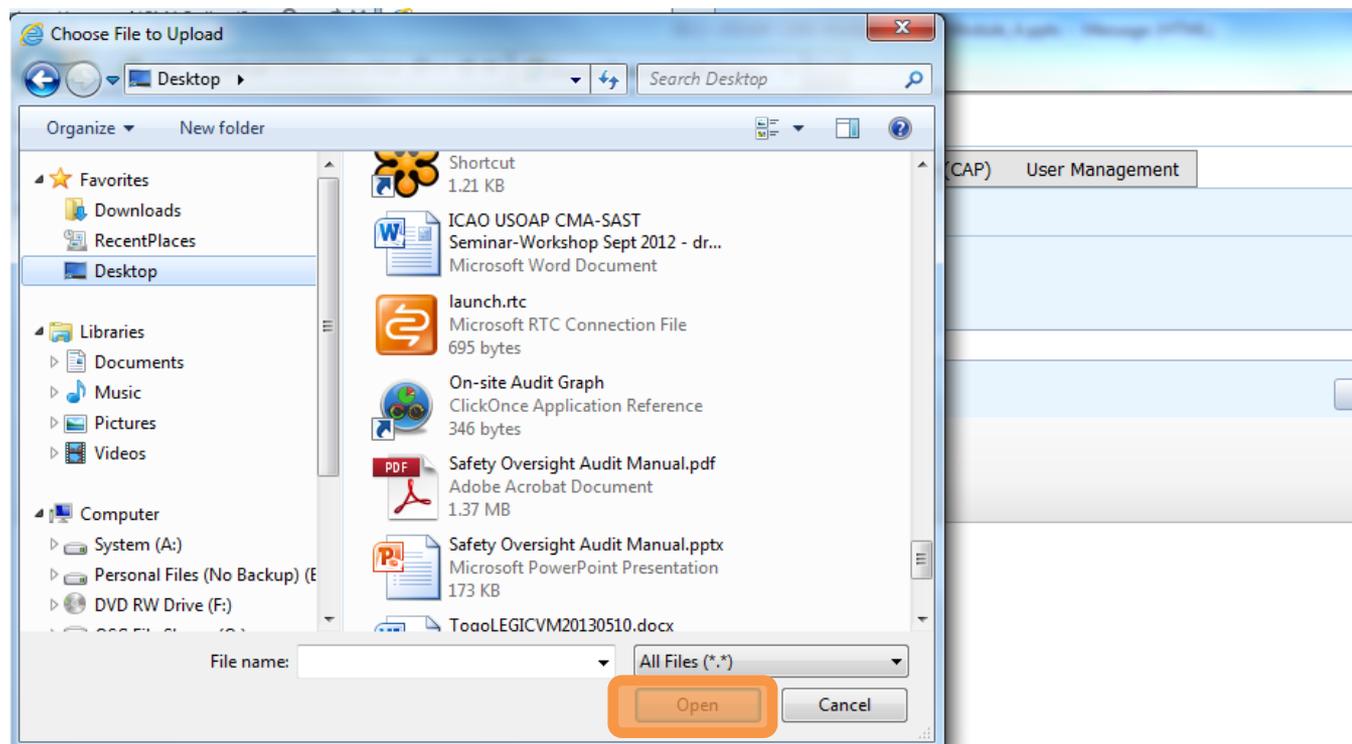
Importing Self-Assessment Checklist

Select file to be imported and close window.



Importing Self-Assessment Checklist

Click “Open” to import the file.



Importing Self-Assessment Checklist

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



The Import feature is utilized to import Self-Assessment protocol questions that have been documented offline, if you select the 'Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist' option, the audit area will be kept locked for future imports.

Only Audit Area marked as 'Is Locked' can be imported.



The exported document should have only been edited using Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native "docx" file format when saving. The exported file should not be merged or modified.

Code	Description	Is Locked
LEG	Primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
ORG	Civil aviation organization	<input type="checkbox"/>
PEL	Personnel licensing and training	<input type="checkbox"/>
OPS	Aircraft operations	<input type="checkbox"/>
AIR	Airworthiness of aircraft	<input type="checkbox"/>
AIG	Aircraft accident and incident investigation	<input type="checkbox"/>
ANS	Air navigation services	<input type="checkbox"/>
AGA	Aerodromes and ground aids	<input type="checkbox"/>

Remove "Lock" on files when importing back into system.

Browse and Select PQ file to import

Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist Override all duplicated exported document for the same activity

Submit

Importing Self-Assessment Checklist



Once filename appears in “**Select**” field, click “**Submit**”.

Browse and Select PQ file to import



ANB Telephone Directory.docx

Select

Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist Override all duplicated exported document for the same activity

Export/Import Self-Assessment Checklist



Points to keep in mind when *exporting/importing* files:

- If exported files are to be used solely for information purposes, make sure to manually *Unlock* the file after exporting.
- Do NOT make any modifications to the structure of the document, entering information ONLY in the prescribed areas.
- ⚠ *Changing the document structure will prevent you from importing said file back into the OLF.*
- Do NOT change the document name.
- Once all work on the document is completed, make sure to uncheck the **“Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist”** button.



How to Submit CAPs

How to Submit CAPs

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

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

Responsibility of State



State is required to:

- Provide a CAP that fully addresses the PQ Finding (Refer to the “Six Criteria for a Good CAP” in slide no. 44);
- Submit to ICAO the progress made in implementation of each CAP; and
- Once CAP is fully implemented, attached the relevant evidence.

Responsibility of ICAO



ICAO is required to:

- Provide status of submitted CAP (i.e. “CAP does not address the Finding”, “CAP partially addresses the finding”, “CAP fully addresses the finding”, and others);
- Provide status of CAP review (i.e. “not started” or “in progress” or “completed”); and
- Verify if a completed CAP that was submitted meets the 3 requirements for validation.

Six Criteria for a Good CAP (“RCDSRC”)



- 1) **Relevant:** CAP addresses the *issues* and *requirements* related to the finding and corresponding PQ and CE.
- 2) **Comprehensive:** CAP is *complete* and includes *all elements or aspects* associated with the finding.
- 3) **Detailed:** CAP outlines implementation process using *step-by-step approach*.
- 4) **Specific:** CAP identifies *who will do what, when* and in coordination with other entities, if applicable.
- 5) **Realistic:** In terms of *contents* and *implementation timelines*.
- 6) **Consistent:** In relation to *other CAPs* and with the *State's self-assessment*.

How to Submit CAPs



- Go to the USOAP CMA Online Framework (OLF) website using the following link: www.icao.int/usoap.
- Click “**CAP**” icon.



How to Submit CAPs



States are required to submit:

- Effective CAPs; and
- Provide regular CAP progress as required by the MOU.

How to Submit CAPs



- States should ensure that CAPs submitted:
 - Fully address PQ findings;
 - Are relevant, clear, detailed and comprehensive;
 - Have realistic target implementation dates; and
 - Work systematically towards implementing corrective actions.

How to Submit CAPs



Language: English State: Futureland

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

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

Review "Description" and "Progress Documented" for pertinent PQ finding from previous USOAP activity.

List of Not Satisfactory PQs
 Change page: Page 1 of 2, items 1 to 5 of 8.

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

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

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

"Preview mode" vs "Live mode"

Corrective Action Plan Draft Copy

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

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

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

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

How to Submit CAPs



Language: English State: Futureland

Welcome: Futureland Student Logout Home Help

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

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

Select "Corrective Action Plan (CAP)" tab.

List of Not Satisfactory PQs

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

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

Protocol Finding

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

Refer to guidance and references of selected PQ. Double-click PQ number (first column on left) and "Review Evidence & References" window will appear.

Corrective Action Plan

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

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

Review Evidence & Reference

Review Evidence:
1) Verify implementation of operations inspectors' procedures as part of the certification process. 2) Sample air operator's training manuals. 3) Sample ACAS training programme and records to confirm implementation.

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

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

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

How to Submit CAPs



Language: English State: Futureland

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Provide a realistic “Estimated Implementation Date (EID)” for each step of the CAP.

Enter the completion date when the CAP is completed.

Enter CAP in a step-by-step format, describing the action and responsible action office per step in clear, concise term.

State Dashboard Protocol Question (PQ) Find

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG

SSC: All PQ/Finding No.:

List of Not Satisfactory PQs

Change page: Page 1 of 1

Show/Hide Extended Columns

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

Corrective Action Plan Draft Copy

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

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

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

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

[Submit to ICAO](#)

How to Submit CAPs



Language: English State: Futureland

Welcome: Futureland Student Logout Home Help

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG Audit Area Group: A

SSC: All PQ/Finding No. Clear

List Of Not Satisfactory PQs

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

Show/Hide Extended Columns Question

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

1,025 LEG Has the State established and implemented procedures for identifying and notifying differences, if any, to

CAP fully addresses the finding.

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

Page: 1 of 2

Scroll down to the bottom of the page and click **“Self-Assessment”** link to open **“Self-Assessment”** box (read only).

Submit to ICAO even if action is not 100% completed so that ICAO can monitor the progress

Comments by ICAO HQ:

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

Self-Assessment

1,105 LEG CE-3 CAP: 100% CAP fully addresses the finding.

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

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

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

Example



List Of Not Satisfactory PQs

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

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

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

Protocol Finding
 Report No. 5453
 Activity: CSA
 Description: The Ministry of Transport has not initiated a special evaluation or imposed special operational restrictions in the field of aerodromes, there has not been a systematic and timely amendment of the Progress Documented:

Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?	Verify that the documents are carried on board aircraft in compliance with Article 29 of the Chicago Convention. Verify that the documents are carried on board aircraft in compliance with Article 29 of the Chicago Convention. Verify that the documents are carried on board aircraft in compliance with Article 29 of the Chicago Convention.
Are significant differences stated in the AIP as per the requirements of Annex 15?	Review of AIP and significant differences. Review of AIP and significant differences. Review of AIP and significant differences.

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

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

Reference
 Doc 9760 Vol. II Part B

Corrective Action Plan, Action

Add new record

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

Example



Language: English State: Futureland

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub

SSC: All PQ/Finding No.

“Description” and “Progress Documented” by ICAO:

List Of Not Satisfactory PQs

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

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

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

Progress Documented:

Corrective Action Plan

Draft Copy

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

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

Rich text editor area with formatting tools (bold, italic, underline, link, unlink, list, indent, outdent, undo, redo, print, print preview, save, save as draft, delete, insert link, insert image, insert table, insert video, insert audio, insert iframe, insert table of contents, insert table of contents, insert table of contents).

[Submit to ICAO](#)

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

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

Example of Completed CAP



Language: English State: Futureland

Welcome: Futureland Student [Logout](#) [Home](#) [Help](#)

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

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

SSC: All

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

Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
1	Programme AIR participation in all future reliability meetings held by the air operators.	AID		25/6/2013			Completed
2	Collect and analyse existing reports from reliability monitoring.	AID		13/7/2013			Completed
3	Establish a process to ensure the initiation of special evaluation or imposition of operational restrictions in cases of degraded level of safety.	AID		11/10/2013			25%
4	Define possible operational restrictions to be taken.	AID		11/10/2013			Not started

Has the State established a policy and procedures for their issuance?

Has the State established a policy and procedures for enforcement?

Has the State established official inspectorate staff credentials?

Submit to ICAO

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

+ Add new record

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

How to Add New CAPs



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

1 - Select PQ for which a new CAP is to be added.

2 - Click "Add new record".

Corrective Action Plan, Action Items:

+ Add new record Refresh

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

Corrective Action Plan Draft Copy

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

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

How to Add New CAPs

Fill in the following fields:

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

Corrective Action Plan, Action Items:

+ Add new record Refresh

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
Step Number *		Action Office *		Est, Imp. Date *	Rev. Imp. Date	Date Of Completion	Progress Status
							Not started
Proposed Action *:							
Evidence Reference:							

No records to display

Save As Draft Close

How to Add New CAPs

Fill in the following fields:

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

Corrective Action Plan, Action Items:

+ Add new record Refresh

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
Step Number *	<input type="text"/>	Est, Imp. Date *	<input type="text"/>	<input type="text"/>	Rev. Imp. Date <input type="text"/>	Date Of Completion <input type="text"/>	Progress Status Not started
Action Office *:							
Proposed Action *:							
<div style="border: 1px solid orange; height: 100px;"></div>							
Evidence Reference:							
<div style="border: 1px solid orange; height: 100px;"></div>							
							<input type="button" value="Save As Draft"/> <input type="button" value="Close"/>

No records to display.

How to Add New CAPs

Evidence Reference:

Click this link to provide self-assessment and attach evidence.

Provide additional comments, if necessary. This field is optional.

Corrective Action Plan

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

Est.Imp.Date

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



How to Update CAPs

How to Update CAPs

Click "Edit" to revise/update CAPs.

Select the PQ whose CAP is to be revised/updated.

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

Corrective Action Plan Draft Copy

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

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

B I U

Submit to ICAO

- 5.005
AIR
CE-2
CAP:

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

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

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

0%
CAP
fully
addresses
the
finding.

How to Update CAPs

Fill in the following fields:

- **Step Number**: A CAP may have several steps based on the complexity of the action. Each action will require a separate step to facilitate CAP assessment and validation.
- **Revised Implementation Date**: Based on the CAP update, if the EID is no longer realistic, then a revised implementation date should be entered.
- **Date of Completion**: The date when the action was completed should be entered.
- **Progress Status**
- **Action Office**

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

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

Step Number * Est. Imp. Date * ev. Imp. Date Date Of Completion
 Progress Status
 Action Office *
 Proposed Action *:
 1. Develop procedure to ensure allocation of aircraft registration like ZS-PAN/SOS etc are not allocated - Action office: GM:AS - Estimated Implementation Date: Completed 2. Amend MOP - Action office: GM:AS - Estimated Implementation Date: Completed 3. MOP Approval - Action office: GM:AS - Estimated Implementation Date: Completed 4. Negotiate allocation of new registration marks iro ZS-PAN - Action office: GM:AS - Estimated Implementation Date: Completed 5. Negotiate allocation of new registration marks iro ZS-SOS - Action office: GM:ASO - Estimated Implementation Date: 3 April 2008
 Evidence Reference:

 Corrective Action Plan Draft Copy
 Est.Imp.Date Rev. Imp. Date Date Of Completion Progress Status 0%
 State Comment: 16/12/2011 [Click to Update PQ Status or Attach Evidence](#)

How to Update CAPs

Fill in the following fields:

- **Updated Proposed Action:** Make sure to provide a proposed action item for each corresponding step.
- **Evidence Reference:** Each reference should be precise and detailed (with chapter, section, paragraph, etc.).
- **Save as Draft**
- **Close:** To return to previous page and to edit other steps.
- **Submit to ICAO:** When all steps are fully edited and ready for submission.

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

+ Add new record

	Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete 1	1. Develop procedure to ensure allocation of aircraft registration like ZS-PAN/SOS etc are not allocated - Action office: GM:AS - Estimated Implementation Date: Completed 2. Amend MOP - Action office: GM:AS - Estimated Implementation Date: Completed 3. MOP Approval - Action office: GM:AS - Estimated Implementation Date: Completed 4. Negotiate allocation of new registration marks iro ZS-PAN - Action office: GM:AS - Estimated Implementation Date: Completed 5. Negotiate allocation of new registration marks iro ZS-SOS - Action office: GM:ASO - Estimated Implementation Date: 3 April 2008						Not started

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

Progress Status Not started

Action Office *

Proposed Action *:

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

Evidence Reference:

Save As Draft Close

Corrective Action Plan Draft Copy

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

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

Submit to ICAO

Note.— Evidence may be attached using the instructions mentioned previously.

Review



- How to Conduct PQ Self-Assessment.
- How to Submit CAPs.
- How to Update CAPs.

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



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THANK YOU