



**INTERNATIONAL CIVIL AVIATION ORGANIZATION**

*A United Nations Specialized Agency*

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

Module 4

How to Complete Protocol Questions (PQs)  
and How to Update Corrective Action Plans  
(CAPs)

# Objective



The objective of this module is to explain how to:

- Complete PQs; and
- Submit and update CAPs.

# Outline



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

# How to complete PQs

# How to complete PQs

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

# How to complete PQs



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

# How to complete PQs



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



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

# How to complete PQs



Protocol Question (PQ) / Manage State Self-Assessment

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

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

Status of Implementation by ICAO

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

| PQ No.                      | Show/Hide E<br>Question   |
|-----------------------------|---|
| 1.001<br>LEG<br>CE-1<br>S   | Has the S<br>(civil avia<br>code, etc   |
| 1.003<br>LEG<br>CE-1<br>N/A | 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<br>LEG<br>CE-1<br>S   | Does the primary aviation legislation provide for the introduction/adoption of air navigation regulations and the promulgation thereof?   |
| 1.007<br>LEG<br>CE-1<br>S   | At what level are the specific operating regulations promulgated?   |
| 1.009<br>LEG<br>CE-2<br>N/S | Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?    |
| 1.011<br>LEG<br>CE-2<br>S   | Are the primary aviation legislation and the associated operating regulations and rules available to the public?  |
| 1.013<br>LEG<br>CE-1<br>S   | Does the primary aviation legislation make provisions for the establishment of a civil aviation organization(s) and for the appointment of a Chief Executive Officer(s) (CEOs)? |
| 1.015<br>LEG<br>CE-1<br>S   | Has the State primary aviation legislation established clear delegation of authority to the head of the civil aviation organization(s)?   |

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: Yes | Status of Implementation: Satisfactory | Last Modified: 18/01/2013 | [Click To View CAP](#)

Remarks:  
 In accordance with National consultation Process for International Regulations, Futureland ensures that the amendment of specific regulations take into consideration the existing ICAO provisions and future amendments to ICAO annex

Evidence:  
 - National consultation Process for International Regulations  
 - Copies of national regulation that reflects the latest Annex amendments

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

Copy of National requirements that reflects the la 17,189 bytes [Delete](#)  
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# How to complete PQs



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

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

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

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

| PQ No.                      | Show/Hide Question | Description   |
|-----------------------------|--------------------|---|
| 1.001<br>LEG<br>CE-1<br>S   |                    | Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.)?  |
| 1.003<br>LEG<br>CE-1<br>N/A |                    | If the legislation is a...  |
| 1.005<br>LEG<br>CE-1<br>S   |                    | Does the State introduce, amend or repeal regulations and the promulgation thereof?   |
| 1.007<br>LEG<br>CE-1<br>S   |                    | At what level are the specific operating regulations promulgated?   |
| 1.009<br>LEG<br>CE-2<br>N/S |                    | Has the State established procedures for the amendment of its specific regulations taking into account...   |
| 1.011<br>LEG<br>CE-2<br>S   |                    | Are the operating...  |
| 1.013<br>LEG<br>CE-1<br>S   |                    | Does the primary aviation legislation make provisions for the establishment of a civil aviation organization(s) and for the appointment of a Chief Executive Officer(s) (CEOs)? |
| 1.015<br>LEG<br>CE-1<br>S   |                    | Has the State primary aviation legislation established clear delegation of authority to the head of the civil aviation organization(s)?   |

**Status of Implementation by ICAO**

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

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

Description:

Evidence:

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

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

Evidence:

- National consultation Process for International Regulations
- Copies of national regulation that reflects the latest Annex amendments

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

Copy of National requirements that reflects the la 17,189 bytes [Delete](#)  
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# How to complete PQs



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

Protocol Question (PQ) / Manage State Self-Assessment

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

Change page: 1 of 4, items 1 to 8 of 31. Satisfactory Not satisfactory Not applicable

| PQ No. | Question  | Status |
|--------|---|--------|
| 1.001  | Has the State promulgated primary aviation legislation?   | S      |
| 1.003  | If the State has not promulgated primary aviation legislation, what method is used to meet its obligations as a signatory of the Chicago Convention?                            | N/A    |
| 1.005  | Does the primary aviation legislation provide for the introduction/adoption of air navigation regulations and the promulgation thereof?   | S      |
| 1.007  | At what level are the specific operating regulations promulgated?   | S      |
| 1.009  | Does the State have a process for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?           | N/S    |
| 1.011  | Are the primary aviation legislation and the associated operating regulations and rules available to the public?  | S      |
| 1.013  | Does the primary aviation legislation make provisions for the establishment of a civil aviation organization(s) and for the appointment of a Chief Executive Officer(s) (CEOs)? | S      |
| 1.015  | Has the State primary aviation legislation established clear delegation of authority to the head of the civil aviation organization(s)?   | S      |

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

**Select the option "ALL" to view all PQs.**

Reply to Protocol Question: Yes Status of Implementation: Satisfactory Last Modified: 18/01/2013 [Click To View CAP](#)

Remarks: In accordance with National consultation Process for International Regulations, Futureland ensures that the amendment of specific regulations take into consideration the existing ICAO provisions and future amendments to ICAO annex

Evidence: - National consultation Process for International Regulations - Copies of national regulation that reflects the latest Annex amendments

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

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Save as Draft Submit to ICAO

# How to complete PQs



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

Show/Hide Extended Columns

|                             |   |
|-----------------------------|---|
| 1.009<br>LEG<br>CE-2<br>N/S | 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<br>LEG<br>CE-2<br>N/S | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?  |
| 1.027<br>LEG<br>CE-2<br>N/S | 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<br>LEG<br>CE-1<br>N/S | Has the State established a policy and procedures for enforcement?  |
| 1.105<br>LEG<br>CE-3<br>N/S | Has the State established official inspectorate staff credentials?  |
| 1.151<br>LEG<br>CE-1<br>N/S | If the State has ratified Article 83 bis of the Chicago Convention, has it modified the primary aviation legislation, related operating regulations and procedures to reflect the transfer of the duties and responsibilities as envisaged by Article 83 bis? |
| 1.201<br>LEG<br>CE-1<br>N/S | Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?  |
| 1.205<br>LEG<br>CE-2<br>N/S | Are significant differences stated in the AIP as per the requirements of Annex 15?  |

## Status of Implementation by ICAO

Reply to  SSC

Activity  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:

- a) in the field of aerodromes, there has not been a systematic and timely amendment of the national regulations to ensure the implementation of the provisions outlined in the ICAO Annexes;
- b) some existing differences have not yet been identified and notified to ICAO; and
- c) not all significant differences have been published in the Aeronautical Information Publication (AIP) of Futureland.

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:  
In accordance with National consultation Process for International Regulations, Futureland ensures that the amendment of specific regulations take into consideration the existing ICAO provisions and future amendments to ICAO annex

- Evidence:
- National consultation Process for International Regulations
  - Copies of national regulation that reflects the latest Annex amendments

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

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National Consultation Process for International Re 108,648 bytes [Delete](#)

# How to complete PQs



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

| PQ No.                      | Show/Hide Extended Columns Question   |
|-----------------------------|---|
| 1.009<br>LEG<br>CE-2<br>N/S | 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<br>LEG<br>CE-2<br>N/S | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?  |
| 1.027<br>LEG<br>CE-2<br>N/S | 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<br>LEG<br>CE-1<br>N/S | Has the State established a policy and procedures for enforcement?  |
| 1.105<br>LEG<br>CE-3<br>N/S | Has the State established official inspectorate staff credentials?  |
| 1.151<br>LEG<br>CE-1<br>N/S | If the State has ratified Article 83 bis of the Chicago Convention, has it modified the primary aviation legislation, related operating regulations and procedures to reflect the transfer of the duties and responsibilities as envisaged by Article 83 bis? |
| 1.201<br>LEG<br>CE-1<br>N/S | Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?  |
| 1.205<br>LEG<br>CE-2<br>N/S | Are significant differences stated in the AIP as per the requirements of Annex 15?  |

## Status of Implementation by ICAO

Reply to Protocol Question  Status of Implementation  CSA Audit Finding  SSC   
 Activity  Start Date  End Date  Report Publication Date

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 national regulations to ensure the implementation of the provisions outlined in the ICAO Annexes;  
 b) some existing differences have not yet been identified and notified to ICAO; and  
 c) not all significant differences have been published in the Aeronautical Information Publication (AIP) of Futureland.

Progress Documented:

Evidence:

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

Resolve Protocol Question  Yes  Status of Implementation  Last Modified  [Click To View CAP](#) Draft Copy

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

Evidence:

- National consultation Process for International Regulations
- Copies of national regulation that reflects the latest Annex amendments

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

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# How to complete PQs



Status of Implementation **Not satisfact** Audit Area **LEG** Audit Area Group **All** Critical Element **All** SSC **All** PQ/Finding No.  [Clear](#)

| PQ No.                      | Show/Hide Extended Columns | Question   |
|-----------------------------|----------------------------|--|
| 1.009<br>LEG<br>CE-2<br>N/S |                            | 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<br>LEG<br>CE-2<br>N/S |                            | Has the State established and implemented procedures for identifying and notifying differences with the ICAO SARPs?  |
| 1.027<br>LEG<br>CE-2<br>N/S |                            | 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<br>LEG<br>CE-1<br>N/S |                            | Has the State established a policy and procedures for enforcement?   |
| 1.105<br>LEG<br>CE-3<br>N/S |                            | Has the State established official inspection credentials?   |
| 1.151<br>LEG<br>CE-1<br>N/S |                            | If the State has ratified Annex 1 to the Chicago Convention, has it modified its aviation legislation, related operating procedures and procedures to reflect the training duties and responsibilities as envisaged in the Convention? |

**Status of Implementation by ICAO**

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

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

**Results of State Assessment--"Read/Write"** [Draft Copy](#)

Reply to Protocol Question **Yes** Status of Implementation **Satisfactory** Last Modified **18/01/2013** [Click To View CAP](#)

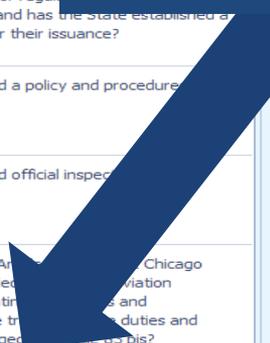
legislation established clear head of the civil aviation  
Relevant law or regulations Description of authority delegated Include all DGs/CEOs dealing with civil safety oversight

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

Add File Delete File

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



# How to complete PQs



## Example

### OPS PQ 4.223 (CE-6)

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

### Review evidence

- CAA requirements
- Air operator training manual
- ACAS training programme and records

### Reference

PANS Doc 8168, Part VIII, C3, Att. A

# How to complete PQs



Conduct self-assessment, taking into account the description and progress documented by ICAO.

Reply to the PQ with “Yes” or “No” depending on the State’s answer to the protocol questions

Take into consideration the guidance for review of the PQ.

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

|                             |  |   |
|-----------------------------|--|---|
| CE-2<br>N/S                 | consideration existing ICAO provisions and future amendments to ICAO Annexes?  | Activity <b>CSA Audit</b> Start Date <b>05/05/2008</b> End Date <b>16/05/2008</b> Report Publication Date <b>15/02/2008</b>   |
| 1.025<br>LEG<br>CE-2<br>N/S | Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?   | Description:<br>Reply to Protocol Question <b>Yes</b> Status of Implementation <b>Satisfactory</b> Last Modified <b>18/01/2013</b> <a href="#">Click To View CAP</a><br><b>In accordance with National consultation Process for International Regulations, Futureland ensures that the amendment of specific regulations take into consideration the existing ICAO provisions and future amendments to ICAO annex</b><br>Evidence:<br>- National consultation Process for International Regulations<br>- Copies of national regulation that reflects the latest Annex amendments<br>Attach evidence (e.g. PDF or XPS), limited to 10 files and maximum of 10 MB per file<br><input type="text"/> <input type="button" value="Select"/> <input type="button" value="Clear"/> <input type="button" value="xRemove"/><br><input type="button" value="Add File"/> <input type="button" value="Delete File"/><br><input type="button" value="Upload Files"/><br>Copy of National requirements that reflects the la 17,189 bytes <a href="#">Delete</a><br>Instruction on National consultation Process for.p 446,421 bytes <a href="#">Delete</a><br>National Consultation Process for International Re 108,648 bytes <a href="#">Delete</a> |
| 1.027<br>LEG<br>CE-2<br>N/S | Does the State ensure that its national policy and procedures for their issuance?  |   |
| 1.055<br>LEG<br>CE-1<br>N/S | Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?   |   |
| 1.105<br>LEG<br>CE-3<br>N/S | Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?   |   |
| 1.151<br>LEG<br>CE-1<br>N/S | If the State has established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention, does the State ensure that its national policy and procedures to reflect the transfer of the duties and responsibilities as envisaged by Article 83 bis? |   |
| 1.201<br>LEG<br>CE-1<br>N/S | Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?   |   |
| 1.205<br>LEG<br>CE-2<br>N/S | Are significant differences stated in the AIP as per the requirements of Annex 15?   |   |

# How to complete PQs



Conduct self-assessment taking into account description and the progress documented by ICAO.

When required, provide evidence for each guidance element.

Include the document name and specific reference(s).

|                             |   |  |
|-----------------------------|---|--|
| CE-2<br>N/S                 | consideration existing ICAO provisions and future amendments to ICAO Annexes?   | Activity <b>CSA Audit</b> Start Date <b>05/05/2008</b> End Date <b>16/05/2008</b> Report Publication Date <b>15/02/2008</b>  |
| 1.025<br>LEG<br>CE-2<br>N/S | Has the State established a process for reviewing ICAO SARPs?   | Description:<br>Future for reviewing ICAO SARPs with the ICAO SARPs.   |
| 1.027<br>LEG<br>CE-2<br>N/S | Does the regulation and/or regulation provide for the issuance of exemptions and has the State established a policy for their issuance?   | Regulations to ensure the implementation of the provisions outlined in the ICAO Annexes;<br>b) some existing differences have not yet been identified and notified to ICAO; and<br>Information Publication   |
| 1.055<br>LEG<br>CE-1<br>N/S | Has the State established a process for ensuring compliance with ICAO SARPs?  |  |
| 1.105<br>LEG<br>CE-3<br>N/S | Has the State established official inspectorate staff credentials?  | Evidence:  |
| 1.151<br>LEG<br>CE-1<br>N/S | If the State has ratified Article 83 bis of the Chicago Convention, has it modified the primary aviation legislation, related operating regulations and procedures to reflect the transfer of the duties and responsibilities as envisaged by Article 83 bis? | <b>Results of State Assessment--"Read/Write"</b> <span style="float:right">Draft Copy <input checked="" type="checkbox"/></span><br>Reply to Protocol Question <b>Yes</b> Status of Implementation <b>Satisfactory</b> Last Modified <b>18/01/2013</b> <a href="#">Click To View CAP</a>   |
| 1.201<br>LEG<br>CE-1<br>N/S | Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?  | Remarks:<br>In accordance with National consultation Process for International Regulations, Futureland ensures that the amendment of specific regulations take into consideration the existing ICAO provisions and future amendments to ICAO annex   |
| 1.205<br>LEG<br>CE-2<br>N/S | Are significant differences stated in the AIP as per the requirements of Annex 15?  | <div style="border: 2px solid orange; padding: 5px;"> <ul style="list-style-type: none"> <li>- National consultation Process for International Regulations</li> <li>- Copies of national regulation that reflects the latest Annex amendments</li> </ul> </div>  |
|                             |   | Attach evidence (e.g. PDF or XPS), limited to 10 files and maximum of 10 MB per file<br><input type="text"/> <input type="button" value="Select"/> <input type="button" value="Clear"/> <input type="button" value="xRemove"/><br><input type="button" value="Add File"/> <input type="button" value="Delete File"/><br><input type="button" value="Upload Files"/> <div style="float:right; font-size: small;">                 Copy of National requirements that reflects the la 17,189 bytes <a href="#">Delete</a><br/>                 Instruction on National consultation Process for.p 446,421 bytes <a href="#">Delete</a><br/>                 National Consultation Process for International Re 108,648 bytes <a href="#">Delete</a> </div> |
|                             |   | <input type="button" value="Save as Draft"/> <input type="button" value="Submit to ICAO"/>   |

# How to complete PQs



Results of State Assessment--"Read/Wr

## Example of self-assessment – Remarks box

Draft Copy

Reply to Protocol Question

Yes

Status of Implementation

Satisfactory

Last Modified

18/01/2013



[Click To View CAP](#)

Remarks:

15 March 2013

SUBJECT: INSPECTOR GUIDANCE UPDATE

- CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f), describes requirements for air operators to establish an ACAS programme
- 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:

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

Select

Clear

×Remove

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National Consultation Process for International Re 108,648 bytes [Delete](#)

Add File

Delete File

Upload Files

Save as Draft

Submit to ICAO

# How to complete PQs



Conduct self-assessment to respond to the finding taking into account the progress documented by ICAO.

When required, provide evidence for each guidance element.

Include the document name and specific reference(s).

|                             |   |   |
|-----------------------------|---|---|
| CE-2<br>N/S                 | consideration existing ICAO provisions and future amendments to ICAO Annexes?   | Activity <b>CSA Audit</b> Start Date <b>05/05/2008</b> End Date <b>16/05/2008</b> Report Publication Date <b>15/02/2008</b>   |
| 1.025<br>LEG<br>CE-2<br>N/S | Has the State established a process for reviewing ICAO SARPs?   | Description:<br>... ensure for reviewing ICAO SARPs. ... differences with the ICAO SARPs.   |
| 1.027<br>LEG<br>CE-2<br>N/S | Does the regulation and/or regulation provide for the issuance of exemptions and has the State established a policy for their issuance?   | Regulations to ensure the implementation of the provisions outlined in the ICAO Annexes;<br>b) some existing differences have not yet been identified and notified to ICAO; and<br>Information Publication  |
| 1.055<br>LEG<br>CE-1<br>N/S | Has the State established a process for identifying and addressing differences between national regulations and ICAO SARPs?   |   |
| 1.105<br>LEG<br>CE-3<br>N/S | Has the State established official inspectorate staff credentials?  | Evidence:   |
| 1.151<br>LEG<br>CE-1<br>N/S | If the State has ratified Article 83 bis of the Chicago Convention, has it modified the primary aviation legislation, related operating regulations and procedures to reflect the transfer of the duties and responsibilities as envisaged by Article 83 bis? | <b>Results of State Assessment--"Read/Write"</b> <span style="float:right">Draft Copy <input checked="" type="checkbox"/></span><br>Reply to Protocol Question <b>Yes</b> Status of Implementation <b>Satisfactory</b> Last Modified <b>18/01/2013</b> <a href="#">Click To View CAP</a><br><b>Remarks:</b><br>In accordance with National consultation Process for International Regulations, Futureland ensures that the amendment of specific regulations take into consideration the existing ICAO provisions and future amendments to ICAO annex<br><div style="border: 2px solid orange; padding: 5px; margin-top: 10px;"><ul style="list-style-type: none"><li>- National consultation Process for International Regulations</li><li>- Copies of national regulation that reflects the latest Annex amendments</li></ul></div> |
| 1.201<br>LEG<br>CE-1<br>N/S | Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?  |   |
| 1.205<br>LEG<br>CE-2<br>N/S | Are significant differences stated in the AIP as per the requirements of Annex 15?  |   |

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

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National Consultation Process for International Re 108,648 bytes [Delete](#)

# How to complete PQs



## Example of self-assessment – Remarks and Evidence

Results of State Assessment--"Read/Wr



Reply to Protocol Question

Yes

Status of Implementation

Satisfactory

Last Modified

18/01/2013



[Click To View CAP](#)

Remarks:

- CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f), describes requirements for air operators to establish an ACAS programme
- 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
- Copy of a completed applicable certification checklist

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

Select

Clear

×Remove

Copy of National requirements that reflects the la 17,189 bytes [Delete](#)  
Instruction on National consultation Process for.p 446,421 bytes [Delete](#)  
National Consultation Process for International Re 108,648 bytes [Delete](#)

Add File

Delete File

Upload Files

Save as Draft

Submit to ICAO

**SUGGESTION** For all revisions:

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

Remarks:

- CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f), describes requirements for air operators to establish an ACAS programme
- 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
- Copy of a completed applicable certification checklist

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

Copy of National requirements that reflects the la 17,189 bytes [Delete](#)  
Instruction on National consultation Process for .p 446,421 bytes [Delete](#)  
National Consultation Process for International Re 108,648 bytes [Delete](#)

# How to complete PQs



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

Draft Copy

Reply to Protocol Question

Yes

Status of Implementation

Satisfactory

Last Modified

18/01/2013



[Click To View CAP](#)

Remarks:

Indicate the State's status of implementation.

- CAA-AC-01
- Inspector gu
- The Air Ope

programme.

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

Evidence:

- CAA-AC-01
- Operation ins
- The Air Oper
- Copy of a co

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

Select

Clear

×Remove

Copy of National requirements that reflects the la 17,189 bytes [Delete](#)  
Instruction on National consultation Process for.p 446,421 bytes [Delete](#)  
National Consultation Process for International Re 108,648 bytes [Delete](#)

Add File

Delete File

Upload Files

Save as Draft

Submit to ICAO

# How to complete PQs



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

Draft Copy

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

### Remarks:

- CAA-AC-OPS050 Contents of an Operations Manual Section 9.
- Inspector guidance is detailed in Operation inspector Manual, ch
- The Air Operator Certification Manual Chapter 10, and checkli

Copies of the references to be attached for each evidence.

### 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

Upload all added files.

Attach evidence (e.g. PDF or XLS) limited to 20 files and maximum of 20 MB per file

Select

Clear

×Remove

Copy of National requirements that reflects the la 17,189 bytes [Delete](#)  
Instruction on National consultation Process for p 446 421 bytes [Delete](#)

Add File

Delete

Upload Files

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

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

Save as Draft

Submit to ICAO

# How to complete PQs



## Points to keep in mind when providing remarks:

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

# How to submit CAPs

# How to submit CAPs



States are required to submit:

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

# How to submit CAPs



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

# How to submit CAPs



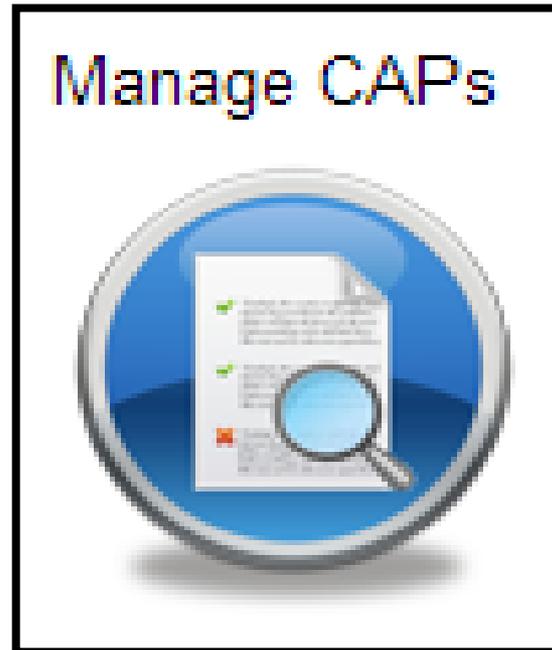
Why is it important for States to provide effective CAPs and CAP updates?

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

# How to submit CAPs



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



# How to submit CAPs



Language: English State: Futureland

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

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

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

List Of Not Satisfactory PQs

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

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

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

Description:  
 The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO...  
 the ICAO

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

**Corrective Action Plan** Draft Copy

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

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

**Corrective Action Plan, Action Items:** 31/12/2012 [Submit to ICAO](#)

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

# How to submit CAPs



Language: English State: Futureland

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

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

SSC: All PQ/Finding No.  Clear

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

## List Of Not Satisfactory PQs

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

| PQ No.   | Question   |
|--|--|
| 1.009<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>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<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%                                     | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?   |

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

## Corrective Action Plan

Est. Imp. Date: 31/07/2010 Rev. Imp. Date: 31/07/2012 Date of Completion: 23/10/2008 Progress Status: 33.3%  
[Save As Draft](#) [Click to Update PQ Status or Attach Evidence](#)

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

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

Submit to ICAO

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

# How to submit CAPs



Language: English State: Futureland

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

Enter the completion date if the CAP is already completed.

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

State Dashboard Protocol Question (PQ) Find

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEG

SSC: All PQ/Finding No.:

**List of Not Satisfactory PQs**

| PQ No.   | Question   | Description |
|--|--|-------------|
| 1.009<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>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<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>CAP fully addresses the finding. | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?   |             |
| 1.027<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>0%<br>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<br>LEG<br>CE-1<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully addresses the finding.   | Has the State established a policy and procedures for enforcement?   |             |
| 1.105<br>LEG<br>CE-3<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully                          | Has the State established official inspectorate staff credentials?   |             |

**Corrective Action Plan** Draft Copy

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

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

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

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

[Submit to ICAO](#)

# How to submit CAPs



Language: English State: Futureland

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

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

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

## List of Not Satisfactory PQs

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

Show/Hide Extended Columns

| PQ No.   | Question   |
|--|--|
| 1.009<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>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<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>CAP fully addresses the finding. | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?   |
| 1.027<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>0%<br>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<br>LEG<br>CE-1<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully addresses the finding.   | Has the State established a policy and procedures for enforcement?   |
| 1.105<br>LEG<br>CE-3<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully                          | Has the State established official inspectorate staff credentials?   |

## Protocol Finding

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

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

Description:

Enter any comments regarding CAP submission/update if required.

## 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 PO Status or Attach Evidence](#)

Rich text editor toolbar: Undo, Redo, Bold, Italic, Underline

[Submit to ICAO](#)

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

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

# How to submit CAPs



Language: English State: Futureland

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

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

SSC: All PQ/Finding No. Clear

### List Of Not Satisfactory PQs

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

Show/Hide Extended Columns Question

|   |  |
|---|--|
| 1,009<br>LEG<br>CE-2<br>CAP: 33.33%<br>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<br>LEG<br>CE-2<br>CAP: 33.33%<br>CAP fully addresses the finding. | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?   |
| 1,027<br>LEG<br>CE-2<br>CAP: 0%<br>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<br>LEG<br>CE-1<br>CAP: 100%<br>CAP fully addresses the finding.   | Has the State established a policy and procedures for enforcement?   |
| 1,105<br>LEG<br>CE-3<br>CAP: 100%<br>CAP fully                          | Has the State established official inspectorate staff credentials?   |

Provide any changes impacting the PQ self-assessment and attach evidence as necessary.

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

**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

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

# How to submit CAPs



Language: English State: Futureland

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

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

### List Of Not Satisfactory PQs

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

| PQ No.   | Question   | Addressed                           |
|--|--|-------------------------------------|
| 1,009<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>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? | <input checked="" type="checkbox"/> |
| 1,025<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%                                     | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?   | <input checked="" type="checkbox"/> |

**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. [ ]  
 Activity: CSA  
 Description: The Ministry of Transport has issued State letter SA 15/12. How to...  
 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 carried on board aircraft are valid. Check members' licence and station licence 6. |
| Are significant differences stated in the AIP as per the requirements of Annex 15?   | Review of AIP and significant differences. Qualifying significant differences.                               |

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

**Corrective Action Plan** Draft Copy

Est. Imp. Date: 31/07/2010

Date Comment (CAP update): [ ]

**Guidance**  
 Review examples of action taken.

**Reference**  
 Doc 9760, Vol II, Part B, 7.4

**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  |
|------|--|-----------------------|---|----------------|----------------|--------------------|-----------|
| 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 |

[Submit to ICAO](#) [Refresh](#)

# How to submit CAPs



Language: English State: Futureland

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

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub

SSC: All PQ/Finding No.

List of Not Satisfactory PQs

Change page: 1 2 3

Show/Hide Extended Question

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

## Description and progress documented by ICAO:

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

1,025  
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?

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:

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

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

**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](#)

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

Has the State established a policy and procedures for enforcement?

**Corrective Action Plan, Action Items:** 31/12/2012 [Submit to ICAO](#)

| + 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 |

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

Has the State established official inspectorate staff credentials?

# How to submit CAPs

## CAP

- Programme AIR participation in all future reliability meetings held by the air operators.  
Action office: AID; EID: 25/06/2013
- Collect and analyse existing reports from reliability monitoring.  
Action office: AID; EID: 13/07/2013
- Establish a process to ensure the initiation of special evaluation or imposition of operational restrictions in cases of degraded level of safety.  
Action office: AID; EID: 11/10/2013
- Define possible operational restrictions to be taken.  
Action office: AID; EID: 11/10/2013

Language: English State Dashboard Protocol Questions

Corrective Action Plan (CAP) / M

View Mode: Live mode - Pub

SSC: All PQ/Finding No.

**List Of Not Satisfactory PQs**

Change page: 1 2 3 4 5 6 7 8 9 10

Show/Hide Extended Question

|  |  |
|--|--|
| 1,009<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>CAP fully addresses the finding. | Has the State es amendment of its consideration ex amendments to   |
| 1,025<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>CAP fully addresses the finding. | Has the State es for identifying ar ICAO?  |
| 1,027<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>0%<br>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<br>LEG<br>CE-1<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully addresses the finding.   | Has the State established a policy and procedures for enforcement?   |
| 1,105<br>LEG<br>CE-3<br>CAP: <input checked="" type="checkbox"/><br>100%<br>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](#)

[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  |
|----------------------|------------------------|------|--|-----------------------|---|----------------|----------------|--------------------|-----------|
| <a href="#">Edit</a> | <a href="#">Delete</a> | 1    | The procedure "National consultation Process for International Regulations" has been revised and approved. | Ministry of Transport | National consultation Process for International Regulations | 30/07/2010     | 31/07/2012     | 23/10/2008         | Completed |
| <a href="#">Edit</a> | <a href="#">Delete</a> | 2    | In order to improve understanding and awareness by all persons involved in identifying and reporting       | Ministry of Transport | Instruction on National                                     | 23/10/2008     | 23/10/2008     |                    | Completed |

# How to submit CAPs



Language: English State: Futureland

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 PQ/Finding No.  [Clear](#)

## List of Not Satisfactory PQs

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

Show/Hide Extended Columns

| PQ No.   | Question   |
|--|--|
| 1.009<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>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<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>CAP fully addresses the finding. | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?   |
| 1.027<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>0%<br>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<br>LEG<br>CE-1<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully addresses the finding.   | Has the State established a policy and procedures for enforcement?   |
| 1.105<br>LEG<br>CE-3<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully                          | Has the State established official inspectorate staff credentials?   |

## Protocol Finding

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

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

Description:  
The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO

Attach evidence and review the PQ self-assessment, as required, by selecting the box below.

## 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  [Click to Update PQ Status or Attach Evidence](#)

**B** *I* U

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

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

# How to update CAPs

# How to update 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 Critical Element: All CAP Review Result: All CAP Review Status: All

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

## List of Not Satisfactory PQs

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

Show/Hide Extended Columns

| PQ No.   | Question   |
|--|--|
| 1.009<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>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<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>33.33%<br>CAP fully addresses the finding. | Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?   |
| 1.027<br>LEG<br>CE-2<br>CAP: <input checked="" type="checkbox"/><br>0%<br>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<br>LEG<br>CE-1<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully addresses the finding.   | Has the State established a policy and procedures enforcement?   |
| 1.105<br>LEG<br>CE-3<br>CAP: <input checked="" type="checkbox"/><br>100%<br>CAP fully addresses the finding.   | Has the State established official inspectorate staff credentials?   |

### Protocol Finding

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

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

Progress Documented:

### 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](#)

Click on "Edit" to provide updates.

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   |           |
|--|--------|-----------------|--|-----------------------|---|----------------|--------------------|------------|-----------|
| <input checked="" type="checkbox"/> 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 |
| <input checked="" type="checkbox"/> 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 update CAPs



## Fill in the following:

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

**Corrective Action Plan, Action Items:** 16/02/2012

| Step | Proposed Action   | Action Evidence Office Reference | Est. Imp. Date | Rev. Imp. Date | Date of Completion | Progress    |
|------|---|----------------------------------|----------------|----------------|--------------------|-------------|
| 1    | An analysis of the legal background taking into account the national regulations and EU-OPS has been carried out. According to EC Regulations exemptions can only be granted according to the procedure defined in Article 8 (2) and (3) of Regulation (EEC) No 3922/91 in the version of Commission Regulation (EC) No 859/2008. - Action office: Futureland Control - Estimated Implementation Date: Action Completed 16 October 2008 A procedure for the granting of exemptions to air operators will be developed, approved and distributed. - Action office: Futureland Control - Estimated Implementation Date: 31 March 2009 Concerned personnel will be trained on the content of the new procedure. - Action office: Futureland Control - Estimated Implementation Date: 30 April 2009 |                                  |                |                | 31/12/2011         | Not started |

Step Number \*  Est. Imp. Date \*

Rev. Imp. Date  Date Of Completion  Progress Status

Action Office \*:

Proposed Action \*:

Evidence Reference:

Save As Draft Close

# How to update CAPs



## Fill in the following:

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

**Corrective Action Plan, Action Items:** 16/02/2012

| Step                 | Proposed Action   | Action Evidence Office Reference | Est. Imp. Date | Rev. Imp. Date | Date of Completion | Progress    |
|----------------------|---|----------------------------------|----------------|----------------|--------------------|-------------|
| <a href="#">Edit</a> | 1 An analysis of the legal background taking into account the national regulations and EU-OPS has been carried out. According to EC Regulations exemptions can only be granted according to the procedure defined in Article 8 (2) and (3) of Regulation (EEC) No 3922/91 in the version of Commission Regulation (EC) No 859/2008. - Action office: Futureland Control - Estimated Implementation Date: Action Completed 16 October 2008 A procedure for the granting of exemptions to air operators will be developed, approved and distributed. - Action office: Futureland Control - Estimated Implementation Date: 31 March 2009 Concerned personnel will be trained on the content of the new procedure. - Action office: Futureland Control - Estimated Implementation Date: 30 April 2009 |                                  |                |                | 31/12/2011         | Not started |

Step Number \*  Est. Imp. Date \*

Rev. Imp. Date  Date Of Completion  Progress Status

Action Office \*:

Proposed Action \*:

**Proposed Action:**

An analysis of the legal background taking into account the national regulations and EU-OPS has been carried out. According to EC Regulations exemptions can only be granted according to the procedure defined in Article 8 (2) and (3) of Regulation (EEC) No 3922/91 in the version of Commission Regulation (EC) No 859/2008. - Action office: Futureland Control - Estimated Implementation Date: Action Completed 16 October 2008 A procedure for the granting of exemptions to air operators will be developed, approved and distributed. - Action office: Futureland Control - Estimated Implementation Date: 31 March 2009 Concerned personnel will be trained on the content of the new procedure. - Action office: Futureland Control - Estimated Implementation Date: 30 April 2009

**Evidence Reference:**

# Review



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

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