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”.

- States are encouraged to conduct self-assessments, especially following adoption of Annex 19 — *Safety Management*. 
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.
Conducting PQ Self-Assessment

View the toolbar and select the correct options to obtain the desired information, as shown here.
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.
States preparing for an audit should conduct a self-assessment on all PQs.

Select the option “All” to view all PQs.
## Conducting PQ Self-Assessment

### ICAO CMA Training Site - Any data updates are temporary and for practice only!!

<table>
<thead>
<tr>
<th>Status of Implementation</th>
<th>Audit Area</th>
<th>Audit Area Group</th>
<th>Critical Element</th>
<th>Critical Element Group</th>
</tr>
</thead>
<tbody>
<tr>
<td>All</td>
<td>All</td>
<td>All</td>
<td>All</td>
<td>All</td>
</tr>
</tbody>
</table>

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

<table>
<thead>
<tr>
<th>PQ No.</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>1.001</td>
<td>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?</td>
</tr>
<tr>
<td>1.005</td>
<td>Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?</td>
</tr>
<tr>
<td>1.007</td>
<td>Does the State’s rule making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?</td>
</tr>
<tr>
<td>1.009</td>
<td>Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their</td>
</tr>
<tr>
<td>1.011</td>
<td>Are the primary aviation legislation and the associated operating regulations available to the public?</td>
</tr>
<tr>
<td>1.013</td>
<td>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)?</td>
</tr>
<tr>
<td>1.015</td>
<td>Does the State’s primary aviation legislation clearly delegate authority to the Director</td>
</tr>
</tbody>
</table>

### Status of Implementation by ICAO

- **Activity**: CSA Audit
- **Start Date**: 05/03/2008
- **End Date**: 16/05/2008
- **Report Publication Date**: 15/06/2008

**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**: Yes

**Evidence**: Yes

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

- **Reply to Protocol Question**: Yes
- **Status of Implementation**: Satisfactory
- **Last Modified**: 05/07/2013

**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 regulations (including 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; rAerodrome regulations page 1 and 2).

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Select the desired PQ.
Conducting PQ Self-Assessment

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

Click “Translate” button to obtain translation of text into desired ICAO language.
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'y a pas eu une modification systématique et rapide des réglementations nciales pour assurer l'application des dispositions énoncées dans les annexes de l'OACI; b) des différences existantes n'ont pas encore été notifiées.

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:
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:
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
Example

<table>
<thead>
<tr>
<th>PQ No.</th>
<th>Question</th>
</tr>
</thead>
<tbody>
<tr>
<td>4.223</td>
<td>Does the aircraft operations organization ensure that the air operator</td>
</tr>
<tr>
<td>OPS</td>
<td>develops an ACAS training programme on ACAS-equipped aircraft for its</td>
</tr>
<tr>
<td>CE-6</td>
<td>pilots?</td>
</tr>
</tbody>
</table>

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

Note.—“Satisfactory” PQs will not have these information.
Viewing CAP

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

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

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Conducting PQ Self-Assessment

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...

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”.

[Image]

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3 February 2016
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.
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.
Completing PQ Self-Assessment

- 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.

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”.

Results of State Assessment--"Read/Write"

- 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
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.
Exporting Self-Assessment Checklist

Under “Protocol Question (PQ)” tab, scroll down and select “Export State Self-Assessment”.

![Diagram showing Protocol Questions (PQ) tab with options to manage state self-assessment and export state self-assessment, along with status of implementation information.]
Exporting Self-Assessment Checklist — “All Protocols”

To view all PQs, Click “All Protocols”.

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

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Is Locked By State</th>
</tr>
</thead>
<tbody>
<tr>
<td>LEG</td>
<td>primary aviation legislation and civil aviation regulations</td>
<td>☐</td>
</tr>
<tr>
<td>ORG</td>
<td>civil aviation organization</td>
<td>☐</td>
</tr>
<tr>
<td>PEL</td>
<td>personnel licensing and training</td>
<td>☐</td>
</tr>
<tr>
<td>OPS</td>
<td>aircraft operations</td>
<td>☐</td>
</tr>
<tr>
<td>AIR</td>
<td>airworthiness of aircraft</td>
<td>☐</td>
</tr>
<tr>
<td>AIG</td>
<td>aircraft accident and incident investigation</td>
<td>☐</td>
</tr>
<tr>
<td>ANS</td>
<td>air navigation services</td>
<td>☐</td>
</tr>
<tr>
<td>AGA</td>
<td>aerodromes and ground aids</td>
<td>☐</td>
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</tbody>
</table>
To view “Not Satisfactory” PQs only, click “Only Not satisfactory Protocols”.

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

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

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<td>FEL</td>
<td>personnel licensing and training</td>
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<tr>
<td>OFS</td>
<td>aircraft operations</td>
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<td></td>
</tr>
</tbody>
</table>
Exporting Self-Assessment Checklist

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

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

- LEG primary aviation legislation and civil aviation regulations
- ORG civil aviation organization
- FEL personnel licensing and training
- OFS aircraft operations
- AIR airworthiness of aircraft
- AIG aircraft accident and incident investigation
- ANS air navigation services
- AGA aerodromes and ground aids

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

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Is Locked</th>
<th>Exported</th>
<th>Imported User Email</th>
</tr>
</thead>
<tbody>
<tr>
<td>LEG</td>
<td>Primary aviation legislation and civil aviation regulations</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ORG</td>
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<td></td>
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<td></td>
</tr>
</tbody>
</table>

"Unlock" Exports that will not be re-imported into system.
Importing Self-Assessment Checklist

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

![Protocol Question (PQ) tab selected in the State Dashboard screen.](image)
Importing Self-Assessment Checklist

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

- 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
Select file to be imported and close window.
Click “Open” to import the file.
Remove "Lock" on files when importing back into system.
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

States are required to submit:

• Effective CAPs;
• Regular CAP updates; and
• CAP progress reports as required by the MOU.
States should ensure that CAPs submitted:
- Are relevant, clear, detailed and comprehensive;
- Have realistic target implementation dates;
- Fully address PQ findings; and
- Work effectively towards implementing corrective actions/mitigating measures.
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.
How to Submit CAPs

• Go to the USOAP CMA Online Framework (OLF) website using the following link: 
  www.icao.int/usop.

• Click “CAP” icon.
How to Submit CAPs

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

Select “Preview mode” to start preparing CAPs.
How to Submit CAPs

Select “Corrective Action Plan (CAP)” tab.

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

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
How to Submit CAPs

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.
How to Submit CAPs

Enter comments on CAP submission/update in “State Comments” box, if necessary. Completion of this field is optional.
How to Submit CAPs

Provide any changes impacting the PQ self-assessment and attach evidence as necessary. Save as draft if the information is not ready to be submitted to ICAO for assessment/validation. Submit to ICAO when action is completed and CAP fully addresses PQ finding.

Scroll down to the bottom of the page and click “Self-Assessment” link to open “Self-Assessment” box.

Submit to ICAO when action is completed and CAP fully addresses PQ finding.
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?

Guidance
Review examples of action taken.

Note. — If oversight of reliability programmes is not conducted, this PQ is automatically “Not satisfactory”.
“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.”
# Corrective Action Plan: 31/12/2012

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

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

### Corrective Action Plan

- Est. Imp. Date
- Rev. Imp. Date
- Date of Completion
- Progress Status

- 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.
**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.

```
<table>
<thead>
<tr>
<th>Proposed Action</th>
<th>Action Office</th>
<th>Evidence Reference</th>
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</thead>
<tbody>
<tr>
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</table>
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```
<table>
<thead>
<tr>
<th>Date of Completion</th>
<th>Progress Status</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Not started</td>
</tr>
<tr>
<td></td>
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<table>
<thead>
<tr>
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<td></td>
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</tbody>
</table>
```
How to Add New CAPs

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

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

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

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

Click “Edit” to revise/update CAPs.

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

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!