



ASSEMBLY — 38TH SESSION

TECHNICAL COMMISSION

Agenda Item 29: Aviation Safety — Monitoring and Analysis

**DEVELOPMENT OF A CLASSIFICATION SYSTEM FOR PROTOCOL QUESTIONS (PQ)
FROM USOAP-CMA AUDITS, BASED ON THE ASSOCIATED RISK**

(Presented by the Bolivarian Republic of Venezuela)

EXECUTIVE SUMMARY

The purpose of this working paper is to propose the development, via the International Civil Aviation Organization, of a Classification System for Protocol Questions (PQ) based on the associated risk, in order to provide States with a prioritization mechanism for addressing protocol questions and also to allow them to allocate resources effectively to improve operational safety.

Action: The Assembly is invited to:

- a) take note of the information presented in this working paper; and
- b) urge the ICAO to take the necessary action to develop a Classification System for Protocol Questions (PQ) based on the associated risk.

<i>Strategic Objectives:</i>	This working paper relates to the Safety Strategic Objective.
<i>Financial implications:</i>	Not applicable.
<i>References:</i>	Doc 9735, <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i> , Third Edition, 2011 Doc 9859, <i>Safety Management Manual</i> , Third Edition, 2013.

1. INTRODUCTION

1.1. Protocol Questions (PQ) are the primary tool used in the USOAP to assess the level of effective implementation of a State's operational safety oversight system based on eight critical elements, the Convention on International Civil Aviation, SARPs, PANS and related ICAO guidance material.

1.2. The main purpose of the audit protocol questionnaires is to standardize audits conducted as part of the USOAP. Each questionnaire includes a series of general Protocol Questions (PQ) that are sufficiently flexible to allow an appropriate assessment of the scope and complexity of the aeronautical activities of each State.

(2 pages)

¹ Spanish version provided by the Bolivarian Republic of Venezuela.

2. ANALYSIS

2.1. The PQs are the primary tool used during audits to assess a State's operational safety oversight capability according to the Convention on International Civil Aviation, SARPs, PANS and related ICAO guidance material.

2.2. In accordance with the provisions established by the ICAO, the use of standardized PQs ensures transparency, quality, reliability and fairness in the implementation and conduct of the activities of the CMA of the USOAP, as each PQ is linked to a Critical Element (CE), and when it is considered "not satisfactory," this is reflected in the related CE and the corresponding Lack of Effective Implementation (LEI) in the audit results.

2.3. Although Doc 9735 — *Universal Safety Oversight Audit Program Continuous Monitoring Manual* provides that "States are required to address, as a priority, PQs that have a not satisfactory status," up to now no explicit mechanism has been established for this purpose, other than the value judgment or competence of the staff responsible in each State.

2.4. In accordance with the foregoing, it is proposed that the ICAO should, with the support of experts from the signatory States, develop a Classification System for PQs based on the risk involved, in order to provide States with a prioritization mechanism for addressing protocol questions based on the direct impact they have on Operational Safety.

2.5. Based on the review of protocol questions (PQ) currently being conducted in view of the inclusion of the Operational Safety Management requirements applicable to the States, it could be worth including this classification activity in the work plan, which would allow two important aspects to be established. The first aspect is establishing which questions have the greatest effect or impact on operational safety for the State, and the second is determining the level of the LEI based on the weight given to each PQ, which is allocated on the basis of the associated risk. It is worth noting that the intention of this system is not to overlook compliance with some standards and recommended practices, but rather to provide a mechanism for prioritizing and subsequently effectively allocating resources, both human and financial, to improve operational safety.

3. CONCLUSION

3.1 Based on the foregoing and on the rise in Operational Safety Management on a global level, the purpose of this working paper is to propose that the ICAO should, with the support of experts from the signatory States, develop a Classification System for PQs based on the Associated Risk, in order to provide States with a prioritization mechanism for addressing protocol questions, which would improve the State's allocation of resources as well as operational safety.