



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

USOAP Continuous Monitoring Approach (CMA) Workshop

Module 3

Information on the amendments to the
Protocol Questions (PQs)

Objective



The objective of this module is to inform States about:

- the PQ revision;
- their applicability (May 2013);
- their impact on the LEI; and
- actions to be taken by States as a result of these changes.

Outline



- ☐ Overview of the PQ revision
- ☐ Change in PQ methodology
- ☐ Mapping between old and revised PQs
- ☐ The impact of PQ revision on PQ status
- ☐ Highlights of PQ changes per audit area
- ☐ Actions required by States

Overview of the PQ revision

Overview of the PQ revision



- In preparation for USOAP CMA, all PQs from the CSA cycle were revised and updated to reflect the latest changes in ICAO provisions.

Note: The review also took into consideration comments from States, ICAO (ROs, ANB, etc.), USOAP audit team members and external stakeholders.

- In the future, PQs will be reviewed and updated on a periodic basis to reflect emerging issues and changes in Annex provisions and guidance materials.

Overview of the PQ revision



These summary of amendments tables are now available on the OLF under the CMA Library icon.

Extract

SUMMARY OF AMENDMENTS – AIG PQs

(Rev. A; November 2012)

Note.— The PQs are listed here sequentially for convenience. This may differ from their order on the USOAP CMA Online Framework or in the master PQ documents.

PQ No. (Previous)	PQ No. (Current)	Type of Amendment				Description of Amendments
		New	Revised	Merged	Deleted	
6.003	6.003		✓			Additional guidance provided.
6.005	6.005		✓			Revised to align with PQs in other areas.
6.013	6.359			✓	✓	Deleted; merged with existing AIG PQ 6.359.
6.021	6.021		✓			Revised for consistency with other AIG PQs and additional guidance provided.
6.023	6.023		✓			Revised for consistency with other AIG PQs and additional guidance provided.
6.025	6.025		✓			Revised for consistency with other AIG PQs.
6.029	6.029		✓			Revised for clarity. Applicable CE changed (from CE-2 to CE-1).
6.031	6.031		✓			Revised for clarity. Applicable CE changed (from CE-2 to CE-1).
6.033	6.033		✓			Revised for clarity.
6.035	6.035		✓			Revised for clarity.
6.101	6.101		✓			Revised for clarity and additional guidance provided.

Overview of the PQ revision



- The new USOAP CMA has a total of 1016 PQs addressing the 8 audit areas.
 - Deleted PQs: 15
 - PQs merged with other PQs: 53
 - New PQs: 105
 - Several PQs revised
- 5 PQs without a CE assignment have been deleted.

Overview of the PQ revision



Revised PQ template layout

- Update of references (in “*ICAO Ref.*” column) to reflect recent changes to applicable ICAO documents;
- Enhanced contents in “Guidance for review of PQ” column; and
- Reassignment of CEs associated with some PQs.

USOAP CMA Protocol Questions — LEG LEG-9/19

State XXX – Prepared by: XXX /USOAP CMA Activity dates: .../.../... to .../.../... (dd/mm/yy)						
<i>ICAO Ref.</i>	<i>Protocol question</i>	<i>Reply</i>	<i>Guidance for review of protocol question</i>	<i>Status of implementation</i>	<i>Evidence/Notes/Comments</i>	<i>CE</i>
CC Art. 37 & 38 GM Doc 9734 Part A 3.3.3	LEG 1.025 Has the State developed and implemented procedures for identifying and notifying differences between ICAO Standards and national regulations, if any, to ICAO?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> ➤ Relevant policy and procedures used for notification of differences including for regulations adopted by reference ➤ Coordinate with all area team members that relevant procedures are developed at the level of each entity responsible for the relevant Annex ➤ This PQ is linked to the following PQs in other audit areas: PEL 3.007; OPS 4.005; AIR 5.007; AIG 6.017; ANS 7.013; and AGA 8.015. 	<input type="checkbox"/> Satisfactory <input type="checkbox"/> Not satisfactory		2

Other related PQs linked to this PQ

Change in PQ methodology (F&R based to PQ based)

Change in PQ methodology (F&R based to PQ based)



Old system

ORG/01			
Finding text	One CAP/CAP update including:	One CAP assessment	
The current organizational structure of the CAD is not determined in sufficient detail as to provide a clear definition of the regulatory and safety oversight functions and responsibilities related to PEL, IOS, AIR< ANS and AGA. In addition, the available organizational charts have not been approved yet.	Item 1		2.011
	.		3.101
	.		3.103
	.		4.027
	.		5.021
	.		5.023
	.		5.045
	.		7.031
	.		7.053
	.		7.203
	.		7.271
	.		7.327
	Item 20		...

New system

ORG/01			
ORG			
Finding text	One CAP/CAP update	One CAP assessment	2.011
PEL			
Finding text	One CAP/CAP update	One CAP assessment	3.101
...			
ANS			
Finding text	One CAP/CAP update	One CAP assessment	7.327

Mapping between old and revised PQs

PQs in CMA Online Framework



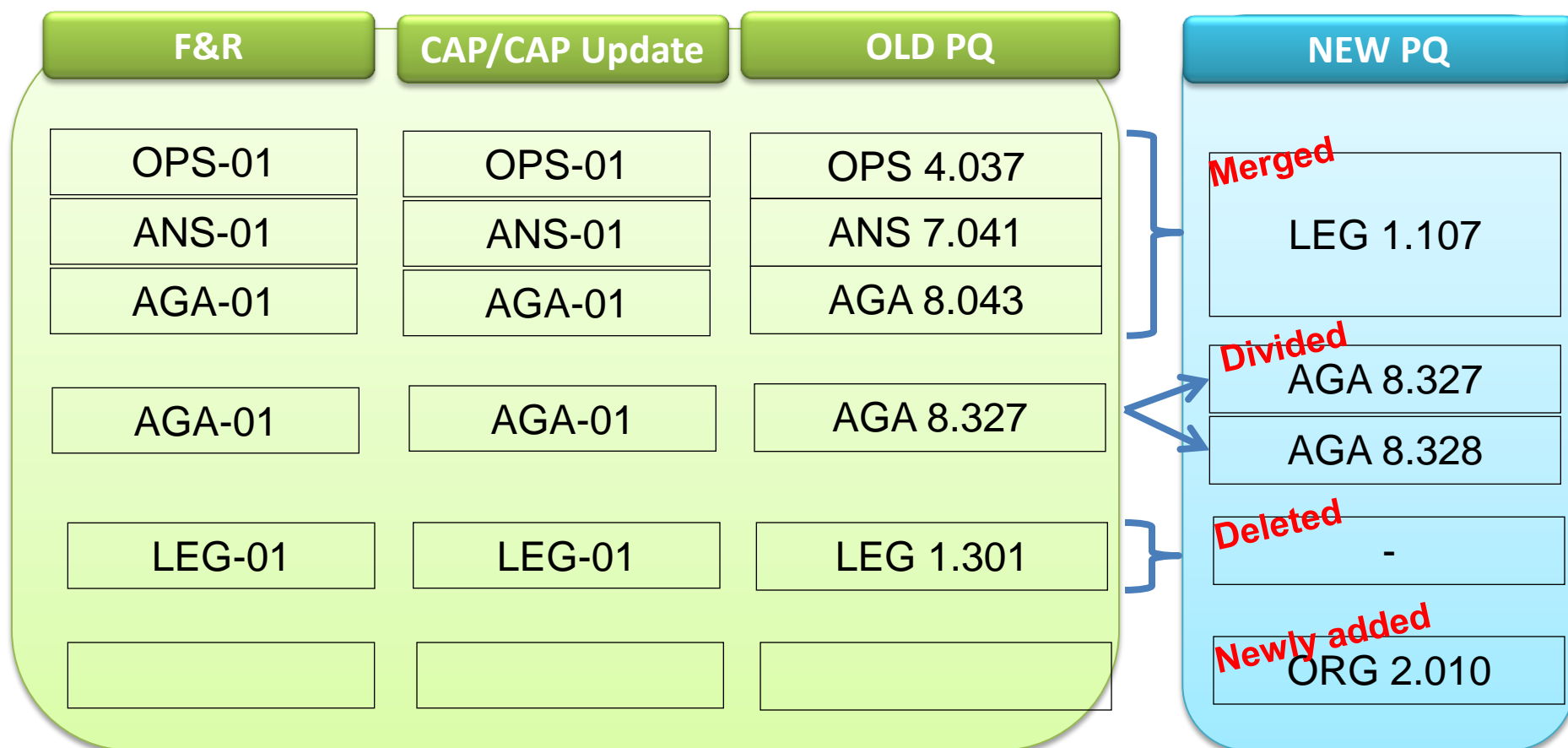
☐ As of 1 January 2013

- ✓ All modules of CMA online framework have been launched based on old PQs
- ✓ Revised PQs are available online – **CMA Library**

☐ As of 1 May 2013

- ✓ All modules of CMA online framework will be updated with revised PQs

Mapping between old and revised PQs



Revised PQ status



Details of Revision					
Deleted (-)	New (+)	Moved From other Area (+)	Moved to other Area (-)	Broken & Added (+)	Deleted & Merged (-)

Status: Archived

PQs and their status will disappear from user Interface for States and ICAO

Revised PQ status



Details of Revision					
Deleted (-)	New (+)	Moved From other Area (+)	Moved to other Area (-)	Broken & Added (+)	Deleted & Merged (-)



Status: New PQ

They will not:

- have (S, NS, NA) status until validated
- affect the LEI

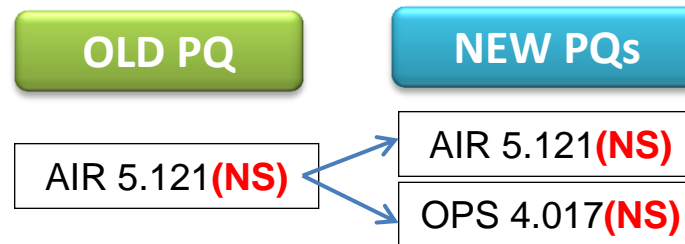


**Status: (S, NS, NA)
No Change**

Revised PQ status



Details of Revision					
Deleted (-)	2. New (+)	Moved From other Area (+)	Moved to other Area (-)	Broken & Added (+)	Deleted & Merged (-)

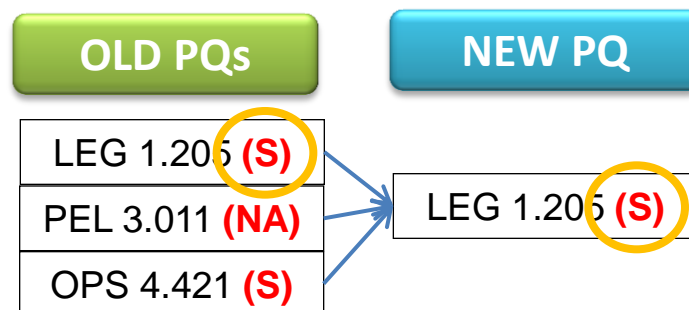
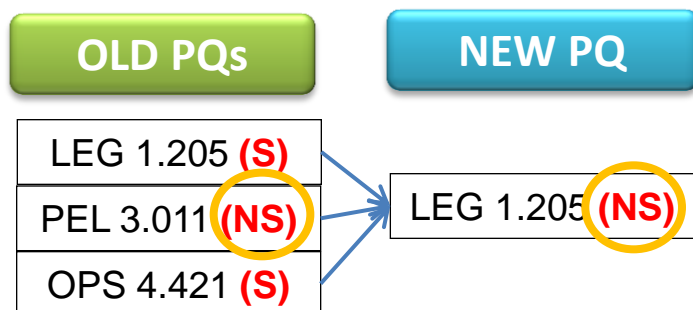


New PQs status will be based on the status of old PQ

Revised PQ status



Details of Revision					
Deleted (-)	2. New (+)	Moved From other Area (+)	Moved to other Area (-)	Broken & Added (+)	Deleted & Merged (-)



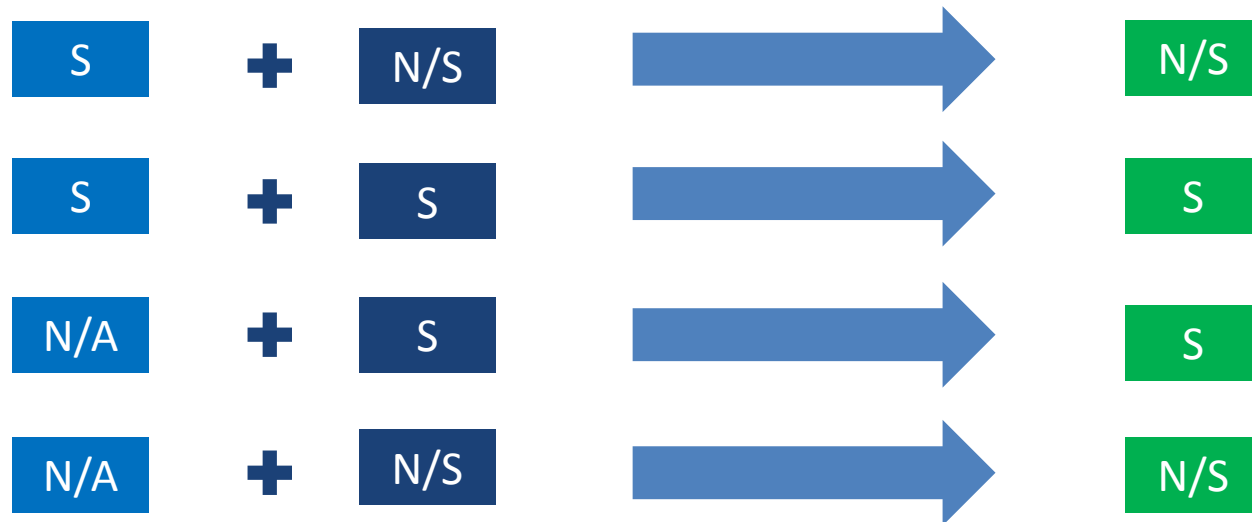
If the status of any of the old PQs is NS
the new PQ status is NS

If the status of any of the old PQs
is S or NA, the new PQ status is S

Mapping status summary



- Deleted PQs will **not** be counted, regardless of their previous status.
- For deleted PQs which have now been merged with other existing or new PQs, USOAP CMA will adopt the following approach:



PQ assessment options



- Status of “not satisfactory” PQs may be changed by CMO on the basis of existing evidence provided for some PQs related to CE-1 to CE-5.
- PQs related to CE-6, CE-7 and CE-8 will typically require an evaluation through an on-site USOAP CMA activity to verify effective implementation.

The impact of PQ revision on PQ status

The impact of PQ revision on LEI



- New PQs are not automatically assessed.
- PQs are validated after evidence is provided.
- LEIs change after the PQ is validated.

Highlights of PQ changes per audit area

Highlights of PQ changes per audit area



All audit areas

- Addition of new PQs on new ICAO Standards and Recommended Practices (SARPs) and guidance material;
- Moving of certain LEG and ORG PQs to other audit areas (i.e. OPS and ANS); and
- Harmonization of text for PQs to attain common terminology for ease of understanding.

Highlights of PQ changes per audit area

LEG

Area-specific PQs previously under LEG are now moved to the relevant audit areas, such as:

- 2 PQs on interception of civil aircraft → OPS and ANS;
- PQ on units of measurement → ANS; and
- PQ on journey log book and documents to be carried on board an aircraft → OPS.

Highlights of PQ changes per audit area



ORG

- New PQs have been added on mechanisms to avoid perceived or potential conflict of interest of inspectorate staff.
- 5 PQs have been deleted that were not associated with any CEs (3 ORG, 1 PEL and 1 OPS; related information now obtained from State Aviation Activity Questionnaire or SAAQ).

Highlights of PQ changes per audit area



PEL

- ICAO Reference column revised to include:
 - ICAO Doc 9379 — *Manual of Procedures for Establishment and Management of a State's Personnel Licensing System* (Second Edition).

Highlights of PQ changes per audit area



OPS

- 2 PQs on flight data recorders have been moved to AIR (AIR PQs 5.204 and 5.205).
- The following PQs have been moved from LEG to OPS:
 - 1 PQ on interception of civil aircraft;
 - 1 PQ on journey log book; and
 - 1 PQ on documents to be carried on board an aircraft.

Highlights of PQ changes per audit area



AIR

New PQs have been added, examples:

- Aircraft registration (identification plate and use of registration marks);
- Safety Management System; and
- AIR-related approval of CAT II and III instrument approaches.

Highlights of PQ changes per audit area



AIG

New PQs have been added on procedures for inclusion of safety recommendations in draft final report forwarded to States and organizations concerned.

Highlights of PQ changes per audit area



ANS

Revision includes PQs on:

- New RVSM monitoring requirements;
- Performance-based navigation (PBN) implementation;
- Implementation of SMS/State Safety Programme (SSP); and
- Runway safety programme.

Highlights of PQ changes per audit area



AGA

- PQs associated with multiple CEs (CE-2, CE-5, CE-6 and CE-7) are split into PQs associated with single CEs.
- New CE-2 PQs have been added to address all chapters of Annex 14, Volume I.
- New PQs have been added on minimum qualifications for aerodrome inspectors.

Actions required by States

Actions required by States

Using the OLF, States shall:

- Continuously update PQ compliance status;
- Provide evidence related to compliance;
- Reply promptly to MIRs;
- Follow-up on status of compliance of merged PQs; and
- Continuously update SAAQ and the CCs/EFOD.

Review



- ☐ Overview of the PQ revision
- ☐ Change in PQ methodology
- ☐ Mapping between old and revised PQs
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