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 impact on the LEI; and

- actions to be taken by States as a result of these changes.

Outline

- ☐ Changes in PQ methodology from CSA to CMA cycle (from 2012)

- ☐ Overview of the new PQ revision

- ☐ Summaries of amendments

- ☐ Highlights of the latest PQ changes per audit area

- ☐ The impact of PQ revision on PQ status
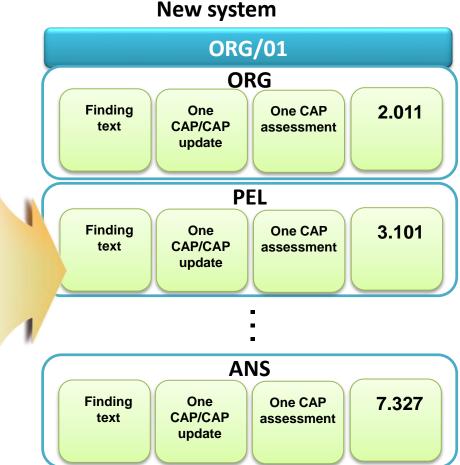
- ☐ Actions required by States

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 CAA is not determined in sufficient detail as to provide a clear definition of the regulatory and safety oversight functions and responsibilities related to PEL, OPS, AIR, ANS and AGA. In addition, the available organizational charts have not yet been approved.	Item 1 . . . . Item 20		2.011 3.101 3.103 4.027 5.021 5.023 5.045 7.031 7.053 7.203 7.271 7.327 …

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

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ANS

Finding text	One CAP/CAP update	One CAP assessment	7.327

Overview of the new PQ revision

Overview of the new PQ revision

- In preparation for USOAP CMA, all PQs from the CSA cycle were revised and updated in 2012 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.

- Another review has recently taken place in order to include the Annex 19 related PQs in all of the relevant areas.

- 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.

Summaries of amendments

Summaries of amendments

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

SUMMARY OF AMENDMENTS 2014 – AIR PQs

(Rev. B; October 2014)

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

PQ No. (2012 version)	PQ No. (2014 version)	Type of Amendment				Description of Amendments
		New	Revised	Merged	Deleted	
5.001	5.001		✓			ICAO reference revised.
5.005	5.005		✓			Question and guidance revised for clarity.
5.007	5.007		✓			Question and guidance revised for clarity.
5.009	5.009		✓			Question and guidance revised for clarity.
5.011	5.011		✓			Question and guidance revised for clarity.
5.013	5.013		✓			Question and guidance revised for clarity.
5.021	5.021		✓			Guidance revised for clarity; ICAO reference revised.
5.023	5.023		✓			Guidance revised for clarity; ICAO reference revised.
5.025	Deleted				✓	Question deleted.
5.027	5.027		✓			Guidance revised for clarity; ICAO reference revised.
5.029	5.029		✓			Guidance revised for clarity; ICAO reference revised.
5.031	5.031		✓			Guidance revised for clarity; ICAO reference revised.
5.032	5.032		✓			ICAO reference revised.
5.033	5.033		✓			Guidance revised for clarity; ICAO reference revised.
5.035	5.035		✓			Guidance revised for clarity.
5.037	5.037		✓			ICAO reference revised.

Summaries of amendments

PQ template layout has been revised for simplicity and clarity and changes incorporated (as per the previous slide)

PQ No.	Protocol question	Guidance for review of evidence	ICAO Ref	CE
2 .007	If multiple authorities are established to carry out a State's civil aviation safety oversight responsibilities, has the State identified a specific entity responsible for the coordination of all ICAO-related matters?	1) Verify legislation/regulations/other relevant documents (e.g. Memorandum of Understanding, Memorandum of Cooperation). 2) Verify coordination process/procedures. Note to the auditor: The authority in charge of the aircraft radio station licence is often separate from the CAA under the Ministry of Telecommunications.	GM Doc 9734 Part A 3.4	CE-3

Highlights of the latest PQ changes per audit area

Types of changes

- Question and/or guidance revised for clarity;
- Questions deleted;
- New questions added on safety management;
- Other new questions added not related to safety management;
- Questions revised to address safety management;
- CE changed (where applicable);
- Audit sub-group changed;
- ICAO reference revised; and
- PQs related to establishment and implementation of procedures and systems separated into two separate questions (one on development, and the other on implementation).

The impact of PQ revision on PQ status

The impact of PQ revision on PQ status

- Newly added PQs will be considered undetermined, thus not impacting the EI/LEI;
- Split PQs will maintain the previous PQ status;
- PQs revised for clarity will maintain the same status;
- PQs with revised guidance/reference will maintain the same status; and
- All other changes will not affect the PQ status

Actions required by States

Actions required by States

As per the CMA MoU, 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

- Changes in PQ methodology from CSA to CMA cycle (from 2012)
- Overview of the new PQ revision
- Summaries of amendments
- Highlights of the latest PQ changes per audit area
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- Actions required by States