



ICAO

*International Civil Aviation Organization*

**The First Meeting of the South Asia, Indian Ocean and Southeast Asia ATM Coordination Group (SAIOSEACG/1)**

Video Teleconference, 28 March – 01 April 2022

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## **Agenda Item 4: Review of Current Operations and Problem Areas**

### **ANS USOAP UPDATE**

(Presented by the Secretariat)

#### **SUMMARY**

As the primary tool used in ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) for assessing the effective implementation of the eight critical elements (CEs) of a State's safety oversight system, Protocol Questions (PQs) are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents. This information paper focuses on the annual update of Air Navigation Services (ANS) USOAP information.

## **1. INTRODUCTION**

1.1 States' safety oversight capability can be determined by accessing the implementation of PQs. The PQs are organized by eight audit areas and each PQ is associated with one of the eight CEs. The eight audit areas are Primary aviation legislation and specific operating regulations (LEG); Civil aviation organization (ORG); Personnel licensing and training (PEL); Aircraft operations (OPS); Airworthiness of aircraft (AIR); Aircraft accident and incident investigation (AIG); Air navigation services (ANS); and Aerodromes and ground aids (AGA).

1.2 As per requirements by ICAO USOAP CMA, if a State has implemented all the elements of the PQ and has provided all the relevant evidence, it is fully addressed a PQ, the PQ is assessed as "satisfactory". If a State provides insufficient or no evidence of compliance with the elements outlined in the PQ, the PQ is assessed as "not satisfactory". The State is required to develop and implement a corrective action plan (CAP) which addresses all elements of the "not satisfactory" PQ, including presentation of the necessary supporting documentation and evidence.

1.3 Due to the COVID-19 pandemic, onsite USOAP activity has been challenging to take place. Thus, very few USOAP activities, including Follow-up Virtual Combined Action Team (CAT) Missions, were conducted remotely last two years. ICAO has considered the USOAP activities plan in 2022 and onward after the pandemic normalized. It will be announced by the relevant ICAO section.

## **2. DISCUSSION**

### 2020 edition of the USOAP CMA Protocol Questions (PQs)

2.1 Protocol Questions (PQs) are the primary tool used in the ICAO USOAP CMA for assessing the effective implementation of the eight critical elements (CEs) of a State's safety oversight system. Developed based on ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and ICAO guidance material, the PQs are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents.

2.2 Revised on the basis of the 2017 edition, the 2020 edition of the USOAP CMA Protocol Questions (PQs) follows the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR) that was approved by the Council of ICAO on 18 June 2018. For the 2020 edition of the PQs, the total number of PQs is 790 and a breakdown for each area is shown below (**Table 1**).

	Area	Number of 2020 PQs
1	LEG	23
2	ORG	13
3	PEL	93
4	OPS	126
5	AIR	186
6	AIG	84
7	ANS	122
8	AGA	143
<b>TOTAL NUMBER</b>		<b>790</b>

**Table 1:** Number of PQs for each area

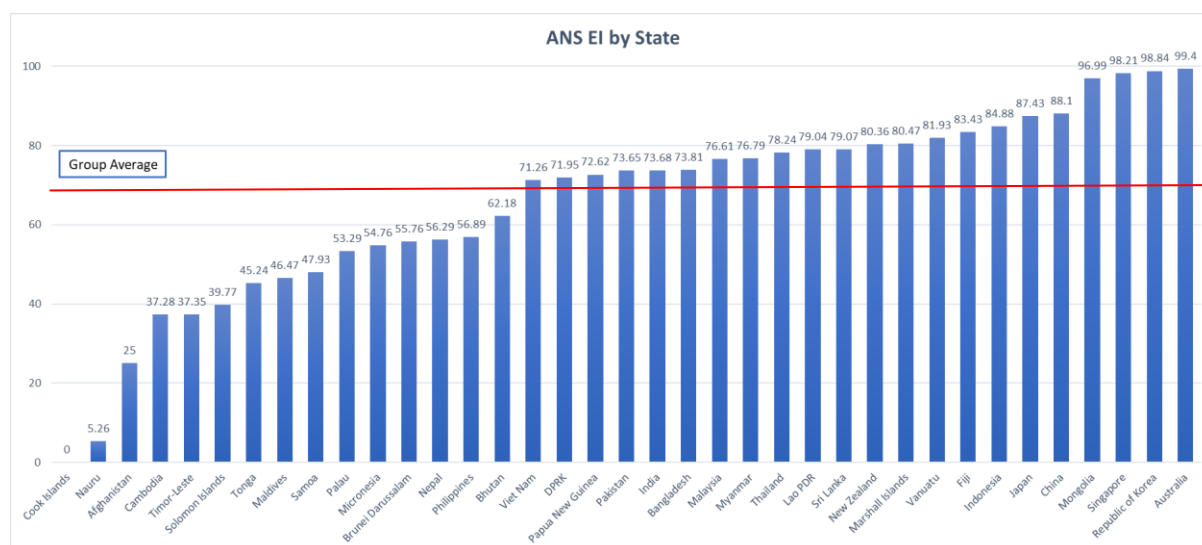
2.3 **Table 2** provides the total number of PQs for ANS Area, and a breakdown of that. All the details of USOAP 2020 PQs for ANS Area is described in the **Attachment A**.

<b>Total (ANS)</b>	122
New	12
Revised	71
Deleted	69
Merged	27
No Change	12

**Table 2:** Number of changes for the ANS area

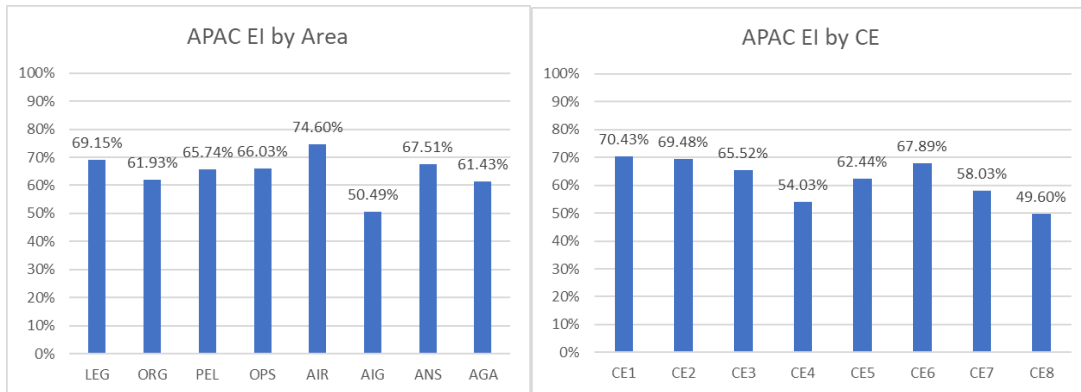
#### Regional USOAP ANS Implementation Status

2.4 **Figure 1** provides an average level of Effective Implementation (EI) for the 37 States in APAC region that had been audited or received a USOAP activity. The average EI of APAC region is 67.51% (October 2021). There are 23 States the ANS EI is above 60%. Data source was from USOAP Continuous Monitoring Approach (CMA) Online Framework (OLF).



**Figure 1:** USOAP EI Comparisons by State (October 2021)

2.5 **Figure 2** provides information on the Asia/Pacific Region’s EI by Area/Critical Element.



**Figure 2: APAC EI by Area and Critical Element (October 2021)**

**3. ACTION BY THE MEETING**

3.1 The meeting is invited to:

- a) note the information contained in this paper; and
- b) discuss any relevant matters as appropriate.

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## Air navigation services — ANS

### **Explanatory Note on the 2020 Edition of the Protocol Questions (PQs):**

Revised on the basis of the 2017 edition, this 2020 edition of the USOAP CMA Protocol Questions (PQs) follows the recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR) (C-WP14757 refers) that was approved by the Council of ICAO on 18 June 2018. Some notable features of this 2020 edition are the exclusion of certain PQs that are not relevant to the State safety oversight system or the accident and incident investigation system, reduction of the total number of PQs (from 943 to 790), and identification of a subset of Priority PQs.

At the same time, a separate set of PQs on State Safety Programme (SSP) was developed in 2018 to assess the SSP implementation by States. These SSP-related PQs are posted on the “CMA Library” page of the USOAP CMA online framework (<https://www.icao.int/usoap>).

Once States and relevant regional organizations are migrated to the 2020 PQ edition, the Effective Implementation (EI) values for all their USOAP activities, as indicated on the USOAP CMA online framework, will also be updated and adjusted accordingly.

### **Introduction to the ICAO USOAP CMA Protocol Questions**

Protocol Questions (PQs) are the primary tool used in the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) for assessing the effective implementation of the eight critical elements (CEs) of a State’s safety oversight system. Developed based on ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and ICAO guidance material, the PQs are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents.

The PQs are organized by audit areas and each PQ is associated with one of the eight CEs.

The eight audit areas are as follows:

- 1) Primary aviation legislation and specific operating regulations (LEG);
- 2) Civil aviation organization (ORG);
- 3) Personnel licensing and training (PEL);
- 4) Aircraft operations (OPS);
- 5) Airworthiness of aircraft (AIR);
- 6) Aircraft accident and incident investigation (AIG);
- 7) Air navigation services (ANS); and
- 8) Aerodromes and ground aids (AGA).

The eight CEs are as follows:

- CE-1. Primary aviation legislation
- CE-2. Specific operating regulations
- CE-3. State system and functions
- CE-4. Qualified technical personnel
- CE-5. Technical guidance, tools and provision of safety-critical information
- CE-6. Licensing, certification, authorization and approval obligations
- CE-7. Surveillance obligations
- CE-8. Resolution of safety issues

## USOAP CMA 2020 Protocol Questions — ANS

States are expected to use the PQs to conduct regular self-assessments and in this way, monitor the health of their aviation safety oversight system in a proactive manner.

A State is deemed to have *fully addressed* a PQ when it has implemented all the required elements of the PQ. This generates a “*satisfactory*” status of implementation for the PQ. If the State provides insufficient or no evidence of compliance with the elements outlined in the PQ, the PQ is assessed as “*not satisfactory*”. The State is required to develop and implement a corrective action plan (CAP) which fully addresses the associated PQ and all identified deficiencies.

The status of each PQ for a State is reflected in the USOAP CMA Online Framework (<https://www.icao.int/usoap>) and summarized in the activity report.

For reference purposes, the PQs are hereby presented in a table format. Each PQ is assigned a PQ number (e.g. 1.001), associated with a CE (e.g. CE-1), and supplemented by the relevant “Guidance for Review of Evidence” and “ICAO References”. PQs shown in shaded rows can be assessed only in a USOAP CMA on-site activity, while Priority PQs are indicated as such (with “Yes” note) under the “PPQ” column.

For each PQ, the corresponding “Guidance for Review of Evidence” provides *an itemized list of elements* to be implemented by the State in order to address the PQ *satisfactorily*. When preparing for a USOAP CMA audit, States should use these listed elements, as applicable, to prepare the necessary supporting documentation and evidence for all PQs within the scope of the audit. When preparing for an ICAO validation activity, States should provide the necessary supporting documentation and evidence for all PQs, within the scope of the validation activity, that were previously assessed as “*not satisfactory*”.

Representatives of a State’s civil aviation authority/investigation authority who participate in USOAP CMA activities should be familiar with each PQ and the related “Guidance for Review of Evidence” that will be addressed during the activities. All the information and evidence for each PQ that are to be provided to the USOAP CMA activity team should be prepared in advance.

The “Summary of Amendments” table provides a list of new, revised, merged and deleted PQs and a brief description of the amendments.

## USOAP CMA 2020 Protocol Questions — ANS

For the 2020 edition of the PQs, the total number of PQs is 790 and a breakdown for each area is shown below:

	<b>Area</b>	<b>Number of 2020 PQs</b>
1	LEG	23
2	ORG	13
3	PEL	93
4	OPS	126
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7	ANS	122
8	AGA	143
<b><i>TOTAL NUMBER</i></b>		<b><i>790</i></b>

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## General Guidelines for All Areas

### *Legislation, Primary Aviation Legislation and Specific Operating Regulations*

The term “legislation” in the USOAP CMA Protocol Questions is used as a generic term to include primary aviation legislation and specific operating regulations.

The term “primary aviation legislation” in the USOAP CMA Protocol Questions includes any legislative provision and/or instrument promulgated and enforceable in the State (e.g. laws, acts, codes and international treaties).

The term “specific operating regulations” in the USOAP CMA Protocol Questions includes any binding regulatory provisions and/or instruments in the State (e.g. regulations, decrees, rules, and orders).

### *Processes and Procedures*

Processes and procedures should clarify *who does what, how, when (or within what timeframes) and in coordination with whom*, as applicable.

### *Delegation of Duties and Tasks*

When a State has delegated some of its safety oversight duties and tasks to another State or organization, the PQs on the delegation may have to be evaluated with the entity to which the duties and tasks have been delegated.

The State remains responsible for ensuring that the delegated duties and tasks are performed, at all times, by qualified individuals who ensure the implementation of the applicable legislation as well as the established processes and procedures. There should also be a system in place for conducting surveillance of the delegated duties and tasks and a process for the resolution of identified safety deficiencies.

### *Regulatory Function versus Service Provider Function*

For a State which has not established a clear separation between its regulatory function and its service provider function or where the State Civil Aviation Authority (CAA) is both the regulator *AND* the service provider, the related PQs remain applicable.

*Industry Visits*

Industry visits are conducted to review and verify that the implementation of the established requirements, procedures and safe practices in each area complies with ICAO provisions and the State’s applicable national legislation.

*On-Site Activity*

PQs that can only be assessed in a USOAP CMA on-site activity are shown in shaded rows in the PQ table.

*Priority Protocol Questions (PPQs)*

A subset of PQs is classified as Priority PQs or PPQs, which, if found not satisfactory, may indicate a lack of capability by a State to identify and/or resolve operational safety and fundamental accident investigation deficiencies effectively.

*Annex*

The term “Annex” in the USOAP CMA Protocol Questions stands for Annex to the Chicago Convention.

*ICAO References*

The ICAO references are classified as follows (shown here in alphabetical order): Chicago Convention (CC), ICAO Circular (Cir), ICAO Guidance Material (GM), Procedures for Air Navigation Services (PANS), Recommended Practice (RP), Regional Supplementary Procedures (SUPPS), and Standard (STD).

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## Specific Guidelines for ANS

The ANS PQs are based primarily on the Chicago Convention, Annexes 2, 3, 4, 5, 10, 11, 12 and 15 to the Chicago Convention as well as associated ICAO guidance material.

The USOAP CMA activities in the area of ANS address legislative and regulatory provisions, including operational and oversight activities, in seven fields, namely:

- 1) Air Traffic Management (ATM),
- 2) Procedures for Air Navigation Services: Aircraft Operations (PANS-OPS),
- 3) Aeronautical Information Services (AIS),
- 4) Aeronautical Charts (Chart),
- 5) Communications, Navigation and Surveillance (CNS),
- 6) Aeronautical Meteorology (MET), and
- 7) Search and Rescue (SAR).

The PQs on ANS-related legislative provisions address conformance with the Chicago Convention, including, but not limited to, the following articles:

- a) Article 3 *bis*,
- b) Article 12 (Rules of the air),
- c) Article 25 (Aircraft in distress),
- d) Article 28 (Air navigation facilities and standard systems).
- e) Article 37 (Adoption of international standards and procedures), and
- f) Article 38 (Departures from international standards and procedures).

The term “inspectorate,” as applied in this document, refers to “an office or entity designated by the regulatory body to support safety oversight activities over the service providers”. An inspectorate may be composed of inspectors, technical support staff, administrative personnel and others directly engaged in supporting the office or entity’s oversight activities. For this document, an inspectorate may also be referred to as the technical staff. Inspectors are personnel directly engaged in carrying out oversight activities (e.g. inspections, audits, etc.) over the service providers

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Acronyms and Abbreviations

A = Annex to the Chicago Convention  
 ACAS - Airborne collision avoidance system  
 ACC = Area Control Centre  
 ADS-C = Automatic Dependent Surveillance — Contract  
 AIM - Aeronautical Information Management  
 AIP = Aeronautical Information Publication  
 AIRAC = Aeronautical Information Regulation and Control  
 AIS = Aeronautical Information Service  
 Amdt. = Amendment  
 ANS = Air Navigation Services  
 ANSP = ANS provider  
 App. = Appendix  
 ARIWS = Autonomous Runway Incursion Warning System  
 ATC = Air Traffic Control  
 ATFM = Air Traffic Flow Management  
 ATM = Air Traffic Management  
 ATS = Air Traffic Service  
 Att. = Attachment to an ICAO document  
 C = Chapter  
 CAA = Civil Aviation Authority  
 CAPs = Corrective action plans  
 CC = Chicago Convention  
 CE = Critical Element  
 Cir = ICAO Circular  
 CMA = Continuous Monitoring Approach  
 CNS = Communications, Navigation and Surveillance  
 CPDLC = Controller-pilot data link communications  
 Doc = ICAO Document or Manual  
 FIR = Flight Information Region  
 FIS = Flight Information Service FPD = Flight Procedure Design  
 FRMS = Fatigue Risk Management System  
 GM = ICAO Guidance Material  
 H24 = Continuous day and night service

JRCC = Joint Rescue Coordination Centre  
 IFP = Instrument flight procedure  
 IFPDS = Instrument Flight Procedure Design Service  
 MET = Meteorology/Meteorological  
 MSAW = Minimum Safe Altitude Warning  
 NOTAM = Notice to Airmen  
 OCA/H = Obstacle Clearance Altitude/Height  
 OJT = On-the-job training  
 PANS = Procedures for Air Navigation Services  
 PIRG = Planning and Implementation Regional Group  
 PPQ = Priority Protocol Question  
 PQ = Protocol Question  
 QMS = Quality Management System  
 RCC = Rescue Coordination Centre  
 RMA = Regional Monitoring Agency  
 RP = Recommended Practice contained in an Annex to the Chicago Convention  
 RSC = Rescue Sub-Centre  
 RVSM = Reduced Vertical Separation Minimum  
 SAR = Search and Rescue  
 SARPs = Standards and Recommended Practices  
 SID = Standard Departure Chart — Instrument  
 SPOC = Single Point of Contact  
 SRR = Search and Rescue Region  
 SSR = Secondary Surveillance Radar  
 STAR = Standard Arrival Chart — Instrument  
 STCA = Short-Term Conflict Alert  
 STD = International Standard contained in an Annex to the Chicago Convention  
 SUPPS = Regional Supplementary Procedures  
 USOAP = Universal Safety Oversight Audit Programme  
 WMO = World Meteorological Organization

## List of ICAO Reference Documents

- Doc 7300 — *Convention on International Civil Aviation*  
(Also known as the Chicago Convention) (9th edition, 2006)
- Annex 2 — *Rules of the Air* (Amdt. 46, 10th edition, 2005)
- Annex 3 — *Meteorological Service for International Air Navigation*  
(Amdt. 78, 20th Edition, 2018)
- Annex 4 — *Aeronautical Charts* (Amdt. 60, 11th edition, 2009)
- Annex 5 — *Units of Measurement to be Used in Air and Ground Operations* (Amdt. 17, 5th edition, 2010)
- Annex 10 — *Aeronautical Telecommunications*  
Volume I — *Radio Navigation Aids* (Amdt. 91, 7th edition, 2018)  
Volume II – *Communication Procedures including those with PANS Status* (Amdt. 91, 7th edition, 2016)  
Volume III – *Communication Systems* (Amdt. 90, 2nd edition, 2017)  
Volume IV – *Surveillance and Collision Avoidance Systems*,  
(Amdt. 90, 5th edition, 2014)  
Volume V – *Aeronautical Radio Frequency Spectrum Utilization*  
(Amdt. 89, 3rd edition, 2013)
- Annex 11 — *Air Traffic Services* (Amdt. 51, 15th edition, 2018)
- Annex 12 — *Search and Rescue* (Amdt. 18, 8th edition, 2004)
- Annex 15 — *Aeronautical Information Services* (Amdt. 40, 16th edition, 2018)
- Annex 19 — *Safety Management* (Amdt. 1, 2nd edition, July 2018)
- Doc 4444 — *Procedures for Air Navigation Services: Air Traffic Management (PANS-ATM)* (Amdt. 8, 16th edition, 2016)
- Doc 7030 — *Regional Supplementary Procedures* (Amdt. 9, 5th edition, 2018)
- Doc 8071 — *Manual on Testing of Radio Navigation Aids*  
Volume I — *Testing of Ground-based Radio Navigation Systems*  
(Amdt. 1, 5th edition, 2018)  
Volume II — *Testing of Satellite-based Radio Navigation Systems*  
(Amdt. 1, 5th edition, 2007)  
Volume III — *Testing of Surveillance Radar Systems* (Amdt. 2, 1st edition, 1998)
- Doc 8126 — *Aeronautical Information Services Manual* (Amdt. 2, 6th edition, 2003)
- Doc 8168 — *Procedures for Air Navigation Services: Aircraft Operations (PANS-OPS)*  
Volume I — *Flight Procedures* (6th edition, 2018)  
Volume II — *Construction of Visual and Instrument Flight Procedures* (Amdt. 8, 6th edition, 2014)
- Doc 8400 — *ICAO Abbreviations and Codes* (Amdt. 33, 9th edition, 2016)
- Doc 8697 — *Aeronautical Chart Manual* (3rd edition, 2016)
- Doc 8896 — *Manual of Aeronautical Meteorological Practice* (Amdt. 1, 12th edition, 2019)
- Doc 9368 — *Instrument Flight Procedures Construction Manual*  
(2nd edition, 2002)
- Doc 9377 — *Manual on Coordination between Air Traffic Services, Aeronautical Information Services and Aeronautical Meteorological Services* (Amdt. 2, 6th edition, 2014)
- Doc 9426 — *Air Traffic Services Planning Manual* (Amdt. 4, 1st edition, 1984)
- Doc 9432 — *Manual of Radiotelephony* (4th edition, 2007)
- Doc 9433 — *Manual Concerning Interception of Civil Aircraft*  
(2nd edition, 1990)
- Doc 9476 — *Manual of Surface Movement Guidance and Control Systems (SMGCS)* (Amdt. 2, 1st edition, 1986)
- Doc 9554 — *Manual Concerning Safety Measures Relating to Military Activities Potentially Hazardous to Civil Aircraft Operations*  
(1st edition, 1990)
- Doc 9574 — *Manual on a 300 m (1 000 ft.) Vertical Separation Minimum Between FL 290 and FL 410 Inclusive* (3rd edition, 2012)
- Doc 9613 — *Performance-based Navigation (PBN) Manual* (Amdt. 1, 4th edition, 2013)
- Doc 9674 — *World Geodetic System — 1984 (WGS-84) Manual*  
(2nd edition, 2002)
- Doc 9689 — *Manual on Airspace Planning Methodology for the Determination of Separation Minima* (Amdt. 1, 1st edition, 1998)
- Doc 9691 — *Manual on Volcanic Ash, Radioactive Material and Toxic Chemical Clouds* (Amdt. 2, 3rd edition, 2015)

- Doc 9731 — *International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual*  
Volume I — *Organization and Management* (2019 edition)
- Doc 9734 — *Safety Oversight Manual*  
Part A — *The Establishment and Management of a State's Safety Oversight System* (3rd edition, 2017)
- Doc 9735 — *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (4th edition, 2014)
- Doc 9806 — *Human Factors Guidelines for Safety Audits Manual* (1st edition, 2002)
- Doc 9817 — *Manual on Low-level Wind Shear* (Amdt. 3, 1st edition, 2005)
- Doc 9830 — *Advance Surface Movement Guidance and Control System (A-SMGCS) Manual* (1st edition, 2004)
- Doc 9837 — *Manual on Automatic Meteorological Observing Systems at Aerodromes* (Amdt. 2, 2nd edition, 2011)
- Doc 9863 — *Airborne Collision Avoidance System (ACAS) Manual* (Amdt. 1, 2nd edition, 2012)
- Doc 9870 — *Manual on the Prevention of Runway Incursions* (1st edition, 2007)
- Doc 9906 — *Quality Assurance Manual for Flight Procedure Design*  
Volume 1 — *Flight Procedure Design Quality Assurance System* (Amdt. 1, 1st edition, 2009)  
Volume 2 — *Flight Procedure Designer Training (Development of a Flight Procedure Designer Training Programme)* (Amdt. 1, 1st edition, 2009)
- Volume 3 — *Flight Procedure Design Software Validation* (Amdt. 1, 1st edition, 2010)
- Volume 5 — *Validation of Instrument Flight Procedures* (1st edition, 2012)
- Volume 6 — *Flight Validation Pilot Training and Evaluation (Development of a Flight Validation Pilot Training Programme)* (1st edition, 2012)
- Doc 9971 — *Manual on Collaborative Air Traffic Flow Management (ATFM)* (3rd edition, 2018)
- Doc 10066 — *Procedures for Air Navigation Services: Aeronautical Information Management (PANS-AIM)* (1st edition, 2018)
- Doc 10068 — *Manual on the development of a Regulatory Framework for Instrument Flight Procedure Design Service* (1st edition, 2018)
- Cir 120 — *Methodology for the Derivation of Separation Minima Applied to the Spacing between Parallel Tracks in ATS Route Structures* (2nd edition, 1976)
- Cir 185 — *Satellite-aided Search and Rescue — The COSPAS-SARSAT System* (1986)
- Cir 241 — *Human Factors Digest No. 8 — Human Factors in Air Traffic Control* (1993)
- Cir 247 — *Human Factors Digest No. 10 — Human Factors, Management and Organization* (1993)
- Cir 249 — *Human Factors Digest No. 11 — Human Factors in CNS/ATM Systems* (1994)
- Cir 305 — *Operation of New Larger Aeroplanes at Existing Aerodromes* (June 2004)

**List of WMO Reference Documents**

WMO-No. 49 — *Technical Regulations*  
Volume I — *General Meteorological Standards and Recommended Practices* (2019 edition)

WMO-No. 1100 — *Guide to the Implementation of Quality Management Systems for National Meteorological and Hydrological Services and Other Relevant Service Providers* (2017 edition)

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**SUMMARY OF AMENDMENTS – ANS PQs**

*Note 1.— 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.*

*Note 2.— The PQs in the shaded rows require a USOAP CMA on-site activity. For the remaining PQs, no on-site activity is required in most cases.*

PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.015	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.017	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.019	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.044	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.048	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.059	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.057 in 2020 Edition.
7.067	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.069 in 2020 Edition.
7.071	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.069 in 2020 Edition.
7.083	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.089	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.087 in 2020 Edition.
7.107	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.115	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.157	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.158 in 2020 Edition.
7.160	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.207	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.205 in 2020 Edition.
7.213	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.215 in 2020 Edition.
7.219	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.073 in 2020 Edition.
7.221	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.031 in 2020 Edition.
7.223	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.241	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.245	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.243 in 2020 Edition.

**USOAP CMA 2020 Protocol Questions — ANS**

PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.251	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.249 in 2020 Edition.
7.261	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.263	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.275	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.273 in 2020 Edition.
7.279	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.281 in 2020 Edition.
7.285	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.073 in 2020 Edition.
7.301	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.305	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.303 in 2020 Edition.
7.325	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.269 in 2020 Edition.
7.329	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.273 in 2020 Edition.
7.331	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.273 in 2020 Edition.
7.333	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.335	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.281 in 2020 Edition.
7.337	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.281 in 2020 Edition.
7.341	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.073 in 2020 Edition.
7.343	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.345	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.351	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.353	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.303 in 2020 Edition.
7.355	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.303 in 2020 Edition.
7.357	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.359	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.311 in 2020 Edition.
7.371	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.379	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.377 in 2020 Edition.
7.383	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.385 in 2020 Edition.
7.389	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.073 in 2020 Edition.
7.401	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.405	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.403 in 2020 Edition.
7.423	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.421 in 2020 Edition.

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PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.427	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.429 in 2020 Edition.
7.433	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.073 in 2020 Edition.
7.453	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.455	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.457	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.469	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.475 in 2020 Edition.
7.471	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.475 in 2020 Edition.
7.473	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.483	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.481 in 2020 Edition.
7.493	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.491 in 2020 Edition.
7.497	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.499 in 2020 Edition.
7.503	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.073 in 2020 Edition.
7.511	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.513 in 2020 Edition.
7.515	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.543 in 2020 Edition.
7.523	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.543 in 2020 Edition.
7.531	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.533	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.537 in 2020 Edition.
7.535	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted and merged with 7.537 in 2020 Edition.
7.539	.	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	PQ has been deleted.
7.001	7.001	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.003	7.003	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.005	7.005	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.007	7.007	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. Reference revised.
7.009	7.009	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised.
7.011	7.011	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.031	7.031	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.221 of 2017 PQs. Question revised.
7.037	7.037	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.039	7.039	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised.
7.042	7.042	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.

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PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.045	7.045	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity.
7.051	7.051	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.057	7.057	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.059 of 2017 PQs. Question and guidance revised.
7.060	7.060	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.061	7.061	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
.	7.062	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
7.063	7.063	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.065	7.065	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity.
7.069	7.069	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.067 and 7.071 of 2017 PQs. Guidance revised.
7.073	7.073	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.219, 7.285, 7.341, 7.389, 7.433 and 7.503 of 2017 PQs. Question and guidance revised.
7.081	7.081	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised. CE-6 changed to CE-7.
.	7.082	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
7.085	7.085	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question revised for clarity.
7.087	7.087	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.089 of 2017 PQs. Question and guidance revised. CE-6 changed to CE-7.
7.101	7.101	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. CE-6 changed to CE-7.
7.109	7.109	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity.
.	7.110	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
7.111	7.111	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. Reference revised.
7.117	7.117	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised.
7.119	7.119	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised.
7.121	7.121	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. Reference revised.
7.131	7.131	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised.
7.133	7.133	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.135	7.135	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. CE-6 changed to CE-7.
7.137	7.137	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	CE-6 changed to CE-7.
7.139	7.139	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. Reference revised. CE-6 changed to CE-7.
7.151	7.151	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. Reference revised.

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PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.153	7.153	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. Reference revised.
7.155	7.155	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised.
7.158	7.158	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.157 of 2017 PQs. Reference revised.
7.159	7.159	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.162	7.162	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. Reference revised.
7.177	7.177	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised. CE-6 changed to CE-7.
7.183	7.183	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.185	7.185	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.187	7.187	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised. CE-8 changed to CE-7.
7.189	7.189	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. CE-2 changed to CE-7.
.	7.191	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
.	7.193	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
.	7.195	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
.	7.199	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
7.201	7.201	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question revised for clarity. Reference revised.
7.205	7.205	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.207 of 2017 PQs. Question, guidance and reference revised.
7.209	7.209	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised.
7.211	7.211	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question revised for clarity. Reference revised.
7.215	7.215	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.213 of 2017 PQs. Question, guidance and reference revised.
7.229	7.229	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question revised for clarity. Reference revised.
7.231	7.231	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.233	7.233	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.234	7.234	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised.
7.243	7.243	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.245 of 2017 PQs. Question, guidance and reference revised. CE-6 changed to CE-7.
7.247	7.247	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question, guidance and reference revised. CE-7 changed to CE-6.
7.249	7.249	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.251 of 2017 PQs. Question and guidance revised for clarity. Reference revised.

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PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.253	7.253	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question, guidance and reference revised.
7.255	7.255	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question revised for clarity.
7.267	7.267	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question, guidance and reference revised.
7.269	7.269	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.325 of 2017 PQs. Question and guidance revised for clarity.
7.273	7.273	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.275, 7.329 and 7.331 of 2017 PQs. Question and guidance revised.
7.277	7.277	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.281	7.281	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.279, 7.335 and 7.337 of 2017 PQs. Guidance revised.
7.287	7.287	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised.
.	7.288	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
7.289	7.289	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
.	7.291	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
7.303	7.303	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.305, 7.353 and 7.355 of 2017 PQs. Question, guidance and reference revised. CE-6 changed to CE-7.
7.309	7.309	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question, guidance and reference revised. CE-6 changed to CE-7.
7.311	7.311	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.359 of 2017 PQs. Question, guidance and reference revised. CE-5 changed to CE-7.
7.321	7.321	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised. CE-3 changed to CE-6.
7.361	7.361	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised. CE-5 changed to CE-7.
7.363	7.363	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised. CE-5 changed to CE-7.
7.373	7.373	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.377	7.377	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.379 of 2017 PQs. Question and guidance revised.
7.381	7.381	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity.
7.385	7.385	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.383 of 2017 PQs. Guidance revised.
.	7.390	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
7.391	7.391	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity.
7.393	7.393	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised.
7.395	7.395	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.403	7.403	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.405 of 2017 PQs. Question and guidance revised. CE-6 changed to CE-7.

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PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.412	7.412	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question, guidance and reference revised. CE-3 changed to CE-6.
7.415	7.415	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question, guidance and reference revised.
7.417	7.417	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. Reference revised.
7.421	7.421	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.423 of 2017 PQs. Question and guidance revised.
7.425	7.425	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.429	7.429	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.427 of 2017 PQs. Guidance revised for clarity.
7.435	7.435	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.437	7.437	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.451	7.451	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question revised for clarity. Reference revised.
7.459	7.459	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised. CE-6 changed to CE-7.
7.461	7.461	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question, guidance and reference revised. CE-6 changed to CE-7.
7.463	7.463	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Reference revised. CE-6 changed to CE-7.
7.465	7.465	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity. Reference revised. CE-6 changed to CE-7.
7.467	7.467	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question, guidance and reference revised. CE-6 changed to CE-7.
7.475	7.475	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.469 and 7.471 of 2017 PQs. Question, guidance and reference revised. CE-6 changed to CE-7.
.	7.476	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
.	7.477	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	New PQ.
7.481	7.481	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.483 of 2017 PQs. Question, guidance and reference revised. CE-3 changed to CE-6.
7.487	7.487	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.491	7.491	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.493 of 2017 PQs. Question and guidance revised.
7.495	7.495	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.499	7.499	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.497 of 2017 PQs. Guidance revised.
7.505	7.505	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised.
7.507	7.507	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity.
7.513	7.513	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.511 of 2017 PQs. Guidance revised. CE-3 changed to CE-6.
7.517	7.517	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question revised for clarity. CE-3 changed to CE-6.
7.519	7.519	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity.
7.521	7.521	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.

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PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.525	7.525	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Question and guidance revised for clarity. CE-3 changed to CE-6.
7.529	7.529	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	No change.
7.537	7.537	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.533 and 7.535 of 2017 PQs. Question and guidance revised for clarity. Reference revised. CE-6 changed to CE-7.
7.543	7.543	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	Merged with 7.515 and 7.523 of 2017 PQs. Question, guidance and reference revised.
7.545	7.545	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	Guidance revised for clarity.

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.001	Has the State promulgated primary aviation legislation in compliance, without exception, with the applicable provisions of Annex 2 on high seas airspace?	<p>1) Review the primary aviation legislation which provides for compliance with the Standards of Annex 2.</p> <p>2) Review the differences which have been filed with ICAO and verify whether exemptions are authorized with respect to compliance with Annex 2 over the high seas airspace.</p>	<p>CC Art. 12 STD A2 2.1.1</p>		CE-1
7.003	Has the State promulgated primary aviation legislation to ensure that air navigation services (ANS) called for under Article 28 of the Chicago Convention are provided in accordance with ICAO SARPs or established from time to time, pursuant to the Chicago Convention?	Verify the primary aviation legislation to ensure compliance with Article 28 of the Chicago Convention.	<p>CC Art. 28</p>		CE-1
7.005	Has the State promulgated primary aviation legislation to facilitate the assistance of aircraft in distress in its territory in adherence to Article 25 of the Chicago Convention?	Verify primary aviation legislation to facilitate assistance to aircraft in distress.	<p>CC Art. 25</p>		CE-1

**USOAP CMA 2020 Protocol Questions — ANS**

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.007	Has the State promulgated specific operating regulations regarding the interception of civil aircraft above its territory?	1) Verify that the State has ratified Article 3 bis of the Chicago Convention.  2) Review the specific operating regulations.  3) Review the AIP ENR 1.12.	CC Art. 3 d) & Art. 3 bis STD A2 3.8, App. 1 & 2 A11 2.25.2 PANS Doc 10066 (AIM) App. 2, ENR 1.12 GM A2 Att. A	Yes	CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.009	Has the State promulgated specific operating regulations to transpose the ANS-related provisions of Annexes 2, 3, 4, 5, 10, 11, 12 and 15?	1) Confirm the title, date of promulgation and last amendment of all regulations related to ANS.  2) Verify that the content of the regulation is consistent, sufficient and properly organized to cover:  a) rules of the air;  b) meteorological service for international air navigation;  c) aeronautical charts;  d) units of measurement to be used in air and ground operations;  e) aeronautical telecommunications, including radio navigation aids, communication procedures, communication systems, surveillance and collision avoidance systems, and aeronautical radio frequency spectrum utilization;  f) air traffic services;  g) search and rescue; and  h) aeronautical information services.	CC Art. 12 STD A19 C3, 3.2.1 & 3.2.2 GM Doc 9734 Part A, C3		CE-2

**USOAP CMA 2020 Protocol Questions — ANS**

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.011	Has the State implemented procedures for amending its ANS specific regulations as well as for identifying and notifying differences, taking into consideration ICAO provisions and their amendments?	<p>1) Verify documented evidence of implemented procedures.</p> <p>2) Verify that amendments of regulations are effected in a timely manner whenever amendments to the ANS-related ICAO Annexes are received.</p> <p>3) Verify the action taken by the State after receipt of the last amendments to the ANS-related ICAO Annexes.</p> <p>4) Verify the information in the Compliance Checklist/Electronic Filing of Differences (CC/EFOD) system if the State uses it as primary means for notifying differences to ICAO.</p> <p>Notes to auditor:</p> <p>1) The development of means for the amendment of specific operating regulations is addressed in LEG PQ 1.009.</p> <p>2) The development of procedures for notification/identification of differences is addressed in LEG PQ 1.025.</p>	<p>CC Art. 37 GM Doc 9734 Part A, C3</p>	Yes	CE-2
7.031	Has the State established an organizational structure with functions related to the safety oversight of ANS providers?	<p>1) Confirm current approved organizational structure for CAA and ANS safety oversight, including clear functions and responsibilities and reporting lines.</p> <p>2) Note names and acronyms of the established authorities and each section dealing with ANS safety oversight activities.</p> <p>3) Cross-check State Aviation Activity Questionnaire (SAAQ).</p>	<p>GM Doc 9734 Part A, C3</p>		CE-3

**USOAP CMA 2020 Protocol Questions — ANS**

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.037	Has the State developed procedures to assist ANS inspectors in carrying out their safety oversight functions in a standardized and effective manner?	<p>Verify that inspector’s procedures and checklists are detailed and based on the State’s requirements.</p> <p>Note to the auditor: Procedures may be compiled into an inspector’s handbook or manual.</p>	GM Doc 9734 Part A, C3		CE-5
7.039	Are the relevant ICAO documents and other technical and regulatory publications readily available to all ANS inspectorate personnel?	<p>1) Verify accessibility of the following documents:</p> <ul style="list-style-type: none"> <li>a) Primary aviation legislation and ANS specific operating regulations.</li> <li>b) Annexes 1, 2, 3, 4, 5, 10, 11, 12 and 15.</li> <li>c) PANS, guidance material and other ANS-related publications.</li> <li>d) World Meteorological Organization (WMO) documentation.</li> <li>e) Other technical/regulatory publications.</li> </ul> <p>2) Review the document control system and method to determine currency of documents.</p> <p>Note to the auditor: Check for field/regional offices as well as Headquarters.</p>	GM Doc 9734 Part A, C3		CE-5
7.042	Have ANS inspectors been issued credentials to facilitate access to ANS facilities in the State and access to service providers’ documentation for the purpose of inspections and enforcement?	<p>Review credentials to ensure:</p> <ul style="list-style-type: none"> <li>1) Reference to empowering legislation.</li> <li>2) Method established to control currency of credential.</li> <li>3) Inspector’s photo.</li> </ul>	GM Doc 9734 Part A, C3		CE-3

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.045	Has the State established and implemented a mechanism for the review and elimination of deficiencies identified within the framework of the Planning and Implementation Regional Groups (PIRGs)?	1) Review mechanism to incorporate these deficiencies into a national repository that enables the following: <ul style="list-style-type: none"> <li>a) tracking;</li> <li>b) analysis;</li> <li>c) assignment of responsibility;</li> <li>d) determination and registration of corrective and preventive actions as appropriate;</li> <li>e) assignment of timelines; and</li> <li>f) review of effectiveness of actions taken.</li> </ul> 2) Review communication with the relevant ICAO Regional Office to update status of the deficiencies.	GM Doc 9734 Part A, C3		CE-8
7.051	If the State is involved in the provision of ANS, is there a distinct separation between the regulatory and the service provision functions for all fields in ANS?	Review the organizational structure and confirm effective separation of regulatory function from service provision functions for: <ul style="list-style-type: none"> <li>1) Air traffic services,</li> <li>2) Aeronautical information services (including cartography),</li> <li>3) Flight procedures design service,</li> <li>4) CNS services,</li> <li>5) Meteorological service, and</li> <li>6) Search and rescue services.</li> </ul> Note to the auditor: If a “functional” separation is in place, the State must demonstrate that the regulatory function operates completely independently, including the use of enforcement actions.	GM Doc 9734 Part A, C2		CE-3

**USOAP CMA 2020 Protocol Questions — ANS**

<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.057	Has the State established for ATS inspectors: a) job descriptions b) appropriate minimum qualifications; and c) experience requirements?	1) Review job descriptions for ATS inspectors.  2) Verify that qualifications criteria include: a) aeronautical licences that are commensurate with their job responsibilities, and b) operational and technical work experience that are compatible with the activities they are required to perform.	GM Doc 9734 Part A, C3		CE-3
7.060	Does the State ensure that the established minimum qualification and experience requirements are met by all ANS inspectorate personnel?	1) Sample recruitment files. 2) Cross-check with established requirements.  Note to the auditor: This PQ covers all 6 ANS sub-areas: AIS, ATS, CNS, Flight Procedures Design, MET and SAR.	GM Doc 9734 Part A, C3		CE-4
7.061	Does the ATS inspectorate have sufficient human resources to carry out its functions?	1) Review ability to attract new inspectors as well as existing vacancies and level of turnovers in past years.  2) Review methodology established for determining staffing needs to carry out all safety oversight-related tasks, including: a) review and revision of regulations, b) training, c) development of guidance material, d) issuance of approvals, e) conducting of surveillance, and f) resolution of identified safety concerns.  Note to the auditor: This PQ is linked to ORG 2.053.	GM Doc 9734 Part A, C3		CE-3

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.062	Has the State arranged for the establishment and provision of ATS in accordance with the provisions of Annex 11?	<p>1) Review State mechanism to ensure compliance with provisions of Annex 11.</p> <p>2) If the State has delegated to another Contracting State or entity the responsibility for provision of ATS over its territory, review appropriate documentation to support the delegation and acceptance.</p>	<p>CC Art. 28 STD A11 2.1 &amp; 2.5</p>		CE-6
7.063	Has the State established and implemented a formal surveillance programme for the continuing supervision of the ATS provider?	<p>1) Verify that surveillance programme includes: a) Types of surveillance activities (audits, inspections, safety events analyses, etc.); b) Time frames or frequency of the activities; and c) Scope of the activities.</p> <p>2) Confirm if plan complies with surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a risk-based method).</p> <p>3) Sample checklists and audits/inspections reports of previous and current years.</p>	<p>GM Doc 9734 Part A, C3</p>		CE-7
7.065	Has the State established a formal training programme detailing the type of training to be provided to its ATS inspectors?	<p>1) Review contents of training programme.</p> <p>2) Confirm inclusion of initial, on-the-job (including competency assessment), recurrent and specialized training, including allotted training periods, as applicable.</p>	<p>GM Doc 9734 Part A, C3</p>		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.069	Is the training programme appropriately implemented for the ATS inspectors?	<p>1) Review the most recent training plan.</p> <p>2) Verify that the most recent training plan is in accordance with the training programme and includes:</p> <ul style="list-style-type: none"> <li>a) Detailed training types;</li> <li>b) Priorities; and</li> <li>c) Time frames.</li> </ul> <p>3) Verify that each inspector’s training is detailed.</p> <p>4) Verify that the type and frequency of training provided (initial, recurrent, specialized and OJT) are sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member.</p> <p>5) Verify that OJT is provided by an experienced senior inspector.</p>	GM Doc 9734 Part A, C3		CE-4
7.073	Does the ANS inspectorate have a system for the maintenance of training records?	<p>1) Review requirements/instructions for the establishment and maintenance of training records.</p> <p>2) Review the system in place.</p> <p>3) Sample training records.</p> <p>4) Verify that training records are systematically retained, including records of the OJT assessments.</p> <p>Note to the auditor: This PQ covers all 6 ANS sub-areas: AIS, ATS, CNS, Flight Procedures Design, MET and SAR.</p>	GM Doc 9734 Part A, C3		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.081	Does the State ensure that the ATS provider assesses and declares the ATC capacity?	<p>1) Review mechanism to ensure compliance.</p> <p>2) Review how the State ensures that ATC capacity is reviewed periodically.</p> <p>3) Sample ATC capacity assessment of control sectors and aerodromes.</p> <p>Note to the auditor: The ATC capacity includes the number of staff required to ensure the adequate provision of an ATS system.</p>	<p>PANS Doc 4444 (ATM) 3.1 GM Doc 9971 Part II, C3 Doc 9426 Part II, Section 1, C1 &amp; App. C</p>		CE-7
7.082	Does the State ensure that air traffic flow management (ATFM) is implemented when air traffic demand at times exceeds, or is expected to exceed, the declared ATC capacity?	<p>1) Review the State mechanism that ensures, when applicable, the establishment and implementation of ATFM service.</p> <p>2) Review implementation of procedures governing the provision of the ATFM service.</p>	<p>STD A11 3.7.5 PANS Doc 4444 (ATM) 3.2 GM Doc 9971 Part II, C3</p>	Yes	CE-7
7.085	Does the State ensure that the ATS provider has developed and implemented policies and procedures to enable recruitment and retention of appropriately qualified and experienced ATS staff?	<p>1) Review State mechanism to ensure compliance.</p> <p>2) Review policies and procedures.</p> <p>3) Review staff records to assess conformity with identified need and stability in staff retention.</p>	<p>GM Doc 9734 Part A, C3 Doc 9426 Part IV, Section 1, C2</p>		CE-6

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.087	Does the State ensure that the air traffic controllers and other ATS staff of the ATS provider are adequately trained?	<p>1) Review State mechanism to ensure compliance.</p> <p>2) Verify if competency is maintained by appropriate refresher training (including the handling of aircraft emergencies and operations under conditions with failed and degraded facilities and systems).</p> <p>3) Verify if the implementation of new or amended procedures, new or updated communications, surveillance and other safety significant systems and equipment is preceded by appropriate training and instruction.</p> <p>4) Review methods used by the State to confirm that training records are maintained.</p> <p>5) During industry visits, verify existence of training records.</p>	<p>PANS Doc 4444 (ATM) 2.5.2 GM Doc 9426 Doc 9734 Part A, C3</p>	Yes	CE-7
7.101	Does the State ensure that a system has been established and implemented for the recording and retention of the ATS data?	<p>1) Review State mechanism to ensure compliance.</p> <p>2) Review documented evidence of the surveillance activities (e.g. tests) over the system that is used for recording and retention of ATS data.</p> <p>3) Review evidence to confirm effective implementation.</p>	<p>STD A11 6.1.1.3 &amp; 6.1.1.4 PANS Doc 4444 (ATM) 4.13.4</p>		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.109	If the State has initiated the implementation of performance-based navigation (PBN), are the prescribed navigation specifications appropriate to the level of communications, navigation and air traffic services?	1) Where applicable, review the mechanism for safety assessments to be conducted before and after implementation.  2) Where applicable, review documented evidences that the safety of the system is assured: a) Procedure design capabilities b) Flight plan adopted for PBN (letter “R” in item 10) c) World Geodetic System - 1984 (WGS-84) implementation.	STD A11 2.7 PANS Doc 4444 (ATM) App. 2 GM Doc 9613		CE-7
7.110	Does the State ensure that ATS routes and significant points are established and designated in accordance with the requirements of Annex 11?	1) Review mechanism to ensure implementation of principles set forth in Annex 11.  2) Verify the process implemented for coordination with ICAO Regional Offices (including the elimination of five-letter name-code (5LNC) duplicates).	STD A11 2.13 & 2.15 App. 1, App. 2 & App. 3		CE-6
7.111	Does the State ensure that separation minima are applied in accordance with Procedures for Air Navigation Services — Air Traffic Management (PANS-ATM) and Regional Supplementary Procedures (SUPPS)?	1) Review State mechanism to ensure compliance.  2) Review documented evidence of the separation minima selected.  3) Confirm effectiveness for the applicable airspace.  4) Verify process applied when the selection and use of separation minima are not in accordance with PANS-ATM.	STD A11 3.4.1 PANS Doc 4444 (ATM) C5 to C8 SUPPS Doc 7030	Yes	CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.117	Does the State ensure that monitoring mechanisms for RVSM are established and implemented for the collection of large height deviations and coordination failures and subsequent reporting to the Regional Monitoring Agency (RMA)?	1) Review documented evidence of the monitoring mechanisms used for RVSM. 2) Review process of exchange of large height deviations with the RMA. 3) Confirm effective implementation.	STD A11 3.3.5.1 GM Doc 9574 5.4.7 SUPPS Doc 7030		CE-7
7.119	Does the State ensure that the ATS provider conducts regular and systematic reviews of: a) standard phraseology; and b) compliance with Annex 11 requirements for readback?	1) Review mechanism established to ensure effective implementation. 2) Review documented evidence of requirements for readback of ATC clearances and use of standard phraseology.	STD A11 3.7.3 A10 Vol. II, 5.1.1.1 & 5.2 PANS Doc 4444 (ATM) 2.5.2, 4.5.7.5 & C12	Yes	CE-7
7.121	Does the State ensure that procedures are established and implemented to control the movement of persons and vehicles on the manoeuvring area of the aerodrome?	1) Review State mechanism to ensure effective implementation. 2) Sample documented evidence of the procedures used to control the movement of persons or vehicles in the manoeuvring area of the aerodrome.	STD A11 3.7.3.3, 3.8 & 3.10 GM Doc 9476 Doc 9830 Doc 9426	Yes	CE-6
7.131	Does the State ensure that policies and procedures are established and implemented for: a) coordination between ATS and other entities*, and b) coordination of activities potentially hazardous to civil aircraft?  *Entities refer to operators, military authorities and AIS.	1) Review State mechanism to ensure compliance. 2) Review internal documented coordination procedures and confirm that they are applied.	STD A11 2.17, 2.18, 2.19 & 2.22 GM Doc 9377 Doc 9554		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.133	Does the State ensure compliance with communications requirements of Annex 11?	1) Review State mechanism to ensure compliance.  2) Verify communications procedures for: AIR - GROUND a) Flight Information Service (FIS), b) area, approach and aerodrome control services, GROUND - GROUND a) Direct speech circuits between ATS units; b) Direct speech circuits between ATS units and: 1) MET offices, 2) military units, 3) AIS, 4) rescue coordination centres (RCCs), 5) apron management services units, and 6) adjacent area control centres (ACCs)/Flight Information Regions (FIRs), etc.	STD A11 C6		CE-6
7.135	Does the State ensure that MET information is supplied promptly to flight information centres, area control centres, approach control units, aerodrome control towers, and communication stations?	1) Review mechanism established to ensure effective implementation.  2) Review evidence of MET information supplied according to the related service.	STD A3 App. 9, 1.1, 1.2, 1.3 & 1.4 A11 7.1	Yes	CE-7
7.137	Does the State ensure that information on aerodrome conditions and the operational status of associated facilities is provided to the aerodrome control tower and unit providing approach control services?	1) Review mechanism established to ensure effective implementation.  2) Review documented evidence of procedures to provide information on aerodrome conditions and the operational status of associated facilities.	STD A11 7.2	Yes	CE-7

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.139	Does the State ensure that information on the operational status of navigation aids is promptly forwarded to appropriate ATS units?	1) Review mechanism established to ensure effective implementation. 2) Review documented evidence of procedures/systems to provide information on visual and non-visual aids to ATS units.	STD A11 7.3 A10 Vol. I, 2.3 & 3.1.2.1.3 GM Doc 9426 Part I, C10 & App. A	Yes	CE-7
7.151	Does the State ensure that procedures have been established and implemented to provide service to aircraft in the event of emergency?	1) Review mechanism established to ensure effective implementation. 2) Review documented evidence of the procedures followed to render assistance to an aircraft in the event of the following emergencies: a) Unlawful interference. b) Aircraft bomb threat. c) Emergency descent.	STD A11 2.24 PANS Doc 4444 (ATM) 15.1		CE-6
7.153	Does the State ensure that contingency plans have been developed and implemented in the event of disruption or potential disruption of ATS or related supporting services?	1) Review mechanism established to ensure effective implementation. 2) Review documented evidence of the existence of contingency plans and how they are applied. 3) Verify that contingency plans have been: a) developed with the assistance of ICAO (as necessary); b) coordinated with ATS authorities responsible for the provision of services in adjacent portions of airspace; and c) coordinated with airspace users. 4) Ensure that contingency plans also address natural disasters and public health emergencies.	STD A11 2.32 GM A11 Att. C	Yes	CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.155	Does the State ensure that the ATS provider has established and implemented procedures to provide assistance in the event of in-flight contingencies?	1) Review State mechanism to ensure compliance. 2) Review documented evidence of the procedures followed: a) to render assistance to stray or unidentified aircraft, and b) in case of interception of an aircraft.	STD A11 2.25 PANS Doc 4444 (ATM) 15.5		CE-6
7.158	Does the State ensure that procedures are established and implemented for air-ground radio communications failure?	1) Review mechanism established to ensure effective implementation. 2) Review documented evidence of implemented procedures related to air-ground radio communications failure. 3) If data link services are provided, verify that procedures are established and implemented for log on and CPDLC failures.	STD A2 3.6.5.2 A10 Vol. II, 5.2.2.7, 8.1.1.4 & 8.2.12 PANS Doc 4444 (ATM) 15.3 SUPPS Doc 7030		CE-6
7.159	Does the State ensure that ATC contingency procedures are established and implemented?	1) Review mechanism established to ensure effective implementation. 2) Review documented evidence of ATC contingency procedures for: a) radio communications contingencies. b) emergency separation, and c) if applicable, for i) short-term conflict alert (STCA); ii) minimum safe altitude warning (MSAW); iii) aircraft equipped with ACAS; and iv) autonomous runway incursion warning system (ARIWS).	PANS Doc 4444 (ATM) 15.6 & 15.7	Yes	CE-6

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.162	If data link services are provided, does the State ensure that relevant procedures are established and implemented?	1) Review mechanism established to ensure effective implementation.  2) Review documented evidence of implemented procedures and good operating practices related to a) initiation of data link communications (logon); b) establishment of CPDLC; c) exchange of operational CPDLC messages; and d) provision of ADS-C services.	PANS Doc 4444 (ATM) 4.15, C13, 14.2 & 14.3 GM Doc 10037		CE-6
7.177	Does the State ensure that the service provider carries out safety risk assessments, with respect to safety-related changes to the ATS system and activities potentially hazardous to civil aircraft?	1) Review mechanism established to ensure effective implementation.  2) Review documented evidence requiring safety risk assessment and confirm enforcement.  3) Review methodology and effectiveness, including post-implementation monitoring mechanism.  4) Verify that users are consulted.	STD A11 2.19.3 & 2.29 PANS Doc 4444 (ATM) 2.6 GM Doc 9859 Doc 9554	Yes	CE-7
7.183	Does the State ensure that safety reviews are conducted on a regular and systematic basis by the ATS service provider?	1) Review mechanism established to ensure effective implementation on continuing basis.  2) Check safety reviews that were carried out and follow-up action(s) that were taken.	PANS Doc 4444 (ATM) 2.5		CE-7
7.185	Does the State ensure that the ATS provider has appropriately qualified personnel to conduct safety reviews?	1) Review mechanism established to ensure effective implementation.  2) Verify qualifications and experience of personnel involved.	PANS Doc 4444 (ATM) 2.5.1		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.187	Does the State ensure that the ATS provider systematically reviews safety-related reports (including air traffic incident reports)?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Review documented evidence of an implemented process for reporting and for follow-up action (including internal investigation).</p> <p>3) Review documentation of detected adverse trends in number and types of incidents.</p>	PANS Doc 4444 (ATM) 2.4.2 & 16.3		CE-7
7.189	Does the State ensure that a runway safety programme is established and implemented?	Review mechanism established to ensure effective implementation.	GM Doc 9870 C3		CE-7
7.191	Has the State established regulations for the purpose of managing fatigue in the provision of ATS?	<p>1) Verify that prescriptive regulations which take into account acute and cumulative fatigue, circadian factors, and the type of work being undertaken have been established with respect to:</p> <p>a) duty limitations and the non-duty period minima; and</p> <p>b) a process for assigning unscheduled duties (standby and on-call) in accordance with Annex 11, Appendix 5.</p> <p>2) Where authorizing ATS providers to use a fatigue risk management system (FRMS) to manage fatigue outside of prescribed limits, verify that FRMS regulations have been established in accordance with Annex 11, Appendix 6.</p>	STD A11 2.28.1, App. 5 & App. 6 GM Doc 9966 App. A, A4		CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.193	Has the State established and implemented a process for its ATS inspectors to allow variations from prescriptive limitation regulations or the approval of an FRMS?	<p>1) Review if the process to allow variations from the prescriptive limitation regulations ensures that risk is being managed in the case of sudden and unforeseen operational circumstances by verifying:</p> <ul style="list-style-type: none"> <li>a) The reason for the need to deviate;</li> <li>b) The extent of the deviation;</li> <li>c) The date and time of enactment of the deviation; and</li> <li>d) A safety case, outlining mitigations, to support the deviation.</li> </ul> <p>2) Where an ATS provider implements an FRMS to manage fatigue outside of prescribed limits, ensure that there is a documented and approved FRMS process.</p>	<p>STD A11 2.28.3 &amp; App. 5, 3 GM Doc 9966 App. A, A4</p>		CE-6
7.195	Does the State ensure that the ATS provider complies with the Fatigue Management Regulations?	<p>1) Where an ATS provider complies with the prescriptive Fatigue Management regulations, review surveillance activities to verify that:</p> <ul style="list-style-type: none"> <li>a) Scheduling practices are commensurate with the services provided; and</li> <li>b) Compliance with prescriptive limitation regulations is monitored.</li> </ul> <p>2) Where an ATS provider implements an FRMS to manage fatigue outside of prescribed limits, review surveillance activities to ensure compliance with the approved FRMS.</p> <p>3) During the industry visit, confirm effective implementation.</p>	<p>STD A11 2.28.2 GM Doc 9966 App. A, A4</p>	Yes	CE-7

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.199	Has the State established and implemented a mechanism/system with time frame for elimination of deficiencies identified by ATS inspectors?	1) Review list of deficiencies that have been identified through surveillance and the remedial actions planned or taken.  2) Review mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of corrective action plans (CAPs).  3) Review effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).	GM Doc 9734 Part A, C3		CE-8
7.201	Has the State promulgated regulations as bases for instrument flight procedures design?	1) Verify regulatory requirements.  2) If criteria other than Doc 8168, Vol. II are used, verify that they provide an equivalent level of safety.	STD A11 2.34 & App. 7, 3 GM Doc 10068 2.1.3		CE-2
7.205	Has the State established for flight procedures inspectors: a) job descriptions; b) appropriate minimum qualifications; and c) experience requirements?	1) Review job descriptions for flight procedures inspectors (including tasks related to the approval process of flight procedures).  2) Verify that qualifications criteria include: a) aeronautical certificates commensurate with their job responsibilities, and b) operational and technical work experience compatible with the activities they are required to perform.	GM Doc 9734 Part A, C3 Doc 10068 2.1.4 & 2.1.5		CE-3

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.209	Does the flight procedures inspectorate have sufficient human resources to carry out its functions?	<p>1) Review ability to attract new inspectors as well as existing vacancies and level of turnovers in past years.</p> <p>2) Review methodology established for determining staffing needs to carry out all safety oversight-related tasks including:</p> <ul style="list-style-type: none"> <li>a) review and revision of regulations,</li> <li>b) training,</li> <li>c) development of guidance material,</li> <li>d) issuance of approvals,</li> <li>e) conducting of surveillance, and</li> <li>f) resolution of identified safety concerns.</li> </ul> <p>Note to the auditor: This PQ is linked to ORG PQ 2.053.</p>	GM Doc 9734 Part A, C3 Doc 10068 2.1.4		CE-3
7.211	Has the State developed a formal training programme detailing the type of training to be provided to its flight procedures inspectors?	<p>1) Review contents of training programme.</p> <p>2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.</p>	GM Doc 9734 Part A, C3 Doc 10068 2.1.5		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.215	Is the training programme appropriately implemented for flight procedures inspectors?	<p>1) Review most recent training plan.</p> <p>2) Verify that the most recent training plan is in accordance with the programme and includes:</p> <ul style="list-style-type: none"> <li>a) Detailed training types;</li> <li>b) Priorities; and</li> <li>c) Time frames.</li> </ul> <p>3) Verify that each inspector’s training is detailed.</p> <p>4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member.</p> <p>5) Verify that OJT is provided by an experienced senior inspector.</p>	<p>GM Doc 9734 Part A, C3 Doc 10068 2.1.5</p>		CE-4
7.229	Does the State ensure that appropriate minimum qualification requirements for flight procedures designers are met?	<p>1) Review the mechanism established to ensure effective implementation.</p> <p>2) Review qualifications required for new procedures design staff.</p>	<p>GM Doc 9734 Part A, C3 Doc 10068 2.1.7.4</p>		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.231	Has the State established and implemented a formal surveillance programme for the continuing supervision of the instrument flight procedure design service (IFPDS) provider?	<p>1) Review that surveillance programme includes:</p> <ul style="list-style-type: none"> <li>a) Types of surveillance activities (audits, inspections, safety events analyses, etc.),</li> <li>b) Time frames or frequency of the activities, and</li> <li>c) Scope of the activities.</li> </ul> <p>2) Confirm if plan is in compliance with surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a risk-based method).</p> <p>3) Sample checklists and audits/inspections reports of previous and current years.</p>	GM Doc 9734 Part A, C3		CE-7
7.233	Has the State established and implemented a mechanism/system with time frame for elimination of deficiencies identified by flight procedures inspectors?	<p>1) Review the list of deficiencies that have been identified through surveillance and the remedial actions planned or taken.</p> <p>2) Review mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of corrective action plans (CAPs).</p> <p>3) Review effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).</p>	GM Doc 9734 Part A, C3		CE-8
7.234	Does the State ensure that instrument flight procedures (IFPs) are reviewed periodically (including validation) to ensure that they continue to comply with changing criteria and meet user requirements?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Sample documentation regarding periodic reviews done and verify that they are still valid in terms of minimum obstacle clearances.</p> <p>3) Confirm that maximum interval for review is five years.</p>	PANS Doc 8168 (OPS) Vol. II, Part 1, Section 2, C4 STD A11 App. 7, 6	Yes	CE-7

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.243	Does the State ensure that the flight procedure designers of the service providers are properly trained for their assigned functions and tasks?	1) Review mechanism established to ensure effective implementation.  2) Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training.  3) Review method used by the State to confirm that training records are maintained.	PANS Doc 8168 (OPS) Vol. II, Part I, Section 2, C4, 4.7 GM Doc 9734 Part A, C3 Doc 9906 Vol. 2		CE-7
7.247	Does the State ensure that all IFPs comply with measures that control the quality of the process (including obstacles check)?	1) Review mechanism established to ensure effective implementation.  2) Verify reports and results of flight validations (including assurance that adequate obstacle clearance has been provided).  3) Review how the State ensures that IFP packages also include a list of relevant obstacles and identification and description of controlling obstacles.	STD A11 App. 7, 5 PANS Doc 8168 (OPS) Vol. II, Part I, Section 2, C4, 4.1.2 & 4.6.1 Doc 9906 Vol. 1 & Vol. 5	Yes	CE-6
7.249	Does the State ensure that the IFPDS provider publishes obstacle clearance altitude/height (OCA/H)?	1) Review mechanism established to ensure effective implementation.  2) Review AIP AD 2.24 to see if published.  3) If aerodrome operating minima have been established by the State, verify if they are shown.	STD A4 11.10.7.2 A11 2.23 PANS Doc 8168 (OPS) Vol. II, Part I, Section 4, C5, 5.4 & C9, 9.4.3.1	Yes	CE-6

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.253	Does the State ensure that flight procedures are in accordance with the criteria promulgated by the State?	1) Review mechanism established to ensure effective implementation.  2) Verify that AIP procedures have been approved in accordance with the criteria promulgated by the State.  3) Sample approval records, as applicable: a) SID procedures (departures and arrivals) b) Approach procedures c) Circling procedures d) En-route procedures e) Holding procedures f) Noise abatement procedures g) Altimeter setting procedures h) Procedures for simultaneous operations on parallel runways. i) Procedures for SSR and transponder.	STD A11 2.34 & App. 7 PANS Doc 8168 (OPS) Vol. II GM Doc 9906 Vol. 1, 7.10	Yes	CE-6
7.255	Does the State ensure that IFPDS providers retain all procedure design documentation, so as to allow any data anomalies or errors found during the production, maintenance or operational use of the procedure to be corrected?	1) Review mechanism established to ensure effective implementation.  2) Review procedures, working files, documentation and data.	PANS Doc 8168 (OPS) Vol. II, Part I, Section 2, C4, 4.5.2		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.267	Does the State ensure that the AIS has implemented and maintained a quality management system (QMS)?	<p>1) Review mechanism established to ensure effective implementation of the QMS.</p> <p>2) Review implementation of requirements to measure, monitor and analyse processes to achieve a continuous improvement on the AIS.</p> <p>3) Review implementation of user feedback system.</p> <p>4) Verify that the implemented QMS encompasses the following processes: collection, processing (including verification and validation) and quality control.</p>	<p>STD A4 2.17 A15 3.6 PANS Doc 10066 (AIM) 3.1</p>	Yes	CE-7
7.269	Does the AIS inspectorate have sufficient human resources to carry out its functions?	<p>1) Review methodology established for determining staffing needs.</p> <p>2) Review ability to attract new inspectors as well as existing vacancies and level of turnover in past years.</p> <p>3) Review ability to carry out all safety oversight-related tasks, including:</p> <ul style="list-style-type: none"> <li>a) review and revision of regulations,</li> <li>b) training,</li> <li>c) development of guidance material,</li> <li>d) conducting of surveillance, and</li> <li>e) resolution of identified safety concerns.</li> </ul> <p>Note to the auditor: This PQ is linked to ORG 2.053.</p>	<p>GM Doc 9734 Part A, C3</p>		CE-3

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.273	Has the State established for AIS inspectors: a) job descriptions; b) appropriate minimum qualifications; and c) experience requirements?	1) Review job descriptions for AIS inspectors.  2) Verify that qualifications criteria include: a) aeronautical certificates commensurate with their job responsibilities, and b) operational and technical work experience compatible with the activities that they are required to perform.	GM Doc 9734 Part A, C3		CE-3
7.277	Has the State developed a formal training programme detailing the type of training that should be provided to its AIS inspectors?	1) Review contents of training programme.  2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.	GM Doc 9734 Part A, C3		CE-4
7.281	Is the training programme appropriately implemented for AIS inspectors?	1) Review the most recent training plan.  2) Verify that the most recent training plan is in accordance with the programme and includes: a) Detailed training types; b) Priorities; and c) Time frames.  3) Verify that each inspector’s training is detailed.  4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member.  5) Verify that OJT is provided by an experienced senior inspector.	GM Doc 9734 Part A, C3		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.287	Has the State established and implemented a formal surveillance programme for the continuing supervision of AIS?	<p>1) Verify that surveillance programme includes:</p> <ul style="list-style-type: none"> <li>a) Types of surveillance activities (audits, inspections, safety events analyses, etc.)</li> <li>b) Time frames or frequency of the activities</li> <li>c) Scope of the activities.</li> </ul> <p>2) Confirm if plan is in compliance with the surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a risk-based method).</p> <p>3) Sample checklists and audits/inspections reports of previous and current years.</p> <p>Note to the auditor: Verify if the scope includes aeronautical charts.</p>	GM Doc 9734 Part A, C3		CE-7
7.288	Has the State arranged for the establishment and provision of AIS in accordance with Annex 15 provisions?	<p>1) Review mechanism to ensure compliance with Annex 15.</p> <p>2) Review organizational chart and evidence of the established service.</p> <p>3) If the State has made agreement with other Contracting States or delegated the authority for the provision of AIS to a non-governmental agency, verify how the State ensures that the SARPs are met.</p>	STD A15 2.1		CE-6

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.289	Has the State established and implemented a mechanism/system with time frame for the elimination of deficiencies identified by AIS inspectors?	<p>1) Review list of deficiencies the have been identified through surveillance and the remedial actions planned or taken.</p> <p>2) Review mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of corrective action plans (CAPs).</p> <p>3) Review effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).</p>	GM Doc 9734 Part A, C3		CE-8
7.291	Does the State ensure that formal arrangements are established between the originators of aeronautical data and information and the AIS on the timely and complete provision of aeronautical data and information?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Confirm that formal arrangements are in place and up-to-date with the data originators and consistent with the aeronautical data catalogue (including how the aeronautical data catalogue is made available and enforced).</p> <p>3) Review arrangements with the oversight authorities and sample arrangement with an aerodrome authority or ATS provider.</p>	STD A15 2.1.5 PANS Doc 10066 (AIM) 2.1.1 & App. 1	Yes	CE-7
7.303	Does the State ensure that the technical staff of AIS and cartographic service providers' personnel possess the competencies required to perform the assigned functions and tasks?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Review documented training programme and verify if it requires initial and periodic assessments of the personnel to demonstrate the competencies.</p> <p>3) Review method used by the State to confirm that training records are maintained.</p>	STD A15 3.6.4 GM Doc 9734 Part A, C3		CE-7

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<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.309	Does the State ensure that the Aeronautical Information Regulation and Control (AIRAC) system is used to notify the establishment, withdrawal and premeditated significant changes of circumstances?	1) Review mechanism established to ensure effective implementation, on a continuous basis.  2) Review how the State ensures that:  a) Implementation dates other than AIRAC effective dates are not used for pre-planned operationally significant changes requiring cartographic work and/or updating of navigation databases; b) AIRAC AIP Amendment contains an effective date; c) AIRAC AIP Supplement page shows a publication date and an effective date; and d) Trigger NOTAM is originated when an AIP Amendment or AIP Supplement is published.	STD A15 6.2.1, 6.2.2, 6.2.5, 6.3.1 & 6.3.2 PANS Doc. 10066 (AIM) 5.2.1.3.1, 5.2.1.3.5, 5.2.1.3.6, 5.2.1.4 & C6 GM Doc 8126 2.6		CE-7
7.311	Does the State ensure that aeronautical data and information are provided in accordance with the data quality specifications?	Review surveillance tasks to ensure continuous compliance with the aeronautical data catalogue.	STD A15 2.1.4 & 3.2 PANS Doc 10066 (AIM)	Yes	CE-7
7.321	Does the State ensure the availability of charts either by producing the charts itself or by arranging for its production by another Contracting State or by an agency?	1) Review documented evidence of the established service.  2) If services are arranged, verify: a) how the State arranged with the other Contracting State or agency for charts production. b) that each entity’s responsibilities are clearly defined and that there is no conflict or overlap of responsibilities.	CC Art. 28 STD A4 1.3.2.1 GM Doc 8126 App.to C5 GEN 3.2 Doc 9734 Part A, C3		CE-6

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.361	Has the State taken reasonable measures to ensure that the information that it provides and the aeronautical charts made available are comprehensive and accurate and that they are maintained up to date by a revision service?	1) Review surveillance activities done by the State.  2) Review the measures which ensure that the information on charts is comprehensive, accurate and up to date.	STD A4 1.3.3		CE-7
7.363	Does the State ensure that the charts, which are applicable in the State, are available and went through a validation and verification process?	1) Review the surveillance task done to ensure effective implementation.  2) Sample the following charts and verify if they went through verification and validation process to ensure that quality requirements are met:  a) Aerodrome Obstacle Chart – ICAO Type A; b) Precision Approach Terrain Chart – ICAO; c) En-route Chart – ICAO; d) Area Chart – ICAO or, alternatively, Standard Departure Chart – Instrument (SID) – ICAO and Standard Arrival Chart – Instrument (STAR) – ICAO; e) Instrument Approach Chart – ICAO; f) Visual Approach Chart – ICAO; g) Aerodrome/Heliport Chart – ICAO; h) Aerodrome Ground Movement Chart – ICAO; i) Aircraft Parking/Docking Chart – ICAO; j) World Aeronautical Chart – ICAO 1: 1 000 000 or, alternatively, Aeronautical Chart – ICAO 1: 500 000 or Aeronautical Navigation Chart – ICAO Small Scale; k) Plotting Chart – ICAO; and l) ATC Surveillance Minimum Altitude Chart – ICAO.	STD A15 3.3.2 A4 1.3.2.2, 3.2, 6.2, 7.2, 8.2, 9.2, 10.2, 11.2, 12.2, 13.2, 14.2, 15.2, 16.2, 17.2, 18.2, 19.2 & 21.2	Yes	CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.373	Does the CNS inspectorate have sufficient human resources to carry out its functions?	<p>1) Review methodology established for determining staffing needs.</p> <p>2) Review ability to attract new inspectors as well as existing vacancies and level of turnovers in past years.</p> <p>3) Review ability to carry out all safety oversight related tasks, including:</p> <ul style="list-style-type: none"> <li>a) review and revision of regulations,</li> <li>b) training,</li> <li>c) development of guidance material,</li> <li>d) issuance of approvals,</li> <li>e) conducting of surveillance, and</li> <li>f) resolution of identified safety concerns.</li> </ul> <p>Note to the auditor: This PQ is linked to ORG PQ 2.053.</p>	GM Doc 9734 Part A, C3		CE-3
7.377	Has the State established for CNS inspectors: a) job descriptions; b) appropriate minimum qualifications; and c) experience requirements?	<p>1) Review job descriptions for CNS inspectors.</p> <p>2) Verify that qualifications criteria include:</p> <ul style="list-style-type: none"> <li>a) aeronautical certificates and academic degrees commensurate with their job responsibilities, and</li> <li>b) operational and technical work experience compatible with the activities that they are required to perform.</li> </ul>	GM Doc 9734 Part A, C3		CE-3
7.381	Has the State developed a formal training programme detailing what type of training should be provided to its CNS inspectors?	<p>1) Review contents of training programme.</p> <p>2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.</p>	GM Doc 9734 Part A, C3		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.385	Is the training programme appropriately implemented for CNS inspectors?	1) Review the most recent training plan.  2) Verify that the most recent training plan is in accordance with the programme and includes: a) Detailed training types; b) Priorities; and c) Time frames.  3) Verify that each inspector’s training is detailed.  4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member.  5) Verify that OJT is provided by an experienced senior inspector.	GM Doc 9734 Part A, C3		CE-4
7.390	Has the State arranged for the provision of CNS systems and facilities in accordance with Annex 10 provisions?	1) Review State mechanism to ensure compliance with Annex 10 provisions.  2) Review organizational chart and evidence of the established CNS services.	CC Art. 28 STD A10		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.391	Does the State effectively conduct surveillance over the entity responsible for the maintenance and operation of the CNS systems and facilities?	<p>1) Review that the surveillance programme includes:</p> <ul style="list-style-type: none"> <li>a) Types of surveillance activities (audits, inspections, safety events analyses, etc.),</li> <li>b) Time frames or frequency of the activities, and</li> <li>c) Scope of the activities.</li> </ul> <p>2) Confirm if plan is in compliance with the surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a risk-based method).</p> <p>3) Sample checklists and audits/inspections reports of previous and current years.</p> <p>4) Confirm that facilities and staff of entity are included.</p>	GM Doc 9734 Part A, C3		CE-7
7.393	Does the State ensure that requirements for flight inspection are established and periodical flight inspections are provided for radio navigation aids?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Review flight inspection regulations and procedures.</p> <p>3) Verify flight inspection reports.</p>	STD A10 Vol. I, 2.2 & C3 GM Doc 8071 Vol. I, C1 to C7	Yes	CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.395	Has the State established and implemented a mechanism/system with time frame for the elimination of deficiencies identified by CNS inspectors?	1) Review list of deficiencies that have been identified through surveillance and the remedial actions planned or taken.  2) Review mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify the effective implementation of corrective action plans (CAPs).  3) Review effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).  Note to the auditor: Consider the three systems of communications, navigation and surveillance.	GM Doc 9734 Part A, C3		CE-8
7.403	Does the State ensure that the technical staff of the entity operating CNS systems and facilities are properly trained for their assigned functions and tasks?	1) Review mechanism established to ensure effective implementation.  2) Review documented training programme and verify if it includes, when applicable, initial, recurrent or specialized training.  3) Review method used by the State to confirm that training records are maintained.  4) Review relevant training per CNS system.	GM Doc 9734 Part A, C3		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.412	Has the State designated a meteorological authority to provide MET services or made arrangements for the provision of MET services in accordance with Annex 3 provisions?	1) Review State mechanism to ensure compliance with Annex 3 provisions.  2) Review organizational chart and evidence of the established service.  3) If the State has made agreement with other Contracting States or delegated the authority for the provision of the service, verify how the State ensures that the SARPs are met.  4) Ensure that the delegation is identified in the AIP, GEN 1.1.	CC Art. 28 STD A3 2.1.4		CE-6
7.415	Does the State ensure that an agreement has been established between ATS and MET authorities?	1) Review mechanism established to ensure effective implementation.  2) Verify existence of any agreements between the two authorities.  3) Verify whether the agreement includes the calibration of MET equipment that provides the information to support displays used by ATS.	STD A11 2.21 RP A3 4.2 GM Doc 9377 C5 & App. 2		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.417	Does the MET inspectorate have sufficient human resources to carry out its functions?	<p>1) Review methodology established for determining staffing needs.</p> <p>2) Review ability to attract new inspectors as well as existing vacancies and level of turnovers in past years.</p> <p>3) Review ability to carry out all safety oversight-related tasks, including:</p> <ul style="list-style-type: none"> <li>a) review and revision of regulations,</li> <li>b) training,</li> <li>c) development of guidance material,</li> <li>d) conducting of surveillance, and</li> <li>e) resolution of identified safety concerns.</li> </ul> <p>Note to the auditor: This PQ is linked to ORG 2.053.</p>	GM Doc 9734 Part A, C3		CE-3
7.421	Has the State established for MET inspectors: a) job descriptions; b) appropriate minimum qualifications; and c) experience requirements?	<p>1) Review job descriptions for MET inspectors.</p> <p>2) Verify that qualifications criteria include:</p> <ul style="list-style-type: none"> <li>a) certificates or academic degrees that are commensurate with their job responsibilities, and</li> <li>b) operational and technical work experience that are compatible with the activities they are required to perform.</li> </ul>	GM Doc 9734 Part A, C3		CE-3
7.425	Has the State developed a formal training programme detailing the type of training to be provided to its MET inspectors?	<p>1) Review contents of training programme.</p> <p>2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.</p>	GM Doc 9734 Part A, C3		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.429	Is the training programme appropriately implemented for MET inspectors?	1) Review the most recent training plan.  2) Verify that the most recent training plan is in accordance with the programme and includes: a) Detailed training types; b) Priorities; and c) Time frames.  3) Verify that each inspector’s training is detailed.  4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member.  5) Verify that OJT is provided by an experienced senior inspector.	GM Doc 9734 Part A, C3		CE-4
7.435	Has the State established and implemented a formal surveillance programme for the continuing supervision of the service provider responsible for MET services?	1) Review that surveillance programme includes: a) Types of surveillance activities (audits, inspections, safety events analyses, etc.), b) Time frames or frequency of the activities, and c) Scope of the activities.  2) Confirm if plan is in compliance with surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a risk-based method).  3) Sample checklists and audits/inspections reports of previous and current years.	GM Doc 9734 Part A, C3		CE-7

**USOAP CMA 2020 Protocol Questions — ANS**

<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.437	Has the State established and implemented a mechanism/system with time frame for elimination of deficiencies identified by MET inspectors?	<p>1) Review list of deficiencies that have been identified by inspection and the remedial actions planned/taken.</p> <p>2) Review mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of corrective action plans (CAPs).</p> <p>3) Review effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).</p>	GM Doc 9734 Part A, C3		CE-8
7.451	Does the State ensure that the designated meteorological authority has established a properly organized quality system?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Review documented evidence of established quality system including procedures, processes and resources.</p>	STD A3 2.2 GM (non-ICAO) WMO-No. 1100		CE-7
7.459	Does the State ensure that the wind sensors for local routine reports are appropriately sited to give the best practicable indication of conditions along the runway/touchdown zone?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Also see AIP GEN 3.5.3.</p> <p>3) Verify on industry visit.</p>	STD A3 4.6.1.1 RP A3 4.6.1.2		CE-7
7.461	Does the State ensure that SIGMETS are issued in accordance with Annex 3 provisions?	<p>1) Review mechanism established to ensure effective implementation in continuous basis.</p> <p>2) Where applicable, review an extract of staff instructions which cover the issuance of SIGMET messages for volcanic ash and tropical cyclones.</p>	STD A3 7.1		CE-7

**USOAP CMA 2020 Protocol Questions — ANS**

<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.463	Does the State ensure that provisions related to special air-reports, including those for volcanic ash, are followed with respect to their relay to the relevant MET offices?	1) Review mechanism established to ensure effective implementation.  2) Verify the existence of staff instructions at the ATS and MET units regulating the issuance of special air-reports.  3) As applicable, make sure that the specific case of volcanic ash is covered therein.	STD A3 5.8 A11 4.2.3 PANS Doc 4444 (ATM) 4.12		CE-7
7.465	Does the State ensure that MET offices issue wind shear warnings for aerodromes where wind shear is considered as a safety factor?	1) Review mechanism established to ensure effective implementation.  2) Sample, in an aerodrome, the assessments carried out with the ATS authorities and the air operators to determine if wind shear is considered a safety factor.  3) Verify the existence of staff instructions concerning the issuance of wind shear warnings.	STD A3 7.4 GM Doc 9817 C5, 5.3.19 to 5.3.26	Yes	CE-7
7.467	Does the State ensure that the MET service provider has established criteria for special observations and reports?	1) Review mechanism established to ensure effective implementation.  2) Sample criteria established by the MET service provider for an aerodrome (in consultation with the ATS provider and operator).	STD A3 C4, 4.4.1 & App. 3, 3.2		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.475	Does the State ensure that meteorological reports are issued in accordance with the related technical specifications outlined in Annex 3?	1) Review mechanism established to ensure effective implementation on a continuous basis for: a) Local routine and local special reports; b) METAR and SPECI; c) TAF; d) SIGMET and AIRMET; and e) Aerodrome warning and wind shear warning.  2) Check availability of reliable communications means.	STD A3 C4, 4.1.3 & 4.3 App. 3, 2.1.1 & 2.1.2; App. 5, 1.1.1; App. 6, 1.1.1, 2.1.1, 5.1.1 & 6.2.1	Yes	CE-7
7.476	Does the State ensure that the meteorological personnel providing service for international air navigation comply with the requirements of the World Meteorological Organization (WMO) in respect of qualifications, competencies and education?	1) Review mechanism established to ensure effective implementation.  2) Review how the State ensures compliance with the Basic Instruction Packages for Meteorologists and Meteorological Technicians.  3) Review method used by State to confirm that training records are maintained.	STD A3 C2, 2.1.5 GM (non-ICAO) WMO-No. 49 (Technical Regulations) Vol. I, Part VI, 1.1 to 1.4 & App. A		CE-7
7.477	Does the State ensure that the aeronautical meteorological stations are inspected at sufficiently frequent intervals?	Review mechanism established to ensure effective implementation of the calibration and maintenance of the automatic meteorological observing systems at aerodromes.	STD A3 C4, 4.1.4 GM Doc 9837		CE-7

## USOAP CMA 2020 Protocol Questions — ANS

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.481	Has the State arranged for the establishment and provision of SAR services within its territory and the areas where the State has accepted responsibility to provide SAR on a 24-hour basis in accordance with Annex 12 provisions?	<p>1) Review documented evidence of the establishment of the service which includes a responsible authority and a legal framework.</p> <p>2) Review organizational structure.</p> <p>3) If the State has made arrangements with another Contracting State, review how the service provision has been delegated.</p>	STD A12 2.1.1 & 2.1.3		CE-6
7.487	Does the SAR inspectorate have sufficient human resources to carry out its functions?	<p>1) Review ability to attract new inspectors as well as existing vacancies and level of turnovers in past years.</p> <p>2) Review methodology established for determining staffing needs to carry out all safety oversight-related tasks, including:</p> <ul style="list-style-type: none"> <li>a) review and revision of regulations,</li> <li>b) training,</li> <li>c) development of guidance material,</li> <li>d) issuance of approvals,</li> <li>e) conducting of surveillance, and</li> <li>f) resolution of identified safety concerns.</li> </ul> <p>Note to the auditor: This PQ is linked to ORG 2.053.</p>	GM Doc 9734 Part A, C3		CE-3
7.491	Has the State established for SAR inspectors: a) job descriptions; b) minimum qualifications; and c) experience requirements?	<p>1) Review job descriptions of SAR inspectors.</p> <p>2) Review qualifications and experience criteria established.</p>	GM Doc 9734 Part A, C3		CE-3
7.495	Has the State developed a formal training programme detailing the type of training to be provided to its SAR inspectors?	<p>1) Review contents of training programme.</p> <p>2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.</p>	GM Doc 9734 Part A, C3		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.499	Is the training programme appropriately implemented for SAR inspectors?	1) Review the most recent training plan.  2) Verify that the most recent training plan is in accordance with the programme and includes: a) Detailed training types; b) Priorities; and c) Time frames.  3) Verify that each inspector’s training is detailed.  4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member.  5) Verify that OJT is provided by an experienced senior inspector.	GM Doc 9734 Part A, C3		CE-4
7.505	Has the State established and implemented a formal surveillance programme for the continuing supervision of the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC)?	1) Review that surveillance programme includes: a) Types of surveillance activities (audits, inspections, safety events analyses, etc.); b) Time frames or frequency of the activities; and c) Scope of the activities.  2) Confirm if plan is in compliance with surveillance programme, including unannounced and follow-up inspections.  3) Sample checklists and audits/inspections reports of previous and current years.	GM Doc 9734 Part A, C3		CE-7

**USOAP CMA 2020 Protocol Questions — ANS**

<b>PQ No.</b>	<b>Protocol Question</b>	<b>Guidance for Review of Evidence</b>	<b>ICAO References</b>	<b>PPQ</b>	<b>CE</b>
7.507	Has the State established and implemented a mechanism/system with time frame for the elimination of deficiencies identified by SAR inspectors?	<p>1) Review list of deficiencies that have been identified by inspection and the remedial actions planned/taken.</p> <p>2) Review mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of CAPs.</p> <p>3) Review effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).</p>	GM Doc 9734 Part A, C3		CE-8
7.513	Has the State established an RCC or, as applicable, an RSC in each search and rescue region (SRR)?	<p>1) Review the documentation to ensure that each SRR has an RCC.</p> <p>2) Existence of appropriate communications facilities.</p> <p>3) If a State has not established a joint rescue coordination centre (JRCC), review how close coordination between the aeronautical and marine RCCs/RSC is achieved.</p>	STD A12 2.3.1 & 2.4 RP A12 2.3.2		CE-6
7.517	Does the State ensure that its SAR organization coordinates with those of neighbouring States?	Review international letters of agreement and national SAR plans.	STD A12 3.1.1 RP A12 3.1.5		CE-6
7.519	Does the State permit, subject to such conditions as may be prescribed by its own authorities, entry into its territory of SAR units of other States for the purpose of searching for the site of aircraft accidents and rescuing survivors of such accidents?	Review legislation (issued by the appropriate authority).	STD A12 3.1.3		CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.521	Does the State authorize its rescue coordination centres (RCCs) to provide, when requested, assistance to other RCCs, including assistance in the form of aircraft, vessels, persons or equipment?	Review standing orders to RCCs.	RP A12 3.1.7		CE-3
7.525	Does the State ensure that an H24 (continuing day and night service) designation of a SAR point of contact for the receipt of COSPAS-SARSAT distress data?	1) Check the COSPAS-SARSAT website to ensure that the State has designated a single point of contact (SPOC). 2) Check if the SPOC has responded to test messages sent from COSPAS-SARSAT.	STD A12 3.2.5		CE-6
7.529	Has the State ensured that each rescue coordination centre (RCC) and rescue sub-centre (RSC) employ sufficient workforce skilled in coordination and operational functions?	1) Review mechanism established to ensure effective implementation. 2) Review documented evidence.	STD A12 2.1.1.2		CE-7
7.537	Does the State ensure that the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC), is staffed 24 hours a day by trained personnel proficient in the use of the English language?	1) Review mechanism established to ensure effective implementation. 2) Review the policy that the English language proficiency is required in radiotelephony communications. 3) Verify if training is aligned with the IAMSAR guidance material. 4) Review method used by the State to confirm that training records are maintained.	STD A1 1.2.9 A10 Vol. II, 5.2.1.2 A12 2.3.3 RP A12 2.3.4 GM Doc 9731 (IAMSAR Manual) Vol. I, C3, 3.2		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.543	Does the State ensure that each rescue coordination centre (RCC) has prepared detailed plans of operation for the conduct of SAR operations?	<p>1) Review State mechanism to ensure compliance on continuous basis (including compliance that information is available and up-to-date).</p> <p>2) Review if the RCC plans of operations:                      a) identify designated SAR units, public or private, and                      b) indicate that the SAR units are suitably located and equipped for SAR operations (review letter of agreements).</p> <p>3) Review how the State arranges with aircraft, vessels and local services and facilities that do not form part of the SAR organization to cooperate fully and to extend any possible assistance to the survivors of aircraft accidents.</p>	STD A12 2.5.1, 2.6.1, 3.2.1, 4.1.1 & 4.2.1	Yes	CE-7
7.545	Does the State ensure that SAR personnel are regularly trained and that appropriate SAR exercises are arranged?	<p>1) Review mechanism established to ensure effective implementation.</p> <p>2) Review implementation of training to verify if it includes communication, coordination and full-scale exercises.</p> <p>3) Review evaluation mechanism.</p>	STD A12 4.4 GM Doc 9731 (IAMSAR Manual) Vol. I, C3, 3.3	Yes	CE-7

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