International Civil Aviation Organization
The Fifth Meeting of the Asia/Pacific
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Maldives, 13 to 16 March 2023

Agenda Item 6: Provision of AOP in the Asia/Pacific Region

USOAP CMA PROTOCOL QUESTIONS – 2020 EDITION AND STATE SAFETY PROGRAMME IMPLEMENTATION ASSESSMENT

(Presented by the Secretariat)

SUMMARY

This paper introduces the 2020 edition of the Protocol Questions (PQs) of the ICAO Universal Safety Oversight Audit Programme Continuous Monitoring Approach and State Safety Programme Implementation Assessment related to AGA area.

1. INTRODUCTION

1.1 Each ICAO Member State should establish and implement an effective safety oversight system, in order to address all areas of aviation activities. The Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) measures the effective implementation (EI) of a State's safety oversight system.

1.2 To standardize the conduct of audits under USOAP CMA, ICAO established protocol questions (PQs) based on safety-related ICAO Standards and Recommended Practices (SARPs) established in the Annexes to the Chicago Convention, Procedures for Air Navigation Services (PANS) and ICAO guidance materials. Each PQ contributes to assessing the EI of one of the eight Critical Elements (CEs) in one of the eight audit areas.

1.3 The use of standardized PQs ensures transparency, quality, consistency, reliability and fairness in the conduct and implementation of USOAP CMA activities.

2. DISCUSSION

2020 Edition of USOAP CMA PQs

2.1 ICAO has developed the 2020 edition of USOAP CMA PQs, in accordance with the recommendations and observations from the Group of Experts for the USOAP CMA Structured Review (GEUSR) (**Attachment A**), as well as updates based on amendments to ICAO provisions (including Annexes to the *Convention on International Civil Aviation* (Doc 7300), Procedures for Air Navigation Services (PANS) and guidance materials), and feedback from States and stakeholders.

2.2 The 2020 edition of PQs has been posted on the USOAP CMA online framework (OLF) (https://www.icao.int/usoap) under the heading "CMA Library". The PQ documentation also includes: Introduction, General Guidelines, Specific Guidelines, Acronyms and Abbreviations, ICAO References and a Summary of Amendments for each of the eight audit areas.

2.3 The 2020 edition of the PQs became applicable to all USOAP CMA activities on 1st January 2022 (refer to ICAO Electronic Bulletin 2021/40 dated 31 December 2021 – **Attachment B**).

2.4 ICAO has moved States from the 2017 edition to the 2020 edition of PQs on the online framework.

2.5 Due to the deletion of 178 PQs from the 2017 edition, the EI scores of States, as reflected on the CMA OLF, have been updated. These updated scores (adjusted EIs) vary slightly from the scores resulting from previous activities.

2.6 Comparison of 2017 PQs with 2020 PQs is shown in the Table* below.

	2017 PQs						2020 PQs			
	Total No. (2017)	Number of					Total No. (A+B+C+D)	Number of		
		Deleted	Revised (A)	Merged (B)	No Change (C)	New (D)		PPQ	On-Site	Off-Site
LEG	23	0	23	0	0	0	23	14	3	20
ORG	14	2	11	1	0	1	13	5	9	4
PEL	99	10	48	7	34	4	93	35	71	22
OPS	146	21	85	12	28	1	126	34	91	35
AIR	210	26	79	5	100	2	186	33	102	84
AIG	104	21	21	19	43	1	84	24	46	38
ANS	179	69	71	27	12	12	122	27	97	25
AGA	168	29	43	17	79	4	143	40	106	37
	943	*178*	*381*	*88*	*296*	*25*	*790*	*212*	*525*	*265*

** Source: USOAP Newsletter, January 2021 Volume 2, Issue 1.*

2.7 The 2020 edition of AGA PQs is available in **Attachment C**.

2.8 Frequently Asked Questions (FAQs) about the 2020 edition of the PQs are now available on the online framework, in the "CMA Library" under the heading "USOAP Guidance Material" (**Attachment D**). FAQs provide answers to the most common questions from States to ICAO about the newly amended PQs and will be updated, as necessary, by ICAO.

State Safety Programme Implementation Assessment (SSPIA)

2.9 ICAO has rolled out SSP Implementation Assessments (SSPIAs), a qualitative (non-quantitative) assessment of a State's progress in implementing an SSP, under the USOAP CMA using SSP-related PQs that have been updated to reflect Annex 19, ICAO *Safety Management Manual* (Doc 9859) as well as the lessons learned from voluntary and confidential SSP implementation assessments conducted previously.

2.10 Those PQs are not linked to Critical Elements (CEs), but to applicable SSP components (e.g. State safety policy and objectives, State Safety Risk Management, State Safety Assurance and State Safety Promotion). They are broken down into eight areas:

a) SSP general aspects (GEN);

b) safety data analysis general aspects (SDA);

c) personnel licensing and training (PEL);

d) aircraft operations (OPS);

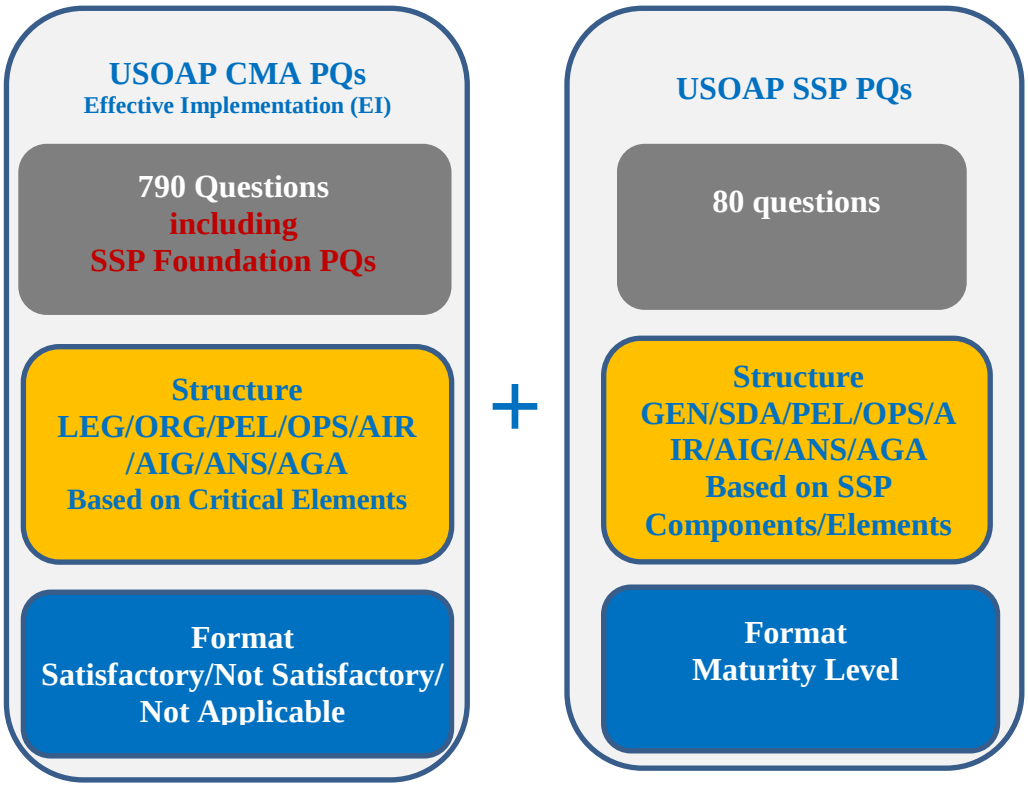
e) airworthiness of aircraft, authorized maintenance organization aspects only (AIR);

f) air navigation services, air traffic service aspects only (ANS);

g) aerodromes and ground aids (AGA); and

h) aircraft accident and incident investigation (AIG)

2.11 The relationship between USOAP CMA PQs, USOAP SSP Foundation PQs and USOAP SSP-related PQs are shown in the figure below.



2.12 SSPIA will be prioritized for States which fulfill the following criteria:

a) A good level of implementation of SSP Foundation PQs and evidence of:

(i) a robust and sustainable safety oversight system and aircraft accident / serious incident investigation system; and

(ii) an effective mandatory safety reporting system, State aircraft accident and incident database and safety analyses; and

b) Effective completion and updates of self-assessment of all PQs, including those related to SSP, by the State.

2.13 More information regarding SSPIA is available in the presentation in **Attachment E**.

2.14 As announced in Electronic Bulletin 2021/7 dated 3 February 2021, ICAO published the full set of SSP Protocol Questions (PQs) for all eight areas of the SSPIA, including the associated maturity level matrices, on the USOAP CMA Online Framework (https://www.icao.int/usoap), in the "CMA Library" module. The matrices are used in the quantitative assessment of the maturity levels achieved by a State in its SSP implementation and maintenance. They also serve as guidance for review of pertinent evidence for the States.

2.15 Following beta testing of the SSP PQs in a recent SSPIA mission, ICAO has made changes to the matrices based on lessons learned as well as inputs from internal and external Safety Management stakeholders. There are no changes to the SSP PQs themselves. A Summary of Amendments describing the revisions to the matrices has been added to each of the eight areas of the SSP PQs.

2.16 As announced in Electronic Bulletin 2022/15 dated 25 April 2022 (**Attachment F**) the updated set of SSP AGA PQs including the Maturity Level Matrix is now posted on the "CMA Library" module of the USOAP CMA Online Framework and provided in **Attachment G.**

3. ACTION BY THE MEETING

3.1 The meeting is invited to note the information contained in this paper.

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Related to AN-Conf/13-WP/21
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RECOMMENDATIONS MADE BY THE GROUP OF EXPERTS FOR A UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS MONITORING APPROACH (CMA) STRUCTURED REVIEW (GEUSR)

Title	**Group A: 7 Recommendations regarding the structured revision of the protocol questions**
Objectives:	1. To ensure that the protocol questions (PQs), when taken as a whole, is a reflection of the safety oversight capabilities of States; and 2. To reduce the administrative burden on both member States and ICAO.
Rationales:	The efficacy of the USOAP CMA to measure the safety oversight capability of a State relies on a set of protocol questions (PQs) that is focused, balanced, and comprehensive. **PQs need to be related to safety oversight.** The PQs need to be focused, in that they should relate to safety oversight. In its review, the GEUSR found instances of PQs that were not related to safety oversight. The inclusion of PQs not related to safety oversight, including for example questions assessing implementation of non-safety-related Standards and Recommended Practices (SARPs) will result in the EI score of a State becoming a reflection of State capabilities other than safety oversight. **Managing the number of PQs.** The PQs are comprehensive and cover relevant areas. However, there is a need to manage the total number of PQs in order not to create an ever-increasing demand and burden on both Member States and ICAO. There are currently no internal limits placed on the number of PQs that can be developed. The aim of the USOAP CMA programme is not to assess the level of SARP implementation by States (this is the role of the compliance checklist), but rather to assess the safety oversight capability of a State using the eight critical elements of a safety oversight system as a framework. As such it is not always necessary to develop new PQs when new SARPs are introduced. Ensuring that the number of PQs is capped will help to manage the resources needed for the USOAP CMA programme, and allow auditors to go into sufficient depth during an audit. **Ensuring that the PQs are balanced across all audit areas.** It is also important for the spread of PQs across the various areas be balanced (eg. an operational area: PEL, OPS, AIR, ANS, AGA). This is to ensure that no one area has a disproportionate weightage on the overall EI score. The GEUSR also noted that there are several topics where the number of PQs related to the topic could be adjusted to balance the spread of PQs (eg. PQs on handling ICAO Annex amendments (8 PQs), notifying differences (8 PQs) and granting of exemptions (13 PQs).) Some of these questions are asked multiple times across various areas, or those whose meaning are already captured but are restated in slightly different words (often to a lower level of detail). **PQs supported solely by Recommended Practices.** The GEUSR noted that some PQs are supported only by Recommended Practices or guidance material, and not by Standards. It is difficult for States to justify implementing processes to address PQs that are not supported by ICAO Standards, as by definition Recommended Practices and guidance material are not mandatory. It is important that the USOAP CMA is not perceived as a way to 'require' the implementation of Recommended Practices. Nor should USOAP CMA be used as a proxy to cover perceived deficiencies in Standards, or measure compliance against Recommended Practices in order to make the case for their promotion to a Standard.
Recommendations:	The GEUSR recommends that ICAO:

Title	Group A: 7 Recommendations regarding the structured revision of the protocol questions
	1. Conduct a one-off exercise to identify and remove questions from the USOAP CMA not directly related to safety oversight or accident investigation, for example PQs based on assistance to victims and families, pandemics and environmental aspects of aircraft certification. 2. Establish a policy to exclude from the USOAP CMA PQs that reference only Annex 9 — *Facilitation*, Annex 16 — *Environmental Protection* or Annex 17 — *Security*. 3. Identify PQs whose meaning is already captured in other existing PQs and combines them as necessary. Repetitive questions should be removed. For some questions (e.g. training), it may be necessary to assess implementation in each operational area. While one implementation PQ is asked for each of OPS, PEL, AIR, AGA and AIG, there may be up to 7 PQs for ANS – one for each ANS sub-area. In such cases, it is recommended that there should be only one implementation PQ for ANS which covers all ANS sub-areas. 4. Ensure a balanced distribution/ratio across "establishment/implementation" PQs, audit areas and CEs, which should be maintained going forward for the overall EI score to remain as a useful measure of a State's safety oversight capability . 5. Identify and remove PQs whose requirements extend beyond ICAO Standards, including those based solely on guidance material or Recommended Practice. This also includes PQs whose wording takes them beyond the Standard they are referencing, despite any relevance to safety oversight. 6. Aim to reduce the total number of PQs through the PQ rationalization exercise as described in Recommendations 1 to 5 by 10-20%. 7. Aim to keep the number of PQs to not more than the number reached after completion of the PQ rationalization exercise recommended in Recommendations 1 to 6 above. This limit in the number of PQs should be maintained going forward. *Note: While reducing the total number of USOAP CMA PQs during the envisaged PQ rationalization process to be implemented through this group of recommendations, the Secretariat will identify means to avoid the loss of pertinent information.*
Benefits and challenges:	**Benefits to States**: The current USOAP CMA process presents a significant administrative load for States, in collecting evidence, quality-checking responses for consistency and uploading through the online framework (OLF). Any reduction in the number of protocol questions will provide a corresponding reduction in the effort involved in responding to these questions. Fewer but more focused PQs will translate to less administration in coordination and tracking questions. This is particularly relevant where States have multiple agencies providing inputs to USOAP CMA and where multiple PQs on closely related subjects require multiple copies of evidence to be loaded and tagged within the OLF and any updates to these documents to be coordinated across multiple PQs.

Title	Group A: 7 Recommendations regarding the structured revision of the protocol questions
	Reducing the overall number of PQs will work in combination with other recommendations to lower the "burden of entry" to the USOAP CMA on the OLF, whether for States, or individuals that are new to specific roles. The rationalisation of the PQs will see more effort available to States to provide safety oversight and work on improving outcomes in the remaining PQs and CAPs. If States can divert some of the saved administrative effort into providing greater operational safety oversight, or making more substantive updates to their systems and their participation in the USOAP audit effort, then this will provide improvements in both safety levels and USOAP CMA results (EI). **Challenges to States:** The changes will affect current calculations of EI scores, with the new results being more reflective of safety oversight capability. The effect will vary with States. For States who have not met a number of these questions; their EI could rise, while for those with lower overall EI scores, who have passed a majority of these; there may be a decline. Once individual questions have been identified, ICAO should be able to model pre- and post-rationalisation scores for both individual States and a global average. ICAO should also be able to continue their historical analysis of USOAP CMA through PQ level data, given the large replication of a number of these questions, where they can apply the results of one new question against a number of historical questions. It is important to note that this recommendation would only affect a segment of the overall questions, thus leaving wider historical analysis intact. **Benefits to ICAO:** For ICAO there are significant advantages to rationalisation of the PQs which is in line with ICAO's stated objective of reducing the number of PQs over time. Any effort saved at a State level is magnified 190 times in the Secretariat based on the number of State inputs and actions required against each PQ. 1. Less administration of the questions themselves in terms of ongoing review, reporting and analysis on a question by question basis; 2. Less checking across multiple audit areas for consistency of answers (to repeated questions) or version control of evidence (to related questions); 3. Audits and ICVMs take less time to prepare for, conduct and administer; 4. Reduced CAPs to administer and evaluate; and 5. Reduced efforts in offsite validation, through fewer PQs and fewer CAPs. Achieving more active engagement of States in USOAP CMA will also provide benefits to ICAO. Increasing the frequency of State inputs to the OLF should make audits easier to prepare for and allow more offsite analysis by ICAO. The EI score will be more reflective of State oversight capability.
Resource implications:	The development and execution of a one-time project for the in-depth revision of legacy USOAP CMA PQs, which involves

Title	Group A: 7 Recommendations regarding the structured revision of the protocol questions
	coordination with subject matter experts (SMEs) of the Safety and Air Navigation Oversight Audit Section (OAS), requires a thorough redrafting of the legacy PQs and the associated guidance to the auditors as well as coordination with other experts or expert groups within the Air Navigation Bureau, as necessary. This project may be managed and performed by SMEs within OAS, but would require redirecting resources from other OAS-related tasks in order for the SMEs to work on this project. Within the transition period, a reduction of the number of USOAP CMA activities may be necessary to compensate for the aforementioned project. Consultants may be needed to assist in this project. Communication with States needs to be well coordinated to inform them of the GEUSR recommendations and the rationale behind the PQ review as this may affect their EI scores. Review of possible required amendments to the MoU.

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Title	**Group B: 2 Recommendations regarding the priority protocol questions (PPQs)**
Objectives:	1. Provide States with information on PQs that have a higher correlation to operational safety risk so that they can focus their resources accordingly. 2. Open up opportunities for USOAP CMA activities that can focus on aspects of safety-oversight that are more critical.
Rationales:	There are currently about 1,000 PQs. Although all the PQs contribute equally to the EI score, they do not all equally impact the operational safety risk. For example, those PQs relating to documentation, although important, have a less direct impact to operational safety risk. Some PQs, if found to be unsatisfactory, could have a significant impact on operational safety and could indicate an elevated risk of significant safety concerns (SSCs). Many States are finding it a challenge to address a significant proportion of the PQs. Given that these States face difficulty addressing all the PQs, it would be worthwhile to give them an indication of which PQs may require closer attention. It should be noted that the whole set of PQs continue to be essential to comprehensively assess the effective implementation of a safety oversight system by a State.
Recommendations:	The GEUSR recommends that ICAO: 8. Identify a set of priority PQs that, when resulting in a low EI score, would indicate a lack of capability of the State to effectively identify and resolve safety deficiencies. This subset of PQs should be identified from the existing PQs using the following criteria: a. include those PQs directly related to the identification of SSCs and the enablers for those SSC-related PQs; b. include PQs on aspects which, if not implemented, may leave safety issues unidentified or unresolved; c. constitute a self-sufficient set of PQs of approximately 20-25% of the total PQs, which would enable a focused audit (related to Recommendation 10B of Group C); d. reflect a balanced number across the audit areas and sub-areas; e. focus on PQs with implementation aspects (“implementation PQs”), but include relevant establishment PQs; and f. only include PQs applicable to the majority of States. 9. Take the necessary actions to inform States of the expectation to complete and update their self-assessments of the priority PQs. The level (quantitative and qualitative) of the PQ self-assessment should be added to the list of indicators used to prioritize USOAP CMA activities.
Benefits and challenges:	States would have better information on where to pay closer attention in order to reduce their risk of SSCs and other operational safety risks. Priority PQs open up the potential for focused, short duration audits that look into areas of higher risk (see Recommendation 10B in Group C).
Resource implications:	The development and execution of a project to apply the criteria to the legacy PQs and identify the priority PQs per technical area will require the contributions of the SMEs in OAS. This project may be managed and performed by SMEs within OAS, but this may result in delays to other OAS-related tasks due

Title	Group B: 2 Recommendations regarding the priority protocol questions (PPQs)
	to shifting priorities for the SMEs involved in this project. Within the transition period, a reduced number of USOAP CMA missions may compensate for the abovementioned project. Consultants or secondees may be necessary to assist in this project. Review of possible required amendments to the MoU.

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Title	Group C: 4 Recommendations regarding the types and prioritization of USOAP CMA activities
Objectives:	1. To improve the currency of EI scores. 2. To enhance the efficiency and prioritization of USOAP CMA activities.
Rationales:	The EI score is used by ICAO as well as States as a key indicator of the level of safety oversight in a State. It has wide-ranging implications not only on safety, but may have economic implications as well. Resources may be allocated to aviation based on the EI score. The USOAP CMA activities currently performed by ICAO are the following: 1. audits (full-scope or limited scope); 2. ICAO coordinated validation missions (ICVMs); 3. off-site validation activities (including integrated validation activities); 4. mandatory information requests (MIRs); and 5. State safety programme (SSP) implementation (voluntary and confidential) assessments. The GEUSR noted that since the establishment of the USOAP programme, ICAO has audited a total of 185 of its 192 Member States. From 2013 to 2017, ICAO has performed 219 USOAP CMA activities, including 46 audits and 92 ICVMs. Of the 46 audits, 4 States were audited twice in this timeframe and 2 received their first audit. The 42 States that underwent an audit represent 23% of all previously audited Member States. 27 of these audits resulted in a reduction of the State's EI score. 17 audits resulted in an increase in EI score. **New types of activities:** It is important for the EI score not to become too out of date as it would then no longer be a good reflection of the level of safety oversight in the State. Therefore, there may be a need for more frequent but targeted assessment of States in order to keep the EI score more up-to-date. This can be addressed by introducing new types of activities. Adding new types of activities may also enhance the cost-effectiveness by selecting the most relevant activity depending on all available information. For example, ICVMs may be appropriate when assessing the implementation of corrective actions of a State after a recent activity. However, if the organizational and/or operational environment in a State has changed since the conduct of the most recent activity or if the most recent activity was conducted more than 6 years ago, a follow up audit or other USOAP CMA activity (addressing both the implementation of the CAPs and the non-satisfactory PQs) may be more appropriate. ICAO's resources are however limited. It is therefore necessary for ICAO to prioritize its USOAP CMA activities in order to focus on areas that require it most. The implementation of SSPs provide an opportunity for ICAO to adjust its assessment and prioritization methodologies; ICAO could leverage on States that have the capability to self-assess and self-monitor. **Additional information for prioritization and scheduling of USOAP CMA activities:** In order for ICAO to know where to focus its efforts, it relies on information from multiple sources that, when taken together,

Title	Group C: 4 Recommendations regarding the types and prioritization of USOAP CMA activities
	can be used to trigger the need for a more focused attention on a particular State, and to mount a USOAP CMA activity if necessary to re-assess the EI score. The same type of review of the other areas of specialization should consider the specific data available. Given the limited resources available, it would be beneficial to further enhance the use of indicators for prioritizing and scheduling of USOAP CMA activities. **SSP implementation assessment:** In order to manage its resources, ICAO would need to encourage more States to fully implement SSPs. Those States that do so can be assessed under a new SSP implementation assessment methodology that focuses on the State's capability for self-monitoring, self-assessment and self-improvement. States that have the capability to implement Annex 19 to a certain maturity level could be expected to provide ICAO with information on its safety oversight system by completing and updating its PQ self-assessments. By doing so, such States would be able to give ICAO a higher degree of confidence that a robust system is in place. They can then be monitored primarily through the review of the PQ self-assessments and occasionally through SSP implementation assessments, and less through legacy USOAP CMA activities. **SSC resolution without capacity building:** The GEUSR also noted that in some cases, where a State is informed of a potential SSC during a USOAP CMA activity, the State's response to mitigate the immediate safety risk is to remove the exposure altogether, for example by revoking the operational authorizations of affected service providers. While this mitigates the immediate safety risk and thus would not generate an SSC, longer-term capacity-building solutions are necessary to ensure that the immediate risk for safety is not re-introduced. Assistance to such States is important, as well as closer monitoring under the USOAP CMA.
Recommendations:	In order to keep the EI more up-to-date, the GEUSR recommends that ICAO: 10. Introduce new types of audit activities to make the audit system more flexible: a. ad-hoc, 1 or 2-day USOAP CMA on-site audit activities to assess a small subset of PQs that were found to be satisfactory during previous audits (eg. during non-audit-related visits by ICAO HQ staff to the region); b. short-duration audits focused on assessing a subset of PQs (eg. priority PQs). In order to maximise the use of resources, a single mission could comprise of 2 short-duration audits (5 working days on average) of neighbouring States; and c. follow-up audits focussing on re-auditing non-satisfactory PQs in addition to assessing the effective resolution of previously identified findings. 11. Introduce additional criteria in the *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) to help determine the most appropriate USOAP CMA activities, and in particular for cases where a follow-up audit would be more appropriate than an ICVM. 12. Establish and implements a plan for assessing and measuring the effective implementation of SSP by States. To this end, the GEUSR recommends the following: a. The outcome of the SSP-related USOAP CMA activities should not impact the USOAP CMA EI scores. EI scores

Title	Group C: 4 Recommendations regarding the types and prioritization of USOAP CMA activities
	should continue to be linked only to the outcome of the legacy USOAP CMA activities. b. These activities should result in observations and recommendations rather than findings. As a consequence, States need not be expected to come up with "corrective actions", but rather inform ICAO of any actions they are taking with respect to the recommendations. c. ICAO should develop a methodology to assess the maturity of a State's SSP. The Secretariat may engage the expertise of relevant groups of experts (for example the Safety Management Panel) in the development of the maturity model. ICAO should direct the expert groups on which aspects of the maturity model would require their involvement. d. ICAO should start with an initial phase of qualitative assessments while the maturity model is being developed in order to gain experience on SSP implementation assessments. When the maturity model is fully developed, ICAO could move into a second phase of quantitative measurements. e. In order to manage ICAO's USOAP CMA activities, States that demonstrate the capability to implement Annex 19 to a certain maturity level and keep their PQ self-assessments up to date, may be monitored by ICAO primarily through the review of the PQ self-assessments and occasionally through SSP implementation assessments, and less through legacy USOAP CMA activities. 13. Use the following additional viable data and information to support the prioritization and scheduling of USOAP CMA activities: a. State's self-assessments (quantitative and qualitative); b. political stability; c. organizational stability; d. changes in operational environment; e. RSOO audits of its States; and f. information from the ICAO Regional Offices on States that resolved an SSC without capacity building.
Benefits and challenges:	With the additional USOAP CMA activities providing more opportunities to update the EI score, the EI score of States can be more current and can thus provide a better reflection of the safety oversight capabilities of the State. Focusing on SSP assessment and self-assessment monitoring for States that have implemented a robust SSP frees up ICAO resources to focus legacy USOAP CMA activities on areas where it is needed most. Enhancing the use of indicators will help ICAO react faster to situations that may stress a State's safety oversight system. With this information, ICAO could engage the State early and coordinate assistance if necessary.
Resource implications:	The projects deriving from these recommendations may be managed and performed by SMEs within OAS, but this may result in delays to other OAS-related tasks due to the shifting in priorities for the SMEs involved in these projects. Within the transition period, a reduced number of USOAP CMA missions may compensate for the abovementioned projects. Consultants or secondees may be necessary to assist in these projects, such as: 1. Development and execution of the methodology for the new USOAP CMA activities, including the SSP

Title	Group C: 4 Recommendations regarding the types and prioritization of USOAP CMA activities
	implementation assessment (introductory phase, matrix for maturity levels, guidance to the auditors, etc.), and their related OLF tools and enhancements; 2. Development and delivery of introductory, refresher and standardization training for ANB staff that are not part of the OAS audit team to be able to perform relevant USOAP CMA activities while on mission; and 3. Development and execution of a one-time project to research, analyze and set-up a system to select and integrate additional sources of data and information for the prioritization and scheduling of USOAP CMA activities. A dedicated Standards and Procedures Office (SPO) State safety programme (SSP) position within the OAS audit team to lead SSP implementation assessments, manage the SSP assessment system, coordinate with the relevant expert groups and other related work.

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Title	**Group D: 4 Recommendations regarding the presentation of State indicators**
Objectives:	To provide better visibility of the State's safety oversight system to key decision makers in the State.
Rationales:	The 'overall EI' score is the key USOAP CMA indicator communicated to key State officials and is often used as the measure of a State's safety oversight system. However, the overall EI score alone may not be representative of a State's ability to implement its safety oversight processes. As the overall EI score is the average of all applicable PQs, even significant gaps in the State's safety oversight system may be averaged out in the overall EI score. It is therefore useful to provide key State officials at the Ministerial or Director-General level with metrics that give a clearer picture of where the strengths and weaknesses are within the States' safety oversight system; in order to facilitate the allocation of resources on areas that require it most. Such information may go beyond the EI score, and include the level of response and engagement with USOAP CMA processes in order to increase the visibility of the sustainable engagement to the relevant State authorities.
Recommendations:	The GEUSR recommends that ICAO: 14. Adopt the following metrics, which when taken together would be a better representation of State's safety oversight capability, as part of the standard communication to key State officials: a. overall EI: the overall EI is retained as States are familiar with this indicator and it is an indication of how the State fared against all the PQs; b. priority PQ EI: the priority PQ EI represents the level of implementation of the PPQs. A low Priority PQ EI score needs to be addressed on an urgent basis; and c. implementation EI: the 'implementation' Critical Elements ("CEs") (CEs 6 to 8) are more closely correlated to operational safety than the 'establishment' CEs (CEs 1 to 5), and provides an indication of the State's ability to actually carry out its safety oversight activities. 15. Amend and shortens the current SAAQ to request only essential information, and for this SAAQ to be expected to be updated on a yearly basis. 16. Set up a mechanism, such as a dashboard or periodic updates, so that key officials in States can be kept up-to-date on the status of their State's level of safety oversight as assessed by the USOAP CMA, as well as the State's level of engagement with the USOAP CMA processes. The information should be presented in an easy-to-interpret manner; for example in case of a dashboard, a simple 'traffic light' set of indicators could be used. 17. Convey the following information (in addition to information already available) in the dashboards and/or briefings related to USOAP CMA activities and results with areas requiring the State's attention to be highlighted: a. Information on the provision and update of the SAAQ, CAPs, and State self-assessment (to reflect the State's level of provision of some essential information to the USOAP CMA). The information provided with regard to the self-assessment should include the date of the last self-assessment

Title	Group D: 4 Recommendations regarding the presentation of State indicators
	and its subsequent updates. Notes should accompany the information to highlight any potential misinterpretation of the data as provided by the State. Further guidance on the topic would be necessary for Doc 9735. b. EI related to the establishment of a safety oversight system (CEs 1 to 5), and EI related to the implementation of a safety oversight system (CEs 6 to 8). EI score pertaining to CEs 6, 7 and 8 correlate more closely to operational outcomes as they are related to how well the State has implemented the regulations and processes that it has established. c. Priority PQ EI (i.e. EI when considering only the Priority PQs). The Priority PQ EI reflects the State's implementation of PQs that have been identified to be of a higher priority. d. EI changes over time correlated with the USOAP CMA activity that contributed to the change in EI. The EI score is a snapshot of the State at a point in time. Given the dynamic nature of aviation and safety oversight, it would be useful for the Director-General to know how current the State's EI score is, and which USOAP CMA activity (i.e. audit, ICVM or off-site validation) contributed to the current EI score. Such knowledge can help the Director-General refocus attention, for example, on areas that have not been assessed in a while. The information displayed should also reflect the changes of EI as a result of PQ revisions. e. EI against State's level of risk exposure (eg. concept of safety margin as proposed for the 2020-2022 edition of the GASP). The State safety briefing currently shows the EI score of a State against the GASP target. This provides context for what the State should aim for. However, different States are exposed to different levels of risk, depending for example on the volume of traffic or the number of air operators in the State. Displaying the EI within the context of a State's level of risk exposure moves away from the one-size-fits all GASP target and provides a closer link between the required safety oversight capabilities and the level of operational safety needed for that State.
Benefits and challenges:	To provide a better picture to the State, and in particular to the DG, of the level of safety oversight in the State.
Resource implications:	The projects derived from these recommendations may be managed and performed by the officers within OAS, Oversight Support Unit (OSU) and ANB staff, but would require redirecting resources from other OAS/OSU/ANB-related tasks in order for the officers to work on these projects. Within the transition period, a reduction of the number of USOAP CMA activities may be necessary to compensate for the aforementioned projects. Consultants or secondees may be needed to assist in these projects. Review of possible required amendments to the MoU.

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Title	**Group E: 12 Recommendations regarding training and guidance**
Objectives:	1. Support the national continuous monitoring coordinator (NCMC) and NCMC team in fulfilling their roles through additional guidance, training and tools; and 2. Support the stability in NCMC appointments.
Rationales:	The NCMCs are the key points of contact between the USOAP CMA and States. It is important to ensure that the NCMCs are provided with sufficient guidance and are adequately trained to support their State in meeting its USOAP CMA obligations. In some States, the NCMC is not supported by a team and this individual is tasked to carry out many functions related to USOAP CMA without the necessary support. Experience has shown that States which have introduced NCMC "teams" (comprised of relevant officers from the concerned State authorities) have been more effective in fulfilling their responsibilities under the USOAP CMA. For example, the existing CAP tutorial and training on the OLF and the CAP section, on the USOAP CMA workshop, give guidance mostly on how to use OLF functionalities, fields, and how to submit and update CAPs. In addition to functionality, the training and guidance could also focus on helping States better understand how to analyse its findings and how to develop an acceptable CAP that addresses the findings. (With reference to Recommendation 10C in Group C on the introduction of follow-up audits, the way to resolve identified findings may have to be amended accordingly, and the process for CAP submissions and assessments may change. This should be kept in mind when supporting the NCMCs and States with their additional training and information on the resolutions of these findings.) NCMCs can also stand to benefit from additional tools to help them in their roles. Some States have found it useful to provide forums for NCMCs in the region to communicate with, learn from, and support each other. The current primary line of communication is between an NCMC and ICAO. There may be benefits to create a network of NCMCs, in addition to improving the communication links between the NCMCs and ICAO. It is important for the nominated NCMC to be empowered by the appropriate level of the State. The NCMC needs to be sufficiently empowered to deal with other entities within the State to coordinate the State's interactions with the USOAP CMA. However, an NCMC that is too high within the hierarchy may not have the time to deal with such day-to-day interactions. In addition, it is important for there to be stability in the NCMC appointments as the effectiveness of an NCMC increases over time with training and experience.
Recommendations:	The GEUSR recommends that ICAO: **Support NCMCs with additional training by:** 18. Encouraging stability in the appointment of NCMC and NCMC team members. In order to do so, complimentary USOAP CMA CBT training may be extended to the NCMC and NCMC team, to a maximum of 9 members (NCMC + one member per audit area). a. For phase 1 of the CBT training, each (new) NCMC team member should be provided a one-time complimentary training, unless there is a significant update to the CBT training. b. For phase 2 of the CBT training, one designated team member per audit area should be provided with a complimentary training for the module relevant to that team member's audit area. Complimentary training of phase 2 should be limited to one module per audit area every two years per State. This complimentary training will

Title	Group E: 12 Recommendations regarding training and guidance
	only be offered if the designated NCMC team member has not yet taken this training or if significant changes to the module have been introduced by ICAO. 19. Enhancing the training on the OLF tools, particularly with regard to the following: a. Develop training content for the OLF-CAP tutorial and USOAP CMA workshop CAP section on: i. how to manage a USOAP CMA activity (during and post-activity); ii. how to analyse non-satisfactory PQs, identify areas of deficiencies based on CEs, PQs, and how to review evidence and references; iii. how to develop and prepare an effective and acceptable initial CAP (timeliness, ensuring a clear understanding of the finding, resource management, typical steps, scenarios and examples, mitigating and preventive measures that are acceptable for each CE); iv. monitoring progress of corrective actions (different levels of implementation, how to document and attach relevant evidence of implementation); and v. CAP updates and ICAO's evaluation process. b. Develop training content for the State's self-assessment, including: i. self-assessment criteria and methodology; ii. benefits of having a good self-assessment; iii. dos and don'ts; iv. quality assurance/control; and v. examples and best practices. 20. Increasing the number of regional workshops from two to three a year for a triennial coverage of all ICAO regions. **Support States with additional guidance by:** 21. Enhancing the current tutorials on the OLF (ie. CAPs, self-assessments) and providing the workshop material (as mentioned in Recommendations 19 and 20) online in tutorial format, given that not all NCMCs may be able to attend the OLF workshops. 22. Developing additional and performance-based guidance on the empowerment expected for the NCMC team and the individual NCMCs by the State, as well as the functions and responsibilities, knowledge, skills, and training recommended for the role(s). The guidance should reflect ICAO's expectations with respect to the NCMC and NCMC teams (ie. roles, functions, training, competencies, stability, and succession planning). 23. Finding opportunities to improve State senior-level management's understanding of the USOAP CMA in relation to the role of the NCMC and NCMC team. Topics that may be covered include: a. role and importance of the NCMC and NCMC team; b. empowerment of the NCMC and NCMC team; c. stability and succession/transition planning of the NCMC and NCMC team; and

Title	Group E: 12 Recommendations regarding training and guidance
	d. minimum knowledge profile for the NCMC and NCMC team (CMA process, CBT, ICAO annexes, etc.). **Enhance communication and information exchange by:** 24. Improving the communication between ICAO and States on the order of priorities of ICAO's assessment of State's CAPs and updates. 25. Facilitating regional or sub-regional meetings of NCMCs, for example in conjunction with regional meetings or workshops, for NCMCs and NCMC teams to exchange information and their experiences regarding the USOAP CMA. 26. Creating an online user forum for NCMCs to communicate with each other and with ICAO. Consideration should be given to having a user-friendly platform by making use of, for example, popular social media platforms that most users would already be familiar with. 27. Providing a platform within the OLF to contact ICAO, and collect the problems or frequently asked questions from States and share the analysis of the problem or answers in an FAQ. 28. Including a short presentation of all available OLF training and a short description of all trainings, seminars and workshops to maintain awareness of the OLF-related trainings available. 29. Collecting State feedback and queries on individual protocol questions, as well as ICAO SPO responses to those queries, in an internal database. Queries and responses that may be of global interest and which have been properly de-identified could be used for standardisation training for USOAP CMA auditors.
Benefits and challenges:	**Support NCMCs with additional training:** 1. Improved understanding of PQ findings and steps required to develop an effective corrective action which will improve the quality of the initial submitted CAP and will minimize CAP updates. 2. Improved quality of the PQ self-assessment. 3. Improved CAP validation and monitoring process for States and ICAO (less time and human resources to develop and validate). 4. Improved communication between ICAO and States. 5. Greater dissemination of knowledge through workshops. **Support States with additional guidance:** 1. Improved understanding of all the activities associated to NCMC responsibilities and USOAP CMA management. 2. Enhanced effective monitoring of OLF activities, and continuously provide updates on the effective implementation. 3. Consistency in USOAP CMA management activities when there is a change of NCMC. 4. Sharing of problems and solutions within the OLF so more people can benefit from it. **Enhance communication and information exchange:** 1. Improve communication between ICAO and States on CAP validation process. 2. Improve NCMC CAP management process including updating the content and implementation progress of CAPs on the

Title	Group E: 12 Recommendations regarding training and guidance
	OLF. 3. States with limited capacity can better organize and plan CAP updates that will be validated by the ICAO/Regional Office in less time, which in turn will allow the beginning of implementation of CAPs. 4. Improve the allocation of resources required for OLF activities and safety oversight activities (States with limited capacity). 5. Enable States (NCMCs and NCMC teams) to learn from their peers and share best practices.
Resource implications:	Additional cost of increasing the number of regional workshops from two to three per year. The projects derived from these recommendations may be managed and performed by officers within OAS and OSU, but will require redirecting resources from other OAS- and OSU-related tasks in order for the officers to work on this project. Within the transition period, a reduction of the number of USOAP CMA activities may be necessary to compensate for the aforementioned project. Consultants or secondees may be needed to assist in these projects, such as: 1. Updating of current USOAP CMA workshop training material to include the new types of USOAP CMA activities; 2. Development of additional USOAP CMA training content and guidance for NCMCs which includes the activities associated with NCMC responsibilities and USOAP CMA management; 3. Updating of OLF-CAP tutorial, training tools and material; 4. Enhanced monitoring of OLF activities, and continuously providing updates on the effective implementation; and 5. Developing a platform for NCMCs to securely communicate with ICAO and other NCMCs on all USOAP CMA related activities. Collection and processing of State feedback and queries on individual PQs.

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Title	**Group F: 8 Recommendations regarding tools enhancements on the USOAP online framework (OLF)**
Objectives:	1. To enhance the USOAP CMA tools in order to encourage States to use them fully.
Rationales:	States have had many years of experience using the USOAP CMA online tools. Some recommendations for enhancements to the OLF tools are made in this recommendation. The lack of availability of a permanent internet connection limits the ability of some States to provide periodic updates to ICAO. Providing effective off-line means keeping the self-assessment and CAP up-to-date which is an important element of keeping such States engaged in the USOAP CMA. As States become more sophisticated in monitoring their level of implementation of PQs and compliance with SARPs, they may develop internal systems that assist them with such monitoring. These systems could include functionality that are not found in the USOAP CMA tools. Data exchange between States and ICAO is beneficial so that States do not have to duplicate their data entry efforts for ICAO.
Recommendations:	The GEUSR recommends that ICAO: 30. Provide a tool for States to complete their self-assessments and CAPs offline, taking into consideration the need for States to also be able to attach evidence to these self-assessments and CAPs. 31. Provide data exchange capability to enable States with their own systems to collect, process and transmit data to the OLF, avoiding duplication, and allowing States to use the data as input to their different processes in their diverse technology platforms. 32. Improve the feedback function, for example by creating a form on the OLF to replace the feedback button so that the system does not call up the user's default mail application. (This is because many States do not use the default mail application.) 33. Enhance ICAO's responses to State feedback, bug reports and enquiries by creating a Service Desk to the OLF applications. The Service Desk should have access to industry-standard tools for managing user reports and feedback, including the ability to open, track, close and analyse support tickets. 34. Implement the following improvements to the OLF-CAP module: a. include attachment of evidence directly on OLF-CAP module (not only through the self-assessment module); b. improve CAP layout when editing each corrective action; c. improve the display flow when selecting different PQs in the CAP module to minimize user scrolling; d. include in each field of the OLF-CAP module, label notes that appear when hovering the mouse over the field to explain what information is needed; e. add a function to export a report of all CAPs that allow States to better visualize and manage their CAP progress;

Title	Group F: 8 Recommendations regarding tools enhancements on the USOAP online framework (OLF)
	f. include a direct link from the OLF-CAP module to the CAP tutorial section; g. add a function to allow the user to search for, display and manage attachments that have been previously uploaded. This is to reduce the likelihood of different users in the State uploading multiple copies or different versions of the same document or evidence into the system. The system should allow the user to easily link previously uploaded evidence to any new PQ that the user is self-assessing; and h. add functions for the State to manage its own CAP deadlines, for example automatic reminders and colour-coding of impending or lapsed deadlines. 35. Implement the following improvements to the self-assessment module: a. Add a function to allow the user to search for, display and manage attachments that have been previously uploaded. This is to reduce the likelihood of different users in the State uploading multiple copies or different versions of the same document or evidence into the system. The system should allow the user to easily link previously uploaded evidence to any new PQ that the user is self-assessing. 36. Implement the following improvements to the EFOD/CC module: a. ICAO should include the figures, tables and attachments into the EFOD system. Users find it difficult to submit differences in the EFOD system without all the elements, such as figures, tables and attachments contained in some of the Annexes (e.g. Annex 10). The absence of complete information is still a barrier to abandoning the old process of reporting differences on paper. b. When exporting the CC, it should be to an Excel worksheet with each row referencing an individual SARP. The following information should be in different columns: i. SARP text; ii. SARP relationship with the State regulatory framework (no difference, not applicable, more exacting or exceeds, different in character or other means of compliance, less protective or partially implemented or not implemented); iii. State reference; iv. details of the difference (clear and concise description of the difference); and v. remarks (reasons for the difference and intentions including any planned date for implementation). This recommendation will make it easier for States to carry out their own analysis. In addition, it is suggested to use Excel instead of Word, because as the number of SARPs is very large it is better to use a tool that privileges the data control (use of filters and other functions). c. When the Annexes are amended, SARPs are renumbered which causes difficulty in locating and controlling them. Having a constant identifier for each SARP will facilitate the control of the SARPs by the States when filling in the EFOD. ICAO should make available to States the constant identifier for the provisions contained in the CC/EFOD system.

Title	Group F: 8 Recommendations regarding tools enhancements on the USOAP online framework (OLF)
	37. Replicate all abovementioned improvements for one module in other modules where appropriate.
Benefits and challenges:	**Benefits:** Enhancements to the tools that support USOAP CMA, including the OLF and its applications (CAP, self-assessment, EFOD/CC) may: 1. Identify recognized data sets that can be used and refreshed periodically to aid in determining which States should receive a CMA audit or other related activity. 2. Improve understanding of PQs findings and steps required to develop an effective corrective action which will improve the quality of initial CAP submitted and will minimize CAP updates. 3. Improve CAP validation and monitoring process for States and ICAO (less time and human resources to develop and validate). 4. Improve communication between ICAO and States. 5. Increase the level of updating of CAPs and self-assessments in States and regions with limited access to the internet. 6. Facilitate the editing and create a task in the CAP module on the OLF to make it easier and effective. 7. Reduce duplication of the same document and make it easier to update evidence related to other PQs 8. Introduce missing elements of the Annexes into the CC/EFOD which will complement the system. 9. Additional information that will assist the States in controlling the updating of SARPs; it is expected that CC/EFOD tool will be more used instead of the paper-based process. 10. Increase functionality of CC/EFOD allowing States to use the tool. **Challenges**: The availability of reliable internet connection for States.
Resource implications:	Considerable IT and human resource implication for ICAO to implement these groupings of recommendations. The projects deriving from these recommendations may be managed and performed by officers within OAS and OSU, but will require redirecting resources from other OAS- and OSU-related tasks in order for the officials to work on this project. Within the transition period, a reduction of the number of USOAP CMA activities may be necessary to compensate for the aforementioned project. Consultants or secondees may be needed to assist in projects such as: 1. Reviewing of various sources of data available from the public, industry, ICAO and air operators; and 2. Development of training content, updating the USOAP CMA workshop training material, changing the OLF-CAP tutorial and improving the OLF–CAP module.

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International Civil Aviation Organization

ELECTRONIC BULLETIN

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UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS MONITORING APPROACH (CMA) — TRANSLATION AND APPLICABILITY DATE OF THE 2020 EDITION OF THE PROTOCOL QUESTIONS (PQs)

1. As announced in Electronic Bulletin 2021/3 dated 15 January 2021, the International Civil Aviation Organization (ICAO), in December 2020, published the 2020 edition of its Protocol Questions (PQs), in English, on the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) online framework (https://www.icao.int/usoap).

2. The French, Spanish and Russian translations of the PQs are now complete and posted on the online framework, in the "CMA Library" under the heading of "USOAP Protocol Questions". As with the English version, the PQ documentation also includes an Introduction, General Guidelines, Specific Guidelines, Acronyms and Abbreviations, ICAO References and a Summary of Amendments for each of the eight audit areas.

3. Previously, ICAO had indicated in EB 2021/3 that the 2020 edition of the PQs would become applicable for all USOAP CMA activities (on-site and off-site activities), starting after 1 June 2021. This applicability date is now changed to 1 January 2022. For all USOAP CMA activities starting before 1 January 2022, the 2017 edition of the PQs will continue to apply.

4. ICAO has started moving States from the 2017 edition to the 2020 edition of PQs on the online framework. In order to give States time to prepare for a USOAP activity using the amended PQs, no State will be scheduled to receive an activity until six months after it has been moved to the 2020 edition of the PQs.

5. Frequently Asked Questions (FAQs) about the 2020 edition of the PQs are now available on the online framework, in the "CMA Library" under the heading "USOAP Guidance Material". FAQs provide answers to the most common questions from States to ICAO about the newly amended PQs and will be updated, as necessary, by ICAO.

6. States are encouraged to review and update their information in the PQ Self-Assessment module on the online framework as it relates to the amended PQs. ICAO will use this information as part of its USOAP CMA planning and pre-activity preparation process.

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USOAP CMA 2020 Protocol Questions
Aerodromes and ground aids — AGA

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

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.

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

	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
TOTAL NUMBER		***790***

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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 AGA

The AGA PQs are used to assess the aerodrome certification and surveillance system of States. They are based on the SARPs of Annex 14 to the Chicago Convention as well as relevant ICAO guidance material.

The aerodrome certification and surveillance system in place should cover not only international aerodromes, but also aerodromes open to public use. With respect to guidance material, their availability to both the regulatory personnel and the aerodrome operators should be ensured through an established mechanism.

Applicability of Certain PQs

For States without heliports or heliports open to international operations, all related PQs are to be marked as "*not applicable*".

For States which do not have snow, all PQs on snow are "*not applicable*" to them.

For States which do not need advanced surface movement guidance and control systems (A-SMGCS) due to the type of their operations, all PQs on A-SMGCS are similarly "*not applicable*" to them.

Industry Visits

Some PQs will be verified during industry visits, such as those on the protective and respiratory equipment for rescue and firefighting (RFF) personnel, RFF training, emergency plan reviews, command centres, sampling of aerodrome manuals and implementation of driver requirements for personnel authorized to drive in the movement areas.

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Acronyms and Abbreviations

A = Annex
ACN = Aircraft Classification Number
AGA = Aerodromes and Ground Aids
AIP = Aeronautical Information Publication
AIS = Aeronautical Information Service
Amdt. = Amendment
App. = Appendix
Art. = Article
A-SMGCS = Advanced Surface Movement Guidance and Control System
ATS = Air Traffic Service
Att. = Attachment to an ICAO document
CAA = Civil Aviation Authority
CC = Chicago Convention
CE = Critical Element
CFIT = Controlled Flight into Terrain
Cir = ICAO Circular
CMA = Continuous Monitoring Approach
DASS = Directorate of Aerodromes Safety and Standards
Doc = ICAO Document or Manual
EFOD = Electronic filing of differences
FATO = Final Approach and Take-off Area
GM = ICAO Guidance Material
GRF = Global Reporting Format
NAVAID = Aid to air navigation, also navigation aid
NOTAM = Notice to Airmen
OJT = On-the-job Training
OLS = Obstacle Limitation Surface
PCN = Pavement Classification Number
PPQ = Priority Protocol Question
PQ = Protocol Question
RCR = Runway condition report
RESA = Runway End Safety Area
RFF = Rescue and Firefighting
RP = Recommended Practice contained in an Annex to the Chicago Convention
RVR = Runway visual range
RWYCC = Runway condition code
SARPs = Standards and Recommended Practices
SMGCS = Surface Movement Guidance and Control System
STD = International Standard contained in an Annex to the Chicago Convention
USOAP = Universal Safety Oversight Audit Programme

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List of ICAO Reference Documents

Doc 7300 — *Convention on International Civil Aviation* (also known as the Chicago Convention)
Annex 11 — *Air Traffic Services* (15th edition, July 2018)
Annex 13 — *Aircraft Accident and Incident Investigation* (11th edition, July 2016)
Annex 14 — *Aerodromes*
Volume I — *Aerodrome Design and Operations* (Amdt 14, 8th edition, July 2018)
Volume II — *Heliports* (Amdt. 8, 4th edition, July 2013)
Annex 15 — *Aeronautical Information Services* (16th edition, July 2018)
Annex 16 — *Environmental Protection*
Volume I — *Aircraft Noise* (8th edition, July 2017)
Annex 19 — *Safety Management* (Amdt. 1, 2nd edition, July 2016)
Doc 9137 — *Airport Services Manual*
Part 1 — *Rescue and Fire Fighting* (4th edition, 2015)
Part 2 — *Pavement Surface Conditions* (4th edition, 2002)
Part 3 — *Wildlife Control and Reduction* (4th edition, 2012)
Part 5 — *Removal of Disabled Aircraft* (4th edition, 2009)
Part 6 — *Control of Obstacles* (2nd edition, 1983)
Part 7 — *Airport Emergency Planning* (2nd edition, 1991)
Part 8 — *Airport Operational Services* (1st edition, 1983)
Part 9 — *Airport Maintenance Practices* (1st edition, 1984)
Doc 9150 — *Stolport Manual* (2nd edition, 1991)
Doc 9157 — *Aerodrome Design Manual*
Part 1 — *Runways* (3rd edition, 2006)
Part 2 — *Taxiways, Aprons and Holding Bays* (4th edition, 2005)
Part 3 — *Pavements* (2nd edition, 1983)
Part 4 — *Visual Aids* (4th edition, 2004)
Part 5 — *Electrical Systems* (2nd edition, 2017)
Part 6 — *Frangibility* (1st edition, 2006)
Doc 9184 — *Airport Planning Manual*
Part 1 — *Master Planning* (2nd edition, 1987)
Part 2 — *Land Use and Environmental Control* (4th edition, 2018)
Part 3 — *Guidelines for Consultant/Construction Services* (1st edition, 1983)
Doc 9261 — *Heliport Manual* (4th edition, 2020)
Doc 9426 — *Air Traffic Services Planning Manual* (1st edition, 1984)
Doc 9476 — *Manual on Surface Movement Guidance and Control Systems (SMGCS)* (1st edition, 1986)
Doc 9643 — *Manual on Simultaneous Operations on Parallel or Near-Parallel Instrument Runways* (Provisional) (2nd edition, 2020)
Doc 9683 — *Human Factors Training Manual* (1st edition, 1998)
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 9774 — *Manual on Certification of Aerodromes* (1st edition, 2001)
Doc 9806 — *Human Factors Guidelines for Safety Audits Manual* (1st edition, 2002)
Doc 9830 — *Advanced Surface Movement Guidance and Control Systems (A-SMGCS) Manual* (1st edition, 2004)
Doc 9870 — *Manual on the Prevention of Runway Incursions* (1st edition, 2007)
Doc 9981 — *Procedures for Air Navigation Services: Aerodromes (PANS-AGA)* (2nd edition, 2016)
Cir 305 — *Operation of New Larger Aeroplanes at Existing Aerodromes* (June 2004)
Cir 355 — *Assessment Measurement and Reporting of Runway Surface Conditions* (2019)

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SUMMARY OF AMENDMENTS – AGA 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	
8.009	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.013	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.017	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.019	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.067	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.065 in 2020 Edition.
8.071	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.073	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.081	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.005 in 2020 Edition.
8.084	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.063 in 2020 Edition.
8.089	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.097	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.107	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.105 in 2020 Edition.
8.121	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.119 in 2020 Edition.
8.123	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.115 in 2020 Edition.
8.135	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.165	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.163 in 2020 Edition.
8.185	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.183 in 2020 Edition
8.203	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.209 in 2020 Edition.
8.205	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.216	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.202 in 2020 Edition.
8.217	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.225 in 2020 Edition.
8.237	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.261	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.259 in 2020 Edition.
8.285	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.415 in 2020 Edition.

PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
8.289	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.287 in 2020 Edition.
8.326	.	☐	☐	☒	☐	☐	PQ has been deleted.
8.327	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.333 in 2020 Edition.
8.373	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.369 in 2020 Edition.
8.391	.	☐	☐	☒	☐	☐	PQ has been deleted and merged with 8.389 in 2020 Edition.
8.001	8.001	☐	☒	☐	☐	☐	Question and guidance revised for clarity. Reference revised.
8.003	8.003	☐	☒	☐	☐	☐	Guidance revised for clarity.
8.005	8.005	☐	☐	☐	☒	☐	Merged with 8.081 of 2017 PQs. Question, guidance and reference revised.
8.011	8.011	☐	☒	☐	☐	☐	Guidance revised for clarity.
8.015	8.015	☐	☒	☐	☐	☐	Guidance revised for clarity.
8.031	8.031	☐	☐	☐	☐	☒	No change.
8.033	8.033	☐	☒	☐	☐	☐	Reference revised.
8.035	8.035	☐	☐	☐	☐	☒	No change.
8.039	8.039	☐	☒	☐	☐	☐	Guidance revised for clarity.
8.040	8.040	☐	☒	☐	☐	☐	Reference revised.
8.042	8.042	☐	☒	☐	☐	☐	Reference revised.
8.045	8.045	☐	☒	☐	☐	☐	Reference revised.
8.047	8.047	☐	☐	☐	☐	☒	No change.
8.048	8.048	☐	☐	☐	☐	☒	No change.
8.049	8.049	☐	☐	☐	☐	☒	No change.
8.050	8.050	☐	☐	☐	☐	☒	No change.
8.051	8.051	☐	☒	☐	☐	☐	Guidance revised for clarity. Reference revised.
8.053	8.053	☐	☒	☐	☐	☐	Reference revised.
8.055	8.055	☐	☒	☐	☐	☐	Reference revised.
8.057	8.057	☐	☒	☐	☐	☐	Reference revised.
8.063	8.063	☐	☐	☐	☒	☐	Merged with 8.084 of 2017 PQs. Guidance and reference revised.
8.065	8.065	☐	☐	☐	☒	☐	Merged with 8.067 of 2017 PQs. Guidance and reference revised.
8.069	8.069	☐	☒	☐	☐	☐	Guidance revised for clarity. Reference revised.
8.083	8.083	☐	☐	☐	☐	☒	No change.
8.085	8.085	☐	☒	☐	☐	☐	Guidance revised for clarity. Reference revised.

PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
8.086	8.086	☐	☐	☐	☐	☒	No change.
8.087	8.087	☐	☒	☐	☐	☐	Reference revised.
8.091	8.091	☐	☐	☐	☐	☒	No change.
8.093	8.093	☐	☒	☐	☐	☐	Question and guidance revised for clarity. Reference revised.
8.099	8.099	☐	☐	☐	☐	☒	No change.
8.101	8.101	☐	☐	☐	☐	☒	No change.
8.103	8.103	☐	☐	☐	☐	☒	No change.
8.105	8.105	☐	☐	☐	☒	☐	Merged with 8.107 of 2017 PQs. Question, guidance and reference revised.
8.111	8.111	☐	☐	☐	☐	☒	No change.
8.113	8.113	☐	☒	☐	☐	☐	Question revised for clarity. Reference revised.
8.115	8.115	☐	☐	☐	☒	☐	Merged with 8.123 of 2017 PQs. Question, guidance and reference revised.
8.119	8.119	☐	☐	☐	☒	☐	Merged with 8.121 of 2017 PQs. Question, guidance and reference revised.
8.132	8.132	☐	☐	☐	☐	☒	No change.
8.133	8.133	☐	☐	☐	☐	☒	No change.
8.134	8.134	☐	☐	☐	☐	☒	No change.
8.137	8.137	☐	☐	☐	☐	☒	No change.
8.139	8.139	☐	☒	☐	☐	☐	Question revised for clarity. Reference revised.
8.141	8.141	☐	☒	☐	☐	☐	Reference revised.
.	8.142	☒	☐	☐	☐	☐	New PQ.
8.143	8.143	☐	☒	☐	☐	☐	Question revised for clarity. Reference revised.
.	8.144	☒	☐	☐	☐	☐	New PQ.
8.145	8.145	☐	☒	☐	☐	☐	Question revised for clarity. Reference revised. CE-7 changed to CE-6.
8.147	8.147	☐	☒	☐	☐	☐	Question and guidance revised for clarity. Reference revised.
.	8.148	☒	☐	☐	☐	☐	New PQ.
8.149	8.149	☐	☒	☐	☐	☐	Reference revised.
8.151	8.151	☐	☐	☐	☐	☒	No change.
8.153	8.153	☐	☐	☐	☐	☒	No change.
8.155	8.155	☐	☐	☐	☐	☒	No change.
8.157	8.157	☐	☐	☐	☐	☒	No change.
8.161	8.161	☐	☐	☐	☐	☒	No change.

PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
8.162	8.162	☐	☐	☐	☐	☒	No change.
8.163	8.163	☐	☐	☐	☒	☐	Merged with 8.165 of 2017 PQs. Guidance revised.
8.169	8.169	☐	☒	☐	☐	☐	Question and guidance revised for clarity.
8.171	8.171	☐	☒	☐	☐	☐	Reference revised. CE-6 changed to CE-7.
8.172	8.172	☐	☐	☐	☐	☒	No change.
8.173	8.173	☐	☐	☐	☐	☒	No change.
8.175	8.175	☐	☒	☐	☐	☐	Question revised for clarity.
8.177	8.177	☐	☒	☐	☐	☐	Question revised for clarity.
8.179	8.179	☐	☒	☐	☐	☐	Reference revised.
8.181	8.181	☐	☐	☐	☐	☒	No change.
8.182	8.182	☐	☐	☐	☐	☒	No change.
8.183	8.183	☐	☐	☐	☒	☐	Merged with 8.185 of 2017 PQs. Reference revised.
8.191	8.191	☐	☐	☐	☐	☒	No change.
8.201	8.201	☐	☐	☐	☐	☒	No change.
8.202	8.202	☐	☐	☐	☒	☐	Merged with 8.216 of 2017 PQs. Question, guidance and reference revised.
.	8.204	☒	☐	☐	☐	☐	New PQ.
8.209	8.209	☐	☐	☐	☒	☐	Merged with 8.203 of 2017 PQs. Question, guidance and reference revised.
8.211	8.211	☐	☐	☐	☐	☒	No change.
8.215	8.215	☐	☐	☐	☐	☒	No change.
8.219	8.219	☐	☒	☐	☐	☐	Reference revised.
8.221	8.221	☐	☒	☐	☐	☐	Question and guidance revised for clarity.
8.222	8.222	☐	☐	☐	☐	☒	No change.
8.223	8.223	☐	☐	☐	☐	☒	No change.
8.225	8.225	☐	☐	☐	☒	☐	Merged with 8.217 of 2017 PQs. Guidance revised.
8.227	8.227	☐	☐	☐	☐	☒	No change.
8.233	8.233	☐	☐	☐	☐	☒	No change.
8.235	8.235	☐	☐	☐	☐	☒	No change.
8.239	8.239	☐	☒	☐	☐	☐	Guidance revised for clarity.
8.245	8.245	☐	☐	☐	☐	☒	No change.
8.251	8.251	☐	☐	☐	☐	☒	No change.

PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
8.252	8.252	☐	☐	☐	☐	☒	No change.
8.253	8.253	☐	☒	☐	☐	☐	Reference revised.
8.255	8.255	☐	☒	☐	☐	☐	Question revised for clarity. Reference revised.
8.257	8.257	☐	☒	☐	☐	☐	Reference revised.
8.259	8.259	☐	☐	☐	☒	☐	Merged with 8.261 of 2017 PQs. Question revised.
8.273	8.273	☐	☐	☐	☐	☒	No change.
8.275	8.275	☐	☒	☐	☐	☐	Guidance revised for clarity. CE-2 changed to CE-1.
8.277	8.277	☐	☐	☐	☐	☒	No change.
8.279	8.279	☐	☐	☐	☐	☒	No change.
8.281	8.281	☐	☒	☐	☐	☐	Reference revised.
8.283	8.283	☐	☒	☐	☐	☐	CE-6 changed to CE-7.
8.287	8.287	☐	☐	☐	☒	☐	Merged with 8.289 of 2017 PQs. Guidance and reference revised.
8.291	8.291	☐	☐	☐	☐	☒	No change.
8.293	8.293	☐	☐	☐	☐	☒	No change.
8.297	8.297	☐	☐	☐	☐	☒	No change.
8.299	8.299	☐	☐	☐	☐	☒	No change.
8.301	8.301	☐	☐	☐	☐	☒	No change.
8.303	8.303	☐	☐	☐	☐	☒	No change.
8.305	8.305	☐	☐	☐	☐	☒	No change.
8.307	8.307	☐	☐	☐	☐	☒	No change.
8.309	8.309	☐	☐	☐	☐	☒	No change.
8.311	8.311	☐	☐	☐	☐	☒	No change.
8.313	8.313	☐	☐	☐	☐	☒	No change.
8.315	8.315	☐	☐	☐	☐	☒	No change.
8.317	8.317	☐	☒	☐	☐	☐	CE-6 changed to CE-7.
8.319	8.319	☐	☐	☐	☐	☒	No change.
8.321	8.321	☐	☐	☐	☐	☒	No change.
8.323	8.323	☐	☒	☐	☐	☐	Guidance revised for clarity. Reference revised.
8.328	8.328	☐	☐	☐	☐	☒	No change.
8.329	8.329	☐	☐	☐	☐	☒	No change.

PQ No. (2017 version)	PQ No. (2020 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
8.331	8.331	☐	☐	☐	☐	☒	No change.
8.333	8.333	☐	☐	☐	☒	☐	Merged with 8.327 of 2017 PQs. Question, guidance and reference revised. CE-2 changed to CE-1.
8.335	8.335	☐	☐	☐	☐	☒	No change.
8.337	8.337	☐	☐	☐	☐	☒	No change.
8.339	8.339	☐	☐	☐	☐	☒	No change.
8.341	8.341	☐	☐	☐	☐	☒	No change.
8.345	8.345	☐	☐	☐	☐	☒	No change.
8.347	8.347	☐	☐	☐	☐	☒	No change.
8.349	8.349	☐	☐	☐	☐	☒	No change.
8.365	8.365	☐	☐	☐	☐	☒	No change.
8.367	8.367	☐	☐	☐	☐	☒	No change.
8.369	8.369	☐	☐	☐	☒	☐	Merged with 8.373 of 2017 PQs. Question, guidance and reference revised.
8.375	8.375	☐	☐	☐	☐	☒	No change.
8.377	8.377	☐	☐	☐	☐	☒	No change.
8.381	8.381	☐	☒	☐	☐	☐	Guidance revised for clarity.
8.383	8.383	☐	☒	☐	☐	☐	Guidance revised for clarity.
8.385	8.385	☐	☐	☐	☐	☒	No change.
8.387	8.387	☐	☐	☐	☐	☒	No change.
8.389	8.389	☐	☐	☐	☒	☐	Merged with 8.391 of 2017 PQs. Question and reference revised.
8.393	8.393	☐	☐	☐	☐	☒	No change.
8.395	8.395	☐	☐	☐	☐	☒	No change.
8.401	8.401	☐	☐	☐	☐	☒	No change.
8.403	8.403	☐	☒	☐	☐	☐	Question revised for clarity.
8.405	8.405	☐	☐	☐	☐	☒	No change.
8.409	8.409	☐	☐	☐	☐	☒	No change.
8.411	8.411	☐	☐	☐	☐	☒	No change.
8.413	8.413	☐	☐	☐	☐	☒	No change.
8.415	8.415	☐	☐	☐	☒	☐	Merged with 8.285 of 2017 PQs. Question and reference revised.

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.001	Has the State promulgated specific operating regulations to transpose the provisions of Annex 14?	1) Confirm the title, date of promulgation and last amendment of all regulations related to aerodromes. 2) Verify that the content of the regulations is consistent, sufficient, properly organized to cover aerodrome design and operation. .	CC Arts. 15, 28 & 37 STD A19 3.2.2.2 GM Doc 9734 Part A, C3	Yes	CE-2
8.003	Has the State implemented procedures for the amendment of its specific regulations, taking into consideration ICAO provisions and their amendments?	1) Review documented evidence of effective implementation of procedures for the amendment of the regulations. 2) Verify that regulations are amended in a timely manner whenever an Annex 14 amendment is received. 3) Verify the action taken by the State after receipt of the last amendments of Annex 14. Note to the auditor: The development of these procedures is addressed in PQ LEG PQ 1.009.	CC Art. 37 GM Doc 9734 Part A, C3	Yes	CE-2
8.005	Has the State promulgated regulations detailing the requirements for the certification of aerodromes?	Verify that the scope of certification covers all relevant specifications established through the regulatory framework applicable to the aerodrome.	CC Art. 15 STD A14 Vol. I, 1.4.1 & 1.4.3 RP A14 Vol. I, 1.4.2 PANS Doc 9981 (AGA)	Yes	CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.011	If the State is involved in the provision of aerodrome facilities and services, is there a clear separation of authority between the State operators and the State regulatory authority?	Review established method used to ensure objective and impartial safety management.	GM Doc 9774 1.1 Doc 9734 Part A, C2 & C3	Yes	CE-3
8.015	Has the State implemented procedures for identifying and notifying differences, if any, to ICAO?	1) Review documented evidence of effective implementation of existing procedures. 2) Review CC/EFOD for Annex 14, Volume I and Volume II, as applicable. Note to the auditor: The development of these procedures is addressed in LEG PQ 1.025.	CC Arts. 37 & 38 GM Doc 9734 Part A, C3	Yes	CE-2
8.031	Has the State established an organizational structure, e.g. a Directorate of Aerodromes Safety and Standards (DASS), for airport certification and surveillance activities?	1) Confirm current approved organizational structure for CAA and DASS, including lines of responsibility. 2) Note names and acronyms of the established authorities and each section dealing with aerodrome certification and surveillance activities. 3) Cross-check with State Aviation Activity Questionnaire (SAAQ). Note to the auditor: This PQ is not linked to the ORG PQ 2.010.	GM Doc 9774 5.1 & 5.4 Doc 9734 Part A, C3		CE-3

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.033	Are all the functions and responsibilities of the aerodrome regulatory authority clearly defined?	Review document detailing the functions and responsibilities for inclusion of: a) Development of aerodrome standards, b) Aerodrome certification, c) Safety oversight audits, d) Notification to the AIS and other organizations, e) Other safety functions, and f) Compliance and enforcement. Note to the auditor: This PQ is not linked to the ORG PQ 2.011.	STD A19 GM Doc 9734 Doc 9774 5.2		CE-3
8.035	Have job descriptions been developed for technical staff and key management personnel of the aerodrome regulatory authority?	1) Review job descriptions for all aerodrome regulatory and inspectorate staff. 2) Check that the job description includes tasks related to Annex 14.	GM Doc 9734 Part A, C3 Doc 9774 5.5		CE-3

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.039	Does the aerodrome regulatory authority have sufficient human resources (including an appropriate mix of technical disciplines given the size and scope of all the aerodrome operations in the State) to carry out its functions and mandate?	1) Review methodology used for determining staffing levels, taking into account all required functions. 2) Review list of available experts which demonstrates a suitable mix of technical disciplines, or access to such, appropriate to aerodrome operations such as: a) Aerodrome operations, b)Air traffic and apron management, c) Engineering – civil and electrical, d) Rescue and firefighting (RFF), and e) wildlife hazard control. 3) Review ability to carry out all safety oversight-related tasks, including: a) reviewing and revising regulations, b) training technical staff, c) developing guidance material, d) issuing approvals and exemptions, e) conducting surveillance, and f) resolving identified safety deficiencies/concerns.	GM Doc 9734 Part A, C3 Doc 9774 5.4	Yes	CE-3
8.040	Has the State established appropriate minimum qualification and experience requirements for the technical staff and key management personnel of the aerodrome regulatory authority?	Verify that the requirements take into account sufficient operational and technical work experience commensurate with the activities that the inspectors are required to certify or supervise.	STD A19 App. 1, 4.1 GM Doc 9734 Part A, C3		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.042	Does the State ensure that the established minimum qualification and experience requirements are met by all technical staff and key management personnel of the aerodrome regulatory authority?	1) Sample recruitment files. 2) Cross-check with established requirements.	STD A19 App. 1, 4.2 GM Doc 9734 Part A, C3		CE-4
8.045	Have aerodrome inspectors been issued credentials to facilitate access to aerodrome facilities in the State and access to certification documentation for the purpose of inspections and enforcement?	Review credentials to ensure: a) Reference to empowering legislation. b) Method established to control currency of credential. c) Inspector's photo.	STD A19 App. 1, 1 GM Doc 9774 2.2 g) & 3D.6		CE-3
8.047	If the aerodrome regulatory authority delegates its duties to other entities (e.g. CAA divisions, State bodies, Contracting States, regional organizations or private agencies), are the delegated tasks clearly defined?	1) Review documentation clearly defining tasks delegated. 2) Verify the legal mechanism for the delegation.	GM Doc 9734 Part A, C3 Doc 9774 4.1.4		CE-3
8.048	If deficiencies or concerns are identified in the tasks delegated to other entities or individuals, does the aerodrome regulatory authority have a process in place for their resolution?	Review examples of corrective actions taken to resolve deficiencies identified during surveillance activities of the delegated entities/individuals.	GM Doc 9734 Part A, C3		CE-8
8.049	If the duties of the aerodrome regulatory authority have been delegated to other entities or individuals, have the requirements for competency been established?	1) Review competency requirements for delegated entities or individuals. 2) Review minimum qualifications and experience required for individuals receiving delegation.	GM Doc 9734 Part A, C3		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.050	Does the aerodrome regulatory authority conduct surveillance of tasks delegated to other entities or individuals?	1) Review mechanism for surveillance. 2) Review evidence to confirm effective implementation. 3) Review that the aspect of maintenance of competency of relevant personnel is covered.	GM Doc 9734 Part A, C3		CE-7
8.051	Has the aerodrome regulatory authority developed a formal training programme detailing the type of training to be provided to aerodrome regulatory and inspectorate staff?	1) Review contents of training programme. 2) Confirm that it covers all the AGA specialist areas and define all the training (initial, specialized, OJT) needed, with time periods to be provided, as applicable, to access the different levels of the aerodrome inspectors' functions in all the specialist areas, and maintain (recurrent) them at those levels. 3) Verify specialized training for: a) Aerodrome operations, b) RFF, c) Wildlife management, d) Assessment of physical characteristics and electrical systems, e) Obstacle control, f) Assessment and reporting of runway surface conditions g) Aeronautical studies/risk assessments, h) Enforcement, and i) Signs, Markings and Lighting.	STD A19 GM Doc 9734 Part A, C3 Doc 9774 5.5	Yes	CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.053	Does the aerodrome regulatory authority develop a periodic training plans detailing and prioritizing the type of training to be provided during the established period?	1) Review most recent training plan. 2) Ensure that training plans are: a) based on relevant training needs of individual staff members; and b) prioritized according to the operational requirements of the unit.	STD A19 GM Doc 9734 Part A, C3		CE-4
8.055	Is the training programme appropriately implemented?	Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient for the technical staff to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with their assigned duties and responsibilities.	STD A19 GM Doc 9734 Part A, C3	Yes	CE-4
8.057	Does the aerodrome regulatory authority have a system for the maintenance of training records for its technical staff?	1) Review requirements/instructions for the establishment and maintenance of training records. 2) Review the system in place and sample training records. 3) Verify that training records: a) are systematically retained, and b) comprise not only certificates of attendance, but also information on the course content. 4) Verify that the training records on the OJT provided include details on the training activities performed (e.g. participation as an observer or performance of tasks under supervision) and their outcome.	STD A19 GM Doc 9734 Part A		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.063	Does the State issue and maintain up-to-date publications, including guidance material, to ensure that aerodrome operators are aware of the State regulations and supporting requirements which have to be met for the granting and retention of an aerodrome certificate?	1) Review availability of sufficient information (e.g. booklet, pamphlet, circular, and websites) to a prospective aerodrome operator about the regulations and associated material for obtaining an aerodrome certificate and corresponding specifications. 2) Review process for issuing and keeping published documents up to date. 3) Review list of published documentation to confirm their relevance, currency and coverage of most of the AGA specialist disciplines.	STD A19 App. 1, 5.2 GM Doc 9734 Part A, C3		CE-5
8.065	Are the relevant ICAO documents and other technical publications up-to-date and readily available to aerodrome regulatory and inspectorate staff?	1) Verify accessibility of documents: a) State laws and regulations. b) Orders and instructions. c) Current copy of Annex 14. d) Copies of ICAO guidance material (e.g. Doc 9981, Doc 9774, Doc 9137, Doc 9157, etc.). 2) Evaluate: a) Availability of a technical library; and b) Document control system. Note: Check for field/regional offices as well as Headquarters.	STD A19 App. 1, 5.1 GM Doc 9774 5.3		CE-5
8.069	Has the aerodrome regulatory authority developed guidance material and procedures for aerodrome inspectorate staff, covering each technical specialist area?	Review guidance materials and procedures developed for both aerodrome certification and surveillance activities.	STD A19 App. 1, 5.1 GM Doc 9734 Part A, C3		CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.083	Has the State established a process for the certification of aerodromes?	Review aerodrome certification process to verify inclusion of the following elements: a) Dealing with an expression of interest. b) Assessment of the formal application. c) Evaluation of the aerodrome manual submitted by the applicant. d) Evaluation of the competence and experience of the aerodrome staff. e) Assessment of aerodrome physical characteristics, facilities and equipment. f) Evaluation of aerodrome operating procedures. g) Issuance or refusal of aerodrome certificate. h) Publication of certified status of an aerodrome and the required details in the AIP.	CC Art. 15 STD A14 Vol. I, 1.4.3 & 1.4.4 PANS Doc 9981 (AGA) 2.1.2.2, 2.1.2.3 & Att. B to C2 GM Doc 9774 3B.3.2 & 4.2	Yes	CE-5
8.085	Does the aerodrome regulatory authority require that a prospective aerodrome operator complete and submit a formal application form for obtaining an aerodrome certificate?	1) Review template. 2) Review examples of completed application forms to confirm effective implementation.	PANS Doc 9981 (AGA) 2.3.3.2 a) GM Doc 9774 3B.2		CE-6
8.086	Does the aerodrome regulatory authority fully implement the certification requirements?	1) Verify the implementation of the certification requirements for all the designated aerodromes. 2) Review samples of aerodrome certification files to confirm consistent application of the certification process for the designated aerodromes.	STD A14 Vol. I, 1.4.1 & 1.4.3 RP A14 Vol. I, 1.4.2 GM Doc 9774 3B.3.2	Yes	CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.087	Does the aerodrome regulatory authority review the organizational competence and level of resources of prospective aerodrome operators or certificate holders and ensure that they employ competent personnel to perform all critical activities for aerodrome operations and maintenance?	1) Review aerodrome inspector's guidance material, manuals, checklists, etc. 2) Verify certification process. 3) Review qualification requirements and process for assessment of staff performing all critical activities. 4) Review evidence to confirm effective implementation.	PANS Doc 9981 (AGA) App. 1 of C2 & 3.2 c) GM Doc 9774 3D.2	Yes	CE-6
8.091	Does aerodrome certification staff track compliance with the initial certification requirements using appropriate checklists?	Review the checklists used for initial certification to confirm effective implementation.	PANS Doc 9981 (AGA) 2.3.2.3, 2.3.2.6, App. 1 to C2 & Att. C to C2 GM Doc 9734 Part A, C3 Doc 9774 4.1.2, 4.4 & 5.2	Yes	CE-6
8.093	Does the scope of the certification process explicitly include referral to competent State entities and coordination with elements of air traffic service (ATS) for the local airspace of an aerodrome?	1) Review referral and coordination with entities such as environmental agency, security agency, local planning authorities, etc. 2) Verify that documentation includes the requirement to coordinate with ATS elements in the certification process. 3) Review evidence to confirm effective implementation. 4) If the aerodrome certification requirements do not explicitly include ATS elements, review the method used to ensure coordination with ATS elements for the local airspace.	GM Doc 9774 1.2.5, 2.2 d), 2.2 e) & 4.3.3		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.099	As part of the State's aerodrome certification process, does the State implement procedures for accepting a non-compliance with the established requirements, including a risk assessment mechanism and notification procedure?	Verify: a) Effective implementation of procedures for the issuance of exemptions. b) System for recording and publishing exemptions granted. c) Examples of exemptions granted in the area of aerodromes. d) Criteria used for the risk assessment before granting the exemptions. Notes to the auditor: 1) The legal/regulatory basis for the granting of exemptions is addressed LEG PQ 1.027. 2) The establishment of a policy and procedures for the granting of exemptions is addressed in LEG PQ 1.028. 3) The term "exemptions" also includes exceptions, deviations and prolonged extensions.	PANS Doc 9981 (AGA) 2.3.6.2 GM Doc 9734 Part A, C3 Doc 9774 App. 3	Yes	CE-6
8.101	Does the aerodrome certificate issued by the State contain appropriate information, including the type of use of the aerodrome?	Review examples of aerodrome certificate to confirm that the aerodrome's location, operator, type of use and any exemptions or operational conditions imposed on its use are included.	PANS Doc 9981 (AGA) 2.3.6.1 GM Doc 9774 3B.4 & App. 4	Yes	CE-6
8.103	Does the aerodrome regulatory authority maintain an appropriate filing system for each aerodrome to be certified and a certificate register?	1) Review the filing system of the aerodrome regulatory authority. 2) Review evidence to confirm inclusion of required documents in aerodrome files (e.g. applications forms, manuals, checklists, etc.).	GM Doc 9774 5.3		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.105	Has the State established procedures for the amendment and transfer of an aerodrome certificate?	1) Review procedure for amendment and verify that it includes assessment of all elements which could be affected by the change. 2) Review procedure for transfer to ensure that it includes evaluation of all changes and assessment of the capability of the new operator. 3) Review examples, if available.	PANS Doc 9981 (AGA) 2.5.8.6 GM Doc 9774 3B.9 & 4.7		CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.111	Does the State ensure that aerodrome operators develop and submit an aerodrome manual to the appropriate State authority for approval/acceptance prior to certification?	1) Verify that aerodrome manuals have been approved/accepted by the CAA for all designated aerodromes. 2) Review samples of approved/accepted aerodrome manual, specifically for particulars of: a) The aerodrome site b) The aerodrome information to be reported to the AIS: i) General information ii) Aerodrome dimensions and related information c) The aerodrome operating procedures and safety measures: i) Aerodrome reporting ii) Movement area access iii) Aerodrome emergency plan iv) RFF v) Inspection of the movement area and obstacle limitation surface (OLS) vi) Visual aids and aerodrome electrical systems vii) Movement area maintenance viii) Aerodrome works safety ix) Apron management and parking control x) Airside vehicle control xi) Wildlife hazard management xii) Obstacle control xiii) Removal of disabled aircraft xiv) Handling of hazardous materials xv) Low Visibility Operations xvi) Protection of sites for radar and Navigation Aid (NAVAID).	STD A14 Vol. I, 1.4.4 PANS Doc 9981 (AGA) 2.2.1 GM Doc 9774 3.2 & 3B.2	Yes	CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.113	As part of the certification process, does the State assess both initial and continuing organizational competence to ensure that the aerodrome operator's staff has the necessary competence and experience to operate and maintain the aerodrome properly?	1) Review copies of policies or similar documents showing linkage to the certification process and national requirements for organizational competence. 2) Review evidence to confirm effective implementation.	STD A14 Vol. I, 1.4.4 PANS Doc 9981 (AGA) Att. A & C to C2 GM Doc 9734 Part A, C3 Doc 9774 C3, 3.2, Section B, 3B3.2 & Section C		CE-7
8.115	Does the State ensure that: a) aerodrome manuals are reviewed periodically; b) the information contained in the manual remain correct; and c) up-to-date copies of approved aerodrome manuals are kept by the aerodrome regulatory authority?	1) Evaluate mechanism to ensure periodic review. 2) Check availability of up-to-date copies of approved aerodrome manuals kept by the aerodrome regulatory authority. 3) Review evidence to confirm effective implementation.	STD A14 Vol. I, 1.4.4 PANS Doc 9981 (AGA) 2.2.3 GM Doc 9774 3.2, 3C.4 & App. 1, 5.3		CE-7
8.119	Does the State provide guidance to the aerodrome regulatory authority technical staff, and have procedures in place, on the initial review and approval/acceptance of an aerodrome manual and its subsequent amendments?	1) Review the guidance, including checklist, to confirm that it addresses all pertinent technical areas and that it is up-to-date. 2) Review procedures to ensure inclusion of the systematic review of proposed amendments and their impact on safety. 3) Review example of checklist used.	PANS Doc 9981 (AGA) Att. C to C2 GM Doc 9734 Part A, C3 Doc 9774 3.2 & 3C.4		CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.132	Has the State promulgated regulations defining an aerodrome reference code, determined in accordance with the characteristics of the aeroplane for which an aerodrome facility is intended, to be used for planning purposes?	1) Review established requirements. 2) Verify effective use of the aerodrome reference code for aerodrome planning purposes.	STD A14 Vol. I, 1.6		CE-2
8.133	Has the State established coordination between aerodromes/heliports and AIS to ensure up-to-date information of aerodrome safety-related conditions?	1) Review evidence to confirm effective implementation of the arrangements (i.e. signed MOU or letter of agreement, etc.). 2) Verify in the AIP the availability of information on the status of certification of aerodromes and aerodrome conditions, and the operational status of associated facilities, services and navigation aids.	STD A14 Vol. I, 2.13 Vol. II, 2.6		CE-6
8.134	Has the State promulgated regulatory requirements relating to aerodrome data?	Verify regulations, including the following areas specified in Annex 14 Vol. I: 1) Aeronautical data 2) Aerodrome reference point 3) Aerodrome and runway elevations 4) Aerodrome reference temperature 5) Aerodrome dimensions and related information 6) Strength of pavements 7) Pre-flight altimeter check location 8) Declared distances 9) Condition of the movement area and related facilities 10) Disabled aircraft removal 11) Rescue and firefighting 12) Visual approach slope indicator systems 13) Coordination between AIS and aerodrome authorities.	STD & RP A14 Vol. I, C2		CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.137	Does the State ensure that aerodrome operators comply with the requirements for the determination and reporting of pavement bearing strengths?	Review documented evidence of published documents (e.g. AIP) which confirm effective compliance with the requirements.	STD A14 Vol. I, 2.6.1 to 2.6.6 & 2.6.8		CE-6
8.139	Has the State promulgated regulations and associated industry guidance material to determine the bearing strength of a pavement and regulate the use of a pavement by an aircraft with an aircraft classification number (ACN) higher than the reported pavement classification number (PCN)?	1) Verify regulations. 2) Confirm associated industry guidance material to enable effective implementation.	STD A14 Vol. I, 2.6.1 RP A14 Vol. I, 2.6.7 GM A14 Vol. 1, Att. A, Section 20		CE-2
8.141	Has the State established guidance for calculating the declared distances, to the specified accuracy, for runways intended for use by international commercial air transport?	Review of available guidance.	STD A14 Vol. I, 2.8 GM A14 Vol. 1, Att. A, Section 3		CE-5
8.142	Has the State promulgated regulations relating to monitoring and reporting of information on the condition of the movement area and related facilities?	Verify regulations, including the assessment and reporting of the runway surface condition through a runway condition code (RWYCC).	STD & RP A14 Vol. I, 2.9 PANS Doc 9981 (AGA) Part II, C2	Yes	CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.143	Does the State ensure that aerodrome operators inspect the movement areas at the appropriate frequency, and monitor and report the condition of the movement areas and operational status of related facilities?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm.	STD A14 Vol. I, 2.9.1, 2.9.2, 2.9.3 & 2.9.4 PANS Doc 9981 (AGA) Part II, C3 GM Doc 9137 Part 8 Doc 9476 Doc 9830	Yes	CE-7
8.144	Does the State ensure that personnel assessing and reporting runway surface conditions are trained and competent to perform their duties?	Review established requirements and implementation of training on the concept of the Runway Condition Report (RCR) and the use of runway condition code (RWYCC).	STD A14 Vol. I, 2.9.4 PANS Doc 9981 (AGA) Part II, C2 Doc 10066 (AIM) App. 4 GM A14 Vol. 1, Att. A, Section 6 Cir 355		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.145	Does the State ensure that aerodrome operators establish and implement procedures to assess and report runway surface condition through a runway condition code (RWYCC) and a description using the appropriate terms?	1) Evaluate mechanism to ensure establishment and effective implementation of aerodrome operator's related procedures. 2) Review evidence to confirm.	STD A14 Vol. 1, 2.9.5 to 2.9.7 PANS Doc 9981 (AGA) Part II, C2 GM Doc 9774 3D.7 Doc 9137 Part 2, 2.1 Cir 355		CE-6
8.147	Does the State ensure that aerodrome operators have a process for determining and providing relevant information that a runway, or part of, may be slippery wet, and when the friction level of a paved runway or portion thereof is less than the minimum friction level specified by the State?	1) Review method used by aerodrome operators. 2) Review evidence to confirm effective implementation.	STD A14 Vol. I, 2.9.9, 2.9.10, 10.2.3 & 10.2.4 RP A14 Vol. I, 10.2.8 PANS Doc 9981 (AGA) Part II, C2 GM Cir 355		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.148	Has the State established guidance for assessment and reporting of runway surface condition?	Review available guidance on the use of the Global Reporting Format (GRF) and runway condition code (RWYCC).	STD & RP A14 Vol. I, 2.9 PANS Doc 9981 (AGA) Part II, C2 GM A14 Vol. 1, Att. A, Section 6 Cir 355		CE-5
8.149	Has the State established procedures for the issuance of NOTAMs in relation to contaminants on a runway?	1) Review documentation verifying that procedures have been established to include an assessment of the surface condition of the aerodrome movement areas and its description, using appropriate terminology. 2) Review examples.	STD A15 C5 A14 Vol. I, 2.9.1 & 2.9.10 PANS Doc 9981 (AGA) Part II, C2 GM Doc 9774 3D.7 Cir 355		CE-5
8.151	Does the State ensure that aerodrome operators provide contact information and aerodrome's capability for the removal of disabled aircraft?	1) Evaluate mechanism established to ensure effective implementation for providing: a) Contact details of appropriate aerodrome personnel. b) Information concerning the capability to remove disabled aircraft on or adjacent to the movement area. 2) Review evidence to confirm effective implementation.	RP A14, Vol. I, 2.10.1, 2.10.2 & 9.3.1 to 9.3.2		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.153	Does the State ensure that aerodrome operators provide information concerning the level of protection available at an aerodrome for aircraft rescue and firefighting (RFF) purposes?	1) Confirm mechanism established to ensure effective implementation. 2) Review evidence to confirm.	STD A14 Vol. I, 2.11.1 RP A14 Vol. I, 2.11.2 PANS Doc 9981 (AGA) App. 1 to C2, Section 3.1	Yes	CE-6
8.155	Does the State ensure that aerodrome operators notify changes in the level of aircraft rescue and firefighting (RFF) protection normally available at an aerodrome to air traffic service (ATS) and AIS?	1) Confirm mechanism established to ensure effective implementation and method used by aerodrome operators to provide information on changes. 2) Ensure that possible changes include those related to availability of extinguishing agents, equipment to deliver agents or personnel to operate the equipment, etc. 3) Review examples.	STD A14 Vol. I, 2.11.3 RP A14 Vol. I, 2.11.4 GM Doc 9774 3D.7		CE-7
8.157	Does the State ensure that aerodrome operators make available information about visual approach slope indicator system installations?	1) Confirm mechanism established to ensure effective implementation and method used by aerodrome operators to provide information. 2) Review evidence to confirm (i.e. completeness and currency of the information published in the AIP).	STD A14 Vol. I, 2.12		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.161	Does the aerodrome certification process include an assessment of the aerodrome physical characteristics, facilities, operational services and equipment to verify compliance with the specified standards and practices?	1) Review the assessment system, including a sample document that shows the assessment of the aerodrome physical characteristics, facilities and equipment as detailed in the ICAO reference documents. 2) Review evidence to confirm effective implementation. 3) Verify that, for non-compliances identified, safety assessments are duly conducted with associated risk mitigation measures, if necessary, to ensure an equivalent level of safety of aircraft operations.	GM Doc 9774 4.4.4 PANS Doc 9981 (AGA) 2.3.2.1 & App. 1 to C2	Yes	CE-6
8.162	Has the State promulgated regulations relating to the aerodrome physical characteristics?	Verify regulations, including the following areas specified in Annex 14 Vol. I: 1) Runways 2) Runway shoulders 3) Runway turn pads 4) Runway strips 5) Runway end safety areas 6) Clearways 7) Stopways 8) Radio altimeter operating area 9) Taxiways 10) Taxiway shoulders 11) Taxiway strips 12) Holding bays, runway-holding positions, intermediate holding positions and road-holding positions 13) Aprons 14) Isolated aircraft parking position 15) De-icing/anti-icing facilities	STD & RP A14 Vol. I, C3		CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.163	Does the State require and ensure the provision of runway end safety areas (RESA) at aerodromes?	1) Verify regulations. 2) Review evidence to confirm effective implementation at all aerodromes open to public use, including relevant information published in the AIP. 3) Evaluate the mechanism used by the State to ensure safety in the event of an aircraft overrunning or undershooting the runway, if RESA has not been provided.	STD A14 Vol. I, 3.5.1, 3.5.3 & 3.5.5 RP A14 Vol. I, 3.5.2, 3.5.4 & 3.5.6	Yes	CE-6
8.169	Are checklists provided to aerodrome inspectors during inspections of aerodrome physical characteristics, facilities, operational services, equipment and installations?	Review checklist or other method of documenting compliance.	PANS Doc 9981 (AGA) 2.3.2 & App. 1 to C2, Section 1 GM Doc 9774 4.4		CE-5
8.171	Whenever a change to the aerodrome physical characteristics, facilities or equipment is proposed, does the aerodrome regulatory authority ensure that the aerodrome operator has a procedure for evaluating the impact of this change on the safety of the existing operation?	1) Review established requirements. 2) Review procedures established. 3) Review evidence, including examples to confirm effective implementation.	STD A14 Vol. I, 1.4.4 PANS Doc 9981 (AGA) C2, 2.4.4		CE-7
8.172	Has the State promulgated regulations relating to the aerodrome electrical systems?	Verify regulations, including the following areas specified in Annex 14, Vol. I: 1) Electrical power supply systems for air navigation facilities. 2) System design. 3) Monitoring.	STD & RP A14 Vol. I, C8		CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.173	Does the State ensure that aerodrome operators comply with regulations for the provision of primary and secondary power supplies?	1) Confirm mechanism established to ensure effective implementation. 2) Confirm compliance with application and availability of secondary power supplies, characteristics and switch-over times. 3) Verify if systems installed before November 1999, which do not meet switch over times specified in STD 8.1.5 of Annex 14, Vol. I, have been replaced.	STD & RP A14 Vol. I, 8.1 & 8.2 GM Doc 9157 Part 5	Yes	CE-6
8.175	If the aerodrome operators use runways when runway visual ranges are less than 550 m, does the State ensure that the electrical systems are designed so that an equipment failure will not leave the pilot with inadequate visual guidance?	1) Evaluate mechanism established to ensure effective implementation. 2) Review evidence to confirm.	STD A14 Vol. I, 8.2.1 GM Doc 9157 Part 5		CE-6
8.177	Where a runway forming part of a standard taxi-route is provided with runway lighting and taxiway lighting, does the State ensure that aerodrome electrical systems are interlocked to preclude the possibility of simultaneous operation of both forms of lighting?	1) Evaluate mechanism established to ensure effective implementation. 2) Review evidence to confirm.	STD A14 Vol. I, 8.2.3		CE-6
8.179	Does the State ensure that aerodrome operators have a method to monitor lighting system reliability and indicate any fault, appropriate to the type and level of operations?	1) Evaluate mechanism established to ensure effective implementation. 2) Review evidence to confirm. 3) Check during aerodrome industry visit.	STD & RP A14 Vol. I, 8.3 GM Doc 9157 Part 5	Yes	CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.181	Has the State established and implemented coordinated arrangements among its aviation agencies, aerodrome regulatory authority and aerodrome operators in order to optimize civil aviation security measures in the State and ensure that international civil aviation security measures are integrated into the design and construction of aerodrome facilities?	1) Review documented evidence of the arrangements. 2) Evaluate mechanism to ensure effective implementation. 3) Review examples.	STD A14 Vol. I, 1.5		CE-6
8.182	Has the State promulgated regulations relating to aerodrome operational services, equipment and installations?	Verify regulations, including the following areas specified in Annex 14 Vol. I: 1) Aerodrome emergency planning 2) Rescue and firefighting (RFF) 3) Disabled aircraft removal 4) Wildlife strike hazard reduction 5) Apron management service 6) Ground servicing of aircraft 7) Aerodrome vehicle operations 8) Surface movement guidance and control systems (SMGCS) 9) Siting of equipment and installations on operational areas 10) Fencing 11) Security lighting.	STD & RP A14 Vol. I, C9		CE-2
8.183	Does the State ensure that aerodrome operators comply with regulations for providing a fence or suitable barriers to aerodromes and off-aerodrome ground installations and facilities, including sewers, ducts and tunnels as well as the requirements for the lighting of security fences and barriers?	1) Evaluate mechanism to ensure effective implementation at all designated aerodromes. 2) Should take into account any runways or taxiways which pass over public roads, and determination of studies when greater security is thought necessary. 3) Evaluate risk assessment conducted to determine portions of the fence to be lit. 4) Review evidence to confirm.	STD & RP A14 Vol. I, 9.10 & 9.11		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.191	Does the State ensure that aerodrome operators comply with the frangibility and height restriction requirements for equipment or installations located near or on a runway, on the non-graded portion of a runway strip, on precision approach runways, or for obstacles of operational significance?	1) Review mechanism to ensure effective compliance. 2) Review examples. 3) Confirm during aerodrome industry visit.	STD A14 Vol. I, 9.9 GM Doc 9157 Part 6	Yes	CE-6
8.201	Does the aerodrome certification process include an assessment of the aerodrome visual aids (e.g. lights, markings, markers and signs) and electrical systems?	1) Review system for evaluating location and characteristics of: a) Wind direction indicator and its illumination b) Information and mandatory signs in movement areas c) Aerodrome markings and markers d) Aeronautical ground lights, including their flight check records e) Approach lighting systems f) Visual approach slope indicator system g) Stop bar lights h) Apron flood lighting i) Electrical power supply systems for air navigation facilities k) Electrical system design and monitoring. 2) Review evidence to confirm effective implementation. 3) Verify that, for non-compliances identified, safety assessments are duly conducted with associated risk mitigation measures, if necessary, to ensure an equivalent level of safety of aircraft operations.	STD A14 Vol. I, C5 PANS Doc 9981 (AGA) 2.1.2.2 & 2.3.2.1 & App. 1 to C2 GM Doc 9774 4.4.4	Yes	CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.202	Has the State promulgated regulations relating to aerodrome visual aids for navigation and visual aids for denoting restricted use areas?	Verify regulations, including the following areas specified in Annex 14, Vol. I a) Indicators and signalling devices; b) Markings; c) Lights; d) Signs; e) Markers; and f) Denoting closed runways and taxiways, or parts thereof; non-load-bearing surfaces; pre-threshold area; and unserviceable areas.	STD & RP A14 Vol. I, C5 & C7		CE-2
8.204	Does the State ensure that aerodrome operators comply with requirements related to runway safety, including the establishment of a runway safety team?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence of a systematic approach to runway safety and collision avoidance strategy, e.g. establishment of runway safety teams.	PANS Doc 9981 (AGA) Part II, C8 GM A14 Vol. I, Att. A, Section 21.3 Doc 9870 C3	Yes	CE-6
8.209	Does the State ensure that aerodrome operators comply with the regulations for the provision of a surface movement guidance and control system (SMGCS) and that signs shall be provided to convey a mandatory instruction, information on a specific location or destination on a movement area?	1) Review established process and national requirements, taking into account the density of air traffic and the visibility conditions under which operations are intended. 2) Evaluate mechanism to ensure effective implementation. 3) Review evidence to confirm.	STD & RP A14 Vol. I, 5.4 & 9.8 GM Doc 9476		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.211	Does the State ensure that stop bars are installed in accordance with the requirements and controlled by ATS?	1) Evaluate mechanism to ensure effective implementation. 2) Ensure that it covers verification of: a) implementation of stop bars at all taxiways leading to runway operated with RVR below 550m; b) stop bars design and lights characteristics; c) the interlocking system between stop bars and taxiway centerline lights installed beyond; and d) the command system and its functioning. 3) Review evidence to confirm.	STD & RP A14 Vol. I, 5.3.20		CE-6
8.215	At aerodromes where selective switching of stop bars and taxiway centre line lights is used for surface movement guidance and control system (SMGCS), does the State ensure the implementation of the requirements in accordance with ICAO Standards?	1) Evaluate mechanism to ensure effective implementation and that it covers verification of: a) the interlocking system between stop bars and taxiway centerline lights installed beyond; and b) the command system and its functioning. 2) Review evidence to confirm.	STD A14 Vol. I, 9.8.6		CE-6
8.219	Has the State promulgated a regulation for surface movement radar to be provided at aerodromes where there are movements of aircraft in visibilities of less than 350 m, and in other visibility conditions, where regularity of traffic cannot be maintained by alternative means?	Verify regulations.	STD & RP A14 Vol. I, 9.8.7 & 9.8.8 A11 3.10 Note GM Doc 9426 Part II, Section 5, C4		CE-2
8.221	Does the State ensure that an aerodrome's surface movement guidance and control system (SMGCS) is designed to assist in the prevention of inadvertent incursions of aircraft and vehicles onto an active runway or taxiway, and collisions on any part of the movement area?	1) Review documented evidence of requirements. 2) Evaluate mechanism to ensure effective implementation. 3) Review evidence to confirm aerodrome operator's compliance with specifications of markings, lights and signs in Annex 14, Vol. I.	STD & RP A14 Vol. I, 9.8.4 & 9.8.5 GM Doc 9476 Doc 9157 Part 4		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.222	Has the State promulgated regulations relating to visual aids for denoting obstacles?	Verify regulations, including the following areas specified in Annex 14, Vol. I: 1) Objects to be marked and/or lighted, and 2) Marking and/or lighting of objects.	STD & RP A14 Vol. I, C6		CE-2
8.223	Does the State ensure that aerodrome operators/competent State authority comply with regulations relating to marking and lighting obstacles, both on the aerodrome and in the vicinity of aerodromes, which could otherwise present a hazard to aircraft?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm.	STD & RP A14 Vol. I, 6.1 & 6.2	Yes	CE-7
8.225	Does the State ensure that aerodrome operators develop and implement procedures to mark permanent and temporary movement area closures and meet location and characteristic specifications?	1) Evaluate mechanism to ensure effective implementation of procedures to: a) mark permanent and temporary movement area closures; and b) prevent aircraft from entering permanently closed runways and taxiways by removing lighting and obliterating normal markings. 2) Review evidence to confirm.	STD & RP A14 Vol. I, 7.1		CE-6
8.227	Does the State ensure that aerodrome operators use taxi side stripe markings on taxiways, runway turn pads, holding bays and aprons in order to distinguish non-load-bearing surfaces and unserviceable areas from load-bearing areas?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm.	STD A14 Vol. I, 7.2 RP A14 Vol. I, 7.2.2, 7.2.3, 9.8.4 & 9.8.5		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.233	Does the State ensure that aerodrome operators/competent State authority comply with regulations on the requirement to extinguish, screen or otherwise modify non-aeronautical lights which could present a hazard to aircraft safety?	1) Evaluate mechanism to ensure effective implementation within and in the vicinity of aerodromes. 2) Review evidence to confirm.	STD A14 Vol. I, 5.3.1.1 to 5.3.1.3		CE-7
8.235	Does the State ensure that aerodrome operators comply with regulations related to the control of lighting intensity?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm. 3) Review how the State considers runway lighting systems as a whole.	STD A14 Vol. I, 5.3.1.9 to 5.3.1.12 PANS Doc 9981 (AGA) App. 1 to C2, Section 2.1 GM Doc 9157 Part 4		CE-6
8.239	If the aerodrome uses the 30 m spacing option for the provision of runway centre line lights, does the State ensure the implementation of requirements which specify related maintenance objectives and which call for a demonstration of conformance with them?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm. 3) Review results of demonstrations of conformance with Standards 10.5.7 and 10.5.11 of Annex 14, Vol. 1, if applicable.	STD A14 Vol. I, 5.3.12.5		CE-6
8.245	Does the State ensure the implementation of requirements for the provision of visual docking guidance systems, in accordance with Annex 14, Vol I specifications, including evaluation, location, characteristic specifications, and azimuth and stopping guidance?	1) Evaluate mechanism to ensure effective implementation, if applicable. 2) Review evidence to confirm.	STD & RP A14 Vol. I, 5.3.25		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.251	Does the State ensure that aerodrome operators develop and implement aerodrome maintenance programmes at all aerodromes in the interests of safety, efficiency and regularity of aircraft operations?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm.	STD A14 Vol. I, 10.1.1 RP A14 Vol. I, 10.1.2 PANS Doc 9981 (AGA) 2.1.2; App. 1 to C2, Section 3.1		CE-6
8.252	Has the State promulgated regulations relating to aerodrome maintenance?	Verify regulations, including the following areas specified in Annex 14, Vol. I: 1) General 2) Pavements 3) Removal of contaminants 4) Runway pavement overlays 5) Visual aids.	STD & RP A14 Vol. I, C10		CE-2
8.253	Does the State ensure that the aerodrome operators' maintenance programme include precautions for runway, taxiway and apron pavements and taxiway shoulders in relation to surface debris and regularity?	1) Evaluate mechanism to ensure effective implementation of precautionary measures. 2) Review method used to assess runway surface irregularities. 3) Review evidence to confirm.	STD A14 Vol. I, 10.2.1 & 10.2.2 GM A14 Vol. 1, Att. A, Section 5 Doc 9157 Part 2		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.255	Has the State promulgated regulations for the measurement of runway friction characteristics?	1) Verify regulations. 2) Review specified minimum maintenance level.	STD A14 Vol. I, 10.2.3 to 10.2.7 RP A14 Vol. I, 3.1.24 & 3.7.4 & 10.2.8		CE-2
8.257	Has the State established and implemented a mechanism to ensure that aerodrome operators maintain good friction characteristics and low rolling resistance on runways?	1) Evaluate mechanism to ensure effective implementation. 2) Review method used for timely removal of contaminants, such as rubber deposit, standing water, snow, sand, etc. 3) Review recorded friction results to confirm that frequency of measurements and method used are appropriate to the level of activity of the runway.	STD A14 Vol. I, 10.2.3 to 10.2.7 & 10.3.1 GM Doc 9137 Part 2		CE-7
8.259	Does the State ensure that aerodrome operators: a) define maintenance performance level objectives for visual aids as part of their preventive maintenance programme, and b) restrict construction or maintenance activities in the proximity of aerodrome electrical systems during low visibility operations?	1) Evaluate mechanism to ensure effective implementation. 2) Review copies of maintenance schedules and associated check/inspection results which demonstrate compliance (e.g. stop bars or taxiway lights). 3) Definition of when a light is deemed to be unserviceable.	STD A14 Vol. I, 10.5.1, 10.5.2 & 10.5.7 to 10.5.12 RP A14 Vol. I, 10.5.3 to 10.5.6 & 10.5.13 PANS Doc 9981 (AGA) App. 1 to C2, Section 2.1	Yes	CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.273	Does the State ensure that aerodrome operators implement the requirements that runway strips are free of objects unless they are needed for air navigation purposes and meet frangibility requirements?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm, i.e. inspection reports; completed checklists.	STD A14 Vol. I, 3.4.7 RP A14 Vol. I, 3.4.6 PANS Doc 9981 (AGA) App. 1 to C2, 2.1; App. to C4, 2.5.2 GM Doc 9774 App. 1, 4.13		CE-7
8.275	Has the State promulgated regulations relating to obstacle restriction and removal on and around aerodromes?	Verify regulations, including the following areas specified in Annex 14, Vol. I: 1) Obstacle limitation surfaces 2) Obstacle limitation requirements 3) Objects outside the obstacle limitation surfaces 4) Legislative provisions addressing obstacle restriction outside aerodromes.	STD & RP A14 Vol. I, C4	Yes	CE-1
8.277	Does the State ensure the implementation of requirements relating to the group of obstacle limitation surfaces (OLS) at and around aerodromes?	1) Review established process. 2) Verify that OLS plan is established for each designated aerodrome. 3) Review evidence to confirm effective and comprehensive implementation of the: a) Identification mechanism. b) Appropriate promulgation mechanism. c) Removal mechanism.	STD A14 Vol. I, 4.1 & 4.2 PANS Doc 9981 (AGA) 2.4.5 & 2.5.1.2 GM Doc 9137 Part 6, 1.1.3	Yes	CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.279	Has the State established and implemented a process to ensure that the siting or performance of visual and non-visual aids to navigation is not adversely affected by objects under the approach surface?	1) Review documented evidence of the established process. 2) Evaluate mechanism to ensure effective implementation. 3) Review evidence to confirm.	RP A14 Vol. I, 4.4.1 & 4.4.2		CE-7
8.281	Does the State provide sufficient guidance to regulatory staff and the industry on obstacle control?	Review available guidance documents.	STD A14 Vol. 1, C4 GM Doc 9734 Part A, C3 Doc 9774 App 1, 4.13		CE-5
8.283	When new construction above, beyond or outside the obstacle limitation surfaces (OLS) is proposed, does the State require and ensure coordination between the land-use authorities and the appropriate aviation interests?	1) Review established process in use. 2) Review evidence to confirm effective implementation.	RP A14 Vol. I, 4.3.1 & 4.3.2		CE-7
8.287	Does the State ensure that aerodrome operators control the use of vehicles on aerodromes, including the restriction on the use of airside roads?	1) Evaluate mechanism to ensure effective implementation. 2) Verify the implementation of the requirements for drivers to: a) Be appropriately trained. b) Comply with all mandatory or authorized instructions conveyed by markings, signs or lights when on the manoeuvring area or apron.	STD A11 3.8 A14 Vol. I, 9.7 PANS Doc 9981 (AGA) 2.1.2.2; Att. A to C2 & Att. C to C2, 5.11 GM Doc 9774 App. 1, 4.2 Doc 9870		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.291	Does the State ensure that aerodrome operators/competent State authority develop emergency plans, including appropriate cooperation and coordination with other entities involved in the provision of emergency services and the development of the plans?	1) Review evidence to confirm effective implementation, cooperation and coordination. 2) Sample aerodrome emergency plan. 3) Check inclusion of: a) emergencies which may occur in the vicinity of an aerodrome, and b) public health emergencies, including coordination with public health services.	STD A14 Vol. I, 9.1.1 to 9.1.3 RP A14 Vol. I, 9.1.4 & 9.1.5 PANS Doc 9981 (AGA) 2.1.2.2; Att. A to C2 & Att. C to C2, 5.3 GM Doc 9774 App. 1, 4.3		CE-6
8.293	Does the State ensure compliance with requirements for the periodic testing and review of aerodrome emergency plans?	1) Review evidence to confirm effective implementation. 2) Check during aerodrome industry visit.	STD A14 Vol. I, 9.1.12 & 9.1.13 PANS Doc 9981 (AGA) 2.1.2.2; Att. A to C2 & Att. C to C2, 5.3 GM Doc 9774 App. 1, 4.3		CE-7
8.297	Does the State ensure the implementation of requirements for the availability and coordination of specialist rescue services to be included in the emergency plans of aerodromes close to water, swampy areas or difficult terrain?	Review documented evidence of a typical emergency plan for an aerodrome with a water/swampy area/difficult terrain, showing inclusion of the items in the notes to the SARPs, as well as the testing and assessment of response.	STD A14 Vol. I, 9.1.14 RP A14 Vol. I, 9.1.15 & 9.1.16		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.299	Does the State ensure the implementation of requirements for the establishment and manning of emergency operations centres and mobile command posts, and for communication between them?	1) Review documented evidence of the requirements. 2) Evaluate mechanism to ensure effective implementation. 3) Review evidence to confirm.	RP A14 Vol. I, 9.1.7 to 9.1.11		CE-6
8.301	Does the State ensure the implementation of requirements for the provision of rescue and firefighting (RFF) services at all aerodromes, which takes into account the aerodrome location and the surrounding terrain?	1) Evaluate mechanism used to ensure effective implementation, including for aerodromes located close to water/swampy areas. 2) Check during aerodrome industry visit.	STD A14 Vol. I, 9.2.1 & 9.2.2		CE-7
8.303	Has the State promulgated regulations in accordance with Annex 14 for the determination of rescue and firefighting (RFF) services to be provided at an aerodrome?	Verify regulations.	STD A14 Vol. I, 9.2.3 & 9.2.5 to 9.2.7 RP A14 Vol. I, 9.2.4	Yes	CE-2
8.305	Has the State established and ensured implementation of rescue and firefighting (RFF) extinguishing agent specifications, including quantities and discharge rates?	1) Verify extinguishing agent specification requirements. 2) Review evidence to confirm effective implementation.	STD A14 Vol. I, 9.2.11, 9.2.13, 9.2.14 9.2.18 & 9.2.19 RP A14 Vol. I, 9.2.8 to 9.2.10, 9.2.15 to 9.2.17 & 9.2.20 to 9.2.25	Yes	CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.307	Has the State promulgated and ensured implementation of regulations prescribing the minimum number of rescue and firefighting (RFF) vehicles, together with the associated building facilities and their location?	1) Verify regulations. 2) Review evidence to confirm effective implementation. 3) Check during aerodrome industry visit.	RP A14 Vol. I, 9.2.37, 9.2.38 & 9.2.41	Yes	CE-7
8.309	Does the State ensure that aerodrome operators provide a discrete communication system and an alerting system among vehicles, fire stations and aerodrome control towers?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm.	RP A14 Vol. I, 9.2.39 & 9.2.40		CE-6
8.311	Has the State established and implemented a mechanism to ensure the implementation of requirements for minimum response times by the rescue and firefighting (RFF) services?	1) Evaluate mechanism to ensure effective implementation. 2) Review audit reports to confirm. 3) Check during aerodrome industry visit.	STD A14 Vol. I, 9.2.27 & 9.2.31 RP A14 Vol. I, 9.2.28 to 9.2.30, 9.2.32 & 9.2.33 PANS Doc 9981 (AGA) 2.2 & Att. C to C2, 5.4	Yes	CE-7
8.313	Does the State ensure that emergency access roads are provided at aerodromes?	1) Evaluate mechanism to ensure effective implementation. 2) Check during aerodrome industry visit.	RP A14 Vol. I, 9.2.34 to 9.2.36 PANS Doc 9981 (AGA) App. 1 to C2, 2.2		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.315	Does the State ensure that aerodrome operators provide training for firefighting personnel, including live fire drills?	1) Verify national RFF training requirements. 2) Review evidence to confirm effective implementation. 3) Verify oversight of training and its assessment, including appropriate training for pressure-fed fuel fires and breathing apparatus, as applicable. 4) Sample training records and audit reports. 5) Check during aerodrome industry visit.	STD A14 Vol. I, 9.2.42 & 9.2.43		CE-7
8.317	Does the State ensure that all responding firefighting personnel are equipped with the necessary protective clothing and respiratory equipment?	1) Review documented evidence of the available equipment. 2) Confirm that the State has effective oversight of this provision. 3) Check during aerodrome industry visit.	STD A14 Vol. I, 9.2.46 PANS Doc 9981 (AGA) App. 1 to C2, 2.2		CE-7
8.319	Does the State ensure that there are sufficient trained personnel to operate all the necessary RFF equipment at maximum capacity, meet the minimum response times and maintain continuous agent application at the appropriate rate?	1) Review established RFF staffing requirements. 2) Review evidence to confirm effective implementation. 3) Check during aerodrome industry visit.	RP A14 Vol. I, 9.2.44 & 9.2.45 PANS Doc 9981 (AGA) App. 1 to C2, 2.2		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.321	Does the State ensure that the aerodrome has plans for the removal of disabled aircraft, including arrangements for designation of coordinators, the rapid availability and deployment of salvage and removal equipment between aerodromes, and the protection of evidence, custody and the removal of aircraft in accordance with Annex 13?	1) Review documented evidence of a typical plan for the removal of disabled aircraft, including coordination functions. 2) Confirm during aerodrome industry visit.	RP A14 Vol. I, 9.3.1 & 9.3.2 A13 C3 PANS Doc 9981 (AGA) 2.1.2.2; App. 1 to C2, 3.1; Att. A to C2 & Att. C to C2, 5.14 GM Doc 9774 App. 1, 4.14 Doc 9137 Part 5		CE-6
8.323	Does the State ensure that aerodrome operators establish and implement procedures for the timely removal of contaminants?	1) Evaluate mechanism to ensure effective implementation, if applicable. 2) Review evidence to confirm.	STD A14 Vol. I, 10.3.1 & 10.3.6 RP A14 Vol. I, 10.3.2 to 10.3.5 PANS Doc 9981 (AGA) Part II, C8	Yes	CE-6
8.328	Has the State developed industry guidance material to assist aerodrome operators to develop a wildlife (birds and animals) strike hazard study or assessment for each of their aerodromes?	Confirm industry guidance material available for the study or assessment, including, among others: a) a national procedure for recording wildlife strikes; and b) analysis of collected data.	STD A14 Vol. I, 9.4.1		CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.329	Does the State collect and forward wildlife strike reports to ICAO?	1) Review national procedure for recording wildlife strikes. 2) Review established requirements. 3) Evaluate mechanism to ensure effective implementation of the reporting and rectification action. 4) Review evidence to confirm.	STD A14 Vol. I, 9.4.2		CE-8
8.331	Does the State ensure that aerodrome operators take appropriate action to decrease the hazard of wildlife strikes?	1) Evaluate mechanism to ensure effective implementation. 2) Check action taken by aerodromes operators.	STD A14 Vol. I, 9.4.3 PANS Doc 9981 (AGA) App. 1 to C2, 2.3 GM Doc 9774 2.2 d)		CE-6
8.333	Has the State promulgated regulations to: a) require a wildlife (birds and animals) strike hazard study or assessment for each of its aerodromes, and b) control the development of facilities likely to attract wildlife on or in the vicinity of an aerodrome?	1) Verify regulations. 2) Verify their promulgation at a level ensuring their enforceability on third parties, including land use and local authorities.	STD A14 Vol. I, 9.4.1 & 9.4.4 RP A14 Vol. I, 9.4.5 GM Doc 9774 App. 1, 4.12		CE-1
8.335	Has the State established and implemented a process to mitigate against an increase or potential increase in the wildlife strike hazard due to land use development likely to attract wildlife around an aerodrome?	1) Review established process which demonstrates a priority given to safety. 2) Review evidence to confirm effective implementation.	STD & RP A14 Vol. I, 9.4		CE-8

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.337	Has the State promulgated a regulation to require aerodrome operators' apron management services to ensure the safety of aircraft operations on apron areas?	Verify regulations.	STD A14 Vol. I, 9.5		CE-2
8.339	If apron management services are provided, has the State established guidance on when and how these services should be implemented, including the orderly transition of aircraft between the apron management unit and the aerodrome control tower when the latter does not participate in the apron management service?	Review documented guidance.	RP A14 Vol. I, 9.5.1 & 9.5.2		CE-5
8.341	If an apron management service is not provided, does the State ensure the safety of aircraft operations on apron areas, considering the movement of vehicles?	1) Evaluate mechanism to ensure control of vehicle movement for safety of aircraft. 2) Review evidence to confirm effective implementation.	STD & RP A14 Vol. I, 9.5 PANS Doc 9981 (AGA) Att. A to C2 & Att. C to C2, 5.9		CE-7
8.345	Does the State ensure that aerodrome operators restrict the operation of personnel and vehicles on an apron during low visibility operations?	1) Evaluate mechanism to ensure effective implementation. 2) Review evidence to confirm.	STD A14 Vol. I, 9.5.4 PANS Doc 9981 (AGA) App. 1 to C2, 3.1 & Att. C to C2, 5.16	Yes	CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.347	Does the State ensure that aerodrome operators provide for visual monitoring of aircraft stand clearances and the control of vehicle movement on aprons?	Review evidence to confirm effective implementation.	STD A14 Vol. I, 9.5.5, 9.5.6 & 9.5.7 A11 3.8.3		CE-6
8.349	Has the State established and implemented a mechanism to ensure the availability of fire extinguishing equipment and trained personnel during ground servicing of aircraft?	Review evidence to confirm effective implementation, including the availability of personnel trained for its use.	STD A14 Vol. I, 9.6.1		CE-7
8.365	Has the State promulgated and ensured implementation of a regulation to require aerodrome operators to ensure that organizations performing activities at the aerodrome comply with the aerodrome safety requirements?	1) Verify regulations. 2) Review documented evidence to confirm effective implementation (i.e. a monitoring system used by an aerodrome, as expressed in a procedure in an aerodrome manual).	PANS Doc 9981 (AGA) 2.4.2 & 2.4.6 GM Doc 9774 3D.4.2 & App. 1, Part 5		CE-6
8.367	Has the State promulgated a regulation which defines the circumstances and rationale for the conduct of aeronautical studies/risk assessments?	Verify regulations.	GM Doc 9774 C3, 3.2, Section E & App. 3 Doc 9734 Part A, C3		CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.369	Has the State developed and issued guidance on the use and evaluation of aeronautical studies/risk assessments and their review to justify an application for an exemption?	1) Review guidance documents for the conduct and evaluation of aeronautical studies/risk assessments for aerodrome operators and regulatory staff. 2) Verify that the process by which aeronautical studies/risk assessments are applied include: a) A regular review of exemptions granted to assess their continued validity. b) A review of exemptions, which are to be issued, against the applicable SARP to determine if a change in the notification status of differences to SARPs should be filed.	PANS Doc 9981 (AGA) 2.4.4 & C3 (3.4 & 3.5) GM Doc 9774 C3, 3.2, Section E & App. 3 Doc 9734 Part A, C3		CE-5
8.375	Has the State established and implemented a mechanism to assess the outcomes of the conduct of risk assessments or aeronautical studies?	1) Review established mechanism. 2) Review documented outcomes of their conduct which shows how they meet State safety policies and processes, particularly where an equivalent level of safety to the Standards and Recommended Practices is claimed. 3) Review examples.	PANS Doc 9981 (AGA) Section 3.5 GM Doc 9774 C3, 3.2, Section E & App. 3		CE-7
8.377	Does the State ensure that the outcomes of risk assessments or aeronautical studies, in the form of exceptions, are published in a document which is publicly accessible, such as the State AIP?	Review copy of the published document and, if not the AIP, how accessible it is.	PANS Doc 9981 (AGA) Section 3.6 GM Doc 9774 C3, 3.2, Section E & C4, 4.6 & App. 3 Doc 9734 Part A, C3		CE-8

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.381	Has the State promulgated regulations for the measurement and reporting to AIS of geographical coordinates for obstacles?	Verify regulations.	STD A14 Vol. II, 2.4.5		CE-2
8.383	Has the State promulgated regulations for final approach and take-off areas (FATOs) for helicopters?	Verify regulations.	STD A14 Vol. II, 3.1.1		CE-2
8.385	Does the State ensure the implementation of requirements for safety areas surrounding final approach and take-off areas (FATOs) for helicopters?	1) Evaluate mechanism to ensure effective implementation. 2) Sample inspection/audit reports to confirm effective implementation.	STD A14 Vol. II, 3.1.14	Yes	CE-7
8.387	Does the State ensure the implementation of requirements relating to the obstacle limitation surfaces (OLS) and sectors?	1) Review established requirements. 2) Evaluate mechanism to ensure effective implementation. 3) Sample inspection/audit reports to confirm effective implementation.	STD A14 Vol. II, 4.1	Yes	CE-7
8.389	Does the State ensure the implementation of requirements for wind direction indicators and approach lighting at heliports, including characteristics and location?	1) Review established requirements. 2) Evaluate mechanism to ensure effective implementation. 3) Sample inspection/audit reports to confirm effective implementation.	STD A14 Vol. II, 5.1.1 & 5.3.3.2 RP A14 Vol II, 5.3.3.1		CE-7
8.393	Does the State ensure the implementation of requirements for touchdown and lift-off area lighting systems at heliports, including characteristics and location?	1) Review established requirements. 2) Evaluate mechanism to ensure effective implementation. 3) Sample inspection/audit reports to confirm effective implementation.	STD & RP A14 Vol. II, 5.3.8		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.395	Does the State ensure the implementation of requirements for visual approach slope indicators at heliports?	1) Review established requirements. 2) Evaluate mechanism to ensure effective implementation. 3) Sample inspection/audit reports to confirm effective implementation.	STD & RP A14 Vol. II, 5.3.5		CE-7
8.401	Has the aerodrome regulatory authority developed and implemented procedures for the continuing surveillance of aerodrome certificate holders?	1) Review developed procedures and checklists for guidance on how to conduct aerodrome surveillance activities, from notifying the aerodrome operator to the closure of deficiencies noted during the activities. 2) Review duly completed checklists and examples to confirm effective implementation.	PANS Doc 9981 (AGA) 2.5 GM Doc 9734 Part A, C3 Doc 9774 5.2.3 & 5.2.5	Yes	CE-7
8.403	Has the aerodrome regulatory authority developed and implemented a formal surveillance programme for the continuing supervision of the operations conducted by aerodrome operators?	1) Review surveillance programme/plan of previous and current year. 2) Confirm appropriate frequency of inspection or other activity. 3) Confirm inclusion of periodic and non-periodic audits and inspections. 4) Surveillance to include all aspects of the certification and operation of an aerodrome.	PANS Doc 9981 (AGA) 2.5 GM Doc 9734 Part A, C3 Doc 9774 C2, 2.2 (d); C3, 3.2, Section D, 3D.6, & C5, 5.2.3 & 5.2.5		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.405	Does the renewal or continuing validity of aerodrome certificates depend on the satisfactory outcome of regulatory surveillance activities?	1) Review established requirement. 2) Confirm evidence that surveillance results determine continued validity of the certificate. 3) Verify that the State conducts at least one surveillance activity within a predetermined period of time (e.g. 2 or 3 years), covering all areas addressed during the initial certification process.	PANS Doc 9981 (AGA) 2.3.6.3, 2.3.6.4 & 2.5 GM Doc 9734 Part A, C3 Doc 9774 2.2 d) & 5.2.3		CE-8
8.409	Does the State enable the exchange of safety information across the aerodrome industry?	Review the following evidence to confirm effective implementation: 1) Analysis of aerodrome and State databases, 2) Safety information, bulletins and publications, and 3) Industry meetings, seminars or workshops.	PANS Doc 9981 (AGA) 2.4.3 GM Doc 9774 App. 1, Part 5		CE-8
8.411	Has the aerodrome regulatory authority developed and implemented procedures to deal with deficiencies found during aerodrome surveillance activities?	1) Review procedure for notifying aerodrome operators of identified deficiencies, including categorization of seriousness of deficiency and deadline for correction. 2) Review evidence to confirm effective implementation.	PANS Doc 9981 (AGA) 2.5.6, 2.5.7 & 2.5.8 GM Doc 9734 Part A, C3 Doc 9774 2.3 & 5.2.5	Yes	CE-8
8.413	Has the aerodrome regulatory authority developed and implemented a process to take actions, including enforcement, if deficiencies found during surveillance activities are not rectified within a reasonable time by the aerodrome operator?	1) Review examples of deficiencies identified and follow-up actions taken to ensure timely resolution. 2) Review examples of enforcement action, if any.	PANS Doc 9981 (AGA) 2.5.7 & 2.5.8 GM Doc 9734 Part A, C3 Doc 9774 2.3 & 5.2.5	Yes	CE-8

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
8.415	Has the State established and implemented a process for the management of conflicts between land use or environmental requirements and aviation authorities to ensure that aviation safety is not compromised?	1) Review documented process. 2) Review evidence, if available, to confirm effective implementation. 3) Confirm priority given to safety in sample cases, if available.	STD A16 Vol. I, Part V RP A14 Vol. I, 3.1.2 & C4 GM Doc 9734 Part A, C2 & C3 Doc 9774 4.3.2 & 4.3.3		CE-8

— END —

Frequently Asked Questions (FAQs) – 2020 Edition of the Protocol Questions (PQs)

The Universal Safety Oversight Audit Programme (USOAP) has compiled the following list of questions to provide States with clarifying information regarding the newly released 2020 edition of the Protocol Questions (PQs). It covers the subjects of **General Information**, **Priority Protocol Questions (PPQs)** **Corrective Actions & Self-Assessments**, and **Upcoming USOAP CMA Activities**

Note: Additional questions will be added to the list when States request additional information about a specific subject.

General Information

When did the Universal Safety Oversight Audit Programme (USOAP) publish the 2020 Edition of the PQs?

In December 2020, the USOAP published the 2020 edition of the PQs on the ICAO USOAP Continuous Monitoring Approach (CMA) Online Framework (OLF) in the CMA Library.

Are all of the PQs based on ICAO Standards?

All PQs are linked to ICAO Standards, and they are based on the Critical Elements (CEs), the Convention on International Aviation, ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation (PANS), and related guidance material. If you have questions regarding whether the requirements of a PQ extend beyond ICAO Standards, contact Monitoring and Oversight (MO) at usoap@icao.int for clarification.

How did the USOAP announce the publication of the 2020 PQ Amendment?

On 15 January 2021, the USOAP published an Electronic Bulletin (EB 2021/3), *Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Protocol Questions (PQs) — 2020 EDITION*.

On 19 January 2021, the Latest News section of the OLF announced the posting of the PQs in the CMA Library and the publication of the Electronic Bulletin (EB 2021/3).

Why did the USOAP amend the PQs?

The USOAP CMA amended the PQs in 2020 to address recommendations from the Group of Experts for a USOAP CMA Structured Review (GEUSR). Stemming from a recommendation of the 39th Session of the ICAO Assembly, ICAO established a group of experts on safety oversight and safety management nominated by 10 Member States and 1 Regional Safety Oversight Organization from all ICAO regions. The recommendations of the GEUSR were then agreed by the Council and endorsed during the 40th Session of the Assembly.

The GEUSR provided the USOAP with seven recommendations related to a *Structured Revision of Protocol Questions (PQs)*. These recommendations included:

1. Conduct a one-off exercise to identify and remove questions from the USOAP CMA not directly related to safety oversight or accident investigation…;

2. Establish a policy to exclude from the USOAP CMA PQs that reference only Annex 9, 16 and 17;
3. Identify PQs whose meaning is already captured in other existing PQs and combines them as necessary…;
4. Ensure a balanced distribution/ratio across "establishment/implementation" PQs, audit areas and CEs…;
5. Identify and remove PQs whose requirements extend beyond ICAO Standards…;
6. Aim to reduce the total number of PQs through the PQ rationalization exercise as described in Recommendations 1 to 5 by 10-20%; and
7. Aim to keep the number of PQs to not more than the number reached after completion of the PQ rationalization exercise recommended in Recommendations 1 to 6 above. This limit in the number of PQs should be maintained going forward.

In addition to the GEUSR recommendations, changes were made to the PQs according to additional ICAO Council decisions, changes in ICAO provisions, updates to ICAO references, standardization of wording across the different audit areas, the elimination of PQs whose compliance is highly satisfactory, and the provision of additional clarity and improved accuracy.

When will the amended PQs become applicable to all States?

The 2020 edition of the PQs will become applicable for all USOAP CMA activities starting **after** 1 January 2022. For USOAP CMA activities starting **before** 1 January 2022, the 2017 edition of the PQs will apply.

When will the French, Spanish, and Russian versions of the PQs become available?

The Russian version of the PQs are available on the OLF for all States. The French and Spanish versions of the PQs will be available for all States before the end of 2021.

How will the amended PQs affect my State's Effective Implementation (EI) score?

States' effective implementation (EI) score may change slightly due to the introduction of the 2020 edition of the PQs. ICAO projects that the global average will decrease by 1.53% calculated against the 2020 edition of PQs.

The effect of the new PQs on a State's EI will vary, particularly for States with a USOAP CMA activity during the migration period. It is important to note that there is no identified correlation in changes to States' EIs by region, audit area, or CE.

What is the comparison between the 2017 edition of the PQs and the 2020 edition of the PQs?

The 2020 PQ amendment included amendments to ICAO provisions (Annexes to the Convention on International Civil Aviation (Doc 7300), Procedures for Air Navigation Services (PANS) and guidance material) as well as State and stakeholder feedback. Also, the amendment represents an approximately 16% reduction from the 2017 PQ amendment as seen in the table below.

	2017 PQs						2020 PQs			
	Total No. (2017)	Number of					Total No. (A+B+C+D)	Number of		
		Deleted	Revised (A)	Merged (B)	No Change (C)	New (D)		PPQ	On-Site	Off-Site
LEG	23	0	23	0	0	0	23	14	3	20
ORG	14	2	11	1	0	1	13	5	9	4
PEL	99	10	48	7	34	4	93	35	71	22
OPS	146	21	85	12	28	1	126	34	91	35
AIR	210	26	79	5	100	2	186	33	102	84
AIG	104	21	21	19	43	1	84	24	46	38
ANS	179	69	71	27	12	12	122	27	97	25
AGA	168	29	43	17	79	4	143	40	106	37
	943	*178*	*381*	*88*	*296*	*25*	*790*	*212*	*525*	*265*

Are the 2017 PQs still available?

Yes. The 2017 edition of the PQs remain available in the CMA Library on the OLF.

Priority Protocol Questions (PPQs)

What is a Priority Protocol Question (PPQ)?

Priority Protocol Questions (PPQ) are a subset of protocol questions (PQ) that, 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. PPQ findings can demonstrate a State's inability to conduct safety oversight, which can result in the elevated risk of significant safety concerns, or an inability to conduct a proper accident investigation.

Why did the USOAP identify PPQs from within the PQs?

The GEUSR provided the USOAP with two recommendations related to a *Priority Protocol Questions (PQs)*. These recommendations included:

1. Identify a set of priority PQs that, when resulting in a low EI score, would indicate a lack of capability of the State to effectively identify and resolve safety deficiencies. This subset of PQs should be identified from the existing PQs using the following criteria:
    a. Include those PQs directly related to the identification of SSCs and the enablers for those SSC-related PQs;
    b. Include PQs on aspects which, if not implemented, may leave safety issues unidentified or unresolved;
    c. Constitute a self-sufficient set of PQs of approximately 20-25% of the total PQs, which would enable a focused audit;
    d. Reflect a balanced number across the audit areas and sub-areas;
    e. Focus on PQs with implementation aspects ("implementation PQs"), but include relevant establishment PQs; and
    f. Only include PQs applicable to the majority of States.
2. Take the necessary actions to inform States of the expectation to complete and update their self-assessments of the priority PQs. The level (quantitative and qualitative) of the PQ self-assessment should be added to the list of indicators used to prioritize USOAP CMA activities.

The USOAP identified the PPQs to address the above recommendations.

How will the USOAP use the PPQs?

PPQs will assist States by providing them with an overview of those PQs with greater direct relationships to risks necessary to address the establishment and implementation of their safety oversight systems.

The use of PPQs allows ICAO to create focused USOAP CMA activities to ensure the effective application of its resources and oversight efforts to the areas of greater safety risks.

How are the PPQs represented in the 2020 PQ amendments in comparison to the 2017 PQ amendment ?

See the table below.

Audit Area	2017 PQs	2020 PQs			
			Number of:		
	Total No.	Total No.	PPQ	On-Site	Off-Site
LEG	23	23	14	3	20
ORG	14	13	5	9	4
PEL	99	93	35	71	22
OPS	146	126	34	91	35
AIR	210	186	35	102	84
AIG	104	84	24	46	38
ANS	179	122	27	97	25
AGA	168	143	40	106	37
	943	**790**	**212**	**525**	**265**

How are the PPQs represented in the 2020 PQ amendments by Audit Area and Critical Element?

See the table below.

	2020 PQs		CE-1		CE-2		CE-3		CE-4		CE-5		CE-6		CE-7		CE-8	
	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ	Total	PPQ
LEG	23	14	14	9	6	5	0	0	0	0	3	0	0	0	0	0	0	0
ORG	13	5	0	0	0	0	9	4	2	1	2	0	0	0	0	0	0	0
PEL	93	35	0	0	13	6	6	1	7	0	10	2	40	22	10	4	7	0
OPS	126	34	3	0	11	4	10	1	5	2	20	1	56	22	14	4	7	0
AIR	186	33	0	0	41	5	14	1	12	3	37	10	59	11	10	2	13	1
AIG	84	24	8	4	11	5	10	2	4	1	42	7	0	0	0	0	9	5
ANS	122	27	3	0	6	2	16	0	14	0	2	0	27	7	47	18	7	0
AGA	143	40	2	1	21	6	7	2	7	2	14	1	51	17	32	9	9	2
	790	**212**	30	**14**	109	**33**	72	**11**	51	**9**	130	**21**	233	**79**	113	**37**	52	**8**

Will PPQs replace PQs?

PPQs are not different from PQs. PPQs are a subset of the existing PQs.

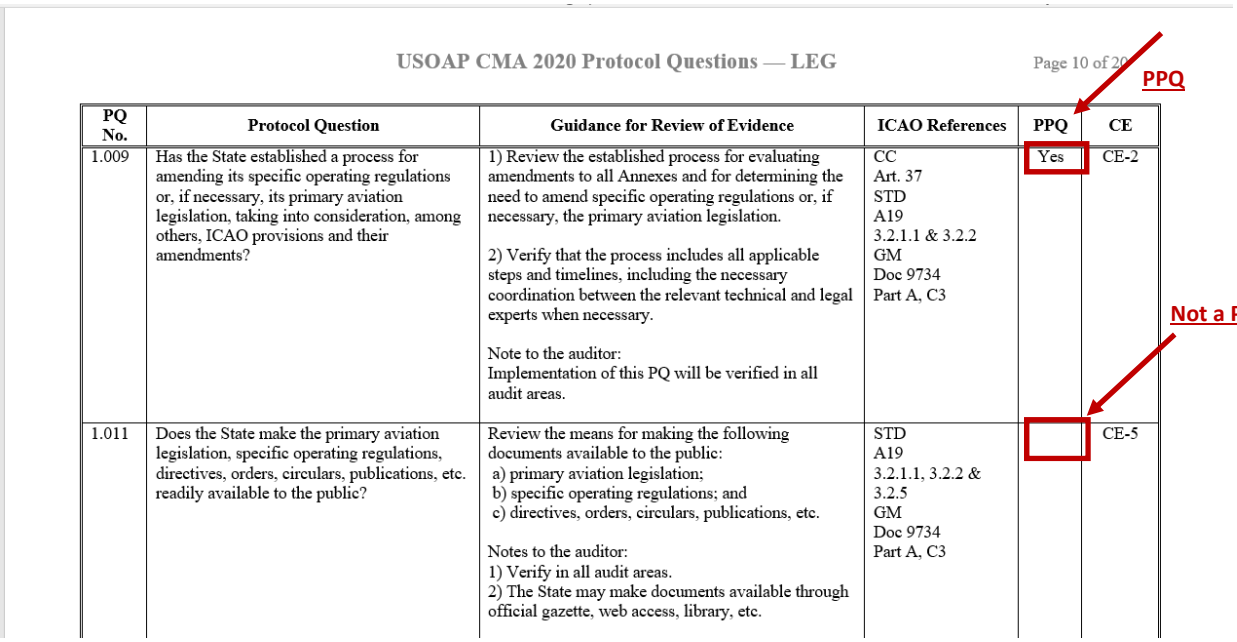
PPQs are **not** a replacement for the entire cadre of protocol questions, which continues to be essential in a comprehensive assessment of the effectiveness of a State's safety oversight system.

When completing my State's Self-Assessment, should I only complete the PPQs?

No. When completing your State's Self-Assessment, you should complete all PQs to provide the USOAP with a full representation of your State's safety oversight system.

How do you find the PPQ among the PQs?

After downloading the Microsoft Word version of the PQs from within the CMA Library on the OLF, you will find a PPQ column on the document. If the PPQ column contains **Yes**, then the PQ is a PPQ. If the PPQ column is empty, the PQ is not a PPQ.



USOAP CMA 2020 Protocol Questions — LEG

Page 10 of 20

PPQ

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
1.009	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	1) Review the established process for evaluating amendments to all Annexes and for determining the need to amend specific operating regulations or, if necessary, the primary aviation legislation. 2) Verify that the process includes all applicable steps and timelines, including the necessary coordination between the relevant technical and legal experts when necessary. Note to the auditor: Implementation of this PQ will be verified in all audit areas.	CC Art. 37 STD A19 3.2.1.1 & 3.2.2 GM Doc 9734 Part A, C3	Yes	CE-2
1.011	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	Review the means for making the following documents available to the public: a) primary aviation legislation; b) specific operating regulations; and c) directives, orders, circulars, publications, etc. Notes to the auditor: 1) Verify in all audit areas. 2) The State may make documents available through official gazette, web access, library, etc.	STD A19 3.2.1.1, 3.2.2 & 3.2.5 GM Doc 9734 Part A, C3		CE-5

Not a PPQ

In addition, the USOAP is planning to add an option to the Self-Assessment module for users to filter for PPQs.

Will the USOAP updated the OLF to allow users to generate reports for PPQs?

Yes. The USOAP is working to update the OLF to generate reports based on PPQs, specifically.

Corrective Action Plans and Self-Assessments

My State submitted its CAPs for a USOAP CMA audit conducted in 2020. Should we revise the CAPs now based on the 2020 edition of the PQs?

It will be necessary to revise the State's corrective action plans (CAPs) when your State is migrated to the 2020 edition of the PQs in the USOAP CMA online framework (OLF). Once this happens, your Authority will be duly notified and an updated or revised CAP will be required for some of the amended PQs. Special attention should be given to revised or merged PQs, since the associated findings will have been revised or merged and the submitted CAPs may no longer apply. PQs which are deleted in the 2020 edition will no longer require a CAP and previously submitted CAP addressing such PQs will disappear from the OLF after the migration.

If two or more PQs were merged in the new edition of PQs, how does it affect the status of those questions?

If two PQs are ***Satisfactory***, the new merged PQ remains ***Satisfactory***.

If a ***Satisfactory*** PQ is **merged with a *Not Satisfactory PQ***, the new merged PQ becomes ***Not Satisfactory***.

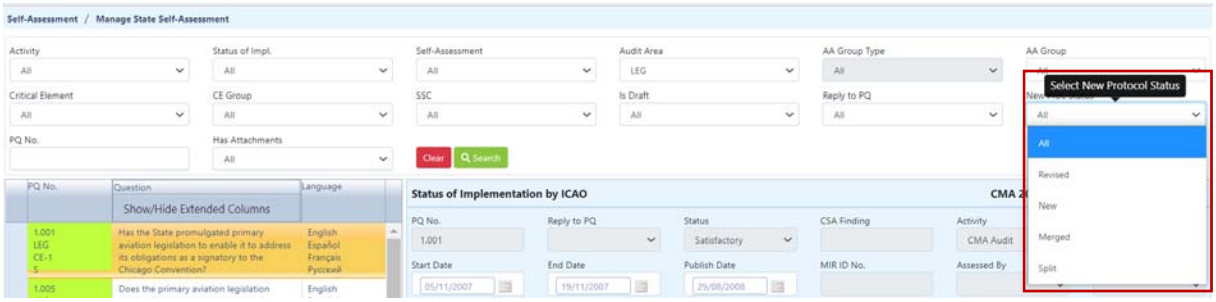
If two PQs are ***Not Satisfactory***, the new merged PQ remains ***Not Satisfactory***.

Will the information from my State's self-assessment of the 2017 PQs migrate to the 2020 PQs for PQs that did not change?

Yes, the Self-Assessments for all PQs, with the exception of deleted PQs, will be migrated to the 2020 PQs. In addition, all attached files will be migrated to the new PQs.

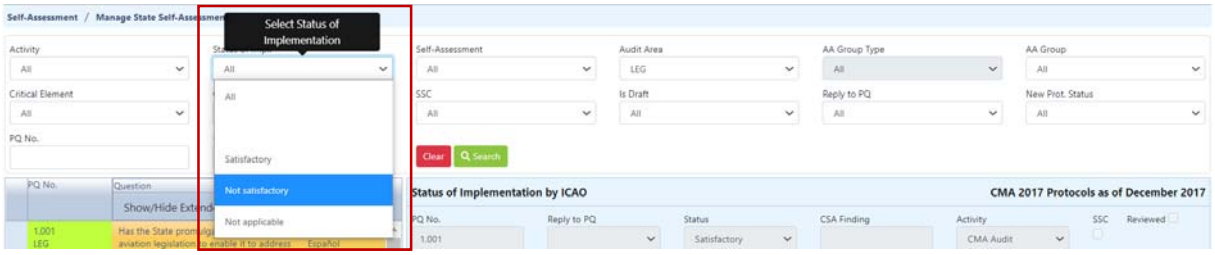
Can I filter for new and merged PQs on the OLF?

Yes, under your State's Self-Assessment module on the OLF, select **New Prot. Status**, and then the appropriate PQ type from the drop-down menu (i.e., all, revised, new, merged, or split). See the image below for an example.



Can I filter for Not Satisfactory PQs for all merged PQs to update if required by my State's existing CAPs?

Yes, under your State's self-assessment module on the OLF, select Status of Impl., and then select the Not Satisfactory implementation status from the drop-down menu. See the image below as an example.



Upcoming USOAP CMA Activities

My State underwent a USOAP CMA audit in 2020. Since the PQ changes will affect the EI score, will this be applicable to my State where our EI score changed with the recent audit?

Due to changes to the PQs, the EI of your State, as all other States, will be affected once the new PQs have been migrated for your State on the OLF. The EI always reflects PQ implementation status based on the applicable PQ edition.

My State underwent a USOAP CMA audit in 2020. In two or three years, we will request an ICVM. Will the ICVM be based on the 2017 edition of the PQs or the 2020 edition of the PQs?

As stated above in the question **When will the amended PQs become applicable to all States**, the 2020 edition of the PQs will become applicable for all USOAP CMA activities (on-site and off-site activities) starting after 1 January 2022. Therefore, ICAO Coordinated Validation Missions (ICVMs) scheduled after 1 January 2022 will apply the 2020 edition of PQs, if there is no further amendment of the PQs, which becomes applicable by the date of the ICVM.

Roll-out of the State Safety Programme Implementation Assessments (SSPIAs) phase 2 under the USOAP CMA

Ariel Weiss
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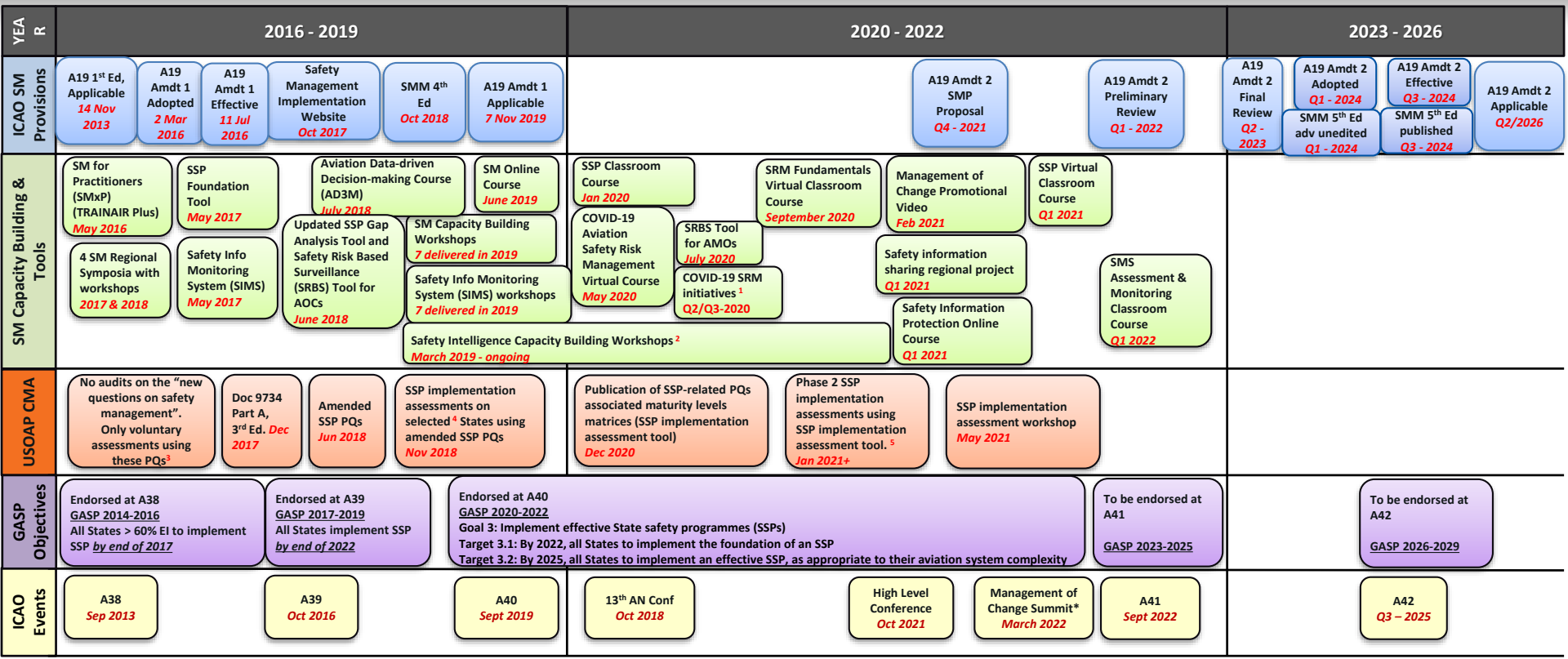
OUTLINE

1) ICAO activities in support of safety management implementation
2) SSPIAs under phase 2
3) SSP-related PQs
4) Maturity levels
5) Associated guidance material
6) Training of ICAO SSP implementation assessors

ICAO activities in support of safety management implementation

ICAO SAFETY



[1] *This includes workshops related Safety Information Monitoring Systems (SIMS), Safety Data Collection and Processing Systems (SDCPS) and Safety Performance Indicators (SPIs).*

[2] *Initiatives include Handbook for CAAs on the Management of Aviation Safety Risks related to COVID-19 (Doc 10144); Development of COVID-19 Aviation Safety Risk Management (ASRM) implementation Package (iPack), Dedicated page on SMI website related to COVID-19 (icao.int/SMI-COVID-19SRM)*

[3] *Confidential and on cost-recovery basis*
[4] *By mutual agreement — non confidential assessments*
[5] *Criteria to be established by ICAO in line with GASP*

SSPIAs under phase 2

- Reflect the maturity levels the State's has achieved in its SSP implementation and maintenance.
- Maturity levels are determined separately for each PQ (there is no "overall area maturity level", nor "overall SSP maturity level").
- Complement, and do not impact, the State's Effective Implementation (EI) score.
- Do not generate findings.
- Do not require the State to submit a "corrective action plan" (CAP).
- Are conducted by a limited pool of assessors, to ensure consistency.
- Will be accompanied by a traditional USOAP CMA activity (i.e. focused audit)

Criteria to prioritize the scheduling of SSPIAs:

- Level of implementation of SSP Foundation PQs and evidence of:
  - A robust and sustainable safety oversight system and aircraft accident/serious incident investigation system; and
  - An effective mandatory safety reporting system, State aircraft accident and incident database and safety analyses; and

- Effective completion and updates of PQ self-assessment by the State (for all PQs, including SSP-related PQs).

SSP-related PQs

- Reflect Annex 19 Amdt 1, SMM 4th edition and lessons learnt from voluntary assessments conducted.
- Form a dedicated list of PQs (complementing the PQs on “core” safety oversight and investigation functions).
- Are not linked to Critical Elements (CEs), but to applicable SSP components (e.g. State safety policy and objectives, State Safety Risk Management, State Safety Assurance and State Safety Promotion).
- Are not assessed as “satisfactory/non-satisfactory”, but in terms of *maturity levels.*
- Are supported by references from ICAO manuals.
- Are broken down into 8 areas:
  GEN (SSP general aspects), SDA (safety data analysis – general aspects),
  PEL (ATO aspects only), OPS, AIR (AMO aspects only), ANS (ATS aspects only), AGA and AIG.

The amended SSP-related PQs have as a ‘background’ the following key questions related to SSP implementation:

- What are the State’s main/top safety risks?
- How does the State know it?
- What is the State doing about it?
- Is it working?

SSP-related PQs associated maturity levels

- 5 maturity levels have been determined:
  - *0: not present and not planned;*
  - *1: not present but being worked on;*
  - *2: present;*
  - *3: present and effective;*
  - *4: present and effective for years and in continuous improvement*

- The assessment is made separately for each PQ, for each assessed area.
- Determination of the overall PQ maturity level is made by assessing every item in that same level.
- A higher maturity level can only be assessed upon the fulfillment of the corresponding items in the previous maturity level (i.e. in order to be further assessed for "*present and effective"* the PQ first needs to meet the criteria for "*present"*).
- "*Present and effective for years and in continuous improvement"* is only applicable upon a State's 2nd SSPIA.

PQ No.	Protocol Question	References in ICAO Guidance Material	SSP Component	Maturity Levels			
				Not Present and Not Planned	Not Present but Being Worked On	Present	Present and Effective
SSP.GEN.06	How does the State determine the SSP-related training needs at all levels of the organization to ensure that personnel of the State authorities involved in SSP implementation are qualified and competent to perform their functions and responsibilities?	SMM 8.3.7	State Safety Policy, Objectives and Resources	Based on current situation in State	Based on State's work in progress	1. SSP-related training programme has been developed, including a training needs analysis (TNA) to determine the relevant training needs of each pertinent State authority. 2. Where appropriate, a competency-based approach is applied to address K/S/A (knowledge/skills/attitude) requirements. 3. The SSP-related training programme caters to the different safety management training needs of different personnel, based on their duties and responsibilities (i.e. inspectorate, data analysts, mid-level management, top management, legal department, AIA, Military, etc.).	1. Competency based training (K/S/A) for each relevant authority is clearly defined, reviewed regularly, and customized for the personnel based on their respective duties and responsibilities. 2. The SSP training plan is formalized and implemented. 3. The mechanism to ensure the competency of personnel is applied.

Associated guidance material

Issues	Guidance Material
SSP-related PQs and associated maturity levels	SMM, 4th edition
Core “safety-oversight and investigation” aspects	Doc 9734 — *Safety Oversight Manual*, Part A — *The Establishment and Management of a State Safety Oversight System*
Methodology for preparation, conduct and reporting of SSP implementation assessments	Existing internal process + guidance to be included in the next edition of Doc 9735 — *Universal Safety Oversight Audit Programme Continuous Monitoring Manual*

Training of ICAO SSP implementation assessors

- A team of assessors is being trained progressively to address SSP-related PQs in the various areas.
- Assessors include ICAO staff as well as secondees from States and Regional Safety Oversight Organizations.

REVIEW

1) ICAO activities in support of safety management implementation
2) SSPIAs under phase 2
3) SSP-related PQs
4) Maturity levels
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6) Training of ICAO SSP implementation assessors

ICAO

THANK YOU

International Civil Aviation Organization

ELECTRONIC BULLETIN

For information only

EB 2022/15 25 April 2022

UNIVERSAL SAFETY OVERSIGHT AUDIT PROGRAMME (USOAP) CONTINUOUS MONITORING APPROACH (CMA) — UPDATE OF THE STATE SAFETY PROGRAMME IMPLEMENTATION ASSESSMENT (SSPIA) TOOLS

1. The International Civil Aviation Organization (ICAO) carries out State Safety Programme Implementation Assessments (SSPIAs), under the framework of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA), to support two of the six primary goals of the Global Aviation Safety Plan (GASP), namely, implementation of effective State Safety Programmes (SSPs) and strengthening of States' safety oversight capabilities.

2. As announced in Electronic Bulletin 2021/7 dated 3 February 2021, ICAO published the full set of SSP Protocol Questions (PQs) for all eight areas of the SSPIA, including the associated maturity level matrices, on the USOAP CMA Online Framework (https://www.icao.int/usoap), in the "CMA Library" module. The matrices are used in the quantitative assessment of the maturity levels achieved by a State in its SSP implementation and maintenance. They also serve as guidance for review of pertinent evidence for the States.

3. Following beta testing of the SSP PQs in a recent SSPIA mission, ICAO has made changes to the matrices based on lessons learned as well as inputs from internal and external Safety Management stakeholders. There are no changes to the SSP PQs themselves. A Summary of Amendments describing the revisions to the matrices has been added to each of the eight areas of the SSP PQs.

4. The updated set of SSP PQs is now posted in the "CMA Library" module of the USOAP CMA Online Framework. It is available in English, French and Spanish for States' reference.

5. For the SSP PQ Self-Assessment, States that have started or completed their self-assessment are encouraged to review the amendments to the matrices and update their self-assessment accordingly.

6. ICAO will regularly refine and enhance its SSPIA tools in order to conduct SSPIAs more efficiently, as well as provide better support to States in their preparations for SSPIA, and the implementation of effective SSPs.

Issued under the authority of the Secretary General

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STATE SAFETY PROGRAMME IMPLEMENTATION ASSESSMENT (SSPIA)
SSP.AGA— Aerodrome and Ground Aids:
2018 Protocol Questions and Maturity Level Matrix

Summary of Amendments

Note 1.— The 2018 SSPIA Protocol Questions (PQs) were first published in June 2018 and the associated maturity level matrix added in December 2020 (Rev 1). The Rev 2 February 2022 version includes revisions made to some "Guidance for Review" following beta testing of the SSP assessment tools in December 2021.

Rev 1 Dec 2020	Rev 2 Feb 2022	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No Change	
SSP.AGA — Aerodromes and Grounds Aids							
SSP.AGA 01	SSP.AGA 01					☒	No change.
SSP.AGA 02	SSP.AGA 02					☒	No change.
SSP.AGA 03	SSP.AGA 03		☒				Guidance for "Present" and "Present and Effective" revised.
SSP.AGA 04	SSP.AGA 04					☒	No change.
SSP.AGA 05	SSP.AGA 05		☒				Guidance for "Present and Effective" revised.
SSP.AGA 06	SSP.AGA 06		☒				Guidance for "Present" and "Present and Effective" revised.
SSP.AGA 07	SSP.AGA 07					☒	No change.
SSP.AGA 08	SSP.AGA 08		☒				Guidance for "Present" and "Present and Effective" revised.
SSP.AGA 09	SSP.AGA 09					☒	No change.
SSP.AGA 10	SSP.AGA 10					☒	No change.
SSP.AGA 11	SSP.AGA 11					☒	No change.

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Note 2.— The "SMM" cited in the "References" column refers to ICAO's Safety Management Manual *(Doc 9859, Fourth edition, 2018).*

PQ No.	Protocol Question	References in ICAO Guidance Material	SSP Component	Maturity Levels — Guidance for Review			
				Not Present and Not Planned	Not Present but Being Worked On	Present	Present and Effective
SSP.AGA.01	What regulatory requirements have been promulgated by the State for operators of certified aerodromes (hereinafter referred to as aerodrome operators) to implement a safety management system (SMS) acceptable to the State?	SMM 8.4.7	State Safety Risk Management	Based on current situation in State	Based on State's work in progress	1. The State has promulgated regulatory requirements to implement SMS acceptable to the State, in accordance with ICAO provisions.	1. The State has promulgated regulatory requirements that distinguish between complex and non-complex organizations, taking into account scalability factors (when applicable). 2. The regulatory requirements address the initial acceptance and the continuous monitoring of aerodrome operators' SMS. 3. The State periodically reviews the regulatory requirements identify and address the challenges faced by the State's aerodrome operators in implementing these requirements.

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				Not Present and Not Planned	Not Present but Being Worked On	Present	Present and Effective
SSP.AGA.02	What support has the State provided to aerodrome operators for SMS implementation?	SMM 8.3.8	State Safety Policy, Objectives and Resources	Based on current situation in State	Based on State's work in progress	1. There is a mechanism in place to define the aerodrome operators' SMS implementation and State-level support needs (i.e. workshops, seminars, training courses etc.). 2. There is a mechanism in place to facilitate the aerodrome operators' SMS implementation and State-level support needs, as defined. 3. Guidance materials and tools have been made available to aerodrome operators to support their SMS implementations. 4. There is a mechanism in place to support individual aerodrome operator's SMS implementation needs, based on its risk picture.	1. The State-level support given to aerodrome operators is resulting in continuous improvement and further maturation of the aerodrome operators' SMS. 2. The State is continuously improving its support to aerodrome operators based on their changing needs, taking into consideration the level of progress and maturation that they have achieved.

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SSP.AGA.03	How does the State ensure that the personnel responsible for the acceptance and monitoring of aerodrome operators' SMS develop the required competencies?	SMM 8.3.7	State Safety Policy, Objectives and Resources	Based on current situation in State	Based on State's work in progress	1. The competencies required for the initial acceptance and continuous monitoring of aerodrome operators' SMS are identified and documented. 2. A training plan that addresses K/S/A concepts, recurrent training and OJT for the personnel responsible for the acceptance and continuous monitoring of aerodrome operators' SMS is in place. 3. The training plan addresses both the initial acceptance and continuous monitoring of the aerodrome operators' SMS. 4. The training plan addresses scalability and complexity of aerodrome operators' SMS aspects.	1. The training plan that addresses K/S/A concepts, recurrent training and OJT for the personnel responsible for the acceptance and continuous monitoring of aerodrome operators' SMS is being followed. 2. The competent authority periodically reviews the competencies required of their personnel responsible for the initial acceptance and continuous monitoring of aerodrome operators' SMS. 3. The training plan is reviewed periodically to identify new training needs, in order to maintain the competencies required for accepting and continuously monitoring aerodrome operators' SMS. 4. Challenges in inspectors' capabilities to transition from prescriptive approach to performance-based approach are recognized and addressed (when applicable).

PQ No.	Protocol Question	References in ICAO Guidance Material	SSP Component	Maturity Levels — Guidance for Review			
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SSP.AGA.04	What guidance and tools has the State provided to its personnel on the initial acceptance and continuous surveillance of aerodrome operations' SMS?	SMM 8.3.8	State Safety Policy, Objectives and Resources	Based on current situation in State	Based on State's work in progress	1. Guidance material and tools that address scalability and complexity aspects, for both initial acceptance and continuous monitoring phases of aerodrome operators' SMS, have been provided to the competent authority personnel. 2. There is a mechanism in place that supports the exchange of guidance material, tools and best practices between technical personnel from different domains within the competent authority.	1. The guidance material and tools are used by the personnel responsible for the initial acceptance and continuous monitoring of aerodrome operators' SMS. 2. The guidance material, tools and best practices are reviewed regularly and amended (if needed). 3. The exchange of guidance material, tools and best practices between technical personnel from different domains has contributed to the harmonization of the SMS surveillance-related process and tools at the State level (unified approach).

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SSP.AGA.05	How does the State determine the initial and continued acceptability of the aerodrome operator's SMS?	SMM 8.4.7	State Safety Risk Management	Based on current situation in State	Based on State's work in progress	1. There is a mechanism in place to determine the initial and continued acceptability of aerodrome operators' SMS. 2. The mechanism enables the implementation of aerodrome operators' SMS in a phased-in approach.	1. The initial acceptance and continued acceptability of each aerodrome operator's SMS follow a phased-in approach. 2. Different approaches are applied for initially accepting aerodrome operators' SMS and for monitoring the SMS on a continuous basis, when appropriate. 3. Different approaches are applied when assessing the SMS of a complex or a non-complex aerodrome operator, when appropriate. 4. The continued acceptability mechanism enables, promotes and encourages the further maturation of the aerodrome operators' SMS. 5. The mechanism to determine the initial and continued acceptability of aerodrome operators' SMS is reviewed regularly and amended (when applicable).

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SSP.AGA.06	How does the State assess the effectiveness of the hazard identification and risk management processes of aerodrome operators?	SMM 8.4.7	State Safety Risk Management	Based on current situation in State	Based on State's work in progress	1. There is a mechanism in place to assess the aerodrome operator's hazard log, including the data sources that feed it. 2. There is a mechanism in place to document the hazard log in a way that enables its evolution over time. 3. There is a mechanism in place to ensure that all hazards that are documented in the hazard log are subjected to a risk assessment. 4. There is a mechanism in place to evaluate the aerodrome operator's risk management processes, including residual risks and risks that may affect the aerodrome operator but were not generated by the aerodrome operator itself.	1. The State regularly evaluates the aerodrome operators' hazard log, including the data sources that feed it, in a way that enables the State to identify existing unregistered hazards, both at the State level or at the individual aerodrome operator's level. 2. The State regularly evaluates the evolution of the aerodrome operators' hazard log. 3. The State ensures that risk management actions (including risk assessment) are taken for each registered hazard. 4. Each aerodrome operator's risk assessment processes, including residual risks and risks that may affect the aerodrome operator but were not generated by the aerodrome operator itself, are evaluated regularly.

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SSP.AGA.07	How does the State ensure that aerodrome operators monitor and analyze safety data to identify trends and take appropriate action when needed?	SMM 8.4.7	State Safety Risk Management	Based on current situation in State	Based on State's work in progress	1. There is a mechanism in place to ensure the identification of trends, safety risks and emerging issues by aerodrome operators. 2. There is a mechanism in place to ensure the monitoring and analysis of safety occurrences, including mandatory, voluntary and internal reports, by aerodrome operators. 3. There is a mechanism in place to ensure that aerodrome operators utilize all relevant data-feeding sources, to get a true picture of their safety performance. 4. There is a mechanism in place to ensure that appropriate actions are taken, when needed, by aerodrome operators.	1. The aerodrome operators are identifying trends, safety risks and emerging issues in a systematic and continuous manner, in a way that enables data-driven decision-making. 2. The aerodrome operators are regularly monitoring and analysing safety occurrences, including mandatory, voluntary and internal reports, in a manner that enables data-driven decision-making. 3. All relevant data-feeding sources are optimized and effectively utilized to get a true picture of the safety performance of the aerodrome operators. 4. The appropriate actions that are taken, when needed, affect positively the aerodrome operators' safety performance.

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SSP.AGA.08	How does the State review and monitor safety performance indicators (SPIs), alert levels and target levels, when applicable, of individual aerodrome operators?	SMM 8.4.7	State Safety Risk Management	Based on current situation in State	Based on State's work in progress	1. There is a mechanism in place to accept and regularly monitor the SPIs, SPTs and alert levels of individual aerodrome operators. 2. There is a mechanism in place to ensure that aerodrome operators' SPIs are S.M.A.R.T. 3. There is a mechanism in place to ensure that individual aerodrome operators have balanced their SPIs, incorporating both leading and lagging indicators, State-level and self-generated SPIs. 4. There is a mechanism in place to systematically monitor alert levels and to ensure that aerodrome operators have defined the actions needed in case an alert level is reached.	1. The State has accepted the aerodrome operators' SPIs, SPTs and alert levels based on relevant data, and they are being monitored regularly. 2. Aerodrome operators' SPIs are S.M.A.R.T. 3. SPIs are balanced (leading / lagging, State-level/self-generated) and accurately represent the risk picture of individual aerodrome operators and can serve as a tool for monitoring their safety performance. 4. In case alert levels are reached, adequate actions are taken by the aerodrome operators or by the State.

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						5. There is a mechanism in place to document the aerodrome operators' previous sets of SPIs, in a manner that enables the State to assess the maturation of the aerodrome operators' SMS over time.	5. The State utilizes the documented previous sets of individual aerodrome operators' SPIs to assess the maturation of the aerodrome operators' SMS over time.
SSP.AGA.09	How does the State prioritize inspections, audits and surveys of aerodrome operators, towards those areas of greater safety concern or need?	SMM 8.5.3	State Safety Assurance	Based on current situation in State	Based on State's work in progress	1. There is a mechanism in place to prioritize planned surveillance activities based on the perceived risk profile of the aerodrome operator. 2. There is a mechanism in place to prioritize planned surveillance activities on specific areas within the same individual aerodrome operator.	1. A surveillance activity plan, which defines the frequency and scope of each surveillance activity, is in place and being followed. 2. Relevant safety data and information are adequately used to plan surveillance activities, based on the perceived risk profile, both for aerodrome operators and for specific areas within an individual aerodrome operator.

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						3. The mechanism utilizes appropriate and defined data and information to determine the surveillance priorities. 4. There is a mechanism in place to re-evaluate the risk profiles of aerodrome operators and of or specific areas within an individual aerodrome operator, to address changes in the profiles that may affect safety, between planned surveillance activities.	3. Risk profiles of aerodrome operators and of specific areas within an individual aerodrome operator are updated regularly, and the surveillance activity plan is amended whenever new and meaningful safety data and information are made available to the State, including consideration of the re-prioritization of surveillance activities.
SSP.AGA.10	How does the State use the safety performance-related information of its aerodrome operators to support the monitoring of the State's safety performance?	SMM 8.5.5	State Safety Assurance	Based on current situation in State	Based on State's work in progress	1. There is a mechanism in place to determine the type of safety performance-related information of the aerodrome operators that is needed to support State's safety performance monitoring and to make said information available to the State.	1. Safety performance-related information of aerodrome operators is received regularly by the State.

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						2. There is a mechanism in place to analyse and monitor the aerodrome operators' safety performance-related information, for the purpose of monitoring the State's safety performance. 3. There is a mechanism in place to feed the aerodrome operators' safety performance-related information into the monitoring of the State's safety performance.	2. Safety performance-related information of the aerodrome operators is analysed and monitored regularly by the State. 3. The State uses its aerodrome operators' safety performance-related information to support the monitoring of the State's safety performance, including the identification of key risks and emerging issues.
SSP.AGA.11	How does the State enable and promote the exchange of safety information among: 1) aerodrome operators; and 2) aerodrome operators and other sectors of civil aviation in the State?	SMM 8.6	State Safety Promotion	Based on current situation in State	Based on State's work in progress	1. There is a mechanism in place to identify the aerodrome operators' safety information needs. 2. There is a mechanism in place to identify other sectors of civil aviation in the State's safety information needs.	1. The State has identified the safety information needs of aerodrome operators and the other sectors of civil aviation in the State. 2. The identified safety information is shared among aerodrome operators and other civil aviation sectors in the State, in way that

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						3. There is a mechanism in place to enable and promote the exchange of safety information among aerodrome operators. 4. There is a mechanism in place to enable and promote the exchange of safety information between aerodrome operators and other sectors of civil aviation in the State.	enables collaborative decision-making in addressing safety issues. 3. The State regularly assesses the effectiveness of the exchange and promotion of safety information.

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