USOAP Continuous Monitoring Approach (CMA) Workshop

Module 4

How to conduct a self-assessment with Protocol Questions (PQs) and How to Update Corrective Action Plans (CAPs)

Objective

The objective of this module is to explain how to:

- Conduct self-assessment PQs; and

- Submit and update CAPs.

Outline

❑ How to conduct self-assessment (PQs)

❑ How to submit CAPs

❑ How to update CAPs

How to conduct self-assessment

How to complete PQs

- States shall complete PQs by:
  - Conducting self-assessment; and
  - Providing remarks/evidence.

- The self-assessment tool in the OLF provides States with functionalities to:
  - Indicate and update the status of implementation for each PQ; and
  - Submit evidence.

- The self-assessment tool may also be used by States to:
  - conduct internal audits;
  - prepare for ICAO USOAP CMA activities; and
  - monitor their own civil aviation safety oversight system.
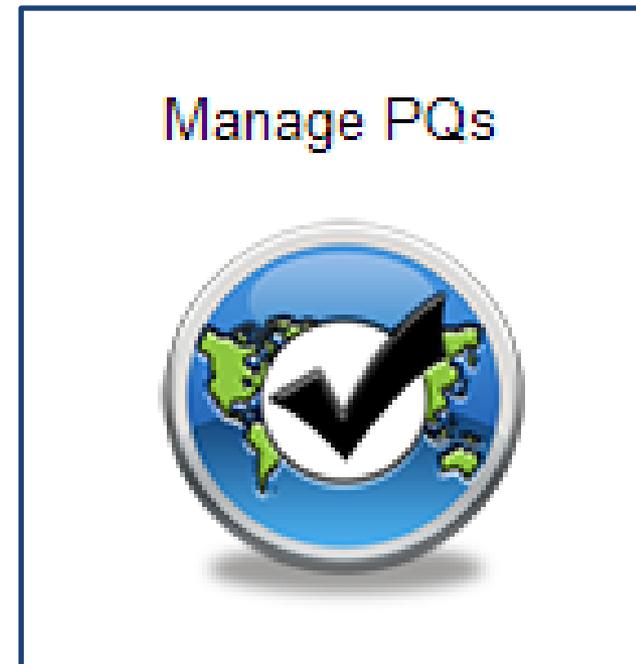
How to complete PQs

- ICAO will review and validate the level of implementation indicated by States and update and publish it on the OLF.

- This may lead to an update of States' LEI.

- ICAO will periodically revise the PQs in order to reflect amendments made to the referenced documents.

- It is therefore important for States to always refer to the latest revision of the referenced document.

How to complete PQs

- Go to the USOAP CMA Online Framework (OLF) using the following link: www.icao.int/usoap

- Click on "Manage PQs"

A copy of the PQs may also be obtained from the CMA Library on the OLF.

How to complete PQs

View the tool bar and select the options to ensure the desired information is demonstrated below.

How to complete PQs

States preparing for an ICVM will conduct a self-assessment on all not satisfactory PQs.

Select the option "Not Satisfactory" to view the list of all not satisfactory PQs in the area selected.

How to complete PQs

States preparing for an audit will conduct a self-assessment on ALL PQs.

Select the option "ALL" to view all PQs.

How to complete PQs

How to complete PQs

How to complete PQs

Status of Implementation by ICAO **CMA Protocols as of May 2013**

Reply to Protocol Question [▼] Status of Implementation [Not satisfacto ▼] CSA Audit Finding [LEG/01] SSC ☐

Activity [CSA Audit ▼] Start Date [05/05/2008] End Date [16/05/2008] Report Publication Date [15/06/2008]

Description: [Translate]

| English | Français | Español | Русский | العربية | 中文 |

Le ministère des Transports du Futureland récemment mis en place une procédure générale pour examiner les lettres de l'État de l'OACI, la modification des règlements, au besoin, et d'informer l'OACI des différences avec les SARP de l'OACI. Toutefois: a) dans le domaine des aérodromes, il n'ya pas eu une modification systématique et rapide des réglementations nationales pour assurer l'application des dispositions énoncées dans les annexes de l'OACI; b) des différences existantes n'ont pas encore été

The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

Progress Documented: [Translate]

Choose a language

The chosen language will appear on the top box with the original language description below.

Use the scoll bar to navigate up/down the box.

Evidence: [ ]

How to complete PQs

Language [English ▼]   State [Futureland ▼]   **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**   Welcome:Futureland NCMC Logout Home Help

| State Dashboard | Protocol Question (PQ) | Finding & Recommendation (F&R) | Corrective Action Plan (CAP) | User Management |

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation [All ▼] Audit Area [LEG ▼] Audit Area Group [All ▼] Critical Element [All ▼] Critical Element Group [All ▼]

SSC [All ▼] New Protocol Status [All ▼] PQ/Finding No. [   ] Clear

PQ No.	Show/Hide Extended Column Question
1.001 LEG CE-1 S	Has the State promulgated legislation (including civil laws, decrees, resolutions) to address its obligation... the Chicago Convention?
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption... subsequent promulgation of civil avi... regulations?
1.007 LEG CE-2 S	Does the State's rule-making... ensure the timely promulgati... ...ic operating regulations in co...... ...th the Annexes?
1.009 LEG CE-2	Has the State deve...... ...plemented procedures for the... ...t of its specific regulations...

CMA Protocols as of May 2013

SSC ☐

[15/06/2008]

...Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO ...ate letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

Progress Documented: [Translate]

Evidence: [Translate]

Scroll down to view the guidance and references related to the PQs or double-click on the PQ number.
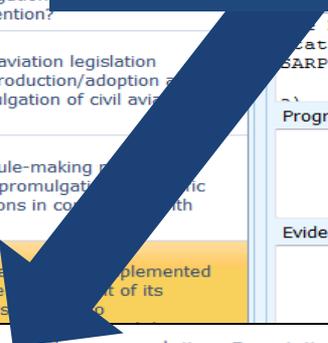
legislation established clear ...ead of the civil aviation	Relevant law or regulations Description of author... delegated Include all DGs/CEOs dealing with civil safety oversight

◄ [III   ] ►

Change page: [◄◄] [◄] [►] [►►]   Page 1 of 4, items 1 to 8 of 31.

Assessment--"Read/Write"   **Draft Copy** ☑

...uestion [Yes ▼]   Status of Implementation [Satisfactory ▼]

[09/07/2013]   Click To View CAP

...s NOW amended regulations included aerodromes with the provisions of the LATEST ICAO ...t.
...C revised to verify all regulation(include aerodromes)remain up to date.
...and published with all significant differences included aerodromes.

...and.com/regulations/aerodromes; Gazette N°1
...ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5;
...o(procedure).

How to complete PQs

Example

OPS PQ 4.223 (CE-6)

Does the aircraft operations organization ensure that the air operator develops an ACAS training programme on ACAS-equipped aircraft for its pilots?

Review evidence

- Verify implementation of operations inspectors' procedures as part of the certification process.
- Sample air operator's training manuals.
- Sample ACAS training programme and records to confirm implementation.

Reference

STD A6 Part I App. 2, 2.1.31 GM Doc 8168 Vol I A6 Part III Sec. 3 C3 Att. 1

How to complete PQs

Conduct self-assessment, taking into account the description and progress documented by ICAO (if PQ is Not Satisfactory). If the PQ is Satisfactory, it will not have this information.

Lang...   ...lp

St...

Pro...

Sta...

SSC [All ▼]   New Protocol Status [All ▼]   PQ/Finding No. [_____]   Clear

PQ No.	Show/Hide Extended Columns Question
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation (including civil aviation acts, laws, decrees, resolutions, etc.) to enable it to address its obligations as a signatory to the Chicago Convention?
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?
1.009 LEG CE-2 N/S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director

Status of Implementation by ICAO   **CMA Protocols as of May 2013**

Reply to Protocol Question [▼]   Status of Implementation [Not satisfactc ▼]   CSA Audit Finding [LEG/01]   SSC [ ]

Activity [CSA Audit ▼]   Start Date [05/05/2008]   End Date [16/05/2008]   Report Publication Date [15/06/2008]

Description: [Translate]

The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

a) ... in the field of aerodromes, there has not been a systematic and timely amendment of the

Progress Documented: [Translate]

Evidence: [Translate]

Results of State Assessment--"Read/Write"   **Draft Copy** ☑

Reply to Protocol Question [Yes ▼]   Status of Implementation [Satisfactory ▼]

Last Modified [09/07/2013]   Click To View CAP

Remarks:
1. The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment.
2. Procedure ABC revised to verify all regulation(include aerodromes)remain up to date.
3. AIP revised and published with all significant differences included aerodromes.

Evidence:
1. www.futureland.com/regulations/aerodromes; Gazette N°1
2. Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5;
...sion) and 10(procedure):

How to complete PQs

Scroll at the bottom of the page to view the CAP.

How to complete PQs

Results of State Assessment--"Read/Write"   Draft Copy ☐

Reply to Protocol Question Yes ▾ Status of Implementation Satisfactory ▾

Last Modified 03/02/2013 📅 Click To View CAP

Reply to the PQ with "Yes" or "No" depending on whether the State answers to the protocol questions

Indicate the State's status of implementation.

- "Satisfactory" indicates that all the guidance requirements of the PQ have been complied with.
- "Not satisfactory" applies when any of the guidance requirements of the PQ has not been fully complied with.
- "Not applicable" means that the PQ does not apply in the State (e.g. PQ related to ROs and the State does not have any).

CAA-AC-OPS050 Ops Manual Section 9.3.2 - Copy.pdf 536,056 bytes
Delete
Ops Inspector manual, Chapter 4, section 2 - Copy.pdf 536,056 bytes
Delete

Upload Files

Save as Draft   Submit to ICAO

How to complete PQs

Take into consideration the guidance for review of the PQ when providing remarks.

Provide one sentence on the progress of implementation for each of the guidance for review of the PQ indicating the evidence.

How to complete PQs

Language [English ▼]   State [Futureland ▼]   **ICAO CMA Training site – Any data updates are temporary and for practice only !!!**   Welcome:Futureland NCMC Logout Home Help

| State Dashboard | Protocol Question (PQ) | Finding & Recommendation (F&R) | Corrective Action Plan (CAP) | User Management |

Protocol Question (PQ) / Manage State Self-Assessment

Status of Implementation [All ▼]   Audit Area [LEG ▼]   Audit Area Group [All ▼]   Critical Element [All ▼]   Critical Element Group [All ▼]

SSC [All ▼]

When required, provide evidence for each guidance element.

Include the document name and specific reference(s).

PQ No.	Show/H... Question...
1.001 LEG CE-1 S	Has... leg... law... to... the...
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?
1.007 LEG CE-2 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?
1.009 LEG CE-2 N/S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?
1.013 LEG CE-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of a Director General (DG)/Chief Executive Officer (CEO)?
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director

CMA Protocols as of May 2013

Reply to Protocol Question [▼]   Status of Implementation [Not satisfactd ▼]   CSA Audit Finding [LEG/01]   SSC ☐

[15/06/2008] 📅

The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

a) ... in the field of aerodromes, there has not been a systematic and timely amendment of the

Progress Documented: [Translate]

Evidence: [Translate]

Results of State Assessment--"Read/Write"   **Draft Copy** ☑

Reply to Protocol Question [Yes ▼]   Status of Implementation [Satisfactory ▼]

Last Modified [09/07/2013] 📅   **Click To View CAP**

Remarks:
1. The State has NOW amended regulations included aerodromes with the provisions of the LATEST ICAO Annex amendment.
2. Procedure ABC revised to verify all regulation(include aerodromes) remain up to date.
3. AIP revised and published with all significant differences included aerodromes.

Evidence:
1. www.futureland.com/regulations/aerodromes; Gazette N°1
2. Regulation ABC page 4 (List Effective Page), 5 (Record of rAerodrome regulations page 3, 4 and 5; ...

How to complete PQs

Results of State Assessment--"Read/Write"   **Draft Copy** ☐

Reply to Protocol Question [Yes ▼] Status of Implementation [Satisfactory ▼]

Last Modified [03/02/2013] [📅] Click To View CAP

Remarks:
- CAA-AC-OPS050 Contents of an Operations Manual Sec...
  programme.
- Inspector guidance is detailed in Operation inspector M... chapter 4, section 2
- The Air Operator Certification Manual Chapter 10, ...ecklist in Appendix 1, detail the certification process

Evidence:
- CAA-AC-OPS050 Contents of an Opera... Manual Section 9.3.2(f) includes the CAA requirements.
- Operation inspector manual, chapter 4, section 2
- The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1

Attach evider...

[Select]   Manual Chapter 10, and checklist in appendix

Ops Inspector Manual, Chapter 4, Section 2 – Copy.pdf 556,656 bytes
Delete

[Upload Files]

[Save as Draft] [Submit to ICAO]

Copies of the references to be attached for each evidence.

Select the file to be uploaded
Click on the "Upload Files" to upload
While completing the self-assessment, save your work using the button "Save as draft".

When the self-assessment is fully completed, click on "Submit to ICAO".

How to complete PQs

Results of State Assessment--"Read/Write"

SUGGESTION For all revisions:
- Copy the original text to a word document
- Update the original text as required
- In the remarks box add the date of submission
- Below the date add the subject matter in CAPITALS
- Paste the original text with updates to the "remarks"

Evidence:
- CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f) includes the CAA requirements.
- Operation inspector manual, chapter 4, section 2
- The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1

Attach evidence (e.g. PDF or XPS), limited to 10 files and maximum of 10 MB per file

Select

Air Operator Certification Manual Chapter 10, and checklist in appendix 1.pdf 536,056 bytes
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CAA-AC-OPS050 Ops Manual Section 9.3.2 - Copy.pdf 536,056 bytes
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Ops Inspector manual, Chapter 4, section 2 - Copy.pdf 536,056 bytes
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Upload Files

Save as Draft   Submit to ICAO

How to complete PQs

Exporting the self assessment checklist

How to complete PQs

Select all protocols

State Dashboard | Protocol Questions (PQ) | Corrective Action Plan (CAP) | CMA Activity Management | Tools

Protocol Questions (PQ) / Export State Self-Assessment

This export feature is utilized for the completion of the protocol questions offline.
The exported file should be not merged or deleted.

○ All Protocols   ● Only Not satisfactory Protocols

	Code	Description	Is Locked By State
☐	LEG	primary aviation legislation and civil aviation regulations	☐
☐	ORG	civil aviation organization	☐
☐	PEL	personnel licensing and training	☐
☐	OPS	aircraft operations	☐
☐	AIR	airworthiness of aircraft	☐
☐	AIG	aircraft accident and incident investigation	☐
☐	ANS	air navigation services	☐
☐	AGA	aerodromes and ground aids	☐

Refresh | Submit

How to complete PQs

Select NS protocols

State Dashboard	Protocol Questions (PQ)	Corrective Action Plan (CAP)	CMA Activity Management	Tools

Protocol Questions (PQ) / Export State Self-Assessment

This export feature is utilized for the completion of the protocol questions offline.
The exported file should be not merged or deleted.

○ All Protocols ◉ Only Not satisfactory Protocols

	Code	Description	Is Locked By State
☐	LEG	primary aviation legislation and civil aviation regulations	☐
☐	ORG	civil aviation organization	☐
☐	PEL	personnel licensing and training	☐
☐	OPS	aircraft operations	☐
☐	AIR	airworthiness of aircraft	☐
☐	AIG	aircraft accident and incident investigation	☐
☐	ANS	air navigation services	☐
☐	AGA	aerodromes and ground aids	☐

Refresh   Submit

How to complete PQs

Select the Protocols as per the scope (1 area at a time)

| State Dashboard | Protocol Questions (PQ) | Corrective Action Plan (CAP) | CMA Activity Management | Tools |

Protocol Questions (PQ) / Export State Self-Assessment

This export feature is utilized for the completion of the protocol questions offline.
The exported file should be not merged or deleted.

○ All Protocols ● Only Not satisfactory Protocols

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☐	LEG	primary aviation legislation and civil aviation regulations	☐
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☐	AIG	aircraft accident and incident investigation	☐
☐	ANS	air navigation services	☐
☐	AGA	aerodromes and ground aids	☐

Refresh Submit

How to complete PQs

Click on "submit" to download the file

State Dashboard	Protocol Questions (PQ)	Corrective Action Plan (CAP)	CMA Activity Management	Tools

Protocol Questions (PQ) / Export State Self-Assessment

This export feature is utilized for the completion of the protocol questions offline.
The exported file should be not merged or deleted.

○ All Protocols ● Only Not satisfactory Protocols

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☐	AIG	aircraft accident and incident investigation	☐
☐	ANS	air navigation services	☐
☐	AGA	aerodromes and ground aids	☐

Refresh   Submit

Wait for a few seconds for the file to load all depending on the internet speed. DO NOT press the submit button twice.

How to complete PQs

Save the file in the desired location for use

How to complete PQs

<u>Importing</u> the self assessment checklist

How to complete PQs

Click on "select" to access the file to be imported

Language English | State

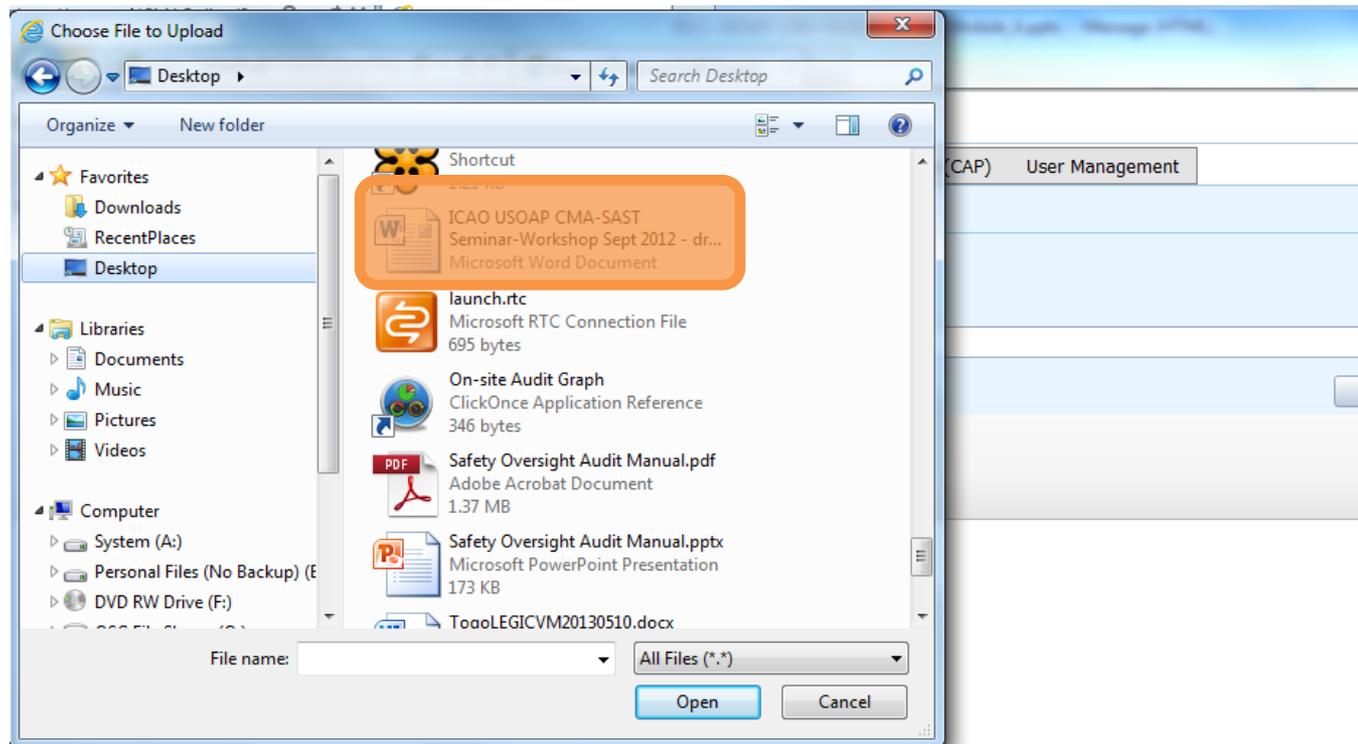| State Dashboard | Protocol Question (PQ) | Finding & Recommendation (F&R) | Corrective Action Plan (CAP) | User Management |

Protocol Question (PQ) / Import Protocol Self-Assessment Checklist

This Import feature is utilized....

Browse and Select PQ file to import

[   ] Select

Submit

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How to complete PQs

Click on "select" to access the file to be imported

How to complete PQs

Once file name appears then click on "submit"

Language [English] State [▼]

| State Dashboard | Protocol Question (PQ) | Finding & Recommendation (F&R) | Corrective Action Plan (CAP) | User Management |

Protocol Question (PQ) / Import Protocol Self-Assessment Checklist

This Import feature is utilized....

Browse and Select PQ file to import

| RepublicofKoreaLEGSelfAssessment20130514.docx | Select |

Submit

© 2013 ICAO, All

How to complete PQs

Click on "open" to import the file
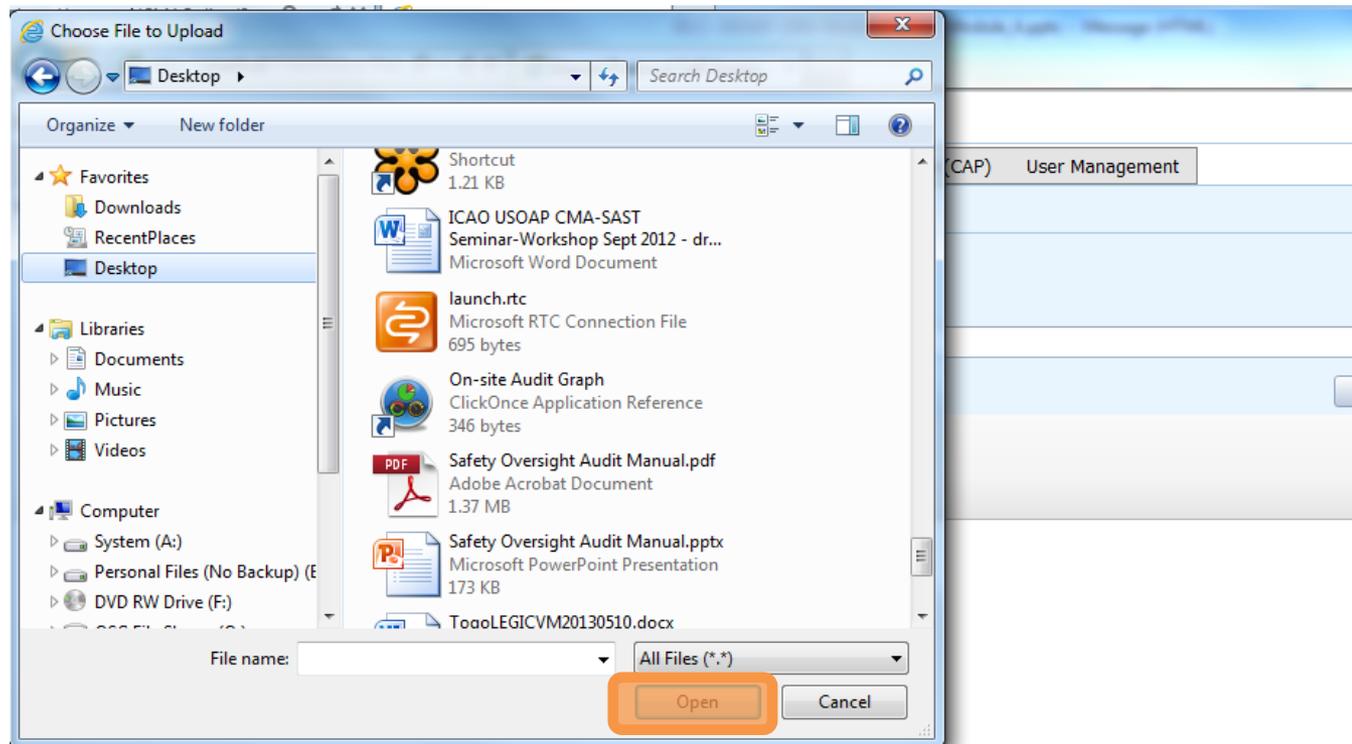
How to complete PQs

Points to keep in mind when providing remarks:

- The State must provide a response to each of the guidance items while providing a supporting evidence; and

- The State must make specific reference, such as chapter, page, paragraph, etc. where supporting evidence can be found.

How to submit CAPs

How to submit CAPs

States are required to submit:

- Effective CAPs;

- Regular CAP updates; and

- CAP progress reports as required by the MOU.

How to submit CAPs

- These activities ensure that States are:

  - Fully addressing ICAO findings; and
  - Working effectively towards implementing corrective actions/ mitigating measures.

- Continuous updates provide a means for States to report their level of CAP implementation, enabling ICAO to monitor progress and plan USOAP CMA activities.

How to submit CAPs

Why is it important for States to provide effective CAPs and CAP updates?

- It is required by the MOU.

- It ensures that States are fully addressing ICAO PQ findings.

- CAP updates allow States to report on the level of progress made.

- It enables ICAO to determine the next course of action.

How to submit CAPs

- Go to the USOAP CMA Online Framework (OLF) using the following link: www.icao.int/usoap

- Click on "Manage CAPs"
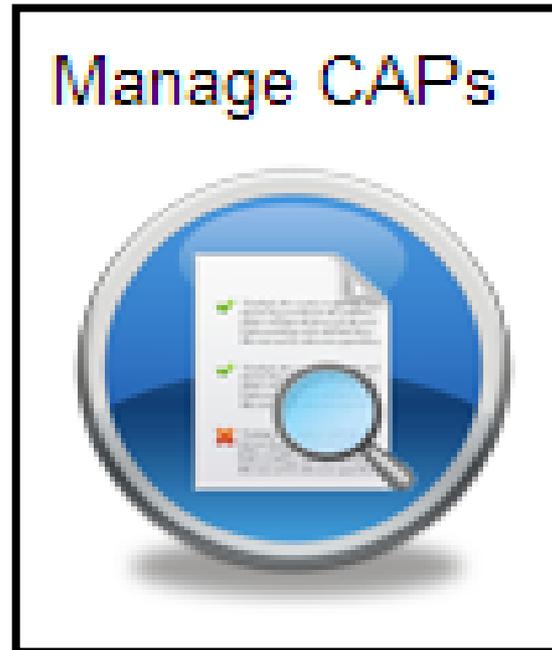
How to submit CAPs

Review description and progress documented boxes for the finding from previous USOAP report.

Select "Preview mode" to start preparing CAP before the result is published

How to submit CAPs

Language [English ▼] State [Futureland ▼]   Welcome:Futureland Student Logout Home Help

| State Dashboard | Protocol Question (PQ) | Finding & Recommendation (F&R) | Corrective Action Plan (CAP) | User Management |

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode [Live mode - Pub ▼] Audit Area [LEG ▼] Audit Area Group [All ▼] Critical Element [All ▼] CAP Review Result [All ▼] CAP Review Status [All ▼]

SSC [All ▼] PQ/Finding No. [____] Clear

List Of Not Satifactory PQs

Change page: [◀◀] [◀] [▶] [▶▶]   Page 1 of 2, items 1 to 5 of 8.

Show/Hide Extended Columns

PQ No.	Question
1.009 LEG CE-2 CAP: ☑ 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?
1.025 LEG CE-2 CAP: ☑ 33.33%	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?

	regarding transf...
Has the State established requirements regarding documents to be carried on board an aircraft in compliance with Article 29 of the Chicago Convention?	Verify that the d... registration 2. C... members' licence... station licence 6...
Are significant differences stated in the AIP as per the requirements of Annex 15?	Review of AIP a... significant differe... qualifying signific...

Change page: [◀◀] [◀] [▶] [▶▶]   Page 2 of 2, items 6 to 8 of 8.

Scroll down to view guidance and references or double-click on the PQ number.

Description:
The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO State letters, amending its regulations as needed, and notifying ICAO of differences with the ICAO SARPs. However:

Progress Documented:

Corrective Action Plan   Draft Copy ☑

Est.Imp.Date [31/07/2010] Rev. Imp. Date [31/07/2012] Date Of Completion [23/10/2008] Progress Status 33.3%

Update Comment (CAP update from IStars): 31/12/2012 [Save As Draft] Click to Update PQ Status or Attach Evidence

[B I U]

Corrective Action Plan, Action Items: 31/12/2012   [Submit to ICAO]

Add new record   [↻ Refresh]

		Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
	Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

How to submit CAPs

Provide a realistic Estimated Implementation Date (EID) to identify when all steps will be completed.

Enter the completion date if the CAP is completed.

Enter CAP in a step-by-step format, clearly indicating the action and an action office per step.

How to submit CAPs

How to submit CAPs

Language English ▼ State Futureland ▼

Welcome:Futureland Student Logout Home Help

| State Dashboard | Protocol Question (PQ) | Finding & Recommendation (F&R) | Corrective Action Plan (CAP) | User Management |

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode Live mode - Pub ▼ Audit Area LEG ▼ Audit Area Group A

SSC All ▼ PQ/Finding No. [   ] Clear

List Of Not Satifactory PQs

Change page: |◄ ◄ ► ►| Page 1 of 2, items 1 to 5 of 8.

Show/Hide Extended Columns

PQ No.	Question
1.009 LEG CE-2 CAP: ☑ 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?
1.025 LEG	Has the State established and implemented procedures for identifying and notifying differences, if any, to

CAP fully addresses the finding.

Page size: 6 ▼   Displaying page 1 of 2 , items 1 to 6 of 7

|◄ ◄ Page: 1 of 2 ► ►| [1] 2

Or scroll down at the bottom of the page and click on "self-Assessment link to get to the same page.

Submit to ICAO when action is completed and CAP is fully addressed.

Comments by ICAO HQ:

The corrective action plan submitted by the State does not fully addresses this ICAO finding and recommendation. Jerome

Self-Assessment ◄

Submit to ICAO

Corrective Action Plan, Action Items: 31/12/2012

➕ Add new record   ⟳ Refresh

		Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

CE-1 CAP: ☑ 100% CAP fully addresses the finding.

1.105 LEG CE-3 CAP: ☑ 100% CAP fully

Has the State established official inspectorate staff credentials?

How to submit CAPs

Example

PQ 5.453 (CE-8)

Does the AID initiate a special evaluation or impose special operational restrictions if information obtained from reliability monitoring indicates degraded level of safety?

Guidance

Review examples of action taken Note. — If oversight of reliability programmes is not conducted, this PQ is automatically Not satisfactory

Reference

GM Doc 9760 Vol. II Part B 7.4

How to submit CAPs

Language: English   State: Futureland   Welcome:Futureland Student Logout Home Help

| State Dashboard | Protocol Question (PQ) | Finding & Recommendation (F&R) | Corrective Action Plan (CAP) | User Management |

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub

SSC: All   PQ/Finding No.

Description and progress documented by ICAO:

CAA does not initiate a special evaluation or impose special operational restrictions if information obtained from reliability monitoring indicates degraded level of safety as part of its surveillance reliability programme.

List Of Not Satifactory PQs

Change page: |◄ ◄ ►

Show/Hide Exte...

PQ No.	Question
1.009 LEG CE-2 CAP: ☑ 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?
1.025 LEG CE-2 CAP: ☑ 33.33% CAP fully addresses the finding.	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?
1.027 LEG CE-2 CAP: ☑ 0% CAP fully addresses the finding.	Does the legislation and/or regulations provide for the issuance of exemptions and has the State established a policy and procedures for their issuance?
1.055 LEG CE-1 CAP: ☑ 100% CAP fully addresses the finding.	Has the State established a policy and procedures for enforcement?
1.105 LEG CE-3 CAP: ☑ 100% CAP fully	Has the State established official inspectorate staff credentials?

Description:

Progress Documented:

Corrective Action Plan

Draft Copy ☑

Est.Imp.Date 31/07/2010   Rev. Imp. Date 31/07/2012   Date Of Completion 23/10/2008   Progress Status 33.3%

State Comment (CAP update from IStars): 31/12/2012 [Save As Draft]   Click to Update PQ Status or Attach Evidence

[Submit to ICAO]

Corrective Action Plan, Action Items: 31/12/2012

➕ Add new record   🔄 Refresh

		Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1	The procedure "National consultation Process for International Regulations" has been revised and approved.	Ministry of Transport	National consultation Process for International Regulations	30/07/2010	31/07/2012	23/10/2008	Completed
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting	Ministry of Transport	Instruction on National	23/10/2008	23/10/2008		Completed

How to submit CAPs

Steps to submit CAP:

Step 1 - Programme AIR participation in all future reliability meetings held by the air operators.
    Action office: AID; EID: 25/06/2013; Progress Completed

Step 2 - Collect and analyse existing reports from reliability monitoring.
    Action office: AID; EID: 13/07/2013; Progress Completed

Step 3 - Establish a process to ensure the initiation of special evaluation or imposition of operational restrictions in cases of degraded level of safety.
    Action office: AID; EID: 11/10/2013; Progress 25%

Step 4 - Define possible operational restrictions to be taken.
    Action office: AID; EID: 11/10/2013 Progress Not Started

How to update CAPs

1 - Select the PQ to add the CAP.

2 - Click on "Add new records" to provide steps.

How to update CAPs

Fill in the following:

- **Step number:** A CAP may have several steps based on the complexity. Each action will require a separate step to simplify the CAP assessment and validation.
- **Estimated Implementation Date:** Estimated implementation date should be indicated for when the step is expected to have been fully implemented.
- **Progress status**
- **Action office** in charge of completing this step

Corrective Action Plan, Action Items:

✚ Add new record | ⟳ Refresh

	Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress

Step Number * [ ]   Est. Imp. Date * [ ] 📅

Rev. Imp. Date [ ] 📅   Date Of Completion [ ] 📅   Progress Status [Not started ▼]

Action Office *:
[ ]

Proposed Action *:

↺ ↻ | ✂ 📋 📋 | **B** *I* <u>U</u>

Evidence Reference:

↺ ↻ | ✂ 📋 📋 | **B** *I* <u>U</u>

[Save As Draft] [Close]

No records to display

How to update CAPs

Fill in the following:

- **Proposed action:** Ensure to provide a proposed action item for the corresponding step.
- **Evidence reference:** Each reference should be clearly indicated (i.e. chapter, section, paragraph, etc.)
- **Save as draft**
- **Close:** To get to the previous view and to add next steps.

How to submit CAPs

Evidence Reference:

Click on this link to provide self assessment and attach evidence

Provide additional comments (if needed) . This field is not necessary.

Click on this button when all the steps related to the CAP are completed and ready to be submitted to ICAO.

Close

No records to display.

Corrective Action Pl

Copy ☑

Est.Imp.Date

State Comment: 16/12/2011 | Save As Draft | Click to Update PQ Status or Attach Evidence

Submit to ICAO

How to update CAPs

How to update CAPs

Click on "Edit" to provide updates.

Select the PQ to be updated.

Note: If one step is too large, it may be divided into multiple steps .To introduce additional steps use the instructions demonstrated in the previous section.

How to update CAPs

Fill in the following:

- **Step number:** A CAP may have several steps based on the complexity. Each action will require a separate step to simplify the CAP assessment and validation.

- **Revised Implementation Date:** Based on the CAP update, if the EID is no longer realistic, then a revised implementation date should be indicated.

- **Date of completion:** The date for when the action was completed should be indicated.

- **Progress status**

- **Action office**

How to update CAPs

Fill in the following:

- **Updated proposed action:** Ensure to provide a proposed action item for the corresponding step.
- **Evidence reference:** Each reference should be clearly indicated (i.e. chapter, section, paragraph, etc.)
- **Save as draft**
- **Close:** To get to the previous view and to edit other steps.
- **Submit to ICAO**: When all steps are fully edited and ready for submission.

Note: Evidence may be inserted using the instructions mentioned previously

Review

❑ How to complete PQs

❑ How to submit CAPs

❑ How to update CAPs

The system is evolving. Feedback and suggestions from users is required for the system to mature!