



**INTERNATIONAL CIVIL AVIATION ORGANIZATION**

*A United Nations Specialized Agency*

# **USOAP Continuous Monitoring Approach (CMA) Workshop**

## Module 3

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

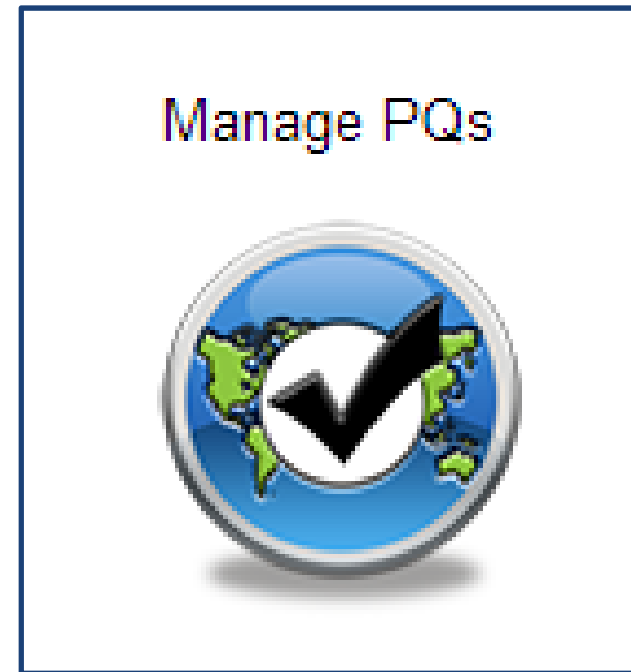


- ICAO will review and validate the level of implementation indicated by States and update and publish it on the OLF.
- This may lead to an update of States' LEI.
- ICAO will periodically revise the PQs in order to reflect amendments made to the referenced documents.
- It is therefore important for States 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](http://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



Language: English State: Futureland **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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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 Question	Details	Actions
1.001 LEG CE-1 S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	Translate
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?	Translate
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?	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?	Translate
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?	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	Translate
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?	Are the primary aviation legislation and the associated operating regulations available to the public?	Translate
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)?	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)?	Translate
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director	Does the State's primary aviation legislation clearly delegate authority to the Director	Translate

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

**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:

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

Evidence:

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



# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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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  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC  PQ/Finding No.  [Clear](#)

PQ No.	Show/Hide Question	Status of Implementation by ICAO	CMA Protocols as of May 2013
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation, laws, and regulations to add to the Civil Aviation Regulations?	Not satisfactory	
1.005 LEG CE-1 S	Does the State provide for the 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's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?		
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?	Satisfactory	
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		

Reply to Protocol Question  Status of Implementation  CSA Audit Finding  SSC

Progress Documented:

Evidence:

Reply to Protocol Question  Status of Implementation

Last Modified  [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; (revision) and 10 (procedure).

Draft Copy

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



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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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  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC    PQ/Finding No.  [Clear](#)

PQ No.	Show/Hide Question	Status of Implementation by ICAO	CMA Protocols as of May 2013
1.001 LEG CE-1 S	to address its obligations as a signatory to the Chicago Convention?	<input type="text" value="Satisfactory"/>	
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?	<input type="text" value="Satisfactory"/>	
1.007 LEG CE-2 S	Does the State's rule-making process...	<input type="text" value="Satisfactory"/>	
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?	<input type="text" value="Satisfactory"/>	
1.011 LEG CE-2 S	Are the primary aviation legislation and the associated operating regulations available to the public?	<input type="text" value="Satisfactory"/>	
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)?	<input type="text" value="Satisfactory"/>	
1.015 LEG	Does the State's primary aviation legislation clearly delegate authority to the Director	<input type="text" value="Satisfactory"/>	

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

Reply to Protocol Question  Status of Implementation

Last Modified  [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; ...)

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



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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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  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC  New Protocol Status  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
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  CSA Audit Finding  SSC

Activity  Start Date  End Date  Report Publication Date

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:

Progress Documented: [Translate](#)

Evidence: [Translate](#)

Select the desired PQ.

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

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

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

Evidence:

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

# How to complete PQs



Language English

State Futureland

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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 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 satisfact 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:

Progress Documented: [Translate](#)

Evidence: [Translate](#)

### Results of State Assessment--"Read/Write"

Draft Copy

Refer to comments by ICAO from the previous activity report to conduct the self-assessment.

Translate into your choice of ICAO language by clicking on the button

# How to complete PQs



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

Reply to Protocol Question  Status of Implementation  CSA Audit Finding  SSC

Activity  Start Date  End Date  Report Publication Date

Description:

English

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 aéroports, 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:

Evidence:

**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.



# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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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  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC  New Protocol Status  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 aviation regulations?
1.007 LEG CE-2 S		Does the State's rule-making ensure the timely promulgation of operating regulations in compliance with the Annexes?
1.009 LEG CE-2		Has the State developed and implemented procedures for the promulgation of its specific regulations?

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

**CMA Protocols as of May 2013**

Progress Documented:

Evidence:

Assessment--"Read/Write" Draft Copy

Question  Status of Implementation

09/07/2013  [Click To View CAP](#)

... NOW amended regulations included aerodromes with the provisions of the LATEST ICAO ...  
... 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;  
... (procedure):

Change page:   Page 1 of 4, items 1 to 8 of 31.

# 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.

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  CSA Audit Finding  SSC

Activity  Start Date  End Date  Report Publication Date

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:

Evidence:

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

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

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

Evidence:

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



# How to complete PQs



Select the “Click to view CAP” link to view the CAP related to the PQ OR

The screenshot shows a PQ form with a question: "Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?". The form includes a "Results of State Assessment--'Read/Write'" section with a "Draft Copy" checkbox. Below this, there are dropdown menus for "Reply to Protocol Question" (set to "Yes") and "Status of Implementation" (set to "Satisfactory"). A "Last Modified" date of "09/07/2013" is shown, along with a "Click To View CAP" link. The "Remarks" section contains three numbered points: 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. The "Evidence" section lists three items: 1. www.futureland.com/regulations/aerodromes; Gazette N°1, 2. Regulation ABC page 4 (Not Effective Page) 5 (Record of aerodrome regulations page 3, 4 and 5), and 3. AIP General Part page 6, 7, 11 ; Gazette N°2; www.futureland.com/AIP.

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

The screenshot shows the bottom of the PQ form. It features a list of evidence files with their names and sizes, each with a "Delete" link. The files are: amendment.pdf (37,058 bytes), reg\_Aerodrome.pdf (22,905 bytes), approval-page-proced\_ABC.pdf (33,475 bytes), reg\_Aerodrome.pdf (22,905 bytes), approval-page-proced\_ABC.pdf (33,475 bytes), AIP.pdf (13,597 bytes), Arrêté N°722MTANAC du 18 mai 2012.pdf (918,039 bytes), Essais 1.pdf (5,822 bytes), and decision 0831.pdf (80,774 bytes). Below the list is an "Upload Files" button. At the bottom, a "Corrective Action Plan" dropdown menu is highlighted with an orange border.

# 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).

Remarks

- CA...
- pr...
- Inspector evidence is detailed in Operation Inspector Manual, chapter 4, section 2
- The Air

Evidence

- CAA
- Oper
- The

Attach ev

Select

Upload Files

Save as Draft

Submit to ICAO

# How to complete PQs



Language  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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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  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC  New Protocol Status  PQ/Finding No.  [Clear](#)

PQ No.	Question	Description:	Evidence:
1.001 LEG CE-1 S	Has the State developed and implemented procedures for the amendment of its specific regulations taking into consideration ICAO provisions and their amendments?	<a href="#">Translate</a>	
1.005 LEG CE-1 S	Does the State's rule-making process ensure the timely promulgation of specific operating regulations in compliance with the Annexes?	<a href="#">Translate</a>	
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		

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

Reply to Protocol Question  Status of Implementation

Last Modified  [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; (revision) and 10 (procedure):

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  State  **ICAO CMA Training site - Any data updates are temporary and for practice only !!!**

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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  Audit Area  Audit Area Group  Critical Element  Critical Element Group

SSC

**When required, provide evidence for each guidance element.**

PQ No.	Show/H Question	Reply to Protocol Question	Status of Implementation	CSA Audit Finding	LEG/01	SSC
1.001 LEG CE-1 S	Has leg lav to the		<input type="text" value="Not satisfactr"/>			<input type="text" value="15/06/2008"/>
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of civil aviation regulations?	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:				
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					

**Include the document name and specific reference(s).**

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

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

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

**Evidence:**

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

# How to complete PQs



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

Reply to Protocol Question  Status of Implementation

Last Modified  [Click To View CAP](#)

Remarks:

- CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f) includes the CAA requirements.
- Inspector guidance is detailed in Operation inspector Manual Chapter 4, section 2
- The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1, detail the certification process

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

**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"

Example of a complete self-assessment

## 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

[Delete](#)

[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



## Exporting the self assessment checklist

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

**Protocol Questions**

- Manage State Self-Assessment
- Export State Self-Assessment**

Status of Implementation: All | Audit Area: LEG | Audit Area Group: All | Critical Element: All

SSC: All | PQ/Finding No.:  [Clear](#)

Change page:   Page 1 of 4, items 1 to 8 of 31.

PQ No.	Question
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.)?
1.003 LEG	If the State has not promulgated primary aviation legislation, what method is used to

**Status of Implementation by ICAO**

Reply to Protocol Question:  Status of Implementation:

Not Reviewed:

Activity: CSA Audit | Start Date: 12/04/2005

Description:

Progress Documented:

# 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
<input type="checkbox"/>	LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input type="checkbox"/>	ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/>	PEL	personnel licensing and training	<input type="checkbox"/>
<input type="checkbox"/>	OPS	aircraft operations	<input type="checkbox"/>
<input type="checkbox"/>	AIR	airworthiness of aircraft	<input type="checkbox"/>
<input type="checkbox"/>	AIG	aircraft accident and incident investigation	<input type="checkbox"/>
<input type="checkbox"/>	ANS	air navigation services	<input type="checkbox"/>
<input type="checkbox"/>	AGA	aerodromes and ground aids	<input type="checkbox"/>

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
<input type="checkbox"/>	LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input type="checkbox"/>	ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/>	PEL	personnel licensing and training	<input type="checkbox"/>
<input type="checkbox"/>	OPS	aircraft operations	<input type="checkbox"/>
<input type="checkbox"/>	AIR	airworthiness of aircraft	<input type="checkbox"/>
<input type="checkbox"/>	AIG	aircraft accident and incident investigation	<input type="checkbox"/>
<input type="checkbox"/>	ANS	air navigation services	<input type="checkbox"/>
<input type="checkbox"/>	AGA	aerodromes and ground aids	<input type="checkbox"/>

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

Code	Description	Is Locked By State
<input type="checkbox"/> LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input checked="" type="checkbox"/> ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/> PEL	personnel licensing and training	<input type="checkbox"/>
<input type="checkbox"/> OPS	aircraft operations	<input type="checkbox"/>
<input type="checkbox"/> AIR	airworthiness of aircraft	<input type="checkbox"/>
<input type="checkbox"/> AIG	aircraft accident and incident investigation	<input type="checkbox"/>
<input type="checkbox"/> ANS	air navigation services	<input type="checkbox"/>
<input type="checkbox"/> AGA	aerodromes and ground aids	<input type="checkbox"/>

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

	Code	Description	Is Locked By State
<input type="checkbox"/>	LEG	primary aviation legislation and civil aviation regulations	<input type="checkbox"/>
<input checked="" type="checkbox"/>	ORG	civil aviation organization	<input type="checkbox"/>
<input type="checkbox"/>	PEL	personnel licensing and training	<input type="checkbox"/>
<input type="checkbox"/>	OPS	aircraft operations	<input type="checkbox"/>
<input type="checkbox"/>	AIR	airworthiness of aircraft	<input type="checkbox"/>
<input type="checkbox"/>	AIG	aircraft accident and incident investigation	<input type="checkbox"/>
<input type="checkbox"/>	ANS	air navigation services	<input type="checkbox"/>
<input type="checkbox"/>	AGA	aerodromes and ground aids	<input type="checkbox"/>

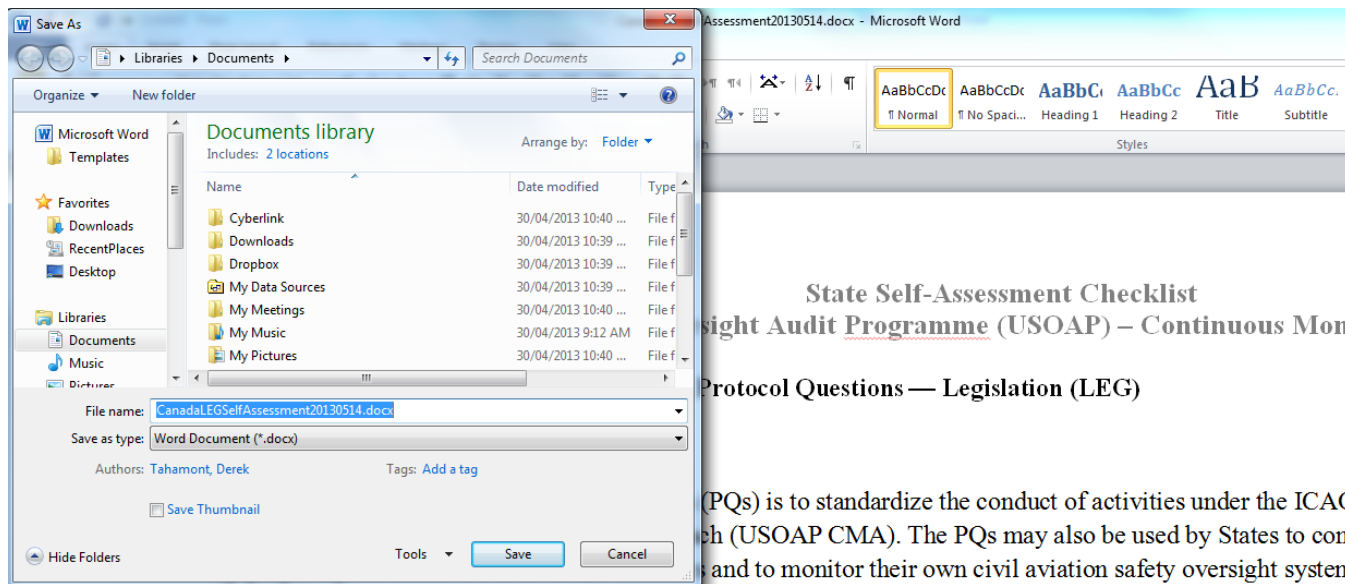
Refresh Submit

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



PQs will be subject to periodic revision by ICAO in order to reflect amendments made to the referenced documents. PQs always refer to the latest version of the referenced documents.

When developing the “corrective action plan,” the State should consider all elements of the “not satisfactory”

# How to complete PQs



## Importing the self assessment checklist

The screenshot shows the ICAO Protocol Question (PQ) management interface. The 'Protocol Question (PQ)' tab is active, and a dropdown menu is open, highlighting the 'Import Protocol Self-Assessment Checklist' option with a blue arrow. The interface includes a navigation bar with 'State Dashboard', 'Protocol Question (PQ)', 'Finding & Recommendation (F&R)', 'Corrective Action Plan (CAP)', and 'User Management'. Below the navigation bar, there are filters for 'Audit Area Group' (All) and 'Critical Element' (All). The main content area displays a table of PQs and a form for 'Status of Implementation by ICAO'.

PQ No.	Question
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.)?
1.003 LEG CE-1 S	If the State has not promulgated primary aviation legislation, what method is used to meet its obligations as a signatory of the Chicago Convention?
1.005	Does the primary aviation legislation provide

**Status of Implementation by ICAO**

Reply to Protocol Question:  Status of Implementation:

Activity:  Start Date:  End Date:

Description:

Progress Documented:

Evidence:

# How to complete PQs



Click on “select” to access the file to be imported

Language  State

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

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

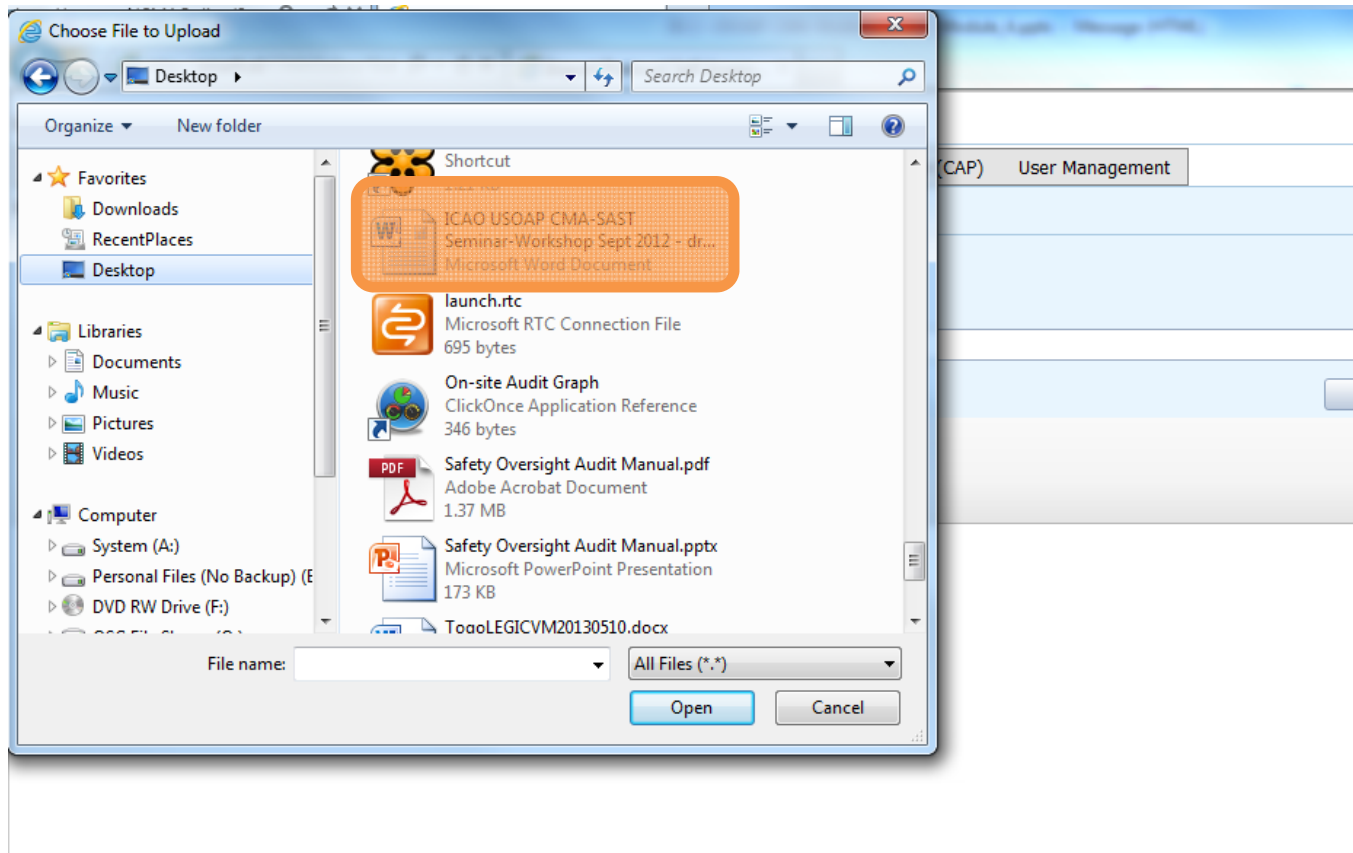
**This Import feature is utilized....**  
Browse and Select PQ file to import

© 2013 ICAC

# 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  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

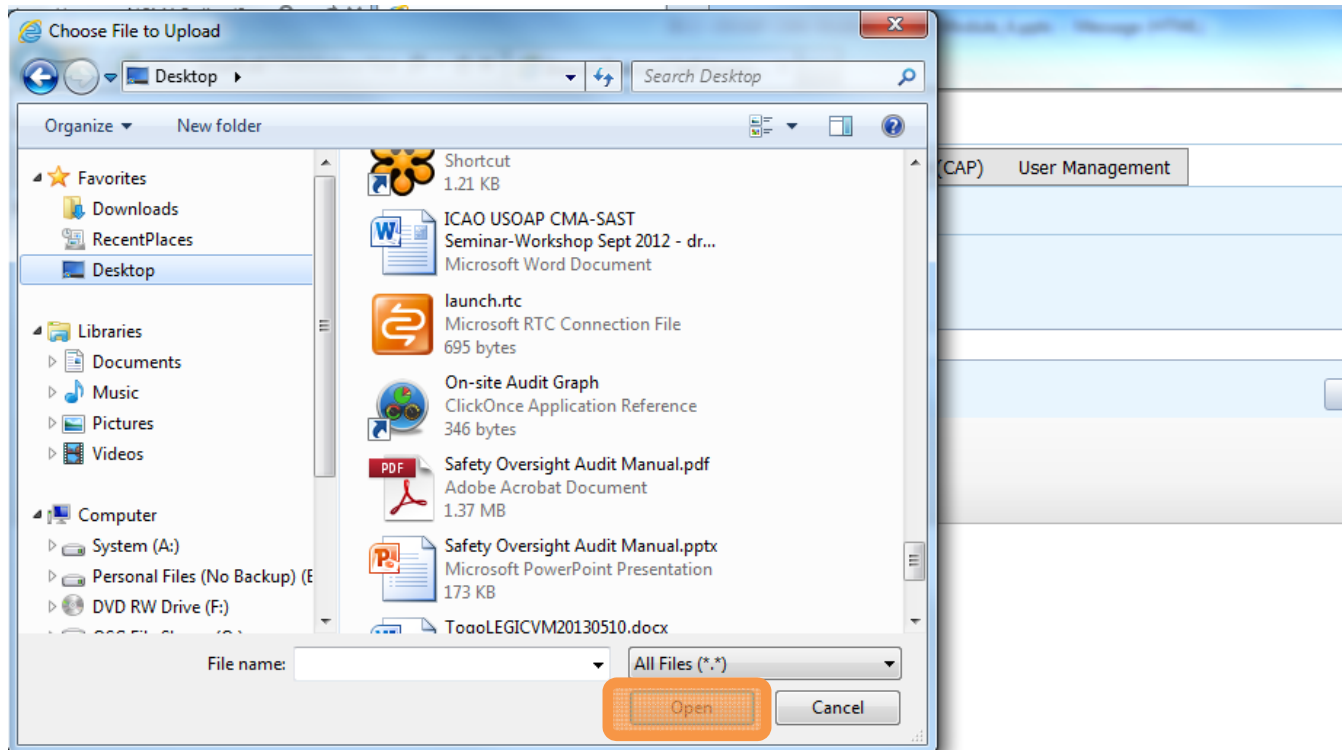
© 2013 ICAO, All



# 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



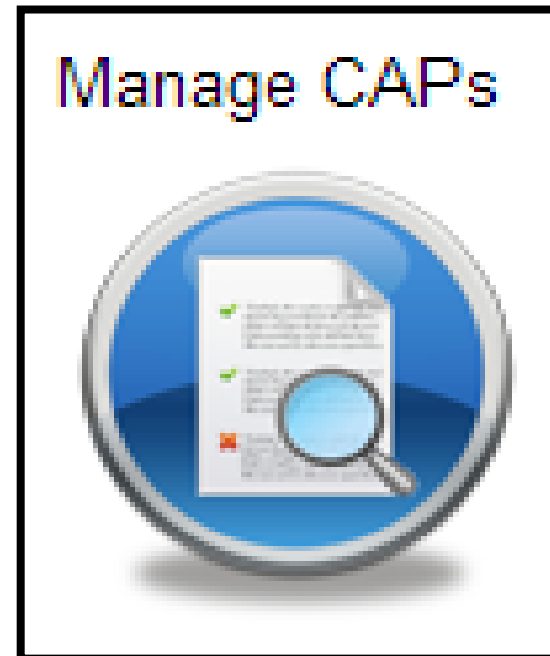
Why is it important for States to provide effective CAPs and CAP updates?

- 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](http://www.icao.int/usoap)
- Click on “Manage 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: All  
 SSC: All **Preview mode - NCMC only** Live mode - Public Clear

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

List Of Not Satisfactory PQs

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

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

Activity: CSA Audit Start Date: 05/05/2008 End Date: 16/05/2008 Report Publication Date: 15/02/2008

Description:  
 The Ministry for Transport of Futureland recently established a general procedure for reviewing ICAO...  
 the ICAO

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](#)

Rich text editor toolbar with icons for undo, redo, bold, italic, underline, link, unlink, list, print, and help.

[Submit to ICAO](#)

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

+ Add new record		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

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

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

### List of Not Satisfactory PQs

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

PQ No.	Question
1.009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 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: <input checked="" type="checkbox"/> 33.33%	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?

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%

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

Text area for comments or evidence attachment.

Submit to ICAO

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

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

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 ar significant differ qualifying signific

Change page: Page 2 of 2, items 6 to 8 of 8.



# How to submit CAPs

Language: English State: Futureland

Welcome: Futureland Student Logout Home Help

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.

State Dashboard Protocol Question (PQ) Find

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Pub Audit Area: LEC

SSC: All PQ/Finding No.:

**List Of Not Satisfactory PQs**

PQ No.	Question	Description:
1,009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulatory consideration existing ICAO provisions amendments to ICAO Annexes?	
1,025 LEG CE-2 CAP: <input checked="" type="checkbox"/> 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: <input checked="" type="checkbox"/> 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: <input checked="" type="checkbox"/> 100% CAP fully addresses the finding.	Has the State established a policy and procedures for enforcement?	
1,105 LEG CE-3 CAP: <input checked="" type="checkbox"/> 100% CAP fully	Has the State established official inspectorate staff credentials?	

**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](#)

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

		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
<a href="#">Edit</a>	<a href="#">Delete</a>	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
<a href="#">Edit</a>	<a href="#">Delete</a>	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

Language: English State: Futureland

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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 Satisfactory PQs

Change page: 1 2 3 4 5 6 7 8 9 10 Page 1 of 2, items 1 to 5 of 8.

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

### Protocol Finding

Reply to Protocol Question:  Status of Implementation: Not satisfact CSA Audit Finding: LEG/01 SSC:   
 Activity: CSA Audit Start Date: 05/05/2008 End Date: 16/05/2008 Report Publication Date: 15/02/2008  
 Description:

Enter any comments regarding CAP submission/update if required. This is not a necessary field to be completed.

### 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](#)

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

+ Add new record		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
<a href="#">Edit</a>	<a href="#">Delete</a>	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
<a href="#">Edit</a>	<a href="#">Delete</a>	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

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 Satisfactory PQs

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

PQ No.	Question
1,009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 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

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.

CAP fully addresses the finding.

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

Page: 1 of 2

Comments by ICAO HQ:

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

**Self-Assessment** ←

1,105 LEG CE-3 CAP: <input checked="" type="checkbox"/> 100% CAP fully addresses the finding.	Has the State established official inspectorate staff credentials?
--	--

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

+ Add new record		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

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  
SSC: All PQ/Finding No. Clear

**List Of Not Satisfactory PQs**

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

PQ No.	Question	Addressed
1,009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 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: <input checked="" type="checkbox"/> 33.33%	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?	

**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?

Progress Documented:

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 an significant differ qualifying signific

Change page: Page 2 of 2, items 6 to 8 of 8.

**Corrective Action Plan**

Est. Imp. Date: 31/07/2010

Date Comment (CAP update)

**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

**Corrective Action Plan, Acti**

Add new record

Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
	30/07/2010	31/07/2012	23/10/2008	Completed
	23/10/2008	23/10/2008		Completed



# 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.

List Of Not Satisfactory PQs

Change page: 1 2 3  
Show/Hide Extended Question

PQ No.	Description	Progress
1.009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 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: <input checked="" type="checkbox"/> 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: <input checked="" type="checkbox"/> 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: <input checked="" type="checkbox"/> 100% CAP fully addresses the finding.	Has the State established a policy and procedures for enforcement?	
1.105 LEG CE-3 CAP: <input checked="" type="checkbox"/> 100% CAP fully	Has the State established official inspectorate staff credentials?	

## 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.

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](#)

Rich text editor area with formatting tools (bold, italic, underline, link, unlink, list, indent, outdent, undo, redo, print, save, print preview).

[Submit to ICAO](#)

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

+ Add new record		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
<a href="#">Edit</a>	<a href="#">Delete</a>	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
<a href="#">Edit</a>	<a href="#">Delete</a>	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

Language:  State:

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:  Audit Area:  Audit Area Group:  Critical Element:  CAP Review Result:  CAP Review Status:   
 SSC:  PQ/Finding No.:  [Clear](#)

List Of Not Satisfactory PQs

PQ No.	Show/Hide Extend Question
1,009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State amendment of consideration e amendments to
1,025 LEG CE-2 CAP: <input checked="" type="checkbox"/> 33.33% CAP fully addresses the finding.	Has the State e for identifying a ICAO?
1,027 LEG CE-2 CAP: <input checked="" type="checkbox"/> 0% CAP fully addresses the finding.	Does the legisla issuance of exe policy and proce
1,055 LEG CE-1 CAP: <input checked="" type="checkbox"/> 100% CAP fully addresses the finding.	Has the State established a policy and procedures for enforcement?
1,105 LEG CE-3 CAP: <input checked="" type="checkbox"/> 100% CAP fully	Has the State established official inspectorate staff credentials?

**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

Protocol Finding

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

[Submit to ICAO](#)

+ Add new record		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
<a href="#">Edit</a>	<a href="#">Delete</a>	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
<a href="#">Edit</a>	<a href="#">Delete</a>	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 update CAPs

PQ No.	Question
5.001 AIR CE-2 N/S	Has the State promulgated airworthiness regulations to enable the State to implement the airworthiness-related provisions of ICAO Annexes 6, 7, 8 and 16?
5.003 AIR CE-2 S	Has the State issued a comprehensive and detailed national code of airworthiness or adopted and promulgated the code of another State, containing the full scope and extent of details necessary as the basis for the certification/acceptance of individual aircraft?
5.005 AIR CE-2 N/S	Has the State developed and implemented procedures for the amendment of its enabling regulations and national standards?
5.007 AIR CE-2 N/S	Has the State developed and implemented a procedure for identifying and notifying differences, if any, to ICAO?
5.009 AIR CE-2 N/A	If the State has adopted airworthiness regulations from another State, has it established and implemented a procedure for ensuring that these regulations comply with relevant ICAO Annexes initially and on an ongoing basis subsequent to an Annex amendment or an amendment by the originating State?
5.011 AIR CE-2 S	Are copies of the airworthiness enabling regulations (including directives, orders, circulars, publications, etc.) applicable in the State readily available to the public?

1 - Select the PQ to add the CAP.

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

**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
No records to display.							

**Corrective Action Plan** Draft Copy

Est.Imp.Date  Rev. Imp. Date  Date Of Completion  Progress Status 0%

State Comment: 16/12/2011 Save As Draft [Click to Update PQ Status or Attach Evidence](#)

# 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

A screenshot of a web-based form titled 'Corrective Action Plan, Action Items'. The form has a light blue header and a white body. At the top, there is a '+ Add new record' button and a 'Refresh' button. Below this is a table with columns: Step, Proposed Action, Action Office, Evidence Reference, Est. Imp. Date, Rev. Imp. Date, Date of Completion, and Progress. The form fields are: 'Step Number \*' (text input), 'Est. Imp. Date \*' (calendar icon), 'Rev. Imp. Date' (calendar icon), 'Date Of Completion' (calendar icon), and 'Progress Status' (dropdown menu with 'Not started' selected). Below these are 'Action Office \*' (text input), 'Proposed Action \*' (rich text editor with icons for undo, redo, copy, paste, bold, italic, underline), and 'Evidence Reference:' (rich text editor with icons for undo, redo, copy, paste, bold, italic, underline). At the bottom right, there are 'Save As Draft' and 'Close' buttons. At the bottom left, it says '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.

**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 \*:

Evidence Reference:

Save As Draft Close

No records to display.

# How to submit CAPs

Evidence Reference:

Click on this link to provide self assessment and attach evidence

No records to display.

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

Corrective Action Plan

Est.Imp.Date

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

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

5.005  
AIR  
CE-2  
CAP:  
  
0%  
CAP  
fully  
addresses  
the  
finding.

Has the State developed and implemented procedures for the amendment of its regulations and national standards?

Click on "Edit" to provide updates.

5.007  
AIR  
CE-2  
CAP:  
  
0%  
CAP  
fully  
addresses  
the  
finding.

Has the State developed and implemented a procedure for identifying and notifying differences, if any, to ICAO?

Select the PQ to be updated.

5.123  
AIR  
CE-2  
CAP:  
  
0%  
CAP  
fully  
addresses  
the  
finding.

Do the regulations dictate the type, location and measurements of the nationality, common and registration marks to be used on heavier than air aircraft registered in the State?

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.

5.153  
AIR  
CE-2  
CAP:  
  
0%  
CAP  
fully  
addresses  
the  
finding.

Has the State promulgated operations-derived equipment part of the type certification of aircraft?

Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
1	Verify compliance of regulations with Annexes - Action office: SACAA/DOT/SAWS - Estimated Implementation Date: 31 May 2008 Amend regulations to incorporate the amendments of the Annexes. - Action office: SACAA/DOT/SAWS - Estimated Implementation Date: 31 December 2008. Review and adapt the regulations amendment process						Not started
	DOT & Agencies - Estimated Implementation Date: Completed Review liaison with all agencies (SACAA, ATNS, ACSA, SAWS, ICASA, SAR) into the identification and notification of differences and amend procedures to ensure effectiveness. - Action office: DOT & Agencies - Estimated Implementation Date: 30 April 2008 Identify regional differences in Regional Supplementary Procedures and incorporate into South African regulations. - Action office: SACAA, ATNS - Estimated Implementation Date: 31 December 2008. Submitting information to ICAO						

State Comment: 16/12/2011 [Save As Draft](#) [Click to Update PQ Status or Attach Evidence](#)

Draft Copy

# 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**

Corrective Action Plan, Action Items: 16/12/2011

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
1	1. Develop procedure to ensure allocation of aircraft registration like ZS-PAN/SOS etc are not allocated - Action office: GM:AS - Estimated Implementation Date: Completed 2. Amend MOP - Action office: GM:AS - Estimated Implementation Date: Completed 3. MOP Approval - Action office: GM:AS - Estimated Implementation Date: Completed 4. Negotiate allocation of new registration marks iro ZS-PAN - Action office: GM:AS - Estimated Implementation Date: Completed 5. Negotiate allocation of new registration marks iro ZS-SOS - Action office: GM:ASO - Estimated Implementation Date: Completed						Not started

Step Number: 1, Est. Imp. Date: [calendar], ev. Imp. Date: [calendar], Date Of Completion: [calendar]

Progress Status: Not started

Action Office: [dropdown]

Proposed Action: [text area with rich text editor containing the same text as the table above]

Evidence Reference: [text area with rich text editor]

Buttons: Save As Draft, Close

Corrective Action Plan Summary: Est.Imp.Date: [calendar], Rev. Imp. Date: [calendar], Date Of Completion: [calendar], Progress Status: 0%

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

Buttons: Submit to ICAO



# 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.

Corrective Action Plan, Action Items: 16/12/2011

+ Add new record

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
1	1. Develop procedure to ensure allocation of aircraft registration like ZS-PAN/SOS etc are not allocated - Action office: GM:AS - Estimated Implementation Date: Completed 2. Amend MOP - Action office: GM:AS - Estimated Implementation Date: Completed 3. MOP Approval - Action office: GM:AS - Estimated Implementation Date: Completed 4. Negotiate allocation of new registration marks iro ZS-PAN - Action office: GM:AS - Estimated Implementation Date: Completed 5. Negotiate allocation of new registration marks iro ZS-SOS - Action office: GM:ASO - Estimated Implementation Date: 3 April 2008						Not started

Step Number \* 1 Est. Imp. Date \* Rev. Imp. Date Date Of Completion

Progress Status Not started

Action Office \*

Proposed Action \*  
1. Develop procedure to ensure allocation of aircraft registration like ZS-PAN/SOS etc are not allocated - Action office: GM:AS - Estimated Implementation Date: Completed 2. Amend MOP - Action office: GM:AS - Estimated Implementation Date: Completed 3. MOP Approval - Action office: GM:AS - Estimated Implementation Date: Completed 4. Negotiate allocation of new registration marks iro ZS-PAN - Action office: GM:AS - Estimated Implementation Date: Completed 5. Negotiate allocation of new registration marks iro ZS-SOS - Action office: GM:ASO - Estimated Implementation Date: 3 April 2008

Evidence Reference:

Save As Draft Close

Corrective Action Plan Draft Copy

Est.Imp.Date Rev. Imp. Date Date Of Completion Progress Status 0%

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

Submit to ICAO

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!