



ICAO USOAP
Continuous Monitoring Approach

USOAP Continuous Monitoring Approach (CMA) Workshop

Module 4

How to Conduct PQ Self-Assessment and Submit/Update Corrective Action Plans (CAPs)



Objective

The objective of this module is to explain:

1. How to conduct Protocol Questions (PQ) self-assessment; and
2. How to submit and update Corrective Action Plans (CAPs).





Outline

1. How to Conduct PQ Self-Assessment.
2. How to Submit CAPs.
3. How to Update CAPs.
4. Progressive rollout of a new CAP assessment tool





ICAO USOAP
Continuous Monitoring Approach

How to Conduct PQ Self-Assessment





- **PQ Self-Assessment** essentially means that States **answer the Protocol Questions (PQs)** on the CMA Online Framework (OLF) to assess the state of their civil aviation safety oversight systems.
- **Specifically, they:**
 - ✓ Assess the “Status of Implementation” of each PQ (i.e., **Satisfactory, Not Satisfactory** or **Not Applicable**);
 - ✓ Provide “Remarks” to explain “Status”; and
 - ✓ Attach supporting “Evidence”.





- Through the **“Self-Assessment”** tool on the OLF, States can:
 - ✓ Indicate/update the status of implementation of each PQ;
 - ✓ Submit supporting evidence;
 - ✓ Conduct internal self-audits;
 - ✓ Prepare for ICAO USOAP CMA activities; and
 - ✓ Monitor their own civil aviation safety oversight systems.





- As a priority, States' PQ self-assessment exercise should focus on:
 - ✓ “Not Satisfactory” PQs from previous USOAP activity;
 - ✓ New PQs introduced through PQ amendments (classified as “undetermined PQs”);
 - ✓ Amended PQs which impact implementation status of PQs; and
 - ✓ PQs whose implementation status may have changed due to changes in States' aviation system, regulations and/or procedures.





After Self-Assessment...



- ICAO uses the results of a State's completed self-assessment to prepare for CMA activities.
- Through the CMA activities, ICAO reviews and validates a State's self-assessment to determine the latest level of effective implementation (EI) of State's safety oversight system.
- ICAO will periodically revise the PQs in order to reflect amendments made to the referenced documents.
- It is important for States to always refer to the stated versions of the referenced documents.





How to Conduct PQ Self-Assessment?

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

- Click the “Self-Assessment” icon.





Conducting PQ Self-Assessment

State Dashboard ▾ Self-Assessment ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Electronic Filing of Differences (EFOD) ▾ User Management ▾ Reports ▾ Feedback ▾

Self-Assessment / Manage State Self-Assessment

Activity: All | ICAO Status of Impl.: All | Self-Assessment Status of Impl.: All | Audit Area: LEG | AA Group Type: All | AA Group: All

Critical Element: All | CE Group: All | SSC: All | Is PPQ: All | Is Draft: All | Reply to PQ: All

Has Attachments: All | Attachments Out Of Date: All | New Prot. Status: All | PQ No.: []

[Clear] [Search]

Switch to Compliance | Switch to SSP

Use the filter box to select the correct options in order to obtain the desired PQ list.

PQ No.	Question	Start Date	End Date	Publish Date	End Date For State Comments	MIR ID No.
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation to enable it to address its obligations under the Chicago Convention?					
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	08/05/2017	18/05/2017	19/10/2017		
1.007 LEG CE-2 S	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annexes?					
1.009 LEG CE-2 S	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?					
1.011 LEG CE-5 S	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily 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 Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?					
1.015 LEG CE-1 S	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?					
1.019 LEG CE-1 N	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?					

Activity: CMA Audit

Description: [Translate](#) Source Language: English

Civil aviation Act 2009 (Act No13 of 2009) Here and after referred to as Civil Aviation Act;
The Air Services Licensing Act 1990;
The Carriage of Air Act 1946 (Act No 17 of 17 of 1946);
These Acts together comprise the Primary Aviation Legislation.

Progress Documented: [Translate](#) Source Language: English

Evidence: [Translate](#) Source Language: English

Civil aviation Act 2009 (Act No13 of 2009) Here and after referred to as Civil Aviation Act;
The Air Services Licensing Act 1990;





State Dashboard ▾ Self-Assessment ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Electronic Filing of Differences (EFOD) ▾ User Management ▾ Reports ▾ Feedback ▾

Self-Assessment / Manage State Self-Assessment

Select ICAO Status of Implementation

Activity: All ▾
Critical Element: All ▾
Has Attachments: All ▾

ICAO Status of Implementation: All ▾
Self-Assessment Status of Impl.: All ▾
Audit Area: LEG ▾
AA Group Type: All ▾
AA Group: All ▾

SSC: All ▾
Is PPO: All ▾
Is Draft: All ▾
Reply to PQ: All ▾

New Prot. Status: All ▾
PQ No.:
Clear Search

Switch to Compliance Switch to SSP

Status of Implementation by ICAO

CMA 2020 Protocols as of Year 2020

Activity: CMA Audit ▾

States preparing for an ICVM should conduct a self-assessment on all “not satisfactory” PQs of selected audit area(s).

Select the option “Not satisfactory” to view the full list of “not satisfactory” PQs in the selected audit area.

PQ No.	Question	Language
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation to enable it to address its obligations under the Chicago Convention?	English
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	English, Spanish, French, Russian
1.007 LEG CE-2 S	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annexes?	English, Spanish, French, Russian
1.009 LEG CE-2 S	Has the State established a process for amending its specific operating regulations or, if not, primary aviation legislation, taking into account, among others, ICAO provisions and the...?	English
1.011 LEG CE-5 S	Does the State make the primary aviation specific operating regulations, directives, circulars, publications, etc. readily available to the public?	English
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 Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?	English, Spanish, French, Russian
1.015 LEG CE-1 S	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English, Spanish, French, Russian
1.019 LEG CE-1 N	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English, Spanish, French, Russian

Description: Translate Source Language: English ▾
Civil aviation Act 2009 (Act No13 of 2009) Here and after referred to as Civil Aviation Act;
The Air Services Licensing Act 1990.

Evidence: Translate Source Language: English ▾
Civil aviation Act 2009 (Act No13 of 2009) Here and after referred to as Civil Aviation Act;
The Air Services Licensing Act 1990;





State Dashboard ▾ Self-Assessment ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Electronic Filing of Differences (EFOD) ▾ User Management ▾ Reports ▾ Feedback ▾

Self-Assessment / Manage State Self-Assessment

Select ICAO Status of Implementation

Activity: All ▾
Critical Element: All ▾
Has Attachments: All ▾

ICAO Status of Impl.: All ▾
Audit Area: LEG ▾
AA Group Type: All ▾
AA Group: All ▾

SSC: All ▾
Is PPQ: All ▾
Is Draft: All ▾
Reply to PQ: All ▾

New Prot. Status: All ▾
PQ No.:
Clear Search

Switch to Compliance Switch to SSP

States preparing for an audit should conduct a self-assessment on all PQs.

Select the option "All" to view all PQs.

PQ No.	Question	Language	Start Date	End Date	Publish Date	End Date For State Comments	MIR ID No.
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation to enable it to address its obligations under the Chicago Convention?	English	08/05/2017	18/05/2017	19/10/2017		
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	English Español Français Русский					
1.007 LEG CE-2 S	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Chicago Convention Annexes?	English Español Français Русский					
1.009 LEG CE-2 S	Has the State established a process for the introduction/adoption and subsequent promulgation of specific operating regulations or, if necessary, the primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский					
1.011 LEG CE-5 S	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	English Español Français Русский					
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 Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?	English Español Français Русский					
1.015 LEG CE-1 S	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский					
1.019 LEG CE-1 N	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English Español Français Русский					

The Carriage of Air Act 1946 (Act No 17 of 17 of 1946; These Acts together comprise the Primary Aviation Legislation.

Progress Documented Translate Source Language: English ▾

Evidence Translate Source Language: English ▾

Civil aviation Act 2009 (Act No13 of 2009) Here and after referred to as Civil Aviation Act; The Air Services Licensing Act 1990;

CMA 2020 Protocols as of Year 2020

Activity: CMA Audit ▾





State Dashboard ▾ Self-Assessment ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Electronic Filing of Differences (EFOD) ▾ User Management ▾ Reports ▾ Feedback ▾

Self-Assessment / Manage State Self-Assessment

Activity: All | ICAO Status of Impl.: All | Self-Assessment Status of Impl.: All | Audit Area: LEG | AA Group Type: All | AA Group: All

Critical Element: All | CE Group: All | SSC: All | Is PPQ: All | Is Draft: All | Reply to PQ: All

Has Attachments: All | Attachments Out Of Date: All | New Prot. Status: All | PQ No.: | Clear Search

Switch to Compliance | Switch to SSP

PQ No.	Question	Language
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation to enable it to address its obligations as a signatory to the Chicago Convention?	English Español Français Русский
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	English Español Français Русский
1.007 LEG CE-2 S	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annex 1?	English Español Français Русский
1.009 LEG CE-2 U	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.011 LEG CE-5 S	Does the State make the primary aviation regulations, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	English Español Français Русский
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 Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?	English Español Français Русский
1.015 LEG CE-1 S	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский
1.019 LEG CE-1 N	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English Español Français Русский
1.023	Does the primary aviation legislation provide for the	English

Status of Implementation by ICAO CMA 2020 Protocols as of Year 2020

Status of Implementation by ICAO

PQ No.: 1.009 | Reply to PQ: Yes | ICAO Status of Impl.: Not satisfactory | CSA Finding: LEG2 | SSC: | Activity: CMA Audit

Start Date: 08/05/2017 | End Date: 18/05/2017 | Publish Date: 19/10/2017 | End Date For State Comments: | MIR ID No.:

Description: [Translate](#) Source Language: English

The [redacted] its regulations as needed, and

a) [redacted] the implementation of the provisions

b) some existing differences have not yet been identified and notified to ICAO; and

c) not all significant differences have been published in the Aeronautical Information Publication (AIP) of Futureland.

Progress Documented: [Translate](#) Source Language: English

Evidence: [Translate](#) Source Language: English





Conducting PQ Self-Assessment

PQ No.	Question	Language
1.001 100 10-1 5	Has the State promulgated primary aviation legislation to enable it to address its obligations as a signatory to the Chicago Convention?	English Arabic Russian French Spanish
1.002 100 10-1 5	Does the primary aviation legislation provide for the introduction/revision and subsequent amendment of specific operating regulations?	English Arabic Russian French Spanish
1.003 100 10-2 5	Has the State established a regulatory system to enable the timely development of specific operating regulations?	English Arabic Russian French Spanish
1.004 100 10-2 5	Has the State published a set of specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Arabic Russian French Spanish
1.011 100 10-5 5	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	English Arabic Russian French Spanish
1.012 100 10-5 5	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of Director General (DG)/Chief Executive Officer (CEO) (ICAO)?	English Arabic Russian French Spanish
1.013 100 10-1 5	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Arabic Russian French Spanish
1.014 100 10-1 5	If the State has transferred safety oversight responsibilities to a State regional or supranational organization, is there an appropriate legal basis for the transfer?	English Arabic Russian French Spanish
1.015 100 10-5 5	Does the primary aviation legislation provide for the issuance of additional binding instruments, such as orders and directives, in support of safety oversight activities?	English Arabic Russian French Spanish
1.025 100 10-2 5	Has the State established procedures for identifying and resolving to ICAO differences between ICAO SARPs and its legislation and practices, if any?	English Arabic Russian French Spanish

States conduct their Self-Assessment in the area named "Result of State Self-Assessment-Read/Write".

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

Self-Assessment Status of Impl. Last Modified
 Satisfactory 05/10/2023 [Click To View PDF](#)

Remarks: Source Language
 English

Subpart 3 of Part 11 of the Civil Aviation Regulations provides for the procedure for the amendment of Civil Aviation Regulations. Furthermore, the ICAO Issues and State Letter Management, read with the Regulation Development Procedure deal with the process for the speedy amendment of Civil Aviation Regulations following an amendment of ICAO Annex.

Evidence: Source Language
 English

Part 11 Subpart 3 of the Civil Aviation Regulations
 LE002 CARCom Procedure
 LE004 Regulation Development Procedure
 GO007 ICAO issues and State letter management Procedure





Conducting PQ Self-Assessment

PQ No.	Question	Language
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation to enable it to address its obligations as a signatory to the Chicago Convention?	English Español Français Русский
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	English Español Français Русский
1.007 LEG CE-2 S	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annexes?	English Español Français Русский
1.009 LEG CE-2 U	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.011 LEG CE-5 S	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	English Español Français Русский
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 Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?	English Español Français Русский
1.015 LEG CE-1 S	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский
1.019 LEG CE-1 N	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English Español Français Русский
1.023 LEG CE-1 S	Does the primary aviation legislation provide for the issuance of additional binding instruments, such as orders and directives, in support of safety oversight activities?	English Español Français Русский
1.025 LEG CE-2 S	Has the State established procedures for identifying and notifying to ICAO differences between ICAO SARPs and its legislation and practices, if any?	English Español Français Русский

Status of Implementation by ICAO CMA 2020 Protocols as of Year 2020

Status of Implementation by ICAO

PQ No. 1.009 Reply to PQ Yes ICAO Status of Impl. Not satisfactory CSA Finding LEG2 SSC Activity CMA Audit

Start Date 08/05/2017 End Date 18/05/2017 Publish Date 19/10/2017 End Date For State Comments MIR ID No.

Description Translate Source Language English

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 Document Translate Source Language English

Evidence Translate Source Language English

Subpart 3 of Part II of the CARs;
LE 004 Regulation Development Procedure;
LE 002 CARCOM Procedure;

First refer to ICAO's comments from previous activity in the Description field.

Click "Translate" button to obtain a Google translation of text into desired ICAO language.





Viewing Guidance and References - Example

PQ No.	Question
4.223 OPS 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:

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

- Reference

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

Review Evidence & Reference

i Review Evidence:
1) Verify implementation of operations inspectors' procedures as part of the certification process. 2) Sample air operator's training manuals. 3) 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. A





Viewing CAP

To view CAP of related PQ, click “Click To View CAP” link on the right. OR

PQ No.	Question	Language
2.100 PEL CE-2 S	Has the State promulgated specific operating regulations to transpose the provisions of Annex 1?	English Español Français Русский
2.103 PEL CE-2 S	In addition to the promulgated regulations, has the Licensing Authority issued orders, directions and/or instructions in support of its personnel licensing activities?	English Español Français Русский
2.104 PEL CE-2	Does the State ensure the timely transposition of provisions of Annex 1 into its legal framework?	English Español Français Русский
2.105 PEL CE-2 S	Has the State implemented procedures for amending its specific PEL regulations, taking into consideration ICAO provisions and their amendments?	English Español Français Русский
2.107 PEL CE-2 S	Has the State implemented procedures for identifying and notifying differences if any, to ICAO?	English Español Français Русский

Executive aviation infrastructure:
Personnel Licensing Org. Chart:
CI A. Attachment 001 and 01C.

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

Self-Assessment Status of Item: Satisfactory Last Modified: 05/10/2023 [Click To View CAP](#)

Remarks: Translate Source Language: English

A structure has been approved. PEL includes Examinations, Training (Part 141), Licensing and Testing Standards

Scroll to bottom of page to view CAP inside “Corrective Action Plan” box.

CE-3 U	for personnel licensing?	Français Русский
3.103 PEL CE-3 S	Are the functions and responsibilities of the personnel licensing office clearly defined?	English Español Français Русский
3.105 PEL CE-3 U	Have job descriptions been established for technical personnel and key management personnel of the personnel licensing office?	English Español Français Русский
3.109 PEL CE-3 U	Does the personnel licensing office have sufficient human resources to carry out its functions and mandate?	English Español Français Русский

New Attachment details
Select the file you want to upload and use the 'Upload Files' button to upload the selected file:

Corrective Action Plan





Conducting PQ Self-Assessment

For “Not Satisfactory” PQs, review the “Description” and “Progress Documented” under the “Status of Implementation by ICAO” toolbar.

The screenshot displays the ICAO USOAP interface. On the left, a table lists various PQs with their IDs, questions, and languages. Two rows are highlighted with green arrows pointing to the right. The right-hand side shows a detailed view of a specific PQ, PQ 1.009, which is marked as 'Not satisfactory' with a 'LEG2' finding. The 'Status of Implementation by ICAO' section is expanded, showing the 'Description' and 'Progress Documented' fields. The description text reads: '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:'. The progress documented field contains: 'Subpart 3 of Part II of the CARs; LE 004 Regulation Development Procedure; I.E. ...'. The interface also includes fields for Start Date, End Date, Publish Date, and End Date For State Comments, along with a 'Translate' button and a 'Source Language' dropdown menu set to 'English'.





Conducting PQ Self-Assessment

PQ No.	Question	Language
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation to enable it to address its obligations as a signatory to the Chicago Convention?	English Français Español
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	English Français Español
1.007 LEG CE-2 S	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annexes? Has the State established a process for	English Français Español
1.023 LEG CE-1	Does the primary aviation legislation provide for the issuance of additional binding instruments, such as orders and directives, in	English Français Español

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

Self-Assessment Status of Impl. Modified: 2/2023 [Click To View CME](#)

Remarks: Source Language: English

Subpart 3 of Part 11 of the Civil Aviation Regulations provides for the procedure for the amendment of Civil Aviation Regulations. Furthermore, the ICAO Issues and State Letter Management, read with the Regulation Development Procedure deal with the process for the speedy amendment of Civil Aviation Regulations following an amendment of ICAO Annex.

Indicate the State's status of implementation for the said PQ.

- "Satisfactory" means that the State has complied with all the guidance requirements of the PQ.
- "Not satisfactory" applies when State has not fully complied with any of the guidance requirements of the PQ.
- "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).





Providing Remarks...

Use the guidance in the “Review Evidence & References” box to prepare and compose “Remarks” to explain “Status of Implementation”.

In the “Remarks” box, provide one sentence to describe progress of implementation for each guidance element outlined in “Review Evidence & References”.

1.011 LEG CE-5 S	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	English Español Français Русский	Yes	Satisfactory	19/10/2023	LINK TO VIEW CAP
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 Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?	English Español Français Русский	<p>Remarks:*</p> <ul style="list-style-type: none"> 1. CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f), describes requirements for air operators to establish an ACAS programme. 2. Inspector guidance is detailed in Operation inspector Manual, chapter 4, section 2 3. The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1, detail the certification process 			
1.015 LEG CE-1 S	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский	<p>Evidence:</p> <ul style="list-style-type: none"> 1. CAA-AC-OPS050 Contents of an Operations Manual Section 9.3.2(f) includes the CAA requirements. 2. Operation inspector manual, chapter 4, section 2 3. The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1 			
1.019 LEG CE-1 N	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English Español Français Русский				
1.023 LEG CE-1 S	Does the primary aviation legislation provide for the issuance of additional binding instruments, such as orders and directives, in support of safety oversight activities?	English Español Français Русский				

Page size: 10 | Displaying page 1 of 3, items 1 to 10 of 24
Page: 1 of 3





Providing Remarks...

Points to keep in mind when providing “Remarks”:

- The State should provide “Remarks” to explain the reason for the “Status of Implementation” (Satisfactory/Not satisfactory/Not applicable) of the pertinent PQ.
- The “Remarks” should respond, point-by-point and in a single sentence, to each of the corresponding guidance elements found in “Review Evidence & References”.
- If supporting evidence is attached, the State should provide detailed references, such as chapter, page, paragraph, etc.





Providing Evidence...

If necessary, provide/attach evidence to support corresponding "Remarks" and guidance elements.

PQ No.	Question	Language	Process Documented	Translate	Source Language	English
1.007	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annexes?	English			English	
1.009	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English			English	
1.011	Does the State make the primary aviation	English			English	
1.013	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English			English	
1.019	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English			English	
1.023	Does the primary aviation legislation provide for the issuance of additional binding instruments, such as orders and directives, in support of safety oversight activities?	English			English	

Subpart 3 of Part II of the CARs;
LE 004 Regulation Development Procedure;
LE 002 CARCOM Procedure;

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

Reply to PQ: Yes Self-Assessment Status of Impl.: Satisfactory Last Modified: 19/10/2023 [Click To View CAP](#)

Include document name and specific reference(s).
For large documents, include detailed references to chapters, sections, pages, etc.

3. The Air Operator Certification Manual Chapter 10, and checklist in Appendix 1, detail the certification process

Evidence: [Translate](#) Source Language: English

- 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





Completing PQ Self-Assessment

Evidence: [Translate](#) Source Language: [English](#) ▾

- 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

Existing Attachments
The attachment you want to use already exists, no need to re-upload the attachment, just simply use the 'Attachments Manager' feature below to attach an already existing file. This avoids...

[Attachments Manager](#)

Upload New Attachments
The attachment you want to upload does not exist in the system. To upload a new attachment, follow these steps:

- Step 1.** Use the 'Select' button to open the file selection window. Supported file formats are PDF, XPS, PPTX and DOCX;
- Step 2.** Use the 'Upload Files' button to upload the selected file. Do not upload zero file size files.
- Step 3.** Save your work using the 'Save as Draft' button.
- Step 4.** (Optional) You can use the 'Submit to ICAO' button to submit the assessment.

New Attachment details
Select the file you want to upload.

[Select](#)

[Upload Files](#)

[Refresh File Attachments](#)

[Save as Draft](#) [Submit to ICAO](#)

Copies of references to be attached for each item of evidence.

Click "Attachments Manager" to attach an already existing file.

Click "Select" to open window and select file for upload.

Click "Upload Files" to upload.

Until self-assessment is completed, save your work using the button "Save as Draft".

Once self-assessment is fully completed, click "Submit to ICAO".





Re-using Existing Attached Evidence

File Attachments Manager

Current PQ No.
1.009

Question
Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?

Review Evidence

- 1) Review the established process for evaluating amendments to all Annexes and for the need to amend specific operating regulations or, if necessary, the primary legislation.
- 2) Verify that the process includes all applicable steps and timelines, including the necessary coordination between the relevant technical and legal experts when necessary.

Note to the auditor:

Re-use Existing Attachments
The Attachments Manager allows to re-use already existing attachments and link them to the current protocol question, simply link the attachment to the current protocol question. This avoids to re-upload an attachment multiple times which can be time consuming;

- Step 1.** Find the desired attachment from the 'State Uploaded Files' list
- Step 2.** Click on the 'Move' link (right almost column of 'State Uploaded Files' column) in order to move the file to the 'Selected Files' table;
- Step 3.** Save your work by clicking on the 'Submit' button;

File name/PQ No. Search Pattern: Start Name Partial File name Ignore upper case and lower case

The current PQ number and the question itself will appear to which we want to attach the document.

Custom Drop Zone
Drop Files Here

SelectFileAttachment.aspx?ProtocolFindingID=2744002





Re-using Existing Attached Evidence

File Attachments Manager

Step 3. Save your work by clicking on the 'Submit' button;

File name: Search Pattern: Start Name Partial File name Ignore upper case and lower case

State Uploaded Files **First** **Prev** **Next** **Last** Page: 1/249

FileName	File Date	Created On	Created By	Modified On	Modified By	Action
004-2021.pdf	30 Mar 2017	09 Apr 2013	Admin			Link to PQ Replace Delete for all PQs
8.063						
005-2015.pdf	24 Apr 2017	19 Mar 2015	Admin			Link to PQ Replace Delete for all PQs
3.015						
0272244260 JA VAN ZYL.pdf	03 May 2017	14 Dec 2023	Futureland NCMC			Link to PQ Replace Delete for all PQs
1.025.3.259						
06_AIG_2020+PQ_Rev_FULL+(en)_23+Mar+2021.docx	14 Dec 2023	14 Dec 2023	Futureland NCMC			Link to PQ Replace Delete for all PQs
6.007						
07_ANS_2020+PQ_Rev+K_FULL+(en)_23+Mar+2021.docx	14 Dec 2023	14 Dec 2023	Futureland NCMC			Link to PQ Replace Delete for all PQs
6.007						

Selected Files

FileName	File Date	Created On	Created By	Modified On	Modified By	Action
No items to view						

SelectFileAttachment.aspx?ProtocolFindingID=1855503

A list of all existing evidences attached appears at the lower left corner.





Re-using Existing Attached Evidence

File name Search Pattern: Start Name Partial File name Ignore upper case and lower case Clear Search

Use the "Search" tab to find specific files by file name.

State Uploaded Files First Prev Next Last Page:1/249

FileName	File Date	Created On	Created By	Modified On	Modified By	Action
004-2021.pdf	30 Mar 2017	09 Apr 2013	Admin			Link to PQ Replace Delete for all PQs
8.063						

Selected Files

FileName	File Date	Created On	Created By	Modified On	Modified By	Action
1. GM - Introduction.pdf	14 Jan 2021	15 Jan 2024	Futureland NCMC			Unlink from PQ Replace Delete for all PQs
1.009.4.043.6.001						
2. GM-AER-INSPECTION(GM Regarding inspection's activity	09 Sep 2021	10 Apr 2013	Admin			Unlink from PQ Replace Delete for all PQs

Select an attachment and click on the "Link to PQ" link to link the attachment to the selected PQ.

Select an attachment and click on the "Replace" link to replace the outdated warning message.

Select an attachment and click on the "Delete for all PQs" link to remove the attached evidence from all PQs.

More than one attachment can be actioned using this method.

Delete the chosen attachment from the "Selected Files" tab by clicking the "Unlink from PQ" link.

Select an attachment and click on the "Replace" link to remove the outdated warning message.

Select an attachment and click on the "Delete for all PQs" link to remove the attached evidence from all PQs.

More than one attachment can be actioned using this method.

6.007

Click on "Submit" to attach the selected evidence file(s).

Submit Close





Re-using Existing Attached Evidence

Attach Evidence

Existing Attachments
 The attachment you want to use already exists, no need to re-upload the attachment, just simply use the 'Attachments Manager' feature below to attach an already existing file. This avoids to re-upload an attachment multiple times which can be time consuming.
[Attachments Manager](#)

Upload New Attachments
 The attachment you want to use needs to be uploaded, just simply follow the following 3 steps:
Step 1. Use the 'Select' button to select new file attachments, limited to 10 files and maximum of 20 MB per file, the following file extension formats are accepted: PDF,XPS,PPTX and DOCX;
 **Step 2.** Use the 'Upload Files' button to upload files, depending of the size of the files selected and the internet speed, this can take some time to process; please do not upload zero file size
Step 3. Save your work using either the 'Save as Draft' button or the 'Submit to ICAO' button or the 'Submit Attachment' button when offline mode is active;
Step 4. (Optional) You can use the 'Refresh File Attachments' button to refresh the list of uploaded attachments.

New Attachment details
 Select the file you want to upload and use the 'Upload Files' button to upload the selected file:

The attached evidence file will automatically appear on the PQ.

File Name	Size (bytes)	Uploaded Date	Outdated	Actions
 005-2015.pdf	127,833	24/04/2017		Replace Delete

Save this action by clicking on "Save as Draft" if more work needs to be done.

Submit to ICAO when finished.





Outdated Attached Evidence

PQ No.	Question	Language
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation to enable it to address its obligations as a signatory to the Chicago Convention?	English Español Français Русский
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	English Español Français Русский
1.007 LEG CE-2 NS	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annexes?	English Español Français Русский
1.009 LEG CE-2 NS	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.011 LEG CE-5 S	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	English Español Français Русский
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 Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?	English Español Français Русский
1.015 LEG CE-1 NS	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский
1.019 LEG CE-1 NS	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English Español Français Русский

Status of Implementation by ICAO CMA 2020 Protocols as of Year 2020

Status of Implementation by ICAO

PQ No. 1.001	ICAO Status of Impl. Satisfactory	CSA Finding	SSC <input type="checkbox"/>	Activity CMA Audit
Start Date 01/12/2023	End Date	Publish Date	End Date For State Comments	MIR ID No.

Description [Translate](#) Source Language English

Some text here ...

Progress Documented [Translate](#) Source Language English

Evidence [Translate](#) Source Language English

Some text here ...

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

Outdated attached evidence warning message appears when ICAO publishes new activity results





Outdated Attached Evidence

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 Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?	English Español Français Русский
1.015 LEG CE-1 NS	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский
1.019 LEG CE-1 NA	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English Español Français Русский
1.023 LEG CE-1 S	Does the primary aviation legislation provide for the issuance of additional binding instruments, such as orders and directives, in support of safety oversight activities?	English Español Français Русский
1.025 LEG CE-2 NS	Has the State established procedures for identifying and notifying to ICAO differences between ICAO SARPs and its legislation and practices, if any?	English Español Français Русский

Page size: 10 Displaying page 1 of 3 , items 1 to 10 of 23
Page: 1 of 3 1 2 3

Upload Files

File Name	Size (bytes)	Uploaded Date	Outdated	Actions
PQ 1.001 - Exhibit 7 -.pdf	1,534,866	27/02/2023	!	Replace Delete
PQ 1.001 - Exhibit 8 .docx	33,531	27/02/2023	!	Replace Delete
PQ 1.001 - Exhibit 9 -.pdf	5,502,992	27/02/2023	!	Replace Delete
PQ 1.011 - Exhibit 1c - Transportation of Dangerous Goods Act.pdf	10,551,668	30/01/2023	!	Replace Delete
PQ 1.011 - Exhibit 1d - Civil Air Navigation Services Commercialization Act	433,373	27/01/2023	!	Replace Delete
PQ 1.011 - Exhibit 1e - Department of Transport Act 1985.pdf	152,486	27/01/2023	!	Replace Delete
PQ1.001 Exhibit 1.docx	492,135	16/01/2023	!	Replace Delete
PQ1.001 Exhibit 2.docx	33,706	16/01/2023	!	Replace Delete
PQ1.001 Exhibit 3.docx	3,136,354	16/01/2023	!	Replace Delete

Reviewed without change

[Refresh File Attachments](#)

[Save as Draft](#)

[Submit to ICAO](#)

Corrective Action Plan
▼

To review evidence without change and remove the outdated attached evidence warning message **on all attached evidence on the list**, simply select the checkbox: 'Reviewed without change' and click 'Save as Draft' or 'Submit to ICAO'.



Example of Completed Self-Assessment

Evidence: [Translate](#) Source Language: English

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

Attach Evidence

Existing Attachments
The attachment you want to upload is already existing file. This is a duplicate. [Attachments Manager](#)

Upload New Attachments
The attachment you want to upload is not existing file.
Step 1. Use the 'Select' button to select the file you want to upload. Supported file types are PDF, XPS, PPTX and DOCX.
Step 2. Use the 'Upload' button to upload the file. Do not upload zero file size files.
Step 3. Save your work to save the draft.
Step 4. (Optional) You can add a comment to the attachment.

New Attachment details
Select the file you want to upload.

Helpful Tips in Revising/Updating “Remarks”



- Copy the original “Remarks” text to a MS WORD document or a plain text editor.
- Revise/update the original text as required.
- In the “Remarks” box, add the date of submission.
- Below the date, add the subject matter in **CAPITAL LETTERS**.
- Copy and Paste the revised/updated text into the “Remarks” box.
- Click “Save as Draft” to save your work.





Under “Self-Assessment” tab, scroll down and select “Export Protocol Self-Assessment Checklist”.

State Dashboard ▾ **Self-Assessment** ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Mandatory Information Requests (MIR) ▾

PQ Findings / Manage State Self-Assessment

Export Protocol Self-Assessment Checklist

Import Protocol Self-Assessment Checklist

View Mode: Live mode - Public

Audit Area: LEG

Audit Area Group: All

Critical Element Group: All

SSC: All

New Protocol Status: All

State Acceptance: All

Clear Search

List Of Not Satisfactory PQs

PQ No.	Question	Language
1.151	Has the State ratified Article 83 bis of the Chicago Convention and modified the primary aviation legislation	English

Protocol Finding

PQ No.	Reply to PQ
1.151	





To view all PQs, Click **“All Protocols”**.

i The export feature is utilized for the completion of the self-assessment protocol questions offline.

Warning: The Unlock feature should only be used to unlock the self-assessment when the original exported document has been lost or there is no need to import the document back into the OLF. The result of unlocking an exported document causes the exported file to become obsolete and cannot be imported into the OLF.

! The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native “docx” file format when saving. The exported file should not be merged or modified.

Data Cycle Type

Regular All Protocols DPPQOnly Protocols status based on last ICAO activity S NS NA UDT

	Code	Description	Ref. Language	Is Locked	Export User	Exported User Email	Export Date	Last Imported File Name	Last Imported On	Last Imported By	Imported User Email
<input type="checkbox"/>	LEG	Primary Aviation Legislation and Specific Operating Regulations	English	<input type="checkbox"/>							
<input type="checkbox"/>	ORG	Civil aviation organization	English	<input type="checkbox"/>							
<input type="checkbox"/>	PEL	Personnel licensing and training	English	<input type="checkbox"/>							
<input type="checkbox"/>	OPS	Aircraft operations	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIR	Airworthiness of aircraft	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIG	Aircraft accident and incident investigation	English	<input type="checkbox"/>							
<input type="checkbox"/>	ANS	Air navigation services	English	<input type="checkbox"/>							
<input type="checkbox"/>	AGA	Aerodromes and ground aids	English	<input type="checkbox"/>							





To view all PQs, Click “PPQ Only”.

i The export feature is utilized for the completion of the self-assessment protocol questions offline.

Warning: The Unlock feature should only be used to unlock the self-assessment when the original exported document has been lost or there is no need to import the document back into the OLF. The result of unlocking an exported document causes the exported file to become obsolete and cannot be imported into the OLF.

! The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native “docx” file format when saving. The exported file should not be merged or modified.

Data Cycle Type
Regular

All Protocols PPQOnly Protocols status based on last ICAO activity S NS NA UDT

	Code	Description	Ref. Language	Is Locked	Export User	Exported User Email	Export Date	Last Imported File Name	Last Imported On	Last Imported By	Imported User Email
<input type="checkbox"/>	LEG	Primary Aviation Legislation and Specific Operating Regulations	English	<input type="checkbox"/>							
<input type="checkbox"/>	ORG	Civil aviation organization	English	<input type="checkbox"/>							
<input type="checkbox"/>	PEL	Personnel licensing and training	English	<input type="checkbox"/>							
<input type="checkbox"/>	OPS	Aircraft operations	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIR	Airworthiness of aircraft	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIG	Aircraft accident and incident investigation	English	<input type="checkbox"/>							
<input type="checkbox"/>	ANS	Air navigation services	English	<input type="checkbox"/>							
<input type="checkbox"/>	AGA	Aerodromes and ground aids	English	<input type="checkbox"/>							





Exporting Self-Assessment Checklist — “by ICAO PQ status”

To view “Satisfactory”, “Not Satisfactory”, “Not Applicable” and “Undetermined” PQs only, click “Protocols status based on last ICAO activity” and select the PQ status.

Warning: The Unlock feature should only be used to unlock the self-assessment when the original exported document has been lost or there is no need to import the document back into the OLF. The result of unlocking an exported document causes the exported file to become obsolete and cannot be imported into the OLF.

The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native “docx” file format when saving. The exported file should not be merged or modified.

Data Cycle Type

Regula

PPQOnly Protocols status based on last ICAO activity S NS NA UDT

	Code	Description	Ref. Language	Is Locked	Export User	Exported User Email	Export Date	Last Imported File Name	Last Imported On	Last Imported By	Imported User Email
<input type="checkbox"/>	LEG	Primary Aviation Legislation and Specific Operating Regulations	English	<input type="checkbox"/>							
<input type="checkbox"/>	ORG	Civil aviation organization	English	<input type="checkbox"/>							
<input type="checkbox"/>	PEL	Personnel licensing and training	English	<input type="checkbox"/>							
<input type="checkbox"/>	OPS	Aircraft operations	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIR	Airworthiness of aircraft	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIG	Aircraft accident and incident investigation	English	<input type="checkbox"/>							
<input type="checkbox"/>	ANS	Air navigation services	English	<input type="checkbox"/>							
<input type="checkbox"/>	AGA	Aerodromes and ground aids	English	<input type="checkbox"/>							





To view PQs of a particular audit area (one area at a time), check box next to selected audit area.

The export feature is utilized for the completion of the self-assessment protocol questions online.

Warning: The Unlock feature should only be used to unlock the self-assessment when the original exported document has been lost or there is no need to import the document back into the OLF. The result of unlocking an exported document causes the exported file to become obsolete and cannot be imported into the OLF.

The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native "docx" file format when saving. The exported file should not be merged or modified.

Data Cycle Type
 All Protocols OPPQOnly Protocols status based on last ICAO activity S NS NA UDT

	Code	Description	Ref. Language	Is Locked	Export User	Exported User Email	Export Date	Last Imported File Name	Last Imported On	Last Imported By	Imported User Email
<input type="checkbox"/>	LEG	Primary Aviation Legislation and Specific Operating Regulations	English	<input type="checkbox"/>							
<input type="checkbox"/>	ORG	Civil aviation organization	English	<input type="checkbox"/>							
<input type="checkbox"/>	PEL	Personnel licensing and training	English	<input type="checkbox"/>							
<input type="checkbox"/>	OPS	Aircraft operations	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIR	Airworthiness of aircraft	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIG	Aircraft accident and incident investigation	English	<input type="checkbox"/>							
<input type="checkbox"/>	ANS	Air navigation services	English	<input type="checkbox"/>							
<input type="checkbox"/>	AGA	Aerodromes and ground aids	English	<input type="checkbox"/>							





Once PQ selection type is made, click **“Submit”** to download file.

The export feature is utilized for the completion of the self-assessment protocol questions online.

Warning: The Unlock feature should only be used to unlock the self-assessment when the original exported document has been lost or there is no need to import the document back into the OLF. The result of unlocking an exported document causes the exported file to become obsolete and cannot be imported into the OLF.

The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native “docx” file format when saving. The exported file should not be merged or modified.

Data Cycle Type
Regular

All Protocols
 PPOOnly
 Protocols status based on last ICAO activity
 S
 NS
 NA
 UDT

	Code	Description	Ref. Language	Is Locked	Export User	Exported User Email	Export Date	Last Imported File Name	Last Imported On	Last Imported By	Imported User Email
<input type="checkbox"/>	LEG	Primary Aviation Legislation and Specific Operating Regulations	English	<input type="checkbox"/>							
<input type="checkbox"/>	ORG	Civil aviation organization	English	<input type="checkbox"/>							
<input type="checkbox"/>	PEL	Personnel licensing and training	English	<input type="checkbox"/>							
<input type="checkbox"/>	OPS	Aircraft operations	English	<input type="checkbox"/>							
<input type="checkbox"/>											
<input type="checkbox"/>											
<input type="checkbox"/>											
<input type="checkbox"/>											

 Wait a few seconds for the file to download, depending on the Internet speed. **DO NOT** press the **“Submit”** button twice.





Exporting Self-Assessment Checklist

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. The 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”





Exporting Self-Assessment Checklist

Self-Assessment / Export Protocol Self-Assessment Checklist

i The export feature is utilized for the completion of the self-assessment protocol questions offline.

Warning: The Unlock feature should only be used to unlock the self-assessment when the original exported document has been lost or there is no need to import the document back into the OLF. The result of unlocking an exported document causes the exported file to become obsolete and cannot be imported into the OLF.

! The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native "docx" file format when saving. The exported file should not be merged or modified.

Data Cycle Type

Regular

All Protocols PPQOnly Protocols status based on last ICAO activity S NS NA UDT



	Code	Description	Ref. Language	Is Locked	Export User	Exported	Export Date	Last Imported File	Last Imported On	Last Imported By	Imported
<input type="checkbox"/>	LEG	Primary Aviation Legislation and Specific Operating Regulations	English	<input type="checkbox"/>							
<input type="checkbox"/>	ORG	Civil aviation organization	English	<input checked="" type="checkbox"/> Unlock	Futurelan						
<input type="checkbox"/>	PEL	Personnel licensing and training	English	<input checked="" type="checkbox"/> Unlock	Futurelan						
<input type="checkbox"/>	OPS	Aircraft operations	English	<input checked="" type="checkbox"/> Unlock	Futurelan						
<input type="checkbox"/>	AIR	Airworthiness of aircraft	English	<input type="checkbox"/>							
<input type="checkbox"/>	AIG	Aircraft accident and incident investigation	English	<input type="checkbox"/>							
<input type="checkbox"/>	ANS	Air navigation services	English	<input type="checkbox"/>							
<input type="checkbox"/>	AGA	Aerodromes and ground aids	English	<input type="checkbox"/>							

“Unlock” exports that will not be re-imported into the system

[Refresh](#) [Submit](#) [Export to Excel](#)





Once PQ selection type is made, click **“Export to Excel”** to download file.

The export feature is utilized for the completion of the self-assessment protocol questions online.

Warning: The Unlock feature should only be used to unlock the self-assessment when the original exported document has been lost or there is no need to import the document back into the OLF. The result of unlocking an exported document causes the exported file to become obsolete and cannot be imported into the OLF.

The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native “docx” file format when saving. The exported file should not be merged or modified.

Data Cycle Type
Regular

All Protocols
 PPOOnly
 Protocols status based on last ICAO activity
 S
 NS
 NA
 UDT

	Code	Description	Ref. Language	Is Locked	Export User	Exported User Email	Export Date	Last Imported File Name	Last Imported On	Last Imported By	Imported User Email
<input type="checkbox"/>	LEG	Primary Aviation Legislation and Specific Operating Regulations	English	<input type="checkbox"/>							
<input type="checkbox"/>	ORG	Civil aviation organization	English	<input type="checkbox"/>							
<input type="checkbox"/>	PEL	Personnel licensing and training	English	<input type="checkbox"/>							
<input type="checkbox"/>	OPS	Aircraft operations	English	<input type="checkbox"/>							
<input type="checkbox"/>											
<input type="checkbox"/>											
<input type="checkbox"/>											
<input type="checkbox"/>											

Wait a few seconds for the file to download, depending on the Internet speed. **DO NOT** press the **“Submit”** button twice.



Refresh Submit **Export to Excel**





Exporting Self-Assessment Checklist in Excel

Audit Area	PQ Number	CE Code	Is PPQ	PQ Question	Reference	Review Evidence
LEG	1.001	CE-1	True	Has the State promulgated primary aviation legislation to enable it to address its obligations as a signatory to the Chicago Convention?	CC Part I STD A19 3.2.1.1 GM Doc 9734 Part A, C3	1) Confirm title, date of promulgation and last amended all primary aviation legislation. 2) Verify that the content of the primary aviation legislation is consistent, sufficient (addressing all audit areas) and properly organized.
LEG	1.005	CE-1	True	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	CC Part I STD A19 3.2.1.1 GM Doc 9734 Part A, C3	Verify that provisions allow for the introduction/adoption of specific operating regulations and at least cover all the areas of PEL, OPS (including dangerous goods), AI and AGA.
LEG	1.007	CE-2	True	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annexes?	CC Art. 37 STD A19 3.2.1.1 & 3.2.2 GM Doc 9734 Part A, C3	Verify that: a) The rulemaking process includes all applicable steps in conformance with the State's legal system, as well as timelines for the various steps; b) the procedures or other means of compliance required for current specific operating regulations repeal previous operating regulations, if required; and c) all relevant entities (safety oversight entities/investigative authority) are included in the process (during the development and/or consultation) for PEL-OPS (including dangerous goods).

The Self-Assessment export in Excel format is a Read-Only file, it **cannot be re-imported** on the OLF. This is a convenient work file.





Under “Protocol Question (PQ)” tab, scroll down and select “Import Protocol Self-Assessment Checklist”.

State Dashboard ▾ Self-Assessment ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Mandatory Information Requests (MIR) ▾

PQ Findings / Manage Manage State Self-Assessment
Export Protocol Self-Assessment Checklist
Import Protocol Self-Assessment Checklist

View Mode
Live

Critical Element Group: All
SSC: All
New Protocol Status: All
Audit Area: LEG
Audit Area Group: All
State Acceptance: All

Clear Search

List Of Not Satisfactory PQs

PQ No.	Question	Language
1.151	Has the State ratified Article 83 bis of the Chicago Convention and modified the primary aviation legislation	English

Protocol Finding

PQ No.	Reply to PQ
1.151	





Importing Self-Assessment Checklist

Click **“Select”** to open a window and select file to be imported.

Browse and Select PQ file to import

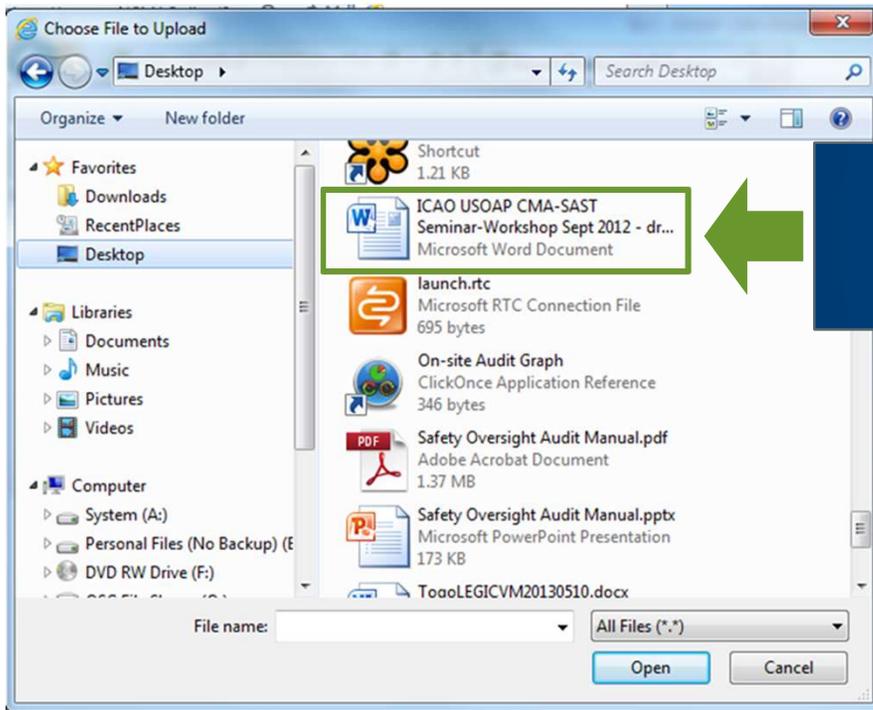
Custom Drop Zone
Drop Files Here

Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist Override all duplicated exported document for the same activity





Importing Self-Assessment Checklist

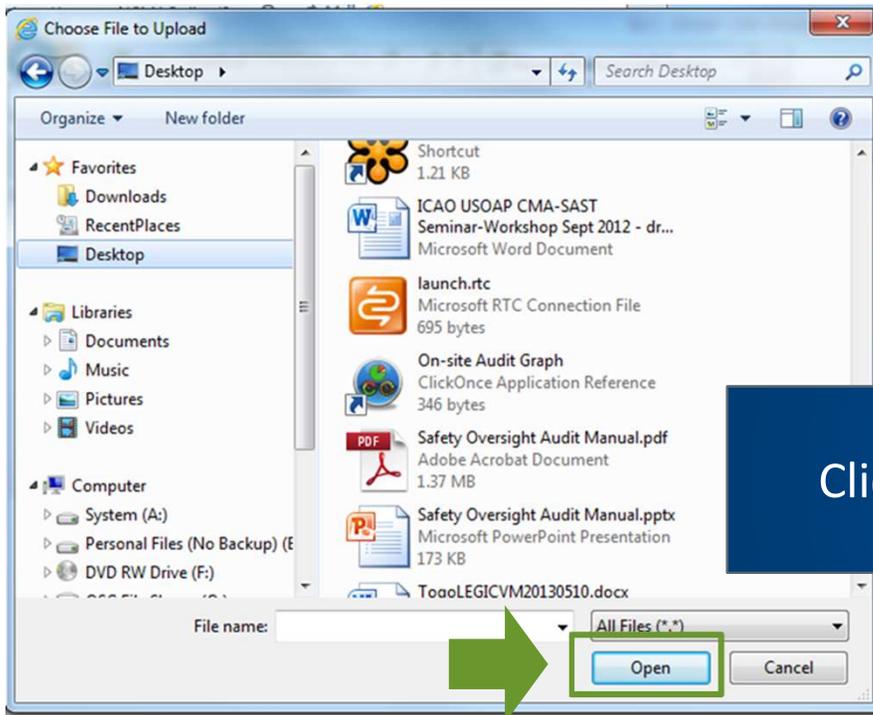


Select the file to be imported





Importing Self-Assessment Checklist



Click "Open" to import the file.





Importing Self-Assessment Checklist

Self-Assessment / Import Protocol Self-Assessment Checklist

The Import feature is utilized to import Self-Assessment protocol questions that have been documented offline, if you select the 'Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist' option, the audit area will be kept locked for future imports.
Only Audit Area marked as 'Is Locked' can be imported.

The exported document requires Microsoft Word 2010 on a Windows based platform. Please ensure the document remains in its native ".docx" file format when saving. The exported file should not be merged or modified.

Data Cycle Type
Regular

Code	Description	Ref. Language	Is Locked	Export User	Export Date	Last Imported On	Last Imported By
LEG	Primary Aviation Legislation and Specific Operating Regulations		<input type="checkbox"/>				
ORG	Civil aviation organization	English	<input checked="" type="checkbox"/>	Futureland Student	19/10/2023		
PEL	Personnel licensing and training	English	<input checked="" type="checkbox"/>	Futureland Student	19/10/2023		
OPS	Aircraft operations	English	<input checked="" type="checkbox"/>	Futureland Student	19/10/2023		
AIR	Airworthiness of aircraft		<input type="checkbox"/>				
AIG	Aircraft accident and incident investigation		<input type="checkbox"/>				
ANS	Air navigation services		<input type="checkbox"/>				
AGA	Aerodromes and ground aids		<input type="checkbox"/>				

Remove "Lock" on files when importing back into system.

Browse and Select PQ file to import

Custom Drop Zone
Drop Files Here

Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist Override all duplicated exported document for the same activity





Importing Self-Assessment Checklist

Once filename appears above the "Select" field, click "Submit".

The screenshot shows a web interface for importing a file. A green box highlights the 'Browse and Select PQ file to import' section, which includes a file name 'FuturelandPELSelfAssessment20...', a 'Remove' link, an empty text input field, and a 'Select' button. A green arrow points from the right towards this section. Below this is a large green 'Custom Drop Zone' with the text 'Drop Files Here'. At the bottom, there are two checkboxes: one checked for 'Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist' and one unchecked for 'Override all duplicated exported document for the same activity'. A green arrow points from the bottom right towards a 'Submit' button, which is also highlighted with a green box.





Export/Import Self-Assessment Checklist

Points to keep in mind when exporting/importing files:

- If exported files are to be used solely for information purposes, make sure to manually **Unlock** the file after exporting.
- **Do NOT** make any modifications to the structure of the document, entering information **ONLY** in the prescribed areas.



Changing the document structure will prevent you from importing the said file back into OLF.

- **Better NOT** change the document name.
- Once all work on the document is completed, make sure to uncheck the “**Import the Self-Assessment draft results to the OLF and maintain the lock on said checklist**” button or **Unlock** the Self-Assessment checklist.





How to Submit CAPs





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

- It is required by the USOAP MOU.
- It ensures that States fully address PQ findings.
- CAP updates allow States to report the level of progress made.
- It enables ICAO to determine the next course of action.





➔ States are required to:

- Provide a CAP that fully addresses the PQ Finding
(Refer to the “Six Criteria for a Good CAP” in slide no. 53);
- Submit to ICAO the progress made in implementation of each CAP; and
- Once CAP is fully implemented, attached the relevant evidence.





Responsibility of ICAO

→ ICAO is required to:

- Provide feedback on the acceptability of the submitted CAP (i.e. “CAP does not address the Finding”, “CAP partially addresses the finding”, “CAP fully addresses the finding”, and others);
- Provide status of CAP review (i.e. “not started” or “in progress” or “completed”); and
- Verify if a completed CAP that was submitted meets the 3 requirements for validation.





Six Criteria for a Good CAP (“RCDSRC”)

- **Relevant:** CAP addresses the issues and requirements related to the finding and corresponding PQ and CE.
- **Comprehensive:** CAP is complete and includes all elements or aspects associated with the finding.
- **Detailed:** CAP outlines implementation process using step-by-step approach.
- **Specific:** CAP identifies who will do what, when and in coordination with other entities, if applicable.
- **Realistic:** In terms of contents and implementation timelines.
- **Consistent:** In relation to other CAPs and with the State’s self-assessment.





How to Submit CAPs

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

- Click the “CAP” icon.





How to Submit CAPs

→ States are required to submit:

- Effective CAPs; and
- Provide regular CAP progress as required by the MOU.





→ States must ensure that their submitted CAPs :

- Fully address PQ findings;
- Are relevant, clear, detailed and comprehensive;
- Have realistic target implementation dates; and
- Work systematically towards implementing corrective actions.





How to Submit CAPs

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: **Select View Mode**
 Live mode - Public
 Preview mode - NCMC only
 Live mode - Public

Activity: A
 CAP Review: A

Audit Area: LEG
 CAP Progress: All
 Attachments Out Of Date: All

Is PPQ: All
 Has Attachments: All

PQ No.

List Of Not Satisfactory PQs

PQ No.	Question	Language
1.009 LEG CE-2 CAP: -1%	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.015 LEG CE-1 CAP: -1%	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский

Page size: 10 | Displaying page 1 of 1, item 1 to 3 of 3
 Page: 1 of 1

Protocol Finding

PQ No. 1.009

Reply to PQ: Yes

Not satisfactory

Activity: CMA Audit
 Start Date: 08/05/2017
 End Date: 18/05/2017
 Report Publication Date: 19/10/2017

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

Est. Imp. Date	Rev. Imp. Date	Completed Date

Review "Description" and "Progress Documented" for pertinent PQ finding from previous USOAP activity.

"Preview mode" vs "Live mode"





How to Submit CAPs

PQ No.	Question	Language
1.009 LEG CE-2 CAP: 75%	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.015 LEG CE-1 CAP: -1%	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский

Page size: 10 of 10
Displaying page 1 of 1, items 1 to 3 of 3
Page: 1 of 1

Provide a realistic **“Estimated Implementation Date (EID)”** for each step of the CAP.

Enter the completion date when the CAP is completed.

Enter CAP in a step-by-step format, describing the action and responsible action office per step in clear, concise term.



Corrective

Est. Imp. Date: 30/12/23

State CAP

Change Log

An evidence has to be present and not being outdated to set the CAP status progress to 'Complete'

+ Add new record 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		30/12/2023	30/03/2024	30/03/2024	
2	In order to improve understanding and awareness by all persons involved in identifying and	Ministry of Transport		30/11/2023	30/12/2023		75% complete





How to Submit CAPs

PQ No.	Question	Language
1.009 LEG CE-2 CAP: <input checked="" type="checkbox"/> 75%	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.015 LEG CE-1 CAP: <input type="checkbox"/> -1%	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский

Page size: 10 of 10
Displaying page 1 of 1, items 1 to 3 of 3
Page: 1 of 1

Corrective Action Plan

Est. Imp. Date: 30/12/2023 Rev. Imp. Date: 30/03/2024 Completed Date: 30/03/2024 Progress Status 87.5%

State CAP: 19/10/2023 [Click to Update PQ Status or Attach Evidence](#)

Comments

Enter comments on CAP submission/update in **“State Comments”** box, if necessary. Completion of this field is optional.

	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	30/12/2023	30/03/2024	30/03/2024	Completed	<input type="checkbox"/>	<input type="checkbox"/>
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting...	Ministry of Transport		30/11/2023	30/12/2023		75% complete	<input type="checkbox"/>	<input type="checkbox"/>





How to Submit CAPs

PQ No.	Question	Language
1.009 LEG CE-2 CAP: 75%	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.015 LEG CE-1 CAP: -1%	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский

Corrective Action Plan

Est. Imp. Date: 30/12/2023 Rev. Imp. Date: 30/03/2024 Completed Date: 30/03/2024 Progress Status: 87.5%

State CAP: 19/10/2023 [Click to Update PQ Status or Attach Evidence](#)

Scroll down to the bottom of the page and click on "Self-Assessment" box only).

Submit to ICAO even if action is not 100% completed so that ICAO can monitor the progress

Provide any changes impacting the PQ self-assessment and attach evidence as necessary

1.015 LEG CE-1 CAP: -1%	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский
----------------------------------	---	---

Page size: 10 Displaying page 1 of 1, items 1 to 3 of 3

Page: 1 of 1

Self-Assessment





How to Submit CAPs: Example

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Public
 Activity: All
 Audit Area: LEG
 AA Group Type: All
 Critical Element Group: All
 CAP Review Result: All
 CAP Progress: All
 ICAO CAP Status: All
 Is PPO: All
 Has Attachments: All
 Attachments Out Of Date: All
 Is Linked To MIR: All
 PQ No.:
 CAPs Qualified PQs Qualified Search

List Of Not Satisfactory PQs

PQ No.	Question	Language
1.009	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Pycckий

Protocol Finding

PQ No. 1.009

Implementation Status: Not satisfactory

Start Date: 08/05/2017

Reference: GM Doc 9760 Part II, 4.7.4.4 d); Part IV. 5.4

Review Evidence & Reference

Review Evidence:
Review examples of actions taken.

Note. — If surveillance of reliability programmes is not conducted, this PQ is automatically Not Satisfactory.

Reference:
GM
Doc 9760
Part II, 4.7.4.4 d)
Part IV, 5.4

Action Plan

Rev. Imp. Date: 30/03/2024
 Completed Date: 30/03/2024
 Progress Status 87.5%

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 a degraded level of safety?

Guidance
 Review examples of actions taken.
Note. — If surveillance of reliability programmes is not conducted, this PQ is automatically **Not Satisfactory**.

Reference
 GM Doc 9760 Part II, 4.7.4.4 d); Part IV. 5.4





How to Submit CAPs: Example

Corrective Action Plan (CAP) / Manage Corrective Action Plan

View Mode: Live mode - Public
Activity: All
Audit Area: LEG
AA Group Type: All
Audit Area Group: All
Critical Element: All

Critical Element Group: All
Is PPQ: All
PQ No.:

CAPs Qualified PQs Qual

“Description” and “Progress Documented” by ICAO:

PQ No.	Question	Language
1.009 LEG CE-2 CAP: 75%	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.015 LEG CE-1 CAP: -1%	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский

Page size: 10
Displaying page 1 of 1, items 1 to 3 of 3

Protocol Finding

CMA 2020 Protocols as of Year 2020

PQ No. 1.009

Replay to PQ: Yes
Implementation Status: Not satisfactory
CSA Audit Finding: LEG2
SSC:

Activity: CMA Audit
Start Date: 08/05/2017
End Date: 18/05/2017
Report Publication Date: 19/10/2017

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

Est. Imp. Date: 30/12/2023
Rev. Imp. Date: 30/03/2024
Completed Date: 30/03/2024
Progress Status 87.5%





Example of Completed CAP

Corrective Action Plan, Action Items: 19/10/2023

Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
1	Programme AIR participation in all future reliability meetings held by the air operators.	AID		25/6/2023			Completed
2	Collect and analyse existing reports from reliability monitoring.	AID		13/7/2023			Completed
3	Establish a process to ensure the initiation of special evaluation or imposition of operational restrictions in cases of degraded level of safety.	AID		11/10/2023			25%
4	Define possible operational restrictions to be taken.	AID		11/10/2023			Not started



Corrective Action Plan, Action Items: 19/10/2023

Change Log

! An evidence has to be present and not being outdated to set the CAP status progress to 'Complete'

+ 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	30/12/2023	30/03/2024	30/03/2024	Completed	<input type="checkbox"/>	<input type="checkbox"/>
Edit	Delete	2	In order to improve understanding and awareness by all persons involved in identifying and reporting...	Ministry of Transport		30/11/2023	30/12/2023		75% complete	<input type="checkbox"/>	<input type="checkbox"/>





How to Add New 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 PQ for which a new CAP is to be added.

2 - Click "Add new record".

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
No records to display.							

Refresh





How to Add New CAPs

Fill in the following fields:

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

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: Translate Source Language: English							
Proposed Action: Translate Source Language: English							
Evidence Reference: Translate Source Language: English							





How to Add New CAPs

Fill in the following fields:

- **Proposed Action:** Make sure 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 the CAP action item**
- **Close:** To cancel changes and return to the previous page.

+

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: Translate Source Language: English							
Proposed Action: Translate Source Language: English							
Evidence Reference: Translate Source Language: English							
SAVE CLOSE							





How to Add New CAPs

Corrective Action Plan

Est. Imp. Date Rev. Imp. Date

State CAP [Click to Update PQ Status or Attach Evidence](#)

**Provide additional comments, if necessary.
This field is optional.**

Change Log

Click this link to provide self-assessment and attach evidence.



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





How to Update CAPs





How to Update CAPs

Corrective Action Plan, Action Items: 19/10/2023

Select the PQ whose CAP is to be revised/updated.

PQ No.	Question	Language
1.009 LEG CE-2 CAP: 75%	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Español Français Русский
1.015 LEG CE-1 CAP: -1%	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Español Français Русский

Click "Edit" to revise/update CAPs.

Step	Proposed Action	Action Office	Evidence Reference	Est.Imp.Date	Rev. Imp. Date	Date of Completion	Progress
1	The procedure approved.						
2	In order to improve understanding and awareness by all persons involved in identifying and reporting...	Ministry of Transport		30/11/2023	30/12/2023		75% complete





How to Update CAPs

Fill in the following fields:

- **Step number:** A CAP may have several steps based on complexity of action. Each action will require a separate step to facilitate 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 entered.
- **Date of Completion:** The date when the action was completed should be entered.
- **Progress status**
- **Action office**

The screenshot shows a web interface for updating a CAP. The top header includes the title 'The procedure "National Consultation Process for International Regulations" has Ministry of Transport' and a table with dates: 30/12/2023, 30/03/2024, 30/03/2024, and 'Completed'. The main form area is divided into sections:

- Step Number:** A text input field containing '1'.
- Est. Imp. Date:** A date picker showing '30/12/'.
- Rev. Imp. Date:** A date picker showing '30/03/'.
- Date Of Completion:** A date picker.
- Progress Status:** A dropdown menu showing '50% complete'.
- Action Office:** A section with a 'Translate' button, 'Source Language' dropdown set to 'English', and a text input field containing 'Ministry of Transport'.
- Proposed Action:** A section with a 'Translate' button, 'Source Language' dropdown set to 'English', and a rich text editor containing the text 'The procedure "National Consultation Process for International Regulations" has been revised and approved.'
- Evidence References:** A section with a 'Translate' button, 'Source Language' dropdown set to 'English', and a rich text editor containing the text 'National Consultation Process for International Regulations'.

At the bottom of the form are 'SAVE' and 'CLOSE' buttons. Green boxes and arrows highlight the fields mentioned in the list on the left.





How to Update CAPs

Fill in the following fields:

- **Updated Proposed Action:** Make sure to provide a proposed action item for each corresponding step.
- **Evidence Reference:** Each reference should be precise and detailed (with chapter, section, paragraph, etc.).
- **Save the CAP action item**
- **Close:** To cancel changes.
- **Submit to ICAO:** When all steps are fully edited and ready for submission.

The screenshot shows a web-based form for updating a Corrective Action Plan (CAP). At the top, it identifies the procedure as 'National Consultation Process for International Regulations' for the 'Ministry of Transport', with a completion status of 'Completed'. The form includes several input fields: 'Step Number' (1), 'Est. Imp. Date' (30/12/2023), 'Rev. Imp. Date' (30/03/2024), 'Date Of Completion', and 'Progress Status' (50% complete). There are sections for 'Action Office' (Ministry of Transport) and 'Proposed Action' (The procedure "National Consultation Process for International Regulations" has been revised and approved.). A 'Corrective Action Plan' section contains 'Est. Imp. Date' (30/12/2023), 'Rev. Imp. Date' (30/03/2024), 'Completed Date' (30/03/2024), and 'Progress Status' (87.5%). A green callout box with a white background and black text states: 'Note.— Evidence may be attached using the instructions mentioned previously.' A 'Submit to ICAO' button is located at the bottom right of the form, highlighted with a green arrow. The footer of the form reads 'Corrective Action Plan, Action Items: 19/10/2023'.





Progressive rollout of a new CAP assessment tool on the OLF

Purpose: Improve workflow efficiency and visibility of CAP progress
(Ref. Doc 9735 5th Edition, Appendix E)





CAP Assessment

Progressive rollout: Activated on a State-by-State basis by ICAO

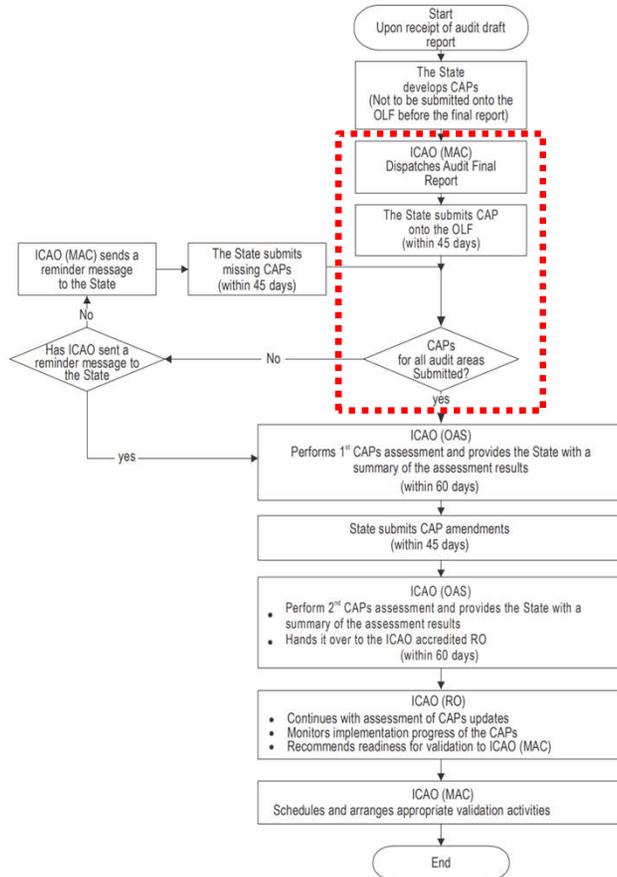
The screenshot shows a web application interface for the CAP Assessment Dashboard. The breadcrumb trail is: Corrective Action Plan (CAP) / CAP Assessment Dashboard / Manage CAP Request Review State. The table below lists various states with two columns of actions: 'Action' and 'Transfer'. The 'Action' column contains 'TO ACTIVATE' buttons, which are highlighted with a blue dashed border. The 'Transfer' column contains 'TRANSFER CAPS TO RO' buttons.

State	Action	Transfer
Afghanistan	TO ACTIVATE	TRANSFER CAPS TO RO
Albania	TO ACTIVATE	TRANSFER CAPS TO RO
Algeria	TO ACTIVATE	TRANSFER CAPS TO RO
Andorra	TO ACTIVATE	TRANSFER CAPS TO RO
Angola	TO ACTIVATE	TRANSFER CAPS TO RO
Anguilla	TO ACTIVATE	TRANSFER CAPS TO RO
Antigua and Barbuda	TO ACTIVATE	TRANSFER CAPS TO RO
Argentina	TO ACTIVATE	TRANSFER CAPS TO RO
Armenia	TO ACTIVATE	TRANSFER CAPS TO RO
Aruba	TO ACTIVATE	TRANSFER CAPS TO RO



CAP Assessment

1. 1st CAP submission/assessment (On-time submission by State)



timeline	ICAO HQ (CMC)	State (NCCM)
Final report (F)	<ul style="list-style-type: none"> CMC to activate the OLF CAP feature after delivering the final report (to ask OSU) 	<ul style="list-style-type: none"> Input CAP in each finding PQ on the OLF (using the same current feature)
F + 45Days	<ul style="list-style-type: none"> CMC to confirm with every State the completion of CAP submission (E-mail), in every audited area having N/S PQs. CMC receives State's confirmation of CAP submission (E-mail) 	<ul style="list-style-type: none"> NCCM confirms the completion of CAP submission. ("Request Review" push) Request review: State cannot amend & export CAPs OLF will inform (E-mail) CMC and NCCM of the activation of "Request Review".
Request Review + 5Days	<ul style="list-style-type: none"> PQ #: OLF -> Report -> CAP progress CMC to push "Start Review" on the OLF. It means that ICAO is in assessment. ICAO (CMC) to consider this State as a priority to allocate CAP resources. (60 Days) 	<ul style="list-style-type: none"> NCCM will be informed (message displayed on screen) on the OLF that CMC has pushed "Start Review" button



NCMC to request CAP 1st review to ICAO HQ

State Dashboard ▾ Self-Assessment ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Mandatory Information Requests (MIR) ▾ User Management ▾ Reports ▾ Feedback ▾ USOAP Data Exchange ▾

Audit Area	Locked	# of CAPS required	# of CAPs fully addresses the finding	# of CAPs available for review request	# of CAPs not submitted	Requested Review Date	ICAO Review Status
<input type="checkbox"/> PEL	Unlock	2	1	1	0	15 January 2024	Not started
<input checked="" type="checkbox"/> AIR		3	1	1	1		
<input checked="" type="checkbox"/> AIG		3	0	1	2		
<input type="checkbox"/> ANS		1	0	0	1		
<input type="checkbox"/> AGA		2	0	0	2		

REQUEST REVIEW

ICAO CMC to start CAP 1st review

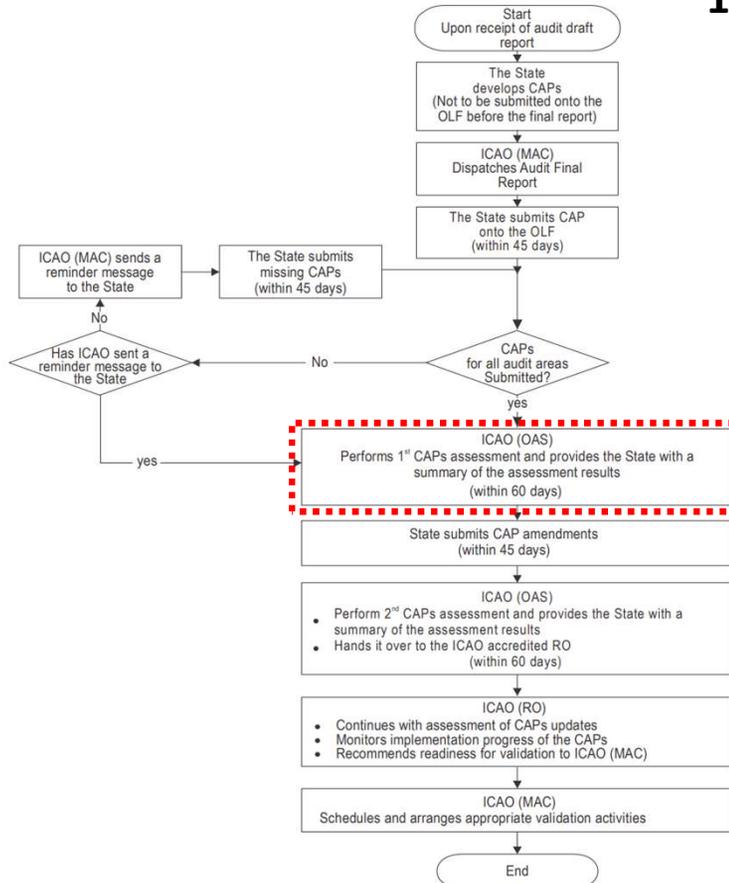
State Dashboard ▾ Self-Assessment ▾ Corrective Action Plan (CAP) ▾ Mandatory Information Requests (MIR) ▾ CMA Activity Management ▾ Activity Planning User Management ▾ Tools ▾ Reports ▾ Protocol Management ▾ SSC ▾ Quality Management ▾ Feedback ▾ System Administration ▾

Audit Area	# of CAPS required	# of CAPs fully addresses the finding	# of CAPs available for review request	# of CAPs not submitted	Requested Review Date	ICAO Review Status	ICAO Completed Review Date
<input type="checkbox"/> PEL	2	1	1	0			
<input type="checkbox"/> AIR	3	1	1	1			
<input type="checkbox"/> AIG	3	0	1	2			
<input type="checkbox"/> ANS	1	0	0	1			
<input type="checkbox"/> AGA	2	0	0	2			



CAP Assessment

1. 1st CAP submission & assessment (On-time submission by State)



timeline	ICAO HQ (CMC)	State (NCMC)
Task assignment (T) + 30 Days	<ul style="list-style-type: none"> SPOs/TOs to work on and finish assigned CAP assessments on the OLF 	<ul style="list-style-type: none"> NA
T + 30Days + 10Days	<ul style="list-style-type: none"> CMC to extend 10 days on CAP assessment tasks, if necessary. 	<ul style="list-style-type: none"> NA
Every CAP task finished + 15 Days	<ul style="list-style-type: none"> CMC to do quality check on OLF or OLF downloaded doc. Revise/refine assessments, if needed. (OLF) 	<ul style="list-style-type: none"> NA
	<ul style="list-style-type: none"> Close 1st assessment on OLF. Push "finish review" on OLF. CMC to Write an E-mail to NCMC with summarized feedback and next due date for 2nd CAP submission (+45Days) 	<ul style="list-style-type: none"> "Finish review" will be informed to NCMC by E-mail.
	<ul style="list-style-type: none"> If all CAPs are fully addressing the finding, all CAPs will be delivered to RO. CMC to push "transfer CAPs to RO" on the OLF Each RO DRD will be informed on the OLF and by E-mail CMC informs NCMC that CAPs has been transferred to RO. 	<ul style="list-style-type: none"> NCMC will be informed that the coordination counterpart for CAPs has been transferred from ICAO HQ to RO by E-mail. NCMC can see the RO transfer status on the CAP dashboard



CAP Assessment

ICAO CMC to finish 1st review

English | Sierra Leone | English

State Dashboard | Self-Assessment | Corrective Action Plan (CAP) | Mandatory Information Requests (MIR) | CMA Activity Management | Activity Planning | Electronic Filing of Differences (EFOD) | User Management | Tools | Reports | Protocol Management

Corrective Action Plan (CAP) / CAP Assessment Dashboard / CAP Request Review

Corrective Action Plan

Activity Type: CMA Audit | Start Date: 29 Jan 2014 | End Date: 05 Feb 2014

Requested Review Date: 16 Feb 2024 | ICAO Review Status: In progress | ICAO Review Started Date: 16 Feb 2024 | ICAO Responsible Office: ICAO Head Office

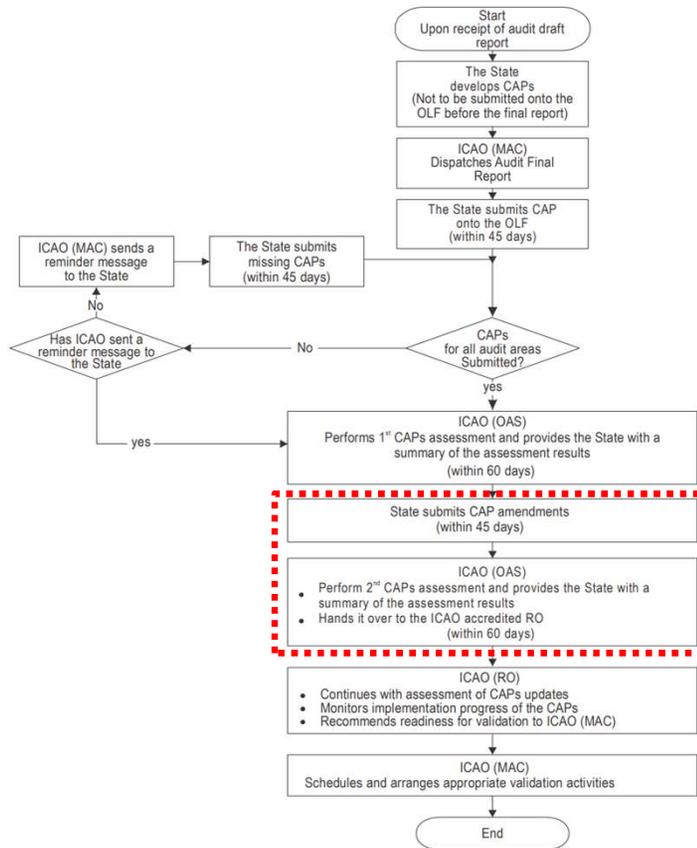
Completed Submission	Audit Area	# of CAPs required	# of CAPs fully addresses the finding	# of CAPs available for review request	# of CAPs not submitted	Caps submitted Date	Outdated ICAO Review
<input checked="" type="checkbox"/>	LEG	1	1	0	0	16 Feb 2024	0
<input checked="" type="checkbox"/>	PEL	24	11	0	0	16 Feb 2024	0
<input checked="" type="checkbox"/>	OPS	11	5	0	0	16 Feb 2024	0
<input checked="" type="checkbox"/>	AIR	16	9	0	0	16 Feb 2024	0
<input checked="" type="checkbox"/>	AIG	49	42	0	0	16 Feb 2024	0
<input checked="" type="checkbox"/>	ANS	30	8	0	0	16 Feb 2024	0
<input checked="" type="checkbox"/>	AGA	18	15	0	0	16 Feb 2024	0

FINISH REVIEW



CAP Assessment

2. 2nd CAP submission (On-time submission by State)



timeline	ICAO HQ (CMC)	State (NCMC)
2 nd CAP submission due date	<ul style="list-style-type: none"> CMC to confirm with State the completion of 2nd CAP submission of <u>every audited area</u>. 	<ul style="list-style-type: none"> NCMC manage/confirm input on 2nd CAPs on the OLF Push "Request Review" on the OLF
Request Review + 5Days	<ul style="list-style-type: none"> CMC to push "Start Review" on the OLF. ICAO (CMC) to consider this State as a priority to allocate CAP resources. (60 Days) 	<ul style="list-style-type: none"> NCMC will be informed (message displayed on screen) on the OLF that CMC has pushed "Start Review" button
Task assignment (T) + 30 Days	<ul style="list-style-type: none"> SPOs/TOs to work on and finish assigned CAP assessments on the OLF 	<ul style="list-style-type: none"> NA
T + 30Days + 10Days	<ul style="list-style-type: none"> CMC to extend 10 days on CAP assessment tasks, if necessary. 	<ul style="list-style-type: none"> NA
Every CAP tasks finished + 15 Days	<ul style="list-style-type: none"> CMC to check quality on OLF. Revise/refine assessments, if needed. Close 2nd CAP assessment. Push "Review finished" on OLF. Hand over every CAP to RO. Push "transfer CAPs to RO" Write an E-mail to NCMC with summarized feedback. CMC to inform RO. 	<ul style="list-style-type: none"> NA "Review Finished" will be informed to NCMC by E-mail. NCMC will be informed that the coordination counterpart for CAPs has been transferred from ICAO HQ to RO by E-mail. NCMC can see the RO transfer status on the CAP dashboard



CAP Assessment Dashboard

CAP assessment results – visible for State and ICAO CMC

State Dashboard ▾ Self-Assessment ▾ PQ Findings ▾ Corrective Action Plan (CAP) ▾ Mandatory Information Requests (MIR) ▾ User Management ▾ Reports ▾ Feedback ▾ USOAP Data Exchange ▾

Corrective Action Plan (CAP) / CAP Assessment Dashboard / CAP Submission Monitoring Dashboard

CAP Submission Monitoring Dashboard

[SUMMARY OF ASSESSMENTS](#) [STATUS BY CAP](#)

CAP Info		State Responsibility		# Request Review	ICAO Responsibility	
PQ #	Area	Status			Status	Result
+ 3.605	PEL	Submitted		1	Completed	CAP fully addresses the finding.
+ 3.801	PEL	Submitted		1	Completed	CAP fully addresses the finding.
- 5.215	AIR	Submitted		2	Completed	CAP partially addresses the finding.

CAP Assessment History

#	Requested Review Date	ICAO Reviewed Date	ICAO Reviewed Date
+ 1	15/02/2024	15/02/2024	CAP partially addresses the finding.
- 2	01/03/2024	15/02/2024	CAP partially addresses the finding.

Corrective Action Plan

Est. Imp. Date: 15-02-2024
 Rev. Imp. Date:
 Completed Date:

Comment: test111 - update test

Step	Proposed Action	Action Office	Evidence Refere...	Est.Imp.Date	Rev. Imp. Date	Date of Comple...
1	test1	test1	test1	15/02/2024		

ICAO Review

Responsible Office for CAP Assessment: ICAO Head Office

CAP Review Result: CAP partially addresses the finding. CAP Status: Not started

Comments by ICAO: first review

+ 5.561	AIR	Submitted		1	Completed	CAP fully addresses the finding.
+ 5.563	AIR	Submitted		2	Completed	CAP not submitted to address finding.
6.007	AIG	Not Submitted		0	Not received	



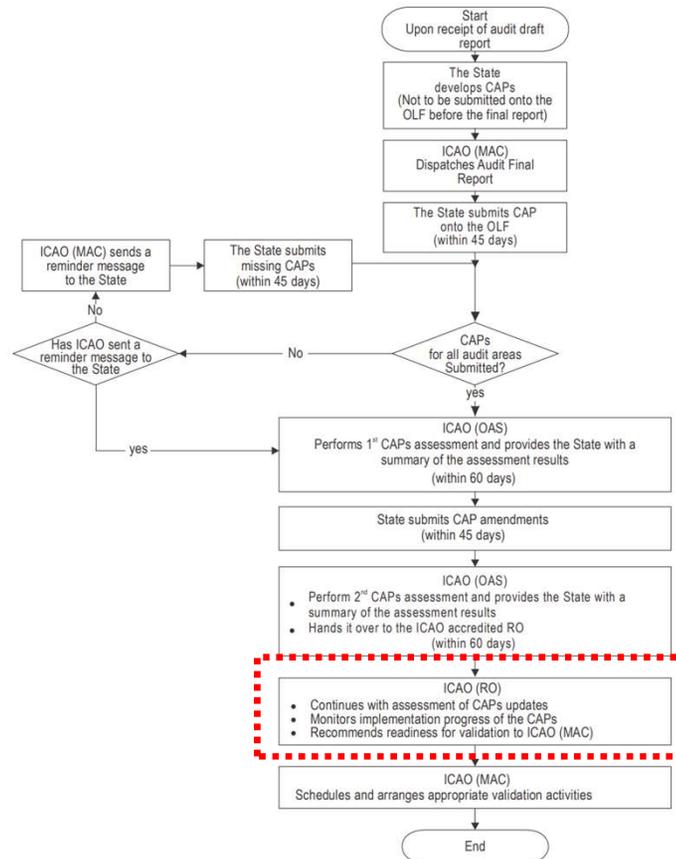
CAP Assessment - Transfer

Activated on a State-by-State basis by ICAO – Transfer CAPs reviews to RO

State	Action	Transfer
Afghanistan	TO ACTIVATE	TRANSFER CAPS TO RO
Albania	TO ACTIVATE	TRANSFER CAPS TO RO
Algeria	TO ACTIVATE	TRANSFER CAPS TO RO
Andorra	TO ACTIVATE	TRANSFER CAPS TO RO
Angola	TO ACTIVATE	TRANSFER CAPS TO RO
Anguilla	TO ACTIVATE	TRANSFER CAPS TO RO
Antigua and Barbuda	TO ACTIVATE	TRANSFER CAPS TO RO
Argentina	TO ACTIVATE	TRANSFER CAPS TO RO
Armenia	TO ACTIVATE	TRANSFER CAPS TO RO
Aruba	TO ACTIVATE	TRANSFER CAPS TO RO



CAP Assessment - Transfer





CAP Assessment Dashboard

CAP monitoring dashboard (1st CAP assessment) – visible for State and

State Dashboard | Self-Assessment | PQ Findings | Corrective Action Plan (CAP) | Mandatory Information Requests (MIR) | User Management | Reports | Feedback | USOAP Data Exchange

Corrective Action Plan (CAP) / CAP Assessment Dashboard / CAP Submission Monitoring Dashboard

CAP Submission Monitoring Dashboard SUMMARY OF ASSESSMENTS STATUS BY CAP

CAP Overall Status			LEG	ORG	PEL	OPS	AIR	AIG	ANS	AGA
Number of total finding PQs during the latest Audit activity (A)					2		3	3	1	2
1st CAP assessment (HQ)	Number of PQs available to submit CAP (A=B+C)				2		3	3	1	2
	Number of CAP PQs submitted for CAP assessment (B=D+E+F+G)				2		3	0	0	1
	Number of CAPs fully addressing the finding (D)				2		1	0	0	1
	Number of CAPs partially addressing the finding (E)				0		1	0	0	0
	Number of CAPs not addressing the finding (F)				0		0	0	0	0
	Number of CAPs in assessment/not assessed (G)				0		0	0	0	0
	Number of PQs not submitted with CAPs (C)				0		0	3	1	1
Timeline (Member State)	Due date to submit CAPs	15 Feb 2024	Date of Final Report + 45 Days							
	Actual date of CAP submission	15 Feb 2024	Date of "Request Review" by the NCMC							
Timeline (ICAO)	Due date to complete CAP assessment	15 Apr 2024	Date of "Request Review" + 60 Days							
	Actual date of completion of CAP assessment	15 Feb 2024	Date of "Finish Review" by ICAO CMC							
Number of PQs available to submit CAP (H=C+E+F)					0		2	3	1	1
Number of CAP PQs submitted for CAP assessment (I=K+L+M+N)					0		2	0	0	1
Number of CAPs fully addressing the finding (K)					0		0	0	0	0
Number of CAPs partially addressing the finding (L)					0		0	0	0	0
Number of CAPs not addressing the finding (M)					0		0	0	0	1
Number of CAPs in assessment/not assessed (N)					0		2	0	0	0
2nd CAP assessment										



CAP Assessment Dashboard

CAP monitoring dashboard (2nd CAP assessment) – visible for State and ICAO CMC

	(ICAO)	Actual date of completion of CAP assessment	15 Feb 2024							
2nd CAP assessment (HQ)	Number of PQs available to submit CAP (H+C+E+F)				0	2	3	1	1	
	Number of CAP PQs submitted for CAP assessment (I=K+L+M+N)				0	2	0	0	1	
	Number of CAPs fully addressing the finding (K)				0	0	0	0	0	
	Number of CAPs partially addressing the finding (L)				0	0	0	0	0	
	Number of CAPs not addressing the finding (M)				0	0	0	0	1	
	Number of CAPs in assessment/not assessed (N)				0	2	0	0	0	
	Number of PQs not submitted with CAPs (J)				0	0	3	1	0	
	Timeline (Member State)	Due date to submit CAPs		31 Mar 2024	Date of Finishing 1 st CAP assessment + 45 Days					
		Actual date of CAP submission		01 Mar 2024	Date of "Request Review" by the NCMC					
	Timeline (ICAO)	Due date to complete CAP assessment		30 Apr 2024	Date of "Request Review" + 60 Days					
Actual date of completion of CAP assessment		03 Mar 2024	Date of "Finish Review" by CMC							
Total CAP status	Number of CAP PQs submitted for CAP assessment (B+I-duplication)				2	3	0	0	2	
	Number of CAPs fully addressing the finding (D+K)				2	1	0	0	1	
	Number of CAPs partially addressing the finding (E or L)				0	0	0	0	0	
	Number of CAPs not addressing the finding (F or M)				0	0	0	0	1	
	Number of CAPs in assessment/not assessed (G or N)				0	2	0	0	0	
	Number of PQs not submitted with CAPs (C or J)				0	0	3	1	0	
	Number of total CAPs assessment activity (B+I)				2	3	0	0	2	
Number of CAP PQs transferred from HQ to RO - Audit activity (B+I-duplication+J)				2	3	3	1	2		
Number of CAPs fully addressing the finding (D+K)				2	1	0	0	1		
Number of CAPs partially addressing the finding (E or L)				0	0	0	0	0		
Number of CAPs not addressing the finding (F or M)				0	0	0	0	1		



CAP Assessment Dashboard

CAP monitoring dashboard (Regional Office) – visible for State and ICAO CMC

Regional Office	Number of CAP PQs transferred from HQ to RO - Audit activity (B+I-duplication+J)			2	3	3	1	2
	Number of CAPs fully addressing the finding (D+K)			2	1	0	0	1
	Number of CAPs partially addressing the finding (E or L)			0	0	0	0	0
	Number of CAPs not addressing the finding (F or M)			0	0	0	0	1
	Number of CAPs in assessment/not assessed (G or N)			0	2	0	0	0
	Number of PQs not submitted with CAPs (C or J)			0	0	3	1	0
	Number of CAP PQs - Validation activity (ICVM, etc.)							
	Number of CAPs fully addressing the finding							
	Number of CAPs partially addressing the finding							
	Number of CAPs not addressing the finding							
	Number of CAPs in assessment/not assessed							
	Number of PQs not submitted with CAPs							
	Overall CAP status (Audit+Validation)			2	3	3	1	2
	CAP fully addressing the finding (W)			2	1	0	0	1
	Completed			0	0	0	0	0
	In progress			1	0	0	0	0
	Not Started			1	1	0	0	1
	CAP partially addressing the finding (X)			0	1	0	0	0
	CAP not addressing the finding (Y)			0	0	0	0	1
	CAPs in assessment/not assessed (Z)			2	3	0	0	2
Number of PQs not submitted with CAPs			0	0	3	1	0	



1. How to Conduct PQ Self-Assessment.
2. How to Submit CAPs.
3. How to Update CAPs.
4. Progressive rollout of a new CAP assessment tool



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



Questions and Feedback





Thank You!