

Regional USOAP Continuous Monitoring Approach (CMA) Workshop

Module 4
PQ Self-Assessment



Module Objective

The objective of this module is to provide information on how to complete a PQ Self-Assessment.



Outline

- What is the PQ Self-Assessment?
- **State Responsibility PQ Self-Assessment**
- **PQ Self-Assessment Sections & Status**
- How to Review a PQ
- **Additional Information on PQs**
- **How to Conduct a PQ Self-Assessment**





What is the PQ Self-Assessment?



What is the PQ Self-Assessment?

- A State assesses its safety oversight and accident or incident investigation systems based on a review of the Protocol Questions (PQs) used by USOAP auditors
- It allows a State to actively monitor and report the health of their aviation system on a continuous basis to identify and resolve safety oversight deficiencies.
- It is also an important tool for States to use to prepare for a USOAP CMA activity.



What is the PQ Self-Assessment? (cont'd)

- A State review each PQ and determines the appropriate status (i.e., Satisfactory, Not Satisfactory, and Not Applicable) for each PQ and submits or updates the information on the OLF.
- ICAO recommends that, as a priority, a State conduct the selfassessment on one or all of the following:
 - PQs that were assessed Not Satisfactory in a previous USOAP CMA audit;
 - New PQs introduced following a PQ amendment process (i.e., "Undetermined PQs)
 - Amended PQs if the amendment impacts the PQ status; and/or
 - Any changes in the State's aviation system, regulations and/or procedure to assess whether these changes impact the status of any PQs.



State Responsibility – PQ Self-Assessment



USOAP CMA MOU

MOU Article 3,

Information to be submitted and updated regularly by the State through the USOAP CMA online framework (OLF) will include the following:

- responses to the State Aviation Activity Questionnaire (SAAQ),
- Self- assessment, status of the USOAP protocol questions (PQs),
- responses to ICAO Mandatory Information Requests (MIRs),
- information relating to Significant Safety Concerns (SSCs),
- updates to the State Corrective Action Plan (CAP),
- including information regarding implementation status, and
- as far as practicable, any other relevant safety information, as requested by ICAO.



State Responsibility – PQ Self-Assessment

- A State's information should be reviewed and/or updated on the OLF at least once every 12 months.
- States can also download a MS
 Word version of the PQ Self Assessment checklist for each
 audit area from the CMA Library
 on the OLF.

TISOAP	CMA	2020	Protocol	Ouestions -	- LEC
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Page 9 of 1

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
1.001	Has the State promulgated primary aviation legislation to enable it to address its obligations as a signatory to the Chicago Convention?	Confirm title, date of promulgation and last amendment of all primary aviation legislation. Verify that the content of the primary aviation legislation is consistent, sufficient (addressing all audit areas as needed) and properly organized.	CC Part I STD A19 3.2.1.1 GM Doc 9734 Part A. C3	Yes	CE-1
1.005	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	Verify that provisions allow for the introduction/adoption of specific operating regulations and at least cover all Annexes in the areas of PEL, OPS (including dangerous goods), AIR, AIG, ANS and AGA.	CC Part I STD A19 3.2.1.1 GM Doc 9734 Part A, C3	Yes	CE-1
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?	Verify that: a) The rulemaking process includes all applicable steps, in conformance with the State's legal system, as well as realistic timelines for the various steps; b) the procedures or other means of compliance require that current specific operating regulations repeal previous specific operating regulations, if required; and	CC Art. 37 STD A19 3.2.1.1 & 3.2.2 GM Doc 9734 Part A, C3	Yes	CE-2



PQ Self-Assessment Sections & Status



PQ Self-Assessment Sections

When completing the self-assessment, a State is required to provide:

- Assess the "Status of Implementation" of each PQ (i.e., Satisfactory, Not Satisfactory or Not Applicable);
- Provide "Remarks" to explain the "Status of Implementation"; and
- Attach "Evidence" supporting the "Status of Implementation"



PQ Self-Assessment Status

The PQ Status shows the State's status in implementing the PQ.

- Satisfactory means that the State has complied with all the guidance requirements of the PQ
- Not Satisfactory applies when the State has not fully complied with any of the guidance requirements of the PQ
- Not Applicable means that the PQ does not apply to the State
- Blank indicates the PQ is undetermined for PQs that have not been audited previously



How to Review a PQ



How to Review a PQ

It is important to closely review each aspect of the PQ to determine the appropriate means to respond to it.

	1	2	3	4	5
PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
5.001	Has the State promulgated specific operating regulations to transpose the airworthiness-related provisions of Annexes 6 (Parts I, II and III), 7, 8 and 16 (Volumes I, II and III)?	all regulations related to airworthiness. 2) Verify that the content of the regulations are consistent, sufficient and properly organized. 3) Confirm the transposition of the airworthiness-related provisions of: Annex 6, Part I	CC Art. 12 STD A19 3.2.1.2 GM Doc 9734 Part A, C2 & C3 Doc 9760 Part II, 3.2	Yes	CE-2



Protocol Question

- Review the specific question to understand what ICAO is asking the State to demonstrate
- The term "promulgate" means to "make and/or put into effect a public law or decree"

PQ No.	Protocol Question
5.001	Has the State promulgated specific operating regulations to transpose the airworthiness-related provisions of Annexes 6 (Parts I, II and III), 7, 8 and 16 (Volumes I, II and III)?



Guidance for Review of Evidence

Guidance for Review of Evidence

- 1) Confirm the title, date of promulgation and last amendment of all regulations related to airworthiness.
- 2) Verify that the content of the regulations are consistent, sufficient and properly organized.
- 3) Confirm the transposition of the airworthiness-related provisions of:

Annex 6, Part I

Annex 6, Part II

Annex 6, Part III

Annex 7

Annex 8

Annex 16, Volume I

Annex 16, Volume II

Annex 16, Volume III

- The auditors use the "Guidance for Review of Evidence" to guide their audit or validation
- Review the section to understand what ICAO needs from the State to demonstrate establishment or implementation of a safety oversight system

ICAO References

- References show where ICAO that were used to support the PQ
- It is important to understand the acronyms in this section
 - CC Art. 12: Chicago Convention, Article 12
 - STD A19 3.2.1.2: Standard –
 Annex 19, para. 3.2.1.2
 - GM Doc 9734 Part A, C2 & C3:
 Guidance Material, Doc 9734 Part
 A, Chapters 2 and 3
 - Doc 9760 Part II, para. 3.2

ICAO References

CC

Art. 12

STD

A19

3.2.1.2

GM

Doc 9734

Part A, C2 & C3

Doc 9760

Part II, 3.2



Priority PQ

- Priority PQs (PPQ) are a subset of PQs may indicate a lack of capability by a State to identify and/or resolve operational safety and fundamental accident investigation deficiencies effectively, and consequently, its inability to conduct safety oversight or a proper accident investigation
- Findings related to PPQs can potentially result in an elevated risk of a Significant Safety Concern

PPQ

Yes



Critical Element

- The "Critical Element" column explains the appropriate CE of the safety oversight system that is addressed by the PQ
- This information guides the type of evidence the State must provide to demonstrate establishment or implementation within the State's safety oversight system

CE

CE-2



Additional Information on PQs



Additional Information on PQs

- Generally, each PQ has a review/discussion time limit of 3-5 minutes, so consider providing as much information as possible in the PQ Self-Assessment to provide the auditors with adequate background information to better support the on-site activity
- Promulgation PQs can only be verified with physical evidence <u>that has</u> also been duly approved/accepted
- Approved or accepted evidence may be signed physically or electronically; or they may be approved/accepted by virtue of the parameters of an online "portal" system utilized by the State/CAA
- PPQs are important, which is why ICAO has identified them accordingly; however,
 - they are <u>not automatically</u> a SSC item if found **Not Satisfactory**; and
 - they are <u>not</u> more important than the other PQs.



- Auditors must use ICAO-provided booklets to document detailed, comprehensive, and specific notes and evidence for post-mission reviews/validations
 - Audits, and especially ICVMs, are <u>always evidence-based</u>
 - ICAO HQ SPOs must be able to either <u>review evidence</u> for the as part of the post-audit activity or <u>verify evidence</u> for the post-validation activity
- States are allowed to reserve evidence containing sensitive or confidential information for review during the onsite activity only; however, utilizing phrases like "Review on-site only" for evidence means the State will need to produce it later:
 - Booklets <u>must</u> still contain the details of evidences omitted from the OLF due to political sensitivity concerns



- Implementation CEs (i.e., CEs 6, 7, and 8) typically require the evidence to be approved via signature or some other acceptable means as discussed prior:
 - Some States/CAAs may struggle with implementation of their regulations and processes for no other reason than they just don't have a large and/or diverse industry
 - If the State/CAA has <u>never</u> encountered the PQ's scenario, then the PQ may be found **Not Applicable**, which differs from past practices at ICAO
 - Documentation/evidence within the OLF and Booklet would be "NIL"
 - Explanation within the Finding Description would be needed to clarify that the State/CAA has established the required regulations/processes, <u>however</u>, they have not yet had an opportunity to verify effective implementation



- Not Satisfactory PQs <u>should focus on the overall system</u> and not specific examples where auditors find information incorrect and/or missing
- The PQs are constrained by the ICAO reference materials noted in the PQ checklist. An auditor's knowledge is not allowed to go beyond those references to determine the PQ status.
- Some Establishment PQs may remain open during the audit if the State wishes to correct any deficiencies noted during the initial review. However, this may cause associated Implementation PQs to become Not Satisfactory due to a lack of evidence related development of new establishment processes.



- Some Establishment and Implementation PQs will remain open until the Industry/Service Provider visits.
- Some PQs can be re-opened during the Industry/Service Provider visits if the responses in Establishment and/or Implementation PQs can not be verified. The auditors may also select additional sites to visit for further verification.



- Site visits to Industry/Service Providers depend on the complexity of the State's overall system and the diversity of its Industry.
- The auditors may want to visit, if applicable:
 - An airport with international commercial operations
 - A heliport with international commercial operations
 - An air operator
 - A pilot training facility
 - An aviation maintenance technical school
 - An air traffic controller training facility
 - An air traffic service provider (i.e., air route traffic control center, terminal radar approach control)
 - A Search and Rescue facility
 - A meteorological service provider
 - A design organization authorization*
 - A production organization authorization*



- SSCs only occur when the State allows the holder of an authorization or approval to exercise the privileges attached to it, although the minimum requirements established by the State and by the Standards set forth in the Annexes to the Convention are **not** met (or have not been found by the State/CAA to meet)
 - Often, if the PQ is not related to either operations of aircraft and the public, then it is typically **not** a candidate for SSC
 - Collaboration with the Audit Team Lead, the Chief of the Oversight Audit Section, and the SPO at ICAO HQ is required prior to initiating an SSC



- PQs related to the "timely development" and promulgation of specific operating legislation, the "timely transposition" of the provisions of Annexes, and the establishment of procedures to amend regulations and national standards focus on two specific areas:
 - The establishment of an overall process or procedure for the State; and
 - The timeliness of the incorporation of the information.
 - The establishment of an overall process or procedure for the State is first reviewed under LEG (i.e., 1.007) and, later, in the individual technical audit areas.
 - ICAO does not define timeliness; however, the State's established provisions/processes/methods must define timeliness. Mature States may have longer timeframes due to the complexity of their laws and corresponding structure as well as the complexity of their governance.
 - This should not be an automatic finding, but a finding in LEG 1.007 will result in a finding across all similar PQs in the technical audit areas.



- PQs related to implementing procedures for identifying and notifying differences, if any, to ICAO.
 - The establishment of an overall process or procedure for the State is first reviewed under LEG (i.e., 1.025) and, later, in the individual technical audit areas.
 - ICAO will determine implementation of the process or procedure by referencing the State's CC/EFOD responses. If the State doe not have any differences to file, the provisions/processes/methods must still be in place, supported by evidence of implementation since the State would have had to perform a comprehensive and detailed review of their system to ensure they truly have no differences.
 - This should not be an automatic finding, but a finding in LEG 1.025 will result in a finding across all similar PQs in the technical audit areas.



How to Conduct a Self-Assessment



How to Conduct a PQ Self-Assessment

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

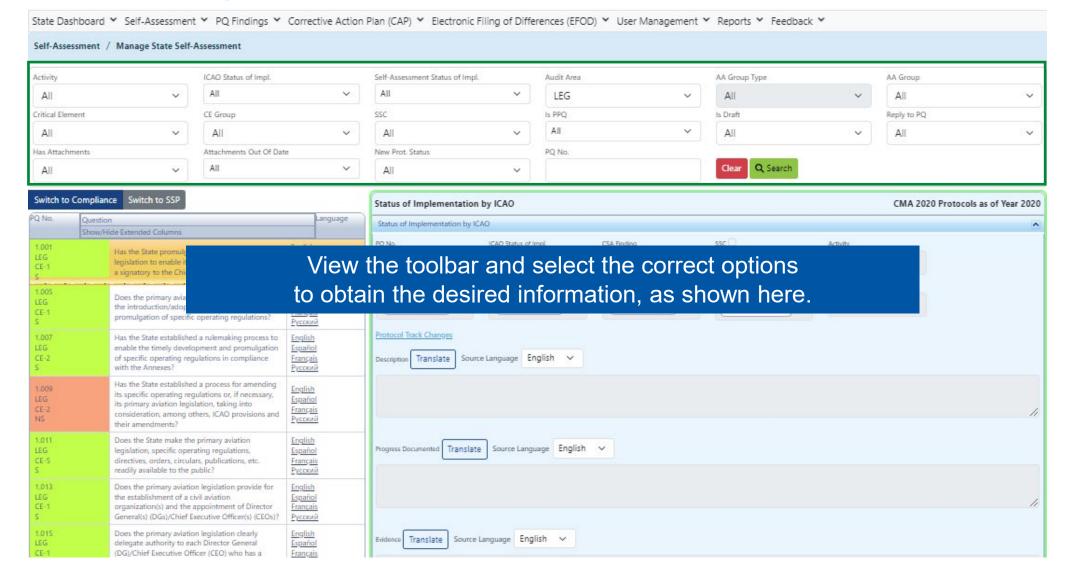
• Click the "Self-Assessment" icon.

Self-Assessment



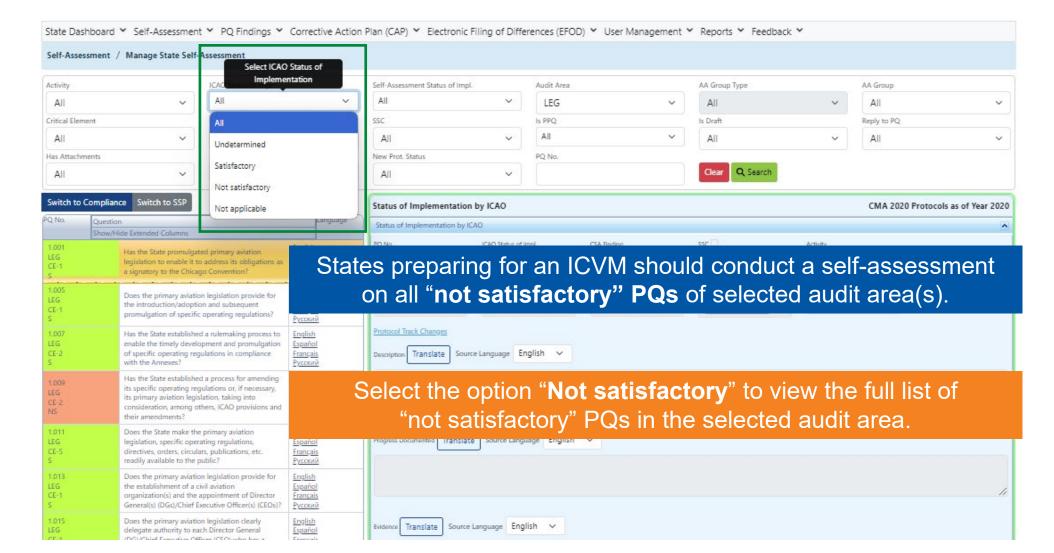


Conducting PQ Self-Assessment



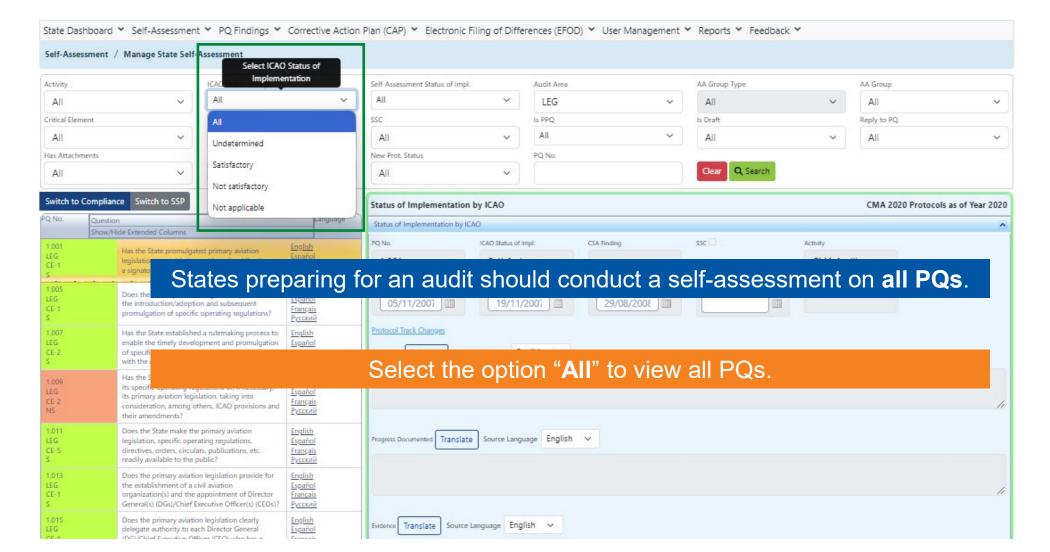


Conducting PQ Self-Assessment for ICVM



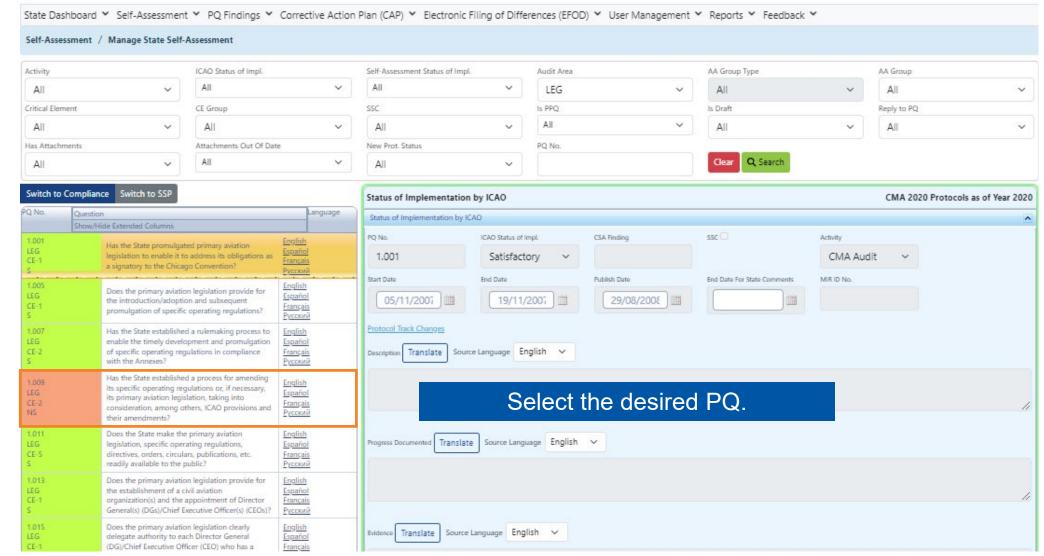


Conducting PQ Self-Assessment for Audit



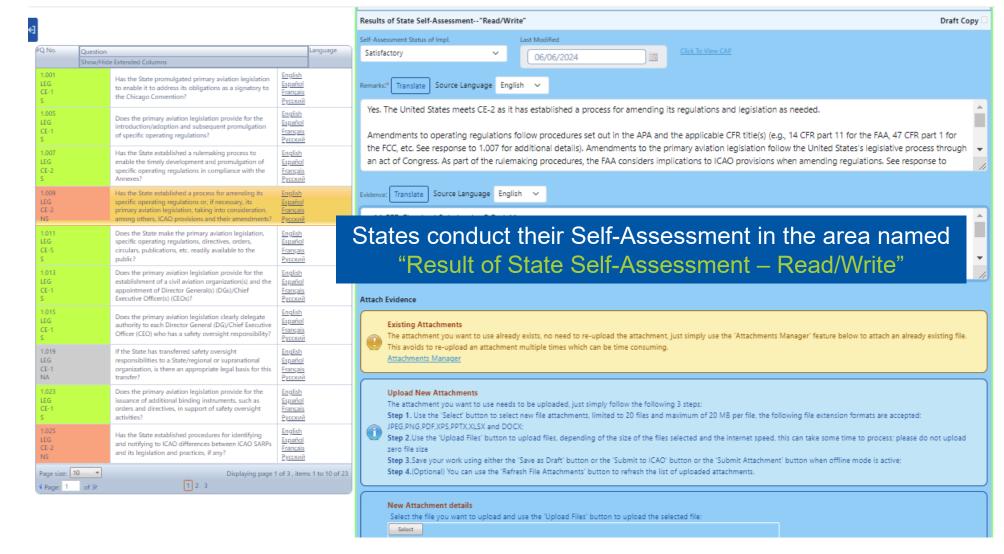


Conducting PQ Self-Assessment



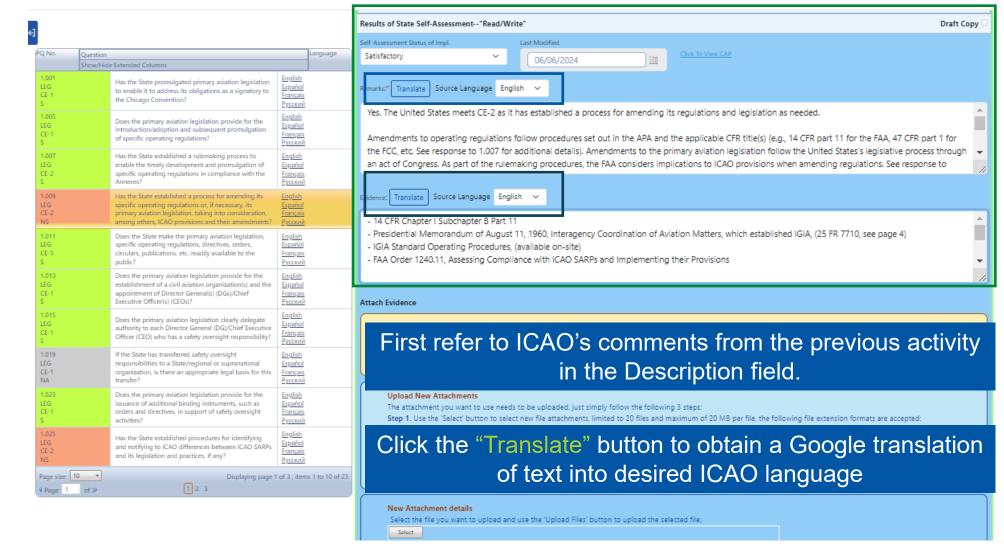


Conducting PQ Self-Assessment



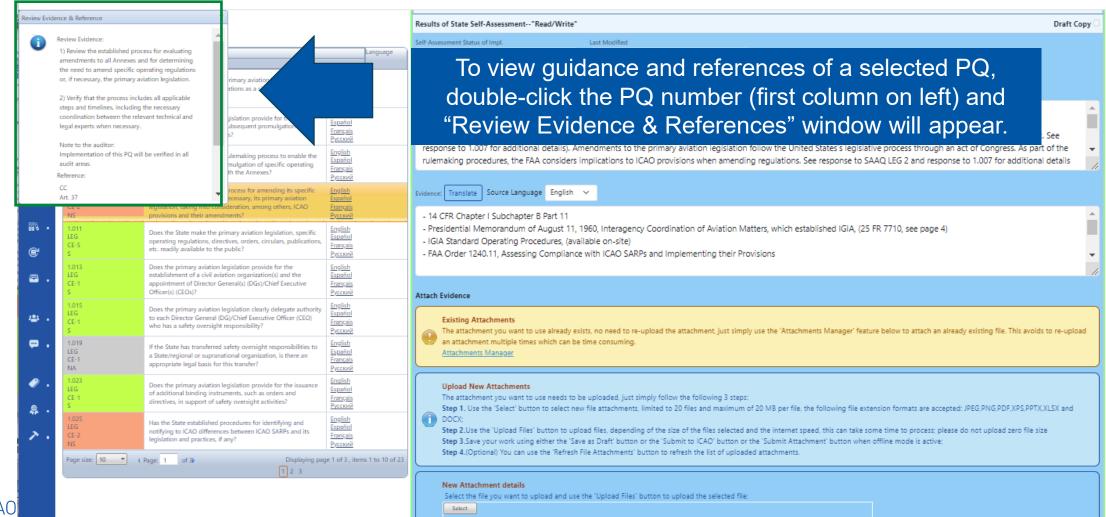


Conducting PQ Self-Assessment





Viewing Guidance and References





Viewing Guidance and References - Example

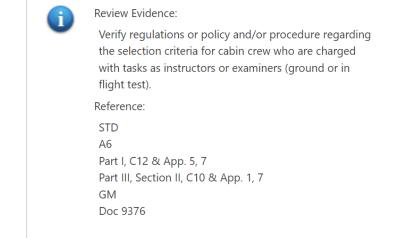
PQ No.	Question
4.243	Has the State established a policy and related procedures to ensure that air operators
OPS	select and appoint cabin crew instructors and examiners who meet at least the
CE-5	appropriate minimum experience and knowledge requirements?

Review Evidence:

 Verify regulations or policy and/or procedure regarding the selection criteria for cabin crew who are charged with tasks as instructors or examiners (ground or in flight test).

Reference

- STD: A6, Part I, C12 & App. 5, 7; Part III, Section II, C10 & App. 1, 7
- GM: Doc 9376

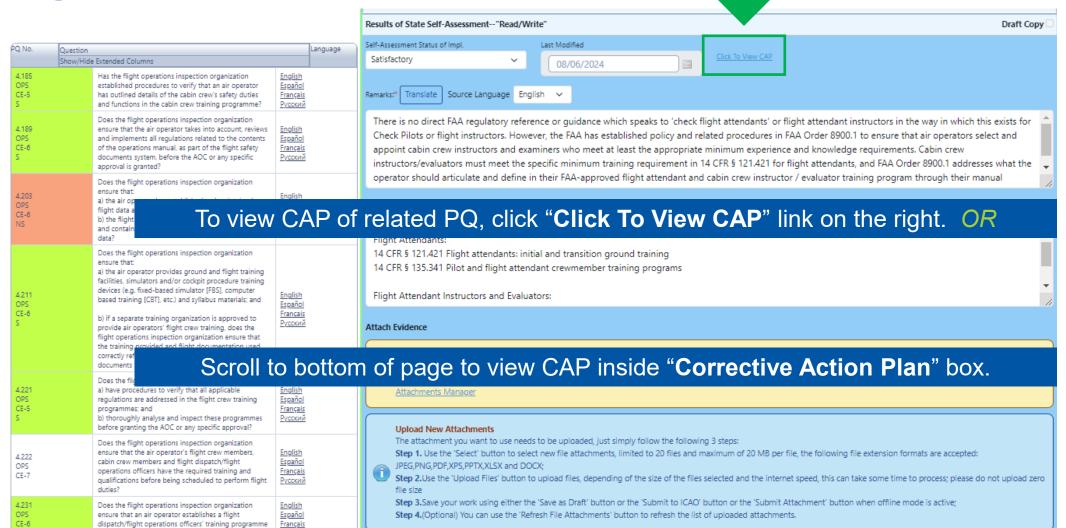


Review Evidence & Reference



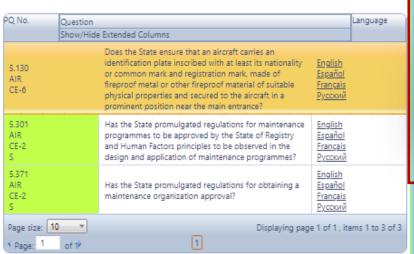
Viewing CAP

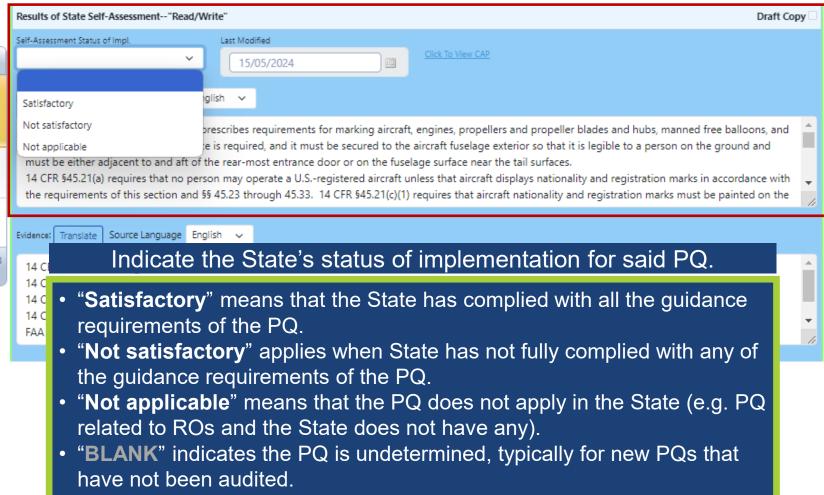
prior to the issuance of an AOC?





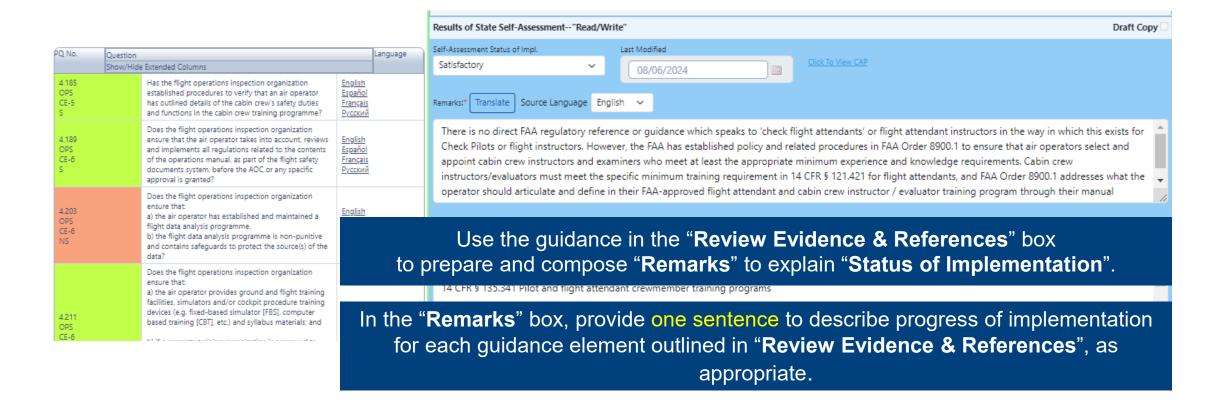
Conducting PQ Self-Assessment







Providing Remarks





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.

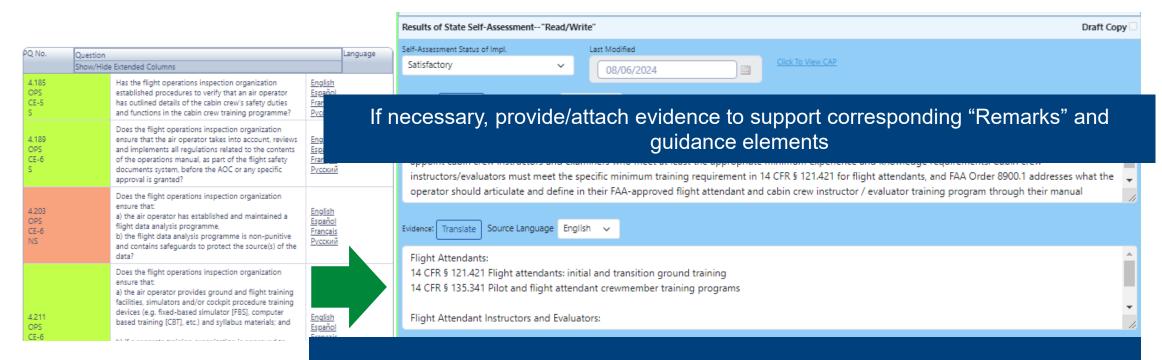


Helpful Tips in Revising/Updating Remarks

- Copy the original "Remarks" text to a MS WORD document.
- 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.



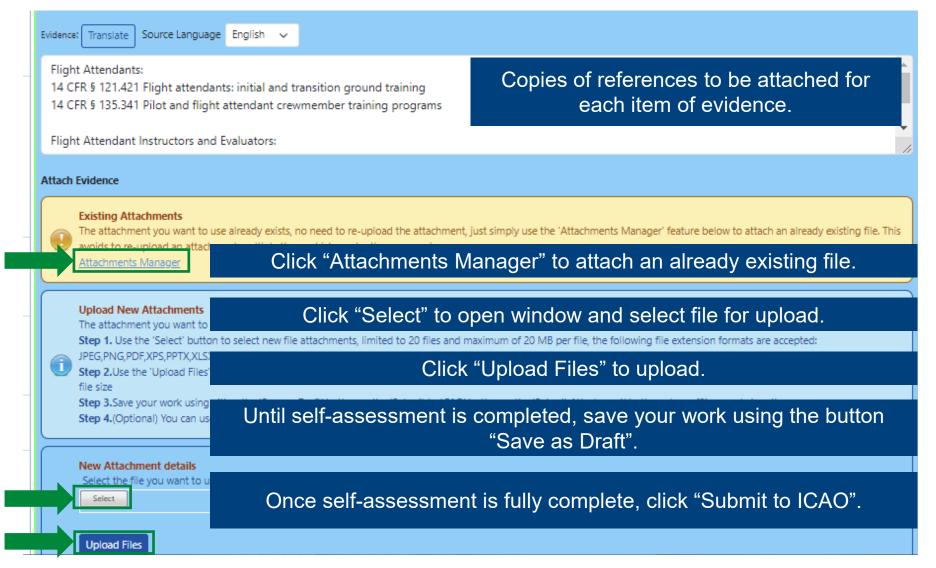
Providing Evidence



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



Providing Evidence





PQ Self-Assessment Walkthrough

Now let's review a PQ and walk through the process of a part of a Self-Assessment!



Review

- What is the PQ Self-Assessment?
- **State Responsibility PQ Self-Assessment**
- **PQ Self-Assessment Sections & Status**
- How to Review a PQ
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Thank You!