



ICAO

INTERNATIONAL CIVIL AVIATION ORGANIZATION

A UN SPECIALIZED AGENCY



Regional USOAP Continuous Monitoring Approach (CMA) Workshop

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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 self-assessment 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.

USOAP CMA 2020 Protocol Questions — LEG

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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?	1) Confirm title, date of promulgation and last amendment of all primary aviation legislation. 2) 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.

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)?	<ol style="list-style-type: none"> 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: <ul style="list-style-type: none"> 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 	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 that 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 that has 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 not automatically a SSC item if found **Not Satisfactory**; and
 - they are not more important than the other PQs.

Additional Information on PQs *(cont'd)*

- 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 always evidence-based
 - ICAO HQ SPOs must be able to either review evidence for the as part of the post-audit activity or verify evidence 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 must still contain the details of evidences omitted from the OLF due to political sensitivity concerns

Additional Information on PQs *(cont'd)*

- 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 never 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, however, they have not yet had an opportunity to verify effective implementation

Additional Information on PQs *(cont'd)*

- Not Satisfactory PQs should focus on the overall system 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.

Additional Information on PQs *(cont'd)*

- 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.

Additional Information on PQs *(cont'd)*

- 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*

Additional Information on PQs *(cont'd)*

- 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

Additional Information on PQs *(cont'd)*

- 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.

Additional Information on PQs *(cont'd)*

- 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 does 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

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

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

Status of Implementation by ICAO

PQ No.	Question	Language
1.001 LEG CE-1 S	Has the State promulgated legislation to enable it to become 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/adopted 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 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	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a	English Español Français

View the toolbar and select the correct options to obtain the desired information, as shown here.

Protocol Track Changes

Description: Translate Source Language: English ▾

Progress Documented: Translate Source Language: English ▾

Evidence: Translate Source Language: English ▾

Conducting PQ Self-Assessment for ICVM

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 ▾
 Critical Element: All ▾
 Has Attachments: All ▾

Switch to Compliance Switch to SSP

Select ICAO Status of Implementation

Self-Assessment 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

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

Status of Implementation by ICAO

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?	
1.005 LEG CE-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	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 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?	
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?	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	English Español Français Русский

Protocol Track Changes

Description Translate Source Language English ▾

Progress Documented Translate Source Language English ▾

Evidence Translate Source Language English ▾

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.

Conducting PQ Self-Assessment for 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 ▾
 Critical Element: All ▾
 Has Attachments: All ▾

Switch to Compliance Switch to SSP

Select ICAO Status of Implementation

Self-Assessment 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

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

Status of Implementation by ICAO

PQ No.	Question	Language	ICAO Status of Impl.	CSA Finding	SSC	Activity
1.001 LEG CE-1 S	Has the State promulgated primary aviation legislation and signed a signature?	English Español	All	05/11/2007		
1.005 LEG CE-1 S	Does the State have in place the introduction/adoption and subsequent promulgation of specific operating regulations?	English Español Français Русский	All	19/11/2007		
1.007 LEG CE-2 S	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations with the State?	English Español	All	29/08/2008		
1.009 LEG CE-2 NS	Has the State established 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	All			
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	All			
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	All			
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...	English Español Français Русский	All			

Progress Documented Translate Source Language English ▾

Evidence Translate Source Language English ▾

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

Select the option "All" to view all PQs.

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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

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 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	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a	English Español Français

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: Activity: CMA Audit ▾

Start Date: 05/11/2001 End Date: 19/11/2001 Publish Date: 29/08/2001 End Date For State Comments: MIR ID No.:

[Protocol Track Changes](#)

Description: Translate Source Language: English ▾

Select the desired PQ.

Progress Documented: Translate Source Language: English ▾

Evidence: Translate Source Language: 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 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 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 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 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 2 3

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

Self-Assessment Status of Impl. Last Modified

Satisfactory 06/06/2024 [Click To View CAP](#)

Remarks: Translate Source Language English ▼

Yes. The United States meets CE-2 as it has established a process for amending its regulations and legislation as needed.

Amendments to operating regulations follow procedures set out in the APA and the applicable CFR title(s) (e.g., 14 CFR part 11 for the FAA, 47 CFR part 1 for the FCC, etc. See response to 1.007 for additional details). Amendments to the primary aviation legislation follow the United States's legislative process through an act of Congress. As part of the rulemaking procedures, the FAA considers implications to ICAO provisions when amending regulations. See response to

Evidence: Translate Source Language English ▼

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 20 files and maximum of 20 MB per file, the following file extension formats are accepted: JPEG,PNG,PDF,XPS,PPTX,XLSX 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:

States conduct their Self-Assessment in the area named
“Result of State Self-Assessment – Read/Write”

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 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 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 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

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

Self-Assessment Status of Impl. Last Modified
 Satisfactory 06/06/2024 [Click To View CAP](#)

Remarks: Translate Source Language English ▼

Yes. The United States meets CE-2 as it has established a process for amending its regulations and legislation as needed.

Amendments to operating regulations follow procedures set out in the APA and the applicable CFR title(s) (e.g., 14 CFR part 11 for the FAA, 47 CFR part 1 for the FCC, etc. See response to 1.007 for additional details). Amendments to the primary aviation legislation follow the United States's legislative process through an act of Congress. As part of the rulemaking procedures, the FAA considers implications to ICAO provisions when amending regulations. See response to

Evidence: Translate Source Language English ▼

- 14 CFR Chapter I Subchapter B Part 11
- Presidential Memorandum of August 11, 1960, Interagency Coordination of Aviation Matters, which established IGIA, (25 FR 7710, see page 4)
- IGIA Standard Operating Procedures, (available on-site)
- FAA Order 1240.11, Assessing Compliance with ICAO SARPs and Implementing their Provisions

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

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

Attach Evidence

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 20 files and maximum of 20 MB per file, the following file extension formats are accepted:

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

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

Select



Viewing Guidance and References

The screenshot displays the ICAO Self-Assessment tool interface. On the left, a table lists various PQs (Primary Question) with their IDs and descriptions. A blue arrow points from a selected PQ in the table to a detailed view window on the right. The detailed view window, titled "Review Evidence & Reference", contains the following information:

Review Evidence:

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

Note to the auditor:
Implementation of this PQ will be verified in all audit areas.

Reference:
CC
Art. 37

On the right, the "Results of State Self-Assessment--'Read/Write'" window shows the "Evidence" section for a selected PQ. It lists the following references:

- 14 CFR Chapter I Subchapter B Part 11
- Presidential Memorandum of August 11, 1960, Interagency Coordination of Aviation Matters, which established IGIA, (25 FR 7710, see page 4)
- IGIA Standard Operating Procedures, (available on-site)
- FAA Order 1240.11, Assessing Compliance with ICAO SARPs and Implementing their Provisions

Below the evidence list, there are sections for "Attach Evidence" (Existing Attachments and Upload New Attachments) and "New Attachment details".

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
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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:

Viewing Guidance and References - Example

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



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

Viewing CAP

PQ No.	Question	Language
4.185 OPS CE-5 S	Has the flight operations inspection organization established procedures to verify that an air operator has outlined details of the cabin crew's safety duties and functions in the cabin crew training programme?	English Español Français Русский
4.189 OPS CE-6 S	Does the flight operations inspection organization ensure that the air operator takes into account, reviews and implements all regulations related to the contents of the operations manual, as part of the flight safety documents system, before the AOC or any specific approval is granted?	English Español Français Русский
4.203 OPS CE-6 NS	Does the flight operations inspection organization ensure that: a) the air operator provides ground and flight training facilities, simulators and/or cockpit procedure training devices (e.g. fixed-based simulator [FBS], computer based training [CBT], etc.) and syllabus materials; and b) if a separate training organization is approved to provide air operators' flight crew training, does the flight operations inspection organization ensure that the training provided and flight documentation used correctly reflect the training provided and flight documentation used?	English
4.211 OPS CE-6 S	Does the flight operations inspection organization ensure that: a) the air operator provides ground and flight training facilities, simulators and/or cockpit procedure training devices (e.g. fixed-based simulator [FBS], computer based training [CBT], etc.) and syllabus materials; and b) if a separate training organization is approved to provide air operators' flight crew training, does the flight operations inspection organization ensure that the training provided and flight documentation used correctly reflect the training provided and flight documentation used?	English Español Français Русский
4.221 OPS CE-5 S	Does the flight operations inspection organization ensure that: a) have procedures to verify that all applicable regulations are addressed in the flight crew training programmes; and b) thoroughly analyse and inspect these programmes before granting the AOC or any specific approval?	English Español Français Русский
4.222 OPS CE-7	Does the flight operations inspection organization ensure that the air operator's flight crew members, cabin crew members and flight dispatch/flight operations officers have the required training and qualifications before being scheduled to perform flight duties?	English Español Français Русский
4.231 OPS CE-6 S	Does the flight operations inspection organization ensure that an air operator establishes a flight dispatch/flight operations officers' training programme prior to the issuance of an AOC?	English Español Français Русский

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

Self-Assessment Status of Impl. Last Modified

Satisfactory 08/06/2024 [Click To View CAP](#)

Remarks* Source Language English

There is no direct FAA regulatory reference or guidance which speaks to 'check flight attendants' or flight attendant instructors in the way in which this exists for Check Pilots or flight instructors. However, the FAA has established policy and related procedures in FAA Order 8900.1 to ensure that air operators select and appoint cabin crew instructors and examiners who meet at least the appropriate minimum experience and knowledge requirements. Cabin crew instructors/evaluators must meet the specific minimum training requirement in 14 CFR § 121.421 for flight attendants, and FAA Order 8900.1 addresses what the operator should articulate and define in their FAA-approved flight attendant and cabin crew instructor / evaluator training program through their manual

Flight Attendants:
14 CFR § 121.421 Flight attendants: initial and transition ground training
14 CFR § 135.341 Pilot and flight attendant crewmember training programs

Flight Attendant Instructors and Evaluators:

Attach Evidence

[Attachments Manager](#)

Upload New Attachments
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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.

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

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

Conducting PQ Self-Assessment

PQ No.	Question	Language
5.130 AIR CE-6	Does the State ensure that an aircraft carries an identification plate inscribed with at least its nationality or common mark and registration mark, made of fireproof metal or other fireproof material of suitable physical properties and secured to the aircraft in a prominent position near the main entrance?	English Español Français Русский
5.301 AIR CE-2 S	Has the State promulgated regulations for maintenance programmes to be approved by the State of Registry and Human Factors principles to be observed in the design and application of maintenance programmes?	English Español Français Русский
5.371 AIR CE-2 S	Has the State promulgated regulations for obtaining a maintenance organization approval?	English Español Français Русский

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

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

Self-Assessment Status of Impl. Last Modified: 15/05/2024 [Click To View CAP](#)

Language: English

prescribes requirements for marking aircraft, engines, propellers and propeller blades and hubs, manned free balloons, and must be either adjacent to and aft of the rear-most entrance door or on the fuselage surface near the tail surfaces.

14 CFR §45.21(a) requires that no person may operate a U.S.-registered aircraft unless that aircraft displays nationality and registration marks in accordance with the requirements of this section and §§ 45.23 through 45.33. 14 CFR §45.21(c)(1) requires that aircraft nationality and registration marks must be painted on the

Indicate the State's status of implementation for 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).
- **"BLANK"** indicates the PQ is undetermined, typically for new PQs that have not been audited.

Providing Remarks

PQ No.	Question	Language
Show/Hide Extended Columns		
4.185 OPS CE-5 S	Has the flight operations inspection organization established procedures to verify that an air operator has outlined details of the cabin crew's safety duties and functions in the cabin crew training programme?	English Español Français Русский
4.189 OPS CE-6 S	Does the flight operations inspection organization ensure that the air operator takes into account, reviews and implements all regulations related to the contents of the operations manual, as part of the flight safety documents system, before the AOC or any specific approval is granted?	English Español Français Русский
4.203 OPS CE-6 NS	Does the flight operations inspection organization ensure that: a) the air operator has established and maintained a flight data analysis programme, b) the flight data analysis programme is non-punitive and contains safeguards to protect the source(s) of the data?	English
4.211 OPS CE-6	Does the flight operations inspection organization ensure that: a) the air operator provides ground and flight training facilities, simulators and/or cockpit procedure training devices (e.g. fixed-based simulator [FBS], computer based training [CBT], etc.) and syllabus materials; and	

Draft Copy

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

Self-Assessment Status of Impl. Last Modified

Satisfactory 08/06/2024 [Click To View CAP](#)

Remarks:* Source Language English

There is no direct FAA regulatory reference or guidance which speaks to 'check flight attendants' or flight attendant instructors in the way in which this exists for Check Pilots or flight instructors. However, the FAA has established policy and related procedures in FAA Order 8900.1 to ensure that air operators select and appoint cabin crew instructors and examiners who meet at least the appropriate minimum experience and knowledge requirements. Cabin crew instructors/evaluators must meet the specific minimum training requirement in 14 CFR § 121.421 for flight attendants, and FAA Order 8900.1 addresses what the operator should articulate and define in their FAA-approved flight attendant and cabin crew instructor / evaluator training program through their manual

14 CFR § 135.341 Pilot and flight attendant crewmember training programs

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"**, as appropriate.

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

PQ No.	Question	Language
Show/Hide Extended Columns		
4.185 OPS CE-5 S	Has the flight operations inspection organization established procedures to verify that an air operator has outlined details of the cabin crew's safety duties and functions in the cabin crew training programme?	English Español Français Русский
4.189 OPS CE-6 S	Does the flight operations inspection organization ensure that the air operator takes into account, reviews and implements all regulations related to the contents of the operations manual, as part of the flight safety documents system, before the AOC or any specific approval is granted?	Eng Esp Fran Русский
4.203 OPS CE-6 NS	Does the flight operations inspection organization ensure that: a) the air operator has established and maintained a flight data analysis programme, b) the flight data analysis programme is non-punitive and contains safeguards to protect the source(s) of the data?	English Español Français Русский
4.211 OPS CE-6	Does the flight operations inspection organization ensure that: a) the air operator provides ground and flight training facilities, simulators and/or cockpit procedure training devices (e.g. fixed-based simulator [FBS], computer based training [CBT], etc.) and syllabus materials; and	English Español Français

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

Self-Assessment Status of Impl. Last Modified

Satisfactory 08/06/2024 [Click To View CAP](#)

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

Appoint cabin crew instructors and examiners who meet at least the appropriate minimum experience and knowledge requirements cabin crew instructors/evaluators must meet the specific minimum training requirement in 14 CFR § 121.421 for flight attendants, and FAA Order 8900.1 addresses what the operator should articulate and define in their FAA-approved flight attendant and cabin crew instructor / evaluator training program through their manual

Evidence: Source Language English ▼

Flight Attendants:
14 CFR § 121.421 Flight attendants: initial and transition ground training
14 CFR § 135.341 Pilot and flight attendant crewmember training programs

Flight Attendant Instructors and Evaluators:

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

Providing Evidence

Evidence: Source Language:

Flight Attendants:
 14 CFR § 121.421 Flight attendants: initial and transition ground training
 14 CFR § 135.341 Pilot and flight attendant crewmember training programs

Flight Attendant Instructors and Evaluators:

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[Attachments Manager](#)

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Step 2. Use the 'Upload Files' button to upload the files.

Step 3. Save your work using the 'Save as Draft' button.

Step 4. (Optional) You can use the 'Cancel' button to cancel the upload process.

New Attachment details
 Select the file you want to upload

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 complete, click "Submit to ICAO".

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



Additional Information on PQs



How to Conduct a PQ Self-Assessment



Thank You!