



ICAO

International Civil Aviation Organization

**Fifteenth Meeting of the FANS Interoperability Team – Asia
(FIT-Asia/15)**

Bangkok, Thailand, 24 – 27 June 2025

Agenda Item 7: Any Other Business

USOAP UPDATE

(Presented by the Secretariat)

SUMMARY

This paper presents an update of the 2024 edition of the Universal Safety Oversight Audit Program (USOAP) Protocol Questions (PQs).

1. INTRODUCTION

1.1 States' safety oversight capability can be determined by accessing the implementation of Protocol Questions (PQs). In the 2024 edition of the PQs a new category has been added and organized by nine audit areas, each associated with one of the eight CEs. The eight audit areas are Primary aviation legislation and specific operating regulations (LEG); Civil aviation organization (ORG); Personnel licensing and training (PEL); Aircraft operations (OPS); Airworthiness of aircraft (AIR); Aircraft accident and incident investigation (AIG); Air navigation services (ANS); Aerodromes and ground aids (AGA) and State Safety Program (SSP).

1.2 For a PQ to be assessed as “satisfactory”, States are required to show that all the elements of the PQ have been implemented and provided all the relevant evidence, in order for a PQ to be fully addressed. If a State provides insufficient or no evidence of compliance with the elements outlined in the PQ, the PQ is assessed as “not satisfactory”. The State is required to develop and implement a corrective action plan (CAP) that addresses all elements of the “not satisfactory” PQ, including the presentation of the necessary supporting documentation and evidence.

2. DISCUSSION

USOAP CMA Protocol Questions (PQs)

2.1 PQs are the primary tool used in the ICAO USOAP CMA for assessing the effective implementation (EI) of the eight critical elements (CEs) of a State's safety oversight system. Developed based on ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and ICAO guidance material, the PQs are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents.

2.2 The USOAP CMA amended the PQs in 2024 in accordance with the High-level Conference on COVID-19 (HLCC 2021) Recommendations (C-WP/15312 refers) regarding the integration of State Safety Program Implementation Assessment (SSPIA) with USOAP CMA activities, that were approved by the Council of ICAO on 4 March 2022 (C-DEC 225/7 refers). A comparison of the PQs in the 2020 and 2024 versions and number of changes for the ANS area are shown in **Table 1**.

Table 1: Comparison of the PQs in the 2020 and 2024 versions and changes for the ANS area

	Area	Number of 2020 PQs	Number of 2024 PQs		
1	LEG	23		23	
2	ORG	13		13	
3	PEL	93		100	
4	OPS	126		136	
5	AIR	186		198	
6	AIG	84		84	
7	ANS	122	128	New	11
				Revised	108
				Deleted	5
				Merged	0
				No Change	9
8	AGA	143		153	
TOTAL NUMBER		790		851	

2.3 Reference **Attachment A** for the 2024 edition of Protocol Questions (PQs) related to Air Navigation Services (ANS).

3. ACTION BY THE MEETING

3.1 The meeting is invited to note the information contained in this paper.

— END —

USOAP CMA 2024 Protocol Questions

Air navigation services — ANS

Explanatory Note on the 2024 Edition of the Protocol Questions (PQs):

Revised on the basis of the 2020 edition, this 2024 edition of the USOAP CMA Protocol Questions (PQs) follows the High-level Conference on COVID-19 (HLCC 2021) Recommendations (C-WP/15312 refers) regarding the integration of State Safety Programme Implementation Assessment (SSPIA) with traditional Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) activities that were approved by the Council of ICAO on 4 March 2022 (C-DEC 225/7 refers). Some notable features of this 2024 edition of PQs are the addition of Safety Management System (SMS) related PQs to the areas of personnel licensing and training (PEL), aircraft operations (OPS), airworthiness of aircraft (AIR), air navigation services (ANS), and aerodromes and ground aids (AGA), as well as the addition of a set of new PQs on State Safety Programme (SSP) as a new audit area.

The newly added PQs on SSP and SMS will have an undetermined status thus will not affect the Effective Implementation (EI) scores, until they are audited. Dedicated EI score for SSP will be provided separately. Once States and relevant regional organizations are migrated to the 2024 PQ edition, the EI scores for the USOAP activities on safety oversight, as indicated on the USOAP CMA online framework, will be updated and adjusted accordingly.

The existing SSPIA PQs, including the self-assessments submitted and the assessment results for those States which had received SSPIAs, will be archived and can be made available upon request.

Introduction to the ICAO USOAP CMA Protocol Questions

Protocol Questions (PQs) are the primary tool used in the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) for assessing the effective implementation of the eight critical elements (CEs) of a State's safety oversight system. Developed based on ICAO Standards and Recommended Practices (SARPs), Procedures for Air Navigation Services (PANS) and ICAO guidance material, the PQs are revised periodically by ICAO to reflect amendments to the ICAO provisions and reference documents.

The PQs are organized by audit areas and each PQ is associated with one of the eight CEs.

The nine audit areas are as follows:

- 1) Primary aviation legislation and specific operating regulations (LEG);
- 2) Civil aviation organization (ORG);
- 3) Personnel licensing and training (PEL);
- 4) Aircraft operations (OPS);
- 5) Airworthiness of aircraft (AIR);
- 6) Aircraft accident and incident investigation (AIG);
- 7) Air navigation services (ANS);
- 8) Aerodromes and ground aids (AGA); and
- 9) State Safety Programme (SSP).

The eight CEs are as follows:

- CE-1. Primary aviation legislation
- CE-2. Specific operating regulations
- CE-3. State system and functions
- CE-4. Qualified technical personnel
- CE-5. Technical guidance, tools and provision of safety-critical information
- CE-6. Licensing, certification, authorization and approval obligations
- CE-7. Surveillance obligations
- CE-8. Resolution of safety issues

States are expected to use the PQs to conduct regular self-assessments and in this way, monitor the health of their aviation safety oversight system in a proactive manner.

A State is deemed to have *fully addressed* a PQ when it has implemented all the required elements of the PQ. This generates a “*satisfactory*” status of implementation for the PQ. If the State provides insufficient or no evidence of compliance with the elements outlined in the PQ, the PQ is assessed as “*not satisfactory*”. The State is required to develop and implement a corrective action plan (CAP) which fully addresses the associated PQ and all identified deficiencies.

The status of each PQ for a State is reflected in the USOAP CMA Online Framework (<https://www.icao.int/usoap>) and summarized in the activity report.

For reference purposes, the PQs are hereby presented in a table format. Each PQ is assigned a PQ number (e.g. 1.001), associated with a CE (e.g. CE-1), and supplemented by the relevant “Guidance for Review of Evidence” and “ICAO References”. PQs shown in shaded rows can be assessed only in a USOAP CMA on-site activity, while Priority PQs are indicated as such (with “Yes” note) under the “PPQ” column.

For each PQ, the corresponding “Guidance for Review of Evidence” provides *an itemized list of elements* to be implemented by the State in order to address the PQ *satisfactorily*. When preparing for a USOAP CMA audit, States should use these listed elements, as applicable, to prepare the necessary supporting documentation and evidence for all PQs within the scope of the audit. When preparing for an ICAO validation activity, States should provide the necessary supporting documentation and evidence for all PQs, within the scope of the validation activity, that were previously assessed as “*not satisfactory*”.

Representatives of a State’s civil aviation authority/investigation authority who participate in USOAP CMA activities should be familiar with each PQ and the related “Guidance for Review of Evidence” that will be addressed during the activities. All the information and evidence for each PQ that are to be provided to the USOAP CMA activity team should be prepared in advance.

The “Summary of Amendments” table provides a list of new, revised, merged and deleted PQs and a brief description of the amendments.

For the 2024 edition of the PQs, the total number of PQs is 851 and a breakdown for each area is shown below:

	Area	Number of 2024 PQs
1	LEG	23
2	ORG	13
3	PEL	100
4	OPS	136
5	AIR	198
6	AIG	84
7	ANS	128
8	AGA	153
9	SSP	16
<i>TOTAL NUMBER</i>		<i>851</i>

General Guidelines for All Areas

Legislation, Primary Aviation Legislation and Specific Operating Regulations

The term “legislation” in the USOAP CMA Protocol Questions is used as a generic term to include primary aviation legislation and specific operating regulations.

The term “primary aviation legislation” in the USOAP CMA Protocol Questions includes any legislative provision and/or instrument promulgated and enforceable in the State (e.g. laws, acts, codes and international treaties).

The term “specific operating regulations” in the USOAP CMA Protocol Questions includes any binding regulatory provisions and/or instruments in the State (e.g. regulations, decrees, rules, and orders).

Processes and Procedures

Processes and procedures should clarify *who does what, how, when (or within what timeframes) and in coordination with whom*, as applicable.

Delegation of Duties and Tasks

When a State has delegated some of its safety oversight duties and tasks to another State or organization, the PQs on the delegation may have to be evaluated with the entity to which the duties and tasks have been delegated.

The State remains responsible for ensuring that the delegated duties and tasks are performed, at all times, by qualified individuals who ensure the implementation of the applicable legislation as well as the established processes and procedures. There should also be a system in place for conducting surveillance of the delegated duties and tasks and a process for the resolution of identified safety deficiencies.

Regulatory Function versus Service Provider Function

For a State which has not established a clear separation between its regulatory function and its service provider function or where the State Civil Aviation Authority (CAA) is both the regulator *AND* the service provider, the related PQs remain applicable.

Industry Visits

Industry visits are conducted to review and verify that the implementation of the established requirements, procedures and safe practices in each area complies with ICAO provisions and the State's applicable national legislation.

On-Site Activity

PQs that can only be assessed in a USOAP CMA on-site activity are shown in shaded rows in the PQ table.

Priority Protocol Questions (PPQs)

A subset of PQs is classified as Priority PQs or PPQs, which, if found not satisfactory, may indicate a lack of capability by a State to identify and/or resolve operational safety and fundamental accident investigation deficiencies effectively.

Annex

The term “Annex” in the USOAP CMA Protocol Questions stands for Annex to the Chicago Convention.

ICAO References

The ICAO references are classified as follows (shown here in alphabetical order): Chicago Convention (CC), ICAO Circular (Cir), ICAO Guidance Material (GM), Procedures for Air Navigation Services (PANS), Recommended Practice (RP), Regional Supplementary Procedures (SUPPS), and Standard (STD).

Specific Guidelines for ANS

The ANS PQs are based primarily on the Chicago Convention, Annexes 2, 3, 4, 5, 10, 11, 12 and 15 to the Chicago Convention as well as associated ICAO guidance material.

The USOAP CMA activities in the area of ANS address legislative and regulatory provisions, including operational and oversight activities, in seven fields, namely:

- 1) Air Traffic Management (ATM),
- 2) Procedures for Air Navigation Services: Aircraft Operations (PANS-OPS),
- 3) Aeronautical Information Services (AIS),
- 4) Aeronautical Charts (Chart),
- 5) Communications, Navigation and Surveillance (CNS),
- 6) Aeronautical Meteorology (MET), and
- 7) Search and Rescue (SAR).

The PQs on ANS-related legislative provisions address conformance with the Chicago Convention, including, but not limited to, the following articles:

- a) Article 3 *bis*,
- b) Article 12 (Rules of the air),
- c) Article 25 (Aircraft in distress),
- d) Article 28 (Air navigation facilities and standard systems).
- e) Article 37 (Adoption of international standards and procedures), and
- f) Article 38 (Departures from international standards and procedures).

The term “inspectorate,” as applied in this document, refers to “an office or entity designated by the regulatory body to support safety oversight activities over the service providers”. An inspectorate may be composed of inspectors, technical support staff, administrative personnel and others directly engaged in supporting the office or entity’s oversight activities. For this document, an inspectorate may also be referred to as the technical staff. Inspectors are personnel directly engaged in carrying out oversight activities (e.g. inspections, audits, etc.) over the service providers

Acronyms and Abbreviations

A = Annex to the Chicago Convention
ACAS - Airborne collision avoidance system
ACC = Area Control Centre
ADS-C = Automatic Dependent Surveillance — Contract
AIM - Aeronautical Information Management
AIP = Aeronautical Information Publication
AIRAC = Aeronautical Information Regulation and Control
AIS = Aeronautical Information Service
Amdt. = Amendment
ANS = Air Navigation Services
ANSP = ANS provider
App. = Appendix
ARIWS = Autonomous Runway Incursion Warning System
ATC = Air Traffic Control
ATFM = Air Traffic Flow Management
ATM = Air Traffic Management
ATS = Air Traffic Service
Att. = Attachment to an ICAO document
C = Chapter
CAA = Civil Aviation Authority
CAPs = Corrective action plans
CC = Chicago Convention
CE = Critical Element
Cir = ICAO Circular
CMA = Continuous Monitoring Approach
CNS = Communications, Navigation and Surveillance
CPDLC = Controller-pilot data link communications
Doc = ICAO Document or Manual
FIR = Flight Information Region
FIS = Flight Information Service
FRMS = Fatigue Risk Management System
GM = ICAO Guidance Material
H24 = Continuous day and night service

JRCC = Joint Rescue Coordination Centre
IFP = Instrument Flight Procedure
IFPD = Instrument Flight Procedure Design
IFPDS = Instrument Flight Procedure Design Service
MET = Meteorology/Meteorological
MSAW = Minimum Safe Altitude Warning
NOTAM = Notice to Airmen
OCA/H = Obstacle Clearance Altitude/Height
OJT = On-the-job training
PANS = Procedures for Air Navigation Services
PIRG = Planning and Implementation Regional Group
PPQ = Priority Protocol Question
PQ = Protocol Question
QMS = Quality Management System
RCC = Rescue Coordination Centre
RMA = Regional Monitoring Agency
RP = Recommended Practice contained in an Annex to the Chicago Convention
RSC = Rescue Sub-Centre
RVSM = Reduced Vertical Separation Minimum
SAR = Search and Rescue
SARPs = Standards and Recommended Practices
SID = Standard Departure Chart — Instrument
SPOC = Single Point of Contact
SRR = Search and Rescue Region
SSR = Secondary Surveillance Radar
STAR = Standard Arrival Chart — Instrument
STCA = Short-Term Conflict Alert
STD = International Standard contained in an Annex to the Chicago Convention
SUPPS = Regional Supplementary Procedures
USOAP = Universal Safety Oversight Audit Programme
WMO = World Meteorological Organization

List of ICAO Reference Documents

Doc 7300 — *Convention on International Civil Aviation*
(Also known as the Chicago Convention) (9th edition, 2006)

Annex 2 — *Rules of the Air* (Amdt. 46, 10th edition, 2005)

Annex 3 — *Meteorological Service for International Air Navigation*
(Amdt. 80, 20th Edition, 2018)

Annex 4 — *Aeronautical Charts* (Amdt. 61, 11th edition, 2009)

Annex 5 — *Units of Measurement to be Used in Air and Ground Operations* (Amdt. 17, 5th edition, 2010)

Annex 10 — *Aeronautical Telecommunications*
Volume I — *Radio Navigation Aids* (Amdt. 93, 8th edition, 2023)
Volume II — *Communication Procedures including those with PANS Status* (Amdt. 92, 7th edition, 2016)
Volume III — *Communication Systems* (Amdt. 91, 2nd edition, 2007)
Volume IV — *Surveillance and Collision Avoidance Systems*,
(Amdt. 91, 5th edition, 2014)
Volume V — *Aeronautical Radio Frequency Spectrum Utilization*
(Amdt. 89, 3rd edition, 2013)

Annex 11 — *Air Traffic Services* (Amdt. 52, 15th edition, 2018)

Annex 12 — *Search and Rescue* (Amdt. 18, 8th edition, 2004)

Annex 15 — *Aeronautical Information Services* (Amdt. 42, 16th edition,
2018)

Annex 19 — *Safety Management* (Amdt. 1, 2nd edition, July 2016)

Doc 4444 — *Procedures for Air Navigation Services: Air Traffic Management* (PANS-ATM) (Amdt. 11, 16th edition, 2016)

Doc 7030 — *Regional Supplementary Procedures* (Amdt. 9, 5th edition,
2018)

Doc 8071 — *Manual on Testing of Radio Navigation Aids*
Volume I — *Testing of Ground-based Radio Navigation Systems*
(Amdt. 1, 5th edition, 2018)

Doc 8126 — *Aeronautical Information Services Manual* (7th edition,
2022)

Doc 8168 — *Procedures for Air Navigation Services: Aircraft Operations (PANS-OPS)*
Volume II — *Construction of Visual and Instrument Flight*

Procedures (Amdt. 9, 7th edition, 2020)

Doc 8697 — *Aeronautical Chart Manual* (3rd edition, 2016)

Doc 8896 — *Manual of Aeronaautical Meteorological Practice* (13th edition, 2021)

Doc 9377 — *Manual on Coordination between Air Traffic Services, Aeronaautical Information Services and Aeronaautical Meteorological Services* (Amdt. 2, 6th edition, 2014)

Doc 9426 — *Air Traffic Services Planning Manual* (Amdt. 4, 1st edition, 1984)

Doc 9432 — *Manual of Radiotelephony* (4th edition, 2007)

Doc 9433 — *Manual Concerning Interception of Civil Aircraft*
(2nd edition, 1990)

Doc 9476 — *Manual of Surface Movement Guidance and Control Systems (SMGCS)* (Amdt. 2, 1st edition, 1986)

Doc 9554 — *Manual Concerning Safety Measures Relating to Military Activities Potentially Hazardous to Civil Aircraft Operations*
(1st edition, 1990)

Doc 9574 — *Manual on a 300 m (1 000 ft.) Vertical Separation Minimum Between FL 290 and FL 410 Inclusive* (3rd edition, 2012)

Doc 9613 — *Performance-based Navigation (PBN) Manual* (Amdt. 1, 4th edition, 2013)

Doc 9731 — *International Aeronautical and Maritime Search and Rescue (IAMSAR) Manual*
Volume I — *Organization and Management* (2022 edition)
Volume II — *Mission Coordination* (2022 edition)

Doc 9734 — *Safety Oversight Manual*
Part A — *The Establishment and Management of a State's Safety Oversight System* (3rd edition, 2017)

Doc 9735 — *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (5th edition, 2023)

Doc 9817 — *Manual on Low-level Wind Shear* (Amdt. 3, 1st edition, 2005)

Doc 9830 — *Advance Surface Movement Guidance and Control System (A-SMGCS) Manual* (1st edition, 2004)

Doc 9837 – *Manual on Automatic Meteorological Observing Systems at Aerodromes* (Amdt. 2, 2nd edition, 2011)

Doc 9839 — *Manual on the Quality Management System for Aeronautical Information Services* (1st edition, 2022)

Doc 9859 — *Safety Management Manual* (4th edition, 2018)

Doc 9906 – *Quality Assurance Manual for Flight Procedure Design*
Volume 1 — *Flight Procedure Design Quality Assurance System*
(Amdt. 1, 1st edition, 2009)

Volume 2 — *Flight Procedure Designer Training (Development of a Flight Procedure Designer Training Programme)* (Amdt. 1, 1st edition, 2009)

Volume 5 — *Validation of Instrument Flight Procedures*

(1st edition, 2012)

Doc 9966 — *Manual for the Oversight of Fatigue Management Approaches* (2nd, version 2 (revised), 2020)

Doc 9971 – *Manual on Collaborative Air Traffic Flow Management (ATFM)* (3rd edition, 2018)

Doc 10037 — *Global Operational Data Link (GOLD) Manual* (1st, 2017)

Doc 10066 — *Procedures for Air Navigation Services: Aeronautical Information Management (PANS-AIM)* (1st edition, 2018)

Doc 10068 — *Manual on the development of a Regulatory Framework for Instrument Flight Procedure Design Service* (1st edition, 2018)

List of WMO Reference Documents

WMO-No. 49 — *Technical Regulations*
Volume I — *General Meteorological Standards and Recommended Practices* (2023 edition)

WMO-No. 1100 — *Guide to the Implementation of Quality Management Systems for National Meteorological and Hydrological Services and Other Relevant Service Providers* (2017 edition)

SUMMARY OF AMENDMENTS – ANS PQs

Note 1.— The PQs are listed here sequentially for convenience. This may differ from their order on the USOAP CMA Online Framework or in the following document.

Note 2.— The PQs in the shaded rows require a USOAP CMA on-site activity. For the remaining PQs, no on-site activity is required in most cases.

PQ No. (2020 version)	PQ No. (2024 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.183				✓			PQ has been deleted.
7.185				✓			PQ has been deleted.
7.189				✓			PQ has been deleted.
7.403				✓			PQ has been deleted.
7.461				✓			PQ has been deleted.
7.001	7.001		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.003	7.003		✓				Question revised for clarity.
7.005	7.005					✓	No change.
7.007	7.007		✓				Guidance revised for clarity. Reference revised
7.009	7.009		✓				Guidance revised for clarity. Reference revised.
7.011	7.011		✓				Reference revised.
7.031	7.031		✓				Guidance revised for clarity. Reference revised.
7.037	7.037		✓				Reference revised.
7.039	7.039		✓				Reference revised.
7.042	7.042		✓				Reference revised.
7.045	7.045		✓				Reference revised.
7.051	7.051		✓				Guidance revised for clarity. Reference revised.
7.057	7.057		✓				Guidance revised for clarity. Reference revised.
7.060	7.060		✓				Guidance revised for clarity. Reference revised.
7.061	7.061		✓				Guidance revised for clarity. Reference revised.
7.062	7.062		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.063	7.063		✓				Guidance revised for clarity. Reference revised.
7.065	7.065		✓				Reference revised.

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PQ No. (2020 version)	PQ No. (2024 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.069	7.069		✓				Guidance revised for clarity. Reference revised.
7.073	7.073		✓				Guidance revised for clarity. Reference revised.
7.081	7.081		✓				Guidance revised for clarity. Reference revised.
7.082	7.082		✓				Guidance revised for clarity. Reference revised.
7.085	7.085		✓				Question revised for clarity. Guidance revised for clarity. Reference revised. Change of critical element.
7.087	7.087		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.101	7.101		✓				Guidance revised for clarity. Reference revised.
7.109	7.109		✓				Guidance revised for clarity. Reference revised.
7.110	7.110		✓				Guidance revised for clarity.
7.111	7.111		✓				Question revised for clarity. Guidance revised for clarity. Reference revised. Change of critical element
7.117	7.117					✓	No change.
7.119	7.119		✓				Question revised for clarity. Reference revised.
7.121	7.121		✓				Question revised for clarity. Guidance revised for clarity. Reference revised. Change of critical element
7.131	7.131		✓				Question revised for clarity. Guidance revised for clarity. Reference revised. Change of critical element
7.133	7.133		✓				Guidance revised for clarity. Change of critical element.
7.135	7.135					✓	No change.
7.137	7.137		✓				Guidance revised for clarity. Reference revised.
7.139	7.139		✓				Guidance revised for clarity. Reference revised.
7.151	7.151		✓				Reference revised. Change of critical element
7.153	7.153		✓				Question revised for clarity. Guidance revised for clarity.
7.155	7.155		✓				Question revised for clarity. Reference revised. Change of critical element.
7.158	7.158		✓				Change of critical element.
7.159	7.159		✓				Reference revised. Change of critical element.
7.162	7.162		✓				Change of critical element.
7.177	7.177		✓				Question revised for clarity. Guidance revised for clarity.
7.187	7.187					✓	No change.

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PQ No. (2020 version)	PQ No. (2024 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.191	7.191		✓				Guidance revised for clarity.
7.193	7.193		✓				Reference revised.
7.195	7.195		✓				Guidance revised for clarity. Reference revised.
7.199	7.199		✓				Reference revised.
7.201	7.201		✓				Guidance revised for clarity.
7.205	7.205		✓				Guidance revised for clarity. Reference revised.
7.209	7.209		✓				Reference revised.
7.211	7.211		✓				Reference revised.
7.215	7.215		✓				Guidance revised for clarity. Reference revised.
7.229	7.229		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.231	7.231		✓				Reference revised.
7.233	7.233		✓				Reference revised.
7.234	7.234		✓				Guidance revised for clarity. Reference revised.
7.243	7.243		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.247	7.247		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.249	7.249		✓				Guidance revised for clarity. Reference revised.
7.253	7.253		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.255	7.255					✓	No change.
7.267	7.267		✓				Guidance revised for clarity. Reference revised.
7.269	7.269		✓				Guidance revised for clarity. Reference revised.
7.273	7.273		✓				Guidance revised for clarity. Reference revised.
7.277	7.277		✓				Reference revised.
7.281	7.281		✓				Guidance revised for clarity. Reference revised.
7.287	7.287		✓				Guidance revised for clarity. Reference revised.
7.288	7.288		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.289	7.289		✓				Reference revised.
7.291	7.291		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.303	7.303		✓				Guidance revised for clarity. Reference revised.
7.309	7.309		✓				Guidance revised for clarity. Reference revised.

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PQ No. (2020 version)	PQ No. (2024 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.311	7.311					✓	No change.
7.321	7.321		✓				Guidance revised for clarity. Reference revised.
7.361	7.361		✓				Question revised for clarity. Reference revised.
7.363	7.363		✓				Guidance revised for clarity. Reference revised.
7.373	7.373		✓				Guidance revised for clarity. Reference revised.
7.377	7.377		✓				Guidance revised for clarity. Reference revised.
7.381	7.381		✓				Guidance revised for clarity. Reference revised.
7.385	7.385		✓				Guidance revised for clarity. Reference revised.
7.390	7.390		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.391	7.391		✓				Guidance revised for clarity. Reference revised.
7.393	7.393					✓	No change.
7.395	7.395		✓				Guidance revised for clarity. Reference revised.
7.412	7.412		✓				Question revised for clarity. Guidance revised for clarity].
7.415	7.415		✓				Change of critical element.
7.417	7.417		✓				Guidance revised for clarity. Reference revised.
7.421	7.421		✓				Guidance revised for clarity. Reference revised.
7.425	7.425		✓				Reference revised.
7.429	7.429		✓				Guidance revised for clarity. Reference revised.
7.435	7.435		✓				Guidance revised for clarity. Reference revised.
7.437	7.437		✓				Reference revised.
7.451	7.451		✓				Question revised for clarity.
7.459	7.459		✓				Guidance revised for clarity.
7.463	7.463		✓				Question revised for clarity. Reference revised.
7.465	7.465					✓	No change.
7.467	7.467		✓				Question revised for clarity. Reference revised.
7.475	7.475		✓				Question revised for clarity. Guidance revised for clarity.
7.476	7.476					✓	No change.
7.477	7.477		✓				Guidance revised for clarity.
7.481	7.481		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.

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PQ No. (2020 version)	PQ No. (2024 version)	Type of Amendment					Description of Amendments
		New	Revised	Deleted	Merged	No change	
7.487	7.487		✓				Reference revised.
7.491	7.491		✓				Guidance revised for clarity. Reference revised.
7.495	7.495		✓				Reference revised.
7.499	7.499		✓				Guidance revised for clarity. Reference revised.
7.505	7.505		✓				Guidance revised for clarity. Reference revised.
7.507	7.507		✓				Reference revised.
7.513	7.513		✓				Guidance revised for clarity. Reference revised.
7.517	7.517		✓				Guidance revised for clarity. Reference revised.
7.519	7.519		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.521	7.521		✓				Change of critical element.
7.525	7.525		✓				Question revised for clarity. Guidance revised for clarity. Reference revised. Change of critical element.
7.529	7.529		✓				Guidance revised for clarity. Reference revised.
7.537	7.537		✓				Question revised for clarity. Guidance revised for clarity. Reference revised.
7.543	7.543		✓				Reference revised.
7.545	7.545		✓				Guidance revised for clarity. Reference revised.
	7.901	✓					New PQ.
	7.905	✓					New PQ.
	7.909	✓					New PQ.
	7.913	✓					New PQ.
	7.917	✓					New PQ.
	7.921	✓					New PQ.
	7.925	✓					New PQ.
	7.929	✓					New PQ.
	7.933	✓					New PQ.
	7.937	✓					New PQ.
	7.941	✓					New PQ.

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.001	Has the State promulgated aviation legislation in compliance, without exception, with the applicable provisions of Annex 2 on high seas?	1) Review the primary legislation that the State is sovereign over the airspace above its territory, namely over land areas and territorial waters, and not beyond. 2) Verify that no differences have been filed with respect Annex 2 over the high seas airspace in the event that the Contracting State has accepted the responsibility of providing air traffic services over high seas.	CC Art. 1, 2 & 12 STD A2 Foreword (Applicability) 2.1.1		CE-1
7.003	Has the State promulgated primary aviation legislation to ensure the provision of air navigation services (ANS) called for under Article 28 of the Chicago Convention?	Verify the primary aviation legislation to ensure compliance with Article 28 of the Chicago Convention.	CC Art. 28		CE-1
7.005	Has the State promulgated primary aviation legislation to facilitate the assistance of aircraft in distress in its territory in adherence to Article 25 of the Chicago Convention?	Verify primary aviation legislation to facilitate assistance to aircraft in distress.	CC Art. 25		CE-1
7.007	Has the State promulgated specific operating regulations regarding the interception of civil aircraft above its territory?	1) Verify that the State has ratified Article 3 bis of the Chicago Convention. 2) Review if the specific operating regulations have transposed Annex 2, Appendix 1 Section 2 and Appendix 2 Section 2 and 3. 3) Review the AIP ENR 1.12 to confirm that interception procedures and visual signals are published Note to the auditor: This PQ does not intend to assess regulations issued for the State aircraft.	CC Art. 3 d) & Art. 3 bis STD A2 3.8, App. 1, 2 & App. 2, 2 and 3 A11 2.25.2 PANS Doc 10066 (AIM) App. 2, ENR 1.12 GM A2 Att. A Doc 9433	Yes	CE-2

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.009	Has the State promulgated specific operating regulations to transpose the ANS-related provisions of Annexes 2, 3, 4, 5, 10, 11, 12 and 15?	<p>1) Confirm the title, date of promulgation and last amendment of all regulations related to ANS.</p> <p>2) Verify that the content of the regulation is consistent, sufficient and properly organized to cover:</p> <ul style="list-style-type: none"> a) rules of the air; b) meteorological service for international air navigation; c) aeronautical charts; d) units of measurement to be used in air and ground operations; e) aeronautical telecommunications, including radio navigation aids, communication procedures, communication systems, surveillance and collision avoidance systems, and aeronautical radio frequency spectrum utilization; f) air traffic services; g) search and rescue; and h) aeronautical information services. <p>3) Review if the regulations are updated as per the latest amendments to the ICAO Annexes.</p>	CC Art. 12 STD A19 3.2.2 GM Doc 9734 Part A, 3.2		CE-2
7.011	Has the State implemented procedures for amending its ANS specific regulations as well as for identifying and notifying differences, taking into consideration ICAO provisions and their amendments?	<p>1) Verify documented evidence of implemented procedures.</p> <p>2) Verify that amendments of regulations are effected in a timely manner whenever amendments to the ANS-related ICAO Annexes are received.</p> <p>3) Verify the action taken by the State after receipt of the last amendments to the ANS-related ICAO Annexes.</p> <p>4) Verify the information in the Compliance Checklist/Electronic Filing of Differences (CC/EFOD) system if the State uses it as primary means for notifying</p>	CC Art. 37 & 38 STD A19 3.2.2 GM Doc 9734 Part A, 3.2	Yes	CE-2

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>differences to ICAO.</p> <p>Notes to auditor:</p> <p>1) The development of means for the amendment of specific operating regulations is addressed in LEG PQ 1.009.</p> <p>2) The development of procedures for notification/identification of differences is addressed in LEG PQ 1.025.</p>			
7.031	Has the State established an organizational structure with functions related to the safety oversight of ANS providers?	<p>1) Confirm current approved organizational structure for CAA and ANS safety oversight, including clear functions and responsibilities and reporting lines.</p> <p>2) Note names and acronyms of the established authorities and each section dealing with ANS safety oversight activities</p>	STD A19 3.2.3 GM Doc 9734 Part A, 3.3		CE-3
7.037	Has the State developed procedures to assist ANS inspectors in carrying out their safety oversight functions in a standardized and effective manner?	<p>Verify that inspector's procedures and checklists are detailed and based on the State's requirements.</p> <p>Note to the auditor: Procedures may be compiled into an inspector's handbook or manual.</p>	STD A19 3.2.3 App.1, 5 GM Doc 9734 Part A, 3.5		CE-5
7.039	Are the relevant ICAO documents and other technical and regulatory publications readily available to all ANS inspectorate personnel?	<p>1) Verify accessibility of the following documents:</p> <p>a) primary aviation legislation and ANS specific operating regulations;</p> <p>b) Annexes 1, 2, 3, 4, 5, 10, 11, 12 and 15;</p> <p>c) PANS, guidance material and other ANS-related publications;</p> <p>d) World Meteorological Organization (WMO) documentation; and</p> <p>e) other technical/regulatory publications.</p> <p>2) Review the document control system and method to determine currency of documents.</p>	STD A19 3.2.5 App.1, 5 GM Doc 9734 Part A, 3.5		CE-5

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		Note to the auditor: Check for field/regional offices as well as Headquarters.			
7.042	Have ANS inspectors been issued credentials to facilitate access to ANS facilities in the State and access to service providers' documentation for the purpose of inspections and enforcement?	Review the credentials to ensure: 1) reference to empowering legislation; 2) method established to control currency of credential; and 3) inspector's photo.	STD A19 3.2.3 GM Doc 9734 Part A, 3.3.2.2		CE-3
7.045	Has the State established and implemented a mechanism for the review and elimination of deficiencies identified within the framework of the Planning and Implementation Regional Groups (PIRGs)?	1) Review the mechanism to incorporate these deficiencies into a national repository that enables the following: a) tracking; b) analysis; c) assignment of responsibility; d) determination and registration of corrective and preventive actions as appropriate; e) assignment of timelines; and f) review of effectiveness of actions taken. 2) Review the communication with the relevant ICAO Regional Office to update status of the deficiencies.	STD A19 3.3.5 GM Doc 9734 Part A, 3.8		CE-8
7.051	If the State is involved in the provision of ANS, is there a distinct separation between the regulatory and the service provision functions for all fields in ANS?	Review the organizational structure and confirm effective separation of regulatory function from service provision functions for: 1) air traffic services; 2) aeronautical information services (including the production of charts); 3) flight procedures design service; 4) CNS services; 5) meteorological service; and 6) search and rescue services.	STD A19 3.2.3 GM Doc 9734 Part A, 3.3.4		CE-3
7.057	Has the State established for ATS inspectors: a) job descriptions	1) Review job descriptions for ATS inspectors. 2) Verify that qualifications criteria include:	STD A19 3.2.3 & 3.2.4		CE-3

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	b) appropriate minimum qualifications; and c) experience requirements?	a) Air Traffic Control license and ratings that are compatible with their job responsibilities; and b) operational and technical work experience that is commensurate with the services they are required to inspect.	GM Doc 9734 Part A, 3.3.2 & 3.4.1		
7.060	Does the State ensure that the established minimum qualification and experience requirements are met by all ANS inspectorate personnel?	1) Sample recruitment files. 2) Cross-check with established requirements. Note to the auditor: This PQ covers: AIS, ATS, CNS, Flight Procedures Design, MET and SAR.	STD A19 3.2.4 App. 1, 4 GM Doc 9734 Part A, C3		CE-4
7.061	Does the ATS inspectorate have sufficient human resources to carry out its functions?	1) Review the ability to attract new inspectors as well as existing vacancies and level of turnovers in past years. 2) Review the methodology established for determining staffing needs to carry out all safety oversight-related tasks, including: a) review and revision of regulations, b) training, c) development of guidance material, d) issuance of approvals, e) conducting of surveillance, and f) resolution of identified safety concerns. Note to the auditor: This PQ is linked to ORG 2.053 & 2.103.	STD A19 App. 1, 3.1 RP A19 App. 1, 3.3 & 3.5 GM Doc 9734 Part A, 3.3.2		CE-3
7.062	Has the State designated an authority responsible for the provision of ATS?	1) Review the documented mechanism for assigning the designation of the ATS authority. 2) If the State has delegated to another Contracting State or entity the responsibility for provision of ATS over its territory, review appropriate documentation to support the delegation and acceptance.	CC Art. 28 STD A11 2.1 & 2.5 GM Doc 9426, Part 1, Section 2, C 1, 1.3		CE-6
7.063	Has the State established and	1) Verify that surveillance programme	STD		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	implemented a formal surveillance programme for the continuing supervision of the ATS provider?	<p>includes:</p> <ul style="list-style-type: none"> a) types of surveillance activities (audits, inspections, safety events analyses, etc.); b) time frames or frequency of the activities; and c) scope of the activities. <p>2) Confirm if plan complies with surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a risk-based method).</p> <p>3) Sample checklists and audits/inspections reports of previous and current years.</p> <p>4) Confirm that all ATS facilities are identified and have been inspected.</p>	A19 3.4.1 App. 1, 7. GM Doc 9734 Part A, 3.7		
7.065	Has the State established a formal training programme detailing the type of training to be provided to its ATS inspectors?	1) Review contents of training programme. 2) Confirm inclusion of initial, on-the-job (including competency assessment), recurrent and specialized training, including allotted training periods, as applicable.	STD A19 App. 1, 4. GM Doc 9734 Part A, 3.4.		CE-4
7.069	Is the training programme appropriately implemented for the ATS inspectors?	1) Sample recent training plans for different inspectors. 2) Verify that the training plans are in accordance with the training programme and include: <ul style="list-style-type: none"> a) detailed training types; b) priorities; and c) time frames. 3) Verify that each inspector's training is detailed. 4) Verify that the type and frequency of training provided (initial, recurrent, specialized and OJT) are sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>and responsibilities assigned to each technical staff member.</p> <p>5) Verify that OJT is provided by an experienced senior inspector.</p>			
7.073	Does the ANS inspectorate have a system for the maintenance of training records?	<p>1) Review requirements/instructions for the establishment and maintenance of training records.</p> <p>2) Review the system in place.</p> <p>3) Sample training records.</p> <p>4) Verify that training records are systematically retained, including records of the OJT assessments.</p> <p>Note to the auditor: This PQ covers: AIS, ATS, CNS, Flight Procedures Design, MET and SAR.</p>	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4
7.081	Does the State ensure that the ATS provider assesses and declares the ATC capacity?	<p>1) Review the mechanism to ensure compliance.</p> <p>2) Review if the State ensures that ATS capacity is reviewed periodically.</p> <p>3) Sample ATC capacity assessment of control sectors and aerodromes.</p>	STD A11 3.7.5 PANS Doc 4444 (ATM) 3.1 GM Doc 9971 Part II, C3 Doc 9426 Part II, Section 1, C1 & App. C		CE-7
7.082	Does the State ensure that air traffic flow management (ATFM) is implemented when air traffic demand at times exceeds, or is expected to exceed, the declared ATC capacity?	Review the State mechanism to review the implementation of procedures governing the provision of the ATFM service (including strategic planning, pre-tactical planning and tactical operations).	STD A11 3.7.5 PANS Doc 4444 (ATM) 3.2 GM Doc 9971 Part II, C3	Yes	CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
			Doc 9426 Part II, Section 1, C 1		
7.085	Does the State ensure that the ATS provider determines and recruits the personnel required for the provision of ATS?	1) Review State evaluation mechanism. 2) Review procedures to determine ATS staffing needs. 3) Review conformity with identified needs.	STD A11 2.10 GM Doc 9426 Part IV, Section 1, C2		CE-7
7.087	Does the State ensure that the air traffic controllers and other ATS personnel of the ATS provider are adequately trained?	1) Review the State mechanism to ensure compliance. 2) Verify if competency is maintained by appropriate refresher training (including the handling of aircraft emergencies and operations under conditions with failed and degraded facilities and systems). 3) Verify if the implementation of new or amended procedures, new or updated communications, surveillance and other safety significant systems and equipment is preceded by appropriate training and instruction. 4) During industry visits, verify existence of proficiency training assessment records.	STD A11 2.10 PANS Doc 4444 (ATM) 2.5.2 GM Doc 9426 Part IV, Section 1, 3.4	Yes	CE-7
7.101	Does the State ensure that a system has been established and implemented for the recording and retention of the ATS data?	1) Review the State mechanism to ensure effective implementation. 2) Review documented evidence of the surveillance activities (e.g. tests) over the system that is used for recording and retention of ATS data: a) ground-ground communications; b) air-ground communications; c) surveillance data; and d) flight strips. 3) Review evidence to confirm effective implementation.	STD A11 6.1.1.3, 6.1.1.4, 6.2.2.3.3, 6.2.2.3.7, 6.2.2.3.8 ,6.2.3.5, 6.2.3.6, 6.3.1.3 & 6.4.1 A10 Vol. II, 3.5.1.5. & 4.4.1.6 PANS Doc 4444 (ATM) 4.13.4		CE-7
7.109	If the State has initiated the implementation of performance-	1) Review if the navigation specifications have been prescribed.	STD A11		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	based navigation (PBN), are the prescribed navigation specifications appropriate to the level of communications, navigation and air traffic services?	2) Review the mechanism to ensure effective implementation of safety-assessments and post-implementation reviews. 3) review documented evidence of procedure design capabilities.	2.7 GM Doc 9613 Vol II Part A, C 1, 1.2.2; C 3 Part B, and Part C Doc 9992 2.5.5		
7.110	Does the State ensure that ATS routes and significant points are established and designated in accordance with the requirements of Annex 11?	1) Review the mechanism to ensure implementation of principles set forth in Annex 11. 2) Verify the process implemented for coordination with ICAO Regional Offices (including the elimination of five-letter name-code (5LNC) duplicates) Note to the auditor: The list of name-code designators for significant points can be found in AIP ENR 4.4.	STD A11 2.13 & 2.15 App. 1, App. 2 & App. 3		CE-6
7.111	Does the State ensure that separation minima have been selected from those prescribed in the provisions of Procedures for Air Navigation Services — Air Traffic Management (PANS-ATM) and Regional Supplementary Procedures (SUPPS)?	1) Review the State mechanism to confirm the separation minima selected 2) Review that separation minima have been agreed with adjacent ATC units, including ATS authorities of neighboring FIRs, as applicable (i.e review letters of agreement). 3) Review documented evidence of the separation minima selected.	STD A11 3.4.1 PANS Doc 4444 (ATM) 8.7.5 (d) C5 to C8 SUPPS Doc 7030	Yes	CE-7
7.117	Does the State ensure that monitoring mechanisms for RVSM are established and implemented for the collection of large height deviations and coordination failures and subsequent reporting to the Regional Monitoring Agency (RMA)?	1) Review documented evidence of the monitoring mechanisms used for RVSM. 2) Review the process of exchange of large height deviations with the RMA. 3) Confirm effective implementation.	STD A11 3.3.5.1 GM Doc 9574 5.4.7 SUPPS Doc 7030		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.119	Does the State ensure compliance with the standard phraseology and the requirements for readback?	1) Review the mechanism established to ensure effective implementation. 2) Review documented evidence of requirements for readback of ATC clearances and use of standard phraseology.	STD A11 3.7.3 A10 Vol. II, 5.1.1.1 & 5.2 PANS Doc 4444 (ATM) 4.5.7.5 & C12 GM Doc 9432	Yes	CE-7
7.121	Does the State ensure that arrangements have been made to control the movement of persons and vehicles on the manoeuvring area of the aerodrome?	1) Review the State mechanism to ensure effective implementation (including the revision of low visibility operations procedures). 2) Sample documented evidence of the procedures used to control the movement of persons or vehicles in the manoeuvring area of the aerodrome (including low visibility operations procedures).	STD A11 3.8 & 3.10 PANS ATM 7.4.1.5.3 7.6.3.2 7.13 GM Doc 9426 Part I, Section 2, C 2, 2.4 Doc 9476 2.3, table 2-3, C 3, C 5 Doc 9830	Yes	CE-7
7.131	Does the State ensure that arrangements have been made for: a) coordination between ATS and other entities*; and b) coordination of activities potentially hazardous to civil aircraft? *Entities refer to operators, military authorities, between ATS units/positions, and the AIS.	1) Review the State mechanism to ensure compliance. 2) Review documented coordination arrangements or letters of agreement.	STD A11 2.17, 2.18, 2.19, 2.22, & 3.6.2.5 PANS Doc 4444 10.1 GM Doc 9377 Doc 9554		CE-7
7.133	Does the State ensure compliance with communications requirements	1) Review the State mechanism to ensure compliance.	STD A11		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	of Annex 11?	<p>2) Verify communications for:</p> <p>AIR - GROUND</p> <p>a) Flight Information Service (FIS); and</p> <p>b) area, approach and aerodrome control services,</p> <p>GROUND - GROUND</p> <p>a) direct speech circuits between ATS units; and</p> <p>b) direct speech circuits between ATS units and:</p> <p>1) MET offices;</p> <p>2) military units;</p> <p>3) AIS;</p> <p>4) rescue coordination centres (RCCs);</p> <p>5) apron management services units; and</p> <p>6) adjacent area control centres (ACCs)/Flight Information Regions (FIRs), etc.</p>	C6		
7.135	Does the State ensure that MET information is supplied promptly to flight information centres, area control centres, approach control units, aerodrome control towers, and communication stations?	<p>1) Review the mechanism established to ensure effective implementation.</p> <p>2) Review evidence of MET information supplied according to the related service.</p>	STD A3 App. 9, 1.1, 1.2, 1.3 & 1.4 A11 7.1	Yes	CE-7
7.137	Does the State ensure that information on aerodrome conditions and the operational status of associated facilities is provided to the aerodrome control tower and unit providing approach control services?	<p>1) Review the mechanism established to ensure effective implementation.</p> <p>2) Review the manner in which the information on aerodrome conditions and the operational status of associated facilities is available without delay.</p>	STD A11 7.2 PANS Doc 4444 (ATM) 6.6 & 7.5	Yes	CE-7
7.139	Does the State ensure that information on the operational status of navigation aids is promptly forwarded to appropriate	<p>1) Review the mechanism established to ensure effective implementation.</p> <p>2) Review the manner in which the information on visual and non-visual aids to</p>	STD A11 7.3 A10	Yes	CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	ATS units?	ATS units is available without delay.	Vol. I, 2.3 & 3.1.2.1.3 PANS Doc 4444 (ATM) 6.4.2 , 6.6 GM Doc 9426 Part I, Section 2, C10 & App. A		
7.151	Does the State ensure that procedures have been established and implemented to provide service to aircraft in the event of emergency?	1) Review the mechanism established to ensure effective implementation. 2) Review documented evidence of the procedures followed to render assistance to an aircraft in the event of the following emergencies: a) unlawful interference; b) aircraft bomb threat; and c) emergency descent.	STD A11 2.24 PANS Doc 4444 (ATM) 8.8.1, 15.1		CE-7
7.153	Does the State ensure that contingency plans have been developed and promulgated in the event of disruption or potential disruption of ATS or related supporting services?	1) Review mechanism established to confirm that the main elements are considered in the contingency planning in accordance with Annex 11 Attachment C. 2) Review documented evidence of the existence of contingency plans and how they are applied. 3) Verify that contingency plans have been: a) developed with the assistance of ICAO (as necessary); b) coordinated with ATS authorities responsible for the provision of services in adjacent portions of airspace; and c) coordinated with airspace users. 4) Ensure that contingency plans also address natural disasters and public health emergencies.	STD A11 2.32 GM A11 Att. C	Yes	CE-6
7.155	Does the State ensure that the ATS provider has developed procedures to provide assistance in the event of	1) Review the State mechanism to ensure compliance. 2) Review documented evidence of the	STD A11 2.25		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	in-flight contingencies?	procedures followed: a) to render assistance to stray or unidentified aircraft; and b) in case of interception of an aircraft.	PANS Doc 4444 (ATM) 15.4 & 15.5		
7.158	Does the State ensure that procedures are established and implemented for air-ground radio communications failure?	1) Review the mechanism established to ensure effective implementation. 2) Review documented evidence of implemented procedures related to air-ground radio communications failure. 3) If data link services are provided, verify that procedures are established and implemented for log on and CPDLC failures.	STD A2 3.6.5.2 A10 Vol. II, 5.2.2.7, 8.1.1.4 & 8.2.12 PANS Doc 4444 (ATM) 15.3 SUPPS Doc 7030		CE-7
7.159	Does the State ensure that ATC contingency procedures are established and implemented?	1) Review the mechanism established to ensure effective implementation. 2) Review documented evidence of ATC contingency procedures for: a) radio communications contingencies; b) emergency separation; and c) if applicable, for i) short-term conflict alert (STCA); ii) minimum safe altitude warning (MSAW); iii) aircraft equipped with ACAS; and iv) autonomous runway incursion warning system (ARIWS).	PANS Doc 4444 (ATM) 15.3, 15.6 & 15.7	Yes	CE-7
7.162	If data link services are provided, does the State ensure that relevant procedures are established and implemented?	1) Review the mechanism established to ensure effective implementation. 2) Review documented evidence of implemented procedures and good operating practices related to a) initiation of data link communications (logon); b) establishment of CPDLC; c) exchange of operational CPDLC	PANS Doc 4444 (ATM) 4.15, C13, 14.2 & 14.3 GM Doc 10037		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		messages; and d) provision of ADS-C services.			
7.177	Does the State ensure that any safety-related change to the ATS system is effected only after a safety risk assessment has demonstrated that an acceptable level of safety has been met?	1) Review the mechanism established to ensure effective implementation. 2) Verify that surveillance includes evaluating: a) that safety risk assessments are conducted for activities potentially hazardous to civil aircraft b) risk mitigation measures c) post-implementation monitoring mechanisms. 3) Verify that users are consulted.	STD A11 2.19.3 & 2.29 PANS Doc 4444 (ATM) 2.6 GM Doc 9859 Doc 9554	Yes	CE-7
7.187	Does the State ensure that the ATS provider systematically reviews safety-related reports (including air traffic incident reports)?	1) Review the mechanism established to ensure effective implementation. 2) Review documented evidence of an implemented process for reporting and for follow-up action (including internal investigation). 3) Review the documentation of detected adverse trends in number and types of incidents.	PANS Doc 4444 (ATM) 2.4.2 & 16.3		CE-7
7.191	Has the State established regulations for the purpose of managing fatigue in the provision of ATS?	1) Verify that prescriptive regulations: a) have been established in accordance with Annex 11, Appendix 5, with respect to duty limitations and the non-duty period minima; and b) require the establishment of a process for assigning unscheduled duties (standby and on-call). 2) Where authorizing ATS providers to use a fatigue risk management system (FRMS) to manage fatigue outside of prescribed limits, verify that FRMS regulations have been established in accordance with Annex 11, Appendix 6.	STD A11 2.28.1, App. 5 & App. 6 GM Doc 9966 App. A, A4		CE-2
7.193	Has the State established and	1) Review if the process to allow variations	STD		CE-6

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	implemented a process for its ATS inspectors to allow variations from prescriptive limitation regulations or the approval of an FRMS?	<p>from the prescriptive limitation regulations ensures that risk is being managed in the case of sudden and unforeseen operational circumstances by verifying:</p> <ul style="list-style-type: none"> a) the reason for the need to deviate; b) the extent of the deviation; c) the date and time of enactment of the deviation; and d) a safety case, outlining mitigations, to support the deviation. <p>2) Where an ATS provider implements an FRMS to manage fatigue outside of prescribed limits, ensure that there is a documented and approved FRMS process.</p>	A11 2.28.3 c & d, & App. 5, 3 GM Doc 9966 App. A, A4		
7.195	Does the State ensure that the ATS provider complies with the Fatigue Management Regulations?	<p>1) Where an ATS provider complies with the prescriptive Fatigue Management regulations, review surveillance activities to verify that scheduling practices comply with the duty and non-duty limitations.</p> <p>2) Where an ATS provider implements an FRMS to manage fatigue outside of prescribed limits, review surveillance activities to ensure compliance with the approved FRMS.</p> <p>3) During the industry visit, confirm effective implementation.</p>	STD A11 2.28.3 GM Doc 9966 App. A, A4	Yes	CE-7
7.199	Has the State established and implemented a mechanism/system with time frame for elimination of deficiencies identified by ATS inspectors?	<p>1) Review the list of deficiencies that have been identified through surveillance and the remedial actions planned or taken.</p> <p>2) Review the mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of corrective action plans (CAPs).</p> <p>3) Review the effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).</p>	STD A19 3.3.5 GM Doc 9734 Part A, C3		CE-8

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.201	Has the State promulgated regulations as basis for instrument flight procedures design?	Verify regulatory requirements.	STD A11 2.34 & App. 7, 3 GM Doc 10068 2.1.3		CE-2
7.205	Has the State established for flight procedures inspectors: a) job descriptions; b) appropriate minimum qualifications; and c) experience requirements?	1) Review job descriptions for flight procedures inspectors (including tasks related to the approval process of flight procedures). 2) Verify that qualifications criteria include: a) aeronautical certificates on flight procedures design, and b) work experience on flight procedures design.	STD A19 3.2.3 & 3.2.4 GM Doc 9734 Part A, 3.3.2 & 3.4.1 Doc 10068 2.1.4 & 2.1.5		CE-3
7.209	Does the flight procedures inspectorate have sufficient human resources to carry out its functions?	1) Review the ability to attract new inspectors as well as existing vacancies and level of turnovers in past years. 2) Review the methodology established for determining staffing needs to carry out all safety oversight-related tasks including: a) review and revision of regulations, b) training, c) development of guidance material, d) issuance of approvals, e) conducting of surveillance, and f) resolution of identified safety concerns. Note to the auditor: This PQ is linked to ORG PQ 2.053.	STD A19 App. 1, 3.1 RP A19 App. 1, 3.2 & 3.4 GM Doc 9734 Part A, 3.3.2 Doc 10068 2.1.4		CE-3
7.211	Has the State developed a formal training programme detailing the type of training to be provided to its flight procedures inspectors?	1) Review contents of training programme. 2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4 Doc 10068		CE-4

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.215	Is the training programme appropriately implemented for flight procedures inspectors?	<p>1) Sample recent training plans for different inspectors.</p> <p>2) Verify that training plans are in accordance with the programme and include:</p> <ul style="list-style-type: none"> a) detailed training types; b) priorities; and c) time frames. <p>3) Verify that each inspector's training is detailed.</p> <p>4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned.</p> <p>5) Verify that OJT is provided by an experienced senior inspector.</p>	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4 Doc 10068 2.1.5		CE-4
7.229	Does the State ensure that the requirements for the flight procedures design service providers are met?	Review the mechanism established to ensure effective implementation.	STD A11 App 7, 4 GM Doc 10068 2.1.7		CE-6
7.231	Has the State established and implemented a formal surveillance programme for the continuing supervision of the instrument flight procedure design service (IFPDS) provider?	<p>1) Review that the surveillance programme includes:</p> <ul style="list-style-type: none"> a) types of surveillance activities (audits, inspections, safety events analyses, etc.), b) time frames or frequency of the activities, and c) scope of the activities. <p>2) Confirm if plan is in compliance with surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a</p>	STD A19 3.4.1 GM Doc 9734 Part A, 3.8		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		risk-based method). 3) Sample checklists and audits/inspections reports of previous and current years.			
7.233	Has the State established and implemented a mechanism/system with time frame for elimination of deficiencies identified by flight procedures inspectors?	1) Review the list of deficiencies that have been identified through surveillance and the remedial actions planned or taken. 2) Review the mechanism to advise, establish deadlines, review, and accept, and follow up on actions to verify effective implementation of corrective action plans (CAPs). 3) Review the effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).	STD A19 3.3.5 GM Doc 9734 Part A, 3.8		CE-8
7.234	Does the State ensure that instrument flight procedures (IFPs) are reviewed periodically (including validation) to ensure that they continue to comply with changing criteria and meet user requirements?	1) Review the mechanism established to ensure effective implementation. 2) Sample documentation regarding periodic reviews done and verify that they are still valid in terms of minimum obstacle clearances. 3) Confirm that maximum interval for review is five years. Note to the auditor: The flight validation of the periodic reviews is not the same as the one done for the initial certification.	STD A11 App. 7, 6 PANS Doc 8168 (OPS) Vol. II, Part 1, Section 2, C4 4.4.3	Yes	CE-7
7.243	Does the State ensure that the flight procedure designers have acquired and maintained the competency level through training?	1) Review the mechanism established to ensure effective implementation. 2) Review the documented training programme and verify if it includes initial, OJT and recurrent training.	PANS Doc 8168 (OPS) Vol. II, Part I, Section 2, C4, 4.7 GM Doc 9906 Vol. 1 6.4.1.2 Vol. 2 Doc 10068		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
			2.1.7.4		
7.247	Does the State ensure that the quality management system is utilized at each stage of the instrument flight procedure design process (including flight validations)?	1) Review the mechanism established to ensure effective implementation of: a) initial certification; and b) periodic reviews of existing IFPs. 2) Verify reports and results of flight validations (including assurance that adequate obstacle clearance has been provided). 3) Review how the State ensures that IFP packages also include a list of relevant obstacles and identification and description of controlling obstacles.	STD A11 App. 7, 5 PANS Doc 8168 (OPS) Vol. II, Part I, Section 2, C4, Doc 9906 Vol. 1 & Vol. 5	Yes	CE-6
7.249	Does the State ensure that the IFPDS provider publishes obstacle clearance altitude/height (OCA/H)?	1) Review the mechanism established to ensure effective implementation. 2) Review AIP AD 2.24 to see if it is published.	STD A4 11.10.7.2 A11 2.23 PANS Doc 8168 (OPS) Vol. II, Part I, Section 4, C5, 5.5.5 & C9, 9.4.3.1	Yes	CE-6
7.253	Does the State approve the flight procedures to ensure that they are in accordance with the criteria promulgated by the State?	1) Review the established and implemented approval process to ensure effective implementation. 2) Verify that procedures are approved before their publication in the AIP. 3) Sample approval records of flight procedures published in the AIP.	STD A11 2.34 & App. 7 GM Doc 9906 Vol. 1, 7.10, 7.13	Yes	CE-6
7.255	Does the State ensure that IFPDS providers retain all procedure design documentation, so as to allow any data anomalies or errors found during the production, maintenance or operational use of the procedure to be corrected?	1) Review the mechanism established to ensure effective implementation. 2) Review procedures, working files, documentation and data.	PANS Doc 8168 (OPS) Vol. II, Part I, Section 2, C4, 4.5.2		CE-7
7.267	Does the State ensure that the AIS	1) Review the mechanism established to	STD	Yes	CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	has implemented and maintained a quality management system (QMS)?	<p>ensure effective implementation of the QMS.</p> <p>2) Review if surveillance tasks include the assessment of the requirements to measure, monitor and analyze its processes, and to achieve a continuous improvement on the AIS.</p> <p>3) Review implementation of user feedback system.</p> <p>4) Verify that the implemented QMS encompasses the following processes: collection, processing (including verification and validation) and quality control.</p>	A4 2.17 A15 3.6 PANS Doc 10066 (AIM) 3.1 Doc 8126, Part I 2.8.3 c), 3.2.4, 5.4.2.2; 5.4.2.4 GM Doc 9839 1.3.6, 2.3		
7.269	Does the AIS inspectorate have sufficient human resources to carry out its functions?	<p>1) Review methodology established for determining staffing needs.</p> <p>2) Review the ability to attract new inspectors as well as existing vacancies and level of turnover in past years.</p> <p>3) Review the ability to carry out all safety oversight-related tasks, including:</p> <ul style="list-style-type: none"> a) review and revision of regulations; b) training; c) development of guidance material; d) conducting of surveillance; and e) resolution of identified safety concerns. <p>Note to the auditor: This PQ is linked to ORG 2.053 & 2.103.</p>	STD A19 App. 1, 3.1 RP A19 App. 1, 3.2 & 3.4 GM Doc 9734 Part A, 3.3.2		CE-3
7.273	Has the State established for AIS inspectors: a) job descriptions; b) appropriate minimum qualifications; and c) experience requirements?	<p>1) Review job descriptions for AIS inspectors.</p> <p>2) Verify that qualifications criteria include:</p> <ul style="list-style-type: none"> a) aeronautical certificates in AIS compatible with their job responsibilities; and b) operational and technical work experience commensurate with the services 	STD A19 3.2.3 & 3.2.4 GM Doc 9734 Part A, 3.3.2 & 3.4.1		CE-3

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.277	Has the State developed a formal training programme detailing the type of training that should be provided to its AIS inspectors?	that they are required to inspect. 1) Review contents of training programme. 2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4
7.281	Is the training programme appropriately implemented for AIS inspectors?	1) Sample recent training plans for different inspectors. 2) Verify that training plans are in accordance with the programme and include: a) detailed training types; b) priorities; and c) time frames. 3) Verify that each inspector's training is detailed. 4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member. 5) Verify that OJT is provided by an experienced senior inspector.	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4
7.287	Has the State established and implemented a formal surveillance programme for the continuing supervision of AIS?	1) Verify that surveillance programme includes: a) Types of surveillance activities (audits, inspections, safety events analyses, etc.); b) Time frames or frequency of the activities; and c) Scope of the activities. 2) Confirm if plan is in compliance with the surveillance programme, including unannounced and follow-up inspections	STD A19 3.4.1 GM Doc 9734 Part A, C3		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>(Implementation may be adapted using a risk-based method).</p> <p>3) Sample checklists and audits/inspections reports of previous and current years.</p> <p>4) Confirm that all services, facilities and products have been identified and inspected.</p> <p>Note to the auditor: Verify if the scope includes aeronautical charts.</p>			
7.288	Has the State established an authority for the provision of AIS?	<p>1) Review the mechanism for assigning an entity responsible for the provision of the service.</p> <p>2) Review the organizational chart and evidence of the established service.</p> <p>3) If the State has made agreement with other Contracting States or delegated the authority for the provision of AIS to a non-governmental agency, review the documentation to support the delegation and acceptance.</p> <p>Note to the auditor: The provision of aeronautical data and aeronautical information covers the territory of the State and those areas over the high seas for which it is responsible for the provision of air traffic services (ATS)</p>	CC Art. 28 STD A15 2.1 GM Doc 8126 2.7.1.		CE-6
7.289	Has the State established and implemented a mechanism/system with time frame for the elimination of deficiencies identified by AIS inspectors?	<p>1) Review the list of deficiencies that have been identified through surveillance and the remedial actions planned or taken.</p> <p>2) Review the mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of corrective action plans (CAPs).</p>	STD A19 3.3.5 GM Doc 9734 Part A, 3.8		CE-8

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		3) Review the effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).			
7.291	Does the State ensure that formal arrangements are established between the originators of aeronautical data and information and the AIS?	1) Review the mechanism established to ensure effective implementation. 2) Confirm that formal arrangements are in place and up-to-date with the data originators and consistent with the aeronautical data catalogue. 3) Review the arrangements with the oversight authorities and sample arrangement with an aerodrome authority or ATS provider.	STD A15 2.1.5 PANS Doc 10066 (AIM) 2.1.1 & App. 1 Doc 8126 3.2 & 3.3 Part II App. A Data Provision Agreement.	Yes	CE-7
7.303	Does the State ensure that the technical staff of AIS and cartographic service providers' personnel possess the competencies required to perform the assigned functions and tasks?	1) Review the mechanism established to ensure effective implementation. 2) Review the documented training programme and verify if it requires initial and periodic assessments of the personnel to demonstrate the competencies.	STD A15 3.6.4		CE-7
7.309	Does the State ensure that the Aeronautical Information Regulation and Control (AIRAC) system is used to notify the establishment, withdrawal and premeditated significant changes of circumstances?	1) Review the mechanism established to ensure effective implementation, on a continuous basis. 2) Review how the State ensures that: a) implementation dates other than AIRAC effective dates are not used for pre-planned operationally significant changes requiring cartographic work and/or updating of navigation databases; b) AIRAC AIP Amendment contains an effective date; c) AIRAC AIP Supplement page shows a publication date and an effective date; and d) a trigger NOTAM is originated when an AIP Amendment or AIP Supplement is published. Note to the auditor:	STD A15 6.2.1, 6.2.2, 6.2.5, 6.3.1 & 6.3.2 PANS Doc 10066 (AIM) 5.2.1.3.1, 5.2.1.3.5, 5.2.1.3.6, 5.2.1.4 & C6 GM Doc 8126 2.6 & 3.2		CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		AIRAC system can be found in AIP GEN 3.1.4.			
7.311	Does the State ensure that aeronautical data and information are provided in accordance with the data quality specifications?	Review surveillance tasks to ensure continuous compliance with the aeronautical data catalogue.	STD A15 2.1.4 & 3.2 PANS Doc 10066 (AIM)	Yes	CE-7
7.321	Does the State ensure the availability of charts either by producing the charts itself or by arranging for its production by another Contracting State or by an agency?	1) Review documented evidence of the established service. 2) If services are arranged with other Contracting State or agency, review the documentation that supports the delegation and acceptance.	CC Art. 28 STD A4 1.3.2.1 GM Doc 8697 1.3 AIP GEN 3.2		CE-6
7.361	Does the State guarantee that the AISP has implemented measures to ensure that the information that it provides and the aeronautical charts made available are adequate and accurate, and that they are maintained up to date by a revision service?	1) Review surveillance activities done by the State. 2) Review the measures which ensure that the information on charts is comprehensive, accurate and up to date.	STD A4 1.3.3 GM Doc 8697 C.3		CE-7
7.363	Does the State ensure that the charts, which are applicable in the State, are available and went through a validation and verification process?	1) Review the surveillance task carried out to ensure the availability of applicable charts. 2) Review the implemented mechanism to ensure that validations and verifications are carried out. 3) During the industry visit, confirm the metadata of the verification and validation applied by selecting a few charts from the following list: a) Aerodrome Obstacle Chart – ICAO Type A;	STD A15 3.3.2, 5.2.5 A4 1.3.2.2, 3.2, 6.2, 7.2, 8.2, 9.2, 10.2, 11.2, 12.2, 13.2, 14.2, 15.2, 16.2, 17.2, 18.2, 19.2 & 21.2	Yes	CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		b) Precision Approach Terrain Chart – ICAO; c) En-route Chart – ICAO; d) Area Chart – ICAO or, alternatively, Standard Departure Chart – Instrument (SID) – ICAO and Standard Arrival Chart – Instrument (STAR) – ICAO; e) Instrument Approach Chart – ICAO; f) Visual Approach Chart – ICAO; g) Aerodrome/Heliport Chart – ICAO; h) Aerodrome Ground Movement Chart – ICAO; i) Aircraft Parking/Docking Chart – ICAO; j) World Aeronautical Chart – ICAO 1: 1 000 000 or, alternatively, Aeronautical Chart – ICAO 1: 500 000 or Aeronautical Navigation Chart – ICAO Small Scale; k) Plotting Chart – ICAO; and l) ATC Surveillance Minimum Altitude Chart – ICAO.			
7.373	Does the CNS inspectorate have sufficient human resources to carry out its functions?	1) Review the methodology established for determining staffing needs. 2) Review the ability to attract new inspectors as well as existing vacancies and level of turnovers in past years. 3) Review the ability to carry out all safety oversight related tasks, including: a) review and revision of regulations; b) training; c) development of guidance material; d) issuance of approvals; e) conducting of surveillance; and f) resolution of identified safety concerns. Note to the auditor: This PQ is linked to ORG PQ 2.053 & 2.103.	A19 App. 1, 3.1 RP A19 App. 1, 3.2 & 3.4 GM Doc 9734 Part A, 3.3.2		CE-3

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.377	Has the State established for CNS inspectors: a) job descriptions; b) appropriate minimum qualifications; and c) experience requirements?	1) Review job descriptions for CNS inspectors. 2) Verify that qualifications criteria include: a) aeronautical certificates and academic degrees compatible with their job responsibilities, and b) operational and technical work experience commensurate with the services that they are required to inspect.	STD A19 3.2.3 & 3.2.4 GM Doc 9734 Part A, 3.3.2 & 3.4.1		CE-3
7.381	Has the State developed a formal training programme detailing what type of training should be provided to its CNS inspectors?	1) Review contents of training programme. 2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable. Note to the auditor: Consider the three CNS systems: communications, navigation and surveillance.	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4
7.385	Is the training programme appropriately implemented for CNS inspectors?	1) Sample recent training plans for different inspectors. 2) Verify that training plans are in accordance with the programme and include: a) detailed training types; b) priorities; and c) time frames. 3) Verify that each inspector's training is detailed. 4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member. 5) Verify that OJT is provided by an	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		experienced senior inspector.			
7.390	Has the State designated an entity responsible for the provision of CNS systems and facilities?	Review documented mechanism for assigning an accountable entity for the provision of the service.	CC Art. 28		CE-6
7.391	Does the State effectively conduct surveillance over the entity responsible for the maintenance and operation of the CNS systems and facilities?	<p>1) Review that the surveillance programme includes:</p> <ul style="list-style-type: none"> a) types of surveillance activities (audits, inspections, safety events analyses, etc.); b) time frames or frequency of the activities; and c) scope of the activities. <p>2) Confirm if plan is in compliance with the surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a risk-based method).</p> <p>3) Sample checklists and audits/inspections reports of previous and current years.</p> <p>4) Confirm that all facilities have been identified and inspected.</p> <p>Note to the auditor: AIP GEN 2.5 lists the Radio navigation aids.</p>	STD A19 3.4.1 GM Doc 9734 Part A, 3.7		CE-7
7.393	Does the State ensure that requirements for flight inspection are established and periodical flight inspections are provided for radio navigation aids?	<p>1) Review the mechanism established to ensure effective implementation.</p> <p>2) Review flight inspection regulations and procedures.</p> <p>3) Verify flight inspection reports.</p>	STD A10 Vol. I, 2.2 & C3 GM Doc 8071 Vol. I, C1 to C7	Yes	CE-7
7.395	Has the State established and implemented a mechanism/system with time frame for the elimination of deficiencies identified by CNS inspectors?	<p>1) Review the list of deficiencies that have been identified through surveillance and the remedial actions planned or taken.</p> <p>2) Review the mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify the effective implementation of corrective action plans</p>	STD A19 3.3.5 GM Doc 9734 Part A, 3.8		CE-8

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		(CAPs). 3) Review the effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).			
7.412	Has the State designated a meteorological service provider for the provision of meteorological service for international air navigation?	1) Review documented mechanism for designation of an entity responsible for the provision of the service. 2) If the State has made agreement with other Contracting States, review appropriate documentation to support the delegation and acceptance. 3) Ensure that the designation is identified in the AIP, GEN 1.1.	CC Art. 28 STD A3 2.1.4		CE-6
7.415	Does the State ensure that an agreement has been established between ATS and MET authorities?	1) Review the mechanism established to ensure effective implementation. 2) Verify existence of any agreements between the two authorities. 3) Verify whether the agreement includes the calibration of MET equipment that provides the information to support displays used by ATS.	STD A11 2.21 RP A3 4.2 GM Doc 9377 C5 & App. 2		CE-7
7.417	Does the MET inspectorate have sufficient human resources to carry out its functions?	1) Review the methodology established for determining staffing needs. 2) Review the ability to attract new inspectors as well as existing vacancies and level of turnovers in past years. 3) Review the ability to carry out all safety oversight-related tasks, including: a) review and revision of regulations; b) training; c) development of guidance material; d) conducting of surveillance; and e) resolution of identified safety concerns. Note to the auditor: This PQ is linked to ORG 2.053 & 2.103.	STD A19 App. 1, 3.1 RP A19 App. 1, 3.2 & 3.4 GM Doc 9734 Part A, 3.3.2		CE-3

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.421	Has the State established for MET inspectors: a) job descriptions; b) appropriate minimum qualifications; and c) experience requirements?	1) Review job descriptions for MET inspectors. 2) Verify that qualifications criteria include: a) certificates or academic degrees that are compatible with their job responsibilities; and b) operational and technical work experience that is commensurate with the services they are required to inspect.	STD A19 3.2.3 & 3.2.4 GM Doc 9734 Part A, 3.3.2 & 3.4.1		CE-3
7.425	Has the State developed a formal training programme detailing the type of training to be provided to its MET inspectors?	1) Review contents of training programme. 2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4
7.429	Is the training programme appropriately implemented for MET inspectors?	1) Sample recent training plans for different inspectors. 2) Verify that the training plans are in accordance with the programme and include: a) detailed training types; b) priorities; and c) time frames. 3) Verify that each inspector's training is detailed. 4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member. 5) Verify that OJT is provided by an experienced senior inspector.	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4
7.435	Has the State established and implemented a formal surveillance	1) Review that surveillance programme includes:	STD A19		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	programme for the continuing supervision of the service provider responsible for MET services?	a) types of surveillance activities (audits, inspections, safety events analyses, etc.); b) time frames or frequency of the activities; and c) scope of the activities. 2) Confirm if plan is in compliance with surveillance programme, including unannounced and follow-up inspections (Implementation may be adapted using a risk-based method). 3) Sample checklists and audits/inspections reports of previous and current years. 4) Confirm that all services, facilities and products have been identified and inspected.	3.4.1 GM Doc 9734 Part A, .3.7		
7.437	Has the State established and implemented a mechanism/system with time frame for elimination of deficiencies identified by MET inspectors?	1) Review the list of deficiencies that have been identified by inspection and the remedial actions planned/taken. 2) Review the mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of corrective action plans (CAPs). 3) Review the effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).	STD A19 3.3.5 GM Doc 9734 Part A, C3		CE-8
7.451	Does the State ensure that the designated meteorological service provider has established a properly organized quality system?	1) Review the mechanism established to ensure effective implementation. 2) Review documented evidence of established quality system including procedures, processes and resources.	STD A3 2.2 GM (non-ICAO) WMO-No. 1100		CE-7
7.459	Does the State ensure that the wind sensors for local routine reports are appropriately sited to give the best practicable indication of conditions along the runway/touchdown zone?	1) Review the mechanism established to ensure effective implementation. 2) Verify during the industry visit.	STD A3 4.6.1.1 RP A3 4.6.1.2		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.463	Does the State ensure that special air-reports, including those for volcanic ash, are relayed to the relevant MET offices?	1) Review the mechanism established to ensure effective implementation. 2) Verify the existence of staff instructions at the ATS and MET units regulating the issuance of special air-reports. 3) As applicable, make sure that the specific case of volcanic ash is covered therein.	STD A3 5.8 A11 4.2.3 PANS Doc 4444 (ATM) 4.12 App 1 GM Doc 8896 C 7		CE-7
7.465	Does the State ensure that MET offices issue wind shear warnings for aerodromes where wind shear is considered as a safety factor?	1) Review the mechanism established to ensure effective implementation. 2) Sample, in an aerodrome, the assessments carried out with the ATS authorities and the air operators to determine if wind shear is considered a safety factor. 3) Verify the existence of staff instructions concerning the issuance of wind shear warnings.	STD A3 7.4 GM Doc 9817 C5, 5.3.19 to 5.3.26	Yes	CE-7
7.467	Does the State ensure that the MET service provider has established criteria for special observations and the issuance of reports?	1) Review the mechanism established to ensure effective implementation. 2) Sample criteria established by the MET service provider for an aerodrome (in consultation with the ATS provider and operator).	STD A3 C4, 4.4.1 & App. 3, 3.2 GM Doc 8896, 2.4		CE-7
7.475	Does the State ensure that meteorological observations and reports, as well as forecasts are issued in accordance with the related technical specifications outlined in Annex 3?	1) Review the mechanism established to confirm the technical specifications for: a) local routine and local special reports; b) METAR and SPECI; c) TAF; d) SIGMET and AIRMET; and e) aerodrome warning and wind shear warning.	STD A3 C4, 4.1.3 & 4.3 App. 3, 2.1.1 & 2.1.2; App. 5, 1.1.1; App. 6, 1.1.1, 2.1.1, 5.1.1 & 6.2.1	Yes	CE-7
7.476	Does the State ensure that the	1) Review the mechanism established to	STD		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	meteorological personnel providing service for international air navigation comply with the requirements of the World Meteorological Organization (WMO) in respect of qualifications, competencies and education?	ensure effective implementation. 2) Review how the State ensures compliance with the Basic Instruction Packages for Meteorologists and Meteorological Technicians. 3) Review the method used by State to confirm that training records are maintained.	A3 C2, 2.1.5 GM (non-ICAO) WMO-No. 49 (Technical Regulations) Vol. I, Part VI, 1.1 to 1.4 & App. A		
7.477	Does the State ensure that the aeronautical meteorological stations are inspected at sufficiently frequent intervals?	Review the mechanism established to ensure the effective implementation of the calibration and maintenance (including the automatic meteorological observing systems at aerodromes).	STD A3 C4, 4.1.4 GM Doc 9837		CE-7
7.481	Has the State arranged for the establishment and provision of SAR services within its territory and the areas where the State has accepted responsibility to provide SAR on a 24-hour basis?	1) Review documented evidence of the establishment of the service which includes a responsible authority and a legal framework. 2) Review the organizational structure. 3) If the State has made arrangements with another Contracting State, review how the service provision has been agreed.	STD A12 2.1.1 & 2.1.3 GM Doc 9731 (IAMSAR Manual) Vol. I, C1		CE-6
7.487	Does the SAR inspectorate have sufficient human resources to carry out its functions?	1) Review the ability to attract new inspectors as well as existing vacancies and level of turnovers in past years. 2) Review the methodology established for determining staffing needs to carry out all safety oversight-related tasks, including: a) review and revision of regulations; b) training; c) development of guidance material; d) issuance of approvals; e) conducting of surveillance; and f) resolution of identified safety concerns. Note to the auditor: This PQ is linked to ORG 2.053.	STD A19 App. 1, 3.1 RP A19 App. 1, 3.2 & 3.4 GM Doc 9734 Part A, 3.3.2		CE-3
7.491	Has the State established for SAR	1) Review job descriptions of SAR	STD		CE-3

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	inspectors: a) job descriptions; b) minimum qualifications; and c) experience requirements?	inspectors. 2) Verify that qualifications criteria include: a) training on SAR, compatible with their job responsibilities; and b) work experience on SAR commensurate and compatible with their job responsibilities.	A19 3.2.3 & 3.2.4 GM Doc 9734 Part A, 3.3.2 & 3.4.1		
7.495	Has the State developed a formal training programme detailing the type of training to be provided to its SAR inspectors?	1) Review contents of training programme. 2) Confirm inclusion of initial, on-the-job, recurrent and specialized training, including timelines to be provided, as applicable.	STD A19 App. 1, 4 GM Doc 9734 Part A, 3.4		CE-4
7.499	Is the training programme appropriately implemented for SAR inspectors?	1) Sample recent training plans for different inspectors. 2) Verify that training plans are in accordance with the programme and include: a) detailed training types; b) priorities; and c) time frames. 3) Verify that each inspector's training is detailed. 4) Verify that the type and frequency of training provided (initial, OJT, recurrent and specialized) is sufficient to acquire/maintain the required level of knowledge, skills, competence and qualifications in accordance with the duties and responsibilities assigned to each technical staff member. 5) Verify that OJT is provided by an experienced senior inspector.	STD A19 App. 1, 4 GM Doc 9734 Part A, .3.4		CE-4
7.505	Has the State established and implemented a formal surveillance programme for the continuing supervision of the rescue	1) Review that the surveillance programme includes: a) types of surveillance activities (audits, inspections, safety events analyses, etc.);	STD A19 3.4.1 GM		CE-7

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
	coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC)?	b) time frames or frequency of the activities; and c) scope of the activities. 2) Confirm if plan is in compliance with surveillance programme, including unannounced and follow-up inspections. 3) Sample checklists and audits/inspections reports of previous and current years. 4) Confirm that all RCC/RSCs have been identified and inspected.	Doc 9734 Part A, 3.7		
7.507	Has the State established and implemented a mechanism/system with time frame for the elimination of deficiencies identified by SAR inspectors?	1) Review the list of deficiencies that have been identified by inspection and the remedial actions planned/taken. 2) Review the mechanism to advise, establish deadlines, review and accept, and follow up on actions to verify effective implementation of CAPs. 3) Review the effective resolution of safety issues or appropriate enforcement (commensurate with the safety risk).	STD A19 3.3.5 GM Doc 9734 Part A, C3		CE-8
7.513	Has the State established an RCC or, as applicable, an RSC in each search and rescue region (SRR)?	1) Review the documentation used for the establishment of the RCC and SRC, as applicable. 2) Confirm during the industry visit the existence of means of rapid and reliable two-way communication with: a) associated ATS units; b) associated RSCs; c) where appropriate, coastal radio stations capable of alerting and communicating with surface vessels in the region; d) the headquarters of search and rescue units in the region; e) all maritime RCCs in the region and aeronautical, maritime or JRCC in adjacent regions; f) a designated meteorological office or	CC Art. 25 STD A12 2.3.1 & 2.4 RP A12 2.1.5, 2.1.6 2.3.2 GM Doc 9731 (IAMSAR Manual) Vol. I, C3, 2.3.6-9 Vol. II, 2.16.		CE-6

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>meteorological watch office;</p> <p>g) search and rescue units;</p> <p>h) alerting posts; and</p> <p>i) the Cospas-Sarsat Mission Control Centre servicing the search and rescue region.</p> <p>3) If a State has not established a JRCC, review how close coordination between the aeronautical and marine RCCs/RSC is achieved.</p> <p>Note to the auditor: During the industry visit confirm that it is an RC and not only an alerting point.</p>			
7.517	Does the State ensure that its SAR organization coordinates with those of neighbouring States?	<p>Review written agreements with the neighboring States.</p> <p>Note to the auditor: A regional SAR plan is a way to provide a framework to guide national SAR authorities towards attaining this cooperation. Once a regional SAR plan is developed, high-level commitment between States needs to be reached by means of written agreement or through a multilateral MOU.</p>	STD A12 3.1.1 RP A12 3.1.5 GM Doc 9731 (IAMSAR Manual) 5.2.14		CE-6
7.519	Has the State prescribed the conditions to permit the entry into its territory of SAR units of other States for the purpose of searching for the site of aircraft accidents and rescuing survivors?	Review the existence of conditions (legislation, directives, etc) issued by the authority with the legal prerogative to do it.	CC Art. 25 STD A12 3.1.3 & 3.1.4		CE-2
7.521	Does the State authorize its rescue coordination centres (RCCs) to provide, when requested, assistance to other RCCs, including assistance in the form of aircraft, vessels, persons or equipment?	Review standing orders to RCCs.	RP A12 3.1.7		CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.525	Does the State ensure that a SAR point of contact is designated for the receipt of COSPAS-SARSAT distress data on a 24-hour basis?	1) Check the COSPAS-SARSAT website to ensure that the State has designated a single point of contact (SPOC). 2) Check if the SPOC receives and acknowledges relay notifications of distress (including test messages) sent from COSPAS-SARSAT.	STD A12 3.2.5 GM Doc 9731 (IAMSAR Manual) 1.4.1		CE-7
7.529	Has the State ensured that each rescue coordination centre (RCC) and rescue sub-centre (RSC) employ sufficient workforce skilled in coordination and operational functions?	1) Review the mechanism established to ensure effective implementation. 2) Review the documented evidence of mechanism to determine the staffing needs 3) Review the mechanism to confirm proficiency in the use of English language and radio telephony communications.	STD A12 2.1.1.2 & 2.3.3 RP A12 2.3.4 GM Doc 9731 (IAMSAR Manual) Vol I 2.3.11		CE-7
7.537	Does the State ensure that the rescue coordination centre (RCC) and, as appropriate, rescue sub-centre (RSC), is staffed 24 hours a day by trained personnel?	1) Review the mechanism established to ensure effective implementation. 2) Verify if training is aligned with the IAMSAR guidance material. 3) Verify if SAR personnel are regularly trained.	STD A1 1.2.9 A10 Vol. II, 5.2.1.2 A12 4.4 & 2.3.3 RP A12 2.3.4 GM Doc 9731 (IAMSAR Manual) Vol. I, C3, 3.2 Vol II 1.8.12-16		CE-7
7.543	Does the State ensure that each rescue coordination centre (RCC) has prepared detailed plans of operation for the conduct of SAR operations?	1) Review the State mechanism to ensure compliance on continuous basis (including compliance that information is available and up-to-date). 2) Review if the RCC plans of operations:	STD A12 2.5.1, 2.6.1, 3.2.1, 4.1 & 4.2 GM	Yes	CE-7

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>a) identify designated SAR units, public or private, and</p> <p>b) indicate that the SAR units are suitably located and equipped for SAR operations (review letter of agreements).</p> <p>3) Review how the State arranges with aircraft, vessels and local services and facilities that do not form part of the SAR organization to cooperate fully and to extend any possible assistance to the survivors of aircraft accidents.</p>	Doc 9731 (IAMSAR Manual) Vol. I, 2.3.13, 2.3.14 Vol II 1.5		
7.545	Does the State ensure that SAR personnel are regularly trained and that appropriate SAR exercises are arranged?	<p>1) Review the mechanism established to ensure effective implementation.</p> <p>2) Review the implementation of training to verify if it includes communication, coordination and full-scale exercises.</p> <p>3) Review how the State follows-up on the resolution of the weaknesses identified in the evaluation.</p>	STD A12 4.4 GM Doc 9731 (IAMSAR Manual) Vol. I, C3, 3.3 Vol II 1.8	Yes	CE-7
7.901	Has the State promulgated specific operating regulations to require air traffic services (ATS) providers to implement a safety management system (SMS)?	<p>Verify that the regulations:</p> <p>1) require ATS providers to implement an SMS that is acceptable to the State;</p> <p>2) require the SMS to be established in accordance with the SMS framework elements contained in Appendix 2 to Annex 19; and</p> <p>3) comply with the latest amendments to Annex 19.</p> <p>Note to the auditor: The SMS framework components and elements in Appendix 2 to Annex 19 are:</p> <p>1. Safety policy and objectives:</p> <p>1.1 Management commitment;</p> <p>1.2 Safety accountability and responsibilities;</p> <p>1.3 Appointment of key safety personnel;</p>	CC Art 37 STD A19 3.3.2 & 4.1 App 1, 2. GM Doc 9734, Part A 3.2 Doc 9859 1.3.5 & 9.7.4		CE-2

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>1.4 Coordination of emergency response planning;</p> <p>1.5 SMS documentation;</p> <p>2. Safety risk management:</p> <p>2.1 Hazard identification;</p> <p>2.2 Safety risk assessment and mitigation;</p> <p>3. Safety assurance:</p> <p>3.1 Safety performance measurement and monitoring;</p> <p>3.2 The management of change;</p> <p>3.3 Continuous improvement of the SMS;</p> <p>4. Safety promotion:</p> <p>4.1 Training and education;</p> <p>4.2 Safety communication.</p>			
7.905	Does the State ensure that the personnel responsible for the acceptance and continuous surveillance of ATS providers SMS are qualified to perform their functions and responsibilities?	<p>Verify that:</p> <p>1) the State has identified competency requirements for personnel responsible for the acceptance and continuous surveillance of an SMS; and</p> <p>2) the content of the training programme addresses the SMS framework elements contained in Appendix 2 to Annex 19; and</p> <p>3) the training also includes (but is not limited to) the following:</p> <p>a) evaluation and acceptance of an ATS provider' SMS;</p> <p>b) evaluation and acceptance of an ATS provider's safety performance indicators (SPIs);</p> <p>c) continuous surveillance of the ATS provider' SMS in a safety management environment;</p> <p>d) hazard identification and risk management processes and methodologies;</p> <p>e) protection of safety data, safety information and related sources;</p> <p>f) enforcement under the framework of</p>	STD A19 3.2.4 App 1, 4.1, 4.2 App 2 GM Doc 9734, Part A 3.4 Doc 9859 8.3.7		CE-4

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>SMS; and</p> <p>g) soft skills (e.g. effective communication skills, negotiation skills, conflict resolution, etc.);</p> <p>4) a training plan has been implemented;</p> <p>5) initial, OJT and recurrent training, as applicable, with specified-time periods are included; and</p> <p>6) training records are systematically retained.</p> <p>Note to the auditor: The framework components and elements in Appendix 2 to Annex 19 are listed in PQ 7.901.</p> <p>.</p>			
7.909	Has the State provided guidance material to the industry on the establishment and management of an SMS?	<p>Verify that the guidance material:</p> <p>1) includes the processes for the establishment and management of an SMS;</p> <p>2) addresses the SMS framework elements contained in Appendix 2 to Annex 19;</p> <p>3) is updated and made accessible to ATS providers; and</p> <p>4) corresponds with activities conducted by the ATS providers.</p> <p>Note to the auditor: The framework components and elements in Appendix 2 to Annex 19 are listed in PQ 7.901.</p>	STD A19 3.2.5 App 1, 4.2 App 2 GM Doc 9734, Part A 3.5 Doc 9859 8.3.8		CE-5
7.913	Has the State established procedures for the acceptance of ATS providers SMS?	<p>Verify that the established procedures:</p> <p>1) describe the processes for the acceptance of an SMS, where the SMS manual at least includes:</p> <p>a) safety policy and safety objectives;</p> <p>b) reference to any applicable regulatory SMS requirements;</p> <p>c) system description;</p>	STD A19 3.2.5 App 1, 5.1 GM Doc 9734, Part A 3.5 Doc 9859		CE-5

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>d) safety accountabilities and key safety personnel;</p> <p>e) voluntary and mandatory safety reporting system processes and procedures;</p> <p>f) hazard identification and safety risk assessment processes and procedures;</p> <p>g) safety investigation procedures;</p> <p>h) procedures for establishing and monitoring safety performance indicators;</p> <p>i) SMS training processes and procedures and communication;</p> <p>j) safety communication processes and procedures;</p> <p>k) internal audit procedures;</p> <p>l) management of change procedures;</p> <p>m)SMS documentation management procedures; and</p> <p>n)where applicable, coordination of emergency response planning.</p> <p>2) address the SMS framework elements contained in Appendix 2 to Annex 19; and</p> <p>3) are updated and made accessible to personnel responsible for the acceptance of an SMS.</p> <p>Note to the auditor:</p> <p>The framework components and elements in Appendix 2 to Annex 19 are listed in PQ 7.901.</p>	8.3.8 & 9.3.8.3		
7.917	Has the State established procedures for the continuous surveillance of ATS providers SMS?	<p>Verify that the established procedures:</p> <p>1) describe the processes for the continuous surveillance of an SMS; and</p> <p>2) are updated and made accessible to personnel responsible for the surveillance of an SMS.</p>	STD A19 3.2.5 App 1, 5.1 GM Doc 9734, Part A 3.5 Doc 9859		CE-5

PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
7.921	Has the State accepted the SMS of individual ATS providers?	Review evidence of implemented procedures for accepting an SMS including the maintenance of SMS operational records.	8.3.8 STD A19 4.1 App 1, 6 App 2 GM Doc 9734, Part A 3.6 Doc 9859 8.4.6 & 8.4.7		CE-6
7.925	Does the State ensure that the ATS providers identify hazards, assess identified safety risks, and mitigate them appropriately?	Verify that the State ensures the ATS providers: 1) maintain a process to: a) identify hazards associated with their services; b) assess safety risks; and c) mitigate safety risks; and 2) actively identify hazards, assess safety risks and mitigate them appropriately. Note to the auditor: This verification needs to be reviewed during the industry visit.	STD A19 App2, 2.1& 2.2 PANS Doc 4444 (ATM) 2.5 GM Doc 9859 9.4.4 & 9.4.6		CE-7
7.929	Does the State ensure that safety performance indicators and targets established by ATS providers are acceptable to the State?	1) Review the State's mechanism for accepting individual ATS providers' safety performance indicators (SPIs) and targets (when applicable) to verify that proposed SPIs and respective targets (as applicable), are developed in a manner that supports the effort to meet their safety objectives, and are formulated in a manner to ensure that they are specific, measurable, achievable, relevant and timebound. 2) Verify that the State ensures that the	STD A 19 App 2, 3.1 RP A19 3.3.2.2 GM Doc 9859 4.3.3 & 8.4.7.		CE-6

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PQ No.	Protocol Question	Guidance for Review of Evidence	ICAO References	PPQ	CE
		<p>ATS providers' proposed SPIs are reviewed and accepted as part of the SMS acceptance.</p> <p>Notes to the auditor:</p> <ol style="list-style-type: none"> 1) SPIs acceptance may also be done later in the implementation process. 2) This verification needs to be reviewed during the industry visit. 			
7.933	Does the State ensure the ATS providers monitor their safety performance?	<p>Verify that the State has established and implemented a mechanism to ensure that the ATS providers periodically review their safety performance including the means to:</p> <ol style="list-style-type: none"> 1) validate the effectiveness of safety risks controls; 2) validate the identification of changes that may affect the level of safety risks associated with their services; and 3) validate the identification and management of the safety risks that may arise from those changes. 	STD A 19 App2, 3.1; 3.2 & 3.3 GM Doc 9859 8.5.4 9.5.4 9.5.5 & 9.5.6		CE-7
7.937	Does the State ensure that the ATS providers personnel involved in SMS are qualified to perform their functions and responsibilities?	<ol style="list-style-type: none"> 1) Verify that the State has established and implemented a mechanism to validate that the ATS providers' personnel involved in SMS are qualified to perform their functions and responsibilities; and 2) Sample surveillance activities records. <p>Notes to the auditor:</p> <ol style="list-style-type: none"> 1) The scope of the safety training programme should be appropriate to each individual's involvement in the SMS. 2) Review the training records of the ATS providers' personnel during the industry visit. 	STD A19 App 2, 4.1 PANS Doc 4444 (ATM) 2.5 GM Doc 9859 9.6.4		CE-7
7.941	Does the State ensure that the ATS providers continually promote	Verify that the State ensures the ATS providers:	STD A19		CE-7

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	safety?	<p>1) develop and maintain a formal mean for safety communication that includes:</p> <ul style="list-style-type: none">a) ensuring personnel are aware of the SMS to a degree commensurate with their positions;b) conveying safety-critical information;c) explaining why particular actions are taken to improve safety; andd) explaining why safety procedures are introduced or changed; and <p>2) have considered communicating to external organizations any of their safety related information.</p>	App 2, 4.2 GM Doc 9859 9.6.5		

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