USOAP Continuous Monitoring Approach (CMA) Workshop

Module 3

CMA Online Framework (OLF) and Electronic Filing of Differences (EFOD) System
Outline

- Overview of CMA Online Framework (OLF)
- Functionalities of OLF Modules
- Updating EFOD
Overview of CMA Online Framework (OLF)
CMA Online Framework is...

A suite of web-integrated applications and centralized database systems which enables:

1) **Collection** of safety-related information and documentation from different sources; and

2) **Monitoring** and **reporting** of safety oversight activities by ICAO and Member States.
Access through...

ICAO USOAP Restricted Website
(www.icao.int/ussoap)

Pursuant to assembly resolution A37-5, this website has been developed to provide all Contracting States with access to CMA online framework for the:

1. completion/updates of the State Aviation Activity Questionnaire (SAAQ);
2. completion/updates of the Compliance Checklists (CCs) through the Electronic Filing of Differences (EFOD) System;
3. completion/updates of the USOAP CMA protocol questionnaires;
4. completion/updates of the State Corrective Action Plans (CAPs);
5. response to Mandatory Information Requests; and
6. access to all safety-related information generated by USOAP CMA activities.

NOTE: The PQ, CAP, E&I, and State Dashboard Modules are now available.
CC/EFOD Offline Feature is now available.
OLF Functions for States

1) Manage OLF user accounts.
2) Keep SAAQ and CC/EFOD up to date.
3) Provide CAP updates and/or progress per corresponding PQ findings.
4) Conduct PQ self-assessment.
5) Respond to MIRs.
Functionalities of OLF Modules
States (NCMCs) can view:

**Futureland**
CSA Audit from 05 May 2008 to 16 May 2008

- Protocol Status:
  - UDT: 0.2%
  - NA: 10%
  - NS: 21.8%
  - Undetermined: 78%

- State Self-Assessment:
  - No SSC: 9.6%
  - Not SSC: 100%
  - No Input: 93.3%
  - Not satisfactory: 0.6%
  - Satisfactory: 0.2%
  - Not applicable: 0.1%

**Lack of Effective Implementations**
- Effective Implementation: LEI: 25.9%
- Not effective: DI: 73.1%
States (NCMCs) can view:

**States Dashboard**

**Futureland**
CSA Audit from 05 May 2008 to 16 May 2008

Number of Protocol Questions (PQs) by Audit Area

- **LEO**
- **ORG**
- **PEL**
- **OPS**
- **AIR**
- **AIG**
- **ANS**
- **AGA**

Legend:
- Undetermined
- Satisfactory
- Not applicable
- Not satisfactory
- SSC
Access Control

- **NCMCs**
  - Have full control of user accounts for the State:
    - Issuing additional user accounts;
    - Deactivating invalid user accounts; and
    - Setting individual user rights/permissions.

- **Individual users**
  - Manage user profile information; and
  - Personalize password.

*Note.* — *If you are not an NCMC and want to have access to the OLF, please contact the NCMC(s) of your State.*
Access Control

- **User account**
  - composed of “ID” and password.
  - Duplicate IDs or email addresses are not acceptable.

- **Access rights**
  - 3 types: Limited, read-only and read/write.
  - CC/EFOD: Access rights may be granted per Annex.
  - Access rights may be granted for selected audit areas in each of the 4 OLF modules: Self-Assessment, CAP, PQ Findings and MIR.
States

☑ Complete and update State Profile and SAAQ.

Note. — The SAAQ site is currently being redeveloped to address feedback received from users.
States

- Indicate compliance with and/or difference to SARPs (with details).
- This complies with both Article 38 of the Chicago Convention and CMA MOU.

ICAO

- Reviews/monitors the level of global compliance/difference.
- Generates e-Supplement.
**Submit/Update CCs**

- Conduct a preliminary data entry **Online/Offline**
- Save a draft **Online**
- Submit/Update CCs **Per Annex**
- To be shared with other States

**EFOD**

- Choose Standards only or All SARPs **Per Annex**
- Submit official notification to ICAO
- To be used for generation of Supplement

**ICAO to monitor and share information on implementation of SARPs**

**Work is in progress.**
This feature is available only to NCMCs.

- Once the WORD document is downloaded, data in the EFOD system is locked.
- To enable users to edit data online, NCMC should upload the WORD document or unlock the data.
Self-Assessment

🧳 States

- Search and view PQs selected.
- Conduct **self-assessment** on safety oversight system:
  - Update implementation status of PQs (S/NS/NA), with evidence.
  - Provide implementation status of new PQs.
  - Attach evidence documents.

ница ICAO

- Keeps PQs up to date.
- Updates status of implementation of State’s PQs based on **latest CMA activities**.
- Generates State’s Effective Implementation (EI).
- Collects information from external stakeholders.
Self-Assessment

Search a PQ

Select a PQ

Status of Implementation by ICAO – View-only

Activity: ICAO Core

Start Date: 26/03/2012

End Date: 20/03/2012

Report Publication Date: 31/08/2012

Description:

Hungary has promulgated aircraft operations regulations in the form of the Ministerial Decree No. 20 of 2002, which is based on the Joint Aviation Requirements (JAR) Operations (OPS). However, this Decree brings into force the JAR OPS through its Amendment 2; while in practice, Hungary applies some of the later JAR OPS amendments (the latest being amendment 13). Not all provisions of ICAO Annex 6 are reflected in the national regulations.

Progress Documented:

Evidences:

Self-Assessment by States

Reply to Protocol Question:

Status of Implementation: Not satisfied

Last Modified:

Remarks:

Evidences:

Upload/attach evidence

Attach evidence (e.g., PDF or XPS), limited to 10 files and maximum of 10 MB per file

CMA Workshop Module 3

3 February 2016
Mandatory Information Request (MIR)

- ICAO
  - Requests States to submit specific information and documentation.
  - Includes the following information when issuing MIRs:
    - Pertinent PQ(s);
    - Reason(s) and relevant reference(s); and
    - Deadline for submission of requested information.
  - Records the result from review of submitted information.
  - Updates status of MIR (closed/open/escalated to Findings/SSC).
States

- Respond with evidence requested.
- Provide requested information and/or documentation.
- Request extension of MIR deadline.
Corrective Action Plan (CAP)

- **States**

  - Search and view PQ Finding(s) issued to a State.
  - View CAPs submitted during CSA audit cycle.
  - Submit/update a CAP to address a PQ Finding:
    - A list of proposed actions;
    - Action office(s) to the proposed actions;
    - Estimated implementation date (dd/mm/yyyy); and
    - Revised implementation date, when required.
  - Provide regular progress reports on a CAP:
    - Completion (%) of each proposed action;
    - Date of completion; and
    - Supporting evidence (reference).
Finding by ICAO – View-only

List Of Not Satisfactory PQs

Select a PQ

<table>
<thead>
<tr>
<th>Activity</th>
<th>Start Date</th>
<th>End Date</th>
<th>Report Publication Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>CSA Audit</td>
<td>09/07/2007</td>
<td>16/07/2007</td>
<td>30/04/2008</td>
</tr>
</tbody>
</table>

Description:

South Africa has established procedures for the amendment of its specific regulations and for the identification and notification to ICAO of differences arising between the ICAO SARPs and South Africa’s regulations and practices. However,

1) the established procedures do not ensure the systematic and timely amendment of national regulations in line with the ICAO SARPs.

Corrective Action Plan, Action Items: 15/12/2011

<table>
<thead>
<tr>
<th>Step</th>
<th>Proposed Action</th>
</tr>
</thead>
</table>

Corrective Action Plan

<table>
<thead>
<tr>
<th>Est. Imp. Date</th>
<th>Rev. Imp. Date</th>
<th>Date Of Completion</th>
<th>Progress Status</th>
</tr>
</thead>
</table>

State Comment: 31/01/2013

CAP provided by the State

- [CAP full address the finding]
- [CAP full address the finding]
- [CAP full address the finding]

- Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?
- Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?
- Does the primary aviation legislation make provisions for the delegation of authority and the assignment of corresponding responsibility to the CEO to develop, issue and revise operating regulations and rules consistent with the provisions of the Annexes to the Chicago Convention?
ICAO

- Records status of CAP review (e.g. In progress or Completed).
- Records result of review of a proposed CAP and add comments.
- Monitors progress of CAP implementation.
Final reports (static)

- Final reports of activities conducted since the first cycle of USOAP.
- Published according to predetermined timeline after an activity.
USOAP Live Charts

✔ Dynamic graphic illustrations of USOAP data.
✔ Based on most recent online and/or on-site activity for each audit area/CE.

Note.— When you click the icon, you will be asked to log into the ICAO Portal website (separate user account), where the report resides in Space/iSTARS.
A centralized library for documents related to USOAP CMA, including:

a) Assembly and Council Working Papers;


c) Generic MOU approved by the Council;

d) Master copies of PQs and SAAQ;

e) State Letters and Electronic Bulletins;

and

f) USOAP CMA activity schedule.
Feedback

- **States**
  - ✔ Report issues and send queries about OLF.

- **ICAO**
  - ✔ Keeps track and manages resolution of all reported issues.
Updating EFOD
In April 2011, per SL AN 1/1-11/28, States were invited to:

- Use EFOD as an alternative means for filing differences to all Annexes (except Annex 17).
- Verify and confirm the data in EFOD which were previously entered through the CCs under USOAP.

Over 100 States have been updating data on EFOD.

45 States have sent replies:
- 34 States have completed verification.
- 11 States have submitted plans for completion.
Review

- Overview of CMA OLF
- Functionalities of OLF Modules
- Updating EFOD
Review

1) The CMA Online Framework is a web-integrated system which includes:

   a) __________ of safety-related information and documentation from different sources; and
   b) __________ and ____________ of safety oversight activities by ICAO and Member States.
2) Name 3 of the 5 functions that a State can perform using the OLF.

a) Manage OLF user accounts.
b) Keep SAAQ and CC/EFOD up to date.
c) Provide CAP updates and/or progress per corresponding PQ findings.
d) Conduct PQ self-assessment.
e) Respond to MIRs.
Review

3) Who has full control of user accounts for the State?
   • NCMC

4) Which icon is used for “Filing of Differences”?
   • “Manage CCs/EFOD” icon

5) Name 3 of items on the OLF CMA library?
   a) Assembly and Council Working Papers
   c) Generic MOU approved by the Council
   d) Master copies of PQs and SAAQ
   e) State Letters and Electronic Bulletins
   f) USOAP CMA activity schedule
THANK YOU