



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

USOAP CMA Workshop

Module 4

Updates on CMA Online Framework and
Electronic Filing of Differences (EFOD) system

Contents



- **Overview of CMA Online Framework**
- **Functionalities of each component**
- **Implementation of revised protocol questions**
- **Update on EFOD**
- **Finding of Differences Task Force (FDTF)**



Overview of CMA Online Framework



CMA Online framework is....

- ❑ **A suite of web-integrated applications and centralized database systems** which includes:
 - ✓ **Collection** of safety-related information and documents from different sources
 - ✓ **Monitoring** and **reporting** of safety oversight activities by ICAO and Member States

Access through...



❑ ICAO USOAP Restricted Website (www.icao.int/usoap)

The screenshot shows the ICAO website header with the logo and the text 'ICAO Uniting Aviation on Safety | Security | Environment'. Below the header is the title 'English ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Online Framework Logon Page'. The main content area contains a list of six points describing the website's purpose and the types of activities it supports. Below this is a 'Login' form with fields for 'User ID or Email' (containing 'ckim') and 'Password', and an 'OK' button. At the bottom, there are two yellow highlighted boxes with notes: 'NOTE: The PQ, CAP, F&R, and State Dashboard Modules are now available.' and 'CC/EFOD Offline Feature is now available.'. The footer includes the copyright notice '© 2013 ICAO, All Rights Reserved' and the ICAO logo.

English ▾ ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Online Framework Logon Page

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.

Login

User ID or Email:

Password:

NOTE: The PQ, CAP, F&R, and State Dashboard Modules are now available.

CC/EFOD Offline Feature is now available.

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Modules/Components



Crystal Kim, ICAO - SSA

[Log Out] [Home]



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STATE OPTIONS

(Select a State) ▾

State Dashboard



Access Control



Significant Safety Concerns



Tutorials & Help



Manage SAAQ



Manage CAPs



USOAP Reports



CMA Library



Manage PQs



Manage F&Rs



USOAP Live Charts



Feedback



Manage CCs / EFOD



E-Supplements



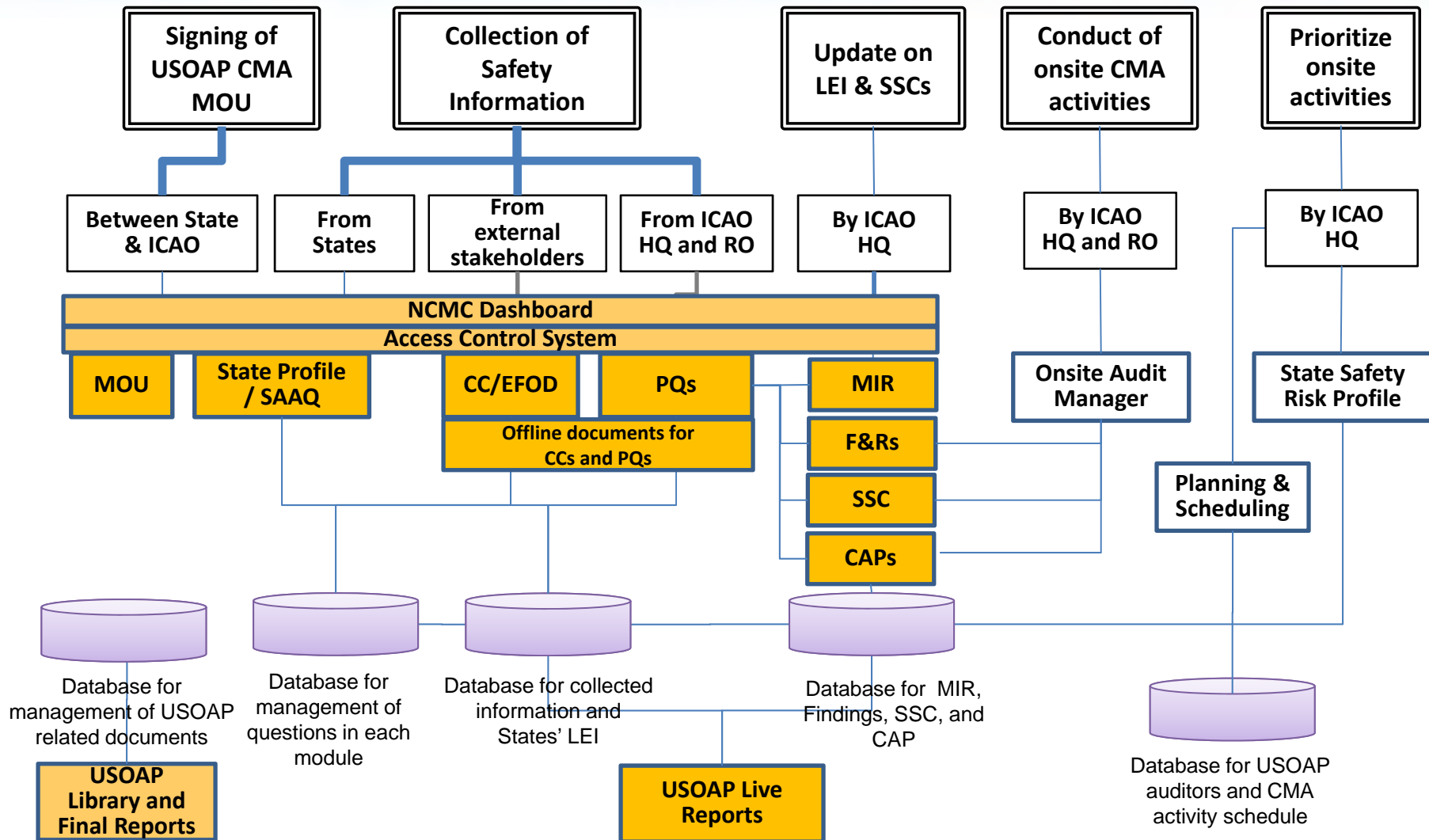
Manage MOU



Manage MIR



OLF Modules/Components



States' OLF functions



- Manage OLF user accounts
- Keep up-to-date SAAQ and CC/EFOD
- Provide a CAP update and/or progress per corresponding protocol finding
- Provide self-assessment of each “Not Satisfactory” PQ
- Respond to MIRs



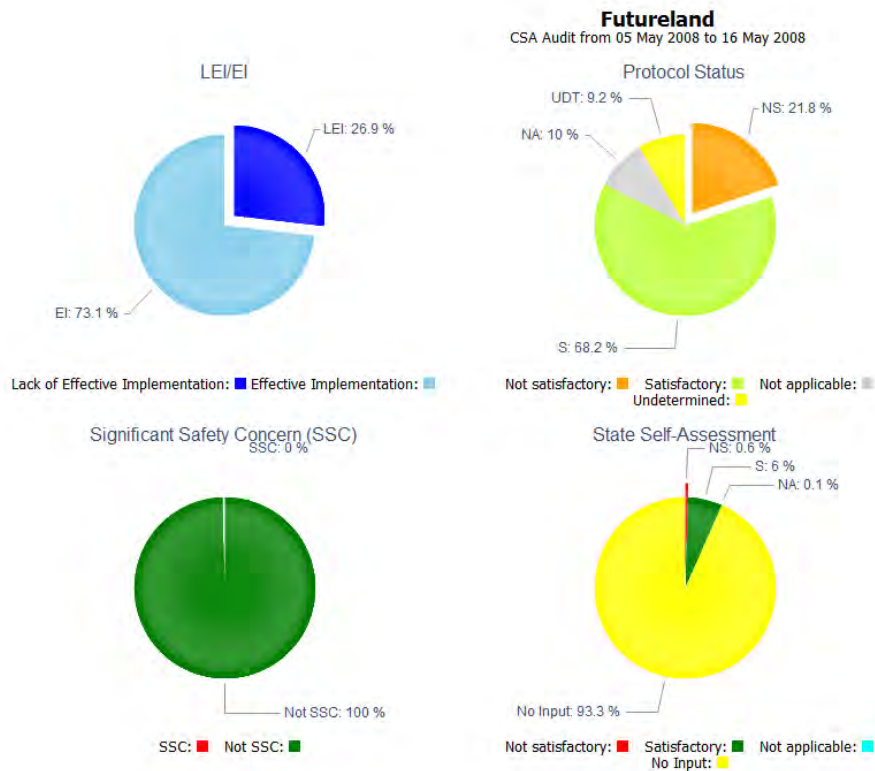
Functionalities of each component

State Dashboard



States (NCMCs) can view:

State Dashboard

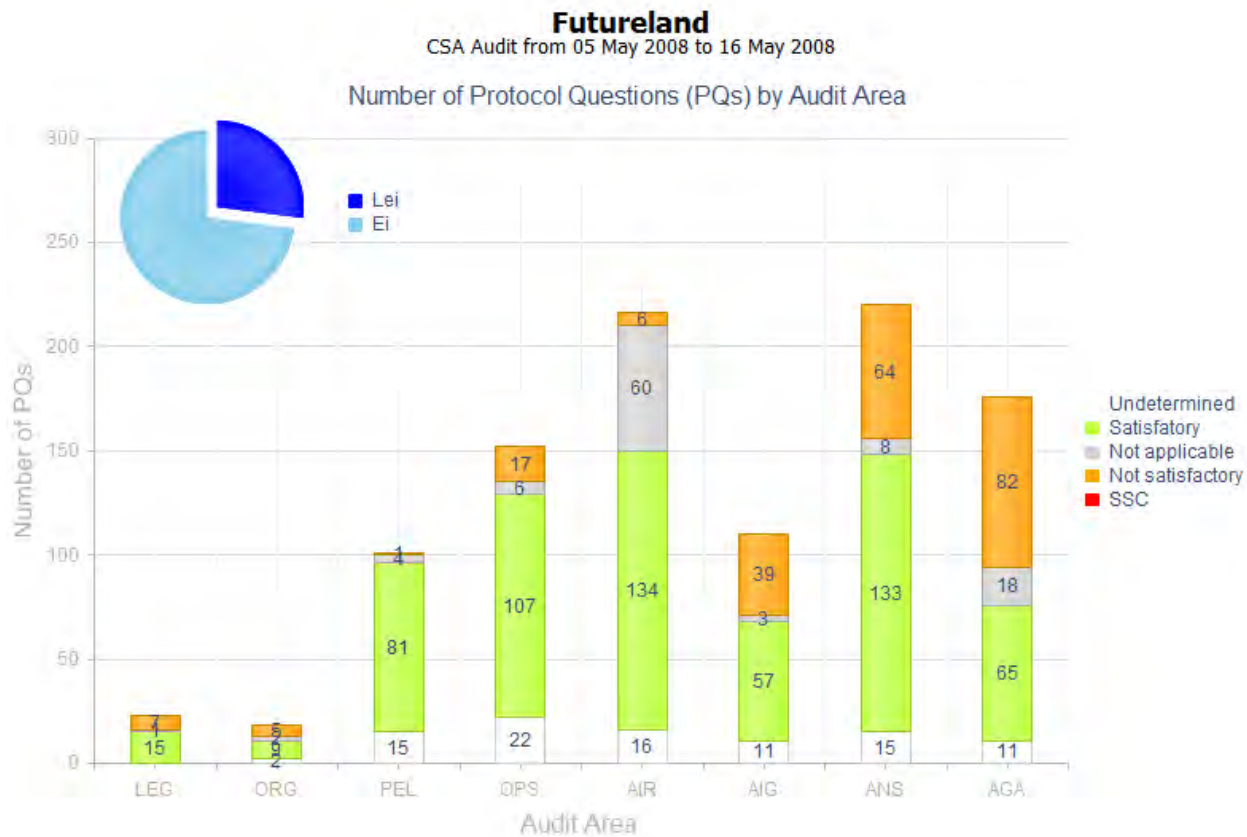


State Dashboard



States (NCMCs) can view:

State Dashboard



Access Control



□ NCMCs

- ✓ Have a full control of user accounts for the State
 - Issuing additional user accounts
 - Deactivating invalid user accounts
 - Setting individual user rights/permissions

□ Individual users

- ✓ Manage user profile information
- ✓ Personalize password

Note: If you are not an NCMC and want to have access to the online framework, please contact the NCMC(s) of your State



Access Control



User account

- ✓ composed of “ID or Email address” and password
- ✓ duplicate IDs or email addresses are not accepted

Access rights

- ✓ 3 types (limited, read-only or read/write)
- ✓ CC/EFOD : access rights can be granted per Annex
- ✓ PQ, CAP and F&R : access rights are permitted for all technical areas

State Aviation Activity Questionnaire (SAAQ)



States

✓ Complete and update the State Profile and SAAQ

- Most feedback received from users has been addressed
- Feature to download and print completed SAAQ is under development

A screenshot of the ICAO SAAQ Profile Page. The page title is 'CMA SAAQ Profile Page'. It contains a form with the following sections:

- 1. Provide the name, title and address of the person designated as the State coordinator with respect to the ICAO Universal Safety Oversight Audit Programme (USOAP) (National Continuous Monitoring Coordinator (NCMC)).
 - Name: _____
 - Title: _____
 - Contact Address: _____
 - Telephone: _____
 - Fax: _____
 - Email: _____
- 2. What is the normal workweek, e.g. Mon to Fri:
 - Monday to Friday
 - Saturday to Wednesday
 - Other
- 3. What are the normal working hours:
 - 0900 to 1700
 - 0730 to 1430
 - Other
- 4. What public holidays (government or other) periods for essential staff should be avoided:
 - _____



Compliance Checklist / Electronic Filing of Differences (CC/EFOD)



States

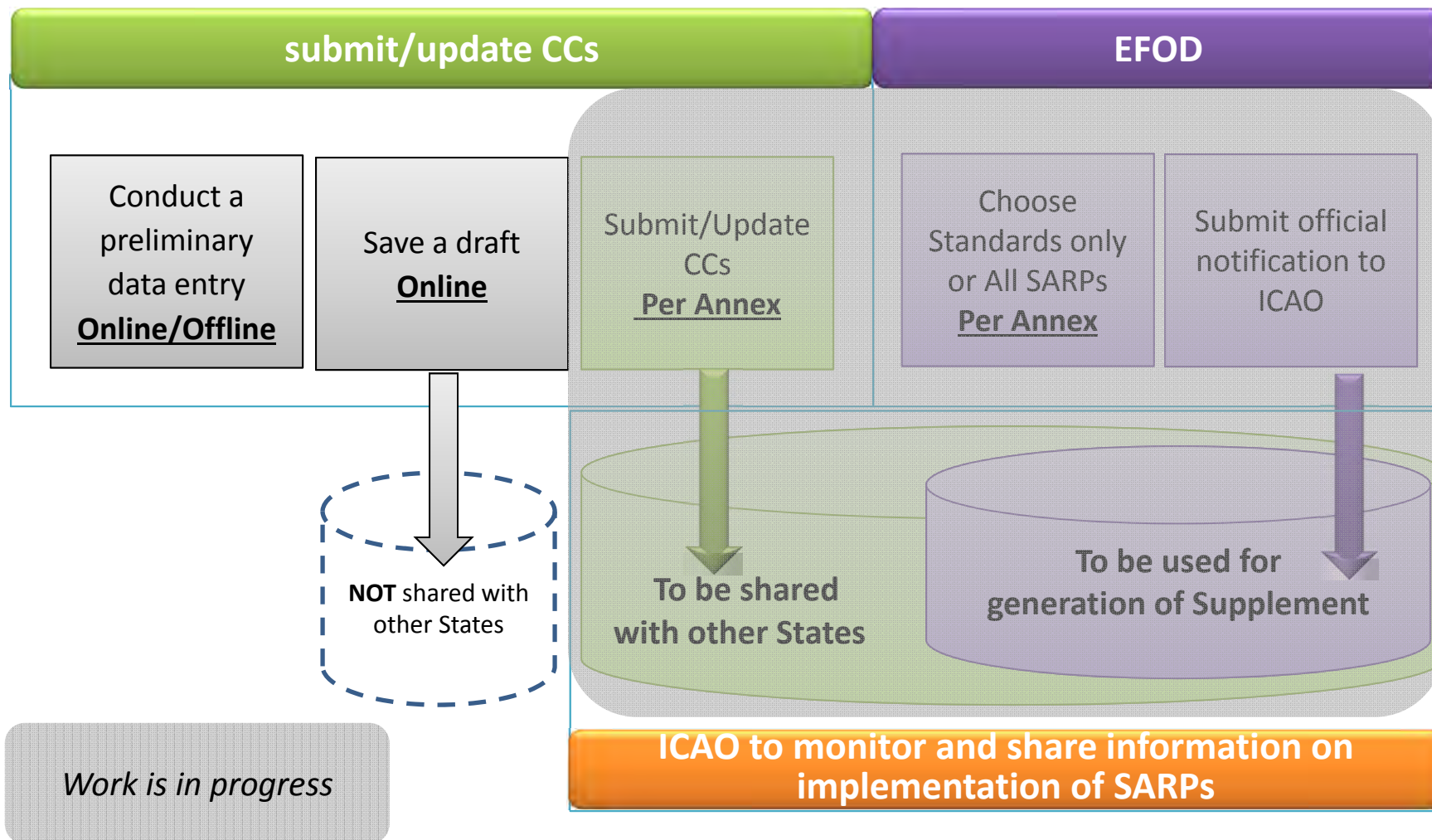
- ✓ Indicate compliance with and/or difference to SARPs with details
- ✓ This complies with both the Convention Art. 38 and CMA MOU

ICAO

- ✓ Reviews/monitors the level of global compliance/difference
- ✓ Generate e-Supplement

The image shows a screenshot of the EFOD (Electronic Filing of Differences) system interface. The top part displays the title 'Annex 17 UNITS OF MEASUREMENT TO BE USED IN AIR AND GROUND OPERATIONS, FIFTH EDITION - JULY 1979' and a disclaimer: 'Disclaimer: Annex information displayed on the EFOD System is provided only as a reference to facilitate the filing of differences and completion of CC. ICAO publications shall continue to be the definitive source of Annex information.' Below this, the text 'INTERNATIONAL STANDARDS AND RECOMMENDED PRACTICES' and 'CHAPTER 1. DEFINITIONS' is visible. The bottom part of the screenshot shows a form for filing a difference, with fields for 'State Reference', 'Details of Difference', and 'Remarks'. A yellow folder icon labeled 'Annex 1' is overlaid on the bottom right of the form.

Compliance Checklist / Electronic Filing of Differences (CC/EFOD)



Preformatted word document



- ❑ The feature is available only to NCMCs
 - ✓ Once the word document is downloaded, data in the EFOD system is locked
 - ✓ In order to allow users to edit data online, NCMC should either upload the word document or unlock the data

Electronic Filing of Difference System Export Tool

[Return to CC\EFOD](#)

Please Note :

This export feature is utilized for the completion of the EFOD/CC system offline, Annexes which are exported will be locked as "read Only - Exported" until the State has imported the State's data back into the system.

Annexes marked as "Read Only - Exported" can be manually overridden by the NCMC.

* You have read and understand the above notice.

[Next>](#)

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Protocol Questions (PQs)



☐ States

- ✓ View and search PQs
- ✓ Conduct a **self-assessment** on safety oversight system
 - Update implementation status of PQ(S/NS/NA) with evidence
 - Provide implementation status of new questions
 - **Attach evidence documents**

Manage PQs



☐ ICAO

- ✓ Keep Protocol Questions updated
- ✓ Update status of State's PQ based **on latest CMA activities**
- ✓ Generate the State LEI
- ✓ Collect information from external stakeholders

Protocol Questions (PQs)



Search a PQ

Status of Implementation Audit Area Audit Area Group Critical Element Critical Element Group SSC PQ/Finding No. [Clear](#)

Select a PQ

4,001 OPS CE-2 N/S	Has the State promulgated aircraft operations regulations to enable the State to implement the provisions of ICAO Annex 6?
4,003 OPS CE-2 N/S	Has the State developed and implemented procedures for the amendment of its enabling regulations?
4,005 OPS CE-2 N/S	Has the State developed and implemented a procedure for identifying and notifying differences, if any, to ICAO?
4,007 OPS CE-2 N/A	If the State has adopted aircraft operations regulations from another State, has it developed and implemented a procedure for ensuring that these regulations comply with ICAO Annex 6 initially and on an ongoing basis subsequent to an Annex amendment or an amendment by the originating State?
4,009 OPS CE-2 S	Are copies of the aircraft operations enabling regulations (including directives, orders, circulars, publications, etc.) applicable in the State readily available to the public?
4,011 OPS CE-2 S	Has the State published in the AIP, Part 1 GEN, significant differences between its operating regulations and practices and related ICAO SARPs and procedures to ensure users have ready access to this information.
4,021 OPS CE-3 S	Has the State established an organizational structure for aircraft operations e.g. directorate/department/ division/section/office for the certification of commercial air transport operations?
4,023 OPS CE-5 S	Has the State established and documented procedures for coordination on certification, licensing and approval activities with other relevant areas such as airworthiness of aircraft and/or personnel licensing?

Page size: Displaying page 1 of 18, items 1 to 8 of 141
 Page: of 18

Status of Implementation by ICAO – View-only

Reply to Protocol Question Status of Implementation CSA Audit Finding SSC

Activity Start Date End Date Report Publication Date

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:

Evidence:

Self-Assessment by States

Reply to Protocol Question Status of Implementation Last Modified [Click To View CAP](#)

Remarks:

Evidence:

Upload/attach evidence

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

Mandatory Information Request (MIR)



□ ICAO

- ✓ Requests States to submit specific information and documentation
- ✓ Includes the following information when issuing MIRs
 - Relevant PQ(s)
 - Reason and reference for requesting information
 - Due date for requested information
- ✓ Records the result of review on submitted information and updates the status of MIR (closed/open/escalated to Findings/SSC)

Manage MIR



Mandatory Information Request (MIR)



States

- ✓ Request extension of the due date
- ✓ Respond with evidence requested
- ✓ Supply requested information and/or documentation

Note: For the time being, emails will serve as a main tool for ICAO to issue MIR until the online application is in place

ID	Protocol
1.001 LEG CE-1	Has the State promulgated primary aviation legislation (not aviation act, code of civil aviation, aeronautics code, etc.)?
1.003 LEG CE-1	If the State has not promulgated primary aviation legislation, what method is used to meet its obligations as a signatory of the Chicago Convention?

Corrective Action Plan (CAP)



☐ States

- ✓ **View and search Finding(s) issued to a State**
- ✓ **View CAPs submitted during the CSA audit cycle**
- ✓ **Submit/update a CAP to address a Finding**
 - A list of proposed actions
 - Action office(s) to the proposed actions
 - Estimated implementation date (dd/mm/yyyy)
 - Revised implementation date, when required
- ✓ **Provide regular progress reports on a CAP**
 - Completion (%) for each proposed action
 - Date of completion
 - Supporting objective evidence (reference)



Corrective Action Plan (CAP)



List Of Not Satisfactory PQs

Select a PQ	
1,009 LEG CE-2 CAP: 0% CAP fully addresses the finding.	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?
1,015 LEG CE-1 CAP: 0% CAP fully addresses the finding.	Has the State primary aviation legislation established clear delegation of authority to the head of the civil aviation organization(s)?
1,021 LEG CE-1 CAP: 0% CAP fully addresses the finding.	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?
1,025 LEG CE-2 CAP: 0% CAP fully addresses the finding.	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?
1,029 LEG	If the State has adopted regulations from another State, has it established and implemented a procedure for ensuring that these

Protocol Finding

Finding by ICAO – View-only

Activity: CSA Audit Start Date: 05/07/2007 End Date: 16/07/2007 Report Publication Date: 30/04/2008

Description:
South Africa has established procedures for the amendment of its specific regulations and for the identification and notification to ICAO of differences existing 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

Progress Documented:

CAP provided by States

Corrective Action Plan, Action Items: 16/12/2011

+ Add new record		Refresh					
Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete 1						Not started
Verify compliance of regulations with Annexes - Action office: SACAA/DOT/ SAWS - Estimated Implementation Date: 31 May 2008 Amend regulations to incorporate the amendments of the Annexes. - Action office: SACAA/DOT/ SAWS - Estimated Implementation Date: 31 December 2008 Review and adapt the regulations amendment process to ensure that amendments to Annexes are made in an effective and timely manner. - Action office: DOT & SACAA - Estimated Implementation Date: 31 May 2008 Review liaison with all agencies (SACAA, ATNS, ACSA, SAWS, ICASA, SAR) iro Annex amendment notification and responses and amend procedures to ensure effectiveness. - Action office: DOT & Agencies - Estimated Implementation Date: Completed Review liaison with all agencies (SACAA, ATNS, ACSA, SAWS, ICASA, SAR) iro the identification and notification of differences and amend procedures to ensure effectiveness. - Action office: DOT & Agencies - Estimated Implementation Date: 30 April 2008 Identify regional differences in Regional Supplementary Procedures and incorporate into South African regulations. - Action office: SACAA, ATNS - Estimated Implementation Date: 31 December 2008 Publish existing significant differences with the Annexes in the AIP. - Action office: SACAA - Estimated Implementation Date: Completed							

Corrective Action Plan

[Draft Copy](#)

Est. Imp. Date: Rev. Imp. Date: Date Of Completion: Progress Status: 0%

State Comment: 31/01/2013 [Save As Draft](#) [Click to Update PO Status or Attach Evidence](#)

[Submit to ICAO](#)

Corrective Action Plan (CAP)



ICAO

- ✓ Record status of a CAP review (In progress/Completed)
- ✓ Record result of a review on a proposed CAP with comments
- ✓ Monitor progress made to a CAP

The screenshot displays the ICAO CAP system interface. On the left, a 'List Of Not Satisfactory PQs' table lists findings with their IDs (e.g., 1.009, 1.015, 1.021, 1.025, 1.029) and descriptions. The main area shows a 'Protocol Finding' for finding 1.009, detailing the issue with South Africa's procedures. Below this, the 'Corrective Action Plan, Action Items' table shows a single action item: 'Verify compliance of regulations with Annexes...'. The 'Corrective Action Plan' summary at the bottom indicates a progress status of 0%.

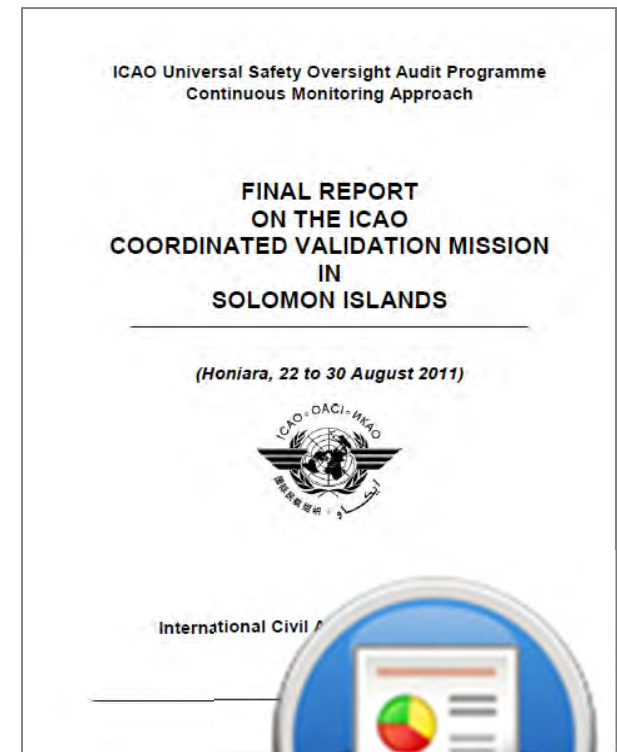


USOAP report



□ Final report (static)

- ✓ Final reports based on activities conducted since the first cycle of USOAP
- ✓ Published according to predetermined timelines after an activity

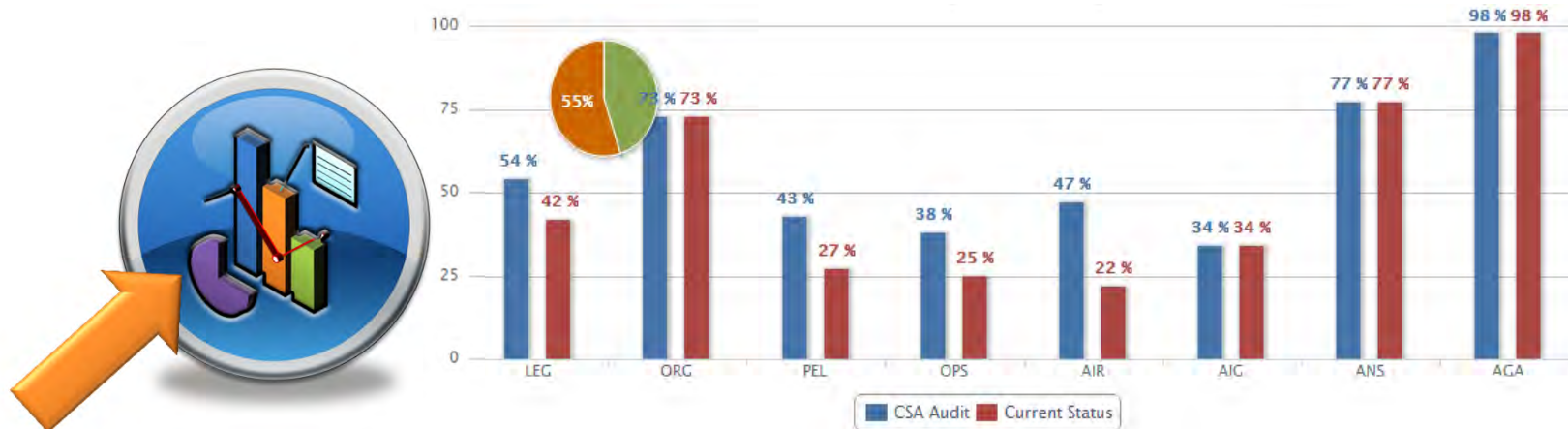


USOAP Report



□ USOAP live charts (dynamic)

- ✓ Based on the most recent online and/or onsite activity for each audit area/CE



Note: When you click the icon, you will be requested to enter a user account for ICAO Portal since the report resides on iSTARS.

❑ A centralized library for documents related to USOAP CMA including:

- ✓ Assembly and Council Working Papers
- ✓ Doc 9734 – Safety Oversight manual and Doc 9735 - USOAP CMA manual
- ✓ Generic MOU approved by the Council
- ✓ Master copies of PQs and SAAQ
- ✓ State Letters and Electronic Bulletins
- ✓ USOAP CMA activity schedule



Tutorials and Help



☐ Provides access to all training/tutorial material related to USOAP CMA including:

- ✓ [Tutorial videos/help files](#) on how to use USOAP CMA online framework
- ✓ CBT on how to develop an effective CAP
- ✓ Up-to-date workshop/seminar materials in available languages



Feedback



States

- ✓ Report issues and send queries related to CMA online framework

ICAO

- ✓ Keeps track of all reported issues and manages the resolution of such issues





Updating EFOD

Verification by States



In April 2011, States were requested to: (SL AN 1/1-11/28)

- ✓ Recognize EFOD as an alternative means of filing of differences
- ✓ Verify and confirm the data in EFOD which had previously been submitted through CC under USOAP
 - Over 100 States have been updating data in EFOD
 - 45 States sent replies (34 States completed verification, 11 States submitted plan for completion)



Filing of Differences Task Force (FDTF)

Background



- ❑ **Unclear requirements regarding filing of differences from ICAO provisions**
- ✓ According to USOAP report, more than 70% audited States were found to be not satisfactory in fulfilling requirements of filing and publication of differences.

Convention Article 38 and Assembly Resolution

- Notification to ICAO of **ALL** differences from Annex provisions

Annex 15

- Publication in the AIP of **SIGNIFICANT** differences from Annex, PANS and SUPPs provisions

- **Overview of CMA Online Framework**
- **Functionalities of each component**
- **Implementation of revised protocol questions**
- **Electronic Filing of Differences**

Review



1. The online Framework is a web-integrated system which includes:

_____ of safety-related information and documents from different sources, _____
_____ and _____ of safety oversight activities by ICAO and Member States

a. Collection, Monitoring, Reporting (Slide 4)

Review



2. Name 3 of the 5 functions that a State can perform using the OLF.

- Manage OLF user accounts
- Keep up-to-date SAAQ and CC/EFOD
- Provide a CAP update and/or progress per corresponding protocol finding
- Provide self-assessment of each “Not Satisfactory” PQ
- Respond to MIRs

Slide 8

Review



3. Who has full control of user accounts for the State?

- NCMC (Slide 12)

4. Which icon is used to access filing of differences?

- “Manage CCs/EFOD” icon (Slide 15)

5. Name 3 of items on the OLF CMA library?

- Assembly and Council Working Papers
- Doc 9734 – Safety Oversight manual and Doc 9735 - USOAP CMA manual
- Generic MOU approved by the Council
- Master copies of PQs and SAAQ
- State Letters and Electronic Bulletins
- USOAP CMA activity schedule

(Slide 27)