

Regional Seminar/Workshop on CMA and SAST

September 2011

USOAP CMA Online Framework

Module 6

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Contents

- 6.1 Overview of CMA online framework
- 6.2 Functionalities of each component (MOU, State Profile, SAAQ, CCs, PQs, etc)
- 6.3 Responsibilities of State according to CMA Transition Plan, MOU and Doc 9735
- 6.4 Demonstration and hands-on exercises



6.1 Overview of CMA online framework

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CMA Online framework is....

- ☐ A suite of web-integrated applications and centralized database systems to support the implementation of CMA activities, which includes:
 - ✓ Collection of safety-related information and documents from different sources
 - ✓ Monitoring and reporting of safety oversight activities by Member States



Access through....



www.icao.int/usoap

sight Audit Programme (USOAP) Website



this website has been developed to provide all Contracting States access to an online system for the:

ctivity Questionnaire (SAAQ):

- 2. completion of the Compliance Checklists (CC's) for the 16 safety-related Annexes; and
- access to the results of the Comprehensive Systems Approach Audits including the audit findings, recommendations, State's action plan and
 comments, as well as the comments of the Safety Oversight Audit Section on a State's action plan in addition all relevant information
 derived from the Audit Findings and Differences Database (AFDD).

www.icao.int/soa



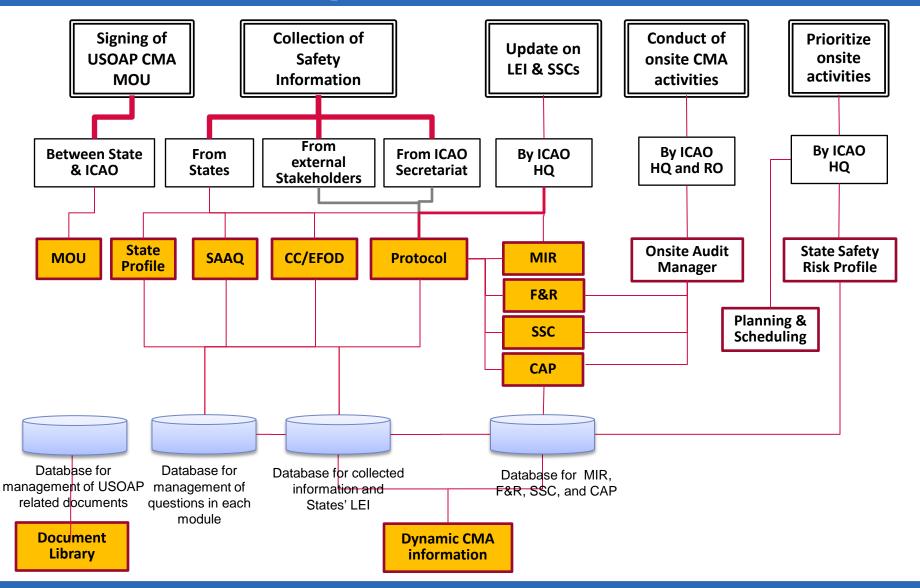


ID/Password

- ☐ The User IDs/Passwords previously issued for access to the USOAP Restricted Website (www.icao.int/soa) remain valid.
- □ Requests for issuance and/or update of user ID/passwords should be sent to ICAO (sast@icao.int) through the National Continuous Monitoring Coordinators(NCMCs).

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Module/Components





Module/Components





6.2 Functionalities of CMA online framework



MOU Module

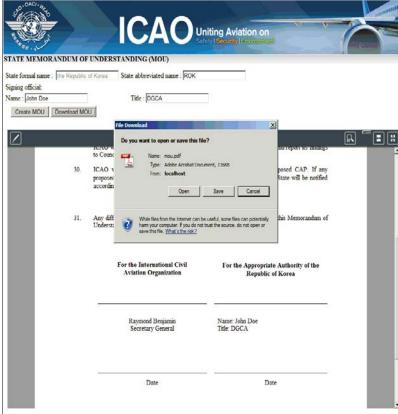
□ States

✓ Personalize MOU by entering name of State

& signing official

✓ Download & print the MOU





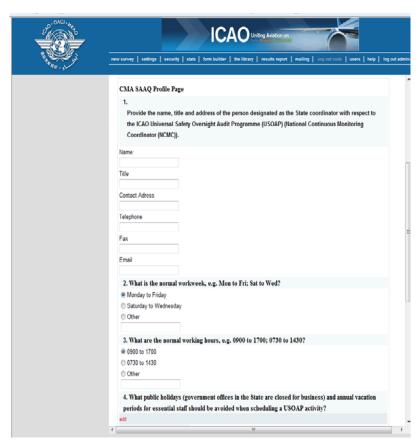


State Profile

□ States

- ✓ To complete basic State information that includes:
 - NCMC(s)
 - CAA website(s)
 - Working days/hours
 - Primary aviation legislation
 - Civil aviation organization(s)







SAAQ

☐ States to:

✓ Complete and update SAAQ information

☐ ICAO to:

- ✓ Update SAAQ questions
- ✓ Record comments/feedback on information submitted

by States



No. of the last of	ICAO Uniting Aviation con												
48.	PART 4 — AIRCRAFT C	PERATIONS											
	Indicate the active number of commercial air transport operators certified by the State. (Note.— Do not include foreign air operators authorized to operate into and out of the State) Select all that apply and indicate the numbers in the following table:												
	AOC holders with aeroplanes AOC holders with helicopters AOC holders with both aeroplanes and helicopters Other (specify):	Domestic flights only	International flights	International cargo flights only									
	Dangerous goods CAT II CAT IIIA CAT IIIB CAT IIIC Reduced vertical separal Extended range operation Minimum marigation perf	nctive authorizations or app disconminimum (RVSM) ins by aeroplanes with two turt formance specifications (MIPS or certificates (AOCs) were	oine engines (ETOPS)										
	>20 -												



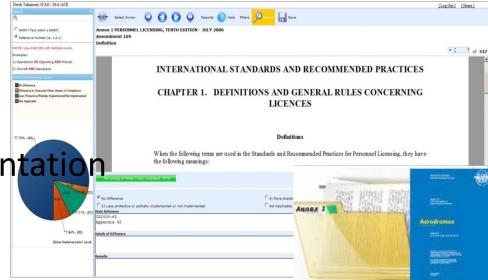
CCs/EFOD

☐ States to:

- ✓ indicate compliance with and/or difference to SARPs with details (regulation reference and description of differences)
- ✓ kill two birds with one stone to meet obligations under CMA MOU and Convention Art. 38

☐ ICAO to:

✓ review and monitor level of global implementation







Notify ICAO of differences

ATTACHMENT C to State letter AN 6/1.1-10/26

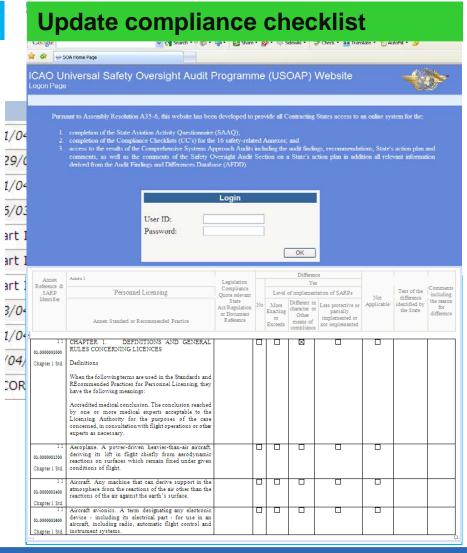
NOTIFICATION OF COMPLIANCE WITH OR DIFFERENCES FROM ANNEX 13

(including all amendments up to and including Amendment 13)

To:	The Secretary General
	International Civil Aviation Organization
	999 University Street
	Montreal, Quebec
	Canada H3C 5H7

	lations and/or prac	tices			uding Amendment 13.	1	between the nation — and the provision
	lations and/or prac	tices			ote 3) below.)		— between — and the provision
a)	Annex Provision	b)	Difference Category	c)	Details of Difference	d)	Remarks
			(Please indicate		(Please describe the		(Please indicate

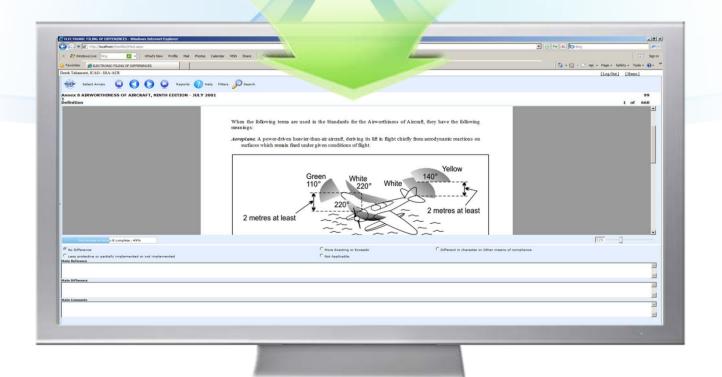
(Please use extra sheets as required)





CCs/EFOD

File differences pursuant to Article 38 of Chicago Convention Keep up-to-date compliance checklist pursuant to MOU for USOAP CMA





CMA Protocol

☐ States to:

- ✓ Update status of PQ(S/NS/NA) with evidence
- ✓ Provide status of PQ to new questions
- ✓ Attach evidence documents

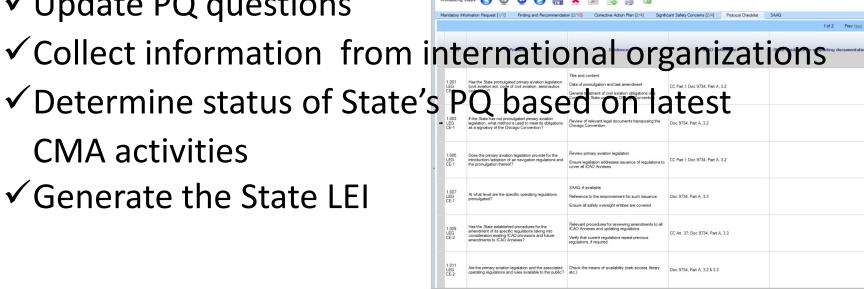
☐ ICAO to:

✓ Update PQ questions

✓ Collect information from international organizations

CMA activities

✓ Generate the State LEI



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MIR

☐ ICAO to:

- ✓ Request States to submit specific information and documentation
- ✓ Include the following when issuing MIR
 - Relevant PQ(s)
 - Reason and reference for requesting information
 - Due date for requested information
- ✓ Record the result of review on submitted information and update the status of MIR (Closed/Open/escalated to F&R/SSC)

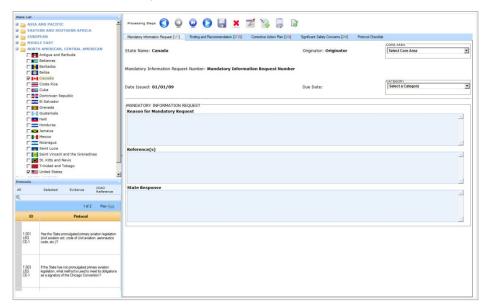




MIR

☐ States to:

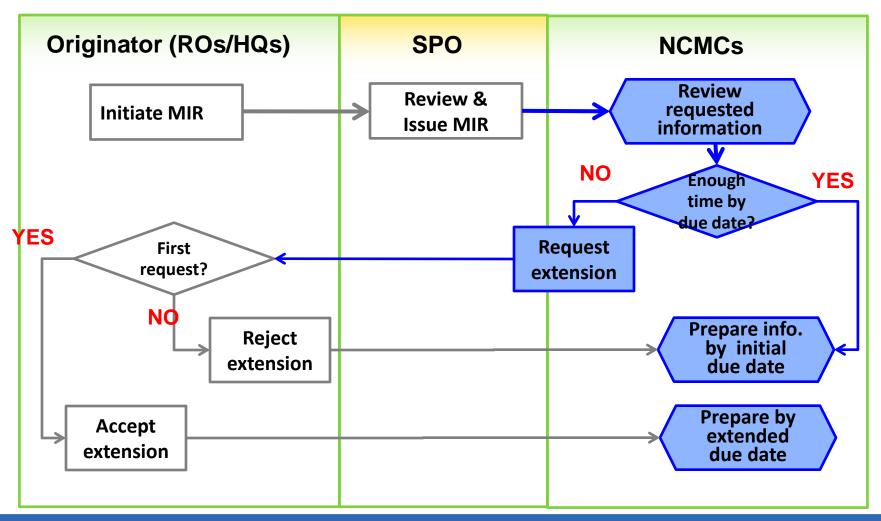
- ✓ Request extension of the due date (once only)
- ✓ Provide plan of action to the issued MIR
- √ Supply requested information and/or documentation





Workflow related to MIR

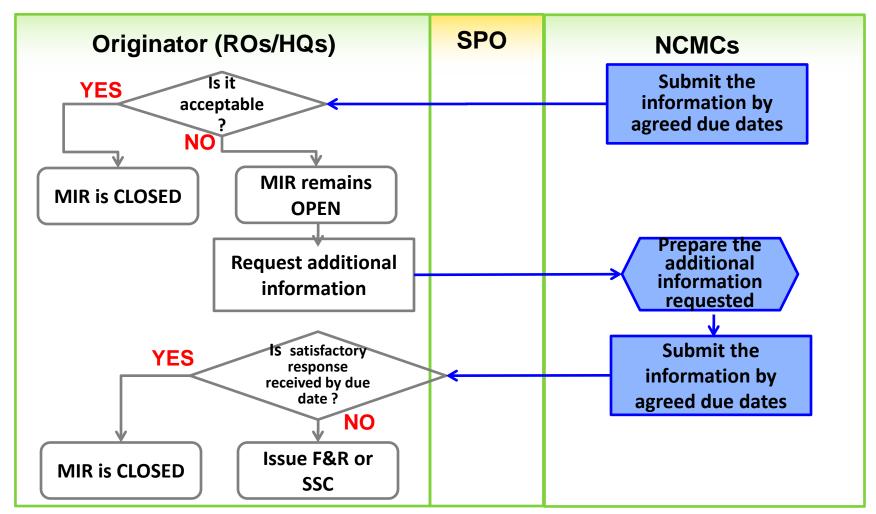
☐ Issuance of MIR & Coordination with NCMC





Workflow related to MIR

☐ Update status of MIR



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F&R

☐ ICAO to:

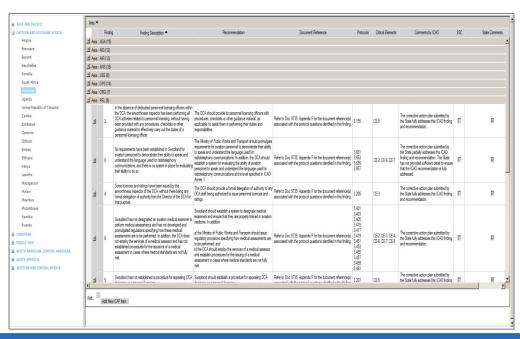
- ✓ Issue F&R including:
 - PQ(s) and applicable CE(s) found be to not-satisfactory;
 - A description of the identified deficiency; and
 - ICAO's recommendation on how to resolve the identified finding and how to complete and submit the CAP.
- ✓ Record the status of F&R (Closed/Open)
 - F&R can only be closed when implementation of CAP is completed and validated
 - The closure of F&R will lead to changing status of all related PQs (Not satisfactory – Satisfactory) and State LEI
- ✓ Escalate the F&R to SSC



F&R

☐ States to:

- ✓ View and search issued F&Rs
- ✓ Record acceptance of issued F&R (yes/no)
- ✓ Provide comments, if any



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CAP

☐ States to:

- √ View and search F&Rs issued to a State
- √ View CAPs submitted during the CSA audit cycle
- ✓ Submit/update a CAP to a F&R including:
 - A list of proposed actions;
 - Action office(s) to the proposed actions;
 - Estimated implementation date (dd/mm/yyyy)
 - Revised implementation date, when required

✓ Record progress made to a CAP including:

- completion (%) for each proposed action
- Date of completion
- Supporting objective evidence



CAP

☐ ICAO to:

- ✓ Record status of a CAP review
- ✓ Record acceptability of a proposed CAP with comments
 - CAP not submitted to address the F&R
 - Does not address the F&R
 - Partially addresses the F&R
 - Fully addresses the F&R
- ✓ Monitor progress made to a CAP
- ✓ Document collected evidence

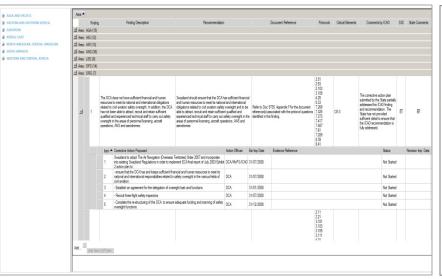






CAP in iSTARS

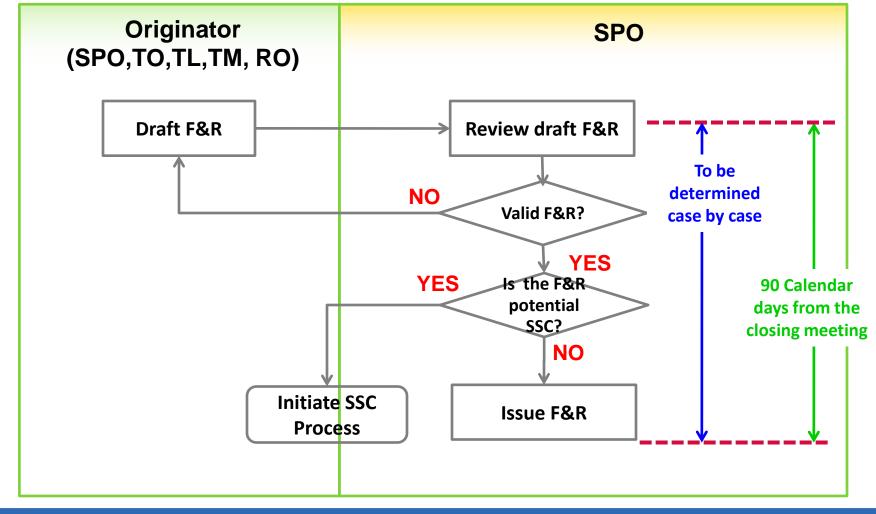
- ☐ **Priority States** have been requested to update their CAPs through iSTARS
- ☐ Two applications will co-exist during the transition period until all the CAPs in iSTARS are moved to CMA online framework.





Workflow related to F&R and CAP

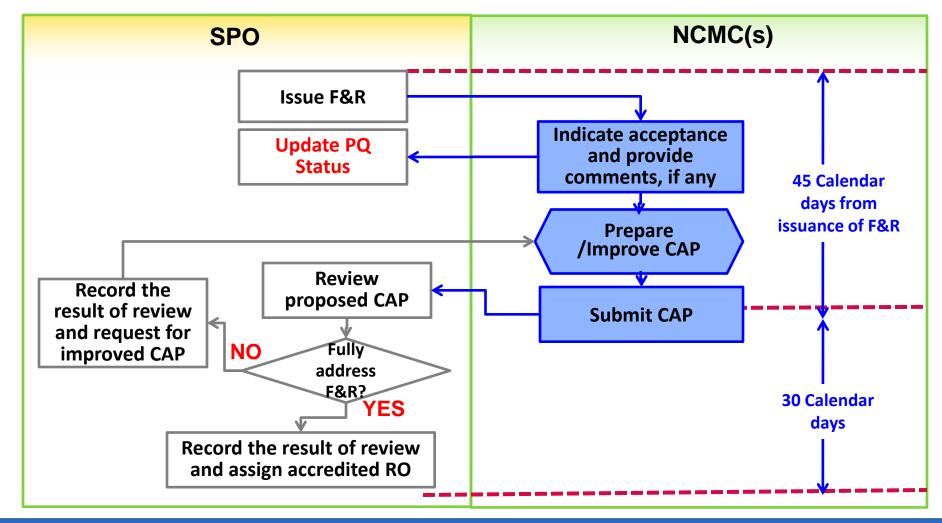
☐ Issuance of F&R



Workflow related to F&R and CAP

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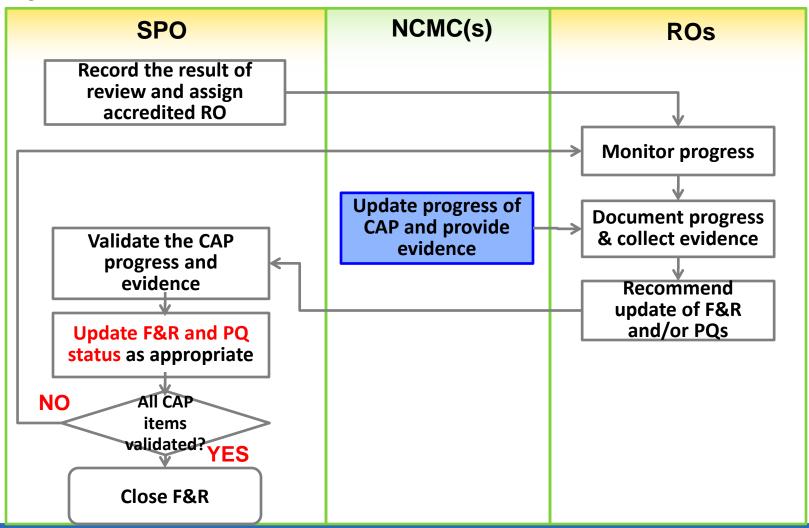






Workflow related to F&R and CAP

☐ Update status of F&R





6.3 Responsibilities of States according to:

- ✓ Assembly Resolution A37-5
- **✓ USOAP CMA Transition plan**
- ✓ Doc 9735 (3rd Edition)



CMA Transition Plan

Member States to sign new MoU 1/6/2011 31/8/2011 21/8/2012 21/8/2011 21/8/2012 21/8/2011 21/8/2012 21/8/2011 21/8/2012 21/8/2011 21/8/2012 21/8/2013																								_		
Member States to sign new MOU 1/6/2011 31/8/2011 21/8/2012 21/8/2011 21/8/2012 21/8/2013	Task	Start	End	Q2 - 201	1	Q:	3 - 201	11	Q.	4 - 201	11	Q	1 - 201	12	Q	2 - 201	.2	Q	3 - 201	12	Q	4 - 201	2	Q	1 - 201	.3
Member States to assign National 1/6/2011 1/6/2011 1/3/2012 1/3/201	MEMBER STATES TRANSITION TO CMA																									
Continuous Monitoring Coordinator (NCMC) 1/6/2011 31/8/2011 1/3/2012	Member States to sign new MoU	1/6/2011	31/8/2011		anna	uma	ana																			
Italiano (PRT) on CMA 19/2011 1/3/2012 1/1/2012	Member States to assign National Continuous Monitoring Coordinator (NCMC)	1/6/2011	31/8/2011	1	9111116	171111116																				
CAP) from the CSA audit cycle using the 1/9/2011 1/7/2012 1/9/2012 1/9/2013	NCMC to complete Computer Based Training (CBT) on CMA	1/9/2011	1/3/2012					11111111	,,,,,,,		VIIII)		90000													
of their CMA protocols and communicate it 1/9/2011 1/7/2012 1/9/20	States to update Corrective action plan (CAP) from the CSA audit cycle using the on-line framework	1/9/2011	1/7/2012					uwa	11111111	mm	mma	erenes	eccen	emm	enere.	ozza	******	i i								
Questionnaire (SAAQ) using the on line framework according to state to complete USOAP CMA protocols using the on-line framework according to established CMP	States to develop a plan for the completion of their CMA protocols and communicate it to ICAO		1/7/2012					<i></i>										2								
1/1/2012 31/12	States to update State Aviation Activity Questionnaire (SAAQ) using the on line framework	1/9/2011	1/9/2012					11111111	00000	31111211	anna.	00000	0111111	emm		omm.		<i>431333</i> 0	XXIIIXX	g						
CAO TRANSITION TO CMA Publish new edition Doc 9735	States to complete USOAP CMA protocols using the on-line framework according to established CMP	1/1/2012	31/12/2012										<i>31111111</i>		umm	OPHINA	Willian I	91111111	11111111.		0111112	giiiiiio	uuity			
Publish new edition Doc 9735 1/6/2011 1/		1/1/2013	1/1/2013																					<u> </u>		
Develop and expand agreements with international Entities	ICAO TRANSITION TO CMA																									
International Entities	Publish new edition Doc 9735	1/6/2011	1/6/2011	1	<u> </u>																				الــــــا	
Tramework with some member States	Develop and expand agreements with International Entities	1/1/2011	31/12/2011																							
Secretariat launch CBT Auditor training	Conduct CMA testing of the on-line framework with some member States	1/1/2011	30/9/2012																							
Conduct ICAO Coordinated Validation Missions (ICVMs) (10 ICVMs in 2011) (20 ICVMs in 2012) Conduct Safety Audits at the request of member States 1/1/2012 28/3/2013	Conduct Regional CMA Workshops	1/8/2011	29/12/2011																							
Missions (ICVMs) (10 ICVMs in 2011) (20	Secretariat launch CBT Auditor training	1/6/2011	31/12/2012																							
member States 1/1/2012 28/3/2013	Conduct ICAO Coordinated Validation Missions (ICVMs) (10 ICVMs in 2011) (20 ICVMs in 2012)	1/1/2011	31/12/2012																				\Rightarrow			
Full CMA Launched 1/1/2013 1/1/2013	Conduct Safety Audits at the request of member States	1/1/2012	28/3/2013																							\Rightarrow
	Full CMA Launched	1/1/2013	1/1/2013																					<i>†</i>		i .



Actions required and timelines

Tasks in the CMA Transition Plan (A37-WP/37)		2011			20	12		2013						
		3Q	4Q	1Q	2Q	3Q	4Q	1Q	2Q	3Q	4Q			
States to sign the CMA MOU		<mark>1/7/11</mark> ^	30/9/1	1										
States to assign NCMC(s)		<mark>1/7/11</mark>	<mark>~</mark> 30/9/1	1										
States to update action plan (CAP) from the CSA Audit cycle			1/9/11 [^]	~ 1/9/12				Full	CM	A lau	nched			
States to complete SAAQ			1/9/11 [^]	~ 1/9/12										
States to complete PQs				1	/1/12 ~	31/12/1	.2							

☐ Once full CMA is launched, States required to:

- √ Keep up-to-date State profile, SAAQ, CC, and PQ
- ✓ Respond to MIR in a timely manner
- ✓ Provide update on progress made to CAP



6.4 Demonstration & Hands-on Exercise

- ✓ MOU
- ✓ CCs/EFOD
- ✓ CAPs

MOU



- ☐ After the exercise, participants will be able to
 - ✓ Personalize MOU
 - ✓ Print the personalized MOU



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CC/EFOD

- ☐ After the exercise, participants will be able to:
 - ✓ Search a specific SARP by reference number/text
 - ✓ Search SARPs affected by the latest amendments
 - ✓ Generate and download different types of reports



CAP



- ☐ After the exercise, participants will be able to:
 - ✓ Search a specific F&R by area or critical element
 - ✓ Complete/update a CAP to the specific F&R



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