# USOAP CMA Workshop

## Module 5

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** 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…

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

# Modules/Components



| Signing of USOAP CMA MOU | Collection of Safety Information | | | Update on LEI & SSCs | Conduct of onsite CMA activities | Prioritize onsite activities |
|---|---|---|---|---|---|---|
| Between State & ICAO | From States | From external stakeholders | From ICAO Secretariat | By ICAO HQ | By ICAO HQ and RO | By ICAO HQ |

**NCMC Dashboard**

**Access Control System**

MOU | State Profile / SAAQ | CC/EFOD | Protocol | MIR | Onsite Audit Manager | State Safety Risk Profile

Offline documents for CC and Protocol

F&R

SSC

CAP

Planning & Scheduling

Database for management of USOAP related documents

Database for management of questions in each module

Database for collected information and States' LEI

Database for MIR, Findings, SSC, and CAP

Database for USOAP auditors and CMA activity schedule

**USOAP Library and Final Reports**

**USOAP Live Reports**

# Modules/Components

# Action required by States

❑ Manage user accounts of the CMA online framework

❑ Keep up-to-date SAAQ and CC/EFOD

❑ Provide a CAP update and/or progress per corresponding protocol finding

❑ Provide self-assessment result on each PQ with a priority on the PQs that have a "Not Satisfactory" status
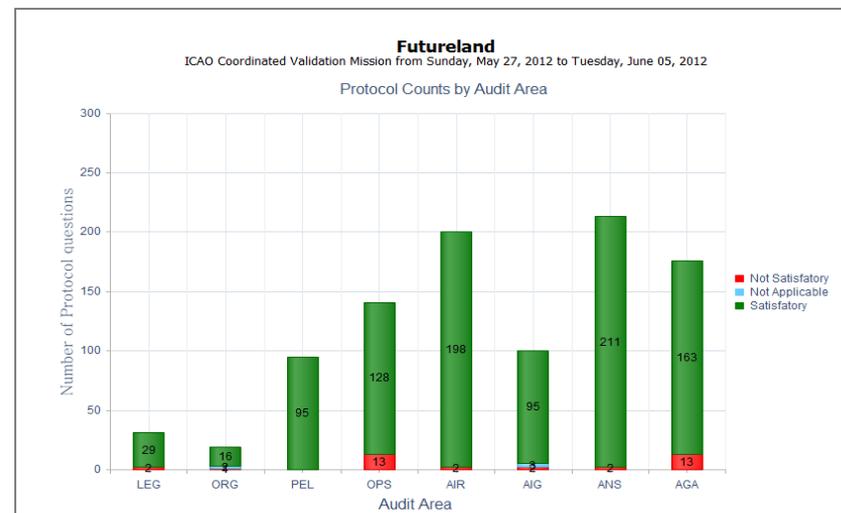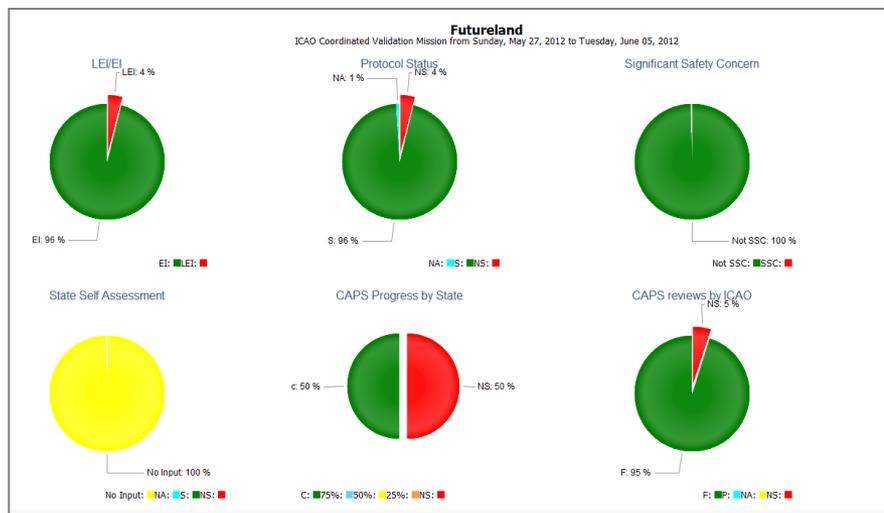
❑ Respond to MIR in a timely manner

# Functionalities of each component

# State Dashboard

☐ **States (NCMCs)** to view at a glance:

✓ Status of CMA information completion;
✓ Status of overall LEI/EI; and
✓ Status of CAP progress

# 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 (no access, 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 answers to questions of State Profile and SAAQ



- Most errors/feedback received from users have been addressed

- New feature to download and print  completed SAAQ is under development

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

## ☐ States

- ✓ Indicate compliance with and/or difference to SARPs with details
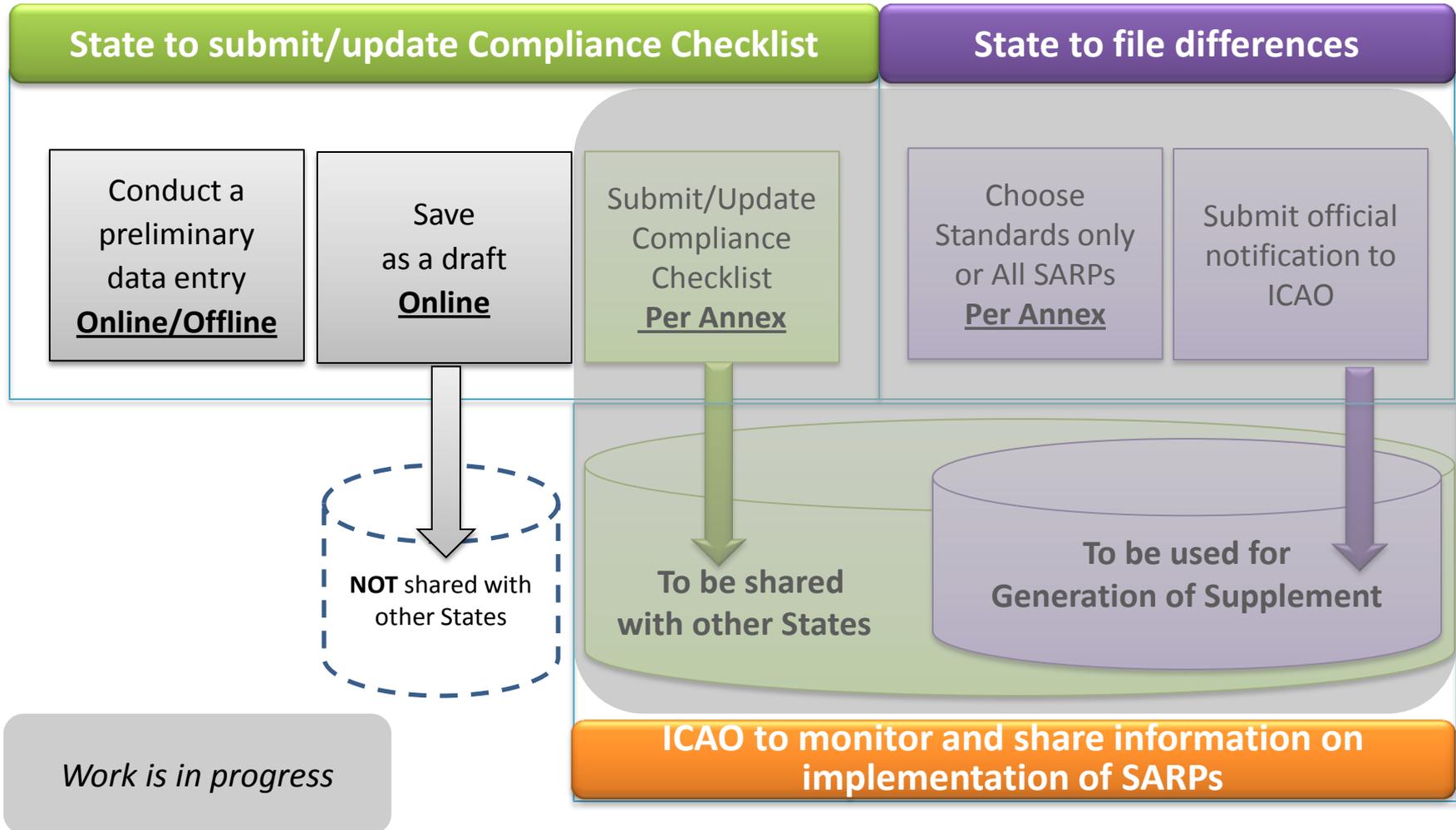- ✓ Kill two birds with one stone to meet obligations under **CMA MOU and Convention Art. 38**

## ☐ ICAO

- ✓ Review/monitor the level of global compliance/ difference
- ✓ Generate e-Supplement

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

| State to submit/update Compliance Checklist | State to file differences |
|---|---|

**Conduct a preliminary data entry Online/Offline**

**Save as a draft Online**

**NOT shared with other States**

Submit/Update Compliance Checklist **Per Annex**

**To be shared with other States**

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*

# New functionalities of CC/EFOD

❑ **Preformatted word document** `Available`

✓ Downloadable and can be worked on offline and put back into online system

❑ **Electronic Supplements** `Available`

✓ Feature that users can search difference information by Annex provision and/or by States

❑ **Validation feature** `Being tested`

✓ Support workflow of State's internal coordination and approval process for completion of compliance checklist

✓ Enable an authorized user to notify differences to ICAO

# 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, NCNC 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>
(Page 1 of 3)

# 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**

## ☐ 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 [All ▼] Audit Area [LEG ▼] Audit Area Group [All ▼] Critical Element [All ▼] SSC [All ▼] Protocol(Finding) NO. [_____]

## Select a PQ

Show/Hide Extended Columns

| Number | Question |
|--------|----------|
| 1.001 LEG CE-1 | Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.)? |
| 1.003 LEG CE-1 N/A | If the State has not promulgated primary aviation legislation, what method is used to meet its obligations as a signatory of the Chicago Convention? |
| 1.005 LEG CE-1 | Does the primary aviation legislation provide for the introduction/adoption of air navigation regulations and the promulgation thereof? |
| 1.007 LEG CE-1 | At what level are the specific operating regulations promulgated? |
| 1.009 LEG CE-2 N/S | Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes? |
| 1.011 LEG CE-2 | Are the primary aviation legislation and the associated operating regulations and rules available to the public? |
| 1.013 LEG CE-1 | Does the primary aviation legislation make provisions for the establishment of a civil aviation organization(s) and for the appointment of a Chief Executive Officer(s) (CEOs)? |
| 1.015 LEG CE-1 | Has the State primary aviation legislation established clear delegation of authority to the head of the civil aviation organization(s)? |

Change page: |◄ ◄ ► ►| Page 1 of 4, items 1 to 8 of 31.

## Status of Implementation by ICAO – View-only

Reply to Protocol Question [No ▼] Status of Implementation [Satisfactory ▼] CSA Audit Finding [_____] Is SSC ☐

Activity [ICAO Coordir ▼] Start Date [_____] 📅 EndDate [_____] 📅 Publication Date [_____] 📅

Remarks/Progress Documented:

Evidence:

## State Assessment by States

Reply to Protocol Question [No ▼] Status of Implementation [Not satisfactc ▼] Last Modified [_____] 📅 Click To View CAP

Remarks:

Evidence:

Evidence with ability to attach evidence documents (PDF, XPS), limitation for 10 files, and under 10 MB of each

☐ [_____] [Select] [Clear] ✕Remove

[Add File] [Delete File]
[Upload files]

[Save As Draft] [Submit to ICAO]

# Mandatory Information Request (MIR)

## ❑ ICAO

- ✓ Request States to submit specific information and documentation

- ✓ Include the following information when issuing MIRs
  - 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 Findings/SSC)

# Mandatory Information Request (MIR)

## ❑ **States**

✓ Request extension of the due date

✓ Respond with evidence requested

✓ Supply requested information and/or documentation

*Note: From 1 Jan 2013, email will serve as a main tool for ICAO to issue MIR until the online application is in place*

# Findings & Recommendations (F&R)
## Change in methodology (From F&R based to PQ based)

### ORG/01

| One CAP Assessment | One CAP/CAP Update including: Item 1 . . . . . . . . Item 20 | One Finding Remarks The curent organizational structure of the CAD is not determined in sufficient detail as to provide a clear definition of the regulatory and safety oversight functions and responsibilities related to PEL, IOS, AIR< ANS and AGA. In addition, the available organizational charts have not been approved yet. | 2.011 3.101 3.103 4.027 5.021 5.023 5.045 7.031 7.053 7.203 7.271 7.327 … |
|---|---|---|---|

### ORG/01

#### ORG

| One Finding Remarks | One CAP/CAP Update | One CAP Assessment | **2.001** |
|---|---|---|---|

#### PEL

| One Finding Remarks | One CAP/CAP Update | One CAP Assessment | **3.101** |
|---|---|---|---|

#### ANS

| One Finding Remarks | One CAP/CAP Update | One CAP Assessment | **7.327** |
|---|---|---|---|

# Findings & Recommendations (F&R)

## ❑ **States**

- ✓ View and search Findings by **Area**, **CEs**, **PQ number**
- ✓ Provide comments to ICAO on the **preliminary findings**

# Findings & Recommendations (F&R)

## ☐ ICAO

### ✓ Update the status of existing F&R(s)

- F&R(s) can only be closed when a CAP addresses all relevant PQs and it is fully implemented and validated
- When all relevant PQs of a F&R are validated as satisfactory, then the LEI will be updated accordingly

### ✓ Issue new Finding(s) including:

- A PQ and applicable CE found be to not-satisfactory;
  (With one finding addressing only one PQ)
- A description of the identified deficiency

### ✓ Escalate the Finding(s) to an SSC
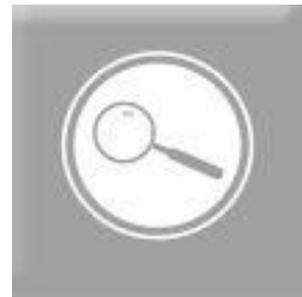
# Corrective Action Plan (CAP)

❑ **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

# Corrective Action Plan (CAP)

# 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

# CAP in iSTARS

❑ CAP data has been migrated into CMA online framework's CAP module by dividing States into two groups

❑ CAP in iSTARs will progressively be phased out as data migration is completed

# CAP in iSTARS

- **Group A States:** Start using CMA Online Framework CAP Module as of 1 Jan 2013

- **Group B States:** Remain in iSTARs and move to CMA online framework progressively as their ICVM final reports are published and data migration is completed.

| Group | CSA | | | ICVM | | | | | |
|-------|-----|-----|-----|------|------|------|------|------|------|
| | F&R Based CSA Completed | PQ Based CSA Completed | CAP Updates in ISTARS | ICVM Result Published | PQ based CAP provided in ISTARS | ICVM Report In Progress | ICVM Planned In Nov. 2012 | ICVM Planned In Dec. 2012 | ICVM Planned in Jan.~Apr. 2013 |
| A | Yes | | | | | | | | |
| | | Yes | | | | | | | |
| | Yes | | Yes | | | | | | |
| | Yes | | Yes | Yes | | | | | |
| | Yes | | Yes | Yes | Yes | | | | |
| | Yes | | Yes | | | Yes | | | |
| | | | | | | | Yes | | |
| B | | | | | | | | Yes | |
| | | | | | | | | | Yes |

# USOAP Report

## ☐ **Static Report**

- ✓ Final reports based on onsite activities conducted since the first cycle of USOAP

- ✓ Published according to predetermined timelines after the closing meeting of an onsite activity

ICAO Universal Safety Oversight Audit Programme
Continuous Monitoring Approach

**FINAL REPORT
ON THE ICAO
COORDINATED VALIDATION MISSION
IN
SOLOMON ISLANDS**

*(Honiara, 22 to 30 August 2011)*

International Civil Aviation Orga
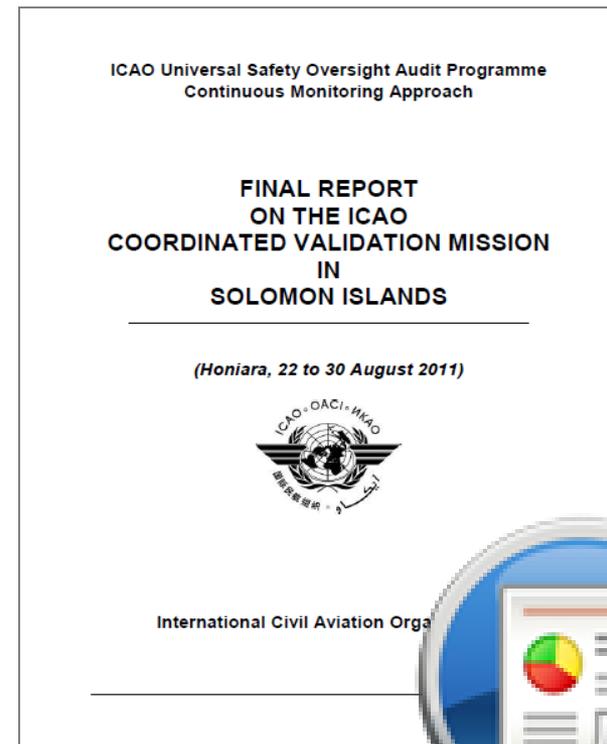
# USOAP Report

## ❑ Dynamic Report

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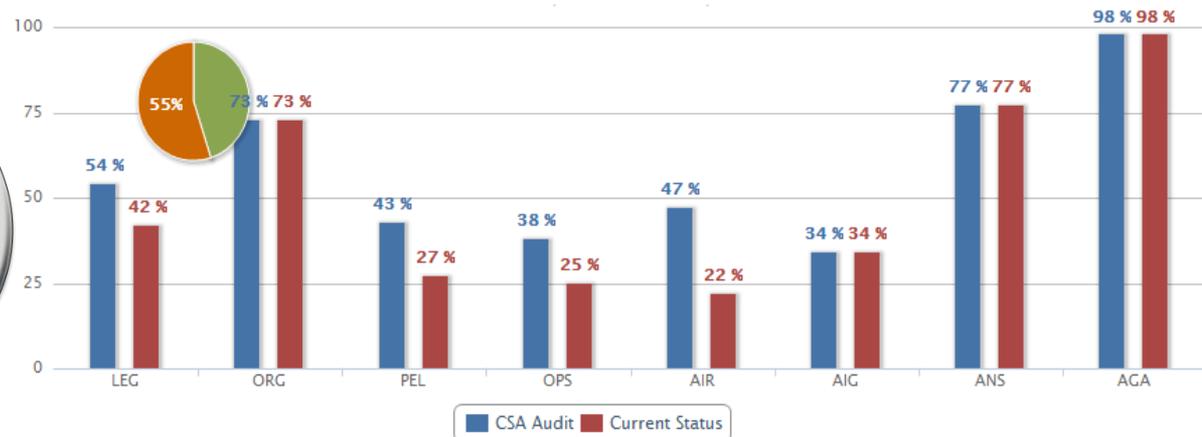


*Note: When you click the icon, you will be requested to enter a **user account for ICAO Portal** since the report resides on iSTARS.*

# Static Vs Dynamic Reports

| Preparation | Onsite Mission | Validation | Reporting |
|---|---|---|---|

**Online Dynamic Report**

CSA Report - Live
(Based the latest activity)

CSA - Live

ICVM - Preview

Updated Report - Live

**Onsite Activity Manager**

| Prepare offline PQ checklist | Complete offline PQ Checklist | TL Submission | SPO Validation | TL Acceptance | TL updates ICVM result to incorporate feedback from States |
|---|---|---|---|---|---|

**Static Report**

| Prepare Draft Report | Finalize and send Draft report to State | Publish Final Report to State |
|---|---|---|

45 days prior

1~2 weeks

90 days after

165 days after

Note: Live mode is available to all users of all States while preview mode is limited to the NCMC of the concerned State and ICAO users

# USOAP Library

☐ **A centralized library for documents related to USOAP CMA including:**

- ✓ USOAP Activity Schedule

- ✓ Master copies of PQs and SAAQ in PDF

- ✓ Manual (Doc 9734 and 9735)

- ✓ Generic MOU approved by the Council

- ✓ Assembly and Council Working Papers

- ✓ State Letter and Electronic Bulletin

# Tutorials and Help

❑ **Provide access to all training/tutorial materials related to USOAP CMA including:**

✓ <u>Tutorial videos</u>/<u>help files</u> 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 any issues/errors and send any queries related to CMA online framework

☐ **ICAO**

   ✓ Keep track of all reported issues/errors and manage the resolution of such issues

*Note: At the moment, this is only linked to*

    *the SAST inbox ([sast@icao.int](mailto:sast@icao.int)),*

    *but will have more features*

# CMA related services in iSTARs

☐ **iSTARs currently host four services :**

- USOAP results reporting
- Corrective Action Plan
- ICVM self-assessment checklist
- Onsite activity tools

**To REMAIN**

**To BE PHASED OUT**

https://portal.icao.int/istars
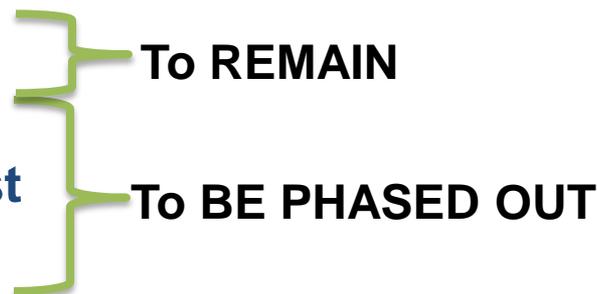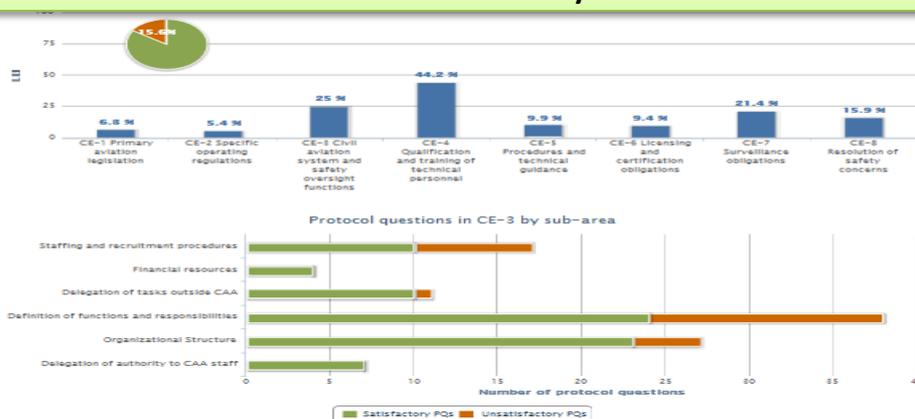
| USOAP Results by State | F&R based CAP | PQ based CAP |
|---|---|---|

# CMA related services in iSTARs

□ **A consolidated/integrated database will serve both CMA online framework and iSTARs**



CMA Online Framework Database

Web Service/Interface

www.icao.int/usoap

Portal.icao.int/istars

| NCMC Dashboard | Manage PQ | Manage F&R | Manage CAP |
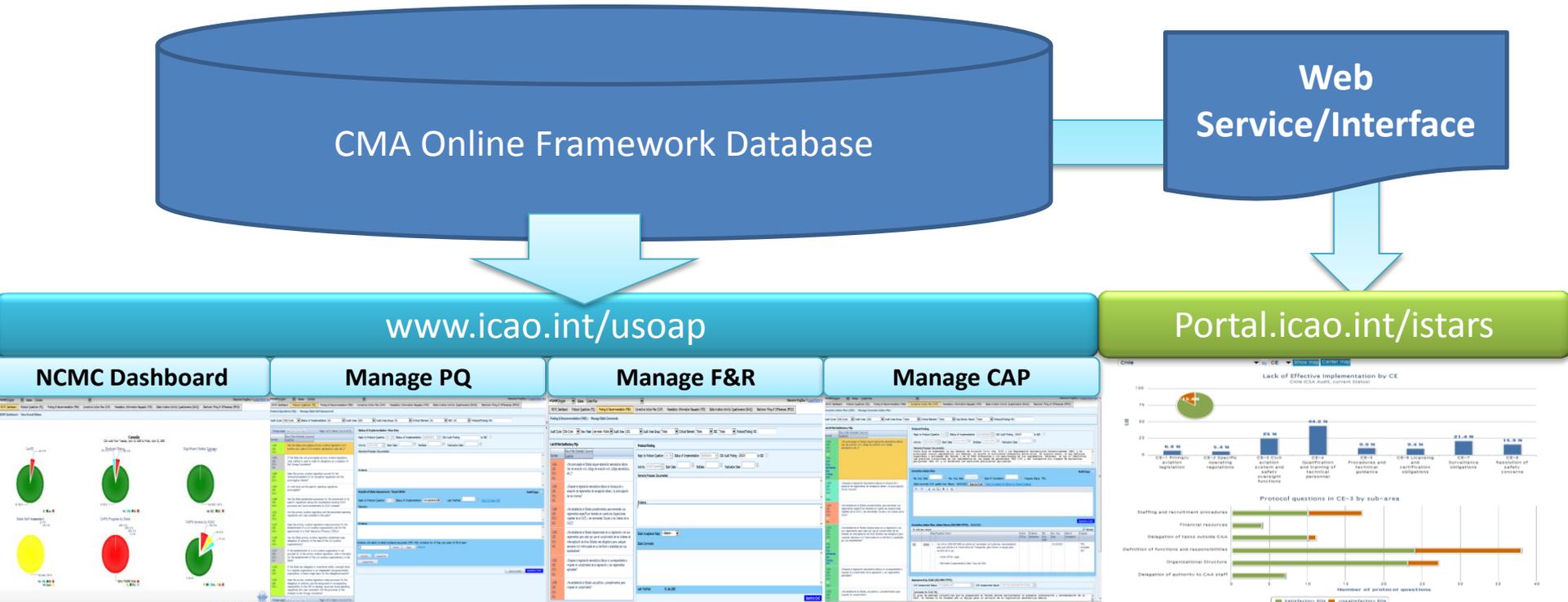
# Update on EFOD

# Alternative means

☐ **March 2011**, Council agreed to use EFOD as an alternative means of filing of differences

☐ **Jan 2011**, CC data from 153 States were migrated into the EFOD system

**File differences** pursuant to Article 38 of Chicago Convention

**Keep up-to-date compliance checklist** pursuant to MOU for USOAP CMA
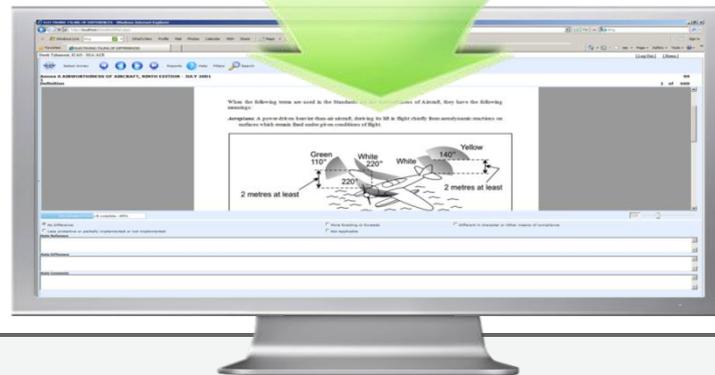
# Verification by States

❑ **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)

# Procedures on the Use of EFOD

ICAO Procedures and Principles
on the Use of
Electronic Filing of Differences (EFOD) System

Approved by the Secretary General
and published under his authority

International Civil Aviation Organization

Effective from DD.MM.2012

Page 1 of 12
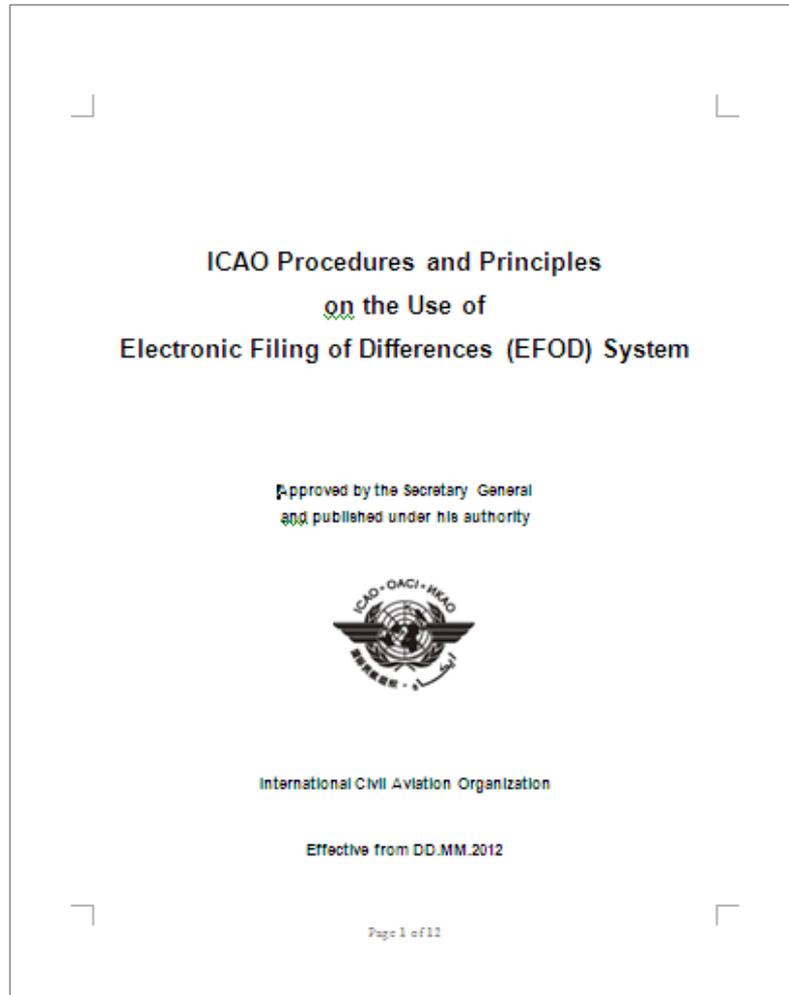
- ❑ Considered and approved by Council at its 195th Session

- ❑ To be Published by Secretary General in 2nd Quarter 2013

- ❑ Table of Contents
  1. Introduction/Scope
  2. Access to the System
  3. Languages
  4. Annex Information
  5. Compliance/Differences Information
  6. System performance
  7. References

# Filing of Differences Task Force (FDTF)

# Background

☐ **Not proper functioning of the two requirements regarding 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
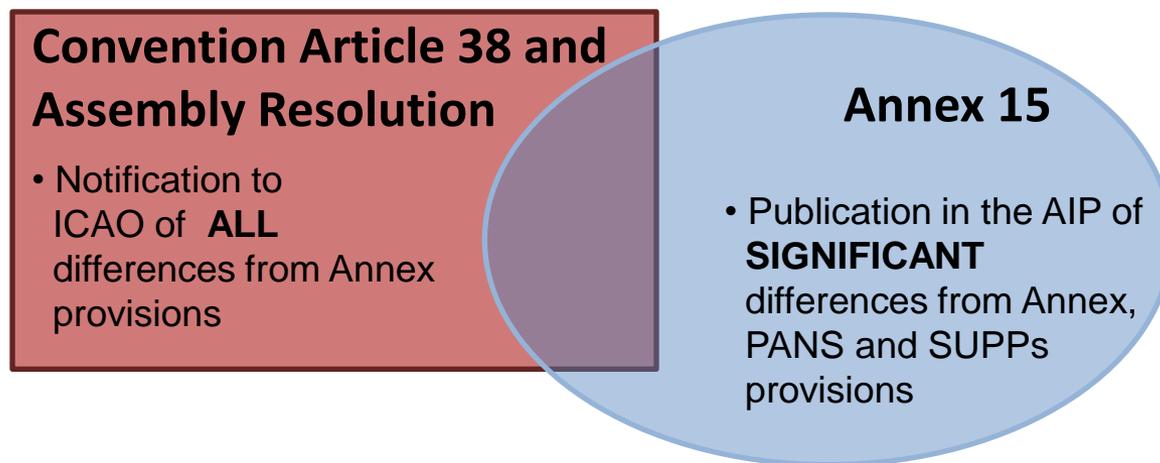
# Establishment of TF

## ❑ Membership

- Established by the Secretary General
- Chaired by Mr. Luc Lapene from France
- Members from 14 States and 1 Int'l Organization from all Regions
- 2 ANC Members and Secretariat members from ANB, ATB, LEB

*Note): 1st meeting in 12~14 Oct. 2011 and 2nd meeting in May 2012*

## ❑ Deliverables

- Draft policy on the use of EFOD – Completed
- Comprehensive Study on issues regarding filing of differences in general with a view to improving relevant rules and procedures and providing additional guidance to States – In Progress

# Comprehensive Study on Issues regarding Filing of Differences

Version 4_ 12 July 2012

COMPREHENSIVE STUDY ON KNOWN ISSUES
IN RESPECT OF THE FILING
AND PUBLISHING OF DIFFERENCES

International Civil Aviation Organization
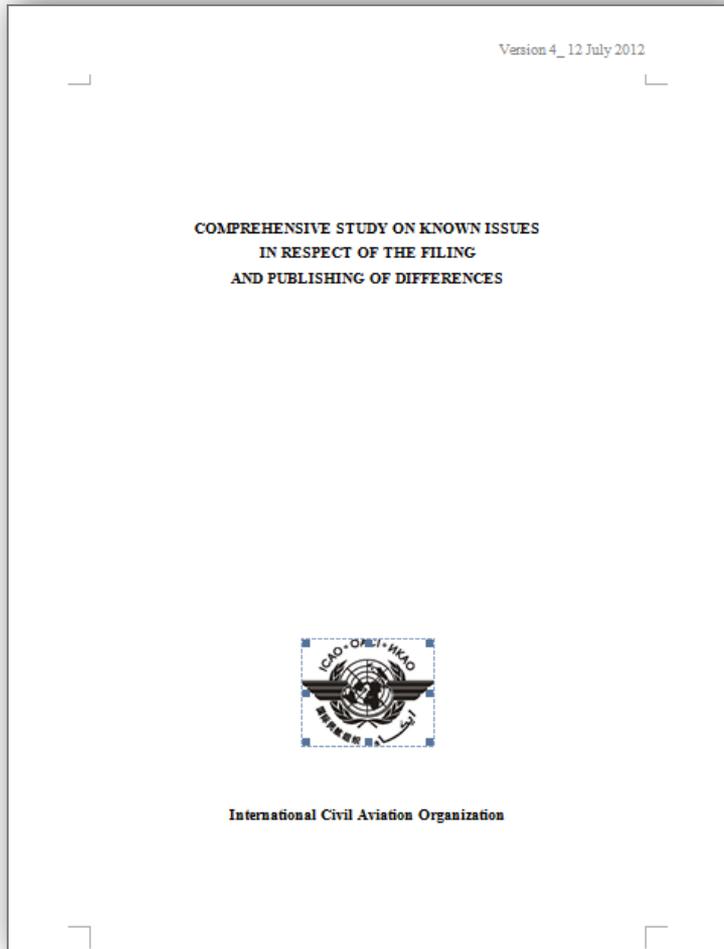
- ❑ Being finalized by FDTF

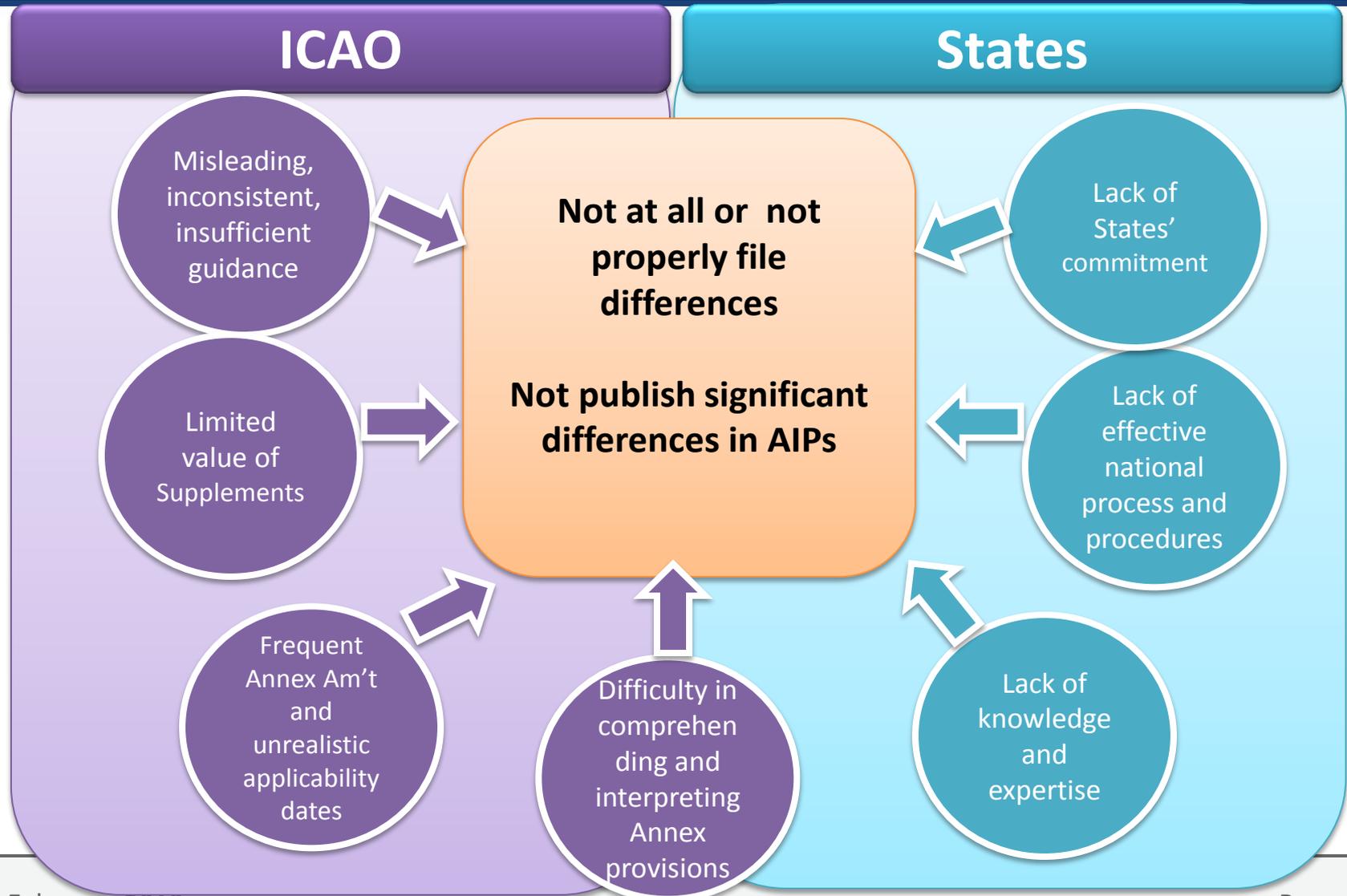- ❑ To be considered by Council at its 198th Session in 2013

- ❑ Table of Contents
  1. Executive summary
  2. Introduction
  3. ICAO's past efforts
  4. Current situation
  5. Analysis of differences
  6. **Known issues**
  7. Importance and benefits of filing and publication of differences
  8. **Future strategies and recommendations**

# Known issues



**ICAO**

- Misleading, inconsistent, insufficient guidance
- Limited value of Supplements
- Frequent Annex Am't and unrealistic applicability dates

**Not at all or not properly file differences**

**Not publish significant differences in AIPs**

- Difficulty in comprehending and interpreting Annex provisions

**States**

- Lack of States' commitment
- Lack of effective national process and procedures
- Lack of knowledge and expertise

# Recommendation

- ❑ Improve and develop ICAO documents

- ❑ Improve SARPs development and amendment process

- ❑ Increase transparency of differences information

- ❑ Enhance assistance programme in cooperation with various entities

- ❑ Introduce a quality control process wherein ICAO reviews differences and provides timely feedback

- ❑ Improve the EFOD system to ease the work of States

# THANK YOU