



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

Reunión regional de Coordinadores nacionales de observación continua (NCCM) de la Región SAM

Actualizaciones al marco en línea del CMA del USOAP



Contenido

- ✓ Resumen del marco en línea del CMA del USOAP
- ✓ Funcionalidades de cada componente
- ✓ Implantación de las preguntas del protocolo (PQs) revisadas
- ✓ Actualización del sistema de notificación electrónica de diferencias (EFOD)
- ✓ Grupo de tarea sobre notificación de diferencias (FDTF)



Resumen del marco en línea del CMA



El marco en línea del CMA es....

- ❑ Un conjunto de aplicaciones integradas en la Web y sistemas de bases de datos centralizados que permiten:
 - ✓ **Recopilar** información y documentos de seguridad operacional de diferentes fuentes; y
 - ✓ **Monitorear** y **reportar** las actividades de seguridad operacional de la OACI y de sus Estados miembros

Acceso a través de...



- ❑ Sitio web restringido del USOAP de la OACI (www.icao.int/usoap)

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:

OK

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

CC/EFOD Offline Feature is now available.

© 2013 ICAO, All Rights Reserved

Módulos/Componentes



ICAO Uniting Aviation on
Safety | Security | Environment

STATE OPTIONS

(Select a State) ▾

State Dashboard



Access Control



Significant Safety Concerns



Tutorials & Help



SAAQ



CAP



USOAP Reports



CMA Library



Self-Assessment



PQ Findings



USOAP Live Charts



Feedback



CC / EFOD



E-Supplements



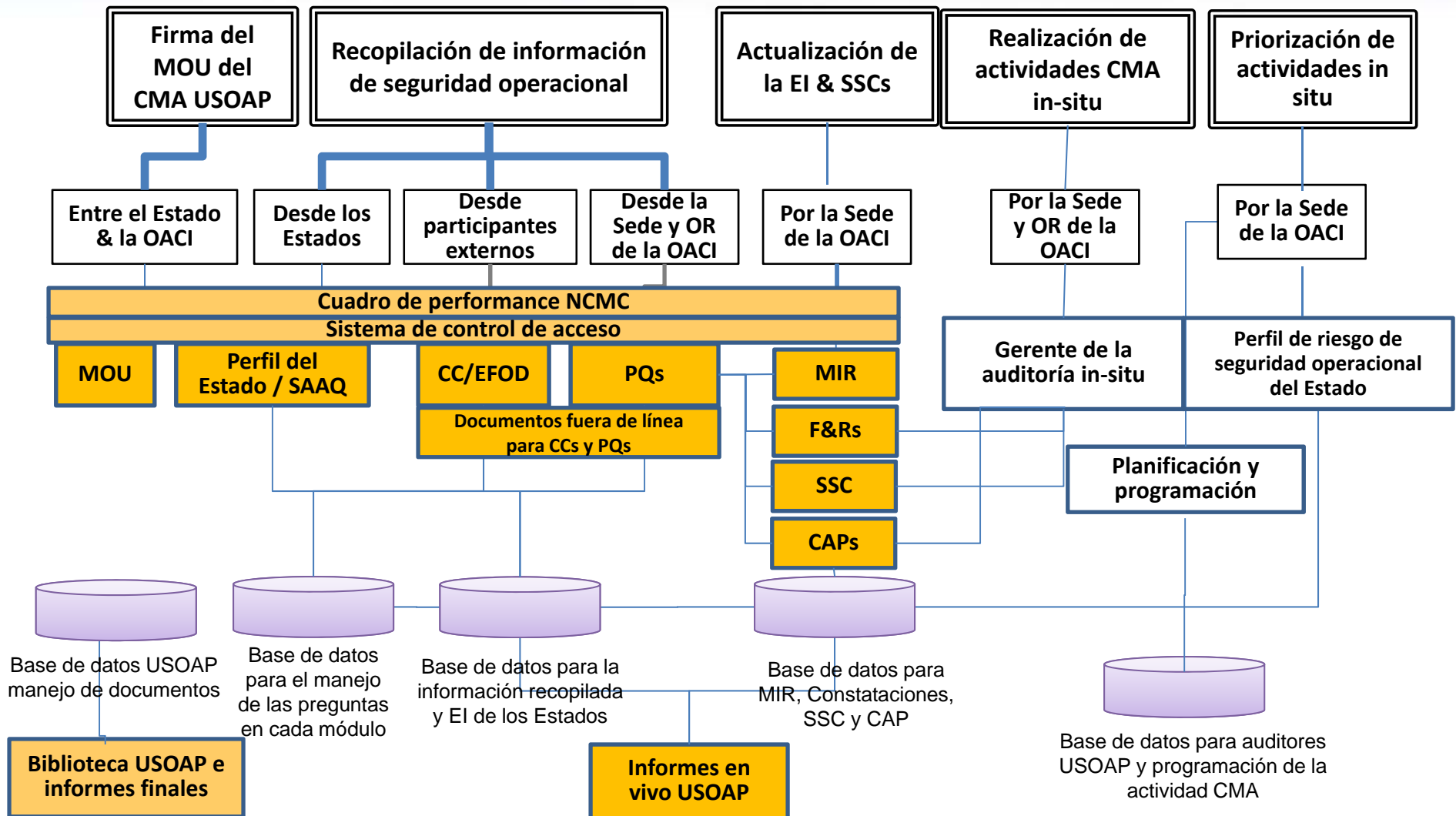
MOU



CC/EFOD Reports



Módulos / Componentes del OLF



Funciones de los Estados en el marco en línea (OLF) del CMA del USOAP



- ✓ Gestionar las cuentas de los usuarios del OLF
- ✓ Mantener actualizados los SAAQ y CC/EFOD
- ✓ Proporcionar actualizaciones del CAP
- ✓ Proporcionar una autoevaluación de cada PQ
- ✓ Responder a los MIRs



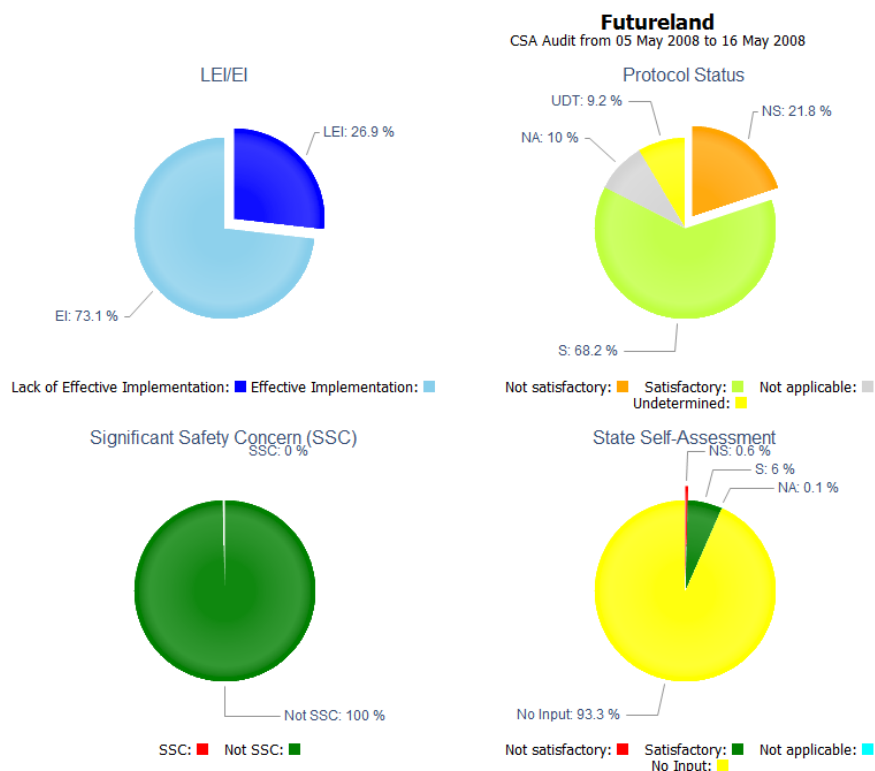
Funcionalidades de cada componente

Cuadro de performance del Estado



Los Estados (NCMCs) pueden visualizar:

State Dashboard

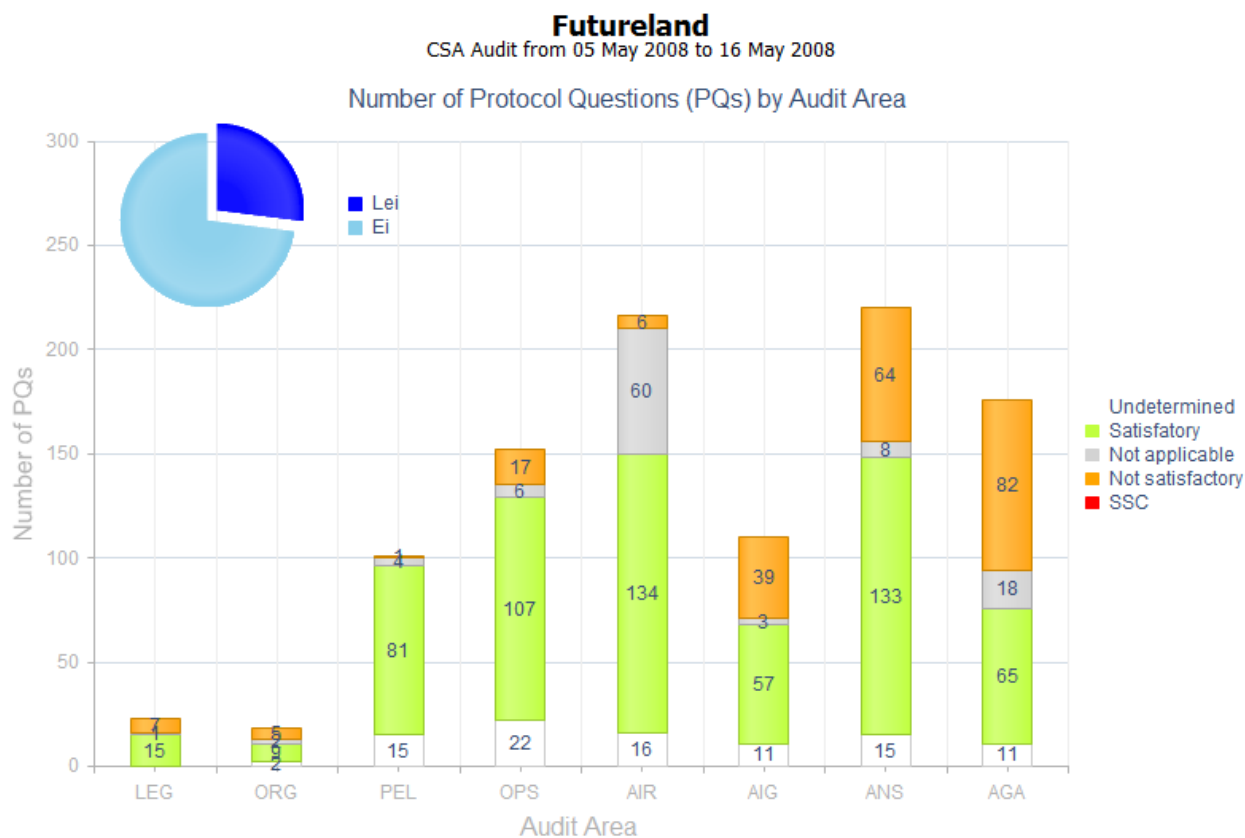


Cuadro de performance del Estado



Los Estados (NCMCs) pueden visualizar:

State Dashboard



Control de acceso



□ NCMCs

- ✓ Tienen el control completo de las cuentas de los usuarios del Estado
 - Emitiendo cuentas de usuarios adicionales
 - Desactivando cuentas de usuarios inactivos
 - Estableciendo derechos y permisos de usuarios individuales
- ✓ Gestionan la información del perfil del usuario
- ✓ Clave personalizada

Nota: Si usted no es un NCMC y desea tener acceso al marco en línea, por favor contacte al/los NCMC(s) de su Estado



Control de acceso



Cuenta de usuario

- ✓ compuesta de “ID o dirección Email” y contraseña
- ✓ No acepta IDs o direcciones email duplicados

Derechos de acceso

- ✓ 3 tipos (limitado, sólo leer o leer/escribir)
- ✓ CC/EFOD: Se puede otorgar derechos de acceso por Anexo
- ✓ PQ, CAP y F&R: Se permite derechos de acceso para todas las áreas técnicas

Cuestionario de actividad aeronáutica del Estado (SAAQ)



Estados

✓ Completar y actualizar el perfil de Estado y el SAAQ

- Se han atendido la mayoría de comentarios recibidos de los usuarios
- La aplicación para descargar e imprimir el SAAQ completo está siendo desarrollada

Listas de verificación del cumplimiento / Notificación electrónica de diferencias (CC/EFOD)



CC / EFOD

Estados



- ✓ Indican el cumplimiento y/o diferencias con los SARPs en detalle
- ✓ Esto responde tanto al Art. 38 del Convenio como al MOU CMA

OACI

- ✓ Revisa/monitorea el nivel de cumplimiento/ o diferencia
- ✓ Genera el suplemento electrónico

Select Annex First Row Previous Row Next Row Last Row Reports Filters Search Save Row EFOD Filing Procedure Offline Mode

Annex 5 UNITS OF MEASUREMENT TO BE USED IN AIR AND GROUND OPERATIONS, FIFTH EDITION - JULY 1979
Amendment 17
Definition

Adoption Da
Effective Da
Applicable Da

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.

INTERNATIONAL STANDARDS AND RECOMMENDED PRACTICES

CHAPTER 1. DEFINITIONS

When the following terms are used in the Standards and Recommended Practices concerning the units of measurement to be used in all aspects of international civil aviation air and ground operations, they have the following meanings:

Modified by: Futureland Principle NCMC
Date Modified: 7/26/2013

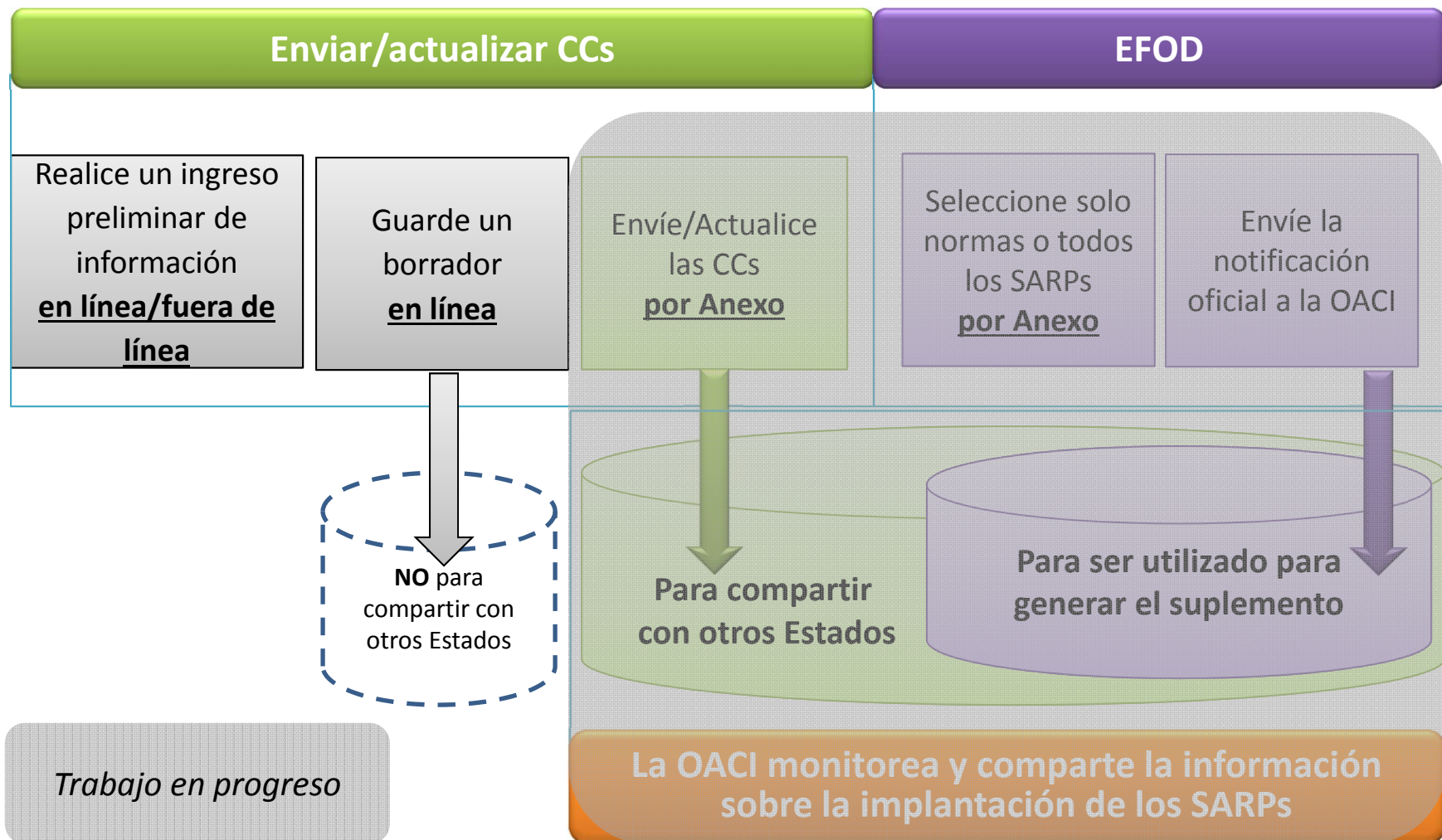
No Difference
 Less protective or partially implemented or not implemented
 More Exacting or Exceeds
 Not Applicable
 Different in character or Other means of compliance

State Reference
AA Article 28

Details of Difference (Please describe the difference clearly and concisely)
Test: Jerome

Remarks (Please indicate reasons for the difference and intentions including any planned date for implementation)
Test: Jerome

Listas de verificación del cumplimiento / Notificación electrónica de diferencias (CC/EFOD)



Documento Word pre-formateado



- ❑ La aplicación está disponible sólo para los NCMCs
 - ✓ Una vez descargado el documento Word, se bloquea la información en el EFOD
 - ✓ Para permitir a los usuarios editar la información en línea, el NCMC debe cargar el documento en Word o desbloquear la información

Electronic Filing of Difference System Export Tool

[Return to CCIEFOD](#)

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)

Preguntas del protocolo (PQs)



Self-Assessment

Estados



- ✓ Visualizan y buscan las PQs
- ✓ Realizan una autoevaluación sobre el sistema de vigilancia de la seguridad operacional
 - Actualizan el estado de implantación de las PQ (S/NS/NA) proporcionando evidencia
 - Proporcionan el estado de implantación de las nuevas preguntas del protocolo
 - **Adjuntan evidencia**

Preguntas del protocolo (PQs)



Self-Assessment

OACI



- ✓ Mantiene actualizadas las PQs
- ✓ Actualiza el estatus de las PQ de los Estados en base a las **últimas actividades del CMA**
- ✓ Genera la aplicación eficaz (EI) de los Estados
- ✓ Recolecta información de los participantes externos

Preguntas del protocolo (PQs)



Busque una PQ

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

Seleccione una 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 ...

Estado de implantación - OACI – Solo lectura

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:

Autoevaluación de los Estados

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

Remarks:

Evidence:

Cargar/Adjuntar evidencia

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

Solicitud de información obligatoria (MIR)



OACI

- ✓ Solicita a los Estados enviar información y documentación específica
- ✓ Envía la siguiente información al emitir los MIRs
 - PQ(s) importantes
 - Razones y referencias por las que solicita la información
 - Fecha límite para entregar la información solicitada

Solicitud de información obligatoria (MIR)



OACI

- ✓ Registra los resultados de la revisión de la información enviada y actualiza el estado del MIR (cerrado/abierto/escalado a constatación/SSC)

Solicitud de información obligatoria (MIR)



Estados

- ✓ Solicitan extensión del plazo requerido
- ✓ Responden enviando la evidencia requerida
- ✓ Proporcionan información/documentación solicitadas

Nota: Por ahora, los mensajes electrónicos sirven como herramienta principal para que OACI pueda emitir un MIR hasta que la aplicación en línea esté activa

A screenshot of the ICAO Mandatory Information Request (MIR) application interface. The interface is divided into several sections. On the left, there is a 'State List' with a tree view showing regions like 'ASIA AND PACIFIC', 'EUROPEAN', and 'NORTH AMERICAN, CENTRAL AMERICAN'. Below this is a table of protocols with columns for 'ID' and 'Protocol'. The main area on the right is a form for a specific request. It includes fields for 'State Name: Canada', 'Originator: Originator', 'Mandatory Information Request Number: Mandatory Information Request Number', and 'Date Issued: 01/01/09'. There are also dropdown menus for 'CORE AREA' and 'CATEGORY'. The form contains several text input areas for 'Reason for Mandatory Request', 'Reference(s)', and 'State Response'. At the top of the form, there are tabs for 'Mandatory Information Request (1/1)', 'Finding and Recommendation (2/1)', 'Corrective Action Plan (2/4)', 'Significant Safety Concerns (2/4)', and 'Protocol Checklist'.

ID	Protocol
1.001 LEG CE-1	Has the State promulgated primary aviation legislation (but 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?

Plan de medidas correctivas (CAP)



□ Estados

- ✓ Visualizan y buscan las constataciones enviadas
- ✓ Visualizan los CAPs enviados durante el ciclo de auditorías CSA
- ✓ Envían/actualizan el CAP que responde a una constatación
 - Lista de acciones propuestas
 - La oficina a cargo
 - Fecha estimada de implantación (dd/mm/aaaa)
 - Fecha revisada de implantación, cuando se requiera



Plan de medidas correctivas (CAP)



□ Estados (Cont.)

- ✓ Proporcionan reportes regulares del progreso del CAP
 - % de cumplimiento para cada acción propuesta
 - Fecha de finalización
 - Evidencia objetiva de apoyo (referencia)



Plan de medidas correctivas (CAP)



List Of Not Satisfactory PQs

Seleccione un 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

Constatación de OACI – Solo lectura

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 provisto por los Estados

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	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						Not started

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](#)

B I U

[Submit to ICAO](#)

Plan de medidas correctivas (CAP)



OACI

- ✓ Registra el estado de revisión del CAP (en progreso/completado)
- ✓ Registra el resultado de la revisión propuesta del CAP y sus comentarios
- ✓ Monitorea el avance del CAP

List Of Not Satisfactory PQs

PQ No.	Question	Status
1.009 LEO CE-2 CAH	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?	Not Satisfactory
1.015 LEO CE-1 CAH	Has the State primary aviation legislation established clear delegation of authority to the head of the civil aviation organization(s)?	Not Satisfactory
1.021 LEO CE-1 CAH	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?	Not Satisfactory
1.025 LEO CE-2 CAH	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?	Not Satisfactory
1.029 LEO	If the State has adopted regulations from another State, has it established and implemented a procedure for ensuring that these	Not Satisfactory

Protocol Finding

Reply to Protocol Question: Status of Implementation: CSA Audit Finding: SSC:

Activity: Start Date: End Date: Report Publication Date:

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, the established procedures do not ensure the systematic and timely amendment of national regulations in line with the progress documented.

Corrective Action Plan Action Items: 16/12/2011

Item	Details	Step/Proposed Action	Action Evidence	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
1	Verify compliance of regulations with Annexes - Action office: SACAA/DOT/ SAWIS - Estimated Implementation Date: 31 May 2009. Amend regulations to incorporate the amendments of the Annexes. - Action office: SACAA/DOT/ SAWIS - Estimated Implementation Date: 31 December 2009. Review and adjust the regulations amendment process to ensure that amendments to Annexes are made in an effective and timely manner. - Action office: DOT/SAACAA - Estimated Implementation Date: 31 May 2008. Review liaison with all agencies (SACAA, ATNS, ACISA, SAVIS, ICAISA, SAR) to Annex amendment notification and response and amend procedures to ensure effectiveness. Action office: DOT & Agencies - Estimated Implementation Date: Completed. Review liaison with all agencies (SACAA, ATNS, ACISA, SAVIS, ICAISA, SAR) on 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 ADP. - Action office: SACAA - Estimated Implementation Date: Completed.						Not started

Corrective Action Plan

Est. Imp. Date: Rev. Imp. Date: Date of Completion: Progress Status:

State Comments: 31/01/2011 [View State Comments](#) [Click to Update PQ Status or Attach Evidence](#)



Informe USOAP



☐ Informe final (estático)

- ✓ Los informes finales están basados en las actividades realizadas desde el primer ciclo USOAP
- ✓ Publicado de acuerdo a los plazos predeterminados después de una actividad

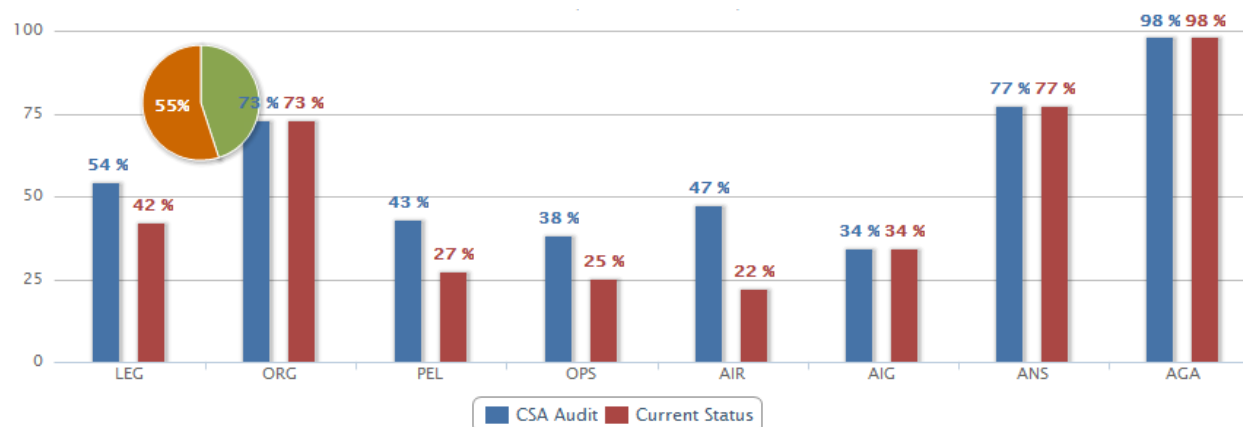
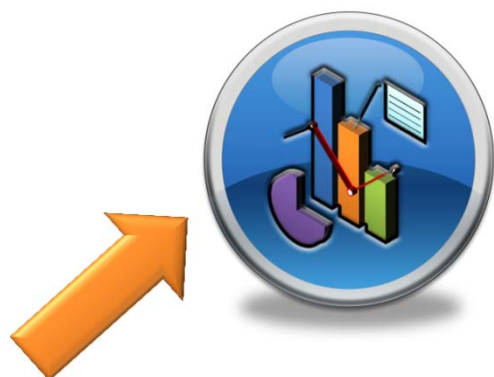


Informe USOAP



☐ Cuadros dinámicos USOAP

- ✓ Basados en la más reciente actividad en línea y/o in-situ para cada área de auditoría/CE



Nota: Cuando haga clic en el ícono, se le solicitará ingresar una cuenta de usuario para el portal de la OACI ya que los informes residen en iSTARS.

Biblioteca USOAP



□ Una biblioteca centralizada para documentos relativos al CMA USOAP, que incluyen:

- ✓ Notas de estudio de la Asamblea y el Consejo
- ✓ Doc 9734 – Manual de vigilancia de la seguridad operacional
- ✓ Doc 9735 – Manual CMA del USOAP
- ✓ MOU genérico aprobado por el Consejo
- ✓ Copias maestras de PQs y SAAQ
- ✓ Cartas a los Estados y boletines electrónicos
- ✓ Actividad CMA USOAP programada



Tutoriales y ayuda



- ❑ **Proporciona acceso a todo el material de capacitación / tutoriales relacionados con el CMA del USOAP, incluyendo:**
 - ✓ [Videos tutoriales/archivos de ayuda](#) sobre como utilizar el marco en línea del CMA USOAP CMA
 - ✓ CBT sobre cómo desarrollar un CAP efectivo
 - ✓ Materiales para talleres/seminarios actualizados en los idiomas disponibles



Retroalimentación



Estados

- ✓ Reportan asuntos y envían preguntas relacionadas al marco en línea del CMA

OACI

- ✓ Lleva registro de todos los asuntos reportados y hace seguimiento de la resolución de cada uno de ellos





Actualizando el EFOD

Verificación por los Estados



- ❑ **En abril de 2011, se solicitó a los Estados:
(SL AN 1/1-11/28)**
 - ✓ Reconocer al EFOD como una alternativa para notificar las diferencias
 - ✓ Verificar y confirmar la información en EFOD previamente enviada a través de las CCs
 - Mas de 100 Estados han estado actualizando su información en EFOD



Grupo de tarea sobre notificación de diferencias (FDTF)

□ Notificación de diferencias con respecto a las disposiciones de la OACI

- ✓ De acuerdo con el informe del USOAP, más de 70% de los Estados auditados se encontraron no satisfactorios en cuanto al cumplimiento de los requisitos de notificación y publicación de las diferencias.

Artículo 38 del Convenio y resolución de la Asamblea

- Notificación a la OACI de **TODAS** las diferencias con las disposiciones del Anexo

Anexo 15

- Publicación de la AIP con diferencias **SIGNIFICATIVAS** con respecto a las disposiciones del Anexo, PANS y SUPPs



Contenido

- ✓ Resumen del marco en línea del CMA del USOAP
- ✓ Funcionalidades de cada componente
- ✓ Implantación de las preguntas del protocolo (PQs) revisadas
- ✓ Actualización del sistema de notificación electrónica de diferencias (EFOD)
- ✓ Grupo de tarea sobre identificación de diferencias (FDTF)



¿Preguntas?



North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montreal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Office
Bangkok

Muchas gracias