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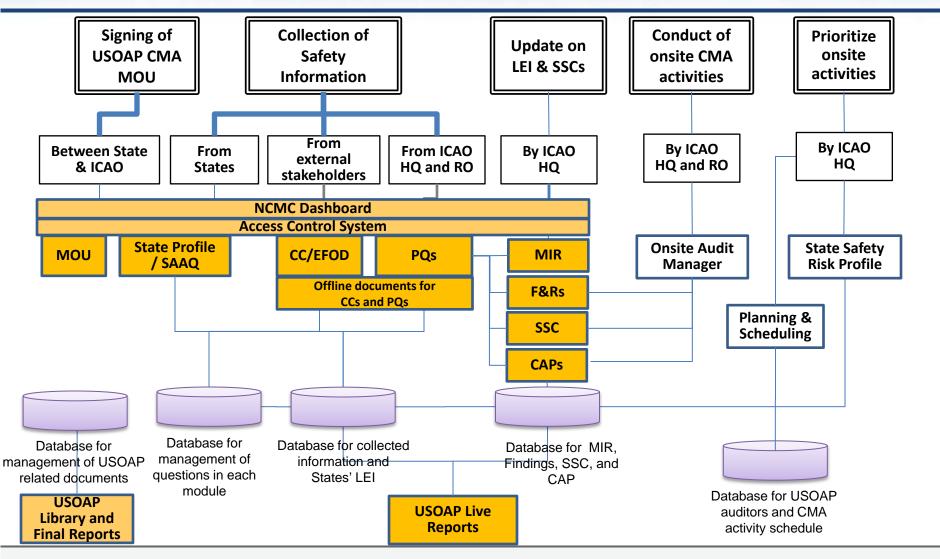
❑ **ICAO USOAP Restricted Website** *(www.icao.int/usoap)*

Modules/Components

OLF 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 HQ and RO
By ICAO HQ
By ICAO HQ and RO
By ICAO HQ

NCMC Dashboard
Access Control System

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

Offline documents for CCs and PQs

F&Rs
SSC
CAPs

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

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
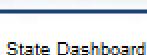
- ❑ Respond to MIRs
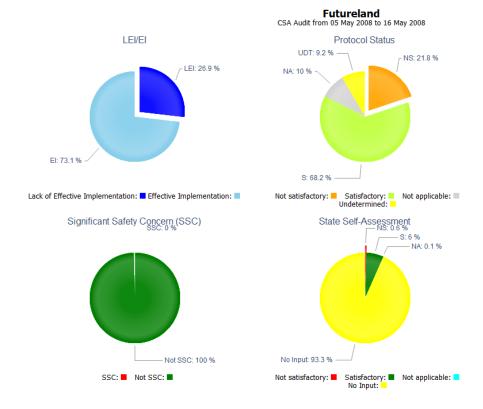
Functionalities of each component

State Dashboard

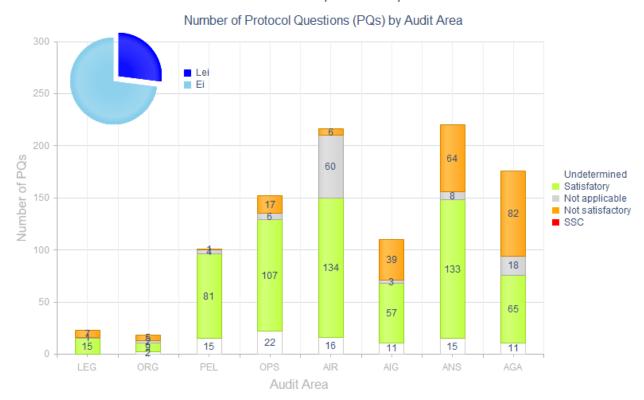☐ **States (NCMCs)** can view:

State Dashboard

☐ **States (NCMCs)** can view:

Futureland
CSA Audit from 05 May 2008 to 16 May 2008

Number of Protocol Questions (PQs) by Audit Area

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

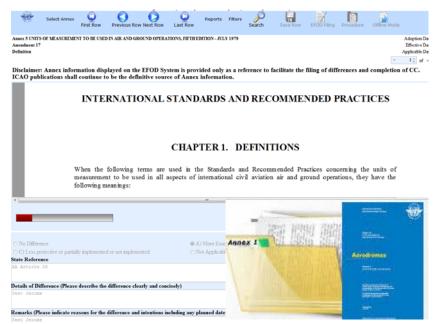# Compliance Checklist / Electronic Filing of Differences (CC/EFOD)

☐ **States**

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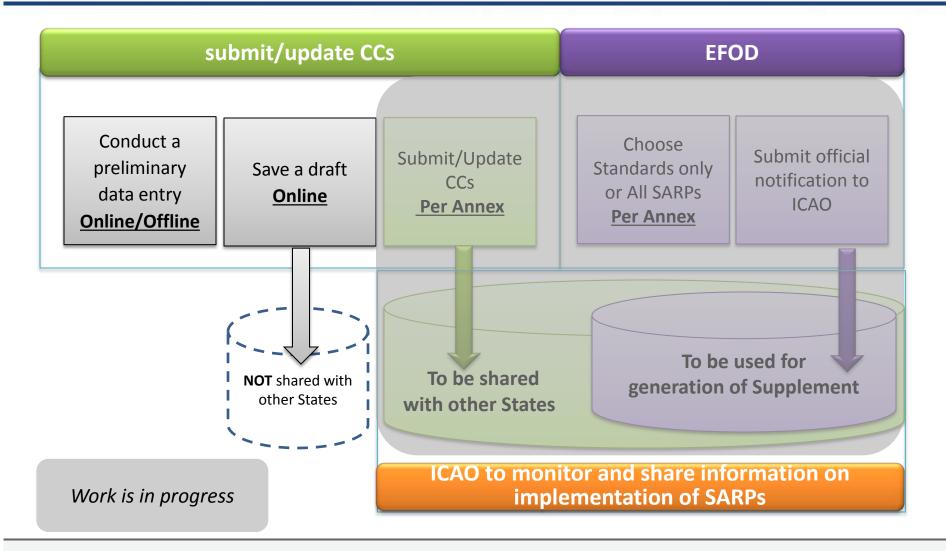- ✓ This complies with both the Convention Art. 38 and CMA MOU

☐ **ICAO**

- ✓ Reviews/monitors the level of global compliance/ difference

- ✓ Generate e-Supplement

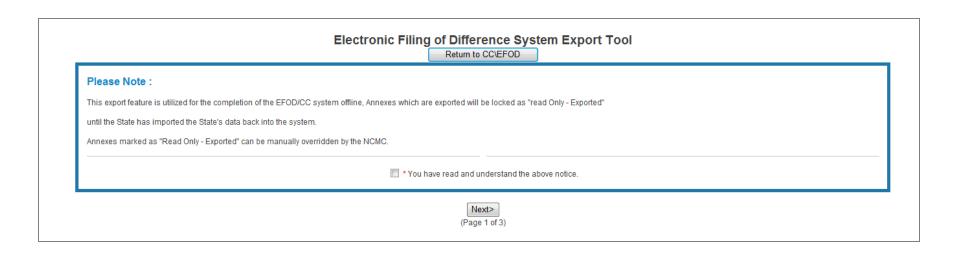# Compliance Checklist / Electronic Filing of Differences (CC/EFOD)

submit/update CCs	EFOD

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

Save a draft **Online**

Submit/Update CCs **Per Annex**

Choose Standards only or All SARPs **Per Annex**

Submit official notification to ICAO

NOT shared with other States

To be shared with other States

To be used for generation of Supplement

ICAO to monitor and share information on implementation of SARPs

Work is in progress

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.

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Protocol Questions (PQs)

Manage 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)

Mandatory Information Request (MIR)

❑ ICAO

Manage MIR

✓ 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)

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

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 Satifactory 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 applicability dates of the ICAO SARPs.

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	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 PQ Status or Attach Evidence

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[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

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
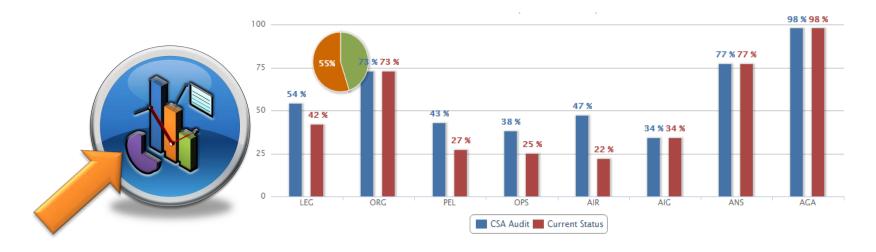
ICAO Universal Safety Oversight Audit Programme
Continuous Monitoring Approach

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

(Honiara, 22 to 30 August 2011)

International Civil A

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.*

USOAP Library

❑ **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

Review

- ➢ **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)