USOAP Continuous Monitoring Approach (CMA) Workshop

Module 3

CMA Online Framework (OLF) and Electronic Filing of Differences (EFOD) System

Outline

- **Overview of CMA Online Framework (OLF)**
- **Functionalities of OLF Modules**
- **Updating EFOD**

Overview of CMA Online Framework (OLF)

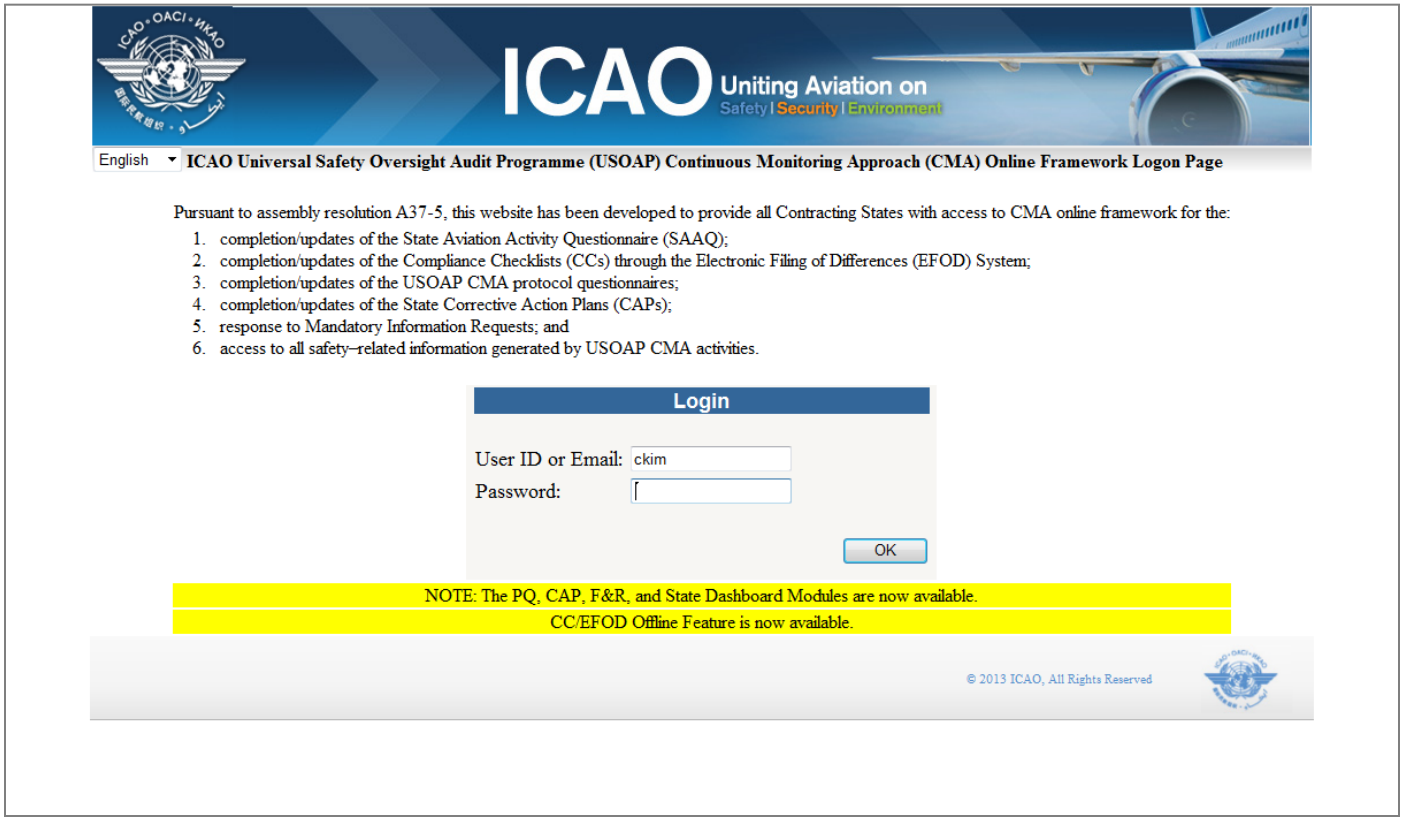
CMA Online Framework is…

A suite of web-integrated applications and centralized database systems which enables:

1) **Collection** of safety-related information and documentation from different sources; and
2) **Monitoring** and **reporting** of safety oversight activities by ICAO and Member States.

Access through…

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



OLF Modules

ICAO Uniting Aviation on
Safety | Security | Environment
STATE OPTIONS
State Dashboard
SAAQ
Self-Assessment
CC / EFOD
Access Control
CAP
PQ Findings
E-Supplements
Significant Safety Concerns
USOAP Reports
USOAP Live Charts
MOU
Tutorials & Help
CMA Library
Feedback
CC/EFOD Reports
MOLIT
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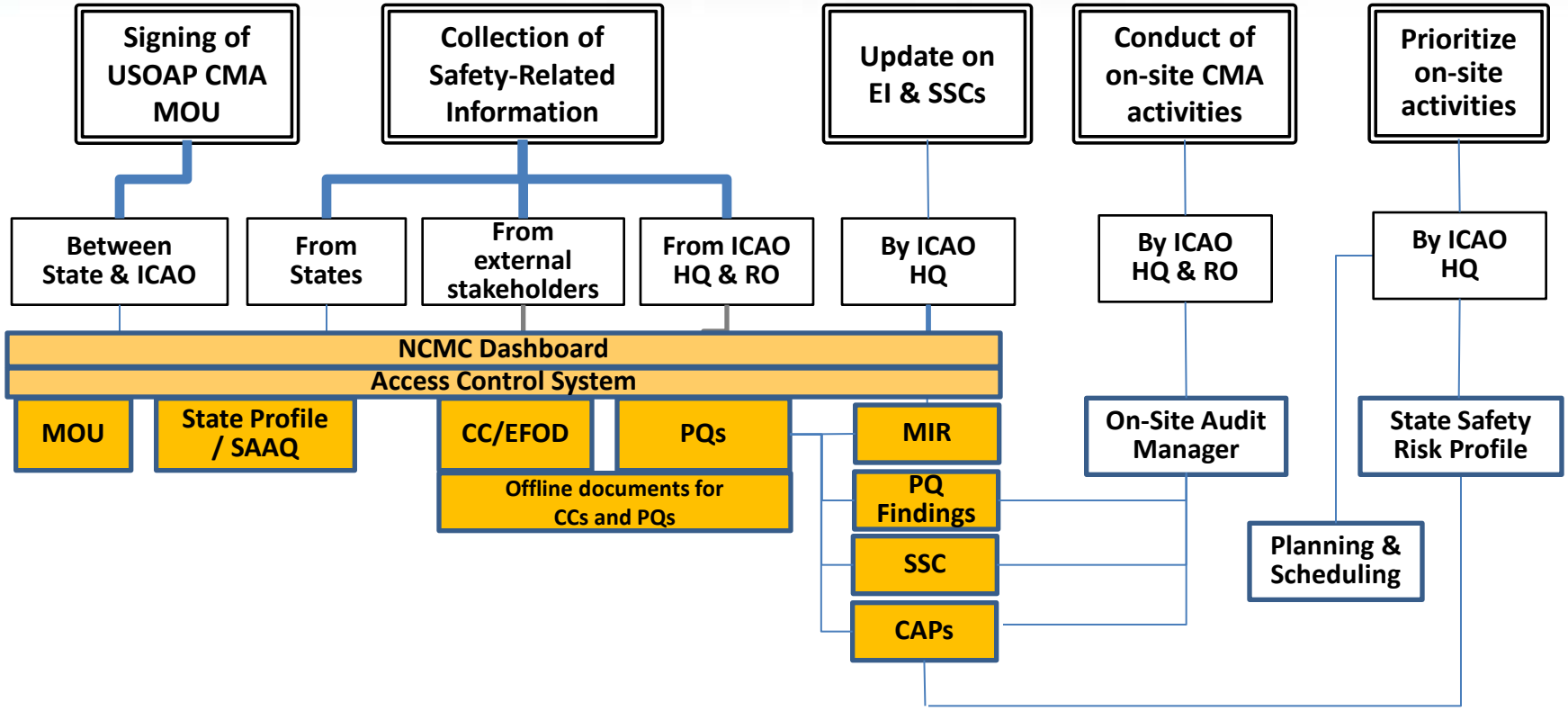
Overview of OLF Functionality



OLF Functions for States

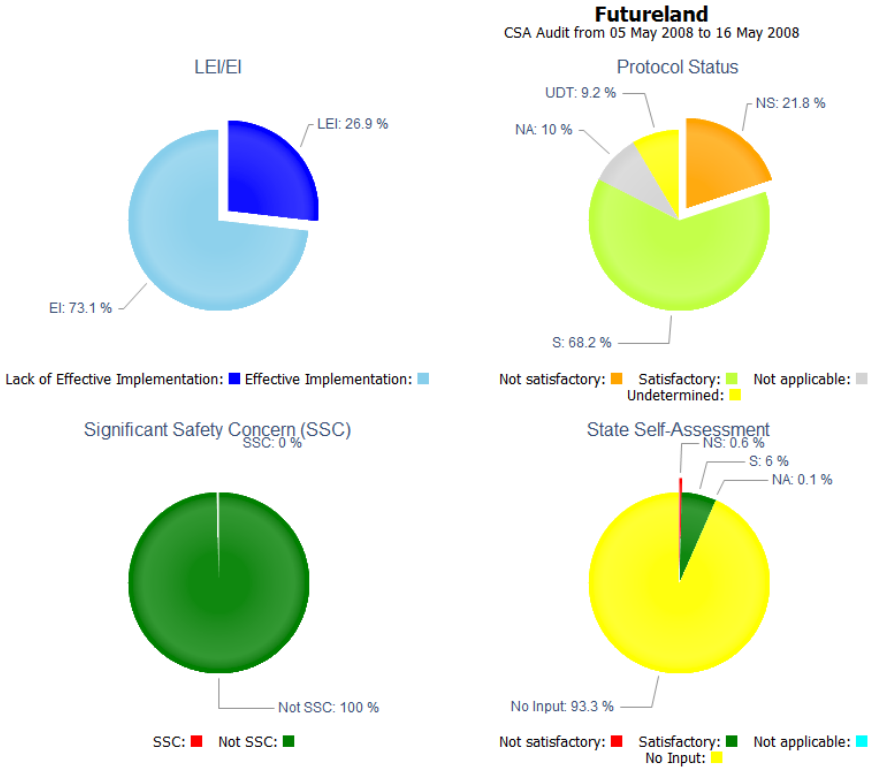
1) Manage OLF user accounts.
2) Keep SAAQ and CC/EFOD up to date.
3) Provide CAP updates and/or progress per corresponding PQ findings.
4) Conduct PQ self-assessment.
5) Respond to MIRs.

Functionalities of OLF Modules

State Dashboard

States (NCMCs) can view:

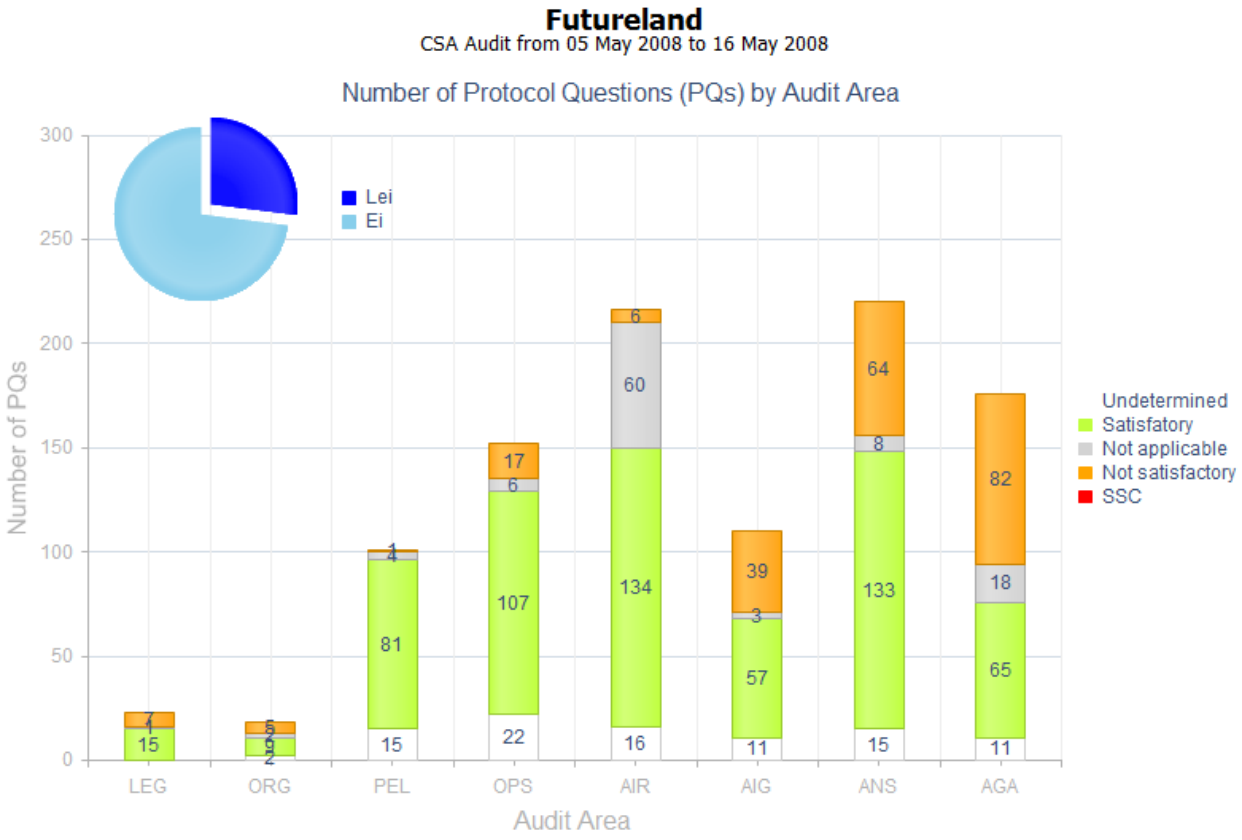
State Dashboard



State Dashboard

States (NCMCs) can view:

State Dashboard



Access Control

❑ NCMCs

✓Have full control of user accounts for the State:

- Issuing additional user accounts;
- Deactivating invalid user accounts; and
- Setting individual user rights/permissions.

❑ Individual users

✓Manage user profile information; and

✓Personalize password.

Note.— If you are not an NCMC and want to have access to the OLF, please contact the NCMC(s) of your State.

Access Control

❑ User account

- ✓ composed of “ID” and password.
- ✓ Duplicate IDs or email addresses are not acceptable.

❑ Access rights

- ✓ 3 types: Limited, read-only and read/write.
- ✓ CC/EFOD: Access rights may be granted per Annex.
- ✓ Access rights may be granted for selected audit areas in each of the 4 OLF modules: Self-Assessment, CAP, PQ Findings and MIR.

State Aviation Activity Questionnaire (SAAQ)

❑ States

✓Complete and update State Profile and SAAQ.

Note.— The SAAQ site is currently being redeveloped to address feedback received from users.

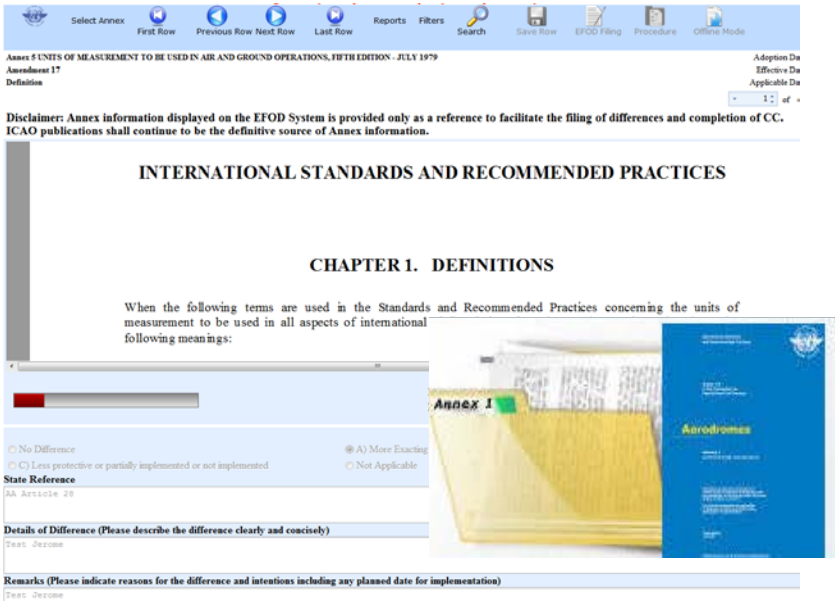
Compliance Checklist / Electronic Filing of Differences (CC/EFOD)

❑ States

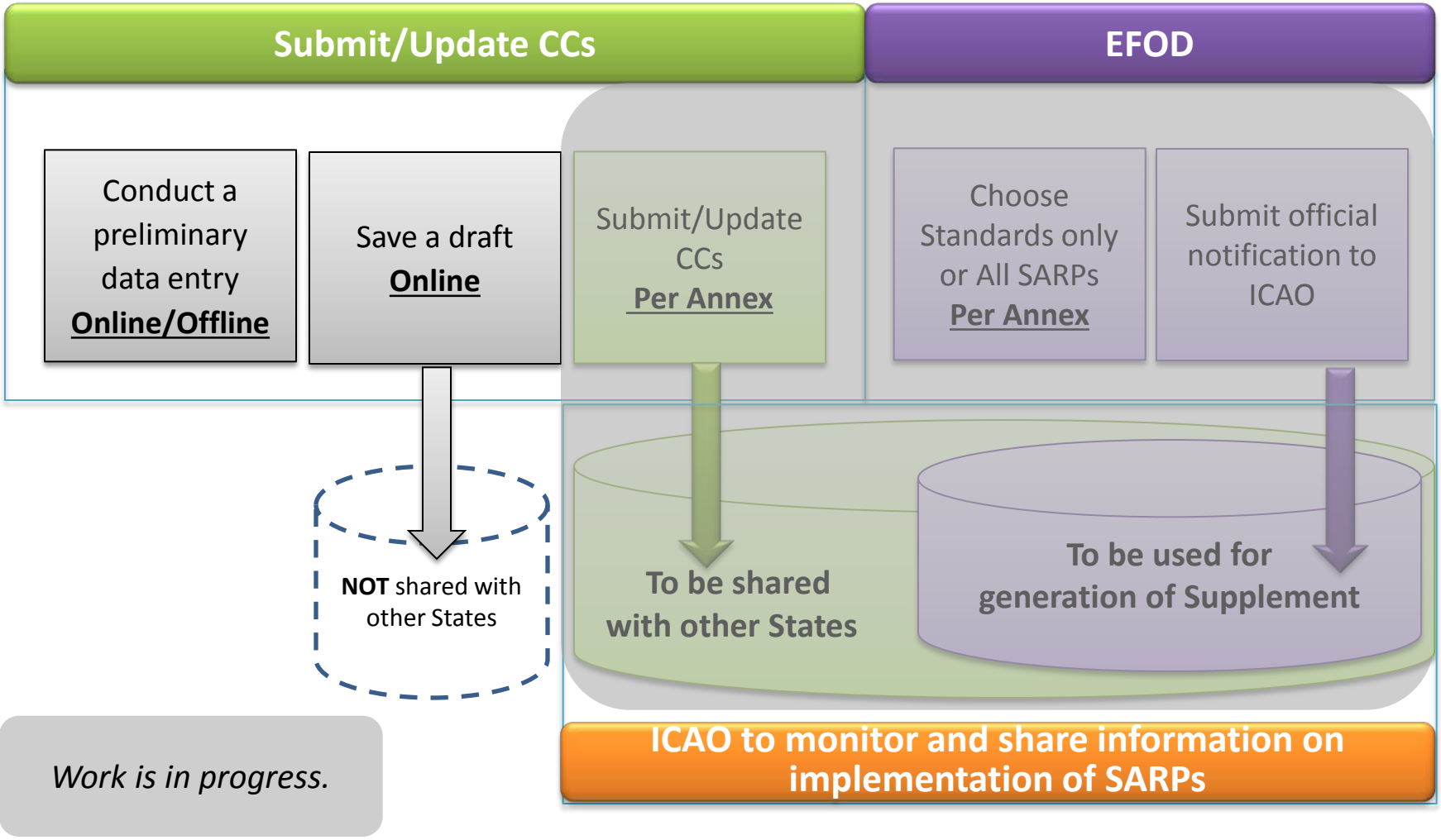
- ✓ Indicate compliance with and/or difference to SARPs (with details).
- ✓ This complies with both Article 38 of the Chicago Convention and CMA MOU.

❑ ICAO

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

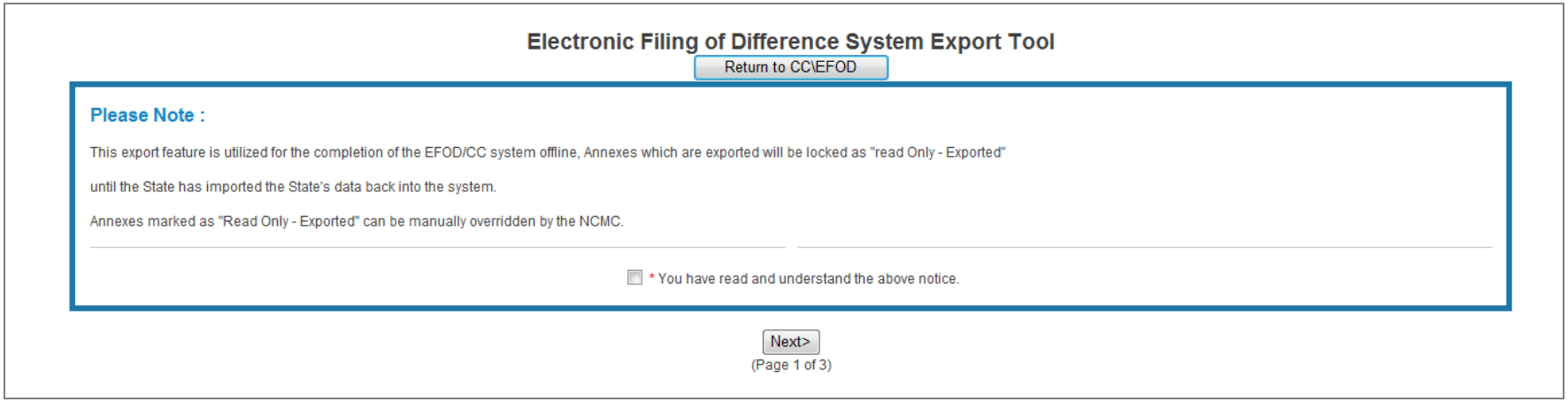


CC/EFOD


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.

Pre-formatted Word Document

- **This feature is available only to NCMCs.**
  - **Once the WORD document is downloaded, data in the EFOD system is locked.**
  - **To enable users to edit data online, NCMC should upload the WORD document or unlock the data.**



Self-Assessment

❑ States

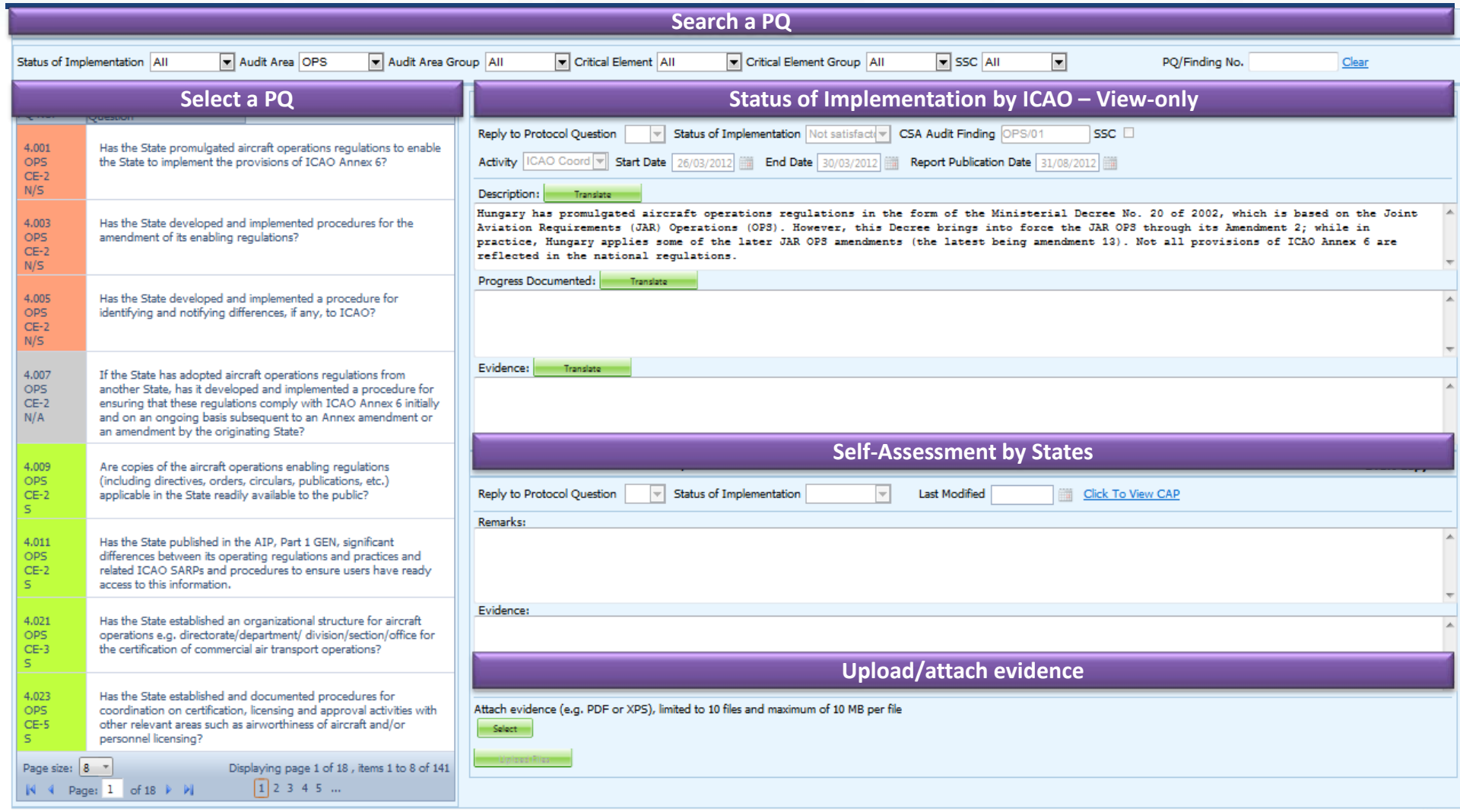
Manage PQs

- ✓ Search and view PQs selected.
- ✓ Conduct **self-assessment** on safety oversight system:
  - Update implementation status of PQs (S/NS/NA), with evidence.
  - Provide implementation status of new PQs.
  - **Attach evidence documents.**

❑ ICAO

- ✓ Keeps PQs up to date.
- ✓ Updates status of implementation of State's PQs based on **latest CMA activities.**
- ✓ Generates State's Effective Implementation (EI).
- ✓ Collects information from external stakeholders.

Self-Assessment



Mandatory Information Request (MIR)

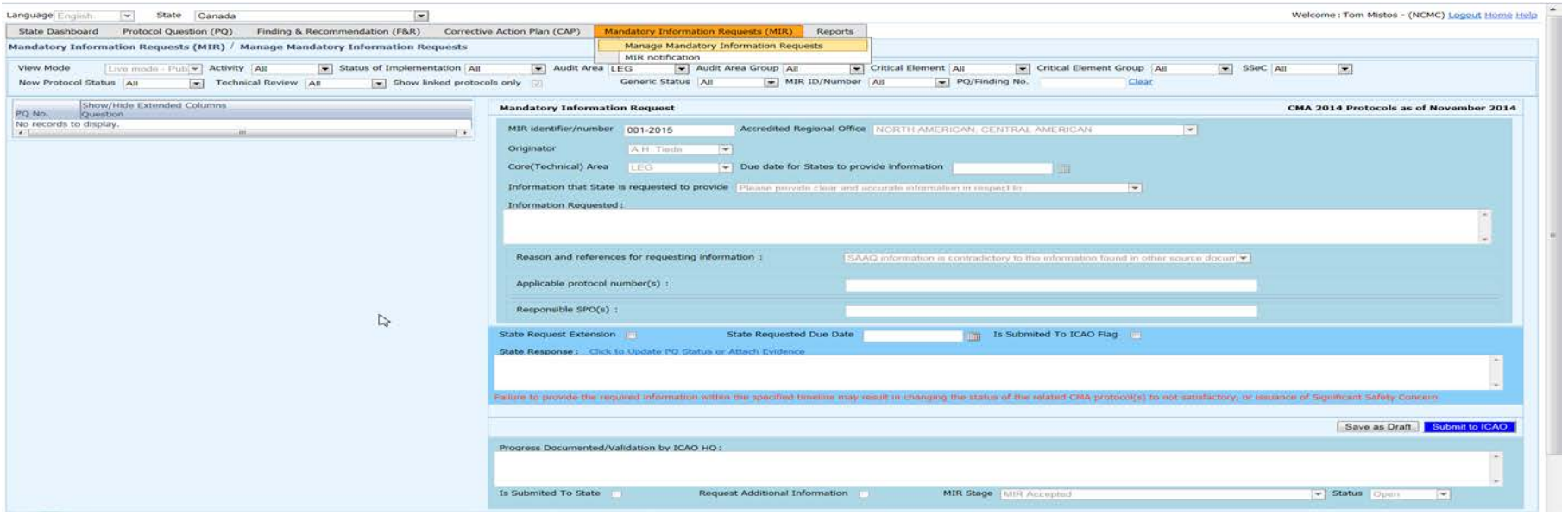
❑ ICAO

- ✓Requests States to submit specific information and documentation.
- ✓Includes the following information when issuing MIRs:
  - Pertinent PQ(s);
  - Reason(s) and relevant reference(s); and
  - Deadline for submission of requested information.
- ✓Records the result from review of submitted information.
- ✓Updates status of MIR (closed/open/escalated to Findings/SSC).

MIR

❑ States

- ✓Respond with evidence requested.
- ✓Provide requested information and/or documentation.
- ✓Request extension of MIR deadline.

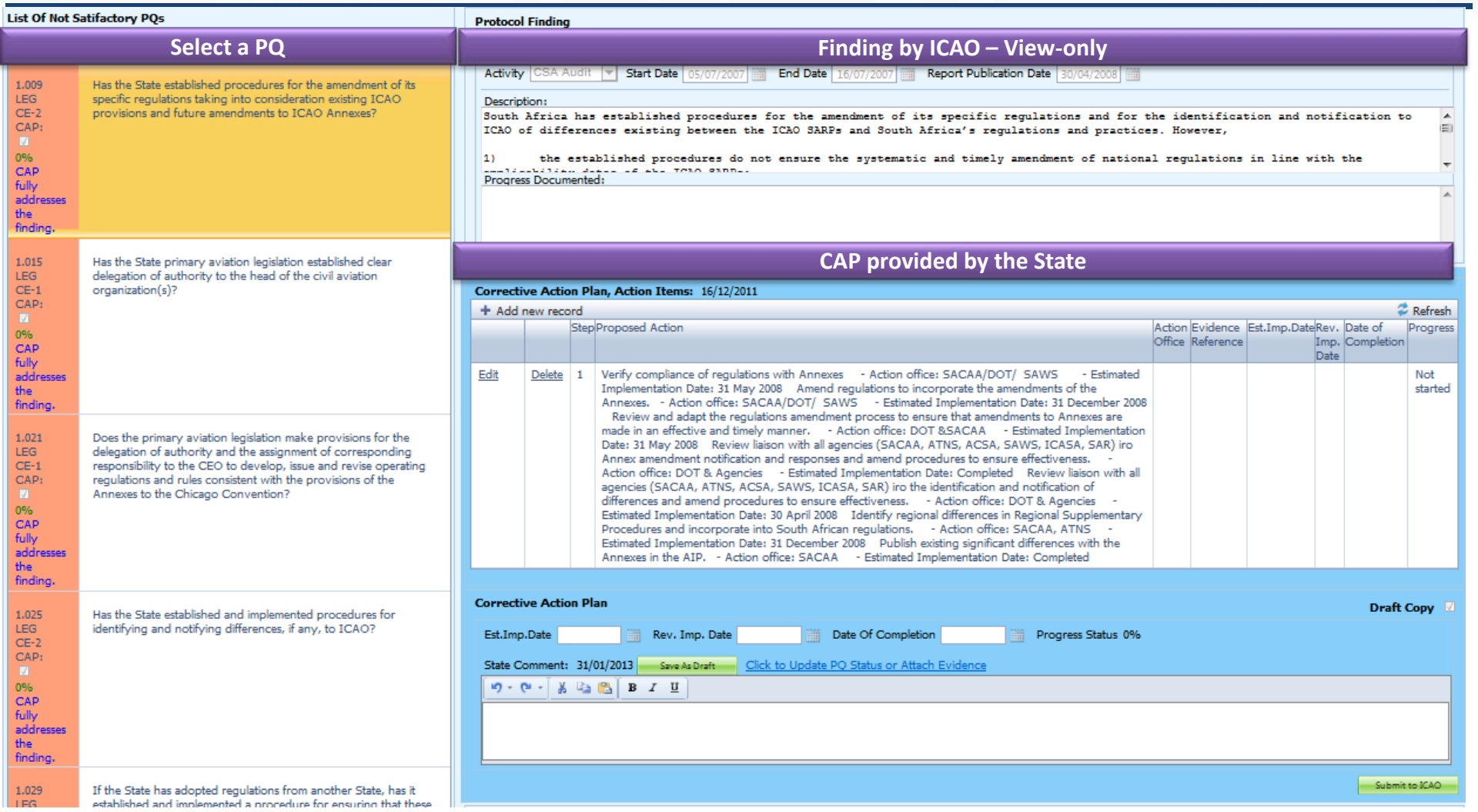


Corrective Action Plan (CAP)

❑ States

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

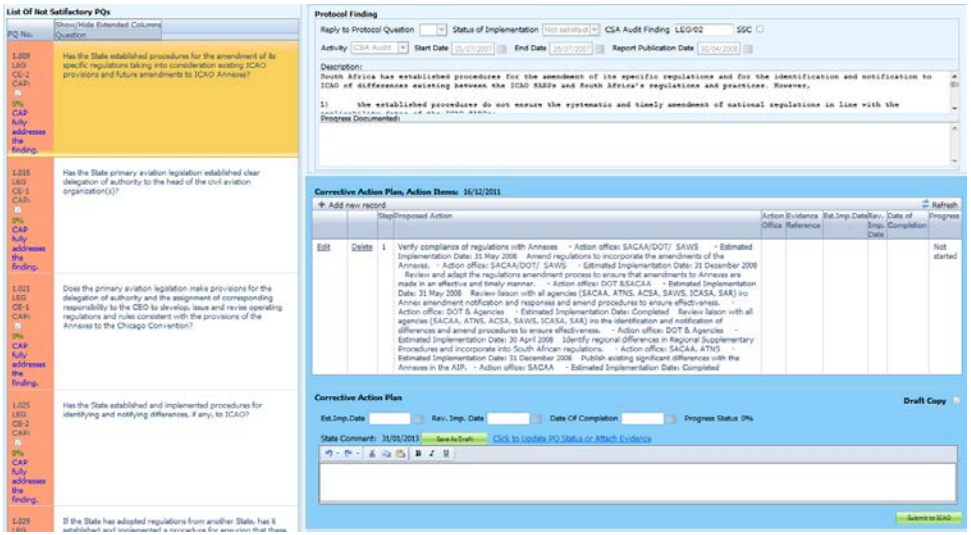
CAP


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
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 the State
Corrective Action Plan, Action Items: 16/12/2011
Add new record
Refresh
Edit
Delete
Step
Proposed Action
Action Office
Evidence Reference
Est.Imp.Date
Rev. Imp. Date
Date of Completion
Progress
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
Submit to ICAO

CAP

❑ ICAO

- ✓Records status of CAP review (e.g. In progress or Completed).
- ✓Records result of review of a proposed CAP and add comments.
- ✓Monitors progress of CAP implementation.



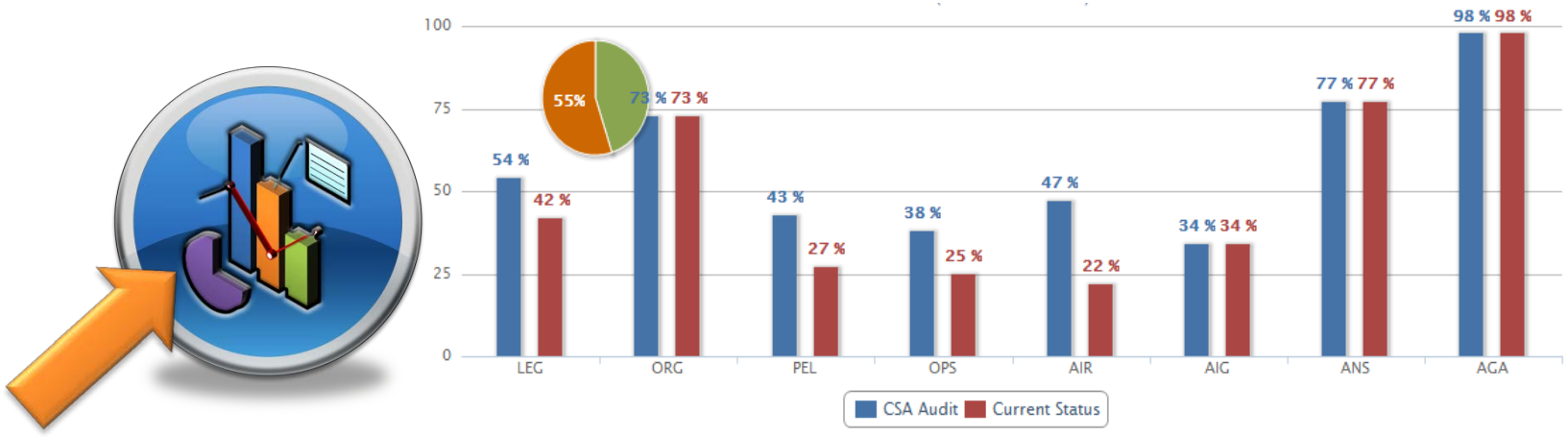
USOAP Reports

❑ Final reports (static)

- ✓ Final reports of activities conducted since the first cycle of USOAP.
- ✓ Published according to predetermined timeline after an activity.

USOAP Live Charts

- ✓ Dynamic graphic illustrations of USOAP data.
- ✓ Based on most recent **online and/or on-site** activity for each audit area/CE.



*Note.— When you click the icon, you will be asked to log into the **ICAO Portal** website (separate user account), where the report resides in Space/iSTARS.*

CMA Library

- **A centralized library for documents related to USOAP CMA, including:**
  a) Assembly and Council Working Papers;
  b) Doc 9734 — *Safety Oversight Manual* and Doc 9735 — *USOAP CMA Manual;*
  c) Generic MOU approved by the Council;
  d) Master copies of PQs and SAAQ;
  e) State Letters and Electronic Bulletins; and
  f) USOAP CMA activity schedule.

Feedback

❑ States

- ✓ Report issues and send queries about OLF.

❑ ICAO

- ✓ Keeps track and manages resolution of all reported issues.

Updating EFOD

Verification by States

- In April 2011, *per SL AN 1/1-11/28,* States were invited to:
  - ✓ Use EFOD as an alternative means for filing differences to all Annexes (except Annex 17).
  - ✓ Verify and confirm the data in EFOD which were previously entered through the CCs under USOAP.
- Over 189 States have been updating data on EFOD.
- 45 States have sent replies:
  - ✓ 92 States have completed verification.

Review

- **Overview of CMA OLF**
- **Functionalities of OLF Modules**
- **Updating EFOD**

Review

1) **The CMA Online Framework is a web-integrated system which includes:**

   a) _____ of safety-related information and documentation from different sources; and

   b) _____ and _____ of safety oversight activities by ICAO and Member States.

Review

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

a) Manage OLF user accounts.
b) Keep SAAQ and CC/EFOD up to date.
c) Provide CAP updates and/or progress per corresponding PQ findings.
d) Conduct PQ self-assessment.
e) Respond to MIRs.

Review

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

- NCMC

4) Which icon is used for "Filing of Differences"?

- "*Manage CCs/EFOD*" icon

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

a) Assembly and Council Working Papers
b) Doc 9734 — *Safety Oversight Manual* and Doc 9735 —*USOAP CMA Manual*
c) Generic MOU approved by the Council
d) Master copies of PQs and SAAQ
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ICAO

THANK YOU