ICAO USOAP
Continuous Monitoring Approach

USOAP Continuous Monitoring Approach (CMA) Workshop

Module 3

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

Outline

1. Overview of USOAP CMA Online Framework (OLF)
2. Functionality of OLF Modules
3. Updating EFOD

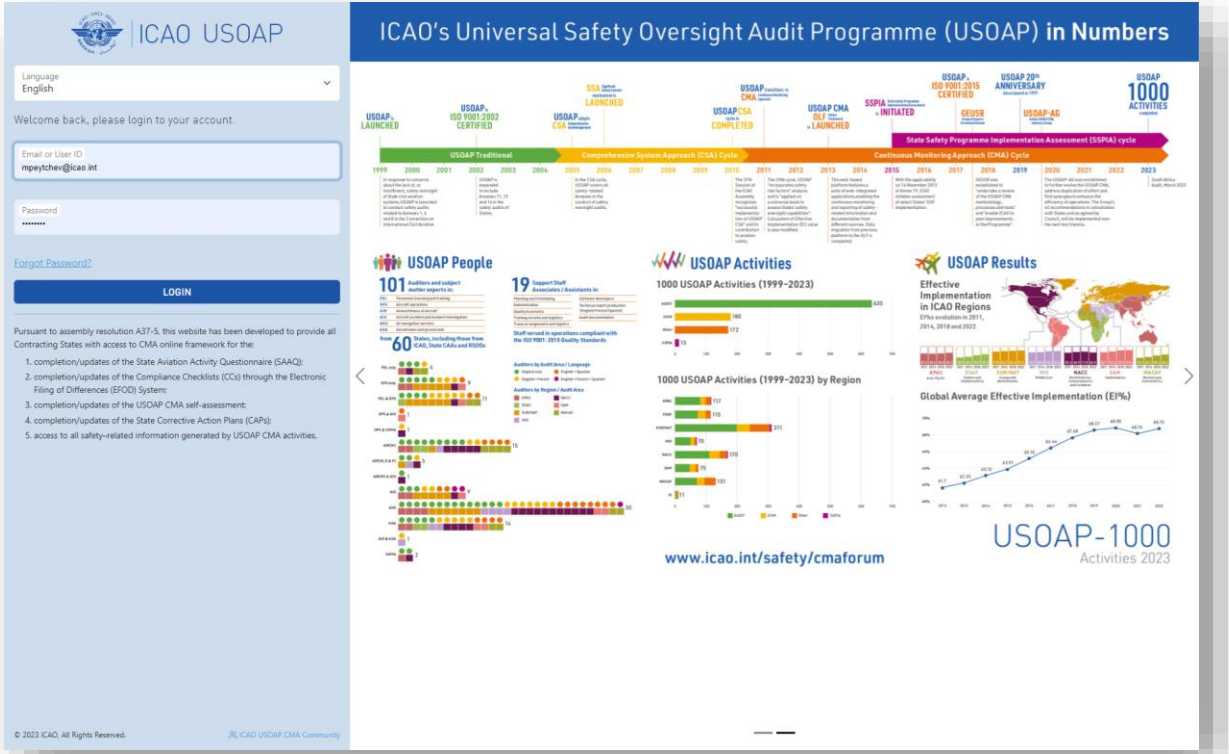
Overview of USOAP CMA Online Framework (OLF)

What is USOAP CMA Online Framework?

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.

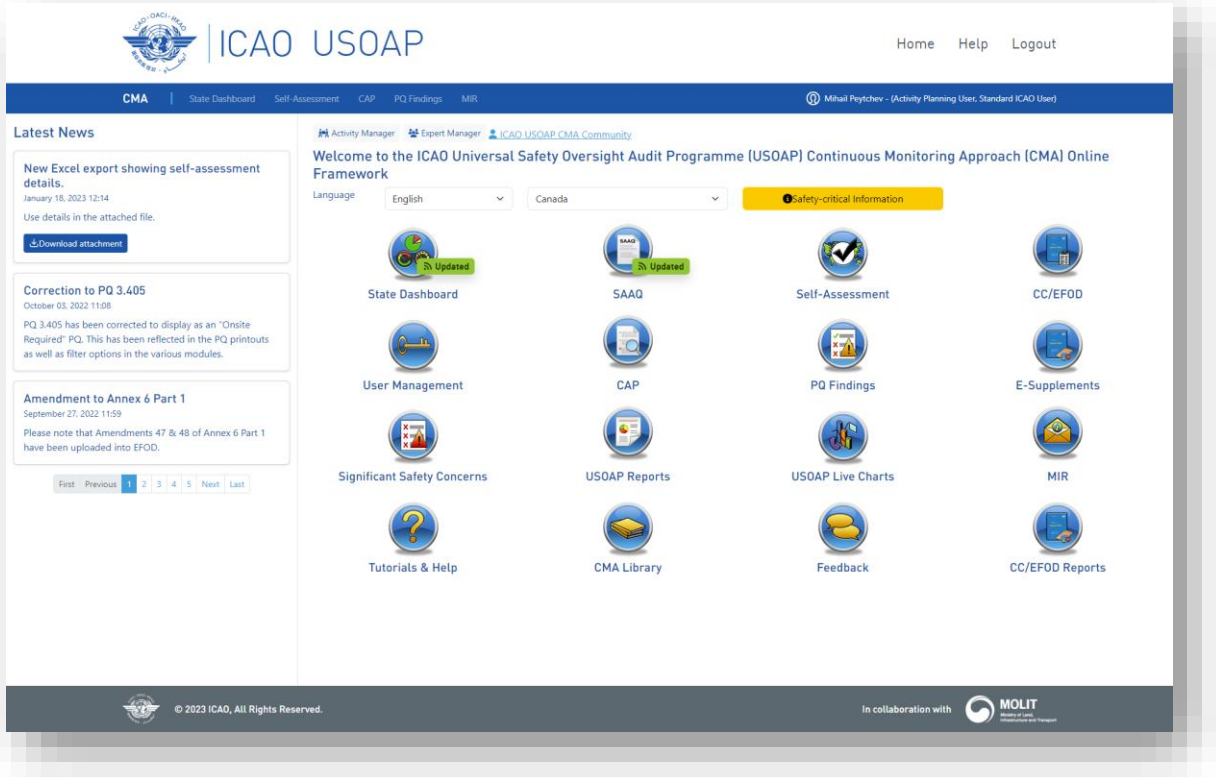
OLF: How to Access It?



Users can access OLF via the ICAO USOAP Restricted Website:

www.icao.int/usoap

OLF: Modules



The OLF Home Page:

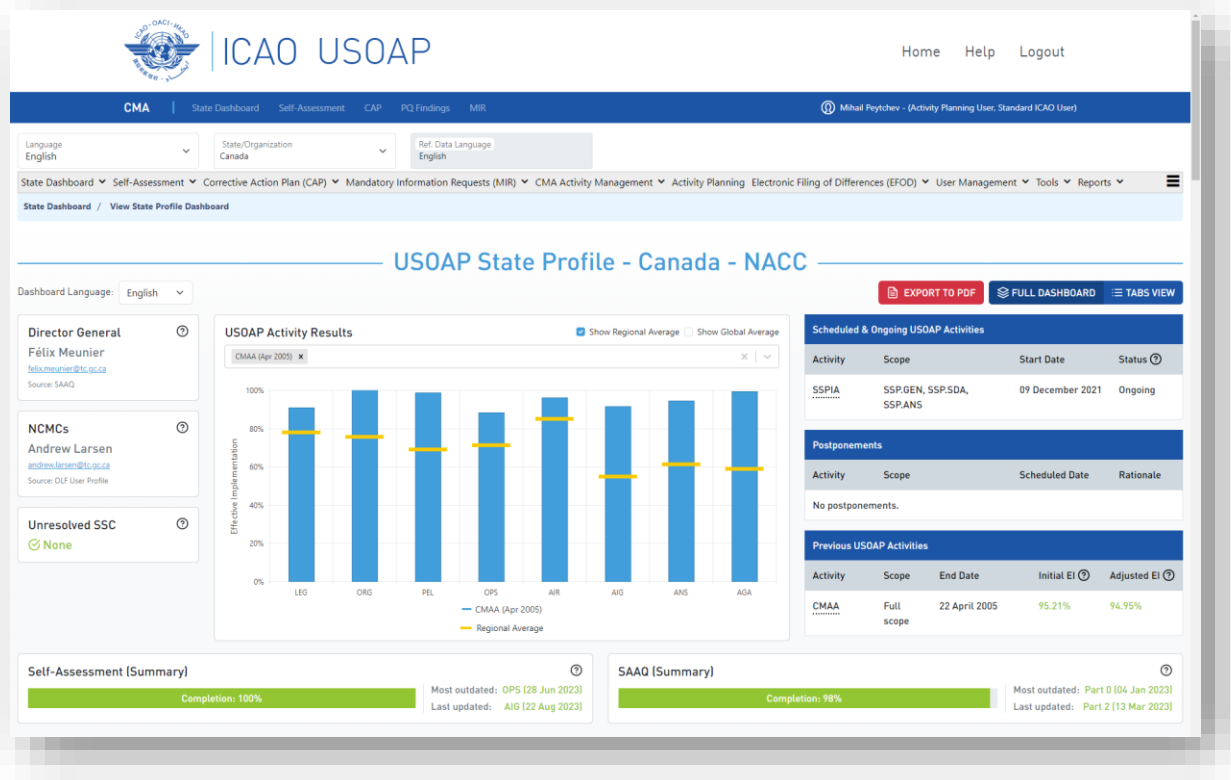
- Latest news
- OLF modules
- Navigation bar with user ID and key functions

OLF: Functionality for States

- Manage OLF user accounts.
- Keep SAAQ and CC/EFOD up to date.
- Provide CAP updates and/or progress per corresponding PQ findings.
- Conduct PQ self-assessment.

Functionality of OLF Modules

State Dashboard



State Dashboard provides the following information:

- USOAP Activities and Results
- EI results by audit area and CE
- Status of CAPs, SAAQ and Self Assessment
- EFOD – reported level of compliance with SARPs

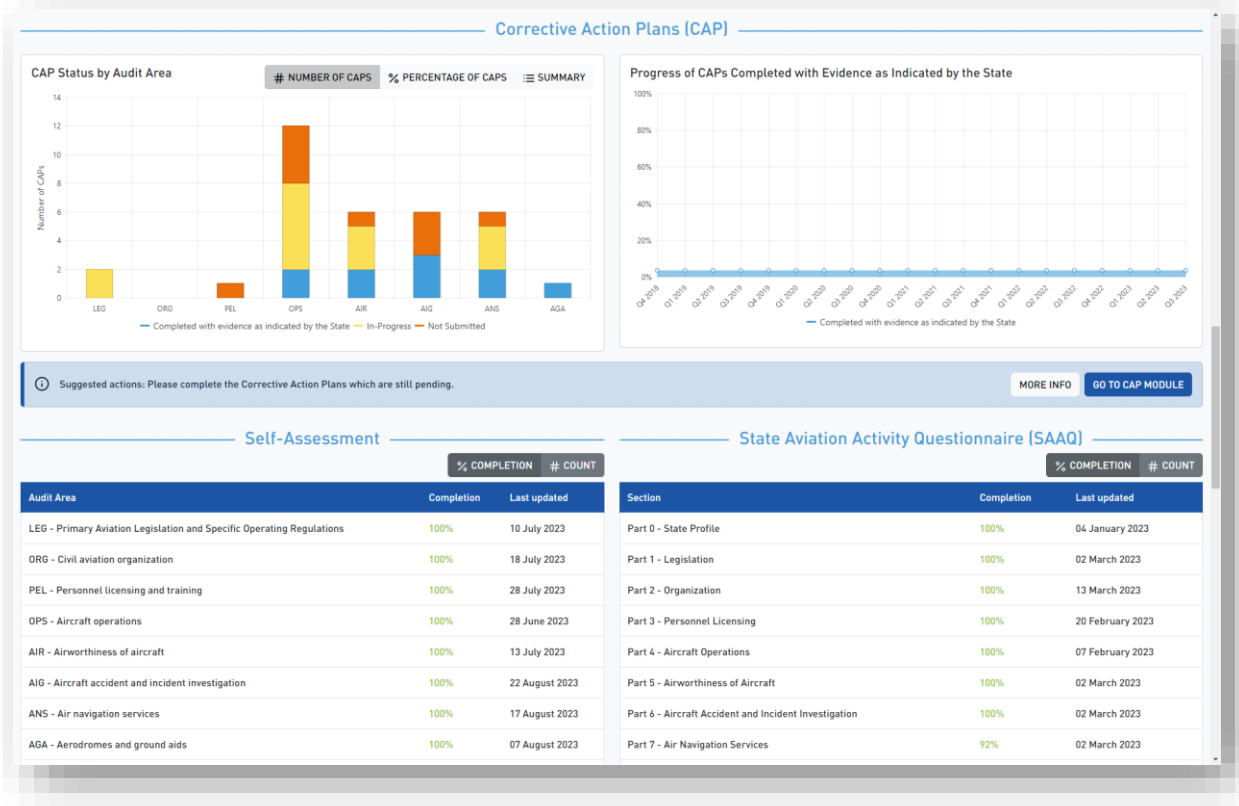
State Dashboard: EI

Effective Implementation (EI)

screen shows:

- Overall EI
- Priority PQ EI
- Implementation EI
- N/S PQs by audit area and CE
- EI by audit area and CE

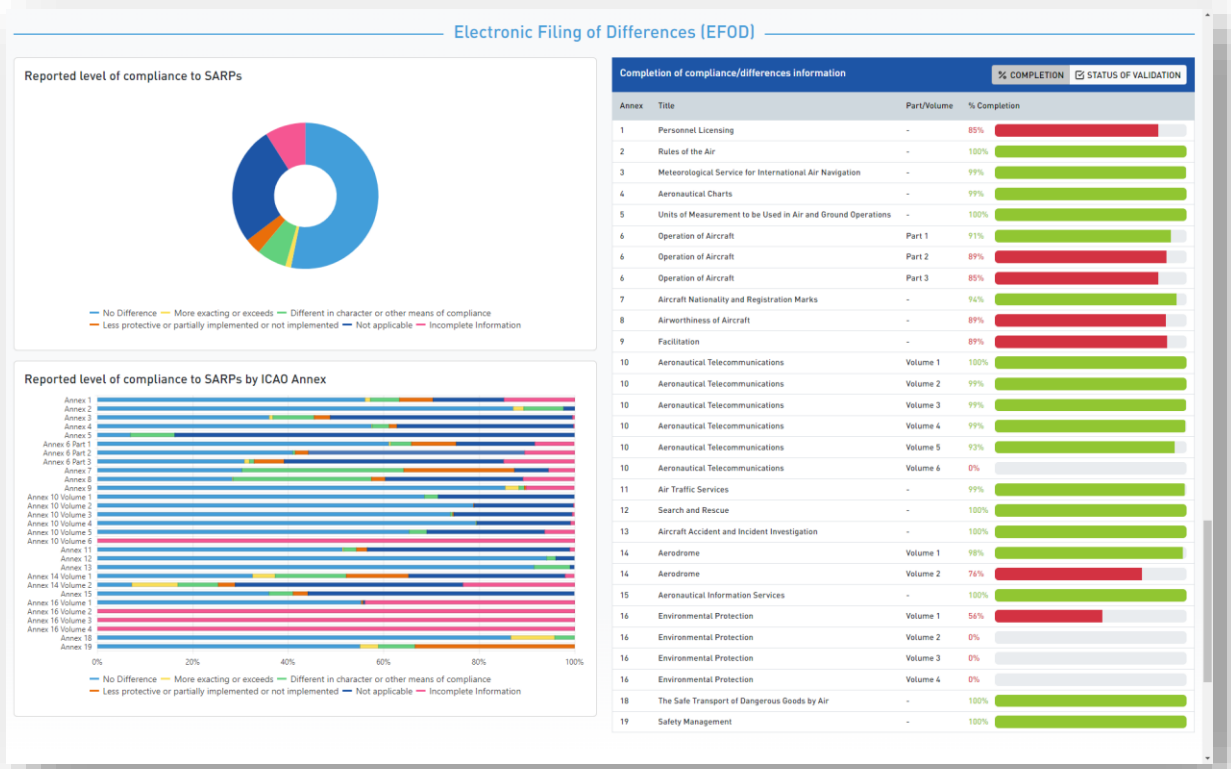
State Dashboard: CAP, SAAQ, SA



CAP, SAAQ, SA section provides information on:

- CAP status by audit area and progress
- Completed Self-Assessments by audit area
- Updated SAAQ by audit area

State Dashboard: EFOD



EFOD screen gives:

- Reported level of compliance to SARPs – overall and by ICAO Annex
- Compliance/difference information provided by the State by Annex

User Access Control

- **NCMCs:** have full control of user accounts for the State, such as:
  - Issue additional user accounts;
  - Deactivate invalid user accounts; and
  - Set individual user rights/permissions.

Note: For Annex 9 issues, please coordinate with Facilitation Section (FAL)/Air Transport Bureau (ATB).

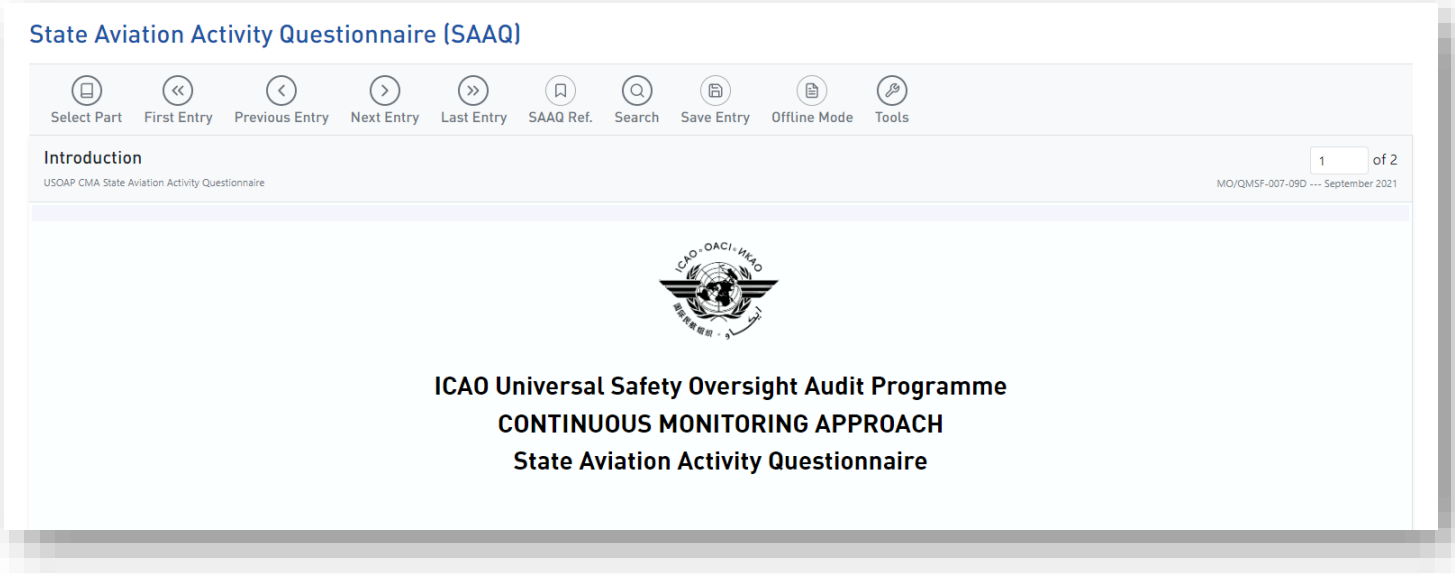
- **Individual users**
  - Manage user profile information; and
  - Personalize password.

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

State Aviation Activity Questionnaire (SAAQ)

✈ States

- Complete and update State Profile and SAAQ.



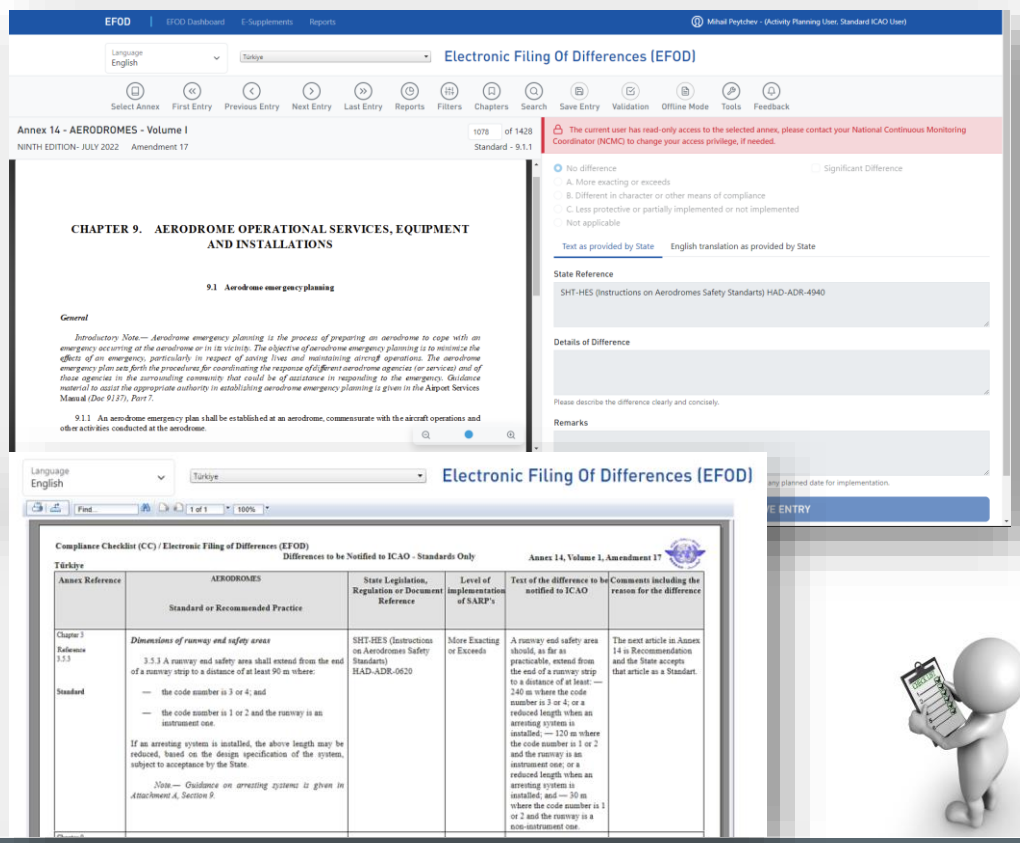
Compliance Checklist / Electronic Filing of Differences (CC/EFOD)

✈ 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 and differences.
- Generates e-Supplement.



CC/EFOD Processes

Submit/Update Checklists

Conduct a preliminary data entry Online/Offline

Submit/Update CCs Per Annex

EFOD

Choose Standards Only or All SARPs Per Annex

Submit official notification to ICAO

To be used for generation of e-Supplement

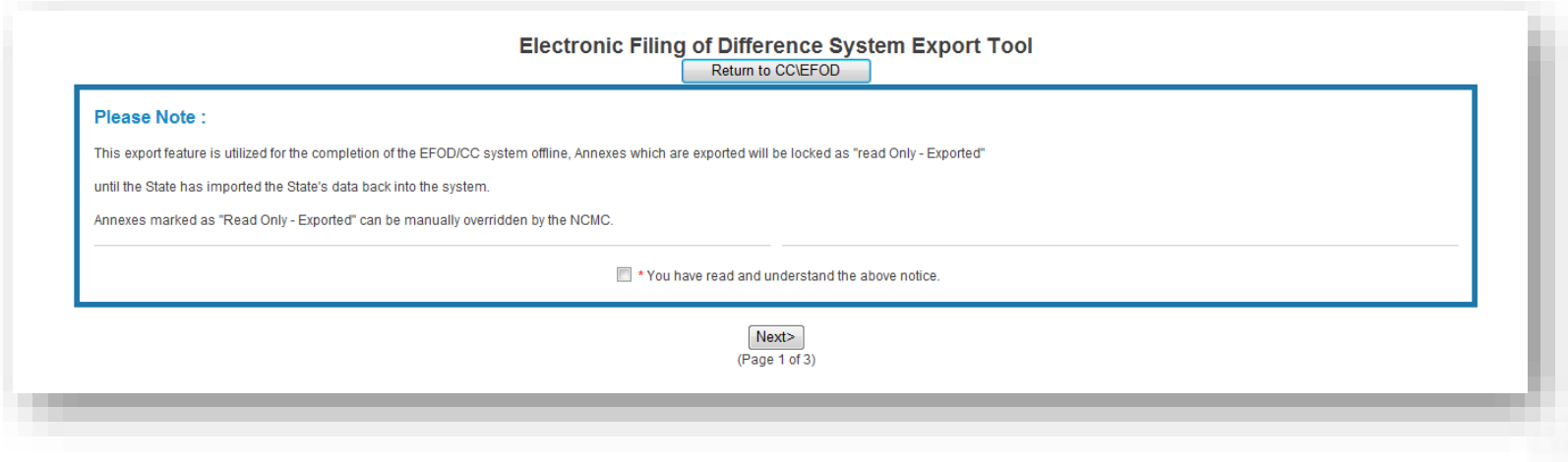
To be shared with other States

ICAO to monitor and share information on implementation of SARPs

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.



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, previously entered through the CCs under USOAP.

- **States now use the Validation button to file notification of difference.**

- **To date, 186 States have notified their differences via EFOD.**

Self-Assessment vs. PQ audit/validation results

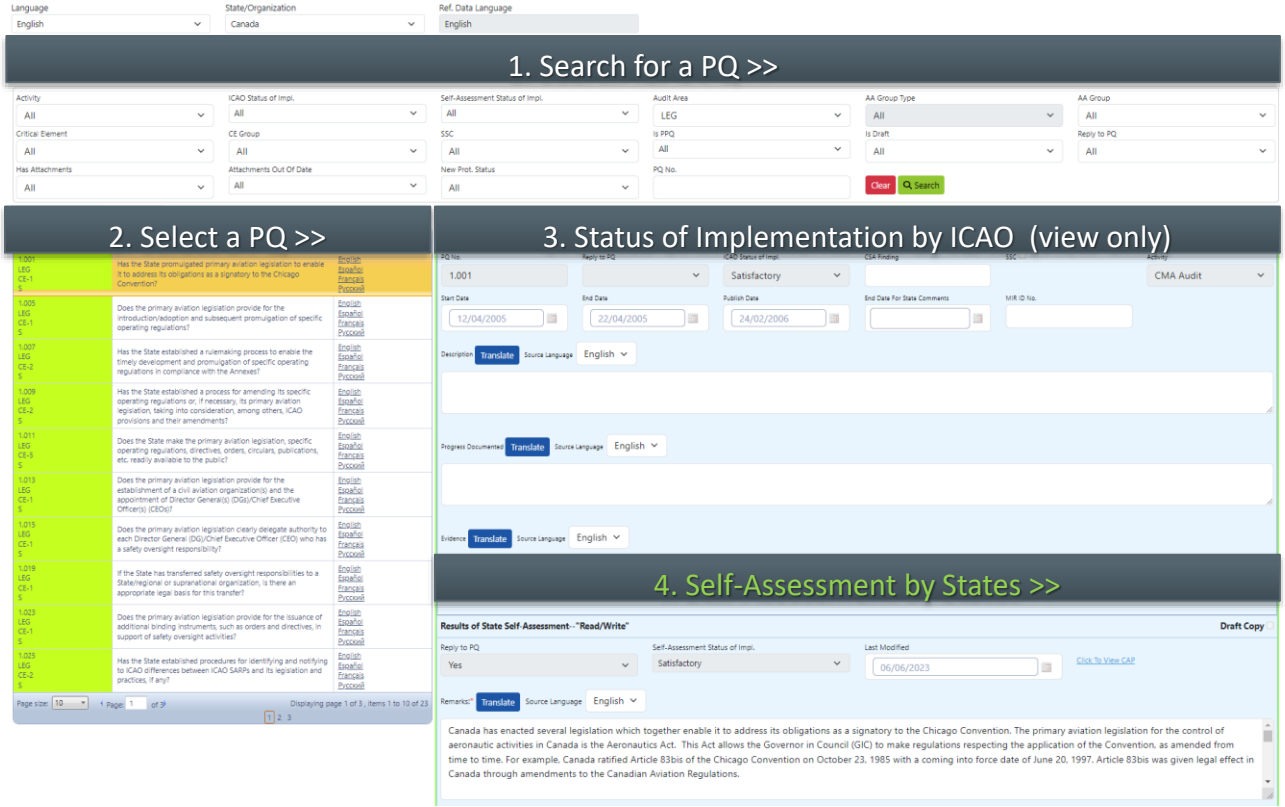
✈ States

- Search and view PQs selected.
- Conduct Self-Assessment of their 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).

Self Assessment: How To Do It?



Corrective Action Plan (CAP)

✈ States

- Search and view PQ Finding(s) issued to a State.
- Submit/update a CAP to address a PQ Finding:
  - ✓ A list of proposed actions;
  - ✓ Responsible office(s) for 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: How To Do It?

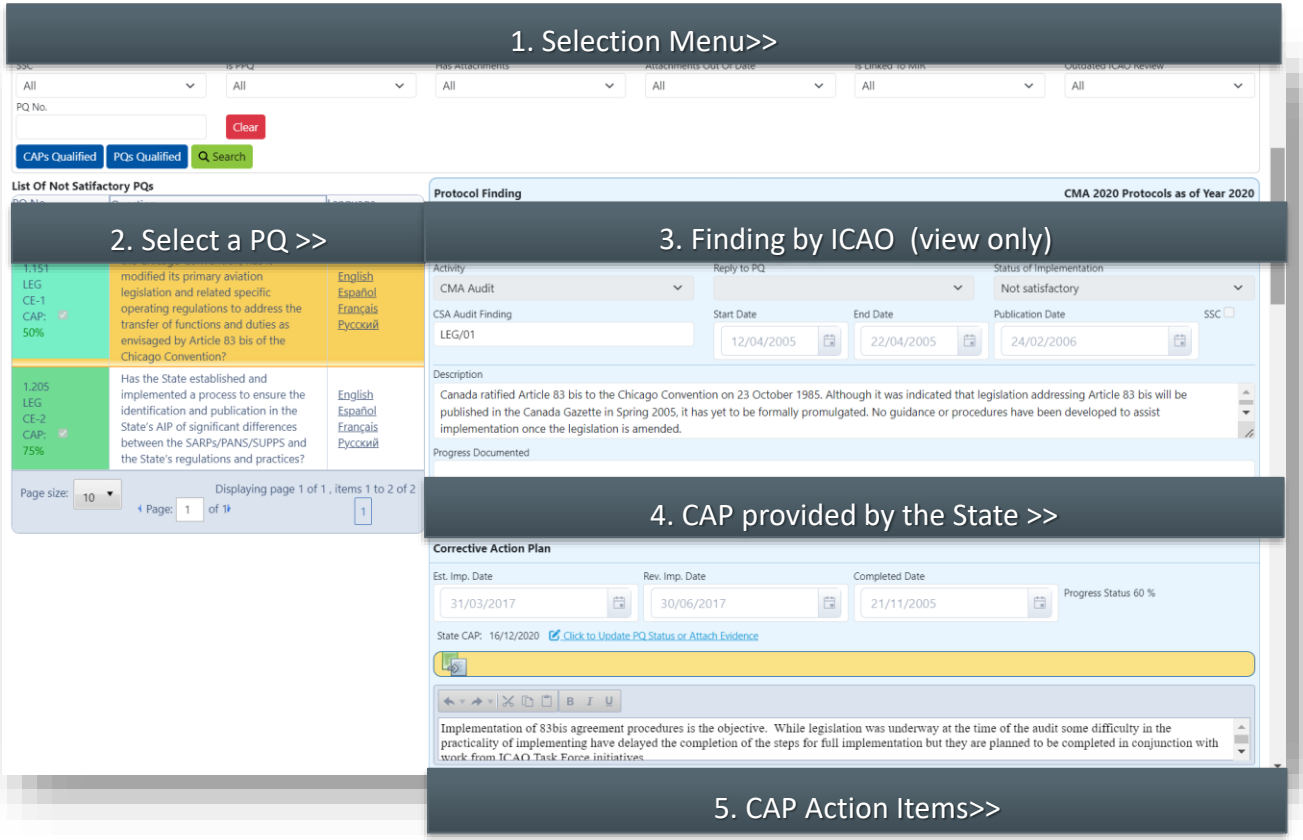
1. Selection Menu>>

2. Select a PQ >>

3. Finding by ICAO (view only)

4. CAP provided by the State >>

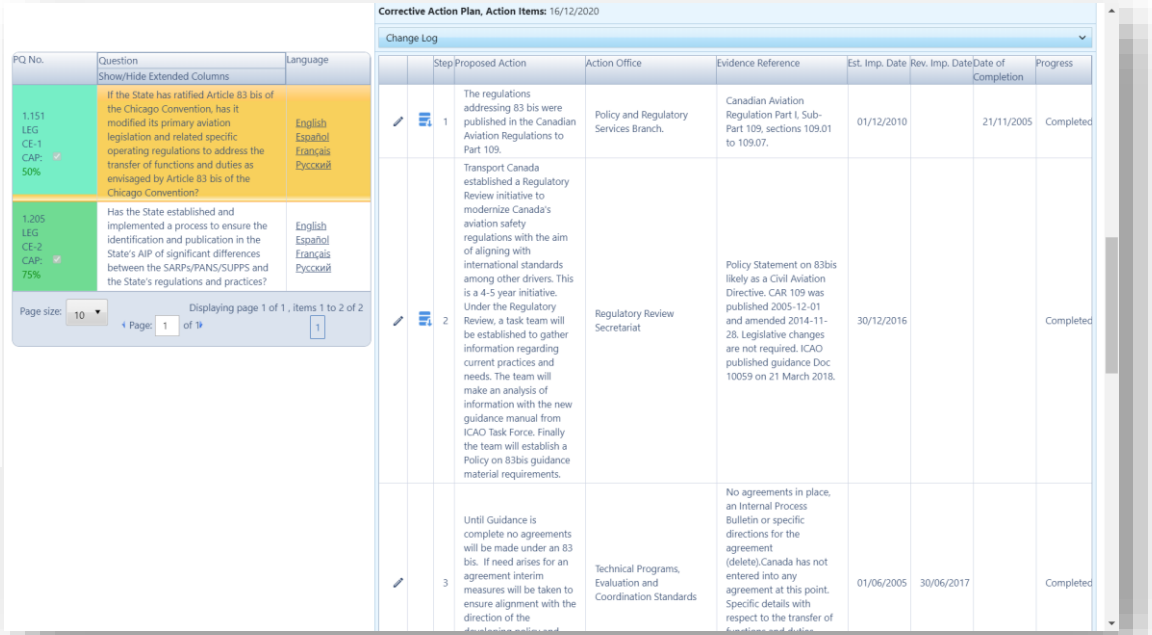
5. CAP Action Items>>



CAP: ICAO

✈ 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.



PQ No. | Question (Show/Hide Extended Columns) | Language

1.151 LEG CE-1 CAP: 50% — If the State has ratified Article 83 bis of the Chicago Convention, has it modified its primary aviation legislation and related specific operating regulations to address the transfer of functions and duties as envisaged by Article 83 bis of the Chicago Convention? — English Español Français Русский

1.205 LEG CE-2 CAP: 75% — Has the State established and implemented a process to ensure the identification and publication in the State's AIP of significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices? — English Español Français Русский

Page size: 10 | Page: 1 of 1 | Displaying page 1 of 1 , items 1 to 2 of 2

Corrective Action Plan, Action Items: 16/12/2020

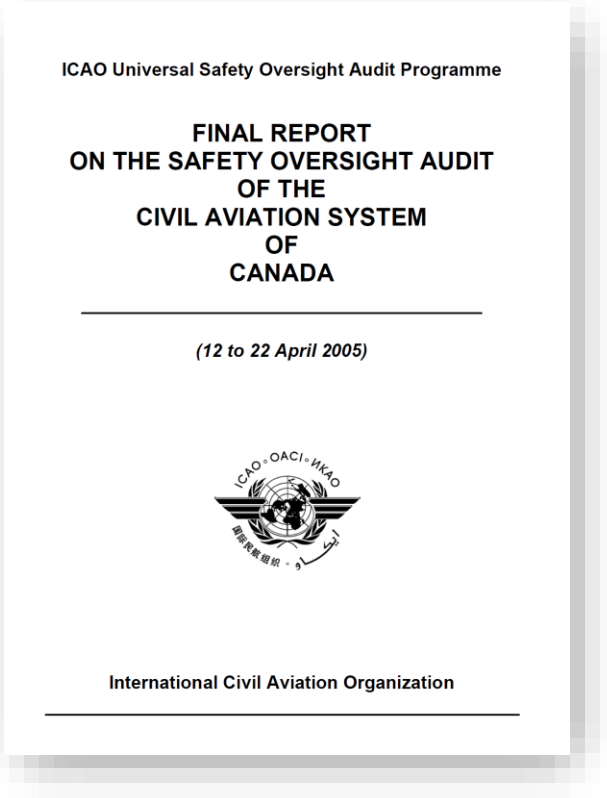
Change Log

Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
1	The regulations addressing 83 bis were published in the Canadian Aviation Regulations to Part 109.	Policy and Regulatory Services Branch.	Canadian Aviation Regulation Part I, Sub-Part 109, sections 109.01 to 109.07.	01/12/2010		21/11/2005	Completed
2	Transport Canada established a Regulatory Review initiative to modernize Canada's aviation safety regulations with the aim of aligning with international standards among other drivers. This is a 4-5 year initiative. Under the Regulatory Review, a task team will be established to gather information regarding current practices and needs. The team will make an analysis of information with the new guidance manual from ICAO Task Force. Finally the team will establish a Policy on 83bis guidance material requirements.	Regulatory Review Secretariat	Policy Statement on 83bis likely as a Civil Aviation Directive. CAR 109 was published 2005-12-01 and amended 2014-11-28. Legislative changes are not required. ICAO published guidance Doc 10059 on 21 March 2018.	30/12/2016			Completed
3	Until Guidance is complete no agreements will be made under an 83 bis. If need arises for an agreement interim measures will be taken to ensure alignment with the direction of the	Technical Programs, Evaluation and Coordination Standards	No agreements in place, an Internal Process Bulletin or specific directions for the agreement (delete),Canada has not entered into any agreement at this point. Specific details with respect to the transfer of	01/06/2005	30/06/2017		Completed

USOAP Reports

✈ Final Reports (static)

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



ICAO Universal Safety Oversight Audit Programme

FINAL REPORT
ON THE SAFETY OVERSIGHT AUDIT
OF THE
CIVIL AVIATION SYSTEM
OF
CANADA

(12 to 22 April 2005)

International Civil Aviation Organization

USOAP Live Charts

✈ USOAP Live Charts

- Dynamic graphic presentation of USOAP data.
- Based on the most recent USOAP CMA activity for each audit area/CE.

Note: When you click on the icon, you will be asked to sign in iSTARS, a dynamic data presentation application on the ICAO Portal website, which requires a separate user account.

USOAP CMA Library

✈ Centralized library for USOAP CMA related documents, including:

- Assembly and Council Working Papers;
- Generic MOU approved by the Council;
- Master copies of PQs and SAAQ;
- USOAP Manuals: **Doc 9734** — Safety Oversight Manual and **Doc 9735** — USOAP CMA Manual;
- Documentation related to USOAP Advisory Group
- Documentation related to SSPIAs
- State Letters / Electronic Bulletins / Reports
- USOAP Guidance Materials
- USOAP CMA activity plans.

Feedback

✈ States

- Report issues and send queries about OLF.

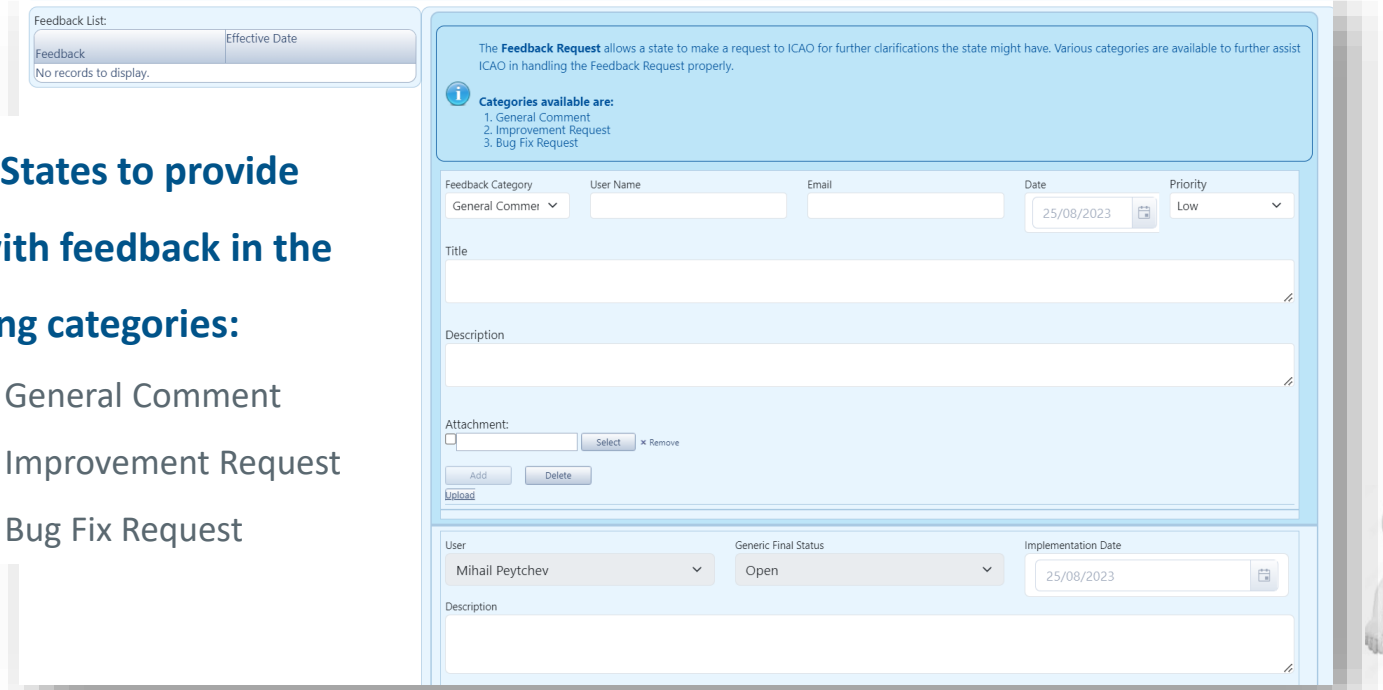
✈ ICAO

- Keeps track and manages resolution of all reported issues.

Feedback: How to Access It?

✈ Accessible from Home Page or Menu Bar

Feedback Request Form



- **Allows States to provide ICAO with feedback in the following categories:**
  - General Comment
  - Improvement Request
  - Bug Fix Request

Review

1. Overview of CMA OLF
2. Functionality of OLF Modules
3. Updating EFOD

Questions and Feedback

Thank You!

ICAO