



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

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)

The screenshot shows the ICAO website header with the logo and the slogan 'ICAO Uniting Aviation on Safety | Security | Environment'. Below the header is a navigation menu with the following items: 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:

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

CC/EFOD Offline Feature is now available.

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OLF Modules



ICAO Uniting Aviation on
Safety | Security | Environment



STATE OPTIONS

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



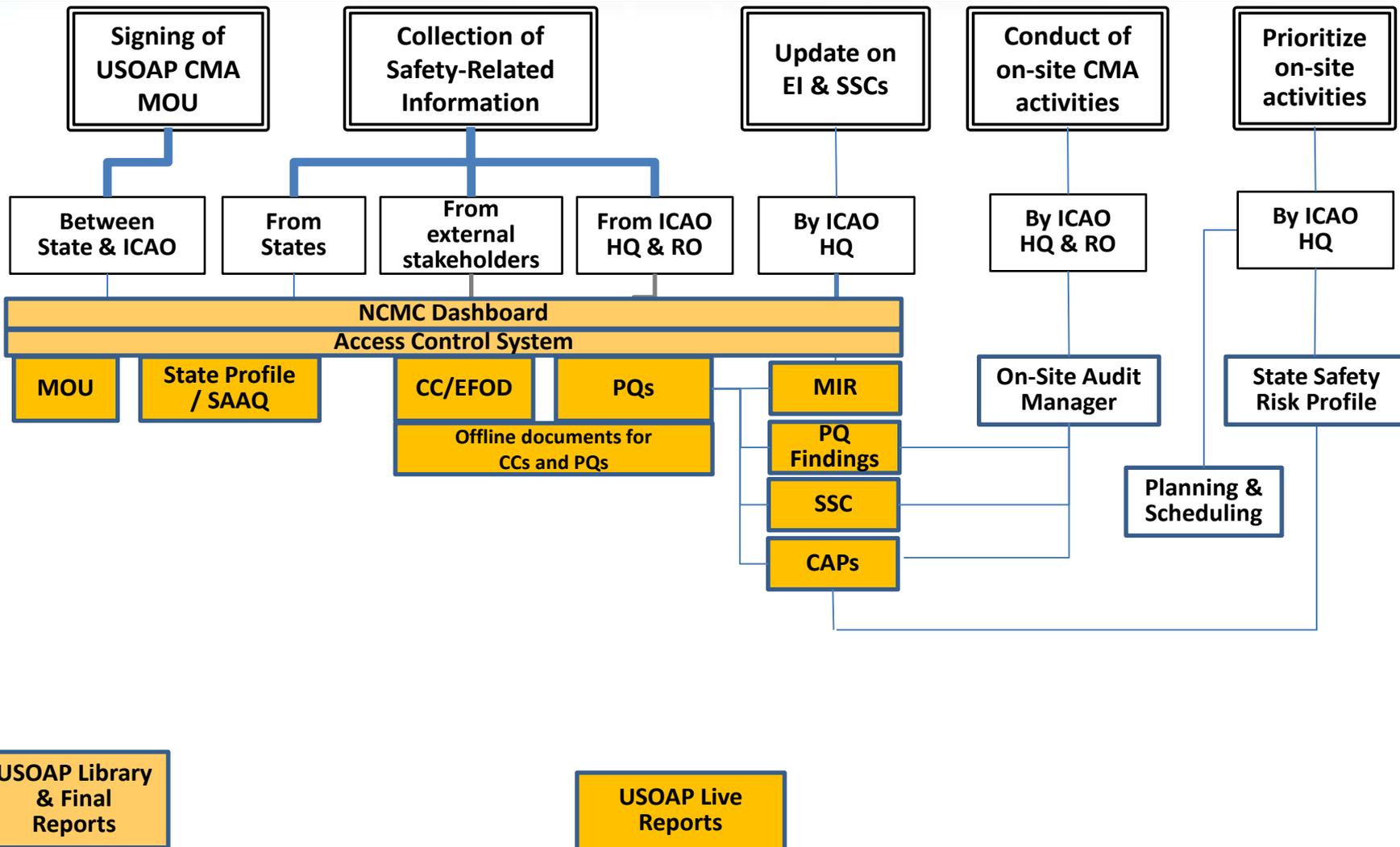
CC/EFOD Reports



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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.

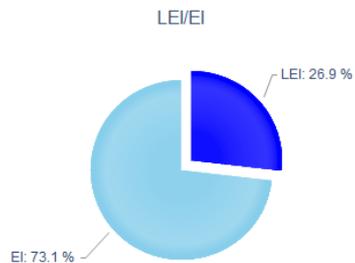
Functionalities of OLF Modules

State Dashboard

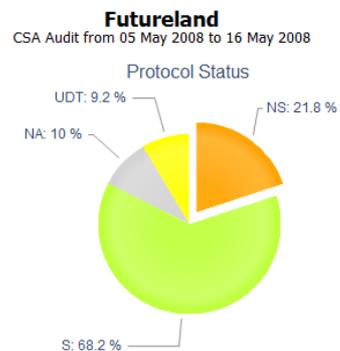


States (NCMCs) can view:

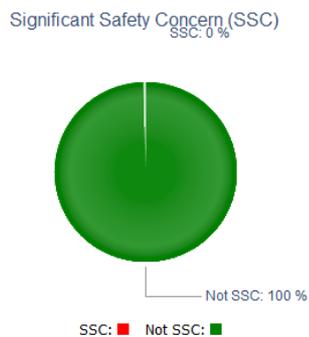
State Dashboard



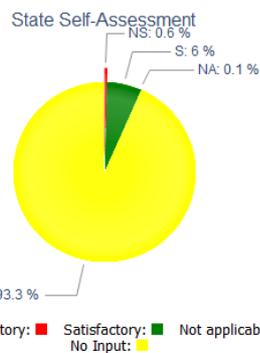
Lack of Effective Implementation: ■ Effective Implementation: ■



Not satisfactory: ■ Satisfactory: ■ Not applicable: ■
Undetermined: ■



SSC: ■ Not SSC: ■



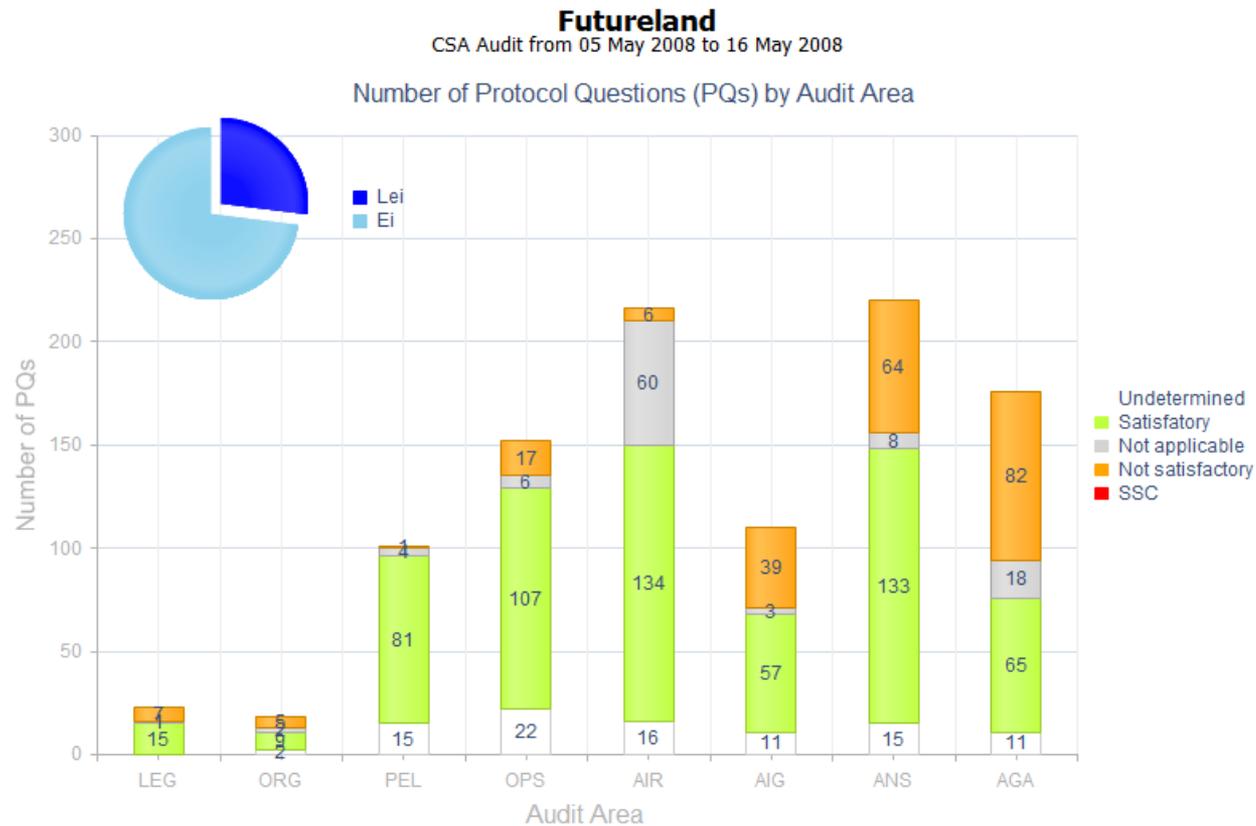
Not satisfactory: ■ Satisfactory: ■ Not applicable: ■
No Input: ■

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: Invisible, 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.

Part 6 - Aircraft Accident and Incident Investigation should be submitted.

Tom Matos, CAND

English SAAQ State Report Offline Mode

Introduction
Part 6 - State Profile
Part 1 - Legislation
Part 2 - Organization
Part 3 - Personnel Licensing
Part 4 - Aircraft Operations
Part 5 - Airworthiness of Aircraft
Part 6 - Aircraft Accident and Incident Investigation
Part 7 - Air Navigation Services
Part 8 - Aerodromes and Ground Aids

STATE USER INFORMATION

State User ID :	4843
State name :	CAND
SAAQ Part Answers recorded on :	9/4/2012 9:28:22 PM
Time to take the SAAQ part :	30 minutes, 15 secs
Last modified on :	11/4/2016 4:53:44 PM
Last modified by :	Remington Low

Page 1

State Aviation Activity Questionnaire - CAND/QMSF-007-09C
CMA SAAQ Profile Page

Provide the name, title and address of the person(s) designated as the State coordinator(s) with respect to the ICAO Universal Safety Oversight Audit Programme (USOAP) (National Continuous Monitoring Coordinator (NCMC)).

Name:

Title:

Address:

SAAQ



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



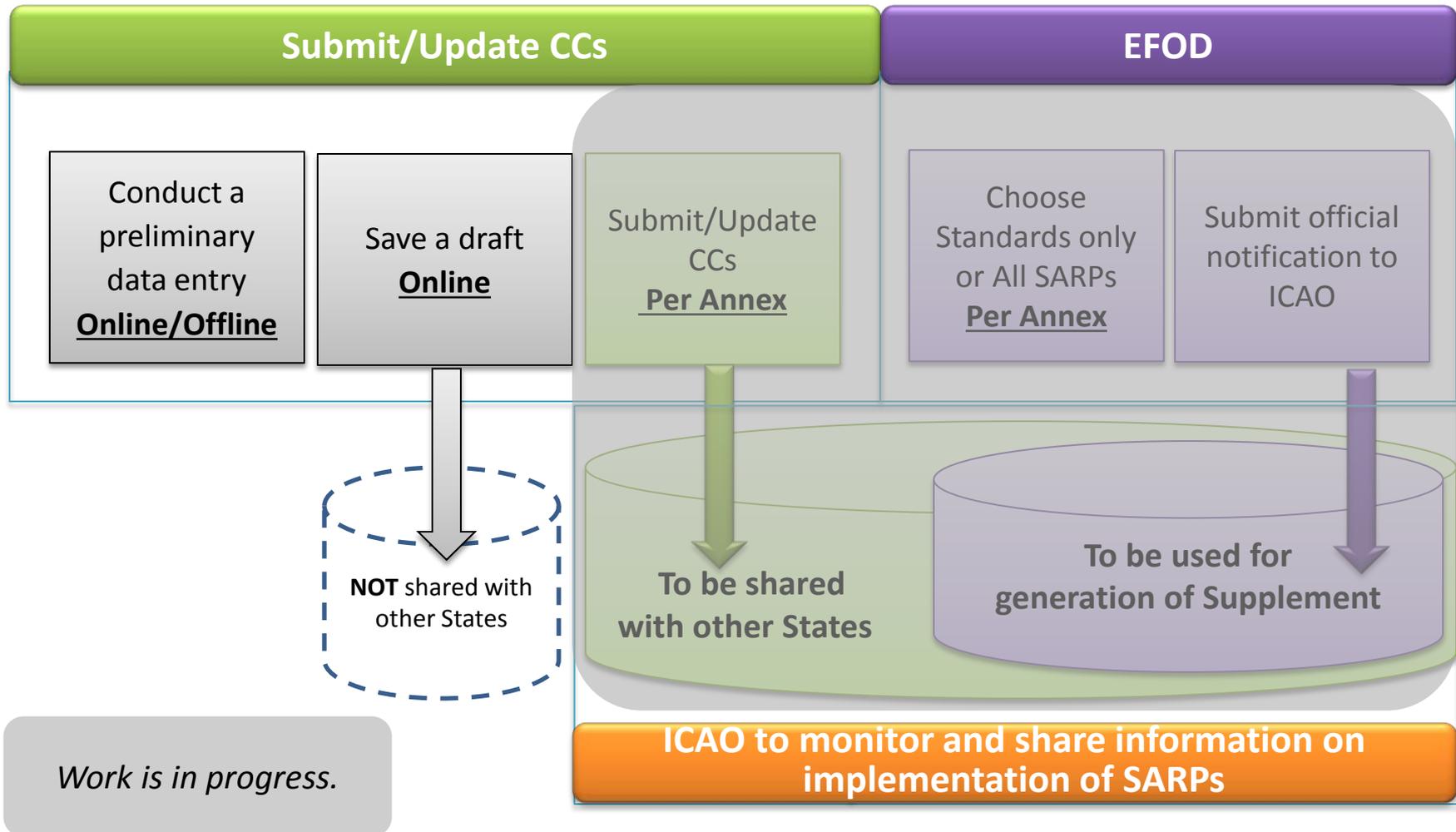
States

- ✓ 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/difference.
- ✓ Generates e-Supplement.

A screenshot of the Electronic Filing of Differences (EFOD) system interface. The top navigation bar includes options like 'Select Annex', 'First Row', 'Previous Row', 'Next Row', 'Last Row', 'Reports', 'Filters', 'Search', 'Save Row', 'EFOD Filing', 'Procedure', and 'Offline Mode'. The main content area displays 'Annex 5 UNITS OF MEASUREMENT TO BE USED IN AIR AND GROUND OPERATIONS, FIFTH EDITION - JULY 1979' and 'Annexes 17'. A disclaimer states: '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.' Below this, the text reads 'INTERNATIONAL STANDARDS AND RECOMMENDED PRACTICES' and 'CHAPTER 1. DEFINITIONS'. A paragraph explains that the following terms are used in the Standards and Recommended Practices concerning the units of measurement to be used in all aspects of international following meanings:
 No Difference A) More Exact Not Applicable
 C) Less protective or partially implemented or not implemented
The interface also shows a 'State Reference' section with 'IA Article 28' and a 'Details of Difference' section with a text input field containing 'Text: Jexxon'. A 'Remarks' section is at the bottom with a text input field containing 'Text: Decade'. On the right side, there is a graphic of a yellow folder labeled 'Annex 1' and a blue folder labeled 'Aerodromes'.



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.

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)

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



Search a PQ

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

Select a 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: 1 of 18 ... 1 2 3 4 5 ...

Status of Implementation by ICAO – View-only

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:

Self-Assessment by States

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

Remarks:

Evidence:

Upload/attach evidence

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

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).



When can a MIR be issued

An MIR can be issued when:

- a) a State has not submitted and/or maintained its SAAQ, CCs and/or PQs complete and up to date;
- b) a State has not submitted and/or maintained its CAPs up to date;
- c) information in the SAAQ, CCs and/or PQs provided by the State contradicts information found in other
- d) documents or provided by other stakeholders;
- e) a significant change is observed in the organization responsible for a State's aviation safety oversight;

When can a MIR be issued (cont'd)

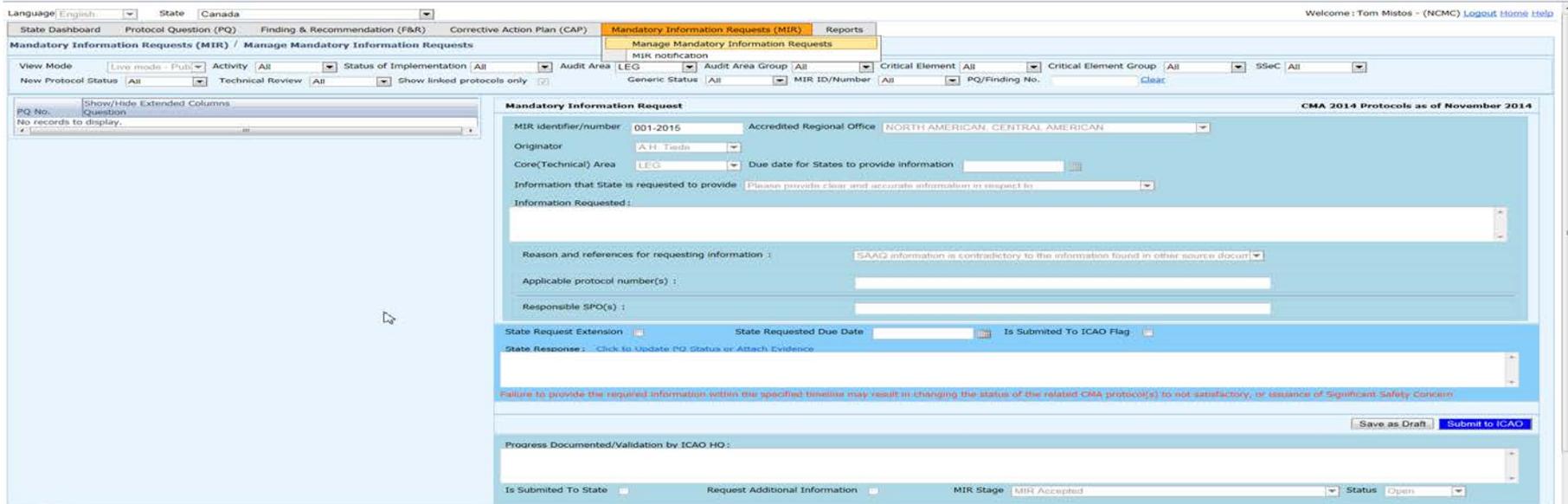


An MIR can be issued when:

- f) evidence indicates that a potential deficiency or significant safety concern may exist, and additional
- g) information is required to validate this — it gives the State the opportunity to clarify the issue;
- h) information is needed on an aircraft accident or incident;
- i) information is needed in addition to an ICAO RO visit; and
- j) information collected during a USOAP CMA activity is incomplete or insufficient.

States

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



Language: English | State: Canada | Welcome: Tom Mistos - (NMC) Logout Home Help

State Dashboard | Protocol Question (PQ) | Finding & Recommendation (F&R) | Corrective Action Plan (CAP) | **Mandatory Information Requests (MIR)** | Reports

Mandatory Information Requests (MIR) / Manage Mandatory Information Requests

View Mode: Live mode - Pub | Activity: All | Status of Implementation: All | Audit Area: LEG | Audit Area Group: All | Critical Element: All | Critical Element Group: All | SSEC: All

Now Protocol Status: All | Technical Review: All | Show linked protocols only: | Generic Status: All | MIR ID/Number: All | PQ/Finding No.: Clear

Information Requested:

Reason and references for requesting information: SAAQ information is contradictory to the information found in other source docum

Applicable protocol number(s):

Responsible SPO(s):

State Request Extension: | State Requested Due Date: | Is Submitted To ICAO Flag:

State Response: Click to Update PQ Status or Attach Evidence

Failure to provide the required information within the specified timeline may result in changing the status of the related CMA protocol(s) to not satisfactory, or issuance of Significant Safety Concern

Progress Documented/Validation by ICAO HQ:

Is Submitted To State: | Request Additional Information: | MIR Stage: MIR Accepted | Status: Open

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).



List Of Not Satisfactory 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
 Progress Documented:

CAP provided by the State

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](#)

B *I* U

[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.

List of Not Satisfactory PQs

PQ No.	Show/Hide Extended Content/Question
1.009 LEO CE-2 CAH N W CAP Fully address 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 LEO CE-2 CAH N W CAP Fully address the Finding	Has the State primary aviation legislation established clear delegation of authority to the head of the civil aviation organization(s)?
1.021 LEO CE-1 CAH N W CAP Fully address 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 LEO CE-2 CAH N W CAP Fully address the Finding	Has the State established and implemented procedures for identifying and notifying differences, if any, to ICAO?
1.029 LEO	If the State has adopted regulations from another State, has it established and implemented a process to ensure that these

Protocol Finding

Reply to Protocol Question: [Not satisfied] CSA Audit Finding: LEG92 SSC

Activity: [CSA Audit] Start Date: 06/07/2007 End Date: 14/07/2007 Report Publication Date: 08/04/2008

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 RARs 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 Program Document.

Corrective Action Plan, Action Items: 16/12/2011

Est.	Debit	1	Proposed Action	Action Evidence	Est. Imp. Date	Imp. Date	Completion	Progress		
		1	Verify compliance of regulations with Annexes - Action office: SACAA/DO7 SAWIS - Estimated Implementation Date: 31 May 2008 - Amend regulations to incorporate the amendments of the Annexes. - Action office: SACAA/DO7 SAWIS - Estimated Implementation Date: 31 December 2008 - Review and adjust the regulations amendment process to ensure that amendments to Annexes are made in an effective and timely manner. - Action office: DOT BSACAA - Estimated Implementation Date: 31 May 2008 - Review liaison with all agencies (SACAA, ATNS, ACSA, SAWS, ICAO, SAA) re: 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, ACSA, SAWS, ICAO, SAA) 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: 0%

State Comments: 31/01/2011 [Save As Draft] Click to Update PQ Status or Attach Evidence

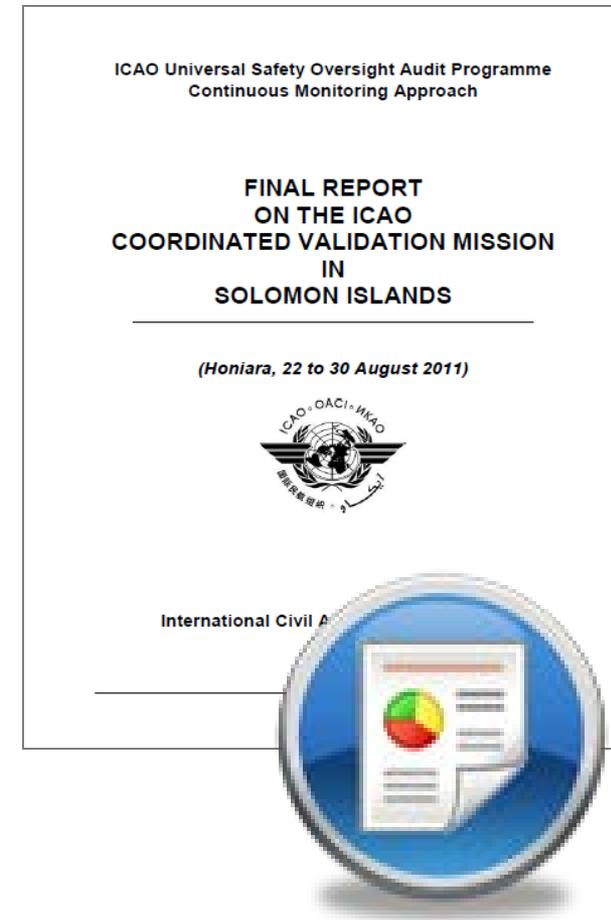


USOAP Reports



❑ Final reports (static)

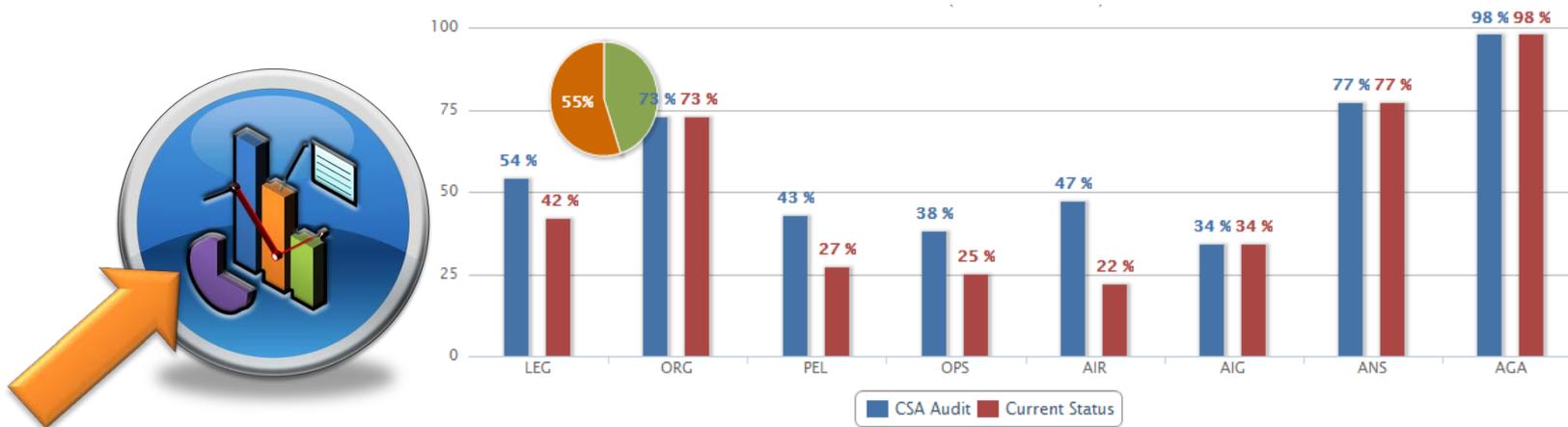
- ✓ Final reports of activities conducted since the first cycle of USOAP.
- ✓ Published according to predetermined timeline after an activity.



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.

❑ 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.
- 98 States have completed verification.

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



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THANK YOU