USOAP CMA Workshop

Module 4

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
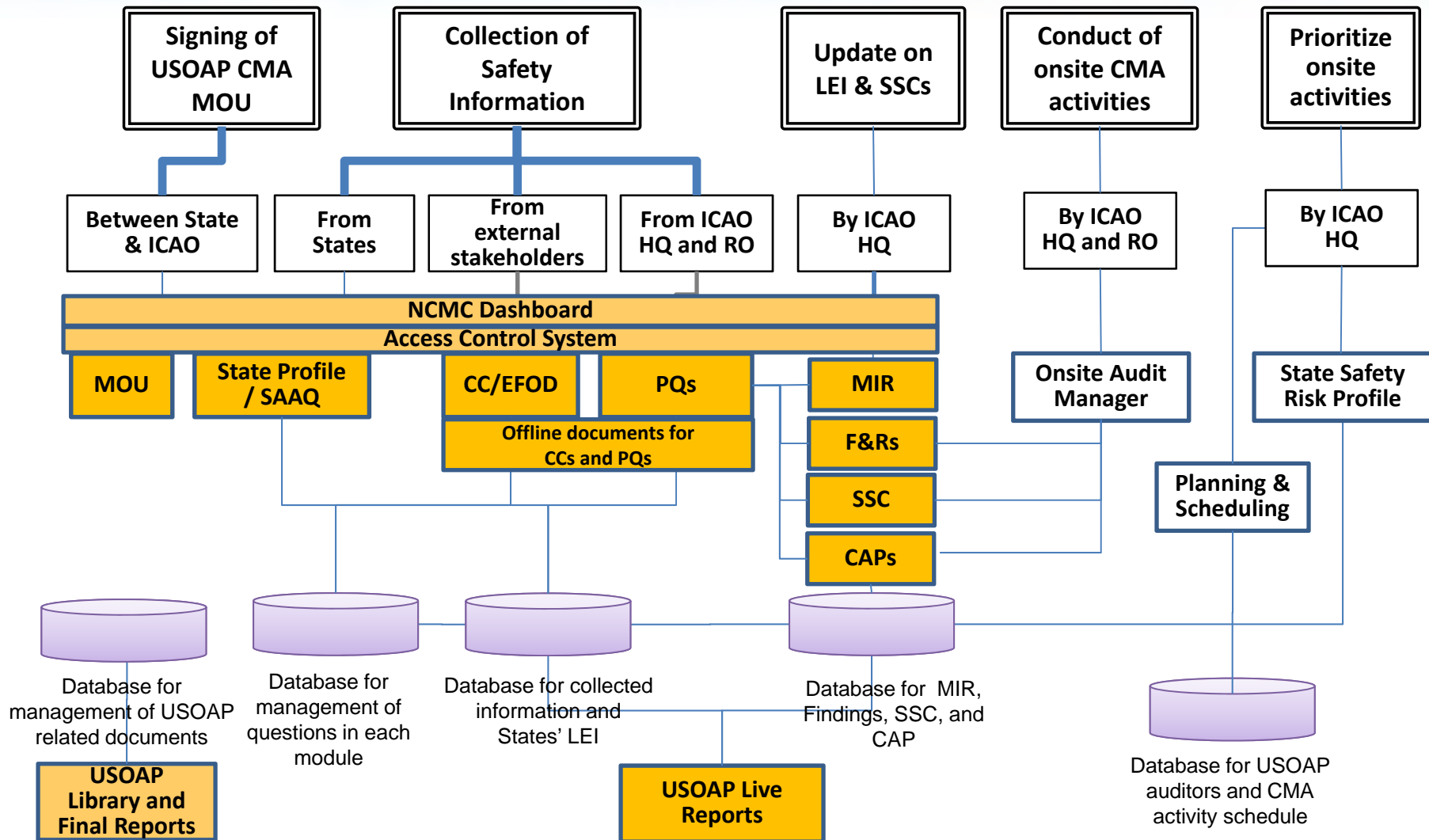
States' OLF functions

❑ 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
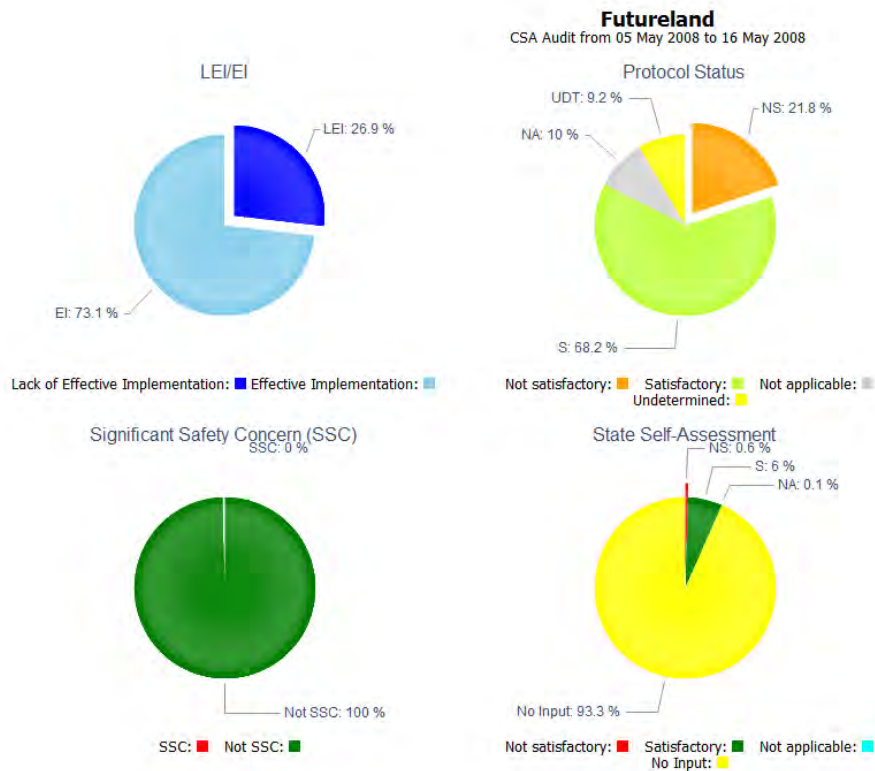
Functionalities of each component

State Dashboard

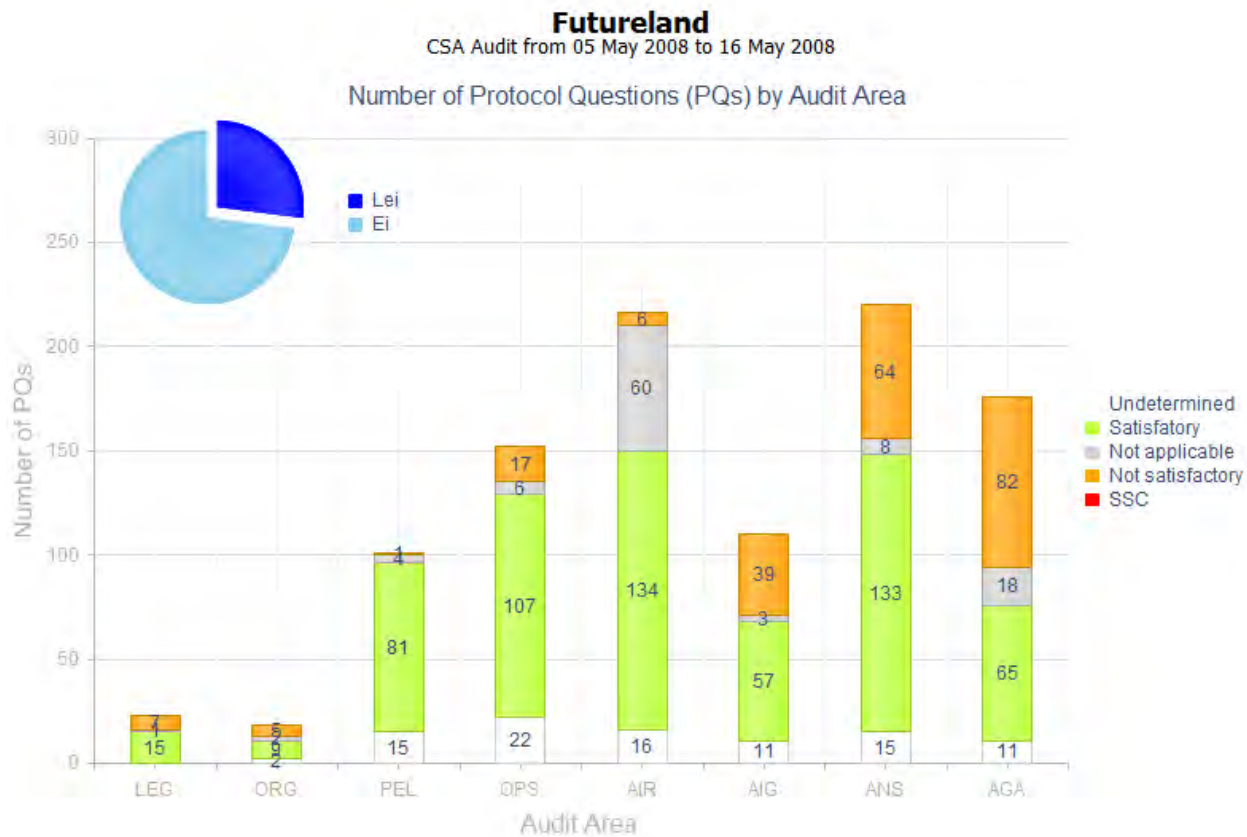❑ **States (NCMCs)** can view:

☐ **States (NCMCs)** can view:

State Dashboard

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)
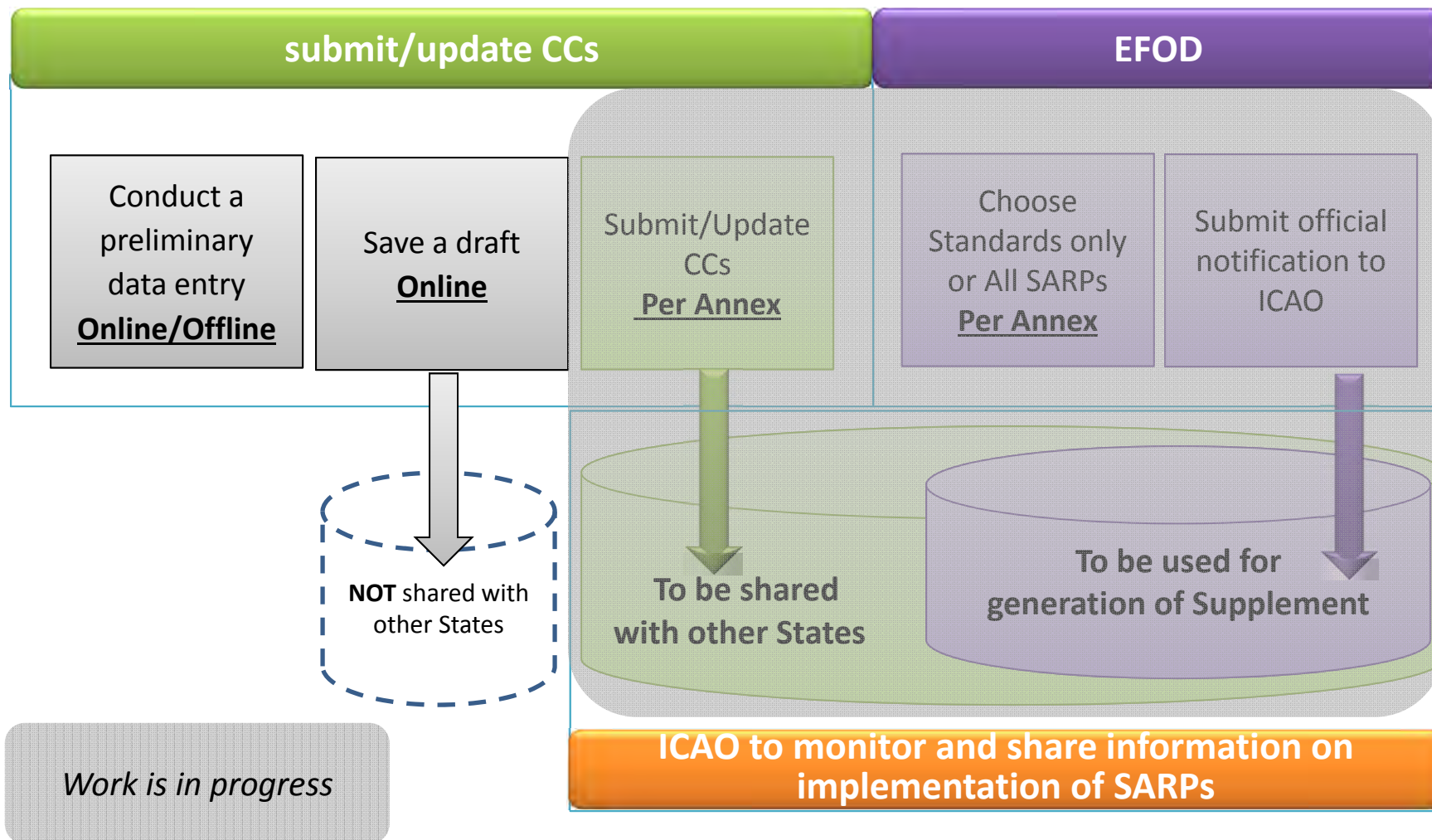
☐ **States**

✓ 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)

☐ 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)

Search a PQ

Status of Implementation: All | Audit Area: OPS | Audit Area Group: All | Critical Element: All | Critical Element Group: All | SSC: All | 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?

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Status of Implementation by ICAO – View-only

Reply to Protocol Question | Status of Implementation: Not satisfact | CSA Audit Finding: OPS/01 | SSC ☐

Activity: ICAO Coord | Start Date: 26/03/2012 | End Date: 30/03/2012 | Report Publication Date: 31/08/2012

Description: Translate

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: Translate

Evidence: Translate

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

Select

Mandatory Information Request (MIR)

❑ ICAO

✓ 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)

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 predeter mined 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
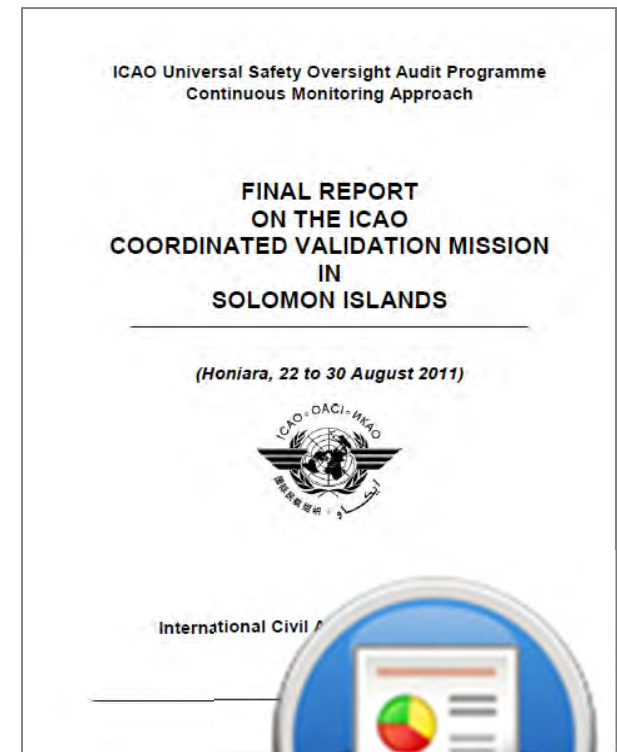
USOAP Report

❑ USOAP live charts (dynamic)

✓ Based on the most recent **online and/or onsite** activity for each audit area/CE
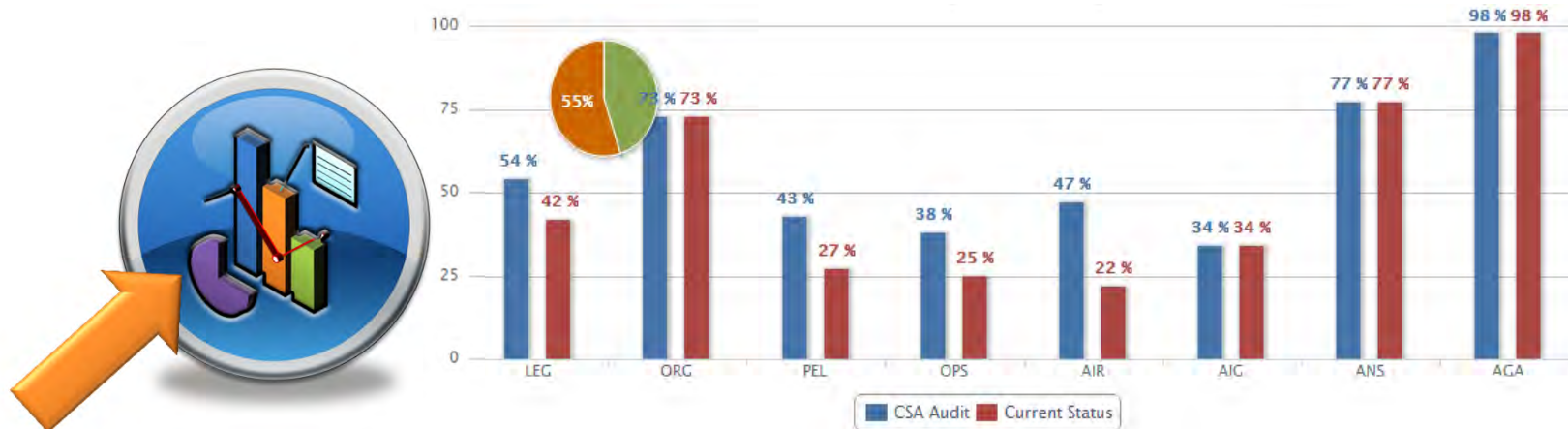
*Note: When you click the icon, you will be requested to enter a **user account for ICAO Portal** since the report resides on iSTARS.*

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

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