



USOAP Continuous Monitoring Approach (CMA) Workshop

Module 3

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



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





Overview of USOAP CMA Online Framework (OLF)

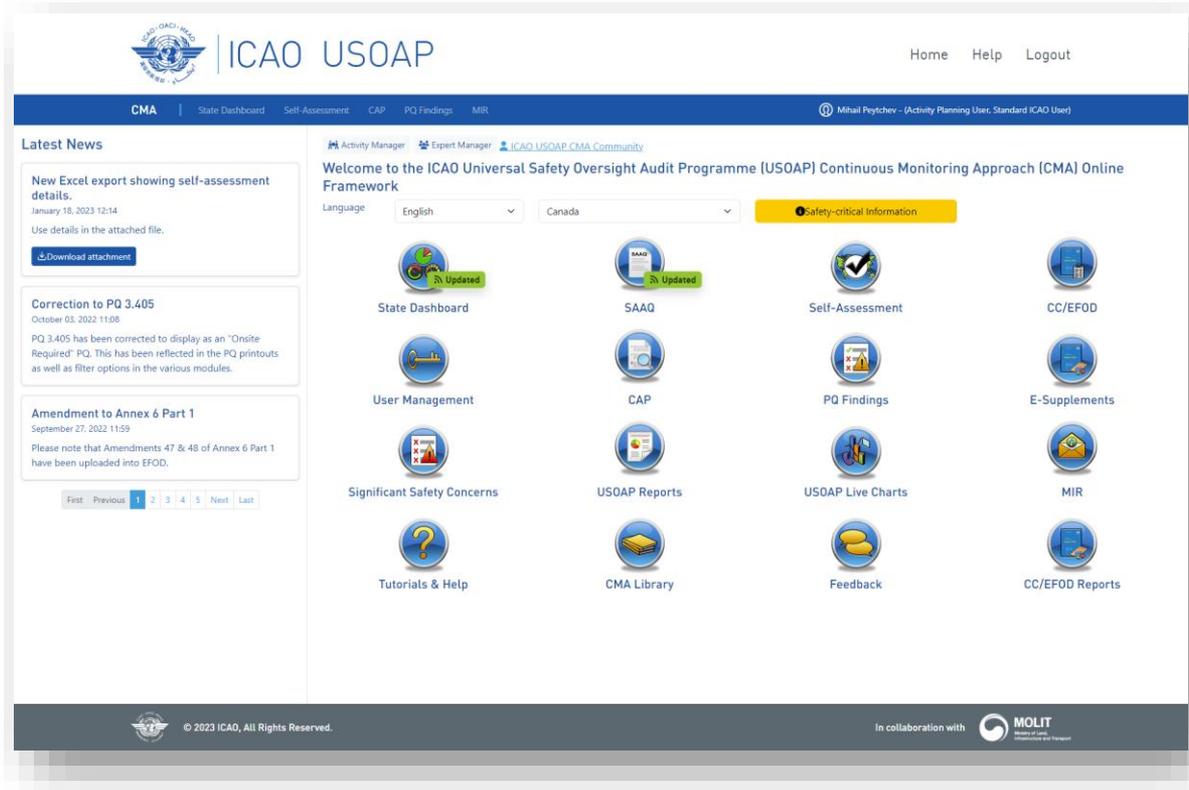




A suite of web-integrated applications and centralized database systems which enables:

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.





The screenshot shows the ICAO USOAP CMA Online Framework home page. At the top left is the ICAO logo and the text 'ICAO USOAP'. Below this is a navigation bar with 'CMA' and links to 'State Dashboard', 'Self-Assessment', 'CAP', 'PQ Findings', and 'MIR'. The user is identified as 'Mihail Peychev - (Activity Planning User, Standard ICAO User)'. The main content area is titled 'Welcome to the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Online Framework'. It features a language dropdown set to 'English' and a country dropdown set to 'Canada'. A yellow banner indicates 'Safety-critical Information'. Below this are 12 icons representing different modules: State Dashboard (Updated), SAAQ (Updated), Self-Assessment, CC/EFOD, User Management, CAP, PQ Findings, E-Supplements, Significant Safety Concerns, USOAP Reports, USOAP Live Charts, MIR, Tutorials & Help, CMA Library, Feedback, and CC/EFOD Reports. A 'Latest News' section on the left contains three news items with dates and download links. The footer includes the ICAO logo, copyright notice '© 2023 ICAO, All Rights Reserved.', and the MOLIT logo with the text 'In collaboration with'.

The OLF Home Page:

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





- 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



USOAP State Profile - Canada - NACC

Dashboard Language: English

Director General
Félix Meunier
felix.meunier@tc.gc.ca
Source: SAAQ

NCMCs
Andrew Larsen
andrew.larsen@tc.gc.ca
Source: OLF User Profile

Unresolved SSC
None

USOAP Activity Results

Effective Implementation

Audit Area	Effective Implementation (%)
LEG	~90
ORG	~95
PEL	~95
OPS	~75
AIR	~95
AIG	~90
ANS	~90
AGA	~95

Regional Average: ~75%

Scheduled & Ongoing USOAP Activities

Activity	Scope	Start Date	Status
SSPIA	SSP.GEN, SSP.SDA, SSP.ANS	09 December 2021	Ongoing

Postponements

No postponements.

Previous USOAP Activities

Activity	Scope	End Date	Initial EI	Adjusted EI
CMAA	Full scope	22 April 2005	95.21%	94.95%

Self-Assessment (Summary)
Completion: 100%
Most outdated: OPS (28 Jun 2023)
Last updated: AIG (22 Aug 2023)

SAAQ (Summary)
Completion: 98%
Most outdated: Part 0 (04 Jan 2023)
Last updated: Part 2 (13 Mar 2023)

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



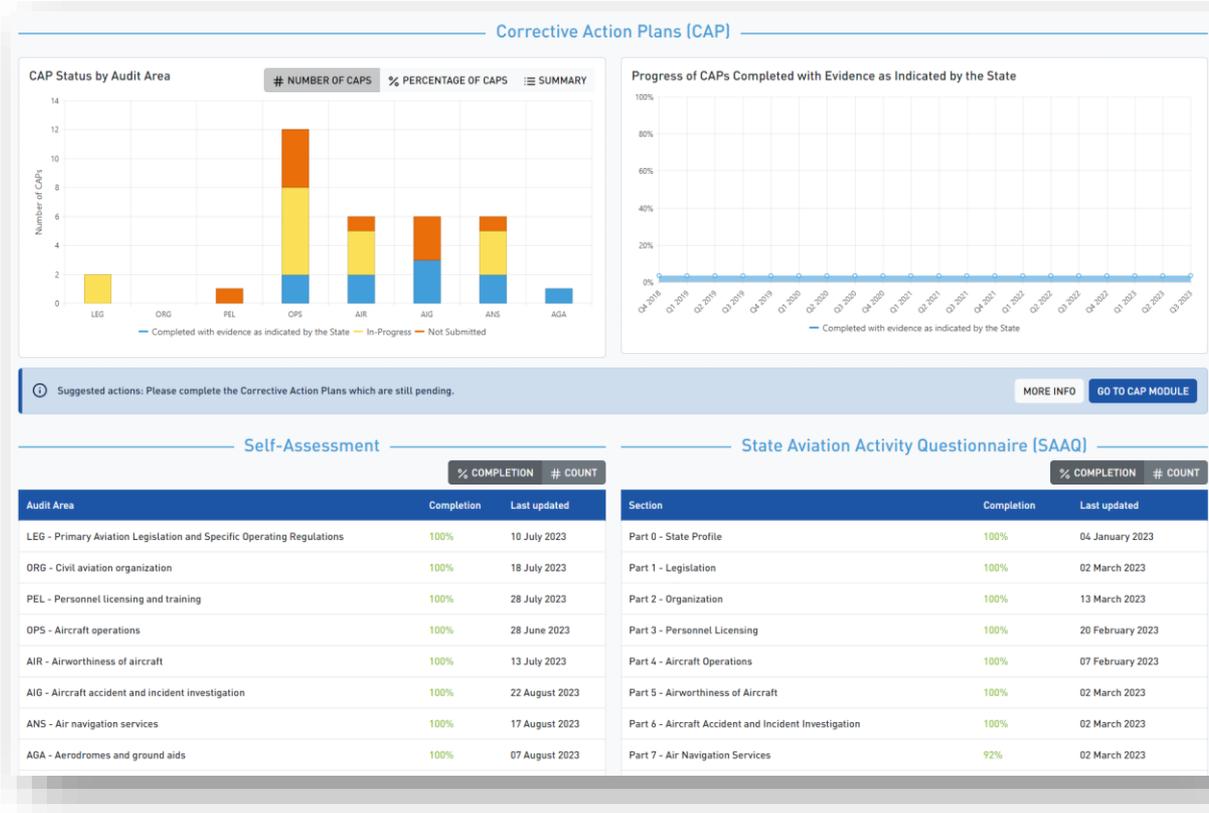


Effective Implementation (EI)

screen shows:

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





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



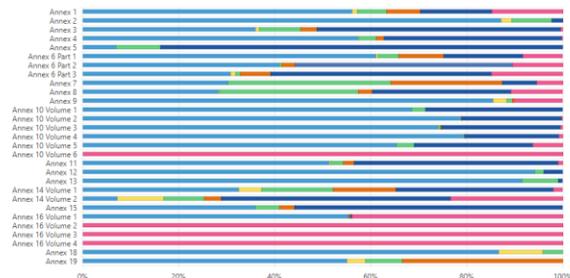
Electronic Filing of Differences (EFOD)

Reported level of compliance to SARPs



— No Difference — More exacting or exceeds — Different in character or other means of compliance
— Less protective or partially implemented or not implemented — Not applicable — Incomplete information

Reported level of compliance to SARPs by ICAO Annex



— No Difference — More exacting or exceeds — Different in character or other means of compliance
— Less protective or partially implemented or not implemented — Not applicable — Incomplete information

Completion of compliance/differences information			% COMPLETION	STATUS OF VALIDATION
Annex	Title	Part/Volume	% Completion	
1	Personnel Licensing	-	85%	
2	Rules of the Air	-	100%	
3	Meteorological Service for International Air Navigation	-	99%	
4	Aeronautical Charts	-	99%	
5	Units of Measurement to be Used in Air and Ground Operations	-	100%	
6	Operation of Aircraft	Part 1	91%	
6	Operation of Aircraft	Part 2	89%	
6	Operation of Aircraft	Part 3	85%	
7	Aircraft Nationality and Registration Marks	-	94%	
8	Airworthiness of Aircraft	-	89%	
9	Facilitation	-	89%	
10	Aeronautical Telecommunications	Volume 1	100%	
10	Aeronautical Telecommunications	Volume 2	99%	
10	Aeronautical Telecommunications	Volume 3	99%	
10	Aeronautical Telecommunications	Volume 4	99%	
10	Aeronautical Telecommunications	Volume 5	93%	
10	Aeronautical Telecommunications	Volume 6	0%	
11	Air Traffic Services	-	99%	
12	Search and Rescue	-	100%	
13	Aircraft Accident and Incident Investigation	-	100%	
14	Aerodrome	Volume 1	98%	
14	Aerodrome	Volume 2	76%	
15	Aeronautical Information Services	-	100%	
16	Environmental Protection	Volume 1	54%	
16	Environmental Protection	Volume 2	0%	
16	Environmental Protection	Volume 3	0%	
16	Environmental Protection	Volume 4	0%	
18	The Safe Transport of Dangerous Goods by Air	-	100%	
19	Safety Management	-	100%	

EFOD screen gives:

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





→ **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**

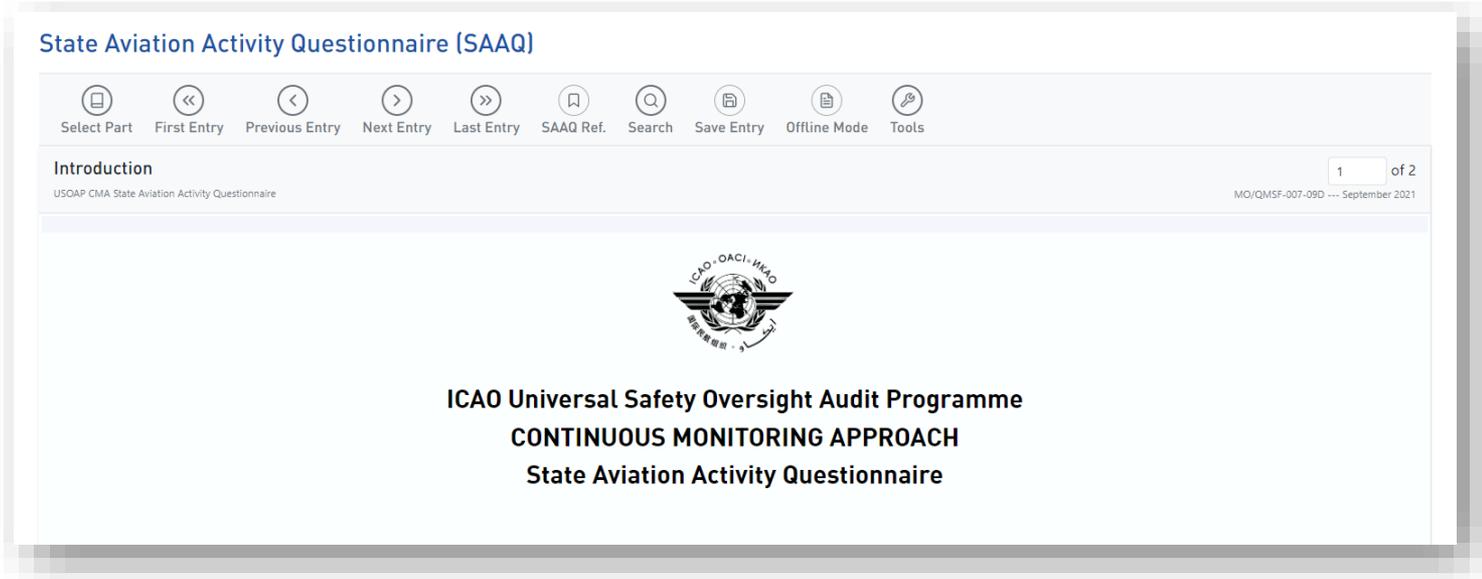
- Manage user profile information; and
- Personalize password.

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



→ States

- Complete and update State Profile and SAAQ.



The screenshot displays the SAAQ web application interface. At the top, there is a navigation bar with icons for 'Select Part', 'First Entry', 'Previous Entry', 'Next Entry', 'Last Entry', 'SAAQ Ref.', 'Search', 'Save Entry', 'Offline Mode', and 'Tools'. Below this is a header section titled 'Introduction' with a page indicator '1 of 2' and a version number 'MO/QMSF-007-09D --- September 2021'. The main content area features the ICAO OACI-WKAO logo and the following text: 'ICAO Universal Safety Oversight Audit Programme', 'CONTINUOUS MONITORING APPROACH', and 'State Aviation Activity Questionnaire'.





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.

The screenshot displays the EFOD web application interface. At the top, it shows the user's name (Mihal Poytchev) and the current user (Standard ICAO User). The main content area is titled "Electronic Filing Of Differences (EFOD)" and shows the "Annex 14 - AERODROMES - Volume I" document. The document content includes "CHAPTER 9. AERODROME OPERATIONAL SERVICES, EQUIPMENT AND INSTALLATIONS" and "9.1 Aerodrome emergency planning". The interface includes navigation buttons (Home, First Entry, Previous Entry, Next Entry, Last Entry, Reports, Filters, Chapters, Search, Save Entry, Validation, Offline Mode, Tools, Feedback) and a sidebar with options for "No difference", "Significant Difference", and "Text as provided by State".

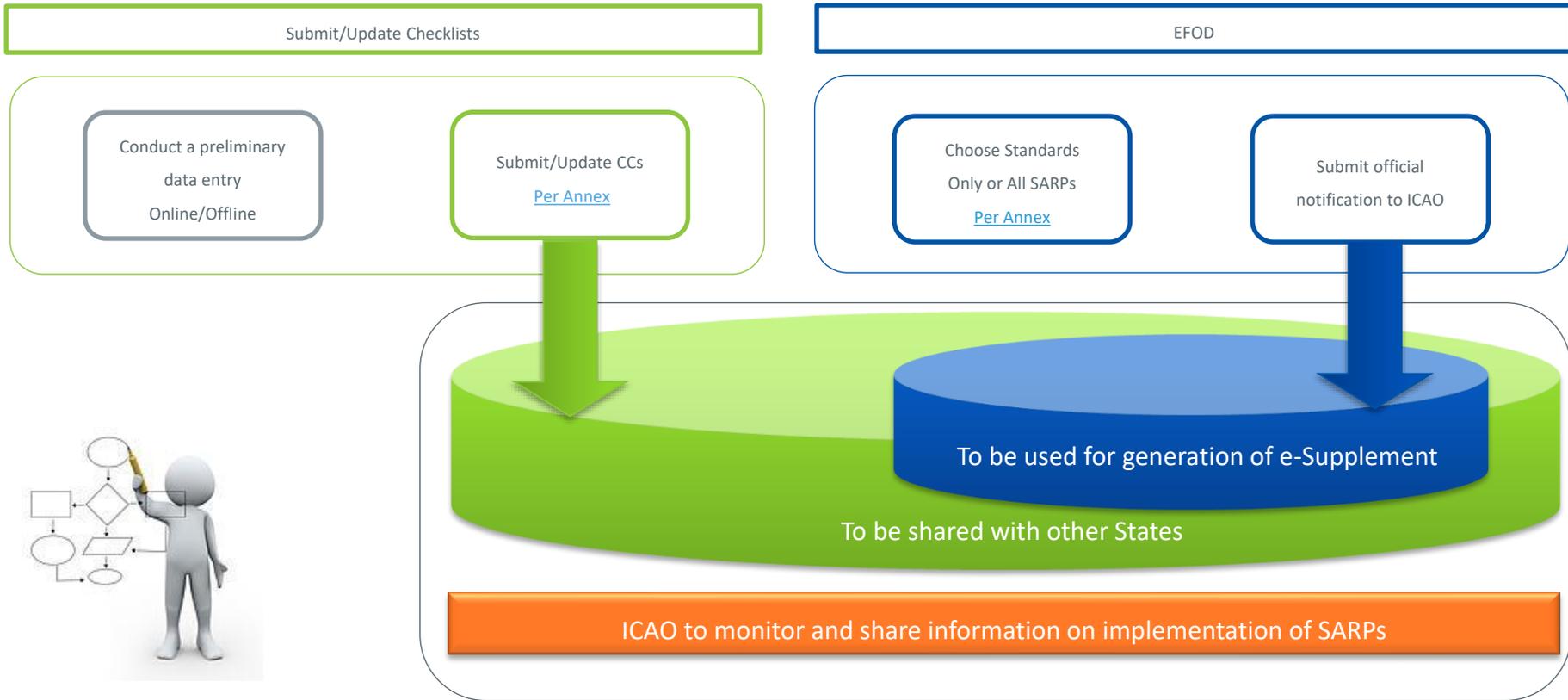
Compliance Checklist (CC) / Electronic Filing of Differences (EFOD)

Differences to be Notified to ICAO - Standards Only

Annex 14, Volume 1, Amendment 17

Annex Reference	AERODROMES Standard or Recommended Practice	State Legislation, Regulation or Document Reference	Level of implementation of SARP's	Text of the difference to be notified to ICAO	Comments including the reason for the difference
Chapter 3 References 3.3.1	<p>Dimensions of runway end safety areas</p> <p>3.3.1 A runway end safety area shall extend from the end of a runway strip to a distance of at least 90 m where:</p> <ul style="list-style-type: none"> — the code number is 3 or 4; and — the code number is 1 or 2 and the runway is an instrument one. <p>If an arresting system is installed, the above length may be reduced, based on the design specification of the system, subject to acceptance by the State.</p> <p><i>Note — Guidance on arresting systems is given in Attachment A, Section F.</i></p>	SHT-HES (Instructions on Aerodromes Safety Standards) HAD-ADR-0620	More Exacting or Exceeds	A runway end safety area should, as far as practicable, extend from the end of a runway strip to a distance of at least— 240 m where the code number is 3 or 4; or a reduced length when an arresting system is installed; — 120 m where the code number is 1 or 2 and the runway is an instrument one; or a reduced length when an arresting system is installed; and — 30 m where the code number is 1 or 2 and the runway is a non-instrument one.	The next article in Annex 14 is Recommendation and the State accepts that article as a Standard.







→ 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 CCIEFOD](#)

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)





- ➔ 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.





→ 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).





Language: English
State/Organization: Canada
Ref. Data Language: English

1. Search for a PQ >>

Activity: All

Critical Element: All

Has Attachments: All

ICAO Status of Impl.: All

CE Group: All

Attachments Out Of Date: All

Self-Assessment Status of Impl.: All

SSC: All

New Prot. Status: All

Audit Area: LEG

is PPQ: All

PQ No.:

AA Group Type: All

Is Draft: All

AA Group: All

Reply to PQ: All

Clear Search

2. Select a PQ >>

1.001 LEG OS-1 S	Has the State promulgated primary aviation legislation to enable it to address its obligations as a signatory to the Chicago Convention?	English Français Português
1.005 LEG OS-1 S	Does the primary aviation legislation provide for the introduction/revision and subsequent promulgation of specific operating regulations?	English Français Português
1.007 LEG OS-4 S	Has the State established a rulemaking process to enable the timely development and promulgation of specific operating regulations in compliance with the Annexes?	English Français Português
1.009 LEG OS-2 S	Has the State established a process for amending its specific operating regulations or, if necessary, its primary aviation legislation, taking into consideration, among others, ICAO provisions and their amendments?	English Français Português
1.011 LEG OS-5 S	Does the State make the primary aviation legislation, specific operating regulations, directives, orders, circulars, publications, etc. readily available to the public?	English Français Português
1.013 LEG OS-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of Director General(s) (DGG/Chief Executive Officer(s) CEO(s)?	English Français Português
1.015 LEG OS-1 S	Does the primary aviation legislation clearly delegate authority to each Director General (DG)/Chief Executive Officer (CEO) who has a safety oversight responsibility?	English Français Português
1.019 LEG OS-1 S	If the State has transferred safety oversight responsibilities to a State/regional or supranational organization, is there an appropriate legal basis for this transfer?	English Français Português
1.023 LEG OS-1 S	Does the primary aviation legislation provide for the issuance of additional binding instruments, such as orders and directives, in support of safety oversight activities?	English Français Português
1.025 LEG OS-2 S	Has the State established procedures for identifying and notifying its ICAO differences between ICAO SARPs and its legislation and practices, if any?	English Français Português

Page size: 10 of 39 Displaying page 1 of 3, Items 1 to 10 of 23

3. Status of Implementation by ICAO (view only)

PQ No: 1.001 Status: Satisfactory CMA Audit: CMA Audit

Start Date: 12/04/2005 End Date: 22/04/2005 Publish Date: 24/02/2006 End Date for State Comments: MIR ID No.:

Description: [Translate](#) Source Language: English

Progress Documented: [Translate](#) Source Language: English

Evidence: [Translate](#) Source Language: English

4. Self-Assessment by States >>

Results of State Self-Assessment - "Read/Write" [Draft Copy](#)

Reply to PQ: Yes Self-Assessment Status of Impl.: Satisfactory Last Modified: 06/06/2023 [Click To View CAP](#)

Remarks: [Translate](#) Source Language: English

Canada has enacted several legislation which together enable it to address its obligations as a signatory to the Chicago Convention. The primary aviation legislation for the control of aeronautic activities in Canada is the Aeronautics Act. This Act allows the Governor in Council (GIC) to make regulations respecting the application of the Convention, as amended from time to time. For example, Canada ratified Article 83bis of the Chicago Convention on October 23, 1985 with a coming into force date of June 20, 1997. Article 83bis was given legal effect in Canada through amendments to the Canadian Aviation Regulations.





✈ 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).





1. Selection Menu >>

SSC: All | PQC: All | Has Attachments: All | Attachments Out Of Date: All | Is Linked to Risk: All | Coloured ICAO Review: All

PQ No. Clear

CAPs Qualified PQs Qualified Search

List Of Not Satisfactory PQs CMA 2020 Protocols as of Year 2020

2. Select a PQ >>

1.151 LEG CE-1 CAP: 50%	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: Displaying page 1 of 1, items 1 to 2 of 2
Page: of 1

3. Finding by ICAO (view only)

Activity: CMA Audit | Reply to PQ: | Status of Implementation: Not satisfactory

CSA Audit Finding: LEG/01 | Start Date: 12/04/2005 | End Date: 22/04/2005 | Publication Date: 24/02/2006

Description: Canada ratified Article 83 bis to the Chicago Convention on 23 October 1985. Although it was indicated that legislation addressing Article 83 bis will be published in the Canada Gazette in Spring 2005, it has yet to be formally promulgated. No guidance or procedures have been developed to assist implementation once the legislation is amended.

Progress Documented

4. CAP provided by the State >>

Corrective Action Plan

Est. Imp. Date: 31/03/2017 | Rev. Imp. Date: 30/06/2017 | Completed Date: 21/11/2005 | Progress Status: 60 %

State CAP: 16/12/2020 [Click to Update PQ Status or Attach Evidence](#)

Implementation of 83bis agreement procedures is the objective. While legislation was underway at the time of the audit some difficulty in the practicality of implementing have delayed the completion of the steps for full implementation but they are planned to be completed in conjunction with work from ICAO Task Force initiatives.

5. CAP Action Items >>



➔ 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.



PO No.	Question	Language	Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
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	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
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 AP of significant differences between the SARPs/PANS/SUPPS and the State's regulations and practices?	English Español Français Русский	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 development 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 functions of duties...	01/06/2005	30/06/2017		Completed

✈ 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

- 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.





➔ 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.





→ States

- Report issues and send queries about OLF.

→ ICAO

- Keeps track and manages resolution of all reported issues.





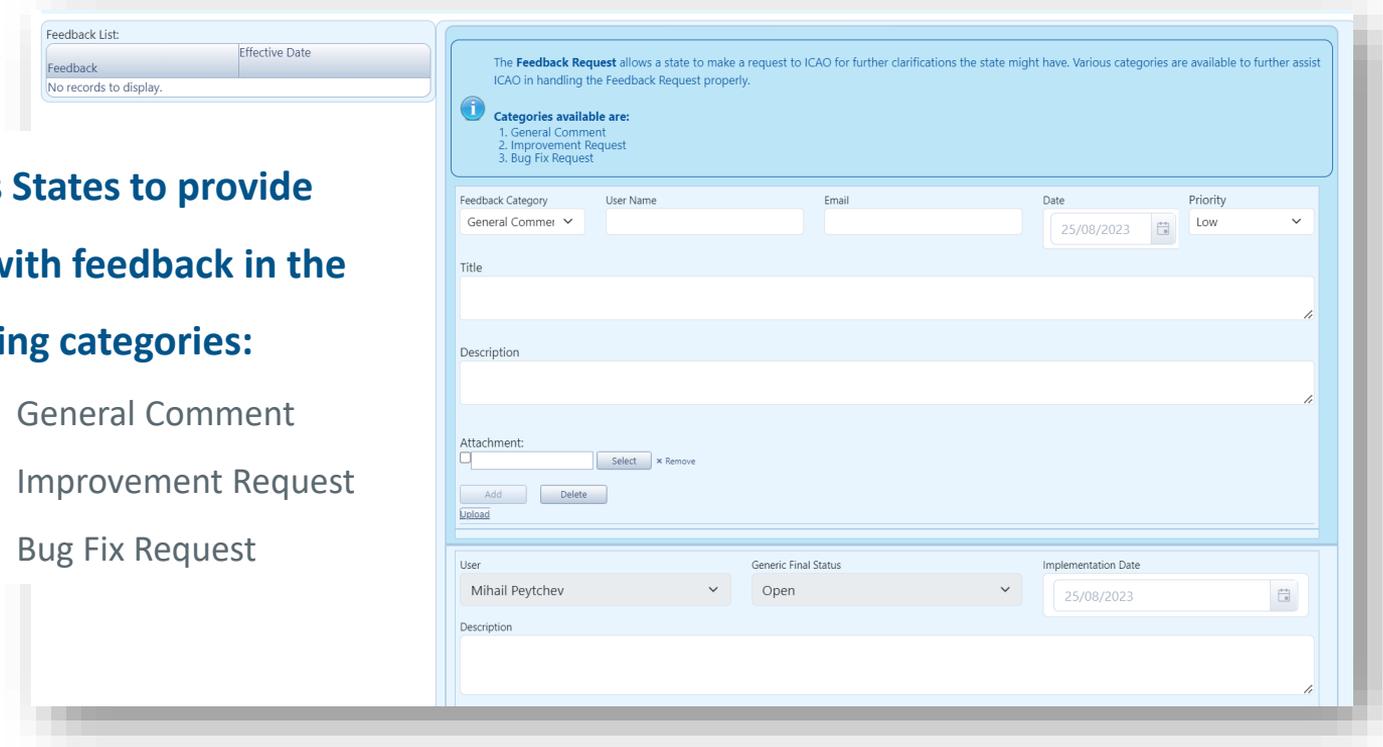
➔ Accessible from Home Page or Menu Bar

The screenshot displays the USOAP CMA system interface. At the top, a navigation bar contains several dropdown menus: State Dashboard, Self-Assessment, Corrective Action Plan (CAP), Mandatory Information Requests (MIR), CMA Activity Management, Activity Planning, and Electronic Filing of Differences (EFOD). Below the navigation bar is a grid of 16 icons representing various system features. The 'Feedback' icon, located in the bottom row, second column from the right, is highlighted with a green arrow pointing to it from the right. To the right of the grid is a vertical menu bar with a list of options: User Management, Tools, Reports, Protocol Management, Quality Management, Feedback (highlighted in orange), Feedback Response, Feedback Request, and Show all States Feedbacks. A green arrow points to the 'Feedback' option in this menu. In the bottom right corner, there is a 3D illustration of a white figure standing next to a grey box labeled 'Feedback', with a white document being placed into the box.



➔ **Allows States to provide ICAO with feedback in the following categories:**

- General Comment
- Improvement Request
- Bug Fix Request



The screenshot shows the ICAO Feedback Request Form interface. It is divided into two main sections. The top section is a 'Feedback List' table with columns for 'Feedback' and 'Effective Date'. Below the table, it states 'No records to display.' The bottom section is the 'Feedback Request' form. It includes a header explaining the purpose of the request. Below this, there is an information icon and a list of 'Categories available are: 1. General Comment, 2. Improvement Request, 3. Bug Fix Request'. The form fields include: 'Feedback Category' (dropdown menu set to 'General Commer'), 'User Name' (text input), 'Email' (text input), 'Date' (calendar icon set to '25/08/2023'), and 'Priority' (dropdown menu set to 'Low'). There are also fields for 'Title' and 'Description'. An 'Attachment' section includes a text input, a 'Select' button, and an 'x Remove' button. Below this are 'Add' and 'Delete' buttons, and a 'Upload' link. At the bottom of the form, there are fields for 'User' (dropdown menu set to 'Mihail Peytchev'), 'Generic Final Status' (dropdown menu set to 'Open'), and 'Implementation Date' (calendar icon set to '25/08/2023'). A 'Description' field is also present at the bottom.





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







Thank You!