



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

USOAP CMA Workshop

Module 5

Updates on CMA Online Framework and
Electronic Filing of Differences (EFOD) system

- **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** to support the implementation of CMA activities, which includes:
 - ✓ **Collection** of safety-related information and documents from different sources
 - ✓ **Monitoring** and **reporting** of safety oversight activities by Member States

Access through...



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

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:

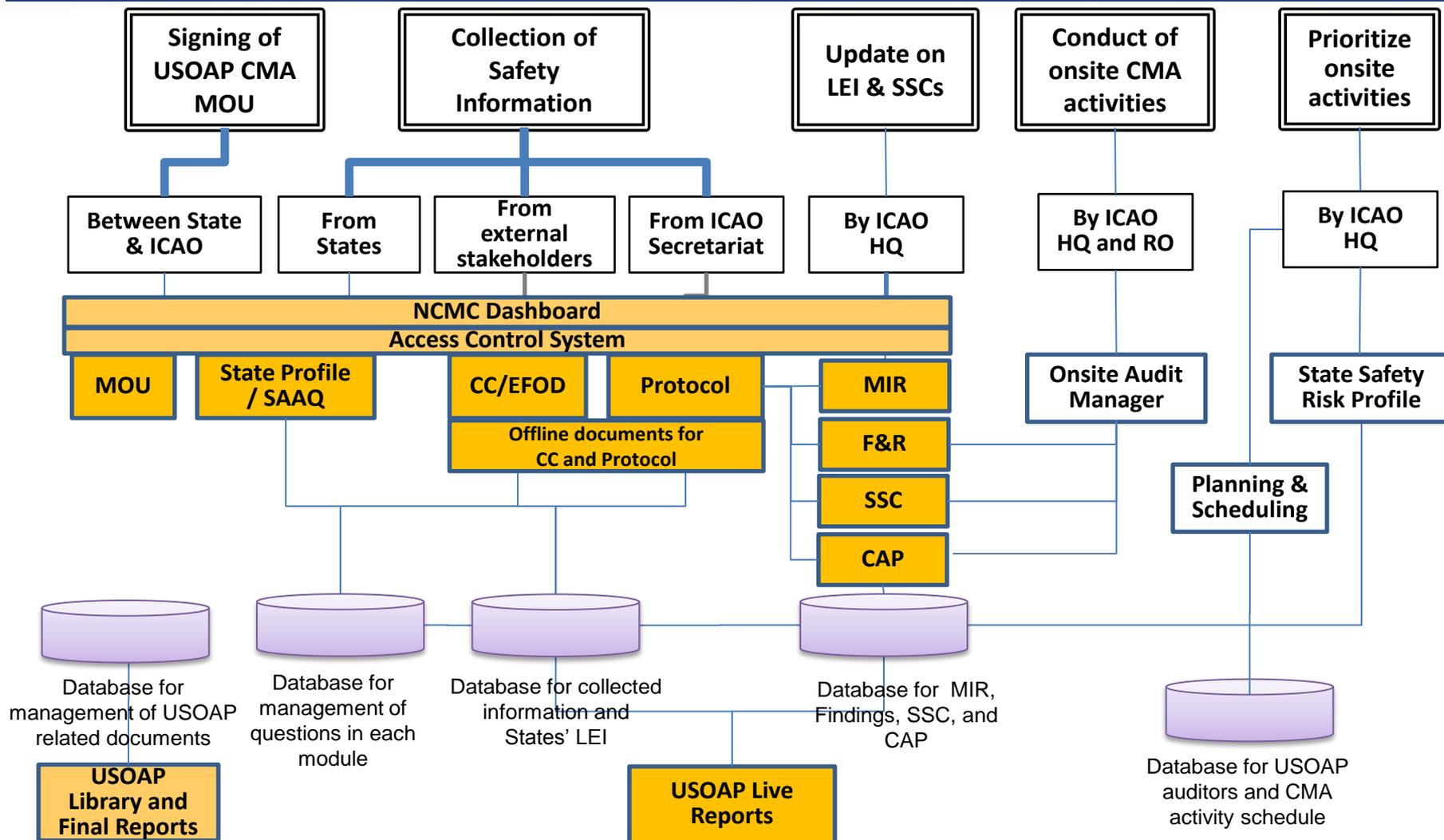
Password:

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

CC/EFOD Offline Feature is now available.

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Modules/Components



Modules/Components



Crystal Kim, ICAO - SSA

[Log Out] [Home]



STATE OPTIONS

(Select a State) ▾

State Dashboard



Manage SAAQ



Manage PQs



Manage CCs / EFOD



Access Control



Manage CAPs



Manage F&Rs



E-Supplements



Significant Safety Concerns



USOAP Reports



USOAP Live Charts



Manage MOU



Tutorials & Help



CMA Library



Feedback



Manage MIR



Action required by States



- Manage user accounts of the CMA online framework
- Keep up-to-date SAAQ and CC/EFOD
- Provide a CAP update and/or progress per corresponding protocol finding
- Provide self-assessment result on each PQ with a priority on the PQs that have a “Not Satisfactory” status
- Respond to MIR in a timely manner

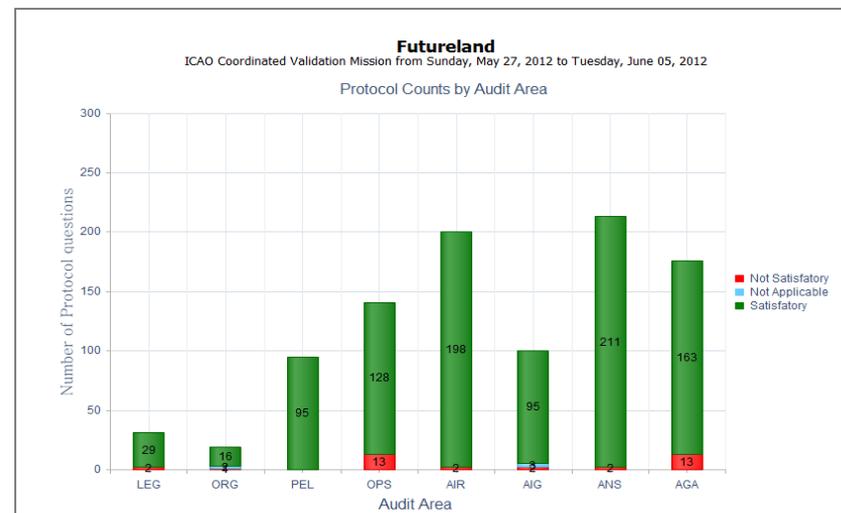
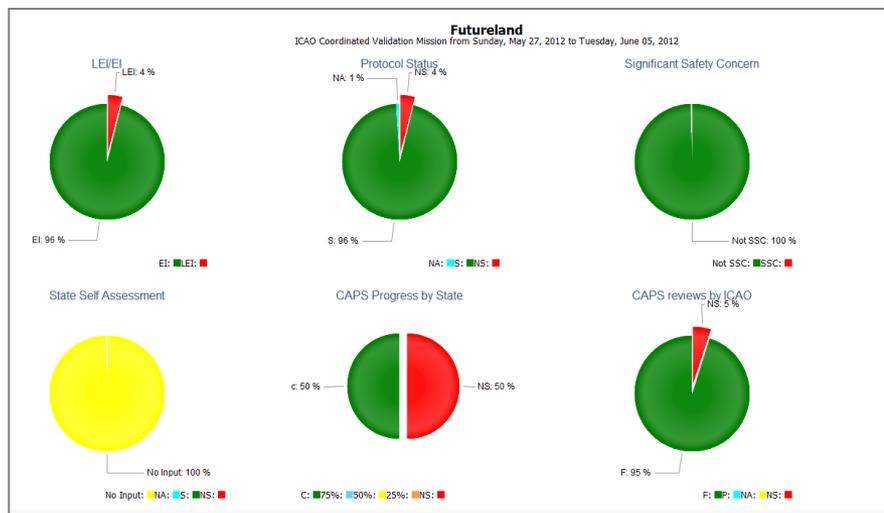
Functionalities of each component

State Dashboard



States (NCMCs) to view at a glance:

- ✓ Status of CMA information completion;
- ✓ Status of overall LEI/EI; and
- ✓ Status of CAP progress



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 (no access, 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 answers to questions of State Profile and SAAQ

- Most errors/feedback received from users have been addressed
- New feature to download and print completed SAAQ is under development

A screenshot of the ICAO SAAQ Profile Page. The page title is 'CMA SAAQ Profile Page'. It contains a form with the following questions and options:
1. Provide the name, title and address of the person designated as the State coordinator with respect to the ICAO Universal Safety Oversight Audit Programme (USOAP) (National Continuous Monitoring Coordinator (NCMC)).
Name: _____
Title: _____
Contact Address: _____
Telephone: _____
Fax: _____
Email: _____
2. What is the normal workweek, e.g. Mon to Fri:
 Monday to Friday
 Saturday to Wednesday
 Other
3. What are the normal working hours:
 0900 to 1700
 0730 to 1430
 Other
4. What public holidays (government or other) periods for essential staff should be avoided:

The screenshot also shows the ICAO logo and navigation links at the top.

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



States

- ✓ Indicate compliance with and/or difference to SARPs with details
- ✓ Kill two birds with one stone to meet obligations under **CMA MOU** and **Convention Art. 38**

ICAO

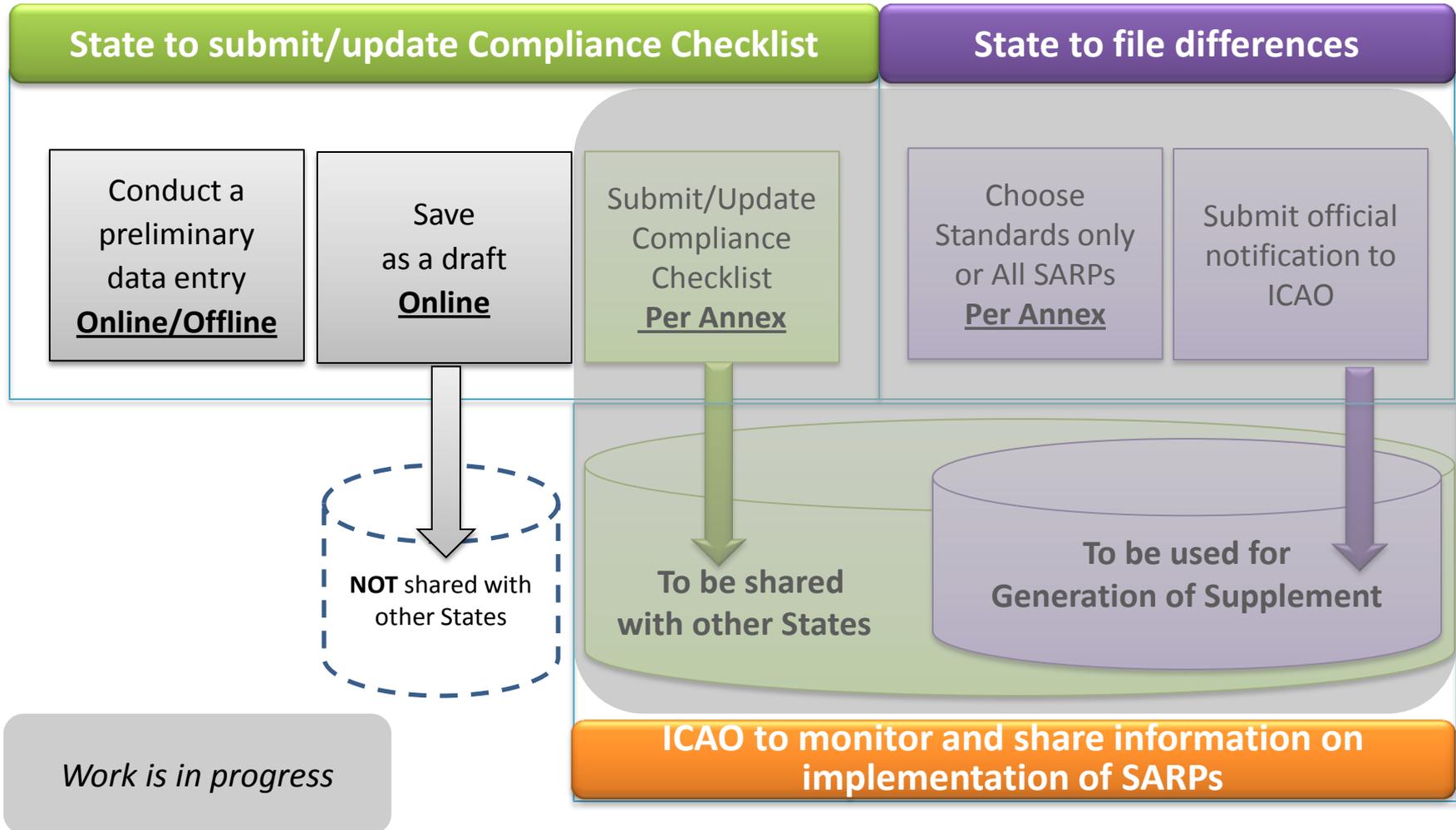
- ✓ Review/monitor the level of global compliance/difference
- ✓ Generate e-Supplement

The screenshot displays the ICAO e-Supplement system interface. On the left, a search bar shows 'SARP (That includes a SARP)' and 'Reference Number (or 1,2,3)'. Below this is a pie chart titled 'Global Implementation Level' with the following data:

Category	Count	Percentage
Compliance	7776	96%
Difference Character (Other Means of Compliance)	111	1%
Less Protective/Partially Implemented/Not Implemented	734	9%
Not Applicable	0	0%

The main content area shows the 'INTERNATIONAL STANDARDS AND RECOMMENDED PRACTICES' for 'Annex 1 PERSONNEL LICENSING, TENTH EDITION - JULY 2006' and 'Amendment 169'. The title is 'CHAPTER 1. DEFINITIONS AND GENERAL RULES CONCERNING LICENCES'. The 'Definitions' section is visible, with a note: 'When the following terms are used in the Standards the following meanings:'. Below this, there are checkboxes for 'No Difference', 'Less protective or partially implemented or not implemented', and 'State Reference'. A 'Details of Difference' section is also present. On the right, there is a preview of a document titled 'Annex 1' and 'Aerodromes'.

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



New functionalities of CC/EFOD

- Preformatted word document** **Available**
 - ✓ Downloadable and can be worked on offline and put back into online system
- Electronic Supplements** **Available**
 - ✓ Feature that users can search difference information by Annex provision and/or by States
- Validation feature** **Being tested**
 - ✓ Support workflow of State's internal coordination and approval process for completion of compliance checklist
 - ✓ Enable an authorized user to notify differences to ICAO

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, NCNC should either 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)

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 Audit Area Audit Area Group Critical Element SSC Protocol(Finding) NO.

Select a PQ

Number	Show/Hide Extended Columns Question
1.001 LEG CE-1	Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.)?
1.003 LEG CE-1 N/A	If the State has not promulgated primary aviation legislation, what method is used to meet its obligations as a signatory of the Chicago Convention?
1.005 LEG CE-1	Does the primary aviation legislation provide for the introduction/adoption of air navigation regulations and the promulgation thereof?
1.007 LEG CE-1	At what level are the specific operating regulations promulgated?
1.009 LEG CE-2 N/S	Has the State established procedures for the amendment of its specific regulations taking into consideration existing ICAO provisions and future amendments to ICAO Annexes?
1.011 LEG CE-2	Are the primary aviation legislation and the associated operating regulations and rules available to the public?
1.013 LEG CE-1	Does the primary aviation legislation make provisions for the establishment of a civil aviation organization(s) and for the appointment of a Chief Executive Officer(s) (CEOs)?
1.015 LEG CE-1	Has the State primary aviation legislation established clear delegation of authority to the head of the civil aviation organization(s)?

Change page: Page 1 of 4, items 1 to 8 of 31.

Status of Implementation by ICAO – View-only

Reply to Protocol Question Status of Implementation CSA Audit Finding Is SSC

Activity Start Date EndDate Publication Date

Remarks/Progress Documented:

Evidence:

State Assessment by States

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

Remarks:

Evidence:

Evidence with ability to attach evidence documents (PDF, XPS), limitation for 10 files, and under 10 MB of each

Mandatory Information Request (MIR)



□ ICAO

- ✓ Request States to submit specific information and documentation
- ✓ Include the following information when issuing MIRs
 - Relevant PQ(s)
 - Reason and reference for requesting information
 - Due date for requested information
- ✓ Record the result of review on submitted information and update 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: From 1 Jan 2013, email will serve as a main tool for ICAO to issue MIR until the online application is in place

ID	Protocol	ICAO Reference
1.001 LEG CE-1	Has the State promulgated primary aviation legislation (civil aviation act, code of civil aviation, aeronautics code, etc.)?	
1.003 LEG CE-1	If the State has not promulgated primary aviation legislation, what method is used to meet its obligations as a signatory of the Chicago Convention?	

Findings & Recommendations (F&R)

Change in methodology (From F&R based to PQ based)



ORG/01			
One CAP Assessment	One CAP/CAP Update including: Item 1 Item 20	One Finding Remarks The current organizational structure of the CAD is not determined in sufficient detail as to provide a clear definition of the regulatory and safety oversight functions and responsibilities related to PEL, IOS, AIR< ANS and AGA. In addition, the available organizational charts have not been approved yet.	2.011
			3.101
			3.103
			4.027
			5.021
			5.023
			5.045
			7.031
			7.053
			7.203
			7.271
			7.327
			...



ORG/01			
ORG			
One Finding Remarks	One CAP/CAP Update	One CAP Assessment	2.001
PEL			
One Finding Remarks	One CAP/CAP Update	One CAP Assessment	3.101
⋮			
ANS			
One Finding Remarks	One CAP/CAP Update	One CAP Assessment	7.327

Findings & Recommendations (F&R)

States

- ✓ View and search Findings by Area, CEs, PQ number
- ✓ Provide comments to ICAO on the preliminary findings

View Mode Audit Area Audit Area Group Critical Element SSC Protocol(Finding) NO.

List Of Not Satisfactory PQs	
Number	Show/Hide Extended Columns Question
1.027 LEG CE-2 N/S	Does the legislation and/or regulations provide for the issuance of exemptions and has the State established a policy and procedures for their issuance?
1.151 LEG CE-1 N/S	If the State has ratified Article 83 bis of the Chicago Convention, has it modified the primary aviation legislation, related operating regulations and procedures to reflect the transfer of the duties and responsibilities as envisaged by Article 83 bis?

PQ finding by ICAO – View-only

Reply to Protocol Question Status of Implementation CSA Audit Finding Is SSC

Activity Start Date EndDate Publication Date

Remarks/Progress Documented:

There are no provisions in the legislation of Austria to reflect the provisions of Article 83 bis of the Chicago Convention, which was ratified by Austria on 25 April 1983. An amendment of the Aviation Act 1957 (Luftfahrtgesetz 1957 and hereafter referred to as the Aviation Act) has been prepared for that purpose, but this amendment has not yet been promulgated.

Evidence:

Comments by State

State Acceptance Reply

State Comments

Last Modified

Findings & Recommendations (F&R)



□ ICAO

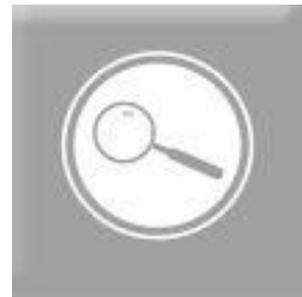
✓ Update the status of existing F&R(s)

- F&R(s) can only be closed when a CAP addresses all relevant PQs and it is fully implemented and validated
- When all relevant PQs of a F&R are validated as satisfactory, then the LEI will be updated accordingly

✓ Issue new Finding(s) including:

- A PQ and applicable CE found to be not-satisfactory;
(With one finding addressing only one PQ)
- A description of the identified deficiency

✓ Escalate the Finding(s) to an SSC



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



Corrective Action Plan (CAP)



Select a PQ

Finding by ICAO – View-only

Change page: [Navigation icons] Page 1 of 6, items 1 to 8 of 45.

Number	Question
1.151 LEG CE-1 CAP: <input checked="" type="checkbox"/> 0% CAP fully addresses the finding.	If the State has ratified Article 83 bis of the Chicago Convention, has it modified the primary aviation legislation, related operating regulations and procedures to reflect the transfer of the duties and responsibilities as envisaged by Article 83 bis?
1.205 LEG CE-2 CAP: <input checked="" type="checkbox"/> 0% CAP fully addresses the finding.	Are significant differences stated in the AIP as per the requirements of Annex 15?
2.015 ORG CE-3 CAP: <input checked="" type="checkbox"/> 0% CAP fully addresses the finding.	If the State has established regional offices (within the State) with responsibilities for safety oversight, has the CAA established a system for coordination and standardization?
3.001 PEI	Has the State developed and promulgated personnel licensing regulations to enable the State to implement

Reply to Protocol Question Status of Implementation CSA Audit Finding Is SSC

Activity Start Date EndDate Publication Date

Remarks/Progress Documented:

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.

CAP provided by States

Est. Imp. Date Rev. Imp. Date Date Of Completion Progress Status 0%

State Comment (CAP update from IStars): 15/12/2011 [Save As Draft](#) [Click To Update PO Status Or Attach Evidence](#)

[Rich text editor toolbar]

[Submit to ICAO](#)

Corrective Action Plan, Action Items (DD/MM/YYYY): 15/12/2011

+ Add new record		Refresh							
		Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion	Progress
Edit	Delete	1	The proposed regulations addressing 83 bis were published in the Canada Gazette, Part I on July 9, 2005. - Action office: Not specified - Estimated Implementation Date: Completed						Not started
			Interested persons have 75 days from the date of publication in the Canada Gazette, Part I (July 9, 2005) to make representations concerning the proposed regulations to the Minister of Transport. The consultation period following publication in the Canada Gazette, Part I ends on September 16, 2005. - Action office: Not specified - Estimated Implementation Date: Completed						

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



CAP in iSTARS



- ❑ CAP data has been migrated into CMA online framework's CAP module by dividing States into two groups
- ❑ CAP in iSTARs will progressively be phased out as data migration is completed

USOAP

Corrective Action Plan

Description

The below list contains all corrective action plans filed for your State. Edit a specific action by clicking on the reference number. You may add a corrective action using the buttons on the left.

[Back to Contributor](#)
[Report a problem](#)

Category: USOAP
Last updated: Continuously
Datafile: Z5
2.2 MB

ADD CAP
RESET VIEW

EXPORT CAP
VIEW TUTORIAL

Your CAP Status

ROUMANIA

Fully addressed and at least 50% completed (dark green), Fully addressed but less than 50% completed (light green), Not fully addressed (red)

State CAP by level of acceptance

Finding	Initial Elements	State ABR
LEG01-ROU	CE-2	ROU
LEG03-ROU	CE-1, CE-3	ROU

ICAO CAP Comments: Fully addresses (72)

Area: 1, LEG (3)

Finding	Corrective Action Proposed	Action office	Est. Imp. Date	Status	Area	State	File
Area: 1, LEG (3)							
Finding: LEG01-ROU (2)							
LEG01-ROU	RCAA will update the procedures (code PIAC-GDT approved with ref. No D269/30.03.2009) and it will establish and implement a comprehensive and harmonized methodology for the identification of differences to the Annexes to the Chicago Convention and of safety related significant difference to be listed in the AP.	RCAA/ NSOC	October 31st, 2009 Postponed December 31st, 2009	Completed	1, LEG	ROU	
LEG01-ROU	RCAA will provide training to all technical staff of the SARP's transposition and how to identify the differences to ICAO Annexes and how to define the differences which are significant for safety with a view to their listing in the AP.	FODI/ANISS JAWDIATDLD NSOC	December 31st, 2009 Postponed March 31st, 2010	Completed	1, LEG	ROU	
Finding: LEG03-ROU (1)							
LEG03-ROU	RCAA will propose to amend the document (MT) order no. 191(2001) in order to include the empowerment for all the technical inspectors to enable them to have unhindered access and inspect their related areas and the mechanism to ensure currency of the credentials. This empowerment will make clear reference to the empowering legislation and to the areas the inspectors are qualified to access and inspect.						
LEG03-ROU	MT/DGAT will issue and will approve a document (MT) order, containing the empowerment for all the technical inspectors (including aerodrome and ANS inspectors) to enable them to						

CAP in iSTARS

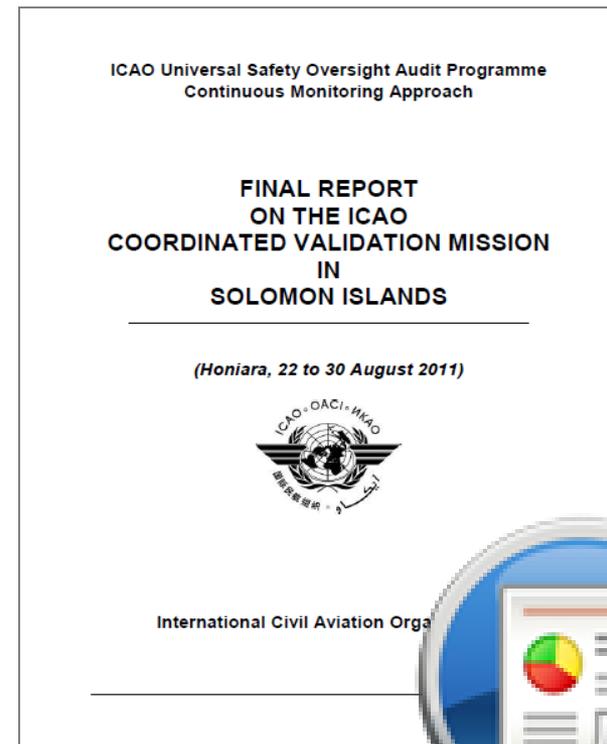


- **Group A States:** Start using CMA Online Framework CAP Module as of 1 Jan 2013
- **Group B States:** Remain in iSTARs and move to CMA online framework progressively as their ICVM final reports are published and data migration is completed.

Group	CSA			ICVM					
	F&R Based CSA Completed	PQ Based CSA Completed	CAP Updates in iSTARS	ICVM Result Published	PQ based CAP provided in iSTARS	ICVM Report In Progress	ICVM Planned In Nov. 2012	ICVM Planned In Dec. 2012	ICVM Planned in Jan.~Apr. 2013
A	Yes								
		Yes							
	Yes		Yes						
	Yes		Yes	Yes					
	Yes		Yes	Yes	Yes				
	Yes		Yes			Yes			
B							Yes		
									Yes

❑ Static Report

- ✓ Final reports based on onsite activities conducted since the first cycle of USOAP
- ✓ Published according to predetermined timelines after the closing meeting of an onsite activity

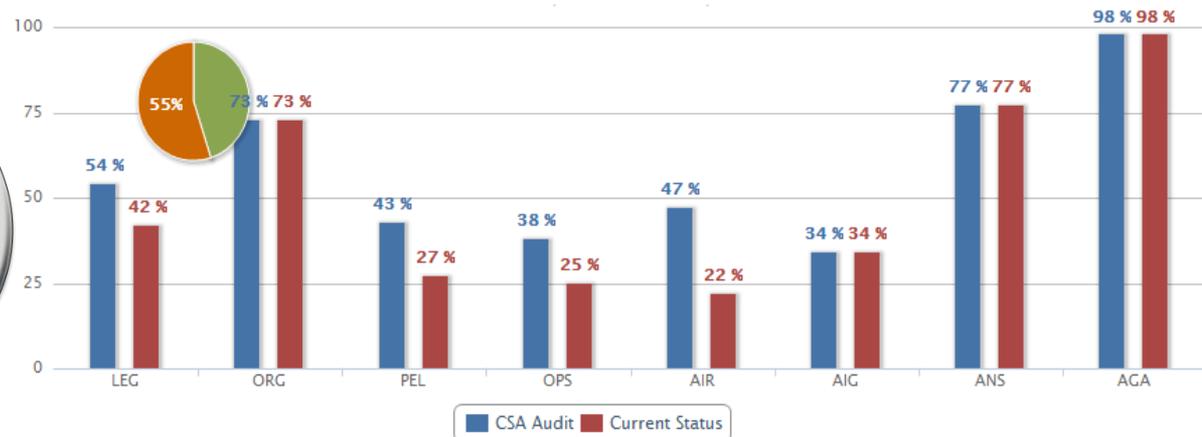


USOAP Report



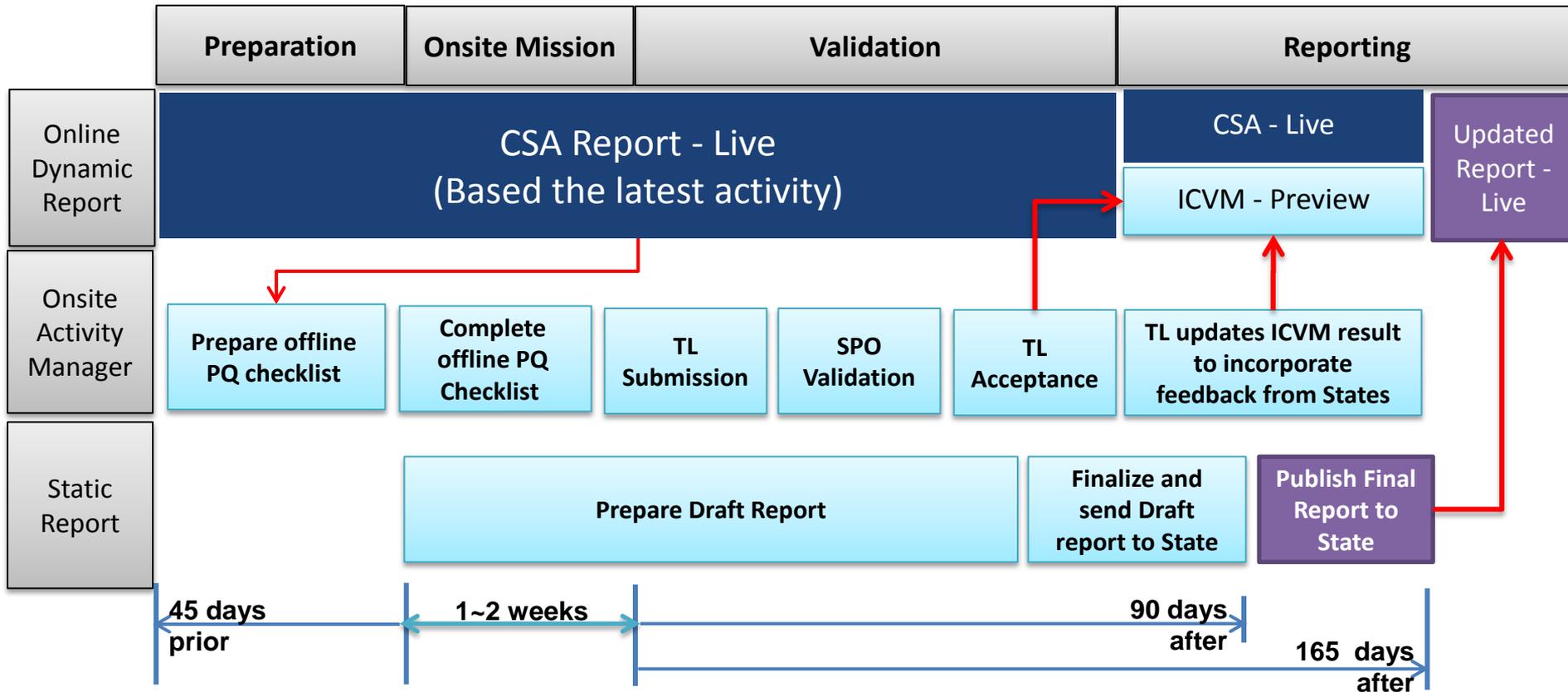
❑ Dynamic Report

- ✓ 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.

Static Vs Dynamic Reports



Note: Live mode is available to all users of all States while preview mode is limited to the NCMC of the concerned State and ICAO users

❑ A centralized library for documents related to USOAP CMA including:

- ✓ USOAP Activity Schedule
- ✓ Master copies of PQs and SAAQ in PDF
- ✓ Manual (Doc 9734 and 9735)
- ✓ Generic MOU approved by the Council
- ✓ Assembly and Council Working Papers
- ✓ State Letter and Electronic Bulletin



□ Provide access to all training/tutorial materials 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 any issues/errors and send any queries related to CMA online framework

ICAO

- ✓ Keep track of all reported issues/errors and manage the resolution of such issues

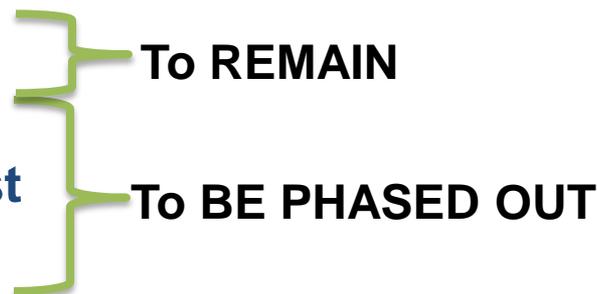
Note: At the moment, this is only linked to the SAST inbox (sast@icao.int), but will have more features



CMA related services in iSTARs

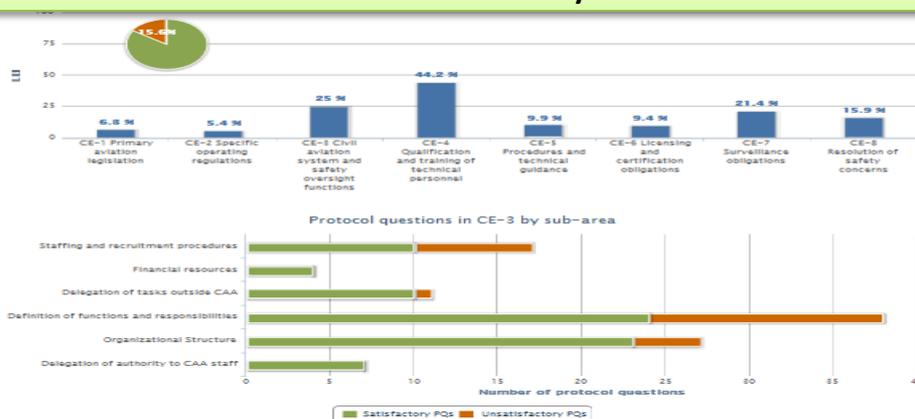
□ iSTARs currently host four services :

- USOAP results reporting
- Corrective Action Plan
- ICVM self-assessment checklist
- Onsite activity tools



<https://portal.icao.int/istars>

USOAP Results by State



F&R based CAP

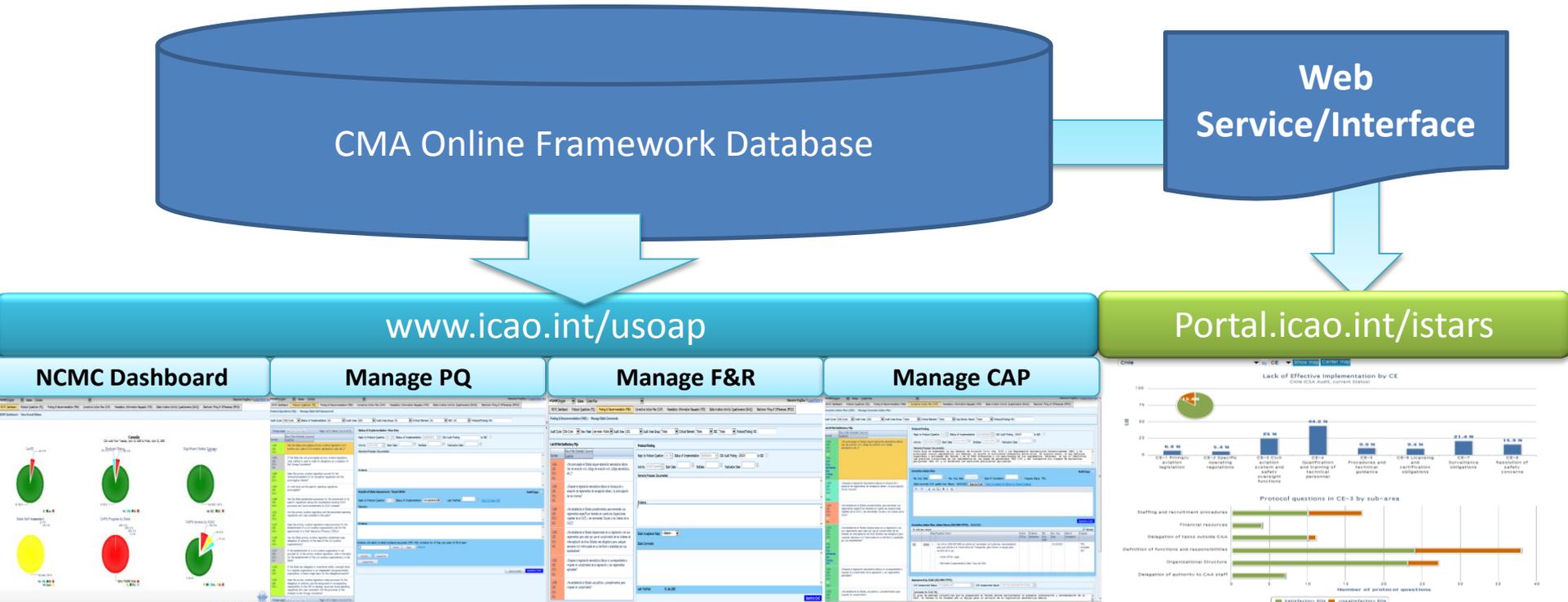


PQ based CAP



CMA related services in iSTARs

- A consolidated/integrated database will serve both CMA online framework and iSTARs



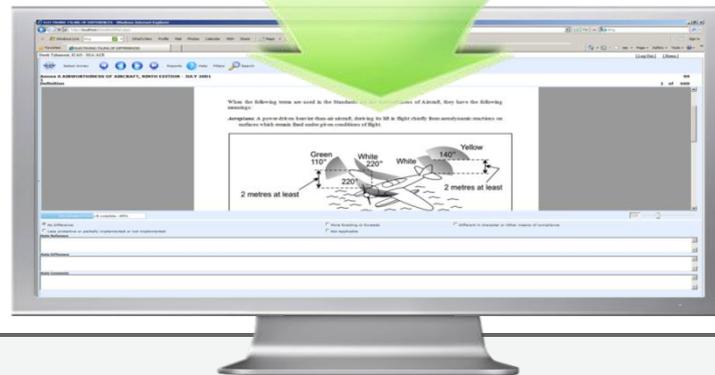
Update on EFOD

Alternative means

- ❑ **March 2011**, Council agreed to use EFOD as an alternative means of filing of differences
- ❑ **Jan 2011**, CC data from 153 States were migrated into the EFOD system

File differences pursuant to Article 38 of Chicago Convention

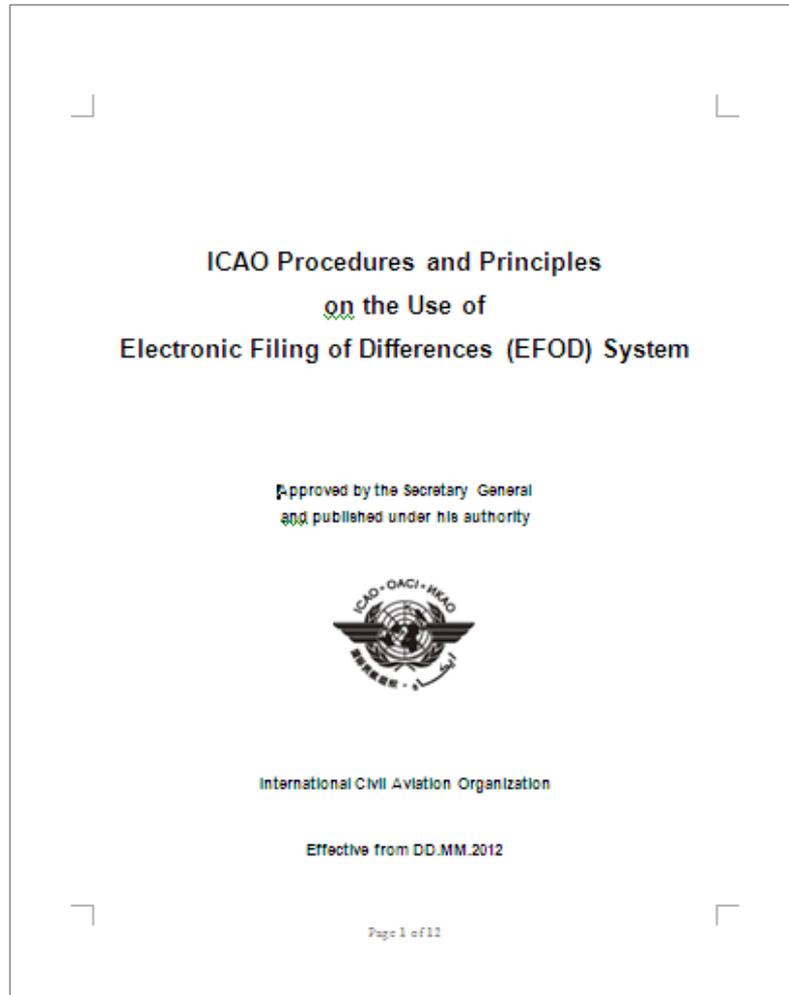
Keep up-to-date compliance checklist pursuant to MOU for USOAP CMA



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)

Procedures on the Use of EFOD



- ❑ Considered and approved by Council at its 195th Session
- ❑ To be Published by Secretary General in 2nd Quarter 2013
- ❑ Table of Contents
 1. Introduction/Scope
 2. Access to the System
 3. Languages
 4. Annex Information
 5. Compliance/Differences Information
 6. System performance
 7. References

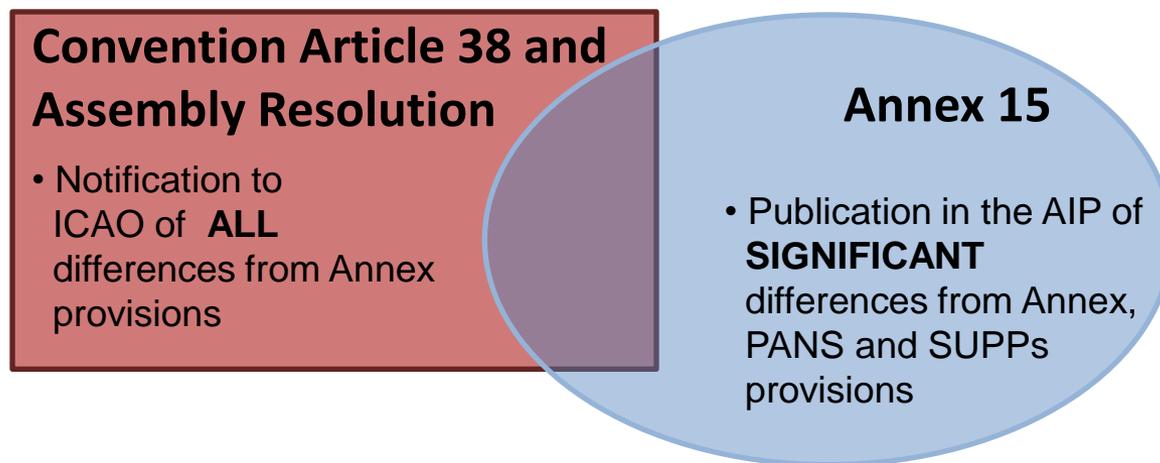
Filing of Differences Task Force (FDTF)

Background



❑ Not proper functioning of the two requirements regarding 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.





Establishment of TF

□ Membership

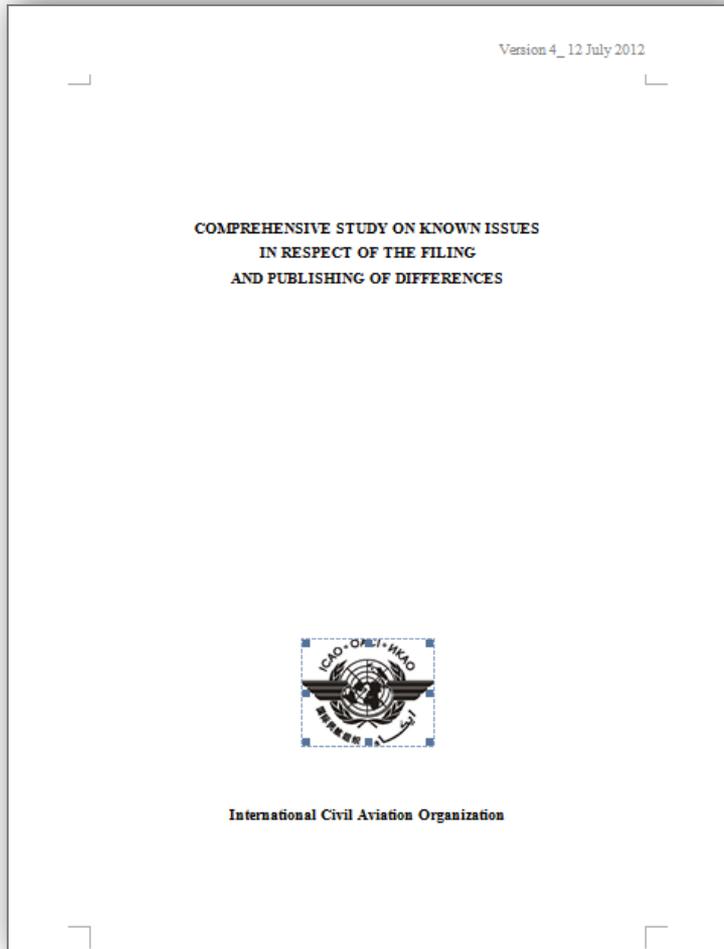
- Established by the Secretary General
- Chaired by Mr. Luc Lapene from France
- Members from 14 States and 1 Int'l Organization from all Regions
- 2 ANC Members and Secretariat members from ANB, ATB, LEB

Note): 1st meeting in 12~14 Oct. 2011 and 2nd meeting in May 2012

□ Deliverables

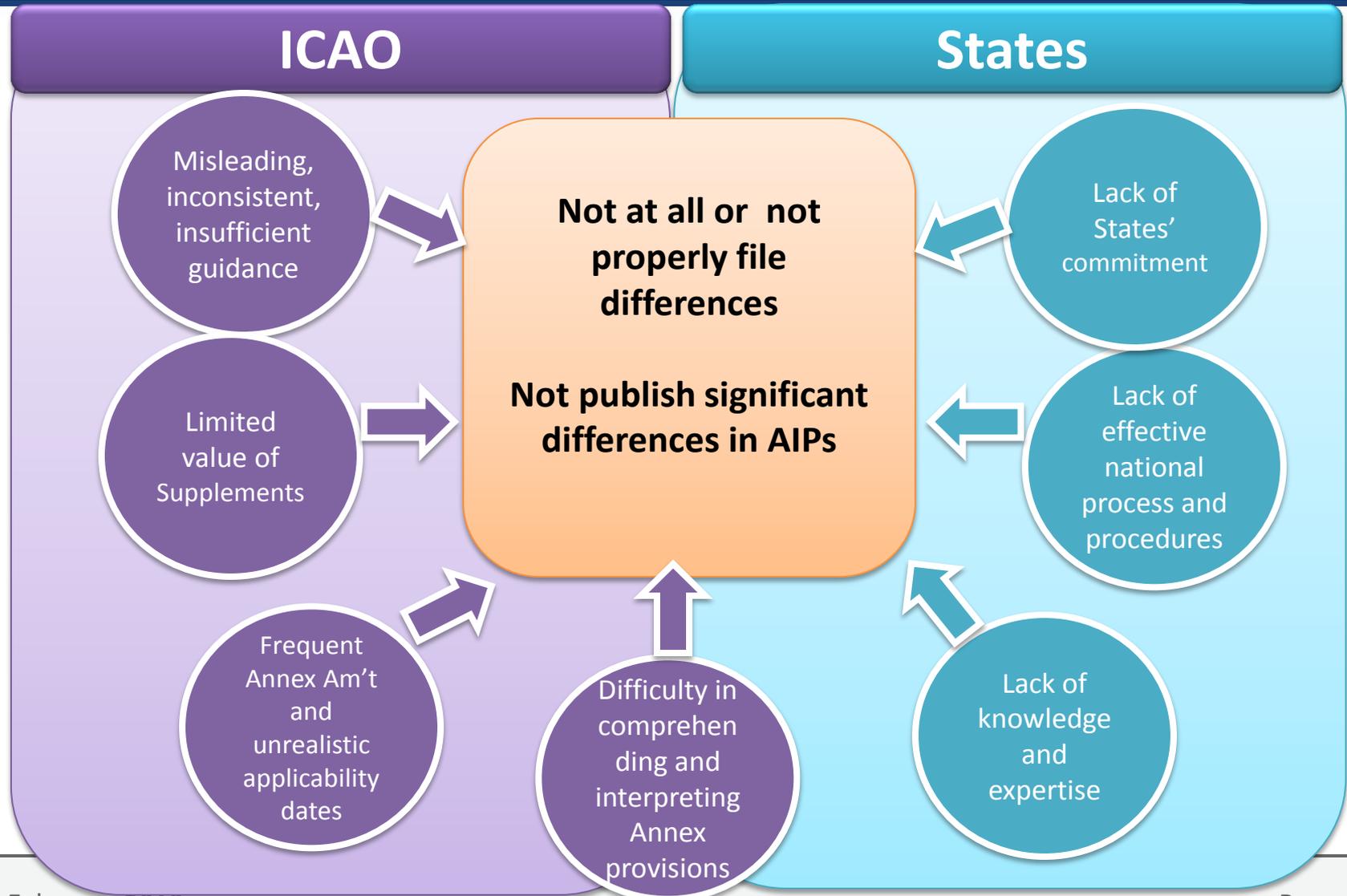
- Draft policy on the use of EFOD – Completed
- Comprehensive Study on issues regarding filing of differences in general with a view to improving relevant rules and procedures and providing additional guidance to States – In Progress

Comprehensive Study on Issues regarding Filing of Differences



- ❑ Being finalized by FDTF
- ❑ To be considered by Council at its 198th Session in 2013
- ❑ Table of Contents
 1. Executive summary
 2. Introduction
 3. ICAO's past efforts
 4. Current situation
 5. Analysis of differences
 - 6. Known issues**
 7. Importance and benefits of filing and publication of differences
 - 8. Future strategies and recommendations**

Known issues



Recommendation



- Improve and develop ICAO documents
- Improve SARPs development and amendment process
- Increase transparency of differences information
- Enhance assistance programme in cooperation with various entities
- Introduce a quality control process wherein ICAO reviews differences and provides timely feedback
- Improve the EFOD system to ease the work of States

THANK YOU