ICAO USOAP
Continuous Monitoring Approach

USOAP Continuous Monitoring Approach (CMA) Workshop

Module 3
USOAP CMA Online Framework (OLF)
and Electronic Filing of Differences (EFOD) System

Outline

1. Overview of USOAP CMA Online Framework (OLF)

2. Functionality of OLF Modules

3. Updating the Electronic Filing of Differences (EFOD)

Overview of USOAP CMA Online Framework (OLF)

What is USOAP CMA Online Framework?

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

1. Collection of safety-related information and documentation from different sources; and

2. Monitoring and reporting of safety oversight activities by ICAO and Member States.
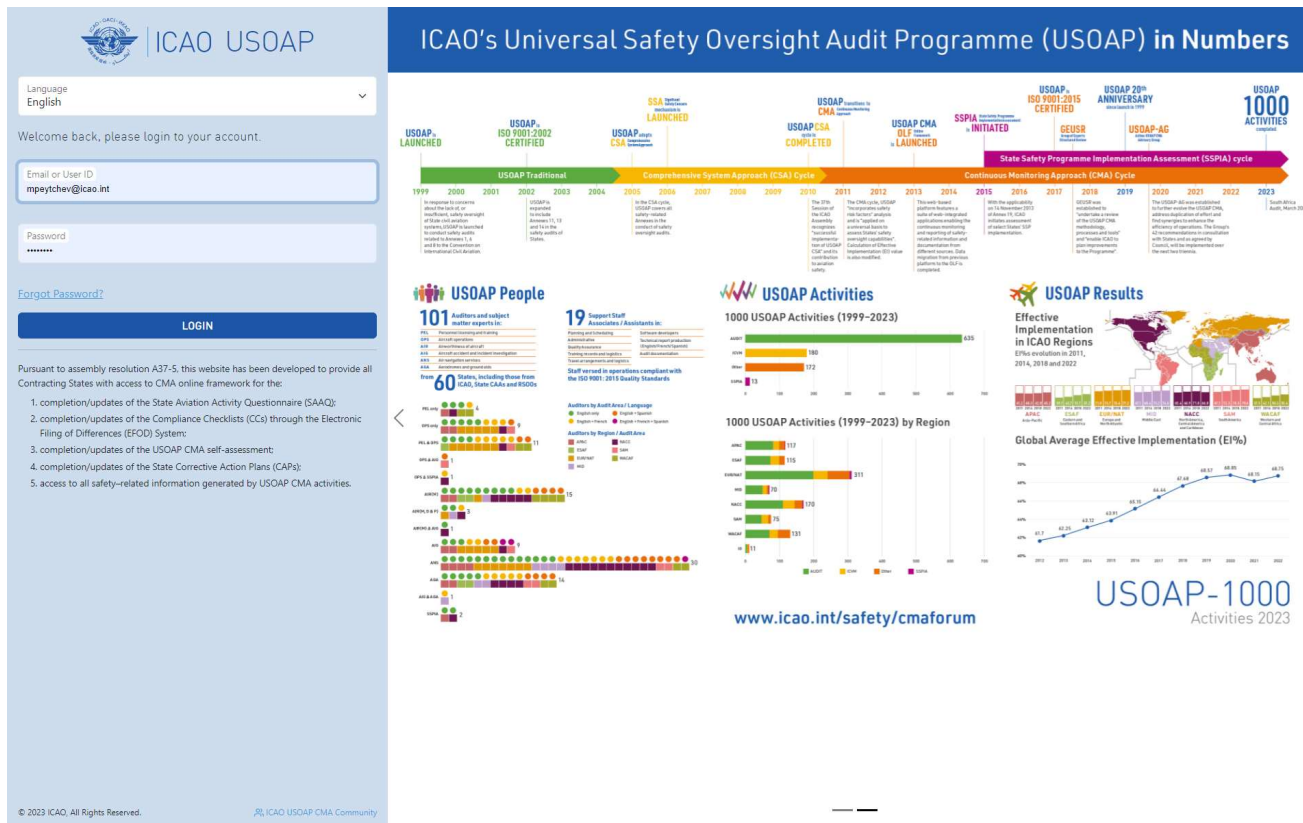
OLF: How to Access It?

Users can access OLF via the ICAO USOAP Restricted Website:

www.icao.int/usoap

OLF: Modules

The OLF Home Page:

- Latest news

- OLF modules

- Navigation bar with user ID and key functions
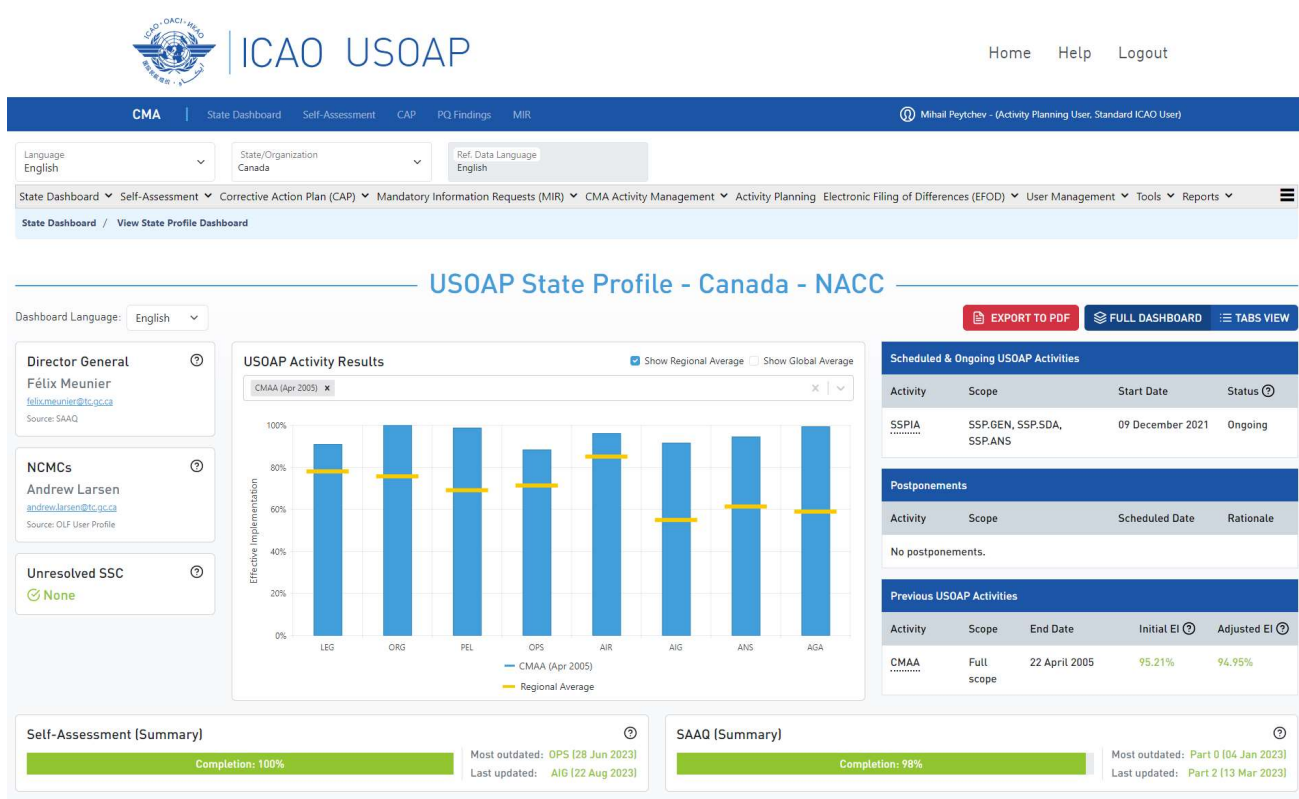
OLF: Functionality for States

- Manage OLF user accounts.

- Keep State Aviation Activity Questionnaire (SAAQ)
  and Compliance Checklist/Electronic Filing of Differences (CC/EFOD) up to date.

- Provide Corrective Action Plan (CAP) updates and/or progress per corresponding
  PQ findings.

- Conduct Protocol Questions (PQ) self-assessment.

Functionality of OLF Modules

State Dashboard

State Dashboard provides the following information:

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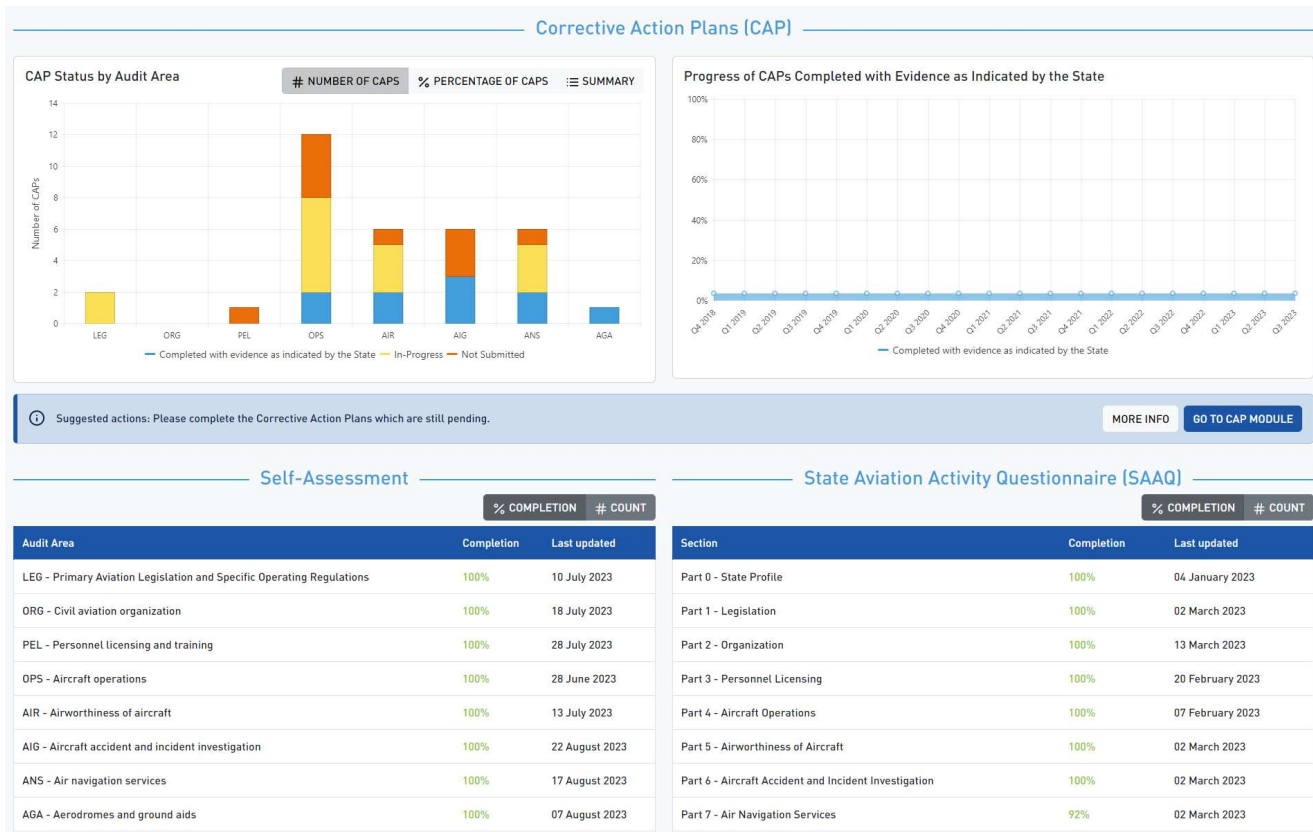
Effective Implementation (EI)

screen shows:

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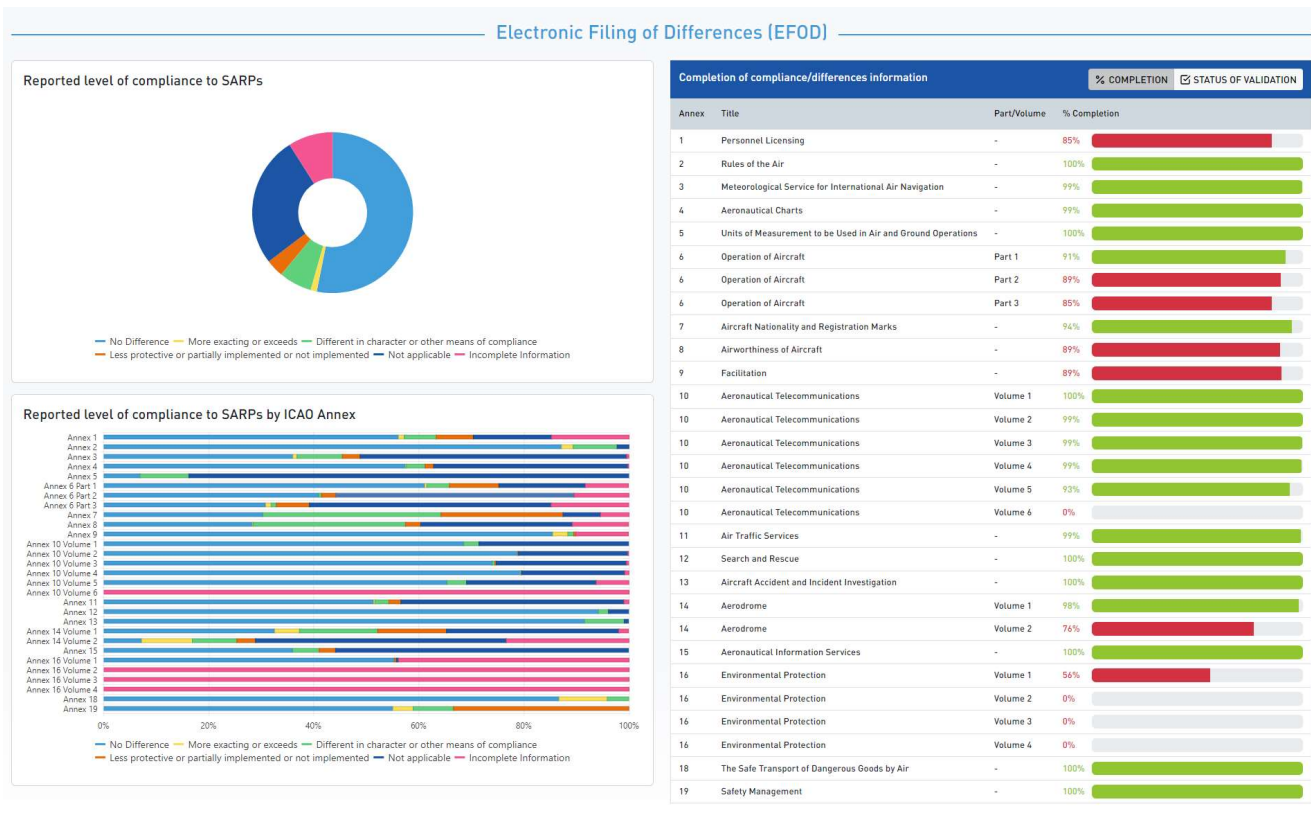- EI by audit area and CE

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

State Dashboard: EFOD

EFOD screen gives:

- Reported level of compliance to SARPs – overall and by ICAO Annex

- Compliance/difference information provided by the State by Annex

Electronic Filing of Differences (EFOD)

Reported level of compliance to SARPs

Legend:
- 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

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	56%
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%

User Access Control

✈ **NCMCs:** have full control of user accounts for the State, such as:

- Issue additional user accounts;
- Deactivate invalid user accounts; and
- Set individual user rights/permissions.

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

For Annex 16 issues, please coordinate with Environment Section (ENV)/Air Transport Bureau (ATB).

Annex 17 is not available on EFOD.

✈ **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.

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.

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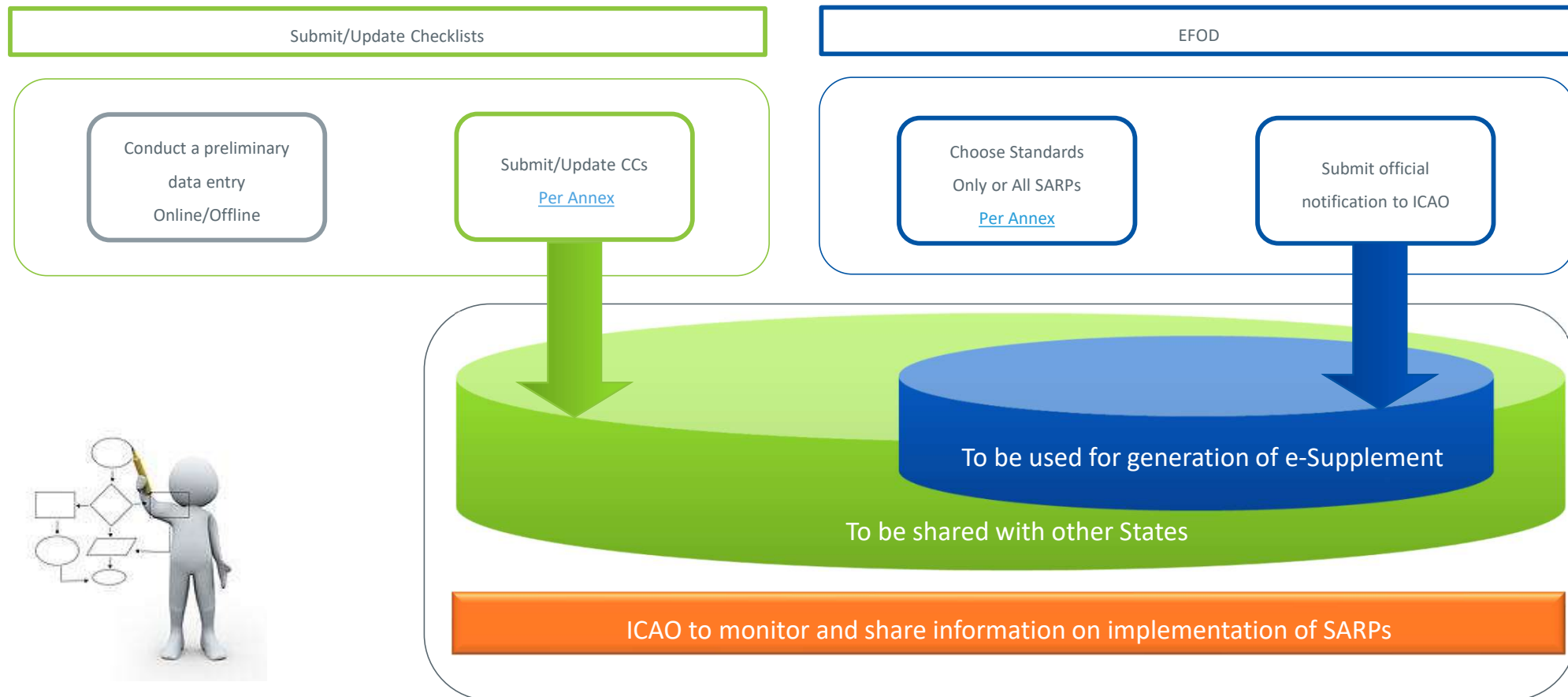# Electronic Filing of Differences (CC/EFOD)

✈ States

- Where do I stand with my work of filing of differences?

- Use the *newly* introduced '**Pending SARPs For Filing**' page available under the Reports menu

- Allows to drill down differences with missing or incomplete information

- For the latest Annex amendments, the page also shows the 'New' or 'Refile Required' for newly added or amended SARPs

CC/EFOD Processes

ICAO USOAP Continuous Monitoring Approach

Submit/Update Checklists

Conduct a preliminary data entry
Online/Offline

Submit/Update CCs
Per Annex

EFOD

Choose Standards
Only or All SARPs
Per Annex

Submit official
notification to ICAO

To be used for generation of e-Supplement

To be shared with other States

ICAO to monitor and share information on implementation of SARPs

Pre-formatted Word Document

✈ **This feature is available only to NCMCs.**

- Commonly known as the EFOD offline mode.

- Once the MS WORD document is downloaded, data in the EFOD online system is locked.

- To enable users to edit data online, NCMC should upload the MS WORD document or unlock the EFOD data.

Verification by States

✈ **In April 2011, per SL AN 1/1-11/28, States were invited to:**

- Use EFOD as an alternative means for filing differences to all Annexes (except Annex 17).

- Verify and confirm the data in EFOD, previously entered through the CCs under USOAP.

✈ **States now use the Confirmation button to file notification of difference.**

✈ **To date, 188 States have notified their differences via EFOD.**

Self-Assessment vs. PQ audit/validation results

✈ States

- Search and view PQs selected.

- Conduct Self-Assessment of their safety oversight system:

  - ✓ Update implementation status of PQs (S/NS/NA), with evidence.

  - ✓ Provide implementation status of new PQs.

  - ✓ Attach evidence documents.

✈ ICAO

- Keeps PQs up to date through audit/validation activities.

- Updates status of implementation of State's PQs based on latest CMA activities.

- Generates State's Effective Implementation (EI).

Self Assessment: How To Do It?

Corrective Action Plan (CAP)

✈ **States**

- Search and view PQ Finding(s) issued to a State.

- Submit/update a CAP to address a PQ Finding:

  - ✓ A list of proposed actions;

  - ✓ Responsible office(s) for the proposed actions;

  - ✓ Estimated implementation date (dd/mm/yyyy); and

  - ✓ Revised implementation date, when required.

- Provide regular progress reports on a CAP:

  - ✓ Completion (%) of each proposed action;

  - ✓ Date of completion; and

  - ✓ Supporting evidence (reference).

  Note: Updating the CAP progress will not affect the CAP Review by ICAO

CAP: How To Do It?

1. Selection Menu>>

SSC	Is PPQ	Has Attachments	Attachments Out Of Date	Is Linked To MIR	Outdated ICAO Review
All	All	All	All	All	All

PQ No.

[   ] [Clear]

[CAPs Qualified] [PQs Qualified] [🔍 Search]

List Of Not Satifactory PQs

PQ No.	Question	Language

Protocol Finding — CMA 2020 Protocols as of Year 2020

2. Select a PQ >>

3. Finding by ICAO (view only)

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

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   SSC ☐

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

Page size: 10 ▼   Displaying page 1 of 1, items 1 to 2 of 2   ◀ Page: 1 of 1 ▶   1

4. CAP provided by the State >>

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

↶ ▾ ↷ ▾ | ✂ 📋 📄 | **B** *I* <u>U</u>

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.

State CAP Progress: ● Not Submitted ● 0% ● 25% ● 50% ● 75% ● 100%

CAP: ICAO

✈ **ICAO**

- Records status of CAP review (e.g. In Progress or Completed).
- Records result of review of a proposed CAP and add comments.
- Monitors progress of CAP implementation.

State CAP Progress:

USOAP Reports

✈ **Final Reports (static)**

- Final reports of activities conducted since the first cycle of USOAP.

- Published according to predetermined timeline after an activity.

ICAO Universal Safety Oversight Audit Programme

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

(12 to 22 April 2005)

International Civil Aviation Organization

USOAP iSTARS

➔ **iSTARS**

- Dynamic graphic presentation of USOAP data.

- Based on the most recent USOAP CMA activity for each audit area/CE.

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

USOAP CMA Library

✈ **Centralized library for USOAP CMA related documents, including:**

- Assembly and Council Working Papers;

- Generic MOU approved by the Council;

- Master copies of PQs and SAAQ;

- USOAP Manuals: **Doc 9734** — Safety Oversight Manual and **Doc 9735** — USOAP CMA Manual;

- Documentation related to USOAP Advisory Group

- Documentation related to SSPIAs

- State Letters / Electronic Bulletins / Reports

- USOAP Guidance Materials

- USOAP CMA activity plans.

Feedback

✈ **States**

- Report issues and send queries about OLF.

✈ **ICAO**

- Keeps track and manages resolution of all reported issues.

   Note: the email address <u>usoap@icao.int</u> can still be used.

Feedback: How to Access It?

✈ **Accessible from Home Page or Menu Bar**

Feedback Request Form

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

- General Comment

- Improvement Request

- Bug Fix Request

Review

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2. Functionality of OLF Modules

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Questions and Feedback

ICAO
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Montréal

European and
North Atlantic
(EUR/NAT) Office
Paris

Asia and Pacific
(APAC) Sub-office
Beijing

Middle East
(MID) Office
Cairo

Western and
Central African
(WACAF) Office
Dakar

North American
Central American
and Caribbean
(NACC) Office
Mexico City

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(SAM) Office
Lima

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Southern African
(ESAF) Office
Nairobi

Thank You!