



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)





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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.





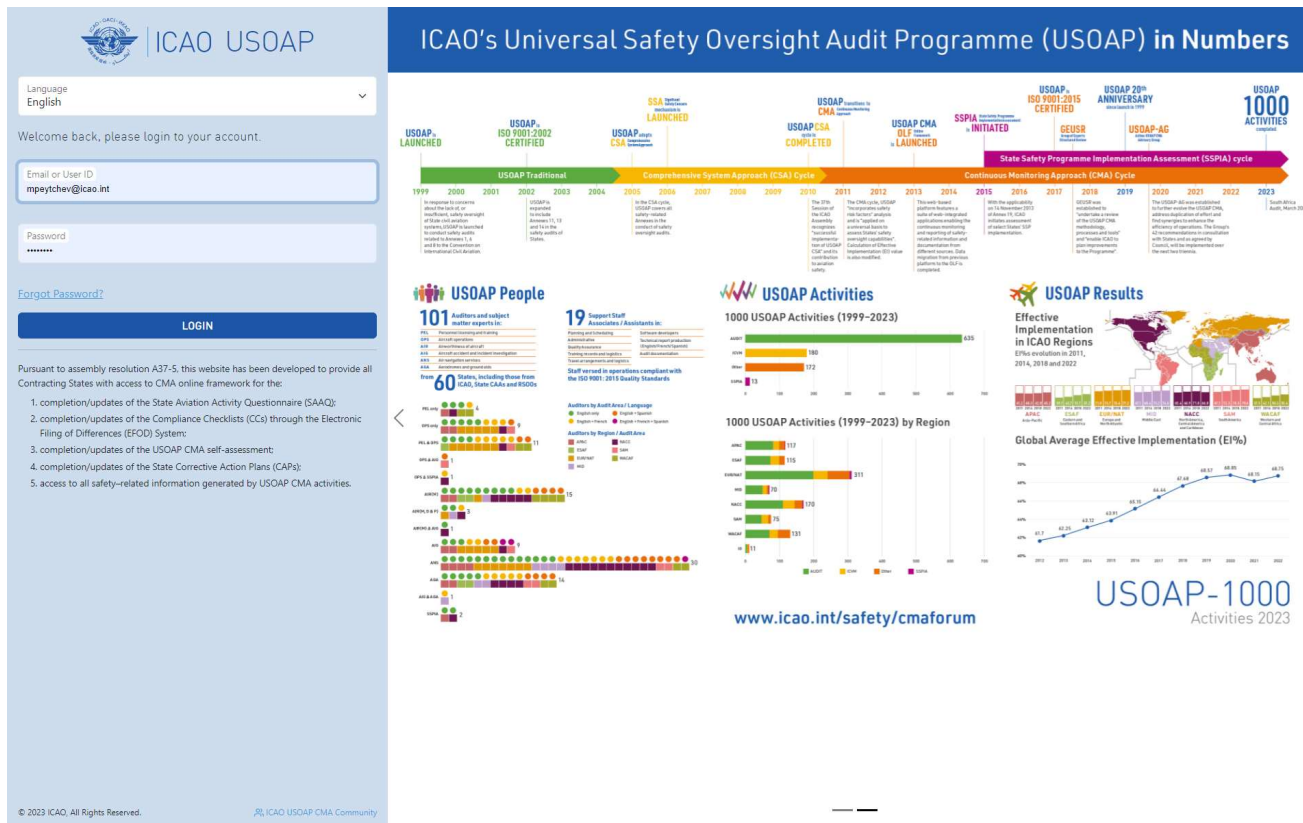
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OLF: How to Access It?

Users can access OLF via
the ICAO USOAP

Restricted Website:

www.icao.int/usoap





Latest News

Annex Amendments 2023

November 13, 2023 15:42

Please note that the following 2023 annex amendments have been uploaded into EFOD:

- 1) Amendment 93 to Annex 10 Volume I
- 2) Amendment 14 to Annex 16 Volume I
- 3) Amendment 11 to Annex 16 Volume II
- 4) Amendment 2 to Annex 16 Volume III
- 5) Amendment 1 to Annex 16 Volume IV

New Excel export showing self-assessment details.

January 18, 2023 12:14

Use details in the attached file.

[Download attachment](#)

Correction to PQ 3.405

October 03, 2022 11:08

PQ 3.405 has been corrected to display as an "Onsite Required" PQ. This has been reflected in the PQ printouts as well as filter options in the various modules.

[First](#) [Previous](#) [1](#) [2](#) [3](#) [4](#) [5](#) [Next](#) [Last](#)[Activity Manager](#) [Expert Manager](#) [ICAO USOAP CMA Community](#)

Welcome to the ICAO Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) Online Framework

Language

English

Canada

Safety-critical Information



State Dashboard



SAAQ



Self-Assessment



CC/EFOD



User Management



CAP



PQ Findings



E-Supplements



Significant Safety Concerns



USOAP Reports



ISTARS



CMA Library



Feedback



CC/EFOD Reports



The OLF Home Page:

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



OLF: Functionality for States

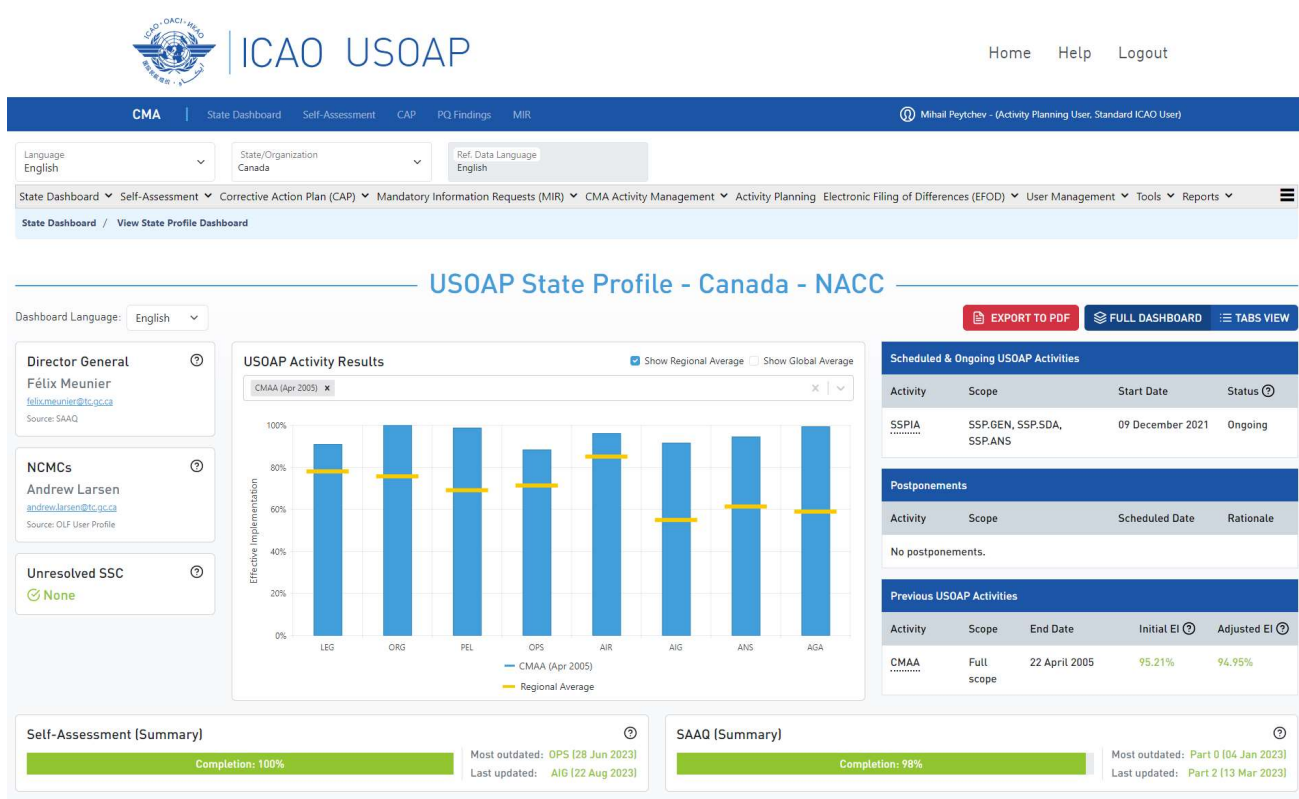
- Manage OLF user accounts.
- Keep State Aviation Activity Questionnaire (SAAQ) and Compliance Checklist/Electronic Filing of Differences (CC/EFOD) up to date.
- Provide Corrective Action Plan (CAP) updates and/or progress per corresponding PQ findings.
- Conduct Protocol Questions (PQ) self-assessment.





Functionality of OLF Modules





State Dashboard 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)

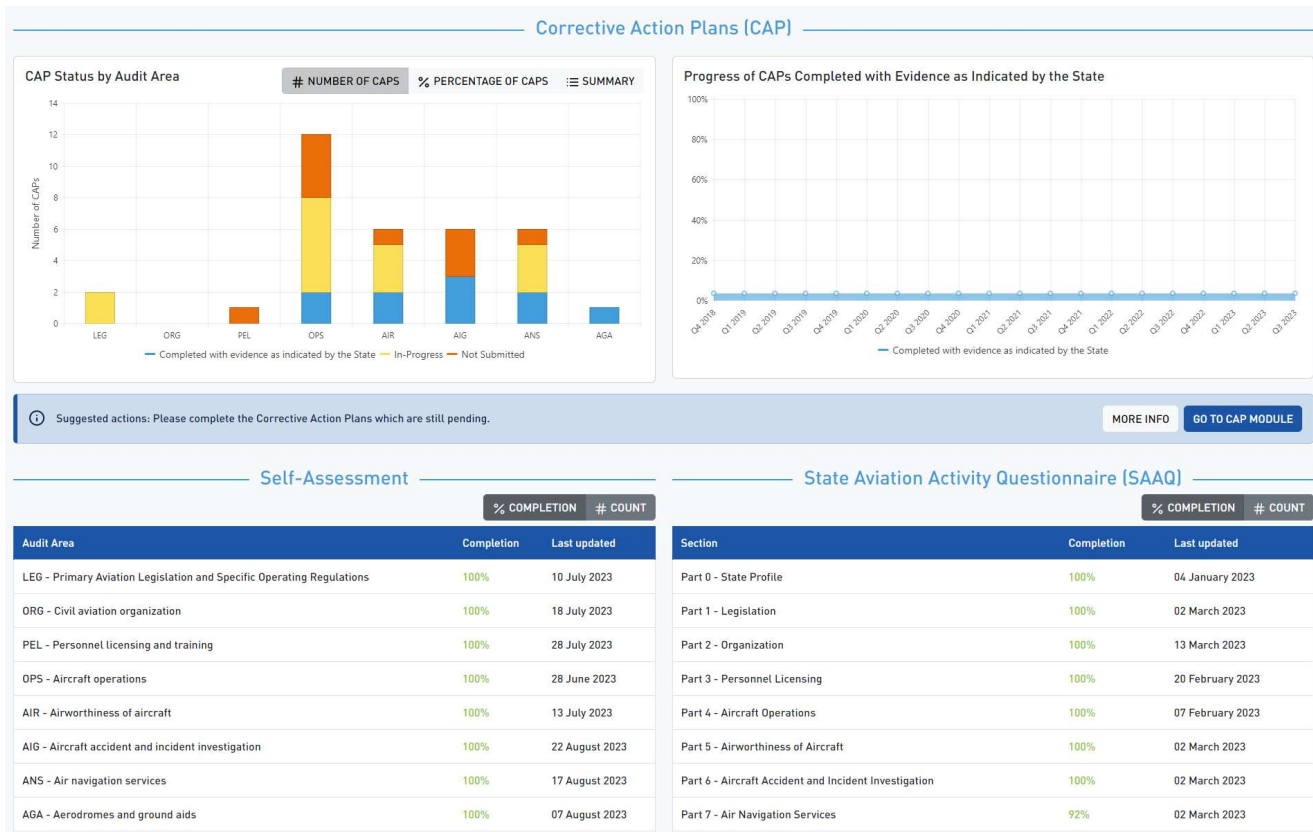
screen shows:

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





State Dashboard: CAP, SAAQ, SA



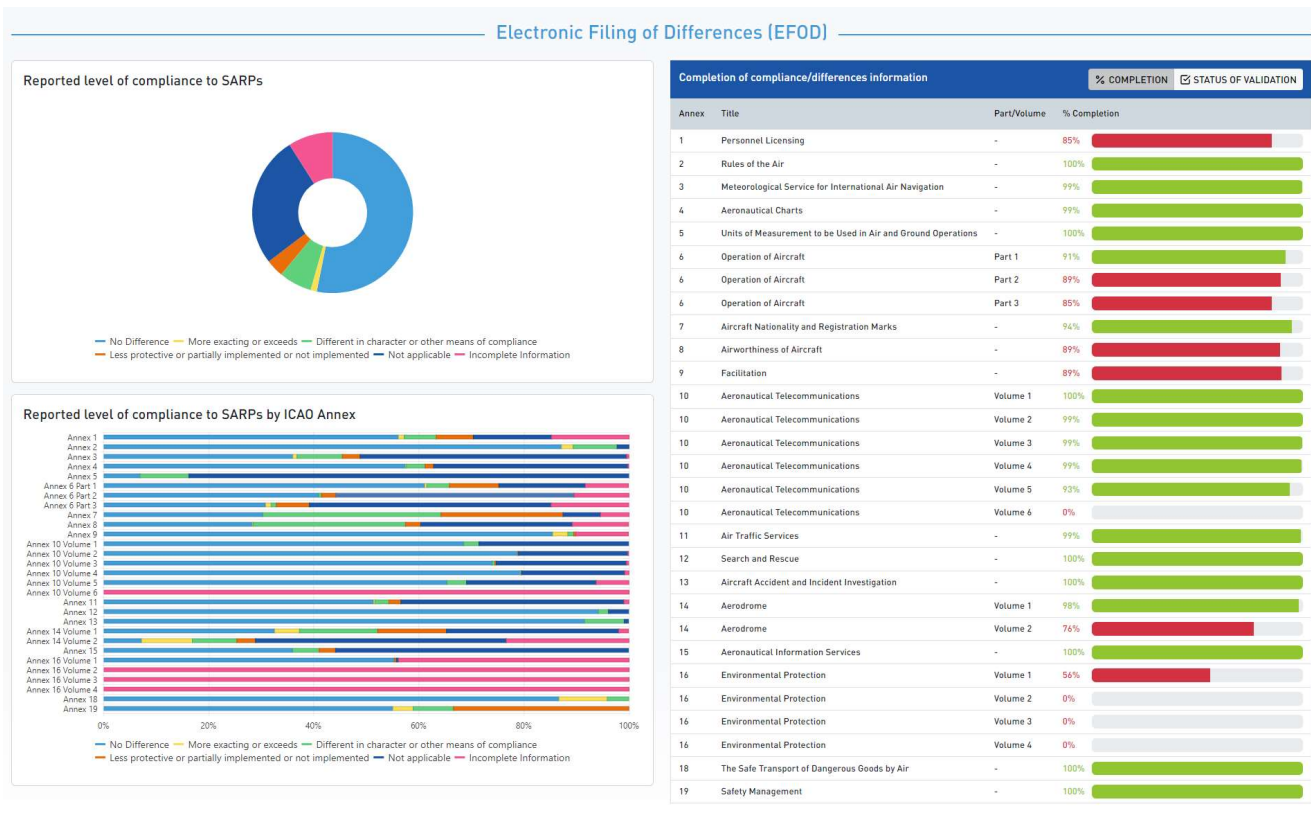
CAP, SAAQ, SA section provides information on:

- 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





✈ **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.

State Aviation Activity Questionnaire (SAAQ)

Select Part

First Entry

Previous Entry

Next Entry

Last Entry

SAAQ Ref.

Search

Save Entry

Offline Mode

Tools

Introduction

USOAP CMA State Aviation Activity Questionnaire

1 of 2

MO/QMSF-007-09D --- September 2021

ICAO Universal Safety Oversight Audit Programme

CONTINUOUS MONITORING APPROACH

State Aviation Activity Questionnaire





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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.

EFOD | EFOD Dashboard | E-Supplements | Reports | Mihail Peychev - (Activity Planning User, Standard ICAO User)

Language: English | Türkiye | Electronic Filing Of Differences (EFOD)

Select Annex First Entry Previous Entry Next Entry Last Entry Reports Filters Chapters Search Save Entry Validation Offline Mode Tools Feedback

Annex 14 - AERODROMES - Volume I | 1078 of 1428 | The current user has read-only access to the selected annex, please contact your National Continuous Monitoring Coordinator (NCMC) to change your access privilege, if needed.

NINTH EDITION- JULY 2022 | Amendment 17 | Standard - 9.1.1

CHAPTER 9. AERODROME OPERATIONAL SERVICES, EQUIPMENT AND INSTALLATIONS

9.1 Aerodrome emergency planning

General

Introductory Note— Aerodrome emergency planning is the process of preparing an aerodrome to cope with an emergency occurring at the aerodrome or in its vicinity. The objective of aerodrome emergency planning is to minimize the effects of an emergency, particularly in respect of saving lives and maintaining aircraft operations. The aerodrome emergency plan sets forth the procedures for coordinating the response of different aerodrome agencies (or services) and of those agencies in the surrounding community that could be of assistance in responding to the emergency. Guidance material to assist the appropriate authority in establishing aerodrome emergency planning is given in the Airport Services Manual (Doc 9137), Part 7.

9.1.1 An aerodrome emergency plan shall be established at an aerodrome, commensurate with the aircraft operations and other activities conducted at the aerodrome.

☐ No difference
☐ A. More exacting or exceeds
☐ B. Different in character or other means of compliance
☐ C. Less protective or partially implemented or not implemented
☐ Not applicable
☐ Significant Difference

Text as provided by State | English translation as provided by State

State Reference
 SHT-HES (Instructions on Aerodromes Safety Standards) HAD-ADR-4940

Details of Difference
 Please describe the difference clearly and concisely.

Remarks
 any planned date for implementation.

EFOD ENTRY

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

Türkiye | 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 Reference 3.5.3 Standard	Dimensions of runway and safety areas 3.5.3 A runway end safety area shall extend from the end of a runway strip to a distance of at least 90 m where: — the code number is 3 or 4; and — the code number is 1 or 2 and the runway is an instrument one. 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. <i>Note— Guidance on arresting systems is given in Attachment A, Section 9.</i>	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.





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

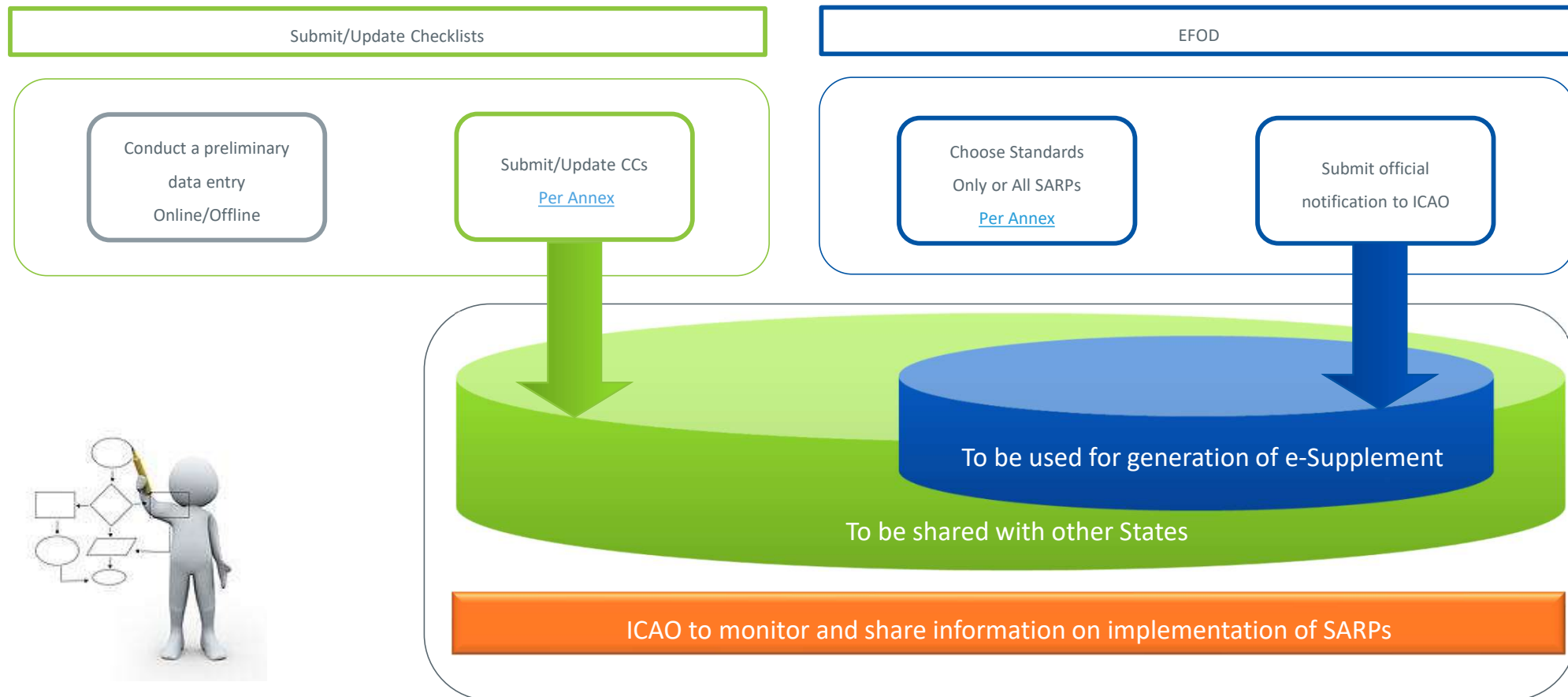


→ States

- 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





➔ 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.

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)





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.





→ 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?



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

1. Search for a PQ >>

Activity: All ICAO Status of Impl.: All Self-Assessment Status of Impl.: All Audit Area: LEG AA Group Type: All AA Group: All
Critical Element: All CE Group: All SSC: All Is PPQ: All Is Draft: All Reply to PQ: All
Has Attachments: All Attachments Out Of Date: All New Prot. Status: All PQ No.: All
[Clear](#) [Search](#)

2. Select a PQ >>

PQ No.	Description	Language
1.001 LEG CP-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 Pусский
1.005 LEG CP-1 S	Does the primary aviation legislation provide for the introduction/adoption and subsequent promulgation of specific operating regulations?	English Français Pусский
1.007 LEG CP-2 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 Pусский
1.009 LEG CP-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 Pусский
1.011 LEG CP-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 Pусский
1.013 LEG CP-1 S	Does the primary aviation legislation provide for the establishment of a civil aviation organization(s) and the appointment of Director General(s) (DGs)/Chief Executive Officer(s) (CEOs)?	English Français Pусский
1.015 LEG CP-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 Pусский
1.019 LEG CP-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 Pусский
1.023 LEG CP-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 Pусский
1.025 LEG CP-2 S	Has the State established procedures for identifying and notifying to ICAO differences between ICAO SARPs and its legislation and practices, if any?	English Français Pусский

Page size: 10 1 Page: 1 of 91 Displaying page 1 of 3, items 1 to 10 of 23

3. Status of Implementation by ICAO (view only)

PQ No.: 1.001 Reply to PQ: Satisfactory ICAO Status of Impl.: Satisfactory CJA Finding: SSC ID No.: Activity: 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"

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.





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: All | IS-PQ: All | Has Attachments: All | Attachments Out of Date: All | Is linked to link: All | Collocated ICAO review: All

PQ No. [Clear](#)

[CAPs Qualified](#) [PQs Qualified](#) [Search](#)

2. Select a PQ >>

PQ No.	Question	Language
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: 10 | Page: 1 of 1 | Displaying page 1 of 1, items 1 to 2 of 2

3. Finding by ICAO (view only)

Protocol Finding: CMA Audit | 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

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](#)

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%



→ 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.



Corrective Action Plan, Action Items: 16/12/2020									
Change Log									
PQ No.	Question	Language	Step	Proposed Action	Action Office	Evidence Reference	Est. Imp. Date	Rev. Imp. Date	Date of Completion
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
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	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		
	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		3		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	01/06/2005	30/06/2017	

State CAP Progress:

Not Submitted 0% 25% 50% 75% 100%



➔ 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



✈ 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.





✈ 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.

Note: the email address usoap@icao.int can still be used.





Feedback: How to Access It?



➔ Accessible from Home Page or Menu Bar

The screenshot displays the ICAO USOAP 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 this, a grid of icons represents various system components. A green arrow points to the 'Feedback' icon in the bottom-left corner of the grid. On the right side, a sidebar menu is open, listing options such as User Management, Tools, Reports, Protocol Management, Quality Management, and Feedback. The 'Feedback' option is highlighted in orange, and a green arrow points to it from the right. Below the 'Feedback' option, sub-items are listed: Feedback Response, Feedback Request, and Show all States Feedbacks.





Feedback Request Form



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

- General Comment
- Improvement Request
- Bug Fix Request

Feedback List:

Feedback	Effective Date
No records to display.	

The **Feedback Request** allows a state to make a request to ICAO for further clarifications the state might have. Various categories are available to further assist ICAO in handling the Feedback Request properly.

Categories available are:

1. General Comment
2. Improvement Request
3. Bug Fix Request

Feedback Category: General Comment User Name: Email: Date: 25/08/2023 Priority: Low

Title:

Description:

Attachment:

☐

User: Mihail Peytchev Generic Final Status: Open Implementation Date: 25/08/2023

Description:





Review

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





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Continuous Monitoring Approach

Questions and Feedback





Thank You!