



ICAO

# INTERNATIONAL CIVIL AVIATION ORGANIZATION

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# ICAO Annex 9 – Facilitation

## Electronic Filing of Differences (EFOD) System

# Annex 9: compliance with ICAO SARPs

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## □ Electronic Filing Of Differences (EFOD)

- Compliance Issues with regard to Annex 9;
- Background & Introduction;
- ICAO's role in maintaining the EFOD System;
- States' role in making entries into the EFOD System;
- Understanding the EFOD System;
- How to make entries into the EFOD System;
- Report on entries into the Annex 9 CC;
- Potential EFOD problems faced by States.



# Annex 9: compliance with ICAO SARPs

□ Article 38, Chicago Convention + Assembly Resolutions

□ Means of Determination of Compliance:

- Response to SL on adoption of a new Amendment (compliance/differences) [EFOD entries];
- Audits of Annex 9 Standards under USAP- & USOPA-CMAs;
- Response to SARP-specific SLs (e.g. API; 3.11.1; SLTD);
- Information in Aeronautical Information Publications (AIPs) filed under Annex 15;
- Unofficial information from various sources (e.g. Regional Offices, FAL Contacts).

# Annex 9: compliance with ICAO SARPs

## □ Non-compliance Reasons

- Gaps in communication between ICAO and States;
  - delays in delivering documentation to responsible party
  - difficulties in identifying responsible party (SL sent to CAA)
    - Health; Immigration; Quarantine; Customs; Travel document-issuing authorities; Disability agency; Law enforcement, etc.
- SARPs address non-State entities;
- Insufficient resources within States;
- Costs of implementation;
- Difficulty in comprehending and interpreting Annex material;
- Differing interpretation by individual States of SARPs;
- Etc.

# EFOD: background

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- ❑ Old paper-based notification: laborious, time-consuming, delayed;
- ❑ 2011-2013: Phased implementation for all Annexes (except A9 & A17):
  - Jan 2011, CC data from 153 States were migrated into the EFOD system;
  - April 2011 SL AN 1/1-11/28, States requested to:
    - **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;
  - **Annex 9 in EFOD from Amendment 24 (2014).**

# EFOD: introduction

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- ❑ Dynamic & on-demand research tool;
- ❑ More accessible, efficient, timely means for notifying differences & disseminating information;

## EFOD provides:

- ✓ A list of States who have verified differences;
- ✓ Completeness of data reporting for a selected State;
- ✓ Differences per Annex for a selected State;
- ✓ Differences of all States per a selected provision.



# EFOD: introduction

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## □ ACRONYMS

- **CC:** Compliance Checklist (contains information on implementation of SARPs);
- **CMA:** Continuous Monitoring Approach
- **PQ:** Protocol Question
- **USAP:** Universal Security Audit Programme
- **USOAP:** Universal Safety Oversight Audit Programme



# EFOD System Users

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 **Data providers**: Users who have read and write access

Users authorized to provide and validate information in the EFOD System

 **Data consumers**: Users who have read-only access

Users granted access to view and research information on the EFOD System

→ Each user is assigned an **access level** based on the user's **roles and responsibilities**

# EFOD: ICAO's role

## AS A DATA PROVIDER

**READ/WRITE** updating Annex information  
(i.e. enter information on amended SARPs)

## AS A DATA CONSUMER

**READ-only** access to all State's information on differences to Annex 9 Standards and compliance checklist information on all SARPs

(Validate compliance/differences information)

- + General maintenance of EFOD System:
  - System performance management
  - Improvement of functionalities

# EFOD: States' roles

PPT 1.10

## AS A DATA PROVIDER

## AS A DATA CONSUMER

**READ/WRITE** insert a State's compliance/difference information regarding an Annex

**READ-only** access to its own State's Annex information

UPDATE information on amended Annex

**Ensure quality** of information entered

**Manage data providers** and keep information up-to-date (e.g. no replication or inaccuracy of information due to multiple users)

**READ-only** access to validated compliance/differences information of all other States

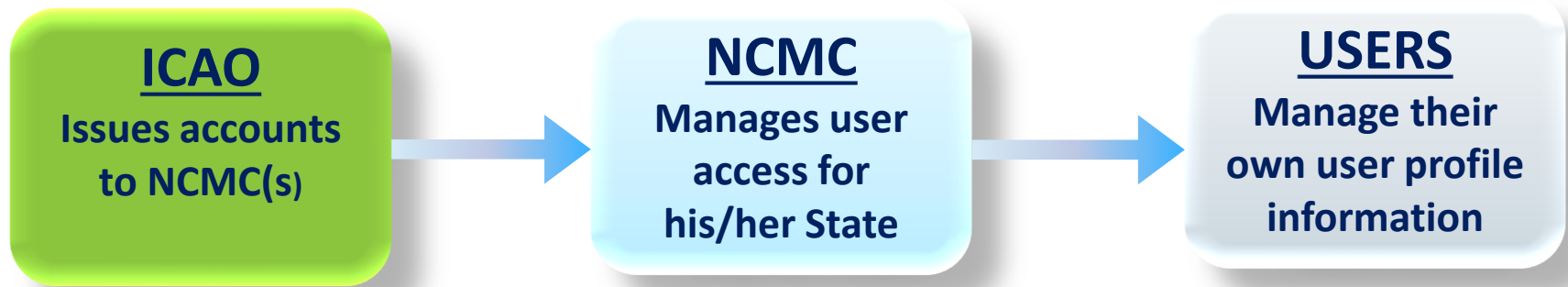


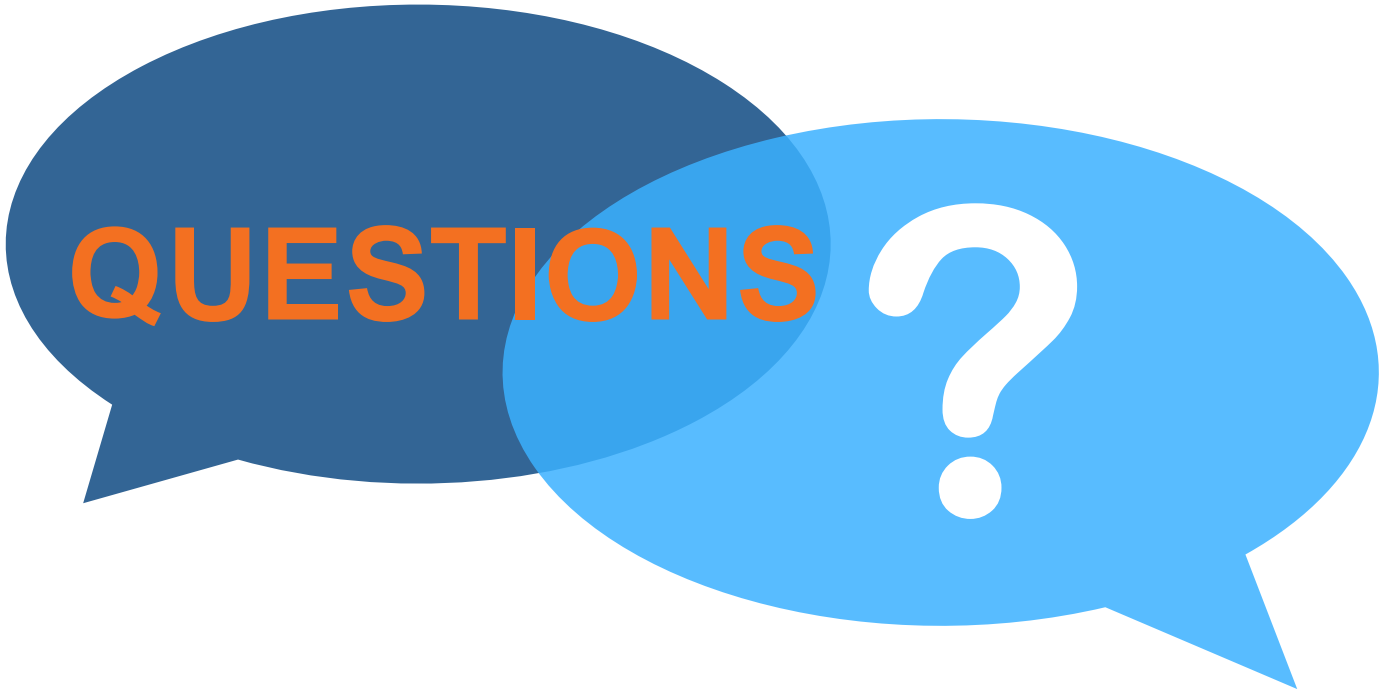
# EFOD: Differences vs. CC

	FILING OF DIFFERENCES	COMPLETION OF CC
MANDATE	<ul style="list-style-type: none"><li>● Article 38 of the Convention</li><li>● Assembly Resolutions</li></ul>	MOUs signed between a Member State and ICAO
INDICATION OF LEVEL OF IMPLEMENTATION	<ul style="list-style-type: none"><li>● Standards (Mandatory)</li><li>● Recommended Practices (urged)</li></ul>	<ul style="list-style-type: none"><li>● Standards (Mandatory)</li><li>● Recommended Practices (Mandatory)</li></ul>
INFORMATION REQUIRED	<ul style="list-style-type: none"><li>● Difference category</li><li>● Description of the difference</li><li>● Reasons for difference</li></ul>	<ul style="list-style-type: none"><li>● Difference category</li><li>● Description of the difference</li><li>● Reasons for difference</li><li>● Reference to corresponding national regulation</li></ul>

# EFOD: Access control

1. State nominates **N**ational **C**ontinuous **M**onitoring **C**oordinator (**NCMC**);
2. ICAO grants user account(s) to NCMC(s);
3. NCMC(s) manage user accounts for their State including issuing of additional user accounts and deactivating of invalid user accounts;
4. FAL access to EFOD through NCMC.







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Thank You