



ICAO SECURITY & FACILITATION

FACILITATION REGIONAL IMPLEMENTATION SEMINAR

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ELECTRONIC FILING OF DIFFERENCES (EFOD) SYSTEM: BACKGROUND & INTRODUCTION

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OVERVIEW OF EFOD PRESENTATIONS

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



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OVERVIEW

Compliance Issues with regard to Annex 9

Background & Introduction to EFOD

ICAO's Role in Maintaining the EFOD System

States' Role in Making Entries into the EFOD System



- 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)



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.



- 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)**



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Introduction

EFOD:

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

It 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



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



USERS OF EFOD

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**.



ICAO's ROLE

AS A DATA PROVIDER

READ/WRITE to Annex Information
(i.e. enter information on amended SARPs)

AS A DATA CONSUMER

READ-only to Annex information

(Validated compliance/differences information)

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



STATES' ROLE

AS A DATA PROVIDER

READ/WRITE to compliance/difference information to an Annex of that State

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)

AS A DATA CONSUMER

READ-only to Annex information of own State

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



Differences V. CC

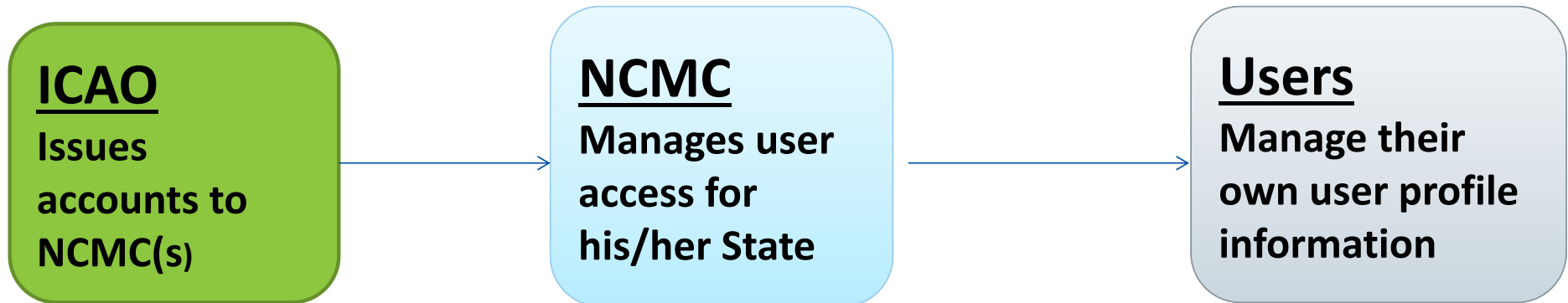
FILING OF DIFFERENCES vs. COMPLETION OF CC

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



Access Control

1. State nominates National Continuous Monitoring Coordinator (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





THANK YOU!

QUESTIONS?