ICAO

INTERNATIONAL CIVIL AVIATION ORGANIZATION

A UN SPECIALIZED AGENCY

Regional USOAP Continuous Monitoring Approach (CMA) Workshop

Module 7

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

ICAO

Module Objective

The objective of this module is to provide information ICAO Compliance Checklist (CC) and the Electronic Filing of Differences (EFOD).

Outline

- ☑ Understand the concept of ICAO CC/EFOD
- ☑ Comprehend the importance of States notifying differences
- ☑ Determine which noncompliance require notification
- ☑ Evaluate the implementation status within the EFOD
- ☑ Analyse the Compliance Checklist and related documentation

What is the CC/EFOD?

- **Compliance Checklist (CC)** is a web-based checklist used by States to provide information on level of implementation with the relevant Annexes.

- **Electronic Filing of Differences (EFOD)** is a web-based tool that allows States to notify differences information and facilitates the sharing of information between States through ICAO.

State Responsibility – Notify Differences

In accordance with Article 38 of the Chicago Convention, States must notify ICAO at all times (or at any time) if it:

- does not comply with a Standard in all respects;
- does not bring its regulations or practices into full accord with any Standard;
- adopts regulations or practices differing in any particular respect from the Standard.

Notifications are maintained until the State achieves full compliance with the SARPs, at which point the compliance status shall be modified to “No Difference”.

What Should be Notified?

1) **Standards**
   - SARPs are adopted by the Council in accordance with Articles 37, 54 and 90 of the Chicago Convention and are designated, for convenience, as **Annexes** to the Convention.
   - ICAO Doc (guidance material) when referred to or incorporated by reference within the Annexes.
2) **Recommended Practices**
   - Although differences from Recommended Practices are not notifiable under Article 38 of the Convention, States have been urged to do so by the Assembly (Doc 10055).
   - States may institute a policy to comply or not with Recommended Practices.

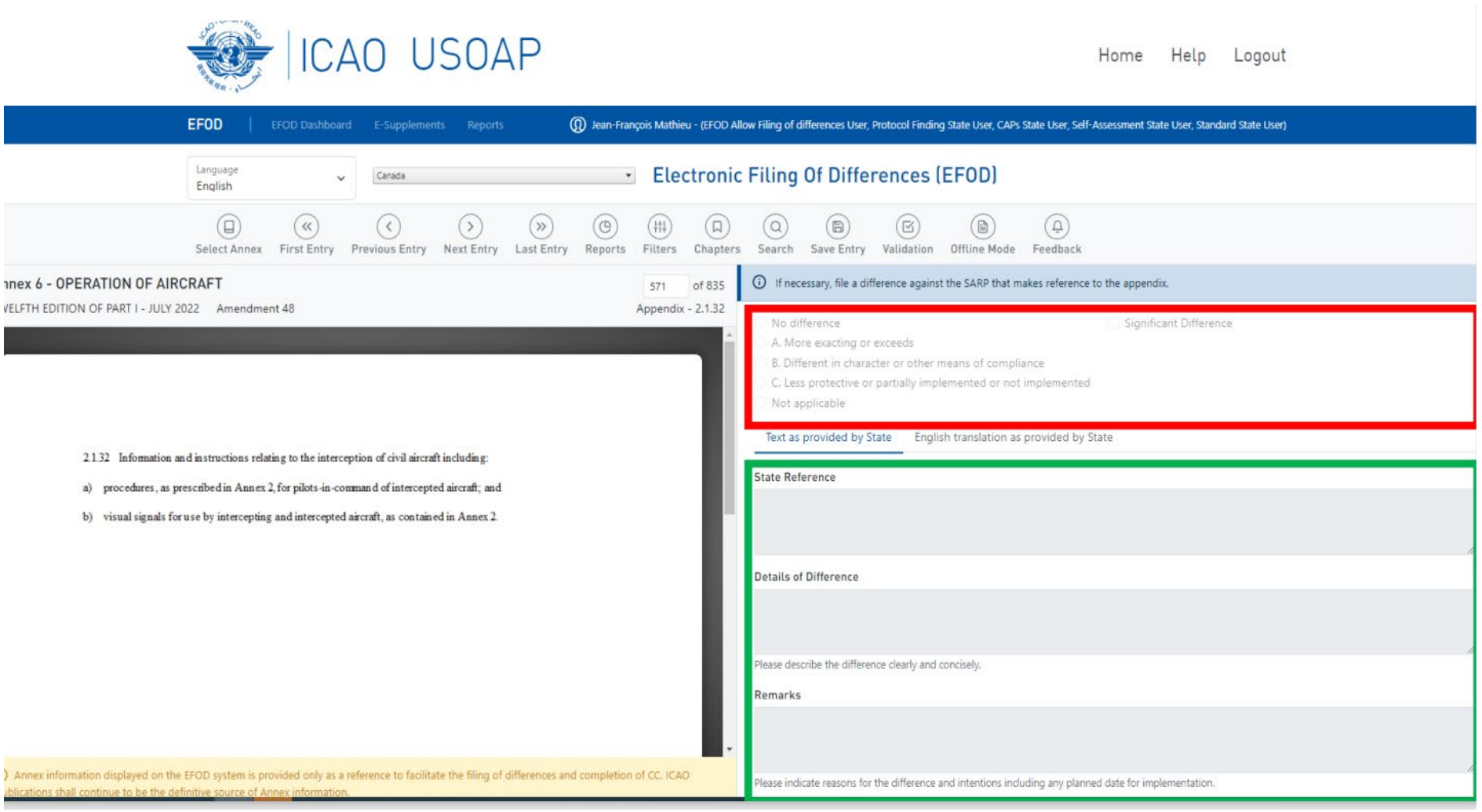
What Should be Notified? *(cont'd)*

4) **Appendices:** The notification of differences therefore applies to appendices. To file a difference against an appendix, States should file a difference against the SARPs that references the Appendix.
5) **Definitions:** Differences against definitions should be notified. Once a difference against a definition has been notified, differences against the SARPs using that definition should be notified as well.
6) **Tables and figures:** The notification of differences therefore applies to such tables and figures. To file a difference against a table or figure, States should file a difference against the SARP that references the table or figure.

Purposes and benefits of notifying differences

- Promote safety, efficiency and regularity in air navigation by ensuring that all stakeholders concerned with international civil aviation are aware of all national rules and practices insofar as they differ from those prescribed in SARPs.
- Therefore, lack of information on differences creates uncertainty and poses a potential hazard to the safety, regularity and efficiency of air navigation.

CC/EFOD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nnex 6 - OPERATION OF AIRCRAFT
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VELFTH EDITION OF PART I - JULY 2022
Amendment 48
Appendix - 2.1.32
If necessary, file a difference against the SARP that makes reference to the appendix.
No difference
Significant 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
2.1.32 Information and instructions relating to the interception of civil aircraft including:
a) procedures, as prescribed in Annex 2, for pilots-in-command of intercepted aircraft; and
b) visual signals for use by intercepting and intercepted aircraft, as contained in Annex 2.
Text as provided by State
English translation as provided by State
State Reference
Details of Difference
Please describe the difference clearly and concisely.
Remarks
Please indicate reasons for the difference and intentions including any planned date for implementation.
Annex information displayed on the EFOD system is provided only as a reference to facilitate the filing of differences and completion of CC. ICAO
ublications shall continue to be the definitive source of Annex information.

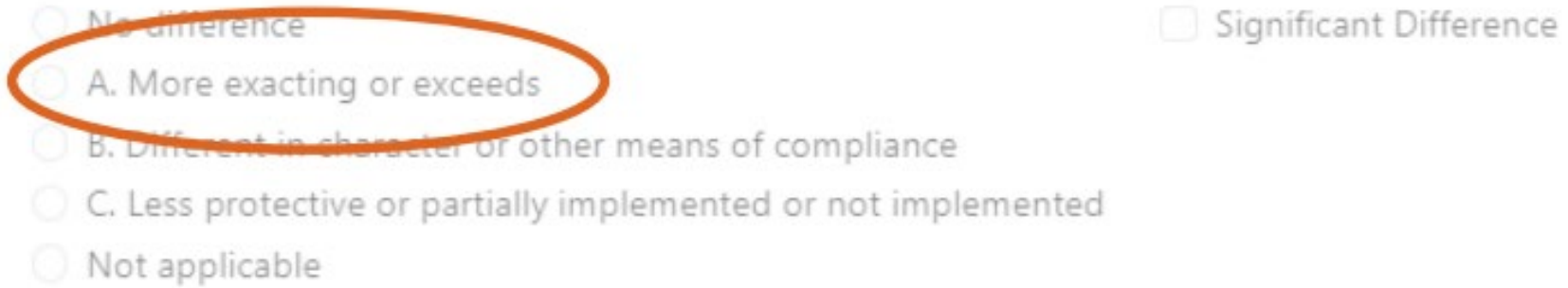
CC/EFOD – Status of Implementation

- ○ 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

No Difference

- Means that the State fully complies with a specific SARP;
- Compliance with a SARP generally includes:
  - Establishment:
    - Issuance of national regulations
    - Issuance of national guidance material
  - Implementation:
    - Provisions of facilities
    - Personnel and equipment
    - Enforcement mechanisms
    - Guidance material on the implementation of regulations

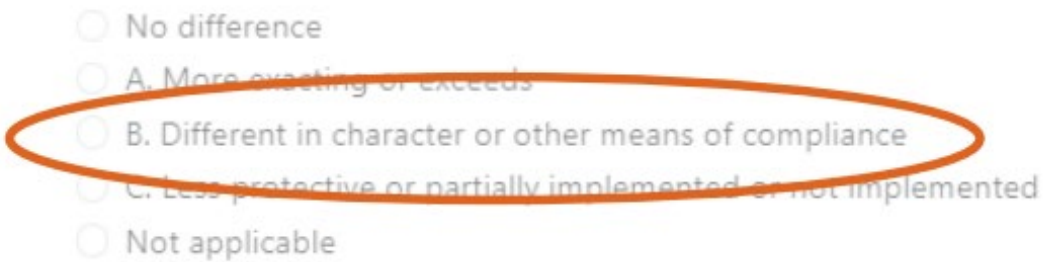
Description of Differences – Category A



Category A: More Exacting or Exceeds

This category applies when the national regulation and practices are more demanding than the corresponding SARP or impose an obligation within the scope of the Annex which is not covered by the SARP. This is of particular importance where a State requires a higher standard which affects the operation of aircraft of other Contracting States in and above its territory.

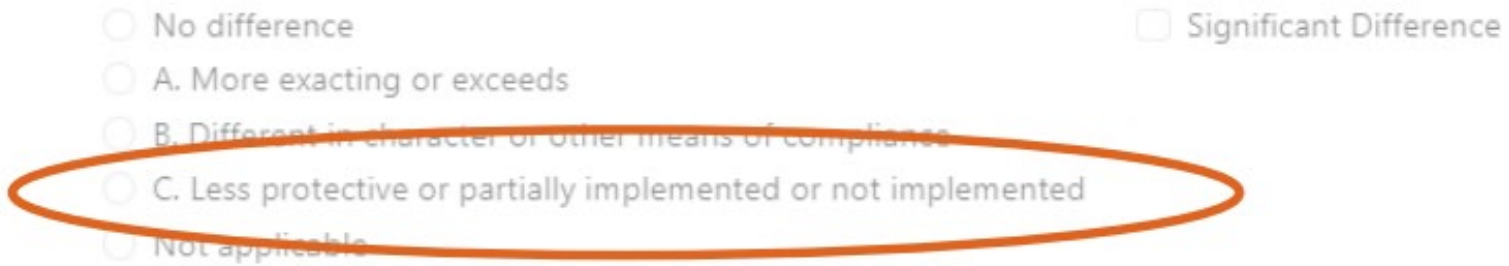
Description of Differences – Category B



Category B: Different in Character or Other Means of Compliance

This category applies when national regulation and practices are different in character from the corresponding SARP, or when the national regulation and practices differ in principle, type or system from the corresponding SARP, without necessarily imposing an additional obligation.

Description of Differences – Category C

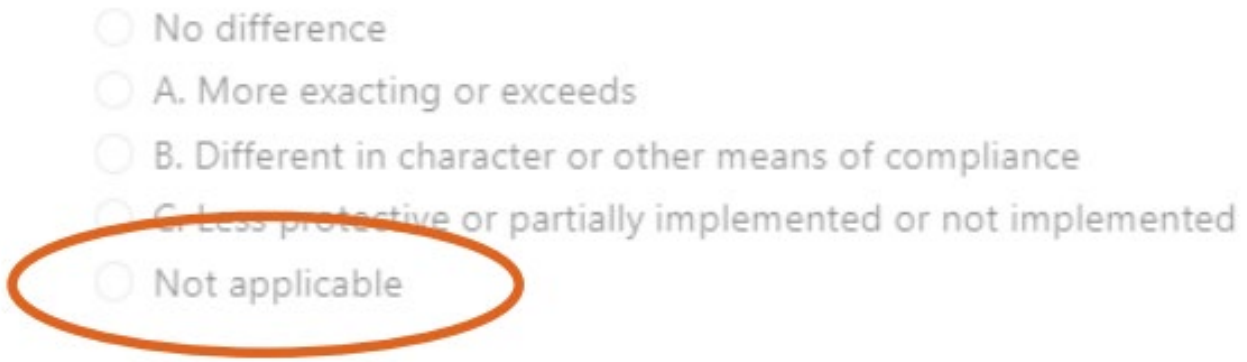


Category C: Less Protective or Partially Implemented/Not Implemented

This category applies when the national regulation and practices are less protective than the corresponding SARP; when no national regulation has been promulgated to address the corresponding SARP, in whole or in part; or when the State has failed to bring its practices into full accord with the corresponding SARP.

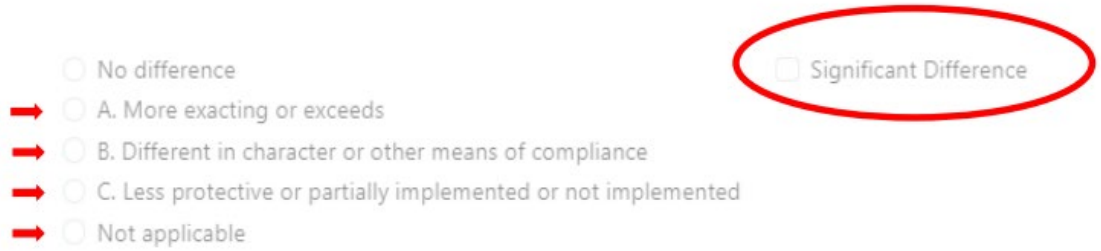
Not Applicable

Where a SARPs does not apply to the State's national civil aviation system.



Significant Difference

- According to Doc 8126, any deviation from provisions that needs to be considered for aircraft operations should constitute a “significant difference” and be published in the Aeronautical Information Publication (AIP).
- The purpose of the publication of significant differences in the AIP is, primarily, to provide flight crews, and other stakeholders, with information which is essential to international operations, and which is not readily available.
- Differences in Categories A, B, and C, as well as the designation 'Not Applicable,' may constitute a Significant Difference.

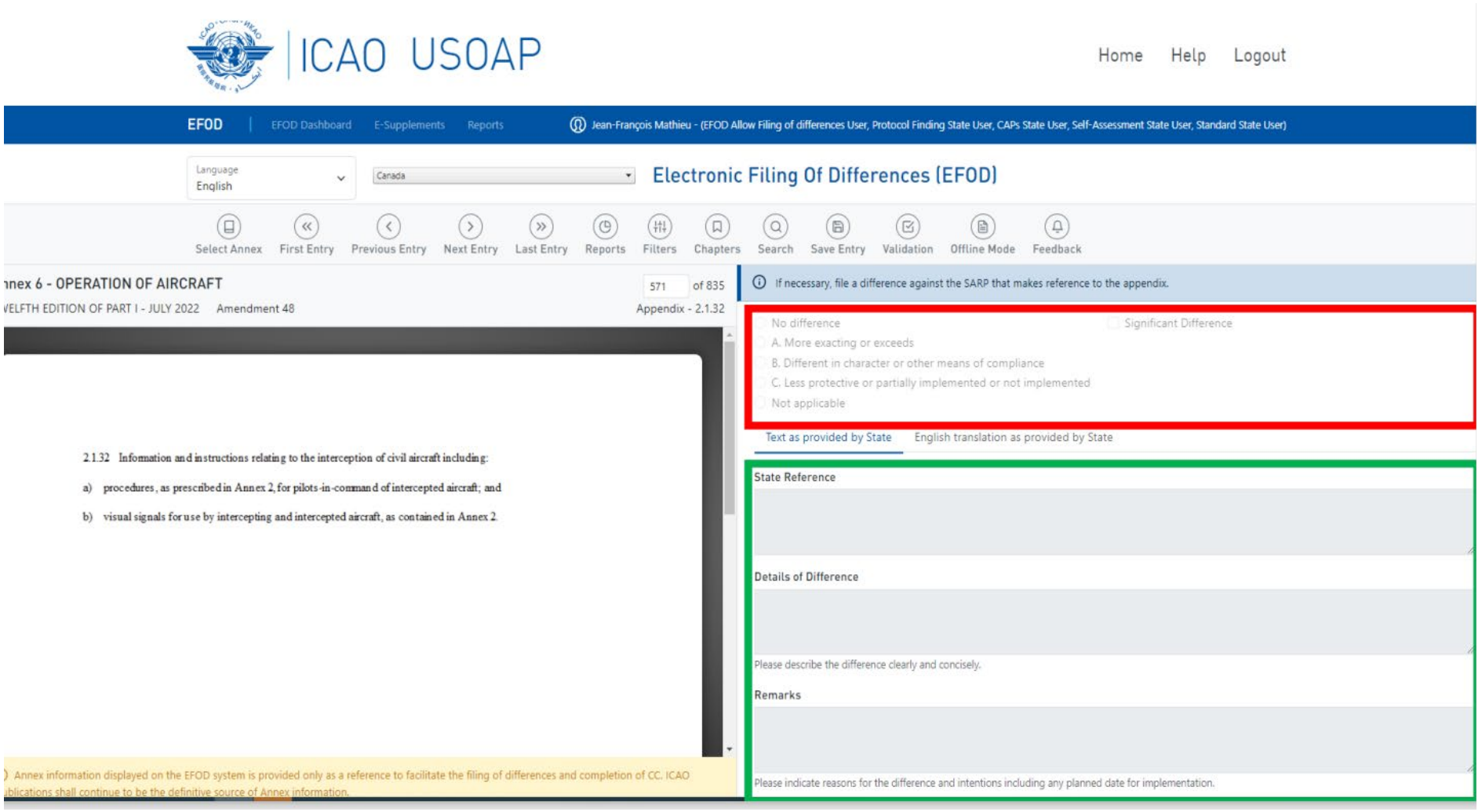


Significant Difference *(cont'd)*

These are instances that a State might consider as a significant difference from an ICAO Standard or PANS. These examples do **not** represent an exhaustive list:

- directly affects how and whether an aircraft may be operated in all or part of the State's Domestic Airspace;
- changes how a separation minimum from the PANS-ATM is applied;
- affects how an operator would determine whether a specific route, procedure or aerodrome was suitable for their aircraft and/or intended operations;
- affects the meaning or availability of published aeronautical information and/or meteorological reports;
- affects the meaning or availability of information or reports that could be provided to flight crews by ATS personnel;
- affects the meaning of aircraft capabilities and/or limitations as indicated in certification/registry documents issued by the State; and
- affects the meaning of qualifications, privileges and/or restrictions as indicated in aviation personnel licences issued by the State.

CC/EFOD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CC/EFOD Text Provided by the State

State Reference

Details of Difference

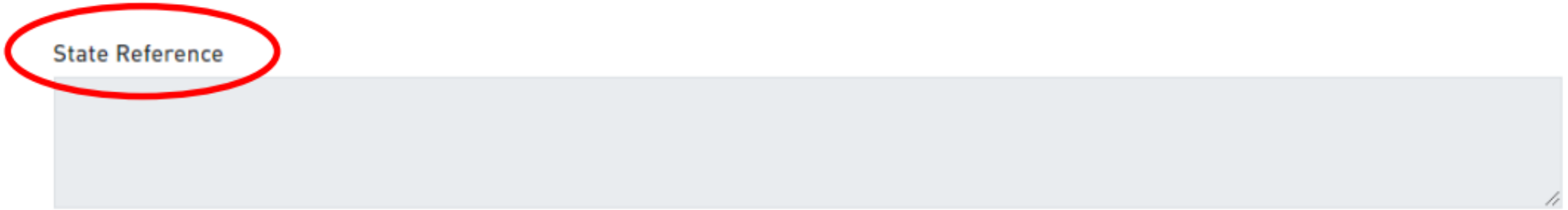
Please describe the difference clearly and concisely.

Remarks

Please indicate reasons for the difference and intentions including any planned date for implementation.

State Reference

- In situations where a State is partially or in full compliance with the SARP, specific references to the applicable State regulatory provisions and guidance material should be provided.
- In situations where a State is not in compliance at all with the SARP, ‘NIL’ or ‘No Difference’ should be indicated.



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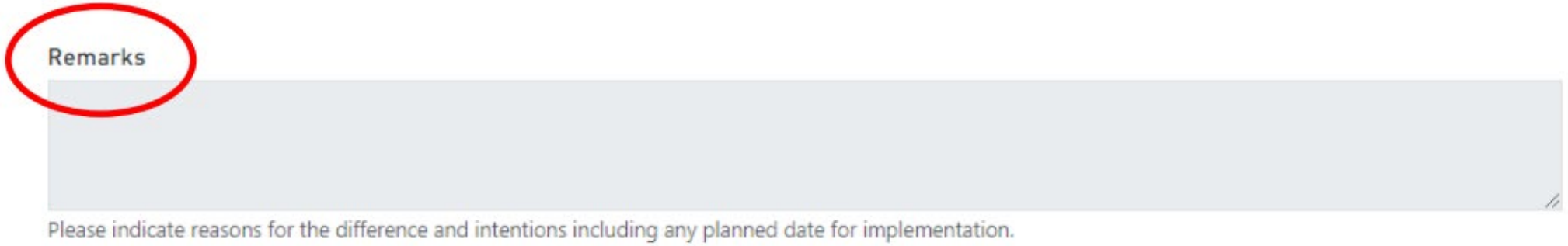
- In situations where a State is not in compliance at all with the SARP, ‘NIL’ or ‘No Difference’ should be indicated.

Remarks

- Intentions for future compliance and any date by which a State plans to confirm compliance with and remove its difference from the SARP for which the difference has been notified;
- In situations where a State is in full compliance with the SARP, 'NIL' should be indicated.



Important Point on CC/EFOD

State's CC/EFOD must provide an accurate representation of its level of implementation and clearly delineate any differences in the related SARPs corresponding to each ICAO finding.

Example – No Difference

Annex 7

Aircraft Nationality and Registration Marks

5. MEASUREMENTS OF NATIONALITY, COMMON AND REGISTRATION MARKS

5.2 Heavier-than-air aircraft

5.2.1 Wings. The height of the marks on the wings of heavier-than-air aircraft shall be at least 50 centimetres.

Example – No Difference *(cont'd)*

CAR Part II
Subpart 2 — Aircraft Marking and Registration
Division I — Aircraft Marks

Requirements for Marks on Aircraft
202.01 (1) Subject to subsection (2), no person shall operate an aircraft in Canada unless its marks are visible and are displayed

(a) in the case of a Canadian aircraft, in accordance with the requirements of the *Aircraft Marking and Registration Standards*;

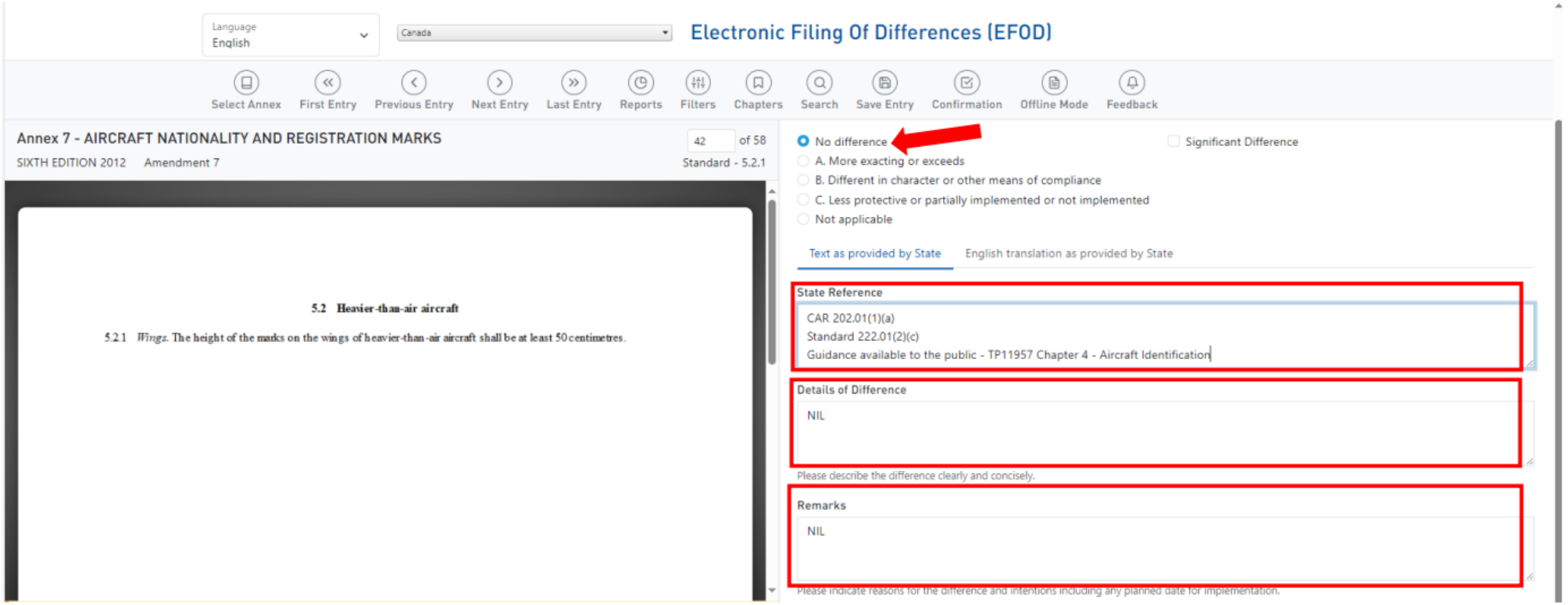
Standard 222 - Aircraft Marking and Registration - Canadian Aviation Regulations (CARs)

222.01 Specifications for Marks

Specifications for the Letters in the Marks Displayed on Aircraft
(2) The letters in the marks displayed on an aircraft shall meet the following specifications:

...(c) the height of each letter in the marks displayed on the bottom surface of a wing of a heavier-than-air aircraft shall be not less than 50 cm (19.68 inches);

Example – No Difference *(cont'd)*



Example – More Exacting or Exceeds (Category A)

Annex 1 – Personnel Licensing – Standard 4.2.1.1

4.2 Aircraft maintenance (technician/engineer/mechanic)

Note.— The terms in brackets are given as acceptable additions to the title of the licence. Each Contracting State is expected to use in its own regulations the one it prefers.

4.2.1 Requirements for the issue of the licence

4.2.1.1 *Age*

The applicant shall be not less than 18 years of age.

Example – More Exacting or Exceeds (Category A) *(cont'd)*

Issuance and Endorsement of AME Licence

403.03 Subject to section 6.71 of the Act, the Minister shall, on receipt of an application submitted in the form and manner specified in Chapter 566 of the *Airworthiness Manual*, issue an aircraft maintenance engineer (AME) licence to the applicant or endorse the applicant's AME licence with a rating, where the applicant provides documentation to the Minister that establishes

(a) the applicant's citizenship; and

(b) that the applicant meets the requirements set out in Chapter 566 of the *Airworthiness Manual* in respect of

(i) minimum age,

(ii) training,

(iii) knowledge,

(iv) experience, and

(v) skill.

566.03 Issuance and Endorsement of an AME Licence

(1) Applications shall be submitted on Form 24-0083, available upon request from any Transport Canada Center (TCC). All copies of the application form shall be submitted to the appropriate TCC. An application shall remain valid for 12 months from the date it is accepted by Transport Canada (TC).

(2) The application shall be accompanied by the applicable charge set forth in CAR 104, which is non-refundable.

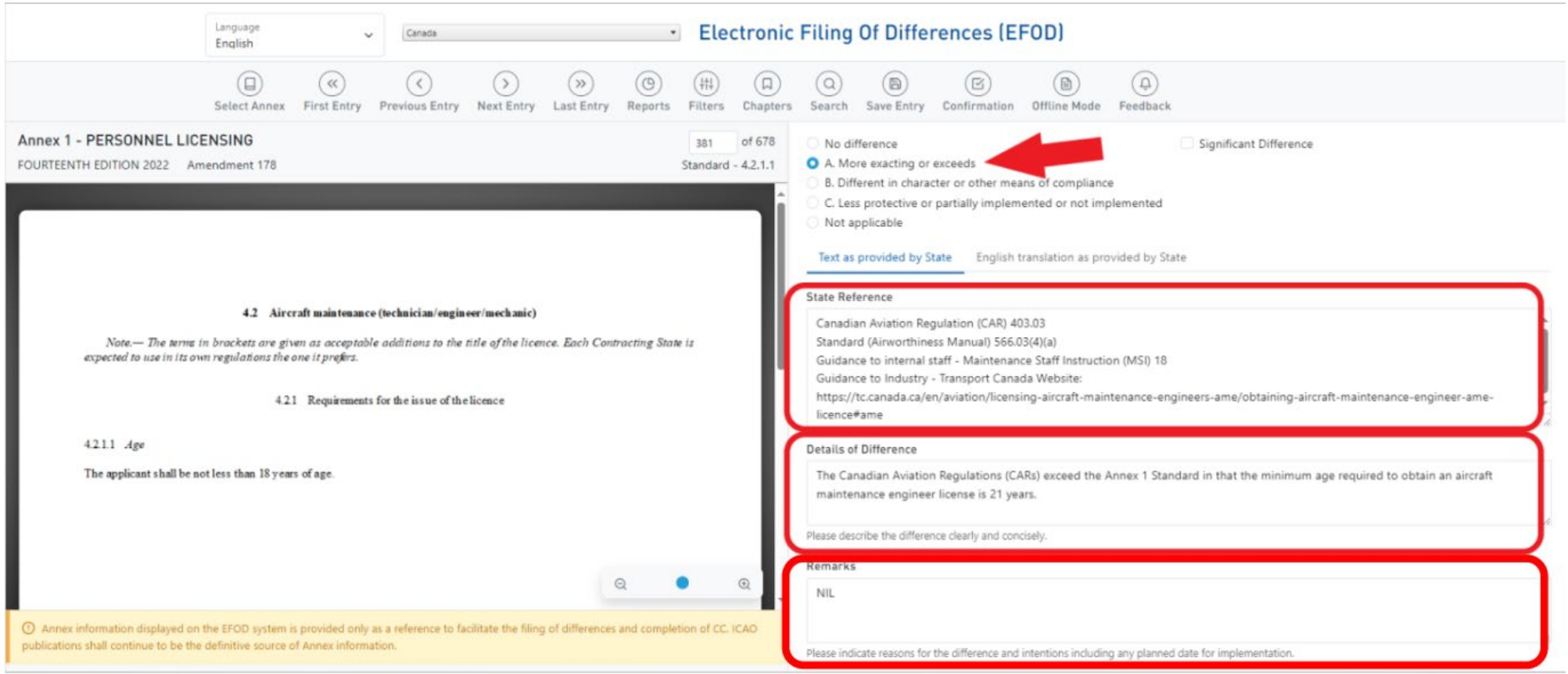
(3) Supporting documents to the application, such as the applicant's personal log book or other original record of training and experience, shall either be original documents, or be certified as true copies of the originals by the holder of a valid AME licence or a Transport Canada Civil Aviation Safety Inspector (CASI). Documents may not be in abbreviated or coded form and shall be in either English or French. Translation from other languages shall be the applicant's responsibility.

(4) Applicants shall include proof of age, training, knowledge, experience and skill as follows:

(a) **Age**.

Prior to licence issue, the applicant shall have attained the age of 21 years. All applications submitted by mail shall be accompanied by proof of age as provided herein. Applicants appearing at the TCC in person may also be requested to provide proof of age where, in the opinion of the CASI responsible for handling the application, the applicant is not clearly over the age of 21. As proof of age, the following documents are acceptable:

Example – More Exacting or Exceeds (Category A) *(cont'd)*



Example – Different in character or other means of compliance (Category B)

Annex 1 – Personnel Licensing – Standard 4.2.1.7

4.2.1.7 Air operator certificates and their associated operations specifications first issued from 20 November 2008 shall follow the layouts of Appendix 6, paragraphs 2 and 3.

2. AOC TEMPLATE

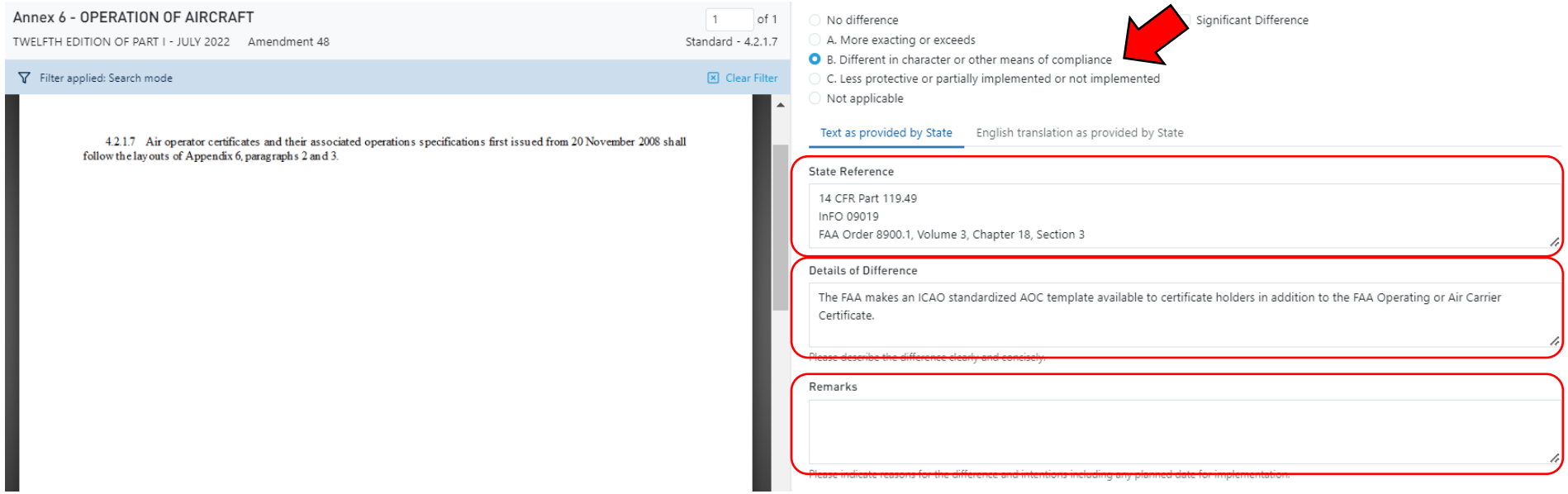
Note.— Chapter 6, 6.1.2, requires a certified true copy of the AOC to be carried aboard.

AIR OPERATOR CERTIFICATE		
[1]	**STATE OF THE OPERATOR[2]**	[1]
	ISSUING AUTHORITY[3]	
AOC #[4]: Expiry date[5]:	**OPERATOR NAME[6]** Dba trading name[7]: Operator address[8]: Telephone[9]: Fax: Email:	**OPERATIONAL POINTS OF CONTACT[10]** Contact details, at which operational management can be contacted without undue delay, are listed in _____[11].
This certificate certifies that _____[12] is authorized to perform commercial air operations, as defined in the attached operations specifications, in accordance with the operations manual and the _____[13].		
Date of issue[14]:	Name and signature[15]: Title:	

Notes.—

1. *For use of the State of the Operator.*
2. *Replace by the name of the State of the Operator.*
3. *Replace by the identification of the issuing authority of the State of the Operator.*
4. *Unique AOC number, as issued by the State of the Operator.*
5. *Date after which the AOC ceases to be valid (dd-mm-yyyy).*
6. *Replace by the operator's registered name.*
7. *Operator's trading name, if different. Insert "dba" before the trading name (for "doing business as").*

Example – Different in character or other means of compliance (Category B) *(cont'd)*



Example – Less Protective or partially implemented or not implemented (Category C)

Annex 6 – Operation of Aircraft

Part I — International Commercial Air Transport — Aeroplanes

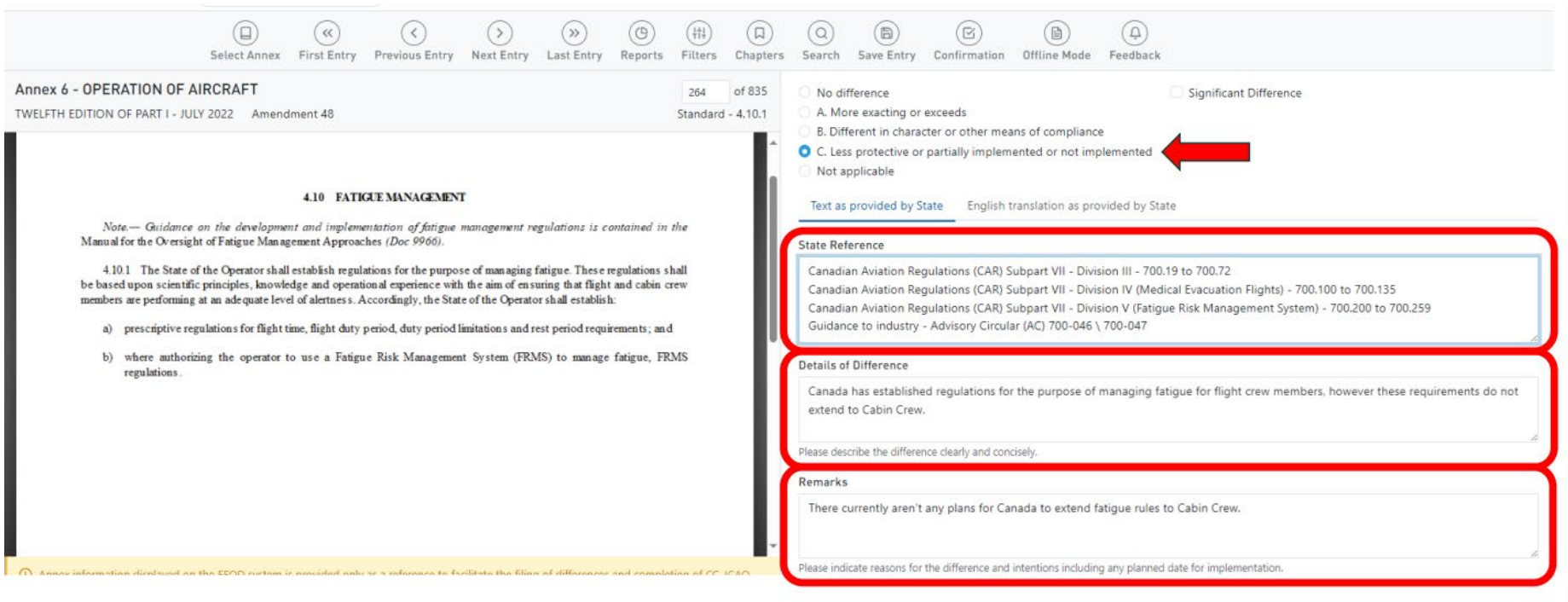
4.10 FATIGUE MANAGEMENT

4.10.1 The State of the Operator shall establish regulations for the purpose of managing fatigue. These regulations shall be based upon scientific principles, knowledge and operational experience with the aim of ensuring that flight and cabin crew members are performing at an adequate level of alertness. Accordingly, the State of the Operator shall establish:

a) prescriptive regulations for flight time, flight duty period, duty period limitations and rest period requirements; and

b) where authorizing the operator to use a Fatigue Risk Management System (FRMS) to manage fatigue, FRMS regulations.

Example – Less Protective or partially implemented or not implemented (Category C)
(cont'd)



Example – Not Applicable

Annex 1 – Personnel Licensing

2.11 General rules concerning remote pilot licences and ratings

Note.— The provisions of Chapter 2, Subsection B are for international IFR operations of RPAS.

2.11.1 General licensing specifications

2.11.1.1 A person shall not act either as remote pilot-in-command or as remote co-pilot of an RPA in any of the following RPA categories unless that person is the holder of a remote pilot licence issued in accordance with the provisions of this chapter:

- aeroplane
- airship
- Glider
- Rotorcraft
- powered-lift
- free balloon

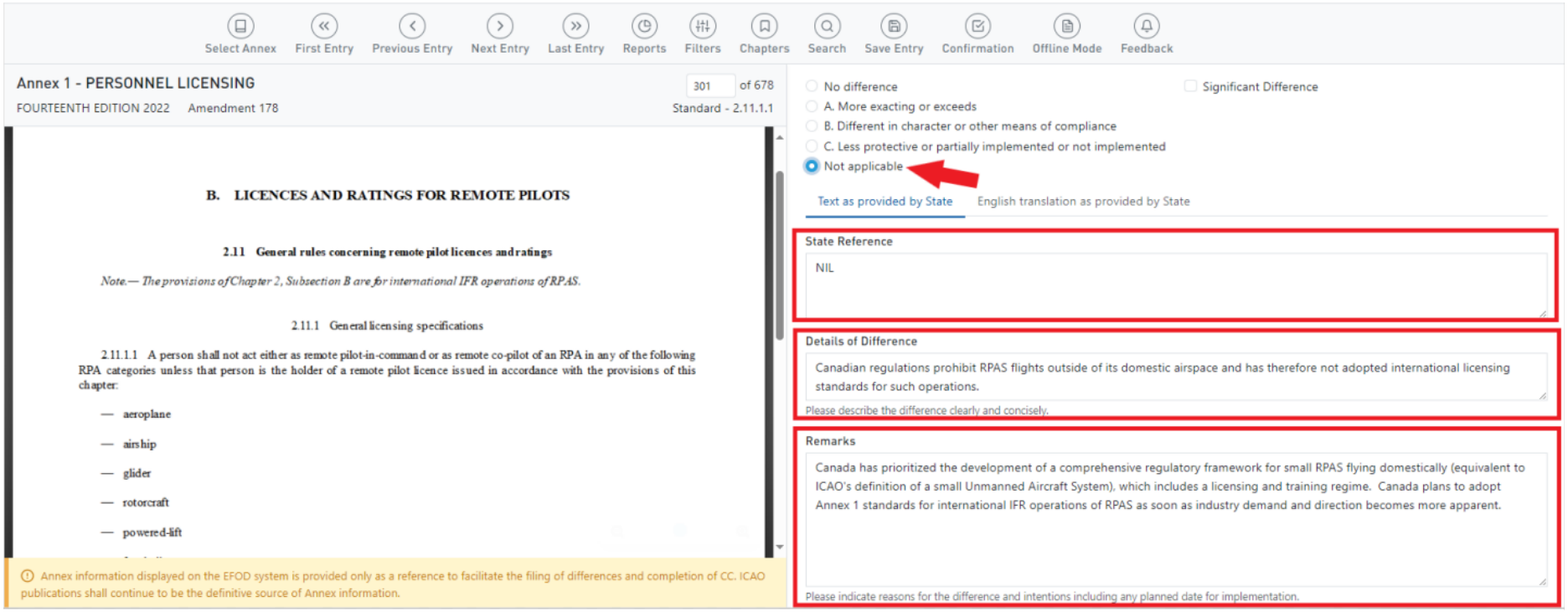
Example – Not Applicable *(cont'd)*

Prohibition — Canadian Domestic Airspace

901.13 No pilot operating a remotely piloted aircraft shall cause the aircraft to leave Canadian Domestic Airspace.

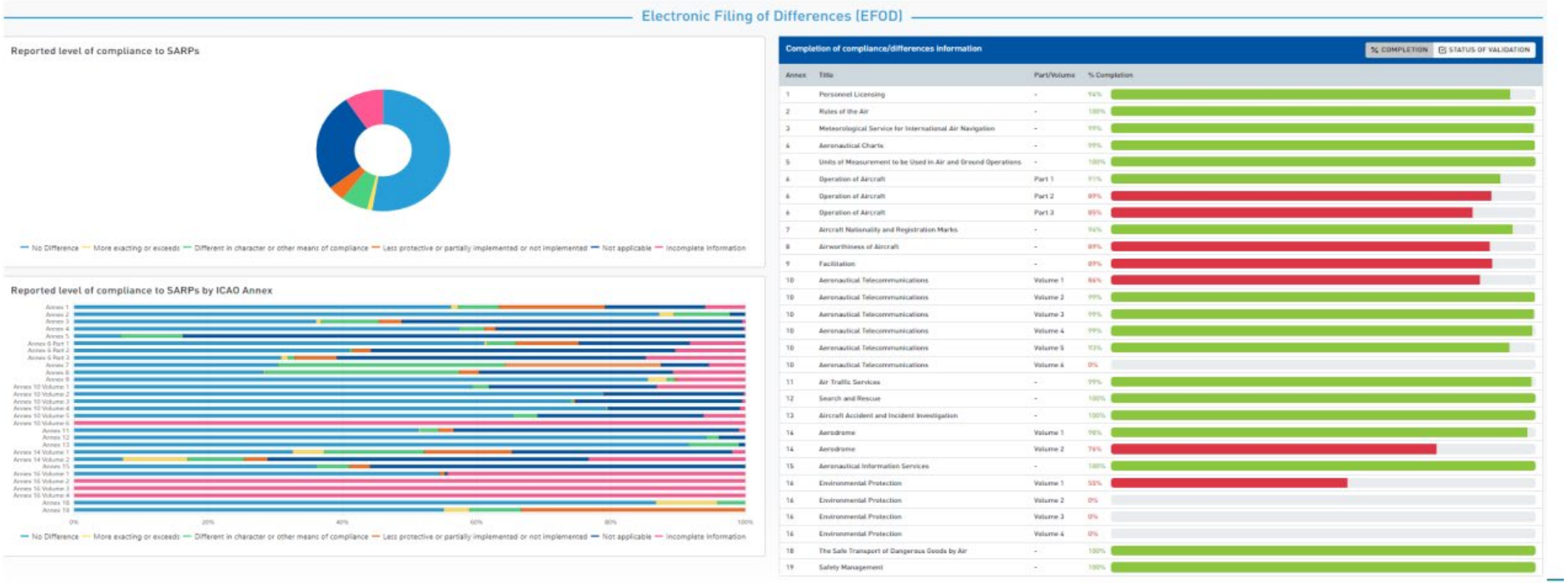
Seeing as RPAS are prohibited from flying outside Canadian airspace, the certification of pilots operating RPAS internationally in IFR conditions do not apply.

Example – Not Applicable *(cont'd)*



State Dashboard – SARP Compliance

The State Dashboard on the OLF depicts a State's level of compliance by ICAO Annexes. There are over 12,000 SARPs.



Review

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- ☑ Comprehend the importance of States notifying differences
- ☑ Determine which noncompliance require notification
- ☑ Evaluate the implementation status within the EFOD
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Thank You!

ICAO