



International Civil Aviation Organization

## WORKING PAPER

A42-WP/4  
EX/1  
10/4/25

### ASSEMBLY — 42ND SESSION

#### EXECUTIVE COMMITTEE

#### Agenda Item 14: Audit Programmes – Continuous Monitoring Approach

#### IMPLEMENTATION OF THE ICAO CONTINUOUS MONITORING APPROACH (CMA) SAFETY AND SECURITY AUDIT PROGRAMMES

(Presented by the Council of ICAO)

##### EXECUTIVE SUMMARY

This working paper presents a consolidated progress report since the 41st Session of the Assembly on the implementation and activities of the ICAO Universal Safety Oversight Audit Programme (USOAP) and the Universal Security Audit Programme (USAP), which are both operating under a Continuous Monitoring Approach (CMA).

Detailed information on the activities and developments of the USOAP CMA and USAP CMA during the triennium period of 2022 to 2024 are presented in Appendices A and B, respectively.

**Action:** The Assembly is invited to:

- note the progress reports on the implementation and activities of the ICAO audit programmes;
- urge States to continue with their full engagement in the ICAO audit programmes, while supporting their development;
- urge States to avoid requesting postponement or cancellation of their audits without a compelling reason to do so, due to the negative impact of such requests on the implementation of the ICAO audit programmes; and
- encourage States to continue contributing financial and in-kind resources for the successful operation of the ICAO audit programmes, including with the long-term secondment of qualified experts, and supporting these programmes through their participation in relevant training courses and seminars.

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| <i>Strategic Goals:</i>        | This working paper relates to <i>Every Flight is Safe and Secure</i> ; and <i>Aviation Delivers Seamless, Accessible and Reliable Mobility for All</i> .     |
| <i>Financial implications:</i> | The activities referred to in this paper will be subject to the resources available in the 2026-2027-2028 Regular Budget and extra budgetary contributions.  |
| <i>References:</i>             | C-WP/15605, Revision No. 1, Corrigendum No. 1 and Corrigendum No. 2 (French only)<br>C/WP/15576<br>C-DEC 233/9<br>C-DEC 232/4<br>State letter SA 42/1-24/108 |

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|  | <p>Doc 10184, <i>Assembly Resolutions in Force (as of 7 October 2022)</i></p> <p>Doc 10160, <i>Report of the High-level Conference on COVID-19</i></p> <p>Doc 10183, <i>Assembly 41st Session — Executive Committee. Report</i></p> <p>Doc 10186, <i>Assembly 41st Session — Technical Commission Report</i></p> <p>Doc 10209, <i>Report of the Fourteenth Air Navigation Conference</i></p> <p>Doc 9807, <i>Universal Security Audit Programme Continuous Monitoring Manual</i></p> <p>Doc 9735, <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i></p> <p>A42-WP/5, <i>Evolution of the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA)</i></p> <p>A41-WP/7, <i>Implementation of the ICAO Continuous Monitoring Approach (CMA) Audit Programmes</i></p> |
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## 1. BACKGROUND

1.1 Launched in 1999, the Universal Safety Oversight Audit Programme (USOAP) transitioned to a Continuous Monitoring Approach (CMA) in January 2013, incorporating a more evidence-based, risk-informed and result-oriented programme to determine, on a universal basis, the effectiveness and sustainability of States' safety oversight systems and the effectiveness of States in implementing their State safety programmes (SSPs). To mark the 25th Anniversary of the USOAP CMA, an analysis on the impact of the programme on aviation safety is provided in Appendix A, section 6.5. To progress the USOAP CMA evolution, the ICAO Assembly, during its 41st Session, agreed that ICAO implement the recommendations of the Ad hoc USOAP Advisory Group (USOAP-AG), as approved by the Council, and the relevant recommendations in the *Report of the High-level Conference on COVID-19* (Doc 10160) (Doc 10183, *Assembly 41st Session — Executive Committee Report*, paragraph 15.4 refers).

1.2 The Universal Security Audit Programme (USAP), launched in 2002, has been implementing a risk-based CMA since 2015. During its 39th Session, the ICAO Assembly (Assembly Resolution A39-18, Appendix E refers), requested the Secretariat to review the scope and methodology of the USAP, in consultation with Member States, to ensure that it provides reliable information regarding the effective implementation of aviation security measures on the ground, and that the methodology takes into consideration a risk-based approach for the implementation of aviation security measures. Since then, the ICAO Secretariat has been working closely with the Secretariat Study Group on the USAP-CMA (SSG), to identify and implement actions for the continuous improvement of the programme. This collaborative approach was supported by the Assembly at its 41st Session (Assembly Resolution A41-18: *Consolidated statement on continuing ICAO policies related to aviation security*, Appendix D, paragraph 5 refers).

1.3 This paper provides a consolidated progress report on the implementation and activities of both the USOAP CMA and USAP CMA since the 41st Session of the Assembly and presents a high-level overview of the proposed evolution of the ICAO audit programmes over the next triennium and beyond. Detailed information on the USOAP CMA and USAP CMA activities and developments in the triennium period of 2022 to 2024 are outlined in Appendices A and B<sup>1</sup>. The critical areas identified by both audit programmes are presented in Appendices C and D.

<sup>1</sup> The reporting period includes the full years from 2022 to 2024.

## 2. DISCUSSION

### 2.1 Implementation of the USOAP CMA

2.1.1 From 1 January 2022 to 31 December 2024, the USOAP CMA conducted a total of 97 USOAP CMA activities. Appendix A outlines these activities, which includes audits, ICAO Coordinated Validation Missions (ICVMs), off-site validation activities, mandatory information requests (MIRs), State Safety Programme Implementation Assessments (SSPIAs) and workshops. Ten activities were postponed upon States' request<sup>2</sup>. At the end of the reporting period, the States' global average effective implementation (EI) was 67.71 per cent. The audit areas with the lowest levels of EI are aircraft accident and incident investigation (AIG) (56.05 per cent) and aerodromes and ground aids (AGA) (66.38 per cent), while the Critical Element (CE) with the lowest level of EI are resolution of safety issues (CE-8) ( 57.14 per cent), surveillance obligations (CE-7) (63.07 per cent) and qualified technical personnel (CE-4) (63.21 per cent). ICAO identified eleven significant safety concerns (SSCs) and five SSCs identified by ICAO were resolved. As of 31 December 2024, nine<sup>3</sup> SSCs remain unresolved affecting six States<sup>4</sup>. In this period, ICAO deployed the MIR mechanism to request information or documentation from four States for USOAP CMA review and validation, which have been closed satisfactorily. ICAO has a variety of implementation support initiatives as well as global and regional plans aimed at supporting States in addressing deficiencies identified by the USOAP CMA.

2.1.2 The Secretariat executed the streams of work to manage the evolution of the USOAP CMA as described in Appendix A. The streams of work that lead the evolution of the USOAP CMA are: a) USOAP sustainability and improvements; b) recommendations of the Group of Experts for a USOAP CMA Structured Review (GEUSR); c) recommendations of USOAP AG; and d) recommendations of the High-level Conference on COVID-19 (HLCC). All recommendations of expert groups were approved by the Council and subsequently endorsed by the Assembly.

2.1.3 Canada, China, Dominican Republic, France, Republic of Korea, Saudi Arabia, Singapore, the United States and the European Union Aviation Safety Agency (EASA) continue to support the efforts of the USOAP CMA through the provision of long-term secondments, contributing to the successful operation and evolution of the programme. ICAO highly appreciates the support of all 31 States<sup>5</sup> and EASA that contributed with short-term secondments to the USOAP roster.

2.1.4 In this period, the USOAP CMA enhanced the Online Framework (OLF)<sup>6</sup> capabilities by developing new tools and updates including new managers of data and information. Additional tools to

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<sup>2</sup> States that required the deferral of audits are identified on the Electronic Bulletin published twice a year.

<sup>3</sup> Unresolved eight SSCs were identified in 2022-2024 and one SSC identified from 2018.

<sup>4</sup> ICAO identified SSCs in Bhutan, Democratic Republic of the Congo, Ecuador, Liberia, Russian Federation and Zimbabwe.

<sup>5</sup> Argentina, Australia, Botswana, Brazil, Cameroon, Canada, Chad, China, Dominican Republic, France, Georgia, Greece, India, Jordan, Kenya, Martinique, Mauritania, Morocco, Namibia, Oman, Panama, Qatar, Republic of Korea, San Marino, Saudi Arabia, Singapore, South Africa, Thailand, Togo, United Kingdom and United States of America.

<sup>6</sup> The Online Framework (OLF) was launched in 2013 as a web-based platform to enable interactive participation of States in continuous monitoring activities. During the reporting year, the OLF provided the services to:

- ICAO USOAP manager – monitoring/audit States
- ICAO Universal Security Oversight Audit Programme (USAP) manager – monitoring/audit States
- ICAO RSOO and RAO Assessment Programme (RRAP) manager – monitoring/audit of Regional Safety Oversight Organizations
- UN World Food Programme Aviation Activities manager – evaluation of WFP aviation activities
- ICAO State Aviation Activity Questionnaire (SAAQ) manager – monitoring aviation activity of States
- ICAO Electronic Filing of Differences (EFOD) manager – States' filing of differences against SARPs
- ICAO Annex Manager –amendments tracking/tagging CC/SARPs/PANS/GM
- ICAO USOAP prioritization manager –internal and external indicators for prioritization of States for USOAP activities
- ICAO USOAP/USAP planning manager – planning and scheduling of auditing activities.

support USOAP activities are available in the OLF, such as the USOAP State profile (application aiming at bringing analysis on how States are engaging with the USOAP CMA) and the USOAP CMA Community <https://www.usoap-community.icao.int/> (application designed to create an environment for interaction amongst technical experts on the USOAP CMA). The OLF was updated to provide data directly to other ICAO initiatives, such as iSTARS, the ICAO Data Service, and the Global Aviation Safety Plan (GASP) dashboards to ensure data consistency.

## **2.2 Implementation of the USAP CMA**

2.2.1 From 1 January 2022 to 31 December 2024, a total of 114 USAP CMA activities were conducted. Appendix B provides an overview of these activities conducted during the reporting period, which include on-site and documentation-based audits, validation missions, regional seminars, auditor training courses, and online auditor technical training sessions. 34 activities were postponed upon States' request. The graphs in Appendix B highlight the global sustainability of States' oversight systems (level of implementation of the critical elements), as well as their compliance with Annex 17 Standards, as assessed by the USAP CMA. At the end of the reporting period, the Global Sustainability Indicator stood at 72.01 per cent. Within the sustainability indicator, the CEs with the lowest level of effective implementation are CE-7, quality control obligations (55.60 per cent), CE-8, resolution of security concerns (62.41 per cent) and CE-6, approval and certification obligations (64.62 per cent). For the same period, the Global Annex 17 compliance indicator stood at 70.65 per cent.

2.2.2 During the reporting period, ICAO identified ten significant security concerns (SSeCs) and four SSeCs identified by ICAO were resolved. As of 31 December 2024, 24 SSeCs remain unresolved affecting 11 States, and these were posted on the USAP secure portal. Furthermore, 17 preliminary SSeCs were mitigated by States prior to publication on the USAP secure portal.

2.2.3 During the reporting period, multiple refinements and improvements were made to the programme, to make it more responsive to the needs of Member States and increase the accuracy of the audit results. The ICAO Secretariat finalized the implementation of the 26 recommendations made by the SSG and endorsed by the 40th session of ICAO Assembly. The SSG continues to meet at least once per year, or as required, to provide additional recommendations to ICAO on how to improve the USAP CMA as part of the Organization's commitment to continuous improvement. As part of this process, a change in methodology was introduced regarding the calculation of compliance with Annex 17 Standards. Modified compliance graphs have since been posted on the USAP secure portal to better reflect States' compliance, and their efforts to implement Annex 17 Standards. A summary of these and other improvements is presented in Appendix B.

## **2.3 Fit-for-purpose ICAO audit programmes and common challenges**

2.3.1 In pursuit of ICAO's Transformational Objective, the ICAO Secretariat is identifying areas where the two audit programmes can be more resource-efficient and forward thinking, including through improved cooperation in the development of software tools and information sharing. This initiative is aligned with the long-term ICAO Strategic Plan and triennial Business Plans, building on the Council's decision to include the USOAP and USAP evolution and engagement on the list of Priority Focus Areas. The aim of this initiative is to maximize synergies and collaboration to enable the evolution of the monitoring and auditing functions of ICAO. This initiative supports the Organization's goals for the ICAO audit programmes.

2.3.2 Both audit programmes (USOAP and USAP) continue to face major challenges with the postponement of scheduled audits by Member States. Despite the early notification in June of the audit schedule for the following year, many deferral requests were received very late, creating challenges to

schedule an audit of another State with adequate time for preparation. As a result, planned audit activities often had to be cancelled, resulting in a reduced number of audits conducted for each year and impacting ICAO's ability to measure sustainability and compliance in a timely manner. Furthermore, these requests affect the risk-based prioritization of audit activities and impact the workload of team members, the conduct of planned on-the-job training activities, travel costs and the equitable regional distribution of activities. This triennium, approximately 30 per cent of USAP audits were subject to a request for postponement by States.

### 3. CONCLUSION

3.1 ICAO's audit programmes play a vital role in providing objective and independent assessments of Member States' capacity for aviation safety and security oversight as well as the sustainability of their systems. This can only be achieved with the continued engagement of States in their processes, which demonstrates the global aviation community's commitment to continued improvement and full implementation of ICAO Standards and Recommended Practices (SARPs). Over time, these programmes have become more dependent on extra-budgetary voluntary financial and in-kind contributions for their full and effective implementation and sustainability.

3.2 ICAO audit programmes deliver much-needed recommendations to guide States in their efforts to improve safety and security oversight systems and compliance with ICAO provisions. In addition, the ICAO audit programmes also provide ICAO, Member States and other stakeholders with information to help in the targeting of capacity-development and implementation support activities, and the improvement of aviation policies. Moreover, they continue to play a central role in the identification and mitigation of significant deficiencies that pose risks to international civil aviation. Nevertheless, the results of both audit programmes demonstrate that States continue to experience difficulties in meeting their obligations under the *Convention on International Civil Aviation* and its Annexes, necessitating continued monitoring and assistance from ICAO and its partners.

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## APPENDIX A

### DETAILED INFORMATION ON DEVELOPMENTS AND USOAP CMA ACTIVITIES IN THE REPORTING PERIOD 2022 TO 2024

The USOAP CMA had multiple developments resulting from the execution of its streams of work that aim at streamlining and improving the USOAP CMA's processes, methodologies, tools and outcomes.

#### 1. USOAP SUSTAINABILITY AND IMPROVEMENTS STREAM

1.1 Executing its risk-reduction strategy, the programme continued to address or mitigate risks associated with its execution. ICAO released the fifth edition of the *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735) including updates from the implementation of the recommendations of the GEUSR, the ad hoc USOAP Advisory Group (USOAP-AG) and the High-level Conference on COVID-19 (HLCC) and organizational improvements. USOAP workshops conducted in all ICAO regions have served to communicate the changes to Doc 9735 to Member States and receive feedback on this update. These workshops besides providing updates on Doc 9735 also helps to increase the number of needed auditors in the USOAP roster.

1.2 Communication within ICAO, as well as with Member States and partners continued to be a priority for the programme. Newsletters and updates on the evolution of the USOAP CMA were issued regularly and are available on ICAO's public website ([www.icao.int/safety/CMAForum/Pages/usoap-cma-newsletters.aspx](http://www.icao.int/safety/CMAForum/Pages/usoap-cma-newsletters.aspx)). ICAO conducted an information session on the USOAP CMA evolution during the Fourteenth Air Navigation Conference (AN-Conf/14) providing an update on the progress on the evolution of the programme and the engagement of States in its processes. The session is available on ICAOTV at [Day 1 - Information session 2 - AN-CONF/14 - ICAO TV](#).

1.3 Sharing of information between ICAO Headquarters and its Regional Offices continued through regular meetings to support the prioritization of Member States for USOAP CMA activities and other associated tasks. ICAO also conducted regular exchanges with its partners<sup>1</sup> on USOAP monitoring activities that enabled the coordination of activities and strengthening of synergies to minimize burden on States on potential duplicated activities and contributed to the prioritization process.

1.4 As the entity responsible for the execution of the USOAP CMA, the Monitoring, Analysis and Coordination (MAC)<sup>2</sup> branch of the Air Navigation Bureau (ANB) underwent internal and external audits of its quality management system in accordance with the ISO 9001:2015 (Quality Management) Standard. The established Running Action Item List (RAIL), which captures organizational challenges to the operations of the USOAP CMA, entered 10 actions in the 2022 to 2024 period to track and address issues, and implemented 22 corrective measures (Some from 2019-2022); 8 actions remain outstanding. Data collected by ICAO through the USOAP CMA Quality Management System (QMS) indicated an overall satisfaction rate of 94 per cent from States that provided feedback on CMA activities conducted, which represents an improvement of 7.9 per cent compared to last triennium.

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<sup>1</sup> The United States, the European Union Aviation Safety Agency (EASA) and the European Commission.

<sup>2</sup> MO transformed into Monitoring, Analysis and Coordination (MAC) in 2023.

## 2. GROUP OF EXPERTS FOR A USOAP CMA STRUCTURED REVIEW (GEUSR)

2.1 Most recommendations stemming from the Group of Experts for a USOAP CMA Structured Review (GEUSR) were completed during the prior triennium from 2019 to 2021. The remaining recommendation was completed<sup>3</sup> in the reporting period and an effectiveness review was conducted.

## 3. USOAP-AG STREAM

3.1 Out of the 42 Recommendations resulting from the ad hoc USOAP CMA Advisory Group (USOAP-AG), 27 were closed with the actions indicated below. The USOAP-AG recommendations as agreed by the Council (C-DEC 225/6) are available in ICAO's public website<sup>4</sup> and aim at addressing duplication of efforts, finding synergies with ICAO partners to enhance the efficiency of the USOAP CMA, and support for its evolution with the aim of strengthening its global acceptance and results while abiding by the principles of, inter alia, independence, universality, standardization and transparency. The following table provides the actions taken to address the recommendations.

| No.                                                                                                                | Recommendation                                                                                                                                                                                 | Action taken                                                                                                                                                                                                                                                                                                                                                                                          |
|--------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Recommendations regarding data, information and intelligence in support of the USOAP CMA</b>                    |                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                       |
| A.4                                                                                                                | Map relevant stakeholder and industry audit/assessment programmes, including their specific outputs, to the applicable USOAP audit areas, critical elements and/or SSP components.             | The USOAP-AG implementation group completed this task in November 2024 leading to the implementation of recommendations A.5 and A.6.                                                                                                                                                                                                                                                                  |
| A.7                                                                                                                | Explore the possibility to develop and implement data bridging mechanisms to facilitate the use of relevant data from stakeholders or industry audit/assessment programmes into the USOAP CMA. | The Secretariat developed data-bridging mechanisms that can be established with relevant stakeholders or partners.                                                                                                                                                                                                                                                                                    |
| <b>Recommendations regarding the validation by USOAP of outputs from stakeholders' audit/assessment programmes</b> |                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                       |
| B.2                                                                                                                | Explore forms or mechanisms to enhance synergies between USOAP and stakeholders programmes with a view of reducing the burden on States while safeguarding the global acceptance of the USOAP. | Following two meetings of the proposed Aviation Information Sharing Mechanism <sup>5</sup> (October 2022 and June 2023), stakeholders raised legal and technical challenges to continue the proposed multilateral mechanism to enhance synergies among stakeholders. Stakeholders agreed to close this recommendation and maintain the current bilateral interactions to enhance synergies with ICAO. |
| B.3                                                                                                                | Regularly share or coordinate the USOAP Activity Plan with the schedules of stakeholders' audit/assessment programmes.                                                                         | ICAO regularly shares and coordinates the USOAP Activity Plan with stakeholders.                                                                                                                                                                                                                                                                                                                      |
| <b>Recommendations regarding coordination mechanism/consultation platform</b>                                      |                                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                       |
| C.1                                                                                                                | Consider the establishment of an internal coordination mechanism to facilitate the sharing of                                                                                                  | A procedure has been established within the periodic review of the USOAP CMA prioritization                                                                                                                                                                                                                                                                                                           |

<sup>3</sup> Recommendation 33 was concluded in early 2022 enhancing ICAO's responses to State feedback to the OLF, bug reports and enquiries by creating a Service Desk to the OLF applications.

<sup>4</sup> [www.icao.int/Meetings/a41/Documents/USOAP-AG%20recommendations%20as%20agreed%20by%20the%20Council.en.pdf](http://www.icao.int/Meetings/a41/Documents/USOAP-AG%20recommendations%20as%20agreed%20by%20the%20Council.en.pdf).

<sup>5</sup> Participants to the AISM are ICAO, States and regional safety oversight organizations, or any other international, regional or sub regional aviation organization operating audits, inspections, reviews, evaluations and/or assessments on the safety oversight, accident/incident investigation and safety management capabilities of States, with an agreement to share relevant information amongst all Participants.

| No.                                                                                                                     | Recommendation                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         | Action taken                                                                                                                                                                                                                                                                                                                                                                                             |
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|                                                                                                                         | data and information that may be useful for inter alia the monitoring of States under the USOAP CMA and the coordination amongst ICAO recognized industry assessment programmes.                                                                                                                                                                                                                                                                                                                                                                                                                       | process to coordinate the inputs of data and information available within ICAO but outside of the USOAP CMA as well as from ICAO partners.                                                                                                                                                                                                                                                               |
| C.2                                                                                                                     | Establish a consultation platform with selected States, stakeholders and industry partners to provide strategic and technical advice on a continuous basis for the evolution of the USOAP CMA to further enhance its efficiency and effectiveness. Consistent with its current governance model, the consultation platform may start specific initiatives and provide advice to the Secretariat related to the proposals on the evolution of the USOAP CMA to be presented to the Council for approval. Regular triennial reports to the Assembly and annual reports to the Council remain unaffected. | The consultation platform has been established and it is hosted within the USOAP CMA Community. The initiative was launched in two phases. In the first phase, launched in 2024, the ICAO Secretariat and Regional Offices received access to the USOAP Community. In the second phase, launched in 2025, States (National Continuous Monitoring Coordinators) were invited to join the USOAP Community. |
| <b>Recommendations addressed to manage requests for cancellations or postponements, including enhanced transparency</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                                                                                                          |
| D.1                                                                                                                     | Issue a State letter recalling States to abide by the Resolution A40-13 and the Council-approved MoU regarding the USOAP CMA and accept scheduled USOAP CMA activities contained in the USOAP Activity Plan that should also be communicated to States using a State letter.                                                                                                                                                                                                                                                                                                                           | EB 2024/26 addresses this recommendation.                                                                                                                                                                                                                                                                                                                                                                |
| D.2                                                                                                                     | Call on States to communicate a request for a postponement or cancellation to MO as soon as possible but no later than 120 days before the scheduled activity as published in the June edition of the USOAP Activity Plan. Unless exceptional circumstances arise, invite States to reimburse the non-recoverable costs incurred as a result of the postponement or cancellation if requested within 120 days of the scheduled activity. The consultation platform mentioned in Recommendation C.2 may contribute to the definition of exceptional circumstances.                                      | Doc 9735, Fifth Edition, paragraph 3.5.4.3 addresses this recommendation.                                                                                                                                                                                                                                                                                                                                |
| D.3                                                                                                                     | In parallel with the recommendation in item D.4 below, publish postponements or cancellations of the USOAP CMA activities and the associated reasons in the USOAP Activity Plan.                                                                                                                                                                                                                                                                                                                                                                                                                       | The USOAP Activity Plan, which is available only to ICAO Member States, contains cancellations and postponement with relevant reasons.                                                                                                                                                                                                                                                                   |
| D.4                                                                                                                     | Consider an escalating process to engage States requesting postponements or cancellations that may include the issuance of a mandatory information request (MIR) and a subsequent significant safety concern (SSC), if appropriate.                                                                                                                                                                                                                                                                                                                                                                    | Doc 9735, Fifth Edition, paragraphs 3.5.4.8 and 3.5.4.9 address this recommendation.                                                                                                                                                                                                                                                                                                                     |
| D.5                                                                                                                     | Develop detailed guidance material to address principles, effects, implications, calculation methods and alternatives to the Programme and States resulting in postponements and cancellations, as well as justified reasons and exceptional circumstances for a postponement or cancellation of an activity, and a mechanism to resolve disagreements between States and ICAO.                                                                                                                                                                                                                        | Doc 9735, Fifth Edition, paragraph 3.5.4.1, 3.5.4.2, 3.5.4.4 and Clause 31 of the MoU address these recommendations.                                                                                                                                                                                                                                                                                     |

| No.                                              | Recommendation                                                                                                                                                                                                                                                                         | Action taken                                                                                                                                                                                                                                                                                                     |
|--------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>Recommendations regarding human resources</b> |                                                                                                                                                                                                                                                                                        |                                                                                                                                                                                                                                                                                                                  |
| E.1                                              | Perform an analysis of activities conducted and resources available to ICAO, including Monitoring and Oversight (MO) and Regional Offices (RO) in order to identify needs, challenges, opportunities and possible solutions to execute the USOAP CMA.                                  | ICAO identified the human resources needed to evolve and execute the USOAP CMA.                                                                                                                                                                                                                                  |
| E.2                                              | Strive to sufficiently staff MO, including those resources in the ROs, to ensure the sustainability of the USOAP CMA.                                                                                                                                                                  | The 41st Session of the Assembly allocated a budget that partially funds the evolution and execution of the USOAP CMA. The ICAO Secretary General allocated additional funds in 2022 and the USOAP will request extra funding for the next triennium; the programme will seek and mobilize additional resources. |
| E.3                                              | Re-issue State letter AN 19/34-15/35 with a special emphasis on the areas and languages the programme requires at that point in time while highlighting that the CBT is provided free of charge to nominees that qualify according to the requirements in State letter AN 19/34-15/35. | SL 2024/80 addresses this recommendation.                                                                                                                                                                                                                                                                        |
| E.4                                              | Modify the section of “required qualifications and experience” in each attachment to State letter AN 19/34-15/35 to require “complete fluency both spoken and written in English, French or Spanish and working knowledge of English”.                                                 | SL 2024/80 addresses this recommendation.                                                                                                                                                                                                                                                                        |
| E.6                                              | Consider the principles contained in Doc 10070, Manual on the Competencies of Civil Aviation Safety Inspectors when re-issuing State letter 15/35.                                                                                                                                     | SL 2024/80 addresses this recommendation.                                                                                                                                                                                                                                                                        |
| E.7                                              | Promote the new State letter during high-level meetings or activities attended by senior officials.                                                                                                                                                                                    | SL 2024/80 promoted during the AN-Conf/14 and A42.                                                                                                                                                                                                                                                               |
| E.8                                              | Establish and implement a mechanism (e.g. online tool or database) for Member States to notify the availability of short-term secondments to serve as auditors/subject matter experts (SMEs) during USOAP CMA activities.                                                              | The USOAP launched a survey to identify the availability of experts in the roster.                                                                                                                                                                                                                               |
| E.9                                              | Provide States with detailed information in Doc 9735 addressing prioritization, planning and allocation of human resources to perform USOAP-CMA activities.                                                                                                                            | Doc 9735, Fifth Edition, section 3.5.2 addresses this recommendation.                                                                                                                                                                                                                                            |
| E.10                                             | Review the need for the current target requiring three auditors/SMEs in the roster (short-term secondments) per one audit area and per activity.                                                                                                                                       | A study is conducted on an annual basis to determine an ideal number of auditors in the roster for each planned year. An attainable and realistic number/range should be sought in the mid-term. Many factors affect the required number of auditors in the roster.                                              |
| E.11                                             | Explore the possibility of requesting States to engage their retired USOAP-qualified personnel to perform USOAP CMA activities as short-term secondments.                                                                                                                              | As a result of a survey conducted by the USOAP regarding the availability of USOAP experts, it was identified that three auditors will retire between 2024 and 2026. None of these experts are suitable to pursue this process. The programme will run the process again in 2027.                                |
| E.12                                             | Explore the expansion of the USOAP CMA designee programme with defined criteria to include                                                                                                                                                                                             | Designee programme already considers personnel from States and not only from ICAO.                                                                                                                                                                                                                               |

| No.  | Recommendation                                                                                                                                                                                                                                                                                       | Action taken                                                                                                                                                                                              |
|------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|      | former seconded State personnel with experience as USOAP CMA auditors/SMEs.                                                                                                                                                                                                                          |                                                                                                                                                                                                           |
| E.13 | Enhance the guidance as well as the training and qualification process by establishing and implementing a documented system to evaluate candidates, focusing on knowledge, skills, attitudes and experience.                                                                                         | Doc 9735, Fifth Edition, section 8.2 addresses this recommendation.                                                                                                                                       |
| E.14 | Enhance the training process by providing a classroom-style training that addresses both on-site and off-site activities and simulates at least one USOAP CMA activity. The training should include an assessment of the candidates before advancing to the final on-site assessment during the OJT. | The USOAP CMA developed the Auditors Preparation Course and provided its first session (virtual classroom) in 2022. In 2023, two Auditor Preparation Courses were conducted.                              |
| E.15 | Provide remote face-to-face training and incorporate recurrent training as part of periodic training plans.                                                                                                                                                                                          | The USOAP CMA provides this training on an ad hoc basis.                                                                                                                                                  |
| E.16 | Improve associated guidance addressing the preparation, conduct and reporting, including information on how to write findings, FAQs on frequently “difficult” or “problematic” PQs to provide better post-training reference materials.                                                              | The Auditor Preparation Course addressing this recommendation was launched in October 2022. The USOAP provided a corrective action plan (CAP) assessment workshop to regional officers in September 2022. |
| E.17 | Introduce a monitoring mechanism to evaluate auditor performance.                                                                                                                                                                                                                                    | The team leader reporting and the technical review serves as this mechanism.                                                                                                                              |

#### 4. HIGH-LEVEL CONFERENCE ON COVID-19 (HLCC) STREAM

4.1 The HLCC, held from 12 to 22 October 2021, recommended that ICAO inter alia integrate State safety programme implementation assessments (SSPIAs) with traditional USOAP CMA activities and noted the development of a data management framework (*High-level Conference on COVID-19 (Montréal, 12 to 22 October 2021). Report* (Doc 10160), Recommendation 5/2, c) and d)). The implementation of these recommendations was initiated in May 2022 and August 2023, respectively. Remaining recommendations related to the USOAP CMA were addressed by other streams of work.

4.2 By the end of 2023, seven separate SSPIAs had been conducted by the USOAP using the maturity levels. With this experience, the USOAP explored different options to integrate SSPIA with traditional USOAP CMA activities. As a result, an option to realize the integration has been identified and implemented. A set of new Protocol Questions (PQs) addressing SSP and safety management systems (SMS) were developed to fit in the existing audit PQs structure and topics. Performance-based aspects were reflected in the design of the SSP and SMS PQs as well as the guidance for review of the PQs. The new SSP and SMS PQs will be audited following the traditional “satisfactory” or “not-satisfactory” approach for consistency but will be based on States’ performance in implementation of SSP and SMS. The beta testing of the new methodology is planned for 2025. The applicability date of the SSP and SMS PQs will be determined based on the outcomes of the beta tests.

4.3 ICAO developed procedures on data management that addresses inter alia usage, management and protection of relevant USOAP data and information while supporting activities of Member States. These procedures are presented in A42-WP/5.

## 5. USOAP CMA ACTIVITIES FROM 2022 TO 2024

5.1 The table below provides details of USOAP CMA activities from 1 January 2022 to 31 December 2024. All activity results are available on the USOAP CMA OLF at: <https://www.icao.int/usoap>.

| Activity                      |                                                                                                                                                                                                          | Conducted<br>(listed in chronological order)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          | Comments                                                                                                                                                                                                           |
|-------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1. Auditing activities</b> |                                                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                    |
| 1.1                           | <b>USOAP CMA Audits</b>                                                                                                                                                                                  |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                    |
|                               | Determine the effectiveness of States' capabilities for safety oversight by assessing the effective implementation of the critical elements (CEs) of a State safety oversight system.                    | <p>2022: 10 audits were conducted in: The Republic of Moldova, Djibouti (in two parts), Colombia, Nepal, Liberia, Argentina, Albania, Iran (Islamic Republic of), Democratic Republic of the Congo (2022-2023), and Angola.</p> <p>2023: 11 audits were conducted in: South Africa, Uzbekistan, Canada, Sierra Leone, Papua New Guinea, Nigeria, Ecuador, Uganda, Kyrgyzstan, Belize, and Greece.</p> <p>2024: 15 audits were conducted in: Oman, Armenia, Mexico, Namibia, China, Viet Nam, Guyana, Botswana, the United States of America, Benin, Zambia, Türkiye, Panama, Guinea, and Hungary.</p> | Total number of USOAP CMA audits conducted during the triennium: 36                                                                                                                                                |
| 1.2                           | <b>Focused USOAP CMA Audits</b>                                                                                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                    |
|                               | Partial determination of the effectiveness of States' safety oversight system. Certain implementation CEs may also be determined during a Documentation-based Audit (DA), subject to certain conditions. | <p>2022: Three focused audits were conducted in: Singapore, Italy, and the United Kingdom.</p> <p>2023: Three focused audits were conducted: Brazil, Australia, and Czechia.</p> <p>2024: Nil.</p>                                                                                                                                                                                                                                                                                                                                                                                                    | Total number of focused audits conducted during the triennium: Six Priority PQ audit.                                                                                                                              |
| 1.3                           | <b>Mandatory Information Requests (MIRs)</b>                                                                                                                                                             |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                                                                                                                                                                                                                    |
|                               | Request information or documentation needed for USOAP CMA assessment and protocol question (PQ) determination.                                                                                           | <p>2022: two MIRs were issued.</p> <p>2023: one MIR was issued.</p> <p>2024: one MIR was issued.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                  | <p>Total number of MIRs conducted during the triennium: four.</p> <p>The processing of an MIR is considered as a USOAP CMA activity. If a report results from an MIR, this is considered an off-site activity.</p> |

| Activity                        | Conducted<br>(listed in chronological order)                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | Comments                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|---------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>2. Validation activities</b> |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 2.1                             | <b>ICAO Coordinated Validation Missions (ICVMs)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                                 | <p>Assess the status of corrective actions taken by the State to address previously identified findings and determine whether or not the State has satisfactorily resolved deficiencies, including Significant Safety Concerns (SSCs).</p> <p>2022: Four ICVMs were conducted in: OECS<sup>6</sup>, Azerbaijan, Botswana, and India.</p> <p>2023: Six ICVMs were conducted in: Argentina, Zimbabwe, Cambodia, Morocco, Oman, and OECS.</p> <p>2024: Five ICVMs were conducted in: Senegal, Pakistan, Armenia, Côte d'Ivoire, and Albania.</p>                                                                                                                                                                                                           | <p>Total number of ICVMs conducted during the triennium: 15</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 2.2                             | <b>Off-site Validation Activities (OVAs)</b>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                                 | <p>Assess information with supporting evidence to validate the status of corrective actions taken by the State to address previously identified findings and determine whether or not the State has satisfactorily resolved deficiencies.</p> <p>2022: 12 OVAs were conducted in: China<sup>1</sup>, the Russian Federation<sup>1</sup>, Bhutan<sup>1</sup>, Slovenia<sup>1</sup>, Australia<sup>1</sup>, the Philippines<sup>1</sup>, Seychelles<sup>1</sup>, Zimbabwe<sup>1</sup>, Luxembourg<sup>3</sup>, Myanmar<sup>1</sup>, Guinea<sup>1</sup>, and Paraguay<sup>1</sup>.</p> <p>2023: One OVA was conducted in Egypt<sup>1</sup>.</p> <p>2024: Three OVAs were conducted in: Rwanda<sup>1</sup>, Morocco<sup>2</sup> and Brazil<sup>2</sup>.</p> | <p>Total number of OVAs issued during the triennium: 16</p> <p><sup>1</sup> The information with supporting evidence for these OVAs were provided by the State concerned through the OLF. The information with supporting evidence were subsequently reviewed and validated by experts from the OAS Section.</p> <p><sup>2</sup> The information with supporting evidence for these OVAs were collected by ICAO staff and agreed to by the States. The information with supporting evidence were subsequently reviewed and validated by experts from the OAS Section.</p> <p><sup>3</sup> The information with supporting evidence for these OVAs were collected by experts from EASA, on behalf of ICAO, as part of an agreement between the two organizations and agreed to</p> |

<sup>6</sup> ICAO conducted ICVMs to the Eastern Caribbean Civil Aviation Authority (ECCAA), a regional safety oversight organization that performs delegated safety oversight responsibilities on behalf of the Organisation of Eastern Caribbean States (OECS) Member States, namely Antigua and Barbuda, Grenada, Saint Kitts and Nevis, Saint Lucia, and Saint Vincent and the Grenadines. Dominica is a member of OECS, and it became a member of ICAO on 13 April 2019. Dominica has signed the Memorandum of Understanding regarding the USOAP CMA on 7 February 2020

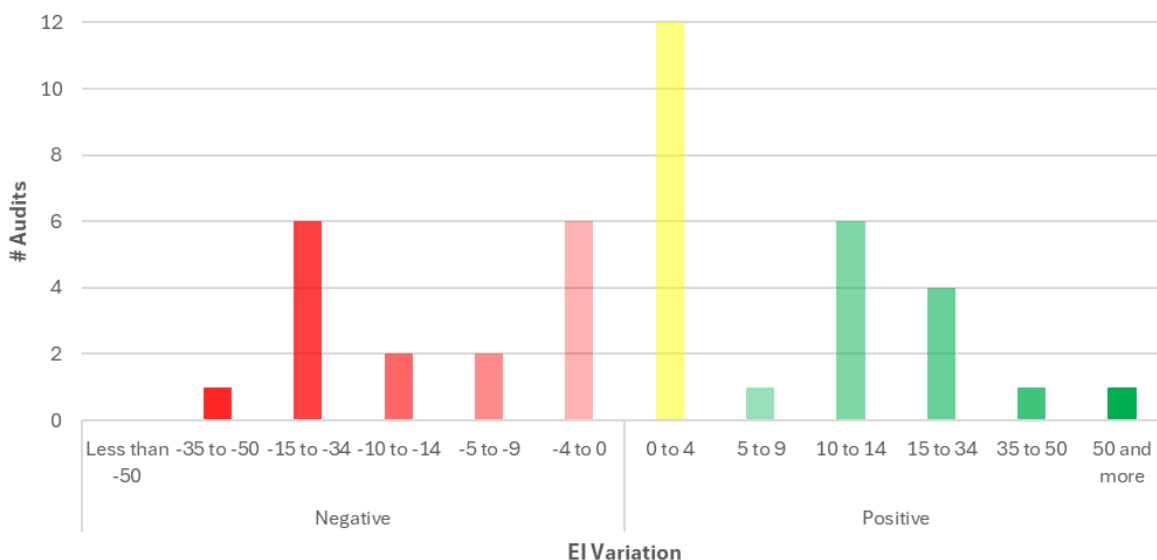
| Activity                        |                                                                                                                                                                               | Conducted<br>(listed in chronological order)                                                                                                                                                                                                                                                                                                                                      | Comments                                                                                                                                                                                                      |
|---------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
|                                 |                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                   | by the States. The information with supporting evidence were subsequently reviewed and validated by experts from the OAS Section.                                                                             |
| <b>3. Assessment activities</b> |                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                               |
| 3.1                             | <b><i>State Safety Programme Implementation Assessments (SSPIAs)</i></b>                                                                                                      |                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                               |
|                                 | Assess the maturity level of an SSP in a State.                                                                                                                               | <p>2022: three SSPIA were conducted in: Singapore, Italy and United Kingdom.</p> <p>2023: three SSPIA were conducted in: Brazil, Australia and Czechia.</p> <p>2024: SSPIA were suspended due to integration process.</p>                                                                                                                                                         | Total number of SSPIAs conducted during the triennium: Six.                                                                                                                                                   |
| <b>4. Training activities</b>   |                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                               |
| 4.1                             | <b><i>Training of Auditor and Subject Matter Expert Nominees</i></b>                                                                                                          |                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                               |
|                                 | Manage the selection of auditors and subject matter experts of the USOAP CMA.                                                                                                 | <p>65 on-the-job-training (OJT) opportunities to prospective candidates, over 32 USOAP activities.</p> <p>The USOAP CMA roster now includes a total of 114 qualified USOAP auditors and/or SMEs.</p>                                                                                                                                                                              | States and recognized organizations are called upon to nominate experts for secondment to ICAO as auditors and SMEs.                                                                                          |
| 4.2                             | <b><i>Familiarization Training for State Employees</i></b>                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                               |
|                                 | Provide training to States' National Continuous Monitoring Coordinators (NCMCs) and familiarize States' safety oversight employees with USOAP CMA methodology and activities. | Since the launch of the CBT in 2011, 1 672 participants from 116 States and 15 international/regional organizations have taken the CBT for NCMC and familiarization training.                                                                                                                                                                                                     | NCMC and familiarization training allows States to enhance the knowledge and competency of their aviation safety personnel regarding USOAP CMA, particularly in preparing for an upcoming USOAP CMA activity. |
| 4.3                             | <b><i>Workshops</i></b>                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                   |                                                                                                                                                                                                               |
|                                 | Assist States in their participation in USOAP CMA and, particularly, preparation for an upcoming USOAP CMA activity.                                                          | <p>14 workshops were conducted, with 490 participants from 150 States and 17 international/regional organizations.</p> <p>Seven regional workshops were budgeted and conducted by ICAO in the following regional offices: Lima, Mexico City, Cairo, Nairobi, Dakar, Paris Bangkok.</p> <p>Three workshops were conducted on a cost-recovery basis in the following (listed in</p> |                                                                                                                                                                                                               |

| Activity |  | Conducted<br>(listed in chronological order)                                 | Comments |
|----------|--|------------------------------------------------------------------------------|----------|
|          |  | chronological order): Indonesia, Republic of Korea and Republic of Tanzania. |          |

## 6. ANALYSIS SUMMARY

6.1 Since the inception of USOAP, 187 Member States have received a USOAP audit<sup>7</sup>. As of 31 December 2024, the average EI score at the global level was 67.71 per cent. Out of the 187 audited Member States, 133 have an EI of 60 per cent or higher.

6.2 The graph in Figure A-1 shows the EI variation of audits in a traffic light colouring scale. The highest concentration of cases of all groups is in 0 to 4 (yellow). The red bars show high frequencies in the subgroups with negative variations, followed by the light green ones, with a fewer number of cases. The average of positive variation is +11.16 (25 cases) while the negative is -16.98 (17 cases). This provides additional evidence on how negative results have more weight in the calculations.



**Figure A-1. EI variation in audits between 2022 to 2024**

<sup>7</sup> Dominica, Kiribati, Somalia, South Sudan, Tuvalu and Yemen have not yet been audited by ICAO. Afghanistan and Iraq have received documentation-based audits.

6.3 To celebrate 10 years of data under the CMA, ICAO is highlighting progress of Member States over a decade. The graph in Figure A-2 shows the progress achieved in the CEs of a safety oversight system within 10 years. The main increase in the 2014-2024 comparison can be observed in CE-4 (+14.7 per cent) and an average of +9.6 per cent (CE-1 to CE-5).

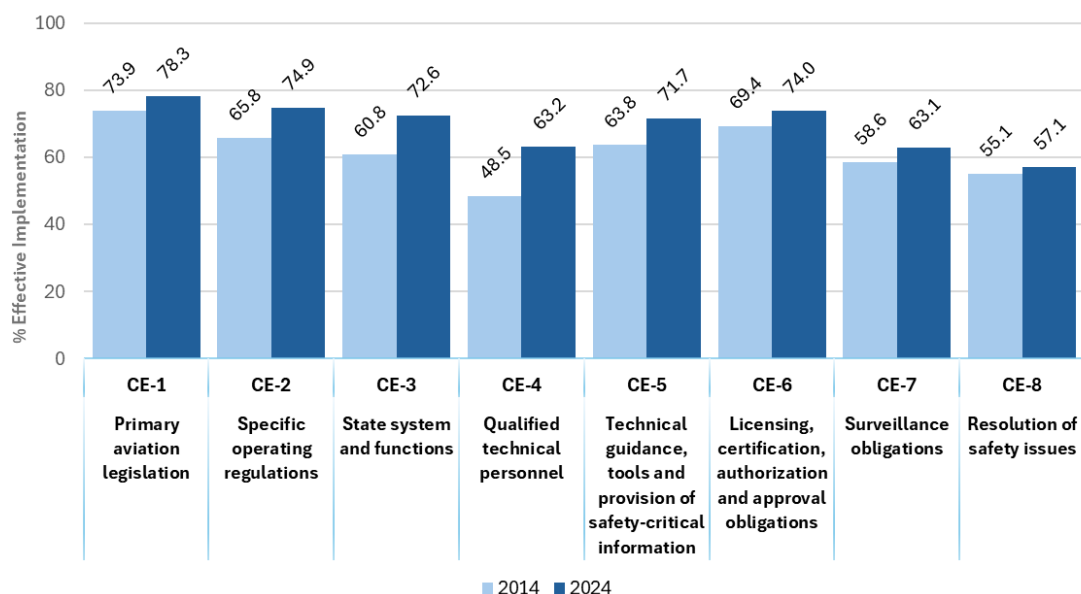


Figure A-2. Global level of EI comparison. 2014 and 2024 by Critical Element

6.4 The graph in Figure A-3 shows the progress achieved in the USOAP audit areas within 10 years. The average increase in the 2014-2024 comparison is +7.7 per cent and the technical areas with the highest improvement are Air navigation services (ANS) (+9.5 per cent) and Airworthiness of aircraft (AIR) (+8.0 per cent).

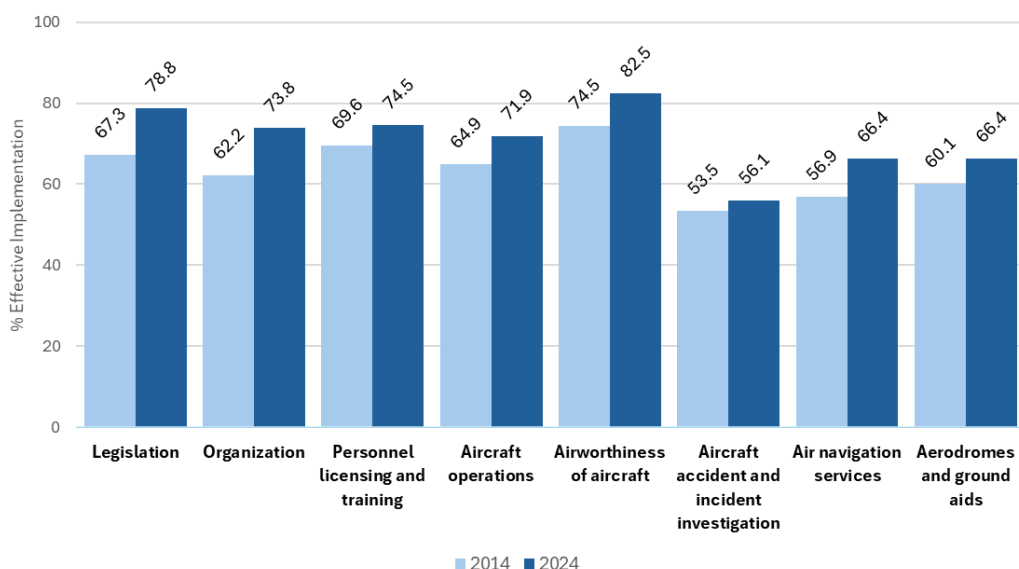
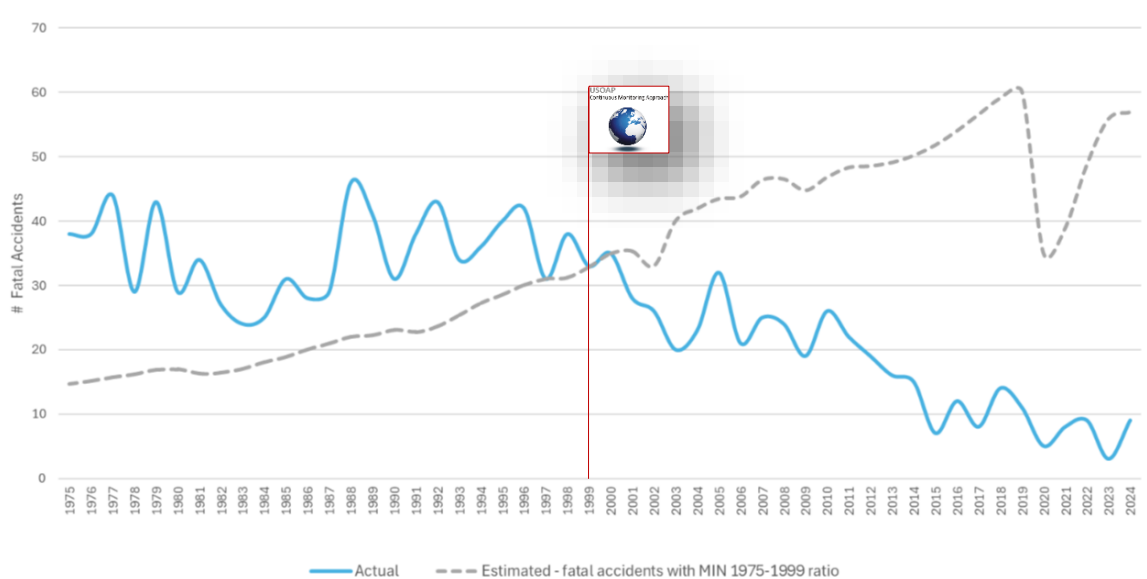


Figure A-3. Global level of EI comparison. 2014 and 2024 by audit area

6.5 The inception of the USOAP CMA 25 years ago was driven by an increasing trend in both fatal and non-fatal accidents during the late 80s and 90s, a trend that was expected to worsen as traffic volumes grew. To mark its 25 years of operation, the USOAP CMA presents the analysis of Figure A-4<sup>8</sup>, comparing the actual number of fatal accidents (in blue) before and after its launch with and an estimation based on the minimum fatal accident ratio from 1975-1999 (in grey dotted lines). The analysis reveals that, contrary to the projection, the number of fatal accidents has steadily decreased despite the increase in traffic. This effect is the result of several initiatives and efforts from States, ICAO and the aviation community to improve aviation safety since the late 90s, including the establishment of the USOAP CMA. Its creation gave origin to the monitoring function of ICAO, which added to the standardization and implementation pillars of the Organization. This implementation has strengthened global aviation safety by assessing the effectiveness of States' safety oversight capabilities, addressing identified findings and mitigating serious concerns. The transparency provided by the USOAP CMA has been instrumental in making aviation the safest mode of transportation.



**Figure A-4. 1975-2024 number of fatal accidents actual/estimated**

<sup>8</sup> To generate this analysis ICAO used accident data provided by the Flight Safety Foundation and traffic data collected by ICAO.



## **APPENDIX B**

### **DETAILED INFORMATION ON PROGRAMME DEVELOPMENTS AND USAP CMA ACTIVITIES IN THE REPORTING PERIOD 2022 TO 2024**

#### **1. IMPROVEMENTS TO THE USAP CMA**

1.1 During the reporting period, multiple refinements and improvements to the programme were made, in consultation with the SSG, including:

- a) the revision of USAP CMA Protocol Questions (PQs) to reflect amendment 18 to Annex 17 — *Aviation Security* and Amendment 29 to Annex 9 — *Facilitation*, notably regarding amending national regulations, access control, training programmes, screener certification, cargo security and threat image projection (TIP);
- b) the adoption of an encrypted filing system for all sensitive audit-related information, coupled with a secure mechanism to send and receive sensitive material;
- c) the adoption of a revised indicator to measure compliance with Annex 17 Standards, to provide a more accurate representation of States' levels of compliance, and of their efforts to implement Annex 17 Standards. This new indicator also allows ICAO to generate more accurate statistics on both regional and global levels to see areas where additional support to States might be required;
- d) following the 33rd meeting of the AVSEC Panel, the production of an anonymized and confidential analysis to explore possible ways to share useful information on the root causes of confirmed SSeCs with other Panel bodies, to further improve the ability to identify trends and reasons for non-compliance by Member States;
- e) preparations for the creation of an Aviation Security Application Portal, where secure access to all existing AVSEC-related platforms would be centralized (such as the AVSECPAEDIA, AUID, POC network, and EFOD). This could also provide States with direct, secure access to the audit Manager, thereby allowing for the accessing of reports and statistics, and uploading of Corrective Action Plans (CAPs) and other documentation, thereby minimizing the need for email exchanges;
- f) The adjustment of USAP CMA audit scheduling process, to provide more advance notice to States and help reduce the number of deferral requests;

Furthermore, the Secretariat continues to:

- g) produce semi-annual newsletters to provide USAP CMA auditors with important information regarding the USAP programme, as well as to enhance their knowledge of specific subjects and issues identified during audits;

- h) deliver online technical training sessions for USAP CMA certified auditors in English, French and Spanish each year; and
- i) publish and maintain an up-to-date list of National Coordinators on the USAP CMA secure portal to facilitate the sharing of knowledge between States. States are encouraged to advise ICAO of any change in their designated National Coordinator and to provide updated information regarding their functions and contact details by emailing [asa@icao.int](mailto:asa@icao.int).

## 2. USAP-CMA ACTIVITIES

2.1 The table below provides details on the USAP CMA activities and developments from 1 January 2022 to 31 December 2024.

| Activity                      |                                                                                                                                                                                | Conducted                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Comments                                                                                                                                                     |
|-------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <b>1. USAP CMA Activities</b> |                                                                                                                                                                                |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                              |
| 1.1                           | <b>USAP CMA Audits</b>                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                              |
|                               | Determine States' capabilities for security oversight by assessing the effective implementation of the critical elements of a State's aviation security and oversight systems. | <p><u>2022</u>: 16 audits were conducted in: Algeria, Argentina, Benin, Bhutan, Cote d'Ivoire, Cuba, Egypt, Guinea, Kenya, Lesotho, Mozambique, New Zealand, Saudi Arabia, Serbia, South Africa, Vietnam.</p> <p><u>2023</u>: 37 audits (5 documentation-based) were conducted in: Andorra, Azerbaijan, Bahrain, Belize, Cambodia, Cameroon, China, Comoros (the), Cook Islands, Czechia, Equatorial Guinea, Estonia, Fiji, Hungary, Iceland, Iraq, Kiribati, Malawi, Mexico, Monaco, Mongolia, Montenegro, Panama, Philippines, Republic of Moldova, Samoa, Saint Lucia, Senegal, Seychelles, Singapore, Slovakia, Sri Lanka, Sudan (the), Tonga, Trinidad and Tobago, United Republic of Tanzania (the), United States of America (the).</p> <p><u>2024</u>: 31 audits (8 documentation-based) were conducted in: Albania, Australia, Austria, Brazil, Bulgaria, Cyprus, Eritrea, Ethiopia, Georgia, Ghana, Greece, Guatemala, India, Indonesia, Italy, Jamaica, Japan, Kyrgyzstan, Lithuania, Malaysia, Maldives, Nigeria, Norway, Pakistan, Poland, Republic of Korea (the), San Marino, Sao Tome e Principe, Türkiye, Uganda, Vanuatu.</p> | <p>Total number of audits conducted during the reporting period: 84</p> <p>Audits include full and limited scope on-site and documentation-based audits.</p> |

| Activity           |                                                                                                                                                                                    | Conducted                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Comments                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                          |
|--------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 1.2                | <b>Validation Missions</b>                                                                                                                                                         |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                    | Gather evidence to assist the ICAO SSeC validation committee to determine whether or not the State has satisfactorily mitigated or resolved Significant Security Concerns (SSeCs). | 2022: Two on-site validation missions<br>2023: Four on-site validation missions<br>2024: One on-site validation mission                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Total number of validation missions conducted during the reporting period: Seven                                                                                                                                                                                                                                                                                                                                                                                                                                                                  |
| 1.3                | <b>Other</b>                                                                                                                                                                       |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                    | Participate as observers in European Commission (EC) airport inspections and appropriate authority inspections.                                                                    | 2023: One airport inspection.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| <b>2. Training</b> |                                                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
| 2.1                | <b>Auditor Training Courses</b>                                                                                                                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                               |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                   |
|                    | Provide training for potential USAP CMA auditors in all three audit languages.                                                                                                     | <p>In 2022:<br/>One USAP CMA auditor training course was conducted in Abu Dhabi. 9 candidates successfully passed the course which was later completed by an OJT for the purpose of certification.</p> <p>In 2023:<br/>One USAP-CMA auditor training course was conducted in Kenya: 13 candidates successfully passed the course which was later completed by an OJT for the purpose of certification.</p> <p>In 2024:<br/>One USAP-CMA auditor training course was conducted in Fiji: 11 candidates successfully passed the course which was later completed by an OJT for the purpose of certification.</p> | <p>During the triennium a total of three in-person Training courses were organized for the benefit of USAP-CMA auditors.</p> <p>The USAP CMA roster currently includes a total of 143 certified USAP CMA auditors.</p> <p>States and recognized organizations are requested to nominate experts for secondment to ICAO as auditors and subject matter experts, on a long- or short-term basis, in support of the USAP CMA.</p> <p>During the 2022-2024 triennium, the United Kingdom provided a long-term secondment to support the USAP CMA.</p> |

| Activity |                                                                                                                                                            | Conducted                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       | Comments                                                                                                                                                                                                         |
|----------|------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| 2.2      | Auditor Technical Training                                                                                                                                 |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                  |
|          | Provide online technical training for certified USAP CMA auditors in all three audit languages.                                                            | <p>In 2022:</p> <p>Four online information sessions were organized in 3 languages to update USAP-CMA certified auditors on recent changes and developments</p> <p>In 2023:</p> <p>Four online information sessions were organized in 3 languages to update USAP-CMA certified auditors on recent changes and developments</p> <p>In 2024:</p> <p>(will be delivered in early 2025) Four online information sessions were organized in 3 languages to update USAP-CMA certified auditors on recent changes and developments.</p> | Total number of online information sessions conducted during the reporting period: 12                                                                                                                            |
| 2.3      | <b>Regional Seminars</b>                                                                                                                                   |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                 |                                                                                                                                                                                                                  |
|          | Provide training to States' National Coordinators (NCs) and familiarize States' security oversight employees with the USAP CMA methodology and activities. | <p>From 2022 to 2024, seven regional USAP CMA seminars were conducted onsite to familiarize NCs with the USAP CMA and help them to prepare for future audits. These workshops took place in person in Antigua, Cairo, Dakar, Kenya, Paris, Peru and Singapore.</p> <p>The workshops were attended by 205 participants.</p> <p>One additional workshop was conducted online in 2022 for the benefit of Pacific Islands in APAC region.</p>                                                                                       | NC and familiarization training allows States to enhance the knowledge and competency of their aviation security personnel regarding the USAP CMA, particularly for preparing for a scheduled USAP CMA activity. |

2.2 Figure B-1 shows the global level of sustainability of States' aviation security oversight systems, by critical element as a comparison between the second cycle of audit results and the USAP-CMA results up until 31 December 2024<sup>1</sup>. The current average sustainability indicator at the global level is 72.01 per cent. Out of the 188 Member States audited, 87 (45 per cent) have a sustainability indicator higher than 75 per cent (the milestone selected to track the progress of the Global Aviation Security Plan (GASep)).

<sup>1</sup> 2014 was a transitional year for the USAP CMA, thus, to facilitate a proper comparison, the 2024 results are compared to the end of cycle II results in 2013 in the graph.

2.3 Figure B-2 shows States' average level of compliance with Annex 17 Standards, presented by Annex 17 chapter and sub-chapter, as of 31 December 2024. A comparison is not possible due to the change in calculation method implemented during the triennium. Overall, the global compliance indicator for Annex 17 Standards is at 70.65 per cent.

2.4 The new Global Aviation Security Plan milestones require that 65 per cent of States reach an Effective Implementation of 75 per cent by 2027 and 80 per cent of States by 2030. Figure B-3 shows the percentage of States having a sustainability indicator over 75 per cent, as of 31 December 2024.

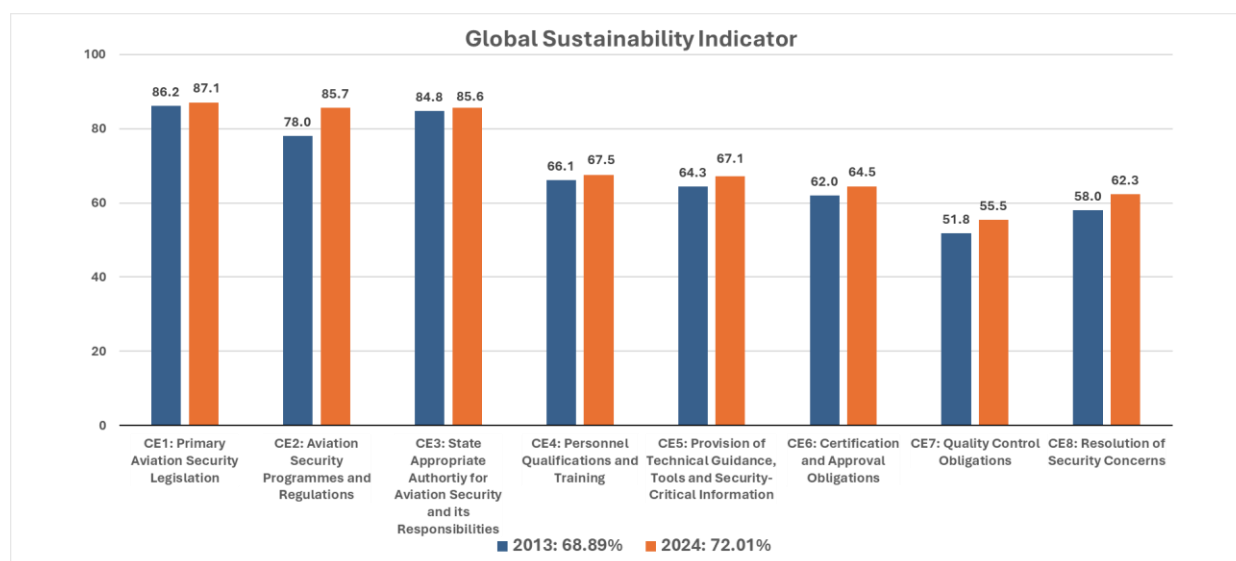


Figure B-1. Sustainability of States' aviation security oversight systems, comparison of 2013 and 2024, by critical element

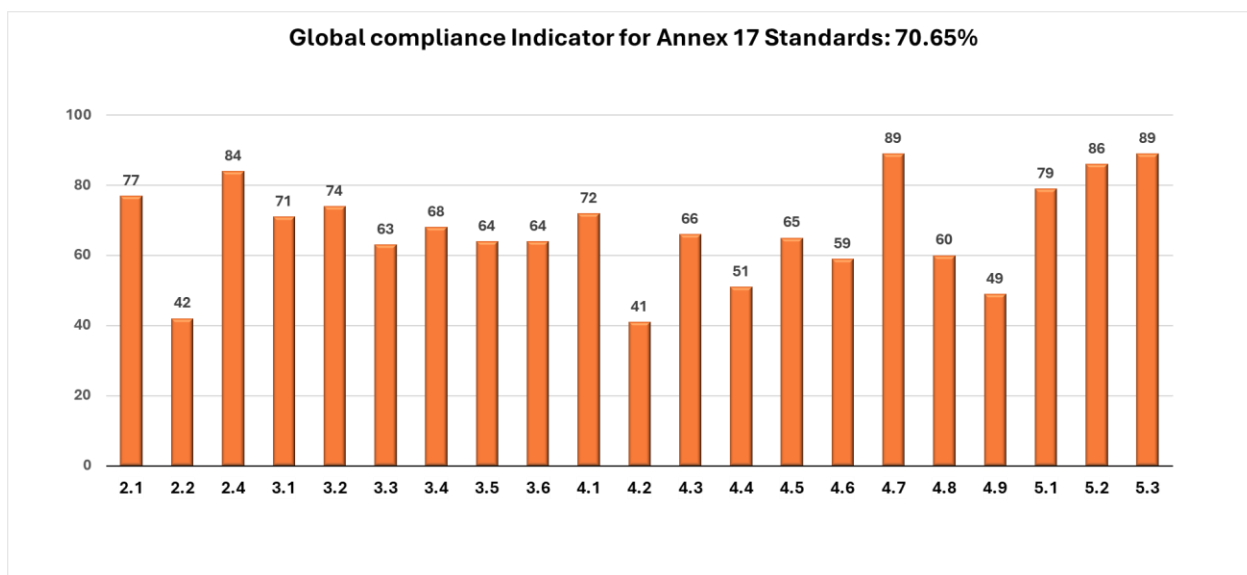


Figure B-2. Average global degree of indicative compliance with Annex 17 Standards by chapter and sub-chapter

## Annex 17 Subchapters

2.1 Objectives

2.2 Applicability

2.4 International Cooperation

3.1 National Organization and Appropriate Authority

3.2 Airport Operations

3.3 Aircraft Operators

3.4 Training, Qualifications and Security Culture

3.5 Quality Control

3.6 Air Traffic Service Providers

4.1 Objective

4.2 Measures Relating to Access Control

4.3 Measures Relating to Aircraft

4.4 Measures Relating to Passengers and their Cabin Baggage

4.5 Measures Relating to Hold Baggage

4.6 Measures Relating to Cargo, Mail and Other Goods

4.7 Measures Relating to Special Categories of Passengers

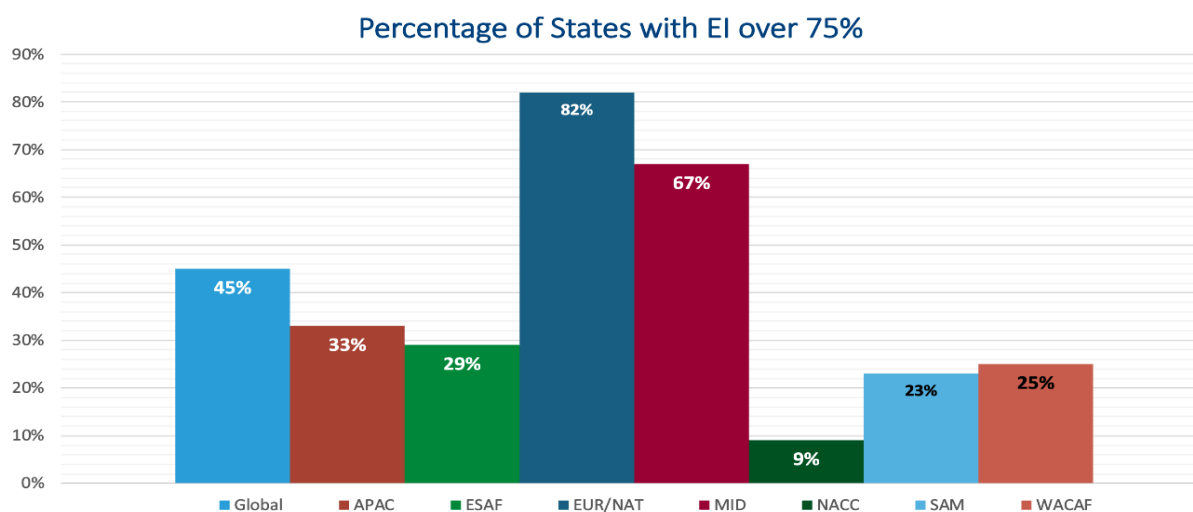
4.8 Measures Relating to the Landside

4.9 Measures Relating to Cyber Threats

5.1 Prevention

5.2 Response

5.3 Exchange of Information and Reporting



**Figure B-3. GASEP milestones - percentage of States with an EI of 75 per cent or more, global and regional results.**

## **APPENDIX C**

### **CRITICAL AREAS IDENTIFIED BY THE USOAP CMA IN THE TRIENNIUM 2022 TO 2024**

This appendix outlines the critical deficiencies that most States face related to safety oversight and accident/incident investigation, for which USOAP CMA activities have identified. Additional information is available at the USOAP report 2022-2024 (URL to be inserted when available). Solutions available through ICAO to address these challenges are offered through its implementation support activities.

#### **1. PRIMARY AVIATION LEGISLATION AND SPECIFIC OPERATING REGULATIONS (LEG)**

1.1 While this area experienced an overall improvement compared to the last triennium, States continue to face challenges in bringing their regulatory system into full accord with the Annexes to the Chicago Convention. More than 35 per cent of States continue to face challenges in the development of comprehensive and appropriate procedures to timely amend their legislation and regulations. More than 40 per cent and 80 per cent of States, respectively, have deficiencies in the identification of differences and significant differences between the ICAO provisions and States' regulations and practices for notification to ICAO and/or publication in the aeronautical information publication (AIP). 35 per cent of States have deficiencies in granting exemptions supported by an appropriate legal basis or being fully compliant with national regulations and procedures. More than 50 per cent of States that ratified Article 83 *bis* do not have an adequate legal framework for the transfer of functions and duties or the recognition of transfer of such functions between third parties.

#### **2. CIVIL AVIATION ORGANIZATION (ORG)**

2.1 More than 50 per cent of States continue to face difficulties to establish a mechanism to ensure availability of sufficient personnel to meet their national and international obligations. More than 45 per cent of States did not demonstrate that their civil aviation or accident investigation authorities are able to attract, recruit and retain sufficient qualified technical personnel to perform their functions and responsibilities. Almost 35 per cent of States have not established and implemented an effective mechanism to ensure that each safety oversight authority has sufficient financial resources to meet its national and international obligations. Likewise, more than 25 per cent of States have yet to clearly define the functions and responsibilities related to safety oversight and accident and incident investigation.

#### **3. PERSONNEL LICENSING AND TRAINING (PEL)**

3.1 Over 60 per cent of States have not appropriately implemented a training programme for personnel licensing staff, other technical personnel and personnel who perform functions on behalf of the personnel licensing office. There has however been an improvement in the number of States that have not implemented procedures for granting exemptions towards the issuance of licence to over 50 per cent. Also,

although there has been an improvement, almost half of the number of States have not effectively implemented a system for the approval of training programmes related to the first issuance of licences. Furthermore, many States have not appropriately implemented a system for formally evaluating and re-evaluating language proficiency ratings and have not implemented a system to ensure the consistency and reliability of written and oral examinations by designated or delegated organizations or examiners. Finally, over 50 per cent of States continue to face challenges in effectively implementing a system for the supervision and control of flight as well as practical test delivery, which ensures consistency and reliability of testing by the designated flight and practical examiners.

#### 4. AIRCRAFT OPERATIONS (OPS)

4.1 An increase to close to 50 per cent of States still do not have enough technical qualified resources to ensure sustainable oversight obligations. A progress to 55 per cent of States have not finalized the implementation of training plans for their technical staff to acquire and maintain the required level of knowledge, skills, competence and qualifications. Around 30 per cent of States have not implemented procedures to ensure that the air operator takes into account, review and implement all regulations related to the contents of the operations manual, before the AOC or any specific approval is granted. In most States, dangerous goods inspector procedures have not been implemented to ensure that the organizations or agencies, which are involved in the transport of dangerous goods by air, have transitioned to competency based initial and recurrent dangerous goods training programmes. Still around 45 per cent of States have not fully implemented a formal surveillance programme to verify that all their AOC holders comply, on a continuing basis, with national regulations, international standards, AOCs and corresponding operations specifications. Finally, still around 40 per cent of States have not finished implementing procedures to take action when the deficiencies identified during the conduct of inspections are not rectified in a timely manner.

#### 5. AIRWORTHINESS OF AIRCRAFT (AIR)

5.1 About 60 per cent of the audited States have not appropriately implemented the training programme for airworthiness inspectors. One half of the audited States have not implemented a comprehensive procedure for the amendment of enabling airworthiness regulations and national standards. With the growing popularity and use of the Compliance Checklist/Electronic Filing of Differences (CC/EFOD) module on the OLF, amongst States, there has been a positive trend in the number of States meeting the requirement on identification and notification of differences between their national airworthiness regulations and practices and the provisions of airworthiness-related Annexes. To date, 43 per cent of States have met this requirement.

5.2 There has been a significant improvement, from 40 to 67 per cent of States that have established and implemented a formal system to conduct ongoing surveillance of their air operators' reliability programmes as part of the maintenance programme approval process. Notwithstanding, half of the audited States have not taken appropriate actions when information obtained from reliability monitoring indicates a degraded level of safety.

5.3 Although there has been a steady improvement, establishing or implementing surveillance programmes for AOC holders and/or approved maintenance organizations continues to be a common deficiency in nearly half of the States. To date, 68 per cent of States have implemented an effective tracking system for deficiencies identified during surveillance activities and their timely resolution. Similarly, more than 50 per cent of States that have delegated certain safety oversight tasks now carry out effective surveillance of their performance.

## 6. AIRCRAFT ACCIDENT AND INCIDENT INVESTIGATION (AIG)

6.1 States' accident and incident investigation systems under Annex 13 — *Aircraft Accident and Incident Investigation* still face significant challenges. In particular, over 50 per cent of States still lack the necessary legislation and structures to ensure that their accident investigation authorities (AIA) are independent and free from interference from judicial authorities and civil aviation authorities. While 50 per cent of States have established the policies and procedures to ensure the institution and conduct of investigations into accidents, only 38 per cent ensure effective investigations of serious incidents as required by Annex 13. Challenges include inadequate reporting of serious incidents and a lack of processes to notify and classify incidents requiring an investigation. Less than 46 per cent of States ensure that final investigation reports are completed and made publicly available within 12 months. In addition, only 28% of States have ensured that ADREP data reports are sent to ICAO in a format compatible with the ADREP taxonomy. Out of the 46 States audited on the PQ related to family assistance, 3 (6.5 per cent) have showed the establishment of a comprehensive system for the assistance to aircraft accident victims and their families (AAAVF), in accordance with Standard 8.47 of Annex 9 — *Facilitation* and the *ICAO Policy on Assistance to Aircraft Accident Victims and their Families* (Doc 9998). Finally, more than 55 per cent of States have yet to establish an accident and incident database to contribute to the analysis of safety on a national, regional and global levels. Many States produce statistical information about the accident/incident data collected without further analysis on actual or potential safety deficiencies to determine any preventive actions required, affecting the ability of States to effectively implement an SSP.

## 7. AIR NAVIGATION SERVICES (ANS)

7.1 Less than 50 per cent of the audited States have not appropriately implemented the training programme for air navigation services (ANS) inspectors in all areas, a comprehensive surveillance programme, and a mechanism/system for the elimination of deficiencies identified, with particular emphasis is search and rescue (SAR) services and flight procedure design. Half of the audited States are not ensuring that flight procedures (IFPs) are reviewed periodically (including validations), and that its rescue coordination centres (RCC) are staffed 24 hours a day by trained personnel proficient in the English language. Finally, only 36 per cent of States ensured that its SAR organization has coordinated with its neighbouring States.

## 8. AERODROMES AND GROUND AIDS (AGA)

8.1 Almost 75 per cent of the audited States have not appropriately implemented the training programme for the AGA inspectors. More than 70 per cent of States have not developed guidance and implemented a process for the use of aeronautical studies or risk assessments, to justify an application for an exemption, as well as evaluation of the outcomes of their conduct to ensure an equivalent level of safety. More than 60 per cent of States have not ensured that the aerodrome regulatory authority have sufficient human resources to carry out its functions and mandate. Around 60 per cent of States have not developed and implemented a formal surveillance programme for the continuing supervision of the operations conducted by aerodrome operators. Finally, almost 60 per cent of States have not developed and implemented a process to take actions, including enforcement, if deficiencies found during surveillance activities are not rectified within a reasonable time.

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## **APPENDIX D**

### **CRITICAL AREAS IDENTIFIED BY THE USAP CMA IN THE TRIENNIUM 2022 TO 2024**

This appendix outlines a number of critical deficiencies related to aviation security and oversight systems with which most States continue to face challenges, as identified by USAP CMA audits. Additional information on these critical areas is available in the annual USAP CMA Analysis of Audit Results booklet on the [USAP secure website](#). Solutions available through ICAO to address these challenges are offered through its technical assistance, technical cooperation and training activities.

#### **1. REGULATORY FRAMEWORK AND THE NATIONAL CIVIL AVIATION SECURITY SYSTEM (LEG)**

1.1 While the majority of audited States have promulgated primary and secondary aviation security legislation to enable them to address their aviation security-related obligations and to implement the provisions of Annex 17 — *Security — Safeguarding International Civil Aviation against Acts of Unlawful Interference*, a considerable number of audited States (73 per cent) have not ensured that their regulations, practices and procedures, such as those contained in the National Civil Aviation Security Programme (NCASP) accurately reflect all Annex 17 Standards and/or provide sufficient guidance, performance criteria or procedures to ensure the efficient, effective and consistent application of national aviation security policies and requirements. The lack of qualified national aviation security inspectors, possessing sufficient legal authority and enforcement powers, remains a significant obstacle to the implementation of an effective State aviation security oversight system in 39 per cent of audited States. 61 per cent of audited States have not established or implemented an appropriate risk assessment methodology for adjusting relevant elements of the security measures established in the NCASP.

#### **2. TRAINING OF AVIATION SECURITY PERSONNEL (TRG)**

2.1 A large number of audited States (41 per cent) have not ensured the development or the implementation of an effective training programme for national aviation security inspectors. The National Civil Aviation Security Training Programmes in almost 40 per cent of audited States lack sufficient detail regarding training requirements for all aviation security personnel. Furthermore, about 44 per cent of audited States have not established and implemented an adequate oversight mechanism to identify training needs and to ensure that initial, on-the-job and recurrent training is completed as required for all relevant aviation security personnel. Similarly, about 48 per cent of audited States have not ensured that all persons who carry out screening operations are certified.

#### **3. QUALITY CONTROL FUNCTIONS (QCF)**

3.1 The majority of audited States have developed a National Civil Aviation Security Quality Control Programme. However, 46 per cent of audited States have not developed detailed procedures, forms, checklists or protocols for their national aviation security inspectors in order to assist them in conducting security audits, inspections and tests in a standardized and effective manner. In addition, 60 per cent of States do not use an appropriate risk assessment methodology to determine priorities and frequency of national quality control activities. Many operational aviation security measures implemented by various airport-level entities are not effectively and regularly monitored for compliance with national requirements.

#### **4. AIRPORT OPERATIONS (OPS)**

4.1 A majority of audited States have not ensured that airport security programmes (ASPs) meet the requirements of their NCASP (43 per cent of audited States) and provide sufficient detail to ensure the correct application of all security measures at the airport level (62 per cent of audited States). Airport-level coordination is often ineffective, as 40 per cent of audited States have not ensured that airport security committees function in accordance with their terms of reference. Another significant challenge is the lack of ability of majority of States to establish minimum detection settings for security screening equipment, including specifications of performance test pieces (61 per cent of audited States), and to ensure that regular maintenance and performance testing are consistently and effectively implemented for such equipment.

4.2 With regard to the operational implementation of security measures, frequently identified deficiencies include screening of persons other than passengers, items carried and vehicles being granted access to security restricted areas. In addition, 28 per cent of audited States have not ensured that landside areas have been clearly identified at each airport serving civil aviation and that relevant security measures are established in accordance with a risk assessment.

#### **5. AIRCRAFT AND IN-FLIGHT SECURITY (IFS)**

5.1 The most frequent deficiency observed regarding aircraft and in-flight security is the lack of a process to ensure that national and foreign aircraft operators providing service from the State establish and maintain written aircraft operator security programmes (AOSPs) and Supplementary Station Procedures (SSPs), respectively, that meet the requirements of the NCASP.

#### **6. PASSENGER AND BAGGAGE SECURITY (PAX)**

6.1 About 43 per cent of audited States have not ensured that relevant airport entities have developed sufficiently detailed procedures for the screening of originating passengers, their cabin and hold baggage. In practice, the audits have also identified frequent deficiencies with regard to the consistent and effective implementation of measures for the screening of originating passengers, and their cabin and hold baggage.

#### **7. CARGO, CATERING AND MAIL SECURITY (CGO)**

7.1 Many audited States have not developed detailed performance standards for the application of security controls to cargo and mail (30 per cent of audited States), including guidelines on appropriate methods of screening depending on the nature of consignments (43 per cent of audited States). Deficiencies have also been identified in many States with regard to airport-level entities that do not consistently and effectively implement security measures for cargo and mail (32 per cent of audited States) and protect such consignments from unauthorized interference from the point security controls have been applied until departure of the aircraft (36 per cent of audited States).

#### **8. RESPONSE TO ACTS OF UNLAWFUL INTERFERENCE (AUI)**

8.1 About 37 per cent of audited States do not ensure that airport-level contingency plans adequately address the management of responses to various acts of unlawful interference, including notification procedures and minimum response times for entities responsible for dealing with such acts. Similarly, regular security exercises to determine weaknesses in the contingency plans are not carried out in 53 per cent of audited States.

9. **FACILITATION (FAL)**

9.1 Approximately 40 per cent of audited States have not established a National Air Transport Facilitation Programme and 60 per cent of audited States have not established national or airport level coordinating bodies. Around 38 per cent of audited States have not introduced an advance passenger information system, which became mandatory under Annex 9 — *Facilitation* to the Chicago Convention on 23 February 2018.

— END —