



大会 — 第 42 届会议

执行委员会

议程项目 14：审计计划 — 持续监测做法

国际民航组织持续监测做法（CMA）安全和安保审计计划的实施情况

（由国际民航组织理事会提交）

执行摘要

本工作文件提交了自大会第 41 届会议以来关于国际民航组织普遍安全监督审计计划（USOAP）和普遍安保审计计划（USAP）实施和活动的综合进度报告，两者均采用持续监测做法（CMA）。

有关 USOAP CMA 和 USAP CMA 在 2022 年至 2024 年三年期间的活动及发展情况详细信息，分别载于附录 A 和 B 中。

行动：请大会：

- a) 注意关于国际民航组织审计计划的实施和活动的进度报告；
- b) 敦促各国继续全面参与国际民航组织审计计划，同时支持其发展；
- c) 敦促各国在没有令人信服的理由时避免要求推迟或取消真的自己国家审计，因为这样的要求会对国际民航组织审计计划的实施造成负面影响；和
- d) 鼓励各国继续为国际民航组织审计计划的成功运作捐献财务和实物资源，包括长期借调合格的专家，并通过参加相关培训课程和研讨会支持这些计划。

战略目标：	本工作文件涉及每次飞行都安全和安保；和航空为所有人提供无缝隙、无障碍和可靠的出行。
财务影响：	文件中提到的活动将根据 2026 年、2027 年和 2028 年经常预算和来自预算外捐助的可用资源情况进行。

参考文件:	C-WP/15605 号工作文件第 1 号修改稿、第 1 号更正和第 2 号更正（仅有法文） C-WP/15576 号工作文件 C-DEC 233/9 号决定 C-DEC 232/4 号决定 SA 42/1-24/108 号国家级信件 Doc 10184 号文件：《大会有效决议》（截至 2022 年 10 月 7 日） Doc 10160 号文件：《COVID-19 高级别会议的报告》 Doc 10183 号文件：《大会第四十一届会议执行委员会报告》 Doc 10186 号文件：《大会第四十一届会议技术委员会报告》 Doc 10209 号文件：《第十四次空中航行会议报告》 Doc 9807 号文件：《普遍安保审计计划持续监测手册》 Doc 9735 号文件：《普遍安全监督审计计划持续监测手册》 A42-WP/5 号工作文件：《普遍安全监督审计计划（USOAP）持续监测做法（CMA）的演进》 A41-WP/7 号工作文件：《国际民航组织持续监测做法（CMA）审计计划的实施情况》
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1. 背景

1.1 普遍安全监督审计计划（USOAP）于 1999 年推出，自 2013 年 1 月起向持续监测做法（CMA）过渡，纳入了一个更加基于证据、悉知风险和注重结果的计划，以确定各国安全监督系统的普遍有效性和可持续性以及各国实施其国家安全方案（SSPs）的有效性。为了纪念 USOAP CMA 实施二十五周年，附录 A 第 6.5 节提供了这一计划对航空安全的影响的分析。为了推动 USOAP CMA 不断演进，国际民航组织大会第 41 届会议同意国际民航组织实施理事会批准的 USOAP 特设咨询组（USOAP-AG）的建议，以及《COVID-19 高级别会议报告》（Doc 10160 号文件）中的相关建议（Doc 10183 号文件：大会第四十一届会议执行委员会报告第 15.4 段）。

1.2 普遍安保审计计划（USAP）于 2002 年推出，自 2015 年起一直在实施基于风险的 CMA。国际民航组织大会第 39 届会议（参见大会第 A39-18 号决议附录 E）要求秘书处与成员国协商，审查 USAP 的范围和方法，以确保提供关于在实地有效实施航空安保措施的可靠信息，并确保该方法考虑了以基于风险的做法来实施航空安保措施。从那以来，国际民航组织秘书处一直与秘书处 USAP-CMA 研究小组（SSG）密切合作，以查明和实施不断改进该计划的行动。这种协作做法得到了大会第四十一届会议的支持（大会第 A41-18 号决议：国际民航组织关于航空安保持续政策的综合声明附录 D 第 5 段）。

1.3 本文件提供了自大会第 41 届会议以来 USOAP CMA 和 USAP CMA 实施和活动的综合进度报告，并提出了国际民航组织审计计划在下一个三年期及以后拟议发展的高层概览。关于 2022 年至 2024 年三年期间 USOAP CMA 和 USAP CMA 活动及发展的详细信息见附录 A 和附录 B¹。两项审计计划查明的关键领域载于附录 C 和附录 D。

¹ 报告期包括2022年至2024年的全年。

2. 讨论

2.1 USOAP CMA 的实施

2.1.1 从 2022 年 1 月 1 日至 2024 年 12 月 31 日，USOAP CMA 共开展了 97 项活动。附录 A 概述了这些活动，包括审计、经国际民航组织协调的核实访问（ICVMs）、异地核实活动、强制性信息请求（MIRs）、国家安全方案实施评估（SSPIAs）和讲习班。有 10 项活动应国家要求推迟²。在本报告期结束时，国家的全球平均有效实施水平（EI）为 67.71%。有效实施水平最低的审计领域是航空器事故和事故征候调查（AIG）（56.05%）以及机场和地面助航（AGA）（66.38%），而实施水平最低的关键要素是安全问题的解决（CE-8）（57.14%）、监督义务（CE-7）（63.07%）和合格技术人员（CE-4）（63.21%）。国际民航组织查明了 11 项重大安全关切（SSCs），国际民航组织查明的 5 项重大安全关切得到了解决。截至 2024 年 12 月 31 日，全球有 9 项³重大安全关切仍未解决，影响到 6 个国家⁴。在此期间，国际民航组织部署了 MIR 机制，要求 4 个国家提供信息或文件，供 USAP CMA 审查和核实，这些已令人满意地结案。国际民航组织拥有多种多样的实施支持举措，以及全球和地区计划，旨在支持各国处理 USOAP CMA 查明的缺陷。

2.1.2 秘书处执行了附录 A 所述的一系列工作流，以管理 USOAP CMA 的演进。引领 USOAP CMA 演进的工作流有：a) USOAP 的可持续性和改进；b) USOAP CMA 结构审查专家组（GEUSR）的建议；c) USOAP AG 的建议；以及 d) COVID-19 高级别会议（HLCC）的建议。专家组的所有建议均由理事会批准，随后由大会核准。

2.1.3 加拿大、中国、多米尼加共和国、法国、大韩民国、沙特阿拉伯、新加坡、美国和欧洲联盟航空安全局（EASA）继续通过提供长期借调人员支持 USOAP CMA 的工作，为该计划的成功运作和演进作出了贡献。国际民航组织高度赞赏所有 31 个国家⁵和欧盟航空安全局的支持，它们提供了短期借调人员，扩大了 USOAP 名册。

2.1.4 在此期间，USOAP CMA 通过开发新的工具和进行更新（包括新的数据和信息管理人），增强了在线框架（OLF）⁶的能力。在 OLF 中新增了支持 USOAP 活动的工具，如 USOAP 国家概况（旨在分析各国如何参与 USOAP CMA 的应用程序）和 USOAP CMA 社区 <https://www.usoap->

² 要求推迟审计的国家在电子公告中列出，每年发布两次。

³ 未决的 8 项重大安全关切在 2022 年—2024 年查明，1 项自 2018 年查明。

⁴ 国际民航组织查明了不丹、刚果民主共和国、厄瓜多尔、利比里亚、俄罗斯联邦和津巴布韦的重大安全关切。

⁵ 阿根廷、澳大利亚、博茨瓦纳、巴西、喀麦隆、加拿大、乍得、中国、多米尼加共和国、法国、格鲁吉亚、希腊、印度、约旦、肯尼亚、马提尼克岛、毛里塔尼亚、摩洛哥、纳米比亚、阿曼、巴拿马、卡塔尔、大韩民国、圣马力诺、沙特阿拉伯、新加坡、南非、泰国、多哥、联合王国和美利坚合众国。

⁶ 在线框架（OLF）于 2013 年启动，作为一个基于网络的平台，使各国能够互动参与持续监测活动。在报告年度，在线框架为以下方面提供了服务：

- 国际民航组织 USOAP 管理人 — 监督/审计国
- 国际民航组织普遍保安监督审计方案（USAP）管理人 — 监督/审计国
- 国际民航组织 RSOO 和 RAIO 评估方案（RRAP）管理人 — 监督/审计地区安全监督组织
- 联合国世界粮食计划署航空活动管理人 — 评价世界粮食计划署航空活动
- 国际民航组织国家航空活动调查问卷（SAAQ）管理人 — 监督各国的航空活动
- 国际民航组织电子差异通报（EFOD）管理人 — 各国通报与 SARPs 的差异
- 国际民航组织附件管理人 — 跟踪/标记 CC/SARPs/PANS/GM 的修订
- ICAO USOAP 优先级排序管理人 — 用于对各国 USOAP 活动进行优先排序的内部和外部指标
- ICAO USOAP/USAP 规划管理人 — 规划和安排审计活动。

community.icao.int/（旨在为 USOAP CMA 技术专家之间的互动创造环境的应用程序）。对 OLF 进行了更新，以便直接向国际民航组织的其他举措提供数据，如 iSTARS、国际民航组织数据服务和全球航空安全计划（GASP）看板，以确保数据的一致性。

2.2 USAP CMA 的实施

2.2.1 从 2022 年 1 月 1 日至 2024 年 12 月 31 日，共开展了 114 项 USAP CMA 活动。附录 B 概述了报告期内开展的这些活动，包括现场和基于文件的审计、核实访问、地区研讨会、审计员培训课程和线上审计员技术培训课程。有 34 项活动应国家要求推迟。附录 B 中的图表突出了各国监督系统的全球可持续性（关键要素的实施水平），以及 USAP CMA 评估的各国对附件 17 标准的遵守情况。在报告期结束时，全球可持续性指标为 72.01%。在可持续性指标中，有效实施水平最低的是关键要素是 CE-7（质量控制义务）（55.60%）、CE-8（解决安保关切）（62.41%）和 CE-6（合格认证和批准的义务）（64.62%）。同期，附件 17 的全球遵守情况指标为 70.65%。

2.2.2 在报告期，国际民航组织查明了 10 项重大安保关切（SSeCs），国际民航组织查明的 4 项重大安保关切得到了解决。截至 2024 年 12 月 31 日，全球有 24 项重大安保关切仍未解决，影响到 11 个国家，这些已登载在 USAP 保密网站上。此外，有 17 项初步重大安保关切在经由 USAP 保密门户网站发布之前已由国家缓解。

2.2.3 在报告期，对审计计划进行了多次完善和改进，以使其更加符合成员国的需要，并提高审计结果的准确性。国际民航组织秘书处最终落实了由 SSG 提出并经国际民航组织大会第 40 届会议批准的 26 项建议。作为国际民航组织持续改进承诺的一部分，SSG 继续每年至少召开一次会议，或根据需要召开会议，就如何改进 USAP CMA 向国际民航组织提出更多建议。作为这一进程的一部分，对附件 17 标准遵守情况的计算方法进行了修改。修改后的遵守情况图表已登载在 USAP 保密门户网站上，以更好地反映各国的遵守情况及其为实施附件 17 标准所做的努力。所有这些及其它改进的总结见附录 B。

2.3 符合目的的国际民航组织审计计划和共同挑战

2.3.1 为实现国际民航组织的转型目标，国际民航组织秘书处正在查明两项审计计划在哪些领域可以提高资源效率和前瞻性，包括通过改进合作来开发软件工具和信息共享。这一举措与国际民航组织的长期战略计划和三年期业务计划相一致，以理事会关于将 USOAP/USAP 的演进和参与列入优先重点领域清单的决定为基础。这一举措的目的是使协同增效和协作最大化，促成国际民航组织监督和审计职能的演进。这一举措支持国际民航组织审计计划的组织目标。

2.3.2 由于成员国推迟计划好的审计，两个审计计划（USOAP 和 USAP）持续面临重大挑战。尽管早在 6 月份就公布了下一年的审计计划，许多推迟要求收到时已太晚，对安排另外一个国家的审计并留有充足的准备时间构成了挑战。结果，计划的审计活动经常不得不取消，造成每年实际审计数量减少，影响了国际民航组织及时衡量可持续性和符合性的能力。此外，这些要求影响了基于风险地对审计活动进行优先排序，并且给团队成员的工作量、开展在职培训活动、差旅成本和在各地区公平地分配活动造成了冲击。这一三年期内，约 30% 的 USAP 审计被各国要求推迟。

3. 结论

3.1 国际民航组织的审计计划在对成员国的航空安全和安保监督能力及其系统的可持续性进行客观和独立评估方面发挥着至关重要的作用。只有各国继续参与审计计划的进程，表明全球航空界致力于不断改进和充分实施国际民航组织的标准和建议措施（SARPs）才能实现这一目标。随着时间的推移，这些计划的充分有效实施及其可持续性越来越依赖于预算外自愿财务和实物捐助。

3.2 国际民航组织审计计划提供亟需的建议，指导各国努力改进安全和安保监督系统以及遵守国际民航组织的规定。国际民航组织的审计计划还为国际民航组织、成员国和其它利害关系方提供信息，帮助更精准地开展能力发展和实施支助活动以及改进航空政策。此外，审计计划继续在查明和减缓对国际民用航空带来风险的重大缺陷方面发挥核心作用。尽管如此，两个审计计划的结果都表明，国家在履行《国际民用航空公约》及其附件规定的义务方面仍有困难，需要国际民航组织及其合作伙伴继续提供监督和协助。

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). 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 ICAO TV 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 partners¹ 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)² 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.

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

² 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 completed³ 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 website⁴ 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
Recommendations regarding data, information and intelligence in support of the USOAP CMA		
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.
Recommendations regarding the validation by USOAP of outputs from stakeholders' audit/assessment programmes		
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 ⁵ (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.
Recommendations regarding coordination mechanism/consultation platform		
C.1	Consider the establishment of an internal coordination mechanism to facilitate the sharing of data and information that may be useful for inter alia the monitoring of States under the USOAP CMA	A procedure has been established within the periodic review of the USOAP CMA prioritization process to coordinate the inputs of data and

³ 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.

⁴ www.icao.int/Meetings/a41/Documents/USOAP-AG%20recommendations%20as%20agreed%20by%20the%20Council.en.pdf.

⁵ 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
	and the coordination amongst ICAO recognized industry assessment programmes.	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.
Recommendations addressed to manage requests for cancellations or postponements, including enhanced transparency		
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
Recommendations regarding human resources		
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 former seconded State personnel with experience as USOAP CMA auditors/SMEs.	Designee programme already considers personnel from States and not only from ICAO.

No.	Recommendation	Action taken
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 (listed in chronological order)	Comments
1. Auditing activities			
1.1	<i>USOAP CMA Audits</i>		
	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.	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. 2023: 11 audits were conducted in: South Africa, Uzbekistan, Canada, Sierra Leone, Papua New Guinea, Nigeria, Ecuador, Uganda, Kyrgyzstan, Belize, and Greece. 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.	Total number of USOAP CMA audits conducted during the triennium: 36
1.2	<i>Focused USOAP CMA Audits</i>		
	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.	2022: Three focused audits were conducted in: Singapore, Italy, and the United Kingdom. 2023: Three focused audits were conducted: Brazil, Australia, and Czechia. 2024: Nil.	Total number of focused audits conducted during the triennium: Six ° Priority PQ audit.
1.3	<i>Mandatory Information Requests (MIRs)</i>		
	Request information or documentation needed for USOAP CMA assessment and protocol question (PQ) determination.	2022: two MIRs were issued. 2023: one MIR was issued. 2024: one MIR was issued.	Total number of MIRs conducted during the triennium: four. 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.

Activity	Conducted (listed in chronological order)	Comments
2. Validation activities		
2.1	ICAO Coordinated Validation Missions (ICVMs)	
	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). 2022: Four ICVMs were conducted in: OECS⁶, Azerbaijan, Botswana, and India. 2023: Six ICVMs were conducted in: Argentina, Zimbabwe, Cambodia, Morocco, Oman, and OECS. 2024: Five ICVMs were conducted in: Senegal, Pakistan, Armenia, Côte d'Ivoire, and Albania.	Total number of ICVMs conducted during the triennium: 15
2.2	Off-site Validation Activities (OVAs)	
	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. 2022: 12 OVAs were conducted in: China¹, the Russian Federation¹, Bhutan¹, Slovenia¹, Australia¹, the Philippines¹, Seychelles¹, Zimbabwe¹, Luxembourg³, Myanmar¹, Guinea¹, and Paraguay¹. 2023: One OVA was conducted in Egypt¹. 2024: Three OVAs were conducted in: Rwanda¹, Morocco² and Brazil².	Total number of OVAs issued during the triennium: 16 ¹ 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. ² 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. ³ 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 by the States. The

⁶ 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 (listed in chronological order)	Comments
			information with supporting evidence were subsequently reviewed and validated by experts from the OAS Section.
3. Assessment activities			
3.1	<i>State Safety Programme Implementation Assessments (SSPIAs)</i>		
	Assess the maturity level of an SSP in a State.	2022: three SSPIA were conducted in: Singapore, Italy and United Kingdom. 2023: three SSPIA were conducted in: Brazil, Australia and Czechia. 2024: SSPIA were suspended due to integration process.	Total number of SSPIAs conducted during the triennium: Six.
4. Training activities			
4.1	<i>Training of Auditor and Subject Matter Expert Nominees</i>		
	Manage the selection of auditors and subject matter experts of the USOAP CMA.	65 on-the-job-training (OJT) opportunities to prospective candidates, over 32 USOAP activities. The USOAP CMA roster now includes a total of 114 qualified USOAP auditors and/or SMEs.	States and recognized organizations are called upon to nominate experts for secondment to ICAO as auditors and SMEs.
4.2	<i>Familiarization Training for State Employees</i>		
	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	<i>Workshops</i>		
	Assist States in their participation in USOAP CMA and, particularly, preparation for an upcoming USOAP CMA activity.	14 workshops were conducted, with 490 participants from 150 States and 17 international/regional organizations. Seven regional workshops were budgeted and conducted by ICAO in the following regional offices: Lima, Mexico City, Cairo, Nairobi, Dakar, Paris Bangkok. Three workshops were conducted on a cost-recovery basis in the following (listed in 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 audit⁷. 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.

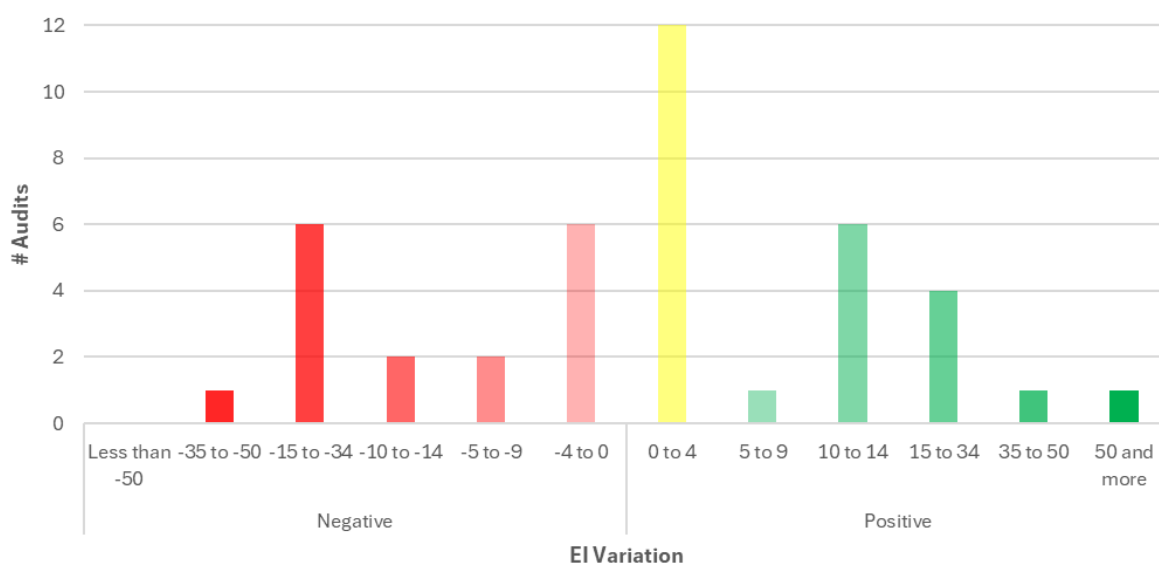


Figure A-1. EI variation in audits between 2022 to 2024

⁷ 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).

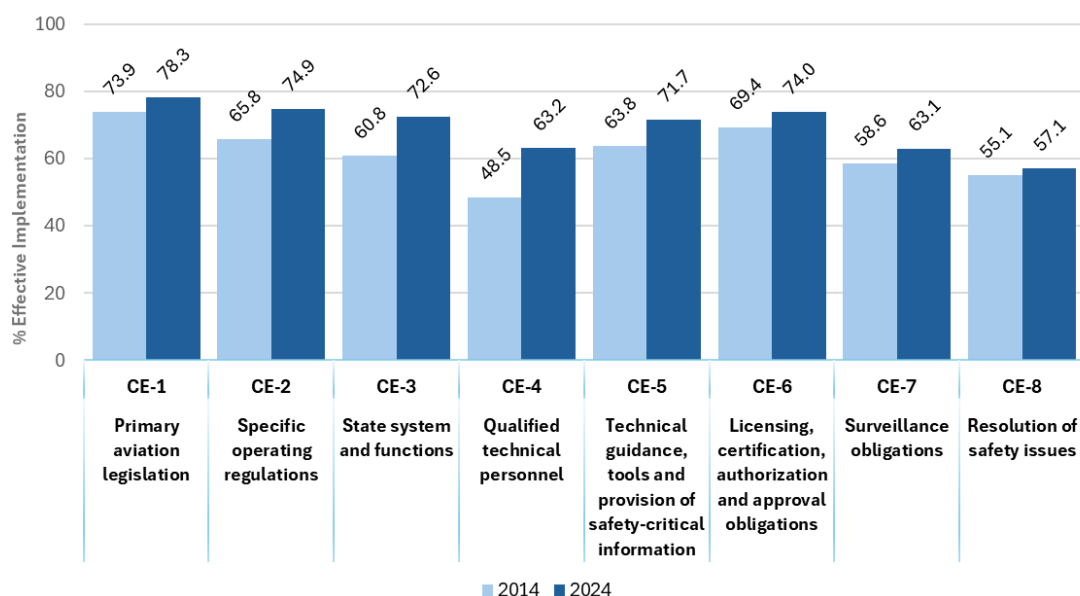


Figure A-2. Global level of EI comparison. 2014 and 2024 by Critical Element

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).

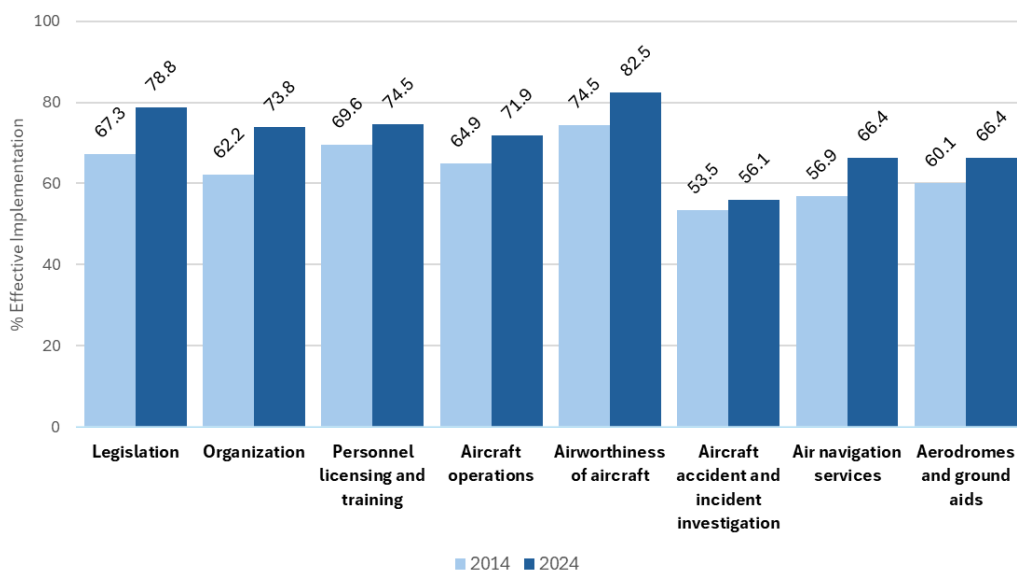


Figure A-3. Global level of EI comparison. 2014 and 2024 by audit area

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-4⁸, 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.

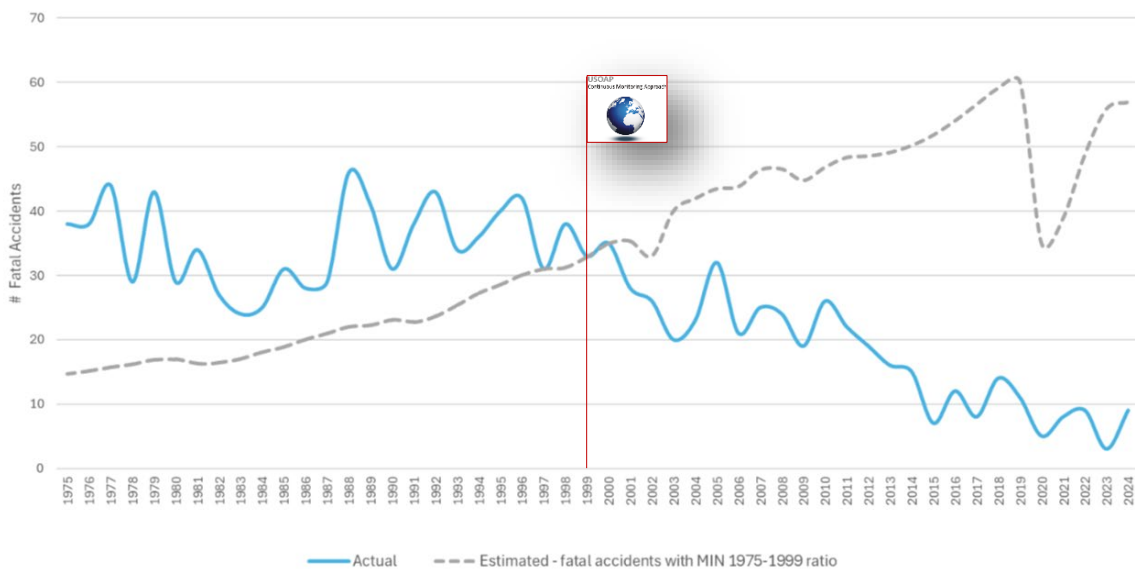


Figure A-4. 1975-2024 number of fatal accidents actual/estimated

⁸ 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.

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
1. USAP CMA Activities			
1.1	<i>USAP CMA Audits</i>		
	Determine States' capabilities for security oversight by assessing the effective implementation of the critical elements of a State's aviation security and oversight systems.	<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. <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). <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.	Total number of audits conducted during the reporting period: 84 Audits include full and limited scope on-site and documentation-based audits.

Activity		Conducted	Comments
1.2	Validation Missions		
	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 2023: Four on-site validation missions 2024: One on-site validation mission	Total number of validation missions conducted during the reporting period: Seven
1.3	Other		
	Participate as observers in European Commission (EC) airport inspections and appropriate authority inspections.	2023: One airport inspection.	
2. Training			
2.1	Auditor Training Courses		
	Provide training for potential USAP CMA auditors in all three audit languages.	In 2022: 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. In 2023: 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. In 2024: 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.	During the triennium a total of three in-person Training courses were organized for the benefit of USAP-CMA auditors. The USAP CMA roster currently includes a total of 143 certified USAP CMA auditors. 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. During the 2022-2024 triennium, the United Kingdom provided a long-term secondment to support the USAP CMA.

Activity		Conducted	Comments
2.2	Auditor Technical Training		
	Provide online technical training for certified USAP CMA auditors in all three audit languages.	In 2022: Four online information sessions were organized in 3 languages to update USAP-CMA certified auditors on recent changes and developments In 2023: Four online information sessions were organized in 3 languages to update USAP-CMA certified auditors on recent changes and developments In 2024: (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.	Total number of online information sessions conducted during the reporting period: 12
2.3	Regional Seminars		
	Provide training to States' National Coordinators (NCs) and familiarize States' security oversight employees with the USAP CMA methodology and activities.	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. The workshops were attended by 205 participants. One additional workshop was conducted online in 2022 for the benefit of Pacific Islands in APAC region.	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. The current average sustainability indicator at the global level is 71.99 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)).

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 70.85 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.

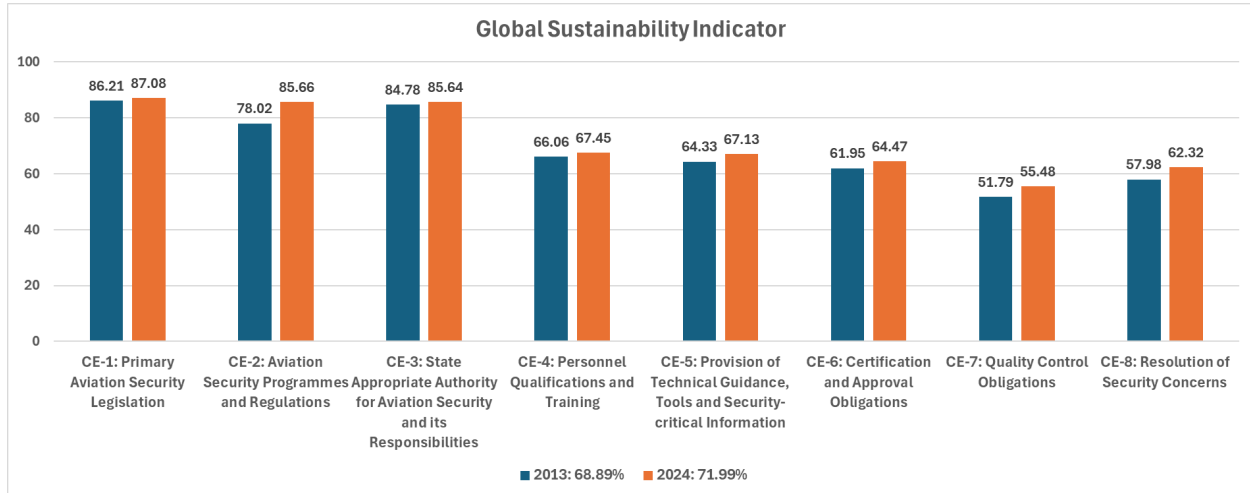


Figure B-1. Sustainability of States' aviation security oversight systems comparison of 2013 and 2024, by critical element

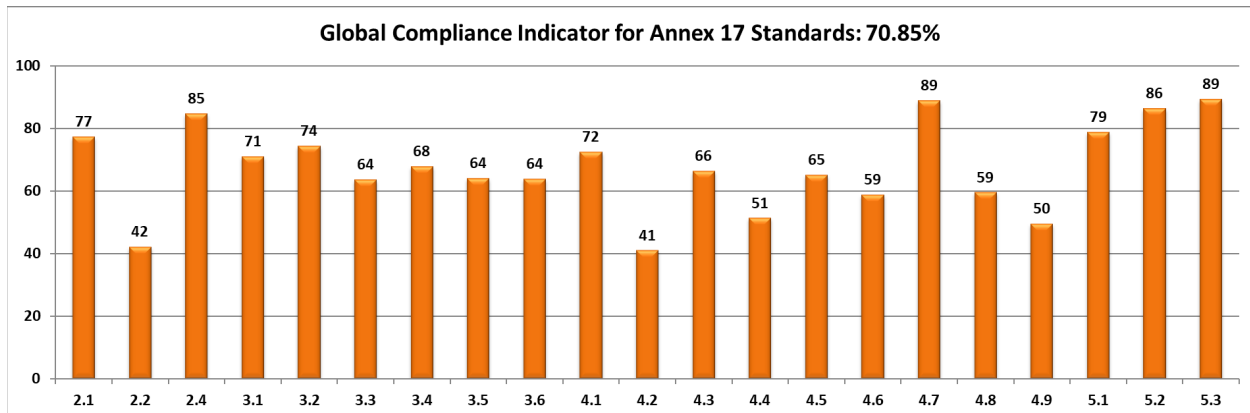


Figure B-2. Average global degree of indicative compliance with Annex 17 Standards by chapter and sub-chapter

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

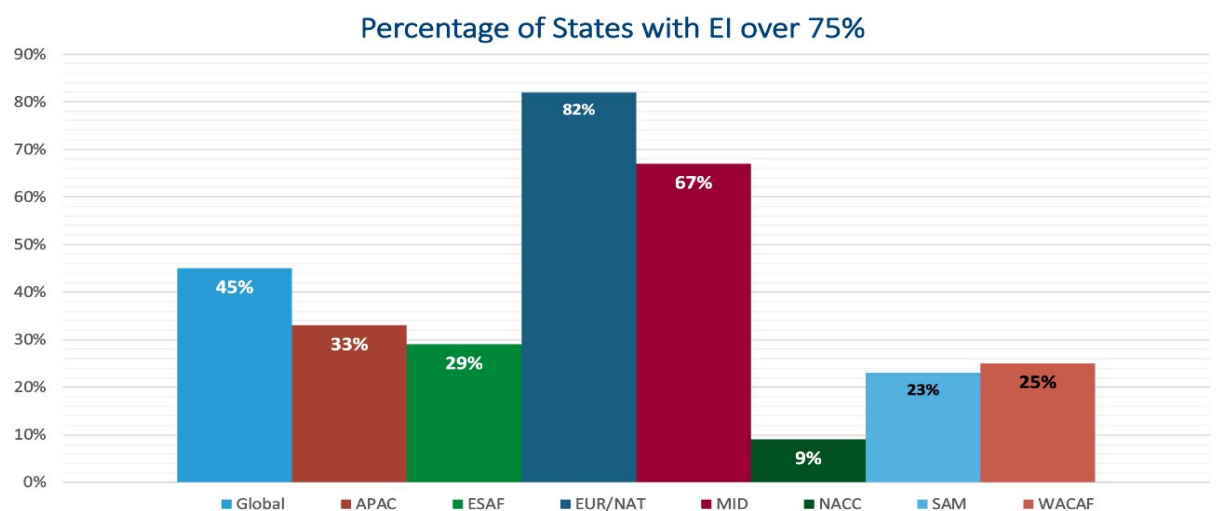


Figure B-3. GASEP milestones - percentage of States with an EI of 75 per cent or more, Global and regional results.

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.

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.

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