



International Civil Aviation Organization

WORKING PAPER

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ASSEMBLY — 42ND SESSION

EXECUTIVE COMMITTEE

Agenda Item 14: Audit Programmes – Continuous Monitoring Approach

SAFETY DATA AND INFORMATION FROM EXTERNAL STAKEHOLDERS IN SUPPORT OF USOAP CMA

(Presented by South Africa)

EXECUTIVE SUMMARY

The International Civil Aviation Organization (ICAO) in assessing the safety posture of the State, relies, to some extent, on data collected from other sources, as well as information and audit results, some of which, if not properly evaluated, could have the potential to dilute, neutralize, or infiltrate the purpose for which an independent Universal Safety Oversight Audit Program Continuous Monitoring Approach (USOAP CMA) was created through the ICAO Assembly process. There is a need to assess and resolve on the possibility of excluding safety data and information sourced from external stakeholders from Regional and States safety briefing and rely on one Universal data that is sourced through the ICAO USOAP CMA, which is one programme that affect all Member States.

Action: The Assembly is invited to:

- note the content of the paper as presented by South Africa;
- request ICAO to ensure that information pertaining to a decision on State's capability to perform effective safety oversight is based solely on the USOAP CMA audit outcome, as this is the only universal program affecting all the Member States and agreed upon through the USOAP CMA Memorandum of Understanding (MOU) that States have entered into, with ICAO; and
- request ICAO to consider excluding safety data and information that is supplied by external stakeholders from the Regional and States safety briefing reports, downloadable from Integrated Safety Trend Analysis and Reporting System (iSTARS).

<i>Strategic Goal:</i>	This working paper relates to <i>Every Flight is Safe and Secure. and Aviation Delivers Seamless, Accessible and Reliable Mobility for All.</i>
<i>Financial implications:</i>	Nil
<i>References:</i>	Doc 9735, <i>Universal Safety Oversight Audit Programme Continuous Monitoring Manual</i> Universal Safety Oversight Audit Program Continuous Monitoring Approach Online Framework (USOAP CMA OLF) Integrated Safety Trend Analysis and Reporting System (iSTARS) Regional and State Safety Briefing / Reports

1. INTRODUCTION

1.1 This paper seeks to inform and request the Assembly to discuss and resolve on the following:

- a) the need for ICAO to consider excluding some safety data and information sourced from ICAO external stakeholders from safety briefing reports that are downloadable from the Integrated Safety Trend Analysis and Reporting System (iSTARS); and
- b) that all States safety compliance and oversight capability is assessed and evaluated based on the USOAP CMA which is recognised globally and has been agreed upon by all Member States.

2. BACKGROUND

2.1 The *Universal Safety Oversight Audit Programme Continuous Monitoring Manual* (Doc 9735), fifth edition, 2023, Chapter 3, clearly indicates that the Universal Safety Oversight Audit Programme (USOAP) Continuous Monitoring Approach (CMA) provides a mechanism for ICAO to collect safety data and safety information from three main sources, namely, Member States, and internal and external stakeholders, through the Online Framework Module (OLF), (Doc 9735, 3.3.1 refers).

2.2 External stakeholders include national, regional, supranational and international organizations with a standing legal agreement with ICAO on monitoring activities, (Doc 9735, 3.3.4 refers).

2.3 The above-mentioned data provides information and indicators that are considered by ICAO for the purpose of prioritizing the conduct of USOAP CMA activities for member, amongst others, (Doc 9735, 3.5.1g) refers).

2.4 The summarised version of the supplied data and information in this regard is detailed on the first page of the Regional and State Safety Briefing / Report (i.e. dashboard) for all Member States, and this is downloadable from Integrated Safety Trend Analysis and Reporting System (iSTARS).

3. DISCUSSION

3.1 ICAO in assessing the safety posture of the State relies, to some extent, on data collected from other sources, as well as information and audit results from the sources that are not universal, some of this data and information if not properly evaluated, have the potential to dilute, neutralize, or infiltrate the purpose for which an independent USOAP CMA was created through the ICAO Assembly process.

3.2 It is important to recognize that not all Member States or their respective airlines are subjected to a range of external audit programmes outside of the USOAP CMA. For instance, some programmes are based on bilateral air transport agreements and do not apply universally across all ICAO Member States. Additionally, not all States have operators conducting operations to, from, or within Europe, and not all airlines are members of the International Air Transport Association (IATA). As a result, data derived from some of these sources do not provide a uniform or comprehensive view applicable to all States.

3.3 In light of the above, it is recommended that ICAO exclude safety data and information supplied by external stakeholders from regional and state safety briefings and reports. Some of these sources use audit programs that lack universal application, and their inclusion could compromise the consistency and objectivity of USOAP CMA audit outcomes, as well as ICAO's determination of State's safety posture and prioritization for future USOAP CMA audits.

3.4 Furthermore, some of the external programmes may even point to some elements of misalignment between the ICAO led USOAP CMA audits and those conducted by external stakeholders for the same State.

4. **RECOMMENDATIONS**

4.1 In order to ensure that ICAO remains focused and states are subjected to a single agreed USOAP CMA when assessing their safety compliance and effective oversight capability, it is important that reliance is placed on a universal programme, and therefore:

- a) request ICAO to ensure that any determinations regarding State's capability to perform safety oversight responsibilities are based exclusively on the outcomes of the USOAP CMA. This programme is the only universally applied mechanism, developed and endorsed through the ICAO Assembly process and formalized through the Memorandum of Understanding (MOU) signed by all Member States; and
- b) request ICAO to consider the exclusion of safety data and information provided by external stakeholders from regional and state safety briefings and reports, including those accessible via the iSTARS, to preserve the consistency, impartiality, and credibility of ICAO's global safety oversight program.

— END —