AERODROME SAFETY PUBLICATION

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Seychelles Technical Standards – Aerodromes
Enforcement Policy & Procedures Manual Edition No. 02

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Note – Aerodrome Safety Publications are published by the SCAA to supplement the to the provisions of the Seychelles Technical Standards – Aerodromes. The publications are intended to provide recommendations and guidance to illustrate a means, but not necessarily the only means, of complying with SARPs. Aerodrome Safety Publications may explain certain regulatory requirements by providing interpretive and explanatory materials.

While they often provide recommendations, in accordance with STS-ADR, Chapter 2, Subpart A, Provision 2.2.2, any provision within these publications that uses the terms "shall" or "must" is considered mandatory and enforceable. Such provisions along with any figures, appendices and tables associated with it carry the same weight as the primary text of the STS and must be complied with at all times.

1. Purpose

1.1. The purpose of this Aerodrome Safety Publication (ASP) is to provide guidance to aerodrome operators on development and management of corrective action plan(s) (CAP) to address findings identified during safety oversight activities. Furthermore, it outlines the process for submitting CAPs and evidence for closure of findings to the Aerodromes & Ground Aids Inspectorate (AGA).

2. Applicability

2.1. This ASP applies to all aerodrome operators subjected to Regulation 61 of the Civil Aviation (Safety) Regulations, 2017 and the Seychelles Technical Standards – Aerodromes STS ADR.

3. Cancellation

3.1. This ASP supersedes Issue 02 of ASP05

4. Introduction

4.1. Safety oversight is the means by which the SCAA ensures implementation of regulatory requirements as part of certification, licensing or continuing oversight. The primary way of conducting safety oversight is through audits and inspections which includes:

- **Initial certification / licensing audit**
  This is the first audit conducted prior to issuance of an aerodrome certificate / license.

- **Periodic Surveillance audit / inspection**
  Conducted periodically, its purpose is to ensure that the operator continuously complies with regulatory requirements.

- **Unannounced and follow-up inspection**
  Conducted in addition to the periodic surveillance audits / inspections, these audits / inspections may be scheduled or unannounced and conducted for any number of reasons; a follow-up to a periodic inspection finding, to monitor the repair, calibration or installation of new equipment etc. They are flexible in coverage and are not intended to be all-inclusive, but may be.

- **Special purpose audit / inspection**
  This is conducted to respond to safety concerns or circumstances other than those requiring a periodic surveillance audit / inspection. It may be conducted for a number of reasons; e.g. to test effectiveness of corrective actions taken or to monitor airfield construction or test the aerodrome continued compliance with aerodrome manual and aerodrome regulations. They are flexible in coverage and may encompass only a portion of the certification / licensing requirements. These are not intended to be all-inclusive but may be.

- **Certificate / license renewal audit**
  The audit that is conducted for certified / licensed aerodromes to renew the validity of the aerodrome certificate / license.

4.2. A non-conformance to a specified regulatory requirement or company approved procedure identified during safety oversight activities is referred to as a finding and is documented for action.

4.3. For each finding generated during a safety oversight activity, the accountable manager concerned shall develop a corrective action plan that is satisfactory to the SCAA. The plan will outline how the company proposes to correct the deficiencies

5. Classification of findings

5.1. Findings identified during safety oversight activities will be classified into either of the following, depending on their safety significance:

- Level 1 findings;
- Level 2 findings; or
- Observations.

Findings, and where applicable the enforcement measures applied, all corrective action and implementation plans, and dates and actions for closure of findings will be recorded in the 'Compliance' module on Centrik.

5.2. Level 1 findings

5.2.1. These are generally significant non-compliances and includes:

- Failure to give the Audit Team access to the aerodrome and aerodrome operator's facilities during normal operating hours and after two written requests;
- Obtaining or maintaining the validity of a certificate by falsification of submitted documentary evidence;
- Evidence of malpractice or fraudulent use of a certificate;
- The lack of an accountable manager; or
- Non-compliances or hazards identified that is critical in nature and if not corrected may result in loss of life, serious injury, or damage to facilities.

5.2.2. Level 1 findings shall be corrected **immediately** by the aerodrome operator. SCAA is empowered to take appropriate actions according to applicable legislation/regulations to prohibit or limit activities of the operator and may result in the suspension, restriction or even cancellation of certificate. The submission and implementation of the corrective action plan must be completed within a **7-day** period.

5.2.3. Level 1 findings sometimes warrant immediate suspension/revocation, variation or even cancellation of a document. Depending on the seriousness of the finding, it may require prosecution if the offence warrants it.

5.3. Level 2 Findings

5.3.1. These are non-compliances to prescribed requirements and includes non-compliances:

- to regulations, directives, or technical standards;
- with the terms and conditions of the certificate or the certificate;
- with the aerodrome operator's procedures and manuals; or
- with the content of a declaration which could lower the level of safety.

5.3.2. The aerodrome operator shall be given a corrective action implementation period that will commence from the date of the written communication of the finding. The submission and implementation of the corrective action plan must be completed within a **30-day** period. However, based on the scope of the planned mitigation measures, the Authority may consider extending the 30-day period. This may be extended further

by a single extension for an agreed period.

5.3.3. Unresolved Level 2 findings may lead to a Level 1 finding if there is no commitment from the operator.

5.3.4. Where the aerodrome operator fails to submit an acceptable corrective action plan or fails to implement the corrective action within the time period accepted or extended by the SCAA, appropriate enforcement actions may be taken by SCAA which may include raising the finding to a Level 1 finding.

5.4. Observations

5.4.1. These includes:

- Non-compliances that are not level 1 or level 2 findings;
- Non-compliances in areas that are not in the scope of the audit/inspection;
- Suggestions or improvements that are of interest for the overall safety performance of the aerodrome / aerodrome operator.

5.4.2. It is highly recommended that observations are treated similarly to a Level 2 finding where a corrective action plan is developed and implemented.

5.4.3. The aerodrome operator shall, as a minimum, record decisions taken in respect of those observations. This should include actions taken or reasons for not taking actions.

6. Developing Corrective Action Plans

6.1. Corrective action is the action taken to eliminate or mitigate the root cause(s), and prevent recurrence of a non-compliance, or other undesirable condition or situation. Proper determination of the root cause is crucial for defining effective corrective actions to prevent recurrence.

6.2. After obtaining formal notification of a finding, as an initial step, the Accountable Manager (or delegated individual or group) shall define the finding by collecting and evaluating relevant information to determine the facts, causal factors and root causes that lead to the non-compliance. The person(s) responsible for the function or activity where a non-compliance was identified should have a clear understanding and description of the finding supported by the facts, causal factors and root cause in order to develop the most appropriate and timely corrective actions to resolve the finding and prevent recurrence.

6.3. After defining the finding, actions that are required to be taken in order to close the finding should be identified. These corrective actions must be detailed and constructed in the style of performance objectives with time frames for accomplishment of the objectives.

Note – It is necessary to ensure that the performance is measurable in the safety oversight context.

6.4. The following are six criteria of a satisfactory CAP:

i. **Relevant**: CAP addresses the issues and requirements related to the finding and referenced regulation / directive / technical standard / manual / procedure.
ii. **Comprehensive**: CAP is complete and includes all elements or aspects associated with the finding (addresses the root cause of the finding).
iii. **Detailed**: CAP outlines implementation process using step-by-step approach.
iv. **Specific**: CAP identifies who will do what, when and in coordination with other entities, if applicable.
v. **Realistic**: in terms of contents and implementation timelines.
vi. **Consistent**: In relation to other CAPs and with the operator's systems and documentations.

6.5. The Accountable Manager shall ensure that CAPs:

i. fully address findings including its root cause;
ii. are relevant, clear, detailed, and comprehensive;
iii. have realistic target implementation dates;
iv. have an appropriate action office for each step; and
v. work systematically towards implementing corrective actions.

6.6. Corrective action implementation period to should generally be **30 days**.

6.7. For long-term corrective action which may require time periods in excess of **30 days** (e.g. repair works) the aerodrome operator shall include milestones/progress review points at **30 days'** intervals leading to the proposed completion date for each audit finding.

7. Submitting CAPs and Evidence for Closure of Finding

7.1. With respect to Level 2 findings; within the **30 days** of the corrective action implementation period, the aerodrome operator is required to develop and submit a proposed corrective action and implementation plan to SCAA on Centrik. The proposed plan submitted will be assessed by the SCAA and if the assessment concludes that they are sufficient to address the non-compliance, SCAA will accept them, and the aerodrome operator will be required to implement the CAP as per the accepted implementation plan. .

7.2. The corrective action and implementation plan(s) should be submitted on Centrik in the 'Act' tab of the 'Manage Findings' section.

7.3. Where applicable, details of immediate corrective action(s) taken along with supporting documentation of the completed actions (evidences) should be included in the 'Act' tab of the 'Manage Findings' section. If the immediate corrective action taken is sufficient to close the finding, details of actions take along with supporting evidence shall also be submitted in the 'Close' tab of the 'Manage Findings' section on Centrik.

7.4. If a corrective action plan is not accepted by SCAA, the aerodrome operator is required to modify the plan and submit the updated plan within **7 days** of being notified that the plan has not been accepted. Where the aerodrome operator is non-responsive to this action, an alternative course of action may be pursued.

7.5. If the aerodrome operator cannot fully implement the CAP to close the finding as per the accepted implementation plan, the aerodrome operator shall request for an extension using the **'Postpone'** button in the 'Act' tab of the 'Manage Findings' section

on Centrik and provide reasonable justification in the **'Comments'** box. Supporting documents are to be uploaded in the appropriate **'Attachments'** section on Centrik. This is required to be done before or, at the very least, at the end of the corrective action implementation period.

7.6. SCAA will take the request into consideration and either accept or reject the request. If the request is:

- accepted, SCAA will provide a new corrective action implementation period based on an updated and final corrective action plan that is required to be submitted by the aerodrome operator and accepted by SCAA.

- rejected and the aerodrome operator fails to implement the corrective actions within the agreed corrective action implementation period, SCAA may raise the finding to a Level 1 finding and take appropriate action as required by a Level 1 finding.

Note 1. – If no evidence of implementation of CAP is provided by the aerodrome operator and the aerodrome operator has not made an extension request, SCAA may consider the situation as 'the aerodrome operator fails to implement the corrective action within the time period accepted' and may raise the finding to a Level 1 finding as per 5.3 above.

Note 2. – Extension of any corrective action implementation period is granted at the Authority's discretion.

7.7. As and when corrective actions are implemented, the aerodrome operator should provide the relevant details and evidence in the 'Close' tab of the 'Manage Findings' section on Centrik. Once satisfied that the submissions are appropriate to close the finding, these should be submitted to the Authority by pressing 'Submit' button in the 'Submission to Authority' row of the 'Close' tab.

7.8. The SCAA will review the evidences and will close the finding once satisfied that the actions taken have adequately addressed the non-compliance. This will be indicated in the 'Acceptance by Authority' row of the 'Close' tab.

7.9. If the submissions are not adequate to close the finding, the SCAA team will reopen the 'Close' tab and provide relevant comment so that the aerodrome operator may update their submission.

Note 1. – Final closure of a finding is the responsibility of the SCAA. A finding will be considered closed only after the Authority has accepted the details and evidence submitted by the aerodrome operator.

Note 2. – The Authority reserves the right to conduct further inspection(s) to verify implementation of corrective actions before closing a finding.

7.10. Aerodrome operators should ensure that all appliable parts in the 'Act' and 'Close' tabs of the 'Manage Findings' section are filled in appropriately and that correct document(s) are uploaded to support the entries.

8. Documentary Evidence

8.1. Examples of documentary evidence to be submitted for closure of findings includes, but are not limited to:

- aerodrome or equipment manuals;
- operational procedures;
- contracts or other types of arrangements (can include works order, tender documents, etc.);
- training, qualification, or medical records;
- inspection records;
- test or exercise results;
- internal audit results;
- maintenance records; and
- other similar material required to be maintained by the aerodrome operator, or the provider of apron management services.

9. Queries

9.1. Any queries relating to this ASP should be addressed to Head of Aerodrome & Ground Aids Inspectorate on seyaga@scaa.sc

Aerodromes & Grounds Aids Inspectorate
Seychelles Civil Aviation Authority