

**AERONAUTICAL INFORMATION CIRCULAR - MOÇAMBIQUE**  
**AUTORIDADE DE AVIAÇÃO CIVIL DE MOÇAMBIQUE**  
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AIC - Internacional  
**02/18**  
31 January

## ADVISORY

### PREPARATION OF CORRECTIVE ACTION PLAN BY OPERATOR

#### 1. AUTHORITY

This advisory circular is issued under the authority of the Chairman of the Board Directors of the Civil Aviation Institute of Mozambique (IACM), pursuant to Article 19 of Law 05/2016 of 14 June and the paragraph p) of Article 9 of decree 70/2017 of 30 December.

#### 2. PURPOSE

This document contains technical guidance material for Aerodrome Operators for the development of corrective action plan to be implemented in order to address findings generated during safety inspections/audits by the Instituto de Aviação Civil de Moçambique. Considering the diversity of personnel and their specialization and in certain cases the sections from the Instituto de Aviação Civil de Moçambique involved, it is necessary to standardize the procedures in order to ensure that the results of the corrective actions developed by the aerodrome operators are objective, implementable, measurable and are structured to effectively address the findings in question and facilitate follow up of implementation up to closure of the finding after all those concerned have registered satisfaction with the results of the corrective action.

#### 3. REFERENCES

- 2.1 MOZ CARS, as amended
- 2.2 MOZ CATS 139 Volume I
- 2.3 ICAO Annex 14 – Volume I and II
- 2.4 ICAO Doc 9774 – Manual on Certification of Aerodromes
- 2.5 Manual of Aerodrome Certification Procedures

## 4. GUIDANCE INFORMATION

### *The safety audit*

The Instituto de Aviação Civil de Moçambique is mandated by the Mozambique Civil Aviation Regulations (MOZ-CARS) to carry out safety audit of aerodrome operators in order to ensure compliance of the provisions of the national laws, the national operating regulations and other best practices on aviation safety assurance.

Generally, safety audits are conducted to ensure that:

- a) The structure of the SMS is sound in terms of appropriate levels of staff; compliance with approved procedures and instructions; and a satisfactory level of competency and training to operate equipment and facilities and to maintain their levels of performance;
- b) Equipment performance is adequate for the safety levels of the service provided;
- c) Effective arrangements exist for promoting safety, monitoring safety performance and processing safety issues; and
- d) Adequate arrangements exist to handle foreseeable emergencies.

In addition to checking compliance with regulatory requirements, the Instituto de Aviação Civil de Moçambique will conduct safety audits to assess whether the procedures in use at an aerodrome are appropriate and whether there are any work practices that could have unforeseen safety consequences.

The scope of a safety audit will vary from an overview of all activities of a particular aerodrome, to a specific activity. The criteria against which the audit will be conducted should be specified in advance. Checklists will be used to identify what is to be reviewed during the audit in sufficient detail in order to ensure that all intended tasks and functions are covered. The extent and elaboration of the checklists will depend on the size and complexity of the aerodrome or the specific activity at that aerodrome being audited. A non-conformance to a specific regulatory requirement or approved operating procedure identified during an audit shall be referred to as a finding and shall be documented for corrective action. The severity of audit findings may range from minor to significant.

After a safety audit, the inspectors will prepare a comprehensive report outlining the audit process and provide details of the audit findings. The aerodrome operator will develop a corrective action plan and the Instituto de Aviação Civil de Moçambique will implement a monitoring mechanism to verify the effectiveness of any necessary corrective actions. Follow-up audits will be conducted concentrating on aspects of the operations where the need for corrective action was identified.

### *Classification of the audit findings*

Upon completion of the audit activities, the audit team should review together with the representative of the aerodrome operator all audit observations comparing them against the relevant regulations and procedures in order to confirm the correctness of observations

noted as nonconformities, deficiencies or safety shortcomings. This will be the opportunity for the aerodrome operator to correct any misunderstandings if any.

During this review, an assessment should be made of the seriousness with respect to all items noted as nonconformities, deficiencies or safety shortcomings. Auditors should bear in mind that the audit should not focus only on negative findings. An important objective of the safety audit is also to highlight good practice at the aerodrome or specific activity.

The audit findings may fall into three categories:

- a) Serious discrepancies of non-compliance warranting action to suspend a license, certificate or approval;
- b) Any discrepancy or non-compliance that must be rectified within an agreed time limit; and
- c) Observation on issues that are likely to impact on safety or become a regulatory issue before the next audit.

At the conclusion of this review, a draft copy of the final report shall be handed over to the aerodrome operator so that they can begin preparing for the corrective action plan bearing in mind the severity of each of the findings observed. The aerodrome operator shall ensure it provides a corrective action plan to the Instituto de Aviação Civil de Moçambique not more than two weeks from the receipt of the draft audit report.

The final safety audit report that the Instituto de Aviação Civil de Moçambique shall submit to the Management Office of the aerodrome operator shall contain this review **AND** a corrective action plan submitted by the aerodrome operator **AND** details of any follow-up audit action proposed. A copy of the final safety audit report shall be entered in the Aerodrome Certification File at the Instituto de Aviação Civil de Moçambique.

The final safety audit report should be an objective presentation of the results of the safety audit. The key principles to be observed in the development of the audit report are:-

- a) Accuracy and consistency of observations, using aviation language as much as possible;
- b) Observations stated clearly and concisely and substantiated with references;
- c) Avoidance of generalities and vague observations, avoiding acronyms and jargon;
- d) Objective presentation of the observations; and
- e) Avoidance of criticism of individuals or positions.

#### *Developing the Corrective Action Plan*

As an initial step the aerodrome operator shall define the finding by collecting and evaluating relevant information to determine the facts and causal factors (including root causes) that lead to non-compliance. The aerodrome unit responsible for the function or activity where non-compliance was identified should have a clear understanding and description of the finding supported by the facts and causal factors in order to develop the most appropriate and timely corrective action(s) to resolve the finding and prevent recurrence.

The second step in the process is to identify the action that must be taken in order to clear the finding. Corrective actions must be overt and constructed in the style of performance objectives. A performance objective typically consists of an action verb (a word describing an action) and a direct object (the person, facility or procedure affected by the action expressed by the verb). The criterion for performance will be the prescribed regulatory requirement. A clear and realistic time frame for accomplishment of the set objective shall be expressed. It is necessary to ensure that the performance is measurable in the safety oversight context.

The corrective action plan shall include a corrective action form for each finding requiring corrective actions by the date specified in the corrective action section of the finding form. For purposes of facilitating the review and acceptance process, supporting documentation that may take the form of technical record entries, purchase orders, memoranda, revised inspection/audit procedure cards, manual amendments, etc. may be attached. A sample corrective action form is attached as **Appendix A** of this TGM.

#### *Review and Acceptance of the Corrective Action Plans*

The corrective action plan shall be submitted to the Instituto de Aviação Civil de Moçambique for review and acceptance. The review and acceptance shall have the following objectives:-

- a) To ensure the corrective action plan is commensurate with the classification of the safety audit findings (addresses the most critical findings first);
- b) To ensure the corrective actions addresses in full the finding raised and shall prevent the recurrence;
- c) To determine that the corrective action plan has an inbuilt "reasonable timetable" to ensure that the proposed completion date as indicated is achievable considering the specific operational requirements at the aerodrome; and
- d) To ensure that the aerodrome operator has ensured adequate coordination with all other relevant agencies and organizations.

Where the corrective action plan is acceptable, the aerodrome operator shall be so advised and the appropriate information entered in the Aerodrome Certification File at the Instituto de Aviação Civil de Moçambique.

Where the corrective action plan is not acceptable, the Instituto de Aviação Civil de Moçambique (DAI) or other assigned person shall call a CAP Review Meeting with the Aerodrome Operator Management Office and after explanation of the reasons for non-acceptance request the plan be revised and re-submitted within 7 days. Where the aerodrome operator is non-responsive to this action, an alternative course of action may be pursued. Such action could include the sending of a Notice of Suspension of the Aerodrome Certificate.

#### *Follow up of Implementation of the Corrective Action Plan*

The primary purpose of the follow-up is to verify the effective implementation of the corrective action plan. Follow-up is also required to ensure that any action taken pursuant to the audit does not in any way degrade safety. In other words, new hazards with

potentially higher risks must not be allowed to enter the system as a consequence of the audit.

Failure by the auditor to follow up on lapses in implementing necessary (and agreed) safety actions will compromise the validity of the entire safety audit process. Follow-up action may be effected through monitoring the status of implementation of accepted corrective action plans or through follow-up audit visits. Where a follow-up visit has been made, a further report of this visit should be prepared. This report should clearly indicate the current status of the implementation of the agreed corrective actions. If any non-compliance, deficiency or safety shortcoming remains unresolved, this should be highlighted in the follow-up report and the aerodrome operator advised for further action.

On successful completion of the corrective action, the Instituto de Aviação Civil de Moçambique (DAI) shall be advised who shall decide if any follow up audit for purposes of closing that particular finding as necessary. Alternatively, a decision may be made to schedule a follow up audit upon completion of implementation of the whole corrective action plan.

On closure of the finding by the Instituto de Aviação Civil de Moçambique (DAI), the aerodrome operator shall be advised accordingly.

If on the other hand the aerodrome operator becomes aware that they will not be able to meet the timelines indicated in the corrective action plan, the Instituto de Aviação Civil de Moçambique (DAI) shall be advised in writing promptly. If the implementation of the corrective action plan will take longer than 90 days, the Instituto de Aviação Civil de Moçambique (DAI) shall order a risk assessment study to be conducted by the aerodrome operator or other assigned person in order to assess safety risks in order to determine what action needs to be taken.

**RECORD OF AERODROME INSPECTION FINDINGS**

**PART 1 : To be completed by the Aerodrome inspector**

<b>Aerodrome:</b>	<b>Finding Number:</b>
<b>Area of inspection:</b>	<b>Starting Date:</b>
<b>Name of the Inspector :</b>	<b>End Date:</b>
	<b>Finding Category:</b>

**REFERENCE DOCUMENT**

**FINDING**

**RECOMMENDATIONS**

**PART 2 : To be completed by the Aerodrome Operator**

**OBSERVATIONS and REMARKS – Aerodrome Operator**

STEP	PROPOSED CORRECTIVE ACTION(S) (To explain the short term and long term measures that will be taken to eliminate the deficiency and its reoccurrence).	ACTION OFFICE	EVIDENCE REFERENCE	STARTING DATE	COMPLETION DATE(S)	PROGRESS (%)
1.						
2.						
3.						

**PART 3 : To be completed by Aerodrome Inspector**

**FOLLOW-UP ON CORRECTIVE ACTIONS**

**COMMENT ON THE CAP**

STEP	EVALUATION OF CORRECTIVE ACTIONS PUT IN PLACE	DATE(S) OF APPLICATION OF CORRECTIVE ACTION(S)
1.		
2.		
3.		

<b>PROGRESS DOCUMENTED</b>	<b>REVIEW DATE</b>
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This finding has been resolved satisfactorily: \_\_\_\_\_  
 IACM Inspector's Name and Signature

## **Appendix B – SAMPLE CONTENT OF THE SAFETY AUDIT REPORT**

### **INTRODUCTION**

[This section should identify the audit, of which this report is the formal documentation, and introduce the different chapters included in the report.]

### **LIST OF REFERENCED DOCUMENTS**

[This section should outline all documents that were used during the audit.]

### **BACKGROUND**

[This section should describe the reason for the audit. This could be a regular audit, or there could be a specific reason for the audit (e.g. safety risk identified or safety incident observed).]

### **PURPOSE**

[This section should state the objective and scope of the audit as described in the audit plan. Any event during the audit that led to problems in fulfilling the objective should be described.]

### **STAFFING**

[This section should list the personnel included in the audit.]

### **OBSERVATIONS**

[This section should describe the observations of the audit team in general terms. Both good points and points of concern should be covered. The details concerning the observations should be attached as observation sheets, including the agreed corrective actions.]

### **GENERAL CONCLUSION**

[This section should present the general conclusions of the audit. It should not only focus on problems but highlight good points as well.]

### **ATTACHMENTS**

[All observation sheets and associated corrective action sheets should be attached to the audit report.]

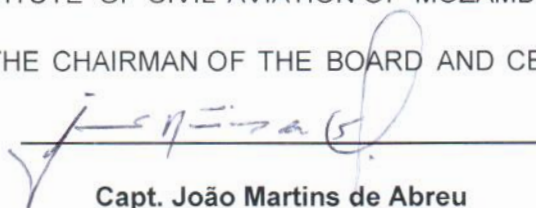
## 5. CHANGES

This Aeronautical Information Circular cancels the CIA 04/15 Preparation of Corrective Action Plan by Operator.

Maputo, 30 January 2018

INSTITUTE OF CIVIL AVIATION OF MOZAMBIQUE

THE CHAIRMAN OF THE BOARD AND CEO



A handwritten signature in blue ink, appearing to read 'João Martins de Abreu', is written over a solid horizontal line. The signature is stylized and includes a large loop at the end.

**Capt. João Martins de Abreu**