



INTERNATIONAL CIVIL AVIATION ORGANIZATION

A United Nations Specialized Agency

COSCAP-SEA

AIRCRAFT ACCIDENT/INCIDENT INVESTIGATION AUTHORITY WORKSHOP

Module 3.2

**CORRECTIVE ACTION PLANS, PQ SELF-ASSESSMENTS,
IDENTIFICATION & NOTIFICATION OF DIFFERENCES**

Importance of CAPs



- States are required to submit a CAP for each N/S PQ following an audit or an MIR.
- States should also amend the CAP for each PQ remaining N/S following a validation activity (e.g. ICVM or off-site validation activity).
- At the appropriate time, the State's CAPs are reviewed by ICAO to determine if they fully/partially/do not address the ICAO finding.
- The development of good CAPs facilitates the effective resolution of identified shortcomings and contributes to enhancing the State's investigation system.
- The State should perform a quality control of its CAPs (individually and as a set) before submission to ICAO on the OLF.
- Inter-agency coordination and cooperation / role of the NCMC.

Six Criteria for a Good CAP (“RCDSRC”)



- 1) **Relevant**: CAP addresses the *issues* and *requirements* related to the finding and corresponding PQ and CE.
- 2) **Comprehensive**: CAP is *complete* and includes *all elements or aspects* associated with the finding.
- 3) **Detailed**: CAP outlines implementation process using *step-by-step approach*.
- 4) **Specific**: CAP identifies *who will do what, when* and in coordination with other entities, if applicable.
- 5) **Realistic**: In terms of *contents* and *implementation timelines*.
- 6) **Consistent***: In relation to *other CAPs* and with the *State's self-assessment*.

* Criteria 1 to 5 are for individual CAPs. The 6th is for the set of CAPs.

Performing effective and reliable PQ self-assessments



- Continuous monitoring: first and foremost by the State itself – not only by ICAO.
- PQs - which include some guidance and ICAO references - are the main tool to conduct self-assessments.
- The conduct of a PQ self-assessment requires not only AIG-related knowledge, but also good knowledge and understanding of the Critical Elements.
- Requires expertise, time, good organization and right approach ('not Sat by default').
- The State may need outside assistance to perform PQ self-assessment (e.g. through a peer review).
- The PQ self-assessment would need to be updated from time to time (e.g. every xx years or following significant changes in the State).
- Each State should aim at building capacity to perform thorough and reliable PQ self-assessments.

Identification and notification of differences with ICAO SARPs



- ‘Differences’ = differences between the SARPs and the State’s legislation **and** practices.
- The determination of the level of compliance with ICAO SARPs is a complex exercise, with technical and legal aspects, which should be supported by procedures, including guidelines.
- Requires expertise as well as cooperation between technical and legal experts.
- The AAIAs should have its internal procedures addressing the identification and notification to ICAO of differences with ICAO SARPs, in line with the State’s procedures (typically: the CAA’s procedures).
- Cooperation with the CAA may be part of the arrangement (MOU) with the CAA.
- Regional cooperation may be beneficial – especially if the State is member of a RAIO and/or uses regional model/harmonized legislation. However, each State will have its own situation, therefore its own potential differences.
- The State’s Constitution, as well as non-investigation-related legislation may also impact the State’s level of compliance with Annex 13 (e.g. re. civil/criminal proceedings; access to information, etc.)

What is your State's experience?



ICAO

North American
Central American
and Caribbean
(NACC) Office
Mexico City

South American
(SAM) Office
Lima

ICAO
Headquarters
Montréal

Western and
Central African
(WACAF) Office
Dakar

European and
North Atlantic
(EUR/NAT) Office
Paris

Middle East
(MID) Office
Cairo

Eastern and
Southern African
(ESAF) Office
Nairobi

Asia and Pacific
(APAC) Sub-office
Beijing

Asia and Pacific
(APAC) Office
Bangkok



THANK YOU