



State Agency  
“Civil Aviation Agency”  
Republic of Latvia

# **Guidelines for Management of Findings**

Aviation Personnel and Organisations Certification section

Riga, 2026



# RECEIVED A FINDING REPORT? IT'S FOR IMPROVEMENT!

The purpose of raising a nonconformity or finding is **not to assign blame or impose sanctions**, but to communicate objectively that a requirement has not been fulfilled. This enables the organization to understand the issue, determine its root cause, define a corrective action plan and implement appropriate corrective actions, and continually improve the effectiveness of its management system.



## **STEP 1- ACKNOWLEDGEMENT OF THE NONCONFORMITY**

Upon receipt of the finding report, review the deadlines specified by the CAA for completing the root cause analysis, submitting the corrective action plan, and implementing the corrective actions required to close the nonconformity. These deadlines should be taken into account when planning and managing the corrective action process.



State Agency  
"Civil Aviation Agency"  
Republic of Latvia

The responsible person **acknowledges** receipt of the finding report, reviews the reported information, and initiates the nonconformity management process.

Where clarification or additional information is required, contact the responsible CAA inspector before proceeding with the root cause analysis and corrective action planning.



## **STEP 2- DETERMINE A ROOT CAUSE**

The objective of root cause failure analysis is to identify “root cause(s)” so that these latent failures may be eliminated or modified and future occurrences of similar problems or mishaps may be prevented.

Proper determination of the root cause is crucial for defining effective corrective actions.



# ROOT CAUSE ANALYSIS

Root cause analysis assumes that systems and events are interrelated. An action in one area triggers an action in another, and another, and so on. By tracing back these actions, you can discover where the problem started and how it grew into the symptom you're now facing.



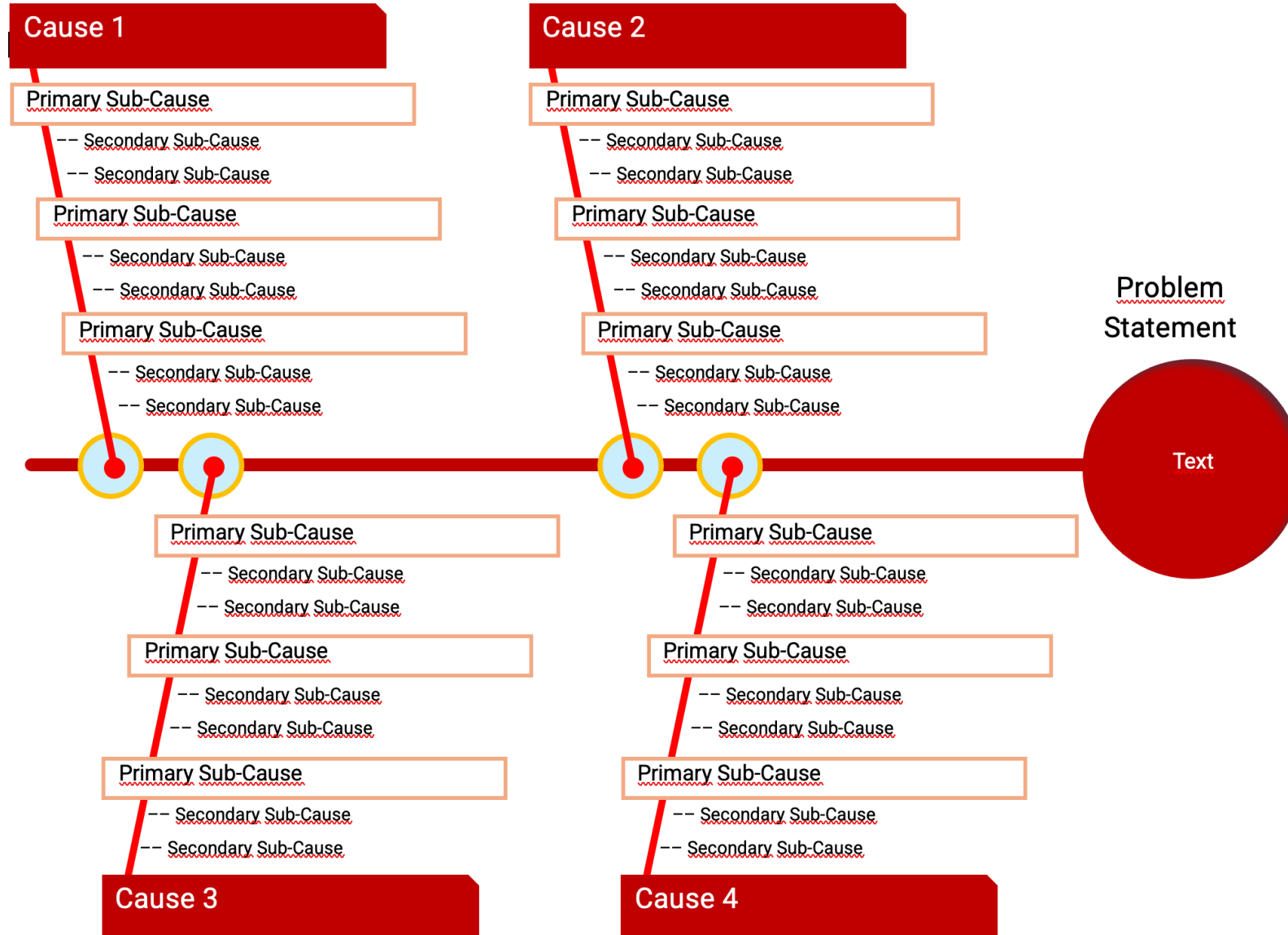
# COMMON ROOT CAUSE ANALYSIS METHODS

Method	Best used for	Description
<b>5 Whys</b>	Simple to moderately complex issues	Repeatedly asking "Why?" (typically five times) to identify the underlying cause rather than the immediate symptom.
<b>Fishbone (Ishikawa/Cause-and-Effect) Diagram</b>	Complex problems with multiple possible causes	Identifies potential causes under categories such as People, Methods, Equipment, Materials, Environment, and Measurement.
<b>Brainstorming</b>	Initial identification of possible causes	A structured discussion involving relevant personnel to generate and evaluate potential root causes.
<b>Process Mapping (Flowcharting)</b>	Process-related nonconformities	Reviews each step in a process to identify where failures or deviations occur.
<b>Failure Mode and Effects Analysis (FMEA)</b>	High-risk or preventive analysis	Systematically evaluates potential failure modes, their causes, effects, and associated risks.
<b>Change Analysis</b>	Problems following a change	Compares the current situation with the previous state to determine what changed and contributed to the nonconformity.

# EXAMPLES



State Agency  
"Civil Aviation Agency"  
Republic of Latvia



# EXAMPLES

## 5 WHYs TEMPLATE



State Agency  
"Civil Aviation Agency"  
Republic of Latvia

<b>DEFINE THE PROBLEM</b>	Flight 789 experienced operational disruptions and deviations from standard procedures.
<b>WHY IS THIS A PROBLEM?</b>	<p><b>PRIMARY CAUSE</b> Why is it happening?</p> <p>1 Crew used not correct procedures for communication.</p> <p>Why is that?</p> <p>2 Lack of knowledge of procedures, technologies and communication system.</p> <p>Why is that?</p> <p>3 Bad quality of trainings on new procedures</p> <p>Why is that?</p> <p>4 Training program has not been appropriately updated to include procedural changes</p> <p>Why is that?</p> <p>5 Lack of management system performed by the organization</p> <p><b>NOTE: If the final "Why" has no controllable solution, return to the previous "Why."</b></p> <p style="text-align: right;"><b>ROOT CAUSE</b></p>
<b>CORRECTIVE ACTION TO TAKE</b>	<p><b>CORRECTIVE ACTION</b></p> <p>As an immediate corrective action: In 10 working days all the crew should pass detailed trainings on new procedures.</p> <p>Organization should do new management of change in order to address the change on the procedures.</p>



# **DON'T STOP AT THE SYMPTOM. FIND THE ROOT CAUSE!**

If root cause failure analysis is not performed, and the analyst only identifies and fixes the proximate causes, then the underlying causes may continue to produce similar problems or mishaps in the same or related areas.



State Agency  
"Civil Aviation Agency"  
Republic of Latvia

# DOCUMENT IT!

The root cause analysis shall be documented for all nonconformities, regardless of whether they are identified internally or externally.

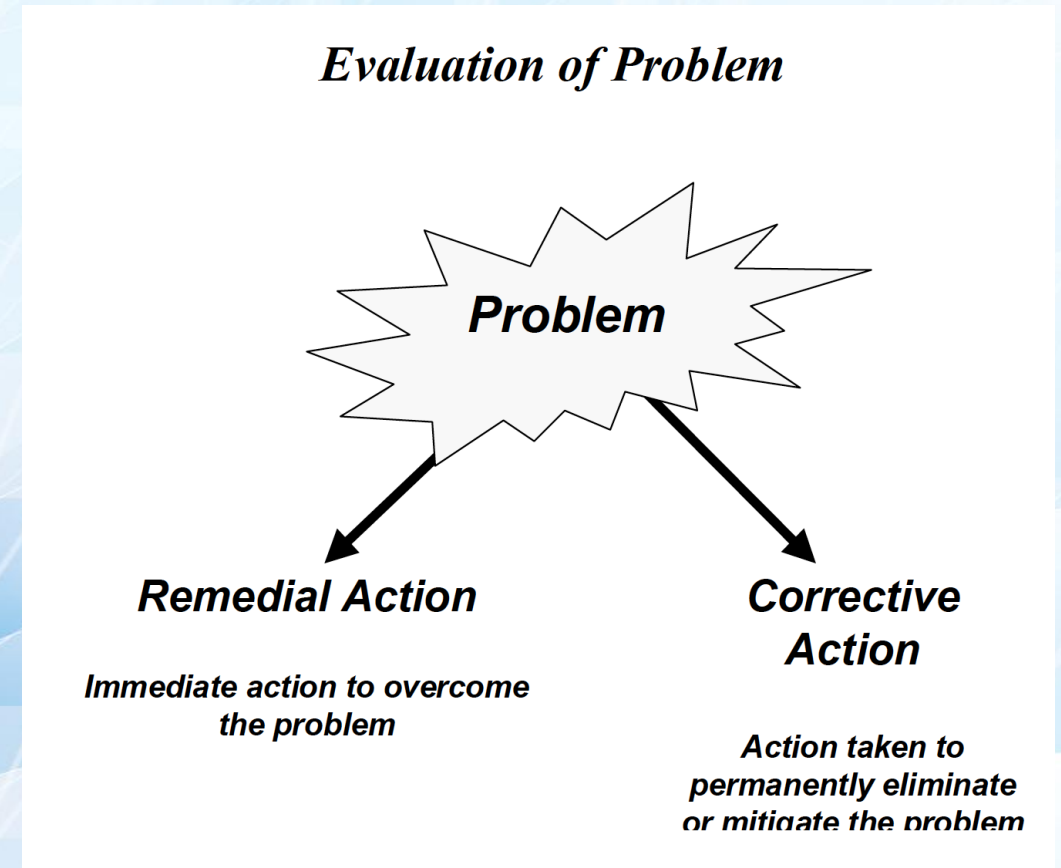


## **STEP 3- PREPARE A CORRECTIVE ACTION PLAN**

Corrective action is the action to eliminate or mitigate the root cause(s) and prevent recurrence of an existing detected non-compliance or other undesirable condition or situation.



The corrective action plan defined by the organisation should address the effects of the non-conformity, as well as its root-cause.





State Agency  
"Civil Aviation Agency"  
Republic of Latvia

## **STEP 4- DOCUMENT AND REPORT TO CAA!**

In accordance with the deadlines specified in the Finding Report, submit the completed Application for Corrective Action and Implementation Plan to the CAA



State Agency  
"Civil Aviation Agency"  
Republic of Latvia

Valsts aģentūra "Civilās aviācijas aģentūra"  
State Agency "Civil Aviation Agency" of the Republic of Latvia  
10 Biroju street, Airport "Rīga", Mārupes novads, LV-1053, Latvia  
Phone +371 67830936, fax +371 67830967  
[caa@caa.gov.lv](mailto:caa@caa.gov.lv), [www.caa.gov.lv](http://www.caa.gov.lv)

APPLICATION  
CORRECTIVE ACTION AND IMPLEMENTATION PLAN

Organisation	Name of the Organisation	Report No.	AA/XX/YYYY
--------------	--------------------------	------------	------------

FILLED IN BY ORGANISATION

Purpose of the application:  original approval /  approval for the extension of the finding prevention period

Result of root cause analysis\*

The root cause and reference to another document when detailed analysis is carried out in a separate document.

Proposed corrective action\*\*

No.	Action	Responsible person	Due date (max 3 months)
1.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name, Surname	dd.mm.yyyy
2.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name, Surname	dd.mm.yyyy
3.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name, Surname	dd.mm.yyyy
4.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name, Surname	dd.mm.yyyy
5.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name, Surname	dd.mm.yyyy

Add additional rows to the plan, if necessary, or delete excess rows

\* When determining the root cause, the organisation shall consider that the non-conformities detected during the audit where optional evidence for non-compliance and therefore do not exclude the existence of any other non-conformities. Accordingly, it is not only the audit evidence that needs to be corrected, but the non-compliance itself, in its broadest sense. In cases where an organisation is already aware of the existence of similar non-conformities which have not been detected during the audit because they did not fall within the scope of the evidence, they shall be identified and corrected accordingly.

\*\* When determining corrective actions, the organisation shall consider that successful enforcement of the plan also eliminates the identified root cause. The overall due date for the implementation of corrective actions must be appropriate to the nature of the finding that in any case shall not be more than corrective action implementation period granted by CAA.

Postholder of the Organisation	Date	Signature
Name, Surname	dd.mm.yyyy	



The overall due date for the implementation of corrective actions must be appropriate to the nature of the finding that in any case shall not be more than corrective action implementation period granted by CAA.



FILLED IN BY CAA INSPECTOR

Assessment of the corrective action and implementation plan proposed by the Organisation

sufficient /  not sufficient to address the non-compliance(s)

Comments (if necessary)

Decision

Corrective action and implementation plan submitted by Organisation is acceptable.

Due date for the submission of all evidences of corrective actions completed dd.mm.yyyy

Corrective action and implementation plan submitted by Organisation is not acceptable.

Due date for resubmission of the plan dd.mm.yyyy



Do not commence  
implementation of the  
corrective action plan until  
has been reviewed and  
accepted by the CAA



## STEP 5- IMPLEMENT THE PLAN AND NOTIFY CAA OF COMPLETION

- Keep track on your corrective action plan
- Fill the Finding clearance report
- Submit the report together with **objective evidence** demonstrating the implementation and effectiveness of the corrective actions.



State Agency  
"Civil Aviation Agency"  
Republic of Latvia

Valsts aģentūra "Civilās aviācijas aģentūra"  
State Agency "Civil Aviation Agency" of the Republic of Latvia  
10 Biroju street, Airport "Rīga", Mārupes novads, LV-1053, Latvia  
Phone +371 67830936, fax +371 67830967  
[caa@caa.gov.lv](mailto:caa@caa.gov.lv), [www.caa.gov.lv](http://www.caa.gov.lv)

**REPORT  
FINDING CLEARANCE**

Organisation	Name of the Organisation	Report No.	AA/XX/YYYY
--------------	--------------------------	------------	------------

**FILLED IN BY ORGANISATION**

Purpose of the application:  original /  additional finding clearance report

**ORGANISATION'S STATEMENT ON CLEARANCE**

No.	Corrective action taken according to approved plan	Evidences attached
1.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name of the document / file
2.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name of the document / file
3.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name of the document / file
4.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name of the document / file
5.	Action and reference to the manual / procedure / document to be corrected (if necessary)	Name of the document / file

Add additional rows to the plan, if necessary, or delete excess rows

Comments on corrective actions taken (if necessary)

Postholder of the Organisation	Date	Signature
Name, Surname	dd.mm.yyyy	



Please note that corrective actions taken should be according to the approved plan



## **ADDITIONAL TIME REQUIRED TO RESOLVE THE NONCONFORMITY?**

Any request to extend the deadline for implementing the corrective actions and closing the nonconformity shall be supported by an objective justification and accompanied by a revised Corrective Action Plan.



Please note that the finding clearance date can be extended only once



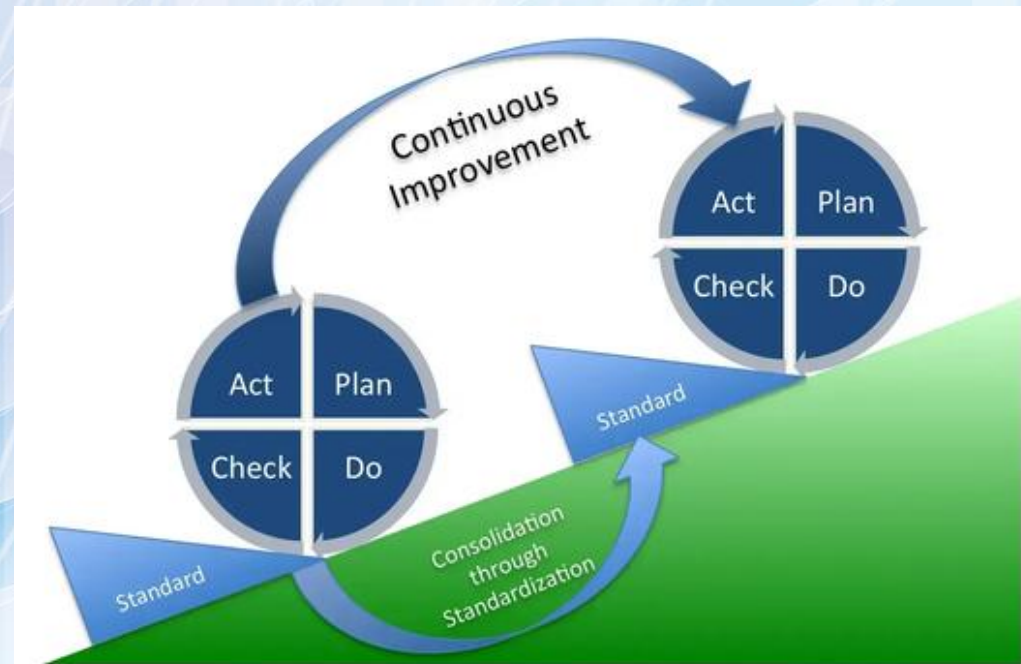
State Agency  
"Civil Aviation Agency"  
Republic of Latvia

A finding is considered closed only after the CAA has verified the effectiveness of the corrective actions and **formally confirmed** its closure.



## STEP 6- LEARN FROM THE NONCONFORMITY

Use the experience gained to strengthen your management system and prevent similar nonconformities from recurring.





State Agency  
“Civil Aviation Agency”  
Republic of Latvia

**Thank you!**

2026  
Riga