



Directorate General of Civil Aviation

SURVEILLANCE PROCEDURES MANUAL

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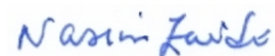
PREFACE

The Surveillance Procedures Manual has been prepared for use and guidance of DGCA officers in the performance of their duties with respect to the surveillance requirements. It is designed to provide foundation for promoting safety through regulation and a proactive safety oversight system, as envisioned. The provision of this manual shall apply to the surveillance activities on all operators, service providers and other organization approved by DGCA.

All subject matters pertaining to Surveillance and Enforcement Division of DGCA, duties, responsibilities and procedures have been covered to the extent possible. Officers are expected to use good judgment while dealing with the matters where specific guidance is not available.

The manual will be updated from time to time based on suggestions / inputs received

30th April, 2009



Dr. Nasim Zaidi
Director General of Civil Aviation

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INDEX

Chapter No.	CONTENTS
1.	INTRODUCTION
2.	SURVEILLANCE RESPONSIBILITY AND PROCEDURES
3.	SURVEILLANCE OF FOREIGN AIRCRAFT (SOFA)
4.	RESOLUTION OF SAFETY CONCERNS
5.	SAFETY INFORMATION ANALYSIS SYSTEM (SIAS) IN DGCA
6.	MONITORING DEFICIENCIES
7.	MONITORING OF SURVEILLANCE ACTIVITIES
8.	NIGHT SURVEILLANCE INSPECTION
9.	RECORDS
10.	TRAINING
	APPENDICES 'A' - TABLES TO BE PRESENTED BY REGIONAL OFFICES/ DIRECTORATES TO SED FOR MONTHLY SURVEILLANCE REVIEW. 'B' - TABLES TO BE PRESENTED BY SED FOR MONTHLY SURVEILLANCE REVIEW 'C' – DEFICIENCY REPORTING FORM 'D' – SOFA INSPECTION CHECKLIST 'E' – CHECKLIST FOR ASSESSMENT OF SURVEILLANCE ACTIVITY 'F' – CHECK LIST FOR CROSS REGIONAL CHECKS 'G' – CHECKLIST FOR NIGHT SURVEILLANCE CHECKS

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VISION

***Endeavour to promote
safe and efficient
Air Transportation
through regulation and proactive
Safety
Oversight system.***

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CHAPTER – 1

INTRODUCTION

1.1 Surveillance Policy: -

The purpose of surveillance is to determine whether compliance with regulations and standards is being maintained, in relation to the approved provisions in the Operator's Manual or exposition required to be submitted (for acceptance/approval by DGCA) under the entry process, and maintained during the validity of the certificate. The rules place emphasis on this exposition and the management and quality assurance systems that show how the organisation will stay in compliance.

During the surveillance the focus is on checking what is being done, against what the organisation says it will do, as set out in the manual(s). The procedures set out in the organisation's manual will be a combination of those required to maintain compliance with regulatory (minimum) standards, and those arising from company (additional) standards activities. A deviation from procedures required to maintain compliance with the minimum standards is a finding of non-compliance, and a finding of non-conformance in other cases, and the corrective action will be determined accordingly.

The DGCA has been established as a safety regulator with legal competence for rulemaking and relevant aviation safety regulations. DGCA is the principal regulatory body for implementing and enforcing civil aviation regulations and is also responsible for regulation of air transport services to/from and within India. The DGCA discharges State Safety Oversight obligations on behalf of the State. DGCA has its Headquarters in New Delhi, consisting of the following Directorates:-

- Directorate of Air Transport.
- Directorate of Flight Standard.
- Directorate of Airworthiness.
- Directorate of Aerodrome Standards.
- Directorate of Air Safety.
- Directorate of Training & Licensing.
- Directorate of Flying Training.
- Directorate of Aircraft Engineering.
- Directorate of Regulation & Information.
- Directorate of Administration

DGCA's Regional/Sub Regional offices are located at Delhi, Mumbai, Kolkata, Chennai and Bangalore and sub-regional offices at Hyderabad, Bhopal, Lucknow, Kanpur, Patiala, Patna, Bhubaneswar, Guwahati and Cochin.

In order to further strengthen and enhance the Safety oversight system a Surveillance and Enforcement Division in Headquarters has been setup.

1.2 Enforcement policy and procedures manual

The Enforcement Policy and Procedures Manual has been prepared by DGCA to provide details about the Enforcement policy and procedures, roles and responsibilities of DGCA officers, description of the enforcement tools available, guidelines and procedure for appropriate use of enforcement tools, Reporting enforcement, Recording enforcement, Collecting and handling evidence, Investigations by officers, Gaining access, Note taking & interviewing and Detaining aircraft.

The Enforcement Policy and Procedures Manual also provide details about DGCA statutory provisions to be complied with by the industry and the procedure to be followed for their enforcement. In this connection, it is vital to keep in mind the difference between compliance and enforcement. Compliance consists of all regulations and safety standards being met. When compliance exists, there is no need for enforcement. Enforcement is the action necessary when compliance is not present. Enforcement requires legal and administrative action.

Compliance and enforcement actions need to be applied as consistently as possible. However, DGCA Officers/Inspectors shall consider each case individually in order to determine an appropriate enforcement action. They should recommend actions that, in their professional judgment, will appropriately serve the purposes of the DGCA's safety mandate. It is essential that enforcement action where required is taken in as fair and equitable a manner as possible, through application of consistent, transparent and systematic procedures. A vital part of this aspect is to achieve uniformity, transparency and consistency of enforcement action. Similar conduct under similar circumstances should result in the same type of enforcement action. In addition, precedents of action taken on similar lapses in the part should be kept in mind while deciding enforcement action.

The cases for enforcement action are brought forward by SED for consideration by BFAS. After decision by BFAS, the same will be intimated to respective directorate to take enforcement action.

The procedures detailed here in shall be followed by the officers of DGCA, while performing surveillance.

CHAPTER 2

SURVEILLANCE AND ENFORCEMENT DIVISION

2.1 Surveillance Division

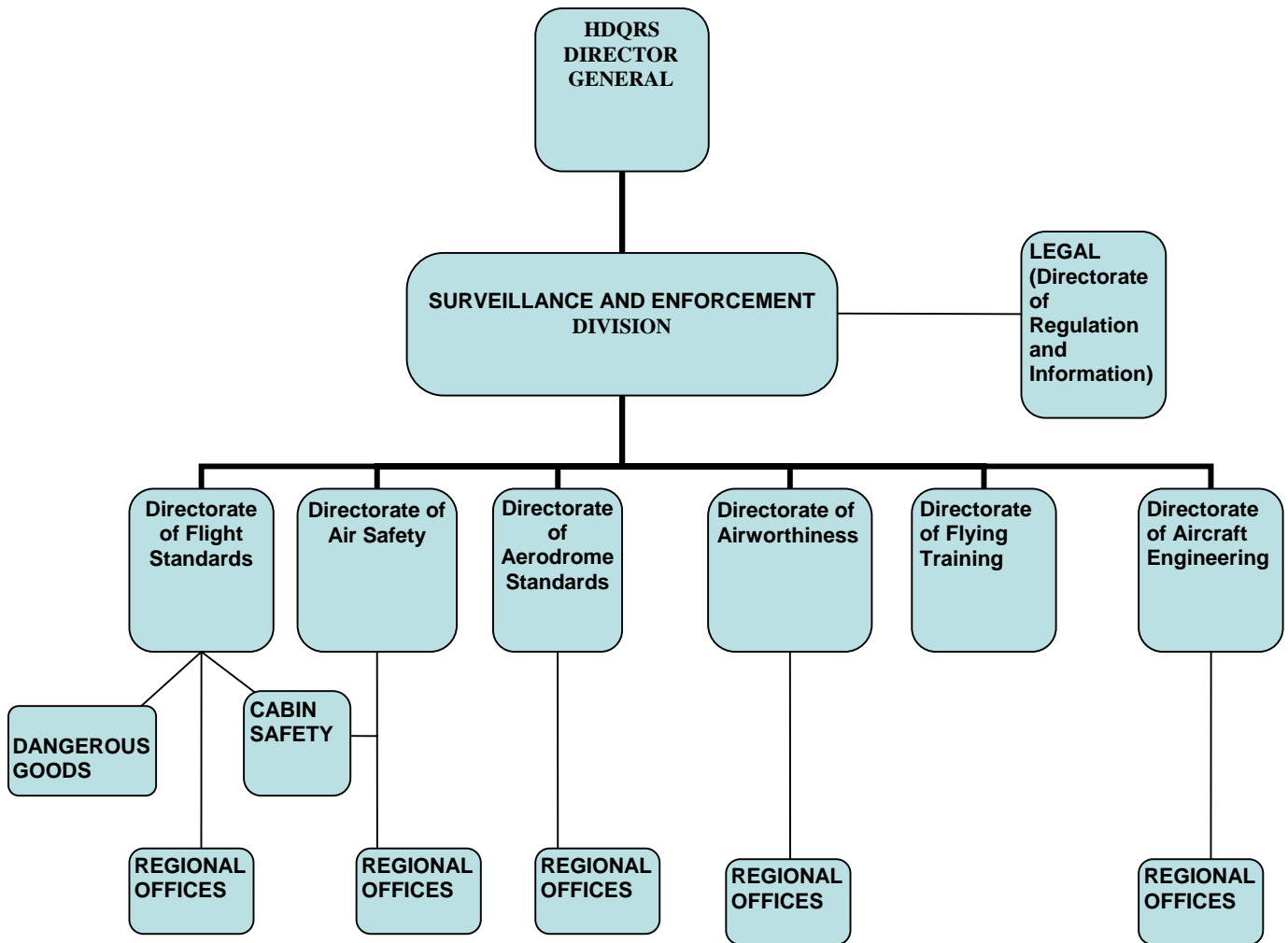
India being one of the contractual signatories to the convention on International Civil Aviation and a member of the International Civil Aviation Organisation (ICAO), has an obligation to promote safe, orderly and efficient operation of aviation activities. To meet state obligations, DGCA has developed a system of surveillance to ensure that the standard maintained at the time of issue of aviation documents, such as approval certificate, licence, rating, etc. is maintained throughout the validity period. Therefore, primary responsibility of the DGCA is Safety Oversight, and to meet this obligation, DGCA has prepared an Annual Surveillance Programme (ASP) in respect of all the Directorates. In order to ensure effective monitoring of the surveillance programme and enforcement action, DGCA has created a "Surveillance & Enforcement Division (SED).

The Surveillance and Enforcement Division in Headquarters has a key role to plan, monitor, oversee and enforce actions on behalf of Directorates/Regional and Sub Regional offices. Key functions of SED are: -

1. Development of a consolidated system of Surveillance for all Directorates and to monitor compliance of the program as applicable to each Directorate.
2. Compile the Annual Surveillance Program (ASP) comprising of all Directorates.
3. To notify Annual Surveillance Plan for various Directorates and publish the same on and DGCA website. The plan includes the area of activity to be inspected month wise.
4. ASP is published in two Parts – Part I outlining ASP of Airworthiness Directorate and Part II outlining the ASP of the remaining directorates.
5. To compile data on surveillance received from various directorates of DGCA Headquarters and field offices on standard formats.
6. To maintain data Base of Surveillance deficiency findings.
7. To organize a monthly monitoring meeting with all Directorates and Regional Heads to analyze the deficiencies pointed out by the field inspectors.
8. To refer all Level 1 and important level 2 findings to Board for Aviation Safety (BFAS) for taking action as per administrative provisions of Enforcement policy and Procedures Manual and Rules as applicable.

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REPORTING CHANNELS OF SURVEILLANCE ACTIVITIES



2.2 FUNCTIONS OF DIRECTORATES AT HEADQUARTERS – WITH RESPECT TO SURVEILLANCE ACTIVITIES

In carrying out the surveillance function, each Directorate at Headquarter has the following broad responsibilities:

- (i) Develop an Annual Surveillance Programme (ASP) each year related to their area of surveillance and submit it to Surveillance Monitoring & Enforcement Division latest by 15th of November every year.
- (ii) Develop a checklist for surveillance area giving reference of regulations to applicable be complied with schedule surveillance activities, assigning officers and resources
- (iii) Maintain records of surveillance activities/create Data Base.
- (iv) Follow up implementation and closure of corrective actions by tracking mechanism.
- (v) Recommend regulatory action where necessary to ensure compliance with the rules.
- (vi) Report on the performance of surveillance every month in prescribed formats **(Appendix B)**.
- (vii) Attend the monthly surveillance monitoring meeting to represent their surveillance programme and submit the summary of monthly surveillance report to the SED latest by 15th of the following month.

2.3 FUNCTIONS OF REGIONAL/SUB-REGIONAL FIELD OFFICES WITH RESPECT TO SURVEILLANCE ACTIVITIES

The Regional / Sub Regional and other field offices have the following functions:-

1. Execution of regional surveillance plan as per ASP.
2. Compliance with the procedures manual as developed by each directorate while carrying out surveillance.
3. Recording and reporting of findings to the respective directorate by the 10th of every month.
4. Report on the performance of surveillance every month in prescribed formats (Appendix B).

5. Attend the monthly surveillance monitoring meeting to represent their surveillance programme and submit the summary of monthly surveillance report to the SED latest by 15th of the following month.
6. Assess the action taken by the organization and carry out follow up audit if required.
7. Report violations to the respective directorates including nil response.
8. Report Level I findings to the respective directorates and SED.
9. Present the execution of the surveillance program in the monthly review meeting.
10. Maintain record of the surveillance.

2.4 SURVEILLANCE PROCEDURE

A monthly review of ASP/Audits will be held on 3rd Monday of the following month in DGCA Hqrs., wherein monthly progress, shortfalls against monthly targets / problems faced etc; will be analyzed by DGCA along with analysis of identified deficiencies categorized into level I & II. These deficiencies will be fed into the ASP Data Base for resolution, tracking and dissemination of safety related issues.

2.5 Responsibility of the Officer(s) carrying out surveillance:-

- i) Intimate the organization of the DGCA surveillance plan at least 7 days in advance of the officers visit. On request from the organization, the dates of inspection may be deferred by a week, and another suitable date intimated. If this is also requested for deferment, a third date should be given. Any further request for postponement should not be agreed to and the surveillance to be carried out on dates finally intimated. If the inspection is not allowed by the organization, it should be reported to DGCA Headquarters as level 1 finding for immediate enforcement action.
- ii) The assigned officers should be familiarise themselves with the reference regulation in a thorough manner. The officer should study
 - a) Applicable regulations, CARs, AICs / DGCA circulars etc.
 - b) Company procedures / manuals.
 - c) Previous audit(s) / Inspection reports (at least two previous reports must be studied and actions taken by organization to close all previous findings should be noted).
 - d) Applicable checklist should be updated with any changes in the regulations / manuals and customization notes for the specific organization should be prepared.

- e) The division specific information with respect to area of surveillance such as ADs, MMEL revision no., manufactures latest instruction with regard to AMM revision etc should be noted prior to commencement of audit.

It is expected that the study and familiarization with the organization specific material will take 2-3 days prior to the surveillance date. Head of office should ensure that the surveillance team is relieved of extraneous office duties to enable them to prepare for meaningful surveillance.

1. The surveillance shall be started with a meeting of Accountable Manager / Post Holder with the Audit Team.
2. Surveillance shall be carried out with the use of customized audit check list.
3. Observations made during surveillance shall be recorded against each item of audit check list
4. The completed deficiency reporting form should then be forwarded to the concerned operator/organization for necessary corrective action **(Appendix 'C')**.
5. After receipt of notification of findings, the approved organization shall define a corrective action plan and demonstrate corrective action to the satisfaction of the DGCA within a period depending upon the level of the finding.
6. On receipt of such form from the operator / organization, DGCA officers shall review the target date depending upon the level of deficiency for corrective action before acceptance of the same. The time period as specified in enforcement circular No. 1 of 2009 dated. 1st September 2009 shall be kept in mind while allowing the target date for corrective action.
7. All organizations shall take prompt action of resolving the non-conformities brought out during the surveillance inspection, spot checks or safety audits conducted by DGCA.
8. Time period for compliance shall be counted from the next calendar day of the date of raising the DRF.
9. Where the organization fails to implement the corrective action after the time period agreed with DGCA, the Regional office will forward the non-compliance report to DGCA Hdqrs. for consideration by the DGCA with appropriate recommendation.
10. Where no reasonable and justified reasons are assigned for non-implementation of the corrective action plan within the time frame agreed upon with DGCA office, necessary enforcement action will be initiated against the organization or the person responsible for non-compliance as the case may be.

11. The time periods as specified above supersede any other time periods specified in any other regulation such as CAR 21, CAR 145 etc. Variation of the time periods for compliance shall only be with the approval of the Director General.
12. A monthly program of Audit is also prepared by some directorates / divisions which covers Scheduled & Non scheduled operators. A monthly progress report of ASP will be submitted by all Regional Offices (including Sub-Regional Offices) and Hdqrs. officers to their respective Directorates in Hdqrs. by 10th of the following month on prescribed proforma (**Appendix 'A'**). All Directorates at Hdqrs. shall send report to SED by 15th of the following month.

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CHAPTER 3

3.1 SURVEILLANCE OF FOREIGN AIRCRAFT (SOFA)

Under Article 16 of the Convention on International Civil Aviation, States are entitled to search aircraft from other States on landing and departure and to inspect the certificates and other documents prescribed by the Convention and its Annexes, provided there is no unreasonable delay to the operation.

Further, paragraph 4.2.2.2 of ICAO Annex 6 (Operation of Aircraft, Part I – International Commercial Air Transport – Aeroplanes) also requires that States shall establish a programme with procedures for the surveillance of operations in their territory by a foreign operator and for taking appropriate action when necessary to preserve safety.

Designated airlines of foreign countries who have been issued the operating authorization / permit by DGCA are subjected to surveillance by inspectors of DGCA in accordance with the procedures established as follows:-

3.1.1 Procedure for Inspection:

The surveillance of foreign airlines shall be limited only to ramp inspection including documentation reviews.

An annual programme for the surveillance shall be drawn by DGCA in advance. However, in certain situations, unannounced inspections may also be carried out.

The ramp inspection shall be carried out by a team comprising of trained inspectors from operations and airworthiness holding appropriate credentials issued by DGCA.

While performing a ramp inspection, the various elements of the inspection – the visual inspection of the aircraft exterior, the inspection in the flight deck and the inspection of the passenger cabin and/or cargo compartments – may be divided among the inspectors.

Before the commencement of the inspection, the Inspectors shall identify themselves to the pilot-in-command or, in his absence, to a member of the flight crew or to the most senior representative of the operator prior to commencing the onboard part of their ramp inspection. When it is not possible to inform any representative of the operator or when there is no such representative present in or near the aircraft, the general principle will be not to perform a ramp inspection. In special circumstances, if

it is decided to perform a ramp inspection, it shall be limited to a visual check of the aircraft exterior only.

The inspection shall be as comprehensive as possible within the time and resources available. In case of availability of only limited amount of time, the number of inspection items shall be reduced. The checklist of be used for carrying out the ramp inspection is given at **Appendix 'D'**.

The general principle shall be that the ramp inspection shall not cause an unreasonable delay in the departure of the inspected aircraft. Possible causes for delay may be, but are not limited to, doubt regarding the correctness of the flight preparation, the airworthiness of the aircraft or any matters directly related to the safety of the aircraft and its occupants.

3.1.2 Post Inspection Actions:

The checklist used for the inspection shall be completed and a copy handed over to the pilot-in-command, or in his absence, to a member of the flight crew or to the most senior representative of the operator present in or near the aircraft upon completion of the inspection. A signed acknowledgment of receipt of the proof of inspection shall be requested from the recipient and be retained by the inspector. Refusal by the recipient to sign shall be recorded in the document.

In case of disagreements concerning inspection findings, the deficiencies shall be communicated to the foreign airlines' regulatory authority. Serious safety deficiencies would require DGCA to initiate a dialogue with the regulatory authority of the state of the Operator including the operator. Failure to take positive action to rectify the deficiencies may result in cancellation / revocation of foreign airlines authorization.

Inspection team will provide a copy of the inspection report to Surveillance and Enforcement Division for taking follow up action with the regulatory authority of the airline concerned.

Where action is expected to be taken by the airline the regulatory authority will be requested to intimate the action taken to DGCA.

The annual programme for SOFA will be monitored by SED and will be reviewed by the DG in the monthly surveillance meeting.

SOFA findings should be communicated by SED Division to the regulatory authority of the foreign airline.

CHAPTER 4

RESOLUTION OF SAFETY CONCERNS

4.1 BOARD FOR AVIATION SAFETY (BFAS)

For effective implementation of surveillance programme, it is necessary that surveillance carried out by various directorate should be monitored at Headquarters. Therefore a standing Board for Aviation Safety (BFAS) has been setup at DGCA Hdqrs under the chairmanship of Director General of Civil Aviation with the objective to resolve category level I safety deficiencies in a timely manner. This Board will also act as Enforcement Office of DGCA.

All JDGs, DDG (R & I) and the head of the concerned directorate whose finding is under review will constitute the Board. The SED will arrange to convene the meeting of BFAS every month to review level I findings. Surveillance programme of each directorate will also be reviewed. All directorates are required to forward level I findings along with the details to SED whenever they receive from their respective directorates / Regional units.

In addition to above the Board will also review the following :-

1. Cases where significant non compliance occurs with the applicable requirement which lowers the safety standards and hazards seriously the flight safety.
2. Cases of violations to the Aircraft Rules and CARs and other DGCA Directives requiring enforcement actions.
3. Repetitive findings which could lower the safety standards and could possibly hazard the flight safety.
4. Other deficiencies if not rectified within the stipulated time period.
5. Cases put up under Appeals.
6. Review of recommendations of Courts of Inquiry and similar safety recommendation.
7. Important incidents to all aircraft and
8. Other Important safety issues

The Board decides on the Enforcement actions to be taken in a fair, transparent and firm manner. The decisions are taken in line with Aircraft Rules and penalties invoked as per Schedule VI after adhering to the procedures as per the Enforcement Policy and Procedures Manual. The Board meets at least once a month to decide on

the actions to be taken against the cases under submissions by the SED. In the process of ensuring Enforcement the following principles are adhered to :-

1. Natural justice and accountability
2. Impartial and unbiased consideration
3. Proportionality and standardization of enforcement actions.

The cases under consideration are presented by the concerned directorate and discussed in the Board. The decisions of the Board are minuted and conveyed to the participants and concerned directorates for taking effective enforcements.

CHAPTER – 5

SAFETY INFORMATION ANALYSIS SYSTEM (SIAS) IN DGCA

1. Need for pro-active actions for strengthening and enhancement of aviation safety requires no emphasis. Utilization of safety related information and taking corrective actions for future is one effective way to promote safety.
2. Safety related information is furnished to Directorate of Air Safety (DAS) from various sources such as WSOs, airlines, aerodromes etc. These information relate to Incidents / Occurrences (also referred as Troubles) which may have affected operations of aircraft and also have potential of converting into serious affected / accidents in future if pro – active actions are not taken by the concerned and also other stake holders (as per iceberg theory).
3. Notification of accidents / serious incidents / incidents are covered under the following legal provisions: (i) Rule 68 and Rule 77 b of the Aircraft Rules; (ii) Civil Aviation Requirement under Section 5 Series C Part 1 of 2006 and (iii) Air Safety Circular No. 5 of 1982.
4. The circular of 1982 lists about 75 types of occurrences required to be reported to DAS.
5. In cases of accidents / serious incidents / incidents where formal investigations are ordered by DGCA / MOCA, recommendations are generated for action by concerned stake holders. Likewise, Permanent Investigation Boards (PIBs) set – up at the level of airlines etc. also produce recommendations pertaining to cases falling in their jurisdiction. Stakeholders based on PIB results carry out post occurrence / incident analysis and take corrective actions. Cases of such occurrences, their analysis and corrective actions and, in particular , trends shall be disseminated to the industry in de – identified form for sharing and proactive action at their end to prevent recurrence of such troubles in their organizations.

Functions of DAS with respect to SIAS: -

- (i) Ensure that occurrences as per Circular of 1982 are reports as per timeline by all concerned.
- (ii) Reports received will be categorized under following categories: -
 - Engineering / Maintenance troubles.
 - Human Factors
 - Operations

- Ground Handling
 - Runway incursion, FOD etc.
 - ATC (RA / TA)
 - Bird Hit
 - Misc.
- (iii) Compile month-wise occurrences, analyze, determine trends occurrence wise, de-identify and disseminate useful information to all stakeholders as a periodic bulletin.
- (iv) A safety information database on the basis of (ii) above will be generated.
- (v) Each operator will be required to fully utilize the information shared with them by DGCA.
- (vi) A month wise chart / pie chart will be prepared by DAS for discussion in BFAS.
6. The above information will be presented in monthly meeting of BFAS by DAS where respective directorates will also be asked to attend. In case of need, the concerned operator will also be asked to clarify issues before the BFAS.

CHAPTER – 6

MONITORING DEFICIENCIES

6.1 PROCEDURE FOR MONITORING DEFICIENCIES BY SURVEILLANCE AND ENFORCEMENT DIVISION :

All deficiencies observed during surveillance carried out by various Directorates/ Regional/Sub Regional Offices/Divisions are required to be forwarded by the 10th of every month to their respective Directorates. The Directorates at Hdqrs. will examine level of the deficiencies and forward a report in the prescribed pro forma to the Surveillance & Enforcement Division (SED) latest by 15th of the following month.

6.2 Monthly Review at Headquarters

A monthly review meeting of the compliance of annual surveillance programme will be held tentatively on 3rd Monday of every month under the chairmanship of Director General of Civil Aviation. Representatives of all the Directorates & Regions are required to attend this meeting. In the meeting the SED will present analysis of the monthly progress, shortfall against the monthly target and also analyze the deficiencies categorized as Level I/II. After analysis, these deficiencies will be fed into the annual surveillance programme data for resolution, tracking and dissemination of safety related issues.

All the field offices are required to intimate DGCA immediately, whenever they observe any Level I finding while carrying out their surveillance programme. These Level I findings will be examined in the Board for Aviation Safety (BFAS) meeting. The BFAS meeting is normally held on 5th of the following month. This Board is headed by Director General and three Joint Director Generals are the members of the Board. Director of the respective Directorate, whose Level I deficiency is being discussed, is also a member of the Board along with the Director Regulations. Each case is represented by the Secretary of the Board in association with the concerned Director. If there is any emergency, the meeting can be held immediately to resolve Level 1 discrepancies.

All Level I discrepancies are discussed in the BFAS meeting, to take a view on the action to be taken against the concerned organization/personnel. Records of Level I findings and action taken are being maintained by the respective Directorate and also by the SED.

6.3 GENERATION OF COMPUTER DATA FOR ALL DEFICIENCIES:

Surveillance & Enforcement Division has been provided an independent computer with a software to store data relating to monitoring of Level I and Level II deficiencies. After monthly review meeting the deficiencies are being fed into computer. The system is capable of monitoring open and close deficiencies of organizations/operators wise.

6.4 DEFICIENCIES RECORD IN THE FORM OF FILES:

SED shall also maintain manual record in the form of files of all the deficiencies observed while carrying out surveillance of organizations/operators. These records/files cover the following organizations/operators:-

1. Scheduled/non-scheduled operators
2. Approved organisations related to airworthiness
3. Flying training institutes
4. Aerodrome/airports
5. Design approved organisations
6. Foreign operators
7. Dangerous goods

SED maintain only Level I and Level II deficiencies. It is the responsibility of each Directorate to ensure that open discrepancies do not exceed the time limit determined by DGCA from time to time.

Chapter 7

MONITORING OF SURVEILLANCE ACTIVITIES

7.1 Assessment of surveillance activities by DGCA Headquarters

In order to ensure that surveillance inspections are carried out as per ASP and proper procedures are followed for grading findings as Level I or Level II, surveillance records are maintained properly and closure actions of deficiency reporting form are taken after due completion of all actions, it is necessary that assessment of surveillance activity of various Directorates are carried out by DGCA nominated inspectors.

To achieve the above objective a quarterly plan shall be prepared by Surveillance Enforcement Division with the approval of DG. As a matter of procedure the nominated assessment officers shall intimate the Heads of respective Directorates /Region / Sub-region / about their plan to carry out assessment at least seven days in advance. The assessment officers must use the check list (**Appendix 'E'**) for conducting the assessment and also provide or refer to the checklist to be used in the assessment. A compliance report of the checklist may be asked for. This will ensure that the desired areas / activities have been looked into fully by the assessee and all records updated to facilitate assessment.

The assessment officers should submit the assessment report along with the checklist duly completed to SED within one week of the completion of the assessment.

7.2 Cross Regional Checks

As a continued measure to enhance safety, cross regional checks shall be carried out by nominated officers by DGCA Headquarters.

The cross regional checks are intended to ensure uniformity and standardization of surveillance procedures followed amongst various Directorates / regions. Further, such checks will also enhance streamlining of surveillance procedures adopted in various Directorates / regions. For this purpose, a quarterly plan will be submitted by the SED after approval of the DG to the nominated officers for carrying out such checks. As a matter of protocol, it is desired that nominated officers must intimate the Head of concerned Regional / Sub Regional offices about their

plan to carry out the checks well in advance (at least seven days) . A checklist **(Appendix 'F')** enclosed with this chapter has been framed by SED for this purpose, which shall be used. The nominated officers should submit their report along with the checklist duly completed to SED within one week of completion of the check.

Chapter 8

NIGHT SURVEILLANCE INSPECTION

In order to enhance safety of operation and to maintain higher standard of continued oversight of operators, all Directorates / Regional offices are required to carry out night surveillance inspections in their regions, sub-regions ensuring that the activities carried out by various operators / organizations during the night are meeting the desired level of standards. The purpose of such inspection is also to ensure that operators do not shortcut any procedures, deployment of necessary manpower, release of aircraft without proper defect rectification, extend MELs due to absence of managerial supervision at night or any other reason.

The operators need not be intimidated for such night surveillance inspections. This will make operator aware of the fact that the DGCA may conduct surprise surveillance checks during night also and will make operator vigilant and alert to follow the laid down procedures while conducting tasks during night. The surveillance inspectors must ensure that the operator has detailed adequate staff / manpower for the particular activity and the personnel use laid down procedures, updated technical data and are provided with adequate facilities for satisfactory performance of the task. The working environmental conditions, fatigue level, human factor / human performance and use of alcohol, psychoactive substance must also be checked. These are some of the areas where compromises can be made while performing the task.

A standard checklist (**Appendix 'G'**) for the night surveillance may be used as a guideline by various Directorates while carrying out night surveillance. Respective Directorates must also have night surveillance checklist for specific area of activity / task for the operator and enclose the same with the surveillance chapter in their Directorate procedures manual for effective and standardization of night surveillance checks. The reports of night surveillance shall be submitted by all directorates as per Proforma at Appendix B (Table 'F') to surveillance enforcement division as a part of monthly surveillance meeting.

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CHAPTER - 9

RECORDS

9.1 Documents – Surveillance and Enforcement Division

9.1.1 SED shall maintain approved organisation wise files with deficiencies and enforcement actions. A data base for the Regions/Directorates and Headquarters as a whole shall also be maintained. The database shall have the following information:-

1. Surveillance Area
2. Name of the Region
3. Organization
4. Surveillance Date
5. Regulation Reference
6. Deficiency Detail
7. Deficiency Closure Details.

9.1.2 Regional Offices shall maintain deficiency reporting forms organisation wise and aircraft wise in their respective surveillance files

9.1.3 The surveillance records shall be maintained for 5 years.

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CHAPTER 10

TRAINING

Training is essential to understand working procedures of the surveillance activities. Therefore, training shall be conducted for all the officers on Procedures so that they can understand the system and carry out surveillance monitoring of the DGCA Annual Surveillance Programme and also to ensure records and procedures for Enforcement Division.

Head of the office will train all officers engaged in the task of surveillance through class room training and on-job training on the following subjects:-

1. Objective of the surveillance programme
2. Responsibility of various directorates
3. Preparation of DGCA Annual Surveillance Programme (ASP)
4. Surveillance Procedures
5. Follow up action of observations
6. Procedure for enforcement action
7. Monitoring of surveillance programme & enforcement action
8. Maintenance of records of surveillance and enforcement action.
9. Compilation of surveillance records / information received from Regional Offices and various directorates.
10. Presentation in the monthly surveillance meeting.
11. Follow up action and record keeping in SED.

(Appendix 'A')

**TABLES TO BE PRESENTED BY REGIONAL OFFICES/ DIRECTORATES TO SED
FOR MONTHLY SURVEILLANCE REVIEW**

The following Tables are presented: -

1. Table A – Entire Area of Activity.
2. Table B1 – Scheduled Operator
3. Table B2 – Non Scheduled Operator
4. Table B3 - State Government Operator
5. Table B4 – Other Operator / Organization
6. Table C – Enforcement Actions
7. Table E – Finding Summary
8. Table F – Night Surveillance

**TABLE A (Region / Dte.)
SURVEILLANCE AT A GLANCE
MONTH _____
NAME OF THE OFFICE –
ENTIRE AREA OF ACTIVITY**

1.	2.	3.	4.		5.		6.		7.	
Name of the Operator / Organization	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

TABLE B1 (Region / Dte.)
SURVEILLANCE AT A GLANCE
 MONTH _____
 NAME OF THE OFFICE – _____
 SCHEDULED OPERATORS _____

1.	2.	3.	4.		5.		6.		7.	
Name of the Operator / Organization	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

**TABLE B2 (Region / Dte.)
SURVEILLANCE AT A GLANCE
MONTH _____
NAME OF THE OFFICE –
NON SCHEDULED OPERATORS**

1.	2.	3.	4.		5.		6.		7.	
Name of the Operator / Organization	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

TABLE B3 (Region / Dte.)

SURVEILLANCE AT A GLANCE

MONTH_____

NAME OF THE OFFICE –

STATE GOVERNMENT OPERATORS

1.	2.	3.	4.		5.		6.		7.	
Name of the Operator / Organization	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

**TABLE B4 (Region / Dte.)
SURVEILLANCE AT A GLANCE
MONTH _____
NAME OF THE OFFICE –
OTHER OPERATORS / ORGANIZATIONS**

1.	2.	3.	4.		5.		6.		7.	
Name of the Operator / Organization	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

TABLE E (Region / Dte.)

AUDIT/SURVEILLANCE INSPECTION SUMMARY

Name & Address of Organization:			(Organisation Code No.)			Name of Directorate:			
Total No. of Deficiency:									
CA-2001 S/N	Date of Surveillance	Area of Surveillance	Finding Details	CAR/other reg. ref.	Level of Findings	Target Date	Close	Open	Remarks

TABLE F (Region / Dte.)
NIGHT SURVEILLANCE AT A GLANCE
FOR THE MONTH OF -----
NAME OF THE OFFICE-----

S/N	Name of the officer with date and time of the inspection	Name of Operator /AMO / Aircraft	Area of Inspection	Finding Details	Action taken

Signature of Officer
 Designation :
 Date:
 Time:

Signature of Officer
 Designation :
 Date:
 Time:

Signature of Officer
 Designation:
 Date:
 Time:

(Appendix 'B')

TABLES TO BE PRESENTED BY SED FOR MONTHLY SURVEILLANCE REVIEW

The following Tables are presented: -

1. Table A – Entire Area of Activity.
2. Table B1 – Scheduled Operator
3. Table B2 – Non Scheduled Operator
4. Table B3 - State Government Operator
5. Table B4 – Other Operator / Organization
6. Table C – Enforcement Actions
7. Table E – Finding Summary
8. Table F – Night Surveillance

TABLE A
SURVEILLANCE AT A GLANCE
 MONTH _____
 NAME OF THE OFFICE – _____
 ENTIRE AREA OF ACTIVITY _____

8.	9.	10.	11.		12.		13.		14.	
Name of the Directorate	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

TABLE B1

SURVEILLANCE AT A GLANCE

MONTH _____

NAME OF THE OFFICE –

SCHEDULED OPERATORS

8.	9.	10.	11.		12.		13.		14.	
Name of the Directorate	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

TABLE B2
SURVEILLANCE AT A GLANCE
 MONTH _____
 NAME OF THE OFFICE – _____
NON SCHEDULED OPERATORS

8.	9.	10.	11.		12.		13.		14.	
Name of the Directorate	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

**TABLE B3
SURVEILLANCE AT A GLANCE**

MONTH _____

**NAME OF THE OFFICE –
STATE GOVERNMENT OPERATORS**

8.	9.	10.	11.		12.		13.		14.	
Name of the Directorate	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

TABLE B4
SURVEILLANCE AT A GLANCE
 MONTH _____
 NAME OF THE OFFICE –
OTHER OPERATORS / ORGANIZATIONS

8.	9.	10.	11.		12.		13.		14.	
Name of the Directorate	Total No. of Surveillance targeted for the month	Total No. of Surveillance conducted during the month	Total deficiency detected (Number)		Total deficiency corrected (Number)		Total deficiency pending (Number)		Breakup of pending deficiencies month wise (Number)	
			Level I	Level II	Level I	Level II	Level I	Level II	>1 months	>2 months

GOVERNMENT OF INDIA OFFICE OF THE DIRECTOR OF AIRWORTHINESS XXXXXXXXXXXXXXXXXXXX				(Appendix 'C')
DEFICIENCY REPORTING FORM (FORM-2001)				
1. NAME OF THE ORGANISATION	2. REFERENCE NO.	3. ISSUE DATE		
4. AREA OF SURVEILLANCE:	5. NAME OF THE RESPONSIBLE MANAGER/ QM	6. DATE OF AUDIT		
7. NON-CONFORMITY/ DEFICIENCY DETAILS:				
8. LEVEL OF FINDING	9. CAR/ DOC REFERENCE	10. ENCLOSURES		
11. NAMES OF THE AUDITOR & TEAM LEADER	12. SIGNATURE OF THE TEAM LEADER	13. DATE	14. TARGET DATE	
RESPONSE OF THE ORGANISATION				
15. ROOT CAUSE OF THE DEFICIENCY				
16. CORRECTIVE ACTION DETAILS & NUMBER OF ATTACHMENT PAGES				
17. NAME OF THE RESPONSIBLE MANAGER	18. SIGNATURE OF THE RESPONSIBLE MANAGER	19. DATE		
20. NAME OF THE QM	21. SIGNATURE OF THE QM	22. DATE		
23. COMMENTS OF THE AUDITOR WITH REFERENCE TO THE ACTION TAKEN				



Government of India
 Directorate General of Civil Aviation
 Opp. Safdarjung Airport, New Delhi, India - 110017

(APPENDIX 'D')

SURVEILLANCE OF OPERATIONS BY A FOREIGN OPERATOR

CHECKLIST

Date:	Time:	Place:	
Operator:	State:	AOC No:	
Route from:	Flight No:	Route to:	Flight No:
Flight Type:	Aircraft Type:	Aircraft Model:	
	Registration No:	Construction No:	
Flight Crew State of licensing:	Acknowledgement of Receipt (*)		
	Name:.....	Signature:.....	
	Function:.....		

		Check Remark	
A	Flight Deck		
1	General condition		
2	Emergency exit		
3	Equipment		
	Documentation		
4	Manuals		
5	Checklists		
6	Radio navigation charts		
7	Minimum equipment list		
8	Certificate of registration		
9	Noise certificate (where applicable)		
10	AOC or equivalent		
11	Radio licence		
12	Certificate of Airworthiness (C of A)		
	Flight Data		
13	Flight preparation		
14	Weight and balance sheet		
	Safety equipment		
15	Hand fire extinguishers		
16	Life jackets/ flotation devices		
17	Harness		
18	Oxygen equipment		
19	Flash light		
	Flight Crew		
20	Flight crew licence		

		Check Remark	
	Journey log book/ Technical log or equivalent		
21	Journey log book or equivalent		
22	Maintenance release		
23	Defect notification and rectification (incl. Tech Log)		
24	Pre-flight Inspection		

		Check Remark	
B	Safety/Cabin		
1	General internal condition		
2	Cabin attendants station and crew rest area		
3	First aid kit/ emergency medical kit		
4	Hand fire extinguishers		
5	Life jackets/ flotation devices		
6	Seat belt and seat condition		
7	Emergency exit, lighting and marking, Torches		
8	Slides/ Life-Rafts (as required), ELT		
9	Oxygen Supply (Cabin crew and passengers)		
10	Safety instructions		
11	Cabin crew members		
12	Access to emergency exits		
13	Safety or passenger baggage		
14	Seat Capacity		

		Check Remark	
C	Aircraft condition		
1	General external condition		
2	Doors and hatches		
3	Flight controls		
4	Wheels, tyres and brakes		
5	Undercarriage, skids/ floats		
6	Wheel well		
7	Powerplant and pylon		
8	Fan blades		
9	Propellers, rotors (main/ tail)		
10	Obvious repairs		
11	Obvious unrepaired damage		
12	Leakage		

		Check Remark	
D	Cargo		
1	General condition of cargo compartment		
2	Dangerous goods		
3	Safety of cargo on board		

		Check Remark	
E	General		
1	General		

(APPENDIX 'E')

DIRECTOR GENERAL OF CIVIL AVIATION
TECHNICAL CENTRE, OPP. SAFDARJUNG AIRPORT
NEW DELHI – 110003

Sub: - Check List for Assessment of Surveillance Activity

I. Audit Composition	
1. Name of Directorate / Region / Operator	
2. Team Member(s) (Names & Designations)	1. 2. 3.
3. Area(s) to be audited	
4. Date of Audit	
II. Guidelines for conducting Assessment	
1. Intimation to the assessee	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Forwarding of checklist for assessment of surveillance to the assessee	
3. Receipt of compliance of checklist from the assessee. (Note: - The assessee to fill up Block III and submit to assessor before assessment.)	
III. Items to be Assessed	
1. Check for any previous audit findings pending.	
2. Check availability of ASP 2010 for the office	
3. Check availability of Surveillance Procedure Manual (SPM) and familiarity of all concerned with the same	
4. Check availability of Enforcement Manual, Circular and familiarity of all concerned with the same.	
5. Check for the Procedure Manual for conducting Surveillance.	
6. Availability of Database for Surveillance	

<p>7. Check Implementation of ASP 2010</p> <ul style="list-style-type: none"> . No. of Surveillance Planned Month wise a. No. of Surveillance carried out Month wise b. No. of Surveillance Pending Month wise with reason and when scheduled 	
<p>8. Check Deficiency detected are raised on deficiency reporting form</p> <ul style="list-style-type: none"> . No. of deficiency reporting form raised Month wise a. No. of deficiency reporting form closed Month wise b. No. of deficiency detected Level I..... Level II..... c. No. of deficiency pending > 1 month d. No. of deficiency pending > 2 month e. Intimation to the concerned 	
<p>9. Check whether deficiency reporting form reflects regulation reference of the finding</p>	
<p>10. Check whether findings have been properly classified as Level I / II</p>	
<p>11. Check action taken on the Level I / II finding</p>	
<p>12. Check for the Quality of closure of deficiencies reporting form by next level official.</p>	
<p>13. Check the procedure followed for monitoring of findings which are open</p>	
<p>14. Check for Surveillance Records</p>	
<p>15. Check Enforcement Action Taken</p>	
<p>16. Any additional observation/ area covered during the audit</p>	

<p>IV. Summary – Analysis / Synopsis of Surveillance Activity</p>
<p> </p>

Signature of Assessees

Signature of Assessor
(Team Members)

- 1.
- 2.
- 3.

DIRECTOR GENERAL OF CIVIL AVIATION (APPENDIX 'F')
TECHNICAL CENTRE, OPP. SAFDARJUNG AIRPORT
NEW DELHI – 110003

Sub: - Check list for Cross Regional Checks

I. Audit Composition	
1. Name of Regional Office	
2. Names of Surveillance Inspectors	1. 2. 3.
2. Area(s) under Surveillance	
3. Date of Surveillance	

II. Guidelines for conducting Audit	
1. Intimation to the Office	<input type="checkbox"/> Yes <input type="checkbox"/> No

III. Items to be Audited	
1. Check for any previous audit findings pending.	
2. Check availability of ASP 2010 for the office	
3. a. Check availability of Surveillance Procedure Manual (SPM) and familiarity of all concerned with the same. b. Check availability of Directorate Procedure Manual.	
4. Check availability of Enforcement Manual, Circular and familiarity of all concerned with the same.	
5. Check for the Procedure Manual for conducting Surveillance.	
6. Availability of Database	
7. Check Implementation of ASP 2010 a. No. of Surveillance Planned Month wise b. No. of Surveillance carried out Month wise c. No. of Surveillance Pending Month wise with reason and when scheduled	

<p>8. Check Deficiency detected are raised on deficiency reporting form</p> <p>a. No. of deficiency reporting form raised Month wise</p> <p>b. No. of deficiency reporting form closed Month wise</p> <p>c. No. of deficiency detected Level I..... Level II.....</p> <p>d. No. of deficiency pending > 1 month</p> <p>e. No. of deficiency pending > 2 month</p> <p>f. Intimation to the concerned</p>	
<p>9. Check whether deficiency reporting form reflects regulation reference of the finding</p>	
<p>10. Check whether findings have been properly classified as Level I / II</p>	
<p>11. Check action taken on the Level I / II finding</p>	
<p>12. Check for the Quality of closure of deficiencies reporting form by next level official.</p>	
<p>13. Check the procedure followed for monitoring of findings which are open</p>	
<p>14. Check for Surveillance Records</p>	
<p>15. Check Enforcement Action Taken</p>	
<p>16. Any additional observation/ area covered during the audit</p>	

IV. Summary – Analysis / Synopsis of Surveillance Activity

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Signature of Assesseees

Signature of Assessor
(Team Members)

- 1.
- 2.
- 3.

**DIRECTOR GENERAL OF CIVIL AVIATION
TECHNICAL CENTRE, OPP. SAFDARJUNG AIRPORT
NEW DELHI – 110003**

Sub: - Night Surveillance Checks

I. Audit Composition	
1. Name of Regional Office	
2. Names of Surveillance Inspectors	1. 2. 3.
3. Area(s) under Surveillance	
4. Date of Surveillance	

II. Guidelines for conducting Audit	
1. Intimation to the Operator	<input type="checkbox"/> Yes <input type="checkbox"/> No

III. Items to be Audited	
1. Check for sufficient manpower	
2. Check validity of Licenses / certificates	
3. Check for availability of Procedures / updated technical data, Tools / Equipments etc.	
4. Check for adequacy of facility	
5. Check for the roster.	
6. Check for adequate lighting	
7. Availability of Tools / Tool Kits	
8. Check for use of Psychoactive Substances, alcohols etc.	
9. Airworthiness / Operations Inspectors / Cabin Safety / Dangerous goods / Aerodrome Standards / Flight Standard Dte. / Air Safety to refer to the surveillance checklist for night surveillance as laid down in their procedure manual	

IV. Summary – Analysis / Synopsis of Surveillance Activity

Signature
(Team Members)

- 1.
- 2.
- 3.