



GOVERNMENT OF INDIA
CIVIL AVIATION DEPARTMENT
DIRECTOR GENERAL OF CIVIL AVIATION

AAC No 2 of 2011
Date 20th September 2011

AIRWORTHINESS ADVISORY CIRCULAR

Sub: - Categorization of Surveillance/ Audit findings.

1. **Introduction** – After accomplishment of any Surveillance/ Audit it always remains a challenge for Inspecting officer/ Auditor to translate the various observations into findings and to categorize them in appropriate level. This can be done effectively by understanding the impact of non compliance in functioning of organization. The impact of non compliance could be isolated and localized to one particular area or wide spread having cascading effect throughout the functioning of organization. As all the levels of findings are categorized considering their impact in the degradation of safety standards. Therefore, their careful study and analysis are of paramount importance.
2. **Purpose** – This AAC is issued to provide a general guideline to the inspecting officer/ auditor to appropriately level the surveillance/ audit findings.
3. **Findings:** -

Any non compliance with the applicable requirement which can be categorized into different levels e.g. Level 1 & Level 2.

Level 1 – A level 1 finding is any significant non-compliance with the applicable requirement which lowers the safety standard and hazards seriously the flight safety.

Level 2 - A level 2 finding is any non-compliance with the applicable requirement which could lower the safety standard and possibly hazard the flight safety.

In general findings which are resulting due to system failure and having direct impact in degradation of safety standard are considered as Level 1. Level 1 finding requires immediate attention and rectification. All other findings other than level 1 are considered as level 2 and shall be rectified within stipulated time period.

4. Procedure

Objective of any Surveillance/Audit is to verify compliance of applicable requirements. Therefore, Inspecting officers/Auditors should satisfy themselves about the means of compliance demonstrated by organization. Wherever compliance action is not satisfactory / acceptable, findings should be generated. After completion of Surveillance / Audit all findings should be discussed/ reviewed at appropriate level for their proper categorization.

If surveillance findings are not properly categorized/ addressed there could be a chance of latent degradation in system of organization functioning which may manifest as safety hazard over the period of time. Therefore, sufficient care should be taken to categorize the findings.

For guidance some of the sample level 1 and level 2 findings are given in Appendix - I. Inspecting officers/ auditors are expected to go beyond the list and should use their considered opinion/ judgment for proper categorization of findings.

**Sd/-
(Charan Dass)
Joint Director General of Civil Aviation**

Examples to Clarify level 1 and Level 2 findings during surveillance

1. Any system lapse shall be treated as level 1

Eg:- Audit System, Audit procedures, Quality plan not prepared and quality assurance system is not in place shall be treated as level 1. All these issues have to be taken up while the initial approval of organization is given.

Any lapse from procedures should be treated as level 2.

Eg: - Procedure lapse such as audit is not carried out as per schedule in two occasions etc. should be treated as level 2.

2. Failure to comply with any AD's and ASB shall be treated as Level 1.
If procedure for the same is not documented, then it is Level 2
3. No control over Life limited parts shall be treated as Level 1.
If procedure for the same is not documented, then it is Level 2.
4. Aircraft is not maintained as per the approved maintenance program shall be treated as level 1.
5. Items of inspection not signed by AME on maintenance inspection schedules and given CRS shall be treated as Level 1
6. Airworthiness limitation Items (ALI / AWLI) / Certification Maintenance Requirements (CMR) items are not included into Aircraft Maintenance program (AMP) shall be treated as level 1. If they are not identified in the AMP, then it is level 2.

CMR* (task interval cannot be adjusted) Items are not carried out within the specified time limit, shall be treated as level 1. In case of CMR** (Task interval can be adjusted) items not carried out within the specified interval should be level 2.

7. Any tool used for maintenance is not calibrated shall be treated as Level 1
8. No Production planning system found established and same resulted in failure of maintenance of Aircraft shall be treated as Level 1.
9. All post holders are missing shall be treated as level 1,
One post holder is missing should be level 2.
10. Documents required on board not found on board like C of A, ARC etc shall be treated as Level 1
11. Explosive certificates not renewed by AFS shall be treated as Level 1
12. Conditions imposed on the organization to operate under limitations not followed, shall be treated as level 1.
