USER GUIDE OF SOA APPLICATION

Version 2.0

1. FOREWORD

Welcome to the User Guide for CAA Nepal Surveillance, Oversight and Audit Web Application. This guide is designed to the users with a comprehensive overview of CAA Nepal's powerful web application, designed to streamline surveillance and audit processes of CAA Nepal. CAA Nepal regulations and industry standards are continually evolving, requiring organizations to adhere to stringent compliance requirements. This application assists in tracking, documenting, and ensuring compliance with these standards, mitigating legal and financial risks.

The application's analytics and reporting capabilities empower users to make informed decisions based on real-time data and historical trends. This enhances safety, operational efficiency, risk management, and strategic planning.

Whether you are an inspector, auditor, compliance officer, or a stakeholder involved in monitoring activities, this guide will help you navigate and harness the full potential of this application. The SOA Version 2.0 is fully effective from the surveillance year 2023.

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Raju Shrestha

Director
Flight Safety Standard Department
Civil Aviation Authority of Nepal

SOA Application, Version 2.0

31st January 2023

2. Table of Contents

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3. Version Control

S/N	Description	Approved	Applicable Year
1	Version 1.0	2019	2021
2	Version 2.0	2022	2023

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4. Abbreviations

AFN	: Audit Finding Number
CAP	: Corrective Action Plan
CAAN	: Civil Aviation Authority of Nepal
SOA Application	: Surveillance Oversight and Audit Application

5. User Access Control

User Management in our Surveillance and Audit Data-Based Web Application is designed to provide tailored access control for three key user roles: Administrators, Inspectors/Auditors, and Operators/Auditees. Administrators have full control over system settings, user permissions, and data management, ensuring the smooth operation of the application. Inspectors/Auditors can access and analyze surveillance and audit data, create reports, and set up alerts, enabling them to conduct thorough assessments. Operators/Auditees, on the other hand, have limited access, primarily for data input and participation in the audit process, ensuring data accuracy and compliance. With these distinct user roles, our application ensures a secure and collaborative environment for effective surveillance and audit activities within your organization.

6. SOA Application Scope

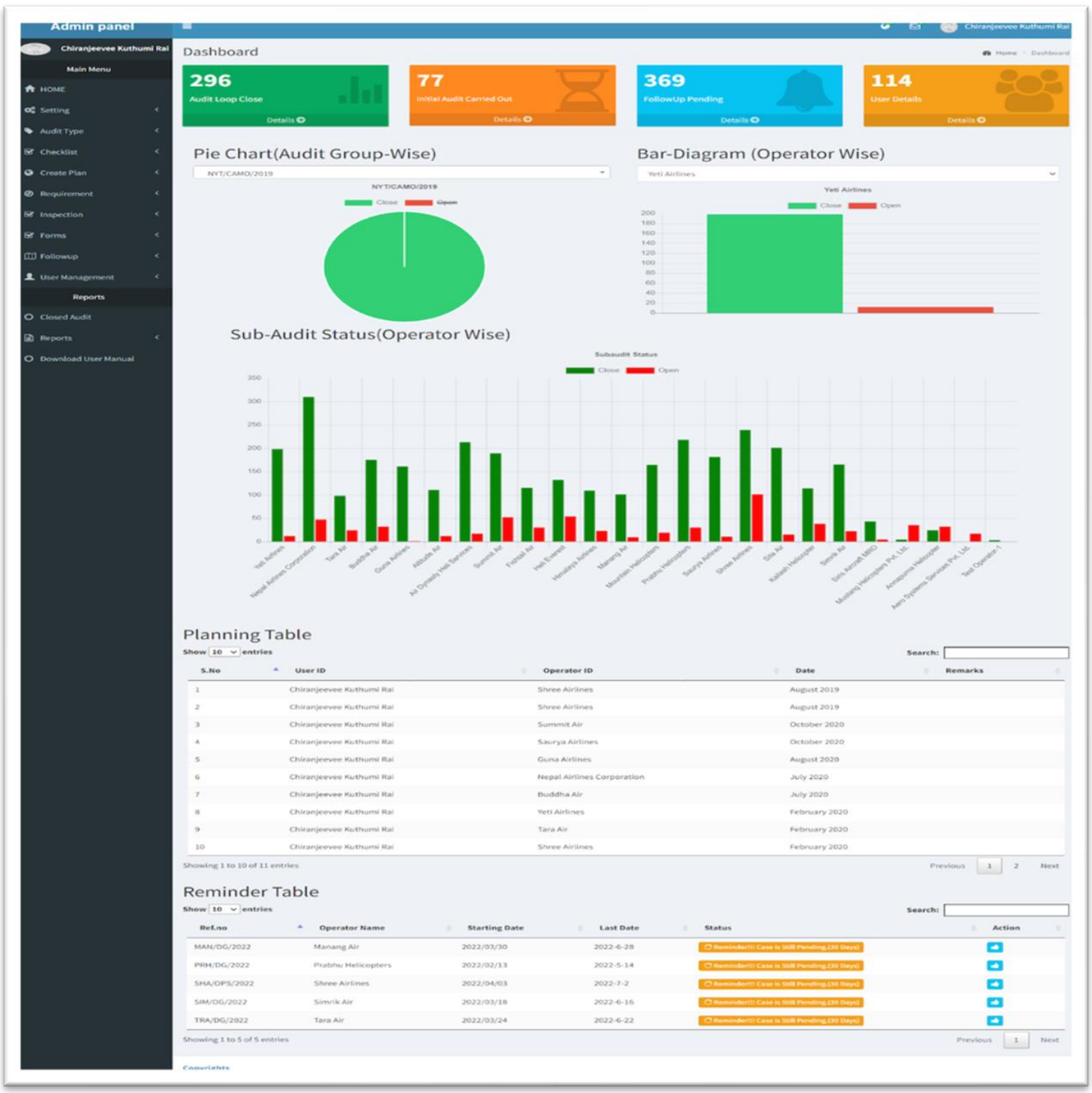
Our Surveillance and Audit Data-Based Web Application currently provides comprehensive tools for user role management, data collection, analytics, reporting, and compliance monitoring related to Regular Audit of operators. It empowers CAA Nepal to streamline surveillance and audit processes, ensuring data accuracy, security, and compliance with regulatory requirements.

In our ongoing commitment to innovation and improvement, we have ambitious future plans. These include: -

- Refinement of existing dashboards
- Inclusion of Checklist in application
- Inclusion of Ramp Inspections
- Inclusion of In-flight Inspection
- Inclusion of Random Inspection
- Performance Indicators

7. Familiar with Dashboard Interface

The dashboard is the control center of our Surveillance and Audit Data-Based Web Application. It offers a concise, real-time snapshot of your surveillance and audit data, providing at-a-glance insights to support informed decision-making. Customize it to display the key metrics and information vital to your role and objectives.



8. Administrator Tasks

8.1. Introduction

"User role and permission management" allows administrators to define user access levels, ensuring data security and privacy within our web application.

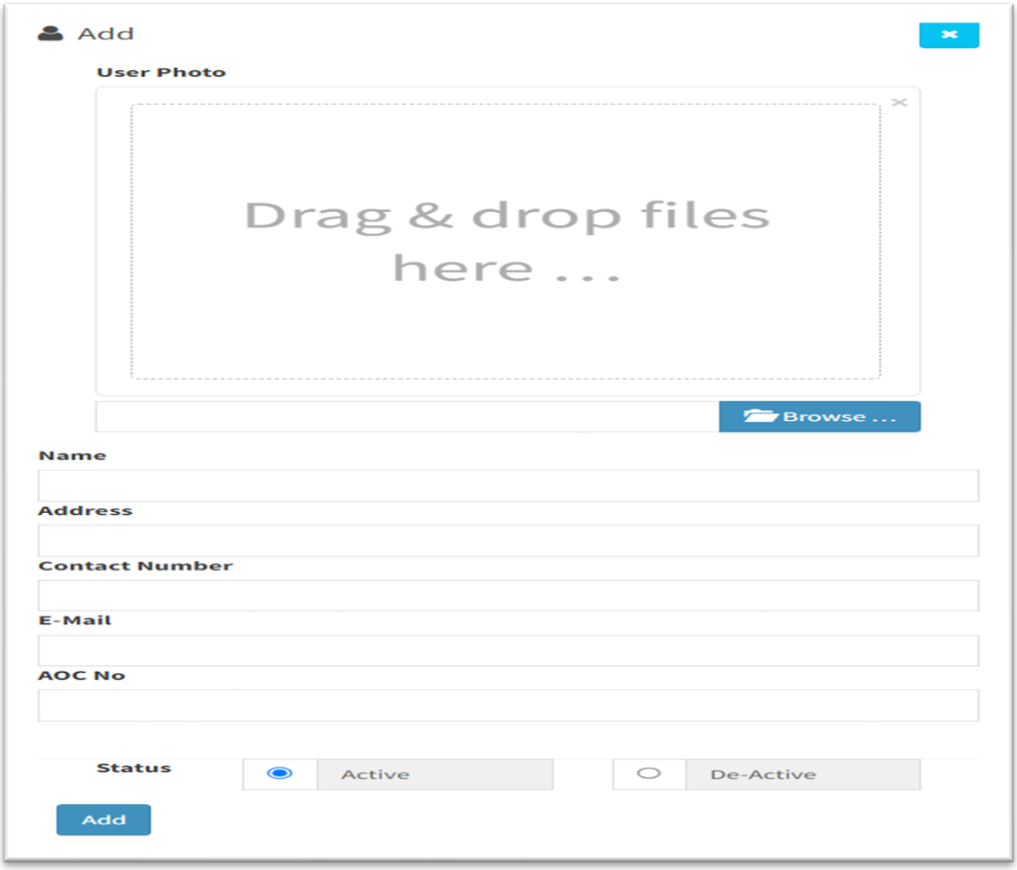
8.2. Add, Edit and Delete an Operator.

This process shows how to add edit or delete an operator in this application.

8.2.1. Add a New Operator

To add a new operator or a service provider please go through the following process

- Go to **Settings** in Administrator Panel
- Select **Operator**
- Fill all the fields as shown in the figure below.
- Click **Add**



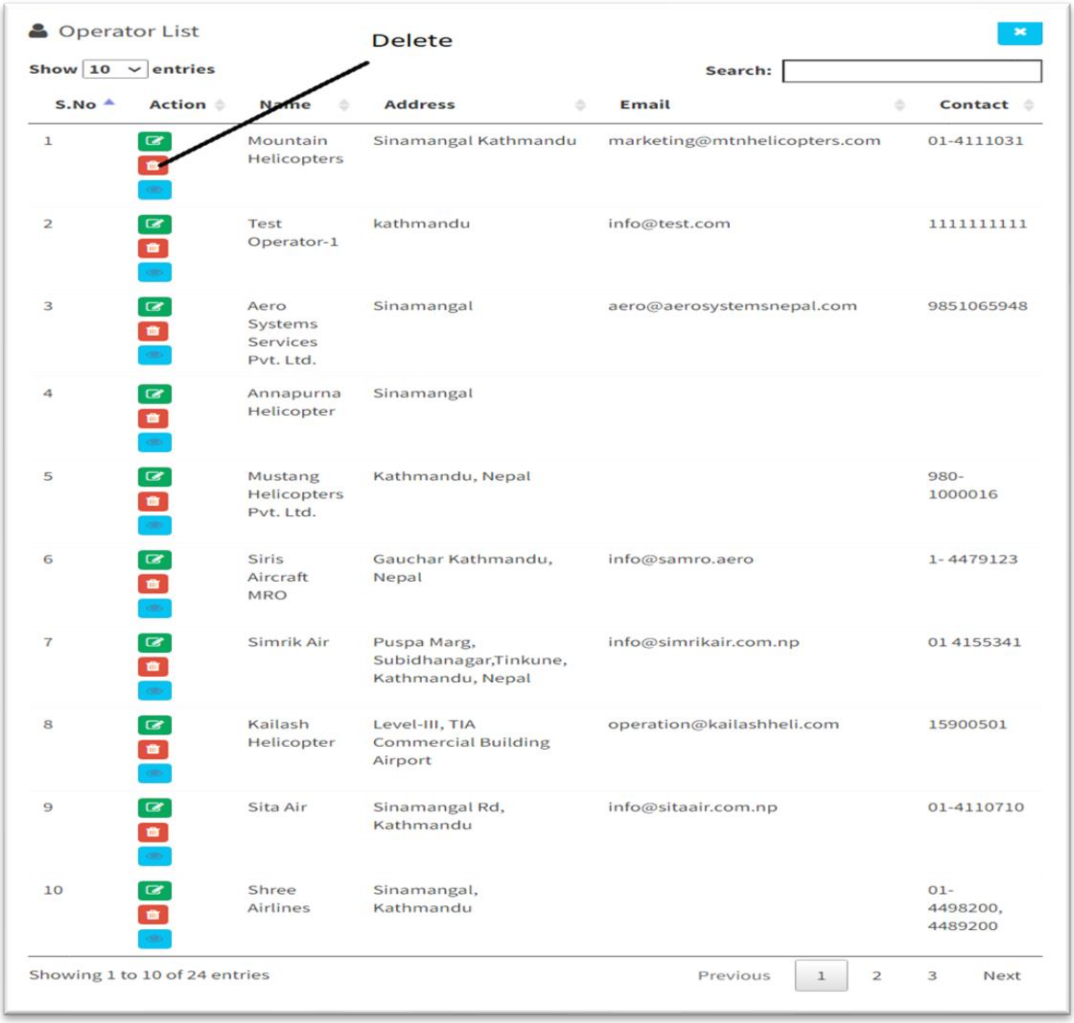
8.2.2. Edit an Operator

To edit a detail of the operator click on edit button.

S.No	Action	Name	Address	Email	Contact
1		Mountain Helicopters	Sinamangal Kathmandu	marketing@mtnhelicopters.com	01-4111031
2		Test Operator-1	kathmandu	info@test.com	1111111111
3		Aero Systems Services Pvt. Ltd.	Sinamangal	aero@aerosystemsnepal.com	9851065948
4		Annapurna Helicopter	Sinamangal		
5		Mustang Helicopters Pvt. Ltd.	Kathmandu, Nepal		980-1000016
6		Siris Aircraft MRO	Gauchar Kathmandu, Nepal	info@samro.aero	1- 4479123
7		Simrik Air	Puspa Marg, Subidhanagar,Tinkune, Kathmandu, Nepal	info@simrikair.com.np	01 4155341
8		Kailash Helicopter	Level-III, TIA Commercial Building Airport	operation@kailashheli.com	15900501
9		Sita Air	Sinamangal Rd, Kathmandu	info@sitaair.com.np	01-4110710
10		Shree Airlines	Sinamangal, Kathmandu		01-4498200, 4489200

8.2.3. Delete an Operator

To delete an operator click on delete button.



S.No	Action	Name	Address	Email	Contact
1		Mountain Helicopters	Sinamangal Kathmandu	marketing@mtnhelicopters.com	01-4111031
2		Test Operator-1	kathmandu	info@test.com	1111111111
3		Aero Systems Services Pvt. Ltd.	Sinamangal	aero@aerosystemsnepal.com	9851065948
4		Annapurna Helicopter	Sinamangal		
5		Mustang Helicopters Pvt. Ltd.	Kathmandu, Nepal		980-1000016
6		Siris Aircraft MRO	Gauchar Kathmandu, Nepal	info@samro.aero	1- 4479123
7		Simrik Air	Puspa Marg, Subidhanagar,Tinkune, Kathmandu, Nepal	info@simrikair.com.np	01 4155341
8		Kailash Helicopter	Level-III, TIA Commercial Building Airport	operation@kailashheli.com	15900501
9		Sita Air	Sinamangal Rd, Kathmandu	info@sitaair.com.np	01-4110710
10		Shree Airlines	Sinamangal, Kathmandu		01-4498200, 4489200

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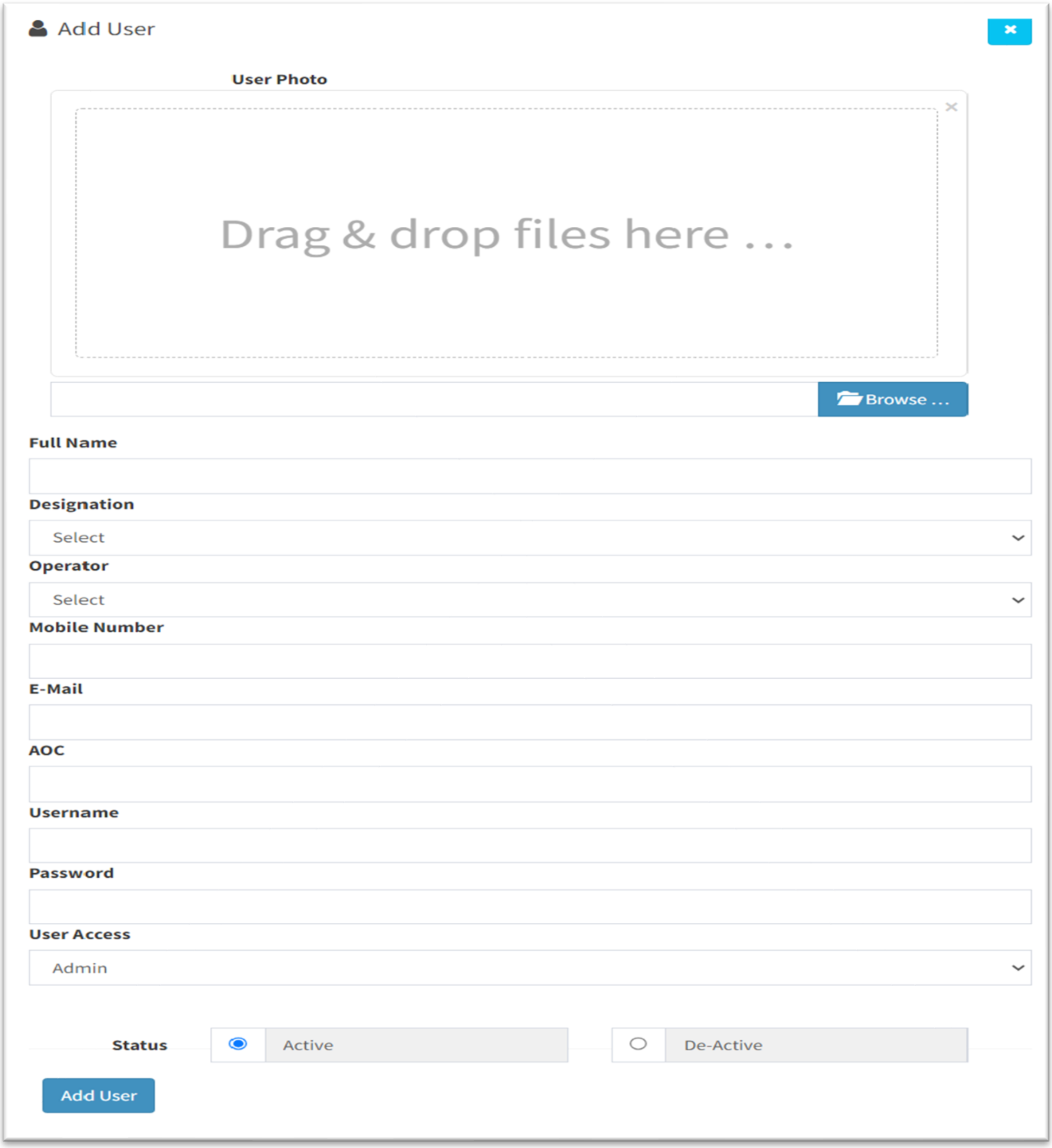
8.3. Add, Edit and Delete User(s) and Inspector(s)

8.3.1. Add a new User(s) or Inspector(s)

To add a new user or a inspector please go through the following process

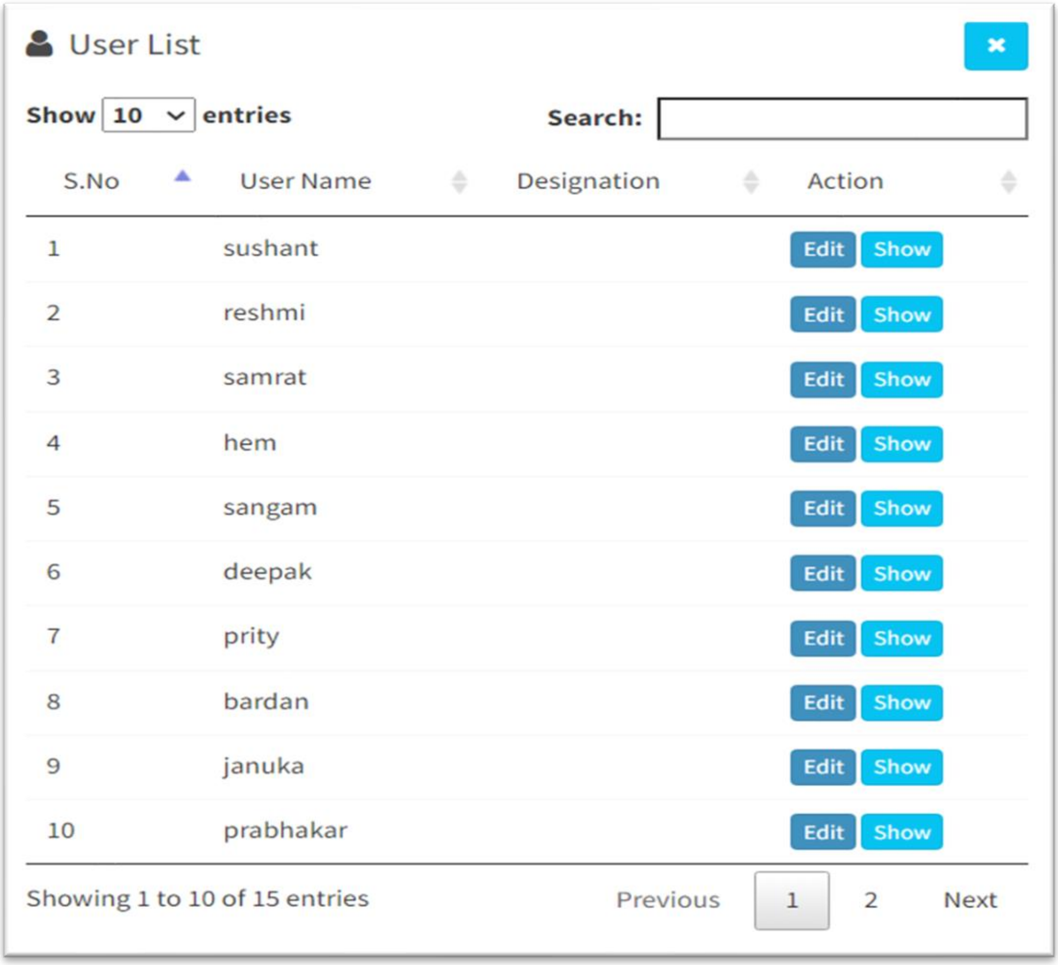
- Go to **User Management** in Administrator Panel
- Select **Add User**
- Fill all the fields as shown in the figure below.
- Click **Add User** on the form.



8.3.2. Edit User(s) or Inspector(s)

To edit an existing user or a inspector please go through the following process

- Go to **User Management** in Administrator Panel
- Select **Edit User**
- Click **Edit** button on the Action column.

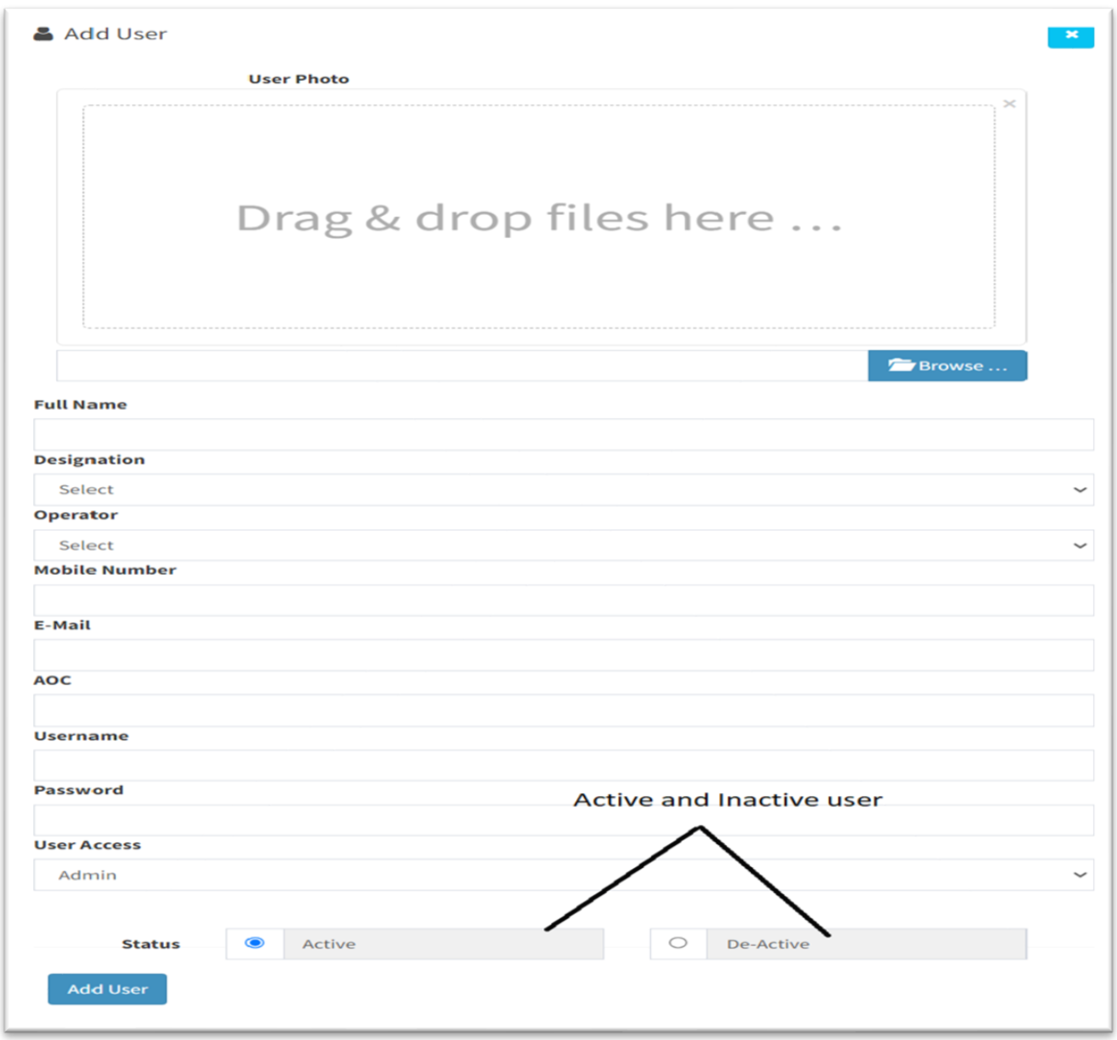


8.3.3. Inactive User(s) or Inspector(s)

To inactive an existing user or an inspector whose credential are expired or permanently inactive please go through the following process

- Go to **User Management** in Administrator Panel
- Select **Edit User**
- Click **Edit** button on the Action column.
- Select **Inactive** button tab.

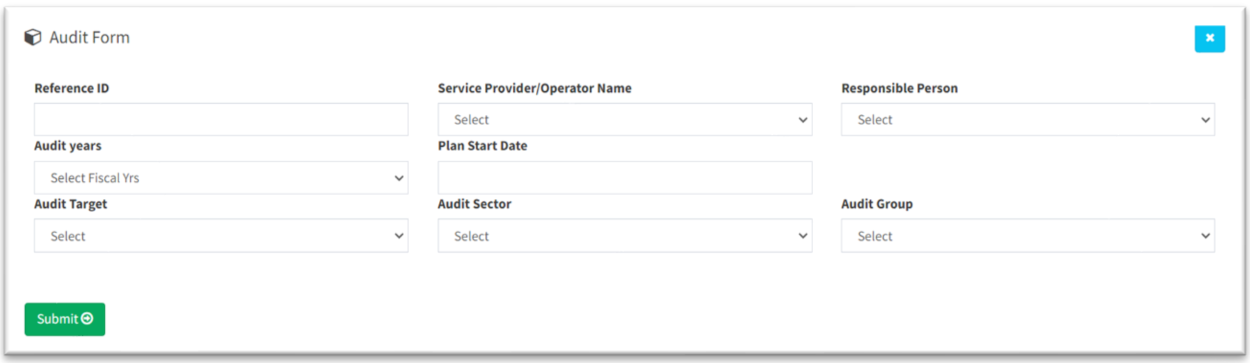
Note:- The user cannot be deleted from this application as they were once the inspector and the consequences can impact the history of an audit done by individual inspector.



8.4. Create Audit

An administrator can only create audit when the annual surveillance plan is approved from Director General of Civil Aviation. To create an audit as per the surveillance plan please go through the following process.

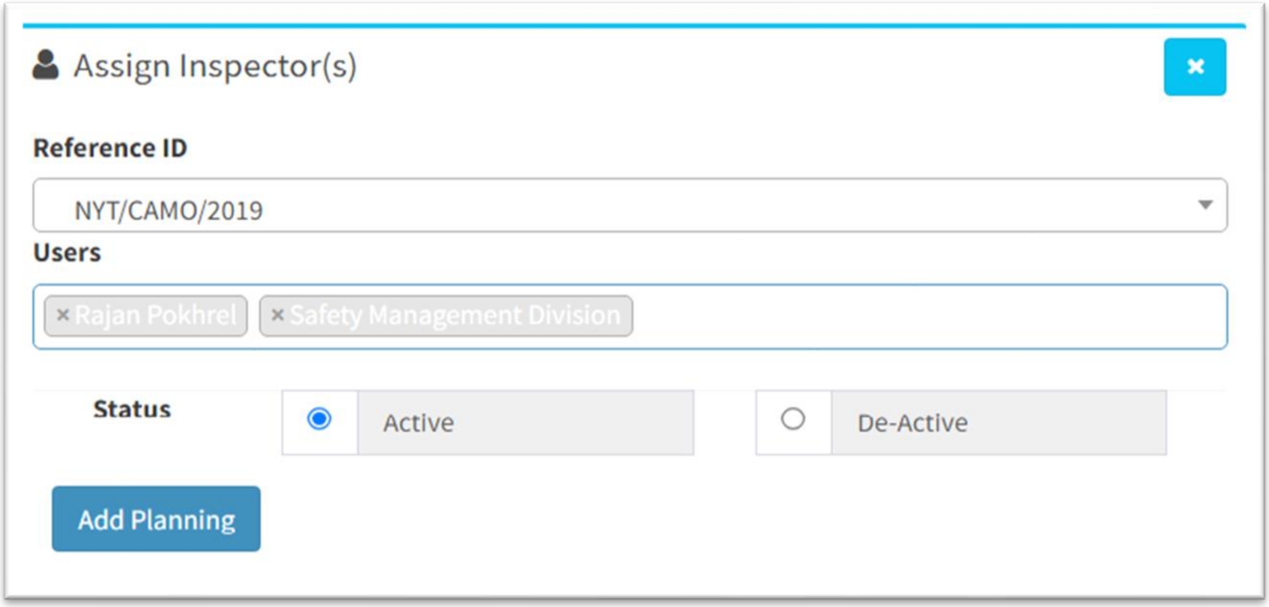
- Go to **Create Plan** in Administrator Panel
- Select **Create Audit.**
- Audit Form is prompted as shown in the figure below.
- Add all the fields *(Please Note:- **Responsible Person**:- the designation assigned can only add the corrective action plan from operators response; and **Plan Start Date**:- last day of the month from surveillance program of that year).*
- Fill all the field as given in the figure.
- Select **Submit** button to create an audit.



8.5. Assign Inspectors

After successfully creating an audit with reference ID. An administrator can assign inspector or an auditor for created audit. To assign an inspectors audit as per the surveillance plan please go through the following process.

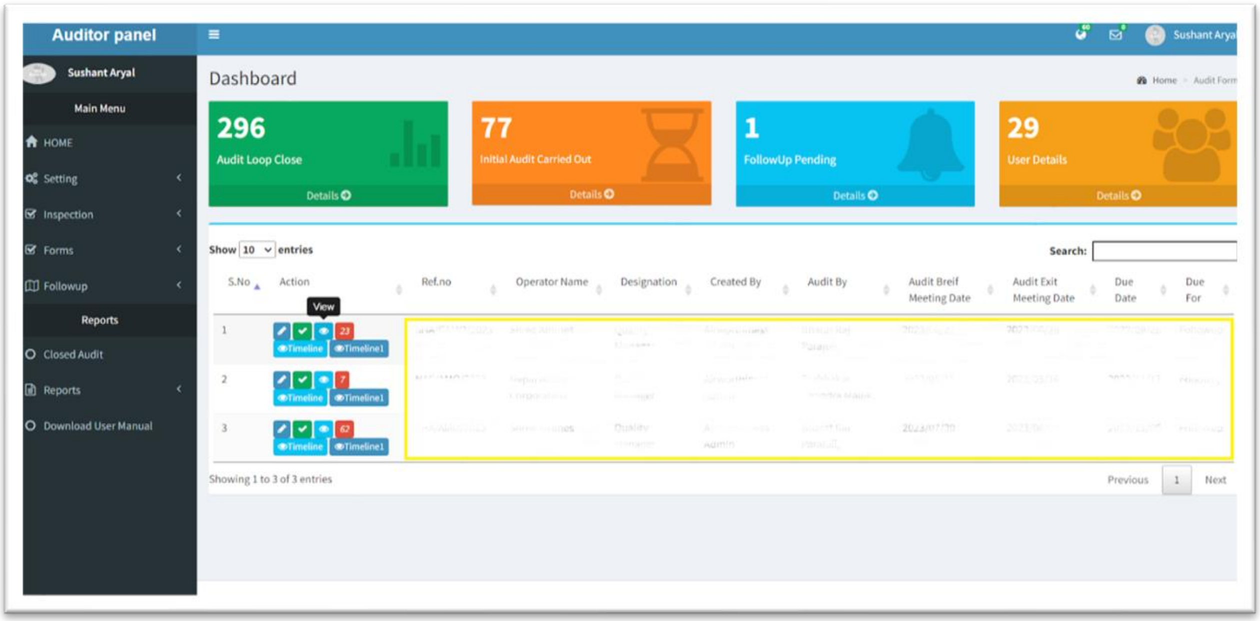
- Go to **Create Plan** in Administrator Panel
- Select **Assign Inspector(s).**
- Assign Inspector(s) form is prompted as shown in the figure below.
- Select or type the reference id for the created audit.
- Select **Users** or group of **Users.**
- Select **Add Planning.**


Assign Inspector(s)
Reference ID
NYT/CAMO/2019
Users
Rajan Pokhrel
Safety Management Division
Status
Active
De-Active
Add Planning

9. Inspectors Task

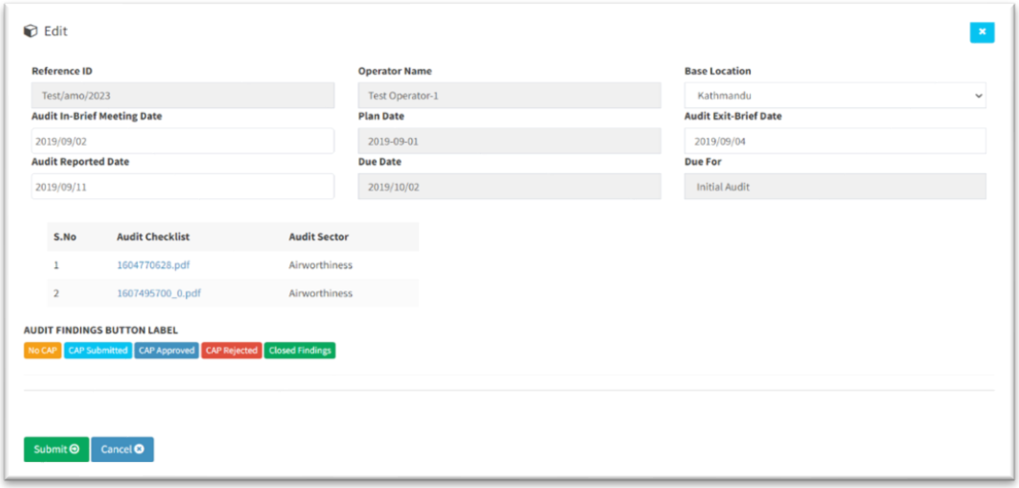
9.1. Introduction

As an Inspector/Auditor, it is vital role is to meticulously examine surveillance and audit data, identify anomalies, and ensure compliance. The figure below shows the audit status after selecting the **Forms** button.

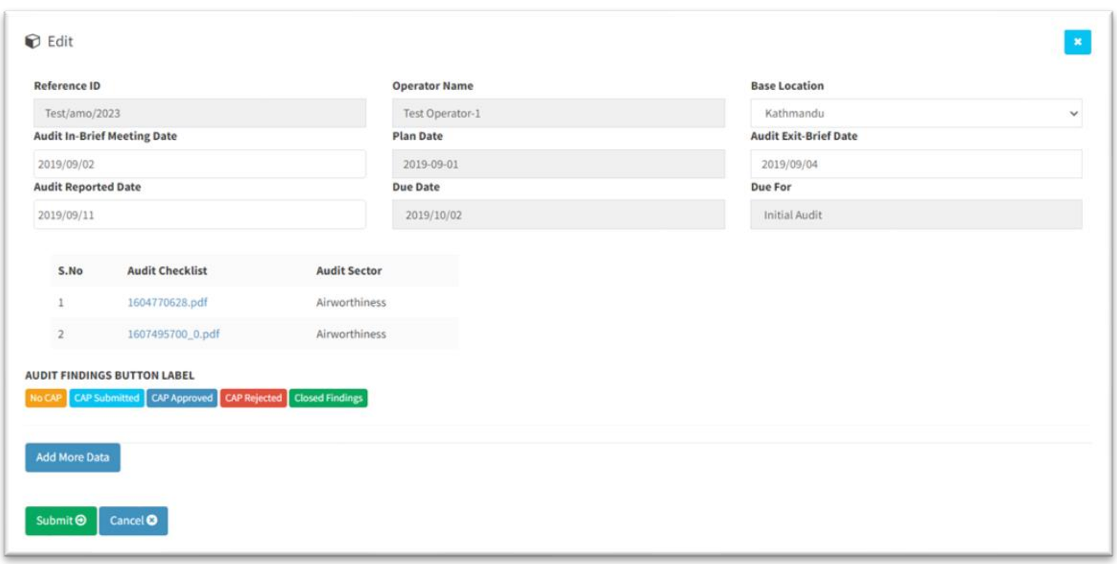


9.2. Adding data on Assigned Audits

Add **all fields** as shown in the figure below after the completion of the audit and select **submit** button for preliminary data.



After submission of applicable dates **Add More Data** button is prompted as shown in the figure for adding the finding.

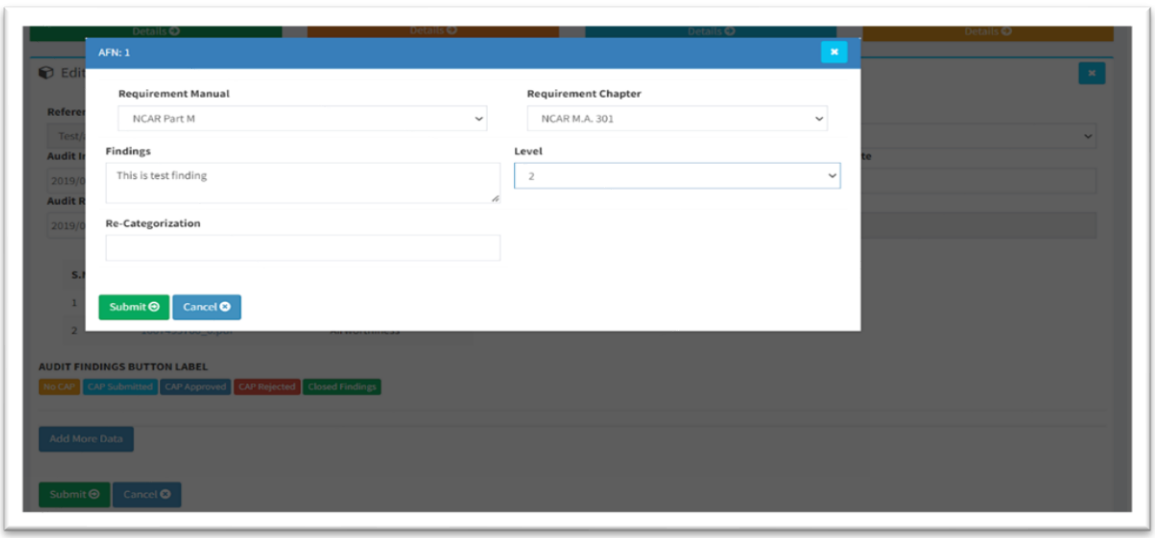


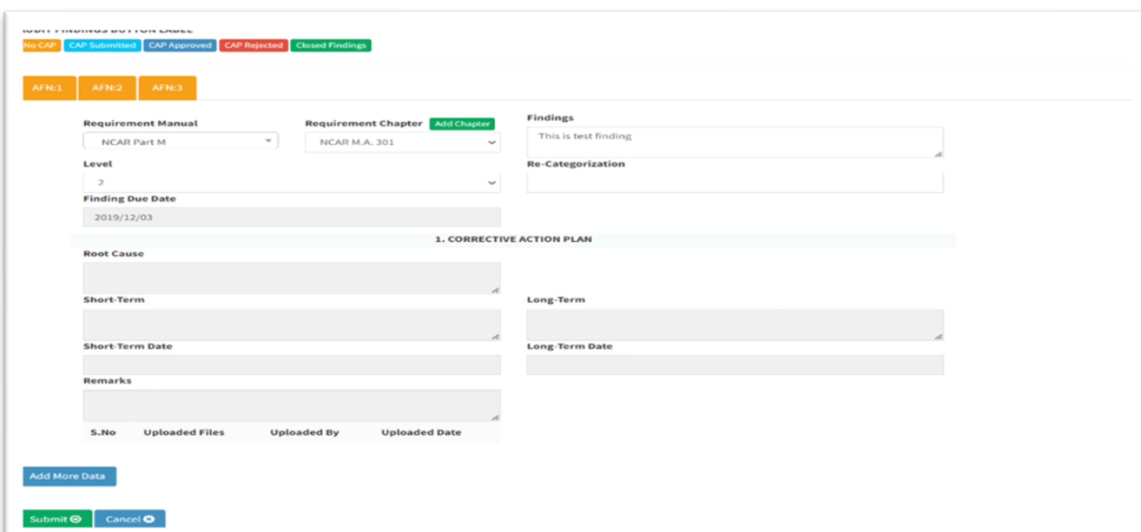
9.3. Adding Finding

To add a finding select Add More Data.

- Fill all the required filed with **Requirement Manual, Requirement Chapter, Findings** and **Level of Finding**.
- If **level 1** is selected, an immediate action filed is prompted. Please describe the reason and action carried out in detail.
- If the finding is **level 2**, leave the **Re-Categorization** field empty.
- The purpose of **Re-Categorization** field is to upgrade or degrade a finding levels with reason and short description.

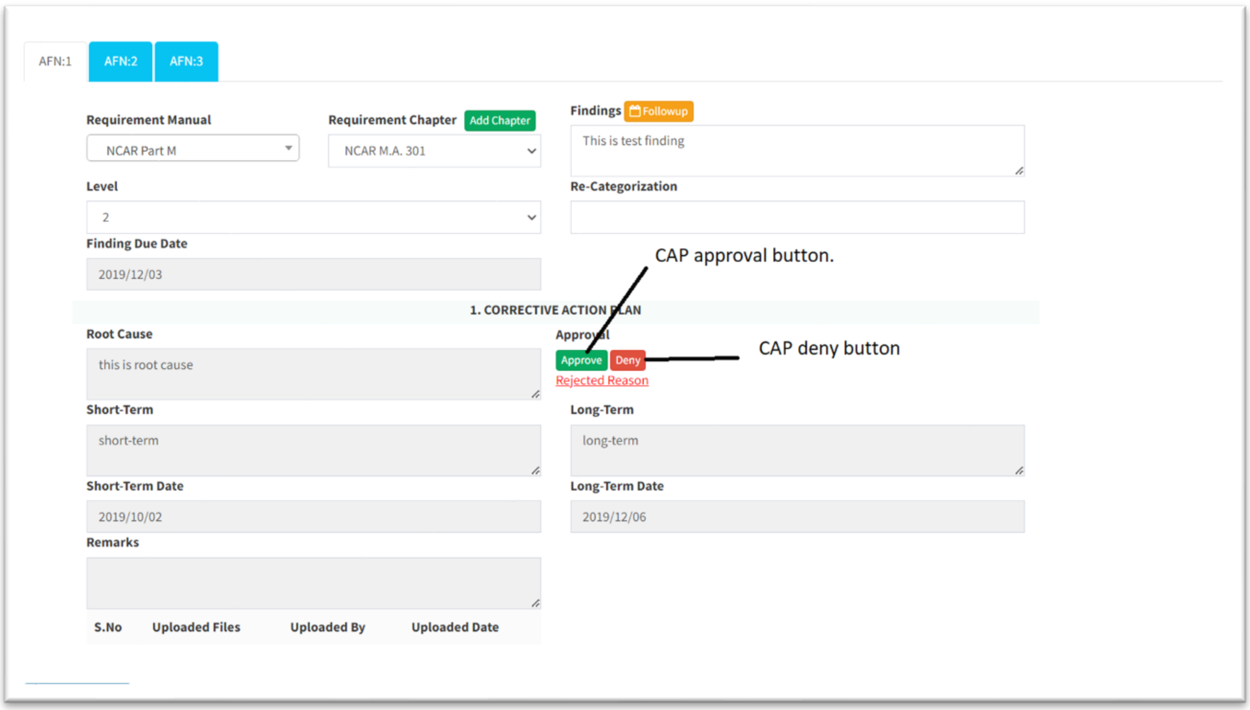
Note:- Do not change the level of finding level from level field itself. As later on it does not show the history of level 1 in Critical Finding Report if the level is changed. Use Recategorization field for upgrading or degrading the finding level.





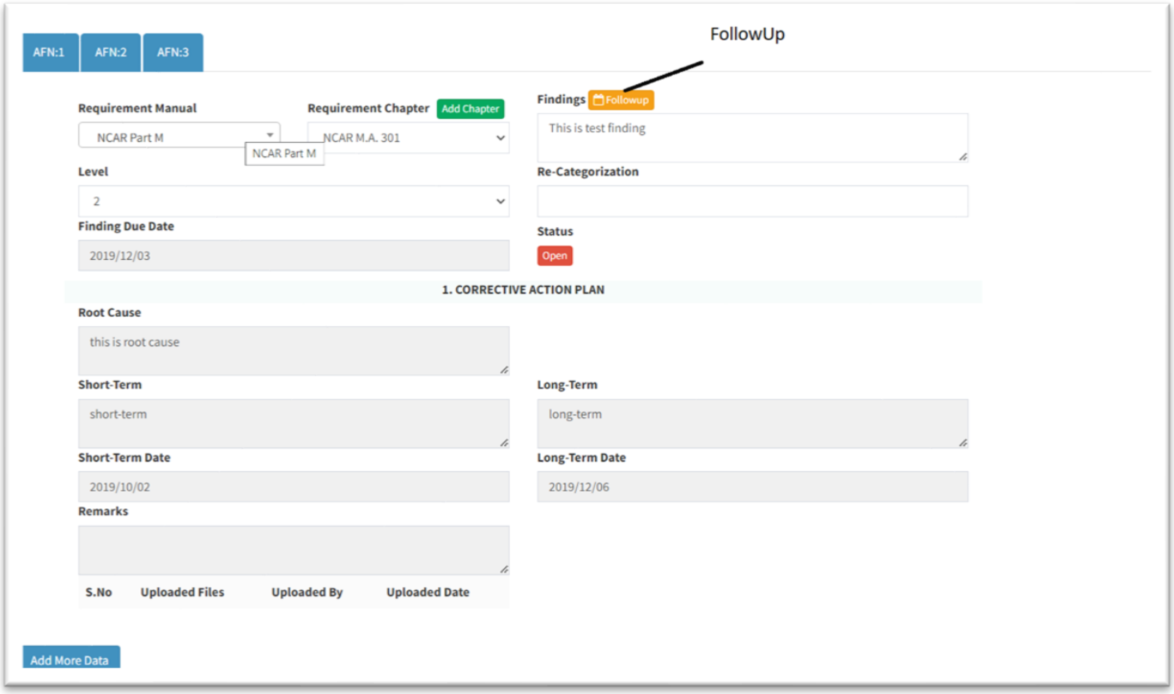
9.4. Corrective Action Plan Acceptance

After successful completion of Corrective Action Plan from the operators panel by the designated auditee the AFN tab becomes light blue which indicates the operator have submitted the Corrective action plan (CAP). The inspector will access the CAP and Approve or Deny the submitted CAP.

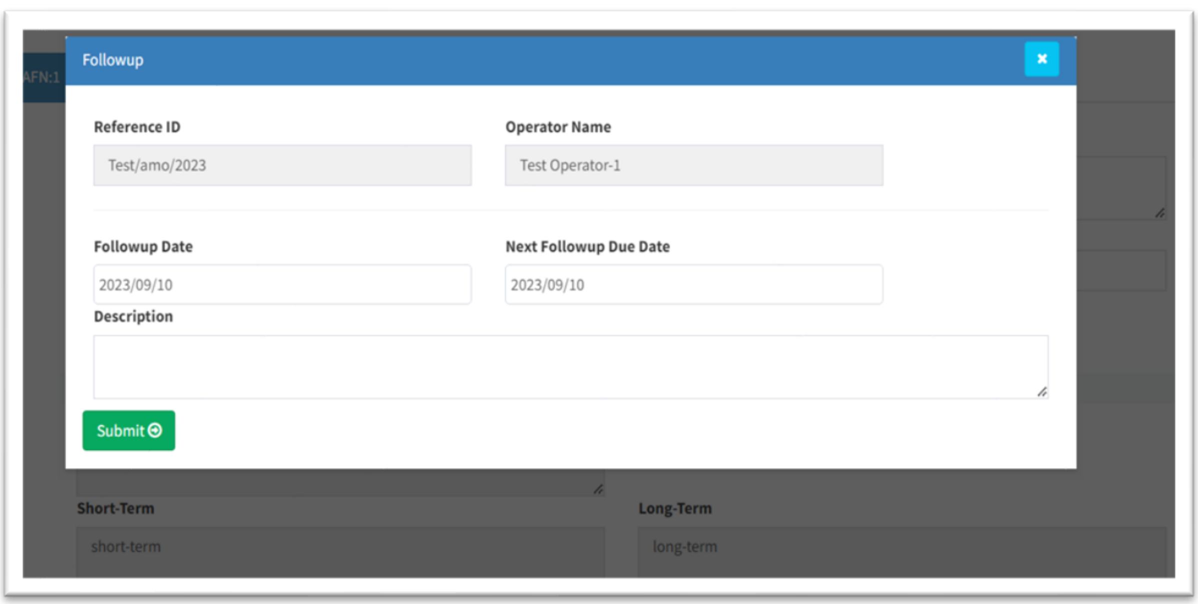


9.5. Creating Follow-up Action

To create the follow-up action click on **Follow up** button as shown in the figure below.

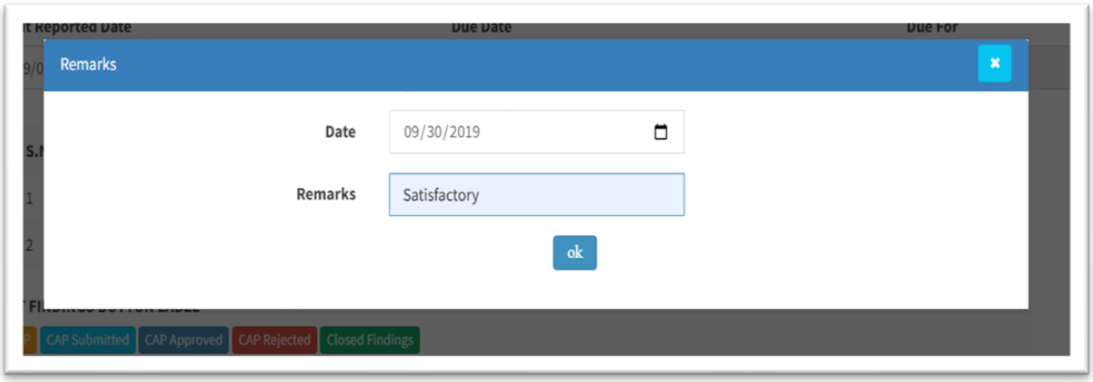


Add the **follow-up date** when the follow-up is carried out (On-site or document verification) and select **next followup due date** with detailed **description**.



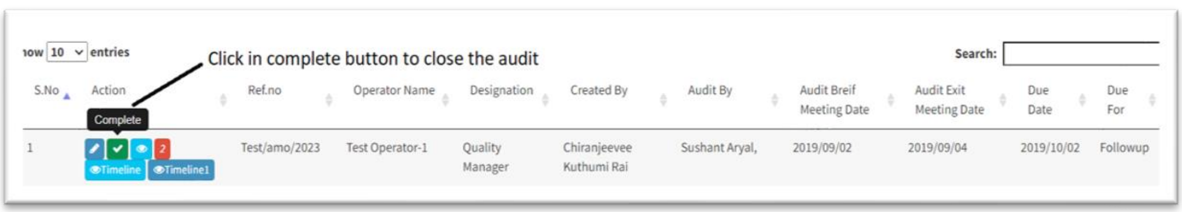
9.6. Findings Closure

After successful completion of the follow up action click on **Open** button to close the finding. Add **Closure date** and **Closure Remarks** as given in the figure below.



9.7. Audit Loop Closure

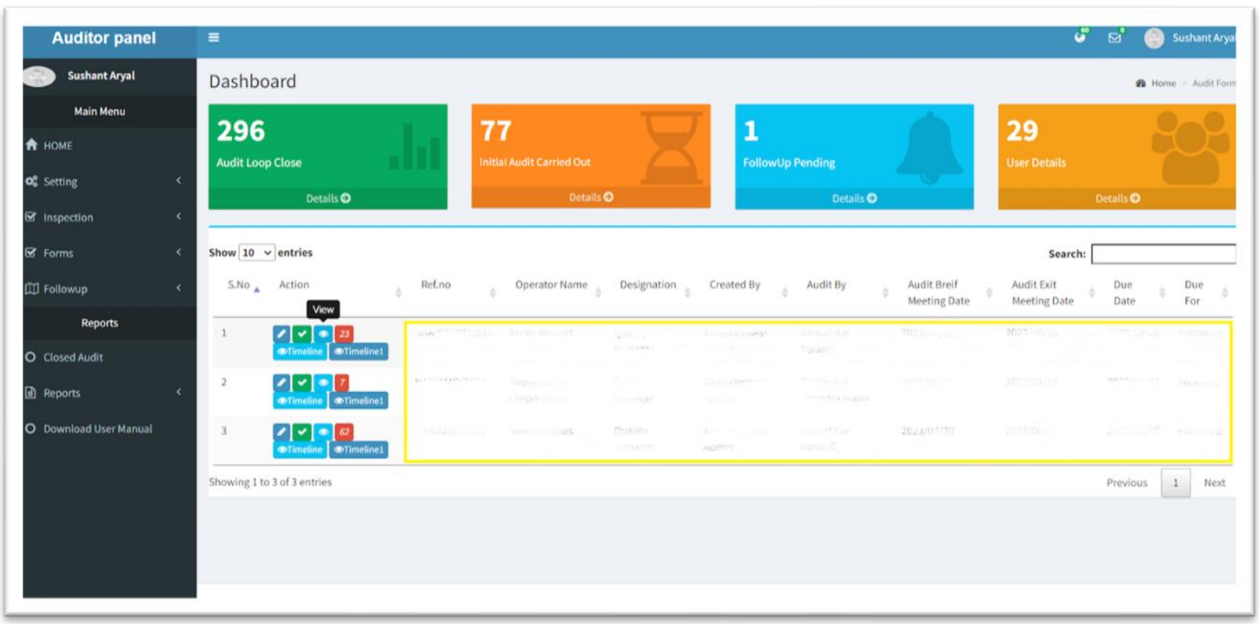
Click on **Complete** button when all finding are successfully closed.



10. Operators Tasks

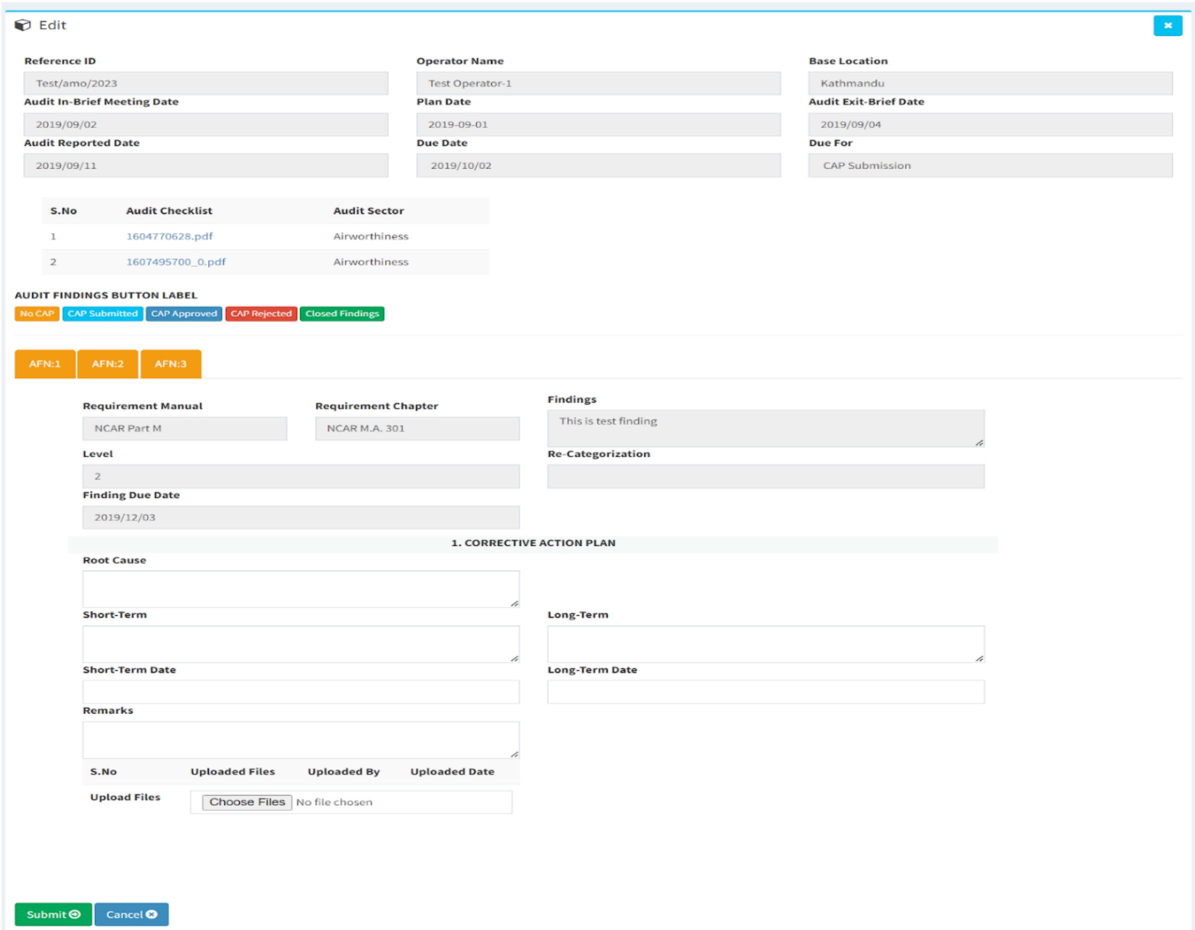
10.1. Introduction

Operators play a crucial role in our system by inputting data, participating in audits, and ensuring data accuracy. Their tasks include contributing to compliance efforts and supporting the overall surveillance and audit process.

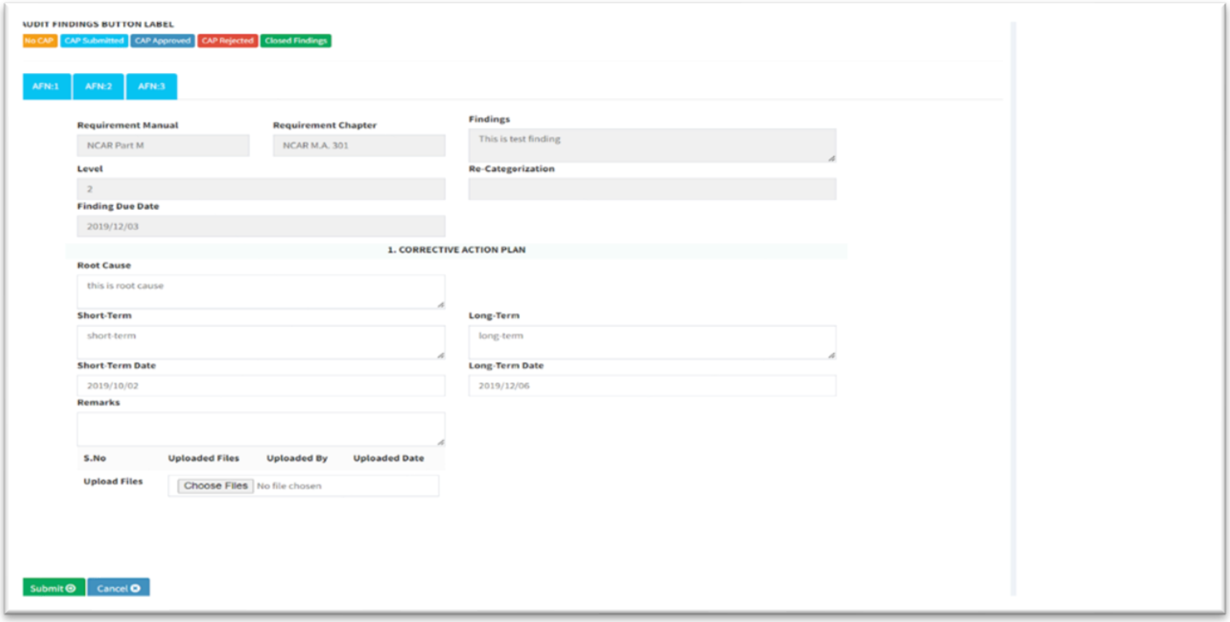


10.2. Corrective Action Plan Submission

After adding all the finding from the inspectors, the operator can edit and access the **Corrective Action Plan Table**. Add all the required fields and upload a signed copy of the CAP in the upload field.

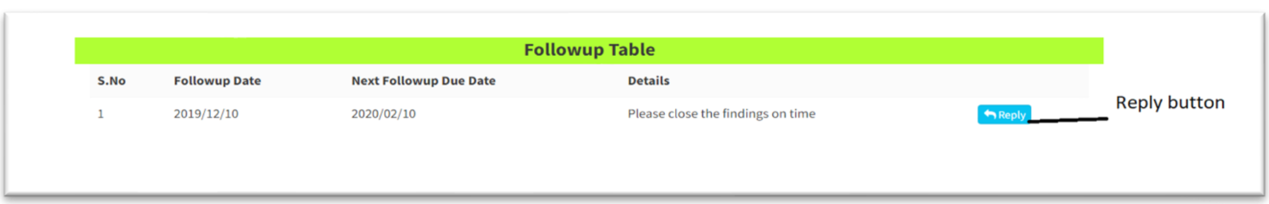


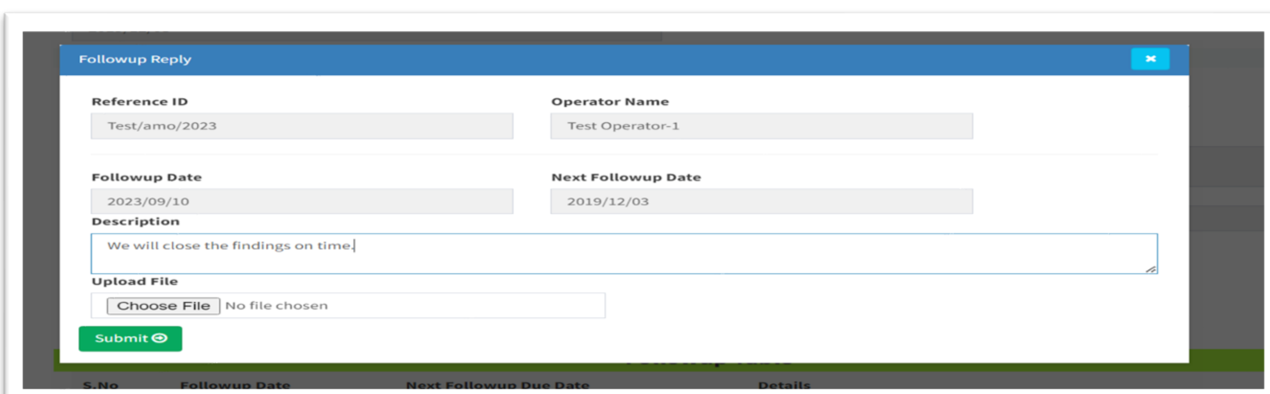
After successful completion of all fields the **AFN Tabs** becomes light blue which indicates that the CAP have uploaded in application as shown in the figure below. Please note that the CAP is not yet accepted. Please refer the color coding in the **Audit Finding Button label** for current status of CAP.



10.3. Action / Reply on Follow-up Table

The operator can also add the reply to the follow up action created by the inspector. Click on the Reply button and add the details of action carried out and upload the supporting documents related to the findings.



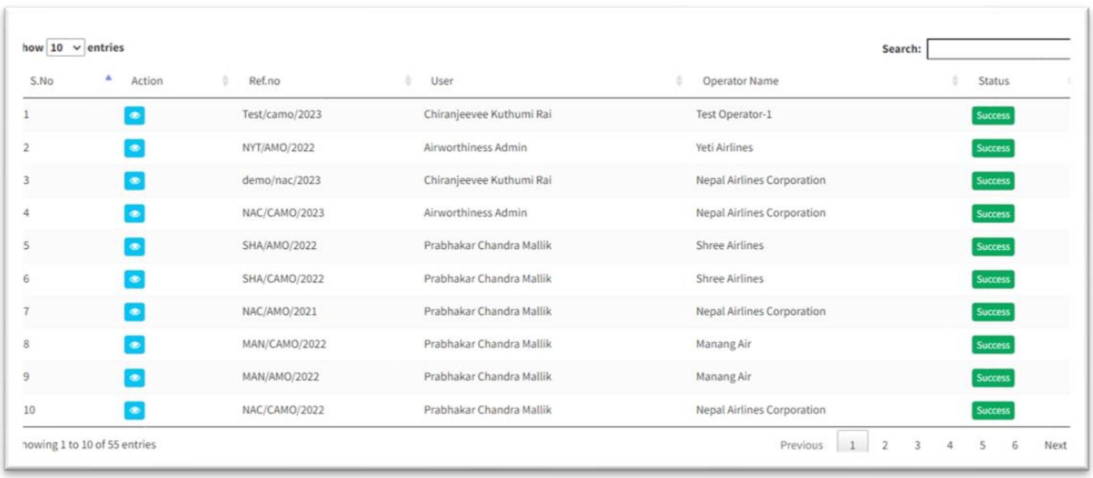


11. Reports

Our Auto-Generated Reports feature simplifies the reporting process by automatically compiling and formatting data into comprehensive reports. This time-saving tool ensures accuracy and consistency in your audit and surveillance documentation. Customize report templates to match your organization's requirements, and with a few clicks, generate professional reports ready for sharing or archiving. Say goodbye to manual report creation, reduce errors, and streamline your audit and surveillance reporting with ease. Let our system do the heavy lifting, allowing you to focus on analyzing insights and making informed decisions.

11.1. Closed Audit Report

The Inspectors and Operators can access the closed audit in the Report section as shown in the figure below.



how 10 entries Search:

S.No	Action	Ref.no	User	Operator Name	Status
1		Test/camo/2023	Chiranjeevee Kuthumi Rai	Test Operator-1	Success
2		NYT/AMO/2022	Airworthiness Admin	Yeti Airlines	Success
3		demo/nac/2023	Chiranjeevee Kuthumi Rai	Nepal Airlines Corporation	Success
4		NAC/CAMO/2023	Airworthiness Admin	Nepal Airlines Corporation	Success
5		SHA/AMO/2022	Prabhakar Chandra Mallik	Shree Airlines	Success
6		SHA/CAMO/2022	Prabhakar Chandra Mallik	Shree Airlines	Success
7		NAC/AMO/2021	Prabhakar Chandra Mallik	Nepal Airlines Corporation	Success
8		MAN/CAMO/2022	Prabhakar Chandra Mallik	Manang Air	Success
9		MAN/AMO/2022	Prabhakar Chandra Mallik	Manang Air	Success
10		NAC/CAMO/2022	Prabhakar Chandra Mallik	Nepal Airlines Corporation	Success

howing 1 to 10 of 55 entries Previous 1 2 3 4 5 6 Next

11.2. Critical Finding Report

The inspector can access to the Level 1 Findings in **Critical Finding Report** in **Reports** section.

iow 10 entries

Search:

S.No	Action	Ref.no	Operator Name	Finding	Immediate Action	Re-Categorization	Status
11		TA/OPS/2023	Tara Air	AFN:14 -FOR(A)- 9.4.4.1 DCP-Bs are not developed. All check functions are being done by instructors and few only by DCP-A.	Instructed to request CAAN FOI for observation until DCPs are developed.		Close
12		TA/OPS/2023	Tara Air	AFN:15 -FOR(A)- 16.5 Recurrent flight training program is not available in OM-D	Informed to coordinate with STOL operators for development of the program	degraded to level 2, after submission of OM-D with required training program	Open
13		TA/OPS/2023	Tara Air	AFN:16 -FOR(A)- 3.12.1 d. & 3.18.1 Recurrent flight training is not conducted	Informed to coordinate with STOL operators for development of the program and implement prior next PPC	degraded to level 2, after submission of OM-D revision with required training program	Open
14		TA/OPS/2023	Tara Air	AFN:19 -FOR (A) Ch-10 MEL training document for dispatchers / FOOs missing. (eg. FOO Sagun Chaudhary)	Instructed to suspend such dispatchers to exercise privilege of license unless training is done and documented		Close
15		TA/OPS/2023	Tara Air	AFN:25 -AOCR – Appendix 4 Safety Director is not appointed in compliant to CAAN instruction (FOD-079/80 Cha. No. 184 dated 28th August 2022)	Instructed to nominate new candidate within 15 days	degraded to level 2, New candidate is appointed and under process of required training completion	Open
16		BHA/OPS/2023	Buddha Air	AFN:17 -FOR(A)- 10.3 a Annual Recurrent / refresher training of flight Dispatchers' is due in April and no concrete plan of training is available. Informed all dispatchers not to exercise the privilege of their FOO License after 30th April 2023 unless the refresher is conducted.	Informed all dispatchers not to exercise the privilege of their FOO License after 30th April 2023 unless the refresher is conducted.	degraded to level 2, after performance refresher training is conducted and evidence sent	Open
17		BHA/OPS/2023	Buddha Air	AFN:19 -FOR (A) Ch-10 MEL training for dispatchers / FOOs are not conducted.	Informed all dispatchers not to exercise the privilege of their FOO License after 30th April 2023 unless the MEL Training is conducted.	degraded to level 2, after MEL training is conducted and evidence sent	Open
18		NAC (D) /OPS/2023	Nepal Airlines Corporation	AFN:10 -FOR(A)- 9.4.4.1 Domestic: DCPs are not developed. All check functions are being done by instructors.	Instructed to conducted all checks in presence of CAAN FOI until DCPs are developed	degraded to level 2	Open
19		NAC (D) /OPS/2023	Nepal Airlines Corporation	AFN:11 -FOR(A)- 16.5 Domestic: Recurrent flight training program is not available in OM-D	Instructed to develop RT Plan in coordination with STOL operators immediately.	degraded to level 2, after CAP submission	Open
20		NAC (D) /OPS/2023	Nepal Airlines Corporation	AFN:12 -FOR(A)- 9.14.1 & PELR- 2.27 Domestic: Logbook of pilots state that both captains flying together are logging P1 hour at same time / flight	Correct the logbook of crews immediately	degraded to level 2, after CAP Submission	Open

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11.3. Audit Status Report

Reserved.

12. Data Backup Provision

Ensuring robust data backup provisions for government-based servers under the .gov.np domain is of paramount importance for data security, continuity, and disaster recovery. In the context of Nepal's government infrastructure, a comprehensive data backup strategy is implemented.

Government servers handling critical data is employed regular and automated backup routines. These backups should be stored securely in geographically dispersed, redundant data centers to guard against natural disasters or system failures. Data encryption and strict access controls is applied to protect sensitive information.

Additionally, a clear data retention policy is established, outlining the duration and purpose of data retention. Redundant copies is being maintained for historical and audit purposes.

Ultimately, a government-based server backup provision for .gov.np domains is align with industry best practices, prioritize data security and privacy, and ensure rapid data recovery to maintain the integrity and availability of critical government services and information.