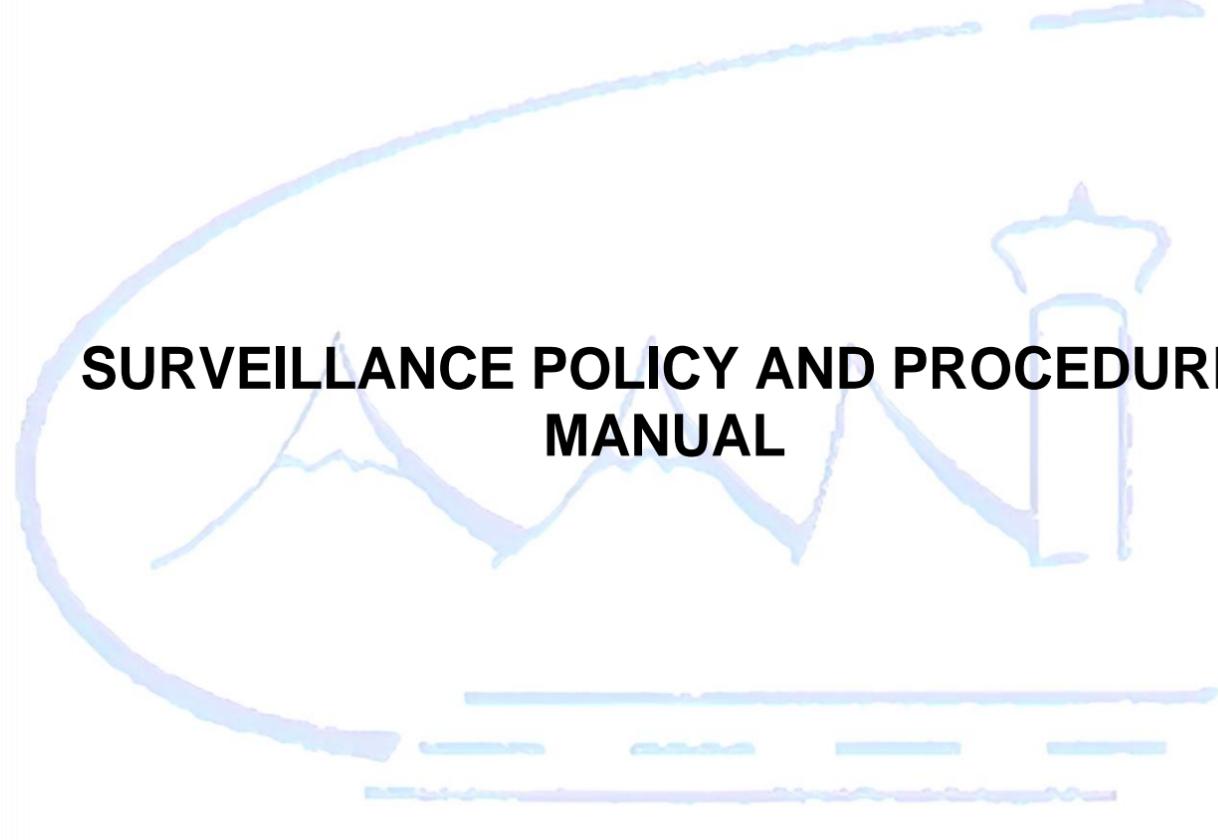


**CIVIL AVIATION AUTHORITY OF NEPAL
FLIGHT SAFETY STANDARDS DEPARTMENT**



**SURVEILLANCE POLICY AND PROCEDURE
MANUAL**

**Issue 05
September 2020**



SURVEILLANCE POLICY AND PROCEDURE MANUAL

RECORD OF REVISION

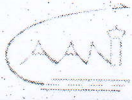
S. No.	Revision No. & Date	Revision Details
1.	Issue 01 dated July 2011	Initial Issue
2.	Issue 02 dated June 2013	Issue 02 was Issued to incorporate change in procedure.
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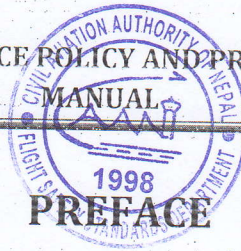
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SURVEILLANCE POLICY AND PROCEDURE



The surveillance policy and procedure manual has been prepared for the use and guidance of CAA Nepal Inspectors 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 CAA Nepal.

All subject matters pertaining to Flight Safety Standards Department, regarding surveillance, their duties, responsibilities and procedures have been covered to the extent possible. Inspectors are expected to use good judgement while dealing with the matters specific guidance is not available.

This manual will come into force after its approval from Director General. This Manual will be reviewed annually in the month of January to maintain currency of the manual.

Rajan Pokharel
Director General
Civil Aviation Authority of Nepal



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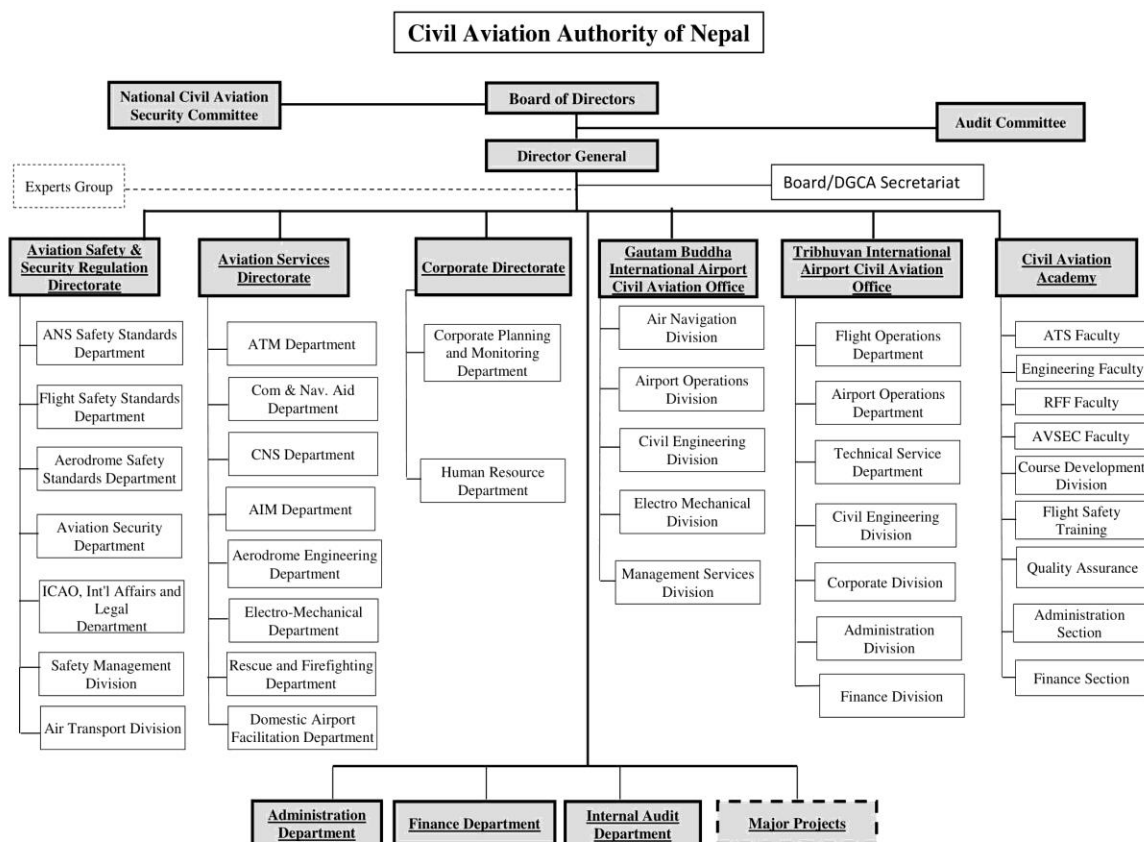
1. GENERAL

1.1 Introduction

The Civil Aviation Authority of Nepal (CAA Nepal) is the regulatory body in the field of civil aviation. It is responsible for regulation of air transport services to/from and within Nepal by formulation of civil air regulations; monitoring if the Air Operators, domestic CAMO; domestic AMO, domestic ATO, licence holders; designated/delegated organization/person or examiners; foreign operators, foreign AMO; foreign CAMO; foreign ATO; herein referred to as Service Provider, are continuingly in compliance with its regulations or international standards set forward by ICAO. Furthermore, if there are any deficiencies/concerns, it will take appropriate actions up to and including enforcement measures so as, to resolve identified deficiencies and safety issues in a timely manner.

1.2 CAA Nepal

CAA Nepal was established as an autonomous regulatory body on 31st December 1998 with Civil Aviation Authority of Nepal Act 1996 and it has its Head office in Babarmahal, Kathmandu, Nepal. The organization structure of CAA Nepal is given below:





1.3 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 Service Provider's Manual or exposition required to be submitted (for acceptance/approval by CAA Nepal) under the service provider approval 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 Service Provider will stay in compliance.

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 or administrative action.

During the surveillance, the focus is on checking what is being done, against what the Service Provider says it will do, as set out in the manual(s). The procedures set out in the Service Provider'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 nonconformance in other cases, and the corrective action will be determined accordingly.

CAA Nepal has been established as a safety regulator with legal competence for rulemaking and relevant aviation safety regulations in Nepal. CAA Nepal 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 Nepal. CAA Nepal discharges State Safety Oversight obligations on behalf of Nepal.

CAA Nepal has established a system for both the certification and the continued surveillance of the Service Provider to ensure that the required standard of operations set forward in its regulations/requirements are maintained. Furthermore, CAA Nepal has established a program with procedures for the surveillance of operations in its territory by a foreign operator and for taking appropriate action when necessary to preserve safety.

For this reason, CAA Nepal will have an ongoing surveillance plan (Safety Oversight Program) to confirm that Service Provider continue to meet the relevant requirements for initial certification and that each Service Provider are functioning satisfactorily.

CAA Nepal will implement documented surveillance processes through its Safety Oversight Program, by defining and planning inspections, audits and monitoring activities on a continuous basis, to proactively assure that aviation licence, certificate, authorization and approval holders continue to meet the established requirements. This includes the surveillance of person or organization designated/delegated by the authority to perform tasks on CAA Nepal behalf.

To discharge its State Safety Oversight obligations, CAA Nepal ensures that its inspectors are provided with appropriate facilities; comprehensive and up-to-date technical guidance



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materials and procedures containing the policies, procedures and standards; safety-critical information; tools and equipment; and transportation means; as applicable; to enable them to perform their safety oversight functions effectively and in accordance with established procedures in a standardized manner for certification and continued surveillance of Service Provider.

1.4 Aviation Enforcement and Policy and Procedure Manual

The Aviation Enforcement Policy and Procedure Manual has been prepared by CAA Nepal to provide details about the enforcement policy and procedures, roles and responsibilities of CAA Nepal Inspector, 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 Aviation Enforcement Policy and Procedure Manual also provide details about CAA Nepal 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, CAA Nepal Inspectors shall consider each case individually to determine an appropriate enforcement action. They should recommend actions that, in their professional judgment, will appropriately serve the purposes of the CAA Nepal's safety mandate. It is essential that enforcement action where required is taken in a fair and equitable 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.

Authority for enforcement action is contained in Rule 84 and Rule 40 of Civil Aviation Regulation and its amendments.

The cases for enforcement action are brought forward by Inspectors for consideration by Director, FSSD and necessary recommendation of enforcement action by Aviation Safety and Security Regulation Directorate to Director General, CAA Nepal.

After decision by Director General, CAA Nepal, the same will be intimated to Aviation Safety and Security Regulation Directorate and Director, FSSD to take enforcement action



2. SURVEILLANCE

2.1 Introduction

Nepal 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, CAA Nepal 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.

Continuing safety oversight of Service Provider by CAA Nepal is inherent in the system of certification. It is an essential part of the responsibility of CAA Nepal to ensure that the required standard of operation is maintained to provide a safe and reliable commercial air transport service to the public. Authority for this continuing process is contained in Rule 84 of Civil Aviation Regulation and its amendments.

CAA Nepal Inspectors have the authority and the responsibility for exercising continuing safety oversight of Service Provider to ensure that accepted safety practices and proper procedures for the promotion of safety in operation are maintained. To achieve this objective, CAA Nepal Inspectors are responsible for continuously monitoring operations conducted by each Service Provider. Such surveillance could result in the revision of operation specification; approval certificates and ratings or in the temporary suspension of a Service Provider approval/ certificates. In an extreme case it could result in revocation of Service Provider approval/certificates.

Required surveillance and the related inspections should be planned and conducted by CAA Nepal inspectors assigned to a Service Provider as responsible for the standard of conduct of the operations. Whenever specialized assistance is required, the inspectors should request such help from CAA Nepal. All inspectors authorized to conduct safety oversight need to be in possession of credentials identifying them as inspectors employed by CAA Nepal.

The safety oversight of the Service Provider is to be conducted on a continuous basis, whether or not the Service Provider Approval/certificate has a specific duration with an expiration date. It should be based on periodic random inspections of all aspects of the operation.

The area to be covered in the surveillance activities over a period should be like those examined during the original certification process. They should include at least a re-evaluation of the Service Providers organization management effectiveness and control, facilities, equipment, aircraft maintenance, records and planning; operational control and supervision, maintenance of flight; cabin crew and certifying staff standards, passenger and cargo safety procedures, dangerous goods procedures, security procedures, operational and personnel records; training; company manuals, financial viability; Quality System and record of compliance with the provision of the Service Provider approval/certificates and pertinent



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operating regulations and rules.

During the surveillance activity, CAA Nepal Inspectors should conduct headquarters, line stations facility, maintenance facility, records and planning facility, apron and en-route inspections to ensure that all important areas are covered and should record all surveillance activity in order to be able to answer any questions that may arise concerning the factual basis for the inspector's recommendation.

All safety oversight activity with respect to Service Provider should be carefully planned. It will not be possible to cover all aspects of an operation during every inspection, but as much as possible should be covered over a specific period, and appropriate records should be maintained. Inspections should also be planned based on a risk assessment exercise so that aspects of the operation that involve the greatest risk should receive more frequent attention. The planning of inspections by the CAA Nepal Inspectors should consider the results of the Hazard Identification and Risk Assessment conducted and maintained by the Service Provider as part of their SMS.

2.2 Safety Oversight Program

The safety oversight program shall be developed based on the complexity of the aviation industry within Nepal considering the quantity of AOCs, type of aircraft operated, AMOs; CAMOs and approved ATOs. The safety oversight program shall include periodic and unannounced surveillance visits to the Service Provider. The safety oversight program shall cover compliance to approved or accepted procedures to obtain an accurate depiction of the day-to-day operations and compliance with the requirements. In addition to periodic surveillance, the Inspectors shall focus on follow-up surveillance visits on areas where deficiencies were noted on previous audits. The Inspectors shall ensure that all surveillance performed are properly documented and referenced and retained for future audits. Analysis of previous audit reports is recommended and may indicate a pattern of weakness the Service Provider may be experiencing. The Inspectors shall take steps to ensure AOCs have an effective system to monitor the performance and efficiency of the maintenance program. The Inspectors shall ensure Service Provider has an independent quality assurance system to monitor compliance with the requirements or a system of inspection to make sure all maintenance is properly performed.

The inspectors shall promptly advise the Service Provider in writing should discrepancies exist regarding compliance with the requirements. The inspectors shall include in their written report a time-period for the Service Provider to take corrective action. follow-up visit shall take place to verify correction of the discrepancies and compliance with the requirements. Should the Service Provider not address the discrepancies in the time-period allotted by the Inspectors or be unable to correct the discrepancy, enforcement action may be necessary in such cases.

There may be instances during performance of surveillance where inspectors may identify a serious safety concern. The Inspectors shall have procedures in place to take prompt action, should the condition warrant, that will ensure that aircraft are operated in an airworthy condition.



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In summary, the safety oversight program shall provide a comprehensive and conclusive assessment of Service Provider continuing competence. Moreover, the associated inspection reports should indicate whether the safety oversight system and procedures employed by the CAA Nepal are effective in determining Service Provider's competence, record of compliance and overall capabilities.

In the first few months of a new operation of Service Provider, CAA Nepal inspectors should be particularly alert to any irregular procedures, evidence of inadequate facilities or equipment, or indications that management control of the operation may be ineffective. They should also carefully examine any conditions that may indicate a significant deterioration in the Service Provider financial condition. Examples of trends which may indicate problems in a new Service Provider financial condition are:

- a) Significant lay-offs or turnover of personnel.
- b) Delays in meeting payroll.
- c) Reduction of safe operating standards.
- d) Decreasing standards of training.
- e) Withdrawal of credit by suppliers.
- f) Inadequate maintenance of aircraft.
- g) Shortage of supplies and spare parts.
- h) Curtailment or reduced frequency of revenue flights; and
- i) Sale or repossession of aircraft or other major equipment items.

When any financial difficulties are identified, CAA Nepal inspectors should increase technical surveillance of the operation with emphasis on the upholding of safety standards. The inspector should also refer the matter to the Director of Flight Safety Standards Department, CAA Nepal for any action deemed necessary, such as a financial audit.

During the certification process, the CAA Nepal inspector will have determined the methods, system or procedures that the Service Provider intends to use to ensure compliance with applicable regulations, Service Provider's approval/certificates scope and the operator's operations and their procedure manuals or expositions. A prime objective of the safety oversight program is to confirm that such methods, systems, or procedures are being followed and are effective in the demonstration of Service Provider compliance and achievement of safety objectives.

Aircraft leases and contractual arrangements entered into by the operator for training, aircraft maintenance or servicing etc. need to be thoroughly reviewed and a determination made of whether these arrangements are producing satisfactory results as far as the maintenance of safety standards and regulatory compliance are concerned.

The training program should also come under scrutiny during oversight to ensure that the training standards, which were demonstrated when the program was initially approved, are being maintained. If there are indications that the training provided is not achieving the desired training objectives, or has resulted in a high failure rate on various tests or examinations, CAA Nepal Inspectors need to ascertain that the Service Provider revises the training program to ensure that trainees will reach the required level of competence.



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If the CAA Nepal has approved flight crew proposed by an operator as designated examiners, their performance needs to be observed and evaluated during the surveillance. This evaluation should be conducted, where possible, by an Inspector qualified on the specific type of aircraft utilized by an operator. The evaluation may be accompanied either during an instrument rating or a proficiency check in an aircraft or a flight simulation training device approved for the purpose. Flight crew approved as designated examiners need to satisfactorily demonstrate knowledge of the aircraft and related system, operator procedures, authorized route structure and pertinent regulations. Such individuals are also required to demonstrate competency in evaluating the performance of other flight crew members. The personal ability and integrity of flight crew approved as designated examiners should be exemplary and their requirements for the prescribed standard of performance from flight crew being tested should not be in doubt. A similar but less thorough process is required for the oversight of operator's flight crew approved only for line check functions.

As indicated previously, the oversight function should be accomplished on a continuing basis, planned, and performed at specified times or intervals, or conducted in conjunction with the renewal of Service Provider approval/certificates. Regardless of the method used, all significant aspects of the operator's procedures and practices should be evaluated and appropriate inspections, commensurate with the scale of the Service Provider activities, conducted at least once every 12 months.

The safety oversight program of Service Provider should:

- a) Establish that the Service Provider has conducted, and is likely to continue to conduct, operations in accordance with good operating practices, Service Provider's approval/certificate scope, operations and expositions and the relevant operating regulations and rules.
- b) Ensure that all changes in the applicable operating regulations and rules, or any amendments to Service Provider's approval/certificate scope, or otherwise any improvements in operating procedures, are put into practice and reflected in appropriate amendments to the operations manual or the relevant exposition.
- c) Keep the CAA Nepal informed of the competency, current operating practices, and records of compliance.
- d) Afford the Inspectors the opportunity to recommend CAA Nepal regulatory or policy changes if the safety oversight inspections indicate such action would result in improvements in operating safety standards in general; and
- e) Establish whether the exercise of the privileges of Service Provider Approval/Certificate by a Service Provider should be continued, made the subject of further operating limitations, or be suspended or revoked.

Throughout all phases of the surveillance program, the standards of the capability and competence should equal or exceed that required at the time of original certification of the Service Provider. CAA Nepal Inspector conducting surveillance and related inspections should carry out such activities in a thorough manner and require the Service Provider to



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convincingly demonstrate that operations are being conducted in accordance with the Service Provider's approval/certificate scope the Service Provider manuals and appropriate Civil Aviation Regulations.

As indicated above, the primary responsibility of CAA Nepal is Safety Oversight, and to meet this obligation, Flight Safety Standards Department will prepare a Safety Oversight Program. The Safety Oversight Program consists of surveillance plan of Airworthiness Inspection Division; Flight Operations Division; Licensing and Examination Division; Cabin Crew and Dangerous Goods. FSSD ensures effective monitoring and compliance of the Safety Oversight Program. Any surveillance action to be taken by CAA Nepal Inspectors should be clearly and unambiguously be covered by the legal authority available to them. Therefore, only Inspectors with valid and current credentials shall exercise the authorities within the confines of credentials.

CAA Nepal conducts following types of surveillance activities as per the Safety Oversight Program:

- a) Regulatory Audit (Planned Audit)
- b) Safety Assessment of Foreign Aircraft (SAFA)
- c) Spot Check
- d) Night Surveillance
- e) Ramp Inspection (Planned and unplanned)
- f) Surveillance of Foreign Approved Maintenance Organizations (AMOs); Foreign Approved Training Organisations (ATOs) and Flight Simulator Training Device (FSTD)
- g) Special Inspection or Audit.

2.2.1 Regulatory Audit (Planned Audit)

CAA Nepal has developed a system of surveillance to ensure continuing compliance of regulation by Service Provider, as well as individual, professional competency of license/rating/certificate/approval holders. The surveillance ensures the capability of Service Provider to ascertain an Acceptable Level of Safety in Civil Aviation. Surveillance provides essential information of the state of compliance of Service Provider and individual participants, identifying any corrective action needed to bring performance up to the required level. Surveillance aims to identify and correct non-compliance behaviors and unsafe practices before they cause any accident or incident. CAA Nepal surveillance activity covers all Service Providers in Civil Aviation System.

Regulatory Audits are the part of Safety Oversight Program which will be carried out during the year with an aim to ascertain the internal control of Service provider in its activities and to ensure compliance of regulatory requirements.

Regulatory Audit shall be carried out as per the Safety Oversight Program. The assigned Inspectors will co-ordinate the Regulatory Audits. Audit reports will be disseminated by the assigned Inspectors to Service Provider. The auditors will ensure that the Corrective Action Plan (CAP) submitted by the Service Provider on the findings is acceptable and closed within the stipulated time-period. If the findings are not closed within the stipulated time-period, Inspectors will report this case to the Director of FSSD, and recommend for enforcement



action, as appropriate.

This surveillance will also include the designated/delegated organization or person.

2.2.2 Safety Assessment of Foreign Aircraft (SAFA) Inspection

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. 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 program with procedures for the surveillance of operations in their territory by a foreign operator and for taking appropriate action when necessary to preserve safety.

The SAFA inspections will be carried out jointly by the Airworthiness Inspection Division and Flight Operation Division. The schedule of SAFA inspection is given in the respective section of Safety Oversight Program.

Foreign air operators may be subjected to unplanned SAFA inspection, in addition to the one identified in Safety Oversight Program, if CAA Nepal has reason to believe that the foreign air operator has degraded level of safety. Refer to Foreign Carrier Surveillance Manual for further detail.

2.2.3 Spot Check

Apart from Regulatory Audits, CAA Nepal also carries out spot checks. Spot checks are unplanned checks and will be carried out to verify the effectivity of internal audit system of any organization and ensuring the continued compliance of CAA Nepal previous audit / surveillance findings. The spot checks shall not form part of the Safety Oversight Program. However, the details and discrepancy reported during this course will be reviewed during FSSD Monthly Meeting, Quarterly Surveillance Monitoring Meeting, Annual Surveillance Monitoring Meeting

Director of Flight Safety Standards Department shall convene meeting when desirable with the Accountable Manager of respective organization if there are any serious discrepancies observed during spot checks.

2.2.4 Night Surveillance Checks

The purpose of Night Surveillance is to ensure that Service Provider do not follow shortcut on any procedures, deployment of necessary manpower, release of aircraft without proper defect rectification, extend MELs due to absence of CAA Nepal and Service Provider's own managerial supervision at night or any other reasons.

2.2.5 Ramp Inspection (Planned and Unplanned)

Ramp Inspections are planned, and unplanned product inspections carried out to inspect aircraft registered in Nepal at ramp during schedule operation to verify the compliance of laid down regulation during aircraft operation. This inspection may be carried out jointly by Airworthiness Inspection Division and Flight Operations Division. The ramp inspections may be carried out at base, line stations and transit stations.



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Planned ramp inspections are carried out as part of the Safety Oversight Program Regulatory Audit (Flight Operation and CAMO Audit) planned for an organization. The planned ramp check is carried out by Airworthiness Inspection Division and Flight Operations Division mainly in operator's base. Whereas, unplanned ramp inspections are carried out either jointly by Airworthiness Inspection Division and Flight Operations Division or separately by conducting surprise check of the aircrafts registered in Nepal at base and various line stations throughout the year.

2.2.6 Surveillance of Foreign Approve Maintenance Organizations (AMOs); Foreign Approved Training Organisations (ATOs) and Flight Simulator Training Device (FSTD)

These are planned inspection of an approved foreign maintenance; training facilities and Flight Simulator Training Devices carried out at regular intervals by the Airworthiness and Flight Operations representatives, to ensure adherence to the laid down requirements by approved foreign organizations for continuation of approval of CAA Nepal. This surveillance will also include the designated/delegated organization or person.

2.2.7 Special Inspection or Audit

Director General when finds it necessary, in terms of safety, may direct inspectors to carry out Special Inspection or Audit on particular area of Service Provider in order to ensure continued compliance with the requirement. These Special Inspection or Audits are initiated where there is an information on degraded level of safety, occurrence, incidents, accidents, or there is reason to believe that the operators are not complying with the requirements.

2.3 Formation of Safety Oversight Program

2.3.1 Role of each division for the preparation of the Safety Oversight Program

Safety Oversight Program is formulated by each division for all Service Provider. The procedure invoked by each division requires that all non-compliance and safety related findings be recorded by the inspectors as part of their routine regulatory oversight function. These findings raised are to be communicated to the chief in their respective division and uploaded in Audit Findings Tracking Database maintained in their division.

The findings should be classified into various level and in line with the appropriate regulations. The data will be reviewed and analysed on an annual basis to facilitate establishment of what the most prevalent/significant findings are and areas of weakness for each Service Provider. This data will be used in planning and preparation of the next CAA Nepal Safety oversight program with information and guidance to the inspectors to focus on area which has most prevalent/significant findings and area of weakness for each Service Provider and also to adjust the frequency of inspections to ensure that these areas are covered in depth during an audit.

Significant findings will require increased frequency of audits, spot checks and nil or non-significant findings may result in a reduction of the frequency in the Regulatory Audits. Such



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data should be analysed and information received from such data analysis shall be sent to chief FSSD annually.

2.3.2 Role of FSSD for the preparation of the Safety Oversight Program

The information received from data analysis received from each division on the annual basis will be further analysed by the Director of FSSD along with the division chief to review industry trends. The conclusions of the same will be addressed in Annual Surveillance Monitoring Meetings which is conducted during 4th Quarterly Surveillance Monitoring Meeting. The complete data for all divisions will be consolidated in this Annual Surveillance Monitoring Meeting. This data / information gathered will be used to evaluate each Service Provider on the areas of concern and these area of concern are given more attention/emphasis by Inspectors during conduct of audit, and while preparation of Safety Oversight Program for next audit as this data may lead to increase or decrease in frequency of an audit of Service Provider.

This data driven method will also increase the efficiency of CAA Nepal surveillance capability as it enables Inspectors to focus and devote more time on organization or areas with significant issues and focus less on organization or area which are doing well in comparison to their previous audit.

With this approach, the Safety Oversight Program adopts the principle of Risk Based Predictive Approach rather than corrective approach

2.4 Functions of FSSD with respect to surveillance activities

The Flight Safety Standards Department has a key role to plan, monitor, oversee and enforce actions on behalf of CAA Nepal. Key functions of FSSD with respect to surveillance activities are:

- a) Development of a consolidated system of surveillance for all divisions and to monitor compliance of the program as applicable to each division.
- b) Compile the Safety Oversight Program comprising of all divisions within January each year.
- c) To publish Safety Oversight Program to various divisions and publish the same on FSSD website for Stakeholder and public. The plan should include the area to be inspected month-wise.
- d) To collect and compile data on surveillance received from various divisions of FSSD during FSSD Monthly Meeting, Quarterly Surveillance Monitoring Meeting and Annual Surveillance monitoring meeting.
- e) To organize FSSD Monthly Meeting, Quarterly Surveillance Monitoring Meeting and Annual Surveillance Monitoring Meeting with all divisions to analyze the deficiencies of stake-holders identified by each division.
- f) To review all Level I and significant Level II findings and recommend Aviation Safety and Security Regulation Directorate for taking action as per administrative provisions of Aviation Enforcement Policy and Procedure Manual.
- g) Compile Monthly Audit Schedule of FSSD based on Safety Oversight Program.



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To prepare the consolidated (all division) Planned Vs. Completed surveillance activity within 2nd week of January every year.

2.5 Functions of Division with respect to surveillance activities

In carrying out the surveillance function, each division has the following broad responsibilities:

- a) Develop Surveillance Program each year related to their area of surveillance and submit it to the Director of FSSD by 2nd week of January every year for preparing Safety Oversight Program.
- b) Develop a checklist for each surveillance area in accordance with latest applicable regulations.
- c) Assigning Inspectors and resources to comply with Safety Oversight Program.
- d) Report violations/Significant findings to the Director of FSSD including no response from service provider regarding Corrective Action Plan on findings identified during audit.
- e) Report Level I findings to the Director of FSSD when observed by the Inspectors.
- f) Recommend regulatory action including enforcement action where necessary to ensure compliance with the rules/requirements.
- g) Prepare Monthly Audit Schedule for division based on Safety Oversight Program.
- h) Prepare division wise status for FSSD Monthly Meeting, Quarterly Surveillance Monitoring Meeting and Annual Surveillance Monitoring Meeting with inspectors to present it during such meeting.
- i) To compile their division consolidated (all inspectors) Planned Vs. Completed surveillance activity within 1st week of January every year.

2.6 Functions of Inspectors with respect to surveillance activities

The Inspectors have the following functions with respect to surveillance activities: -

- a) Execution of surveillance plan as per Safety Oversight Program.
- b) Compliance with the procedure laid down in Inspector handbook while carrying out surveillance.
- c) Create database of findings of each organization.
- d) Track and monitor each finding, and its due date.
- e) Track Corrective Action Plan (CAP) due date and assess the Corrective Action Plan submitted by the organization and carry out follow up audit when required.
- f) Carryout follow-up audit before the due date.
- g) Report violations/significant findings to the respective chief of division including no response from Service Provider regarding Corrective Action Plan on findings identified during audit.
- h) Report Level I findings to the respective chief of division.
- i) Recommend enforcement action when violations are observed.
- j) Maintain record of the surveillance activities conducted by them.
- k) Prepare Monthly Audit Schedule for Service Provider under his/her supervision based on Safety Oversight Program.



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- l) Prepare and attend the FSSD Monthly Meeting, Quarterly Surveillance Monitoring Meeting and Annual Surveillance Monitoring Meeting.
- m) To compile their consolidated (all organization) Planned Vs. Completed surveillance activity within last week of December every year.



3. SURVEILLANCE PROCEDURE

3.1 General

The most effective method of performing safety oversight functions and enhancing safety within the aviation community is to prepare a structured Safety Oversight Program which should be implemented vigorously.

The implementation of a Safety Oversight Program is concerned with satisfying the CAA Nepal objectives of regulatory presence, investigation, detection of contraventions, compliance, promotion, and education. When a comprehensive and effective Safety Oversight Program is in place, a higher degree of compliance and flight safety can be expected. Generally, the surveillance shall be carried out overtly by the Inspector introducing them to the operator/organization and giving the purpose of surveillance. This helps to promote voluntary compliance of the requirements.

Surveillance is carried out wherever and whenever aviation activity are most likely, including weekends and night. To the extent possible, it should cover a cross-section of all operations taking place in the respective field.

It must be ensured that each surveillance team –

- a) is composed of Inspectors whose specialty is pertinent to the type of the surveillance activity; and
- b) is fully qualified, duly authorized and properly briefed for the operation.

Surveillance may be either routine or special purpose. Routine surveillance, which includes surveys, audits, base inspections, service provider approval/certificates renewal inspections, and ramp checks, is conducted during the normal course of the Inspectors duties of monitoring day-to-day aviation activity. When contraventions of regulations are detected, Inspectors are responsible for completing the detection process for submission to the concerned chief of the division. These contraventions, collected and analyzed at the senior level, may reveal problems, trends, or threats to aviation safety. Routine audits directed at specific areas, events and activities in support of Safety Oversight Program, which will be prepared every year in the month of January and uploaded in FSSD website for Inspectors, Stakeholders and public after approval from Director General.

The checklist for audit of Service Provider is given in Flight Operations Handbook; Airworthiness Inspector Handbook; Dangerous Goods Inspector Manual; Personal Licencing Inspector Manual and ATO Handbook. The Checklist to perform Ramp inspection of an aircraft registered in Nepal is given AOCI Manual. The Checklist to perform Ramp inspection of Foreign Carrier is given in Foreign Carrier Surveillance Procedure Manual.

A sample checklist in “**Appendix-1**” of this manual will be used while carrying out spot check and night surveillance check of maintenance being carried out by Service Provider



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in its aircraft. The record of spot check and night surveillance shall be submitted by each inspector to their respective division for records.

A sample checklist in “**Appendix-2**” of this manual will be used while carrying out spot check of training being carried out by Service Provider. The record of spot check shall be submitted by each inspector to their respective division for records.

A sample checklist in “**Appendix-3**” of this manual will be used while carrying out spot check of examination being carried out by designated/delegated person or organization, domestic and Foreign ATO. The record of spot check and night surveillance shall be submitted by each inspector to their respective division for records.

Inspectors shall make use of their Inspector’s Handbook or a procedure manual provided by the CAA Nepal for this purpose. The primary objective should be to watch for any regulatory contraventions and wherever possible, prevent a contravention by dealing with the cause beforehand. Usually a friendly approach emphasizing the safety element can bring about voluntary compliance with the regulations.

Any findings/discrepancies observed during the audit will be communicated to the organization with reference to requirements, level of findings and due date for the findings. The findings/discrepancies observed will be fed into the database for resolution, tracking and dissemination of safety related issues.

A Quarterly Review of Surveillance Activity will be held, wherein progress, shortfalls against Quarterly targets, problems faced etc.; will be analyzed by CAA Nepal along with analysis of identified deficiencies categorized into Level I & II.

3.1.1 Level of Findings

A **level I finding** is any significant non-compliance with the requirements which lowers the safety standard and hazards seriously the flight safety.

A **level II finding** is any non-compliance with the requirements which could lower the safety standard and possibly hazard the flight safety.

3.1.2 Resolution of Findings

For **level I findings**, immediate action shall be taken by CAA Nepal to revoke, limit or suspend in whole or in part, depending upon the extent of the level I finding, the organisation approval, until successful corrective action has been taken by the organisation.

For **level II findings**, the corrective action period granted by CAA Nepal must be appropriate to the nature of the finding but in any case, initially must not be more than three months. In certain circumstances and subject to the nature of the finding CAA Nepal may extend the three months period subject to a satisfactory corrective action plan agreed by CAA Nepal.

3.1.3 Example for Level of Findings

The following are example of level I findings:



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- *Failure to gain access to the organisation during normal operating hours of the organisation in accordance with requirements after two written requests.*
- *If the calibration control of equipment had previously broken down on a particular type product line such that most “calibrated” equipment was suspect from that time then that would be a level I finding.*

The following are example of level II findings:

- *One time use of a component without any serviceable tag.*
- *The training documents of the staff are not completed.*

3.2 Surveillance Authority

Surveillance may be conducted by Inspectors in pursuant to the Rule 84 of Civil Aviation Regulation and its amendments.

3.3 Surveillance Procedure for the Inspectors carrying out routine surveillance

Planned Inspections of facilities and equipment's/aircraft are routine surveillance activities and referred as Regulatory Audit. For the routine surveillance activities following general procedure must be followed by Inspector. The detailed procedure for Regulatory Audit is laid down in Airworthiness Inspector Handbook; Flight Operation Inspector Handbook; AOCI Manual; Dangerous Goods Inspector Manual; Personnel Licencing Inspector Manual and ATO Handbook.

- a) Intimate the organization regarding audit through email/letter at least 7 days in advance of the audit date. On request from the organization, the dates of inspection may be deferred by a week, and another suitable date may be decided. If the organization again requests for deferment, a third date should be given. Any further request for postponement should not be agreed to and the audit of the organization will be carried out on dates finally intimated. If the inspection is not allowed by the organization, it should be reported to respective chief of the division, who will further report to the Director, FSSD and Director General. Denial of organization to conduct audit by CAA Nepal will be considered as Level I findings, which will warrant for immediate enforcement action.
- b) The Inspector should be familiarized with its requirements in a thorough manner. The Inspector should also be familiarized with:
 - Applicable regulations, CARs, CAA Nepal circulars, directives, notices, guidance materials etc.
 - Company procedures
 - Previous audit(s) / Inspection reports (at least two previous reports must be reviewed, and actions taken by organization to close all previous findings should be noted).
- c) Applicable checklist should be updated with any changes in the regulations/manuals



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and customization notes for the specific organization should be prepared.

- d) The specific information with respect to area of surveillance such as ADs, MMEL revision number., manufactures latest instruction about AMM revision etc. should be noted prior to commencement of audit.
- e) It is expected that the study and familiarization with the organization specific material will take 2-3 days prior to the surveillance date. Chief of the division should ensure that the Surveillance Team is relieved of extraneous office duties to enable them to prepare for meaningful surveillance.
- f) The surveillance shall be started with an Entry meeting between surveillance team and Accountable Manager along with Post Holder of the organization.
- g) Surveillance shall be carried out with the use of customized audit checklist available in AOCI Manual, Flight Operation and Airworthiness Inspector Handbook.
- h) Observations made during surveillance shall be recorded against each item of audit check list. The findings should be appropriately categorized as Level I and Level II as per guidance laid down in requirements.
- i) Surveillance team shall conduct the debriefing of the audit with Accountable Manager and Post Holder of the organization after the completion of the audit.
- j) After the conclusion of the surveillance activity, two copies of detailed report (Discrepancy Reporting Form or Corrective Action Notice) shall be prepared. The report will have reference to requirements against each finding; level of findings; due date etc.
- k) The 1st copy of report shall include the evidence that has been gathered in support of the contraventions as well as an account of all actions taken along with audit checklist used. The 1st copy of the report should be filed in the respective organization's Audit folder.
- l) The 2nd copy of report (Discrepancy Reporting Form or Corrective Action Notice) should be forwarded to the concerned organization within 7 days of completion of audit along with covering letter, for necessary corrective action.
- m) After receipt of notification of findings, the organization shall prepare Corrective Action Plan along with root cause analysis and submit the proposed Corrective Action Plan along with Root Cause Analysis to CAA Nepal for its acceptance within 30 days of issuance of Discrepancy Reporting Form or Corrective Action Notice.
- n) On receipt of Corrective Action Plan along with Root Cause Analysis, from the organization, CAA Nepal Inspectors shall review the proposed Corrective Action Plan for its acceptability. If found satisfactory; the proposed Corrective Action Plan submitted by organization will be approved. The information on approval of Corrective Action Plan will be given to organization in writing. If the Corrective Action Plan submitted by organization is not acceptable, same will be informed to organization in writing.
- o) Organizations shall take prompt action of resolving the non-conformities observed during the surveillance, inspection, spot checks or safety audits conducted by CAA Nepal.
- p) Time period for compliance shall be counted from the last day of audit.
- q) Carryout follow-up audit as per due date following procedure laid down above.



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- r) Where the organization fails to close the findings within the time-frame agreed with inspectors, the organization has to request FSSD in writing for the extension of the findings due date. The concerned inspector will review the request for extension of the findings. After satisfactory review of the request for extension of findings, Inspector will forward the request to chief of the division and subsequently to Director of FSSD for approval of the request.
- s) Where the organization has no reasonable and justified reasons for non-closure of findings within the time- frame agreed with Inspectors, necessary enforcement action will be initiated against the organization or the person responsible for non-compliance as the case may be.
- t) Inspectors should prepare Audit Finding Tracking Database of all the finding so that the findings can be monitored and tracked.
- u) The inspector should prepare themselves for the FSSD Monthly Meeting, Quarterly Surveillance Monitoring Meeting, Annual Surveillance Monitoring Meeting.

In the process of ensuring compliance, the Inspectors shall invariably be guided by the following principles: -

a) Natural Justice and Accountability: Decisions of Inspectors must be –

- fair and follow due process of law.
- transparent to those involved.
- consistent between like circumstances; and
- subject to appropriate internal and external review.

b) Impartiality: Decisions of Inspectors must not be influenced by-

- personal conflict
- irrelevant considerations, such as gender, race, religion, political views, or affiliation; or
- personal, political, or financial power of those involved.

c) Proportionality: Decisions of Inspectors must be commensurate with the identified breaches and the safety risk that may arise, in particular –

- CAA Nepal's priority shall be to protect the safety of the members of the public including fare-paying passengers.
- CAA Nepal shall take strong action against those who consistently and deliberately operate outside the existing law or approved procedures.
- CAA Nepal shall endeavor to educate and organize training to those who are lacking in proficiency but are willing to comply.
- CAA Nepal shall take necessary action as per Aviation Enforcement Policy and Procedure Manual when dealing with Service provider, licensed and certified personnel, who breach the Rules, Regulations and Requirements of CAA Nepal etc.



3.4 Surveillance Procedure for the Inspectors carrying out non routine surveillance

Unplanned inspections of facilities, equipment/aircraft, spot checks, night surveillance or special Inspection or audits are non-routine surveillance activities. For the non-routine surveillance following general procedure must be followed by Inspector.

- a) Inspection should be conducted at a time that minimizes inconvenience to flight crew, service provider and the travelling public.
- b) Inspectors shall not enter the aircraft or premises which are locked or where the Service Provider or appointed representative is not present.
- c) They shall use credentials card for personal identification. They shall also wear the airport restricted area pass.
- d) The flight crew and service provider of an aircraft shall be informed about the inspection. Notifying the Pilot-in-Command or Station Manager is considered sufficient for this purpose. This can be done either by phone or by having met them in the aircraft.
- e) A document produced for the purpose of inspection should be kept no longer than is necessary to determine its validity.
- f) Where the validity of a document cannot be determined readily, a photocopy, photograph, accurate record or facsimile of the entries or endorsement on both sides of the document should be made before returning the document.
- g) Inspectors may seize relevant and appropriate evidence with respect to a contravention discovered during the course of a inspection.
- h) If an unsafe situation is discovered, the Pilot-in-Command or Service Provider representative shall be informed and the inspector shall decide whether or not immediate detention of the aircraft is required; if required, the detention of the aircraft shall be carried out as per CAA Nepal Procedure for Detention and Release of Aircraft”.
- i) In the event of any obstruction to an inspection, the inspector should politely inform the individual of the purpose of the inspection, the authority granted for performing the inspection, and that the individual is obstructing the conduct of this inspection. If this does not gain cooperation, the Inspector shall explain that obstruction is an offence, and that Level 1 finding could be raised under the rules for obstructing an inspection. Should the individual continue to obstruct the inspection, the inspection should be abandoned and same should be reported to division chief. The division chief will report the same to the Director of FSSD, who will act in accordance with the provision laid down in Regulation/Requirements.

3.5 Seizure, Retention and Return of the Evidence

Where evidence is seized, the Inspector shall ensure that –

- the holder is given a receipt or note.
- the evidence is clearly marked in an identifiable manner.



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- reasonable care is taken to preserve and protect the evidence; and
- continuity of possession of evidence is assured.

Where an Aircraft Journey Logbook must be seized, a photocopy of the logbook properly identified as a certified true copy and signed by the Service Provider representative, the Inspector or the investigator is acceptable. Before making a photocopy, the original should be marked in a uniquely identifiable manner to preclude alteration or substitution; and the evidence is returned to the person from whom it was seized or who has lawful entitlement to it as soon as practicable, when continued retention is not required for the purposes of any investigation, hearing or other similar proceeding.

Usually original copy of the evidence must be returned within 30 days of seizure and the receipt or note mentioned above be cancelled if –

- there is no dispute as to who is lawfully entitled to it.
- return is not likely to affect aviation safety; and
- it is no longer required.

3.6 Detention and Return of Aircraft

Refer to Procedure for Detention and Release of Aircraft, 2013.

3.7 Inspector Flying as Passengers

If Inspectors, while flying as passengers either on duty or off duty, detect a contravention which, in their judgment, must be brought to the attention of the flight crew (e.g. a major disregard of the Rules and Regulations), they shall contact the Pilot-in-Command after the flight has terminated. After identifying themselves, the Inspectors shall indicate to the Pilot-in-Command the nature of the contravention and advise him that a detailed written report shall be made in this regard. Reporting regarding this matter shall be done to chief of the division and Director of FSSD without delay. It shall contain sufficient details including all available evidence to allow follow-up action. The policy of post-flight notification does not apply where the contravention compromises flight safety. In such cases, direct and immediate action shall be taken by the Inspector.

Upon reporting to the chief of division and Director of FSSD, they will assign an investigation to the case. Both the reporting officer and assigned investigator shall continue to coordinate their work as necessary until the conclusion of the case.

3.8 Conflict of Interest

Inspectors are required to take measures to prevent real, potential, or perceived conflict of interest in accordance with the principles enshrined in the code of conduct rules.

If it becomes apparent that there could be a possible conflict of interest during a surveillance, the Inspector shall inform his or her supervisor with the request to be removed from the case.



4. RESOLUTION OF SAFETY CONCERNS

When deficiencies are observed in the course of the safety oversight program for a particular Service Provider, the cause should be determined through Root Cause Analysis. Prompt action should be taken to rectify the deficiency and appropriate follow-up should be initiated to determine the effectiveness of the corrective action. Additional inspections should be planned and conducted whenever problems in particular areas are repeated.

Should the safety oversight program and related inspection reports reveal that Service Provider has failed to meet or is unable to meet or maintain the required standards for certification or the conditions specified approval/certificate, the Inspector responsible for the safety oversight program is to advise the Service Provider of the deficiency observed and of the remedial action required. Remedial action will normally be required within a specified time. If Service Provider does not correct a deficiency as required, the inspector should inform the Chief of Division, and Director of FSSD and, if necessary, make a recommendation that approval/certificate be restricted, suspended, temporarily withdrawn or permanently withdrawn as per Rule 40 of Civil Aviation Regulation and Aviation Enforcement Policy and Procedure Manual.

Whenever Inspector responsible for oversight of Service Provider believes that safety considerations dictate immediate action to suspend or revoke approval/certificate the Inspector should inform the Chief of Division and Director of FSSD. If there is an agreement on the need to suspend or revoke the Service Provider approval/certificate after careful review of all circumstances involved and necessary consultation within CAA Nepal officials, CAA Nepal should advise the Service Provider in writing, summarizing both the proposed action and the reason for it. When a Service Provider approval/certificate is suspended or revoked for any reason, the Service Provider is required to promptly return the approval/certificate to CAA Nepal.

For effective implementation of surveillance program, it is necessary that surveillance carried out by Inspectors of various divisions should be monitored at higher level. Therefore, a FSSD Monthly Meeting, Quarterly Surveillance Monitoring Meeting and Annual Surveillance Monitoring Meeting is conducted with the objective to review safety deficiencies.

In addition to above the meeting will also review following-

- Timely conduct of surveillance activities as per Safety Oversight Program.
- Cases where significant non-compliance was identified with the applicable requirements which lowered the safety standards and hazards seriously the flight safety and action taken by CAA Nepal as remedial action.
- Cases of violations to the Civil Aviation Regulations and requirements and other CAA Nepal Directives.
- Repetitive findings which could lower the safety standards and could possibly hazard the flight safety.
- Other deficiencies which are not rectified within the stipulated time-period.



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- Cases put up under appeals.
- Review of recommendations of Courts of Inquiry and similar safety recommendation.
- Serious occurrences/ incidents of all aircrafts and
- Other Important safety issues.

The cases under consideration are presented by the Chief of concerned Division and discussed in the meeting. The decisions of the meeting are minuted and conveyed to the participants and concerned division for taking appropriate and effective action.

The meeting will decide on course of action to be taken to enhance safety. The meeting may decide on enforcement action to be taken in a fair, transparent and firm manner. The decision on enforcement action is taken in line with Civil Aviation Regulations and Aviation Enforcement Policy and Procedure Manual.

During the course of enforcement, the following principles are adhered to-

- Natural justice and accountability.
- Impartial and unbiased consideration.
- Proportionality and standardization of enforcement actions.



5. ANALYSIS OF SAFETY INFORMATION

5.1 Introduction

Information is required by the Flight Safety Standards Department to analyze safety information. Need of pro-active actions for strengthening and enhancement of aviation safety requires no emphasis. Utilization of safety related information, its analysis and timely corrective actions taken is one of the effective ways to promote safety. For that reason,

- a) Safety related information is furnished to FSSD and Aviation Safety and Security Regulation Directorate from various sources such as Voluntary Information Reporting System (VIRS), Service Provider's occurrence report, audit findings, aerodromes, general public etc. These information may relate to incidents / occurrences which may have affected operations of aircraft and also have potential of converting into serious incidents/accidents in future if pro-active actions are not taken by the concerned and also other stake-holders (as per iceberg theory).
- b) This data / information gathered will be used to evaluate each Service Provider on the areas of concern and these area of concern are given more attention/emphasis by the Inspectors during conduct of audit, and while preparation of Safety Oversight Program for next audit as this data may lead to increase or decrease in frequency of an audit of Service Provider.
- c) This data driven method will also increase the efficiency of CAA Nepal surveillance capability as it enables Inspectors to focus and devote more time on organization or areas with significant issues and focus less on organization or area which are doing well in comparison to their previous audits.
- d) With this approach, the Safety Oversight Program adopts the principle of Risk Based Predictive Approach rather than corrective approach.
- e) Notification of occurrences, incidents, serious incidents, and accidents should be informed to Director of FSSD as soon as possible for analysis and its impact on other Service Providers
- f) "CAA Nepal Guidance on Occurrence Reporting" lists types of occurrences that are required to be reported to CAA Nepal.
- g) In cases of occurrences, incidents, serious incidents, and accidents where formal investigations are ordered by CAA Nepal or MoCTCA, recommendation will be issued by the concerned investigation body which needs to be complied by concerned stakeholders. Likewise, internal investigation carried out at the level of airlines etc. also issues recommendations pertaining to cases falling in their jurisdiction. Recommendation/trends of occurrences, incidents, serious incidents, and accidents shall be disseminated to the industry to enable them to take proactive action to prevent such occurrences, incidents, serious incidents, and accidents in their organizations.



5.2 Recording and Preserving Occurrences Reports

- a) Reports received will be compiled in the CAA Nepal database.
- b) The reports will be analyzed to determine the trends.
- c) Information received from analysis and its trends will be shared with the Service Providers for needful actions.
- d) Service Providers are required to fully utilize the information shared with them by CAA Nepal.



6. MONITORING OF DEFICIENCIES AND SURVEILLANCE ACTIVITIES

6.1 Procedure for monitoring deficiencies

All deficiencies observed during surveillance carried out by Inspectors are required to be fed into CAA Nepal Audit Findings Tracking Database by the concerned Inspector in addition to maintaining hard copies of the findings. The Inspectors will monitor and track the corrective action plan submission due date and findings closure due date through Audit Findings Tracking Database. The Audit records and Audit Findings Tracking Database shall have following information:

- Organization name
- Audit Area
- Audit Date
- Regulatory Reference to findings
- Details of Findings
- Level of Findings
- Corrective action plan due date
- Corrective action plan of organization and
- Findings due date

The hard copies of audit records shall be maintained for at least 5 years.

6.2 Review of Deficiencies and Surveillance activities

All Inspectors are required to intimate concerned division chief immediately, whenever they observe any Level I findings while carrying out their surveillance activity. If in case there is an immediate safety threat, the meeting will be held immediately after the discovery of the Level I findings so that CAA Nepal can take appropriate actions up to and including enforcement measures so as, to resolve identified deficiencies and safety issues in a timely manner. The meeting will be chaired by Director of FSSD in the presence of Chief of Divisions and concerned Inspectors.

Records of Level I findings and action taken by CAA Nepal will be maintained by the respective division in Audit Finding Tracking Database. Such Level I findings will be included in organization audit report even when they have been resolved before preparation of audit report, to keep records of such Level I findings in Audit Finding Tracking Database. Such resolved Level I findings will be marked as “Closed” in the audit report, while forwarding it to Service Provider for necessary action.



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FSSD Monthly Meeting

FSSD Monthly Meeting is held to monitor a compliance of safety oversight program under the chairmanship of Director of FSSD. All Division chief and Inspectors are required to attend this meeting. This meeting will also review compliance of previous month Monthly Audit Schedule prepared based on Safety Oversight Program and hold discussion on preparation of Monthly Audit Schedule for next month based on Safety Oversight Program.

Quarterly Surveillance Monitoring Meeting

A Quarterly Surveillance Monitoring Meeting is held to monitor compliance of Safety Oversight Program under the chairmanship of Deputy Director General. All Division chief and Inspectors are required to attend this meeting. Director of FSSD, in close coordination with division chief, will present analysis of the quarterly progress. Any shortfall against the quarterly will also be discussed. This Quarterly Surveillance Monitoring Meeting will also analyze the deficiencies categorized as Level I and action taken by CAA Nepal to resolve it.

Annual Surveillance Monitoring Meeting

An Annual Surveillance Monitoring Meeting is held on the last week of December every year to review the compliance of Safety Oversight Program under the chairmanship of Deputy Director General. All Inspectors are required to attend this meeting. In the meeting the FSSD will present analysis of all three previous Quarterly Surveillance Monitoring Meeting report along with last quarter report. This meeting will also discuss on Planned Vs. Completed surveillance activity. Any shortfall against the yearly target will be discussed and adjusted accordingly. This meeting will also discuss on preparation of consolidated (all division) Planned Vs. Completed surveillance activity within 2nd week of January every year.

This meeting will also discuss on preparation of Safety Oversight Program for next year.

This meeting will also review on findings on significant areas, significant findings, Mandatory Occurrence Report, enforcement actions taken throughout the year etc.

6.3 Monitoring of Surveillance Activities

In order to ensure that surveillance inspections are carried out as per Safety Oversight Program, proper tracking of each findings and their due dates for submission of corrective action plan and finding closure due dates are tracked, Monthly Audit Schedule, Quarterly Report shall be prepared by all the division which shall be presented during FSSD Monthly Meeting, Quarterly Surveillance Monitoring Meeting and Annual Surveillance Monitoring Meeting.

FSSD will prepare consolidated (all division) Planned Vs. Completed surveillance activity every year within 2nd week of January every year to review that all planned surveillance activities were completed as per Safety Oversight Program.



7. SPOT CHECK AND NIGHT SURVEILLANCE INSPECTION

In order to enhance safety and to maintain higher standard of continued safety oversight, all Inspectors are required to carry out spot check and night surveillance check in order to ensure that the activities carried out by various Service Providers are meeting the desired level of standards. The purpose of such inspection is also to ensure that Service Provider do not shortcut any procedures as required by manufacturer of aircraft or their own manuals, deploy required and necessary manpower, use proper tools, equipment's and standards parts and release the aircraft with proper defect rectification.

The Service Provider need not be intimidated for such surveillance inspections. This will make service provider aware of the fact that the CAA Nepal may conduct surprise surveillance checks and will make service provider vigilant and alert to follow the laid down procedures while conducting their respective tasks. The Inspectors must ensure that the Service Provider has detailed adequate staff / manpower for the particular activity and the personnel use laid down procedures with updated technical data and are provided with adequate facilities and tools, equipment 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.

As Spot check is carried out on various activity of Service Provider, it is not possible to present all the checklist in this manual. Standard checklist as per Inspector handbook on particular area to be inspected shall be used during spot check.

A sample checklist in **"Appendix-1"** of this manual will be used while carrying out spot check and night surveillance check of maintenance being carried out by Service Provider in its aircraft. The record of spot check and night surveillance shall be submitted by each Inspector to their respective division for records.

A sample checklist in **"Appendix-2"** of this manual will be used while carrying out spot check of training being carried out by Service Provider. The record of spot check shall be submitted by each Inspector to their respective division for records.

A sample checklist in **"Appendix-3"** of this manual will be used while carrying out spot check of examination being carried out by designated/delegated person or organization, domestic and Foreign ATO. The record of spot check and night surveillance shall be submitted by each Inspector to their respective division for records.

The record of spot check and night surveillance inspection will be kept in each division Audit Finding Tracking Database. The hardcopy of the spot check and night surveillance inspection record will be kept in the respective organization file.

Any findings recorded during spot check will be intimated to the Service Provider for corrective action. Inspectors will monitor the findings for its timely closure.



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APPENDIX-1

Civil Aviation Authority of Nepal Flight Safety Standard Department Spot Check and Night Surveillance Check (For Maintenance Activities)

I. Audit Composition		
1. Team Member(s) (Names & Designations)	1. 2.	
2. Area(s) under Surveillance		
3. Date and Time of Surveillance		
4. Name of Owner/Operator/AMO/CAMO		
5. Aircraft Registration Marks (if applicable)		
II. Items to be Checked	v/x	Remark
1. Check the availability of suitable manpower in sufficient number during maintenance.	<input type="checkbox"/>	
2. Check the validity of organization approval, certifying staff licence and Certification Authorization.	<input type="checkbox"/>	
3. Check if the work being carried out is covered by scope and privileges of organization or Personnel's Approval Certificate or Licence or Certification Authorization.	<input type="checkbox"/>	
4. Check whether work order or necessary document (i.e. PIREP, NRC) is available for the work being carried out.	<input type="checkbox"/>	
5. Check if the organization exposition or Maintenance data is readily available to the maintenance personnel.	<input type="checkbox"/>	
6. Check for adequacy of facility, proper tools; special tools and equipment with calibration status, etc. and proper lighting.	<input type="checkbox"/>	
7. Ensure that the components and materials are as per manufacturer recommendation with required supporting documentations.	<input type="checkbox"/>	
8. Ensure if the work is being carried out as per organization's exposition and maintenance data	<input type="checkbox"/>	
9. Ensure that no maintenance personnel have consumed any psychoactive substances or alcohol etc. during maintenance activity.	<input type="checkbox"/>	
10. Ensure that the organization has taken adequate safety precaution while undergoing the maintenance activity.	<input type="checkbox"/>	

Name and Signature of Inspector

1.
2.

Name and Signature of organization Representatives

1.
2.



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APPENDIX-2

Civil Aviation Authority of Nepal

Flight Safety Standard Department

Spot Check

(For Training Activities)

I. Audit Composition		
1. Team Member(s) (Names & Designations)		1.
2. Area(s) under Surveillance		2.
3. Date and of Surveillance		
4. Name of ATO / Organisation		
II. Items to be Checked		
	√/X	Remark
1. Ensure if the training is being carried out as per the scope and privileges of organization?	<input type="checkbox"/>	
2. Ensure that the training facility (classroom and workshops) is as per the organization exposition manual and meets the requirements?	<input type="checkbox"/>	
3. Is the Projector/White or Black Board properly visible from any place of the classroom?	<input type="checkbox"/>	
4. Ensure the number of students in knowledge training, and practical training does not exceed the limit as laid down in organization's exposition manual and meets the requirements.	<input type="checkbox"/>	
5. Does the instructor, examiner and assessor meet the qualification and experience requirements?	<input type="checkbox"/>	
6. Is the training course materials provided to the students? Are they approved course materials?	<input type="checkbox"/>	
7. Ensure that the training is being carried out as per approved syllabus and is being carried out as per schedule.	<input type="checkbox"/>	
8. Ensure that all the procedures laid down in organization exposition is being followed during training?	<input type="checkbox"/>	
9. Are the records of training being maintained and stored securely as per procedure laid down in exposition?	<input type="checkbox"/>	
10. Has the organization taken adequate safety precaution while undergoing the training activity?	<input type="checkbox"/>	

Name and Signature of Inspector

1.
2.

Name and Signature of organization Representatives

1.
2.



SURVEILLANCE POLICY AND PROCEDURE MANUAL

APPENDIX-3

Civil Aviation Authority of Nepal

Flight Safety Standard Department

Spot Check

(For Examination Activities)

I. Audit Composition		
1. Team Member(s) (Names & Designations)	1.	
2. Area(s) under Surveillance	2.	
3. Date and of Surveillance		
4. Name of ATO / Organisation		
II. Items to be Checked	√/X	Remark
1. Ensure that the examination is being carried out as per the scope and privileges of organization.	<input type="checkbox"/>	
2. Ensure that the examination facility is as per the organization exposition manual and meets the requirements.	<input type="checkbox"/>	
3. Does the examiner or assessor meet the qualification and experience requirements?	<input type="checkbox"/>	
4. Are the examination papers secured as per the organization's exposition manual?	<input type="checkbox"/>	
5. Ensure that the actual question to be used during the examination is determined by examiners.	<input type="checkbox"/>	
6. Ensure that the all the procedures laid down in organization's exposition manual is being followed by organization during examination and assessment?	<input type="checkbox"/>	
7. Are the records of examination and assessment being stored as per procedure laid down in the organization's exposition manual?	<input type="checkbox"/>	
8. Is the pass marks as per CAAN requirements?	<input type="checkbox"/>	
9. Are the invigilators trained to function in the capacity of invigilators?	<input type="checkbox"/>	
10. Ensure that there is no misconduct during the examination.	<input type="checkbox"/>	

Name and Signature of Inspector

- 1.
- 2.

Name and Signature of organization Representatives

- 1.
- 2.