

**Request for Proposal**

**Selection of Service Provider**

**for**

**eGCA Project**

**Volume I: Annexure IX- Indicative To-Be Process – A**

**Representative sample**

**Directorate General of Civil Aviation**

**Government of India**

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## Table of Contents

1.	ISSUANCE OF PERMIT/CERTIFICATE/REGISTRATION/APPROVAL GROUP	5
2.	AUDIT/SURVEILLANCE AND INSPECTION MANAGEMENT	20



## 1. ISSUANCE OF PERMIT/CERTIFICATE/REGISTRATION/APPROVAL GROUP

The service 'Issuance of Commercial Pilot's License (Indian Student, Undergoing Flying training in India)' is chosen as it involves multiple directorates, external stakeholders and multiple services. The key stakeholders are pilots and DGCA officials. The To-Be process or the eGCA enabled process is illustrated below. However the SP shall design the To-Be based on the proposed solution design by SP.

The pilot visits the eGCA portal and clicks the Services under a link/menu - Pilot. The various Services offered to the pilot will be listed under this menu. When the pilot click's the menu/link "Commercial Pilot's License" and selects the sub-menu – airplane- Issuance, a wizard shall guide him/her on the requirements and the various activities/steps involved to get a commercial Pilot's license. The various steps involved in obtaining the license are summarized in to the following steps:

### **Overall Process Description**

Step 1: Create an online profile on eGCA portal and obtain eGCA unique id

*(Authentication or Verification of the identity details may also be performed)*

Step 2: Obtain a Class II Medical Fitness Certificate

Step 3: Create and maintain the log book, (If Required, Applicable if Started Flying, Else could be done after Step 4 as Step 4a)

Step 4: Apply & Pass for required examinations. **(IT automation is NOT in the scope of eGCA project, but Integration is in scope of eGCA Project)**

Step 4a: If started training/flying then Create and maintain the log book

Step 5: Obtain Flight Radio Telephone Operator's License

Step 6: Obtain a Class I Medical Fitness Certificate

Step 7: Apply for Commercial Pilot's license-Aero plane License (Once the pilot submits the license it is routed to the concerned DGCA official based on the configuration. The DGCA officials shall process the application and either issue license or reject the application.)

The overall process with the step wise details is indicated in the subsequent sections:

**Overall Process Map**

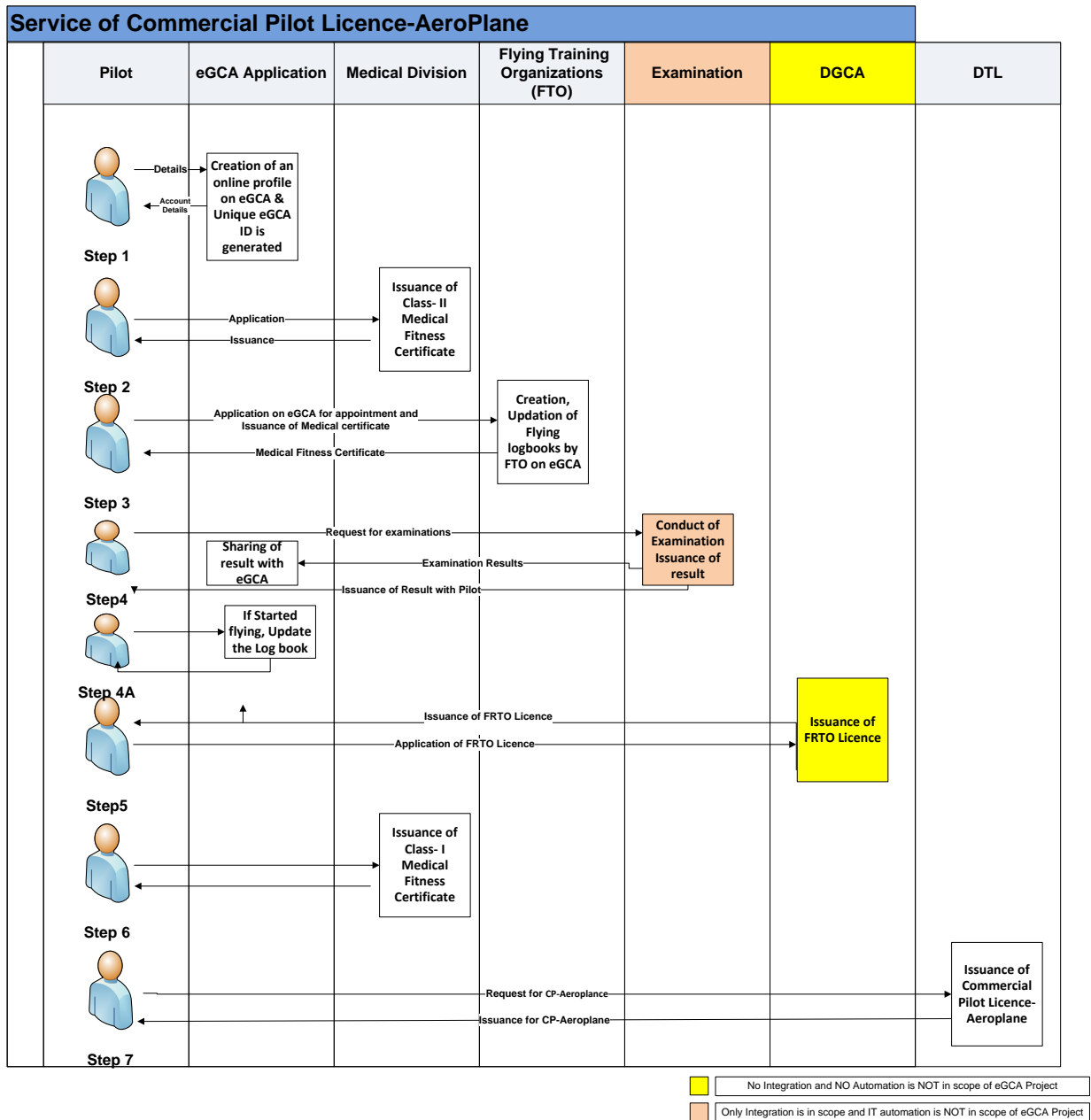


Figure 1: Overall Process Diagram for Issuance of Pilot License

**Step 1 - Creation of an online profile on eGCA website****Process Description:**

1. Applicant accesses eGCA Portal to create new account details
2. Applicant enters following details in the portal :
  - A. Identity Details
  - B. Demographics details
  - C. UID or the Aadhar number
  - D. Class X ( as proof of Name & DoB)
3. On submission, the applicant is given an unique id
4. Applicant Uploads following documents in the portal :
  - A. A coloured photograph in JPEG/gif/PNG format
  - B. Class Xth Certificate as proof of age (colored scanned copy ( in pdf/jpeg format of size less than 1 MB) - as proof of Name & DoB
  - C. Photo ID card as identity proof (Driver's license, passport, Aadhar card - colored scanned copy ( in pdf/jpeg format of size less than 1 MB)

System generates a unique eGCA Id. (This eGCA ID application shall be unique id to each applicant and shall be used as identity proof for all the subsequent transactions shall be linked to this id.)

Note: During implementation, the SP, based on discussions with DGCA , may issue a Temporary Id during the initial log in and subsequently issue a Unique Id after the details are authenticated and approved by the concerned DGCA officials.

**Process Map of Step 1**

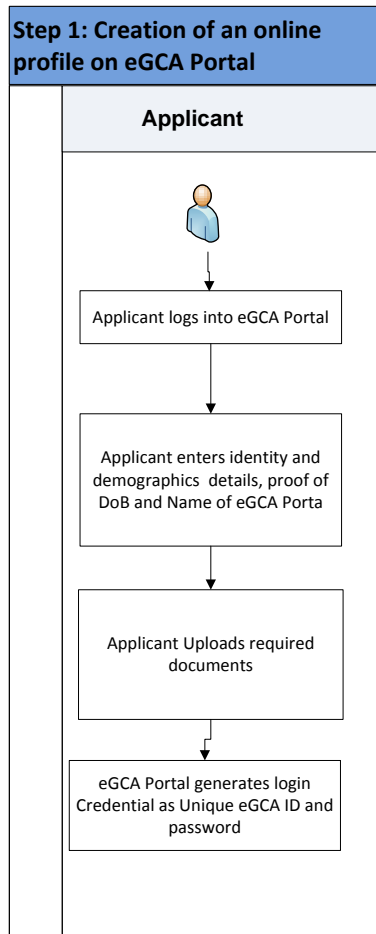


Figure 2: Process Map of Step 1



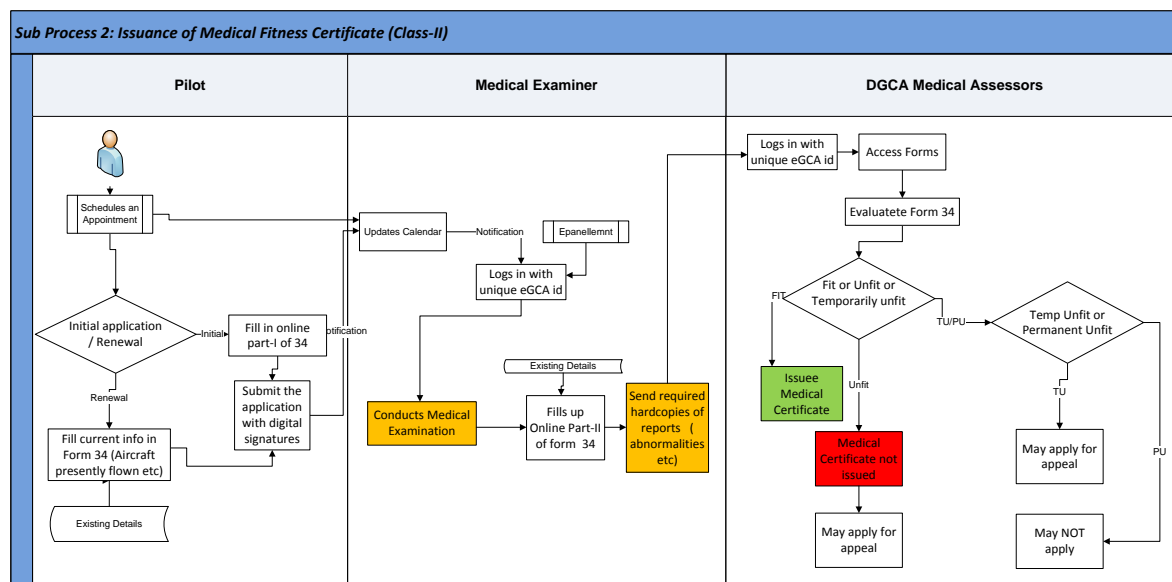
## **Step 2: Issuance of Class II Medical Fitness Certificate**

### **Process Description**

1. The applicant shall log in eGCA Online Application
2. Applicant initiates the online application for appointment of with the approved Medical Examiners for Class II Medical fitness Certificate.
  - a. eGCA portal displays the list of examiners
  - b. On clicking the any of the examiner link, system shall display the available slots in next 45 days
  - c. Applicant selects the available slot
3. The applicant shall select an option : Initial application/ or Renewal
4. If initial issue :
  - a. The applicant shall :
    - i. Fill in online part-I of 34 – The details available (Identity and demographic) with the eGCA system will be populated in the form.
    - ii. System shall populate the passport size colored photograph of self
    - iii. Applicant makes the payment for the appointment
    - iv. Submit the application with digital signatures
    - v. The medical examiners calendar will be updated accordingly and a notification & SMS will be sent to the examiner
  - b. Medical examiner shall open up eGCA online application, logs in:
    - i. Fills up the part-II of form (Re-engineered Form 34).
    - ii. System shall highlight the parameters that do not fall within the normal limits
    - iii. The requirements as per the provisions of ICAO Annex 1 and amendments will be displayed to the examiner.
    - iv. All the medical system generated reports should be captured from the source system in the standard/internationally prescribed format(s)
    - v. Medical Examiner uploads the reports
    - vi. Medical examiner may also mail the hardcopies of reports ( in case of abnormalities)
  - c. Medical Examiner shall submit filled application with digital signatures

5. else Renewal of license :
  - a. eGCA shall populate the details of the applicant in Part-I and capture only new/current data shall be asked to fill in (Aircraft presently flown etc.)
  - b. eGCA shall populate the Flying experience from logbook
  - c. Medical Examination shall be conducted
  - d. Medical examiner shall fill up
    - i. Online Part-II of form (Re-engineered Form 34 A)
    - ii. PMR shall be accessible to the examiners (Not required to mail the PMR to the examiners).
    - iii. The requirements as per the provisions of ICAO Annex 1 and amendments will be displayed to the examiner.
    - iv. Form 35 (Form 35 to be populated with the data)
  - e. Medical examiner shall submit the same to DGCA with digital signatures.
  - f. System shall send the notification to the medical assessors
6. DGCA medical assessor shall:
  - a. Access the forms (based on the notification)
  - b. System shall highlight the abnormalities & where ever the test results are not the reference range
  - c. Evaluates the forms 34 and 35 against the medical requirements in accordance with the provisions of ICAO Annex 1 and amendments
  - d. Declare any of the following status by filling up Part-III using digital signatures
    - i. Fit or
    - ii. Unfit or
    - iii. Temporarily unfit / Permanent Unfit
  - e. In case of temporarily declared unfit or else not issued, may apply for appeal (separate process)
  - f. In case of Unfit then also may apply for appeal & unfitness shall be further reviewed (separate process)
  - g. Medical assessor shall submit the evaluation in the system
7. System shall send system notification and SMS to the applicant

### **Process Map**



Step 3: Create and Maintain the Flying log book (If Required, Applicable if Started Flying Else could be done after Step 4)

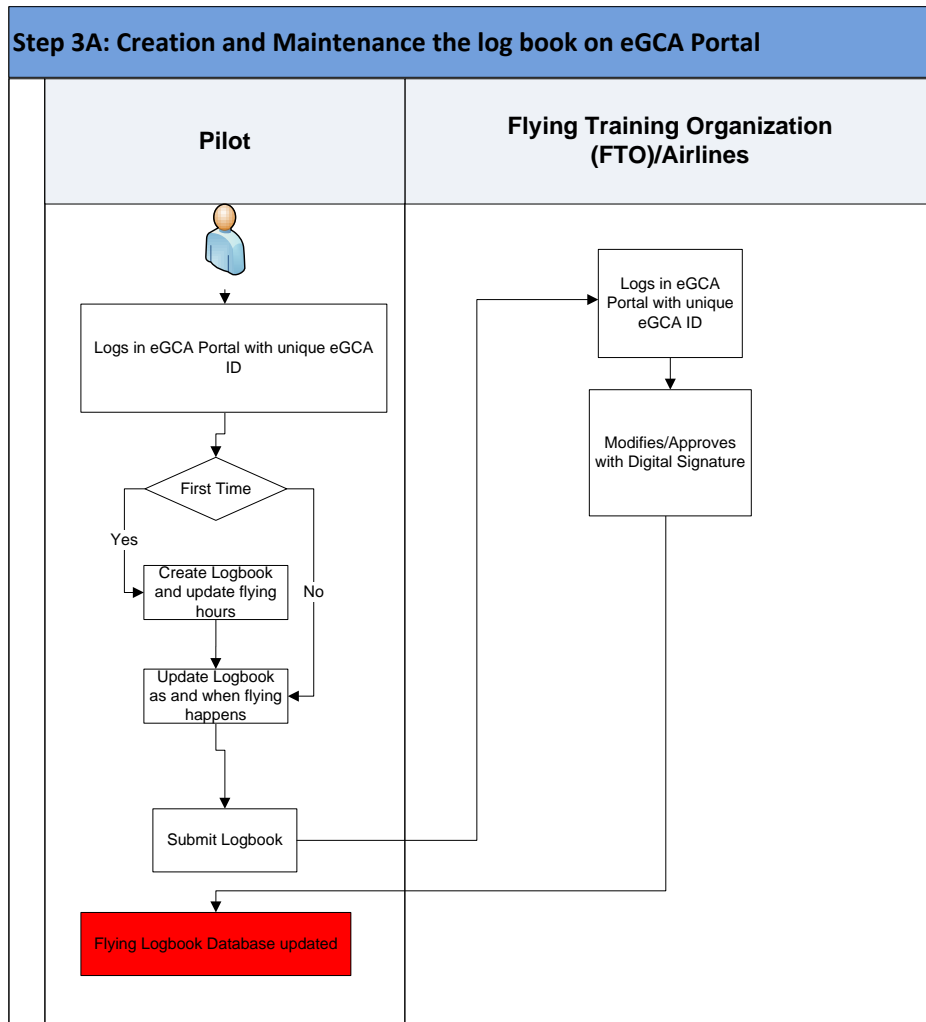
**Process Description**

*(After obtaining Student Pilot License - separate Sub Process)*

1. Pilot shall log in eGCA portal with unique id
2. Pilot shall create (if first time) and enter data in the logbook which gets stored in the database as and when entered. This cannot be changed by the applicant.
3. On quarterly basis, Pilot shall log in to application and submit the flying details, which will be stored in the database., a notification is sent to the Flight Instructor ( *registration of Flight instructor and FTO is a separate sub process*)
4. On quarterly basis, FTO’s Flying Instructor or competent authority logs in to eGCA online application and approves/modifies the log book of the(with Digital Signature)
5. The Log Book if approved will be stored in the eGCA centralized database, which will be accessible to the authorized DGCA officials.

*Rule: once Flying details in the log book are once entered by pilot, then it cannot be edited/modified.*

**Process Map**

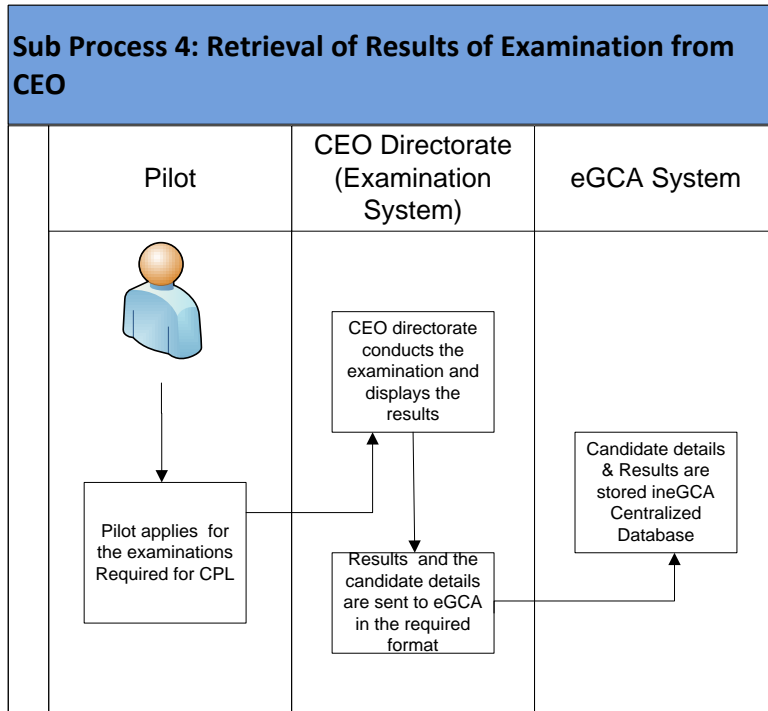


**Step 4: Apply for Pilot examination. (Not in the scope of eGCA project) and Store the data in the eGCA database**

**Process Description**

1. The Pilot applies for the following exams - Air Regulation exam, Air Navigation exam, Aviation Meteorology exam, Air Navigation Composite exam, Technical General exam, Technical Specific exam, Signal reception test @ 6/8 w.p.m.
  
3. The results of the examinations along with the applicant details and the documents submitted shall be shared with eGCA application through an appropriate interface (xml, API...) and will be stored in the eGCA centralized database.

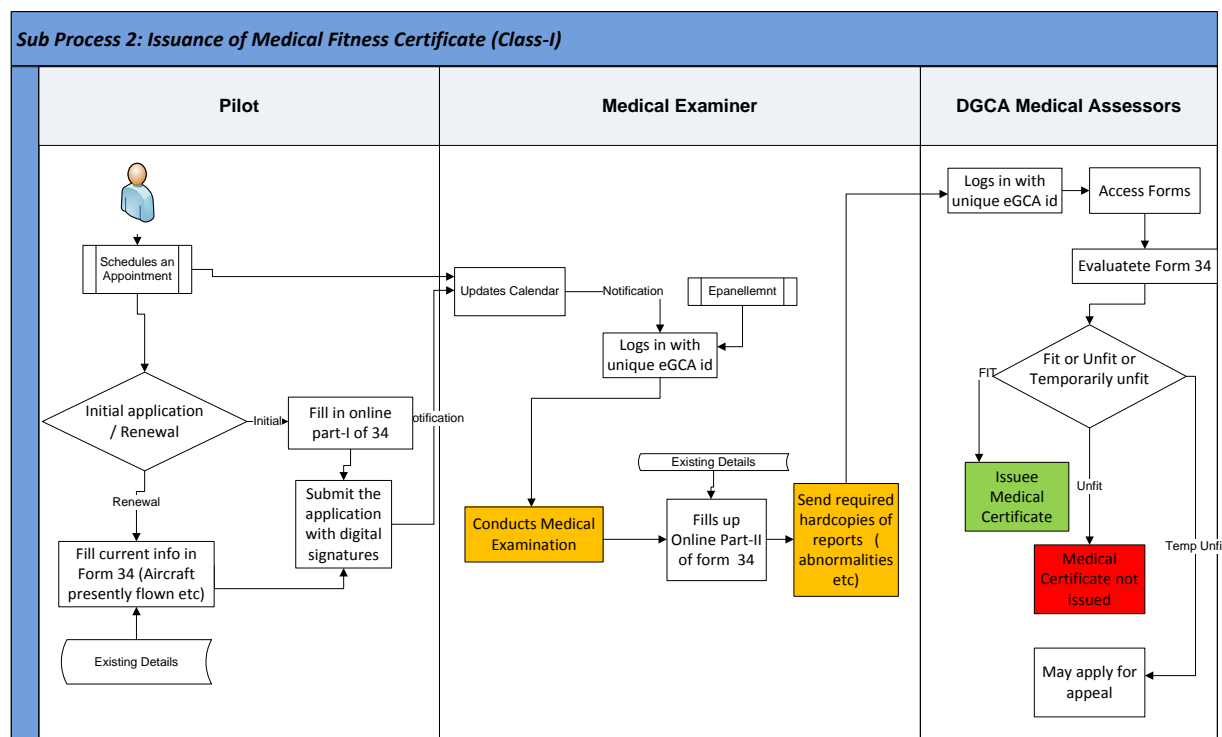
**Process Map**



**Step 5: Issuance RTR License (Process not in the scope of eGCA project)**

Pilot shall apply for the RTR license to Ministry of Communication and obtain the license & provide the details of RTR license to DGCA For issuance of FRTOL in the APPLICATION FORM FOR FLIGHT RADIO TELEPHONE OPERATOR'S LICENCE separately or through CPL application at step 7

## Step 6: Issuance of Medical fitness certificate for Class I



### Process Description

1. The Pilot shall log in eGCA Online Application
2. Pilot shall take an online appointment slot with the Medical Examiners at any of the following centers: 20 IAF centers, 03 Civil Centers, 14 Class I Examiners.
3. The Medical Examiners calendar will be updated accordingly and a notification will be sent to the examiner.
4. The applicant shall select an option : Initial application/ or Renewal
5. If initial issue :
  - a. The applicant shall :
    - i. Fill in online part-I of 34 – The details available (Identity and demographic) with the eGCA system will be populated in the form.
    - ii. Upload passport size colored photograph of self (This is not required if the photograph is obtained from examinations or uploaded at the time of creation of profile)
    - iii. Submit the application with digital signatures

- b. The Medical Examiner based on the notification checks the calendar. If the appointment exists, the Medical Examination shall be conducted
  - c. Medical examiner board shall open up eGCA online application, logs in and fills up :
    - i. Online Part-II of form (Re-engineered Form 34). The parameters that do not fall within the normal limits shall be highlighted.
    - ii. The requirements as per the provisions of ICAO Annex 1 and amendments will be displayed to the examiner.
    - iii. Re-engineered Form 35 (data field populated)
  - d. Medical Examiner also upload the reports or the reports may be available online in the system and may also mail the hardcopies of reports ( in case of abnormalities)
  - e. Medical Examiner shall submit filled application with digital signatures
6. else Renewal of license :
- a. eGCA shall populate the details of the applicant in Part-I and capture only new/current data shall be asked to fill in (Aircraft presently flown etc.)
  - b. eGCA shall populate the Flying experience from logbook
  - c. Medical Examination shall be conducted
  - d. Medical examiner shall fill up
    - i. Online Part-II of form (Re-engineered Form 34 A)
    - ii. PMR shall be accessible to the examiners, not required to mail the PMR to the examiners.
    - iii. The requirements as per the provisions of ICAO Annex 1 and amendments will be displayed to the examiner.
    - iv. Form 35 (Form 35 to be populated with the data)
  - e. Medical examiner shall submit the same to DGCA with digital signatures.
7. DGCA medical assessor shall:
- a. Access the forms (based on the notification)
  - b. Evaluates the forms 34 and 35 against the medical requirements in accordance with the provisions of ICAO Annex 1 and amendments
  - c. Declare any of the following status by filling up Part-III using digital signatures
    - i. Fit or

- ii. Unfit or
- iii. Temporarily unfit

Business Rule: If more than 30 days have passed after the medical examination, the candidate shall be asked to submit a declaration as per form 35.

- d. In case of temporarily declared unfit or else not issued, may apply for appeal (separate process)

### Step 7: Apply for Commercial Pilot’s license-Aero plane License

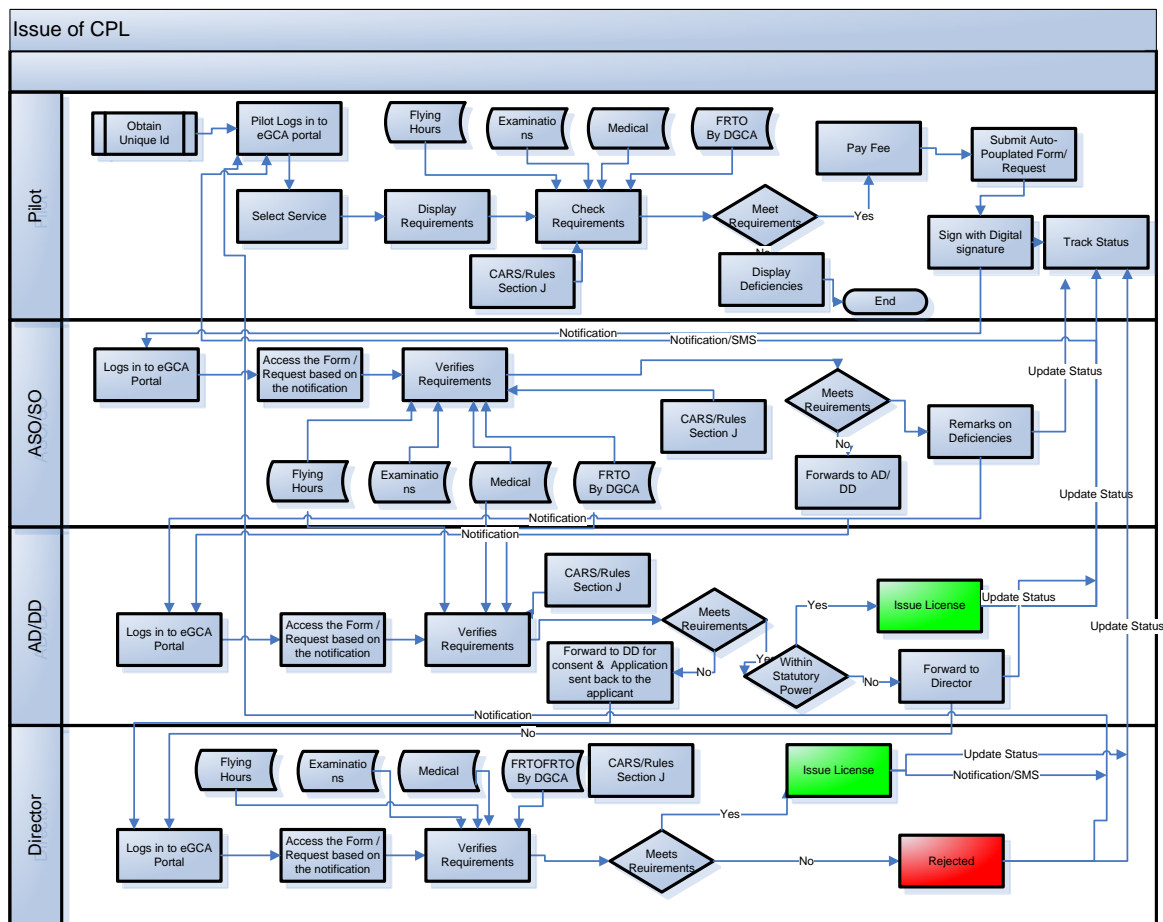


Figure 3: Process Diagram for Application and Issuance of Commercial Pilot License -Aero plane

#### Process Description

##### 1. Applicant shall log in to DGCA portal with his unique id

1.1. Applicant shall select the appropriate service (license type) from the list of services displayed on the web site,



- 1.2. The requirements for obtaining the license are displayed on the portal.
- 1.3. The pilot clicks “check requirements” to find out if he meets the requirements.
- 1.4 The system shall access the results, medical certificate details, log book details and checks as per the requirements.
- 1.5. If the pilot fails to meet the requirements, the deficiencies will be displayed and he will log out.
- 1.6. If the pilot meets the requirements, he will be allowed to pay fees and submit application, the details will be populated (the existing information stored as an individual profile, shall be used to populate the fields in the form so that he does not need to enter the same information again) or alternatively he submits a request as all the details are available in the system.
- 1.7. The Applicant submits the application with his digital signature.

## **2. Processing of Application by SO/ASO**

The application will be processed by different officials - Dealing Hand (DH)/ASO, Section Officer (SO), AD and the Director. The application will be routed to the respective official based on his role. Once the data is available in the eGCA system, it will be easier for DGCA officials to verify the details of the applicant; the SO may directly access the application. DGCA may take a decision in this regards. On reducing the DGCA can reduce the number of officials handling the

- 2.1.1. The Assistant Section Officer (ASO) logs in to the eGCA portal. He will click on the notification displayed in his task list.
- 2.2. The ASO will verify if the applicant meets the requirements based on the eGCA id of the pilot. The requirements are displayed based on the Rules/CARS
  - examinations results conducted by CEO
  - Medical certificate validity issued by the Medical Division
  - Flying hours details entered by the pilot and approved by the Instructor or airline from the logbook
  - FRT0 information from Centralized DGCA Database

- 2.3. The ASO shall check the details such that are not in the database from the certificates uploaded by the applicant. (if the certificates are not available from the examinations directorate)
- 2.4. ASO shall forward the application (through work flow automation) to SO with his remarks on deficiencies or compliances.
- 3. Processing of Application by Section Officer (SO)**
- 3.1. The SO will receives a notification of the new application which will be displayed in his task list.
- 3.2. SO shall examine the remarks of the ASO and the application as explained in steps 2.2 to 2.4 above
- 3.3. **Deficient Application:** If all the requirements are not complied with by the applicant, all the deficiencies shall be listed by the Section Officer in the system.
- a. **Compliant Application:** If all the requirements are satisfied then SO shall forward the application to Assistant Director/ Dy. Director

**4: Processing of Application by AD/DD**

- 4.1. Assistant Director/ Dy. Director shall also examine documents, evaluation experience, result and other requirements as explained in steps 2.2
- a. Deficient Application & Within statutory powers:**  
If all the requirements are not complied with by the application, as indicated by SO, Dy. Director (T&L) shall approve for returning the application with the digital signatures.
- b. Deficient Application & required higher statutory powers**  
If all the requirements are not complied with by the application, as indicated by SO, Dy. Director (T&L) shall forward to the director for final assessment with his remarks (if required).
- c. Compliant Application & Within statutory powers**  
If all the requirements are satisfied with by the application, as indicated by SO, Dy. Director (T&L) will approve.
- d. Compliant Application & required higher statutory powers**  
If all the requirements are satisfied with by the application, as indicated by SO, Dy. Director (T&L) shall forward to the director for final assessment with his remarks (if required).

**5: Processing of Application by Director**

5.1. Director shall see the remarks and can verify the information by accessing the medical, exam etc. information stored in the database, and accordingly approve or Reject the application.

5.2. In Step 8 & 9, if application is approved, eGCA shall generate the License with Digital signature of the Approving authority (AD/DD/Director).

5.3. EGCA shall send a notification by email & SMS of approval/rejection of application.

5.4. Applicant shall come to DGCA and collection the License.

a. After Approval/rejection, applicant shall receive a notification by email & SMS of approval/rejection of application.

b. Applicant shall come to DGCA and collect the approved License or the license (hard copy) will be mailed by post.

## 2. AUDIT/SURVEILLANCE AND INSPECTION MANAGEMENT

The service of Audit/Surveillance and Inspection Management is one of core category of service executed by all most all the directorates of DGCA. This functional module shall be available to all directorates involved. The functionalities required to perform the activities shall also be made available on the tablets for the officials to carry out the audits/inspections /surveillance activities at the site of inspection or surveillance or audit.

The following steps are involved in carrying out Audits/Inspections and Surveillance activities. The overall activities involved under this module/process are indicated, while the relevant activities shall be configured based on the requirements audit & inspection service of individual directorates.

DGCA Officials shall carry out the following activities using eGCA portal as per the tasks are assigned based on his/her roles and responsibilities.

### Step 1: Preparation of Annual Audit/Surveillance Plan

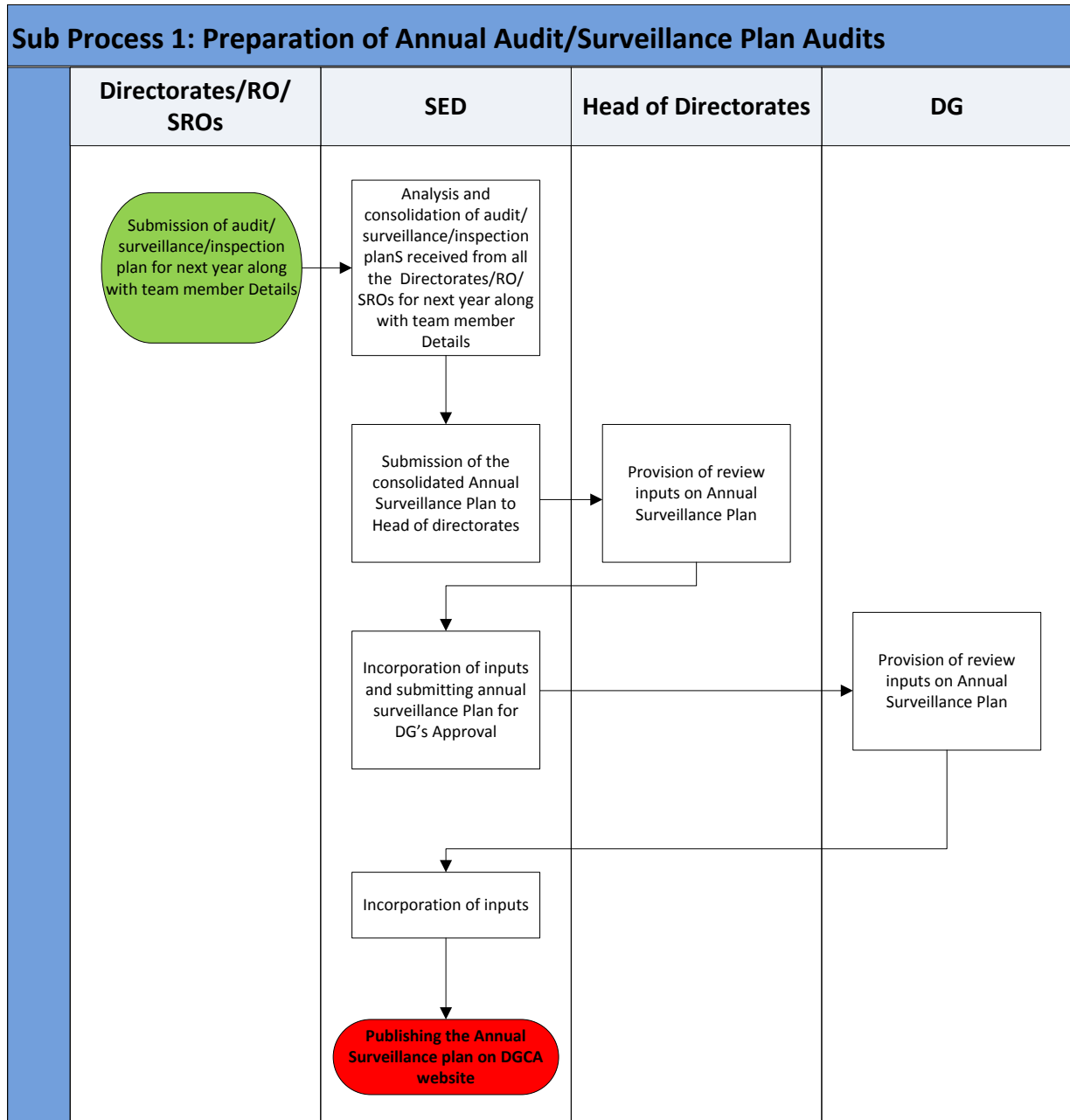
- 1.1. At the end of each year a system notification shall be sent to each of the Directorate at HQ, ROs and SROs to submit input on the annual surveillance plan
- 1.2. DGCA user at each of the Directorate at HQ, ROs and SROs, shall submit up respective the audit/surveillance/inspection plan in a prescribed form on eGCA system. After submission of the form, through workflow based system, a notification shall be sent to SED officers. SED officer shall log in to application, click on the notification and shall be able to see the information in the prescribed form.
- 1.3. SED users shall compile and consolidate the annual surveillance plan based upon inputs received from DGCA users of each of the Directorate at HQ, ROs and SROs.
- 1.4. SED users shall be able to see the historical data of each of the finding, plan & action taken reports
- 1.5. SED users shall also plan the team of inspectors/auditors for each of planned audits by select the names of officers through the drop down list of officers in the each of the Directorate at HQ, ROs and SROs.
- 1.6. Once ASP is prepared, it shall be submitted to head of all the directorates for their review/inputs as a notification. Head of directorate shall log into application, click on the notification, system shall open up the consolidated ASP. In case there are any

further inputs then users may provide specific remarks in provided text boxes and submit.

1.7. SED user shall receive the notifications by head of directorates having inputs on ASP, on clicking notification; user can view the remarks & modify the ASP accordingly.

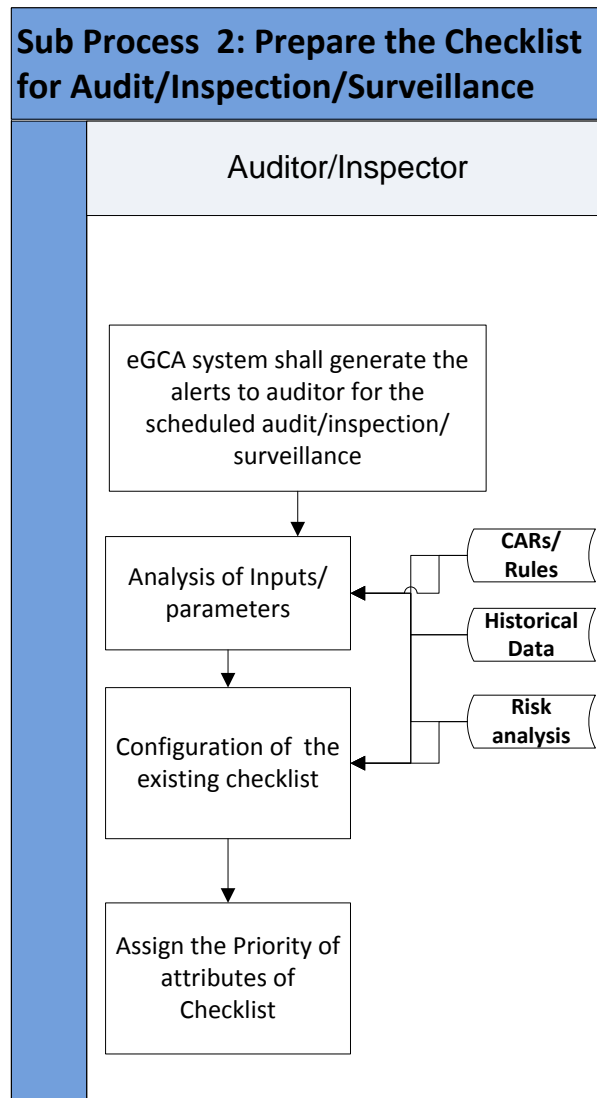
1.8. The consolidated ASP, shall be submitted for DG’s approval

1.9. After DG’s approval, the plan shall be uploaded on the DGCA website



**2. Step 2: Prepare the Checklist for Audit/Inspection/Surveillance**

- 2.1. As per annual Surveillance plan, user shall receive the notification reminding about the preparation of checklist for the Audit/Inspection/Surveillance
- 2.2. DGCA user logs in to the eGCA portal, clicks on the notification, of the form displayed he/she shall prepare the Action Plan audit/inspection and surveillance activities
- 2.3. DGCA user shall view or analyze inputs/parameters from various sources such as historical records, rules/CARs (based on context sensitive) help, historical inspections & findings and the Risk Analysis while planning the calendar.
- 2.4. DGCA user may configure the existing checklist for the based upon the context sensitive help for each audit/inspection and surveillance checklist as per relevant rule, CAR and procedures
- 2.5. System shall display the attribute wise historical findings, corrective actions and their statuses (open/closed) while configuring the checklist
- 2.6. System shall perform the risk analysis for each of the findings, corrective actions taken against each of the attribute of checklist. By performing risk analysis, system shall analyze and identify critical attributes (based upon historical findings) which may result in to the risk for the entity being audited. Risk Analysis definition & process is subject to frequent revision of each of directorate. User shall view outcome of risk analysis & shall use it to configure the checklist and shall set priorities for each attribute of the check list



### 3. Step 3: Perform Audit, Inspection & Surveillance

Before going to audit/inspection/ Surveillance DGCA officials shall log into eGCA portal and synchronize information from central server to tablet PC. After this tablet PC shall be having checklist, context sensitive help, and historical findings of at least last three years, for performing the audit

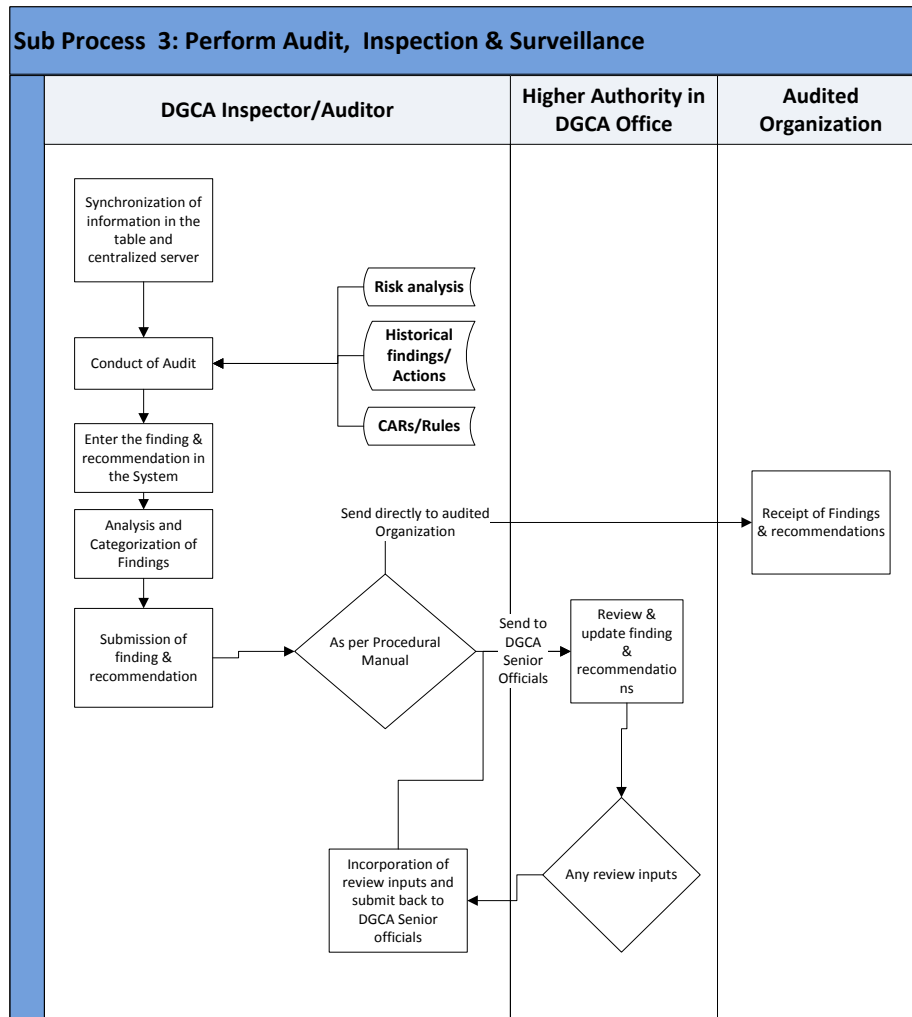
DCGA official shall visit the audit/inspection/surveillance site, logs in to eGCA mobile/tablet based application.

3.1. DGCA user shall view the historical findings of each of the attribute of checklist and shall check whether last audit/inspection/surveillance finding is open or closed

3.2. DGCA User shall be able to view the details of auto populated CARs/Rules/AIC/Circular against each of the attribute of the checklist. This

- information shall help DGCA user to understand the context in which a particular attribute needs to be checked/evaluated.
- 3.3. DGCA user shall enter the finding against each of the attribute of the checklist; these findings shall be subjective and objective. Subjective findings are entered in text box as remarks. Objective finding are entered as checklist, radio buttons, drop downs and numbers (in text boxes).
- 3.4. DGCA user shall be allowed to enter the new attributes & their findings in blank attribute & finding checkboxes.
- 3.5. Also DGCA user may analyze to categorize each of the finding as L1 or L2 based upon criticality of findings
- 3.6. DGCA user shall submit findings & recommendations to any one or all of the following:
- 3.6.1. Directly to appropriate authority in audited organization through eGCA system notification (Every audited organization shall be required to create online account in eGCA portal for any audit related communication) and through email & SMS.
- 3.6.2. Appropriate authority in DGCA HQ, RO and SRO as per procedure manual, rules or CARs for review of findings and analysis. This information shall be sent as system notification. On clicking the notification, the checklist, findings & recommendations are opened and senior DGCA official shall be able to view the findings & recommendations in the same format as it was visible to the auditors. On the available form, senior DGCA user may be allowed to modify the findings & recommendations. Such modification shall be saved in the application. Upon approval of appropriate senior authority, system shall send notification to audited organization as system notification and/or, email & SMS.





**4. Step 4: Monitor Corrective/Preventive Actions**

- 4.1. As notification is sent to audit organization then (with in stipulated time duration), users of audited organization shall click on the notification and list of finding and recommendations against each/few of attributes of checklist shall be opened.
- 4.2. Users of audited organization shall enter the details of the corrective action plan with closure dates against each of the finding(s) and submit to the appropriate monitoring authority.
- 4.3. DGCA monitoring user shall receive the eGCA system notification, click on the notification and shall be able to view the corrective action plan submitted by the audited organization and he/she may approve/reject the corrective action plan dates.
  - 4.3.1. In case of rejection of any particular date(s), system shall send notification to users of audited organization. Users shall click on the notification and system shall open up the dates on which DGCA user want changes, shall the change the relevant dates and submit the revised corrective action plan with corrected dates. After re-

submission, DGCA monitoring user shall receive the eGCA system notification, click on the notification and shall be able to view the corrective action plan submitted by the audited organization and he/she may approve the revised corrective action plan and the corrective action plan shall be finalized.

4.3.2. In case of approval, the corrective action plan shall be finalized.

4.4. As per corrective action plan, audited organization shall close the findings and shall update the same in the eGCA system. On each update on the findings, eGCA system shall send status update notification to DGCA officers about the updates. On clicking on notification, DGCA user can view the Action Taken Report (ATR) against each of the findings.

4.5. System shall keep on monitoring that if any findings are NOT closed as per the corrective action plan then system shall generate alert to both DGCA officials and audited organization

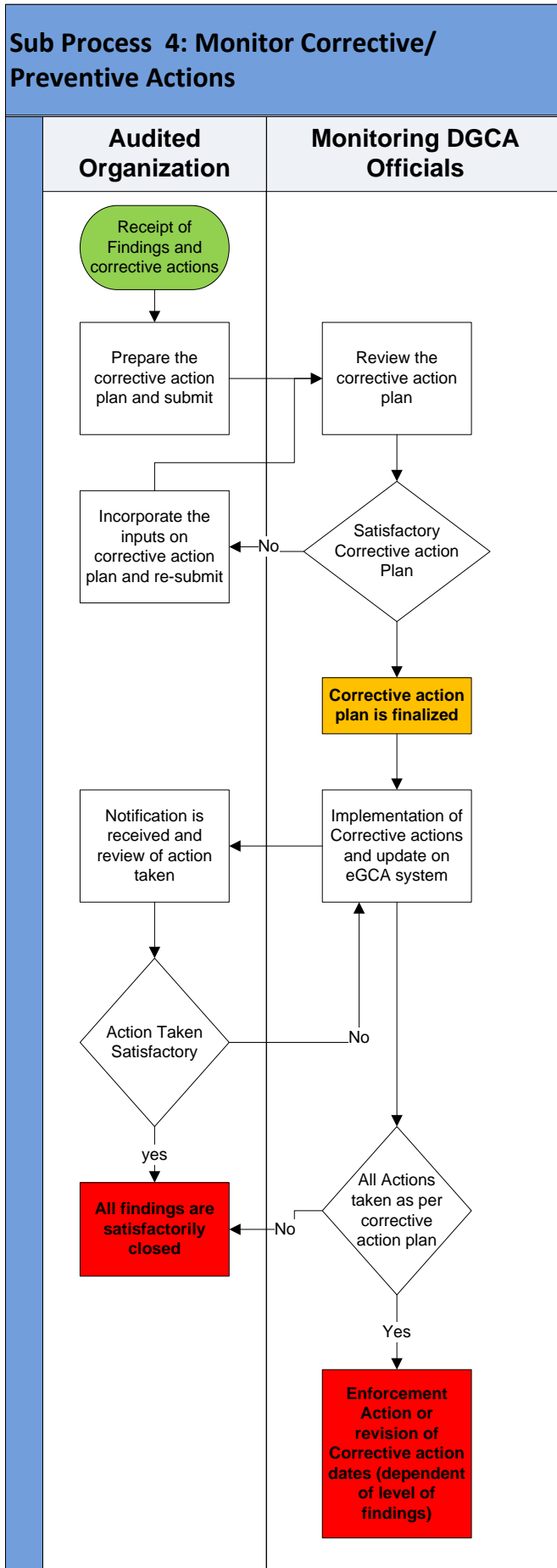
4.6. In case audited organization fails to close the findings as per corrective action plan, then appropriate enforcement action shall be taken:

4.6.1. New corrective action dates are set the DGCA official

4.6.2. Appropriate enforcement actions are taken as per CARs/Rules of particular audit/Surveillance/inspection and updated in the system

4.7. The findings, recommended actions, corrective action plans, shall be accessible by Surveillance and enforcement directorate for further analysis and preparation of Annual Surveillance Plan

4.8. In case any findings are not closed, then as an enforcement action, legal actions may also be taken & information related to any legal proceedings shall be captured in the eGCA system, shall be available for any further such proceedings as a reference



## **5. Step 5: Analysis & Reports**

The DGCA officials shall be able to generate the following reports:

- 5.1.4.1. A dashboard depicting the following will be available to the officials based on their role  
4.1.1. Consolidated Reports at various levels to the respective directorates and to the DG which can be monitored using a drilled down feature – DGCA level -> Directorate Level -> Regional /Sub-Regional Level -> Entity (Aircraft) Level -> Functional Level (Engine) -> Specific parameter level with linkages to the officials involved in the inspection.
- 5.2. Drilled down consolidated Annual/Quarterly/Monthly progress reports on the Total number of Surveillance or Audits Targeted, Total number of Surveillance conducted, Total deficiencies or findings detected for level I and Level II, Total deficiencies or findings corrected, Enforcement actions taken etc.
  - 5.2.1. Reports from the data captured on the findings and trends (ex: the entities/parameters that are consistently not complying or the Level I or Level II deficiencies that are most frequent etc.)
  - 5.2.2. Compare the current findings to those of the historical findings.
- 5.3. Summary findings & ATR in a given period.
- 5.4. Inspection and surveillance reports as per the required formats.
- 5.5. Activities carried out month wise, directorate wise, region wise, as per CARs, organizations, entities, officials involved in the activities etc.
- 5.6. A list of pending approvals of findings, plans, audits & and their current status
- 5.7. Risk Analysis reports as per each of findings, plans and audits