



# System Requirements Specifications (Abridged) Surveillance And Enforcement Division Preparation Of Annual Surveillance Plans and Monitoring Of Surveillance Activities -SED1

Version: 1.1

## SED1.1 - AUDIT MODULE CREATION (PRE PLANNING)

<b>Project Name:</b>	eGCA
<b>Customer Name:</b>	Directorate General of Civil Aviation
<b>Location:</b>	New Delhi



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All revisions made to this document are listed here in sequential order

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1.0	Saurabh Srivastava	07-02-2016	Sandeep Kumar Garg	08-02-2016	
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<b>Submitted by</b>	<b>Approver Name &amp; Designation</b>	<b>Approval Date</b>	<b>Signature</b>



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<b>SED1</b>	<b>SED1.1 – AUDIT MODULE CREATION (PRE PLANNING)</b>
<b>ADMINISTRATOR</b>	<b>DIRECTOR – SURVEILLANCE AND ENFORCEMENT DIVISION</b>
<b>APPLICANT</b>	<b>ALL DIRECTORATE/OFFICES</b>

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## 1. SYNOPSIS

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### AUDIT MODULE CREATION(PRE PLANNING) OF AUDIT/SURVEILLANCE ACTIVITY

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#### INPUT

1. Module owner details.
  2. Audit/Surveillance activity reference Details.
  3. Short title of the audit module
    - 3.1. Time assigned to complete the audit activity.
    - 3.2. Administrative directorate details.
    - 3.3. Applicability Details.
    - 3.4. Checklist Details.
    - 3.5. References of auditee.
    - 3.6. Suggested Findings details.
- 

#### PROCESS

Specific admin/User (Module Owner) of respective surveillance activity enters the relevant data for Audit Module Creation(Pre Planning) .Post data entry an An email will be sent to Administrator of Surveillance Activity,Specific admin/user(Module Owner) of the respective Directorate initmating about the pre planned audit module creation so that they can start planning for this module.

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#### OUTPUT

1. A success message will be generated for creation of module id.
  2. Audit Module Id gets generated and Module id will be flashed as per format given by DGCA.
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## 2. REFERENCES

RULE	Rule 133B of the Aircraft Rules 1937
AIC	5 OF 2009
ADVISORY CIRCULAR	AAC No 2 of 2011, Enforcement Circular No. 1/2009
PROCEDURE MANUAL	Surveillance Procedure Manual : Chapter 2,Chapter 3,Chapter 7,Chapter 8, Appendix "D","Appendix "E", Appendix "F", Appendix "G"
OTHERS	<b>ASP-2015</b> : Page 8,Page 9,Circular Of Regulatory Audit : ASP-2015,Appendix1,Page 154,Regulatory Audit Procedure:ASP-2015,Annexure-A,Page 156. <b>GM</b> : Ramp Inspection Manual-CAP 8500  Paragraph 4.2.2.2 of ICAO Annex 6 (Operation of Aircraft, Part I – International Commercial Air Transport – Aeroplanes)

## 3. BUSINESS RULES

ID No.	REFERENCE CAR / AIC / PR. MANUAL	III. BUSINESS RULES – DIFFERENTIATE BUSINESS RULES, PROCESS AND FEATURE	Remarks
SED1.1 / BR 1	<p><b>ASP-2015</b>,Annexure 1,Page 154  <b>GM</b> : MANUAL OF REGULATORY AUDIT  <a href="http://dgca.nic.in/manuals/Manual%20of%20Reg%20Audits.pdf">http://dgca.nic.in/manuals/Manual%20of%20Reg%20Audits.pdf</a></p> <p><b>Others :</b>            Circular Of Regulatory Audit: ASP-2015, Appendix1, Page 154.            Regulatory Audit Procedure: ASP-2015, Annexure-A, Page 156.</p>	<p><b>Surveillance Activity: Regulatory Audit Program:</b> Besides the surveillance, regulatory audits will be carried out during the year with an aim to ascertain the internal control of any organization in its activities and to ensure compliance of regulatory requirements.</p>	
SED1.1 / BR 2	<p><b>GM</b> : Ramp Inspection Manual CAP 8500  <b>AIC</b> : Aeronautical Information Circular 05/2009  <b>Others</b> : Paragraph 4.2.2.2 of ICAO Annex 6 (Operation of Aircraft, Part I – International Commercial Air Transport – Aeroplanes)</p>	<p><b>Surveillance Activity :Surveillance Of Foreign Aircraft(SOFA):</b>            States performs a well establish programmed surveillance of operations in their territory by a foreign operator and takes appropriate action when necessary to preserve safety. Designated airlines of foreign countries who have been issued the operating authorization / permit by DGCA are subjected to surveillance by inspectors of DGCA in accordance with the procedures established.            The surveillance of foreign airlines shall be limited only to ramp inspection including documentation reviews.</p>	Please Refer SRS for SED 2 for detailed information about SOFA inspection.
SED1.1 / BR 3	<p><b>SPM</b> : Surveillance Procedure Manual, Chapter 7  <b>Others</b> : ASP-2015,Page 8</p>	<p><b>Surveillance Activity :Quality Assessment Checks :</b>            In order to ensure that surveillance inspections are carried out as per ASP and proper procedures are followed for classification of findings as Level I or Level II, surveillance records are maintained properly and closure actions on Deficiency Reporting Form are taken after due compliance on all actions required, it is necessary that Quality Assessment of surveillance activity of various Directorates are carried out by DGCA nominated inspectors. The officers</p>	

		assigned with Quality Assessment must use the check list.	
SED1.1/BR4	<p><b>SPM:</b> Surveillance Procedure Manual, Chapter 7</p> <p><b>Others :</b> ASP-2015,Page 8</p>	<p><b>Surveillance Activity: Cross Regional Checks :</b></p> <p>The Cross Regional Checks are intended to ensure uniformity and standardization of surveillance procedures followed by various Directorates / Regions. Further, such checks will also enhance streamlining of surveillance procedures adopted in various Directorates / Regions.</p>	
SED1.1/BR5	<p><b>SPM:</b> Surveillance Procedure Manual, Chapter 8</p>	<p><b>Surveillance Activity: Night Surveillance Checks :</b></p> <p>In order to enhance safety of operation and to maintain higher standard of continued oversight of operators, all Directorates / Regional offices are required to carry out night surveillance inspections in their regions, sub-regions ensuring that the activities carried out by various operators / organizations during the night are meeting the desired level of standards.</p>	
SED1.1/BR6	<p><b>GM:</b> Ramp Inspection Manual-CAP 8500</p>	<p><b>Surveillance Activity :Ramp Inspection :</b></p> <p>Ramp Inspection are planned product inspections carried out to inspect aircraft at ramp during schedule operation to verify the compliance of laid down regulation during operation of schedule airlines. At least one ramp inspection per type of aircraft per operator shall be carried out quarterly. This inspection may be carried out by DAW jointly with FSD representatives. In case, only an airworthiness representative is inspecting the aircraft, then only items related to airworthiness shall be checked and remaining may be crossed. The ramp checks may be carried out at Base /Transit stations. The newly recruited officers may also form part of the Ramp Inspections as a part of their OJT Trainings.</p>	
SED1.1/BR7	<p><b>Others :</b> ASP -2015,Page 8</p>	<p><b>Surveillance Activity :Spot Checks :</b></p> <p>Spot checks are unplanned checks and will be carried out to verify the effectivly of internal audit system of any organisation</p>	



		<p>and ensuring the continued compliance of previous DGCA audit / surveillance findings. The spot checks shall not form the part of ASP, however the details and discrepancy reported during this course will be reviewed in monthly surveillance meetings.</p> <p>Head of the DGCA regional office shall convene meeting at least once in three months or when desirable with the Accountable Manager of respective organization if there are any discrepancies observed during spot checks and to review its affectivity.</p>	
SED1.1/BR8	<p><b>Others :</b>  <b>GM :</b>            MANUAL OF REGULATORY AUDIT,            Checklists –Airworthiness, Annexure 1,</p> <p>MANUAL OF REGULATORY AUDIT,            Checklists –Operations            Checklists, Annexure II</p> <p><a href="http://dgca.nic.in/manuals/Manual%20of%20Reg%20Audits.pdf">http://dgca.nic.in/manuals/Manual%20of%20Reg%20Audits.pdf</a></p>	Checklist For Regulatory Audits	
SED1.1/BR9	<b>GM :</b> Ramp Inspection Manual –CAP 8500,Appendix 5	Checklist For Surveillance Of Foreign Aircraft(SOFA)	
SED1.1/BR10	<b>SPM:</b> Surveillance Procedure Manual : <b>Appendix "E"</b>	Checklist For Quality Assessment Checks	
SED1.1/BR11	<b>SPM:</b> Surveillance Procedure Manual : <b>Appendix "F"</b>	Checklist For Cross Regional Checks	
SED1.1/BR12	<b>SPM:</b> Surveillance Procedure Manual : <b>Appendix "G"</b>	Checklist For Night Surveillance Checks	
SED1.1/BR13	<b>GM :</b> Ramp Inspection Manual –CAP 8500,Appendix 5	Checklist for Ramp Inspection	

SED1.1/BR14	<b>AC:</b> AAC No 2 of 2011 : Categorization of Surveillance/ Audit findings.	Finding Categories Description : Level 1 and Level 2	
SED1.1/BR15	<b>AC:</b> Enforcement Circular No. 1/2009 : Procedure of resolution of deficiencies observed during surveillance	Procedure of resolution of deficiencies observed during surveillance.	
SED1.1/BR16	<b>SPM:</b> Surveillance procedure manual , deficiency reporting form appendix 'C' CA-2001	<b>Deficiency Reporting Form :</b> Observations made during surveillance shall be recorded against each item of audit check list .The completed deficiency reporting form should then the forwarded to the concerned operator/organization for necessary corrective action (Appendix 'C').	

## 4. APPLICATION / DATA ELEMENTS

ID	REFEREN CE  CAR / AIC / PR. MANUAL	PARTICULARS	DETAIL	Remarks
SED1.1 – DE 1		MODULE OWNER	It will have NAME OF DIRECTORATE/OFFICE detail.	Master driven values for name of directorate/office, Populated from master list. For detailed validation about this field, please refer SRS section <b>SED1.1/10.1 – 1.a</b>
SED1.1 – DE 2		AUDIT/SURVE ILLANCE ACTIVITY REFERENCE	It will have NAME OFAUDIT/SURVEILLANCE ACTIVITY detail.	Master Driven Values for Name Of all Audit/Surveillance Activity, associated with module owner's directorate/office.  For detailed validation about this field, please refer SRS section <b>SED1.1/10.1 – 2.a</b>
SED1.1 – DE 2.1		AUDIT/SURVE ILLANCE	It will have REFERENCE TYPE AND REFERENCE INFO detail.	Master Driven, system populated values for



ID	REFEREN CE  CAR / AIC / PR. MANUAL	PARTICULARS	DETAIL	Remarks
		REFERENCE DETAILS		reference type. Data entry user will have to enter respective reference info as per selected reference type value. For detailed validation about this section, please refer SRS section <b>SED1.1/10.1 – 2.1a and 2.2b</b>
SED1.1 – DE 2.2		CONSOLIDATI ON OF REFERENCE NO.	It will have REFERENCE NO. OF SURVEILLANCE ACTIVITY, AREA/CATEGORY OF SURVEILLANCE ACTIVITY and CONSOLIDATED REFERENCE NO. OF SURVEILLANCE ACTIVITY detail.	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 2.2a and 2.2b and 2.2c.</b>
SED1.1 – DE 3		SHORT TITLE OF THE AUDIT MODULE	It will have NAME OF AUDIT/SURVEILLANCE ACTIVITY AND Sub Area/Type Of Surveillance Activity detail.	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 3a and 3b.</b>
SED1.1 – DE 3.1		TIME ASSIGNED TO COMPLETE THE AUDIT	This sub section will have auditee wise Details related to total time assigned to complete the Audit/Surveillance Activity for LARGE ORGANIZATION, MEDIUM ORGANIZATION and SMALL ORGANIZATION.	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 3.1</b>
SED1.1 – DE 3.2		ADMINISTRAT OR DETAILS	This sub section will have NAME OF THE DIRECTORATE, NAME OF THE ADMINISTRATOR and DESIGNATION OF THE ADMINISTRATOR details.	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 3.2</b>
SED1.1 – DE 3.3		APPLICABILITY DETAILS	This sub section will have APPLICABILITY AREA, APPLICABILITY CATEGORY, APPLICABILITY SUB CATEGORY	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 3.3</b>



ID	REFEREN CE  CAR / AIC / PR. MANUAL	PARTICULARS	DETAIL	Remarks
			and AUDITEE LIST as per selected applicability details.	
SED1.1 – DE 3.4		CHECKLISTS	This sub section will have checklist details along with respective checklist form for the mentioned surveillance activity. It will have S.N., CHECKLIST ID, and REFERENCE NO. (Of the Audit/Surveillance Activity), STANDARD REFERENCE NO. (Of the Auditee), CHECKLIST FORM details.	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 3.4</b>
SED1.1 – DE 3.5		REFERENCES DETAILS	This sub section will have REFERENCE TYPE, REFERENCE NO., ADD REFERENCES and DOCUMENT REFERENCE GRID field details.	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 3.5</b>
SED1.1 – DE 3.5.1		ADD REFERENCES	This sub sub section will have a provision to add reference document details. It will have provision to enter DOC ID and TITLE details.	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 3.5.1</b>
SED1.1 – DE 3.6		SUGGESTED FINDINGS	This sub section will have provision to add master Maintained pre-defined findings for the specific audit/Surveillance Activity having associated Unique Id with each suggested Finding.  It will have SF_ID (Suggested Finding Id), ITEM CODE (for suggested finding), FINDING CATEGORY (Level 1, Level 2), STANDARD REFERENCE NO (of the auditee) and FINDING DESCRIPTION details.	For more details and field validations about this section, please refer SRS section <b>SED1.1/10.1 – 3.5.6</b>



## 5. PROCESS

PROCESS	<p>Specific Admin/User (Module owner) of DGCA logs in to the eGCA portal, access the section of Surveillance and Enforcement division for Audit Module Creation (Pre Planning) Of respective Surveillance Activity and enters the relevant details for creating the Audit Module.</p> <p>After submission of Furnished information a success message will be generated by system for creation of module id, module id will be flashed on screen, which would form the basis of planning of audit module. The module id will land in inbox (respective "MODULE DETAILS INDEX") of Module Owner with current stage as "PLANNING" and current status as "UNPLANNED".</p> <p>An email will be sent to Administrator of Surveillance Activity, Specific admin/user (Module Owner) of the respective Directorate so that they can start planning for this module.</p>
VERIFIER	System Driven data redundancy check and verification of correctness of the furnished information.
APPROVER	NA
EXEMPTION	NA
RETURN AFTER EXEMPTION	NA



## 6. INTERDEPENDENCIES

SERVICE	INFORMATION RECEIVED FROM OTHER DIRECTORATE(S) / EXTERNAL STAKEHOLDER(S)		
	INFORMATION RECEIVED	EXTERNAL STAKEHOLDER(S)	INTERNAL STAKEHOLDER
<b>SED1.1 -</b> Audit Module Creation (Pre Planning)	Reference Documents (MOE, CAME etc.) of Auditee.	Auditee (Operator, Organization, Aircraft, Directorates).	All Directorates
	Module Owner of respective Surveillance Activity		Respective Directorate
	Administrator Of the Respective Surveillance Activity	Auditee (Operator, Organization, Aircraft, Directorates).	Respective Directorate
	Checklist For Respective Surveillance Activity.	Auditee (Operator, Organization, Aircraft, Directorates).	Audit Officers, Module Owner and Administrator of the respective Surveillance Activity.
	Auditee Details (Master Maintained)		All Directorates.



## 7. OUTPUT

Module Id For Audit Module.	<ol style="list-style-type: none"> <li>1. A success message will be generated for creation of audit module id.</li> <li>2. Module id should be flashed as per format given by DGCA, ie;  <b>&lt;Directorate/Office Name&gt;&lt;-&gt;&lt;Abbreviation Of Reference Type&gt;/&lt;Consolidated Reference Number&gt;&lt;_&gt;&lt;SYSTEM GENERATED SEQUENCE NUMBER&gt;</b>                      Example : <b>AW-C/145/3/A/II/COM_001</b> </li> <li>3. Module owner of respective Directorate/Offices will get module details on Dashboard in their respective "MODULE DETAILS INDEX" with current stage as "PLANNING" and current status as "UNPLANNED".</li> </ol> <p>An email will be sent to Administrator of Surveillance Activity, Specific admin/user (Module Owner) of the respective Directorate so that they can start planning for this module.</p>
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## 8. SPECIFIC SOFTWARE FEATURES

FEATURE ID	VII. SPECIFIC SOFTWARE FEATURES – DIFFERENTIATE BUSINESS RULES, PROCESS AND FEATURE	CROSS REFERENCE SECTION (IF ANY)
SED 1.1 / SF 1	<p><b>Audit/Surveillance plan submission of planned activity:</b>                      All Directorate/ offices must submit Their Planned Annual Surveillance plan for next year before the end of year (Latest by 15<sup>th</sup> November).                      Audit Surveillance plan Submission process should be automatically initiated by the system.                      This system driven activity will be executed based on indicators as Trigger Date (30 days before the Final Submission Date), Warning Date (10 days and 3 days respectively before Final ASP Submission Date) and Final Submission Date (All Directorates/Offices should submit their respective Audit Surveillance plan on or before this date).</p> <ol style="list-style-type: none"> <li>1.Trigger Date(Initiation date):</li> <li>2. Warning Date.</li> <li>3. Final ASP submission Date.</li> </ol>	PM : Surveillance Procedure Manual, Chapter 2,Para 2.2
SED 1.1 / SF 2	<p><b>Reference Details(Reference Type) Of Surveillance Activity :</b>                      In reference detail, Module owner has to select reference type as per respective surveillance activity. Reference type could be :</p> <ol style="list-style-type: none"> <li>1.CAR- CIVIL AVIATION REQUIREMENTS,</li> <li>2. RULES- AIRCRAFT RULES 1937</li> <li>3.AMC - APPLIED MEANS OF COMPLIANCE,</li> <li>4. PM- PROCEDURE MANUAL</li> <li>5. GM- GUIDANCE MATERIAL</li> <li>6. AC- ADVISORY CIRCULAR</li> <li>7. AIC – AERONAUTICAL INFORMATION CIRCULAR</li> <li>8. OTHERS</li> </ol>	SED1.1 – DE 2.1
SED 1.1 / SF 3	<p><b>Reference Details(Reference Info) Of Surveillance Activity :</b></p>	SED1.1 – DE 2.2



FEATURE ID	VII. SPECIFIC SOFTWARE FEATURES – DIFFERENTIATE BUSINESS RULES, PROCESS AND FEATURE	CROSS REFERENCE SECTION (IF ANY)														
	<p>Each reference type should have reference details based upon the type Reference selected, below are the reference details associated with each reference type:</p> <table border="1" data-bbox="347 506 1050 1066"> <thead> <tr> <th data-bbox="347 506 540 573">Reference Type</th> <th data-bbox="540 506 1050 573">Reference Details</th> </tr> </thead> <tbody> <tr> <td data-bbox="347 573 540 701"><b>CAR</b></td> <td data-bbox="540 573 1050 701">CAR NO,SECTION,SERIES,PART,PARA,SUB PARA,SUB SUBPARA, SUB SUB SUB PARA prefixed by C Example : C/145/3/A/II</td> </tr> <tr> <td data-bbox="347 701 540 833"><b>RULES</b></td> <td data-bbox="540 701 1050 833">PART,RULE NO,SUB RULE NUMBER,SUB SUB RULE NUMBER,SUB SUB SUB RULE NUMBER prefixed by R Example : R/IX/67</td> </tr> <tr> <td data-bbox="347 833 540 867"><b>AMC</b></td> <td data-bbox="540 833 1050 867"></td> </tr> <tr> <td data-bbox="347 867 540 966"><b>PM</b></td> <td data-bbox="540 867 1050 966">Name Of Procedure Manual, Chapter No.,Para No. Example : SPM/3/3.2</td> </tr> <tr> <td data-bbox="347 966 540 999"><b>GM</b></td> <td data-bbox="540 966 1050 999"></td> </tr> <tr> <td data-bbox="347 999 540 1066"><b>AC</b></td> <td data-bbox="540 999 1050 1066">AC Reference No. prefixed by AC Example : AC/AAC No 2 of 2011</td> </tr> </tbody> </table>	Reference Type	Reference Details	<b>CAR</b>	CAR NO,SECTION,SERIES,PART,PARA,SUB PARA,SUB SUBPARA, SUB SUB SUB PARA prefixed by C Example : C/145/3/A/II	<b>RULES</b>	PART,RULE NO,SUB RULE NUMBER,SUB SUB RULE NUMBER,SUB SUB SUB RULE NUMBER prefixed by R Example : R/IX/67	<b>AMC</b>		<b>PM</b>	Name Of Procedure Manual, Chapter No.,Para No. Example : SPM/3/3.2	<b>GM</b>		<b>AC</b>	AC Reference No. prefixed by AC Example : AC/AAC No 2 of 2011	
Reference Type	Reference Details															
<b>CAR</b>	CAR NO,SECTION,SERIES,PART,PARA,SUB PARA,SUB SUBPARA, SUB SUB SUB PARA prefixed by C Example : C/145/3/A/II															
<b>RULES</b>	PART,RULE NO,SUB RULE NUMBER,SUB SUB RULE NUMBER,SUB SUB SUB RULE NUMBER prefixed by R Example : R/IX/67															
<b>AMC</b>																
<b>PM</b>	Name Of Procedure Manual, Chapter No.,Para No. Example : SPM/3/3.2															
<b>GM</b>																
<b>AC</b>	AC Reference No. prefixed by AC Example : AC/AAC No 2 of 2011															
SED 1.1 / SF 4	<p>If Reference type of Surveillance activity is “<b>Others</b>” then reference details should be manually entered by User. System will automatically prefix “OT” with the entered reference detail. Example : OT/ASP-2015/8</p>															
SED 1.1 / SF 5	<p>There should be a provision to capture TIME ASSIGNED TO COMPLETE THE AUDIT having organization wise details about the time assigned to complete the audit. Categories are as mentioned below :</p> <ol style="list-style-type: none"> <li>LARGE ORGANIZATION</li> <li>MEDIUM SIZE ORGANIZATION</li> <li>SMALL ORGANIZATION.</li> </ol>	SED1.1 – DE 3.1														
SED 1.1 / SF 6	<p><b>Administrator Details :</b> A provision to capture Administrative Directorate Details for the respective Surveillance Activity should be provided. It should have name of Administrative Directorate, Name of the Administrator, and Designation of Administrative Directorate/Nodal Officer of the said surveillance activity who will be the SPOC for Organizing, coordinating and Monitoring the Audit/Surveillance Activity.</p>	SED1.1 – DE 3.2														
SED 1.1 / SF 7	<p><b>Applicability Details :</b> There should have a provision to capture Applicability details with details of first line applicability, second line applicability and third line applicability of organization/Operator/Aircraft for which mentioned surveillance activity has to be performed.</p>	SED1.1 – DE 3.3														





FEATURE ID	VII. SPECIFIC SOFTWARE FEATURES – DIFFERENTIATE BUSINESS RULES, PROCESS AND FEATURE	CROSS REFERENCE SECTION (IF ANY)
	During audit module creation stage, user can select more than one Auditee for which Surveillance Activity needs to be planned. During Planning stage, Data entry Operator will have an option to choose all or some of the auditee from the selected Applicability details during Pre Planning/Audit module creation stage.	
SED 1.1 / SF 8	<p><b>Checklists :</b>                      There should have a provision to have checklist details along with respective checklist form for the mentioned surveillance activity. The referenced checklist should be auto populated by the system in the grid based upon the two filters :</p> <ul style="list-style-type: none"> <li>a) Reference No. of the Surveillance Activity. Please refer SRS section SED 1.1 / SF 2 and SED 1.1 / SF 3</li> <li>b) Standard Reference No. Of the Auditee selected in the Applicability Details as mentioned in SRS section SED 1.1 / SF 7.</li> </ul>	SED1.1 – DE 3.4
SED 1.1 / SF 9	<p><b>References Details :</b>                      There should have a provision to capture References (Documents, Manuals, Others) details Of the auditee, selected in the Applicability Details (SRS section SED 1.1 / SF 7).                      Data Entry User should have an option to upload the reference document of the auditee selected in Applicability Details. Filters to find the Reference document should be Standard reference Number and Auditee id (example Organization Id.).                      Data Entry Operator can upload all or only relevant documents of Auditee.                      The format of reference no.(Document Id) Should be :                      &lt;Auditee_Id&gt;_&lt;Document Name&gt;                      Example : <b>xy001_CAME</b></p>	SED1.1 – DE 3.5
SED 1.1/SF 10	Inappropriately filled fields to provide pop up immediately. If there is any duplication of record or any mandatory field is not entered then appropriate error message with respect to each field should be displayed on click of submit button.	
SED 1.1/SF 11	All Generic field level validations and GUI layout features has to be incorporated accordingly.	



## 9. GENERAL COMMENTS

COMMENT ID	GENERAL COMMENTS
GC 1	
GC 2	

## 10. APPENDIX

### 10.1. DATA ELEMENT FIELD LEVEL VALIDATION

\*All fields will be captured in sequential flow manner. Next section data entry will be enable only after all mandatory data has been entered in previous section

S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
1.	Module Owner	Section Name			
a.	Name of Directorate	Dropdown	Yes	ASD,AW,AS,FSD,SE D,MED,DTL,AED,DRI ,ATD,ANS,DAF,TRD, STD	<ol style="list-style-type: none"> <li>1. Master Driven Values For Name Of Directorate.</li> <li>2. The System should auto populate respective Directorate Name as per Login credentials.</li> <li>3. All Directorate of headquarters should be populated along with Region/Sub Region Offices should also come in dropdown.</li> </ol>
2.	Audit/Surveillance Activity Reference	Section Name			
a.	Name Of Audit/Surveillance Activity	Dropdown	Yes	Regulatory Audit Program, Cross Regional Checks, Night Surveillance Checks, Surveillance Of Foreign Airlines, Spot Checks, Ramp Inspection, Quality Assessment Checks and other Surveillance/Audit activities performed by different directorates	<ol style="list-style-type: none"> <li>1. Master Driven Values for Name Of Audit/Surveillance Activity.</li> <li>2. Audit/Surveillance Activity Associated with respective directorate should only come in the dropdown.</li> </ol>
2.1.	Audit/Surveillance Reference Details	Sub Section Name			



S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
a.	Reference Type	Dropdown	Yes	CAR, RULES, AMC,GM,PM, AC,AIC, Others	Master Driven Values for reference type. Data entry user will have to enter respective reference info as per selected dropdown value. Please Refer SRS section SED1.1/SF2 and SED1.1/SF3 for more details.
b.	Reference Info	Text boxes	No	Please visit SRS section SED1.1/SF2 and SED1.1/SF3 for more details for more details.	Each reference type should have reference info based upon the type of Reference selected, For reference details associated with each reference type please visit SRS section SED1.1/SF2 and SED1.1/SF3 for more details.
<b>2.2.</b>	<b>Consolidation Of Reference No.</b>	<b>Sub Section</b>			This sub section will give System Populated Consolidated Reference No. Of the respective Surveillance Activity
a.	Reference No. Of Surveillance Activity	Label	No	System Populated Reference detail values in text boxes having values entered in Reference Details section, separated by “/”. For Example : C/145/A/2/III	<ol style="list-style-type: none"> <li>The values displayed in respective text boxes should be exactly same as entered in Reference details section</li> <li>Each text boxes should be separated by “/” from each other.</li> </ol>
b.	Area/Category Of Surveillance Activity	Dropdown	Yes	NA, Class/Sub Area of Respective Surveillance Activity, Populated from master data maintained in the database. For Example: For Surveillance (Ramp Inspection) of foreign aircraft Class/Sub Area of Surveillance Activity should be <b>RAMP</b> .	If There is No class/sub area for the respective surveillance activity then only “ <b>NA</b> ” should come in the dropdown.



S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
				RAMP stands for "RAMP INSPECTION"	
c.	Consolidated Reference No. Of Surveillance Activity	Non Editable Text Box	Yes	<Reference No. Of Surveillance Activity>/< Sub Area/Type Of Surveillance Activity>	System Populated Value combining values of Reference No. Of Surveillance Activity and Sub Area/Type Of Surveillance Activity separated by "/". For Example if data item in Reference No. Of Surveillance Activity is <b>C/145/A/2/III</b> and data Item selected in Sub Area/Type Of Surveillance Activity is <b>COM</b> then Consolidated Reference No. Of Surveillance Activity will be <b>C/145/A/2/II/ COM</b> If data Item selected in Sub Area/Type Of Surveillance Activity is <b>NA</b> then Consolidated Reference No. Of Surveillance Activity will be same as values of data item in Reference No. Of Surveillance Activity.
<b>3.</b>	<b>Short Title Of The Audit Module</b>	<b>Section Name</b>			
a.	Name of audit/Surveillance Activity	Non Editable Text Box	Yes	Name Of Surveillance Activity selected in Area Of Surveillance/Surveillance Activity. Please refer Data Elements section 2a.	System Populated value populated from section Audit/Surveillance Activity reference. Please Refer data Elements section 2 for more details.
b.	Sub Area/Type Of Surveillance Activity	Non Editable Text Box	Yes	Data Value selected in sub section 2.2 <b>Consolidation Of Reference No</b> in field: Sub Area/Type Of Surveillance Activity.	System Populated value populated from sub section <b>Consolidation Of Reference No</b> . Please Refer data Elements section <b>2.2b</b> for more details.

S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
<b>3.1</b>	<b>Time Assigned To Complete The Audit</b>	<b>Sub Section Name</b>			This sub section will have Organization wise Details related to total time assigned to complete the Audit/Surveillance Activity.
a	Large Organization	Dropdown	Yes	3, 6, 12, 24, 27, 30, 36, Select No. Of Months	System Driven Value Populated from Master maintained Data.
b	Medium Size Organization	Dropdown	Yes	3, 6, 12, 24, 27, 30, 36, Select No. Of Months	System Driven Value Populated from Master maintained Data.
c	Small Organization	Dropdown	Yes	3, 6,12,24,27,30, 36,Select No. Of Months	System Driven Value Populated from Master maintained Data.
<b>3.2</b>	<b>Administrator Details</b>	<b>Sub Section Name</b>			This sub section will have administrative directorate details of respective surveillance activity. It will have name, designation of Administrative Directorate/Nodal Officer of the said surveillance activity who will be SPOC for Organizing, coordinating and Monitoring the Audit/Surveillance Activity.
a.	Name Of the Directorate	Dropdown	Yes	Refer Data Element section 1.a	Refer Data Element section 1.a. Dropdown should have a value "NA". If "NA" is selected then data entry for sub section 3.2.b and 3.2.c will be disabled.
b.	Name Of The Administrator	Text Box and Search Button	Yes	Varchar	Suggested by system as per user input based upon initial entered characters. Populated from Master data Maintained in the database. All validations for name as per master maintained user data is applicable. User can search and select required person/user name.
c.	Designation Of the Administrator	Non Editable Text Box	Yes	VarChar	System Populated Value of Designation as per name of the Administrator selected in data element section 3.2.b.



S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
					Populated from master data maintained in database.
<b>3.3</b>	<b>Applicability Details</b>	<b>Sub Section Name</b>			Please refer SRS section SED1.1/SF7 for Details about Applicability Details
a.	Select Applicability Area	Dropdown	Yes	Organization, Operator, Aircraft, Directorate, Others, All	Dropdown Values Populated from Master Maintained list maintained in database.
a.1	<b>Applicability Category</b>	<b>Sub Sub Section Name</b>			Sub Section To select Category Of Auditee based upon the Applicability Area selected in sub section 3.3.a.
a.1.1	Select Applicability Category	Dropdown	Yes	Values Populated From Master List maintained in data base based upon type of Auditee selected in Applicability Area Selection Field.	<ol style="list-style-type: none"> <li>1. Only Applicable Category Of Respective Auditee based upon the Applicability Area selected will populate in dropdown.</li> <li>2. If Applicability Area Is Directorate then This Field will be disabled for data entry.</li> </ol>
a.1.2.	Select Applicability Sub Category	Dropdown	Yes	Values Populated From Master List maintained in data base based upon Type of Auditee(Applicability Area) and Applicability Category selected	<ol style="list-style-type: none"> <li>1. Only Applicable sub Category Of Respective Auditee based upon the Applicability Area and Applicability Category selected will be populated in dropdown.</li> <li>2. If Applicability Area Is Directorate then This Field will be disabled for data entry.</li> </ol>
b.	Get Details	Button	Yes		By Clicking on this button All Auditees Details as Per Search Criteria entered in Applicability Area, Applicability Category and Applicability Sub Category will be displayed in the grid in sub section Auditee List Under Selected Category.
c	<b>Auditee List As Per Selected</b>	<b>Sub Sub Section Name</b>			<ol style="list-style-type: none"> <li>1. This sub section should have a system populated Auditees Details as Per</li> </ol>



S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
	Applicability Details				<p>Search Criteria entered in Applicability Area, Applicability Category and Applicability Sub Category .</p> <p>2. Fields of Auditee Details should be auto populated by system from Master data maintained in Database.</p> <p>3. User should have an option to select all or some of the Auditee and add them in to a grid.</p> <p>4. During Planning stage, Data entry Operator will have an option to choose all or some of the auditee from the Added Auditee in Grid during Pre Planning/Audit module creation stage.</p>
3.4	Checklists	Sub Section Name			<p>This sub section will have checklist details along with respective checklist form for the mentioned surveillance activity. Following Fields will be displayed in the grid.</p>
a.	S.N.	Text Box	Yes	Numeric	System Driven Sequence No. Starting with Serial No. 1.
b.	Checklist Id	Non Editable Text Box	Yes	Alphanumeric	<p>System Populated value, Populated from Master Data of Checklist Maintained in Database.</p> <p>Format Of Checklist id Could Be :&lt;Short Name Of Surveillance Activity&gt;&lt;_&gt;&lt;Category/Type Of Surveillance Activity&gt;&lt;_&gt;&lt;Applicability Area&gt;&lt;_&gt;&lt;Applicability Category&gt;&lt;_&gt;&lt;System Generated Sequence No.&gt;</p>





S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
					<p>Prefixed By "CH"</p> <p>For example : Checklist id For Checklist Used for Regulatory Audit of Scheduled Operator will be :</p> <p><b>CH-RA_COM_OP_SOP001</b></p>
c	Reference No.	Non Editable Text Box	Yes	Alphanumeric	System Populated Value Of Consolidated Reference No. Of Surveillance Activity. Please Refer Data Element section <b>2.2c</b> for More details.
d	Standard Reference No.	Non Editable Textbox	Yes	Alphanumeric	System Populated Reference no. Of auditee as per civil aviation manuals (CAR, Rule, AMC, GM,AC,etc).populated from master data maintained in database for Auditee (Organization, Operator, Aircraft, Directorate). For Example : Format Of Standard Reference No. could be <b>C/145/3/C/II</b>
e	Checklist Form	Text Box	Yes	Link to Referenced Checklist Form/Template	<ol style="list-style-type: none"> <li>1. It will Have Link to template/Form of the checklist, required for performing the said surveillance activity.</li> <li>2. This template/Form should be master maintained in database.</li> </ol>
<b>3.5</b>	<b>References Details</b>	<b>Sub Section Name</b>			Please refer SRS section <b>SED 1.1 / SF 9</b> for More Details regarding this sub section. It will Have following Details :
a	Reference Type	Non Editable Text Box	Yes	CAR/RULE/AMC/GM/AC/PM/Others	System Populated Value Populated from value entered in " AUDIT/ SURVEILLANCE ACTIVITY REFERENCE"->"REFERENCE DETAIL"->"REFERENCE TYPE" .Refer data element section <b>2.1a</b>
b.	Reference No.	Non Editable Text Box	Yes	Alphanumeric. Consolidated reference no.	System Populated Value, populated from sub section "Consolidation Of Reference



S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
				Populated from surveillance activity reference details.	No.” Refer Data Element section <b>2.2c</b> .
c	Add References	Button	Yes		To add reference document Of Auditee specific to audit activity. Sub Section “ <b>Add References</b> ” will be enabled by clicking this button. User can add more than one reference document by clicking this button.
3.5.1	<b>Add References</b>	<b>Sub Sub Section</b>			References details will be entered in this section. This sub section will have reference (Documents, Manuals, Others) details Of the Auditee selected in the sub section: Applicability Details. Refer sub section <b>3.3</b> of data element section. Following fields will be entered in this section.
a.	Doc Id	Text Box And Search Button	Yes	The format of reference no.(Document Id) Should be : <Auditee_Id>_<Document Name> Example : <b>xy001_CAME</b>	Name Suggested by system as per user input based upon initial entered characters. Populated from Master data Maintained in the database. All validations for Doc Id as per master maintained user data is applicable. User can search and select required Document. Please refer SRS section <b>SED 1.1 / SF 9</b> for more details.
b.	Title	Non Editable Text Box	Yes	Var Char	System Populated Value for title of Referenced Document selected in data element section <b>3.5.1.a</b> . Value Populated from Master Data of reference Document of Auditee, Maintained in database.

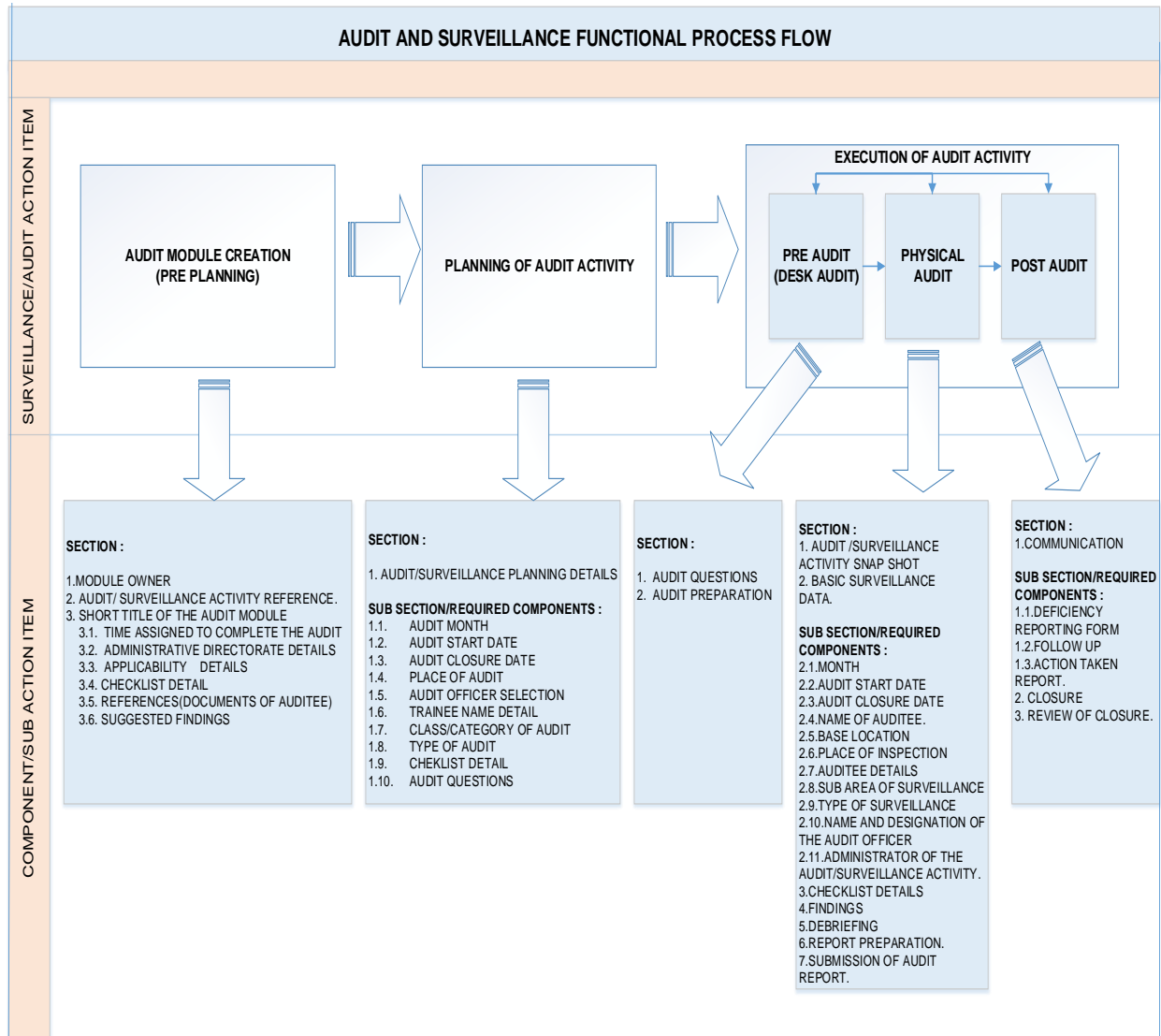
S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
c	Add in the grid	Button	Y		On Clicking this button, Document Reference details entered in the data element sub section 3.5.1. Will be added in the grid- <b>“Document Reference Details”</b> .
3.5.2	Document Reference Details	Table/Grid	Yes	S.N, Doc Id, Title	This grid/table will have sequence wise Non editable details of all referenced documents entered in data element sub section <b>3.5.1</b> . The referenced document will be tabulated in 3 fields : S.N.,Doc Id and Title
<b>3.6</b>	<b>Suggested Findings</b>	<b>Sub Section Name</b>			Please refer SRS section SED1.1/3.5.10 for details about this sub section. This sub section will have following details:
a.	SF_ID	Text Box And Search Button	Yes	The format of Suggested Findings should be : <b>SF</b> <-><OP/OG/AC><-><CATEGORY OF OP/OG/AC><ITEM_CODE><S.N.> For Example : SF-OP_SOP_GC001 OP: Operator SOP: Scheduled Operator.	Suggested Findings name, Suggested by system as per user input based upon initial entered characters. Populated from Master data for Suggested Findings, Maintained in the database. All validations for Suggested Findings as per master maintained user data is applicable. User can search and select required Suggested Finding. Please refer SRS section <b>SED1.1/SF10</b> for more details.
b.	Add In the Grid	Button	Y		On Clicking this button, Suggested Finding entered in the data element sub section 3.6.a. will be added in the grid- <b>“Suggested Findings Details”</b> .
c	Add More	Button	Yes		User has to click this button To add More than One Suggested Findings, specific to audit activity. User can add more than one suggested Finding (Master



S. No.	Data Field	Type	Mandatory	Permissible Characters/Default Value	Business Rules/ Validations
					Maintained) by clicking this button. Up to 10 suggested findings could be added through application.
d	Suggested Finding Details	Table/Grid	Yes	S.N, SF ID, Item Code, Standard Reference No., Finding Description	This grid/table will have sequence wise Non editable details of all Suggested Findings entered in data element sub section <b>3.6.a</b> . The referenced document will be tabulated in 5 fields: SF_ID (Suggested Finding Id), ITEM CODE (for suggested finding), FINDING CATEGORY (Level 1, Level 2), STANDARD REFERENCE NO (of the auditee) and FINDING DESCRIPTION. All fields are fetched from Master maintained data of Suggested Finding. Up to 10 suggested findings could be populated in the grid.
4.	Save	Button	Yes		By clicking this button all entered data will get saved in draft folder.
5.	Submit	Button	Yes		Please refer SRS section <b>SED1.1/7 –Output</b> for functionality performed by application on clicking of Submit Button.

## 10.2. FUNCTIONAL OVERVIEW

Audit – Plan->execute->communicate -> assess->close->Analyze ->Focus->Enforce



### 10.3.PROCESS FLOW DIAGRAM

