



**Coast Guard Aeronautical
Inspection Service
(Bhubaneswar)**

**Quality Procedure Manual
(IS/ISO 9001:2015)**





Document No. QP-0013

**Title: Actions to address Risk
& opportunities**

- Purpose:** To establish a documented procedure for determining the risk that could be there in the processes which could affect the effectiveness of the Integrated management system (QMS) and opportunities for improvement and to integrate / implement these action into the Quality Management System for eliminating the causes of potential non-conformities in order to prevent their occurrence.
- Scope:** This procedure applies to all sections dealing with customers.
- Definition:** "RISK: a negative effect of uncertainty, OPPORTUNITY: a positive effect of uncertainty". Options to address risks can include avoiding risk, taking risk in order to pursue an opportunity, eliminating the risk source, changing the likelihood or consequences, sharing the risk or retaining risk by informed decision. Opportunities can lead to the adoption of new practices, launching new products, opening new markets, addressing new customers, building partnerships, using new technology and other desirable and available possibilities to address the organizations or its customer needs. The risk may be either of the process involved at CGAIS(BSR) and the aircraft maintenance work on aircraft undertaken at ICG Dhruv Mk I & Mk III operating units.
- Risk Assessment:** A systematic investigation and analysis of potential risks, combined with the assignment of severities of probabilities and consequences. These are used to rate risks in order to prioritize the mitigation of high risks. Every process owner is expected to identify what risks could be there in their process that could have an impact on the conformity of products and services and give assurance that the quality management system can achieve its intended result. In other words one has to determine as to what can go wrong in that process which could have an impact on the conformity of products and services. Assigning a **Likelihood** rating to the identified risk through a score of 1 to 3, based on 1 – Unlikely, 2 – May happen, 3 - Very Likely. Assigning a **Severity** rating to the identified risk through a score of 1 to 3, based on 1 – No impact on prod/ service requirements. 2 - Min impact on prod/service requirements 3 - high impact on prod/ service requirements.

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Designation	SO (ISO)	Officer-in-Charge	MR
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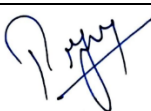
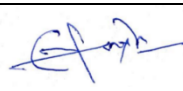
5. **Risk Mitigation:** a plan developed with the intent of addressing all known or possible risks and preventing their occurrence.

- ❖ Calculating a final Risk Factor based on the equation: "Likelihood Rating x Severity Rating = RISK factor"
- ❖ For risks with a final Risk Factor rating equal to or greater than the threshold set in the Process Risk Assessment Sheet, management will decide whether to reject the subject due to the risk or accept the risks after the development of a risk mitigation plan. The mitigation plan must be documented in the Process Risk Assessment Sheet.
- ❖ Risks with a factor less than the risk threshold may be accepted without a mitigation plan, unless otherwise directed by management.
- ❖ If a risk includes a potential positive aspect, management may elect to conduct an opportunity assessment on the positive aspect.

6. **Opportunity Assessment:** Every process owner is expected to identify opportunities which could enhance its efficiency, financial viability and market position. For example:

- ❖ Obtaining new contracts
- ❖ Obtaining access to new markets
- ❖ Identification of new industries which may be served by CGAIS
- ❖ Development of new offerings that are within the scope of capabilities of CGAIS
- ❖ Streamlining existing processes to improve efficiency and reduce costs.

The opportunities are discussed and analyzed by the top management and reviewed during management review meetings to determine which opportunities should be pursued, that may involve requirement for additional resources.

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Analysis of any opportunity will generally result in one of the following possible determinations:

- Pursue the opportunity
- Explore the opportunity in greater detail before proceeding
- Accept the opportunity, but under limited and controlled conditions
- Decline the opportunity, typically based on a high expected risk or low anticipated benefit.

7. **Responsibility:** It is the responsibility of the respective section-in-charges and Management Representative and the Officer-in-Charge to ensure compliance to this procedure.

8. **Procedure:**

(a) The risk management Potential Non-conformity shall be obtained from three main sources as follows:

- (i) QA report and Follow up report.
- (ii) Feedback report from customer.
- (iii) NC Report submitted post audit.

(b) The five steps of risk management are as follows:

- (i) Identifying the risk
- (ii) Analyzing the risk
- (iii) Evaluation of the risk
- (iv) Treat and monitor the risk
- (v) Review the risk

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(c) Some of the process /section wise potential risk and action to address them are as follows:-

(i) ADMINISTRATION		
Risk	Effect of Risk	Mitigation of Risk
Non recording of incoming /outgoing correspondence	The correspondence could be filed in different folder and its future retrieval will be difficult	Each incoming / outgoing correspondence is being recorded in separate register and all incoming correspondence are assigned a number stamped at back side of the same.
Incoming correspondence do not reach at concerned section	Delay may occur for taking action for that correspondence	All correspondence are being distributed at the end of the day after clearance by officer –in-charge and sign for the same taken in the mail register
Person may avail more leave as per their entitlement	Availing of more leave by individual may lead to difficulty in granting leave to meet emergency requirement	Recording of all leave is being undertaken in Leave register as well as individual service record book and same being monitored through leave planner.
(ii) TECHNICAL		
(aa) Quality Audit		
Risk	Effect of Risk	Mitigation of Risk
Non inclusion of guidelines in QA Check list	Non-confirmation of compliance status of subject guideline during QA may lead to skipping of aircraft maintenance	Check list are to be revised on yearly basis and same to be again cross checked prior to proceeding for Quality Audit.

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Delay in forwarding of QA report	Will lead to subsequent delay in liquidation of observation	The QA report is to forwarded within 15 days of completion of QA and same is being monitored in QA register
Non liquidation of observations by units	Will lead to un-serviceability of aircraft and equipment	Follow up report towards liquidation of observation is being sought from units on quarterly basis and same is ensured during next QA
(ab) <u>Inspection of GSE /Arrival Equipment</u>		
Procurement of non-standard GSE / GHE	May Lead to Ground Accident during aircraft maintenance	All requisite certificates of the GSE/GHE, confirmation to specification as per Airplane maintenance manual and registration details of firm is being ensured prior clearance for use
Excess procurement of GSE /GHE	May lead to deterioration of equipment for non-usage and over exploitation of public fund	Held GSE/GHE is checked as per authorized scale during Quality Audit
(ac) <u>Incident/ Failure Analysis</u>		
Non-receipt of incident report from unit	Non-analysis of subject incident may lead to further recurrence	Each Incident is bearing a serial number and same is to be cross checked on receipt of next inspection
Incident reported by unit not analysed	May lead to further failure	Each incident is analysed and assigned a number by CGAIS(BSR).

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Risk	Effect of Risk	Mitigation of Risk
(ad) I-Level Servicing of Dhruv Mk I & Mk III		
Timely Non-positioning of I-Level spare kit	Delay in commencement of I-Level Servicing of Dhruv Mk III	Case for positioning of mandatory spare list / Applicable MOD Kit to be projected to M/s HAL(MRO) at least one month prior to scheduled induction of Dhruv M
Shortage of HAL Det BSR Manpower	Delay in rolling/signaling out of aircraft	M/s HAL Det (BSR) to be instructed not to depute any HAL technician outstation without intimation to CGAIS Bhubaneswar.
(ae) Defect Report Analysis		
Defect report raised by unit not addressed by HAL	Non-investigation of component failure may lead to further failure	Defect report raised by units compiled on quarterly basis and consolidated list of defect reports being submitted to HAL for early forwarding of defect Investigation reports.
(af) Rotable Failure Analysis		
Repeated failure of rotables not intimated to OEM	May lead to decrease in serviceability rate of air asset	Failure of all rotabes reported at units are compiled and analysed in graphical chart pattern to identify the trend of failure. The case taken up with HAL/OEM and action towards the same is being followed through Progress Review Meeting (PRM) and Local Modification Committee (LMC) Meeting.

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(ag) Training		
Insufficient training to individual	May lead to poor Quality Audit by Inspector	All inspectors are given training and record of the same are being recorded in training register with signature
Degradation of Inspector Knowledge	May lead to miss out of non-conformity during QA	All Inspectors are evaluated on yearly basis and record of exam is being recorded

(d) Potential non conformities will be discussed during management review meeting and properly documented.

(e) Action to prevent occurrence of non-conformities shall be discussed and determined. The same shall be implemented by concerned section-in-charges.

(f) Preventive action so derived and action taken thereon shall be recorded and readily available for reference to subsequent review meeting.

(g) To ensure that customer focus is achieved, CGAIS Bhubaneswar will obtain measurable feedback from customers and maintain a record of all feedbacks.

(h) The feedback received, shall be reviewed and analyzed to ensure quality of service offered by CGAIS(BSR).

(j) CGAIS(BSR) will also monitor customer complaints, feedback and customer communication to determine customer satisfaction.

(k) The management and MR shall monitor and review the effectiveness of all preventive actions taken periodically. **A risk register [F 0037] to be maintained process wise for recording of potential risk, its mitigation and contingency**

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